



## **Evaluation of the Dutch – Russian programme of scientific cooperation**

Final report

This study has been financed by the Dutch Ministry of Education,  
Culture and Science (OCW)

A.J. Nijssen  
J. de Jonge

Project number: B3321

Leiden, October 2007

The responsibility for the contents of this report lies with Research voor Beleid. Figures and/or text can be cited as an explanation or support in papers, essays and books only if the source is clearly mentioned. No part of this publication may be copied and/or published in any form or by any means, or stored in a retrieval system, without the prior written permission of Research voor Beleid. Research voor Beleid does not accept responsibility for printing errors and/or other imperfections.

## Preface

There is a lengthy history of cooperation between Russian and Dutch scientists. In earlier reports on this cooperation, the combined activities were described as being of mutual benefit. A new, concrete programme of research cooperation started in 1992. The current programme is based on four successive Memorandums of Understanding (MoU) between the governments of the two countries. The first of these was signed in 1993; the last one covers the period 2005 – 2008 and was signed in April 2004.

Over 350 projects of various kinds – research projects, fellowships and centres of excellence – have been funded in the past 15 years. The programme is jointly managed by the Netherlands Organisation for Scientific Research (NWO) and the Russian Foundation for Basic Research (RFBR). The programme was originally funded by the Dutch government. More recently the government's financial contribution has been 80%. NWO contributes one million euro to the programme (13%) and RFBR the remaining 7%.

Research voor Beleid and EIM were commissioned by the Dutch Ministry of Education, Culture and Science carry out an evaluation of the last MoU. This evaluation took place in the period April – June 2007. It involved a regular 'ex post' evaluation of a policy instrument. The evaluators naturally hope that the results of the evaluation will provide a useful basis for a decision concerning the future of the programme of scientific cooperation. In this respect, it is important to note that the programme started in a period when Russian scientists and research centres were clearly suffering from a lack of funding. In later years, the situation changed and the cooperation can now be structured on the basis of equal participation and the continuing search for mutual benefits.

We were happy to be able to make use of the results of earlier evaluations as well as the assistance of the NWO in acquiring the necessary factual information. We were pleased to be received by representatives of all the parties concerned and with the willingness of many people to be interviewed or to respond to our questionnaire.

*Anton J. Nijssen*  
*Project leader*



# Contents

Management summary	7
1 Introduction	11
1.1 The context of the bilateral programme: a brief sketch	11
1.2 The programme of research cooperation between the Netherlands and the Russian Federation	13
1.3 The evaluation of the period 2004 - 2007	17
2 Results of the evaluation	19
2.1 Facts and figures	19
2.2 Results of the programme	21
2.3 The management of the programme	26
2.4 The future of the programme	28
3 Analysis, conclusions, recommendations	29
3.1 General analysis	29
3.2 An answer to the research questions	31
3.3 Recommendations	34
Annex	
1 List of interviewees	37
2 Results of the survey	39
3 The questionnaire	51
4 Workplan 2004 - 2007	63
5 The management structure	79



## Management summary

The Dutch – Russian programme of research cooperation started in 1992. It is based on four successive Memorandums of Understanding (MoU) between the governments of the two countries. The first of these was signed in 1993; the last one was signed in April 2004 and covers the period 2005 – 2008.

Over 350 projects of various kinds – research projects, fellowships and centres of excellence – have been funded in the past 15 years. The programme is jointly executed by the Dutch Organisation for Scientific Research (NWO) and the Russian Foundation for Basic Research (RFBR). In 2005 the Russian government installed a federal agency for science and innovation (FASI) and since that agency has also been involved in the execution of the programme.

The programme was originally funded entirely by the Dutch government. More recently, the Dutch government's financial contribution has been reduced to 80%. NWO contributes about 13% and RFBR the remainder.

The evaluation was commissioned by the Dutch Ministry of Education, Culture and Science and carried out in the period April – September 2007. Its aim was to evaluate the workings of the most recent MoU. For the purposes of the evaluation, the team studied all the relevant documents and reports, conducted a survey amongst scientific project leaders and users of the programme and interviewed stakeholders and researchers in both the Netherlands and the Russian Federation.

Our **main conclusions** are presented as answers to the research questions below:

### ***How has the present programme developed? Has it been executed in accordance with the goals set and with the actual work plan?***

The two governments signed a new MoU in 2004. The MoU was 'translated' into a Work Plan 2004 – 2007 and this plan was executed as agreed.

The targets for the cooperative programme were met in terms of the projects carried out. This component of the programme remained popular and the research teams were quite satisfied with the selection of projects. One interesting observation is that the number of proposals fell quite dramatically in the last few years. The interviews suggest two possible reasons for this:

- calls were published for the use of the new instrument of 'centres of excellence' and this may have diverted attention from projects;
- some of the priority areas were said to be of little interest to the Russian researchers and of little relevance for the cooperation between the Dutch and the Russians.

The response to the idea of Centres of Excellence was very positive. A lot of proposals were received. However, it proved very difficult for the NWO and the RFBR to reach agreement on the selection of proposals after the first call. Some matters are still unresolved and only one Centre of Excellence has been established up to now. A second call for proposals was launched this year. NWO expects three proposals to be selected in this second round.

A thorough evaluation of this instrument will therefore only be possible after the results of this second round are known and Centres of Excellence are in operation.

The other instruments were less successful, although the growing demand for individual grants suggests that this instrument could eventually be successful. Anyway, the Russian

partners did not consider these instruments to be part of the programme and distanced themselves from them. The researchers who were interviewed were often unaware of the existence of these instruments.

***What are the outcomes of the programme in terms of:***

- ***strong and viable cooperative teams;***
- ***growth of international networks and connection to national programmes and funding arrangements;***
- ***proven attractiveness to young scientists;***
- ***the development of centres of excellence and the commitment of 'preferred partners'***

The outcomes of the programme are generally positive. The records show strong and viable cooperative teams. The researchers from both countries are positive or very positive about the programme. They are equally positive about the actual cooperation and its intensity. The output of the projects is said to be very high. The programme has proved highly productive in the past.

Some of the cooperating groups aim to build, strengthen or enlarge international networks. Those groups that make this an objective seem to succeed. However, the evaluators also met a number of partners who were satisfied with the bilateral cooperation and did not strive for more. The picture therefore is not homogeneous.

Finally, it has to be noted that although the concept of Centres of Excellence was received positively it has not yet proved its usefulness. The results of the ongoing call for proposals are not yet known and will need to be taken into account.

***How effective was the programme in meeting its goals? Were the proper instruments developed and used? Were all parties (sufficiently) committed to the execution of the programme?***

Originally, the programme was very effective. During the period 1993 – 2003 it developed and adapted to changing circumstances. In 2004, more fundamental changes were agreed and these were reflected in the new mix of instruments. Overall, the agreed work programme was followed and executed. With hindsight we find indications of a growing divergence between the Russian and the Dutch partners, although not at the level of the research groups and researchers, who were cooperating gladly and with enthusiasm. The divergence is only reflected in the Mixed Committee and at a very late stage. In the background we find the divergences in views reflected in the managing organizations. The focus of the Dutch partners was and still is on striving for scientific excellence, whereas the focus of the Russian partners seems to have shifted more towards innovation. This is reflected, inter alia, in the growing role of FASI alongside RFBR, both in governance and funding. The use of the instruments has already been described. The Russian interviewees explained that only the projects and the Centres of Excellence were of interest to them. The selection of projects, which account for the largest part of the budget, proceeded smoothly. However, the inconclusive discussions about the selection of Centres of Excellence are interesting. Centres of Excellence can in fact be regarded as 'big projects' (funding of € 500,000 rather than € 150,000), which raises the question of why they are proving so much more problematic than projects. There are two complementary answers to this:

- On the one hand, the Centres of Excellence are more an instrument for innovation-oriented scientific research than for purely science-driven fundamental research. To the Russian representatives in the management structure, as well as some of the Dutch participants in the programme, this means that the proposals for these Centres have to be evaluated quite differently. NWO disagrees and is of the opinion that the original criteria



for the selection of proposals should remain unchanged, with scientific excellence as a key consideration, even for those proposals with an innovation component

- On the other hand, the Russian government has shifted its focus, as is shown by the growing involvement of FASI. This change of focus made discussions in the Mixed Committee more difficult.

### ***Has the programme been efficient and effective?***

According to the participants, the programme is very efficiently executed. NWO's executive powers are rated positively by the researchers. The problems encountered were minor. The more or less traditional parts of the programme are as effective as ever. The same, however, cannot be said of the new instruments.

Based on these conclusions we **recommend** the following:

1. Stopping the programme now would send a negative signal. The traditional instrument in the programme – the funding of projects of basic research - has been effective and it would be advisable to see if there are possibilities to maintain the good aspects: the contacts between the research groups, the combined research efforts, and so on. This implies the need to design a new – perhaps 'lighter' - facility for basic research.
2. On the other hand, if the intention is to develop a cooperative programme in the area of innovation, a re-design of the programme, or a different programme, is needed. The Centres of Excellence probably have the potential to become a useful instrument, but more clarity is needed regarding the intentions, the goals and the involvement and commitment of preferred partners and possibly of corporations. It would be advisable to reconsider the composition of the management structure as well.
3. The evaluation creates the impression that a dual-track approach is needed. On the one hand, the programme for basic research should be continued. On the other, an S&T programme should be established. The programme for basic research could be based on the successful parts of the existing programme. It would also be worth considering whether the instrument of individual grants can be continued. The instruments for innovation need to be evaluated in depth once it is possible to draw conclusions from the second round of proposals for Centres of Excellence. The involvement of the various ministries is an issue, as is the choice of management organizations. Changes are also needed in the marketing of the instruments in order to optimize the prospects for joint decisions.
4. The programme was an initiative of both governments. They were jointly responsible for the MoUs from the outset. The Dutch government contributed between 100% and 80% (in the most recent years) of the budget for the programme. It is clear that government involvement in the previous periods was very important. Equally important were the financial contributions to the programme. This clearly implies that government involvement would also be helpful in the future, if and when a new programme is designed.



# 1 Introduction

## 1.1 The context of the bilateral programme: a brief sketch

The programme of bilateral scientific cooperation between Russia and the Netherlands started in 1993. The tenth anniversary of the programme was marked with a symposium in The Hague on 3 October 2003, following which a new Memorandum of Agreement was signed between the Dutch Minister of Education, Culture and Science and the Minister of Education and Science of the Russian Federation. This Memorandum was signed in April 2004 and covers a new period of three years, officially starting on 1 January 2005.

The cooperation programme originally started after the collapse of the Soviet Union. Over 350 projects of various kinds – research projects, fellowships and a Centre of Excellence – have been funded by the programme over the last 15 years. In the first programme period the Dutch government covered the entire costs of the programme. Its aim was basically to create an instrument for providing direct support to Russian research groups and institutes in what were difficult and uncertain times for them. Another objective was to sustain existing relationships between Dutch and Russian researchers. During the subsequent years the situation changed. Before analyzing the development of the cooperative programme in more detail (section 1.2.), it is useful to briefly sketch the relevant changes in the environment of the cooperative programme.

