



Ex-post Evaluation of International Cooperation Activities of the Seventh Framework Programme's Capacities Programme

Final report



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Contact: Aline Lermusieaux

E-mail: Aline.Lermusieaux@ec.europa.eu
RTD-PUBLICATIONS@ec.europa.eu

European Commission
B-1049 Brussels

Ex-post Evaluation of International Cooperation Activities of the Seventh Framework Programme's Capacities Programme

Final report

Members of the Expert Group

Mary Farrell (rapporteur), Evanthia Kalpazidou Schmidt,
Mireille Mourzelas, Brian Warrington, John Wood

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Executive Summary

Introduction

This report presents the findings of the Expert Group tasked by the European Commission to undertake an evaluation of the International Cooperation (INCO) Activities of the Seventh Framework programme's Capacities Programme. The Seventh Framework Programme (2007-2013) built upon the previous framework programmes that supported European collaborative research with the aim of enhancing and strengthening EU research capability and strengthening the European Research Area. In the Seventh Framework Programme (FP7), two new elements were introduced, the enhanced international dimension in the themes of the Cooperation programme, and new funding instruments.

The Seventh Framework Programme was allocated a total budget of €53.2bn, with €185m designated for international cooperation activities under the management of the International Cooperation Directorate, DG Research. The ten international cooperation activities (funding instruments) were the subject of this evaluation – ACCESS4EU, BILAT, ERA-NET/ERA-NET PLUS, ERAWIDE, INCO-HOUSE, INCO-LAB, INCO-NCP, INCO-H2020, INCO-NET, R2I-ENP. The ten activities financed coordination and support actions (CSA) that were aimed at (i) improving the coordination of European research activity with third country research actions and, (ii) improving the thematic and geographic targeting of European research policy.

The evaluation team looked at 131 projects (from a total 156) funded over the FP7 period, reviewing the outcomes against the individual projects and against the objectives set out in the respective funding calls and the European Commission annual work programmes. In addition, the evaluation considered the contribution of the programme/projects to three horizontal cross-cutting themes: 1. policy objectives (support for policy dialogue, capacity-building, networking/partnership, coordination with other Community instruments, and consistency with EU foreign policy objectives); 2. the bridging towards Horizon 2020 (the societal challenges, and the innovation dimensions); 3. the dissemination and outreach activities of the funded projects.

The Expert Group finds that the INCO activities delivered significant and positive results in the new and diverse partnerships that were created between the European scientific community and research communities in the third countries. In total, the FP7/INCO activity brings together some ninety participant countries around the world in the various activities, twenty of these countries have signed Science and Technology Agreements with the EU and subsequently accounted for three quarters of third country applicants. In the coordinated calls (joint calls by the European Commission and third country, with each side contributing funding), the thematic areas and countries represented important priority areas and strategic partners for the European Union as it moves forward with the Horizon 2020 programme.

The Evaluation report concludes by summarising the main findings and making a number of proposals for improvements to the programme at both strategic and operational level, as well as putting forward several policy options for future consideration.

INCO – the contextual background and policy approach

The contextual background of the INCO Capacities programme derives from two key inter-linking drivers: the goal of creating a European Research Area (ERA), and the general internationalisation of FP7. The ERA agenda proposed by the European Commission and adopted by the European Council at the Lisbon summit in March 2000 focused the European and MS policy towards the creation of a single market for S&T. With the continued fragmentation of the European science and technology arena, the ERA was re-launched by the Commission in 2007 and by a subsequent agreement between the Member States and the Commission in 2008 (the Ljubljana process) to overcome the fragmentation. The Council adopted the 2020 vision for the ERA in December 2008, and the Member States

launched partnership initiatives to increase cooperation – one of these being international cooperation in science and technology. By 2012, the ERA vision had evolved to signify a unified research area open to the world based on the internal market, with mobility for researchers and the free flow of scientific and technical knowledge that would enable the EU and the MS to strengthen their scientific and technological bases, enhance competitiveness and the capacity to address major societal challenges collectively.

The internationalisation dimension of FP7 reflects the view that science and technology is international, and that addressing the major societal challenges needs a concerted effort in international research cooperation. Underpinning this view is the recognition of the internationalisation of technological development as fast-growing emerging economies contribute to the global production and sharing of knowledge. Hence, the international cooperation in FP7 rested on several key objectives: integrating European research and innovation excellence into the global context; establishing strategic partnerships with international partner countries; enhancing access to global research; focusing science and technology on the specific problems of international partner countries, and/or problems of a global character.

The policy adopted a differentiated approach according to country groups – industrialised, emerging, developing, and neighbourhood countries. The developing and emerging countries were granted the same status as member states and therefore not required to contribute financially, while the neighbourhood countries (Mediterranean, and Eastern Partnership region) retained similarly favourable financial status as recipients of funding and were ultimately the largest number of participants in the INCO programme as a whole. The industrialised countries included a diverse group, among which were Australia, New Zealand, US, Canada, Japan, South Korea, Hong Kong, Singapore, United Arab Emirates, Bahrain, Kuwait, and Saudi Arabia, and this grouping was not eligible for funding.

In all cases, the INCO Capacities policy focused on horizontal activities for supporting research collaboration with non-European third countries. There was no funding for research, instead the emphasis was on supporting research capacity in the third country and/or to facilitate opening and access for European researchers.

INCO - Main findings

The INCO Capacities Programme resulted in a wide range of actions and the involvement of diverse categories of participants, including researchers, research organisations, industrial enterprises, and public sector bodies such as policy actors and funding organisations. Project outputs ranged across dissemination, fact-finding, networking, and capacity-building activities. Third country participants were exposed to the European approach towards science and technology policy management, and to the infrastructure for policymaking and implementation, as well as to European funding schemes and to research programme management and evaluation. The networking activities and the role of the third country Contact Points generated knowledge about the European research programmes, while other activities enhanced the capacity of third countries to engage directly with European partners in European-funded research programmes. INCO brought Europe to the international science and technology community, and sought to bring the international S&T community to Europe.

At the policy dialogue level, the potential for enhanced dialogue towards the establishment of common research interests and priorities was partially realised in the INCONETS and to some extent the ERANET agreements. However, the movement towards substantive policy dialogue depended upon the coordination between the Member States and the European Union. Indicative of the limitations is the example of the INCONET projects that involved a separate work-package dedicated to the organisation of priority-setting activities such as thematic seminars and workshops bringing together policymakers and stakeholders. While there was a very high level of interest and good attendance by stakeholders, the limited participation by private sector representatives undermined the innovation possibilities.

More generally, the strength of the representation by neighbourhood country participants testifies to the importance of this region in European external relations, as does the large number of participants from the emerging countries group. However, though the industrialised countries were not dominant numerically among the participants, it can be noted that these country groups involved larger-scale projects, and included key strategic partners such as the US, Japan, and South Korea. The developing countries were represented in large numbers across the INCO activities, however the substantive picture suggests that wide participation was not reflected in any depth of cooperation as many developing countries recorded only single cases of INCO participation.

SWOT analysis results

The evaluation included a SWOT analysis to identify the opportunities and the challenges that the INCO programme management needs to consider in moving forward under the Horizon 2020 programme. Among the acknowledged strengths of the programme is the comprehensive nature of the coordination and support actions, and the European value-added together with the capacity building and dissemination activities. The support for policy dialogue and the contribution to emerging common research priorities testified to the significant place of science diplomacy (underpinned by the critical expertise of the European Commission's professional scientific community) in the broader pursuit of European interests at the international level.

Identified weaknesses include the low industrial participation (a crucial component for successful innovation), the difficulty in utilising the results of research priorities, and the limited success in interfacing with other community instruments, as well as in the contribution to EU foreign policy objectives.

However, the INCO activity offers some key strategic opportunities, including the possibility to develop more sophisticated strategies and targeted communication to attract the best third country researchers to the EU, the utilisation of SFIC for better coordination between the European Commission and the Member States, more systematic coordination between various projects to increase synergies and effectiveness, and the development of a centralised repository for the body of knowledge compiled by the various projects.

Countering these opportunities, the evaluation identified a number of threats to the continued international cooperation, including the possibility of political unrest in third countries, the ongoing threat from the introduction of restrictive immigration policies and visa regimes, and the risk posed by a discontinuation of funding for international cooperation support actions.

Overshadowing the opportunities and the threats is the continued weakness in the coordination between Member States policies and the European policy level, as the more general tensions between supranational and intergovernmental politics and policy-making in Europe continue to play out in the science and technology arena with Member States making limited progress towards opening up national research programmes. It is noteworthy that among the top-ranking MS participants in INCO (France, Germany, Italy, Spain, Greece, Austria, and UK), the degree of opening of national research programmes remains limited.

While the INCO activities made some general links to connect with the Horizon 2020 agenda, the overall result in terms of a substantive contribution to the H2020 priorities is mixed. In the projects conducted across the various INCO activities, the evidence indicates that projects towards the end of the FP7 period were more likely to address the H2020 priorities particularly in the final two years. Some activities tended to address the H2020 agenda to a greater degree than others, and activities such as the R2I-ENP, BILAT, ERANET/ERANET PLUS demonstrated the consideration of societal challenges and innovation in the range of activities and dissemination strategies. International participants point to a lack of guidance from the European Commission and the member states on the key goals,

and question how the H2020 focus on competitiveness and scientific excellence can translate into concrete goals for international cooperation based on joint interests.

The evaluation concludes that the mainstreaming of international cooperation across all the themes and activities, and realising the objectives of the H2020 programme depend on:

There is a continued need to promote Europe as an attractive place for science and innovation, and to promote European partners in international research cooperation. The activities under FP7 INCO have contributed to building links, and the next steps involve enhanced policy dialogue between European and international partner countries/regions in establishing mutual interests and common lines of action.

Private sector engagement is an important factor in promoting innovation, and the INCO programme needs to build on the preliminary links established under FP7 in order to enhance innovation capacity in Europe.

The issue of innovation is central to the agenda of many international public policy actors such as OECD, World Bank, UNIDO, and ASEAN, and Europe/EU needs to make a more explicit dialogue of engagement with these actors in establishing common priorities and best practice with regard to innovation processes.

The EU/EC needs to engage more directly with regional actors including regional financial institutions in areas of the world (Asia and Africa) that already prioritise innovation, including the Asian Development Bank and African Development Bank.

In order to realise the H2020 mandate to double international cooperation as a cross-cutting dimension, there needs to be more explicit links with EU external policies, EU development policy, and the neighbourhood and Mediterranean policies.

Recommendations:

Strengthening Cooperation with EU Foreign Policy

There is a need for stronger coordination between DG RTD and other relevant EC Directorates (DEVCO, EEAS) to agree objectives and mechanisms whereby international scientific cooperation activities can contribute to EU Foreign Policy. Such objectives and mechanisms must be incorporated into the DG RTD international cooperation work programmes and calls so as to provide suitable guidance for those preparing project proposals and subsequently managing projects selected for funding.

The level of coordination between DG RTD international cooperation activities and other Community instruments should be stepped up. The rationale, processes and expected outcomes of coordination should be articulated clearly by the EC at the outset. In the same vein, coordinators of international cooperation projects should be encouraged to liaise with other European projects (EuropeAid, INCO, Thematic DGs, MS-supported) to identify and exploit opportunities for synergies between the projects and activities.

Horizon 2020 will require concerted and coordinated efforts to promote the European Research Area to the world. The diplomatic framework now in place with the network of EU delegations run by the European External Action Service (EEAS) should be leveraged to support this objective.

Building upon Past Achievements

Current EU policy, with the emphasis on innovation, is predicated on a general broadening of the scope of activities, project partners and target audiences of international cooperation support actions to adequately address the innovation element.

Progression from capacity-building to research: in order to facilitate the progression from capacity-building to participation in research projects/programmes, activities should encompass targeted pathways, such as specific research-project management training, proposal writing, etc., in addition to the more traditional networking activities.

The EC should develop a centralised repository for the wealth of data and information resulting from the INCO projects. Individual international cooperation projects should be encouraged to adopt coordinated dissemination strategies, liaising with other projects and programmes to promote and facilitate international cooperation.

Project implementation and monitoring should be strengthened. Project reporting should specify achievements and outputs more concretely. Consideration should be given to the provision of training to project coordinators who are unfamiliar with the programme regulations.

Broadening MS/AC and Third Country Participation

European MS which already have established international cooperation initiatives at a national level and are not active in EU support actions should be encouraged to participate in such actions.

The recent DG RTD approach of incorporating the innovation element and including a requirement for relevant policymakers and stakeholders should be maintained and included in all future international cooperation support actions.

Increase efforts to promote international scientific cooperation both inside and outside the European Union. The knowledge base on (third country) research and innovation systems that has been constructed from the FP7/INCO activities provides a strong starting point and the basis for identifying key actors to target in promoting such cooperation.

Implementing International Cooperation Priorities

The international research cooperation in H2020, linked to specified internal and external priorities of the European Union, is targeted at specific challenges and problems that demand the coordinated efforts of different thematic units/directorate-generals. The pooling of the distinct thematic areas of knowledge (of the S&T community, global trends and developments, opportunities for cooperation, success and risk factors, etc.) is integral to the effective implementation of international cooperation priorities.

In the case of countries and regions where roadmaps for scientific cooperation have been concluded, international cooperation support actions should actively contribute to the implementation of the relevant roadmaps. Where such roadmaps have not yet been finalized, the projects should focus on providing support to the policy dialogue process.

Any priority-setting exercises which are undertaken through the international cooperation support actions should be conducted in close collaboration with the relevant policy dialogue activity.

The Strategic Forum for International Cooperation (SFIC) offers an important forum for establishing common strategic priorities, and a re-energised initiative from this inter-governmental entity would provide a basis for establishing consensus around strategic thematic priorities and a strong geographic focus. A specific recommendation would be to assess the present level of mandate that the members have to make strategic decisions.

Section 1: Introduction

1.1 Background and context

This report provides the results of an evaluation study of the Specific International Cooperation activities under the 'Capacities' Programme of the Seventh Framework Programme for Research, Technological Development and Demonstration Activities (FP7, 2007-2013), aimed at promoting the participation of third countries in FP7 and also in the Member States programmes.

The international cooperation dimension became an increasingly important objective of EU policy throughout FP7, and research cooperation with international partners was facilitated and supported in a number of ways with the goal of developing the international dimension of the European Research Area (ERA).¹ In this regard, the EU and the individual Member States have made efforts to internationalise the European and national science and technology policies. In the case of the Capacities Programme, the emphasis rested upon horizontal support measures and actions that were not specifically linked to a thematic focus or interdisciplinary area to support international S&T cooperation.² Three components of the Capacities Programme underpinned the horizontal measures:

- Bi-regional science and technological cooperation, including priority setting and definition of S&T cooperation policies - bringing together policy-makers, the scientific community, private enterprise and civil society from the EU and third countries to identify priorities and define policy direction; and implementing specific activities dedicated to strengthening participation from targeted countries and regions.
- Bilateral cooperation for the enhancement and development of S&T partnerships: to improve the provision of information on programmes and funding so as to promote cooperation between Europe and specific third countries; to better identify and demonstrate mutual interests and benefits in S&T cooperation between the EU and specific third countries; to share best practices through joint forums and workshops, identifying the prospects for cooperation in particular fields.
- Support for the coordination of national policies and activities of the EU member states and associated countries on international S&T cooperation.

Since 2008, a strategic approach to international research cooperation has been a main focus.³ The same year, the Strategic Forum for International S&T Cooperation (SFIC) was established⁴ and tasked by the member states to develop a coherent approach to international cooperation and enhance the external dimension of the ERA. With these developments international research cooperation began to focus more strongly on geographical and thematic dimensions.

Strategic international research cooperation was framed in terms of three key goals: to strengthen the EU's excellence and attractiveness in research and innovation, and enhance its economic and industrial competitiveness; to address global societal challenges; to support external policies.

¹ European Commission (2007) A New Approach to International S&T Cooperation in the EU's 7th Framework Programme (2007-2013), Brussels, DG RTD.D2.

² Work Programmes 2007-2013, Capacities.

³ A Strategic European Framework for International Science and Technology Cooperation, Communication from the Commission to the Council and the European Parliament, Brussels, 24.09.2008, COM (2008) 588 final.

⁴ Council of the EU (2008) Council Conclusions Concerning a European partnership for international scientific and technological cooperation. Outcome of the Proceedings of the Competitiveness Council on 1-2 December, 16763/08, Brussels 3 December 2008.

1.2 Strategic and policy objectives

As one of the FP7 components, the Specific International Cooperation activities under the 'Capacities' Programme is also aimed at facilitating the European Union aim of becoming the world's leading research area. The objectives of transnational cooperation, strengthening of research capacities, and ensuring wide dissemination of research to promote a dialogue between science and society set out at the beginning of the programme were increasingly linked to the broad societal challenges (grand challenges) in a global context, to the creation of the European Research Area, and to the emerging agenda of Europe 2020 (knowledge and innovation, sustainable economy, high employment, social inclusion).

In opening the European research programme to the world, the INCO activities utilise international science and technology to enhance the European capacity, and that of selected third countries and regions, to directly encourage greater international cooperation and European access to global research. The strategy is one that has implications for other EU external policies, and the evaluation will assess the synergies and complementarities that have been, or might be created in the future.

This report assesses the relevance, effectiveness, efficiency, coherence and added-value of the ten Specific International Cooperation activities of the FP7 Capacities Programme. The evaluation includes a SWOT analysis of the INCO programme, and concludes with some policy options for the Horizon 2020 programme.

1.3 The evaluation methodology (terms of reference)

The report presents an assessment of the ten INCO activities supported under the Capacities Work programme of FP7, under the responsibility of the International Cooperation Directorate within DG Research. All of the actions are coordination and support actions (not collaborative research projects):

- ACCESS4EU
- BILAT
- ERA-NET/ERA-NET PLUS
- ERA-WIDE
- INCO-HOUSE
- INCO-LAB
- INCO-NCP
- INCO-H2020
- INCO-NET
- R21-ENP

The evaluation was based upon a systematic analysis of 131 projects, across these ten activities, and distributed among the evaluators in three 'batches'.

Table 1 List of projects reviewed	Batch	Number of projects assessed	Total number of projects
ACCESS4EU	3	11	11
BILAT	2	39	39
ERA-NET/ERA-NET PLUS	3	12	12
ERA-WIDE	2	25	50
INCO-HOUSE	3	1	1
INCO-LAB	3	6	6
INCO-NCP	3	2	2
INCO-H2020	3	1	1
INCO-NET	3	21	21
R2I-ENP	1	13	13
TOTAL		131	156

The evaluation also provides a consideration of three horizontal (cross-cutting) themes:

1. Policy objectives
 - a. Support to policy dialogue
 - b. Capacity building
 - c. Networking/partnership building
 - d. Coordination with other Community instruments
 - e. Consistency with EU foreign policy objectives
2. Bridging towards Horizon 2020
 - a. Societal challenges dimension of FP7 INCO projects
 - b. Innovation dimension of the activities
3. Dissemination and outreach.

1.4 Specific questions on the overarching objectives

Each batch was in charge of analyzing one horizontal objective relevant to its specific activities. To carry out this task, the evaluators identified a list of questions focused on the overarching objectives. The table below gives a description of the questions under the main headings.

Table 2 Overarching Objectives	Horizontal Division	Main issues
Policy Objectives	Policy Dialogue	<ul style="list-style-type: none"> - Institutional Setting - Methodology - Links with related initiatives - Results and Achievements
	Capacity Building	<ul style="list-style-type: none"> - Training - NCP Structure - General
	Networking and Partnership building activities	Including mapping, brokerage events, fact finding missions, travel grant schemes, partner search activities, etc
	Coordination with other community instruments	Links with other Community programmes or related initiatives/specific activities to link with other instruments
	Consistency with EU foreign policy objectives	Links with EEAS, DG DEVCO, link with foreign policy objectives
Bridging towards H2020	Societal challenges dimension of FP7 INCO projects	Did the common research priorities include any of the H2020 societal challenges?
	Innovation dimension of the activities	Did projects include innovation activities, or reflect an exclusive focus on R&D?
Dissemination/Outreach and Impact	Dissemination strategy	<ul style="list-style-type: none"> - Website - Events - Publications - Other mechanisms
	Effectiveness	Recommendations for improving the approach of dissemination/outreach activities
	Potential impact	Recommendations for improving the approach of dissemination/outreach activities

The evaluation was conducted by a team of five independent experts engaged by the European Commission, Directorate C 'International Cooperation', and builds on the interim INCO evaluation conducted in 2010.⁵ The first stage of the evaluation involved desk-based

⁵ International Cooperation Activities of the Seventh Framework programme's Capacities Programme – Interim Evaluation, October 2010.

research to analyse all available documents that were directly related to the evaluation questions: programme and project documentation, EC strategic documents, studies, research works, and statistics from the e-CORDA data-base. The experts were supported by a Steering Committee of EU officials working in various programmes of DG RTD, as well as in DG DEVCO and EEAS: Elisabeth Lipiatou, Angela Liberatore, Philippe Froissard, Anne Haglund Morrissey, Heino Nau Reka Rozsavölgyi, Aline Lermusieaux, Kevin McCarthy, Pierre Deusy.

Interviews were conducted with project coordinators, project partners, EC officers and other stakeholders to obtain feedback and insights on the INCO programme. The interviewees included representatives from both EU member states as well as from third countries representing most regions of the world. The full list of interviewees is in Annex 3, while the table below indicates the relevance of the different categories of interviewees to the various facets of the evaluation.

Table 3 Evaluation aspect	EC officer	Coordinator	Project Partners	Government bodies
Project / DoW	X			
Implementation	X	XX	X	
Website	X	X	XX	X
Events	X	X	XX	
Publications	X	X	X	
Policy dialogue	X	XX	X	XX
Capacity building	X	XX	X	X
Networking & Partnerships	X	XX	X	
Monitoring and Assessment	XX	XX	X	X
Coordination with other instruments	XX	XX	X	X

1.5 Main evaluation questions

The evaluation was centered on the main evaluation questions detailed in the terms of reference. The majority of questions concern the relevance, effectiveness, efficiency, coherence and added-value of the INCO programme. The table below illustrates the main evaluation questions and the additional sub-questions in relation with the evaluation criteria.

Table 4 Main evaluation questions	Sub-questions	Evaluation criteria
<p>To what extent have the various INCO activities of the FP7 Capacities Programme succeeded in identifying and utilising common research priorities and/or in coordinating national and regional policies and activities of MS/AC?</p>	<ul style="list-style-type: none"> - Did the programme align with the original objectives? - Have the activities involved both member states and third countries for defining research priorities as well as representatives from industry and academia? - Did INCONETS and BILATS coordinate their efforts in such activities? - Was there any coordination with other INCO projects undertaking similar activities, or other FP7 projects –e.g. funded by thematic programmes- in the same country or region? - Were the results of priority-setting activities utilized? 	<p>Relevance</p>
<p>To what extent have the INCO activities succeeded in supporting the EU access to third country programmes/research facilities?</p>	<ul style="list-style-type: none"> - What did specific projects achieve in terms of outcomes/impact? 	<p>Effectiveness</p>
<p>What participation patterns can be observed in terms of thematic and geographical coverage in the INCO activities?</p>	<ul style="list-style-type: none"> - How have the activities contributed to create closer cooperation between countries (or group of countries) that wish to engage in S&T cooperation with the EC and where critical mass in S&T can best be achieved to address key global challenges? - How did the activities contribute to develop roadmaps for cooperation with key partners (countries and regions)? - What new trends can be observed in the 	<p>EU added-value and efficiency</p>

<p align="center">Table 4 Main evaluation questions</p>	<p align="center">Sub-questions</p>	<p align="center">Evaluation criteria</p>
	<p>participation (how, with whom and why)</p> <ul style="list-style-type: none"> - Are there relevant stakeholders who do not participate and, if so, why? 	
<p>What are the main motivations and driving forces behind participation in international cooperation activities?</p>	<p>Motivations by EU + AC partners</p> <p>Motivation by international partners</p>	<p align="center">Relevance</p>
<p>Which other foreign policy areas (such as inter-regional economic cooperation, trade and investment, development cooperation, etc...) can be identified which were successfully furthered by INCO activities?</p>	<ul style="list-style-type: none"> - Did the projects involve any coordination with non-S&T departments or individuals? - Did the project have any impact on other policy areas such as inter-regional economic cooperation, trade and investment, development cooperation, etc? - Have INCO activities contributed to greater coherence between research activities and other policies? - Was there any synergy with projects funded by other EU financial instruments? 	<p align="center">EU Added-Value and coherence</p>
<p>How did the participation in the INCO activities shape national research and innovation agendas? In particular, to what extent have the chosen common research priority areas reflected the national research priorities?</p>	<ul style="list-style-type: none"> - What is the added-value of INCO activities undertaken at EU level compared to unilateral initiatives? - Have INCO activities contributed to strengthen the coordination of member states national policies and activities, including priority-setting aimed at reinforcing strategic S&T cooperation? - Have INCO activities contributed to build strategic R&D partnerships with non-EU countries? 	<p align="center">EU Added-Value</p>

Table 4 Main evaluation questions	Sub-questions	Evaluation criteria
How effective has the communication strategy of the INCO activities been in terms of supporting access to third country programmes, awareness-raising (also of H2020)?	<ul style="list-style-type: none"> - What are the lessons for H2020? - Comment on the events which have been organized, level of participation. 	Effectiveness
Management and monitoring	<ul style="list-style-type: none"> - Effectiveness - Follow-up - Weaknesses and limits - Budget - Deadlines 	Effectiveness and efficiency

Section 2: Rationale and policy objectives

2.1 Contribution to Policy Dialogue

In general, policy formation within the EU comes out of the cooperation and collaboration among the European member states, and between the states and the European institutions, including the European Commission acting within its capacity to propose policy across all policy areas. The final policy outcomes are shaped by the preferences and interests of the member states (MS), and by the interaction between the member states and the European Commission. INCO activities, like all other EU policy areas including international STI policy, reflect and are shaped by this European policy framework.

Policy dialogue brings together representatives of the European Commission, the EU Member States and the third country, or group of countries in a region, for discussions aimed at promoting cooperation in science and technology, with the objective of formulating action plans and roadmaps for cooperation. Central to this policy dialogue is the creation of common strategies and common priorities around which future research cooperation can emerge, and the INCO instruments were designed to support this policy dialogue – particularly the BILATs (bilateral coordination between EU MS/AC and individual third *countries*) and INCONETs (bi-regional cooperation between MS/AC and third country *regions*). BILAT activities were directed at third countries that had signed an S&T agreement with the European Union⁶, and the objectives of the BILAT actions included providing information on programmes designed to promote cooperation between Europe and specific third countries, and identifying the mutual benefits to be derived from S&T cooperation.

Bilateral agreements present an opportunity to foster new cooperation, and in particular to develop common strategies in science and technology, to promote researcher mobility and to increase S&T capacity building, and to engage with non-scientific policy objectives. Science and technology considerations are often the only remaining forum for discussion when direct high level relations between countries are not possible, illustrated by the past five years when Iranian researchers managed to publish 1400 research papers with US research teams despite the frosty relations between Iran and the US during this period.

Many EU member states have long-standing partnerships with third countries that have been the basis for multiple cooperative actions undertaken bilaterally. Coordinated approaches between the member states and the European Commission towards third countries are essential to capitalise on the synergies and to avoid redundancies (or contradictions), so that international cooperation through the joint activities constitute value-added for the EU, and is not just a sum of the single components.

The establishment of the Strategic Forum for International Cooperation (SFIC) in research was intended to enhance the political dialogue among the member states, and between the states and the European Commission. While this consultative body does not engage directly with the projects supported under the INCO instruments, it can access the coordinators and the project results as input into strategic policy-making. However, there remains significant potential to strengthen the dialogue between SFIC and the EC as a result of the INCO projects which have considered the policy implications of topics with high policy salience for both the member states and the European Union (regional development, environment, trade, or water, and climate). As with other strategic forums that have a global focus (e.g. the European Strategy Forum on Research Infrastructures) delegations with two representatives, one specifically for policy and one for research delivery, coupled with active chairmanship and administrative support from the EC can be very effective in ensuring MS involvement with national/European programmes.

⁶ The countries which have signed an S&T agreement with the EU are: Algeria, Argentina, Australia, Brazil, Canada, Chile, China, Egypt, India, Japan, Jordan, South Korea, Mexico, Morocco, New Zealand, Russia, South Africa, Tunisia, Ukraine, and the United States.

Since one of the main objectives of the INCONET activities was support for policy dialogue, the projects attached high priority and dedicated significant resources to activities related to this objective. However, there were a number of regions where the EU had not yet established a policy dialogue process when the projects got underway (e.g. Africa, the Pacific) although a number of such processes have now been set up (e.g. Africa-EU HLPD, EaP Panel on R&I). Before the launch of the formal dialogue processes, the INCONET projects were already seeking to foster dialogue through the organisation of missions to individual countries within the region to hold discussions with senior officials. PACE-Net established its own bi-regional dialogue platform and organised an annual conference, though this failed to attract the desired high-level delegates.

Across the ten INCO activities, projects concentrated efforts on gathering information about the existing collaborations and policy support, dissemination and monitoring activities. Though the results of these efforts were varied, substantial knowledge about national research and innovation capacities and research policy priorities, national supply and demand conditions, and the identification of key researchers and research actors has proved fruitful in generating a varied data-base to support international cooperation activities into H2020.

Most INCONET projects organised one or more thematic priority setting workshops with the objective of establishing research topics relevant and important to partners in the projects, conducting research and preparing discussion papers on STI cooperation topics, cooperation monitoring reports, and organisation of stakeholder forums. While the official mechanisms focus on diplomatic efforts and on political commitment for cooperation, many of the INCONET projects made a significant contribution to policy dialogue by providing analytical evidence and logistical support to the Joint S&T Cooperation Committee (JSTCC) and meetings of Groups of Senior Officials, and support to the implementation of the decisions taken at such meetings. Projects performed a number of policy-relevant activities such as providing analytical evidence and mapping research expertise and skills. It is clear that projects supported the policy dialogue process, but could not be regarded as a replacement for policy dialogue.

