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Context

The present report is the result of a work conducted by civil society organisations within the framework of the European project STACS. Science, Technology and Civil Society - Civil Society Organisations, Actors in the European System of Research and Innovation (STACS) was a capacity building project funded by the EU 6th Research Framework Programme, as part of the Science in Society activities aimed at stimulating participation of civil society organisations (CSOs) in research activities. Part of the Specific programme Structuring the European Research Area, this pilot call aimed at Increasing the societal relevance of research.

The call underlined that «Civil society organisations show an increasing interest in research activities in domains such as sustainable development, food safety, public health and well-being, renewable energy, discriminations, and conflict resolutions. [...] They can also be sources of knowledge, know-how and innovations, and therefore act as partners in research [...] The potential of civil society organisations to enrich the research domain remains mostly untapped.»

The objective of this exploratory call was therefore «to provide support to civil society organisations:

- to identify and discuss topics and opportunities for involvement in research activities, or for outsourcing research to research performers;
- to explore the possible forms of cooperation with research centres and other research stakeholders in view of more comprehensive actions in the future Framework Programme.»

STACS was conducted by six European CSOs: Fondation Sciences Citoyennes (FSC, France), Institut Mensch, Ethik, Wissenschaft (IMEW, Germany), European Public Health Alliance (EPHA, Belgium), Réseau Semences Paysannes (RSP, France), Free Software Foundation Europe (FSFE, Sweden, Germany), Demos (UK). The main objective of STACS was «to explore the feasibility of future academia-civil society partnerships in different research areas and how to optimise the interaction between science dynamics and the needs and concerns of society». For this purpose, the partners organised capacity building sessions for CSOs on selected scientific issues of high societal relevance, explored the possibilities of drafting common research projects between CSOs and public research laboratories by organising «research project nursery workshops», analysed participatory research experiences in Canada and France and formulated recommendations to the European Commission, published a booklet on Citizen Scientists - Reconnecting Science with Civil Society, and redacted a handbook for CSOs aimed at improving the understanding of CSOs of the European research system.

Partners

Understanding the European Research System

A Handbook for Civil Society Organisations

by
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S T A C S
Science, Technology And Civil Society

- 2009 -

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Introduction

The research choices made today largely determine what our societies will look like in a few decades. Research agendas frame the scientific and technological options of tomorrow and determine our future and possible development paths, sometimes even more than political decisions and actions. Techno-scientific developments are far from being neutral. They have different social, economic, and environmental impacts and reflect, today more than ever before, power struggles. They are increasingly driven by market forces, oriented towards competitiveness, and serve increasingly short term economic interests rather than long term public values.

As such, research priorities often seem disconnected from civil society's needs and aspirations, and to only partially address the global issues of the 21th century (transformation of our society towards a sustainable model of development, social justice, fight against poverty, hunger, climate change...). This is why CSOs and other actors promoting alternative paths for society should pay a special attention to research policy, and get involved in the processes that shape research agendas. Moreover, as a new paradigm of knowledge is emerging, that focus on cooperation instead of competition, and on the sharing of knowledge instead of its private appropriation, CSOs can also share, bring and produce new knowledge, by getting involved in partnerships with researchers.

CSOs have developed capacities to deliver a robust expertise - combining scientific and other types of knowledge - on a whole range of issues, and work with scientists. However, in general, they still pay little attention to research and research agenda setting, even though they may spend a lot of their time addressing issues that are the result of research policy decisions made ten or twenty years ago. This lack of CSOs involvement in research production and in research policy has several causes: lack of financial support and available time, focus on different levels of actions, but also lack of information on the opportunities and ways for them to get involved. This Handbook modestly aims at fulfilling part of this information gap by reflecting on research and more specifically on science and society activities in the European Union, but mostly by giving an overview on the elaboration and implementation of framework programme 7, and at giving tools to CSOs to get involved in research and research policy at the European level.

Why should CSOs get involved in research and research policy?

A short historical overview

The relationship between science and society has gone through a profound transformation in the last five decades, and this evolution is directly linked to the rise of concerns over the impact of science and technologies on our lives and on our environment.

A. After World War II

The first decades after the Second World War saw a strong drive for scientific and technological research in European countries. States strongly supported ambitious national and European R&D programmes and shared the governance of research with academic communities. This period is indeed characterised by a deep belief in science and technology, embedded in a culture of post-war mobilisation and reconstruction of society. Civil society adhered widely to this imperative of modernisation and people had access to a large variety of new technological products. Science and technology penetrated quickly into daily life and collective identities - electricity, telephones, radios and television, antibiotics, cars, medicalised birth, household appliances, scientific teaching in schools, etc. Under an unprecedented economic growth, the citizens benefiting from this technical and material progress did not seem to feel the need to question that research. From the production of new vaccines to the selection of high-yielding plant species for intensive agriculture, from armament technologies to the screening of chemical molecules for pharmaceutical production - technological development was ruled by a largely self-regulated scientific community (representing truth, and instrumental power), by State regulators (representing the public interest), and by industrial actors (representing consumers' needs), sharing the conviction that research would succeed in overcoming all kinds of problem, including social issues[1]. This trust in progress was part of a larger social contract in which a strong and directing State ensured the improvement of living standards for wide parts of society. Thus, society – be it workers in national enterprises, women, young farmers, young graduates, etc. - lived the scientific and technical modernisation as a factor of social promotion and could identify to it[2].

The favourable development of social systems – declining unemployment, better salaries, social security systems for pensions and diseases – generated a positive vision of the technical future and of the modernisation as proposed by scientific and technical institutions.

B. The social movements of the Sixties

Things started to change in the sixties. The linear vision of the relationship between research and growth, according to which more fundamental research generates more innovation and more growth and well-being, started to be less invested. Several social movements appeared more clearly on the public stage at this moment: the peace movement (between the anti-nuclear fight and the Vietnam war), the feminist movement and women's organisations (e.g. fighting for reproductive rights of women including abortion), the environmental movement (in 1962 was published Rachel Carlson's book Silent spring), the student movement (criticising the linear vision of technology and welfare). Intellectual milieus criticised the power of techniques, the uncritical belief in social progress through scientific and technical progress, and the role of rationality as an instrument of science that would convey a view of the world that would be more valid and universal than other views – because of its truth, neutrality and objectivity.

C. The emergence of Technology Assessment in the Seventies

At the same moment, questions of technology assessment and technology foresight emerged, partly in response to demands from policy makers. In 1972, the American Congress established the first Office of Technology Assessment (OTA). It was mandated to assess the consequences of technologies by preparing "comprehensive" reports that discussed the pros and cons of policy options about a given issue. It was intended to facilitate congressional access to expertise and to permit legislators to consider objectively information presented by the executive branch, interest groups, and other stakeholders to controversial policy questions. In Europe, the creation of the first office of technology assessment had to wait until 1983, whereas the American OTA was closed in 1995.

1. Pestre, D. Science, Argent et Politique, Paris, INRA Editions, 2003
2. Muller P., 1984, Le technocrate et le paysan, Paris, Éditions Ouvrières, Ross K., 1998, Fast cars, clean bodies. Decolonization and the reordering of French culture, Cambridge (Mass.), MIT Press.

D. The deregulation of the economy in the Eighties

In the 1980s, a new regime of intellectual property rights arrived from the United States, based on the systematic patenting of knowledge and life. The deregulation of the economy went together with the strengthening of intellectual property rights and the broadening of their scope, to encompass living beings, genetic resources, the very building blocks of matter and, to a large extent, knowledge itself. The US authorised by law to patent results from the public research sector and supported the development of a high tech financial market. From 1994 on, through the agreements of the World Trade Organisation on intellectual property rights, this system has been imposed to the whole planet. Appropriation has shifted to very early stages of knowledge production, and even fundamental research tends to be increasingly judged by financial markets, and not only by peer review anymore. Research institutions have been encouraged to set up "public-private" partnerships (PPP) with industry and to contribute more directly to the economy. Private research gained a lot of advantages from these new regulations. These new forms of property have led to a new parcelling of knowledge, and to new monopolies. The production of science itself has gone through a significant evolution[3]. Scientific and technological developments have been more and more oriented by market forces, and short term profitable value of potential innovations polarise research more than long term public values.

"Papers and patents" is a good summary of the trends that have shaped scientific research at least for the last decades, and that explain why research agendas are so much focused on developing new technologies.

E. Environmental scandals and risk society in the late 20th century

This regime of knowledge production has in the late 20th century entered into a crisis. The rise of environmental awareness and the advent of several catastrophes (Seveso, Bhopal, Chernobyl, ESB, asbestos, etc.) have turned our society into a "risk society". While humans have always been subjected to a level of risk (natural disasters produced by non human forces), modern society is exposed to a particular type of risk, which is the result of the modernisation process itself, and which alter social organisation[4]. Human-made risks associated with techno-scientific developments are pervasive in the public sphere and in the construction of identities. In a risk society, society faces risks produced by its own activities. As the negative impacts of chemical pollution, climate change, natural resources depletion or loss of biodiversity are increasingly debated, science and technology came to be seen as both - a source of problems and of solutions. Protests against certain developments and applications of science (nuclear energy, pesticides in agriculture, genetically modified (GM) plants in the environment and the food chain, nanotechnologies, etc.) have multiplied, and the former consensus for simple "progress" has been replaced by a strong societal demand for precaution and for participation in the decision making on socio-technical issues.

F. The rise of civil society organisations as actors in research and innovation

Another major transformation concerns the implication of lay-people, of civil society actors in research and innovation. In parallel to the rise of the mercantile mode of knowledge production and regulation, a "civic" mode has also emerged, especially since the 1990s.

Previously limited to the triangle science – industry – public authorities, the choices of research and innovation are indeed increasingly discussed by other actors. In this process and through diverse crises, civil society organisations are on the one hand still few involved in research projects and in the governance of research but on the other hand have become important research users and knowledge producers. They have developed capacities to deliver a robust scientific counter-expertise and to mobilise various forms of knowledge (empirical, local, professional, etc.) to support their expertises. These new actors in research can be large international NGOs like Greenpeace, Friends of the Earth or the World Wildlife Fund, patients' associations (e.g. AIDS movement, breast cancer associations, orphan diseases organisations, etc.), users' and consumers' organisations, associations on urban or rural development, farmers' organisations like Via Campesina (dedicated to food safety, food sovereignty, to the conservation of biological diversity, preventing the dissemination of GMOs...), women's associations (e.g. active on a multiplicity of issues like domestic violence, water preserva-

3. Pestre, D., Science, Society and Politics : Knowledge Societies from an Historical Perspective, Report to the EC, January 2007

4. Ulrich Beck: Risikogesellschaft. Auf dem Weg in eine andere Moderne. Suhrkamp, Frankfurt a.M. 1986

tion, the situation of women in rural areas, etc.), organisations of international solidarity (e.g. on biopiracy and patenting) or international health aid (like Doctors without Borders – Médecins Sans Frontières and the Drugs for neglected diseases Initiative), but also small groups of citizens, of young people and last but not least Unions[5]. These civil society organisations have become major players in domains such as environment, health, energy, agriculture, climate, ecology, international solidarity, gender, social exclusion and immigration, disability and poverty, both at local and global levels. They participate to international negotiations, advise governments and governmental bodies, work with the media, and with scientists - supporting thus the emergence of a new paradigm of knowledge creation, based on cooperation instead of competition, on co-production by different actors and on the sharing of knowledge instead of its private appropriation.