### Research funding in Russia and in the Netherlands

First of all, it is clear that the political, economic and social situation in Russia has changed dramatically in the last fifteen years. Consequently, the organization and funding of scientific research is changing too. In the past, the Soviet Union was built as a planned, directed society. Science was well-funded but according to the same principles, which meant that institutions were directly funded on the basis of top-down decision making rather than, for instance, on peer-reviewed research programmes and proposals.<sup>1</sup> *The present situation can be characterized as transitional.* First of all, we find new foundations funding scientific research. In 1992, the RFBR (Russian Foundation for Basic Research) was created and organized according to Western European models for research funding agencies. In 1994, this was followed by the establishment of a similar organization, the RFH, the Russian Foundation for the Humanities. These aim of these organizations seems to be to develop a policy for research funding driven mainly by principles of selection and support which are based on the notions of scientific quality that are common in the Western world (i.e. competition, peer review procedures, etc).

A new government agency for science and innovation (FASI, 2005) has recently been established with a very substantial and rapidly growing R&D budget. It develops its own strategy which, according to our interviewees, is designed to support the development and strengthening of innovation, both nationally and in international cooperation. International cooperation is based in part on bilateral agreements. The evaluators were told that the agency has already concluded over twenty of these agreements.

---

<sup>1</sup> See for instance *Science foundations: a novelty in Russian science*, Irina Dezhina and Loren R. Graham; *Science*, vol. 310, 16 December 2005.

The conjunction of various developments in the fields of fundamental research and innovation on the one hand, and the attempts to change the principles of selection and support for scientific research on the other, produces a fuzzy picture. The same is true when one tries to analyze the developments in international (bilateral) cooperation. What is clear, however, is that the position of the RFBR and of FASI has shifted in the context of this joint programme.

The situation in the Netherlands has changed far less dramatically. The structure for the funding of both scientific research and innovation has remained roughly the same. At the same time, the attention for innovation has also been growing in the Netherlands, as it has throughout Europe.

Another big difference between Russia and the Netherlands concerns the level of funding. Scientific research in Russia used to be well funded. This changed in the early nineties, but we are now witnessing a growing awareness of the importance of R&D and a willingness and ability to arrange for a rapid growth of funding. In Western Europe, and also in the Netherlands, we observe the same awareness of the importance of R&D but, by contrast with Russia, this was neither preceded by a decline in funding nor is it accompanied by substantial real growth in funding. This is notwithstanding the clear goal of creating a European Research Area as part of the European knowledge economy. Nevertheless, there is still a major difference between the Russian Federation and Western European countries like the Netherlands in the level of investment in tertiary education (and probably R&D).<sup>1</sup>

### **The European dimension**

Public funding of R&D in Europe has grown over the years. The latest Framework Programme (7FP) has a bigger budget than the previous programmes. One of the goals expressed in the most recent Memorandum of Understanding between Russia and the Netherlands is that it should help both parties to increase their participation in R&D programmes (co-) funded by the EU. One might say that the bilateral projects were partly intended to serve as a first step in a process of internationalization of the research programmes. In the past Europe established a separate programme – INTAS – with the same intention of supporting Russian participation in international scientific networks and cooperative programmes. INTAS, however, is coming to an end and this may complicate attempts to include Russian researchers and research groups in European networks. A representative of the European Commission explained that the existence of effective bilateral programmes is more important than ever since direct participation in FP7 is still very difficult.

### **The researchers**

Europe's ambition of securing a leading position in the world as a knowledge economy and society implies a growing research force.<sup>2</sup> In fact, as we know, the age distribution of the existing research force is skewed and a lot of researchers will retire between now and 2015. The number of researchers will therefore not grow that easily in Europe. Since this is partly the result of demographic developments, compensatory measures to enlarge the research capacity of Europe are needed.

---

<sup>1</sup> In Education at a glance 2005 comparative figures are given for public investment in tertiary education as a percentage of GNP. In the Russian Federation these investments are 40% lower than the OECD average. There are no figures for R&D investments for the Russian Federation in this publication (page 185).

<sup>2</sup> See, for instance, *Third European Report on Science & Technology Indicators*, 2003, European Commission.

The Russian respondents explained that the sharp reduction of R&D funding in the early 1990s resulted, among other things, in a declining interest in becoming a scientist. It became very difficult to attract young people to positions in scientific research. The salaries are low. The circumstances may have improved, but they are still not very attractive. International cooperation may be one way of improving the status and attractiveness of the profession and helping to achieve Dutch, European and Russian goals in the process.

### **Summing up**

The circumstances surrounding the cooperative programme changed. That much is clear now. Accordingly, the goals of the programme gradually shifted and the principles for funding were adapted to changing circumstances in Russia. The content of the programme also changed and the governance in Russia changed too (FASI). This role of this new organization FASI, alongside RFBR and both in governance and funding, reflects a stronger emphasis on innovation and technological development. The use of the instruments has already been described. The Russian interviewees explained that only the projects and the Centres of Excellence were of interest to them.

We can reconstruct these changes on the basis of former evaluations of the programme.

## **1.2 The programme of research cooperation between the Netherlands and the Russian Federation**

There is a long and strong tradition of cooperation between Russian and Dutch scientists. In earlier reports on this cooperation, the joint activities were described as being of mutual benefit.<sup>1</sup> The Dutch government recognized that the changes in Russia in the early nineties could affect this cooperation and allocated money for the design and execution of a bilateral programme for cooperation in scientific research. The first Memorandum of Understanding was signed in June 1993 and others followed.

The cooperative programme was evaluated in 1995, 1997, 2000 and 2003. The first evaluation was carried out by Professor J. Cooper on the basis of the self-evaluations by NWO (at that time the managing organization) and the Russian Ministry of Science and Technology. He also interviewed a number of participating scholars. He concluded that the programme met its goals and recommended its continuation.

The following evaluations (1997 and 2000) were also conducted by independent evaluators. NWO wrote an evaluation report in 2003. We will summarize these reports here, before going on to sketch the current programme.

### **The evaluation of 1997<sup>2</sup>**

The Dutch government invested about 12.5 million euro in the programme between 1992 and 1997. During the initial years (1992 and 1993) a broad palette of projects was funded (124 in total). The structure of the funding subsequently changed. Every year priority areas

---

<sup>1</sup> *Evaluation Report of the Dutch – Russian Scientific Co-operation Programme 1995 – 1999*, April 2000. The statement is based on a study by the Centre for Science and Technology Studies, University of Leiden (CWTS).

<sup>2</sup> *Report on the Research Cooperation between the Netherlands and the Russian Federation*, October 1997.

were chosen and only projects in those areas of research were selected for funding. 57 projects were funded in 1994-1995 and 22 in 1996.

In these years the following goals were set for the cooperative programme:

- the support and creation of structural long-term relationships between scientists of both nationalities;
- the impact of the collaboration and the existence of mutual scientific benefit;
- the preservation of excellent research groups in Russia;
- the participation of researchers of both nationalities in European scientific networks;
- the appropriateness of the methods and mechanisms of the programme.

The evaluation did not review the scientific quality of the work although it did make clear that the productivity of the cooperating research groups was high. The general conclusion was that the programme worked well and the procedures were agreeable. The evaluation stated that the emphasis on existing relationships had resulted in very effective use of the budget.

The report concluded that the working conditions for the Russian researchers were not improving very quickly and suggested that it would not yet be possible to change the financial relations. At the same time, the report suggested that it would be better to involve a Russian managing partner: RFBR. It is also recommended changing the goals of the programme and:

- using it as a first step in the concretization of broader international networks with a view to securing European funding;
- using it to attract young scientists.

### **The evaluation of 2000<sup>1</sup>**

In following years (1998 – 2000) the Dutch government invested another six million euro in the programme. In the meantime, a Mixed Committee was established consisting of representatives of both countries and with responsibility for the implementation of the MoUs.

This committee makes the decisions on the priority areas, decides on the initial selection of Expressions of Interest (EoIs) and also has the final say in the selection of full proposals.

The NWO used to be the sole managing organization, but in this period (1998) the RFBR started to act as the NWO's partner.

The number of projects remained at the level shown in table 1.1. The table also illustrates a change in approach. In the early years calls for proposals were issued. After 1997, there was first a call for Expressions of Interest. An initial selection of interesting projects was made from these EoIs and full proposals were then requested. The table shows that about half of the EoIs led to a full proposal and that 40-45% of these proposals were accepted and funded.

---

<sup>1</sup> The report is mentioned earlier.

**Table 1.1** Data of the cooperative programme, period 1996 – 2000 (1999)

Period	Expressions of Interest	Full proposals	Granted Projects	Success rate (%)	Budget in Euro	Priority areas
1996	n.a.	46	20	43	1.4	New materials, engineering, safety, history
1997	n.a.	43	19	45	1.4	Laser physics, global change, biophysics, biochemistry
1998	89	46	21	46	2	Agriculture, physical chemistry, human and social sciences <sup>1</sup>
1999	100	55	22	40	2	Neuromedicine, mathematics, informatics, new materials
2000					2	Energy, environment, physics

Source: *The evaluation report 2000*

This evaluation is based on a survey and on data from CWTS (Centre for Science and Technology Studies). The conclusions are similar to those of the earlier report. The recommendations were:

- access to the programme should be extended beyond the criterion ‘existing co-operation’: ‘existing co-operation’ should be interpreted more flexibly;
- the programme should give support to individuals rather than to institutes; small amounts for the overhead of institutes might be considered;
- apart from support for work in fields of mutual interest, emphasis should be given to other scientific fields such as interdisciplinary research on environmental problems including Global Change and research into Engineering Safety, the use of Synchrotron radiation facilities in Russia in bio(medical) sciences, and more exploratory research should be encouraged;
- more attention should be devoted to the younger generation of scientists. A fellowship programme linked to the bilateral projects should be considered for up to 20% of the programme’s budget;
- scientists in general should be encouraged to forge links with industrial research opportunities;
- more specific use of venture capital for emerging SMEs should be encouraged, preferably in the framework of science/techno parks attached to universities;
- Russia should be asked for a financial commitment of up to 10-20% for joint projects.

The report also repeated earlier recommendations, most notably the call to improve the regional spread of activities in Russia through networking and the integration of Russian scientists in international networks.”

### The evaluation of 2003<sup>2</sup>

The NWO’s evaluation was based on a survey amongst scientists using the same questionnaire as before. During this period, the Dutch government maintained its funding at the same level (roughly 2.1 million euro per year, including 0.3 million euro from the NWO budget). The Russian RFBR committed itself to contributing 10% of this amount.

<sup>1</sup> Looking back, it is remarkable that only the RFBR, and not the RFH, was involved in this procedure.