2.2 Contribution to Capacity Building

Capacity building featured across the INCO activities, varying somewhat in focus and scope from one country to another and from region to region, reflecting different capacities, knowledge and skills gaps, and national conditions. In practice, capacity-building generated positive results for a broad range of participants, not just third country entities. International cooperation in research requires knowledge of local and international conditions so that all participants can identify positive sum results, hence capacity building is central for the European as much as the third country (or regional) partner. All the INCO activities contained provisions for capacity building, and this element was favourably received by the participants across the activities as a key contribution to international cooperation. With the opening up of the H2020 programme globally, the potential of capacity building should be recognised.

The INCONET projects all addressed the objective of capacity-building, primarily through the provision of training for third country National Contact Points. A number of projects went one step further and supplemented this training through the organisation of twinning visits for third country Contact Points, to enable individuals to experience at first-hand how NCP structures operate on a daily basis. In a number of instances, the projects also delivered training for the research community on relevant topics including proposal writing and financial administration. Early projects focused on FP7 while proposals funded under the last two calls (and some of the earlier projects still active in 2013) generally focused on the H2020 rules of participation. Similarly, the training provided by early INCO-NETS focused on research while later projects complemented these by addressing innovation topics such as intellectual property rights (IPR).

Capacity-building can present a challenge whenever diverse capability levels exist in the third countries. Nevertheless, many of the projects reported significant success in this area – for example, the SEA-EU-Net project reported that towards the end of the project fifty seven NCPs had been appointed in ASEAN countries where previously there were none.

The R2I-ENP activity had a key focus on capacity-building and all projects included a significant number of activities to develop skills and expertise. The R2I-ENP activities were more focused on the innovation dimension and were not primarily concerned with contributing to the policy dialogue process. Capacity-building activities extended to training on aspects of innovation, twinning and exchanges with EU partners, assistance and training in developing help-desk systems, and pilot projects on innovation. Training activities extended to start-ups, and targeted the researchers, entrepreneurs, practitioners, and help-desk personnel to foster knowledge and competence in innovation management (patents, IP, prototypes, and latest innovation approaches), market competitiveness (market analyses, business plans, company creation), and financial aspects (funding sources, seed capital, venture capital, licensing).

The ERA-WIDE projects are mainly focused on strengthening research capacities of neighbouring research centres through capacity building and networking activities. Some interesting analytical tools have been used to provide a picture of the strengths and weaknesses of the research centers. SWOT analyses and socio-economic studies have been done with the objective to ensure the durability of the twinning actions (eg. the LEB'IN project includes a sustainability plan in order to continue the collaborative research).

In developing countries, partners may lack the necessary skills to implement a European-supported project and coordinators were sometimes inexperienced in coordinating EU FP7 projects. National approaches and rules on research project management can be different and/or inconsistent with European Commission project management rules. Nonetheless, INCO projects reflected a high educational/capacity enhancing value to participants and to coordinators, particularly with regard to training in the coordination and management of EU projects. As a result, the INCO projects have developed an interesting and varied array of capacity-building tools, and there is also extensive capacity building activities conducted bilaterally between the member states and their partners. However, there is as yet no systematic and comprehensive mapping of the capacity building activities of the MS and the European Commission, an exercise that must surely be useful in the global opening of H2020.

2.3 Networking and Partnership

As the INCO activity has demonstrated, increasing the participation of third countries in H2020 depends crucially on organising opportunities for researchers to meet other researchers. INCO projects provided opportunities for researchers to meet other researchers from different countries to increase participation of third countries in the Framework Programme and networking and partnership-building activities attracted a high level of interest from stakeholders. Most of the projects across the INCO activities organised scientific conferences and brokerage events both in third countries as well as in Europe. However, the availability of funds for attending such events could be a problem for some third country researchers, and a number of projects ring-fenced a small amount of funding to assist third country researchers to attend events in Europe.

Another key activity undertaken in most INCONETS and in the BILAT projects was the mapping of key research institutes in third countries. In many cases this activity was carried out in accordance with a formal methodology, based on a set of criteria to establish which organisations are eligible for inclusion in the database. This kind of exercise can be a very challenging undertaking, however, due to the variety of organisations to be considered and, in a number of cases, the results of the mapping exercises yielded little more than contact details and a short profile of the identified organisations. The data gathered is normally made available in an online database as part of the project website.

Other common activities included fact-finding missions, travel grant schemes and brokerage events. The travel grant schemes provide funds to an individual or to an organisation to subsidise a visit to one or more research institutions in a different country with a view to facilitating scientific collaboration. While a number of projects reported satisfactory participation by different categories, others reported difficulty in involving industry representatives. Language occasionally represented a hurdle in cases where the scientific community was not sufficiently familiar with the English language.

With the output and results from the projects dispersed over a large number of project websites, the absence of a centralised depository made access and dissemination difficult. However, the BILAT global initiative launched in 2013 through an initiative of fourteen current BILAT projects (taking over from a joint effort by eleven ACCESS4EU projects) provides an important access point to research funding opportunities world-wide. This BILAT global initiative provides links to projects supporting the EU policy dialogue with those countries that have a science and technology agreement with the European Union. The BILAT global portal offers details of funding programmes from third countries that are open to participation by all the EU member states and Associated Countries, as well as funding programmes open to participation from one MS/AC or a limited number of European countries; it also provides information on programmes of specific European Union MS/AC that are open to participation from non-EU countries.

The projects funded in the last two INCONET calls have an increased focus on involving industry in networking events in order to promote innovation. Countries have different and often distinct national systems, and the collaboration between the research community and industry can vary substantially. This is where networking activities can be useful in bringing researchers and users together, and effect a gradual change in practice. However, the SEA-EU-NET project reported that, despite the valuable networking activities organised in the projects, third country researchers still encounter difficulties in finding European partners with whom they might establish consortia. Targeting the best third country researchers, compared to taking a broad approach, would achieve better results by focusing efforts where success is more likely. Another obstacle is the face-to-face meetings that are generally undertaken during the proposal definition stage, since travel to Europe by third country researchers can be prohibitively expensive. Without the possibility to participate in such meetings, potential partners from third countries are disadvantaged in terms of developing a proper understanding of the project objectives.

The R2I-ENP projects included networking and brokerage events at national and international levels, targeting researchers, public authorities, and industry partners in the project thematic area with the aim to facilitate the establishment of partnerships, and ultimately the exploitation of research results. In terms of synergy with other funding instruments, one project (MAGHRENOV) is coordinated by KIC-InnoEnergy, one of the three Knowledge Innovation Communities created through the European Institute of Innovation and Technology (EIT) initiative. The project incorporated use of the KIC educational programme on energy topics, while at post-doctoral level the Marie Curie co-funded programme (InnoEnergy pathways) addressed the training and mobility requirements of the project.

In the ACCESS4EU activity, a number of matchmaking events were devoted to bringing together EU MS/AC and third country researchers to identify common research and build consortia. Successful web-seminars (webinars) were organised in close cooperation with granting councils, and where the councils presented their international programmes to European researchers and research managers.

The ERAWIDE projects offer an opportunity for a new partnership between research units in the MS and third countries. National organisations that participate in the ERAWIDE projects gain enhanced visibility beyond what is available through national or European collaboration alone. The ERAWIDE MOICT was initiated by the Moroccan NCP following an event organized by the European Commission, and the partnership continues with new projects in capacity building and bilateral workshops with European partners.

2.4 Coordination with other community instruments

The INCO work programmes encouraged coordination with a broad range of community instruments, including these with a defined geographical focus: the Instrument for Pre-accession Assistance (IP), the European Neighbourhood and Partnership Instrument (ENPI), the Development Cooperation and Economic Cooperation Instrument (DCECI), the Instrument for cooperation with industrialised and other high-income countries and territories (ICI), Asia and Latin America (ALA), the European Regional Development Fund (ERDF), and the European Development Fund (EDF). INCO calls also emphasized instruments in the areas of science, technology and innovation.

Existing external financial instruments with a geographical orientation (Instrument for Pre-accession Assistance, European Neighbourhood and Partnership Instrument, Development Cooperation Instrument) are already earmarked, and the European Development Fund which provides assistance to the ACP and overseas territories is an intergovernmental fund financed directly by the Member States and thus not part of the EU budget. The Instrument for Cooperation with Industrialised countries (2007-2013) provides financial support to promote cooperation between the EU and seventeen industrialised and other high-income countries in North America, the Asia Pacific and the Gulf.

The recently established Partnership Instrument (PI) supports cooperation with partners around the world to advance the EU's strategic interests and to tackle global challenges, and it supports the external dimension of EU internal policies, one of which is research and innovation. Since the PI promotes policy cooperation with countries of strategic interest to the EU, the work of SFIC and the Commission to jointly identify strategic priorities (themes, countries and partners) is of central importance.

Some DEVCO instruments are already linked with research, but only for very specific actions such as food security. However, the link between capacity building and research is now stronger and it is an essential link for developing countries. Capacity building is where the coordination with DEVCO is more visible, one example being the synergy between INCO, DEVCO and DG-CONNECT in Armenia. In this case, the ERA-WIDE project (INARMERA-ICT) and FP7 PICTURE (DG-CONNECT) projects joined forces in order to tackle the challenges of international cooperation in the field of Components, Computing Systems and Networks, organising a joint workshop at the CSIT 2013 conference in Yerevan, and supported by the Eastern Partnership (EaP) Platform IV and the multilateral part of the European Neighbourhood Policy Instrument (ENPI) in partnership with DEVCO. The workshop's main objective was to clarify common research priorities and to identify potential joint future cooperation, and resulted in the signing of a memorandum of understanding between the coordinators of the two projects (INARMERA-ICT and PICTURE).

The challenge of coordination with other policy instruments is illustrated by the often limited progress in taking the outcomes of priority-setting exercises forward, and there was some difficulty in utilizing the results of the priority-setting exercises. In many of the early INCONETS, it was assumed that the results could be passed on to the European Commission DG RTD thematic directorates to be used in the preparation of Specific International Cooperation Activities (SICA) calls based on such priorities. However, many projects reported difficulties in influencing the Framework Programme or in engaging with national work programmes. In one case, the SEA-EU-NET reported on efforts to convince the European Commission to support SICA calls in the Thematic Priorities of the Cooperation part of the FP7 directed at ASEAN, but with mixed success. Furthermore, SEA-EU-NET was competing for an allocation of SICAs with other regions of the world such as Latin America.

The SEA-EU-NET project produced the 'SICA Good Practice Guide' which captured the lessons of influencing the direction of SICA calls: that the process is lengthy, an initial interest from the thematic directorate is essential, and the process should involve top-down and bottom-up exercises that address both political and scientific perspectives.

In the case of the R2I-ENP, the projects include cooperation with other FP7 thematic activities and the participants planned cooperation between all R2I-ENP projects for the duration of the projects. This cooperation is especially relevant to projects engaged on similar societal challenges and targeting the same geographic regions, and particularly useful in sharing the efforts to map competences in the innovation systems of the target countries. The deployment of a cluster meeting initiative, bringing together all the R2I-ENP project coordinators with the objective of fostering cooperation between projects, demonstrated a useful approach which was extended to the review of BILAT and INCONETs, and is an instance of good practice for other European Commission instruments.

2.5 Consistency with EU foreign policy objectives

International cooperation is both an objective of EU foreign policy and an instrument of that policy. With the global opening in the H2020 programme, international cooperation agreements in science and technology can support foreign policy to improve relations with other countries, promote goodwill among international partners and enhance the role of the EU as a global actor. Against the background of the Europe 2020 Strategy for smart, sustainable and inclusive growth, a target of 3% of EU GDP for R&D spending reflects the importance attached to research in the delivery of the strategy.

The contribution of EU external policies, and particularly the external dimension of internal R&D policy, is central to the delivery of the Europe 2020 Strategy. The research cooperation fostered through the INCO programme has created links with the countries and regions that are also targets of the broader EU foreign policy, and the geographic scope of the INCO activities reflects in many ways the global scope of EU foreign policy. Eighty nine third countries participated in the INCO programme (Annex 11), and 39 MS/AC participants (Annex 12). However, there was a concentration in the participation by the MS/AC countries, with France, Germany, Italy, Spain, Greece and Austria having the highest number of projects. Among the participant third countries, there was an ENP concentration, with Egypt, Tunisia, Ukraine, Jordan, Morocco, Armenia, and Georgia with the highest number of projects. The top twenty (third country) participants included Brazil, China, India, Japan, Mexico, Russia and South Africa (Annex 13, 14) – seven countries with which the EU has already concluded strategic partnership agreements.⁷

The INCONET activities support the inter-regional dimension of EU foreign policy. PACE-Net was one of the INCONET projects that specifically addressed foreign policy objectives, with a work package linking S&T policy to Pacific development goals and the preparation of a set of recommendations on the potential contribution of R&D to regional development. The CAAST-Net Plus project included a work package dedicated to 'Research, technology transfer and innovation to enhance food security', one of the three strategic priorities of the EC's Food Security Thematic Programme. The activity will operate within the context of the Joint Africa-EU Strategy (JAES) and will respond to the objectives of the Comprehensive Africa Agriculture Development Programme (CAADP) of the New Partnership for Africa's Development (NEPAD). The SEA-EU-Net project organized a conference linking the R&D to development, with the objective of identifying how poverty could be alleviated so as to improve the social and economic life of the poorest countries in Southeast Asia.

There are a number of global issues such as cyber security, climate and environmental change, health security (including epidemics), and poverty reduction where the EU can contribute to global debates and provide an input to global governance. European research programmes can provide an input to these debates in the specific research outputs, by taking a more strategic approach to policy dialogue, identifying dialogue pathways and key actors in the individual global policy arenas. In this context, the EU is already engaged in various global governance processes (in trade, environment, development) and can leverage its policy expertise in the respective areas through the EU delegations around the

⁷ The EU has signed ten strategic partnerships – Brazil, Canada, China, India, Japan, Mexico, Russia, South Africa, South Korea, US.

world so as to influence the direction of debate and policy-making in line with EU interests and with established norms and principles.

Two further considerations are offered here. One relates to the geographic focus of international research cooperation and the question of effective cooperation towards high quality research output. Does this mean fewer participants and deeper cooperation? What partners can be identified as strategic in the context of international research cooperation? How and to what extent can a balance be struck between research, development and foreign policy goals?

Coordination across the activities of different Commission Directorate Generals (development, external relations and research) was evident particularly in the latter stage of the INCO programme management. The global opening of the H2020 programme highlights more than ever the need for enhanced coordination, adding to the administrative and managerial responsibilities of the Commission DGs. While the European External Action Service (EEAS) is now in place to run the 141 EU delegations around the world, with a number of delegation staff on secondment from DG Research (and other 'home' DGs), the potential for coordination between research and foreign policy exists. However, the top-level division of authority between the different areas of the European Commission in the internationalizing of research policy remains unclear, and this can ultimately compromise the coordination of policies and strategic priorities.

The second consideration relates to the availability of financial resources to support international research cooperation, and particularly to attract the level of global participation necessary to make a substantive contribution to the ERA. It is not clear that researchers in third countries will want to increase the participation without being assured of financial support. The web-site of the CAESIE project published a document by the Australian science ministry (which has long supported the participation of Australian researchers in European programmes), stating the researchers should weigh up the costs and benefits of participation in European projects that would not automatically attract funding. This is unlikely to be an isolated case, and it raises a practical question about the kind of research cooperation that is feasible, and about the prospects for researcher mobility.

2.6 INCO – alignment with original objectives

One of the central questions in this evaluation is the relevance of the activities (the results and outcomes of the projects and programmes) to the needs and priorities identified in the work programme. The evaluation group considered relevance as the extent to which the objectives of the Capacities programme itself together with the ten activities are consistent with the beneficiaries' requirements, country needs, global priorities, and partners' and EC policies.⁸ The ex-post evaluation of the extent to which the original objectives still correspond to the needs of the European Union is particularly important in the context of the changes that occurred within the EU and the Member States since 2007, and also the global developments (both positive and negative) that impacted in various ways upon the European landscape.

In general, the annual Capacities work programmes (2007-2013) indicate the gradual clarification and broadening of the objectives, specifying the active collaboration of research teams from all sectors of society and the coordination of non-Community research programmes as an integral part of the development of the European Research Area. Initial calls emphasized the development of research infrastructures, the central role of National Contact Points (NCPs) from Member States and Associated States in assisting potential and successful applicants, and the aim of giving European research the necessary scale and scope to address large scale socio-economic challenges through the coordination of national and regional research programmes. The 2009 Capacities Work programme stated that

⁸ European Commission DG External Relations (2006) Guidelines for Project and Programme Evaluation, vol. 3, p. 27; European Commission Public Consultation on Guidelines for Evaluation, p. 34, November 2013

International cooperation represents an important dimension of all research activities carried out in the Capacities programme, in particular through the opening up of research activities to researchers and research organizations from all International Cooperation Partner Countries and from industrialized countries.⁹

The 2011 Work Programme acknowledged the new policy context set by the Europe 2020 strategy and the related priorities on developing the economy based on knowledge and growth. It also stated that the overall aim of the Capacities Programme was to 'enhance the research and innovation efforts throughout Europe, attaining where possible world leadership'. This aim was repeated in the following year's work programme, which also declared the support for strategic R&D partnerships with non-EU countries. The 2013 Capacities Work Programme reflected the preparation towards Horizon 2020 and a focus on priority areas with high European added value, underpinned by cross-cutting themes that called for programmes and activities that would support other EU policies. The international dimension of the European Research Area remained a central objective in the work programme with the need to establish critical mass and economies of scale through policy coherence and coordination.

BILAT projects partially contribute to the coordination of MS international cooperation activities. Some interviewees considered that BILAT had limited impact on the coordination of the MS, unlike ERA-NET and INCO-NET which are considered as successful activities whose results have been highlighted.¹⁰ However, BILAT activities have most often changed ways of working between third countries and MS, particularly when the cooperation with a third country is at an early stage. The role of a MS changes depending on its funding capacities and on its past cooperation with the third country. In most of the BILAT projects, one MS leads the bilateral cooperation not only as a national representative but also in some ways disseminating the EU approach to international research cooperation.

In general, the INCONET projects addressed the objectives of the calls and fulfilled the requirements of providing support to the bi-regional policy dialogue, identifying common research priorities, and undertaking activities to increase the participation of the targeted countries in the FP. The projects funded under the last two calls also addressed the objectives of these calls relating to societal challenges and innovation.

They supported the development of third-country capacity to participate in FP7 by assisting in the development of FP7 contact points through delivery of training and exchange visits. Some projects further provided training for researchers and project managers on FP7 rules and administration. Networking and partnership building was achieved through activities such as mapping of third country research landscapes, brokerage events, fact finding missions and travel grant schemes. The projects also disseminated information on FP7 through the development of websites, publication of newsletters, and organisation of information sessions, seminars and conferences.

The R2I-ENP projects matched the requirements and objectives of the call in terms of both the project partners and the planned activities, and included concrete actions to lay the groundwork for the development of a 'Common Knowledge and Innovation Space'. Projects focused on one of the identified societal challenges to align research and innovation to socio-economic needs. The broad spectrum of training and capacity-building activities provides a foundation to support the exploitation of research, innovation and commercialisation within a framework of international cooperation. Brokerage activities that bring together the various actors in the knowledge value-chain can help to close the gap between research and innovation, and with the establishment of innovation support services the projects offer sustainable benefits over the longer term.

⁹ European Commission (2008) Work Programme 2009 Capacities, C (2008) 4566, 26 August 2008, p. 5.

¹⁰ "European added-value of EU science, technology and innovation actions and EU-Member state partnership in international cooperation". Main report, European Commission 2014, DG R&I

All ACCESS4EU projects addressed the objectives of the call and succeeded in mapping the research community in the target countries previously unknown to EU researchers and research organisations. However, despite a common, coherent dissemination and outreach strategy, which was an excellent initiative in enhancing the visibility of ACCESS4EU activity, the projects failed to take full advantage of the possibilities offered to European researchers and research organisations in the targeted countries. The ACCESS4EU projects identified some funding opportunities in third countries for European researchers but the overall outcome in relation to the effort has been modest. The reciprocity aspect of the S&T Agreements has hence not been fully exploited.

ERANET/ERANET PLUS actions have managed to establish networks to launch joint calls within research priority areas addressing global and geographical issues of interest to the participating countries. Many of the joint calls are within fields that are of great interest for the EU as a whole. But the progress towards joining forces in research programmes targeting third countries to achieve critical mass and ensure better use of scarce resources in general has been modest.

However, some of the ERANET/ERANET PLUS activities targeting key third countries have good prospects for sustainable outcomes and more lasting impact. There are indications in some cases that the cooperation developed through the joint calls could continue beyond the EU funding, but this depends on the willingness of the participating countries to invest in furthering the cooperation. Ways of continuing the effort could also be explored through other schemes such as the thematic ERANETS, SICAs or coordinated calls within the most promising topics, or through the involvement of other organisations in the third countries.

INCO-NCP projects align with the original objective of the call instrument, and there is coherence and coordination with the awareness-raising and training activities that were undertaken through the INCONET and BILAT actions, with potential synergies between activities. Project participants promoted EU programmes in third countries, and involved participants from third countries with previous experience of the EU programmes.

All INCO-LAB projects are in line with the original objectives of the call encompassing opening of the activities to new memberships in MS/AC (with the exception of EURUCAS, which due to regulations of the host country had difficulties in providing full membership to new partners - associated membership was offered instead).

In the case of the INCO-HOUSE activity (based on the experiences of bilateral cooperation between India and France), the project addressed all the objectives of the call involving a feasibility study for an India-EU joint house for science and innovation. While mapping political and scientific will and priorities may not be a straightforward exercise, it is definitely a valuable first step in establishing the EU-In HOUSE collaboration. Benchmarking of existing mechanisms might be a duplication of already existing work, hence coordination with ACCESS4EU and other INCO and FP7 projects could help avoid it.

Almost all the INCONET projects involved a separate work package dedicated to the organisation of priority-setting activities. This activity involved the organisation of thematic seminars and workshops bringing together policymakers and stakeholders from the participating countries. In general, there was a very high level of interest and good attendance by stakeholders. However, there was a limited industry participation in these activities. The organisation of such activities is a demanding activity and some of the participants lamented that the INCONET projects could not allocate enough resources to the activity.

Section 3: Implementation

3.1 INCO participation: a quantitative summary

This section reports on the ten INCO activities, presenting a quantitative picture of participation rates and identifies the different motivation for participation across the activities. The outcomes and impact of specific projects are illustrated, and the general strengths and weaknesses of the activities are considered. Section five presents a more detailed SWOT analysis of the INCO activity in general.

The INCO activity issued a total of nineteen calls across the ten activities, with the first INCONET call issued in the final year of FP6 (Annex 15). Two more INCONET calls were issued during the period, and there were five BILAT calls. The ERANET/ERANET+ activity likewise saw three calls, while the INCO-NCP and ERAWIDE activities issued two calls for proposals. The remaining four activities each issued one call (ACCESS4EU, INCO-LAB, INCO-HOUSE, H2020).



The **ACCESS4EU** instrument aims at increasing European researchers' awareness of funding opportunities for international research projects in third countries (Annex 5.8). More specifically, the eleven ACCESS4EU projects support access to national research and innovation programmes in the following countries: Australia, Brazil, Canada, China, India, Mexico, New Zealand, Russia, South Africa, South Korea, and United States. A total of sixty four partners participated in this activity, with an average project size of six partners, and a total EC financial contribution of €5.31m (Annex 5.8). Among the EU member states, France, Germany, Italy and Greece were the most actively involved (Annex 6.1).

The activity is unique in the International Cooperation Activities of the FP7 Capacities Programme as, in contrast with most of the other efforts which aimed to integrate third countries into the Framework Programme, ACCESS4EU seeks to facilitate the participation of European researchers and EU research organisations in programmes funded by third countries. The activity has the following objectives:¹¹

- To increase the awareness and dissemination in the member states and associated countries of access opportunities for European researchers and research organisations in national research and/or innovation programmes managed by third countries;
- To help develop the reciprocity aspect of the S&T agreements by identifying the programmes open to EU researchers and promote their participation;
- To provide feedback to the Commission in the context of the Joint Committee meetings of the S&T agreements (JSTCC).

¹¹ http://ec.europa.eu/research/participants/data/ref/fp7/88698/u_wp_200901_en.pdf

The objective of the ACCESS4EU projects is to increase European research organisations' effective cooperation with third countries, as well as improve mutual understanding of respective research systems. The projects are expected to contribute to the implementation of the agreements by identifying the different funding programmes open to EU researchers and promote their participation, i.e. focus on developing the reciprocity aspects of S&T agreements.

The **BILAT** activity is a dedicated international cooperation action under the Capacities Specific Programme to support the participation of third countries in European and Member States programmes (Annex 5.3). The EU bilateral dimension is mainly driven through the conclusion of S&T Agreements with the EU, which means that BILAT actions are limited to third countries which have signed an S&T Agreement. The BILAT actions attracted 244 partners (Annex 4.1), with 39 projects and a total EC financial contribution of €31.46 (Annex 4.2).

The first EU-third country agreement in research and technology signed in 1994, between Australia and the European Union. Thereafter, agreements were signed with Canada (1995), South Africa (1996), China (1998) and the United States (1999). Over the years, the EU reached the conclusion that projects and activities were necessary to support and enhance policy dialogue and to develop a strategy of cooperation in the field of science and technology – thus, the BILAT concept emerged.

Subsequently, the Member States became involved in the cooperation between EU and third countries, positioning BILAT as an instrument to promote not only FP7 but also bilateral cooperation between third countries and EU member states with the main objective to coordinate the MS individual actions with a third country and/or at a regional level.

Under INCO FP7, five BILAT calls were published (Annex 15). Although the rules of participation and other eligibility conditions have changed little, the overall budget has decreased despite an increase in the number of countries participating. The individual budget of BILAT projects increased substantially from the first to the last project (from €499.800 for BB.Bice to €1.499.916 for B.BICE+ in the case of Brazil). This demonstrates that the volume of activities has been increasing in recent years.

At the same time, in most cases the budget percentage for the third country has been decreasing (e.g. for Brazil, from 100% in BB.BICE to 47% in B.BICE+ and, for Morocco, from 67% in M2ERA to 43% in MOBILISE). This could be explained by the enlargement of the partnership (e.g. no partner in BB.BICE but 3 MS partners in B.BICE+ and 2 Member States in M2ERA to 4 MS partners in MOBILISE). However, it should be noted that for the BILAT project ABESTIII which has 4 MS partners, the budget percentage of the Argentinian partner is 64.26%.

Considering that the budget allocation reflects the responsibilities of each partner, it is appropriate to consider what kind of partnership or what kind of activities are being implemented in the countries where the EU MS have the largest share of the budget.

The **ERANET/ERANET PLUS** scheme addressed the issue of fragmentation within the ERA by (i) getting member states to join forces in research programmes targeting key third countries so as to achieve critical mass and to ensure better use of scarce resources, (ii) addressing global issues common to many EU MS/AS, (iii) developing common governance principles (i.e. with respect to ethics, good practices), (iv) bringing together national programmes which deal with cooperation with third countries and enabling them to 'speak with one voice'.

In total, twelve ERANET/ERANET PLUS projects were funded under FP7, with a total EC financial contribution of €27.79 (Annex 5.1). Three projects were funded in 2013 while two are ERANET PLUS projects. Target regions/countries include Africa, Black Sea, Brazil, Canada, China, India, Japan, South Korea, Mediterranean Partner Countries, Latin America and Caribbean Countries, Russia and the USA (Annex 5.4). The duration of the projects

varied between 42 and 48 months, with project costs between 2.0 and 3.2 million EUR with the exception of the ERANET RUS PLUS with a project cost of 25.6 million. Compared to the thematic ERANET/ERANET PLUS schemes the budget of the INCO projects is modest.

The **ERA-WIDE** proposals specifically target the ENP (South Mediterranean and Eastern Partnership) countries. This programme aims to reinforce the cooperation capacities of research centres in Europe's neighbours in the context of the European Research Area. Third country participants include Algeria, Armenia, Azerbaijan, Belarus, Egypt, Georgia, Jordan, Lebanon, Libya, Palestine Territory, Moldova, Morocco, Tunisia, and Ukraine. Among the EU member states, Germany, Spain and the UK demonstrated the strongest participation rates.

Two calls were published and dedicated to ERA-WIDE activities, with 50 projects funded (Annex 5.1), a total of 209 partners (an average of four partners per project) with the EC financial contribution of €23.55 (Annex 4.2).

All ERA-WIDE projects aim at stimulating win-win cooperation and strategic partnership between Europe and the neighbour country in a defined research priority theme. The twinning concept is based on principles of benefit and reciprocity, and it allows the use of technology, methods and strategy not available to the neighbouring partner country.

The **INCO-House** activity sought to strengthen joint European S&T centres in third countries, supporting joint science and innovation related activities through co-funding activities. In this instance, the one project that was funded, India-EU Joint House for Science and Innovation, reflected the growing European interest research collaboration with this Asian emerging economy. The activity involved nine partners and an EC financial contribution of €0.8m (Annex 5.1). The long-term expected outcomes of the activity are increased coordination between MS/AC in developing joint activities with India, increased visibility and impact of the INCO-LABs, supporting the development of EU partnerships in the area of international cooperation in S&T, and more collaborative research projects between Europe and India in areas of mutual interest and for mutual benefit.

