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**Implementation Report 2004 on**

**“A Mobility Strategy for the European Research Area” and  
“Researchers in the ERA: one profession, multiple careers”**

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## COMMISSION STAFF WORKING PAPER

### Implementation Report 2004 on

### **“A Mobility Strategy for the European Research Area” and “Researchers in the ERA: one profession, multiple careers”**

#### EXECUTIVE SUMMARY

An abundant supply of highly trained researchers is a prerequisite to meet Europe’s ambitious policy objectives, which are: to build the European Research Area, to make Europe the most dynamic and competitive knowledge economy in the world, and to increase investment in research to an average of 3% of GDP. This goal can only be achieved if enough properly trained researchers are available. It has been estimated that this means an additional 700 000 researchers, on top of those needed to replace researchers reaching retirement age.

As a first step towards the human resource objectives, in 2001 the Commission suggested specific actions towards enhanced mobility of researchers as a tool for further training and transfer of knowledge in its Communication “A Mobility Strategy for the ERA<sup>1</sup>”. Published in 2003, the Commission Communication “Researchers in the European Research Area: one profession, multiple careers”<sup>2</sup> made mobility a central plank in the wider context of researchers’ careers and suggested a series of measures towards a genuine European labour market for researchers.

The implementation of the suggested measures is an ongoing process, based on close cooperation with the participating countries through the Steering Group on Human Resources and Mobility (SG HRM) as part of the Open Method of Coordination (OMC).

This report forms part of the regular reporting process requested by the Council<sup>3,4</sup> and describes the progress made in 2004 by the Commission and by the countries participating in the Sixth Framework Programme for Research, Technological Development and Demonstration<sup>5</sup>. It builds on previous achievements, as set out in the first<sup>6</sup> and second<sup>7</sup> implementation reports. While these reports focused mainly on efforts to create a more favourable environment for the mobility of researchers, this report also highlights activities targeted at improving career prospects for researchers in Europe.

A number of major achievements and milestones were attained in 2004.

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<sup>1</sup> COM(2001) 331 final of 20.6.2001.

<sup>2</sup> COM(2003) 436 final of 18.7.2003.

<sup>3</sup> Council Resolution of 10.12.2001, OJ C 367, 21.12.2001.

<sup>4</sup> Council Resolution of 10.11.2003, OJ C 282, 25.11.2003.

<sup>5</sup> Decision No 1513/2002/EC of the European Parliament and of the Council of 27 June 2002 concerning the sixth framework programme of the European Community for research, technological development and demonstration activities, contributing to the creation of the European Research Area and to innovation (2002 to 2006)

<sup>6</sup> SEC(2003) 146 of 4.2.2003.

<sup>7</sup> SEC(2004) 412 of 1.4.2004.

As the fruit of a public consultation process with which the members of the SG HRM have been fully associated, the Commission adopted a “Recommendation on the European Charter for Researchers and on a Code of Conduct for the Recruitment of Researchers”<sup>8</sup>, which provides Member States, employers, funders and researchers with a valuable instrument to undertake, on a voluntary basis, further initiatives for the improvement and consolidation of researchers’ career prospects in the European Union and for the creation of an open labour market for researchers.

At both Community and national levels there are increased efforts to benefit from European expatriate researchers, either by stimulating cooperation and exchange with them or by attracting them back to Europe. In this context and in line with national actions, the Commission has launched an initiative with a view to establishing a network of European researchers in the U.S. (ERA-LINK).

As regards admission and residence of third country researchers, an important step forward was taken when a package of legal instruments, consisting of a proposal for a Directive and two Recommendations, was adopted by the Commission in 2004<sup>9</sup>; these instruments are now before the European Parliament and Council for approval. The package provides for a fast-track procedure for the admission of researchers by means of a specific residence permit. As for the Recommendations, they will allow Member States to speed up on a voluntary basis the implementation of the Directive and to tackle additional issues, such as reuniting families, short-term visas and cooperation between Member States.

In the areas of taxation, social security and mobility between industry and academia, fact-finding exercises on good practices at national level have been carried out and form the basis for further exploitation within the framework of the Open Method of Coordination (OMC).

Concerning information for and assistance to mobile researchers, two major initiatives were further developed in close collaboration with the participating countries: the Researcher’s Mobility Portal and the European Network of Mobility Centres (ERA-MORE). For the Portal, focus was put on interoperability with the different national mobility portals and continual enhancement of the quality of supplied information. Both the European portal and the 19 national mobility portals now contribute substantially to structuring and networking available information throughout Europe. The ERA-MORE network was officially launched in June 2004 and includes some 200 designated Mobility Centres. The first annual conference, which brought together all network members for the first time and provided a platform for the exchange of ideas and best practice, was held in December 2004.

Finally, the Commission launched an initiative to improve the knowledge of mobility trends and career paths of researchers, at all levels of their careers, and including both geographical and intersectoral mobility patterns. Member States are fully associated with this action as part of the Open Method of Coordination.

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<sup>8</sup> C(2005) 576 final of 11.3.2005.

<sup>9</sup> “Communication from the Commission to the Council and the European Parliament on the presentation of a proposal for a directive and two proposals for recommendations on the admission of third-country nationals to carry out scientific research in the European community” COM(2004)178 final of 16.03.2004.

## 1. Policy context

Europe needs researchers. One of the major policy developments since the beginning of the millennium is the growing realisation that the provision of abundant and highly trained human resources in research is paramount to the EU's ability to meet its ambitious challenges. This realisation arose as a consequence of three major political developments:

- The launch of the European Research Area, in January 2000, which provided for the first time a general framework for the designing of an overall ambition for European research.
- The commitment by the Heads of State and Government, in Lisbon in March 2000, to make Europe “the most dynamic and competitive knowledge economy in the world by 2010”.
- The commitment made at the European Council in Barcelona (March 2002) to raise investment in research in the EU to an average of 3 % of the members states' GDP, with two-thirds of this investment coming from the private sector.

Each of these commitments has clear implications for human resources in research. For example, an abundant supply of highly trained researchers is not only a necessary condition to advance science and to underpin innovation, but is also an important factor in attracting and sustaining investments in research by public and private entities. In addition, the Commission has estimated that in order to meet the 3% objective alone a further 600 000 to 700 000 researchers will be needed, in addition to the resources required to replace rapidly the ageing workforce in European research.

Europe's ambitious policy objectives cannot be fulfilled without a broad and integrated strategy involving all stakeholders concerned and taking stock of the changing environment in which research is conducted. Against the background of growing competition at world level, the EU's strategy on human resources in R&D has been based on making Europe more attractive to the best researchers, by providing a stimulus for people to enter the researcher's profession, by encouraging European researchers to stay in Europe, and by attracting to Europe researchers from all over the world. It has become the ultimate aim of this strategy to develop an open, trans-European labour market for researchers with attractive career prospects, supporting a beneficial “brain circulation”, and thereby limiting “brain drain” both within Europe and globally.

To attain these objectives, the EU's integrated strategy has since focused on three main lines:

- to substantially increase EU funding for the training, mobility and career development of researchers, known as the ‘Marie Curie Actions’,
- to improve the overall environment for researchers in Europe by enhancing mobility and removing obstacles,
- to foster the career development of researchers, thereby enhancing the EU's attractiveness for research talent from Europe and from all over the world.

The European Commission has taken initiatives in all these areas, using the Sixth Framework Programme for RTD<sup>10</sup> to extend financial opportunities (with a 70% budget increase compared to FP5) for training and mobility throughout the career of researchers, plus a substantial opening up of the actions to non-European researchers and also taking systematic account of the issues of return and career (re)integration.

In addition, the Commission, in its 2001 Communication “A Mobility Strategy for the ERA”<sup>11</sup>, supported by Council<sup>12</sup>, identified concrete actions both at Community and at national level, to exploit mobility as a key instrument for career development and for bringing about the European Research Area, as well as a prerequisite to increase European capacities and performances in research. Since the adoption of the *Mobility Strategy* in 2001, considerable achievements can be reported, mainly in creating more favourable conditions for mobile researchers.

Further impetus was given in 2003 by the actions dealing at European level with the researcher’s profession and the career prospects and development of researchers, as set out in the Commission Communication “Researchers in the European Research Area: one profession, multiple careers”<sup>13</sup>. In addition, following the Barcelona Spring Council of 2002, the Commission had published the 3% Investment Action Plan,<sup>14</sup> which contains a series of actions concerning human resources and mobility in R&D, to support the necessary increase in the number of researchers in Europe, drawing on the *Mobility Strategy* and the outline of the *Career Communication*. In 2003 the Council adopted Resolutions on both the *Career Communication* and the 3% Investment Action Plan.

While supporting both the *Career Communication*<sup>15</sup> and the 3% Investment Action Plan<sup>16</sup> in 2003, the Council underlined on several occasions in 2004 the importance of pursuing the Lisbon objectives with more collective determination, which meant stepping up the effort to make Europe more attractive to researchers: “*Human resources are critical for R&D and priority must be given to training, retention and mobility of researchers*”<sup>17</sup> and “*The European Council urges that work proceed quickly, inter alia, on the following: ... encouragement for the mobility of researchers, as an example of practical action to further stimulate innovation.*”<sup>18</sup>

In its Communication “*Science and Technology, the key to Europe’s future – Guidelines for future European Union policy to support research*”<sup>19</sup>, published in June 2004, the Commission reiterated the need to increase the number of researchers in Europe from the current level of six per 1 000 labour force to eight per 1 000 as a target corresponding to the 3% objective. It also stressed the European Union’s aim of promoting the development of

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<sup>10</sup> Decision No 1513/2002/EC of the European Parliament and of the Council of 27 June 2002 concerning the sixth Framework Programme of the European Community for research, technological development and demonstration activities, contributing to the creation of the European Research Area and to innovation (2002 to 2006), hereinafter referred to as “FP6”.

<sup>11</sup> COM(2001)331 final of 20.6.2001, hereinafter referred to as “Mobility Strategy”.

<sup>12</sup> Council Resolution of 10.12.2001, OJ C 367, 21.12.2001.

<sup>13</sup> COM(2003) 436 final of 18.7.2003, hereinafter referred to as “Career Communication”.

<sup>14</sup> COM(2003) 226 final of 30.4.2003.

<sup>15</sup> Council Resolution of 10.11.2003, OJ C 282, 25.11.2003.

<sup>16</sup> Council Resolution of 22.9.2003, OJ C 250, 15.10.2003.

<sup>17</sup> Presidency conclusions European Council of 25-26 March 2004.

<sup>18</sup> Presidency conclusions European Council of 17-18 June 2004.

<sup>19</sup> COM(2004) 535 final of 16.6.2004.