5. Callon M., Lascoumes P. et Barthe Y., 2001, Agir dans un monde incertain : essai sur la démocratie technique, Paris, Seuil (La Couleur des idées)

Research in the European Union

A. European construction, the Lisbon Agenda and the European Research Area

The drive to put science at the service of competitiveness has accelerated during the last 30 years, and nowadays technological innovation is seen as the key element that will enable Europe to maintain its international competitiveness and its standards of living. Innovation is thus a key issue in the current European research policy. At least since the launch of the Lisbon Agenda in Spring 2000, it is omnipresent in European discourses. The Lisbon agenda broadly aims at making «the EU the world's most dynamic and competitive economy» by the 2010. This is to be achieved by increasing the expenditures for R&D to 3% of EU Member States national GDPs and by transforming Europe into the world's largest "knowledge-based economy", a concept that refers to the production of knowledge for economic benefit (the term itself comes from the 1960s). A key idea of it is that knowledge and education can be treated as business products or market commodities, like educational and innovative intellectual products, and that such services can be exported for a high value return.

The Lisbon strategy is heavily based on assumptions such as:

- Innovation is the motor for economic change and "sustainable growth",
- We are moving towards a "learning economy",
- Social and environmental renewal (to a lesser extent)[6],
- There exists only one viable social and economic model. If Europe wants to survive in a globalised economy (characterized by the increasing strength of new industrializing countries) it is forced to adopt this model, and to join the global race.

Since 2003 the impending failure to meet the Lisbon Agenda objectives and to deliver expected benefits has been a recurrent issue in European reports[7]. "*The 3% objective and the follow-up Action Plan for more investment in research have had a mobilizing effect on Member States. However, instead of rising, EU research intensity is more or less stagnant. In most Member States, increases in public and private research investment and the range and ambition of policy initiatives fall far short of what their national targets, let alone the EU target, would require. Private investment is particularly low.*"[8]

This pervasive focus on competitiveness in the narratives that underpin research[9] and the explicit objectives assigned to it can only lead to a "race to the bottom", the logical end point of which is "*a set of lowest-common-denominator standards not just for science, but also for labour rights, civil liberties and environmental standards*"[10]. It appears contradictory with the need to adopt the more integrated approach that moving our societies towards sustainable development implies.

The Green Paper on the European Research Area: New Perspectives from April 2007 took a wider vision of ERA that is based on six main dimensions, including "sharing knowledge", and the recently adopted European Research Area Vision 2020 reaffirms that "*the ERA is firmly rooted in society and responsive to its needs and ambitions in pursuit of sustainable development*". The Conclusions of the Council of the European Union from May 2008 on the launch of the *Ljubljana Process - towards full realisation of ERA* stated that improved governance of the ERA should notably "*involve all Member States and associated countries including regional authorities, as well as stakeholders such as universities and research organisations, civil society and business.*"

The fact that the ERA concept acknowledges that science and research should help address societal and environmental challenges (rather than merely contribute to the competitiveness of European industry) is an important development and a welcome move which responds to the mission given to research in the Treaty of serving all European policies. But participatory approaches to research, that means the involvement of non scientists such as farmers, patients or consumers in research projects, are far from being mainstreamed, be it by the Commission, Member States or most research institutions. Research agendas are still far off from civil society's concerns, and remain mostly framed by a narrow technological approach.

However, the growing contestation against cer-

6. The European Council that was held in June 2001 in Gothenburg (Sweden) completed the Lisbon strategy by adding the environmental dimension (protection of environment and sustainable development).
7. Enlarging the European Union: Achievements and Challenges" Report of Wim Kok to the European Commission www.iue.it/RSCAS/e-texts/200303KokReport_EN.pdf « Creating an Innovative Europe », Aho_Report, January 2006
8. EC Communication on Innovation Policy, 2005
9. Taking Knowledge Society Seriously, of the Expert Group on Science and Governance to the , Economy and Society Directorate, Directorate-General for Research, European Commission, 2007
10. Wilsdon, J., Public Engagement in Science, Report of the Science in Society Session of the Future of Science and Technology in Europe conference (Lisbon, 8-10 October 2007), 2008

Short analysis of terms appearing in framework programmes

The appearance of a range of generic and specialised terms were analysed in Framework Programmes 5, 6 and 7.

	FP5	FP6	FP7
Industry, SME	53	52	50
Competitiveness	24	21	91
Business	8	15	24
Total "Economy"	***85***	***88***	***165***
Citizens	7	21	15
Democracy	0	3	2
Civil society	0	1	1
Total "Society"	***7***	***25***	***18***
Sustainable development (sustainable)	16 (47)	17 (37)	9 (44)
Organic (farming, etc.)	0	2 (under "Food quality and safety)	1 (under theme "Food, agriculture and biotechnology")
Biotech*	1	5 (under "Food quality and safety")	6 (under theme "Food, agriculture and biotechnology")
Renewable	6 (under "Energy, environment and sustainable	4 (under "Sustainable development global	11 (under theme "Energy")

tain technologies led the EU to address the perceived gap between science and society.

B. "Science in Society" in the EU: towards a more inclusive approach to research

Since 2001, and the political recognition of the need to step up the dialogue between "Science and Society", the EU has taken a number of initiatives to identify what could be the best way to include civil society in research policy, and in research projects. The Science and Society Action Plan, adopted in 2001, laid out the ambitious goal of re-conciliating science and society[11]. In a context of perceived increasing unease and distrust of the public towards certain technological innovations (such as the use of GMOs in agriculture), the first programme "Science and Society" funded projects on communication, ethics and participatory processes to involve citizens on science issues and risk communication/governance. Since then, activities evolved towards a more inclusive concept of "Science in Society", from a vision of "Public Understanding of Science" (linked to a so-called «deficit model»: an ignorant public has to be informed and educated about science) to a more elaborate "Public Engagement in Science" concept. This implicitly acknolwedges that:

• Science and technologies are a social construction : science is made by human beings living in a society, it is dependent upon its socio-economic context of production and, "*as knowledge linked to techno-systems, science de facto has a politics since it favours certain ways of being and renders other futures more difficult, but without being aware of it», and without feeling «the need or usefulness of democratic mediation*"; [12]

• There are other forms of knowledge that deserve to be taken into account: "*Scientific intellectuals may not realize that other forms of knowing exist – forms that are also interesting and productive – and that it would be wrong (morally as in terms of global efficiency) not to respect, protect and even promote*

11. Science and Society Action Plan, European Commission, 2001

12. Pestre, D. Science, Society and Politics – Knowledge Societies from an Historical Perspective, Report to the Science, Economy and Society Directorate, EC, January 2007

these other forms of knowing"[13];

• Public engagement can enrich the research process by framing differently questions, modes of reflection and answers: "*including a diversity of knowledges and experience in order to inform more robust long term choices*". The way forward therefore lies in "upstream engagement": "*at the earliest stage in the process of research or science-informed policy-making*"[14].

Beyond this, engaging civil society in research directly relates to sustainable development. The challenges of moving our societies towards sustainable development also lead to the recognition of the need to move towards problem-based and trans-disciplinary approaches in research. Participatory research is a powerful means to concretely move forward towards these goals, provided the outcome of such research is linked to the policy-making process.

CSOs involved till now in actions on research express different types of interests in it. They can define them in terms of rights (ethics, anti-discrimination, disabilities), of use of scientific results for their activities (including the request for access), or, if they consider that there is no or not enough appropriate scientific knowledge available, invest in processes of co-production or shaping of research agendas[15]. And while CSOs are both research users and knowledge producers, for now few seem to see the value of getting involved in partnerships with scientific institutions. Part of the activities of the European Commission in the field of "Science in Society" aims at better involving CSOs in research and in research policy. In particular, new funding mechanisms were created to allow and promote the participation of CSOs in research projects funded through the 7th European Research Framework Programme (FP7).

13. *Ibid.*
14. From Science and Society to Science in Society: Towards a Framework for «Co-operative Research» - Gover'Science Seminar 2005 Outcome, Report to the EC, 2006
15. For example: DNDi = Drugs for neglected diseases initiative from Medecins sans frontières, influence of patients organisations on AIDS and clinical protocols, the WWF as one of the first organisations revealing the issue of endocrine disrupters, the French Réseau Semences Paysannes on biodiversity and research on ancien varieties of vegetables and fruits

Levels of research policy

Decision – Programming – Execution. In principle three levels of research policy can be distinguished (even if in practice the first two levels may sometimes overlap).

1. First level - Decision
At the highest political level, elected representatives and other political institutions (European Parliament, European Commission, national or regional parliaments) decide about the main research directions and budgets and, sometimes, about the allocation of budgets to various research actors (research institutions, research agencies). The process is influenced by the action of numerous interest groups and active lobbying.

2. Second Level - Programming
At this level, the main objectives defined through the general decision process are transformed into concrete scientific priorities and thematics. At the European level, Directorate-General Research of the European Commission is in charge of the programming. At national level, programming can be done by ministries, (thematic) agencies or research councils that provide funds for research institutions, universities, and laboratories through specific programmes and calls for projects. It is a highly important level, where complementary democratic debates should take place and where civil society should try to gain some influence, by obtaining to participate to boards of specific agencies and to the definition of programmes and calls.

3. Third level - Execution
At this level, scientists and other professionals essential for the execution of research (e.g. technicians, engineers, etc.) undertake research. Diverse partnerships – mainly with industry or, to a much lesser extent, with civil society - are realised.

C. Elaboration and implementation of a Research Framework Programme

Framework Programmes for Research and Technological Development (in short Framework Programmes, FPs) have existed since 1984. They are the main funding instrument for the European Union to support research actions at European level. Up to FP6 they covered a four year timespan. FP7 is the first programme that will run over a seven-years period. Even if FPs account only for 5 to 10% of the total public budget spent in the Members States of the European Union for Research and Development, they have a strong incentive character for national research policies and priorities.

The adoption of a EU Research Framework Programme is the outcome of a long decision-making process, that may appear complex to those unfamiliar with European institutions.

In short: the Commission drafts a proposal, which is then discussed, amended and eventually adopted by both the European Parliament, and the Member States gathered in the Council of Ministers. The Framework Programme is detailed in Specific Programmes which are also adopted by the Council. Every year for the whole duration of the FP (until 2013 for FP7), the Commission then adopts annual Work Programmes for thematic areas (health, energy, agriculture, etc.) which lay the basis for the calls for projects. Research teams from different institutions and countries (and other stakeholders, such as industry or CSOs) submit their projects, which are evaluated by independent expert. Successful projects then enter a negotiation phase with the Commission leading to the signature of a grant. This section briefly describes the successive phases from the elaboration of the FP7 proposal by the Commission to the signature of a grant agreement with successful applicants.

1. The elaboration of a proposal by the Commission

FP7 is framed by the Treaty on the European Union, the Lisbon strategy, and the ambition to build the European Research Area.

The elaboration of the FP7 proposal was prepared by the Commission services and collectively endorsed by the Commission, i.e. the college of Commissioners, to be submitted to the Council and the European Parliament. The preparation was coordinated by Directorate-General (DG) Research of the European Commission, with the contributions of all other relevant services and agencies, including the Joint Research Centre. During this process, the Commission consulted numerous research actors: scientific communities, European Technology Platforms, , the European Research Advisory Board, and other existing sectorial advisory fora. It also launched an online consultation. The preparation culminates with the Commission's consultation of Interservices and the collective decision of the Comissioners. In 2006, the authors of A New Deal for an Effective European Research Policy note that "*none of the institutional players is acting as a homogenous unit*", which makes the process even more complex. As far as the Commission is concerned, "*the Inter-Service Consultation on the FP7 showed that – despite the overall agreement on the structures and priorities of the proposal – the services and the Directorates-General involved sometimes, indeed, have different approaches to research policy, its design and focus*"[16].

The FP7 proposal is thus the result of dialogues and interactions between many stakeholders of the research area such as research institutions, industry, academics, policy-makers...