The **INCO-LAB** activity aimed to open the activities of the joint institutes to researchers from at least 3 different MS/AC other than those owning the facilities, thereby seeking to increase the scientific cooperation between researchers from Europe and those of the host country through the involvement of additional MS/AC and researchers in ongoing research activities as well as new joint projects. In this activity, six projects involving a total of 36 partners were supported (Annex 4.1), with an EC financial contribution of €11.99m (Annex 5.1). The target countries were Brazil, China, India, Japan, Russia and the USA (Annex 5.7). Projects of three/four years attracted funding of around 2 million Euro each. The research themes of the INCO-LAB activities are centered on Climate and Geodynamic research (Brazil), micro and nanotechnologies applied to engineering and biology (Japan), environmental and climate research (Russia), Health (China), Marine Ecosystem and Climate (India) and Water and the Environment (USA).

The aim of the **INCO-NCP** is to reinforce the network of National Contact Points (NCP) for the FP7 under the INCO activities by promoting transnational cooperation, focusing on identifying and sharing good practices through benchmarking, joint workshops, training, and twinning schemes and trans-national brokerage events.¹² Two projects involving 21 partners were funded under this activity: (i) Network of the INCO-NCPs (INCONTACT) and (ii) Transnational co-operation among NCPs for International Cooperation (INCONTACT-ONE WORLD), with a total EC financial contribution of €2.37m. The second phase of the activity aimed at enhancing cooperation of INCO-NCP through (i) an annual meeting/conference for all the INCO NCPs; (ii) a twinning scheme implemented between European NCPs and FP7 contact points on a voluntary basis; (iii) increasing the visibility of FP7 through the info

¹² http://ec.europa.eu/research/participants/data/ref/fp7/88698/u_wp_200901_en.pdf

days; (iv) expanding the NCP network with Thematic NCPs; and (v) developing good practices (Annex 5.9).

A third project, INCONTACT 2020, was funded in 2013, building upon the acknowledged work performed during the previous INCONTACT projects, planning activities addressing the transitional period between FP7 and Horizon 2020 and the requirements of Horizon 2020.

The **INCO-H2020** aims at (i) raising awareness in third countries of the opportunities available in H2020 and ensuring continuity of previous experience and achievements of INCONTACT; (ii) reinforcing the network of FP Contacts in 3rd countries; (iii) sharing good practices in facilitating partnering and the preparation of international collaborative actions; (iv) supporting training of contacts in third countries on H2020 content, rules and opportunities (v) Promoting cooperation between contacts in third countries.¹³ One project, involving 13 partners has been funded under this activity: Supporting the International Dimension of Horizon 2020 (Annex 5.10), with a total EC financial contribution of €1.00m.

The **INCONETS** promote scientific cooperation using a broad bi-regional approach. Over the course of FP7, five calls were issued and a total of 21 projects received funding, each with a financial allocation ranging from €1.5 to €4 million (Annex 5.2). The total EC financial contribution for INCONET projects was €54.4 million (Annex 4.2), corresponding to 32% of the total INCO budget and, with a total of 417 partners, making it the largest activity in the sub-programme. Among the EU member states, the high-participation countries were Austria, France, Germany, Greece, Italy, Portugal and Spain. The regions targeted for cooperation included Sub-Saharan Africa, the ACP region, Latin America and the Caribbean, Central Asia, the Danube region, Arab Gulf, South Caucasus, Western Balkans, Eastern Partnership, Mediterranean, and the Pacific.

The early INCONET calls (2007/2009) sought projects to establish or strengthen bi-regional dialogue, to identify common research priorities, and to undertake activities to increase the participation of the targeted countries in the FP. In the later calls (2012/2013), the objectives were further developed to include:

- Structuring and strengthening the bi-regional cooperation on Science, Technology and Innovation;
- Supporting the institutional bi-regional policy dialogue in Science and Technology;
- Monitoring progress in bi-regional S&T cooperation.

In line with evolving EU policy and in particular with the Innovation Union (IU) approach,¹⁴ the later calls introduced a focus on innovation and on societal challenges into the international cooperation activities. The INCONET projects were required to address the following key areas:

- Focus on major societal challenges (to focus work towards bilateral programmes between MS/AC and countries of the region, and towards complementarities with other EU policies and programmes addressing the target region);
- Support policy dialogue;
- Strengthen cooperation with third countries, through raising awareness, brokerage events, training;
- Increase effectiveness and impact, through a dissemination plan and the use of an external review panel for quality assurance of deliverables.

The first two calls between them funded projects addressing all the target third country regions. Subsequent calls funded follow-up projects to build upon the work of the earlier projects and to address the evolving objectives.

¹³ Work Programme 2009, 2013

¹⁴ Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions (2010) Europe 2020 Flagship Initiative, Innovation Union, COM (2010) 546 final.

The **R2I-ENP** activity focused on bridging the gap between research and innovation, aligning research objectives to socio-economic needs, and to improving the management, application and diffusion of research. Only one call was made towards the end of the FP7 programming period with an indicative financial allocation of €9.5 million and thirteen projects (involving 138 partners) were funded, with a financial allocation of approximately €1 million each (Annex 5.6). The call targeted the European Neighbourhood Policy (ENP) countries: the Eastern Partnership countries of Armenia, Azerbaijan, Belarus, Georgia, Ukraine; and the Mediterranean Partner countries of Algeria, Egypt, Jordan, Lebanon, Libya, Morocco, Palestinian-administered areas, Syria, and Tunisia.

The aim of the R2I-ENP activity was to

- foster public-private partnerships between Member States and/or Associated Countries and the European Neighbourhood Countries (ENP) for research-to-market;
- contribute to the achievement of a common knowledge and innovation space between the EU and the ENP countries through cooperation between research and innovation actors among the two groups;
- to increase the potential of Science, Technology and Innovation (STI) cooperation between Member States and/or Associated Countries under Horizon 2020 and to contribute to the definition of bi-regional programmes on innovation.

Projects funded under this activity were expected to engage in networking to support research and innovation, to engage with SMEs and foster research between public and private sectors, and to encourage best practice in research cooperation.

Among the Member States and Associated Countries, the countries with the highest level of participation in R2I-ENP were Belgium, France, Germany, Greece, Italy, and Spain. In the case of the targeted countries, Georgia, Ukraine, Belarus, and Armenia had the highest level of participation (Eastern Partnership Countries), and Tunisia and Morocco from the Mediterranean Partner Countries. The projects included between six and fourteen partners with about 55% of the partners coming from third countries.

3.2 The changing trends in participation

ACCESS4EU targets the group of countries having an S&T Agreement with the EU. All consortia have at least one partner from the target third country, a mix of partners such as ministries, programme owners or other organisations with the required knowledge, expertise and links. Mostly, the consortia have two or more third country partners and the majority of the projects are coordinated by EU partners, while a small minority is coordinated by third country research organisations.

The relevant stakeholders are researchers and professional associations that act as umbrella organisations representing researchers and other stakeholders at national and European level, as well as SMEs and large industries. Another important target group of the ACCESS4EU activities are European programme owners who can use the information in relation to their own research and innovation programmes and take advantage of possible adaptation to those of third countries.

The first **BILAT** call opened in 2007 without any requirement in terms of partner profile. In most of the cases a single third country participant was in charge of implementing, coordinating and carrying out the BILAT project. However, third country ministries are sometimes unable to administer European budgets and in such situations the management of BILAT funds is more effective through another organization (agencies, associations, research institutions). Subsequent calls became more specific with regard to the profile of the partners, limiting the national participation to the 'third countries authorities responsible for the follow up of the S&T cooperation agreement or any organization with the necessary mandate from the national authorities'.

This openness brings other benefits: third country ownership of the projects, local knowledge and better implementation of the activities. A consortium that includes an experienced European partner can be advantageous for developing countries less familiar with the European Commission's project management requirements.

Although a range of partners on both sides can enhance the quality of the project it can still be more difficult to manage the overall balance of the partnership where, for instance, there is a ministry on one side, and an innovation agency on the other side. Therefore, the conduct of partnerships differs from one BILAT project to another. In one case a strong partnership will be observed between the third country Science and Technology ministry which enables a high degree of stability and the Member State institution with a long term presence in the country; in another case, the ministry will be involved in the project through a public agency which may have high turnover of junior and senior officials and project officers who may not see the majority of projects through to completion. More generally, this suggests that international cooperation projects work best where there is stability and continuity of project management. The Commission was actively involved in shaping the BILAT process (as revealed in the many modifications to the Descriptions of Work) and all the evidence suggests that the support of the project officer was also an important factor in motivating the project (cited by many BILAT coordinators as critical factor for the success of the BILAT projects).

The large number of countries participating in a typical **INCO-NET** project means that, for practical reasons, only one or two organisations from any given country could participate in a project. The mix of project partners includes government ministries, public sector entities, Research Councils, funding bodies, science academies, universities and other organisations. The makeup of the consortia varied significantly from one project to another and it is not possible to make any generalisations regarding the consortia. Generally, the broad range of objectives and activities undertaken in the projects are beyond the remit of any one organisation, making it difficult to identify an ideal partner profile.

The new objectives in the later calls relating to societal challenges led to some minor changes in the type of partners, for example the inclusion of international organisations such as the Technical Centre for Agricultural and Rural Cooperation, the Council on Health Research for Development, and the United Nations Industrial Development Organisation. Similarly, later projects included some partners more directly focused on innovation, though this was the exception rather than the rule.

The **R2I-ENP** activity depends on broad-based representation from the entire knowledge value chain, and participants include universities, private entities, business associations, science parks, business incubators, chambers of commerce, public and private research organisations, innovation funding agencies, and government agencies. European member states participants largely provided consultancies, business associations and non-governmental organisations, while third country participation included universities, government agencies, and business associations. While additional partners from the relevant sectoral ministries would have been advantageous, in practice this would have added to the complexity in managing multiple partners. Nevertheless, the R2I-ENP projects included a balanced mix of partners appropriate to the aims and the objectives in each case.

In general, the trend is towards enhanced INCO activity among participants that had already engaged with the programme. For those participants that faced a steep learning curve, the evidence points towards a willingness to maintain international cooperation, deepening existing links or establishing new partnerships, and there were instances of projects being renewed for a further period, or continuing in a modified partnership. It is clear that for those participants with some experience of international STI cooperation, there was greater willingness to extend and deepen participation. However, the coordination and support actions remain central to fostering international cooperation for both the MS/AC and third country partners with little prior involvement in INCO and/or the other FP7 programmes, and there are clear implications for the administration of the H2020 programme through a multi-level (EC, MS/AC, delegations, third country) coordination.

3.3 Why participate in INCO? Motivations and driving force

The main motivation of MS/AC towards **ACCESS4EU** participation is to increase European involvement in third country funding programmes, and to enhance mutual understanding of respective research systems. Mapping third country ST&I landscapes and identifying common challenges, needs and opportunities supports policy dialogue, and the formulation of strategic recommendations on scientific collaboration between Europe and third countries. The European ambition to build critical mass and strengthen its international research profile by partnering with the best researchers is a major driving force. Participation improves the quality, scope and critical mass of research by linking national (both financial and human) resources with resources and knowledge in third countries. Achieving research excellence in a globalised world is hence the main motivation for the European countries to participate in **ERANET/ERANET PLUS** and the other activities, where collaboration can be based on joint initiatives and reciprocity.

In third countries with a lower technological intensity, an important driver is to strengthen national science, technology and innovation (ST&I) capabilities through international cooperation. The research capacity of third countries is identified, as well as the existing ST&I programme opportunities managed by third countries, which in some emerging countries has been lacking. Third countries with less intensive ST&I activities and gaps in capability can gain access to the best scientific resources in the world. Third country authorities are aware of the advantages and the mutual benefit from making programmes accessible for EU participation.

The type of activities supported in the **BILAT** projects changed significantly from the first call to the last one. The initial instructions were not very detailed and participants were not constrained by specific requirements, thereby resulting in great variability among the BILAT projects. The first BILAT projects focused on providing information about EU programmes and funding so as to facilitate the participation of third countries in FP7, and also to enhance third country capacities for international cooperation in science and technology. This was the first step to develop local competences and to elevate international S&T cooperation to a new level.

Subsequent projects aimed to enhance the political dimension with a better involvement of the EU Member States, and the coordination with the regional dimension. The activities were more oriented towards building joint collaboration through the construction of networks, even sometimes through clusters. This was partly the result of the enlargement of the partners, in particular to include EU Member States and Associated Countries, a major factor of coordination being to promote joint programming. The EU receives valuable feedback that contributes to fostering policy dialogue within the context of the third country through the European Union Joint Science and Technology Committee (JSTCC).

Not all Member States are involved in BILAT projects. Germany, France and Italy are most actively involved in BILAT activities (Annex 6.1). Germany has been collaborating on 25 projects (5 as coordinator), France on 19 projects (2 as coordinator) and Italy on 17 (1 as coordinator). Spain and Austria are also active, collaborating respectively on 9 and 10 BILAT projects.

For third countries, the main motivation of BILAT is access to the EU programmes and funding for their researchers. More generally, third countries want to learn from the EU which many regard as successful in terms of its research policy and management. Third countries' main motivations include: the need to open doors in Brussels; the connection with Member States that are better placed in the EU calls; and, in some projects, to be more open to innovative SMEs. As the interviews conducted for this evaluation suggest, the keys for success in a BILAT project include: ensuring continuity of the support teams; short communication channels between project teams and decision makers; building relationships of trust with the partners (it takes time and practice); availability of the project leader during the entire time of the project; and, harmonization of the working relations and complementarities between the partners.

Member States' main motivations are to strengthen the existing partnerships and to bring forward their priority themes. Geopolitical objectives are also being served. The **INCONET** and **BILAT** projects give EU Member States the opportunity to better prioritize their research collaborations, especially with small and medium size countries. Collaborating is a way to realize the individual potential of member states and third countries.

In the case of EU member states, the main motivation for participating in **INCONET** projects is to foster links with third countries and to increase knowledge of the S&T landscape in such countries, to engage in international dialogue with different regions of the world, and to strengthen the scientific relations with different countries outside the European Union. In the larger states which may already have their own bilateral initiatives, the **INCONETS** supplement national efforts in achieving these aims. Participation in **INCONETS** also provides an opportunity for countries to learn from the approaches employed by other member states.

A minority of countries took a broader European perspective, seeing the **INCONET** projects as mechanisms for better coordination of MS strategies towards third countries and for shaping the approach to international cooperation within the European Research Area.

Some countries have a specific interest in particular regions. For example, Spain considers the Mediterranean a high priority and has several bilateral research cooperation agreements with institutions in Morocco, Tunisia, and Egypt. Spain coordinated the Med **INCONET** (**MIRA**), with strong participation from government bodies. Austria has a strong focus on cooperation with South East Europe and is coordinating the **INCONET** with the Western Balkans and the Danube region. The UK is coordinating an **INCONET** with Africa. Greece and Turkey are participating mainly in projects targeting the Balkans, Eastern Europe, and Central Asia. Germany collaborates with third countries all around the world.

In the case of **INCONET** projects, most third countries have less advanced scientific capabilities than the EU countries and are mainly looking to improve their capabilities in this area. They participate in **INCONETS** with the aim of developing their understanding of EU programmes for financing collaborative research activities, and to secure scientific, technical and financial support to conduct national research activities in collaboration with European partners.

The **INCONET** projects generally have between 10 and 30 partners with good participation from both Member States (MS) and Associated Countries (AC) as well as from third countries. In terms of MS/AC participation, France, Germany, Italy, Austria, Greece and Turkey all had high levels of participation while Spain, Portugal and the UK showed lower participation rates. Other MS/AC countries had low participation. While in some cases this may have reflected lack of interest, in other cases it may be that the financial constraints and limited budget made it unattractive to join a consortium. Overall, the motivation of the EU member states and associated countries for **INCO** participation is similar to that of the third countries/regions – to enhance access to advanced scientific and technical resources, and to strengthen capability in areas of strategic priorities.

3.4 Outcomes and impact of specific projects

The **ACCESS4EU** projects have been devoted to:

- mapping and reporting on the research landscape of the third country;
- collecting information on relevant research funding programmes, rules of participation, eligibility criteria, funding levels and application procedures;
- providing information on funding bodies in third country;
- compiling an inventory of the bilateral agreements between EU MS/AC and the third country;
- providing feedback to the European Commission and to the Joint Science and Technology Coordinating Committee (JSTCC) overseeing the Agreement on Cooperation in Science and Technology.

Third country research programmes and openness to European researchers are identified in the projects, as are the obstacles to participation by the European research community, with recommendations on how to increase participation. The overall vision for the ACCESS4EU initiative, as stated in the EU-third country agreements, is based on the principle of reciprocity and mutual benefit. However, the ACCESS4EU projects have not been able to take advantage of the opportunity to exploit the full potential of the reciprocity principle.

The concept has rarely been addressed in the projects (it is mentioned in few of the projects and often in connection with policy statements).

As required in the call, all ACCESS4EU projects focus on policy dialogue and a dissemination effort based on a common dissemination strategy with a website and newsletter to distribute information. Management and monitoring of collaboration, brokerage events, NCP training and to a limited degree priority-setting and metrics are other activities undertaken under ACCESS4EU.

All **BILAT** projects include the conception of studies (surveys, reports), capacity building (workshops, seminars, training session), dissemination (website, newsletters) and often the creation of databases. But not all project documentation files contained quantitative references to the volume of the activities carried out and the absence of such information in half of the final reports made the quantitative monitoring difficult.

Some BILAT projects went further, offering grants for building strategic partnerships, drawing up a map of competences of the country, or creating a 'Business room' where the national institutions can advertise their specific interest in FP7 calls.

The activities covered by the **ERAWIDE** calls are:

- Twinning with research centers in Member States or Associated countries to exchange good practice and knowledge, disseminating scientific information, identifying partners and setting up joint experiments;
- Developing training modules to build competency and facilitate the participation of these centres in FP7;
- Developing the strategy of research centres to increase their scope and visibility, to develop their comparative advantage and improve their competitiveness by enhancing their responses to the socio-economic needs of their countries and region.

The ERA-WIDE activity improves research centres capacities in a given research area. It does not support research work directly though in some cases the outcomes (workshops, seminars) seem to be very close to research work. ERA-WIDE projects present a large variety of outcomes, including training modules, conferences, research and management mobility, and research schools.

However, one significant activity of the ERA-WIDE projects is the strengthening of institutional capacities among the third countries, giving them the opportunity to gain wider visibility and better access to national and international research projects, and to participate in new research networks.

The **INCO-NET** projects provided an important contribution to the policy dialogue through intelligence-gathering activities such as documenting the relevant S&T policies, compiling an inventory of research specialists and expertise, mapping skills and infrastructure, conducting interviews with stakeholders and organising discussions. INCO-NET projects also undertook activities to identify common research priorities in the participating countries, and contributed to capacity-building through the provision of training for third country Contact Points.

Networking and partnership-building was achieved through the mapping of third country research landscapes, brokerage events, fact-finding missions, and travel grant schemes.

The projects also disseminated information on FP7 through the websites, newsletters, conferences, workshops and information sessions.

Many of the outcomes and impacts from the **R2I** projects are discussed in some detail in the other sections of this report. However, one significant activity which it is appropriate to note here concerns the mapping of third country research and innovation systems and strategies, including research organisations, industry analyses, stakeholders, competencies, infrastructures, business promotion services (including business parks and incubators), as well as supply and demand analyses to identify bottlenecks and barriers to research and innovation. Some of the projects plan to contribute this information to develop roadmaps and other forward-looking documents.

3.5 Dissemination strategies

The main objective of the dissemination strategy in **Access4EU** projects is to attract the attention to, and communicate information about the research and innovation programmes of European research institutions, universities, political decision makers and the European Commission. This has provided the possibility to bundle forces between the ACCESS4EU projects and develop a common dissemination strategy.¹⁵

The key tool of the ACCESS4EU common dissemination strategy is the common web portal, which serves as a unique access point to all eleven ACCESS4EU projects. The web portal includes the RTDI programme database with a search tool that allows the identification of programmes by country and/or theme of interest. The portal also presents common news and a calendar, showing upcoming events organised by the 11 projects. Furthermore, updates on new calls, new programmes and new events are promoted via a common ACCESS4EU newsletter and the website offers direct subscription. The project coordinators have thus taken full advantage of the common dissemination strategy and the possibility to develop synergy and join forces in organising events.

Information days were arranged in different European and third country cities, some in cooperation between two ACCESS4EU projects, with awareness campaigns in EU and third countries, training workshops, events and conferences. The participation of MS/AC research organisations ensures the wide dissemination of the access opportunities to European researchers both geographically and thematically, with most partners having a good understanding of the target audience in the EU and established networks for promoting participation in research programmes.

The project website offers information on programmes, agreements, arrangements and other opportunities for collaboration in the frame of third country research and innovation programmes. The Access4EU common newsletter distributes the latest news on opportunities and developments in third countries, and the Access4EU brochure published by the European Commission has been distributed at international S&T cooperation events.

Dissemination via official representatives and diplomats is extensive. Project partners can brief diplomats posted to EU countries, particularly those responsible for S&T relations, with the aim to inform and spread awareness, and collect data about EU organizations linking to third country S&T programmes.

Teleconferences with the EU-based S&T counsellor network have also been arranged. Moreover, EU countries' diplomatic representatives in third countries are briefed on S&T issues.

Many project partners were members of the Enterprise Europe Network (EEN) that links industry, in particular the SMEs, with the research community. University departments responsible for international cooperation (an under-utilised resource in INCO management)

¹⁵ http://www.access4.eu/_media/ACCESS4EU-Brochure-101029.pdf

could further support channelling information to stakeholders, as there is less evidence of this dissemination channel.

BILAT projects utilize a wide range of electronic dissemination tools, including web-sites, electronic newsletters, video-conferencing, e-learning platforms and web-based seminars. Strategies include the use of web platforms to support collaboration and knowledge-sharing among research organisations, universities, and private enterprises. The core of the platform is based on research groups, laboratories, departments and business units inside institutions. These platforms can be opened to a large public with the aim to foster knowledge to platform users as well as matching up R&I competences and needs.

For **ERAWIDE** projects, dissemination of information is crucial, and the visibility of the project in the third country is central to the success of the project. The access by policy-makers, institutional stakeholders, enterprises and civil society to the project results and information rests on the implementation of a robust and varied dissemination policy, including the provision of all documents on the web-site in the language of the country.

All **INCONET** projects had a range of dissemination activities, including websites, newsletters and publications. Most of the websites provided basic information, although a few offered additional features such as partner searches, or information on the research landscape in the third country or region. Websites were generally in English, although some of the projects include other language versions to facilitate domestic users/native speakers. While potential participants must have a working knowledge of English, it is still beneficial to have dissemination material in the mother tongue. In a number of cases where the third country partner also performed the role of FP7 NCP, such partners were able to continue building on achievements of the project such as a database of contacts, and to put this to good use for additional dissemination of FP7 opportunities.

In general, the INCONET partners considered that the dissemination activities were appropriate to meet objectives. However, the challenge of reaching a large audience dispersed across large geographical regions should not be underestimated. Some partners suggested that greater use of videos, interviews and press releases at the regional level could improve awareness even more. Most of the INCONETS organised information sessions and conferences to promote awareness of FP7 (and H2020, in the case of later INCONETS) in third countries. However, such events tend to be held infrequently due to the expense and effort involved and rarely exceeds one event annually in any particular country. On occasion, the events organised through the projects attract national media coverage, thus reaching a far wider audience than those attending the event.

The projects funded under the R2I-ENP activity included a range of dissemination strategies, newsletters, project posters, international thematic conferences, and web-sites. An important contribution of the R2I-ENP activity is engagement with crucial components of the innovation system such as science parks, incubators, and innovation centres. These mapping exercises also addressed the bottlenecks and barriers to innovation for research through supply and demand analyses.

3.6 Gender analysis

The evaluation examined the gender representation across the INCO activities, and the results are presented in Annex 7. The data was largely based on an examination of the final reports and (in the case of ERA-NET) on the descriptions of work. Gender representation was examined across a number of dimensions (roles), including at the level of scientific coordinator, work package leader, experienced researchers and PhD students. No data was available for three of the activities - INCO-LAB, INCO-House, and R2I-ENP.

It is important to note the balanced participation of women and men in the consortium for each partner in the great majority of BILAT and ERA-WIDE projects, though overall there were fewer women involved in the ERA-WIDE projects. Among the INCONETs, there was a good distribution between women and men, though the former had a slightly lower

representation overall. In the case of the ERANETS, there was an overall balance of male participants, and this was also true for the ACCESS4EU activities. There was a notably higher representation of women in the INCO-NCP activities, where the women participants outnumbered the men.

In the case of PhD student representation, there was generally an evenly-balanced representation across the activities, except for ERA-WIDE which had a markedly higher number of female PhD students as participants. However, the other roles in the ERAWIDE projects reflected a slighter higher male to female ratio among the participants and this was in line with the more general picture of gender representation overall across the INCO activities. Despite the efforts of the Commission to promote a better gender balance in FP7, the participation of women in projects was below target.¹⁶

It is clear from this analysis of the female/male participation rates that continued attention must be given to gender issues in promoting international cooperation within the context of the H2020 programme. It is reasonable to conclude that in opening H2020 to the world, even greater challenges will face the Commission in regard to persuading new participants and partners of the merits in adopting measures to promote gender balance. Within Europe, the Commission has had to rely on the member states to take the necessary decisions and adopt changes to national policy in order to move towards a more balanced representation within the scientific community.

Researcher mobility within Europe is gradually showing the positive results of this coordinated action by the member states and the Commission. However, the need to consider how to promote gender balance in policy discussions and negotiations with international participants remains crucial. A recent report on basic principles for international S&T agreements underlines the importance of researcher mobility in any such agreement, however it has nothing to say on gender balance in international mobility schemes.¹⁷ Yet, as the results of efforts to promote balanced gender participation in Europe indicate, any progress towards equality depends on concerted actions and explicit targets with the firm commitment and consensus of the policy authorities.

3.7 INCO implementation – strengths and weaknesses

This evaluation suggests that the INCO activity achieved notable results in terms of the implementation of the programme. The calls attracted a strong response from the international community, and particularly from the countries and regions targeted. There appears to be an appropriate and effective system for the management and administration of calls, and for the distribution of funds and the periodic review of projects. The role and involvement of the EC project officer was acknowledged to be central to the successful implementation of INCO projects, particularly in maintaining the dynamism of the cooperative efforts. However, the final reports of the completed projects did not always convey the detailed structure to be found in the descriptions of work (DOW), and the overall assessment of the activities in these final reports was of a general rather than a substantive nature. More effective evaluation of completed projects could be made where the final reports adopt a similar structure to the description of work, taking account of the general indicators for the INCO programme and providing a review of the deliverables for each work package.

Among the interviews conducted as part of this evaluation, there was repeated reference by interviewees to the 'learning' effect of participation, both in regard to the European Commission rules and procedures on project management and to the knowledge gained about international (European and third country) research funding programmes and STI systems in general. The projects produced a range and variety of dissemination activities,

¹⁶ Interim Evaluation of the Seventh Framework Programme. Report of the Expert Group, 2010.

¹⁷ Basic Principles for effective International Science, Technology and Innovation Agreements. Main Report. Directorate General for Research and Innovation, International Cooperation Unit C.2.

and the resulting portals constitute a significant contribution to knowledge-sharing both in regard to funding sources and to potential partnerships and new networks. But even well-intentioned dissemination efforts can sometimes run into difficulties when web-sites and documents of projects located in third countries are published in English instead of the national language and thus may not be accessible to the wider national community. This affects the visibility of the project among the policy-makers, institutional stakeholders, enterprises and civil society within the country.

The dissemination of information is imperative in order to support international cooperation. As the interviews revealed, an INCO coordinator may not be aware of other European projects hosted in his/her country and thus miss out on the opportunity to create synergies between projects and activities. One way to ensure sustained and effective dissemination would be to organize contacts between EC projects (EuropeAid, INCO, Thematic DGs) in the same country and/or region, and to share information to create synergies between the different programmes.

ERAWIDE offers the opportunity for new partnerships which can become sustainable through new projects. While it can be difficult for participants to move from cooperation through capacity building towards cooperative research projects and networks, many ERAWIDE participants highlighted the visibility and opportunities that such participation brought and the prospects for access into other national and international research programmes. However, the INCO projects did not guarantee access to the bigger projects in the FP7 thematic programmes where prior experience and strong relations in research activities were key factors in participation.

The perception is that for a developing or emerging country to enter an EU research consortium it has to bring something unique to the partnership, some distinct added-value (access to infrastructure, or industry) as illustrated by the case of the ERAWIDE JEWEL project which submitted several proposals to FP7DG-CONNECT, and was successful with the MOSAIC proposal, with Jordan bringing the necessary access required by the other partners. The case illustrates the importance of involving the thematic DGs and DEVCO (for developing countries) very early in the process.

European-funded projects are acknowledged to place significant demands on participants and coordinators, and some INCO coordinators were inexperienced in coordinating EU FP7 projects with the often detailed reporting and complex monitoring arrangements that were entailed. With some of the projects, the real coordination was undertaken in the early phase by the EU partners, often consulting firms, highlighting a need for training in the management and coordination of EU projects. The issue of project management raises also the possibility of synergy with capacity building, particularly in the case of developing countries. One option could be that the Commission addresses the efficiency of the project management by providing a double-coordination system integrating a training dimension (monitoring a project) with the management of part of the budget allocation, and to provide all coordinators with a practical guide to the management code of ethics.

Section 4: Direct achievements

4.1 Direct achievements

The INCO Activity provided the framework for coordination and support actions to foster cooperation between participants in the ten activities. Direct achievements of the INCO projects range across outcomes that include participation rates (levels and types of participants), networking activities, and capacity-building actions. Many of the activities undertaken by the projects could be classified as networking and capacity-building, and it was not easy to categorise project activities as one or the other. Project members considered activities to have a dual purpose, unless the activities were specifically designed as capacity-building in the Descriptions of Work. The projects have undertaken a rich and diverse set of activities, ranging from dissemination to information production and training.