European scientific careers, and at the same time helping to make sure that researchers stay in Europe as well as attracting the best researchers to Europe.

This was also underlined by the report “*Europe needs more scientists*” by the High Level Group on Increasing Human Resources for Science and Technology in Europe 2004, chaired by Prof. José Mariano Gago<sup>20</sup>, with an analysis of the current situation and a number of policy recommendations on how to stimulate the necessary quantitative and qualitative level of researchers in Europe.

Finally, the report “Facing the challenge – The Lisbon strategy for growth and employment” from the High Level Group chaired by Wim Kok<sup>21</sup> supports the EU’s strategy on human resources in R&D by stressing that Europe needs to dramatically improve its attractiveness to researchers by reducing the administrative obstacles to mobility (social security entitlements, fast-track work permit and visa procedures and recognition of qualifications).

## 2. SCOPE AND BACKGROUND OF THE REPORT

This document provides information about the progress made during 2004 in terms of efforts and achievements, both at Community level and at national level, in implementing the actions and measures provided for in the *Mobility Strategy* for the European Research Area and the *Career Communication*, and relates to the regular reporting process requested by the Council.

The *Mobility Strategy* aims at facilitating mobility of researchers within and to Europe with the ultimate objectives of enhancing the overall quality of researchers in Europe through increased trans-national competition, and of helping to create the critical mass of researchers necessary to build the European Research Area. On the one hand, it proposes measures related to the dynamics required to set up and develop a more favourable environment for mobile researchers throughout their career. These include legal improvements (admission, entry conditions, social security and taxation), better information and assistance services (advertising of vacancies, availability of practical information), an improved knowledge base (statistics and surveys) and qualitative improvements (exchange of best practice, benchmarking). On the other hand, the *Mobility Strategy* addresses the need for financial incentives at local, regional, national and European level to enhance the attractiveness of research and to create the necessary qualified human resources.

The *Career Communication* analyses the different aspects that characterise the profession of researchers and defines the various factors which condition their careers at European level. It tackles issues such as research training, recruitment methods, the contractual and budgetary situation and evaluation mechanisms that allow career progress. The Communication reveals structural weaknesses as well as marked differences within each of these aspects, which depend on various factors. It also suggests a series of measures to be undertaken by the Commission, the Member States and/or the stakeholders of the research community. In particular, it proposes actions to improve data collection and analysis for more in-depth conclusions and more structured dialogue mechanisms between the different stakeholders of the research community in order to improve career prospects for researchers throughout Europe.

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<sup>20</sup> “Increasing Human Resources for Science and Technology in Europe”, July 2004, [http://europa.eu.int/comm/research/conferences/2004/sciprof/pdf/hlg\\_report\\_en.pdf](http://europa.eu.int/comm/research/conferences/2004/sciprof/pdf/hlg_report_en.pdf)

<sup>21</sup> November 2004; hereinafter referred to as ‘Kok report’.

Activities in the framework of both the *Mobility Strategy* and the *Career Communication* are implemented by the Commission in close cooperation with the Member States, the candidate countries and the countries associated with *FP6* through the Steering Group on Human Resources and Mobility (SG HRM). The work of the SG HRM is guided by the principles of the Open Method of Coordination (OMC), which was adopted to be applied in the research policy area, with explicit reference to issues of human resources and mobility, at the 2003 Brussels Spring European Council<sup>22</sup>. The SG HRM was initially formed to follow up the *Mobility Strategy*. In the context of the 3% objective and the *Career Communication* its mandate was broadened at the beginning of 2004 to oversee activities carried out in the context of the *Career Communication* and relevant actions contained in the *3% Investment Action Plan*. Given the broad range of matters covered by the SG HRM, its members are supposed to act as spokespersons for the national policies related to the mandate of the group. They thus have an active coordinating role at national level in order to make sure that the specific needs of researchers are duly taken into account, also in other government policy areas.

In 2004 the SG HRM met five times to discuss strategic issues, exchange good practice and monitor ongoing activities. One additional meeting was held as a joint meeting with the External Advisory Group on Human Resources and Mobility (EAG HRM) in order to discuss items to be included into the proposed Charter and the Code of Conduct. In addition to the meetings, written contributions were requested on relevant topics for the work priorities 2004.

The SG HRM reports annually on the work undertaken and the results achieved. This includes reporting to CREST as part of the implementation of the 3% Action Plan.

The current report covers the period from January 2004 until December 2004<sup>23</sup> and contains information about activities undertaken at European level and at the level of the participating countries. Compared to the first<sup>24</sup> and the second<sup>25</sup> implementation reports on the *Mobility Strategy*, it is broader in its scope and content owing to the wider policy setting of the *Career Communication*. Information regarding activities at national level relies entirely on input provided by the members of the SG HRM.

In addition, it should be mentioned that due reference will be made in this report to achievements and ongoing work at Community level on mobility in the areas of education and employment.

### **3. MAJOR ACHIEVEMENTS AND PROSPECTS**

In the course of 2004 the Commission launched the implementation of various initiatives proposed in the *Career Communication*, in conjunction with the stakeholders of the research community at large. These include the development of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers as well as the preparation of the “*2005 Researchers in Europe initiative*” as a broad awareness-raising campaign for research professions.

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<sup>22</sup> 20 and 21 March 2003.

<sup>23</sup> The chapter on return mechanisms for expatriate researchers is of more global character and goes in some parts beyond this reporting period.

<sup>24</sup> SEC(2003) 146 of 4.2.2003.

<sup>25</sup> SEC(2004) 412 of 1.04.2004.

As regards the *Mobility Strategy*, the achievements of previous years formed the basis for the development of further actions in 2004, namely improvements of a legal nature, mobility between industry and academia, enhancement of the knowledge base and further development of information and assistance tools.

### 3.1. National Policies to make Europe more attractive for researchers

#### Activities

European initiatives to remove obstacles to mobility and to create a European labour market for researchers have stimulated discussions at national level, leading to concerted actions and structured cooperation at national level.

*Austria* created a task force on human resources "*Plattform Humanressourcen*" in June 2004. It involves national representatives of the governmental and private sector and takes on a counselling function on strategic matters.

*Greece* - The implementation of EU researchers' mobility policy highlighted a wide range of relevant and controversial issues within government (policy-making), academic and business circles at national and regional level in Greece. The discussions on mobility obstacles and the Charter/Code led to internal consultations, bringing together civil servants and experts with initially diverging views and policies from four different Ministries and Agencies (Foreign Affairs, Interior, Public Order, Development/R&D), on inherent weaknesses and the need for reform (institutional, legal, social, perceptual, etc.) in order to facilitate real geographic and inter-sectoral mobility, as well as to open up the Greek R&D system in general.

*Slovenia* - Several debates were held with a view to developing new approaches that encourage the mobility of researchers, including a round-table discussion on the issues of building a knowledge-based society<sup>26</sup>.

In the course of 2004 a number of countries defined new research policy objectives which include researchers' mobility and researchers' careers among the priorities.

*Belgium* - The policy letter 2004-2009 of the new Flemish minister responsible for science and technological innovation policy underlines the crucial role of human capital for the R&D system. Specific measures are announced to increase the attractiveness of Flanders for researchers from abroad, to attract back Flemish researchers working outside the country, and to stimulate mobility between academia and industry. In the Community Policy Statement and regional Policy Statement for 2004-2009, the Government of the French Community of Belgium and the Government of the Walloon Region respectively announce specific projects to encourage geographical and inter-sectoral mobility of researchers.

*Czech Republic* - In January 2004 the Government of the Czech Republic approved the "National Research and Development Policy of the Czech Republic for 2004-2008", which formulates the strategy of the state's R&D policy from a medium-term perspective. Human resources is one of the chapters of this policy which specifically emphasises education, mobility of researchers and the attractiveness of research careers.

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<sup>26</sup> Held in Ljubljana on 21 January 2005.

*Hungary* - Act No. CXXXIV of 2004 on Research and Development and Technology Innovation came into force on 1 January 2005, providing a legal framework for R&D and innovation. One of its major goals is to promote and strengthen the co-operation between industry and academia by encouraging staff-exchange and by enabling researchers in permanent positions at public research institutes/universities to run or work for spin-off companies.

*Poland* - In December 2004 “The National Science, Technology and Innovation Policy until 2020” was approved by the Government. It provides for the establishment of a common human resources platform for all public research sectors, stresses the essential role of researchers’ education and training and recommends competition as a general principle for researchers’ careers.

*Slovakia* - Several important documents and acts devoting significant attention to mobility and human resources in research have been drafted and are currently at the consultation stage. The new “Act on Organising State Support for Research and Development” is of particular importance. It will be submitted for further negotiation to the Government of the Slovak Republic and will have an indirect impact on the mobility of researchers.

The findings of studies and reports undertaken in a number of countries further support the view that more investment is needed for human resources in research.

*Denmark* - A report on Growth in Denmark<sup>27</sup> focuses on the fact that highly skilled, foreign personnel contribute to growth. Calculations indicate that one highly skilled foreign employee creates two new jobs in Denmark. It is expected that the report will present an opportunity for considering possible initiatives, including having the government look at how awareness of Denmark abroad can be increased and continuously reviewing whether there is a need to adapt Danish rules in order to attract more highly skilled employees from abroad.

*Ireland* - The government has proved its commitment to developing a knowledge-based economy and society by increasing the public investment in R&D from €27m in 1997 to €430m in 2003. Over the last four years this investment has enabled Irish universities to build up research infrastructure and double the output of PhD candidates. This has been a very successful venture, as was concluded in a recent international evaluation of this research investment<sup>28</sup>. This report recommends greater focus on the education & training of postgraduate students and facilitating research careers. Ireland’s higher education system has recently been the subject of review by the OECD<sup>29</sup>. Among the 52 recommendations of the OECD review team there is a strong focus on research careers. The team recommended that, in order to develop truly international research universities, Ireland must double the number of PhD candidates. Establishing national Graduate Schools for PhD training will address one of the key recommendations of the OECD Review.

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<sup>27</sup> The Ministry of Economic and Business Affairs, October 2004 – in Danish only.

<sup>28</sup> PRTL Impact Assessment, September 2003 ([www.heai.ie](http://www.heai.ie)).

<sup>29</sup> OECD Review of Higher Education in Ireland, September 2004, (<http://www.education.ie/home/home.jsp?maincat=22823&pcategory=21617&ecategory=21869&language=EN&link=&page=1>)

In a number of new Member States particular measures and incentives were launched to open up the national research system and to make the country more attractive for foreign researchers.

*Cyprus* - As from 2004, a new measure has been introduced to further encourage participation by research institutions from the EU; more specifically, an additional 10% of the project budget is allocated to projects that include an EU-based research institution as a partner. The participation of researchers or research organizations in national research programmes will be further facilitated with the publication of calls for proposals in both Greek and English, with the start of the new national Framework Programme in November 2005.