<sup>2</sup> *Ten years of Dutch Russian Scientific Cooperation*, The Hague, 2003. This is an internal evaluation by NWO, covering the period 1999 – 2003.

The priority areas in this period were:

- 2001: risk analysis, industrial safety, arts and culture
- 2002: catalysis, genomics, economy
- 2003: computational science, plasma physics.

NWO concluded on the basis of the survey that the scientists were still very positive about the programme. Comments relating to the future of the programme were:

- the management structure is good; an attempt should be made to simplify administrative regulations;
- the choice of priority areas should remain flexible;
- no further emphasis on creating a regional spread is needed;
- the participation of young scientists should receive a greater emphasis; a new mobility scheme should be introduced (individual grants);
- participation in European networks still needs to be encouraged;
- more attention has to be paid to the idea of linking with industrial research opportunities.

### **The current situation**

The programme evolved in the period 1993 – 2003. The description above shows the following changes:

- the introduction of priority areas in 1995;
- the introduction of a two-tier system of application for the programme (EoIs and full proposals) in 1997;
- the establishment of a twin management structure in 1998 (both NWO and RFBR);
- the agreement on mutual funding.

The evaluation of the cooperative programme was positive. Researchers were satisfied with the opportunities it offered for cooperation or continued cooperation and interaction. They were pleased with the output and with the client-orientation of the management structure, where only minor operational problems were experienced. The regional spread of the projects was felt to be adequate. The productivity was adjudged to be high.

On the other hand, it was felt necessary to emphasize, or keep emphasizing, a number of the goals of the programme: making the programme attractive for young scientists and extending the cooperation into international research networks and European-funded projects. The internal evaluation of 2003 expresses this clearly and can be seen as kicking off the talks on a new Memorandum of Understanding.

The new – fifth – MoU was signed in April 2004 and was meant to cover the period 2005 – 2008. The Dutch government is again contributing six million euro to the programme and NWO has added one million euro from its own budget (2.3 million euro per year in total). The Russian partners are contributing 7% of this amount and a growing financial participation is expected from the Russian partner

Simple arithmetic shows that there is a yearly budget of 2.5 million euro.

In general, this MoU can be seen as a continuation of earlier agreements. Cooperation in the field of innovation is emphasized more strongly than before. Some new instruments are introduced:

- a mobility scheme (individual grants)
- a budget for the support of plans to foster innovation
- a budget for the creation of Centres of Excellence, which are meant to bring together fundamental research and innovation.



## 1.3 The evaluation of the period 2004 - 2007

### General remarks

The evaluation was requested by the Dutch government and the NWO. Basically, the evaluation is not a review of a scientific programme but rather an evaluation of a policy instrument. More specifically, it is an evaluation of the process, the content and the impact of the cooperative programme. In that sense, it is an 'ex post' evaluation. However, it is also meant to shed light on the future potential of the scientific cooperation between Russia and the Netherlands and from that perspective it is a formative or 'ex ante' evaluation.

The specific purpose of the evaluation was to analyze the efficiency and effectiveness of the programme. The research team used a standard evaluation model for the design of the study; see below.

### Research design

The research questions were developed on the basis of the Terms of Reference for the project; see below. These questions are answered on the basis of data concerning the process, the input, the output and the outcomes. The NWO provided the data. In addition, a number of face-to-face interviews were held in the Netherlands and in Russia. See [Annex 1](#) for a list of the respondents. The survey was also repeated using a slightly modified questionnaire. See [Annex 2](#) for the results of the survey and the questionnaire.

### Research questions

The following research questions were leading in the analysis of the data acquired:

#### *Past performance*

1. How has the present programme developed? Has it been executed in accordance with the goals set and with the actual work plan?  
What (types of) problems have been encountered?
2. How effective was the programme in meeting its goals? Were the proper instruments developed and used? Were all parties (sufficiently) committed to the execution of the programme?
3. What are the outcomes of the programme in terms of:
  - strong and viable cooperative teams;
  - growth of international networks and links to national programmes and funding arrangements;
  - proven attractiveness to young scientists;
  - the development of centres of excellence and the commitment of 'preferred partners'.
4. Has the programme been efficient and effective?

*The possible future of the programme*

5. What are the implications of the conclusions from the past for the possible continuation of the cooperative programme?
6. What (type of) adaptations are needed to ensure an efficient and effective follow-up to this programme?
7. Is intergovernmental cooperation a condition for the execution of this programme in the future?

## 2 Results of the evaluation

In this chapter we describe the development of the programme in the period 2003 – 2007, as well as its results and present status. We base the description on:

- the Work Plan 2004 – 2007 (section 2.1)
- data provided by NWO (section 2.1)
- interviews that were conducted in Russia and the Netherlands (sections 2.2 and 2.3)
- a follow-up survey conducted amongst scientists (sections 2.2 and 2.3).

Ideas about the future of the programme mentioned in the interviews and in the survey are described in section 2.4. The data presented and described are analyzed in chapter 3.

### 2.1 Facts and figures

The MoU was signed in Moscow on 17 April 2004. The text of the MoU states that it is valid for the period from the beginning of 2005 to the end of 2007. The Work Plan, however, contains a schedule for the years 2004, 2005 and 2006 (see table 2.1). This discrepancy is due to a delay in the signing of the MoU.

The plan contains the following instruments and figures:

**Table 2.1** The planning for the cooperative programme, period 2004 – 2006

Type of instrument	Budget per activity	2004	2005	2006	Total number	Total in Euro
Projects	150.000,-	13	13	13	39	5,850,000,-
Centres of excellence	500.000,-	1	2	0	3	1,500,000,-
Individual grants	15.000,-	5	10	10	25	375,000,-
Training for participation in European programmes	15.000,-	0	5	5	10	150,000,-
Innovation scheme	10.000,-	1	2	2	5	50,000,-
						7,925,000,-

Although the management structure of the programme has not changed, NWO has appointed an internal scientific committee to advise the Dutch members of the Mixed Committee on the ranking of the proposals for Centres of Excellence on the basis of comments made by anonymous, international referees. The RFBR prepares its advice on the basis of the comments of referees. The final decision is still in the hands of the mixed, or joint, committee.

Finally, the Work Plan also mentions 'preferred partners' for the Innovation Scheme:

- SENTER/EGL and INTAS/ININ for the training facility;
- STW/SENTER/EGL for the innovation scheme.

The priority areas for the projects are:

- 2004 - earth and life sciences, geobiology, interdisciplinary mathematics, cultural heritage;
- 2005 - nanoscience, infectious diseases and vaccines, information technology and the humanities
- 2006 - polar research, neuroinformatics combined with neurobiology of cognitive processes, internationalisation of law

The following realization of the planning can be reconstructed from the various sources:

**Table 2.2** The realization of the cooperative programme, period 2004 – 2006

Type of instrument	2004	2005	2006	Total number <sup>1</sup>
Projects	20	14	9	43
Centres of excellence		1		1
Individual grants		4	4	8
Training for participation in European programmes				0
Innovation scheme			1	1

*Source: NWO databases, reports and financial overviews.*

Comparison of tables 2.1 and 2.2 shows that more projects were funded than planned (43 compared with 39). The number of Centres of Excellence established is smaller. The other instruments have been less successful than planned.

A few factual remarks are relevant:

1. The projects are said to be as popular as ever but the number of requests is diminishing. In 2004, 68 requests were received. There were 31 requests in 2005 and 14 in 2006. This is a substantial reduction and seems to represent a trend.
2. The idea of the Centres of Excellence was well received. Seven requests were received in the first call organised in 2005 and 18 in 2006; this shows the opposite trend to the number of requests for proposals. The small number of requests that were accepted in the first call is connected with differences of opinion between the NWO and the RFBR regarding the quality of the proposals. This issue will be discussed in sections 2.2 and 2.3.
3. Every request for an individual grant was accepted.

<sup>1</sup> The table was produced on the basis of the figures provided by NWO at the start of the evaluation. Two more requests for individual grants were accepted in 2007, raising the total number of individual grants to 10. NWO has declared that three more Centres of Excellence will be funded in the programme. The proposals for these have not yet been finalized.

4. No requests were recorded for the use of the training facility.

5. There were two requests for the use of the innovation scheme.

Section 2.2 will provide more qualitative information on these issues and on:

- the use of the programme
- the involvement of young scientists
- the connection to international networks and European funding
- the results of the programme.

Section 2.3 deals more specifically with management issues, with special attention to the difficulties encountered with the new instruments. Ideas for the future of the programme are reported in section 2.4

## **2.2 Results of the programme**

### **General remarks**

A very positive evaluation of the programme as a whole emerges from the results of the survey and from the views expressed during the interviews. The official representatives of the countries and the researchers are enthusiastic about the possibilities offered by the co-operative programme and the results it yields. Compared with other bilateral programmes, this Dutch – Russian programme is also seen as a model of effectiveness and efficiency. At the same time, the respondents were quite realistic about the limits of the funding possibilities.

Specific advantages mentioned included:

- The possibility to cooperate or continue cooperation on a high scientific level;
- The access to original materials and sources;
- The possibility to make better use of equipment or to improve existing infrastructure;
- The development of common methods of research.

This project is also seen as an opportunity to gain access to research potential with relevant skills and knowledge. Another comment concerned the prestige attached to securing NWO subsidies and the fact that this contributes to the potential success of future tenders.

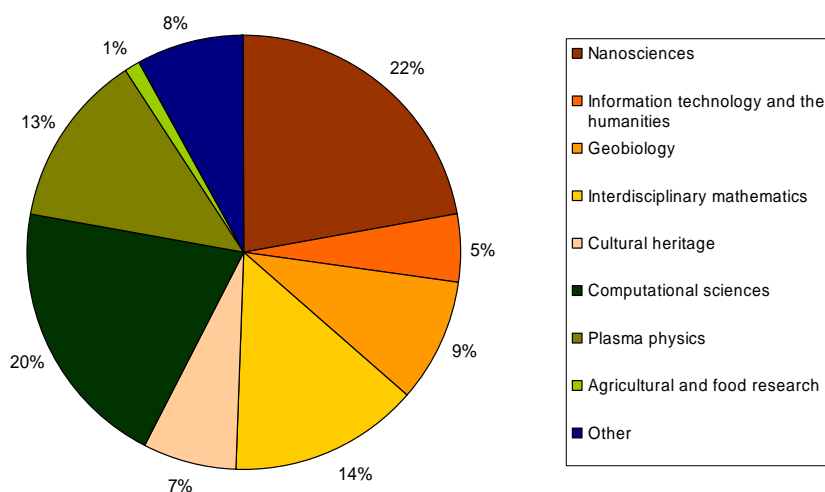
### **The use of the programme, and its different instruments**

Tables 2.1. and 2.2. present a clear picture. The projects have always been popular and a large number of the applications are accepted. The applications are supported by most of the Dutch universities and cover a large number of Russian research groups, as the results of the survey show. The research fields they represent correspond with the priority areas of the programme (see figure 2.1. below) and roughly correspond with the distribution in previous periods, as shown by comparison with the results of previous surveys.