INCO project activities		
Dissemination events	Monitoring	NCP training
Newsletter	Brokerage events	Other training
Website	Mapping excellence	Priority-setting
Metrix	NCP twinning	Policy support

All activities/projects included dissemination events (web-sites, newsletters, workshops). Many projects undertook mapping exercises, producing very relevant knowledge connected to their topic area and/or the national contextual background, structural conditions, and research environment.

Across the INCO activity, 1326 partners are involved in international cooperation, 813 from the MS/ACs and 513 from third countries. In total, 61% of the partners are from the EU (member states and associated countries), and 39% are from the third countries. The total number of projects funded is 156. Taking stock of INCO in numerical terms, the conclusion is that the critical mass in international participation has been secured and, with the linkages established through other FP7 programmes (the funded research projects with international partners) there is an adequate foundation for the opening of H2020.

The INCONET activity supported bi-regional coordination with strategic partners that are key to the EU’s foreign policy and external relations, including Africa, Latin and Central America, ASEAN, the Arab Gulf, the Pacific, and Western Balkans. Similarly, the BILAT activity reflected ongoing scientific and political priorities in the engagement with individual countries including (Argentina, Australia, Brazil, China, Japan, Russia, South Korea, Ukraine, US, China). The ERAWIDE activity enlisted the participation with the European Neighbourhood countries, a central component of EU foreign policy. The thematic priorities of H2020 can already be identified in ERAWIDE projects (food, agriculture, water, biotechnology, biodiversity, marine environment).

4.2 Coordinating for policy dialogue

Section two of this report addressed the contribution to policy dialogue. Although not all INCO activities are directed towards supporting policy dialogue, there were instances of specific coordination among projects to support policy dialogue. As far as the INCONET projects go, there were instances of collaboration with other FP7 projects relevant to the target region. Sometimes collaboration was between INCONET projects (e.g. EUCARINET

with ENLACE, EULARINET and ALCUENET), at others between INCONETS and other INCO projects (e.g. MIRA with ERA-WIDE projects, MIRA with various BILATs, WBC IncoNet with SEE EraNet Plus).

There was also some level of coordination between INCONETS and thematic international cooperation projects (e.g. ENLACE with ALCUE-KBBE, WBC IncoNet with SCORE, WIMS- ICT and BAFN) when the opportunity presented itself. Cooperation between projects often involved the organisation of joint activities such as workshops or events. Other examples include that between PACE-Net and FEAST (BILAT) for the compilation of information on collaboration within existing research. However, the INCONET projects did not achieve the broad level of cooperation seen between the Access4EU projects in the development of a common portal.

It is important to note that the interconnection between the different levels of the political dialogue is facilitated when players are the same. For example in Brazil, the same French representative is involved in BILAT and in the Joint Action Plan, promoted by SFIC. A good way to create synergies is also to organize back-to back events. For example in the Mediterranean countries, meetings have been organized in this way, in one case within the framework of the Association Agreements of the Neighbourhood policy and in the other case in the framework of the bilateral agreement.

But the policy dialogue can also be implemented according to a bottom-up rationale. As the practice in other actions shows, it is possible to develop common themes that feed into policy through coordinated action by states, illustrated by the case of the Joint Programming Initiatives (JPIs),¹⁸ where the Member States implement joint Strategic Research Agendas on the principle of variable geometry. One example is the JPI on neurodegenerative diseases which includes Canada in addition to EU MS. In this case the international cooperation is being reinforced by a common thematic area identified by the Member States and after the fact opened to third countries.

With regard to policy dialogue, according to the interviews the INCO programme has successfully completed its mission. It is perceived as facilitating dialogue between equals with the third countries and aiming for mutual benefits. In some regions where the European Union wanted to establish a sustained political dialogue (Mediterranean countries for example), this approach has been very appreciated by the third country participants with a real impact, in some cases, on the national research structures.¹⁹

Most of the ACCESS4EU projects included partners with the required competences and experiences, i.e. a good understanding of the target group, as well as access to established networks for promoting participation in research programmes. Despite this, a coordinated dissemination approach and, in many cases, direct links with ERANETs and INCO-NET projects, the projects have not succeeded to create synergies. Nor did they succeed in creating synergies with the BILAT activities to pave the way for enhanced participation of EU researchers in third country research programmes. Some of the ERANET/ERANET PLUS projects coordinate with other INCO-NET, BILAT and thematic ERANET projects. However, a systematic coordination effort across these actions could foster substantive contributions to understanding the issues and priorities for policy dialogue, informed by the work of each activity and the synergies generated by coordination.

4.3 Longer term - potential impact

While the effects of the INCO activities on capacity-building, policy dialogue, and networking have been acknowledged by the participants, the more durable impact in terms of changes

¹⁸ A JPI is a structured and strategic process whereby Member States agree, on a voluntary basis and in a partnership approach, on common visions and Strategic Research Agendas (SRA) to address major societal challenges. JPIs are referred to here for illustrative purposes, and are not INCO activities.

¹⁹ Supported by the EU, Egypt set up a research funding agency focused on high standards of submission.

to third country research systems is less clear. National innovation systems tend to evolve slowly and to reflect the individual historical political, economic and social conditions in each state. Despite the globalizing forces to which all INCO participants, MS/AC and third countries, are increasingly exposed, it is clear that certain national areas remain less susceptible to external change agents. The process from basic research through innovation to market-place varies from one country to another, and the limited industrial participation from many third countries in the INCO activities minimizes both the opportunity of engagement with innovation processes, and also the potential long term impact.

Nonetheless, many third country participants from universities and/or research laboratories engaged in international cooperation because of their interest in global knowledge production and because of the global challenges (food security, poverty, climate, development, etc.) that were also identified to be national or regional challenges. Among the third countries with strong (multiple) participation, the changes to networks, information systems (including NCPs), and other public bodies directly involved in activities reflect an emerging research community that is more aware and more informed about the European research programmes. A number of third countries have adopted the practice of awarding research funds on basis of excellence. Egypt has set up a new council to focus on promoting research cooperation with the EU. Another success story is the ERA Africa project, where African partners contributed substantial funding which in fact exceeded the contribution of the EC.

Section 5: Wider achievements: a SWOT analysis

5.1 Introduction

The FP7 capacities programme include a suite of instruments to promote a variety of international cooperation across diverse levels and countries. These instruments provide a comprehensive range of supporting actions designed to meet the INCO programme objectives. Twenty countries signed a Science and Technology agreement with the EU under FP7, and these countries showed strong success in proposal submission rates. Some eighty nine countries from outside the EU participated in the INCO programme (Annex 11). However, there was a noticeable variation in the rate of participations, with the highest number of participations by Russia, Ukraine, Egypt, Morocco, Tunisia, and Jordan. Twenty countries had only one participation each, and another twenty countries had two participations each. Leading economy countries (Australia, Japan, Canada, South Korea, US and Singapore) recorded participations of less than ten (Annex 10).

The approach and content of the work programme evolved over the lifetime of FP7 to reflect changing EU policies such as an increased focus on innovation and new societal challenges, as well as paving the way for the transition to Horizon 2020.

5.2 INCO Strengths

At a political level, the international cooperation activities helped to project an image of the EU as a united force, while at the same time giving wider visibility to the national institutions participating in the projects. The activities also contributed to an emerging EU science diplomacy, helping to bring down barriers and to build trust between European member states and third countries.

The funded projects contributed to the development of mutual understanding between EU member states regarding their national initiatives, providing an opportunity for member states to learn from each other in the context of internationalising the European Research Area and to develop good international collaborative research practice.

The calls attracted the desired **partners** both from within the EU as well as from third countries, and the funded projects in general addressed the requirements of the calls. The **management** and implementation of the funded projects were almost invariably of high quality, and projects in the main achieved the desired objectives.

The INCO-NET projects provided a high level of support to the **policy dialogue** process at a regional level, gathering intelligence, conducting research and preparing discussion papers on S&T cooperation for the platform, as well as providing logistical support to the meetings. The BILAT projects provided a corresponding supporting function at bilateral level in support of EU S&T cooperation agreements. The INCO-HOUSE activity assessed the feasibility of setting up an India House as a mechanism for sustainable ST&I cooperation between the EU and India.

The R2I-ENP instrument constitutes an important advance on earlier instruments with the objective of promoting international cooperation in innovation and a focus upon societal challenges, both of which constitute important principles of EU policy. The R2I-ENP projects complement the capacity-building activities of INCO-NET and BILAT projects with training on innovation management, IP issues and related topics. The projects organized a number of networking events focused on innovation, involving a broader spectrum of stakeholders including delegates from industry.

The INCO-NET, BILAT and ACCESS4EU projects compiled a valuable body of knowledge for the European research policy community regarding third country policies, research organisations and other useful information. The INCO-NET and BILAT projects, and to a lesser some extent some of the ERA-Nets, successfully identified a number of **common**

priorities through the organisation of events and exercises based on a sound methodology and involving both policymakers and practitioners.

The INCO-NET and BILAT projects successfully organised a suite of **capacity-building** activities in third countries including assistance in setting up NCP structures, training, twinning visits, providing information about the FP7 and H2020 regulations. The R2I-ENP projects, which only got underway late in the FP7 term, are aimed at delivering training on innovation management, Intellectual Property (IP) issues and related topics. The INCO-NCP projects provided ongoing support, knowledge sharing and networking for INCO NCPs both in member states as well as in third countries.

The INCO-NET, BILAT and Access4EU projects successfully organised a number of **networking** events both in third countries as well as within Europe. The R2I-ENP plan a number of similar events with a focus on innovation, thus involving a broader spectrum of stakeholders including from business and industry.

The ERA-NET projects attracted European and third country partners willing to contribute financially and successfully launched a number of joint calls. These provided an opportunity for EU research organisations to participate in research projects involving third countries.

The international cooperation projects performed a broad array of activities aimed at **dissemination and raising awareness** about FP7 and H2020 in third countries, paving the way for the future development of joint research activities between the EU and third countries.

The INCO-LAB projects targeted existing research institutes jointly owned by an EU member state and a third country, opening up these institutes to other EU countries. This approach capitalised upon existing collaborative initiatives with third countries and gave them a European dimension, providing immediate opportunities for international cooperation and paving the way for continued future collaboration.

5.3 INCO Weaknesses

Since the goals of the INCO programme are both broad and ambitious, giving rise to a wide range of activities across the instruments, this tended to produce a dilution of effort which may jeopardise the effectiveness of the programme.

There remains an evident lack of coordination between the European Commission and the member states in the determination of international cooperation strategy and research priorities which the Strategic Forum for International Cooperation is seeking to address.

The scattergun approach of widespread promotion of FP7 and H2020 in third countries rather than focusing on the most promising third country research institutions impacted negatively on the INCO programme results, and limited the effectiveness of project activities. Given the large number of participations across the ten INCO instruments, the small resource allocation has had to be stretched to cover an ambitious agenda of activities spread over a wide geographic area. The INCO activity's limited budgetary resources constrained the delivery of substantive outcomes.

More encouragingly, the INCO programme has provided the initial linkages with the research community in third countries, the necessary conditions upon which to construct future cooperative research activities. As with current programme implementation, the question of which researchers and which institutions to collaborate with is one that is partly based on the self-selection process inherent to proposal preparation, to the international networking activities organised by the EC or other bodies, and/or to the requirements specified in future thematic calls.

Due to the broad geographical scope of the individual INCONET projects, for practical reasons it was necessary to limit the number of partners to one or two from each participating country. However, it would have been advantageous to include additional relevant partners (eg. industry representatives, policy makers in the area of societal challenges) especially in the later projects where innovation and societal challenges were addressed.

The priority-setting exercises undertaken in the INCO-Net and BILAT projects yielded good results, but in most cases great difficulty was encountered in the utilisation of such results. The European Commission Directorate General RTD thematic directorates were generally reluctant to make use of identified priority areas, preferring to use their internal mechanisms to establish topics for thematic international cooperation calls. This approach undermined the value of the project activities somewhat, and caused frustration among both European as well as third country partners.

The ACCESS4EU projects faced a major stumbling block since in many cases the targeted third country offered few if any opportunities for European researchers to participate in their research programmes. Yet promoting such opportunities was a key objective of the projects. The concept of reciprocity is not straightforward, and there is clearly a need for more transparent definition of activity objectives and better communication of mutual expectations in bilateral agreements.

As a general rule, the international cooperation activities of the Capacities Programme had limited success in interfacing with other Community instruments such as the European Neighbourhood and Partnership Instrument (ENPI), the Development Cooperation Instrument (DCI), the Instrument for Cooperation with Industrialised and other high-income countries and territories (ICI), Asia and Latin America (ALA), the European Regional Development Fund (ERDF) and the European Development Fund (EDF).

Although a number of projects did include activities aimed at contributing to EU foreign policy objectives, in general the effort dedicated to this objective was somewhat limited and this was reflected in the more general nature of the outputs and activities.

The valuable body of knowledge compiled by the projects is made publicly available through the International Learning Network (ILN) centralised repository (<http://www.ilnworld.eu/>). However, it appears that this repository is not well known and it is not clear to what extent this information is being used.

The participation of industry in many of the projects was rather limited, although the R2I-ENP projects which are more industry-focused have yet to be evaluated since these projects are still at an early stage.

The coordinated calls on specific topics in the geographical ERANETS have a rather narrow approach and are resource and time-consuming in relation to the levels of funding. In these coordinated calls, where one call is made by the European Commission according to European rules and the other call by the target country under its national rules, with proposals evaluated by EU experts and by the third country experts separately, the funding requirements stipulate the joint coordination of activities to establish common objectives and tasks, work-sharing and exchanges of researchers.

5.4 Opportunities of international cooperation

The wealth of information and experience gained through past and ongoing projects could be used by the EC as a basis upon which to develop more sophisticated strategies and targeted communication so as to attract the leading third-country researchers to participate in joint research activities with EU member states.

As in many areas of European policy, the shared competence in science, technology and research policy requires coordination between European member states, and between the

member states and the European Commission in order to establish and deliver common priorities more effectively. The value-added from European research coordination within the context of international research cooperation requires more consistent and enhanced endeavour on the part of the Strategic Forum for International Cooperation (SFIC) so as to ensure better coordination on international cooperation strategy and priorities between the European Commission and member states.

There are indications that a number of projects funded through the international cooperation activities of the Capacities Programme already cooperated to some degree with other related projects. Such cooperation generally depends on the goodwill of the project coordinator, although there have been a number of instances where such cooperation was more formalised. For example, the ACCESS4EU projects shared a common internet portal and presented information in a standardised format. More recently, the coordinators of all R2I-ENP projects meet on a regular basis to share plans and coordinate activities. There is an opportunity for more systematic coordination between the various projects to increase synergy and effectiveness (e.g. in mapping activities, in the organisation of events).

There is an opportunity for greater coordination between BILAT and ERA-NET projects targeting the same third country, as well as between INCO-NET and ERA-NET projects targeting the same region, with the view to sharing information, organisation of joint activities, mutual learning and reducing duplication of effort.

A centralised repository for the body of knowledge compiled by the various projects (third country policies, research performers, stakeholders, etc.) would raise awareness regarding the availability of such information, increase its accessibility and increase the utilisation of such information. This is particularly true of the R2I-ENP projects.

5.5 Threats to international cooperation

One of the key threats to the success of the international cooperation activities of the Capacities Programme is the possibility of political unrest in third countries, a case in point being the country participants in the R2I-ENP activity. This can happen and indeed has happened on a number of occasions, often impacting upon the progress of a project by eroding the benefits of previous cooperation or reversing achievements.

More restrictive immigration policies, visa regimes and customs restrictions, either in member states or in third countries, can negatively impact upon researcher mobility and diminish international research cooperation.

While a number of countries may have reached a point where they disseminate H2020 and promote cooperation with EU countries autonomously, in many others this will not be the case. If funding for international cooperation support actions is discontinued, any progress made to date may be lost and previous efforts will have been in vain. Support for policy dialogue remains a central plank in future EC research policy. With the emphasis on the Europe 2020 Strategy, and the societal challenges that have been highlighted for attention, the research-policy nexus is key to addressing the priorities that have been identified.

The administrative burden of participating in FP7 was noted in this evaluation as a deterrent against third country researchers participating in joint research activities with EU member states. The simplification of the administrative process in H2020 is a constructive step. However, robust participation rates in H2020 is likely to depend on widespread information and communication about the programme, issuing calls that are clearly described, and the continuation of capacity-building activities with strategic regional partners, including the ENP region, and in Africa.

SWOT ANALYSIS

<p style="text-align: center;">Strengths</p> <ul style="list-style-type: none"> • Comprehensive range of supporting actions to fulfil the programme objectives • Evolved over the lifetime of FP7 to reflect changing EU policies • Help to project an image of the EU as a united force • contributed to science diplomacy by helping to bring down barriers and to build trust • Clear European added value, undertaking activities beyond those undertaken by member states • Development of mutual understanding between EU member states • Partners both from within the EU as well as from third countries management and implementation of the funded projects are of high quality • Projects generally achieved the desired objectives • Provided a high level of support to the policy dialogue process at a regional level • Identified a number of common research priorities • Capacity-building activities • Networking events in third countries as well as within Europe • European and third country partners willing to contribute financially and Successfully launched a number of joint calls • Dissemination activities and raising awareness of FP7 	<p>S W</p>	<p style="text-align: center;">Weaknesses</p> <ul style="list-style-type: none"> • Broad goals may be too ambitious leading to dilution of effort and jeopardising the effectiveness of the projects • Lack of coordination between the EC and the member states in determination of international cooperation strategy and priorities • Widespread promotion of FP7 and H2020 in third countries is not geared towards attracting the best researchers • Difficulty in utilisation of results of research priorities • Few opportunities for European researchers to participate in third country research programmes • Limited success in interfacing with other Community instruments • Limited success in terms of contributing to EU foreign policy objectives • ILN centralized repository for project information is not well known Low industry participation
<p style="text-align: center;">Opportunities</p> <ul style="list-style-type: none"> • Development of more sophisticated strategies and targeted communication to attract the best third-country researchers • Utilisation of SFIC for better coordination between the EC and member states on international cooperation strategy and priorities • More systematic coordination between the various projects to increase synergy and effectiveness • Development of a centralised repository for the body of knowledge compiled by the various projects 	<p>O T</p>	<p style="text-align: center;">Threats</p> <ul style="list-style-type: none"> • Possibility of political unrest in third countries • Introduction of restrictive immigration policies and visa regimes • Discontinued funding for international cooperation support actions • Administrative burden of participating in FP7 and H2020

Section 6: EU added value

6.1 INCO participation: assessing the impact on national research agendas

Since 1994, the EU has concluded twenty Science Technology and Innovation (STI) cooperation agreements with a wide range of third countries (industrialized countries, emerging countries and developing countries). The reasons why individual countries sign these agreements are varied, but generally include the recognition that by linking resources and knowledge there is the possibility to enhance the quality and scope, and the critical mass of scientific activity. There are also non-scientific policy objectives, linked to a variety of national and international concerns shared by both developed and developing countries.²⁰ Even though reasons for targeting these specific third countries are not always explicitly identified, the industrialised, emerging and neighbourhood countries have been prioritised. In all cases, the regular reviewing of the agreements concludes that the S&T agreements offer a good opportunity for cooperation in research.²¹

The impact of INCO participation on national research agendas or on the European added value is difficult to assess due to the lack of sufficient quantitative and qualitative data on the specific Member State activities. A study on monitoring international STI cooperation in MS has revealed that data on STI expenditures at the national level is rarely disaggregated into activities related to international cooperation, and in particular as to cooperation with third countries.²² Budgetary data for research councils, national agencies and other STI funders suffers from a lack of disaggregation into INCO activities and the situation regarding data on third country activities is even more opaque. The lack of data is by and large due to the fact that a large part of international research cooperation is bottom up, funded by responsive mode research funding programmes. Moreover, the international component within research grants is not easy to identify as data on this are not systematically collected by research agencies. There is an increasing tendency for research agencies not to separate such activities from other types of research funding. Nevertheless, based on the budgetary data available for the ten most active member states (2012/2013) it is estimated that they annually spend between ten and twenty million Euro on international STI cooperation with third countries. However, in most cases annual budgets for STI cooperation are decreasing (cf. European Added Value of EU Science, Technology and Innovation actions and EU-Member State Partnership in International Cooperation 2014).

Some activities appear to have had a more observable impact on the third countries in particular. A good example is the case of Africa, where there was a very low level of national STI cooperation until 2008 (with a few exceptions such as South Africa and Egypt). Under the INCONET instrument, the CAAST Net (Plus) was very successful in raising knowledge on cooperation opportunities with Africa, identifying and facilitating networks of relevant stakeholders in Europe and Africa and joining efforts of interested member states, and helped launch the ERA-Net, ERA-Africa. However, in the absence of firm information on how developing countries research priorities are formulated, it is difficult to say how INCO activities have been effective. In some countries, such as South Africa, the visibility and awareness of European programmes is quite high, in part due to the (recent) outreach activities of the EU Scientific Counsellor. However, the participation of developing countries in Horizon 2020 depends on the visibility of the international dimension in the programme as a whole, and within the various components. Many developing countries still have difficulty in identifying the areas of international cooperation in H2020, while many still lack an effective national research environment where strategic research objectives are

²⁰ Basic Principles for effective International Science, Technology and Innovation Agreements. Main Report, Directorate-General for Research and Innovation, International Cooperation 2014.

²¹ Enhancing and Focusing EU International cooperation in Research and Innovation: a Strategic Approach", Commission staff working document, EU 2012

²² Overview of International Science, Technology and Innovation cooperation between Member States and countries outside the EU and the development of a future monitoring mechanism. Erawatch Network ASBL (prepared by Technopolis Group/Manchester Institute of Innovation Research (2013).

articulated. Identifying the right European partners continues to challenge developing country research organisations, and there remain concerns about maintaining the NCP network after the end of the INCO-H2020 instrument.

The INDO-MARECLIM project (supported under INCO-LAB) aimed at addressing several scientific research challenges raised in India's first National Action Plan on Climate Change (NAPCC) released in June 2008. The involvement of the three major marine research institutions in India – Indian National Centre for Ocean Information Services (INCOIS), Kerala University of Fisheries and Ocean Studies (KUFOS) and Cochin University of Science and Technology (CUSAT) strengthened the consortium and the impact of the lab. In response to open calls, new joint scientific research projects are planned in cooperation between Indian and European research institutions to be financed by national and international funding agencies, including the EC.

Another case of expected (third country) impact consists of the strengthening of research cooperation under the coordination of a Brazilian National Institute of Research and the creation of a new INCT encompassing institutions connected to CLIM-AMAZON. The aim is to include a number of institutions to work under the cooperation programme, National Amazon Research Institution: INPA, Brazilian Geological Survey, CPRM (Federal University of Porto Velho), Federal University of Manaus, State University of the Amazon, Federal University of Para, Emilio Goeldi Research Institute, among others.

The EUJO-LIMMS is another case of international cooperation (INCO-LAB) between the Institute of Industrial Science of the University of Tokyo (UT-IIS) and partner organisations from four European countries, focusing on micro- and nanotechnologies, capitalising on the complementary expertise of the different partners, and reinforcing research collaboration between the two regions. The longer-term aim is to apply these technologies to a range of applications, including in electronics, communication systems, molecular and cellular bioengineering and low cost technology. The project also receives funding from the Japanese Society for the Promotion of Science, which seeks to create world-class research hubs through networking and to advance multilateral collaboration in cutting-edge research. Its funding contribution targets in particular the mobility of researchers of the University of Tokyo towards Europe.

It is clear from these cases and the evaluation as a whole that the broader capacity of individual national research structures influences the shaping of research priorities, and the modification of existing priorities to reflect newly-formed research consortia goals is dependent on the lobbying and political skills of national research organizations. In this regard, the national research community (and research architecture) must be competent to interact with the policy and political authorities at both the national and international/supranational levels, and the INCO Capacities Programme has facilitated this development. The case of the IMMUNOCAN project (under INCO-LAB) is illustrative of how multinational research partners are beginning to work together. Under the IMMUNOCAN project, several research institutions have been approached to build new collaborations (most of them in France) as a step in lobbying towards institutions in both Europe and China.

Since the R2I-ENP projects have only recently got underway, the opportunity to influence national research agendas has yet to be exploited. Although it was not the explicit objective of the call to influence national research agendas, such change may result as a consequence of the project activities. Whereas the level of awareness of innovation as policy and process in the EU is high, this may not be regarded in the same way among the target countries. However, awareness-raising and other activities conducted by the projects have the potential to influence third countries to the extent that policymakers respond and adapt the national agenda. The mapping activities undertaken by the projects could provide information to third countries in the course of policy formation. Some projects are also planning to develop documents (such as technology transfer models) which might eventually influence third country policy.

6.2 Common research priorities

INCO has facilitated better coordination between the EU and the Members States to support the development of common research priorities, the important first step in moving towards international cooperation. The distinction made between the developing countries, emerging countries and advanced countries is an acknowledgement that individual countries have distinct national and/or regional conditions that will determine their STI priorities. INCO has provided the opportunity for participating countries to reveal these priorities in the type of activities and themes that have emerged in the projects. For instance, in Latin America, each country prioritised its preferred themes for ALCUE-NET, with Argentina focusing on bio-economy and Chile on ICT. These thematic areas reflect distinct national priorities. If priorities have not been clear, the INCO projects provided the platform to work towards the establishment of common priorities.

The evaluation considered whether cooperation activities had succeeded in establishing common research priorities. On this issue, the research results suggest there was a limited impact in terms of integration between national and regional agendas until the latter phase of the INCO programme when the H2020 themes and priorities were beginning to emerge. Despite the significant effort to identify common research priorities, such activities had questionable impact at a national level for many European member states unless they already had significant participation in INCO activities.

Interviews conducted with INCO project coordinators revealed a lack of clarity regarding the objectives and possibilities for establishing common research priorities. On the part of MS/AC as well as in the case of third countries, there is the expectation that funding for research would be made available through the EU rather than depending on national funds. On the other hand, the DG RTD thematic directorates proved somewhat reluctant to adopt the priorities identified in the INCONET projects, preferring instead to use their own internal mechanisms. However, some successes have been noted among the INCONET activities. The WBC-INCONET project convinced the relevant authorities to include research, technological development and innovation as one of the priorities for funding. MIRA reports indicate that the results of the project were considered in the definition of national research agendas in Jordan and Tunisia.

The level of integration between the bilateral and the regional level is different from one country to another but the regional dimension is slowly becoming more prominent (eg. Latin America and Mediterranean countries), strengthening links between the region and the EU. But there is a wide variation. For Brazil, the links between BILAT and INCO-NET are very weak, whereas for Argentina and Chile, BILAT and INCO-NET projects are highly interdependent.

The most frequent criticism noted in the interviews and other reports concerns the difficult integration of the thematic priorities identified by the INCO activities into the thematic programmes calls. In the first half of FP7, specific instruments such as 'joint calls', 'coordinated calls', and 'SICA' were a good solution to implement joint research activities in the priority areas identified by INCO activities. But, the 'expectations gap' between priorities identified by project participants and those eventually defined in the FP7/H2020 work programmes is apparent. When the results of priority-setting had been obtained in a reliable, rigorous and efficient process, these were at best partially incorporated in the thematic calls. Consequently, the INCO partners considered they were 'not being heard' and this perception became stronger from the middle of FP7.

Work programmes are drafted by the EC, based on consultations with MS Programme Committees and Expert Advisory Boards, in consultation with stakeholders such as INCONETS and BILATS. The final programming decision remains in the hands of the thematic programmes in the Commission which have not always been very receptive to the propositions coming from the INCO activities, considering that thematic priorities must, most of all, be European priorities. The MS representatives in the 'comitology' Programme Committees that cooperate with the Commission in implementing the Framework

Programme share this responsibility, so they are not always in step with the thematic priorities selected through international cooperation activities and policy dialogues. Experts in the Expert Advisory Groups of thematic programmes are viewed as tending to be more 'Eurocentric' than those who are involved in INCO activities that are more focused on common thematic areas between EU MS and third countries. This raises the issue of articulating more clearly the distinctiveness and the synergies between the INCO and the thematic programmes.

6.3 Contribution to strategic R&D partnerships with non-EU countries

Multilateral research collaboration can produce scale economies and multidisciplinary synergies by addressing the ineffectiveness of fragmentation. The diversity and the complementarity between different levels of participants can be beneficial for all (geographically, thematically) and the quality of a consortium rests in part on the diversity of the partners. The INCONET projects registered a number of achievements in this area.

Several bilateral agreements between partner countries were concluded during the lifetime of the WBC INCONET project. While it is difficult to attribute these developments directly to the project, it is more than likely that the project greatly facilitated the dialogue process. The Regional Research and Innovation Strategy development process is also a direct output of the WBC-INCONET project (Western Balkans), and involved meetings with DG Enlargement, regional dialogue meeting in Paris, cooperation with the Regional Cooperation Council (RCC) and with the World Bank in strategic development, and cooperation with RCC in setting up implementation activities.²³

Similarly a number of bilateral cooperation initiatives emerged from the INCONET-EECA project (CNRS-SCS, BMBF-SCS cooperation programmes).

It is likely that the range of activities planned in the R2I-ENP projects will foster strategic partnerships between the EU and non-EU countries, but the activity has only recently come into operation and no specific examples have yet emerged. However, the R2I-ENP concept is distinctive and few, if any, similar initiatives have been undertaken on a unilateral basis. The activity did not offer access to third country programmes and research facilities, and this was not stipulated in the call. An indicative or even explicit requirement that projects should engage with and involve innovation actors in third countries could be completed by bilateral agreement on access to research facilities and third country programmes.