CSOs were almost not integrated in this process. They could deliver their opinion by taking part in a consultation – but few CSOs were informed of the existence of such a consultation.

Once the proposal officially endorsed by the Commission and published, started the institutional decision-making process with the European Parliament and the Council of Ministers.

EURATOM and Joint Research Centre

The Euratom (European Atomic Energy Community, established by one of the Treaties of Rome in 1957) has existed since 1958 and is a separate legal entity from the European Community. It has its own Framework Research Programme, however managed by the common Community institutions. It includes two Specific Programmes: one for the fields of fusion energy, nuclear fission and radiation protection research, and one for the nuclear field. It has a specific budget apart from the budget for energy research in FP7.

The Joint Research Centre (JRC) was originally established under the Euratom Treaty and dedicated to nuclear research. Since then it has expanded to embrace other fields important to policy making, such as life sciences, energy, security and consumer protection. This part is included in FP7. As mentioned on the JRC website : "*The JRC's main customers [EU institutions] are involved as stakeholders in its governance. The Directorates-General of the European Commission are consulted on the contents of the JRC's part of the Framework Programmes for Research and on its multi-annual and annual Work Programmes. There is a dedicated interface group with the European Parliament (EP) in which current JRC activities of interest to the EP are being discussed.*"

2. The adoption of FP7 by co-decision

The decision process is a co-decision process, which gives an equal weight to the Parliament and

16. Muldur, U., Corvers, F., Delanghe, H., Dratwa, J., Heimberger, D., Sloan, B., Vanslembrouck, S., A New Deal for an Effective European Research Policy - The Design and Impacts of the 7th Framework Programme. Kluwer Academic Publishers, 2006.

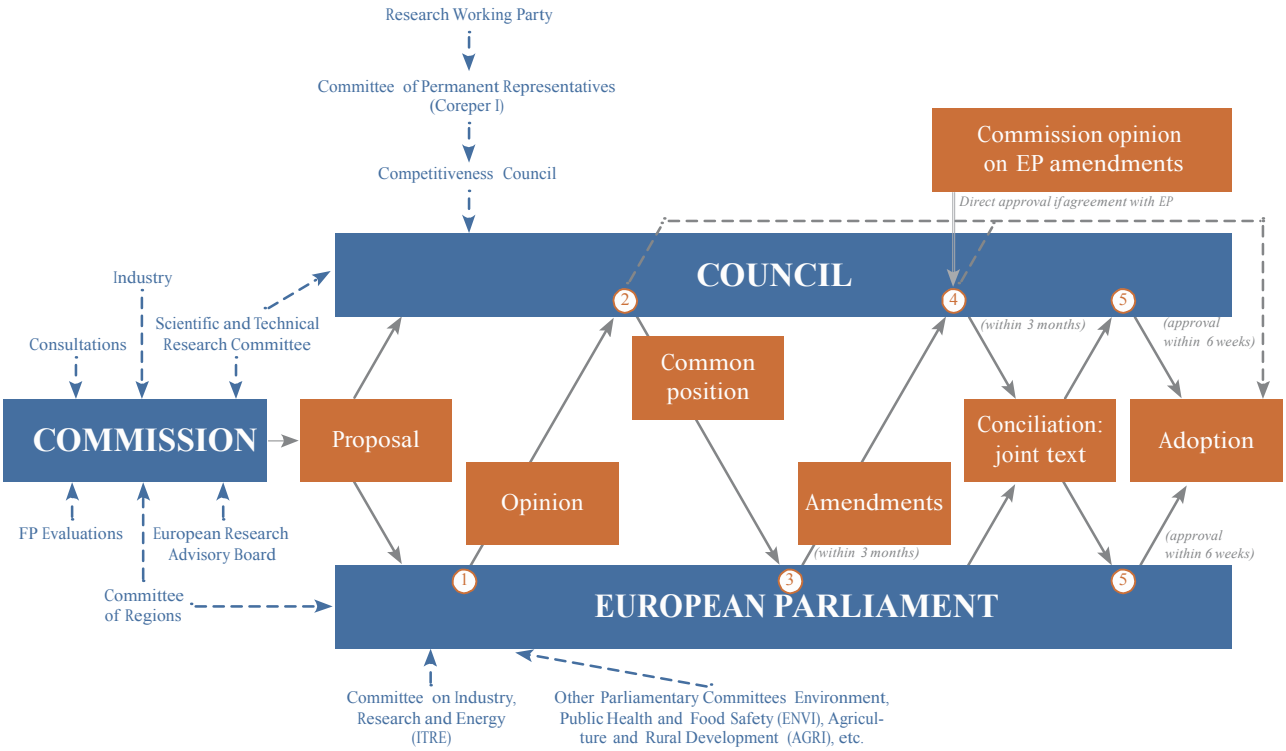

Fig. 1 - Process of decision-making of FP7

to the Council of Ministers. This process, which involves several "back and return" between these two institutions, with the input of different institutional actors (such as the European Economic and Social Committee and the Committee of Regions), and non institutional ones, is summarized in figure 1. The Commission keeps a strong influence all along the process. As mentioned in A New Deal for an Effective European Research Policy, "*the procedure is potentially very long, and its effectiveness depends entirely on the capacity of the three institutions to communicate continuously among themselves in order to reach a compromise*". After two readings in the Parliament starts a conciliation procedure between the three institutions, which have to reach an agreement. The proposal is then formally adopted by the Parliament and the Council.

3. Main objectives of FP7

"*The overriding aim of the Seventh Framework Programme is to contribute to the Union becoming the world's leading research area. This requires the Framework Programme to be strongly focused on promoting and investing in world-class state-of-the-art research, based primarily upon the principle of excellence in research*[17]."

The main objectives of FP7 are to improve the "knowledge-based economy" to reach Lisbon goals and to decrease the scattering of Europe on science and technology issues. Four types of activities are therefore at the heart of FP7: trans-national cooperation on policy-defined themes, investigator-driven research based on the initiative of the research community, support for individual researchers, and support for research capacities.

4. Specific Programmes of FP7

The FP activities are detailed in the Specific Programmes, which are complementary pieces of legislation and adopted by the Council after consultation of the European Parliament (which issues an advisory opinion).

FP7 is "divided" into 5 Specific Programmes (SP): Cooperation, Capacities, People, and Ideas, and the non-nuclear actions of the Joint Research Centre. The main part of the allocated budget (around 60%) goes to the Cooperation programme. The Cooperation programme is itself divided in research areas – the ten thematic priorities - between which the funding will be distributed (c.f. Fig. 3). The Capacities SP is divided in Activities, and "Science in Society" is one of them (cf. Fig. 4).

5. Work Programmes of FP7

FP7 and its SP give the general legal frame for all the Thematic areas of the Cooperation SP and the Activities of the Capacities SP from 2007 to 2013.

17. DECISION No 1982/2006/EC OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 18 December 2006 concerning the Seventh Framework Programme of the European Community for research,techno-logical development and demonstration activities (2007-2013)

For each Thematic area and each Activity an annual Work Programmes (WP) is established which contains the calls for proposals with their allocated budgets. Work Programmes are adopted by a Commission decision, after consultation of advisory groups (representing mainly the scientific community and industry stakeholders), Technology Platforms (in areas where they exist) and approbation of the corresponding Programme committees which represent the Member States and the associated countries. Associated countries encompass candidate countries, Israel, Iceland, Norway, Liechtenstein and Switzerland (updates provided in guides for Applicants).

The Work Programmes define the context for the calls, describe the topics for which applicants can submit proposals and specify which funding schemes they can use.

Elaboration of annual Work Programmes: who intervenes ?

Annual Work Programmes are very important, as they pretty much define what kind of research will be funded with EU money. The preparation of the Work Programmes starts almost a year before their publication, and almost one year and a half before the concerned year begins.

Work Programmes are elaborated by DG Research in collaboration with other relevant Commission services(Employment, and Social Affairs, Transport and Energy, Information Society, Environment, Agriculture, Health, etc.). Furthermore horizontal issues such as legals aspects and budgets are discussed with DG Budget and the Legal Service. External consultations include notably the industry-led European Technology Platforms (ETPs), Advisory Groups and the Programme Committees with representatives from Member States.

Industry has an important influence and **ETPs** are its main channel. The input from ETPs is mainly based on the Strategic Research Agendas they are invited to develop. In most research areas European Technology Platforms – and thus private companies – play an important role in the design of the Work Programmes, as stated in the introduction of the 2009 Cooperation Work Programme: "*Implementation of the Joint Technology Initiatives (JTIs) and the advice drawn from ongoing consultation with Technology Platforms ensures the focus of this work programme on [these] strategic research areas [...] As such, [ETPs] are proving to be powerful actors in the development of European research policy, in particular in orienting FP7 to better meet the needs of industry [...] The Strategic Research Agendas of*

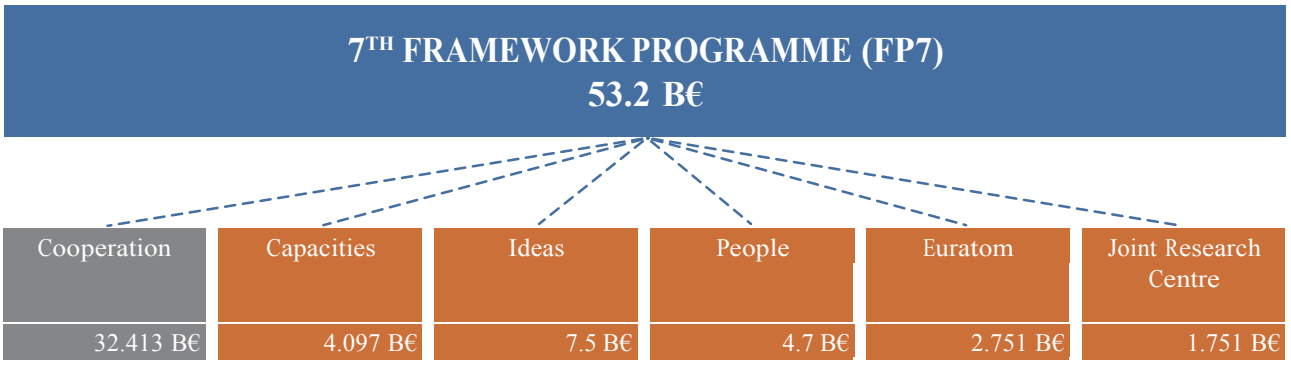

Fig. 2 - Distribution of the FP7 budget

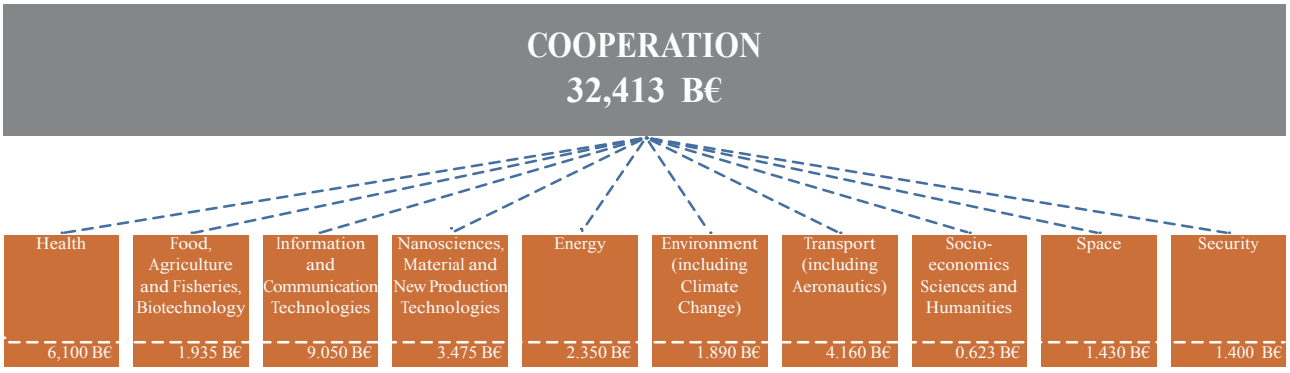

Fig. 3 - Distribution of the Cooperation Programme Budget

the European Technology Platforms have a major influence on the Cooperation Work Programme [...] The way the European Technology Platforms influence the Work Programmes is unique in the history of the Framework Programme." [18]

Advisory groups are first of all the channel for the concerned research communities but they also include representatives from industry. Advisory groups are set up to give mainly input on a more strategic level, and less on the level of concrete topics, even if they can do this as well. There exist currently 14 advisory groups - one advisory group for each thematic priority of the Cooperation part of FP7 (health, energy, nanosciences, etc.), and another four for the People programme, International Cooperation, Research for SMEs and Regional aspects of FP7. The advisory group on "Science in Society" does not exist anymore and was replaced by consultative workshops of a wider range of stakeholders.