*Estonia* - Universities have started to hold international competitions for opened positions (researchers, post-doctorals, teaching staff). Additional funding for the mobility of academic personnel is being requested from the EU structural funds to offer new long-term positions to high-level specialists.

*Slovenia* - The Young Researchers' Programme which has been implemented successfully in Slovenia since 1985 was opened for the first time to foreign postgraduate students, having previously been solely for Slovene citizens. In addition, the new public fund "Ad Futura" started to advertise fellowship programmes that will offer foreign researchers the possibility of working in Slovenia.

### Prospects

A number of policy decisions have been taken by the participating countries that reflect an increased awareness of the issues of a researcher's mobility and career. One of the future activities envisaged is the monitoring of these actions, in particular in terms of their effective implementation and the results they generate.

## **3.2. Promoting the profession and career of researchers**

### *3.2.1. European Charter for Researchers and Code of Conduct for the Recruitment of Researchers*

#### Background and rationale

One key prerequisite for the effective realisation of greater investment in research and, in particular the activation of private investment, is the availability of large numbers of well trained and motivated researchers. This presupposes that Member States are making the necessary targeted efforts to provide researchers with attractive long- term career prospects by improving the employment and working conditions and by introducing transparency in the recruitment process.

One of the actions proposed in the *Career Communication*<sup>13</sup> that was also addressed in the Council Resolution of 10 November 2003<sup>15</sup> is the work towards the development of a European Charter for Researchers and a Code of Conduct for the Recruitment of Researchers.

## Activities undertaken by the Commission and at national level

It was decided in early 2004, that the development of these two instruments should be undertaken through a bottom-up approach by engaging multiple stakeholders in the research community and governments in a broad-based consultation process.

This was done in particular through the members of the SG HRM and the members of the External Advisory Group on Human Resources and Mobility (EAG HRM).

Besides, additional consultations took place throughout Europe via targeted seminars, workshops or ad-hoc meetings in Brussels, which involved organisations such as EURODOC<sup>30</sup>, the Marie Curie Fellowship Association (MCFA), Euroscience, the European University Association (EUA), the European Industrial Research Management Association (EIRMA), as well as representatives from trade unions such as EUROCADRES and the European Trade Union Committee for Education (ETUCE).

Many stakeholders, including 19 of the participating countries<sup>31</sup>, provided input. The different documents were made available on a publicly accessible CIRCA website<sup>32</sup>.

Another milestone in this consultation were the two dedicated workshops on the “*Charter and the Code*” organised within the context of the Dutch presidency conference on “*Braingain – the Instruments*” in The Hague on 29 and 30 September 2004<sup>33</sup>.

A spin-off effect of the consultation process was that several Member States have launched national initiatives to further discuss these topics. National taskforces with stakeholders from the public and private sectors and trade union representatives were established in Austria, Ireland, Sweden and the UK, or seminars and dedicated workshops were organised (Belgium, Germany, Ireland, the Netherlands).

Based on this broad consultation process, the Commission prepared the final draft for a Recommendation from the Commission to the Member States on the European Charter and on a Code of Conduct for the Recruitment of Researchers<sup>34</sup>. It addresses Member States, employers, funding organisations and researchers, and provides them with an instrument to undertake, on a voluntary basis, further initiatives for the improvement and consolidation of researchers’ career prospects in Europe and for the creation of an open labour market for researchers.

On the one hand, the *European Charter for Researchers* addresses the roles, responsibilities and entitlements of researchers and their employers or funding organisations and aims at ensuring that the nature of the relationship between these parties is conducive to successful performance in the generation, transfer, sharing and dissemination of knowledge and technological development and to the career development of researchers.

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<sup>30</sup> <http://www.eurodoc.net/workgroups/supervision/Eurodocsuptrain.pdf>

<sup>31</sup> Austria, Belgium, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Israel, Netherlands, Norway, Poland, Portugal, Spain, Sweden, United Kingdom.

<sup>32</sup> <http://forum.europa.eu.int/Public/irc/rtd/rescareer/library>

<sup>33</sup> See conclusion available on : <http://www.braingain-instruments.nl>

<sup>34</sup> C(2005) 576 of 11.3.2005.

On the other, the *Code of Conduct for Recruitment* refers to the recruitment procedures and seeks to improve the selection and career progression processes, including different ways of judging merit.

### Prospects

Taking into account the various items specifically mentioned in the Recommendation addressed to the Member States, the employers, funders and researchers, the Member States are also invited to establish the necessary monitoring structures in order to review this Recommendation on a regular basis as well as to measure the extent to which employers, funding organisations and researchers have adopted and implemented the proposed instruments. The criteria for measuring this will be worked out and agreed with the Member States in the context of the work undertaken by the SG HRM and guided by the principles of the Open Method of Coordination.

#### 3.2.2. *The 2005 Researchers in Europe initiative*

### Background and rationale

The Commission, together with the participating countries, has decided to launch a wide-ranging awareness campaign in order to enhance the public recognition of researchers in Europe.

The specific objectives of the Initiative are:

- to improve and promote a better public understanding of the researchers' profession as well as their contribution to society, in terms of innovation, job creation, competitiveness and economic growth;
- to encourage more young people to embark on careers in R&D and contribute thereby to increasing the number of researchers in Europe;
- more generally, to contribute to the overall attractiveness of the EU as a reference area for research talent from all over the world and raise awareness of the potential of the European Research Area as a European Employment market for researchers.

The Initiative will offer a global platform where all stakeholders are involved – students, teachers, parents, universities, businesses, research organisations, public authorities, foundations etc. – will have the opportunity to express and exchange views on the contribution of researchers to society, and the need to foster the researcher's profession Europe-wide. All areas of research and all types of research investigation (public and private, academic and industry-based research) will be duly involved.

### Activities undertaken by the Commission in cooperation with participating countries

2004 was a preparatory year to develop the concept for running the initiative in close cooperation with the members of the SG HRM.

Conceived as a broad and multi-faceted public awareness operation, the 2005 'Researchers in Europe' Initiative will be structured around three main pillars:

- events organised at European level, including: a European launch event on 8 June, under the Luxembourg Presidency of the EU; a pan-European Researchers’ Night on Friday, 23 September; and a large-scale closing conference and event bringing together the conclusions and recommendations put forward during the Initiative,
- activities set up by organisations acting at local, regional, national and international level. These activities have been proposed in the framework of an open call for proposals (FP6-2004-Mobility-13), which was published in the European Community Official Journal on 11 September 2004, with a closing date of 2 December 2004,
- lastly, activities organised in the context of large-scale events (science festivals, science weeks etc), where organisers agree to devote part or all of their 2005 session to the themes of the Initiative. Partnerships created under this group of projects may take various forms – exchange of information, stands, conferences, science cafés, granting of the ‘Researchers in Europe Initiative’ label etc. Specific attention will be devoted in this respect to creating synergies with events organised as part of the International Year of Physics.

### Prospects

The Initiative, initially presented as the European Year of the Researcher, will extend from June to November 2005, covering a wide range of events in all 33 participating countries.

The idea of proposing a European-wide Initiative focusing on researchers is expected to attract considerable attention and impact. The ongoing debate in several EU countries about the funding of research often encompasses the issue of human resources and the impact of researchers on society.

The current interest generated by the human resource debate paves the way consequently for a potentially considerable outreach, with extended opportunities for further raising public awareness and implications for policy. It concerns above all a large range of possible actors and opens up an opportunity to engage the public at large, including the media, in this debate.

In this context, and considering that an improved mobility of workers in general would make a substantial contribution to the competitiveness of the European Economy, the Commission proposes to establish 2006 as the “European Year of Workers’ Mobility – Towards a European Labour Market”.

The European year would consist of a co-ordinated series of awareness-raising measures, combined with the further study of areas currently lacking in information. The activities would take place at both EU and national level and would involve a large number of stakeholders (public authorities, social partners, businesses, universities, foundations, associations etc.).

#### *3.2.3. Mobility between academia and industry*

##### Background and rationale

Obstacles to inter-sectoral mobility include the transfer of pensions and social security rights, the loss of acquired benefits and professional status, the different cultures regarding, on the

one hand, confidentiality of research results and intellectual property protection and, on the other, the pressure of publication for evaluation and career development.

Recently, the conclusion of the thematic workshop “*Stimulating science-industry interaction through inter-sectoral mobility*”, during the Dutch presidency conference “*Investing in research and innovation*”<sup>35</sup> acknowledged that inter-sectoral mobility is a much broader issue than merely the physical movement of researchers in both directions between academia and industry. Although a change of structures and attitudes for shared knowledge and experience is necessary, there are already some examples of good practice. As a first step, the European Commission was encouraged to make an inventory of these good practices.

Similarly, the report by the high-level group on human resources for science and technology in Europe, chaired by Prof. Gago, expressed in one of its recommendations the need for “*incentives for transfer pathways for staff between industry and academia. This should also facilitate movement in both directions, enhancing the career structures of both organisations as well as ensuring better knowledge transfer. This culture needs to be promoted and can only be achieved by incentives to both organisations and staff*”.

#### Activities undertaken by the Commission and at national level

In May 2004 the members of the SG HRM were invited to fill in a questionnaire entitled “*Legal and financial instruments that facilitate inter-sectoral mobility*” with the aim of identifying examples of programmes and incentives that the participating countries have put in place to stimulate inter-sectoral mobility. Twenty-four contributions were received<sup>36</sup> and discussed with the SG HRM and the EAG HRM. The broad range of instruments reflects different traditions when designing instruments promoting inter-sectoral mobility. The most promising ones provide for pathways between academia and industry that promote research careers as a whole.

#### Prospects

The work pursued so far by an extended meeting of the SG HRM on inter-sectoral mobility<sup>37</sup> with the participation of national experts has allowed an exchange of good practices on inter-sectoral mobility with the twofold objective of creating a policy roadmap for 2005 and highlighting the most promising schemes and actions that promote career choices. It was decided to set up expert groups to work during 2005 on the following issues and suggest actions to be taken by the SG HRM:

- Knowledge and skills development,
- Career appraisal
- Remaining legal and administrative obstacles to mobility
- Structuring initiatives.

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<sup>35</sup> <http://www.senter.nl/asp/page.asp?id=i000000&alias=investinginresearch>

<sup>36</sup> Austria, Belgium, Czech Republic, Denmark, Estonia, Finland, France, Greece, Hungary, Ireland, Israel, Italy, Latvia, Lithuania, Luxembourg, Netherlands, Norway, Poland, Portugal, Slovakia, Spain, Sweden, Turkey, United Kingdom.