During the period of this MoU, however, the number of requests has been lower every year. The centres of excellence - which are more similar to 'big projects' than to the 'networks of excellence' in the European Framework programmes – are becoming popular, as is shown by the growth of the number of applications.

Respondents and interviewees appeared to be unaware of the possibility of securing individual grants. Russian interviewees suggested that there is little interest in these grants. Some of the Dutch interviewees like to use these grants to strengthen the cooperation. It appears that the idea of the mobility scheme is of greater interest to the Dutch than to the Russian partners. The other new instruments are scarcely used. Some of the Russian interviewees – including people in the managing organization - explain that they do not regard them as part of the programme. In their view, the programme consists solely of projects and centres of excellence.

**Figure 2.1** The area of research



Although the idea of centres of excellence was well received and the number of applications is growing, only one has been accepted up to now (a second call is running at this moment). NWO and RFBR found it difficult to reach agreement on the selection of proposals in the first round. NWO is of the opinion that centres of excellence should be selected primarily on the criterion of scientific excellence. The RFBR and the Russian government are very interested in the instrument of centres of excellence but seem to adopt different selection criteria. In any case, the RFBR ranking of proposals was completely different from the NWO ranking. An additional problem on the Russian side is that the RFBR is forbidden by law from involving itself in 'innovation'.

A second round for proposals for Centres of Excellence has not yet been completed.

A possible explanation for the decline in the number of proposals for projects – at least on the Russian side – is that the focus has shifted to the centres of excellence. Another possible explanation emerged during the interviews. Some of the Russian interviewees explained that the last set of priorities contained topics that were of no interest to Russian researchers, such as 'internationalization of law' and 'polar research'. The interviewees said that these topics did not generate sufficient proposals and that the reduction is mainly due to what Russians felt were the wrong priorities. Some of the Dutch respondents support this view.

NWO, on the other hand, states that priorities are chosen on the basis of past experience and current developments.

The difficulty experienced in selecting centres of excellence obscures the fact that this instrument was very well received by the researchers. During the evaluation, both Russian and Dutch interviewees repeatedly referred to a shift of focus from 'fundamental research' to 'innovation' and the idea of 'centres of excellence' meshes perfectly with this. It may be that the perceived importance of this instrument has made the process of decision making and selection more difficult. We will come back to this in the next section.

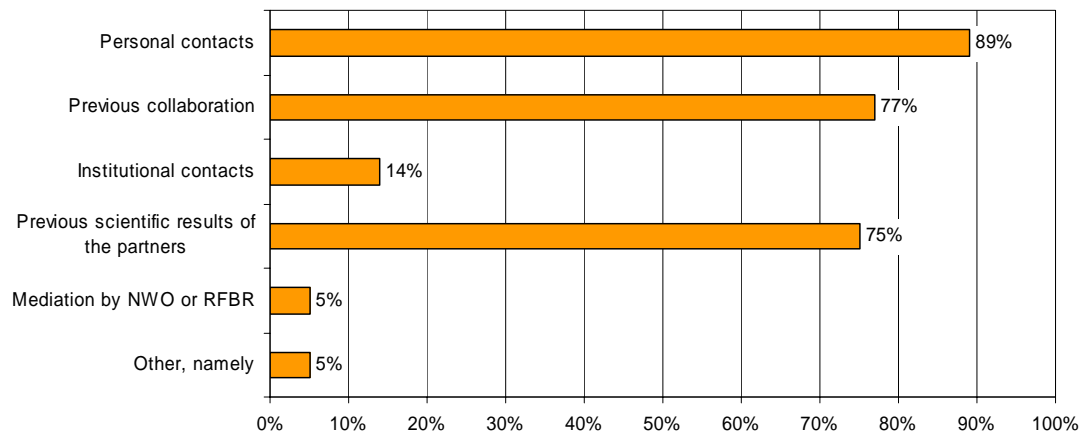
### The strength and viability of the research teams

The interviews showed that the researchers and research groups often work on the basis of pre-existing contacts and networks. This goes for almost all of the Dutch participating universities. The programme is used to extend or intensify these contacts. Sometimes it leads to wider networks.

Without exception, the interviewees want to continue the cooperation. Quite a number of them have tried – sometimes with success – to continue on the basis of other funding mechanisms, both national and international.

We have no systematic observation on the issue of personal involvement. However, a lot of the interviewees suggested that the driving force of one person, or the personal contacts between a small number of the participants, is an important success factor. At the same time, this also indicates a possible risk. The group of initiators is ageing and it is not clear whether cooperation will continue when this group retires. This risk factor is primarily observed on the Dutch side.

**Figure 2.2** What was the basis for this collaboration? More than one answer is possible



### The involvement of young scientists

One of the priority target groups of the research programme is the young researcher. Some of the interviewees explained that it is easier to work with younger scientists, partly because language is a problem for the older people. The researchers are satisfied with the number of young people working in the projects. The possibilities for exchange in the project budgets are used. The visits of the evaluators to all of the Dutch participating institutions and a number of Russian ones allow for the observation that the projects are used quite effectively in this area.

There is some uncertainty about the quality of individuals, but there is general satisfaction on this issue. Dutch project leaders also stated that it would be better if there was greater opportunity to travel and more frequent direct contact to provide instruction and coaching.

**Table 2.3** Age structure of participating researchers

		Russian	Dutch	Russian	Dutch
men	<35 years	154	52	30%	26%
	35-50 years	93	64	18%	32%
	50-60 years	55	35	11%	18%
	60> years	52	16	10%	8%
		354	167	70%	85%
women	<35 years	90	20	18%	10%
	35-50 years	35	7	7%	4%
	50-60 years	13	3	3%	2%
	60> years	14	0	3%	0%
		152	30	30%	15%
total	<35 years	244	72	48%	37%
	35-50 years	128	71	25%	36%
	50-60 years	68	38	13%	19%
	60> years	66	16	13%	8%
		506	197	100%	100%

### The connection to international networks and European funding

A small proportion of the projects are in fact a continuation of earlier research activities, some of which were based on European funding. The personal connection between this bilateral programme and the INTAS staff was helpful in arranging for continuity, and some of the networks will try to continue cooperation on the basis of 7FP funding.

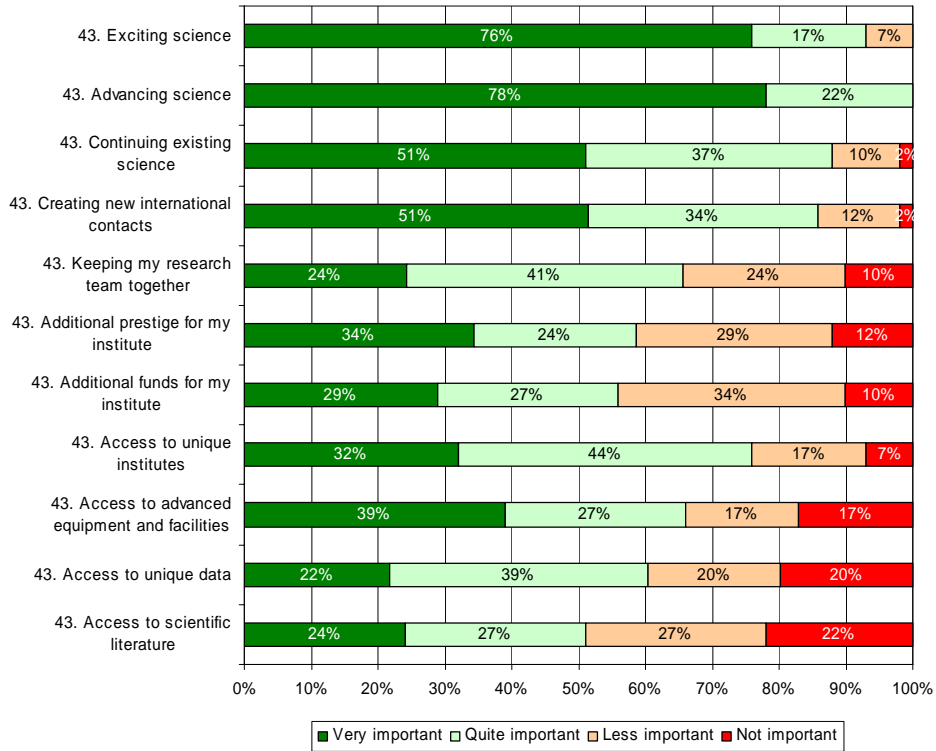
It has not become an automatism, however, to search for other (financial) sources to intensify or to extend the cooperation. We still find researchers, in both Russia and the Netherlands, who feel that these programmes are too complex. They feel that bilateral cooperation is more appropriate and effective for scientific work.



### The results of the programme

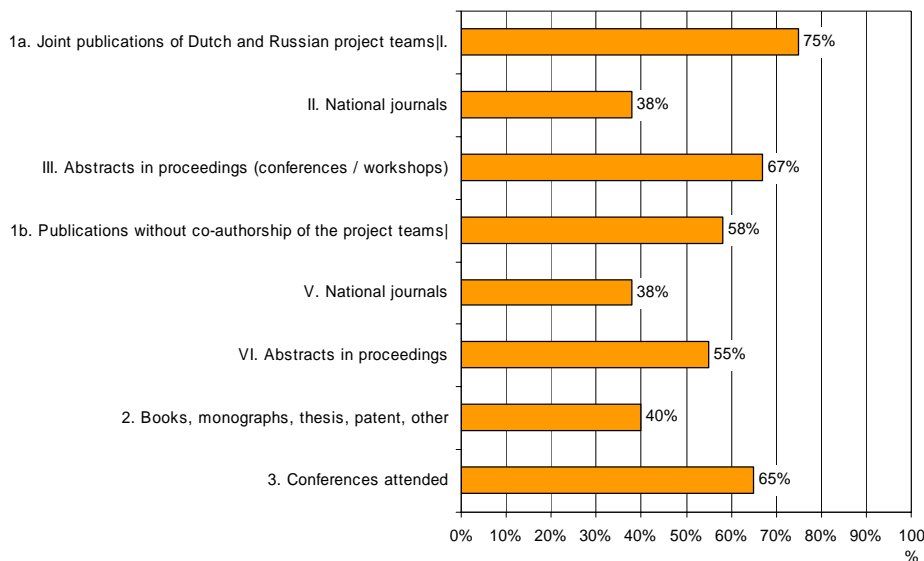
The general views of the researchers that emerged from the survey can be summed up as follows:

**Figure 2.3** From your point of view, what were the most important achievements of the project?



Other results show that participation in the programme led to increased participation in international networks. It also led to national and international publications; see figure 2.4.