Example of an advisory group (2009)

The current advisory group on energy comprises twenty five members. These members come from:

- Companies and federations of enterprises: 5
- Universities: 6
- Academies: 1
- National and independent research institutes and centres: 8
- Public research agencies: 1
- Economic Interest Grouping: 1
- Applied research organisation: 1
- Industry consultancy: 2

Advisory groups comprise around twenty to twenty five members from different Member States or associated countries, invited on the basis of their personal skills and knowledge in a given field. The members come from universities and research institutes, industry and other relevant organisations. Members of Advisory groups are mandated for two years. Today, there are very few representatives from CSOs in the Advisory groups.

Information about Advisory groups and their members can be found at:
http://ec.europa.eu/research/fp7/index_en.cfm?pg=eag

18. Dan Andrée, A rough guide to the FP7 work programmes, Government Offices of Sweden, Ministry of Education and Research, Stockholm – Brussels, March 2008

The **Programme committees** represent the Member States and the associated countries. Representatives from national ministries discuss the drafts submitted by the Commission and have to approve work programmes.

Web-based consultations are also conducted, but whether they have any influence at all is debated: "*In addition there are also usually a number of different sources for external consultation such as web-based consultations (the result is often «non-conclusive»)...*" [19]

In total, there is a strong formal involvement of industry but extremely limited formal involvement of **CSOs** in this research policy process. This means that currently there is an imbalance in the formal and more informal influence of these groups on the elaboration of the Work Programmes (and this was also true for the elaboration of FP7 in general).

European Technology Platforms and Joint Technology Initiatives [20]

The basic idea of European Technology Platforms (ETPs) emerged in a context of a growing focus of research policy in general and of Framework Programmes in particular on competitiveness and support to industry. This focus, at least since the 1990s, has led to the multiplication of public/private partnerships in research. A growing amount of public money is thus spent to help private industry to develop new products and technologies. ETPs were created to incite industry to invest more in R&D.

As Janez Potocnik, European Commissioner for Science and Research, put it clearly in 2005 when presenting the FP7 proposal: "*We see a very strong role for industry in this cooperation, notably through*

19. *Ibid.*

20. Information for this chapter come from different official sources, notably from the European Technology Platforms leaflet (European Communities, 2005), from the dedicated website, from interviews with different stakeholders, presentations. Information about individual platforms and forthcoming events is available at: www.cordis.lu/technology-platforms. Information on JTI can be found notably at: http://cordis.europa.eu/fp7/jtis/ (Public Private Partnerships -PPP- in European research). There is also the 2005 Commission report on European Technology Platforms and Joint Technology Initiatives: Commission staff working document - Report on European Technology Platforms and Joint Technology Initiatives: Fostering Public-Private Partnerships to Boost Europe's Industrial Competitiveness. Other documents are The Roadmap for Joint Technology Initiatives, and JTIs: Background, State of play and Main Features.

your leadership of Technology Platforms, whose role is strongly reflected in the proposal [...] We see Technology Platforms as a smart, European way of working together and we will try to facilitate their success wherever we can." [21]

ETPs shall ensure a better coordination within the industrial sector, more R&D investment on their part, and offer industry a bridge with the research world. They are industry-led groups of stakeholders. The main members of ETPs are thus industries and universities, that work together to develop common projects and agendas. They can also include regulatory and finance stakeholders, and public and private bodies, as well as, in theory, CSOs.

The decision making is mainly in the hands of industry since they form the majority of ETP partners. Also, "*most of the time, the core large companies do most of the ETP work.*" [22]

ETPs develop Strategic Research Agendas (SRAs), to define medium to long-term research and technological development objectives in high impact sectors and lay down markers for achieving them. The EC leaflet on ETPs states that: "*Technology Platforms play a key role in better aligning EU research priorities to industry's needs. They cover the whole economic value chain, ensuring that knowledge generated through research is transformed into technologies and processes, and ultimately into marketable products and services.*"[23] As a logical consequence, ETPs' Strategic Research Agendas are very much focused on profitable technologies and products. ETPs shall share visions of stakeholders, impact on a wide range of policies, reduce fragmentation of R&D efforts, and mobilise public and private funding sources. One aim of ETPs is to explore and to develop the potential for large-scale, long-term Public-Private Partnerships (PPP), so called «Joint Technology Initiatives» (see later in this chapter). Their work also addresses key issues, such as intellectual property rights, regulation and standards.

ETPs are conceptualised as "bottom-up" initiatives, in the sense that they bring together companies which will in a second phase contact university researchers. ETPs are acknowledged by the Commission services on the basis of divers criteria. However, the procedure is not clearly defined, and the acknowledgement process is not very clear neither. They are not funded by the Framework Programme but they can receive financial support for operational tasks (secretariat). ETPs can receive funding for projects they submit in response to calls for proposals.

Technology Platforms follow a three-stage process:
1) Vision development phase: At the outset, stakeholders, in practice mainly industry, come together to agree on a common vision for the objectives (i.e. technologies) to develop.
2) Research agenda setting up: Here, university researchers are actively involved into the process. They elaborate together with the industry the Strategic Research Agenda, which defines the medium to long-term objectives for the technology.
3) Implementation: The third stage consists in implementing the Strategic Research Agenda while mobilising significant human and financial resources.

Around 8 to 10 ETPs existed under FP6. There are 37 ETPs today, and the majority of them was set up during the last two years.

Informations about ETPs can be found at:
http://cordis.europa.eu/technology-platforms/individual_en.html

Joint Technology Initiatives (JTIs)

JTIs are primarily implementations of ETPs. They are destined to implement large-scale applied and industrial-based research activities based on the Strategic Research Agendas of a limited number of ETPs. ETPs can thus become JTIs but they do not necessarily. JTIs can be funded through FP7. In all JTIs, the European Community is a founding member (represented by the European Commission) and is involved in the decision-making process. JTIs address the competitiveness of European industry. They are clearly established to support research of key importance for industry and for "growth". They support trans-national cooperation[24].

Up to now there exist only few JTIs. Six JTIs have been launched so far in the *Cooperation* Specific Programme: Innovative Medicines Initiative (IMI), Embedded Computing Systems (ARTEMIS), Aero-

21. Janez Potocnik, European Commissioner for Science and Research. "The Contribution of Technology Platforms to a Europe of Knowledge." Opening address at Seminar of Industrial Leaders of European Technology Platforms, Bruxelles, 9 June 2005
22. Idea Consult, 2008 Evaluation of the European technology Platforms, ftp://ftp.cordis.europa.eu/pub/technology-platforms/docs/evaluation-etps.pd
23. ftp://ftp.cordis.europa.eu/pub/technology-platforms/docs/tp_leaflet_en.pdf
24. http://cordis.europa.eu/fp7/jtis/faq_en.html

Un untypical example:
the Technology Platform on Organics

«TP 'Organics' is a platform for organic food and farming research which joins the efforts of industry and civil society in defining organic research priorities and defending them vis-à-vis the policy-makers. [...] Its Vision for Organic Food and Farming 2025 reveals the huge potential of the organic food production to mitigate some of the major global problems of the century from climate change, to food security, to the whole range of socio-economic challenges in the rural areas. It also arguments the need for more research in specific priority areas and therefore for more research funding.

Following the European Organic Action Plan 2004 organic research has been on the political agenda as one of the explicitly mentioned actions. However, more than four years later the current assessment of the situation after the start of the 7th EU Research Framework Programme (2007 to 2013) raises the concern that the potential benefits of organic production will not be used due to the limited research funding.

TP 'Organics' will try to change that. The Platform is a growing bottom-to-top initiative of (currently) 16 EU umbrella organisations and 14 enterprises with a big potential to integrate many more business partners, and national and EU-level public and private actors in the field. Members of the organic agriculture movement, the scientific community and the wider civil society have already offered to contribute on a voluntary basis to the work of the Platform.

[...] The process of forming this coalition of partners started in June 2007 when several organisations from the organic sector got together to discuss the different scenarios for agriculture and food systems up to the year of 2025. The result, after a year of intensive consultations, was the publication of the Vision. This important undertaking has been coupled at the same time with the establishment of the Technology Platform 'Organics' with the core idea to streamline organic research into agreed priorities and help translating these priorities into funding for concrete research programmes and projects.»
"TP Organics finalised the year of 2009 with the completion of the Strategic Research Agenda....Now it is up to Member States and the EU Commission to help implementing the ambitious research agenda."

Up to 2009 this platform has not received the support of the European Commission.

Source: http://www.tporganics.eu/

nautics and Air Transport (Clean Sky), Nanoelectronics Technologies 2020 (ENIAC), Hydrogen and Fuel Cells Initiative (FCH), Global Monitoring for Environment and Security (GMES). They launch calls for proposals, follow selection procedures and determine contracts. The dedicated structures implementing the JTIs are independent legal entities that manage research projects between industry and other stakeholders.

As to give one example, the IMI project supports the pharmaceutical industry since "*IMI is a unique public-private partnership between the European Commission and the European Federation of Pharmaceutical Industries and Associations, EFPIA*". It has a total budget of € 2 billion until 2013[25].

Concerns with ETPs and JTIs

There is a strong and explicit political will to give an important space to private industry to influence the public research agenda. Strategic Research Agendas are one of the most important outputs of ETPs. With these agendas, ETPs influence the annual Work Programmes of FP7 and the national research programmes. Ideas can be taken over for Collaborative Research, Support to SMEs, Technology Initiatives, Research infrastructures.

A DG Research official underlined at the Launching of the Polish Technology Platform Programme in 2005 that "*ETP is an Industrial/ Governmental forum of Europe's Industrial and Policy leaders deciding the true relationship between research and economic growth*"[26].

In the words of a national civil servant, ETPs have evolved into "big lobby machines" aimed at influencing the content of Framework Programmes, their general design, as well as the annual Work Programmes which define the "calls for projects" that EU money will fund. Also, SMEs do not feel well represented in ETPs, which are controlled by the "big players" (as mentioned in the IDEA report) and represent their interests. Furthermore, ETPs more and more create "mirror groups" in Member States, so as to also influence national priorities and budgets for public research.

It is also problematic that, via ETPs and JTIs, taxpayers money is used to an large extent to help industry to create new technological products on the ground that this will create jobs (which would need to be evaluated) and boost European competitiveness, without public debate. There are other research needs that deserve to be funded, and public authorities should not let the industry define what are the societal challenges the EU has to address, and the solutions to these challenges.