<sup>37</sup> Held on 31.1.2005.

### Other relevant Community activities in the field

DG Enterprise organised in December 2004 a workshop on “*Human Resources and Skills for Innovation*” in the context of the Trendchart<sup>38</sup>. The general objective of this workshop was to look at some of the key issues and drivers of human capital and skills development for innovation.

#### 3.2.4. *Using the potential of European expatriate researchers*

##### Background and rationale

Both at Community and at national level efforts are being reinforced to attract European researchers back or to stimulate cooperation and exchange with them.

##### Activities undertaken by the Commission

The network project of European researchers in the U.S. *ERA-Link* (European Researchers Abroad Link) stems from the idea that the many thousands of European researchers who work in the U.S. are not a loss but an asset, a potential that is largely unrecognised; and that one way to organise this potential and meet their needs is to build links for communication and networking among themselves and across the Atlantic.

ERA-Link will keep European researchers in the U.S. informed about research in Europe: its ambitions and its efforts; its evolution and its achievements; its strategy for a more integrated and dynamic European Research Area; its new opportunities for research funding, for international collaboration and for trans-national mobility.

In order to better define the features of the network and the services to be provided within it, a survey of potential users, involving a representative sample of European researchers in the US, was developed in conjunction with Directorate-General for Research (DG Research), the EU Delegation and EU Member State Science and Technology Counsellors in Washington. The survey, conducted online during October and November 2004, was promoted throughout the U.S. and Europe with the cooperation of the members of the SG HRM and many stakeholders of the research community. At the close of the survey, a total of 1912 researchers had completed the questionnaire<sup>39</sup>. These researchers represented over 33 different European nationalities and are presently working in all 50 American states.

The responses on actual and potential information needs show that a large majority (93%) wish to enhance their contacts with European research institutions and almost as many (85%) view the creation of ERA-LINK very positively. As for the type of information that the network should provide, those that attract the highest number of responses are “Sources of research funding in Europe” (91%) and “Research opportunities in European academia and industry” (88% and 72% respectively); also in strong demand are “scientific conferences (83%) and “visiting professorships” in Europe (82%). The possible information vehicles and types were generally considered to be helpful or very useful, with a clear preference for

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<sup>38</sup> For practitioners a platform has been developed to provide more information on the theme and links to country specific documents. [http://trendchart.cordis.lu/ws\\_overview.cfm?ID=4](http://trendchart.cordis.lu/ws_overview.cfm?ID=4)

<sup>39</sup> The full report of the results of the survey can be found on-line at:  
<http://eurunion.org/legislat/STE/STEHome.htm>

customisation. The results of the survey are available at: <http://www.eurunion.org/legislat/STE/ERALink.htm>

### Activities undertaken at national level

Recognising the potential of expatriate researchers, a number of countries have implemented particular measures to attract their own nationals back. Although focusing on recent initiatives, some parts of this chapter go beyond the reporting period.

Several countries have developed databases or organisations of expatriate researchers.

*Austria* - As a strategic interface between the national innovation systems of Austria and the USA, the Office of Science & Technology ("OST") supports the Austrian scientific community in North America, informs the scientific community in Austria about R&D trends & policies in the USA and promotes new transatlantic co-operations in R&D. This includes, among others, the development and support of a network of Austrian scientists and researchers in North America.

*Belgium* – Through its Permanent Representation in Washington DC, Flanders is studying the possibilities of setting up a network of Flemish expatriate researchers in the U.S. In May 2004 the Vrije Universiteit Brussel (VUB) has created a VUB Alumni Association in America<sup>40</sup>, which is the first of its kind for a Flemish university.

*Cyprus* – The Research Promotion Foundation (RPF) maintains a database to keep track of expatriate researchers (currently 400 entries). These researchers are kept constantly informed about activities of the RPF activities and opportunities to implement research in cooperation with Cypriot research teams.

*Germany* – The German Academic International Network (GAIN) is an interdisciplinary contact and information forum for German scientists and scholars in North America. The network provides this group with the opportunity to communicate with each other (Newsletter, annual meeting in the U.S., etc.) and to stay abreast of the latest developments in higher education and research in Europe and Germany. GAIN is a cooperation venture between the German Academic Exchange Service (DAAD), the German Research Foundation (DFG) and the Alexander von Humboldt Foundation (AvH).

*Greece* – The General Secretariat for Research and Technology maintains a database containing about 4 500 entries of Greek researchers working in or outside the country. This database is used mainly for evaluation and selection purposes.

*Hungary* – The Hungarian America Foundation Inc. has initiated a homecoming forum which consists of an annual meeting of young Hungarian professionals in the U.S., a publication to help those who decide to return and an online database of networking and job opportunities (Hunex Portal).

*Ireland* – The Irish Emigrant<sup>41</sup> is an online news resource for the extensive “expat” Irish community globally.

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<sup>40</sup> <http://www.vubaaa.org>

<sup>41</sup> <http://www.emigrant.ie>

*Italy – Da Vinci*<sup>42</sup> is an internet-accessible database set up by the Italian Ministry of Foreign Affairs that gathers data, voluntarily provided by its users, on the activities, research interests and competences of Italian researchers abroad.

*Luxembourg* – A database with currently 200 entries of expatriate researchers is managed by the Ministry for Research. This database is used for evaluation purposes.

*Slovenia* – Work on the establishment of a database of researchers living abroad is in progress; some data are already available at the Slovene Science Foundation.

Some countries have set up information and assistance services for this target group.

*Austria* launched the initiative “Brain power Austria” which aims at enhancing the innovation capacity of the country by helping top scientists who are currently living or working abroad to find attractive jobs in Austria.

*Hungary* – “Project retour” is an initiative run by volunteers that seeks to support the return of Hungarian scientists by counselling, networking and lobbying for measures against brain drain.

*Switzerland* – Swiss Talent is a network of highly skilled professionals living abroad, who are Swiss or have strong ties with Switzerland. Swiss Brains is a Swiss-based information and service tool for highly skilled citizens who live abroad and intend to return. There is also a Career Desk at the Swiss House for Advanced Research and Education in Boston, USA.

A number of countries have developed specific programmes or incentives to attract their own nationals back.

*Cyprus* – Within the Research Promotion Foundations Framework Programme 2003-2005, a specific programme has been designed for expatriate researchers. The Expatriate Researchers Programme seeks to attract distinguished Cypriot researchers living abroad and to recruit them for a specific period of time in a research organisation in Cyprus. The programme includes two action lines, targeted at experienced expatriate researchers and young expatriate researchers respectively.

*Czech Republic* – The Ministry of Education, Youth and Sports of the Czech Republic has established a programme “Support of early-stage researchers”, under which a sub-programme called “The fellowship of Rudolf II” has been set up to motivate and facilitate the return of young researchers after their long-term stay abroad with the aim to improve their working and financial conditions.

*Estonia* – The return of a researcher is a separate criterion used for increasing the funding of a research team in several national funding schemes (Centres of excellence, targeted financing of research topics in R&D organisations).

*France* – The “initiative post-doc” is aimed at facilitating scientific relationships with the best French post-docs working abroad and ultimately at preparing their return to the French national system of research and higher education.<sup>43</sup>

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<sup>42</sup> <http://www.esteri.it/db/davinci/index.asp>

*Greece* – The ENTER programme 2000-2006 was initially designed to repatriate Greek national post-docs in order to reintegrate them into the national research system. Now also non-Greek nationals are eligible if they work on a project in a Greek institution.

*Luxembourg* - One new and important incentive to stimulate the return of researchers is the creation of the University of Luxembourg, which aims to become a research-led university. It is hoped that, once the research areas are established and confirmed, Luxembourg researchers abroad will network their research institutes with the University of Luxembourg and/or return to the country. Luxembourg researchers working and living abroad are members of scientific and administrative boards of academic and research institutions in Luxembourg.

*Poland* – Since 2001 the Polish Science Foundation has awarded Reintegration grants to researchers funded by the Foundations Foreign Fellowships for young PhD holders or the Marie Curie Actions.

*Switzerland* - The Swiss National Science Foundation allocates Professorships to experienced researchers for up to six years. This funding opportunity is one of the instruments to re-attract researchers back to Switzerland

One country does not have particular difficulties in attracting researchers, including own nationals.

*Sweden* has a total net inflow (approx 2300 in and 1900 out, for the period 2000-2002) and the figures show a rather high rate of researchers returning back to Sweden. There is, however, a loss to U.S. and Switzerland for example, but a net inflow from most other OECD-countries.

## Prospects

The results of the ERA-LINK survey give clear encouragement to proceed quickly with the launch of the initiative. In early 2005 a feasibility study will define the technical requirements of the network and ensure full interoperability or integration with similar existing networks of European countries. A pilot phase should then enable the fine-tuning of network features, leading to the fully operational development of ERA-LINK by autumn 2005.

### **3.3. Removing legal obstacles**

#### *3.3.1. Entry conditions for third country researchers to Europe*

#### Background and rationale

Reiterated political mandates<sup>44</sup> have been given to the Commission to take any appropriate action to facilitate the entry of third country researchers to the European Community, which is one of the key actions to set up and develop a more favourable environment for mobile researchers.

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<sup>43</sup> [www.recherche.gouv.fr/appel/2004/programmepostdoc.htm](http://www.recherche.gouv.fr/appel/2004/programmepostdoc.htm)

<sup>44</sup> Lisbon conclusions, Council conclusions of 26 November 2002, and the resolution of 18 May 2000 on the Commission communication *Towards a European Research Area*.

In addition the *Kok report*, among the suggested urgent actions listed under its first priority area “Realising the knowledge society”, explicitly states that: “*More also needs to be done to facilitate the entry of researchers and their dependants from outside the EU through simplified, fast-track work permit and visa procedures*”.

#### Actions undertaken by the Commission and at national level

Further to preparatory work based on examples of good practice at national level, the Commission on 16 March 2004 issued a package of instruments on the admission of third country researchers comprising a proposal for a directive and two recommendations.<sup>45</sup>

The directive provides for a fast-track procedure for the “admission” (entry for more than three months to the European Community) of third country researchers. The main concept is to create a specific residence permit for third country researchers, where accredited research organisations will have to certify the status of the researchers in a “hosting agreement” which will acknowledge the existence of a valid research project, as well as the possession by the researcher of the scientific skills, financial means and health insurance.

On the basis of this hosting agreement, the migration authorities of the host country will rapidly issue the residence permit to the researcher. Once a residence permit is granted the researcher will be free to move within Europe for the purpose of the scientific project.