ENLACE led to several research organisations becoming involved in joint research projects with Caribbean and Central America counterparts. These collaborations created a win-win situation as in some cases they represented a consolidated basis for thematic dialogue, in other cases collaboration was reinforced by the projects as they offered opportunities for researchers to meet and discuss research ideas of mutual interest that were then developed into joint proposals.

6.4 Assessing the added value of INCO compared to unilateral initiatives

Undertaking Research and Innovation (R&I) cooperation initiatives with third countries through the FP7 international cooperation activities offered several advantages over similar initiatives taken unilaterally.

At a political level, such an approach projects the concept of a united Europe speaking with one voice, rather than a multiplicity of European countries. Also third countries are more

²³ The Regional Cooperation Council replaced the Stability Pact for the region, and the membership includes regional and non-regional actors in the promotion of regional cooperation – Albania, Austria, Bosnia and Herzegovina, Bulgaria, Canada, European Bank for reconstruction and Development, European Investment Bank, European Union, Germany, Finland, Italy, Kosovo, Latvia, Moldova, Montenegro, Romania, Serbia, Slovakia, Slovenia, South East European Cooperative Initiative, UK, UN, UNECE, UNDP, and the United States.

likely to attach importance to such initiatives rather than when dealing with a single member state. The more efficient use of resources makes it possible to target a broader range of third countries. As a global actor, the EU needs to build on structural international research cooperation with a range of regions and countries.

The ACCESS4EU activities contributed to implementing EU policy and agreements with third countries, increasing visibility of European research in third countries and more efficient use of resources and financial benefits from the opening of third country programmes to European researchers and research organisations. The activities also exploited the opportunities for improving Science Technology and Innovation (STI) capabilities by encouraging mobility to target countries. Mobility opportunities can be enhanced further in H2020 by leveraging existing schemes such as the Marie Skłodowska-Curie actions, Erasmus and the European Research Council.

The INCO ERANET/ERANET PLUS activities delivered some euro-structuring results and strong support to science diplomacy, paving the way to funding organisations from the MS/AC and third countries to start talking to each other. In terms of science diplomacy, INCO ERANETS have proved most efficient in breaking down barriers and building trust between MS/AC and third countries.

Other FP7 instruments also provide opportunities for multilateral cooperation but are characterised by a low success rate. Bilateral programmes on the other hand limit cooperation to two countries only, and thus the multilateral element is missing. The ERANET/ERANET PLUS projects allow more freedom in the selection of topics for research than other initiatives. The activity has also enabled partner country programmes to collectively take on tasks that they would not have been able to tackle alone. The activity have provided opportunities to add value to already existing S&T research collaborations between Europe and key third countries, by identifying gaps in the realisation of bilateral agreements.

In a study of the added value of the EU action (or joint EU-member state), participants were asked about their preferences of EU activities over national actions.²⁴ The participants mentioned as the major reasons for participating in FP7 international cooperation that the EU activities provide easier access to international research communities and networks and better connections with leading minds in the field. Both for the EU as well as non-EU countries the INCO activity provides a larger pool of researchers and organisations than could be assessed individually. Even policymakers and researchers in countries that have an active international cooperation policy, such as Germany and France, mentioned that because of the EU activities, they can access networks and leading researchers both within Europe and beyond more easily. The EU activities add to the existing national efforts, providing valuable information and efficient intelligence about the strategies of the other EU MS/AC and their international contacts. Many respondents also mentioned that without the EU activity the projects could not have been organised, which implies that a certain scale and scope is needed to be able to conduct such activities.

There has been a significant evolution of the way in which the international cooperation is addressed in the consecutive framework programmes. It was easier in FP6 and during the first half of FP7 for a third country partner to play an important role in the execution of a research project. Cooperation in H2020 is implemented at a thematic global level and third countries will, like the MS/AC countries, face choices about the projects in which to participate, and the research priorities to pursue when the thematic programmes strengthen the international dimension of their activities.

²⁴ European Added Value of EU Science, Technology and Innovation actions and EU-Member State Partnership in international cooperation 2014.

6.5 Access to third country programmes

INCO activities aim to create an environment inspired by good practices, and a mechanism that allows all partners to converge on common thematic focus. The major limitations to the exercise are, thereafter, in the funding of the research as INCO does not fund the research.

Hence, the importance of linking INCO activities with the DG thematic areas. Indeed, it is difficult to keep the partners highly motivated if the outcomes and particularly the thematic research priorities are not integrated into the DGs thematic work programmes. The situation is made more complex where thematic networks are directly supported by the DGs thematic approach (bio-economy, health in Latin America for example).

The South African roadmap for Research Infrastructures which was partly supported by the European Commission in conjunction with the Department of Science and Technology in South Africa has led to the support for a number of research infrastructures in the country, ranging from large indigenous databases, bio-banks, biodiversity collections, and paleontology which will become available to European researchers as and when they are funded.

Section 7. Conclusions on FP7 and outlook for H2020

7.1 INCO activities and Bridging towards H2020

The Horizon 2020 programme launched in January 2014 reflected a new strategy for international research cooperation. The drive for this international cooperation is identified in the acknowledged need to both access knowledge produced outside Europe and to gain from access to new markets; the need to promote Europe as an attractive location and partner for research and innovation; and, the need to tackle global challenges.

International research cooperation has three main objectives in Horizon 2020: strengthen the EU's excellence and attractiveness in research and innovation (R&I) as well as industrial and economic competitiveness; tackle global societal challenges; support the EU's external policies. These objectives are to be realized by combining openness (opening European research funding programmes internationally/globally) with better targeted actions.

How well the INCO instruments and projects contributed to bridging towards H2020 can realistically only be assessed after the H2020 first calls have been made and proposals submitted. So, by 2016 it might be possible to get a picture of what proposals and projects set up in the 2014-16 period address the H2020 objectives. For now, the INCO activities are assessed on three criteria:

- Dissemination, raising awareness and training related to H2020;
- A specific focus on societal challenges;
- The innovation dimension (innovation policy, innovation stakeholders, industry participation, training on IP/innovation management, etc.).

The ACCESS4EU call was targeted towards a group of industrialized and emerging countries. The rationale behind the activity was that these countries were likely to have research funding programmes where participation of European researchers could help shape common research priorities. However, the ACCESS4EU call was published in 2009 and prepared before the EU policy initiatives on innovation and societal challenges became mainstream. The call did not contain explicit reference to the promotion of FP7 or the successor Horizon 2020 programme, and the ACCESS4EU instrument has yet to demonstrate the kind of results that match the optimism and expectations of the European research community. Many third countries lack the experience or the culture of working with a multilateral body like the European Union, instead relying on bilateral cooperation with individual European member states.

The **BILAT** projects funded through the early calls focused on raising awareness about FP7 whereas projects under the later calls shifted to anticipation of H2020. The early projects offered little consideration to innovation, but those funded through later calls incorporated the innovation dimension into their design. A number of those projects reflected the innovation dimension through the inclusion of innovation actors in the partnership itself (e.g. industry organizations, technology transfer networks), while others specifically mentioned the intention to target such organisations in their activities. The projects included activities such as mapping of innovation policies and actors, analysis of innovation support measures, integration of third country innovation actors into European networks (e.g. EEN, Enterprise Cluster Collaboration Platform), and innovation grant schemes. The projects also addressed societal challenges, either identifying these *a priori* at proposal stage or else including activities with the objective of identifying societal challenges most relevant to the third country.

In the case of the **ERANET/ERANET PLUS** joint calls, the themes addressed the grand societal challenges, including Health, Environment, Water Pollution, Green Technologies, Energy, Food and Agriculture, and hence constituted an important bridging step towards Horizon 2020. The later projects also considered the innovation dimension. Some of the projects organised joint calls with separate funding lines for S&T and innovation to ensure a good mix of research and innovation. Projects also sought to address the industry sector

and involve them in project activities. The ERANETS are considered to have delivered on the objectives, and the INCO geographical targeting has had great advantages with the implementation of the ERANETS paving the way for cooperation in the frame of thematic ERANET and ERANET PLUS projects in H2020.

The **ERA-WIDE** instrument had as its main objective the twinning of research centres and related activities. Few of the funded projects included any partners or activities related to innovation, although the projects were specifically focused on the FP7 thematic priority areas. However, the BIOPROTECH project included a work package (WP) on technology transfer and incubation, as well as training on commercialisation and the development of technology transfer guides. The GM-NCD-in-CO project included training on valorisation, intellectual property (IP) issues and technology transfer. Only a handful of projects included partners relevant to the promotion of innovation, such as industry partners, technology transfer organizations or consultancies involved in innovation.

The research topics selected in the ERA-WIDE projects were not specifically geared towards the societal challenges, although many of them reflected general relevance to these challenges (e.g. food and agriculture, health, environment, water).

The **INCO-LAB** instrument focused on research centres and in many cases the projects addressed themes related to the societal challenges, particularly environmental and climate research, health, water, as well as micro and nanotechnologies, thus providing bridging towards Horizon 2020. The projects aimed at moving the frontiers of research within their fields, by fostering innovation and developing new applications of research results into case studies, in close collaboration with appropriate stakeholders and national and/or regional actors.

In the **INCO-NCP/H2020** instrument, the INCONTACT H2020 project focused on H2020 with a number of activities aimed at promoting the International Dimension of Horizon 2020 and providing information about this programme. The project supported the work of the INCO-NCPs both within the EU and in third countries, paving the way for a smoother introduction of the programme. Networking between INCO-NCPs and thematic NCPs is another activity of the project bridging towards H2020. The INCO-NCP and INCO-H2020 were successful instruments, but will not continue into the H2020 programme.

Whereas the **INCO-NETs** that were funded through the early calls organised a number of activities to raise awareness about FP7, the projects funded through the later calls shifted focus towards anticipation of H2020, with training of NCPs and H2020 information days aimed at third country stakeholders. A number of H2020 launch conferences were also held in third countries, and project web-sites were updated accordingly.

While most of the early INCO-NETs had a generic approach, a number of them had already touched upon some of the societal challenges in some way, an example being the SEA-EU-Net project which organised a number of conferences including one on climate change. In the later projects, the societal challenges were fully integrated into the design of the projects, which focused on selected challenges.

Activities undertaken in the projects involved raising awareness on such topics, monitoring existing competences and cooperation, and organising workshops to identify common priority areas falling within the broad challenges.

Once again the INCO-NET projects funded through the later calls aimed at promoting innovation, through involvement of innovation policymakers, mapping of key innovation players, compiling a database of innovation stakeholders, providing training on intellectual property rights (IPR) issues, and involvement of industry in networking events.

The primary focus of the **R2I-ENP** projects was developing international collaboration in research and innovation, rather than simply preparing third countries for participation in H2020 which was addressed by other instruments. Project partners represent the entire

knowledge value chain and include universities, private entities, business associations, science parks, cluster organisations, business incubators, chambers of commerce, consultancies, public and private research organisations, innovation funding agencies, government agencies and a broad variety of NGOs.

In line with the R2I-ENP call, each project focuses on one of the societal challenges thus providing a strong bridging effect to H2020 because of the similar approach. The most common challenge was energy, followed by agri-food and water which were also addressed in more than one project. Forestry, resource efficiency and foot care were the subject of choice in other projects.

Innovation is a central theme of the R2I-ENP projects and is given high priority in the activities undertaken in the projects. The projects address start-ups, researchers, entrepreneurs, practitioners and helpdesk staff, with activities on innovation management, patentability and IP rights protection, technology and prototype enhancement, access to research and technology centres, latest innovation approaches, market competitiveness, finance mechanisms, and exploitation channels.

In general, the INCO programme can be said to have disseminated the European approach to research collaboration with the principles of project management and output dissemination that characterized the Framework programme, raising knowledge of the European research programmes among the third country participants.

7.2 Assessing the INCO bridge-building capability

While the INCO activities made some general links to connect with the H2020 agenda, the overall result in terms of a substantive contribution to the H2020 priorities is mixed. In the projects conducted across the various INCO activities, the evidence indicates that projects towards the end of the FP7 period were more likely to address the H2020 priorities particularly in the final two years. Some activities tended to address the H2020 agenda to a greater degree than others, and activities such as the R2I-ENP, BILAT, ERANET/ERANET PLUS demonstrated the consideration of societal challenges and innovation in the range of activities and dissemination strategies. However, for the international participants the focus, aim and intention of EC research calls are not always clear, and the real goals and objectives of European research programmes are only partially understood. International participants point to a lack of guidance from the European Commission and the member states on the key goals, and question how the H2020 focus on competitiveness and scientific excellence can translate into concrete goals for international cooperation based on joint interests.

Knowledge of European (and member states) funding programmes remains limited, and many members of the national contact point (NCP) network that has developed in the third countries lack sound knowledge of funding schemes. Many INCO projects involve participants who already know each other, and indeed project coordinators (on the European side) are concentrated among a few organisations that have several INCO participations. Consequently, the evidence of this evaluation points to the need to convince third country participants of the benefits of collaboration with the European Research Area, highlighting the requirement for the European side to 'sell' the attractiveness of Europe as a place to do research.

A key challenge for INCO projects and activities is how to preserve the achievements over the longer term, after having consolidated international cooperation and delivered the outputs. Sustainability has in some cases been addressed by succession projects that followed on from previously funded activities, with projects retaining the name and identity of the predecessor.

In the context of increasing international participation across the H2020 programme, the results from FP7 INCO suggest the need for enhanced policy dialogue based upon closer involvement with the policy community. Participants that expressed some concern about the

mechanisms for doing so in the future agreed that the BILAT agreements (as projects) were not the appropriate channels for inter-governmental policy dialogue. The gap in the existing European research management framework arises from the need to promote inter-governmental dialogue at multiple levels - among the member states, between the member states and the third country policy-makers, and between the European Commission/MS and the third country policy community. Therefore the aim of increasing participation in H2020 rests in large part on defining priorities of mutual interest among this inter-governmental policy community to take forward in the formulation of an international research programme.

The evidence from INCO activities and existing projects demonstrates the diversity of participant regions and individual countries, with different research priorities, infrastructures, and innovation systems. An inadequate knowledge of the processes through which national systems translate and diffuse the research results into applications and commercial activities will at the very least undermine the innovation aspects of the H2020 programme and prevent the EU from deciding on international partners and priorities and thereby optimising the strategic approach to international cooperation. The key task in enhancing international research cooperation under H2020 is to understand and work with the national innovation systems of the third country/region partners so as to deliver the competitiveness and innovation required to address both the societal challenges that have been identified and the new challenges that are likely to emerge.

Although there is no agreed definition of the term, national innovation systems are characterised by a network of institutions (public and private) that jointly and individually contribute to the development and diffusion of new knowledge, processes, and techniques, and essentially provides the framework to support government policies. Moreover, national innovation systems have become increasingly internationalised as science, research and technology has become globalised. But the crucial element of the system as a human social network can be retained in international cooperation, where initial cooperative efforts can combat inefficiencies in existing networks and generate trust, overcome barriers to geography, and linguistic and cultural differences.

Certain considerations are key to the mainstreaming of international cooperation across all the themes and activities, and to realising the objectives of the H2020 programme:

- The promotion of Europe as an attractive place for science and innovation, and to promote European partners in international research cooperation remains an important objective. The activities under FP7 INCO have created links, and the next steps involve enhanced policy dialogue between European and international partner countries/regions to implement cooperation on common themes of mutual interests;
- Private sector engagement is a crucial factor in promoting innovation, and the INCO programme needs to build on the preliminary links established under FP7 in order to enhance innovation capacity both in Europe and among its international partners;
- The issue of innovation is central to the agenda of many international public policy actors such as OECD, World Bank, UNIDO, ASEAN, as indeed it is for the European Investment Bank, so Europe/EU needs to make a more explicit dialogue of engagement with these actors to establish common priorities and best practice with regard to innovation processes;
- The EU/EC needs to engage more directly with regional actors including regional financial institutions in areas of the world that already prioritise innovation, including the Asian Development Bank and African Development Bank;
- In order to realise the H2020 mandate to double international cooperation as a cross-cutting dimension, there needs to be more explicit coordination of EU external policies, EU development policy, and the neighbourhood policies. Capacity-building through the DEVCO instruments could support the participation of the developing countries. In the European Neighbourhood Instrument, the bilateral and multi-country programming offers scope for capacity-building through the priority areas of intervention (particularly the economy diversification, private sector development, and regional and rural development). Existing instruments can be useful in supporting research cooperation:

the Common Knowledge and Innovation Space (CKIS) linking the EU and ENP countries offers a platform for policy dialogue, national and regional capacity-building for cooperation on research and innovation. Similarly, the dedicated Panel on Research and Innovation created under the EaP and the Monitoring Committee for Euro-Mediterranean Cooperation in Research and Technological Development under the Union for the Mediterranean (UfM) can be leveraged to foster H2020 participation. The *Roadmap 2014-17* agreed at the EU-Africa Summit in 2014 articulated the bi-regional commitment to promoting human capital development and knowledge skills-based societies and economies by strengthening the links between STI, education and training, and emphasised the goal of reinforcing cooperation between research communities. With the African Union Research Grants Programme and the EU-Africa High-Level Policy Dialogue (HLPD), there is a framework in place that can financially support participation and also to shape the priorities for future H2020 funding calls.

Section 8: Conclusion and Recommendations

8.1 Conclusion

The FP7 INCO activities have established a foundation for international cooperation under the Horizon 2020 programme. As this evaluation demonstrates, the implementation of the INCO programme has revealed both the possibilities for cooperation, and also the challenges facing the EU/EC in international STI cooperation. The INCO activity attracted participation from a large number of countries, with a concentration in terms of the number of participants from both the member states and associated countries (MS/AC), and from the third countries (Annexes 11, 12). Among the EU member states, France, Germany, Italy, Spain, Greece, and Austria had the highest number of projects and participants. The third country participants with a strong representation included Egypt, Tunisia, Ukraine, Morocco, Jordan, and the Russian federation. Overall, the INCO activities reflected a distinct focus on cooperation with neighbourhood countries, and industrialised and emerging countries.

Within the context of the Horizon 2020 agenda, there are a number of clear lines of action to follow to enhance the position of the European Union as an attractive partner in research and innovation. Certain key challenges remain: internally, ensuring coherence between the internal objectives of research and innovation to support economic growth and sustainable development within Europe; and externally, maintaining coherence between the various EU external policies, including development, trade, and external policy generally. As European research policy is based on the shared competence in policy-making between the individual member states and the European Commission, the requirement for coordination and coherence of policy to ensure effectiveness and value-added remains as a clear imperative in the Horizon 2020 programme.

8.2 Recommendations

8.2.1 Strengthening Cooperation with EU Foreign Policy

EU Foreign Policy covers a wide range of domains that encompass security, development, international trade, economy, migration, and global governance, as well as relations with individual countries and regions round the world. Unlike the foreign policy formation and implementation process at the national level, EU foreign policy is constructed through the compromise among all the member states. Due to its breadth and complexity, EU Foreign Policy is not easily understood by those not specialized in a particular area. International scientific cooperation presents an opportunity for contributing to foreign policy objectives, for example through science diplomacy and in facilitating access to new and emerging markets. Although a number of INCO projects have registered success in this respect, the level of effort dedicated to related activities is generally low and consequently achievements in this area have not reached their full potential. This is not due to a lack of will on the part of project participants so much as an imperfect understanding of EC expectations and of the possibilities and mechanisms for achieving desired results. There is therefore a need for agreement on and better communication of mutual expectations, with a more precise definition of activity objectives.

The EC operates a range of instruments in support of its foreign policy, but the level of coordination between INCO and other EC instruments is generally inadequate. Stronger efforts are required to achieve such coordination, and the rationale, processes and expected outcomes of coordination should be articulated clearly by the EC at the outset. This can be done without being prescriptive, but it is necessary in order to facilitate understanding and awareness among the project participants, and other relevant parties (government officials, private sector, research programme managers). Enhanced coordination and improved cooperation between the various EC directorates is a necessary step in realizing the international scientific cooperation objectives of H2020. With regard to the emerging economies, there is a case for clarifying the connection between development and

research/innovation so as to determine the most effective and coherent balance between development-oriented activities and the more research-focused activities.

Making governments in other countries, their research organisations and individual researchers aware that cooperation offers a win-win opportunity demands sustained diplomatic efforts on the part of the European Union and the European Commission. The network of EU delegations around the world deploys expertise from various DGs and policy areas (research, science and technology, development, trade, and general external relations) and as the diplomatic representatives of the European Union the delegations are now established within the global diplomatic community. This network can be leveraged to strengthen scientific cooperation between EU MS and third countries.

Recommendations:

1. There is a need for stronger coordination between DG RTD and other relevant EC Directorates (DEVCO, EEAS) to agree objectives and mechanisms whereby international scientific cooperation activities can contribute to EU Foreign Policy. Such objectives and mechanisms must be incorporated into the DG RTD international cooperation work programmes and calls so as to provide suitable guidance for those preparing project proposals and subsequently managing projects selected for funding.
2. The level of coordination between DG RTD international cooperation activities and other Community instruments should be stepped up. The rationale, processes and expected outcomes of coordination should be articulated clearly by the EC at the outset. In the same vein, coordinators of international cooperation projects should be encouraged to liaise with other European projects (EuropeAid, INCO, Thematic DGs, MS-supported) to identify and exploit opportunities for synergies between the projects and activities.
3. Horizon 2020 will require concerted and coordinated efforts to promote the European Research Area to the world. The diplomatic framework now in place with the network of EU delegations run by the European External Action Service (EEAS) should be leveraged to support this objective.

8.2.2. Building upon Past Achievements

The INCO projects have successfully compiled information on third country research innovation systems, provided training to third country nationals on research topics, and organized networking activities for the research community. Recent INCO calls have incorporated the element of innovation and broadened these activities to include information on innovation policies, address all innovation actors and stakeholders, and provide training on topics such as market competitiveness, innovation management and IPR. This approach needs to be reinforced and adopted in all future international cooperation support actions.

The INCO projects have produced a valuable body of knowledge and reports, which should be made easily available to both policy-makers and researchers. The development of the ILN website which serves as a repository for such documents was a step in the right direction, but it is not widely known and its effectiveness is limited. A more concerted effort is required to provide an effective repository for this valuable information under the aegis of the EC.

Although the INCO projects are well-managed and the monitoring of such projects by the relevant EC staff is sound, there is always room for improvement and further strengthening of implementation and monitoring processes would result in greater achievements.

Recommendations:

4. Current EU policy, with the emphasis on innovation, is predicated on a general broadening of the scope of activities, project partners and target audiences of international cooperation support actions to adequately address the innovation element.
5. Progression from capacity-building to research: in order to facilitate the progression from capacity-building to participation in research projects/programmes, activities should encompass targeted pathways, such as specific research-project management training, proposal writing, etc., in addition to the more traditional networking activities.
6. The EC should develop a centralised repository for the wealth of data and information resulting from the INCO projects. Individual international cooperation projects should be encouraged to adopt coordinated dissemination strategies, liaising with other projects and programmes to promote and facilitate international cooperation.
7. Project implementation and monitoring should be strengthened. Project reporting should specify achievements and outputs more concretely. Consideration should be given to the provision of training to project coordinators who are unfamiliar with the programme regulations.

8.2.3 Broadening MS/AC and Third Country Participation

Despite the well-established profile of the framework programmes among the member states, participation in the INCO activities was most evident in a few states. It is surprising that a number of MS generally regarded for their development policy were less engaged in INCO than in other areas of the FP7 programme. This is particularly relevant in view of the need for closer alignment between EU and national initiatives in the field of international cooperation.

The opening of European research programmes to the world is crucially linked to the buy-in from the member states, and the slow pace in opening up national research programmes may undermine the wider European objective.

Recent EU STI policy highlights the need for a broadening of perspectives to include the field of innovation together with research and development initiatives. DG RTD has already responded by including innovation as one of the fundamental elements in recent calls and mandating the participation of innovation policy-makers and industry representatives. This approach needs to be adopted in all future support actions in international cooperation.

Recommendations:

8. European MS which already have established international cooperation initiatives at a national level and are not active in EU support actions should be encouraged to participate in such actions.
9. The recent DG RTD approach of incorporating the innovation element and including a requirement for relevant policymakers and stakeholders should be maintained and included in all future international cooperation support actions.
10. Increase efforts to promote international scientific cooperation both inside and outside the European Union. The knowledge base on (third country) research and innovation systems that has been constructed from the FP7/INCO activities provides a strong starting point and the basis for identifying key actors to target in promoting such cooperation.

8.2.4 Implementing International Cooperation Priorities

The Horizon 2020 programme is integral to the Innovation Union strategy to create an innovation-friendly environment supportive of job-creation and growth, and at the same time to enhance Europe's place in the global research community. The structural relationships suggested in the triangular focus on excellent science, industrial leadership and societal challenges calls for a stronger coordination within and across the directorate-generals of the European Commission. With international cooperation mainstreamed across the entire H2020 programme, the effective implementation of international cooperation priorities across the seven societal challenges depends to a significant degree on deeper coordination among the directorate-generals (across thematic programmes) and between DG RTD and the other DGs in the Commission.

With respect to international scientific cooperation, the EC maintains an ongoing policy dialogue with many third countries, either on a bilateral or on a regional basis. Numerous INCO projects have contributed to and supported this policy dialogue. The EC dialogue efforts are now bearing fruit with the finalization and publication of a number of roadmaps for scientific cooperation with important partners (Brazil, Canada, China, India, Japan, Korea, Russia, South Africa, USA, ENP and Southern Mediterranean).

A number of INCO projects have dedicated extensive time and effort towards definition of common research priorities. However, this was often followed by disappointment due to the lack of mechanisms for funding joint research in the identified topics. In future any such activities should be conducted in close collaboration with the relevant policy dialogue forum to ensure their relevance and validity.

There is also a need for increased complementarity of EU and MS initiatives in the area of international cooperation. The Strategic Forum for International S&T Cooperation (SFIC) was established in 2009 to drive forward the European Partnership for S&T cooperation and to identify common priorities which could lead to coordinated or joint initiatives. However, after a strong start this important initiative appears to have lost some of its vigour and is not achieving its full potential.

Recommendations:

11. The international research cooperation in H2020, linked to specified internal and external priorities of the European Union, is targeted at specific challenges and problems that demand the coordinated efforts of different thematic units/directorate generals, and the pooling of the distinct thematic areas of knowledge (of the S&T community, global trends and developments, opportunities for cooperation, success and risk factors, etc.) is integral to the effective implementation of international cooperation priorities.
12. In the case of countries and regions where roadmaps for scientific cooperation have been concluded, international cooperation support actions should actively contribute to the implementation of the relevant roadmaps. Where such roadmaps have not yet been finalized, the projects should focus on providing support to the policy dialogue process.
13. Any priority-setting exercises which are undertaken through the international cooperation support actions should be conducted in close collaboration with the relevant policy dialogue activity.
14. The Strategic Forum for International Cooperation (SFIC) offers an important forum for establishing common strategic priorities, and a re-energised initiative from this inter-governmental entity would provide a basis for establishing consensus around strategic thematic priorities and a strong geographic focus. A specific recommendation would be to assess the present level of mandate that the members have to make strategic decisions.

Annex 1: List of References

1A. EC Strategic documents
<ul style="list-style-type: none"> ▪ Enhancing and focusing EU international cooperation in research and innovation: A strategic approach, Brussels, 14.9.2012, COM (2012) 497 final.
<ul style="list-style-type: none"> ▪ A Strategic European Framework For International Science And Technology Cooperation, Communication from the commission to the Council and the European Parliament, Brussels, 24.09.2008, COM(2008) 588 final
<ul style="list-style-type: none"> ▪ International Science and Technology Cooperation in the EU's Seventh Framework programme: the specific programme 'Cooperation; and its thematic areas, Main Report, Directorate-General for Research and Innovation, International Cooperation, 2014.
<ul style="list-style-type: none"> ▪ Research and Innovation in support of the European Neighbourhood Policy, Directorate-General for research and Innovation, International Cooperation Directorate, European Neighbourhood, Africa and the Gulf Unit, 2013.
<ul style="list-style-type: none"> ▪ European Added Value of EU Science, technology and Innovation actions and EU-Member State Partnerships in international cooperation, Main Report, Directorate-General for Research and Innovation, International Cooperation, 2014.
<ul style="list-style-type: none"> ▪ Basic Principles for Effective International STI Cooperation Agreements, Main report, Directorate-General for Research and Innovation, International Cooperation, 2014
<ul style="list-style-type: none"> ▪ A New Approach to International S&T Cooperation in the EU's 7th Framework Programme (2007-2013)
<ul style="list-style-type: none"> ▪ International Cooperation in Science, Technology and Innovation: Strategies for a Changing World, EUR 25508N
<ul style="list-style-type: none"> ▪ A Strategic European Framework for the International Science and Technology Cooperation (2008)
<ul style="list-style-type: none"> ▪ Europe 2020 Flagship Initiative Innovation Union, SEC (2010) 1161
<ul style="list-style-type: none"> ▪ Resilient Europe. Societal Challenge 6: Europe in a Changing World – inclusive, innovative and reflective societies. Recommendations to the European Commission developed by the Advisory Group on Societal Challenge 6. 7 July 2014
<ul style="list-style-type: none"> ▪ Report from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions, Report on the implementation of the strategy for international cooperation in research and innovation. COM (2014) 567 final, 15 September 2014
<ul style="list-style-type: none"> ▪ Commission Staff Working Document, Roadmaps for international cooperation

1A. EC Strategic documents

(accompanying the document COM 2014, 567 final, 15 September 2014)

- Horizon 2020 – The Framework Programme for Research and Innovation
- Research and Innovation, support of the Neighbourhood Policy, EUR 25641
- Policy and programme documents issued by other relevant European Commission DGs (to evaluate complementarities and potential synergies) such as:
 - Previous evaluation exercises: (Five Year Assessment of the European Union Research Framework Programmes 1999-2003 and Communication from the Commission 'Responding to the Five-Year Assessment of Community research activities (1999-2003) carried out by high level independent experts')
 - Research & Innovation: Annual reports and other reports including Final Report of the Evaluation of FP6 INCO Programme – October 2008
 - Information on research activities, the European Research Area, the Framework Programmes and the specific research programmes.
- Other documents:
 - Council decision concerning the Specific Programmes
 - European Parliament and the Council decision of 18 December 2006 concerning the FP7 EC (2007-2013)
 - Regulation laying down the rules for the participation in FP7 EC (2007-2013)
 - Rules for submission of proposals and the related evaluation, selection and award procedures (the specific arrangements for each call are described in the relevant Guide for Applicants)
 - DG RTD's studies: Assessment of the Impact of International Science and Technology Cooperation Modalities of FP7 and Effectiveness in Focusing Cooperation both Geographically and Thematically; The added value of EU and joint EU-MS actions for supporting international STI cooperation; Assessment of the Basic Principles for Effective International STI Cooperation Agreements
 - NETWATCH and ERA-LEARN data
 - Documentation from meetings such as the Strategic Forum on International Cooperation (SFIC), the International Learning Network (ILN), etc.