**Figure 2.4** What kind of scientific papers, presentations or patents have directly resulted from the project?

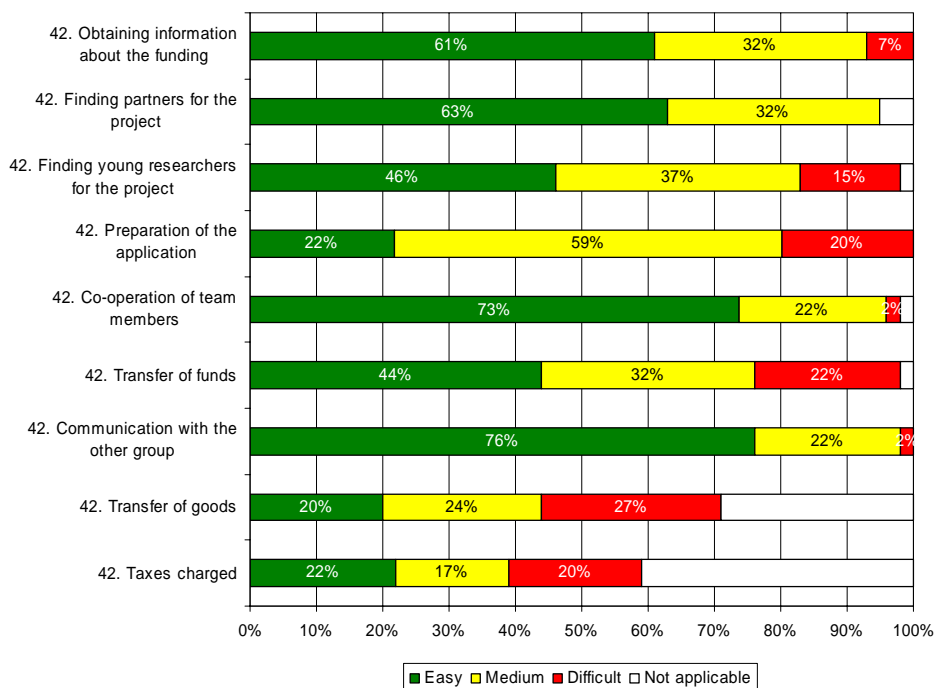


## 2.3 The management of the programme

### General remarks

The interviewees were in general very pleased with the content and structure of the programme. There were a number of minor operational problems.

**Figure 2.5** Please rank the following items on a scale from "difficult" to "easy"



In the early years of the programme of scientific cooperation there were a lot of difficulties in getting the required money to Russia. Paying the money to the institute was considered very risky since some or all of it would probably not reach the researchers. The duration of the visa remains one of the biggest obstacles. There were also some minor communication problems.

### Procedures

The procedures were acceptable for the researchers. On the Russian side, the bureaucracy was perceived to be minimal.

### The funding

The evaluators did not conduct a financial audit on the execution of the project. There is no reason to doubt the reported expenditure.

The budget is meant to cover the out-of-pocket expenses of all the participants. The Dutch participants cannot invoice salary costs; the Russian participants can to a certain extent. Some of the Dutch participants stated that in future it might not be possible to participate in projects on this basis. Organizations like TNO and DLO need to be able to cover the full costs of project work. Participation in programmes like this is very expensive for them and can not be continued at length.

### **The management structure**

In general, the participants are satisfied with the management of the programme. The interviews with representatives in the management structure, on the other hand, lead to the conclusion that the atmosphere has changed in the last few years due to the difficulties surrounding the selection of centres of excellence. Participants in the Mixed Committee described the discussions in the past as open and expressed the feeling that the decisions taken were joint ones. According to the interviewees, this has changed in recent years.

A few observations are relevant:

- The management structure as a whole has not been able to deal with the new instruments. The debate has not been satisfactorily resolved up to now.
- Both NWO and RFBR are organizations established to support and fund fundamental research.
- RFBR is not allowed to get involved in anything other than fundamental research.
- RFBR is meant to support science, not the humanities.
- RFBR would be interested in an additional instrument for exchange.
- RFBR argues that the priority areas are discussed in the Mixed Committee but decided on by NWO. This is regarded as a negative aspect of the programme. The choices should be made on an equal basis, both in terms of the selection of the projects and CoEs.
- It seems that the position of RFBR has changed during the last few years. The new government agency, FASI, came into existence and took up a position in the management structure as well.

### **Preferred partners**

The evaluators interviewed representatives of both SenterNovem and STW. Both organizations were mentioned as 'preferred partners' for the innovation scheme (see the Work Plan 2004 – 2007; [Annex 4](#)). STW stated that it would be interested in taking such a position but has not yet been invited to do so. SenterNovem adopts the same position.

### **Need for intergovernmental agreements and involvement**

The programme was an initiative of both governments. They were responsible for the MoUs from the start. The Dutch government has contributed between 100% and 80% (in the last few years) of the budget for the programme.

Many of the researchers interviewed had no firm opinion regarding the importance of government involvement. Some suggested that support at this level helped to clear up misunderstandings and contributed to the operational success of the programme.

No one denied the importance of government involvement in the previous periods. Many suggested that government involvement would also be helpful in the future. From a different point of view, governmental involvement was perceived as somewhat negative. A number of the interviewees, including representatives of the management structure, sketched the programme as being the result of top-down decision making. These people suggested that it would be better in future to stop government involvement and create a facility that could be used to support bottom-up initiatives.

## 2.4 The future of the programme

The programme is seen to be both efficient and effective, at least as regards its largest component, the projects. This part of the programme is rated very highly by all the parties involved. The Russian interviewees stressed that this programme is seen as a model for other bilateral programmes. Many appealed for its continuation in the future. This goes for the researchers, but also for the management organizations and many of the other representatives. A lot of the researchers stated that they would try to find a way to continue cooperation even if the programme is stopped.

As already observed, the conditions surrounding the cooperative programme changed between 1993 and 2003. The latest MoU tried to address this. The circumstances have changed further in the last few years. In the past, the primary motive for the Russians to participate in international cooperation was simply a lack of money. This driver is disappearing quickly. The importance of R&D is clearly understood in Russia and the country is able to increase the budgets. Furthermore, attention is shifting from fundamental research to innovation.

These developments have to be taken into account when contemplating the possibility of continuation of a bilateral cooperative programme. It is also important to be aware of the wider relevance of continued cooperation between Russia and the Netherlands. This point was made in all of the interviews. The relationship between the two countries is important in terms of socio-economic developments in general. For scientists, the cooperation is fruitful and effective.

The question of the programme's possible future is discussed more fully in the final chapter.

## 3 Analysis, conclusions, recommendations

### *Жизнь сама укажет что нужно*

Seven research questions were formulated in section 1.3. We will answer these questions in section 3.2. First we will develop a general analysis on the basis of the data presented in chapter 2. Finally, in section 3.3 we will summarize the conclusions to provide a basis for a decision about the future of the programme.

### 3.1 General analysis

#### The early years

1. The first cooperation programme started in 1992. In the past, scientific cooperation between Russian and Dutch scientists was characterized by symmetry and mutual benefits. The Dutch government recognized that the changes in Russia in the early nineties could affect this cooperation and allocated money for the design and execution of a bilateral programme for cooperation in scientific research.
2. The programme may have lacked a certain structure at the very beginning, during the first two years of its existence. Many projects were funded; there seems to have been no focus. This changed after a few years. The programme was structured and priority areas were introduced. Clear procedures for the selection of proposals were also implemented. In 1998 this was followed by the development of a bilateral management structure (with the RFBR as well as NWO), followed by an agreement on bilateral funding of the programme. Successive evaluations showed that the programme achieved its goals and repeatedly recommended its continuation.

#### Changing circumstances and shift of the programme

3. The circumstances surrounding the cooperative programme have changed. That much is clear. Not so much on the Dutch side as on the Russian side. The importance of R&D is back on the agenda. New agencies for (basic) research and innovation were developed and R&D budgets are growing rapidly. The interest on the Russian side shifted from cooperation in basic research to cooperation in innovation.
4. Accordingly, the goals of the programme gradually shifted. The principles for funding were adapted to the changing circumstances and the content of the programme also changed. However, the present MoU can be seen as the instrument that brought all the small changes together and in fact created a new type of cooperation programme that had to be implemented. One could say that it established the foundation for the return to a situation where scientific cooperation between Russian and Dutch scientists is again characterized by symmetry and mutual bene-

fit. This time, however, the focus is not only on purely science-driven fundamental research but on innovation-oriented scientific research.

5. The major changes were the following. There was more emphasis on the idea of mutual funding. The shift from purely science-driven fundamental research to innovation-oriented scientific research was clearly expressed. On the one hand, the 'old' instruments (mainly 'projects') were maintained and still constitute the bulk of the programme. On the other, new instruments were developed and implemented: a mobility scheme (individual grants), a budget for the support of plans to foster innovation and, most importantly, a budget for the creation of so-called Centres of Excellence (CoE), which are meant to bring together fundamental research and innovation. These CoEs can be seen as 'big projects'. The old instrument of 'projects' allowed for the allocation of a budget of € 150,000 for three years; the CoE instrument allows for the allocation of a budget of € 500,000 for a period of five years.

#### **Researcher satisfaction remains high**

6. The old instrument of projects remained the dominant one. 39 projects were planned (almost 80% of the budget) and 43 were executed. The survey shows that the results of the cooperation are very good. The programme is still regarded as a model for other bilateral programmes in terms of efficiency and effectiveness. With good reason, the scientific output is considered to be high. Moreover, most of the aims of the present MoU are met quite well: the age distribution of researchers is good; participation in (larger) international networks is often an objective and is realized in a number of cases.
7. The cooperation programme is still seen as something to be highly valued and worth continuing. The researchers are satisfied with the possibilities the programme offers them. The officials on the Russian side still see the programme as efficient and effective. They add that changes are needed in the management structure to foster successful cooperation in innovation, but also see possibilities to continue cooperation in the area of basic research. The Dutch officials who were interviewed do not share that view. Everybody values the cooperation between the Netherlands and the Russian Federation. The importance of continuation is stressed, partly because it can be of mutual economic advantage. What is less clear is how the cooperation should be continued. Respondents seem to be waiting for a decision from the Dutch Ministry of Education, Culture and Science, the major financial contributor to the programme until now.

#### **Results of the shift from the old to the new programme**

8. The figures show that the shift from the old to the new programme was difficult. The requests for project funding kept coming and had to be sifted, but in the last few years the number of proposals has declined, gradually but substantially. The acceptance rate has also changed substantially. The smaller new instruments were not used in the early years; the mobility grants have only been used in the last two years. All requests were awarded. Interest in the CoE budgets grew quickly, but this led to just one award in the first call for proposals. NWO ranked the proposals completely differently to the RFBR, and both sides claim their ranking is the best.

At the moment a second call is running. NWO expects that three more proposals will be selected, which would produce a total of four accepted proposals, one more than originally planned. The results of this second round are not known yet. They will have to be taken into account when making a final judgment on the success of the programme.