The first recommendation, which also concerns the “admission” to the EC, invites the Member States to accelerate on a voluntary basis the implementation of the directive and includes rules on exemption/acceleration of the procedure to issue work permits for researchers and the easing of the procedure for the stay permit. It also covers supplementary issues such as family reunification and the operational co-operation between Member States and the Commission.

The second recommendation, which focuses on short-term visas (entry for less than three months to the EC) is based on the consideration of researchers as *bona fide* travellers for whom it is suitable to facilitate the issuing of uniform visas, where necessary, for instance to participate at conferences, seminars, etc. This instrument concerns the rapid issuing of short-term visas (including multiple visas), the adoption of a harmonised approach on the supporting documents to visa applications and the reinforcement of consular co-operation.

The discussions within the Council and the European Parliament on the above instruments have been taking place in 2004 and in the beginning of 2005. The Commission has been closely co-operating with the other EU institutions and the Member States to balance security aspects of migration (and their consequent risks of excessive administrative burden) with the main competitiveness goal of making Europe more attractive for third-country researchers.

In November 2004 the Council achieved a general common orientation on the directive: taking into account the very sensitive context of debates on migration policies at EU and

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<sup>45</sup> “Communication from the Commission to the Council and the European Parliament on the presentation of a proposal for a directive and two proposals for recommendations on the admission of third-country nationals to carry out scientific research in the European community” COM(2004) 178 final of 16.3.2004, applicable to Schengen countries and Ireland (which “opted in”, while the United Kingdom and Denmark will not participate).

national level, most of the results achieved in the discussions can be considered as satisfactory.<sup>46</sup>

In particular, the following have to be viewed as a very positive outcomes: facilitated mobility within the Member States, the introduction of a provision on family reunification (which was not included in the original proposal), the guaranteed fair social security treatment of third country researchers, the removal of the need for work permits, and balanced financial liability of research organisations (in case of illegal stay of researchers)<sup>47</sup>.

In June 2004 the Council had already reached a common orientation on the two recommendations.

#### Activities undertaken at national level

*Czech Republic* - The Czech Ministry of Education, Youth and Sports of the Czech Republic (MEYS) as a part of its overall approach to the actions proposed by the Commission in its Communication "Investing in research", selected a number of priority measures, which include the gradual preparation of the implementation of the Council Directive on the admission of third-country researchers.

*Germany* – A new Immigration Act came into force on 1 January 2005. This act amends the administrative procedures as well as the legislative possibilities. It contains special regulations for students and highly qualified researchers and facilitates the mobility of third country researchers in many aspects.

*Luxembourg* - In June 2004, the migration authorities together with the Luxembourg Ministry for Culture, Higher Education and Research launched a new scheme for admission of third-country nationals to the Luxembourg territory for the purpose of studies and research (doctoral candidates). This new scheme aims at simplifying the formal admission and residence procedures.

#### Prospects

With regard to the improved legal framework, prospects are twofold: firstly, as regards the legislative procedure for the adoption of the aforementioned instruments, after the opinion by the European Parliament scheduled for April 2005, both the directive and the first recommendation could be formally adopted. The first recommendation will then come immediately into force, while the Member States will have up to two years to transpose the directive into their national law.

For the second recommendation on short-term visas the co-decision procedure applies, and therefore a longer time schedule for its final adoption is likely<sup>48</sup>. The Commission will closely

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<sup>46</sup> In the admission areas unanimity applies, which can result in choices of compromise between different positions of the Member States, in particular as regards sensitive issues.

<sup>47</sup> However, in a declaration attached to the directive the Commission expressed its regrets for the absence of a fixed deadline (30 days) for processing applications for admission and the lack of a more general possibility for third-country nationals holding a residence permit to submit applications whilst remaining legally.

<sup>48</sup> There is a different legal basis for, on one side, the first recommendation and the directive, to which Article 63(3)(a) and (4) of the TEC applies (i.e. the procedure implies the unanimity by the Council and

follow the negotiations by co-operating with the EU institutions involved to achieve rapid approval of this instrument.

With reference to the actual implementation of the directive and the first recommendation by the Member States, the Commission will strongly support any appropriate action by the Member States, taking into account the urgent need to create the conditions to achieve the Lisbon objectives. Thus, under the OMC joint actions between the Commission and the Member States, through the SG HRM could greatly ease a smooth and rapid implementation of the instruments concerned.

#### Other relevant Community activities in the field of immigration in 2004

With reference to other legal instruments in the immigration area with a possible positive impact on the mobility of researchers, the *proposal for a Directive on the conditions of entry and residence of third country nationals for the purposes of studies*<sup>49</sup> was politically approved by the Council in April 2004. The opinion by the European Parliament was issued, and the formal adoption of the instrument should come in the near future.

Also to be mentioned, the proposal for a *Directive on the conditions of entry and residence of third country nationals for the purpose of paid employment and self-employed economic activities*<sup>50</sup>, where a specific provision allows Member States “in the absence of specific provisions of Community law” to “maintain or introduce more favourable provisions regarding (...) researchers and academic specialists”, is still under discussion.

#### 3.3.2. *Coordination of social security schemes*

##### Background and rationale

Social security still represents an important barrier to mobility: the *Kok report*, makes direct reference to “...obstacles related to social security entitlements...” to be reduced if sufficient chances to approach in time the political and macro-economic Lisbon objectives as regards human resources are to be realistically kept.

The consolidated EU *acquis* on social security matters covers all citizens, including researchers. However, there is a lack of specific legislation on researchers as such and, moreover; researchers do not belong to a single recognised category of workers. Thus, their status and consequently often their social security treatment, changes according to the sector (public or private), area of interest, and type of contract held by the researcher (employee, student, etc.).

Among the major obstacles to mobility in the area of social security, transferability of supplementary pension rights is one of those which deserve the greatest attention and commitment by the Member States and all research stakeholders. Problems linked to minimum age conditions, “waiting and vesting periods<sup>51</sup>”, and transfer of acquired rights to

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the (non-binding) opinion by the European Parliament); and, on the other side, the second recommendation that is based on Article 62 (2) TEC and requires the co-decision procedure.

<sup>49</sup> COM(2002) 548 final of 7.10.2002.

<sup>50</sup> COM(2001) 386 final of 11.7.2001.

<sup>51</sup> “Waiting periods” are periods of employment after which an employee becomes a member of an occupational pension scheme; “vesting periods” are minimum periods of scheme membership entitling a person to be recognised as an early leaver.

another Member State's pension scheme still present great difficulties for mobile researchers. Indeed, in certain Member States researchers have to remain with the same employer for many years before being entitled to a supplementary pension. If the researcher has to move before that period, he/she will not have acquired any pension rights.

Finally, not all Member States reassess (uprating in line with inflation) dormant acquired rights, left by an employee when moving to another job, to ensure that they are inflation-proof. It is not always possible to transfer pension rights between schemes of different types, or to a scheme in another Member State.

#### Activities undertaken by the Commission and at national level

In 2004 an inquiry<sup>52</sup> was carried out by DG Research as a fact-finding exercise about the nature of problems encountered by mobile researchers as regards social security and taxation. This was aimed at stimulating reflection about possible measures to be undertaken to overcome the most significant problems: in the course of a meeting with the SG HRM held in Brussels in June 2004, the main outcomes of the inquiry were as follows:

- (1) Some complaints on social security issues which are often raised by individuals/research organisations and experts in various forms could be easily prevented or solved by efficient national information and assistance systems for researchers. This would really allow some of the current problems researchers face when moving to be minimized. Such systems should obviously also include adequate training of competent local administrations as well as research organisations' staff. This aspect was confirmed by an informal inquiry made by the Marie Curie Fellowship Association<sup>53</sup> among its members.
- (2) The main legal problem is the heterogeneous status – employee, self-employed, student, etc. – of researchers within the Member States. This entails different social security and taxation regimes and consequently obstacles to the transferral of rights, in particular pension rights (e.g. cumulating contributions, waiting and vesting periods) in case of the geographical/sectoral mobility of researchers.

This information was supplemented by further inquiries made together with research networks, such as the National Contact Points HRM for the 6th Framework Programme, the ERA-MORE Mobility Centres network and its Bridgehead organisations.

*Ireland* - A Study was initiated in 2004 with Department of Social Community and Family Affairs on the status of PhD students in Ireland regarding the potential to cover this group of researchers for Social Security.

*Germany* – Under a new pension law that entered into force on 1 January 2005, there are new rules for the transfer of complementary pension rights. According to this law, in principle, an employee can ask his/her employer for the value of his/her complementary pension rights to be transferred to his/her new employer.

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<sup>52</sup> A short questionnaire was sent to the SG HRM and frequent informal contacts/exchange of information took place. Answers were received from Belgium, Czech Republic, Denmark, Estonia, Finland, Hungary, Ireland, Israel, Norway, Poland, Portugal, Spain, Sweden, Switzerland, Turkey, United Kingdom.

<sup>53</sup> <http://www.mariecurie.org/>

## Prospects

The Commission has recognised the negative implications a reduced portability of supplementary pension rights can have on the mobility of workers, including researchers. It has consulted the European social partners at two occasions<sup>54</sup> and suggested to them to negotiate a European collective agreement in this field. However, the social partners have diverging opinions on the need to start negotiations and will therefore not negotiate at this stage. The Commission is therefore currently preparing a proposal for a Directive improving the portability of supplementary pension rights.

DG Research will closely monitor any developments in this respect, in order to ensure that if such a proposal is issued, the specific needs of mobile researchers are duly taken into account. If any action is required, it will be taken in close consultation with the SG HRM.

Moreover, after having processed all the information it had received on social security problems linked to mobility of researchers, DG Research has drawn up a detailed list of actions that can be undertaken at EU and/or national legislative, administrative and training/information level.

The SG HRM is being consulted on those initiatives in order to make them as complete as possible and will be asked to play a prominent role in raising awareness on, and supporting the implementation at national level of the agreed actions.

## Other relevant Community activities in the field of social security

Significant results have been achieved in a number of areas which may have a possible impact on the mobile researcher:

On 29 April 2004 the Council adopted the *Regulation 883/2004 on the coordination of social security systems, which aims to reform and simplify Regulation (EEC) No 1408/71 on the application of EU social security systems*<sup>55</sup>. This new Regulation, which will replace Regulation 1408/71, is to simplify and improve the co-ordination of social security schemes: it will apply to all EU nationals who are insured under national law, whether they are employed, self-employed, students, civil servants, pensioners or indeed non-active (whilst Regulation 1408/71 only applies to economically active people)<sup>56</sup>.