1B. INCO documentation

- INCO Inception report (revised) 30 April 2014.
- INCO work programmes and strategy documents
- Mid-term evaluation of the international cooperation activities of the Capacities Programme
- International Partners in FP7, latest statistics (December 2013)
- SFIC Work Programme 2013-2014
- Regional strategic papers (ex: The Mediterranean Neighbourhood in FP7, 2013; The EASTERN PARTNERSHIP IN FP7, 2013)
- Web pages of INCO projects
- Report on ERA-NET, ERA-NET Plus and JPIs and their joint calls
- Material publicly available (websites, dissemination material, newsletters, etc.)
- Additional documents:
 - Reference of the International cooperation activities:
 - Capacities Work Programmes 2010, 2011, 2012, and 2013 - General Introduction
 - Work Programmes 2010, 2011, 2012, and 2013 - Activities of International Cooperation
 - Capacities Work Programmes 2010, 2011, 2012, and 2013 - General Annexes
 - Guide for Applicants (Coordination and Support Action: Supporting - CSASA)
 - FP7 fact-sheets.

Note: INCO global statistics used in the following Annexes are from e-Corda, June 2014

Annex 2: List of Acronyms

AC	Associated Countries
ACCESS4EU	INCO instrument: Exploring New Opportunities for European Researchers in International S&T Cooperation
ACP	Africa, Caribbean and the Pacific Group of States
ALA	Asia and Latin America
ALC / LAC	Latin America and Caribbean Group of States
BILAT	INCO instrument: Bilateral coordination for the enhancement and development of S&T Partnerships
BRICS	Brazil, Russia, India, China and South Africa
CA	Coordination Action
CAADP	Comprehensive Africa Agriculture Development Programme
CP	Collaborative project
CSA	Coordination and Support Action
DCECI	Development Cooperation and Economic Cooperation Instrument
DEVCO	Directorate General, EuropeAid, Development and Cooperation
DG-CONNECT	Directorate General, Communications Networks, Content and Technology
DoW	Description of Work
EC	European Commission
ENP	European Neighbourhood Policy
ERA-NET/ERANET-PLUS	INCO instrument: Supporting the coordination of national policies and activities of Member States and/or Associated States on international S&T cooperation
ERAWATCH	Platform on Research and Innovation Policies and Systems accessible by all interested users without the need for registration

ERAWIDE	INCO instrument: Strengthening research excellence in the ENP countries
ESFRI	European Strategy Forum on Research Infrastructures
FP7	Framework Programme 2007-2013
GSO	Groups of Senior Officials
HLPD	High Level Political Dialogue
H2020	Horizon 2020-EU Research and Innovation programme
ICPC	International Cooperation Partner Countries = developing and emerging countries
INCO-HOUSE	INCO instrument: Strengthening joint European S&T centres in Third Countries
INCO-2020	INCO instrument: raising awareness in third countries of the opportunities available in H2020
INCO-LAB	INCO instrument: Strengthening European research facilities in third countries
INCO-NET	INCO instrument: Bi-regional coordination of Science & Technology (S&T) cooperation including priority setting and definition of S&T cooperation
INCONTACT	INCO instrument: reinforcing the network of National Contact Points
JPIs	Joint Programming Initiatives
JST	Japan Science and Technology agency
MDG	Millennium Development Goals
MS	European Member States
NCP	National Contact Point
NEPAD	New Programme for Africa's Development
R2I-ENP	INCO instrument: Reinforcing cooperation with European Neighbourhood Policy countries on bridging the gap between research and innovation

SA/CSA	Support Action/Coordination and Support Action
SFIC	Strategic Forum For International Cooperation
SICA	Specific International Cooperation Action
S&T	Science and Technology
UfM	Union for the Mediterranean
WP	Work Programme

Annex 3: List of interviews

3.1 European Commission officials

Name	Responsibility
Benediktsson, Indridi	RTD.DDG, INCO, Policy Officer, R&I relations with South America (except Brazil) / coordinates the EU-LAC regional cooperation for research and innovation
Beuf, Armand	RTD.DDG, INCO, Policy Officer, Science, Technology and Innovation cooperation with Australia, New Zealand and Pacific countries
Carthy, Kevin Mac	DEVCO, Senior Policy Officer, Directorate-General Europe Aid Development and Co-operation. Member of the steering committee for the Ex-post evaluation of INCO FP7
Devars, Thierry	RTD.DDG, INCO, Policy Officer - Eastern Partnership (South Caucasus), Middle East and Gulf
Dimitrova, Tanya	RTD.DDG, INCO, Policy Officer, Southern Neighbourhood, Middle East, Israel, OPT, Iran, Iraq, Lebanon, Syria
Fillon-Ashida, Pierrick	RTD.DDG, INCO, Policy Officer, Science, Technology and Innovation cooperation with South-East Asia. Thematic priority: ICT, NMP, RSFF, SMEs and ASEAN
Friederichs, Tania	RTD.DDG, INCO, Policy Officer, Science, Technology and Innovation co-operation with Western Balkan Countries and Turkey
Froissard, Philippe	RTD.DDG, Innovation Union and ERA, Deputy Head of Unit, Research infrastructure. Member of the steering committee for the Ex-post evaluation of INCO FP7
Gauci, Christopher	RTD.DDG, INCO, Policy Officer, Southern Neighbourhood, Research to Innovation Euro-Med Cluster
Kavanagh, Mary	RTD.DDG, INCO, Deputy Head of Unit, North America, Latin America and the Caribbean
Lermusieaux, Aline	RTD.DDG, INCO, European Neighbourhood, Africa and Gulf, Policy Officer, Eastern Partnership, Black Sea
Lipiatou, Elisabeth	RTD.DDG, INCO, Head of unit "European Neighbourhood, Africa and Gulf"
Matraia, Tomas	RTD.DDG, INCO, Programme Officer, EU policies, Sub-Sahara African Countries (Central and Western) & Egypt

Name	Responsibility
Samaniego, Moffre	RTD.DDG, INCO, Policy Officer, S/T relations with Mexico, Central America, Caribbean
Sammaritano, Diego	RTD.DDG, INCO, Policy Officer, Science, Technology and Innovation cooperation with China. Thematic priorities: FAB, Smart Cities and SP People
Sanders, Jurgen	RTD.DDG, INCO, Policy Officer, Science, Technology and Innovation cooperation with Russia, South Asia and South-West/Central Asia
De Taxis Du Poet, Philippe	ENTR.A, Policy Officer, International Affairs and Missions for Growth, Southeast Asia
Vittet-Philippe, Patrick	Head of Japan and Russia Desks, International Cooperation Directorate

3.2 INCO project Coordinators and Partners

Name	Comment
Abdelhak, Sonia	Coordinator of ERA-WIDE project GM_NCD_IN_CO, Institut Pasteur de Tunis, Tunisia
Amarathunga, Dilanthi	Coordinator of INCO-NET CASCADE, University of Salford, UK
Arzumanyan, Tigran	Partner INCO-NET EAP, National Academy of Sciences of Armenia, Armenia
Babikyan, David	Coordinator of ERA-WIDE project INARMERA, GMC, Armenia
Bakashova, Jyldyz	Partner INCO-NET CA/SC, Director National Library of the Kyrgyz Republic, Kyrgyzstan
Begdouri, Ahlam	Coordinator of ERA-WIDE project MOICT, USMBA, Morocco
Bel Hassen, Malika	Coordinator of ERA-WIDE project INCOMMET, INSTM, Tunisia
Bogliotti, Claudio	CIHEAM-MAIBari, Italy
Bonas, George	Coordinator of INCONET EECA, CA, CA/SC, INCONET EAP, CERISS, Greece

Name	Comment
Bossi, Monique	Coordinator of INCO-NET ENLACE, APRE, Italy
Buonocore, Caterina	Coordinator of INCO-NET EUCARINET, APRE, Italy
Carrington, Sean	Partner INCO-NET EUCARINET, University of the West Indies, Barbados
Cherry, Andrew	Coordinator of BILAT EU-Africa, INCO-NET CAAST-Net, CAAST-Net Plus, ACU, UK
Dall, Elke	Coordinator of INCO-NET WBC-INCO-Net, ZSI, Austria
Di Maggio, Diassina	Coordinator various projects, APRE, Italy
Dubynskyi, Georgii	Partner, INCO-H2020, NCP, Ukraine
Essegbey, George	Partner INCO-NET CAAST-NET, Council for Scientific and Industrial Research, Ghana
Gabouze Noureddine	Coordinator of ERAWIDE NASERA, UDTS, Algeria
Ghany Khalid, Abdel	Coordinator of ERA-WIDE ADM-ERA, CMRDI, Egypt
Guth Michael	Coordinator of BILAT EARN (Algeria), Zenith-Centre for innovation and technology transfer in North Rhine Westphalia, Germany
Henry, Guy	Project INCO-NET EUCARINET, CIRAD, France
Holland, Martin	Coordinator of BILAT FRENZ Europe-New Zealand, RSNZ, New Zealand
Kervalishvili, Paata	Coordinator of ERA-WIDE project SENS-ERA, GTU, Georgia
Klessova, Svetlana	Partner of various INCO projects, Inno Group consulting company
Kozmus, Davor	Partner WBC-INCO.Net, Ministry of Education, Ljubljana, Slovenia
Krayushkina, Kateryna	Coordinator of ERA-WIDE project INCRIS, DNDI, Ukraine
Kuklina, Irina	ERA-NET RUS Plus, International Centre for Innovations in Science, Technology and Education (ICISTE), Russia

Name	Comment
Liliana Proskuryakova	Partner INCO-H2020, NCP, Russia
Magzieva, Kamila	Partner INCONET CA/SC, Director InExCB-Kz, Kazakhstan
Mammadov, Eldar	Coordinator of ERA-WIDE PRIMA-ERA, Azerbaijan National Academy of Science, Azerbaijan
Martinez, Zoraida	Partner of BILAT B.BICE+, Partner of BILAT ESASTAP Plus, IRD, France
Massi, Flavien	Partner of various INCO projects, Intelligencia consulting company, Luxembourg
Meerovskaya, Olga	Partner INCO-NET EAP, Belarusian Institute of System Analysis, Belarus
Mienert, Marion	Coordinator of BILAT-RUS, DLR Germany
Mura, Fabrizio	Coordinator of J-BILAT, EU-Japan Centre for Industrial Cooperation,
Nikiforovich, Eugene	Coordinator of ERA-WIDE project ERAIHM, IHM NASU, Ukraine
Patrakh, Tetiana	BILAT-UKR, NIP, Ukraine
Perez, Gustavo	Partner INCO-NET EUCARINET, University of Barcelona, Spain
Pupovci, Dukagjin	Partner WBC-INCO.Net, Executive Director, Kosovo Education Centre, Kosovo
Rakotonjanahary, Xavier	Partner INCO-NET CAAST-Net, DR-MENRS, Madagascar
Ralphs, Gerard	Partner INCO-NET CAAST-NET, Research Africa, South Africa
Rauf Rjoub, Abdoul	Coordinator of ERA-WIDE JEWEL, JUST, Jordan
Reinberg, Stefanie	Partner INCO-NET ENLACE, Latin American Institute, Austria
Rodriguez, Rafael	Coordinator of INCO-NET MIRA, CSIC Spain

Name	Comment
Salim, Kelal	Partner INCO-NET MIRA, Algeria
Sandberg, Gunnar	Coordinator of BILAT-SILK, VINNOVA Sweden
Schuh, Klaus	Coordinator / Partner various projects, ZSI Austria
Ssebuwufu, John	Partner CAAST-Net Plus, Association of African Universities BILAT EU-Africa
Shim, Gitae	Project, International technology planning team, Division of Technology Cooperation at KIAT (Korea Institute for the Advancement of Technology)
Epaminondas Christofilopoulos	Coordinator, INCONTACT-H2020, Praxi, Greece
Smani, Mohamed	Coordinator of BILAT MOBILISE, NGO R&D Maroc, Morocco
Sonnenburg, Joern	Coordinator / Partner various projects, DLR, Germany
Tae Hee, Kim	Coordinator of BILAT Korea-EU, Korea
Tighineanu, Ion	Coordinator of ERA-WIDE project MOLD-ERA, IEEN, Moldova
Toshiyasu Ichioka	INCO-H2020, NCP, EU-Japan Centre for Industrial Cooperation
Van Hyfte, Cindy	Partner INCO-NET EUCARINET, CIRAD, France
Vega, Filiberto	Partner INCO-NET ENLACE, University of Costa Rica, Costa Rica
Wang, Tom	BILAT-USA, American Association for the Advancement of Science, USA
Williams, Garth	BILAT, Access2Canada, Public Knowledge Canada
Zaharis, Nikos	INCO-NET WBC-INCO.Net, SEERC Director, Greece
Zebakh, Sanaa	Project, Deputy Director of Cooperation, IAV Hassan II, Rabat

3.3 EU Delegations and national officials

Name	Responsibility
Clément, Jean-Luc	Research Adviser, Office for European and international relations and cooperation, French Ministry of Higher Education and Research
Gavigan, James	R&I Counsellor for US, Delegation of the EU to the United States
Hogan, Stephane	R&I Counsellor for the African Union, Delegation of the European Union to the African Union
Lee, Sunmi	R&I Counsellor to Korea, Delegation of the EU to the Republic of Korea
Lelait, Florence	Vice-president of SFIC, Head of Department of European Affairs, French Ministry of Higher Education and Research
Pletsa, Vassiliki	GSRT, Greece, SFIC representative
Tuckwell, John	R&I Counsellor to Australia and New Zealand, Delegation of the EU to Australia and New Zealand
Vialatte, Philippe	R&I Counsellor for China/Mongolia, Delegation of the EU to China and Mongolia
El-Zoehiri, Hamid	Coordinator of International Cooperation, Ministry of Scientific Research, Egypt
Satoru Ohtake	Japan Science and Technology agency (JST)
Kazuyoshi Shimada	Japan Science and Technology agency (JST)
Motoko Kakubayashi	Japan Science and Technology agency (JST)

Annex 4: Project Participants and EC Financial Contribution

4.1 Summary of participants

Instrument	Coordinators			Number of partners			
	MS/AC	TC	Total	MS/AC	TC	MS %	TC %
INCO-NET	20	1	417	218	199	52%	48%
BILAT	15	24	244	149	95	61%	39%
ERA-NET/ ERA-NET PLUS	12	0	175	133	42	76%	24%
ERA-WIDE	2	46	209	156	53	75%	25%
R2I-ENP	13	0	138	65	73	47%	53%
INCO-LAB	4	2	36	30	6	83%	17%
ACCESS4EU	9	2	64	36	28	56%	44%
INCO-NCP	2	0	21	12	9	57%	43%
INCO-H2020	1	0	13	7	6	54%	46%
INCO- HOUSE	1	0	9	7	2	78%	22%
Total	79	75	1.326	813	513	61%	39%

4.2 Summary of financial contribution

Instrument	EC Financial Contribution				
	Total € million	MS/AC € million	TC € million	MS/AC %	TC %
INCO-NET	54.44	35.09	19.36	64%	36%
BILAT	31.46	17.24	14.21	55%	45%
ERA-NET	25.66	18.70	6.96	73%	27%
ERA-WIDE	23.55	13.13	10.42	56%	44%
R2I-ENP	12.51	8.19	4.32	65%	35%
INCO-LAB	11.94	8.32	3.62	69%	31%
ACCESS4EU	5.30	3.53	1.77	66%	34%
INCO-NCP	2.36	1.75	0.61	74%	26%
INCO-H2020	0.99	0.60	0.40	60%	40%
INCO-HOUSE	0.48	0.43	0.05	90%	10%
Total	168.69	106.98	61.71		

Annex 5: List of INCO projects

5.1 Summary

Instrument	Number of projects funded	EC financial contribution € million	Average EC contribution per project € million	Number of partners	Average number of partners per project
INCO-NET	21	54.44	2.59	417	20
BILAT	39	31.46	0.81	244	6
ERA-NET / ERA-NET Plus	12	27.79	2.32	175	15
ERA-WIDE	50	23.55	0.49	209	4
R2I-ENP	13	12.51	0.96	138	11
INCO-LAB	6	11.99	2.00	36	6
ACCESS4EU	11	5.31	0.48	64	6
INCO-NCP	2	2.37	1.18	21	11
INCO-H2020	1	1.00	1.00	13	13
INCO-HOUSE	1	0.48	0.48	9	9
Total	156	170.90		1.326	

5.2 INCO-NET Projects

INCO-NET Project	Project Title	Number of Partners	EC financial contribution € million	Target countries / regions
ALCUE NET	Latin America, Caribbean and European Union Network on Research and Innovation	19	3,75	Latin America and Caribbean
CAAST-NET	Coordination and Advancement of sub-Saharan Africa-EU Science & Technology Cooperation Network	18	3.00	Africa and Caribbean Pacific
CAAST-NET PLUS	Advancing SSA-EU cooperation in research and innovation for global challenges	25	4.00	Sub-Saharan Africa
CASCADE	Collaborative Action towards Societal Challenges through Awareness, Development, and Education	17	0.30	Central Asia
DANUBE-INCO.NET	Danube Region INCO-NET	19	2.00	Danube region
ENLACE	Enhancing Scientific Cooperation between the European Union and Central America	15	1.60	Central America
EUCARINET	Fostering European Union - Caribbean research and innovation networks	12	1.53	Caribbean
EULARINET	European Union - Latin American Research and Innovation NETWORKS	20	3.00	Latin America
INCONET CA	STI International Cooperation Network for Central Asian Countries	17	2.00	Central Asia
INCONET EAP	STI International Cooperation Network for Eastern Partnership Countries	19	3.00	Eastern Partnership
INCONET EECA	S&T International Cooperation Network for	23	3.53	Eastern Europe and Central

INCO-NET Project	Project Title	Number of Partners	EC financial contribution € million	Target countries / regions
	Eastern European and Central Asian Countries			Asia
INCONET-GCC	Science and Technology International Cooperation Network for Gulf Cooperation Countries aiming at the promotion of bi-regional dialogue	17	1.97	Arab Gulf
INCONET-GCC2	Science, Technology and Innovation International Cooperation Network between EU and the Arab Gulf Countries aiming at the bi-regional coordination towards HORIZON2020	20	2.00	Arab Gulf
MED-SPRING	Mediterranean Science, Policy, Research & Innovation Gateway	28	4.00	Mediterranean
MIRA	Mediterranean Innovation and Research Coordination Action	31	3.82	Mediterranean Partner Countries
PACE-NET	Pacific - EU Network for science and Technology	10	1.40	Pacific
PACE-NET PLUS	Pacific Europe Network for Science, Technology and Innovation	16	3.00	Pacific
SEA-EU-NET	Facilitating the Bi-Regional EU-ASEAN Science and Technology Dialogue	17	2.90	Asia
SEA-EU-NET II	SEA-EU-NET 2 - EU-ASEAN S&T cooperation to jointly tackle societal challenges	20	4.00	South East Asia
WBC-INCO.NET	Western Balkan Countries INCO-NET	26	2.05	Western Balkan countries
Total		417	54.44	
Average		20	2.59	

5.3 BILAT Projects

BILAT Project	Project Title	Number of Partners	EC financial contribution € million	Target countries / regions
ABESTII	Argentinean Bureau for Enhancing Cooperation with the European Community in the Science, Technology and Innovation Area. Phase II	4	0.49	Argentina
ABESTIII	Argentinean Bureau for Enhancing Cooperation with the European Union in the Science, Technology and Innovation Area. Phase III	5	0.74	Argentina
B.BICE+	Brazilian Bureau to Enhance the Bilateral Cooperation between Brazil and Europe	6	1.50	Brazil
BB.Bice	New Brazilian Bureau for Enhancing the International Cooperation with European Union	1	0.50	Brazil
BILAT-RUS	Enhancing the bilateral S&T Partnership with the Russian Federation	9	0.49	Russia
BILAT-RUS-ADVANCED	Advancement of the bilateral Partnership in scientific Research and Innovation with the Russian Federation	16	1.50	Russia
BILAT-UKR	Enhancing the bilateral S&T Partnership with Ukraine	11	0.50	Ukraine
BILAT-UKRAINA	Enhancing the BILATeral S&T Partnership with UKRraine * Advanced INnovative Approach	9	0.75	Ukraine
BILAT-USA	Bilateral Coordination for the Enhancement and Development of S&T Partnerships between the European Union and the United States	6	0.50	USA
BILAT-USA 2.0	Bilateral Coordination for the Enhancement and Development of	14	1.50	USA

BILAT Project	Project Title	Number of Partners	EC financial contribution € million	Target countries / regions
	S&T Partnerships between the European Union and the United States			
CAESIE	Connecting Australian-European Science and Innovation Excellence	6	1.44	Australia
CEST+I	Chile-European Union STI Initiative	4	0.75	Chile
CHIEPII	Strengthen Chilean European Science and Technology Partnerships	1	0.50	Chile
Dragon-STAR	Dragon - Sustaining Technology And Research (EU-China Collaboration)	11	1.50	China
EARN	Euro-Algerian Research Networking	9	0.51	Algeria
ERA-CAN II	European Research Area - Canada Information and Support Service	4	0.50	Canada
ERA-Can Plus	European Research Area - Canada for Science, Technology and Innovation Partnership	7	1.35	Canada
ESASTAP2	Strengthening the European-South African Science and Technology Advancement Programme	1	0.50	South Africa
ESATAP PLUS	Strengthening Technology, Research and Innovation Cooperation between Europe and South Africa	9	1.50	South Africa
ETC	European Tunisian Cooperation	5	0.50	Tunisia

BILAT Project	Project Title	Number of Partners	EC financial contribution € million	Target countries / regions
EUINEC	European Union and India Enhanced Cooperation Framework for Improved Bilateral Dialogue in the Fields of Science and Technology	4	0.50	India
EU-JordanNet	Enhancement of Jordan-European S&T Partnerships	6	0.50	Jordan
EU-JordanNet-II	Enhancement of Jordan-European S&T Partnerships	4	0.68	Jordan
EU-MEX INNOVA	European Union - Mexico bilateral innovation initiative	8	0.75	Mexico
FEED	FEAST Extension, Enhancement and Demonstration project	1	0.46	Australia
FETRIC	Future European Tunisian Research Innovation Cooperation	7	0.75	Tunisia
FRENZ	Facilitating Research Co-operation between Europe and New Zealand	2	0.47	New Zealand
FRIENZ	Facilitating Research and Innovation Cooperation between Europe and New Zealand	6	1.44	New Zealand
INDIGO-POLICY	Support for the advancement of policy cooperation between India and Europe in Research and Innovation	8	1.35	India
J-BILAT	BILAT in Japan	1	0.50	Japan
JEUPISTE	Japan-EU Partnership in Innovation, Science and TEchnology	10	1.25	Japan
KESTCAP	Korea-EU Science and Technology Cooperation Advancement Programme	3	0.47	Korea

BILAT Project	Project Title	Number of Partners	EC financial contribution € million	Target countries / regions
KONNECT	Strengthening STI Cooperation between Korea and the EU, Promoting Innovation and the Enhancement of Communication for Technology-related Policy Dialogue (KONNECT) Programme	8	1.35	Korea
M2ERA	MOROCCO TO ERA	6	0.50	Morocco
MOBILISE	Morocco and the EU: strengthening BIlateral Links in Innovation and Science for Economy	9	0.75	Morocco
ShERACA	Shaping Egypt's association to the ERA and Cooperation Action	4	0.50	Egypt
ShERACA PLUS	Shaping Egypt's association to the European Research Area and Cooperation Action Plus	6	0.74	Egypt
BILAT SILK	Bilateral Support for the International Linkage with Kina	5	0.50	China
UEMEXCYT II	Bureau for EU-Mexican Science and Technology Cooperation – Step II	8	0.50	Mexico
Total	39	244	31.46	
Average		6	0.81	

5.4 ERA-NET/ERA-NET Plus Projects

ERA-NET Project	Project Title	Number of Partners	EC financial contribution € million	Target countries / regions
BS-ERA.NET	Networking on Science and Technology in the BLACK SEA Region	17	2.19	Black Sea
CONCERT-JAPAN	Connecting and Coordinating European Research and Technology Development with Japan	15	2.07	Japan
CO-REACH II	Co-ordination of Research between Europe and China - Phase II	Project cancelled	2.06	China
ERA.NET RUS	Linking Russia to the ERA: Coordination of MS'/AC' S&T programmes towards and with Russia	18	2.60	Russia
ERA.NET RUS PLUS	Further linking Russia to the ERA: Coordination of MS/ AC S&T programmes towards and with Russia	23	3.50	Russia
ERAFRICA	Developing African-European joint collaboration for Science and Technology	14	1.99	Africa
ERANET-LAC	Network of the European Union, Latin America and the Caribbean Countries on Joint Innovation and Research Activities	17	2.50	Latin America and Caribbean
ERANETMED	EURO-MEDITERRANEAN Cooperation through ERANET joint activities and beyond	20	2.50	Mediterranean
INNO INDIGO	Innovation driven Initiative for the Development and Integration of Indian and European Research	14	2.50	India

ERA-NET Project	Project Title	Number of Partners	EC financial contribution € million	Target countries / regions
KORA-NET	An Initiative to Intensify and Strengthen the Regional S&T-Cooperation between Korea and the ERA	11	2.40	South Korea
NEW INDIGO	Initiative for the Development and Integration of Indian and European Research	14	2.49	India
SEE-ERA.NET PLUS	Further integrating key research institutions from Southeast Europe into the European Research Area	17	0.99	South-East Europe
Total	12	192	27.79	
Average		17	2.32	

5.5 ERA-WIDE Projects

ERA-WIDE Project	Project Title	Number of Partners	EC financial contribution € million	Target countries / regions
ADM-ERA	Reinforcing Additive Manufacturing research cooperation between the Central Metallurgical Research and Development Institute and the European Research Area	5	0.50	Egypt
BELERA	Reinforcing carbon nanotubes and photonics research cooperation between the Belarusian State University of Informatics and Radio-electronics and the European Research Area	5	0.50	Belarus
BIOPARTNERS	Reinforcing Georgian international cooperation capacities in the field of Food and Biotechnologies	3	0.50	Georgia
BIOPROTECH	Improvement of research capacities of the Centre of Biotechnology of Sfax in Bio-Processes for biotech applications, tying up with the European Research Area	6	0.50	Tunisia
BOT-ERA	Reinforcing cooperation between the Royal Botanic Garden of Jordan and ERA	4	0.50	Jordan
BY-NANOERA	Institutional Development of Applied Nanoelectromagnetics: Belarus in ERA Widening	7	0.38	Belarus
COMBIOM	Strengthening cooperation in molecular biomedicine between EU and UKRAINE	3	0.50	Ukraine

ERA-WIDE Project	Project Title	Number of Partners	EC financial contribution € million	Target countries / regions
DEBPAL2	Reinforcing Capacity Building for Defending Biodiversity in the Palestinian Territories	4	0.50	Palestinian administrated Areas
ECOARM2ERA	EU Cooperation Capacity Building of Center for Ecological-Noosphere Studies of National Academy of Sciences of Armenia: Towards Armenia's integration into the ERA	4	0.50	Armenia
ERAIHM	Advancing Research and Cooperation Capacities of IHM NASU towards ERA	3	0.39	Ukraine
FAWIRA	Strengthening of Food, Agriculture and Water related International Research Cooperation of Algeria	4	0.50	Algeria
FORCE	Fisheries and aquaculture-Oriented Research Capacity in Egypt	4	0.50	Egypt
GEO-RECAP	Re-creation and building of capacities in Georgian ICT Research Institutes	5	0.40	Georgia
GM_NCD_IN_CO	Reinforcing IPT capacities in Genomic Medicine, Non Communicable Diseases Investigation and international cooperation	3	0.50	Tunisia
IJERA	Integrating Jordan into the European Research Area	4	0.50	Jordan

ERA-WIDE Project	Project Title	Number of Partners	EC financial contribution € million	Target countries / regions
INARMERA	Integrating ARMENIA into ERA	3	0.50	Armenia
INARMERA-ICT	INTEGRATING ARMENIA INTO ERA: information and communication technologies	4	0.50	Armenia
INCAM	Improving National Assessment and Monitoring Capacities for Integrated Environmental and Coastal ecosystem Management	3	0.50	Lebanon
INCOMMET	Improving National Capacities in Observation and Management of Marine Environment in Tunisia	3	0.50	Tunisia
INCRIS	Improving International Cooperation and R&D Road Infrastructure Strategy for Ukraine	6	0.50	Ukraine
IPERA	Integrating the Institute for Physical Research of the National Academy of Sciences of the Republic of Armenia into ERA	4	0.50	Armenia
J-ERACENTER	The National Centre for Research and Development (NCRD) as a Centre of Excellence for EU-Jordan S&T Cooperation: Towards Jordan's Integration into ERA	4	0.49	Jordan
JEWEL	Jordan Europe Wide Enhanced research Links in ICT	3	0.50	Jordan
JOCHERA	Jordan Conservation of Cultural Heritage in ERA	5	0.50	Jordan