9. It became clear during the interviews that the two sides adopt different criteria and procedures and that there are also differences in focus; again the difference between basic research and innovation. Russian interviewees also stated that they did not feel they are treated as equals in the Mixed Committee. One more observation is relevant. The Russian partners have queried the choice of priority areas in the last two years. They feel that the choice of priority areas is the reason for the rapid decline in the number of proposals, and it is indeed clear that there is not much enthusiasm among researchers for some priority areas.
10. The planned change of format of the programme has not worked out properly yet and it appears that the new instruments have not been implemented successfully. However, a proper assessment can only be made after the results of the present round of CoE proposals are known.  
With hindsight, it is clear that the new instruments were probably not discussed thoroughly enough by the two countries. There are genuine differences of opinion concerning the use of these instruments. Furthermore, there was a statement in the Work Plan about including 'preferred partners' on the Dutch side with experience in innovation for specific instruments but this did not actually happen. On the Russian side, the RFBR tried to develop programmes for innovation but this was not accepted by the Russian authorities. It had to confine itself to (the funding of) basic research. The conclusion must be that the present management structure as a whole has proved incapable of realizing the envisaged change in the structure and content of the programme.

### **3.2 An answer to the research questions**

#### ***The research questions concerning the programme***

*How has the present programme developed? Has it been executed in accordance with the goals set in the MoU, and with the actual Work Plan?*

*What (types of) problems were encountered?*

In 2004 a new MoU was signed by the two governments. This MoU was 'translated' into a Work Plan 2004 – 2007. The programme has been executed in accordance with the Work Plan. As was shown in section 1.2, the cooperative programme went according to plan as far as the projects are concerned. They remained popular and the research teams were quite satisfied with the selection. One interesting observation is that the number of proposals has fallen quite dramatically in recent years. The interviews point to two possible reasons for this:

- calls were also published for the use of the new instrument of Centres of Excellence and this may have distracted attention from the projects;

- some of the priority areas were said to be irrelevant for the Russian researchers and for the cooperation between the Dutch and the Russians.

The response to the idea of Centres of Excellence was very positive. A lot of proposals were received. However, the selection procedure led to a lot of debate and some issues are still unresolved. Only one Centre has been established up to now, although a second call is underway.

The other instruments were less successful, although the growing demand for individual grants suggests that this instrument could eventually be successful. The RFBR strongly supports the idea of intensifying exchanges.

The problems that were mentioned by the researchers concerned operational aspects and could usually be solved. The basic problems during this MoU period were caused by differences of opinion between the Dutch and the Russian representatives concerning the use of the new instruments. These problems became manifest in the first attempt to select Centres of Excellence. It also has to be concluded that the management structure was not equipped to deal with these differences.

*What are the outcomes of the programme in terms of:*

- *strong and viable cooperative teams;*
- *growth of international networks and connection to national programmes and funding arrangements;*
- *proven attractiveness to young scientists;*
- *the development of centres of excellence and the commitment of 'preferred partners'.*

The outcomes of the programme have generally been positive.

First of all, the records show strong and viable cooperative teams. The researchers of both nationalities are positive or very positive about the programme. They are equally positive about the actual cooperation and its intensity.

Secondly, Dutch researchers reported that the people they met and worked with were very good. The Russian interviewees reported that they used the money to strengthen their research groups and to attract young researchers. The collaboration could be used to focus on new methods and instruments and the exchange of ideas and materials helped to push the research forwards.

Thirdly, the teams had often cooperated in the past, sometimes on the basis of other sources of funding. Many reported at least the intention to continue cooperation in the future.

The output of the projects was described as very high. The productivity of the programme has been proved in the past. We did not conduct a separate scientometric analysis this time.

However, the feedback we received and the lists of publications indicate the same high level of productivity.

Some of the cooperating groups are aiming to build, strengthen or enlarge international networks. Groups that make this an objective seem to have success. However, the evaluators also met a number of partners who were satisfied with the bilateral cooperation and did not strive for more.

The picture therefore is not homogeneous.



### ***The research questions concerning the management structure***

*How effective was the programme in meeting its goal? Were the proper instruments developed and used? Were all parties (sufficiently) committed to the execution of the programme?*

Originally, the programme was very effective. In the period 1993 – 2003 it developed and adapted to changing circumstances. In 2004, more fundamental changes were agreed which were reflected in the new mix of instruments.

With hindsight, we find indications of a growing divergence between the Russian and the Dutch partners, although not at the level of the research groups and researchers who were cooperating gladly and with enthusiasm. The divergence is reflected in the Mixed Committee and, in the background, the managing organizations.

The use of the instruments is described above. The Russian interviewees explained that only the projects and the Centres were of interest to them. They regarded the other instruments as 'something of NWO' or 'not belonging to the programme' and did not consider them to be relevant for the discussions and negotiations in the Mixed Committee. RFBR withdrew from these instruments notwithstanding the fact that there had been agreement on the focus and all the instruments in the MoU and in the working programme.

The unresolved discussions about the (selection of) Centres of Excellence is interesting. Centres of Excellence can in fact be regarded as 'big projects' (€ 500,000 instead of € 150,000), which raises the question of why they cause so much more difficulty than the projects. There are two complementary answers to this:

- On the one hand, the Centres are not so much an instrument for fundamental research in itself, but for basic research oriented towards innovation. To the Russians, and to some of the Dutch partners and virtual preferred partners, this means that scientific excellence has to be weighed against other criteria and the question was raised whether the combination of NWO and RFBR/FASI creates the right managing organization for this.
- On the other hand, the focus of the Russian partner shifted during the course of the programme. The RFBR has always been the NWO's counterpart, but the federal agency, FASI, is becoming more important, both concerning the selection and the funding issues. This reinforces the interest in innovation, but makes discussions more difficult.<sup>1</sup>

### *Has the programme been efficient and effective?*

According to the participants, the programme is very efficiently executed. NWO's executive powers are rated positively by the researchers. The problems encountered were minor. The more or less traditional parts of the programme are as effective as ever. The same cannot be said of the new instruments however.

---

<sup>1</sup> It is worth stressing here that the RFBR has sister organizations like RFH and that they were not involved in the programme at all, although there have been priorities in the research area of RFH.

### 3.3 Recommendations

*What are the implications of the conclusions concerning the past for the possible continuation of the cooperative programme?*

First of all, it has to be noted that the programme is seen as an important element in the more general Russian – Dutch cooperation. Representatives of both governments and the EU stress the importance of the programme and support the conclusion that the programme has proved very effective in the past. Many would like to continue it in one form or another, in part because the relations can become more balanced based on equal shares in the investment and also in the research policies and procedures.

Secondly, it is important to realise that the problems encountered in the most recent period were caused, among others things, by a shift of focus from basic research to innovation oriented research. It is legitimate to ask whether the consequences of this were sufficiently thought through in:

- the priority areas chosen
- the mix of instruments
- the procedure for the selection of innovation-oriented proposals
- the management structure.

Stopping the programme now would send a negative signal. The programme has been effective and it would be advisable to see what possibilities there are to preserve the good aspects: the contacts between the research groups, the combined research efforts and so on. This implies that there should be a facility for basic research.

On the other hand, if the aim is to develop a cooperative programme in the area of innovation a different programme is needed. The Centres of Excellence are potentially a good instrument, but greater clarity is needed about the intentions, the goals and the involvement and commitment of preferred partners and, possibly corporations.

*What (type of) adaptations are needed to ensure an efficient and effective follow-up to this programme?*

The evaluation creates the impression that what is needed is a twin-track process: on the one hand, continuation of the programme for basic research; on the other, the development of an S&T programme. The programme for basic research can be built on the successful elements of the existing programme. It would also be worth investigating whether the instrument of individual grants can also be continued.

One element deserves attention. The present population of project leaders is ageing. A new programme has to aim for greater involvement by young, promising scientists as research leaders.

The S&T programme would have to be redesigned from scratch. The involvement of the various ministries is one issue, as is the choice of management organizations. Changes are also needed in the method of attracting and selecting proposals in order to improve the prospects of reaching joint decisions. Finally, the financial arrangements – investments and the question of intellectual property – have to be developed further.

*Is intergovernmental cooperation a condition for the realization of this programme in the future?*

The programme is an initiative of both governments. They were responsible for the MoUs from the outset. The Dutch government contributed between 100% and 80% (in recent years) of the budget for the programme. Many of the researchers interviewed had no distinct views on the importance of governmental involvement. Some suggested that support at this level helped to clear up misunderstandings and contributed to the operational success of the programme.

It is clear that government involvement in the previous periods was very important. Equally important are the financial contributions to the programme. This clearly suggests that government involvement would also be helpful in the future, if and when in fact a new programme is designed.



## Annex 1 List of interviewees

M.V. Alfimov	-	Research leader RAS Center for Photochemistry and former President of RFBR, Moscow
J. Bartelse	-	Ministry of Economic Affairs, the Hague
T. Bisseling	-	Agricultural University, Wageningen
M. Blokhuis	-	NWO, the Hague
C. van Bochove	-	Director Research and Science Policy, Ministry of Education, Culture and the Sciences, the Hague
M. Botchov	-	Mathematics and Computational Science, University Twente
R. Burger	-	Science and Innovation Counsellor, EU Delegation Moscow, Moscow (former Deputy Secretary-General INTAS)
Ch. Buys	-	Chairman of the CSRF, (vice-)chariman of the Mixed Committee and member of the board of NWO, University of Groningen, Groningen
M. de Croon	-	Chemical Engineering and Chemistry, Technical University, Eindhoven
C. la Chapelle	-	Director Europe, WUR, Wageningen
Mw. G. van Diggelen	-	Counsellor Economic and Commercial Section, Royal Netherlands Embassy, Moscow
A. Gerrits	-	Institute for Social History and Social Heritage, Universiteit van Amsterdam
R. Geurts	-	Agricultural University, Wageningen
F. Heijs	-	Ministry of Education, Culture and the Sciences, Directorate Research and Science Policy, the Hague
D. Heiligers	-	Ministry of Education, Culture and the Sciences, Directorate Research and Science Policy, the Hague
H.J.C. Huis in 't Veld	-	TNO, Chairman of the Board, Delft
F. Hüsken	-	Member of the NWO advisory Committee CSRF, Radboud University (Nijmegen)
E.I. Ignatushchenko	-	Leading Expert, Department for International Cooperation, Federal Agency for Science and Innovations of the Russian Federation, Moscow
Th.van Kolfshoten	-	Faculty of Archeology, Leiden University