In addition to the consultation of the Social partners as regards the portability of supplementary pension rights, Member States were consulted on the practical application of the Directive 98/49 on "Safeguarding the supplementary pension rights of employed and self-

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<sup>54</sup> Communication of the Commission "First stage consultation of social partners on the portability of supplementary pension rights" (SEC(2002)597). Communication of the Commission "Second stage consultation of social partners on measures to improve the portability of occupational pension rights". (SEC(2003)916

<sup>55</sup> Regulation (EC) no 883/2004 of the European Parliament and of the Council of 29 April 2004 on the coordination of social security systems OJ L 166 of 30 April 2004.

<sup>56</sup> Other added values of the new Regulation are, for instance, that residence in the concerned Member State will no longer be required in order to invoke the principle of equal treatment of foreign workers vis-à-vis nationals; then, rules on cross-border situations will be clearer, as workers will be insured in the Member State where they work, regardless of where they reside; moreover, more favourable and easier rules on cross border health care will be in force, etc.

employed persons moving within the EU”<sup>57</sup>. At the beginning of 2005 it will be possible for the Commission to decide whether any legislative and/or other actions at EU level are appropriate in these areas. Since 1 June 2004, in several EU countries the *European Health Insurance Card* has replaced the paper forms previously needed for access and reimbursement of health care during a temporary stay in a Member State, except for the insurance form.<sup>58</sup>

The proposal for a Regulation of the European Parliament and the Council amending Council Regulation (EEC) No 1408/71 on the application of social security schemes to employed persons, to self-employed persons and to members of their families moving within the Community and Council Regulation (EEC) No 574/72 is still under discussion (the Council adopted a common position in November 2004, while the European Parliament has still to express its position).<sup>59</sup>

### 3.3.3. Taxation

#### Background and rationale

The political mandate given to the Council and the Commission, together with the Member States where appropriate, to improve the environment for private research, R&D partnerships and high technology start-ups includes the use, among other things, of tax incentives.

As competence for taxation lies principally with the Member States, the scope and ambition of initiatives to be proposed at European level is limited. However, throughout 2004 DG Research explored what realistic initiatives could be undertaken to at least reduce the most serious taxation obstacles affecting the mobility of researchers.

#### Actions undertaken by the Commission and at national level

In parallel with the request for information on social security matters sent in spring 2004 to the participating countries, the SG HRM members were also asked to provide information on some aspects of taxation, in particular on measures concerning any personal income tax rebates for researchers<sup>60</sup>. It has to be recalled that in the context of the 3% objective, the “CREST report” made an in-depth analysis of the state of play, as regards fiscal measures

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<sup>57</sup> Directive 98/49/EC, OJ L209 of 25 July 1998.

<sup>58</sup> Decision 189, 190 and 191 of the Administrative Commission on Social Security of Migrant Workers (Official Journal L276 of 27 October 2003) and the Regulation (CE) N. 631/2004 (Official Journal L 100 of 6.04.2004, p.1) amending Regulation (CEE) N. 1408/71 and 574/72.

<sup>59</sup> COM(2003)73 of 17.02.2003. The proposal seeks to update these Community Regulations in order to take account of changes in national law and to clarify the legal position concerning certain Articles of the said Regulations. It also seeks to take account of recent developments in the case law of the Court of Justice of the European Communities, in particular rulings concerning the identification criteria for special non-contributory cash benefits subject to specific coordination (which are non-exportable if they meet the above-mentioned criteria and are entered in Annex IIa of the Regulation), as well as rulings concerning the relationship between the Regulation and the provisions of bilateral social security agreements (which will continue to apply if they meet the requirements for inclusion in Annex III of the Regulation).

<sup>60</sup> Answers were received from Belgium, Czech Republic, Denmark, Estonia, Finland, Hungary, Ireland, Israel, Norway, Poland, Portugal, Spain, Sweden, Switzerland, Turkey, United Kingdom.

adopted at national level to promote research, with particular reference to fiscal measures for firms.<sup>61</sup>

It is apparent that any fiscal policy for research needs, first of all, a strong targeted approach (e.g. to address the needs of each type of firm, according to their size, administrative structure, purposes, etc.) and, thus, a “one size fits all” approach should be avoided; second, for any fiscal incentive to be considered attractive by firms it must be simple, transparent and unambiguous in its application. In all Member States the place of residence is the main reference for taxation laws. Usually, foreign and national researchers are treated equally, under the general condition that foreigners must stay a minimum period of time in the Member State concerned (often 6 months or 1 year).

Bilateral tax agreements are important as they give the researcher the possibility to decide whether to be taxed according the host or the home country, in order to avoid double taxation (however, such a possibility is usually limited to periods of time up to 1 or 2 years in the host country).

Finally, the information gathered also showed that specific problems encountered by fellows, for instance under EU-funded programmes, also include practical complications when dealing with the local administration.

At national level, it was noted that most Member States use fiscal R&D incentives to allow companies to reduce researchers’ tax payments as a reward for carrying out innovative activities, whereas only a few countries have taken specific measures to provide personal income tax rebates for researchers. Both types of measures are so recent that few reliable impact assessment studies have been carried out. One of the major difficulties which prevent impact assessment of such fiscal measures and, consequently, prevent comparison of the different national systems, is the lack of a single (or a comparable) clear definition of R&D. The following main initiatives can be mentioned:

*Belgium* - The Belgian Federal Government adopted a tax measure, which reduces by 50% the advance levy to be paid by the employer. The scheme has been in operation since October 2003 for the universities, the schools of higher education and the two Belgian Research Councils (FWO Vlaanderen and FNRS). It was substantially widened in July 2004 and now includes a whole series of public research institutes.

*Denmark, Finland and Sweden* - In order to overcome the shortage of researchers, Denmark, Finland and Sweden have personal income tax allowances for foreign employees, including those working in R&D. In all cases the schemes are open to “key staff” which is a wider group than R&D personnel alone.

*Netherlands* - In the Netherlands the fiscal incentive scheme *WBSO* reduces the wages cost of R&D. Here the R&D rebate entails a reduction of the total amount of wage tax and social security contributions that a company has to deduct from its employee’s salaries. In a country with high income tax levels and high social security premiums, for employees and employers, this kind of allowance has a direct impact by lowering the R&D labour costs.

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<sup>61</sup> CREST report on the application of the open method of coordination in favour of the Barcelona research investment objective.

## Prospects

In parallel with the proposals made on social security, DG Research has proposed a detailed set of initiatives at legislative, administrative and practical level, to be implemented by the Member States under the OMC. These actions include the clarification and simplification of relevant legal texts, the minimisation of differences of taxation regimes within and between Member States for the same kind of contracts/fellowships, and the simplification of the administrative procedures. It is unrealistic to imagine harmonisation of the taxation regime for researchers throughout Europe. Efforts in this area will instead be focused on the ambition of better informing researchers when they move countries.

The SG HRM is being consulted on the aforementioned actions to make them as complete as possible and will be asked to play a relevant role in raising awareness of, and supporting the implementation at national level of agreed actions.

### **3.4. Enhancing information and assistance for mobile researchers and their families**

#### *3.4.1. The European Researcher's Mobility Web portal*

##### Background and rationale

To improve access to adequate information on available programmes and opportunities as well as on questions related to entry conditions, access to employment, social security rights, taxation or cultural aspects of the host country the European Researcher's Mobility Portal was launched in its pilot version in July 2003 and is available on <http://europa.eu.int/eracareers>. It is a shared initiative between the Commission and the participating countries and is complemented by a number of national portals.<sup>62</sup>

##### Activities undertaken by the Commission

In order to promote the pan-European Portal, the Commission continued to emphasise the need for the development of national mobility portals, which would reflect and build on the content and functionalities offered by the European portal. The ultimate objective is to reach full interoperability of the different web sources, promoting pertinent information to researchers at national or European level. There have been continuous bilateral contacts with the responsible colleagues in the different Member States on this matter.

In addition, the Research Job Opportunity Editor (the RJOE), which enables data exchange related to job advertisements is now running successfully with several countries and can be obtained free of charge from the Commission. As the European Portal is more widely known, its services are better used, in particular the opportunity offered to research organisations (public and private) inside and outside Europe to advertise for free research job vacancies. About 100 new job vacancies per month are currently on view on the portal and there is a constant increase in the number of research organisations making use of this service and also in the number of researchers, who can post their Curricula Vitae on the portal free of charge. The number of page views per month is also constantly increasing, the average being about 150.000 per month.

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<sup>62</sup> 19 are already available: Austria, Belgium, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Iceland, Ireland, Italy, Netherlands, Poland, Portugal, Slovakia, Spain, United Kingdom

## Activities undertaken at national level

The development of national mobility portals is accepted as a priority action by most of the participating countries. The majority have agreed to foster integration as regards a common URL (mentioning “eracareers”), the structure, content and possible exchange of data between these national portals and the European portal; others, however, have opted for a lower level of interoperability. The national portals form an integral part of the European portal<sup>63</sup>.

The respective national portals/web sources are part of the various proposals put forward to the Commission as part of the structuring of the national mobility centres. Their full development is essential for successful implementation of the *Mobility Strategy* at both national and European level.

## Prospects

There is a constant need to monitor the quality of the information provided. Therefore, further development of the commonly agreed “quality culture” at both European and national level is needed. The Commission will continue to hold regular meetings with experts from the research community in order to obtain structured feedback on the quality, added value and necessary technical adjustments. Future developments include the integration of multilingual features, developing the international dimension and enhancing the feedback functionalities. Other improvements are planned as regards quality checking of existing links, identification and collection of new links and the development of more integrated interactive parts, such as a newsletter.

## Other relevant Community activities in the field of information

In mid February 2005 the European Commission launched the new “Your Europe” portal, which aims to become the central access point to information on cross border activities and access to e-services. Target audiences are EU citizens and businesses. The citizen part of this portal - which constituted the former “Dialogue with citizens” website - provides citizens with detailed practical information on their rights and opportunities in the EU (for example, information on living and working in another EU country, on social security issues, recognition of qualifications, consumer protection, etc.). It also contains a specific fact sheet for researchers on the following link:

<http://europa.eu.int/youreurope/nav/en/citizens/factsheets/eu/recognitionqualifications/researchers/en.html>

EU researchers can make use of the Citizens’ Signpost Service<sup>64</sup>, a European network of legal experts, which provides personalised advice on particular problems they may encounter when exercising their rights in practice. Since 1 May 2004, this service is also available to citizens from the new Member States and today covers all 20 EU languages. Replies are normally provided within 3 working days.