25. http://europa.eu/rapid/pressReleasesAction.do?reference=IP/08/662&format=HTML&aged=0&language=EN&guiLanguage=en
26. http://www.nauka.gov.pl/_gAllery/63/30/6330.ppt

JTIs (and ETPs) are a further, new mechanism to put research at the service of private companies, promoting thus the building of a "European knowledge market" instead of a true "European knowledge society". Current Work Programmes can be found at:

http://cordis.europa.eu/fp7/find-doc_en.html

6. Call for proposals

The calls for proposals which are included in the WPs are launched on the Cordis website. Calls sorted by call identifier and the Specific Programme can be found at:

http://cordis.europa.eu/fp7/dc/index.cfm

On line information packages include Guides for Applicants which are established for each work programme and each funding scheme to help applicants to submit a proposal. The following information is general for calls but it is essential to refer to the guides for applicants to know all the provisions which apply to each call and topics within the calls.

7. FP7 Funding Schemes

What is a Funding Scheme?

The Framework Programme is based on the principle of co-financing between the EC and project teams. Different types of projects are co-financed by the EC which correspond to different funding schemes.

Some funding schemes are dedicated to research as such (development of new knowledge and/or technology), others to accompanying activities (dissemination of knowledge, networking...) , individual research grants and fellowships, industry-academia partnerships, mobility of researchers, and awards.

During the early FPs, active **CSO participation** in European research projects was not even considered, and CSOs were mainly considered as "objects" rather than "actors" of research. This started to change recently with the last calls under the "Science and Society" programme of FP6.

The funding schemes are used in the Calls for Proposals. Each topic is open to one or several funding schemes.

We will not present here all the schemes of FP7 but concentrate on four different funding schemes that support trans-national projects in all thematic priorities of the Cooperation part of FP7 and which are especially important and interesting for CSOs: Collaborative projects (CP), Coordination and support actions (CA, SA), Research for the benefit of specific groups including CSOs (BSG-CSO), Specific International Cooperation Action (SICA).

Collaborative Projects

Collaborative projects are focused research projects with clearly defined scientific and technological objectives. They are carried out by consortia with participants from different countries, aiming at developing new knowledge and/or technologies. When specified in the topics, projects can also target special groups such as SMEs (small and medium enterprises) and other smaller actors. There exist large scale and small scale collaborative projects (sizes indicated in the WPs but in average six to ten partners for smaller projects and around 15 partners for bigger projects).

Coordination and Support Actions (suppor- ting) / Coordination and Support Actions (coor- dinating)

These are projects that cover not the research itself but the accompanying activities such as networking, exchanges, trans-national access to research infrastructures, studies, conferences, etc. Coordination actions will always have to be carried out by a consortium of participants from 3 different countries whereas support actions may be carried out by a single participant (these are general minima which can be increased in a WP). There is no restriction on the size of the consortium. This funding schemes can include "*actions to stimulate the participation of SMEs, civil society and their networks*".

Research for the Benefit of Specific Groups (in particular SMEs)

This funding scheme refers to research and technological development where the bulk of the research is carried out by actors such as universities or research centres for the benefit of specific groups, in particular SMEs, or for civil society organisations and their networks. This is the most important funding scheme of FP7 concerning participatory research. Its mechanism is explained in part III of this handbook.

Specific International Cooperation Action

SICA is a specific funding scheme within the FP7 category Cooperation that supports the international cooperation with third countries, i.e. with non-EU-countries and/or countries not associated to the framework programme (so-called SICA-countries). In this scheme, partner countries are funded by the framework programme while European countries have to acquire their funding from other sources.

Other funding schemes are *Networks of Excellence*, *Individual projects: Support for "frontier" research* and *Support for training and career development of researchers*, but they are of less interest for CSOs.

Problems for CSOs with the Funding Schemes

The main problem for CSOs in projects financed under FP7 is that the reimbursement rates are legally limited. Training, management and outreach strategies benefit from a 100% funding rate of the eligible costs, which means that Coordination actions and Support actions benefit from a very high rate (but not 100% of the budget since some costs are not eligible). But CSOs research activities can be funded at a rate of a 50% only. Consequently this does not pose a big problem for Coordination actions and Support actions, whereas for the BSG-CSO funding scheme a heavier financial burden is put on CSOs as far as research activities are concerned. Indeed, during the negotiations between EU institutions on the rules of participation to FP7, non-profit public bodies, secondary and higher education establishments, research organisations and SMEs have been attributed a higher reimbursement rate of 75%. CSOs do (almost) not fall under these categories and are only reimbursed up to 50%, the general rate for research and demonstration activities. Ideally the Commission should propose to modify this reimbursement rate in the next Framework Programme.

Like all other funding schemes, to be used, the BSG-CSO has to be indicated under each topic concerned (call for proposals). Up to now the BSG-CSO scheme has been used for very few topics. This is partly due to the fact that it is a new funding scheme. But beyond this, and since the scheme actively introduces CSOs into the research process, it challenges the widely shared opinion within scientific communities and the research policy world that CSOs and research have little to do with each other.

8. Evaluation of submitted projects

All proposals must be submitted on-line at an address indicated in the Guide for Applicants. Submitted proposals are evaluated and scored by independent evaluators according to several evaluation criteria. The EC document "*Rules for submission of proposals and the related evaluation, selection and award procedures*" sets out the common procedures for all work programmes under the 7th Framework Programme.
http://cordis.europa.eu/fp7/find-doc_en.html

However, each Work Programme may add additional provisions. In the following subchapters only the common provisions are explained.

• *Eligibility criteria*
Before the evaluation starts, proposals are checked for their eligibility. Eligibility concerns in general registration in the Commission database before the stipulated deadline, completeness of the proposal, minimum number of participating countries, legal existence of applicant organisations. Information on this can be found at:
http://cordis.europa.eu/fp7/who_en.html

• *Evaluation criteria*
The proposal template - available in the guides for applicants - is structured according to the three main criteria used in the evaluation. The sub-criteria may vary according to the type of funding scheme concerned or the selected topic. It is useful to keep in mind the evaluation criteria when writing a project proposal. They can be used like a checklist since a project has more chances to pass the evaluation when it is very clear on these points.

1) Quality: Relevance to the call and scientific and/or technological excellence
First of all a project has to address clearly the issue of the corresponding topic in order to be evaluated. The quality assessment may include:
- the soundness of the concept;
- the quality of the objectives;
- the methodologies used and the work plan and
for funding schemes dedicated to research:
- the innovative character
- the contribution to the advancement of knowledge;

2) Implementation is evaluated in terms of
- appropriateness of the management structure and procedures;

- quality and relevant experience of the individual participants;
- quality of the consortium of partners as a whole (including complementarity and balance);
- appropriateness of the allocation and justification of the resources to be committed.

3) Potential impact through the development, dissemination and use of project results at European (and/or national and/or international) level. It is assessed on the basis of the expected impacts listed in the topic under which the proposal is submitted. It generally contains
- appropriateness of measures for the dissemination and/or exploitation of project results, and management of intellectual property.

All proposals are requested to check for potential ethical aspects and invited to promote gender equality and to reflect on their possible gender dimension.

• *Scoring*
In the Cooperation, Capacities and People Programmes of FP7, each criterion is evaluated using a scoring ranging from 0 to 5.
0– The proposal fails to address the criterion under examination or cannot be judged due to missing or incomplete information.
1– Poor. The criterion is addressed in an inadequate manner, or there are serious inherent weaknesses.
2– Fair. While the proposal broadly addresses the criterion, there are significant weaknesses.
3– Good. The proposal addresses the criterion well, although improvements would be necessary.
4– Very good. The proposal addresses the criterion very well, although certain improvements are still possible.
5– Excellent. The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor.

The maximum score that can be reached is 15. Thresholds are set for each criterion and for the overall score that a proposal has to reach in order not to be rejected. (in general, a minimum score of 3 out of 5 for each individual criterion and a global threshold of 10 out of 15 for the proposal as a whole 10. If a project is below the threshold for one criterion or below the total threshold of 10, it fails to pass the evaluation and can not be funded.

• *Evaluators*
The Commission is assisted by independent experts for the evaluation "*who work in a personal capacity and does not represent any organisation [...] these experts are external to the Commission.*" The Commission selects them considering the skills and knowledge appropriate to the assigned tasks. If these experts are traditionally mainly scientists from universities and research centres , they can also be from other organisations such as companies, science centres or foundations. There is a (modestly) growing number of experts from CSOs who might also be invited. Experts have to declare that they do not have any conflict of interest in relation with the submitted proposals.

Applications for being an evaluator of FP7 proposals are registered on the Cordis expert database:
https://cordis.europa.eu/emmfp7/

The evaluation process is monitored and assessed by independent observers which report to the Commission. Evaluators remain anonymous and cannot be personally contacted by project coordinators to discuss the result of the evaluation.

• *The evaluation process*
Each proposal is evaluated by a group of three to five evaluators who write an independent individual assessment report. They than meet in Brussels to prepare a Consensus Report which includes a score for each criterion and a global one. Consensus meetings are moderated by Commission officials. In a third phase, proposals over the threshold are ranked by a panel of evaluators.

At the end of the evaluation process, the coordinator of each proposal will receive an Evaluation Summary Report with the comments and marks of the evaluators, but no statement on possible funding. The proposals ranked by the evaluators are submitted to the Programme Committee and to a Commission Inter-service consultation (to collect any justified objection to their funding). The project is then placed on a ranking list according to its overall score. Since budgets are limited, the ranking place will be decisive for an eventual future funding. Most often, not all projects that pass the threshold will receive funding. Approximately two months later the Commission will inform the project coordinator whether the proposal will be funded or not.

Projects are rejected when their overall score is under the threshold, when they do not meet all legal eligibility criteria, when they pose ethical problems and, last but not least, when the budget of the call is too small.

• *Negotiations*
Once a project is selected and the eligibility criteria have been checked, contract negotiations between the project leader and the Commission will start. They can include budget cuts or modifications in the description of the work according to the evaluators comments. The whole process of evaluation and negotiation takes several months.

A detailed description of the evaluation process is provided in *Annexes of Guides for Applicants* and in the document *Rules for submission of proposals, and the related evaluation, selection and award procedures* available at:
http://cordis.europa.eu/fp7/find-doc_en.html

D. What role for civil society in EU research choices ?

Up to now, and since they are not considered as stakeholders in research, CSOs have almost no opportunity to influence European research agendas. However, there is a growing interest and awareness among CSOs of the necessity to intervene in these processes. A number of critics and proposals were thus made by civil society (and scientists), organised in the European Science Social Forum, about the elaboration process and the priorities of FP7.

1. The example of the ESSF Network and FP7

In October 2004, during the third European Social Forum held in London, a number of CSOs and scientists active, in a broader sense, in the field of science and society (i.e., commercial control of science, science and militarism, human genetics, agriculture, science and citizenship, etc.) met to discuss the design process of FP7 conducted by the EU.

They decided to establish an informal network that would help to coordinate campaigns and organise common actions, and to share information, documents, ideas, and human resources. Thus, the European Science Social Forum (ESSF), a platform of CSOs as well as individual persons was born, aimed at promoting a model of scientific and technological progress in phase with an ecological, sustainable and fair society.

The ESSF Network issued a petition on *Framework programme 7 – a real partnership with society?* which delivered an analysis and an alternative vision for future European research and development policy. It made it clear that:
• The elaboration process of FP7 did not involve civil society organisations;
• Industry, via its lobby activities at all levels, had more than ever before influenced the elaboration of FP7;
• FP7 was more than any other Framework Programme before focused on competitiveness of European industry and did not enough prioritise societal issues.