H. van Koningsbrugge	-	NL-RF archive, University of Groningen
V. Konnov	-	Program officer, International Relations Department, RFBR (Russian Foundation for Basic Research), Moscow
V.I. Konov	-	Vice-President RFBR, Member of the Russian Academy of Science, Moscow
T.A. Kouwenaar	-	Deputy Head Eastern Europe and Central Asia Division, Ministry Of Foreign Affairs, the Netherlands
E. Kouzmina	-	Faculty of Archeology, University of Leiden
P. Kouzmine	-	Senior Advisor for Education and Science, Royal Netherlands Embassy, Moscow
V.V. Kovalev	-	Deputy Director International Relations Department, RFBR, Moscow
W. Krijgsman	-	Earth Sciences, Utrecht University
S. Kroonenberg	-	Chairman of the NWO advisory Committee for the Centres of Excellence, University of Delft, Delft
Y.A. Lebedev	-	Head of Laboratory, A.V. Topchiev Institute of Petrochemical Synthesis, Russian Academy of Sciences, Moscow
W. Melchers	-	UMCN, Radboud University, Nijmegen
C.A.M. Mombers	-	Deputy Director Technology Foundation STW, Utrecht
T. Nieuwenhuizen	-	Ministry of Economic Affairs, the Hague
A. Nazarenko	-	Advisor to Vice-President and Coordinator of Russian-Dutch co-operation, Russian Academy of Science, Moscow
V.N. Pilipenko (and collaborator)	-	Deputy Head of Department for Innovative Development and Infrastructure, Federal Agency for Science and Innovations of the Russian Federation, Moscow
V.N. Ryzhov (and 5 members of the research group)	-	Deputy Director, Professor of Physics, Institute for High Pressure Physics, Russian Academy of Science, Troitsk
G. Schoch	-	TNO Corporate Staff, Delft
J. Schoonman	-	Chemical physics, Technical University Delft
M. de Soede	-	Senter Novem, the Hague
J. van der Vegt	-	Mathematics and Computational Science, University Twente
H. Voskamp	-	Deputy Director Southeast and Eastern Europe and MATRA Programme Department, the Netherlands

## Annex 2 Results of the survey

### 1 Introduction

This annex report is part of the evaluation report of the Dutch – Russian scientific cooperation programme 2004 – 2007. The annex report presents the results of the web-based survey that was conducted in May and June of this year. Both the Russian and Dutch researchers, connected to the projects and activities in the programme, were approached.

The results are summarized in the evaluation report itself, and compared to comparable surveys that were done on behalf of earlier evaluations of the programme.

#### Response

The web-survey was sent to the following population:

- a. applicants: 58 people
- b. researchers: 261 people.

In total, 114 questionnaires were returned. 2 of them were not usable and 75 were not completed (most of these respondents worked their way through the questionnaire but stopped somewhere between question 32 and 40). 39 were completed.

When we look at the list of addresses we see the following:

#### *a. applicants*

20 Applicants returned the questionnaire. 8 more of them were interviewed face-to-face. We therefore received information from 28 applicants (49%).

#### *b. researchers*

The list of addresses of the researchers contained 261 names. In total we received 55 messages explaining that the e-mail address was not, or no longer, valid. The number of researchers approached, therefore, is 206.

92 questionnaires were returned. This is 47%.

We checked the names of the respondents against the data we received from NWO. We conclude that the respondents represent most of the projects. We also observe that the database includes respondents from all of the participating Dutch universities and research organizations (FOM). We interviewed representatives of TNO. Also, most of the Russian participating institutes are represented.

Therefore, the results of the survey present a valid picture of the group of scientists, both Russian and Dutch, participating in the programme in the last few years.

We present the results concentrated around the following topics:

- type of activities and research area
- value of the bilateral cooperation
- relevance of the programme
- results
- management of the programme
- overall evaluation: the strong and weak points.

## 2 Results

### 2.1 General information

**Table 2.1** In how many NWO / RFBR projects are you currently involved?

	Number	%
No project	3	5%
1 project	45	80%
2 projects	7	13%
More than 2 projects	1	2%
Total	56	100%

**Table 2.2** What was the starting date of your project in the scientific programme between the Netherlands and Russia? Month and year

	Number	%
1994 – 2000	3	3%
2001 - 2003	3	3%
2004	22	31%
2005	28	39%
2006	14	18%
2007	1	1%
Total	71	100%

#### What is your main motivation/ground for participation in this project?

A selection of answers:

- The main motivation for the participating in the project was to establish tight long-term cooperation between the Dutch and Russian groups which would give the possibility to join theoretical and computational skill of both groups in investigation of the properties of disordered substances. We also hoped to organize deep education of young Russian researches in the art of computer simulation.
- To exchange expertise with Russian colleagues on solving the Maxwell equations numerically.
- Excellent research
- Interest in science including opportunity of close collaboration with other scientific groups
- It is very useful scientifically. We have really strongly overlapped fields of scientific interests with Russian scientists involved in the project.
- Successful execution of my research work on the development of robust numerical methods and efficient computational technologies for singularly perturbed problems. Participation in International conferences. Development of international scientific relations.
- The Novosibirsk lab is the only lab in the Russian Federation that is working in the field of computer analysis of the inheritance of complex traits in human and animals. It has developed a series of algorithms and software packages for segregation analysis of binary and complex traits (MAN1), pedigree drawing (Pedigree Query) and processing (LoopCut). Our main motive was to apply new methods and software that have been developed in our lab to the real pedigree data collected by the Dutch partner.



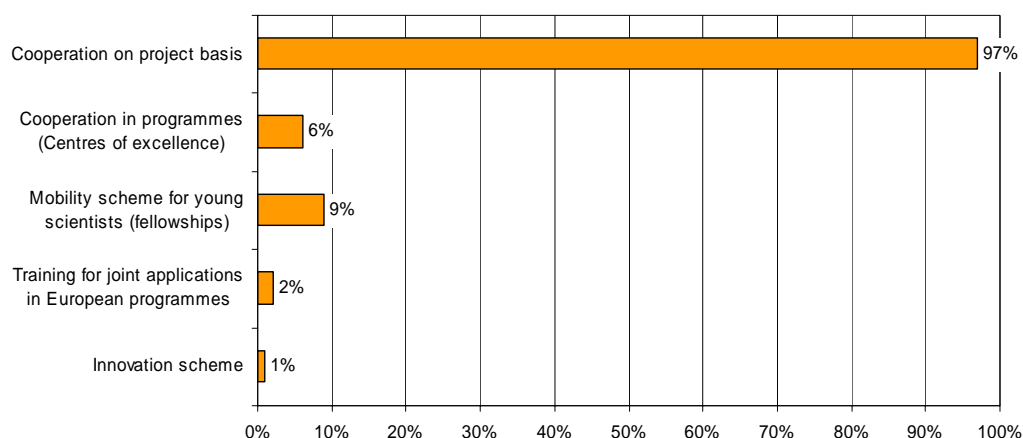
- The work on this topic with the same group of Dutch scientists has been carried already for many years. We have used different methods for computer simulations and experimental work for the same objects, so we could get more precise and full picture of the phenomena that occur in polymer/ceramic and polymer/metal systems.
- A long-term collaboration with Dutch colleagues on the very hot topic in modern fusion research.
- 1) Cooperation with well known scientists in the Netherlands 2) Use of advanced scientific equipment.
- Financial support that enables visiting Dutch colleagues in the field for continuation of joint research.
- Implementation of joint and complementary scientific ideas, the use of equipment, additional financing.
- To promote the collaboration with our Russian colleagues, whom I judge to be among the top scientist world-wide in my field of research.
- The great expertise and enthusiasm of the Russian scientists -The possibility of intensive co-operation with Russian scientists.
- To support Russian scientists in the field of humanities; they work for very small salaries, particularly the PhD. The grant makes it possible to participate in joint conferences and study in our (western) libraries.

## 2.2 Type of activities and research area

**Table 2.3** With which of the following instruments within the programme for scientific cooperation between the Netherlands and Russia are you familiar? More than one answer possible.

	Number	%
Cooperation on project basis	86	96%
Cooperation in programmes (Centres of excellence)	11	12%
Mobility scheme for young scientists (fellowships)	13	14%
Training for joint applications in European programmes	3	3%
Innovation scheme	1	1%
None	2	2%
<b>Total</b>	<b>90</b>	<b>100%</b>

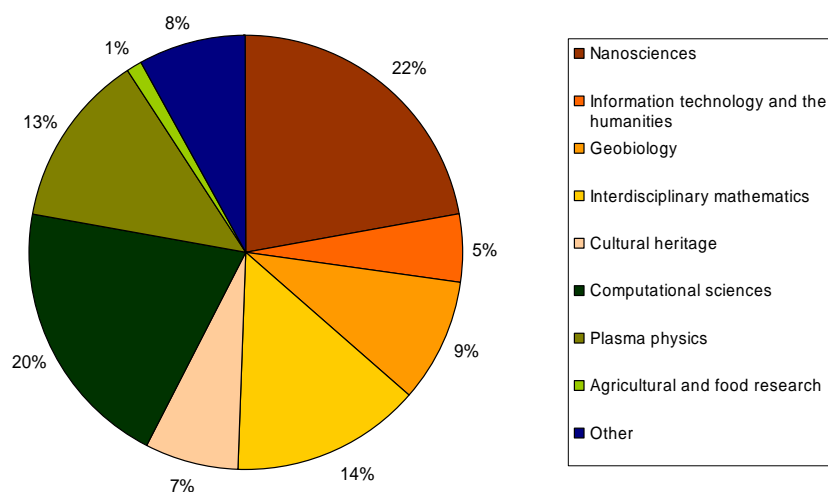
**Figure 2.1** Which instruments in the scientific cooperation between the Netherlands and Russia did you make use of?



**Table 2.4** What is the area of research of this project?

	Number	%
Nanosciences	17	22%
Information technology and the humanities	4	5%
Geobiology	7	9%
Interdisciplinary mathematics	11	14%
Cultural heritage	5	7%
Computational sciences	15	20%
Plasma physics	10	13%
Agricultural and food research	1	1%
Other, namely:	6	8%
<b>Total</b>	<b>76</b>	<b>100%</b>

**Figure 2.2** The area of research



## 2.3 Value of the bilateral cooperation

**Table 2.5** Are you involved in other collaborative programmes (like EU, INTAS, ESF, NATO, other)?

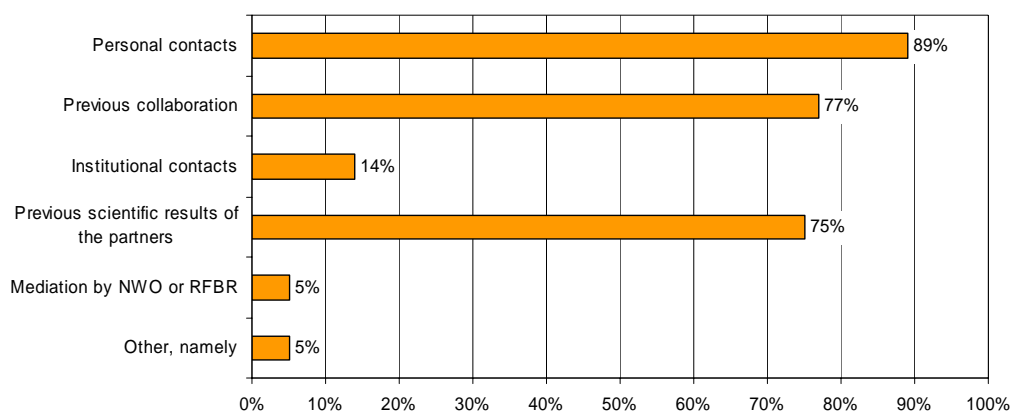
	Number	%
Yes	31	55%
No	24	43%
Not applicable	1	2%
<b>Total</b>	<b>56</b>	<b>100%</b>

**Table 2.6** Were you collaborating with one of the partners from the other country (Russian Federation or the Netherlands) before preparation of the NWO application?