ERA-WIDE Project	Project Title	Number of Partners	EC financial contribution € million	Target countries / regions
JORIEW	Improving capacity of Jordanian Research in Integrated Renewable Energy and Water supply	8	0.50	Jordan
KHAI-ERA	Integrating the National Aerospace University "KhAI" into ERA	6	0.50	Ukraine
KHCCBIO	Supporting the Establishment of a Cancer Biobank for Jordan and its Neighbouring Countries Through Knowledge Transfer & Training	4	0.55	Jordan
LEB'IN	Lebanon-Europe "on boarding" to innovate and enhance research links in health	4	-.51	Lebanon
MAP2ERA	Strengthening EU cooperation capacity of the National Institute of Medicinal and Aromatic Plants of Morocco: Towards Morocco's integration into the ERA	4	0.44	Morocco
MOICT	Morocco Research Advance in ICT for Water	4	0.49	Morocco
MOLD-ERA	Preparation for Moldova's integration into the European Research Area and into the Community R&D Framework Programs on the basis of scientific excellence	6	0.50	Moldova (Republic of)

ERA-WIDE Project	Project Title	Number of Partners	EC financial contribution € million	Target countries / regions
MOLD-NANONET	Enhancing the capacities of the ELIRI Research Institute in applied research to enable the integration of Moldova in the European Research Area on the basis of scientific excellence	6	0.47	Moldova (Republic of)
NANOTWINNING	Increase in opportunities for strategic collaboration in the field of nanotechnology via twinning of IOP with institutions of European Research Area	5	0.50	Ukraine
NAPEP	Nanotechnology platform for electronics and photonics	3	0.50	Azerbaijan
NAS-ERA	Reinforcing Nanostructured material research cooperation between the Unité de Développement de la Technologie du Silicium (UDTS) and the European Research Area (ERA)	6	0.50	Algeria
OLITREVA	Capacity Building for Sustainable Treatment and Valorization of Olive Mill Waste in Palestine	4	0.50	Palestinian administered Areas
PERA	Palestine for European Research Area	4	0.45	Palestinian administered Areas
PRIMA-ERA	Promoting and Improving Azerbaijan Research Collaboration with European Research Area	3	0.50	Azerbaijan

ERA-WIDE Project	Project Title	Number of Partners	EC financial contribution € million	Target countries / regions
RECOCAPE	REinforcing COoperation CAPacity of Egypt in embedded ubiquitous computing	4	0.50	Egypt
SASPARM	Support Action for Strengthening Palestinian-administrated Areas capabilities for Seismic Risk Mitigation	3	0.55	Palestinian administrated Areas
SENS-ERA	Strengthening sensor research links between the Georgian Technical University and the European Research Area	5	0.47	Georgia
SIERA	Integrating Sina Institute into the European Research Area	5	0.55	Palestinian administrated Areas
START	Boosting EU-Ukraine cooperation in the field of Superhard Materials	4	0.50	Ukraine
SUCCESS	Strengthening Ukraine and EU research cooperation in the field of Material Sciences	4	0.50	Ukraine
SUDSOE	Characterization and sustainable use of Egyptian degraded soils	4	0.50	Egypt
THEBERA	Theodor Bilharz into the European Research Area	4	0.50	Egypt
WELL	Water and Energy for Life in Libya	4	0.50	Lybia
Total	48	209	23.55	
Average		4	0.49	

5.6 R2I-ENP Projects

R2I Project	Project Title	Number of Partners	EC financial contribution € million	Target countries / regions
CINEA	EU-MED Cooperation to foster Innovation and Exploitation in the Agro-Food Domain	11	0.92	Mediterranean Partner Countries
ENER2I	ENER2I (ENERgy Research to Innovation): Reinforcing cooperation with ENP countries on bridging the gap between energy research and energy innovation	11	1.00	Eastern Partnership
ETRERA_2020	Empowering Trans-Mediterranean Renewable Energy Research Alliance for Europe 2020 challenges	12	1.00	MPC
FP4BATIW	Fostering partnerships for the implementation of best available technologies for water treatment & management in the Mediterranean	13	0.99	MPC
INNOVER-EAST	Building a more effective pathway leading from research to innovation through cooperation between the European Union and Eastern Partnership countries in the field of energy efficiency	15	0.92	EP
MAGHRENOV	Convergence between EU and MAGHREB MPC innovation systems in the field of Renewable Energy and Energy Efficiency (RE&EE) – A test-bed for fostering Euro-Mediterranean Innovation Space (EMIS)	6	0.99	MPC
MARE	Mediterranean Activities for Research and Innovation in the Energy sector	9	0.99	MPC

R2I Project	Project Title	Number of Partners	EC financial contribution € million	Target countries / regions
MENFRI	Mediterranean Network of Forestry Research and Innovation (MENFRI)	6	0.75	MPC
NOGAP	Knowledge Transfer Community to bridge the gap between research, innovation and business creation	13	1.00	EP
RERAM	Bridging Gaps Between R2I in Resource Efficiency and Raw Materials	12	0.99	EP
SECURE-R2I	Reinforcing cooperation with Eastern Partnership countries on bridging the gap between research and innovation for inclusive and secure societies	12	1.00	EP
SOHEALTHY	Mediterranean Research Network on Footcare Sector	6	0.96	MPC
SUAFRI-EPC	Supporting the Uptake of Agri-Food Research Results into Innovation with EPC countries	12	1.00	EP
Total	13	138	12.51	
Average		11	0.96	

5.7 INCO-LAB Projects

INCO-LAB Project	Project Title	Number of Partners	EC financial contribution € million	Target countries / regions
CLIM-AMAZON	Joint Brazilian-European research facility for climate and geodynamic research on the Amazon River basin sediments	2	2.00	Brazil
EUJO-LIMMS	EUrope-Japan opening of LIMMS	5	2.00	Japan
EURUCAS	European-Russian Centre for cooperation in the Arctic and Sub-Arctic environmental and climate research	12	2.00	Russia
IMMUNOCAN	Toward enhancing activities of European institutions in the FDUSCC-IM cancer research joint institute in China	5	1.99	China
INDO-MARECLIM	INDO-EUROPEAN research facilities for studies on marine ecosystem and climate in India	6	2.00	India
SWAN	Sustainable Water Action: building research links between EU and US	6	2.00	US
Total	6	36	11.99	
Average		6	2.00	

5.8 ACCESS4EU Projects

ACCESS4EU Project	Project Title	Number of Partners	EC financial contribution € million	Target countries / regions
ACCESS2CANADA	Supporting EU Access to Canadian Research and Innovation Programmes	6	0.50	Canada
ACCESS2MEXCYT	Promoting High-Quality Research Opportunities for European Researchers in Mexico	6	0.50	Mexico
ACCESS4EU:NZ	Opportunities for Access of European Researchers to the New Zealand Research System	4	0.50	New Zealand
ACCESSRU	Strengthening EU-Russia Sciences and Technology cooperation and EU access to Russian National Funding Programmes	8	0.44	Russia
APORTA	Supporting EU Access to Brazilian National research programmes - Acesso por Ciência e Tecnologia no Brasil	4	0.50	Brasil
AUS-ACCESS4EU	Supporting EU access to Australian research programmes	4	0.50	Australia
CHINAACCESS4EU	Supporting the EU access to Chinese research & innovation programmes	11	0.50	China
INDIA GATE	Increasing the Dialogue between India and Europe by Improving EU Awareness and Access to Indian Research and Innovation Technology Programmes	7	0.50	India

ACCESS4EU Project	Project Title	Number of Partners	EC financial contribution € million	Target countries / regions
KORRIDOR	Stimulating and facilitating the participation of European researchers in Korean R&D programmes	5	0.50	Korea
LINK2US	European Union – United States Research Cooperation Network: Link to the United States	4	0.38	USA
SACCESS	Supporting the EU access to South Africa’s research and innovation programmes	5	0.50	South Africa
Total	11	64	5.31	
Average		6	0.48	

5.9 INCO-NCP Projects

INCO-NCP Project	Project Title	Number of Partners	EC financial contribution € million	Target countries / regions
INCONTACT	Network of the INCO-NCPs	8	0.37	
INCONTACT-ONE WORLD	Trans-national co-operation among NCPs for International Cooperation	13	2.00	
Total	2	21	2.37	

5.10 INCO-H2020 Projects

INCO-H2020 Project	Project Title	Number of Partners	EC financial contribution € million	Target countries / regions
INCONTACT 2020	INCONTACT: Supporting the International Dimension of Horizon 2020	13	1.00	

5.11 INCO-HOUSE Projects

INCO-HOUSE Project	Project Title	Number of Partners	EC financial contribution € million	Target countries / regions
INDIA SI HOUSE	INDIA-EU Joint house for Science & Innovation	9	0.48	India

Annex 6: MS/AC Participation

6.1 Participation Levels of MS/AC (partners or coordinators)

Country	INCO-NET	BILAT	ERA-NET / Plus	ERA-WIDE	R2I-ENP	INCO-LAB	ACCESS4EU	INCO-NCP	INCO-H2020	INCO-HOUSE	Total
AT	18	12	8	1	5	1	2				
BE	7	8	2	4	5		2			2	
BG Bulgaria	3	-	1	1		1	1				
CR	3	-	1	1	1						
CY	2	-	1								
CZ Czech republic	1	-		2							
DE Germany	22	32	18	13	6	5	7	3	1		
DK Denmark	-	-		2	1	1					
EE	6	-	1	2	1			3	1		
EL	19	9	5	7	5		4	3	2		
ES Spain	14	10	12	16	9	1					
FI Finland	5	3	6	2	1	2					
FR France	24	24	17	23	4	8	8	2	1	1	
HU Hungary	6	5	3	5	3		2			1	
IL Israel	2	-	1	3							
IS				4							
IT Italy	17	22	10	28	10	2	5	3	1	1	
LV Latvia			1								
LT Lithuania	1	-									
LU Luxembo	-	2		7	5		1				
MD Moldova (Republic)			1	5							
MT Malta	3	-	2								

Country	INCO-NET	BILAT	ERA-NET / Plus	ERA-WIDE	R2I-ENP	INCO-LAB	ACCESS4EU	INCO-NCP	INCO-H2020	INCO-HOUSE	Total
NL Netherlan	7	2	2	1	1	1					
NO	6	1	3			1		1	1		
PL Poland	5	3	2	3	1					1	
PT	11	1	5	2			1				
RO Romania	2	5	5	2	2						
RS Serbia			1	1							
SE	5	1		3			1	2	1		
SK Slovakia	1	-	1		2						
SL Slovenia	3	-	1								
SW Switzerland	3	3	3	2		1				1	
TR	13	4	11	2	2			1			
UK	9	2	1	14	1	3	2				
Total	218	149	125	156	65	27	36	18	8	7	

6.2 Participation Levels of MS/AC (coordinators)

Country	INCO-NET	BILAT	ERA-NET / ERA-NET Plus	ERA-WIDE	R2I-ENP	INCO-LAB	ACCESS4EU	INCO-NCP	INCO-H2020	INCO-HOUSE	Total
AT Austria	3	3			1						
BE Belgium											
BG Bulgaria											
CR Croatia											
CY Cyprus											
CZ Czech											
DE Germany	2	5	7		3		3				

Country	INCO-NET	BILAT	ERA-NET / ERA-NET Plus	ERA-WIDE	R2I-ENP	INCO-LAB	ACCESS4EU	INCO-NCP	INCO-H2020	INCO-HOUSE	Total
DK Denmark											
EE Estonia											
EL Greece	4	2			1			2	1		
ES Spain	2				3						
FI Finland											
FR France	2	2	2			4				1	
HU Hungary		1			1						
IL Israel											
IR Ireland											
IT Italy	3	1	1		1		3				
LT Lithuania											
LU Luxembourg					2						
MD Moldova (Republic of)				2							
MT Malta											
NL Netherlands					1						
NO Norway											
PL Poland	1										
PT Portugal							1				
RO Romania											
RS Serbia											
SE Sweden		1									
SK Slovakia											
SL Slovenia											
SW Switzerland											

Country	INCO-NET	BILAT	ERA-NET / ERA-NET Plus	ERA-WIDE	R2I-ENP	INCO-LAB	ACCESS4EU	INCO-NCP	INCO-H2020	INCO-HOUSE	Total
TR Turkey			1								
UK	3										
Total	20	15	11	2	13	4	7	2	1	1	

Annex 7: INCO Projects Gender Balance

7.1 Summary

Workforce statistics (based on final reports available)

Instrument	Type of position										TOTAL	Total F	Total M	Comment
	Scientific coordinator		Work package leaders		Experienced researchers		Phd student		Other					
	F	M	F	M	F	M	F	M	F	M				
INCO-NET	8	11	17	15	49	41	11	21	41	42	256	126 (49%)	130 (51%)	Based on 3 final reports
BILAT	13	17	45	47	13	31	2	2	85	54	308	158 (51%)	150 (49%)	Based on 16 final reports
ERA-NET		6			18	64			62	49	199	81 (41%)	118 (59%)	Based on 6 DOW
ERA-WIDE	10	19	18	34	38	118	88	51	62	65	503	216 (43%)	287 (57%)	Based on 11 final reports
R2I-ENP														
INCO-LAB														
ACCESS4EU	11	8	24	22	8	22	5	3	26	30	159	74 (47%)	85 (53%)	Based on 9 final reports
INCO-NCP	0	2	3	2	6	2	0	0	5	3	23	14 (61%)	9 (39%)	Based on 1 final report

Instrument	Type of position										TOTAL	Total F	Total M	Comment
	Scientific coordinator		Work package leaders		Experienced researchers		Phd student		Other					
	F	M	F	M	F	M	F	M	F	M				
INCO-H2020														
INCO-HOUSE														

7.2 Detail INCO-NET

INCO-NET Projects	Type of position										TOTAL	Total F	Total M	
	Scientific coordinator		Work package leaders		Experienced researchers		Phd student		Other					
	F	M	F	M	F	M	F	M	F	M				
ALCUE NET														
CAAST-NET														
CAAST-NET PLUS														
CAAST-NET TOPUP														
CASCADE														
DANUBE-INCO.NET														
ENLACE														
EUCARINET														
EULARINET														
INCONET CA														
INCONET CA/SC	1	1	5	7	20	25	10	20	0	0	89	36	53	
INCONET EAP														
INCONET EECA	6	10	8	6	25	10	1	1	35	36	13	75	63	
INCONET-GCC	1	0	4	2	4	6	0	0	6	6	29	15	14	
INCONET-GCC2														
MED-SPRING														
MIRA														
MIRA2														
PACE-NET														
PACE-NET PLUS														
SEA-EU-NET														
SEA-EU-NET II														

INCO-NET Projects	Type of position										TOTAL	Total F	Total M
	Scientific coordinator		Work package leaders		Experienced researchers		Phd student		Other				
	F	M	F	M	F	M	F	M	F	M			
SEA-EU-NET TOP-UP													
WBC-INCO.NET													
WBC-INCO.NETENHANCE													

7.3 Detail BILAT

BILAT Projects ²⁵	Type of position										TOTAL	Total F	Total M
	Scientific coordinator		Work package leaders		Experienced researchers		Phd student		Other				
	F	M	F	M	F	M	F	M	F	M			
ABESTII	1	1	2	1	2	6	2	1	11	8	35	18	17
BB.BICE		1		2		1					4		4
BILAT RUS		2	2	4	2	2			6	8	26	10	16
BILAT SILK			1	5	1	4			1		12	3	9
BILAT UKR	4	2	17	11					20	14	68	41	27
CHIEP II	2	1	2	1	1	3			2	1	13	7	6
EARN	1	1	2	1	1	1			4	5	16	8	8
ESASTAP2	1		3	2				1			7	4	3
ETC		1		5	3	4			5	2	20	8	12
EUINEC	1	1	7	4	1	5			10	6	35	19	16
EU-JordanNet	1		2	4	1	2			1		11	5	6
FEED		2			1				3	1	7	4	3
FRENZ		1	2						1	1	5	3	2
J-BILAT		1		1					2		4	2	2
KESTKAP		1		1		2			4		8	4	4
UEMEXCyT	2	2	5	5					15	8	37	22	15
Total	13	17	45	47	13	31	2	2	85	54	308	158	150

²⁵ 16 complete final reports available from among 39 BILAT projects (41%)

7.4 Detail ERA-NET / ERA-NET Plus²⁶

ERA-NET Projects	Type of position										TOTAL	Total F	Total M
	Scientific coordinator		Work package leaders		Experienced researchers		Phd student		Other				
	F	M	F	M	F	M	F	M	F	M			
BS-ERA.NET		1			7	13			15	8	44	22	22
CONCERT-JAPAN													
CO-REACH II													
ERA.NET RUS		1			2	11			8	7	29	11	18
ERA.NET RUS PLUS													
ERAFRICA		1				10			6	5	22	6	16
ERANET-LAC													
ERANETMED		1			4	14			13	14	46	17	29
INNO INDIGO		1			4	3			14	7	29	18	11
KORA-NET		1			1	13			6	8	29	7	22
NEW INDIGO													
SEE-ERA.NET PLUS													

²⁶ Based on 6 DOWs.

7.5 Detail ERA-WIDE

ERA-WIDE Projects	Type of position										TOTAL	Total F	Total M
	Scientific coordinator		Work package leaders		Experienced researchers		Phd student		Other				
	F	M	F	M	F	M	F	M	F	M			
BIOPROTECH		1		3	3	3	70	30	3	1	114	76	38
BY-NANOERA		1	2	1	4	12	9	5	10	4	48	25	23
GEO-RECAP		1	1	4	1	12		1	1		21	3	18
IJERA	1		2	2		1			2	2	10	5	5
INCAM	4	5	2	4	8	11	1		5	8	48	20	28
JEWEL	2	2	2	6	8	43	1	3			67	13	54
MAP2ERA	3	3	1	3	2	3			4	6	25	10	15
MOLD-ERA		1	2	2	4	11	2	4	4	3	33	12	21
NAPEP		3	4	3			5	4	16	22	57	25	32
PERA		1		4	5	15		1	3		29	8	21
SUCCESS		1	2	2	3	7		3	14	19	51	19	32
Total	10	19	18	34	38	118	88	51	62	65	503	216	287

7.6 Detail ACCESS4EU

Projects	Type of position										TOTAL	Total F	Total M
	Scientific coordinator		Work package leaders		Experienced researchers		Phd student		Other				
	F	M	F	M	F	M	F	M	F	M			
ACCESS2CANADA	3	2	1	2	2	0	0	0	0	3	13	6	7
ACCESS2MEXCYT	3	0	4	3	0	0	0	0	0	0	10	7	3
ACCESS4EU: NZ	0	1	1	2	0	1	1	0	0	0	6	2	4
ACCESSRU	1	0	4	1	1	1			10	4	22	16	6
APORTA	1	1	1	3	0	2	0	0	2	2	12	4	8
AUS-ACCESS4EU	0	1	1	3	2	4	0	0	2	2	15	5	10
CHINAACCESS4EU	0	1	3	5	1	8	0	1	9	12	40	13	27
INDIA GATE	3	0	3	2	0	3	3	2	3	5	24	12	12
KORRIDOR	0	2	6	1	2	3	1	0	0	2	17	9	8
LINK2US													
SACCESS													
Total	11	8	24	22	8	22	5	3	26	30	159	74	85

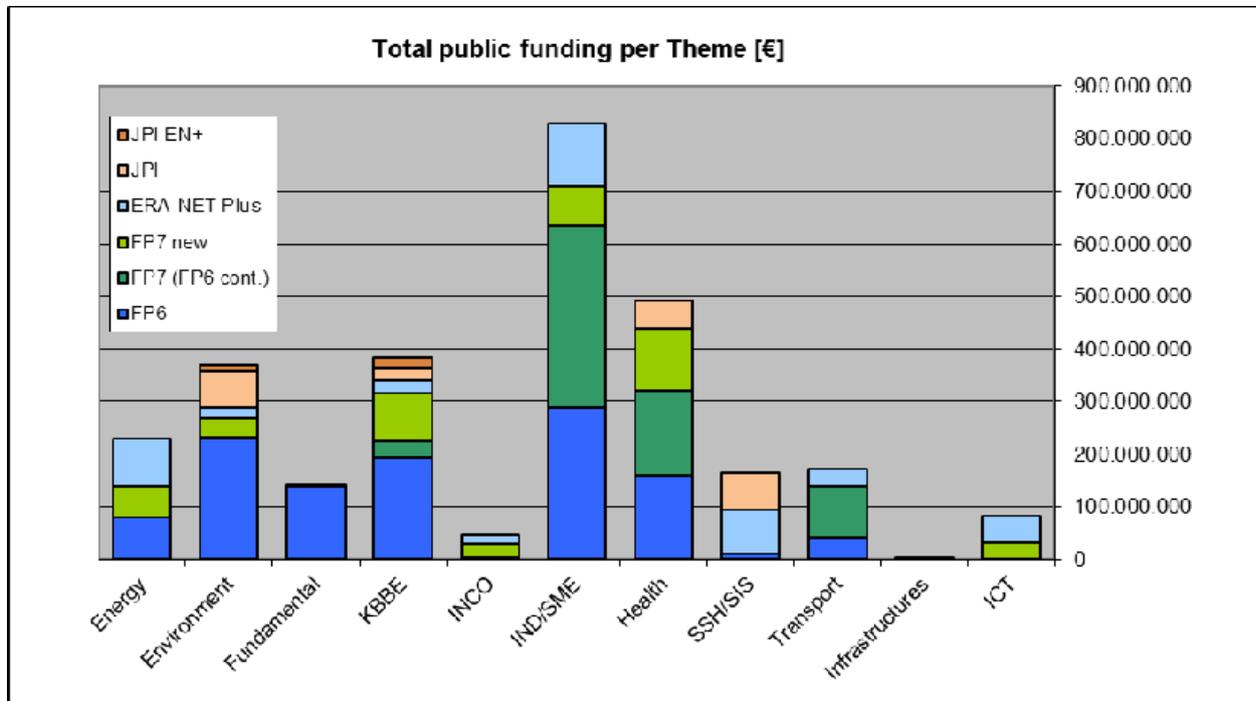
7.7 Detail INCO-NCP and INCO-H2020

Projects	Type of position										TOTAL	Total F	Total M
	Scientific coordinator		Work package leaders		Experienced researchers		Phd student		Other				
	F	M	F	M	F	M	F	M	F	M			
INCONTACT	0	2	3	2	6	2	0	0	5	3	23	14	9
INCONTACT-ONE WORLD													
INCO-H2020													

Annex 8: ERANET

8.1 Total public funding per Theme for calls implemented by ERANET and ERANET Plus

Actions over the period 2004-2015 (survey data).



Source: European Commission 2013 Report on ERA-NET, ERA-NET Plus and JPIs and their joint calls EC (p. 8)

8.2 ERANET/ERANET PLUS projects call, number of projects launched, and budget available and allocated

Project Acronym	EC Contribution	Year of Call	Name of call	Call Available Budget		Number of projects	Call Allocated Budget	
				All Partners	Third Countries		All Partners	Third Countries
KORA-NET	2.398.32	2010	Life Long Health	925.000	225.000	14	774.851	250.000
		2012	Green Technologies	2.008.000	408.000	11	1.532.374	518.613
SEE-ERA.NET PLUS	988.42	2009	ICT, Agro Food	3.500.000	0	23	2.876.315	0
BS-ERA.NET	2.191.78	2012	Raw Materials Environment, Water Pollution, Renewable Energy, CCS	2.879.484	324.300	11	2.879.484	281.334
ERA.NET RUS	2.597.41	2012	Innovation Call	3.721.970	1.674.400	11	3.450.140	1.149.990
		2012	S&T call	7.929.740	1.503.300	31	6.872.120	952.590
NEW INDIGO	2.489.78	2010	Biotechnology and Health	1.900.000	500.000	13	2.300.288	747.306
		2011	Water	1.550.000	500.000	9	1.387.114	442.867

Project Acronym	EC Contribution	Year of Call	Name of call	Call Available Budget		Number of projects	Call Allocated Budget	
				All Partners	Third Countries		All Partners	Third Countries
		2012	Biotechnology applied to Human Health	4.000.000	1.000.000	6	3.322.700	1.061.523
		2013	Smart Grids, New Energy materials	3.600.000	900.000	7	3.975.796	794.504
ERAFRICA	1.991.71	2013	Renewable Energy	3.200.000	1.600.000	nego phase		
		2013	Interfacing Challenges	5.000.000	2.500.000	nego phase		
		2013	New Ideas	2.000.000	1.000.000	nego phase		
CONCERT-JAPAN	2.072.494	2012	Resilience against Disasters, Efficient Energy Storage and Distribution	5.200.000	800.000	9	2.800.000	800.000
		2014	Photonic Manufacturing		300.000	call published		
ERANETMED	2.499.26							

Project Acronym	EC Contribution	Year of Call	Name of call	Call Available Budget		Number of projects	Call Allocated Budget	
				All Partners	Third Countries		All Partners	Third Countries
ERANET-LAC	2.495.75							
INNO INDIGO	2.499.83							
ERA.NET RUS PLUS	3.500.00			25.612.388	3.801.932			

8.3 ERANET Coordinated calls²⁷

Year	Call Identifier	Sum of Participant EC Contribution	Sum of Participant Total Cost	Estimated Third Country Total Costs	Source	Projects	Counterpart
2009	FP7-ENERGY-2009 BRAZIL	4.395.396	7.119.258	4.400.000	estimate	PROETHANOL2G, SUNLIBB	MCT; National Council of State Research Foundations (CONFAP)
2011	FP7-ICT-2011 EU-Brazil	5.498.137	7.322.940	5.500.000	estimate	BEMO-COFRA, EUBRAZILOPENB IO, FIBRE-EU, PODITRODI-EU, SECFUNET	
2013	FP7-ICT-2013 EU-Brazil	5.299.916	6957926	5.000.000	estimate	EUBRAZILCC, GLOBAL ITV, IMPRESS, RESCUER	
2010	FP7-AAT-2010 RTD-CHINA	2.998.673	7.222.219	3.107.672	CORDA	MARS, COLTS	Ministry of Industry and Information Technologies
2013	FP7-NMP-2013 EU-China	5.362.041	6.892.867	5.400.000	estimate	BIO-SCAFFOLDS, NEUROSCAFFOLDS, RAPIDOS	National Natural Science Foundation of China

²⁷ The ERANET coordinated calls are not implemented by the INCO programme but by the thematic ones, namely Aeronautics and Air Transport; Food, Agriculture and Fisheries, and Biotechnology; Nuclear Fission, Safety and Radiation Protection; Nanoscience, Nanotechnologies, Materials and New production Technologies; Health and Energy. The countries participating in the coordinated calls are Brazil, China, India Japan, Mexico, Russia and USA (see table below). Russia, India and Japan are the third countries with the largest amount projects and the biggest contributions in terms of resources.