The ESSF petition proposed an alternative research agenda with a set of priority issues standing for another model of scientific and technological progress - low input and organic agriculture, energy efficiency, water conservation, non-violent conflict prevention, public health issues, environmental health, system understanding (e.g. environmental processes), thus oriented to fulfil societal well-being, environmental sustainability and global justice, in line with the civil society vision of sustainable development. As the petition stated, "*it is not that these topics are absent from the existing FP6 or likely to be completely absent from FP7 – but they are not given priority.*" The petition was signed by more than 350 civil society organisations, scientists, and citizens from 19 European countries (and 12 other countries), and showed that there was both scientific and civil society unease about the way that FP7 was being organised and about the priorities it proposed. In April 2005, the petition was sent to the members of the European Parliament to ask them to support the Network's concerns, that were double: too little emphasis on social and environmental issues in EU discussions on FP7, and too little space for active participation of citizens and civil society organisations in its mode of elaboration.

The European Parliament was asked to make sure that the Commission and Member States:
• Recast the themes of FP7 towards social, environmental and public health goals ;
• Open research money to civil society control ;
• Minimise the direct and indirect control of the allocation of research money by industry.

Besides the petition, ESSF members from different organisations all over Europe worked out a significant number of substantial amendments to

FP7. Some of these amendments were taken over by members of the European Parliament who tried to introduce them into the text during the negotiations. Even if eventually none of these amendments was adopted, this was nevertheless the first time that CSOs, scientists and citizens worked together to actively intervene in the elaboration process of a Framework Programme.

But more generally, the ESSF experience had a positive influence on CSOs' awareness of the setting up of European research agendas and of the importance for civil society to get organised to deliver an input.

Towards FP8

The first discussions about the design of FP8 are expected to start in 2010. Civil society would be better equipped to intervene in this upcoming discussion if it took the initiative to build, in collaboration with scientists, research agendas for areas it considers a priority. The impetus for that has to come from civil society, but the EU could contribute by establishing fora in which CSOs and scientists could meet and start a discussion.

2. What was obtained for CSOs through FP7?

The programme in which CSOs have the highest chance of participating actively to European projects is currently the "Science in Society" programme, even if a few topics in the environment, health, KBBE and energy programmes also explicitly invite CSOs to participate.

Whereas the budget for "Science and Society" was € 88 million for FP6 (2002-2006, i.e. 4 years long, 17.5 billion €), Member States have earmarked a total of € 330 million for this theme, now as "Science in Society", over the duration of FP7. Average total yearly budget for Science in Society activities thus increased from € 22 million under FP6 to € 47 million under FP7. However, this apparent significant increase in budget should not hide the fact that the relative part of Science in Society remains marginal. It was 0,50% of the total budget of FP6 and 0,65% of the total budget of FP7.

Despite the weak influence civil society had on the design of FP7, discussions with EU representatives led to new opportunities, such as the creation of the BSG-CSO (Research for the Benefit of Specific Groups – Civil Society Organisations) funding scheme, in which CSOs are considered as full-fledged actors in research. With this financial instrument and the recognition of CSOs as potential partners in research, the Commission is ahead of most national research policies.

How can CSOs get involved in research projects?

A. What is participatory research ?

1. Overview

Terms like "Participatory" or "Community-Based" Research refer to research conducted in partnership between traditionally trained experts (usually academics) and members of a "community" or CSOs.

The degree of involvement of the CSO partners at the different stages of the research process can vary according to their nature, their capacity and to the purpose of the research project. The rise of participatory research started in the late 1960s. At that time this kind of research was mostly informal, carried out by individual scientists particularly committed to improving the lives of the communities they worked with, with no clearly defined methodology, on an ad hoc basis, and without funding nor institutional support. The International Participatory Research Network was created in 1976, providing for the next decades a space for exchange and giving visibility to a set of practices that had emerged independently in Africa, Latin America and India, and which were increasingly experimented in Northern countries. But the last ten years have seen a rise in the interest for "Community-Based Research" and the creation of dedicated support and funding mechanisms. Nowadays Participatory Research seems particularly strongly established in Canada, the USA, India, and several African countries.

The creation of a dedicated funding structure by the Canadian federal government in 1999, the *Community University Research Alliance* (CURA), was a landmark, which has attracted worldwide interest and continues to inspire similar initiati- ves around the world (like the PICRI system – *Par- tnerships of institutions and citizens for research and innovation* – put in place in 2005 by the Paris regio- nal government). As the relevance and the bene- fits of such research are increasingly recognised, and as institutional support is growing, more and more universities in North America set up offices of community based research or similar structures.

Europe has played a pioneering role in linking researchers with CSOs, notably thanks to Science Shops, established in the early 1970s in Dutch universities to provide independent, participatory research support in response to requests from community groups. Across the 1970s and 1980s, there were attempts to establish Science Shops in other countries, with varying success. However there was a new burst of interest in Science Shops in recent years, and their capacity for networking was re-enforced thanks to the support of the European Commission, that has funded four projects since 2000[27]. Individual researchers, and sometimes research organisations, have been involved in Participatory Research for a long time[28]. But there seems to be few formalized Participatory Research programmes in European Universities, although community-based research is gaining ground in the UK, and the government gives incentives to universities to set up programmes and mechanisms[29] dedicated to it. At the EU level, a new funding scheme, *Research for the benefit of specific groups-CSO (BSG-CSO)* now allows the possibility for such partnerships in all Work Programmes of FP7.

Dimensions of participation

There are a variety of dimensions of participation. Four of them relate to the content of the situation:

- providing data: the participants are informants;
- interpreting data: the participants are interpreters;
- planning change:: the participants are planners and decision-makers;
- implementation: the participants are implementers.

Another two are part of the research process:

- managing the process of data collection and interpretation: the participants are facilitators;
- designing the overall study: the participants are researchers or co-researchers.

The seventh may be about process, or content, or both:
- being kept informed about the study and its implications; the participants are recipients only.

Source: Bob Dick, Participative processes, http://www.scu.edu.au/schools/gcm/ar/arp/partproc.html#a_pp_dims

Participatory Research is very diverse and does not lend itself to a "one size fits all" approach. Different models (University Liaison Offices, Com-

27. SCIPAS (Study and Conference on Public Access to Science through science shops) EC project HPV1-CT-1999-00001 - INTERACTS (Improving Interaction between NGOs, Science Shops and Universities: Experiences and Expectations), EC project HPV1-CT-2001-60039. See http://members.chello.at/wilawien/interacts/main.html
- ISSNET (Improving Science Shop Networking), EC project HParticipatory ResearchP-CT-2002-00011
- TRAMS (Training and Mentoring of Science Shops)
See www.scienceshops.org for information about the international science shop network, Living Knowledge

28. See for example the International Institute for Environment and Development: http://www.iied.org/

29. See for example Beacons for Public Engagement, university-based collaborative centres to help support, recognise, reward and build capacity for public engagement work across the UK: http://www.rcuk.ac.uk/sis/beacons.htm

Examples of Community-Based Research

A group of graduate and undergraduate students, led by a researcher at the University of Toronto, is assessing contamination levels in typical urban settings, including homes, workplaces and playgrounds. Working in conjunction with several government agencies including the Ontario Ministry of the Environment, Toronto Public Health and Environment Canada, they have focused on the presence of flame-retardant additives used to protect common household items such as furniture and electronics that also make their way into household dust. The researchers found air inside some homes contained 10 to 20 times more of these potentially toxic chemicals than air outside. The finding has prompted a call to regulate how flame retardants are used in the manufacturing of consumer goods.

Over 800,000 Canadian children suffer from social and emotional problems that interfere with their learning and development. These emotional problems often lead to mental disorders and bring with them a $14-billion price tag in health-related expenses. Simon Fraser University and the BC Ministry of Children and Family Development have been working together since 2006 to improve the social and emotional development and mental health of children in Canada. Researchers at the university's Children's Health Policy Centre provide research evidence to assist policy development on a variety of mental health issues that range from substance and sexual abuse to eating disorders to suicide and depression. The Centre is also currently working with the BC Children's Mental Health Monitoring Project, to develop mental health indicators for children.

Source: Association of Universities and Colleges of Canada, Momentum: The 2008 report on university research and knowledge mobilization

munity-Based Research Centres, Service Learning, Science Shops in Europe, etc.) have different explicit objectives (problem solving, capacity-building of communities, enhanced teaching programmes, agenda setting, etc.), benefits and constraints[30]. They give a different role to different partners and, even within a given mechanism, there is a need to allow for flexibility within projects.

There are different degrees of involvement of CSOs in research projects. A research project usually includes the following stages: problem definition/issue selection, research design, conducting research, interpreting the results, and determining how the results should be disseminated and used for action. The role of the CSO or community partner can vary according to its capacity or to the purpose of the research project. It may end after the framing of the research question, it may start with the dissemination of the results, CSO partners can be involved in the research process itself, from the collection of data to the interpretation of the results. CSOs do not necessarily have to be involved in the research process itself in all cases : identifying a research need, framing the problem or contributing to the formulation the research question might be enough. In some cases a partnership can take more of a "service approach". Some other models insist on the equity of the partnership at all stages, on the sharing of power, resources, credit, results, and knowledge, as well as on the reciprocal appreciation of each partner's knowledge and skills at each stage of the project.

CSO - researchers partnerships, and the infrastructure and incentives put in place to encourage them, can operate at local, regional, national and European levels. A lot of partnerships happen at the local level, with geographically defined communities, for a limited period of time (e.g. 6 months), and try to address a practical issue or solve a precise problem. On the other hand EU projects (2 years) or CURA projects (5 years) can involve several dozens of partners from several countries or provinces, putting their results in common to further knowledge on a transversal issue.

In the context of FP7, the EU defines as "Civil Society Organisations" (CSOs): "*any legal entity that is non governmental, not-for-profit, not representing commercial interests, and pursuing a common purpose in the public interest*" . In practice researchers can be involved with local communities, ethnic groups, health practitioners, NGOs dedicated to a particular purpose, etc.

Initiated in social sciences and in the health sector, participatory approaches are increasingly used in sectors where natural sciences have a more prominent place, such as environmental sciences or agriculture. As Participatory Research naturally leads to adopting a problem-based and trans-disciplinary approach, it is particularly adapted to issues linked to Sustainable Development and to tackling problems which are transversal and have multiple dimensions.

30. Note: For an overview of six different models, see for example Doing more in Partnership: A Tool Kit for Community-University Collaboration, a 2006 report of the Provincial Centre of Excellence for Child and Youth Mental Health at CHEO, available on: http://www.onthepoint.ca/resources/toolkits.htm

Peasants, scientists and local organic food production
One example of a PICRI project (Partnerships of institutions and citizens for research and innovation)

Title of the project: Development of peasant practices of management and selection of wheat varieties for quality organic bread in the region of Ile-de-France

Objective of the project: Based on the methodological and generic research on genetic and epigenetic mechanisms that are involved in the adaption of plants to their environment, the partners of this project seek to develop wheat varieties that are adapted to the requirement of organic farming and the specificities of soils of the Ile-de-France area and that could be valorised in short marketing chain. This project will thus allow the emergence of effective solutions for a suburban area agricultural production respecting the environment, and that are economically viable, socially equitable and of high quality in terms of taste and health.

Partners: academic partners: geneticists from the French National Institute for Agronomical Research (INRA) ; civil society partners: Réseau Semences Paysannes (farmers organisation), Nature et Progrès (federation for the promotion of organic farming and biodiversity).

Co-production of knowledge: In front of the enormous diversity of genetic resources of wheat, and taking into account that the little knowledge that exists is dispersed between multiple actors, it is essential for the partners to closely associate networks of producers and consumers, processors, and laboratories of public research to build collective research and innovation in the fields of wheat selection and management.

Means and duration: In total, a research team of seven persons is involved in the project. The project receives 121.000 euros over three years.