Cooperation has also been established with the following European Portals:

- CORDIS (Community Research & Development Information Service)<sup>65</sup>
- EURES (European Employment Services),<sup>66</sup>

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<sup>63</sup> [http://europa.eu.int/eracareers/index\\_en.cfm?11=8](http://europa.eu.int/eracareers/index_en.cfm?11=8)

<sup>64</sup> <http://europa.eu.int/citizensrights/signpost/>

<sup>65</sup> <http://www.cordis.lu>

- Portal for Learning Opportunities (Ploteus),<sup>67</sup>

### 3.4.2. *The European network of mobility centres (ERA-MORE)*

#### Background and rationale

In addition to the portal, the creation of a network of mobility centres addresses the need to provide customised assistance to researchers and their families in all matters relating to their mobility experience. The network, which when completed will comprise around 200 centres throughout Europe, offers researchers practical and harmonised assistance to prepare them for their mobility experience and facilitate the installation in their host country. The European network of mobility centres is referred to as the ERA-MORE network (European Research Area – MOBILE REsearchers).

The network is based on a bottom-up approach. The setting-up of the national components of the network is the responsibility of the national bridgehead organisation(s) appointed by the Research Ministry, serving as relays between the Commission on the one hand and organisations at local, regional and national levels, on the other.

#### Activities undertaken by the network at national and European level

During the period covered by this Implementation Report, significant progress has been made in a number of areas:

- The Network was officially launched at the *Cité Internationale des Sciences et de l'Industrie* in Paris, on 30 June 2004, on the occasion of an international conference entitled “Brain drain, brain gain : New challenges”.
- Contracts have been signed by the Commission with 28 countries for the co-funding of national networks, and the implementation of the work programmes is well underway for most of them.
- Links to the active Mobility Centres are provided through a separate section of the Portal: <http://europa.eu.int/eracareers/era-more>
- The co-ordination of operational activities at the bridgehead level was further enhanced at three meetings in March, June and September 2004.
- Training of bridgehead organisation personnel on the information and communication tools provided by the portal and the network has been given at five interactive training sessions in Brussels, devised as “training the trainer” courses and involving in total over 60 participants
- Internal communication between the members has been developed through improvements of the CIRCA site.

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<sup>66</sup> <http://europa.eu.int/eures/index.jsp>

<sup>67</sup> <http://europa.eu.int/ploteus/portal/home.jsp>

- Lastly, the operational services of the network, and in particular the opportunities offered by the networking effect, were officially put in place at the first Annual Conference of the ERA-MORE network which took place in Baden, Austria, from 7 to 9 December 2004. The meeting, which brought together 200 participants, was the first opportunity for all members of the network to meet and exchange ideas and examples of good practice. The Conference provided a combination of policy messages delivered in plenary sessions and an exchange of practical information via 16 workshops.

### Prospects

In 2005 all designated Mobility Centres will become operational, thus completing the ERA-MORE network. The purpose of the national work programmes and the European animation activities (comprising training sessions and workshops open to all network members, bridgehead meetings, the annual conference and improved tools for internal communication) is to improve the performance of services provided by the Mobility Centres. This is in line with stepping up the promotion effort that is needed in order to make the work of the Mobility Centres known.

### Other Community initiatives in the field of information and assistance

Particular emphasis was devoted to the need for the members of the ERA-MORE network to foster close co-operation with other Commission networks, in particular the Euro-Info Centre of DG Enterprise, the EURES network of DG Employment, and the Citizens' Signpost Service, the SOLVIT service and other related services developed by DG Internal Market. All these networks have been invited to the first ERA-MORE Annual Conference.

## **3.5. Statistics and information systems**

### Background and rationale

The need to make progress in identifying better statistical data was underlined on several occasions. Recently, the report "*Europe needs more scientists*" by the high-level group on human resources for science, chaired by Prof. Gago, stated that "*there is a need for novel instruments to measure and monitor human resources for science and technology in Europe, either as a separate entity or as part of a broader European science and technology policy*". During its work, the high-level group confronted the issue of the lack of reliable information necessary for conducting policy analysis.

### Activities undertaken by the Commission and cooperation projects

This is why the feasibility of setting up a sustainable European-wide system to provide a dynamic overview, both in the public and private sectors, of researchers' stocks, inflows and outflows, career paths, geographical and intersectoral mobility flows is currently being explored. The development of the system, which will build on existing data<sup>68</sup>, studies and knowledge across Europe, will take several years to become fully operational. The SG HRM expressed its support for developing such a dynamic tool which will show overall tendencies on mobility flows and researcher careers.

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<sup>68</sup> For statistics in particular on the European Statistical System

The project, called “*Human Resources in Research & Development: Integrated Information System on the Career Paths and Mobility Flows of Researchers*” (IISER), is executed by the Institute for Prospective Technological Studies (IPTS)<sup>69</sup>, and will be conducted in two phases:

- A first phase to map, collect and subsequently analyse available information and
- An implementation phase with a view to setting up a fully operational information system.

The Commission also supports other initiatives to fill in data gaps or improve existing data collections through The Statistical Office of the European Communities (Eurostat)<sup>70</sup> and the Organisation for Economic Co-operation and Development (OECD)<sup>71</sup>. Both are making progress, often jointly, in several areas:

- Concerning mobility flows of foreign researchers:

Incoming foreign researchers<sup>72</sup> will be gradually incorporated from 2005 onwards in the Eurostat data collections and data compilations (such as the R&D statistics questionnaire or the data compiled on Human Resources in Science and Technology); the UNESCO-UIS/OECD/Eurostat education questionnaire concerning foreign student tabulations<sup>73</sup>, and in particular the doctorate numbers (enrolled or graduated) will be revised in order to ensure comparability of data<sup>74</sup>.

- Concerning the career paths of researchers:

A new initiative by the OECD, Eurostat and UNESCO is to harmonise national surveys on the Careers of Doctorate Holders (CDH). Such surveys currently exist in 17 countries<sup>75</sup> but with various objectives, population (doctorates, graduates...) and frequency, which hampers their comparability. The aim of this project is to collect harmonised statistics on the career paths of doctorate holders, emphasising issues such as mobility, career paths and funding. DG Research fully supports this project, the purpose of which is to ensure comparability of core data, and it has invited Member States through the SG HRM to join this initiative. In September 2004, the workshop “*User needs for indicators on career path and mobility flows of Researchers*” organised by OECD in Paris formulated key questions<sup>76</sup> that the CDH should be able to reply to.

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<sup>69</sup> <http://www.jrc.es/home/index.html>

<sup>70</sup> <http://europa.eu.int/comm/eurostat/>

<sup>71</sup> [http://www.oecd.org/document/35/0,2340,en\\_2649\\_34269\\_1895587\\_1\\_1\\_1\\_1.00.html](http://www.oecd.org/document/35/0,2340,en_2649_34269_1895587_1_1_1_1.00.html)

<sup>72</sup> Defined as Human Resources in Science and Technology (HRST). HRST are selected by one of the following conditions: Successful completion of tertiary-level education; or not formally qualified as above, but employed in an S&T occupation where the above qualification is normally required.

<sup>73</sup> UNESCO-UIS/OECD/Eurostat (UOE) questionnaire.

<sup>74</sup> 'Data is currently being collected on the citizenships of students as this is not the same as that for student mobility. Data on citizenships only gives a partial and not a comparable answer to student mobility because regulations concerning citizenship differ between countries..

<sup>75</sup> Australia, Belgium, Canada, Denmark, France, Germany, Hungary, Ireland, Israel, Italy, Japan, Norway, Portugal, Sweden, Switzerland, United Kingdom, United States.

<sup>76</sup> [http://www.oelis.oecd.org/olis/2004doc.nsf/8d00615172fd2a63c125685d005300b5/c3e666431ef071c8c1256f12002dd411/\\$FILE/JT00169333.PDF](http://www.oelis.oecd.org/olis/2004doc.nsf/8d00615172fd2a63c125685d005300b5/c3e666431ef071c8c1256f12002dd411/$FILE/JT00169333.PDF)

## Activities undertaken at national level

The participating countries are keeping up their efforts to improve availability of reliable data.

*France* – The Centre for Sociology of the organisation FNSP/CNRS published a study on foreign researchers in public research institutions and in enterprises.<sup>77</sup> The Commissariat Général has drawn up the Plan of 15 June 2004 “Attractiveness for foreign students and research potential in France.”<sup>78</sup>

*Greece* – A study on the career paths and mobility patterns of PhD holders in Greece during the period 1995-2005 is in preparation. It will be based on recorded PhDs granted by either Greek universities or universities from abroad recognised by the Greek state (in total an estimated 10 000 to 12 000 persons). In addition, in the national programme for RTD (EPAN), there are plans to set up an observatory for R&D Skills in cooperation with the National Observatory for Employment and the Greek universities in order to monitor the endogenous labour market, the trends and position of research in the labour market, and to address shortages in skills and mismatches between supply and demand for scientists and engineers. Finally, in 2004, a series of studies was launched on gender issues and equal opportunity in the Greek R&D system and the establishment of a network of Greek women researchers “Periktioni”.

*Ireland* - The Conference of heads of Irish Universities has been collaborating with the British Council and the UK’s Higher Education Statistics Agency to obtain data on the numbers of Irish Postgraduate researchers currently in the UK HE system. A similar study will commence with the USA, with the Institute of International Education Open Doors. A Study has been initiated in 2004 with Dept. of Social Community and Family Affairs on the status of PhD students in Ireland regarding the potential to cover this group of researchers for Social Security.

*Slovakia* - At the end of 2004 a new initiative was taken by the Ministry of Education of the Slovak Republic in cooperation with the Mobility Centre in the area of collecting data on human resources and mobility. A set of indicators that will be incorporated into the regular statistics collected by the Ministry from all research institutions is under discussion. It is expected that initial results will be available in 2006, helping to map human potential and mobility in research in Slovakia.

## Prospects

The *IISER* project is expected to give an idea of preliminary trends by the end of 2005 or beginning of 2006. The SG HRM will be closely associated with the project and the definition of the next phase, including decisions on the further development of the information system.

Concerning the *CDH*, as from 2005 three expert groups<sup>79</sup> will work on survey methodology and the design of a harmonized questionnaire that will be used for a pilot survey in volunteering countries. Further work will be done in 2005 in order to define all survey components. More harmonised and comparable statistics can be expected in 2006.

<sup>77</sup> <http://cisad.adc.education.fr/reperes/telechar/sem5/rapcso.pdf>

<sup>78</sup> <http://www.plan.gouv.fr/intranet/upload/publications/documents/4PSaraswati2.pdf>

<sup>79</sup> [http://www.uis.unesco.org/ev\\_en.php?ID=5981\\_201&ID2=DO\\_TOPIC](http://www.uis.unesco.org/ev_en.php?ID=5981_201&ID2=DO_TOPIC)

## Other relevant activities in the field

Concerning data production, all data collected by Eurostat are available free of charge at Eurostat's website (New Cronos)<sup>80</sup> since the end of 2004, further to the 2004 edition of "Statistics on Science and Technology in Europe: Data 1991-2002"<sup>81,82</sup>. Other important publications are "Statistics in Focus 1/2005: 'Increasing numbers of foreign students in the EU, decreasing job-to-job mobility of HRST'" by Eurostat, "Waste of talents: turning private struggles into a public issue: Women and Science in the ENWISE countries"<sup>83</sup> and "Gender and Excellence in the making"<sup>84</sup> by DG Research, "Progress towards the common objectives in education and training indicators and benchmarks"<sup>85</sup> by DG Education and Culture, and "OECD Science, Technology and Industry Outlook 2004"<sup>86</sup> by the OECD.