Year	Call Identifier	Sum of Participant EC Contribution	Sum of Participant Total Cost	Estimated Third Country Total Costs	Source	Projects	Counterpart
2008	FP7-NMP-2008 EU-India-2	4.999.886	6.578.596	5.000.000	estimate	AMCOS, ATHENA, DYNAMAG, HYPOMAP, MONAMI, SIMUGLASS	Department of Science and Technology - Government of India
2009	KBBE-2009-2-7-01 KBBE-2009-2-7-02	2.997.703,00	4.891.989	3.000.000	estimate	FUNCFOOD, NAMASTE	Department of Biotechnology – DBT
2010	FP7-ENERGY 2010-INDIA	4.696.115	6.353.463	4.700.000	estimate	AGATHA, ESCORT, LARGECELLS	Indian Department of Science and Technology (DST)
2011	FP7-KBBE-2011-5	1.193.633	996.095	728.243	CORDA	SAHYOG	Department of Biotechnology – DBT
2012	ENV.2012.6.6-1 EU-India KBBE.2012.3.5-03	16.067.064	20.969.200	16.000.000	estimate	NAWATECH-EU PART, ECO-INDIA, WATER4INDIA, SWINGS, SARASWATI, WATER4CROPS	Department of Science and Technology + Department of Biotechnology, Government of India

Year	Call Identifier	Sum of Participant EC Contribution	Sum of Participant Total Cost	Estimated Third Country Total Costs	Source	Projects	Counterpart
2011	FP7-ENERGY 2011-JAPAN	4.999.998	6.528.053	5.000.000		NGCPV	Japanese New Energy and Industrial Technology Development Organization
2011	FP7-NMP- 2011 EU-Japan	4.997.930	6.642.525	5.000.000		IRON-SEA, LEMSUPER, SUPER-IRON	Japan Science and Technology Agency
2012	FP7-AAT-2012 RTD-JAPAN	3.841.961	5.933.681	4.000.000		HIKARI, JEDI ACE, SHEFAE	Ministry of Economy, Trade and Industry
2013	FP7-ICT-2013 EU-Japan	8.958.956	12.759.124	4.500.000		CLOUT, FELIX- EU, GREENICN, MIWEBA, NECOMA, STRAUSS-EU	
2013	FP7-NMP- 2013 EU-Japan	5.368.400	7.077.545	3.600.000	CORDA	HARFIR, IRENA, NOVACAM	Japan Science and Technology Agency
2010	FP7-NMP- 2010 EU-Mexico	5.994.447,60	15.127.081	6.674.722	CORDA	BISNANO, CUVITO, MINANO, NANOMINING	The Mexican National Council on Science and Technology (CONACYT)

Year	Call Identifier	Sum of Participant EC Contribution	Sum of Participant Total Cost	Estimated Third Country Total Costs	Source	Projects	Counterpart
2008	FP7-ENERGY-2008 RUSSIA	3.519.085,75	9.097.053	4.123.744	CORDA	BIOLIQUIDS-CHP, ICOEUR	Russian Federal Agency for Science and Innovation
2008	FP7-KBBE-2008-3	3.998.349,00	7.783.386	4.000.000	estimate	IRENE, PLAPROVA	Russian Federal Agency for Science and Innovation
2009	HEALTH-2009-4.3.3	5.999.358,00	11.919.992	6.000.000	estimate	ADAMS, SICA-HF	Russian Federal Agency for Science and Innovation
2009	FP7-NMP-2009 EU-Russia	4.637.529,00	6.371.395	4.700.000	estimate	INGENIOUS, S3, SAWHOT	Ministry of Industry and Trade (Department of Aviation Industry)
2009	FP7-Fission-2009	5.084.590,00	10.730.410	5.084.590	estimate	ENEN-RU, EVOL, ERCOSAM, LONGLIFE (parallel projects)	Rosatom
2010	FP7-AAT-2010 RTD-RUSSIA	3.999.698,00	10.570.506	5.100.593	CORDA	ALASCA, ORINOCO, SVETLANA	Russian Ministry of Education and Science

Year	Call Identifier	Sum of Participant EC Contribution	Sum of Participant Total Cost	Estimated Third Country Total Costs	Source	Projects	Counterpart
2011	FP7-ICT-2011 EU-Russia	2.599.966,00	3.521.767	4.000.000		APOS-EU, HOPSA-EU	Russian Ministry of Education and Science
2011	FP7-NMP- 2011 EU-RUSSIA	4.475.997,00	6.390.573	4.500.000	estimate	COMPANOCOM P, IM3OLED, VINAT	Ministry of Industry and Trade (Department of Aviation Industry)
2012	FP7-Fission- 2012	5.550.000,00	10.278.039	5.550.000,00	estimate	SACSESS (parallel project)	Rosatom
2013	FP7-AAT-2013 RTD-Russia	4.765.505,00	13.537.024	4.500.000	estimate	BUTERFLI, COBRA, POLARBEAR, RESEARCH	Russian Federal Agency for Science and Innovation
2013	FP7-Fission- 2013	10.092.842,00	15.081.273	10.092.842	estimate	ENEN-RU II, SAFEST, CHANDA (parallel projects)	Rosatom
2013	FP7-AAT-2013 RTD-HIGH SPEED	5.000.000,00	11.243.050	5.000.000,00	estimate	HEXAFly-INT	Russian Federal Agency for Science and Innovation

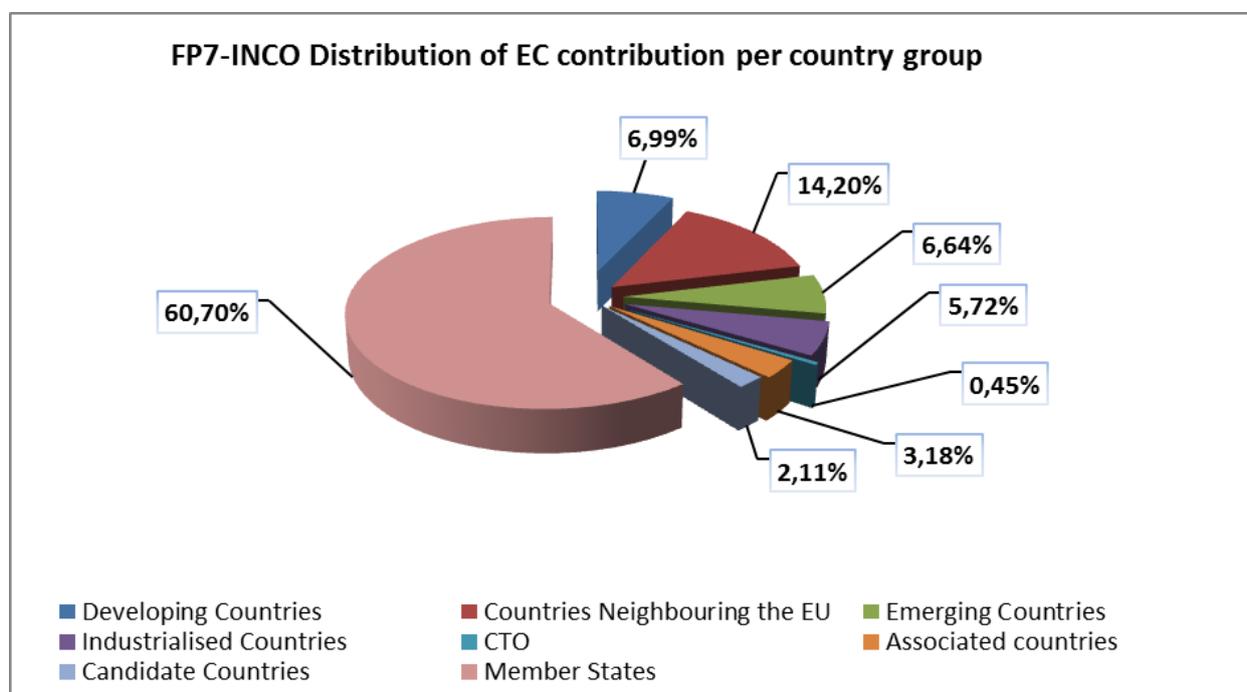
Year	Call Identifier	Sum of Participant EC Contribution	Sum of Participant Total Cost	Estimated Third Country Total Costs	Source	Projects	Counterpart
2010	FP7-NMP-2010 EU-USA	1.992.912	2.584.735	2.000.000	estimate	MODNANOTOX, NANOTRANSKIN ETICS	Environmental Protection Agency; National Science Foundation; National Institute for Occupational Safety and Health; National Institute of Environmental Health Sciences; United States Department of Agriculture
TOTAL		149.386.088	248.481.765	146.262.406			

Annex 9: FP7-INCO projects, EC contribution and number of participants per country group²⁸

Country group	EC contribution	EC contribution Ratio/All countries	Number of participants	Number of participants Ratio/All countries
Developing Countries	11772470.63	6.99%	106	8.01%
ACP-AFRICAN	1974252.22	1,17%	23	1.74%
ACP-CARIBBEAN	764836,8	0,45%	8	0.60%
ACP-PACIFIC	648152,5	0,38%	6	0.45%
ASIA	2340427.52	1,39%	30	2.27%
LATINAMERICA	6044801.59	3,59%	39	2.95%
Countries Neighbouring the EU	23935592,16	14.20%	215	16.24%
EECA	8780896,66	5,21%	91	6.87%
MEDITERRANEAN	15062995,06	8,94%	123	9.29%
WESTERN BALKAN	91700,44	0,05%	1	0.08%
Emerging countries	11197303.84	6.64%	88	6.65%
BRAZIL	1963766.6	1,17%	10	0.76%
CHINA	1689540,2	1,00%	12	0.91%
INDIA	2171698.74	1,29%	16	1.21%
RUSSIA	2599755,75	1,54%	36	2.72%
SOUTH AFRICA	2772542.55	1,65%	14	1.06%

²⁸ Source e-Corda database, June 2014

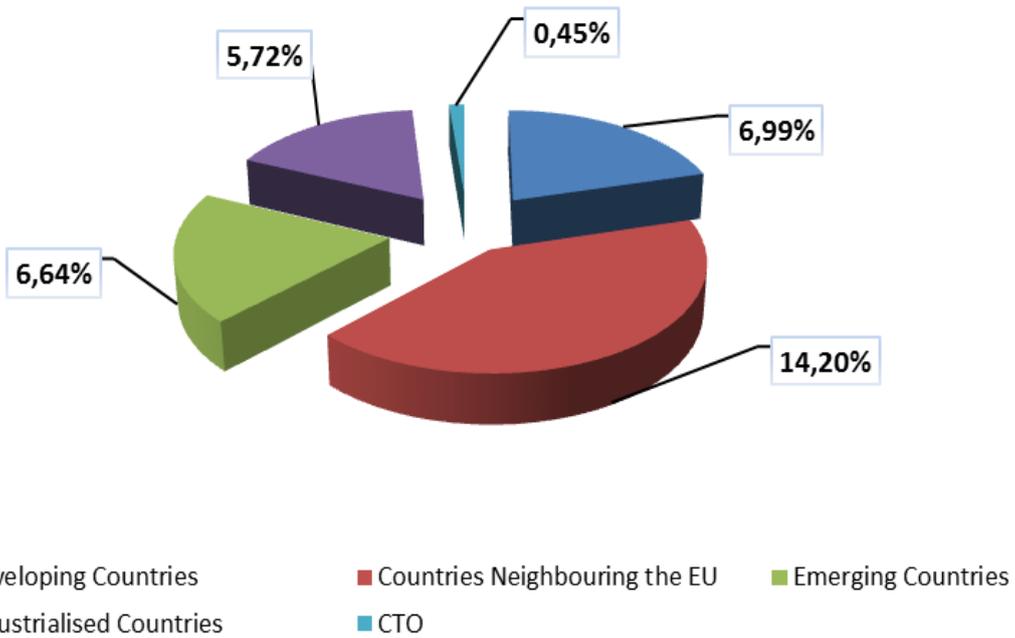
Country group	EC contribution	EC contribution Ratio/All countries	Number of participants	Number of participants Ratio/All countries
Industrialised Countries ²⁹	9645295,9	5.72%	64	4.83%
CTO ³⁰ Countries	759837	0.45%	5	0.38%
TOTAL THIRD COUNTRIES	57310499,53	34%	478	0.36%
Associated Countries	5364158,46	3.18%	57	4.31%
Candidate Countries	3548522,75	2.11%	47	3.55%
Member States	102288147,65	60.70%	742	56.04%
TOTAL ALL COUNTRIES	168511328.4	100%	1324	100%



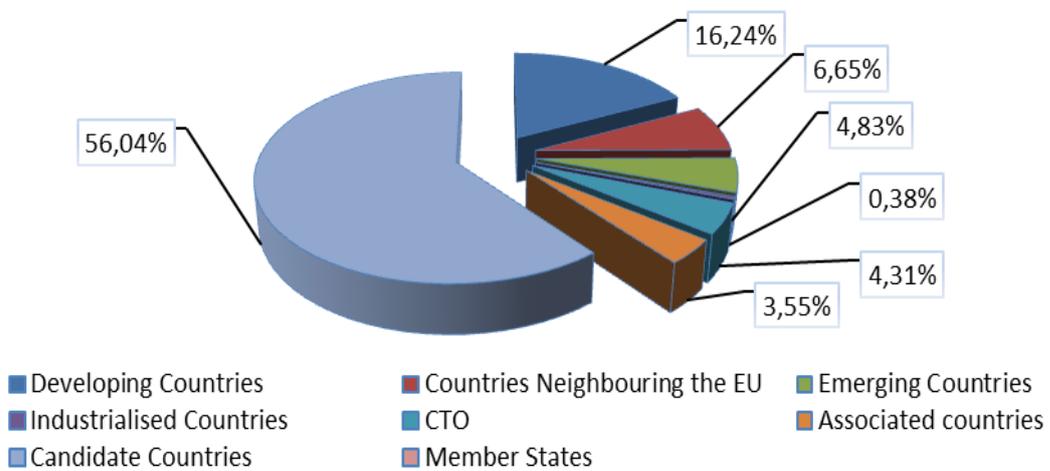
²⁹ Australia, New Zealand, United Arab Emirates, Bahrain, Kuwait, Saudi Arabia, Canada, United States, Japan, Hong Kong, Korea (Republic of), United States, Singapore, Macao

³⁰ CTO : Countries and Territories overseas, Curaçao, New Caledonia, French Polynesia

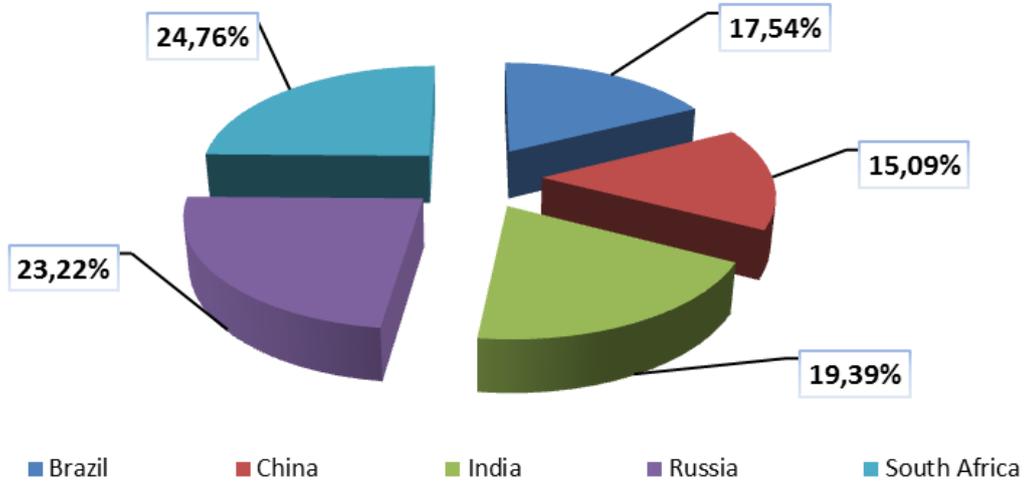
FP7-INCO Distribution of EC contribution per third country group



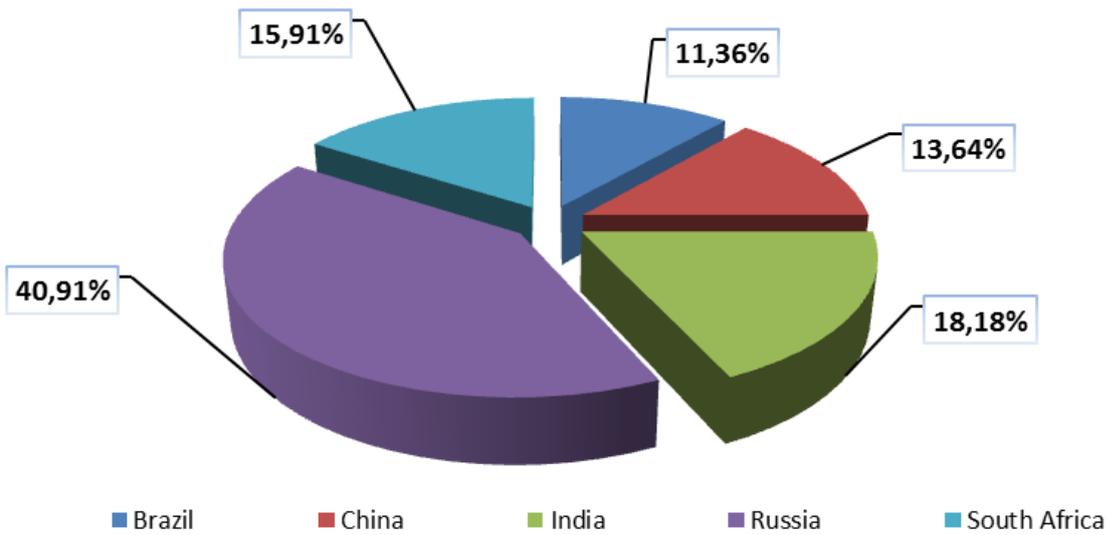
FP7-INCO Distribution of participants per country group



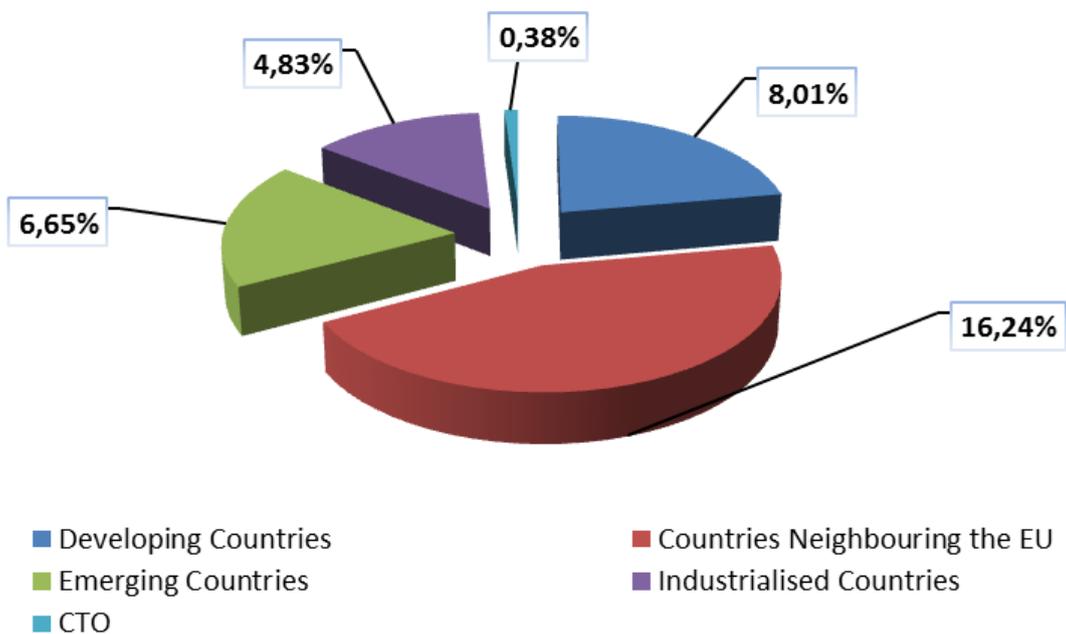
FP7-INCO Distribution of EC contribution per emerging country



FP7-INCO Distribution of participants per emerging country



FP7-INCO Distribution of participants per third country group



Annex 10: The “top 20” FP7- INCO participating third countries³¹

Third Country	Number of projects	Number of participants
Egypt	18	25
Tunisia	15	23
Ukraine	15	23
Morocco	14	22
Jordan	14	21
Russian Federation	10	36
Armenia	10	14
Georgia	10	14
South Africa	10	14
Mexico	9	10
Palestine	9	10
India	7	16
Algeria	7	12
Belarus	7	12
Brazil	7	10
China (People's Republic of)	6	12
Japan	6	9
Azerbaijan	6	8
Lebanon	6	8
Argentina	6	6

³¹ Source e-Corda database, June 2014

Annex 11: List of participating FP7 INCO countries³²

Third Countries	Number of projects	Number of participants
Egypt	18	25
Tunisia	15	23
Ukraine	15	23
Jordan	14	21
Morocco	14	22
Armenia	10	14
Georgia	10	14
Russian Federation	10	36
South Africa	10	14
Mexico	9	10
Palestine	9	10
Algeria	7	12
Belarus	7	12
Brazil	7	10
India	7	16
Argentina	6	6
Azerbaijan	6	8
China (People's Republic of)	6	12
Japan	6	9
Lebanon	6	8
Australia	5	9
Chile	5	5
New Zealand	5	11
Thailand	5	8
Korea (Republic of)	4	8
United States	4	7
Canada	3	8
Kazakhstan	3	6
Kenya	3	3
Panama	3	3
Uruguay	3	3
Uzbekistan	3	4
Barbados	2	2
Cape Verde	2	2
Colombia	2	3
Costa Rica	2	2
Dominican Republic	2	2
Fiji	2	2
Ghana	2	4

³² Source e-Corda database, June 2014

Third Countries	Number of projects	Number of participants
Indonesia	2	2
Kyrgyzstan	2	5
Lao (People's Democratic	2	2
Malaysia	2	2
New Caledonia	2	3
Nigeria	2	2
Papua New Guinea	2	2
Rwanda	2	3
Senegal	2	2
Singapore	2	4
Tajikistan	2	3
Turkmenistan	2	2
Uganda	2	2
Viet Nam	2	2
Afghanistan	1	1
Bahrain	1	1
Bangladesh	1	1
Bhutan	1	1
Botswana	1	1
Cameroon	1	1
Cuba	1	1
Curaçao	1	1
French Guiana	1	1
French Polynesia	1	1
Guatemala	1	3
Guyana	1	1
Honduras	1	1
Hong Kong	1	1
Jamaica	1	1
Kosovo * UN resolution	1	1
Kuwait	1	1
Libya	1	1
Macao	1	1
Malawi	1	1
Maldives	1	1
Nepal	1	2
Oman	1	2
Pakistan	1	2
Peru	1	1
Philippines	1	1
Qatar	1	1
Samoa	1	1
Saudi Arabia	1	2
Sri Lanka	1	2

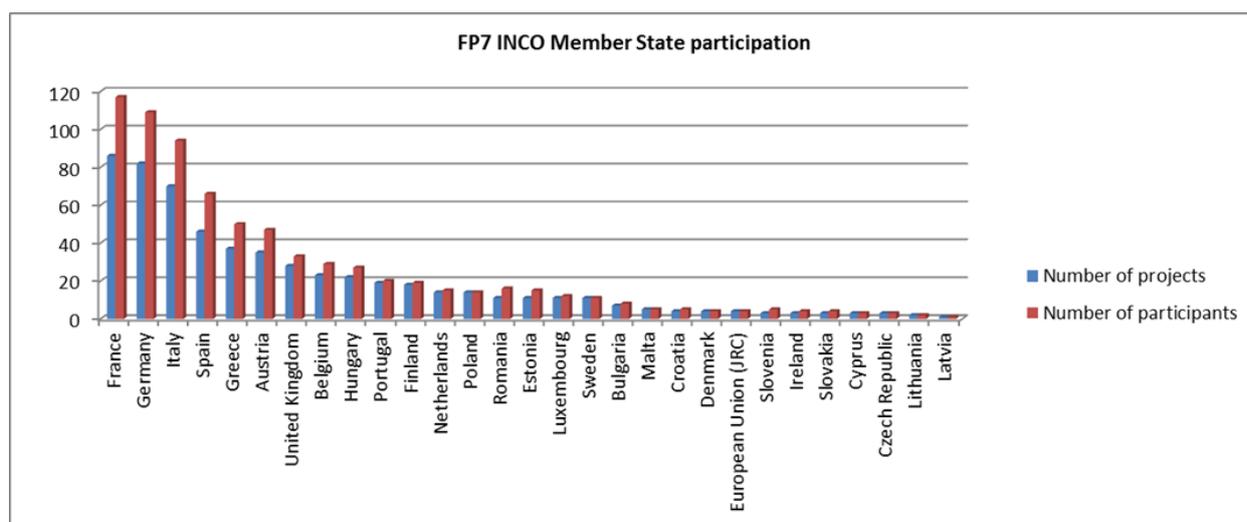
Third Countries	Number of projects	Number of participants
Syrian Arab Republic	1	1
United Arab Emirates	1	1
Vanuatu	1	1
Yemen	1	1

Annex 12: List of participating FP7 INCO countries³³

Member, Associate and Candidate Countries	Number of projects	Number of participants
France	86	117
Germany	82	109
Italy	70	94
Spain	46	66
Greece	37	50
Austria	35	47
Turkey	29	31
United Kingdom	28	33
Belgium	23	29
Hungary	22	27
Portugal	19	20
Finland	18	19
Netherlands	14	15
Norway	14	14
Poland	14	14
Switzerland	13	13
Estonia	11	15
Luxembourg	11	12
Romania	11	16
Sweden	11	11
Moldova (Republic of)	10	14
Bulgaria	7	8
Israel	6	6
Malta	5	5
Bosnia and Herzegovina	4	5
Croatia	4	5
Denmark	4	4
European Union (JRC)	4	4

³³ Source e-Corda database, June 2014

Member, Associate and Candidate Countries	Number of projects	Number of participants
Serbia	4	6
Cyprus	3	3
Czech Republic	3	3
Ireland	3	4
Montenegro	3	7
Slovakia	3	4
Slovenia	3	5
Albania	2	5
Former Yugoslav Republic of	2	3
Lithuania	2	2
Latvia	1	1



Annex 13: Comparison between the “Top 20” - FP7 and FP6 INCO participation³⁴

Number of projects

Rank	FP7	FP6
1	Egypt	Morocco
2	Tunisia	Tunisia
3	Ukraine	Egypt
4	Morocco	Russian Federation
5	Jordan	Jordan
6	Russian Federation	Algeria
7	Armenia	Lebanon
8	Georgia	China
9	South Africa	Brazil
10	Mexico	Argentina
11	Palestine	Kenya
12	India	Syrian Arab Republic
13	Algeria	Senegal
14	Belarus	Uganda
15	Brazil	India
16	China (People's Republic of)	Chile
17	Japan	Ukraine
18	Azerbaijan	Mexico
19	Lebanon	Albania
20	Argentina	Tanzania (United Republic of)

³⁴ Source : Evaluation of FP6 INCO Programme, DG RTD European Commission, Final Report, Annexes, Ramboll Management, Date 2008-07-03

Annex 14: Comparison between the “Top 20” - FP7 and FP6 INCO participation

Number of participants

Rank	FP7	FP6
1	Russian Federation	Russian Federation
2	Egypt	Morocco
3	Tunisia	Tunisia
4	Ukraine	China
5	Morocco	Egypt
6	Jordan	Jordan
7	India	Brazil
8	Armenia	Algeria
9	Georgia	India
10	South Africa	Lebanon
11	Algeria	South Africa
12	Belarus	Argentina
13	China (People's Republic of)	Kenya
14	Mexico	Chile
15	Palestine	Tanzania
16	Brazil	Ukraine
17	Japan	Mexico
18	Azerbaijan	Syrian Arab Republic
19	Lebanon	Senegal
20	Argentina	Uganda

Annex 15: List of INCO calls and the targeted regions and countries

Call Identifier	Call Title	Publication Date	Deadline	Budget €m	Target regions
FP7-INCO-2007-1	INCO-NET	22/12/2006	02/05/2007	16.8	WBC, MPC, EECA, LARM, Africa Caribbean and Pacific, SEA
FP7-INCO-2007-2	BILAT	15/06/2007	11/09/2007	6.391	All countries with S&T Agreement.
FP7-INCO-2007-3	ERA-NET/ERA-NET PLUS	02/10/2007	12/02/2008	10.95	Black Sea, Russia, South Korea, India
FP7-INCO-2007-4	INCO-NCP	22/12/2006	02/05/2007	0.4	
FP7-INCO-2009-1	INCO-NET	03/09/2008	12/01/2009	7.9	Caribbean, Central America, Arab Gulf, Pacific, South Caucasus and Central Asia
FP7-INCO-2009-2	BILAT	03/09/2008	12/01/2009	3.0	Argentina, Canada, Egypt, Japan, Jordan, US
FP7-INCO-2009-4	INCO-NCP	03/09/2008	12/01/2009	2.0	
FP7-INCO-2009-5	ACCESS4EU	03/09/2008	12/01/2009	5.0	Australia, Brazil, Canada, China, India, Japan, Mexico, New Zealand, Russia, South Africa, South Korea, US
FP7-INCO-2010-1	INCO-NET	30/07/2009	19/01/2010	4.0	Projects funded under 2007-1 to expand their geographical coverage, or deepen their activities
FP7-INCO-2010-2	BILAT	30/07/2009	19/01/2010	0.5	Algeria

Call Identifier	Call Title	Publication Date	Deadline	Budget €m	Target regions
FP7-INCO-2010-3	ERA-NET	30/07/2009	19/01/2010	6.00	Africa, Brazil, Canada, China, Japan, USA (Africa, China, Japan selected).
FP7-INCO-2010-6	ERA-WIDE	30/07/2009	19/01/2010	7.5	Eastern Europe and South Caucasus: Moldova, Georgia, Ukraine, Belarus, Armenia, Azerbaijan. Mediterranean Partner countries: Algeria, Egypt, Jordan, Lebanon, Libya, Morocco, Palestinian administrated Territories, Syria, Tunisia
FP7-INCO-2011-6	ERA-WIDE	20/07/2010	15/03/2011	15.00	Eastern Europe and South Caucasus: Moldova, Georgia, Ukraine, Belarus, Armenia, Azerbaijan. Mediterranean Partner countries: Algeria, Egypt, Jordan, Lebanon, Libya, Morocco, Palestinian administrated Territories, Syria, Tunisia
FP7-INCO-2011-7	INCO-LAB	20/07/2010	15/03/2011	12.00	€2.0m each for Brazil, China, India, Japan, Russia, USA
FP7-INCO-2011-8	INCO-House	20/07/2010	15/03/2011	0.50	India
FP7-INCO-2012-2	BILAT	20/07/2011	15/11/2011	16.00	Australia, Brazil, China, India, New Zealand, Russia, South Africa, South-Korea, USA. Argentina, Chile, Jordan, Mexico, Morocco, Ukraine
FP7-INCO-2013-2	BILAT	10/07/2012	18/12/2012	8.00	Canada, India, Japan, Republic of Korea. Algeria, Egypt, Mexico, Tunisia

Call Identifier	Call Title	Publication Date	Deadline	Budget €m	Target regions
FP7-INCO-2013-3	ERA-NET/ERA-NET PLUS	10/07/2012	18/12/2012	10.00	India, LAC, MPC, Russia
FP7-INCO-2013-4	H2020	10/07/2012	18/12/2012	1.00	any

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This report presents the findings of the group of independent experts tasked by the European Commission- DG RTD to undertake an evaluation of the International Cooperation (INCO) Activities of the Seventh Framework Programme's for Research 2007-2013 (FP7) under the Capacities 'pillar' of the Programme.

The ex-post evaluation takes stock of the dedicated activities undertaken to strengthen international cooperation in FP7, assesses them, and concludes by making a number of recommendations at both strategic and operational level in view of further work under Horizon 2020.

Studies and reports