2. Benefits of CSO involvement in research partnerships

CSOs could benefit from integrating research in their culture and among the tools they use. CSOs are good at identifying problems, at solving local issues, at campaigning against dangerous global trends, at raising awareness and at making a political impact. But with the challenges ahead, research partnerships could help them to make a more important contribution to the design of solutions. Numerous CSOs do not consider research policy as a target, even though they may spend a lot of their time and energy addressing issues directly linked to research and research policy decisions made years ago. There is "*an important role for both protest and participation: direct clashes can help to mobilise people, but the idea of upstream involvement is to try and also put a positive agenda onto the table at an earlier stage.*"[31] Some CSOs would also directly benefit from getting involved in research projects, from learning to better value their knowledge, and from having opportunities to question and improve their own practices and tools.

Working with researchers can precisely help them to do so, especially to learn to articulate better how the different dimensions of Sustainable Development are linked, to develop a more solid economic reflection and discourse (like in the FP7 project *CSO Engagement with Ecological Economics*[32]). In other words, some CSOs could dedicate more resources to research, and be more involved in the design of solutions, in partnership with researchers. CSOs should be more explicit about the kind of science and research they would like to see carried out and should devote resources to build their research agendas. They could also be more involved in the politics of research, and contribute to alleviate some of the pressures and constraints scientists are under.

Participatory or cooperative research projects offer a range of different benefits, for CSOs, for the quality of research outputs, or for the integration of civil society visions into research agendas.

Strengthening civil society capacity and practices

Research projects can strengthen the advocacy of CSOs or bring scientific expertise into the services they provide[33]. Being involved in a research partnership enables them to have a say on the way the problem is framed, on the methodology used, on the interpretation of the results, and therefore to obtain results which are more relevant for their work. Research partnerships also strengthen the capacity of CSOs to participate in future research projects. Research can also support and enhance the capacity and efficiency of some practices, and consolidate some new sectors of activity. For

31. Wilsdon, J., Wynne, B., Stilgoe, J., The Public Value of Science - Or how to ensure that science really matters, Demos, 2005
32. CEECEC aims to enable CSOs to engage in and lead Ecological economics (EE) research through a number of coordinated activities. Through a trans-disciplinary approach, EE emphasizes the social, economic, biophysical, cultural and ethical issues at stake in the management of human economies and their interactions with the natural world. CEECEC is funded through the CSO Capacity-Building activities of the Science in Society Programme in FP7; http://www.ceecec.net/
33. Goverscience-CSO seminar Report – 9-10 October 2008

example, the *Geotraceability of Fair Trade* research project aims at promoting the best social, economic and environmental practices of Sustainable Development in the Fair Trade sector[34]. Another EU project, *Facilitating Alternative Agro-Food Networks: Stakeholder Perspectives on Research Needs* looks at how to develop alternative agro-food networks[35].

Exchanging and producing new knowledge

Working with CSOs can give scientists access to some data that would otherwise be unavailable to them, but also to other forms of knowledge and expertise. The CSO's field expertise enriches the research process. CSOs are a valuable resource not only in terms of providing data, concrete cases, financial and human resources, but also in terms of practical know-how or even theoretical knowledge, as well as in the formulation of research hypotheses. It enables researchers to integrate "lay expert" knowledge in their work, and to produce new knowledge in co-construction.

Improving the quality and relevance of research outputs

Partnerships can improve the quality of the research: the feedback of CSOs on results at different stages of the research can help the researchers adjust and recast the way the results are formulated, to reflect aspects that they may have missed, enhancing the validity of the results. In terms of process, participatory research often helps partners to think reflexively about their work, their practices. By addressing issues and problems identified by civil society, participatory research also produces results and outcomes that are more socially relevant, that answer concrete needs identified by communities or CSOs, and that are therefore more likely to be applied and used.

Encouraging problem-based approaches and trans-disciplinarity

The challenges our societies face with Sustainable Development are multi-dimensional; tackling this multiplicity is a drive towards trans-disciplinarity, and forces to pay attention to the complexity of reality. Instead of a focus on a given technology, or on a given scientific discipline, research partnerships encourage more systemic approaches, not only because of the attention paid to the the inter-related different dimensions of a problem (economic, social, environmental) but also in scientific terms. This aspect makes research partnerships a key tool to better understand the links between the different dimensions of Sustainable Development, through the examination of concrete problems. The participatory research projects funded through the Science in Society Programme of FP7 illustrate well how participatory research projects are trans-disciplinary in nature and combine a range of nationalities, skills, knowledges, interests and approaches[36].

Exploring alternative scenarios and opening new innovation paths

Participatory research helps identify research gaps and address needs that are not taken into account by more conventional research. It allows researchers to work on emerging issues. It also helps to make visible and to explore alternative future scenarios (for instance on the use of natural resources, or of energy, like in the *European Network engaging civil society in Low Carbon scenarios* project, which aims at evaluating the social acceptability of different ways of reducing carbon emissions [37]). Making visible alternative futures and visions of Sustainable Development can open up new research and innovation paths, and support diversity in science, which is a key asset. Research partnerships can make policy alternatives visible and challenge existing norms, broadening perspectives beyond technological approaches. The contribution of research partnerships to research agenda setting is greater with long-term partnerships. For example, many longer existing Science Shops have demonstrated the capability to influence research agendas above the level of individual projects. They co-operate with CSOs for long periods and are thus able to articulate more profound research questions. Also, for research groups it gets possible to build on case studies to develop new methodologies and theories. Examples can be found in the development of green chemistry (in which a number of cases between Science Shop Groningen and CSOs lead to a research consortium of industry, university and ministry), or organic farming, or longer PhD programs that run at a number of universities. The articulation and reformulation of the research question in good mutual co-operation seems crucial to get follow-up scientific research[38].

34. GEO FAIR TRADE is funded through the 2008 Environment Work Programme of FP7
35. FAAN is a Cooperative research project funded through the Science in Society Programme of FP7; http://www.faanweb.eu/page/what-co-operative-research
36. Goverscience-CSO seminar Report, op.cit.
37. ENCI-LowCarb, funded through the 2007 Environment Work Programme
38. Zaal & Leydesdorff, Amsterdam Science Shop and Its

B. European experiences and opportunities

1. Science Shops[39]

According to the International Science Shop Network, Living Knowledge, a Science Shop "*provides independent, participatory research support in response to concerns experienced by civil society*". Science shops are organisations created as mediators between citizen groups (trade unions, pressure groups, non-profit organisations, social groups, environmentalists, consumers, residents association, etc.) and research institutions (universities, independent research facilities). They are important actors in "participatory" or "community-based" research.

Science shops are small entities that carry out scientific research in a wide range of disciplines – usually free of charge and – on behalf of citizens and local civil society. The fact that Science Shops respond to civil society's needs for expertise and knowledge is a key element that distinguish them from other knowledge transfer mechanisms. Science Shops are often, but not always, linked to universities, where students, with the help of supervisors, conduct the research as part of their curriculum.

Science shops seek to:
- create access to science, knowledge and technology for social groups that would not or could not ordinarily interact with these disciplines
- provide civil society with knowledge and skills through research and education
- provide their services on an affordable basis
- promote and support public access to and influence on science and technology
- create equitable and supportive partnerships with civil society organisations
- enhance understanding among policymakers and education and research institutions of the research and education needs of civil society
- enhance the transferable skills and knowledge students, community representatives and researchers.

They deliver for their "clients":
- Documentary research to reinforce an advocacy coupled or not with a (counter-) expertise;
- Prospect research to be able to participate actively to debates on scientific and technological politics;
- Research projects to find solutions to their specific problems.

Since 2000, Science Shops and comparable organisations self organised in a very active network (Living Knowledge) supported by the European commission. It is a meeting place for all organisations and persons interested in community based research and science and society relations. Living Knowledge offers a forum for the exchange of information, expertise and ideas.

Many Science Shops exist in Europe and worldwide. National contacts can be found on:
http://www.scienceshops.org/new%20web-content/content/links-countries.html

2. Participatory Research in FP7 : The Benefit for Specific Groups-CSO financial instrument (BSG-CSO)

The Commission has taken several initiatives to promote the participation of CSOs in Research Framework Programmes. In the Science in society work programmes two topics in 2006 and 2007 were dedicated to "CSO capacity-building" in research in relation to CSOs needs and interests and seven projects were funded. In 2007 the Science in Society Work Programme initiated "Cooperative research processes", to promote partnerships between researchers and non-researchers (including policy-makers, citizens and CSOs), with a focus on mutual learning. Two projects, led by universities and involving CSO partners, were selected so far.

In October 2008, took place the *GoverScience seminar on Civil Society Organisations in research* in the frame of the *2008 Science in Society Work Programme (SiS WP)*. It aimed to explore the dynamics of partnerships between civil society organisations and research organisations. It grouped projects which correspond to three types of initiatives within the seventh European Research Framework Programme (FP7):
- CSOs capacity building
- Cooperative research processes
- Funding scheme for the Benefit of Specific Groups- BSG-CSO

Influence on University Research: The Effects of Ten Years of Dealing with Non-Academic Questions. In: Science and Public Policy, 14, no. 6, 1987, p. 310-16

39. Note: most of the information below comes from the Living Knowledge website : http://wwwscienceshops.org See also the leaflets edited by the European Commission: http://ec.europa.eu/research/science-society/pdf/science_shop_fr.pdf, http://ec.europa.eu/research/science-society/pdf/science_shop_en.pdf

Projects and their websites (GoverScience Seminar)

Project title	Project acronym	Project website
Involving NGOs in Renewable Energy Research	INRE	http://www.inre-project.eu/
Participatory Science and Scientific Participation: The role of civil society organisations in decision making about novel developments in biotechnologies	PSx2	http://www.fondazionedirittigenetici.org/psx2/psx2/
European Research Agendas for Disability Equality	EURADE	http://www.eurade.eu/
CSO Engagement with Ecological Economics	CEECEC	http://www.ceecec.net/
Science, technology and civil society - Civil Society Organisations, actors in the European system of research and innovation	STACS	http://www.citizens-science.org/
CApacity-building for Patient Organisations to participate in Research Activities	CAPOEIRA	http://archive.eurordis.org/article.php3?id_article=1223%3f
Co-operative Research on Environmental Problems in Europe	CREPE	http://crepeweb.net/
Facilitating Alternative Agro-Food Networks: Stakeholder Perspectives on Research Needs	FAAN	http://www.faanweb.eu/
International Civil Society Forum on Conflicts	INFOCON	http://www.infocon-project.org/
Development of indicators & Assessment Tools for CSO Values-based projects in Education for sustainable deve-	ESDinds	http://www.brighton.ac.uk/sdecu/research/esdinds/

The projects came from three FP7 programmes: Science in Society, Social Sciences & Humanities and Environment. Participants were invited to exchange experience and formulate suggestions for future activities which encourage the participation of CSOs in research.

In parallel, in some thematic areas of the Cooperation programme, the participation of CSOs was encouraged, in particular with the use of a new funding scheme entitled *Research for the benefit of specific groups - civil society organisations*, the BSG-CSO.

In comparison to other funding schemes, the BSG-CSO allows a wider allocation of time and resources to training for CSOs and researchers to adapt to each other's knowledge and functioning modes, requires a solid outreach strategy with a strong policy dimension, and provides all the rights to participating CSOs to disseminate and use the research results in the public interest.

BSG-CSO projects are "*Research and technological development projects where the bulk of the research is carried out by actors such as universities, research centres or other legal entities, for the benefit of specific groups, in particular SMEs, or for civil society organisations and their networks*."

It exists a similar scheme adapted to SMEs and their associations.

Targeted CSOs are non-governmental, not-for-profit, not representing commercial interests and pursuing a common purpose for the public interest.