### **3.6. Providing appropriate financial support for developing a critical mass of mobile researchers in Europe**

#### *3.6.1. Marie Curie actions*

##### "Marie Curie Actions" within the Communities' Sixth Framework Programme for RTD

The "Marie Curie Actions", as part of the Communities' Sixth Framework Programme for RTD, provide broad-based support for the development of abundant and dynamic world-class human resources in the European Research Area. The total budget of the "Marie Curie Actions" amounts to just under 10 % of the overall FP6 budget, i.e. almost € 1.6 billion out of a total of € 17.5 billion (or € 1.8 billion out of € 18.7 billion, taking into account the contributions related to the new Member States and countries associated with FP6). Half-way through FP6, the support through the "Marie Curie Actions" reached its peak in 2004. Calls for proposals in 2004 for all the actions have been closed for a total indicative budget of almost € 500 million. In response to the "Marie Curie" calls due for evaluation in 2004, some 6 900 eligible proposals were received. In 2004 the numbers of submitted proposals were up on those in 2003 for all "Marie Curie Actions". On the basis of the selections following these calls, a total of around a 1000 contracts are being concluded.

With a view to a targeted and effective continuation of this part of the Framework Programme, the Work Programme for the "Marie Curie Actions" has been substantially revised, taking effect as from September 2004. A considerable number of changes have been introduced based on experiences with the first calls. Many of the actions, for example, were seriously oversubscribed, while participation by industry and by the Member States that joined the EU in 2004 and the Candidate Countries was generally unsatisfactory. The revision of the Work Programme was also aimed at gearing the "Marie Curie Actions" more closely to the emerging political objective of making Europe more attractive to the best researchers,

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<sup>80</sup> [http://europa.eu.int/comm/eurostat/newcronos/reference/display.do?screen=welcomeref&close=/science&language=en&product=EU\\_science\\_technology\\_innovation&root=EU\\_science\\_technology\\_innovation&scrollto=0](http://europa.eu.int/comm/eurostat/newcronos/reference/display.do?screen=welcomeref&close=/science&language=en&product=EU_science_technology_innovation&root=EU_science_technology_innovation&scrollto=0)

<sup>81</sup> [http://epp.eurostat.cec.eu.int/portal/page?\\_pageid=1073,1135281,1073\\_1135295&\\_dad=portal&\\_schema=PORTAL&p\\_product\\_code=KS-57-03-104-1](http://epp.eurostat.cec.eu.int/portal/page?_pageid=1073,1135281,1073_1135295&_dad=portal&_schema=PORTAL&p_product_code=KS-57-03-104-1)

<sup>82</sup> [http://epp.eurostat.cec.eu.int/portal/page?\\_pageid=1073,1135281,1073\\_1135295&\\_dad=portal&\\_schema=PORTAL&p\\_product\\_code=KS-57-03-104-2](http://epp.eurostat.cec.eu.int/portal/page?_pageid=1073,1135281,1073_1135295&_dad=portal&_schema=PORTAL&p_product_code=KS-57-03-104-2)

<sup>83</sup> [http://europa.eu.int/comm/research/science-society/pdf/enwise\\_report2\\_fulltext-120704.pdf](http://europa.eu.int/comm/research/science-society/pdf/enwise_report2_fulltext-120704.pdf)

<sup>84</sup> [http://europa.eu.int/comm/research/science-society/pdf/bias\\_brochure\\_final\\_en.pdf](http://europa.eu.int/comm/research/science-society/pdf/bias_brochure_final_en.pdf)

<sup>85</sup> [http://europa.eu.int/comm/education/policies/2010/doc/progress\\_towards\\_common\\_objectives\\_en.pdf](http://europa.eu.int/comm/education/policies/2010/doc/progress_towards_common_objectives_en.pdf)

<sup>86</sup> [http://www.oecd.org/document/63/0,2340,en\\_2649\\_33703\\_33995839\\_1\\_1\\_1\\_1,00.html](http://www.oecd.org/document/63/0,2340,en_2649_33703_33995839_1_1_1_1,00.html)

with good prospects for career development. The main changes concern a focusing of the objectives and rationalisation of the actions, a revised distribution of the budget between the various actions and a limit on the number of simultaneous proposals by the same applicant. A two-stage submission and a two-step evaluation procedure has also been introduced for a considerable number of actions as well as a simplification and clarification of the evaluation criteria, a related revision of the weighting and thresholds, and a clarification of several legal issues.

### Prospects

For the 7<sup>th</sup> Framework Programme for Research and Development the Commission intends to reinforce in terms of structuring effect and budget actions aimed at strengthening the human potential of European research through support to training, mobility and the development of European research careers. As stated in the Presidency conclusions of the European Council held on 22 and 23 March 2005 in Brussels, the 7<sup>th</sup> Framework Programme for Research and Development “should act as a lever on national research budgets.”

In preparation for the future framework programme the SG HRM has started to draw up an inventory of post-doctoral schemes in Europe. The inventory will contain (a) an indicative figure for the post-doc positions awarded per country and in Europe, broken down between fellowship schemes (awarded by open calls) and research positions (awarded by appointments), and (b) detailed “fiches” for each scheme.

#### *3.6.2. New national programmes for attracting researchers to Europe*

Several countries set up new programmes, launched new initiatives or adapted existing schemes with the aim of attracting researchers, including nationals of their own country.

*France* launched the "chairs of excellence"<sup>87</sup> programme for hosting high-level researchers from abroad in French laboratories. It targets both experienced scientists recognized for their excellence at the international level who work on a scientific project and top-level "senior" scientists who build a team and carry out high-level research. The Ministry of Research decided to create some 200 positions for young doctorates in French research laboratories<sup>88</sup> in addition to the 400 post-docs already recruited in 2003. This scheme enables young doctorates to move away from their initial training laboratory, to gain further experience in high level research, and thus to prepare their subsequent recruitment in a company.

*Germany* re-launched 2004 the Sofja Kovalevskaja Award that brings together some of the best young researchers from various disciplines to Germany to carry out research in German institutions. The award money is provided by the Federal Ministry of Education and Research (BMBF). These young researchers can spend four years working at institution of their choice, largely unaffected by administrative constraints, and build up their own groups of early-stage researchers.

*Poland* - The funding programmes provided for in the “Act on Funding Scientific Research”, adopted in October 2004 cover measures targeted at preparing researchers for international scientific co-operation, increasing researchers’ skills and competences and supporting the career of outstanding young researchers.

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<sup>87</sup> <http://www.recherche.gouv.fr/appel/2004/chaireexcellence.htm>

<sup>88</sup> [www.recherche.gouv.fr/formation/postdoccirculaire2004.htm](http://www.recherche.gouv.fr/formation/postdoccirculaire2004.htm)

*Spain* - The Juan de la Cierva programme is a new scheme launched during the first quarter of 2004. Its main objective is to improve the research capacity of R+D Centres, both public and private, via the integration of researchers, especially of those who have recently obtained their Ph.D, on contracts. The mobility of researchers, mainly those from other countries, is made much easier by the fact that programme is open to all nationalities and the doctorate diploma is no longer required to be of an approved type.

#### 4. CONCLUSIONS AND SCOPE FOR FUTURE DEVELOPMENTS

In its contribution to the Spring European Council on a new start for the Lisbon Strategy<sup>89</sup>, the Commission stressed the importance of more numerous well-trained and motivated researchers as one of the requirements for closing the EU's R&D investment gap. The European Spring Council 2005 shared this opinion and stated in the Presidency conclusions: "The attraction which Europe holds for researchers should be enhanced by an effective improvement in the conditions under which they move and practice their profession."<sup>90</sup>

While the Commission has indeed, together with Member States, developed and put into place an integrated strategy to improve Europe's attractiveness to researchers, based on which a number of concrete actions are underway, it will still be necessary to step up even more the efforts to attract research talent into Europe and to keep it there.

This report reflects the numerous activities undertaken at Community and national level in order to achieve this objective and outlines concrete prospects for the different actions to be pursued.

The application of the "Recommendation on the European Charter for Researchers and on a Code of Conduct for the Recruitment of Researchers" is a challenge for further work. In close cooperation with the Member States it must be ensured that both instruments will actually become an authoritative reference point for all those who are responsible for developing, enhancing and maintaining a supportive working environment and culture for research and for the researchers themselves.

The 2005 Researchers in Europe Initiative is expected to be an important campaign to raise public awareness of the researchers' profession by focusing the attention of the public at large on a wide range of different events and activities, organised at European level as well as nationally, regionally and locally throughout Europe. It should also contribute to increasing the attractiveness of Europe for researchers and prompt more young people to embark on scientific careers.

As for improving conditions for the admission and residence of third country researchers, the Directive and first Recommendation are likely to be adopted in 2005, so that implementation at national level can start. Progress is also expected on the adoption of the second Recommendation on short-term visas and cooperation between Member States.

The ERA-LINK project aimed at networking European researchers in the U.S will be pursued, in particular with the implementation of a web-based communication tool.

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<sup>89</sup> COM(2005) 24 of 2.2.05 "Working together for growth and jobs; a new start for the Lisbon Strategy" and the supporting Commission Staff Working Document SEC(2005) 160 of 1.2.2005.

<sup>90</sup> European Council Brussels, 22 and 23 March 2005, Presidency conclusions

In the areas of taxation, social security, and mobility between industry and academia tangible progress is expected in identifying measures that can be undertaken to improve the environment for researchers.

The instruments targeting information for and assistance to mobile researchers, the Researcher's Mobility Portal and the European Network of Mobility Centres (ERA-MORE), need to be developed further in order to exploit their full potential. At the same time, both instruments in their European and national dimension need to be promoted as useful tools for the research community.

With regard to development of new statistical data, based on the work already started, new movement on the issues of mobility and career paths of researchers is expected in the near future.

Member States, Candidate and Associated countries play an important role in achieving the common goals. In the context of the Open Method of Coordination and through the members of the SG HRM they will be fully associated with ongoing work at European level by providing input for exchange of good practice and being involved in the practical implementation of the actions at national level, based on national inter-ministerial coordination.