The minimum number of participants (independent legal entities) established in different Members States or Associated Countries is specified in the work programme using the scheme.

"Consequently the scheme:
- allows civil society organisations to find scientific responses to their needs;
- provides researchers with new inputs and perspectives for their activities;

The funding scheme BSG-CSO in the Environment Work Programme

The EU research projects which have been selected in the Environment Work Programme (WP) of FP7 are a good illustration of the different ways research can contribute to the needs of CSOs or tap into their knowledge. This WP covers the identification of tools and indicators for Sustainable Development, and research on the relationship between the three pillars of sustainable development: economic, social and environmental. The first year of FP7 featured a call for research projects on engaging civil society in research on Sustainable Development, which addressed the needs of CSOs (for instance the "Civil Society for Sustainability" project aims at identifying how to increase the efficiency of CSOs and their impact on policies). The 2008 WP had a more restricted call to the indicators of Sustainable Development. This resulted in three successful projects: the ecological footprint, indicators on Good Governance and Fair Trade. A new approach has been used for the 2009 WP, the topic being "Enhancing connectivity between research and policy-making in sustainable development". In this new call, researchers, and actors involved in research, whether from the academic world or civil society, should work together with policy-makers to ensure that existing research results are brought into the policy-making arena. This is done by applying a collaborative method to bridge the gap between research and policy. The expected outputs are very concrete: the project partners should be able to demonstrate how the research was actually used in policy development and /or implementation.

• contributes to enriching public research agendas;
• gives a wider public access to scientific results“ and also "*the research results can be jointly owned by the participating CSOs, or if owners are different, the participating CSOs are provided with all the rights to use and disseminate the results*".

The BSG-CSO funding scheme has attracted some attention on the side of academics and CSOs, reflecting the growing interest of CSOs in getting involved in research and research policy, but also the interest for collaboration with non-profit civil society on the part of researchers. Up to 2009 it has been used in four Work Programmes (Environment, Social Sciences and the Humanities, Science in Society, Transport). Since the beginning of FP7, eight projects have been selected so far. Together they involve 47 CSOs from 23 countries (16 EU countries and 7 non EU countries), 20 research organisations (mainly universities) and 2 public centres. All projects display a multi-disciplinary scientific approach aimed at a better understanding of societal issues such as conflicts prevention and resolution, anti-corruption or the design of better indicators for Sustainable Development.

The BSG-CSO funding scheme has been used in few programmes till now since it takes time to integrate a new and innovative instrument into the complex administrative rules of FP7, and to make it known among officers. But it also seems like there are "cultural barriers" to its use, and that the idea of integrating CSOs in research creates some resistance. CSOs should convince DG Research to make a more frequent use of the BSG-CSO in calls for projects.

Social Platforms

In the field of forward looking activities, the social platforms were created as a new instrument in the frame of the *Socio-economic sciences and humanities* theme of FP7 which addresses notably "Sustainable development and cohesion" with emphasis on urban issues. Social platforms are designed "*to put together CSO and researchers in order to jointly define future research agendas*" and to "*define a research agenda in the area driven by societal concerns*."

The first experience of a social platform is the Social Polis (cities and social cohesion) platform. Another recently launched platform is on *Sustainable lifestyle*. More platforms should come in the next years.

ETPs and CSOs - Are ETPs a good place for CSOs to intervene in research agendas?

ETPs are clearly an instrument that was conceived to allow industry to intervene on European research policy issues. One question about the functioning of ETPs is thus whether industrial partners, and other stakeholders such as consumers organisations or CSOs, can share the same analysis of problems and the same vision of solutions, or if there are different approaches and objectives that foreclose a cooperative work.

A recent analysis of ETPs showed that only few CSOs are involved - in few ETPs. As the report states "*NGOs and end-users have a small presence*." Out of an average number of members of around 300, only 2 come from CSOs and more than half from industries and industry associations .

ETPs cannot be a good basis for the involvement of CSOs: they are "industry-led" by definition and, in most cases, their research agendas mainly reflect the interests of multinationals. There are a

Social Polis

Social Polis is an open social platform for dialogue between scientific and policy communities as well as civil society organizations and networks on priorities for research on Cities and Social Cohesion. It is a forum for debates on economy, polity, society, culture and ethics across the city as a whole and in a variety of 'urban' life spheres. It provides for joint workshops and conferences at which research agendas and modes for future joint research will be developed. Social Polis will make four substantive contributions to research on urban dynamics in Europe:

1. a focussed, critical state of the art in research on cities and social cohesion;

2. a research agenda for the 7th Framework Programme;

3. establishment of a social platform uniting the research and stakeholders communities in furthering urban studies and research;

4. the production of educational resources for analysing the challenges of urban cohesion.

The overall objective of Social Polis is twofold: to elaborate a research agenda on cities and social cohesion which focuses especially on the role of cities in social cohesion, and on the key related policy questions, and in doing this to create a platform where stakeholders and researchers can contribute their views and discuss what that agenda should be.

Source : http://www.socialpolis.eu/

couple of exceptions though. In some sectors (like the very sectors that CSOs have helped to create as an economic sector, namely renewable energies and organic farming) it might be possible for CSOs and industry to have a common agenda, and for an ETP to truly represent the views of different sectors of society, but it seems to be the exception rather than the rule.

C. Key principles and recommendations

The following key issues and recommendations come from the conclusions of the STACS project final report on participatory research . This report identifies the benefits and barriers of participatory research for CSOs, and on what could be done to reinforce or adapt participatory research mechanisms in order to mainstream CSOs involvement in both research policy and in research itself through participatory partnerships. These issues should be discussed among CSOs and should be brought on political agendas.

1. Research projects

Research and the work of CSO are indeed two different worlds, which have rarely interacted with each other. Working together thus implies bridging the gap between these two cultures, and developing a relationship of trust. All CSOs and researchers involved in partnerships have experienced difficulties due to their different expectations, their institutional obligations, but also because their referentials of legitimation are different. People from CSOs involved in research projects, as well as scientists involved in research partnerships with CSOs, often face scepticism inside their organisations or amongst their colleagues.

On a more practical level, CSOs are often focused on short term goals, on policy impact and legislative change. They use research, but taking part in research is not seen as part of their traditional missions, and it can be difficult for them to justify spending limited human and financial resources on long-term research projects. CSOs often have to deal with multiple issues and emergencies, and their temporality is different from the one of researchers, which can cause frictions during a research project. On their side, researchers have to produce publications for peer-reviewed journals, the quantity and quality of which is the basis for their evaluation. CSOs and researchers also speak different languages. CSOs are not necessarily familiar with research processes (framing, methodologies and concepts) and scientific culture, and it takes time to build a common language.

On a deeper level, research partnerships often cause identity challenges. They cause "frictions" and conflicts which are not only due to time, resources or institutional constraints. Experience shows that, for partnerships to be workable and fruitful, it is necessary for the individuals involved to play down some of their values and habits that have a large role in defining who they are, and to which community they belong to. There is always a part of compromise involved. But almost all people involved in research partnerships insist on the value of the experience at individual level, and in terms of working habits. Successful partnerships entail the recognition of the other's referential, and of the displacement or adaptability of one's own epistemic referential (be it based on academia or practice). It is an experience that renders people able to move from one referential to the other. Beyond the negotiation of different interests, partnerships open a space for mutualisation

and inter-subjectivity. At their best they appear as a process of collective production that goes with an individual and collective learning enabling different actors to acquire new knowledge, to develop new behaviours and a new understanding of their environment[40].

The initial stage of a partnership research project – the problematisation phase - is crucial and should not be rushed. It should result in the construction of a precise research object in combining the divers objectives and perspectives and in the adoption of a clear research proposal with which both sides are comfortable[41]. It is needed to take all the time necessary at the outset to clarify the objectives, the stages of the project, and the modus operandi. Even at this initial stage a learning process takes place. CSOs are not necessarily familiar with a research process, its culture, the definition of the methodology and of an object, what can be researched or not, etc. Partners have a certain vision of their needs, which might have changed after the identification process, and this is often already a valuable result.

Also after the initial phase, the objectives should always be kept under review throughout the course of the project to ensure that the research is not straying from them. The contribution expected from each of the partners must be made clear at the outset. Hence, it is important to have monitoring and validation mechanisms in place with the partners at each stage of the work to keep the process from bogging down, and the partners from losing interest.

2. Ways forward

More opportunities for scientists to engage

First of all, there are few mechanisms allowing and funding research partnerships between CSOs and research institutions. Therefore, there are still few experiences and few opportunities for CSOs to engage in research, and for scientists to engage in research partnerships with civil society, both at the EU and national or local levels. The availability of funding is both the key driver and the main barrier (when it is lacking) to CSO engagement in research. The existing experiences have been successful and have attracted considerable interest. There is clearly a need to dedicate more support and more funding to such mechanisms, and to ensure a proper information about these opportunities, both towards CSOs and researchers. Therefore, in FP7, the use of the BSG-CSO scheme should be mainstreamed. Participatory Research is not only relevant to the "Science in Society" programme. It wouldbe important to ensure that DG Research vices and research organisations take more advantages of the potential benefits of Participatory Research and of the use of existing support mechanisms. Capacity building and training are necessary at different levels and for all involved actors – Commission and National Contact Points staff, CSOs, researchers, and policy makers.

Long-term relationships and places for meetings

Experience shows the importance of the existence of relationships prior to the construction of a research partnership, so as to enable the groups involved to go beyond the primary representations they have of one another[42]. But there are few places where such relationships can emerge, there are few spaces for dialogue and for CSOs and researchers to meet. And virtual meeting places cannot replace face-to-face interactions. This lack turns into a practical problem because it makes it hard for scientists to identify appropriate CSO partners, especially in EU-wide projects. There is a lack of knowledge brokers (as they are called in Canada), who could operate this important matchmaking activity. Such places could also play a role in helping CSOs building research agendas that reflect the priorities and needs they have identified. It was precisely one of the purposes of the STACS *Science, Technology and Civil Society* EU research project to create such meeting opportunities, in the form of "nursery projects workshops"[43].

Reward the public engagement of scientists

The lack of high level institutional support and incentives is a barrier for scientists who are interested in engaging society. Universities and research institutions should be encouraged to integrate public engagement and service to the community in their mandate and in their programmes. The evaluation of scientists should also be conducted on a larger basis than solely on their contribution to their discipline and their publications. It takes time and commitment to get involved in research partnerships, and this contribution should be rewar-

40. Audoux-Lemoine, C., "Les dispositifs de co-production des savoirs entre chercheurs et acteurs de la société civile: formes de savoirs et engagement", presented at the Eleventh International Karl Polanyi Conference "The relevance of Karl Polanyi for the 21st century".
41. Vaillancourt (2005) op.cit.; other points below as well.
42. Audoux-Lemoine, C., op.cit.
43. Participation of CSOs in research, STACS report

ded rather than punished.

Create supporting structures

The most crucial point identified in the CURA system and other mechanisms in Canada, and the most striking difference with the BSG-CSO scheme, is the existence of an "infrastructure" that allows the funding of "knowledge brokers" and "facilitators", who provide support to both researchers and CSOs, help them resolve conflicts and find their ways through the partnership and the research process. These structures have a number of advantages and fulfil a diversity of roles. They provide support to partners all along the process, but they also act in the first place as "brokering" structures, that can help CSOs find the right academic partner, and vice-versa. They can also act as organizers of meetings between the research community, CSOs and policy-makers, as facilitators for the building of long-term relationships, for the building of trust and mutual understanding between two different communities. Permanent structures ensure that the experience on and lessons about Participatory Research do not get lost. They can also alleviate the administrative burden that the involvement in research partnerships can represent for CSOs, especially for the smaller ones. Universities and research institutions are the most relevant place for such structures.