	Number	%
Yes	44	79%
No	12	21%
<b>Total</b>	<b>56</b>	<b>100%</b>

**Table 2.7** Who, originally, took the initiative for collaboration?

	Number	%
(members of) Dutch team	12	21%
(members of) Russian team	11	20%
Both (members of) Dutch and Russian team	33	59%
Total	56	100%

**Figure 2.3** What was the basis for this collaboration? More than one answer possible**Table 2.8** In your opinion, how intense was or is the collaboration in the project?

	Number	%
High	32	57%
Rather high	20	36%
Rather low	3	5%
Low	1	2%
Total	56	100%

**Table 2.9** How unique is the present research co-operation? (Could the same results have been reached with a national or other international research-partner?)

	Number	%
Highly unique	32	57%
Rather unique	24	43%
Total	56	100%

**Table 2.10** Would you undertake the project again under the same conditions?

	Number	%
Definitely yes	43	77%
Rather yes	11	20%
Rather not	2	4%
Total	56	100%

**From your opinion, what is the added value of your partner organisation(s)?**

- I think that the main benefit for the Dutch group consists in exchanging the ideas and joining the theoretical and computational skill of both groups in investigation. Long term visits of Russian young scientists (which will be continued after the finishing of the project) and their work in the framework of the Dutch group may also be useful.
- Complementary knowledge.
- Scientifically, the project is very successful. We have published together many good papers in high-rating journals (such as Physical Review Letters).
- High scientific level.
- Excellent infrastructure, Wide communications with colleagues, European experience in education and research.
- Scientific teams participating in the project have collected a large experience in experimental study and in numerical simulation of the dynamics and structure of the discharge, its plasma chemical activity and chemical transformations at the post-discharge stage. Cooperation between Eindhoven University of Technology and Institute for High Temperatures has long-standing history since 1994 year.
- Local expertise - research project focuses on contemporary Russian history.
- Excellent management and planning of Scientific research; outstanding knowledge of modern approaches and techniques in the research field; unique experience and knowledge in how to organise team of researchers.
- Training of young scientists and students
- New problems, new approaches to old ones.
- Organization of work, equipment, intensive training of the young participants of the project.
- Exchange of ideas. Travel funds.

**What is the attractiveness of the co-operation in this project?**

- Establishing of long-term cooperation between the Dutch and Russian groups, exchange of ideas and possibility of deep education of young Russian researches in the art of computer simulation.
- Possibility to collaborate on a very high scientific level, to share your ideas and to learn new things in my research field.
- We can use a very high qualification of some Russian researches for a work which is scientifically very important for us also.
- Financial support of the co-operation with our partners in the Netherlands, especially with our long-standing partnership with CWI, Amsterdam. Since 1992 there exist a scientific cooperation between the Institute of Mathematics and Mechanics and CWI. The co-operation in the project gives a possibility to visit CWI on a more regular basis and to continue our joint research work.
- A complementarity of the approaches: Dutch side provided a real world data to be analysed by our methods, and in turn, the nature and structure of the data induced a development of new methods and approaches.
- The possibilities of more close exchange of ideas, discussion of results of different groups with the publishing of the results together. The possibility for young scientists to work in another Universities.
- It is, first of all, possibility of exchange of ideas and information.
- First are involved in project young scientists, which have possibilities to work with modern equipments and with very qualification scientists. Second are possibilities to changes of experiences in methodology and interpretation paleomagnetic data with European paleomagnetic team.

- 1) Increasing of the mobility of young scientists 2) Exchange of experience and knowledge 3) Use of the long term ecological experimental sites of the partners 4) Russian scientists get access to advanced analytical techniques and laboratories available at Dutch partner institution.
- The attractiveness of this project is high and is connected to prospects of achievement of high level results.
- The Russian partner provided laboratory and mechanical workshop capacities at a significantly lower price level than that available at the host university in the NL.

**What is the added value of the co-operation in terms of European co-operation?**

- Exchange of ideas and visits, possibility of education of young Russian researches, involvement in research projects in most actual fields of modern science, possibility to move forward our ideas in most efficient way.
- The Russian-Dutch collaboration projects contribute, to my opinion, a lot to the scientific research in the Netherlands and thus, also, to science in whole Europe.
- Contacts with other groups and experimental facilities.
- Nowadays problem of distance lost its significant role but nevertheless relatively short way from St.Petersburg to Amsterdam is an added value.
- Material conditions
- Very good cooperation with European scientist, the possibility to participate in International Conferences. The possibilities for young scientists (Ph.D.students) to work in the scientific groups in European Universities.
- No specific added value
- The exchange of new information and knowledge, and more qualitative and quick solution of the scientific problem.
- The co-operation permits to scientists from Russia to feel themselves members of the European scientific society, and to scientists from EU to understand better not simple situation Russian science.
- Dutch-Russian co-operation is more mobil, more inform and more useful for young scientist than big European projects (if I understood your question correct).
- I am involved in an INTAS collaboration on the same subject. This has the added value that it draws in expertise from other West- and East European institutes, which is beneficial for the NWO-RFBR collaboration.

## 2.4 Relevance of the programme

**Table 2.11** How satisfied are you overall with the collaborative project?

	Number	%
Very satisfied	37	66%
Satisfied	18	32%
Not satisfied	1	2%
Total	56	100%

**Table 2.12** How important was this grant for starting and carrying out the project?

	Number	%
Very important	42	75%
Quite important	14	25%
Total	56	100%

**Table 2.13** Would the project have started without funding by NWO?

	Number	%
Rather yes	10	18%
Rather not	32	57%
Definitely not	14	25%
Total	56	100%

**Table 2.14** Will you continue collaborative research once the project finishes? Or: have you continued collaborative research after your project had finished?

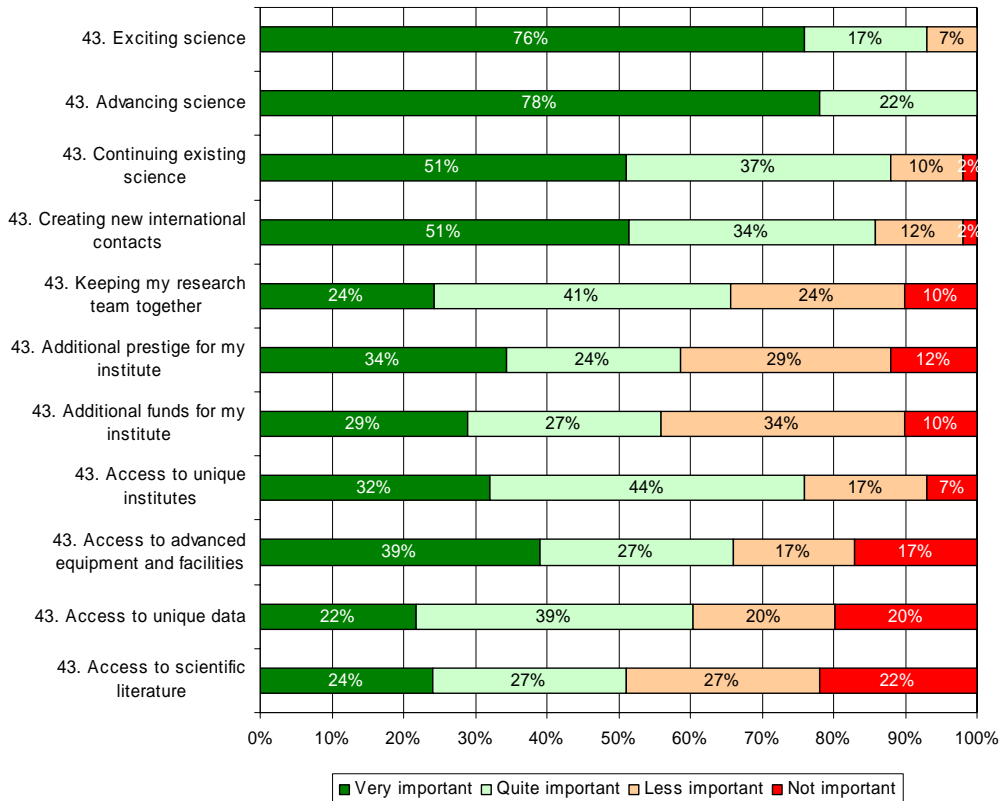
	Number	%
Yes	54	96%
No	2	4%
Total	56	100%

**Table 2.15** Has the project provided mutual scientific benefit?

	Number	%
Definitely yes	48	86%
Rather yes	8	14%
Total	56	100%

## 2.5 Results of the activities and projects

**Figure 2.4** From your point of view, what were the most important achievements of the project?



**Table 2.16** Has the project led your team to other projects?

	Number	%
No	18	32%
Not applicable	13	23%
Yes	25	45%
<b>Total</b>	<b>56</b>	<b>100%</b>

**Table 2.17** What kind of scientific papers, presentations or patents have directly resulted from the project? Please note: papers that were published before the project started must NOT be included.

	Number	%
1a. Joint publications of Dutch and Russian project teams I.	41	75%
II. National journals	21	38%
III. Abstracts in proceedings (conferences / workshops)	37	67%
1b. Publications without co-authorship of the project teams	32	58%
V. National journals	21	38%
VI. Abstracts in proceedings	30	55%
2. Books, monographs, thesis, patent, other	22	40%
3. Conferences attended	36	65%
<b>Total</b>	<b>55</b>	<b>100%</b>

**Figure 2.5** What kind of scientific papers, presentations or patents have directly resulted from the project?



**Table 2.18** In how many other international networks did you participate before the start of the project?

	Number	%
0	2	5%
1	8	19%
2	15	36%
3	9	21%
4	3	7%
5	4	10%
10	1	2%
Total	42	100%

**Table 2.19** Did this increase due to project?

	Number	%
Yes	21	50%
No	11	26%
Don't know	10	24%
Total	42	100%

**Table 2.20** After finishing the project, in how many other international networks did you participate?

	Number	%
0	10	24%
1	10	24%
2	8	19%
3	8	19%
4	5	12%
5	1	2%
Total	42	100%

**Table 2.21** What is the number of planned doctoral degrees as a result of the project?

	Number	%
0	8	19%
1	8	19%
2	13	31%
3	5	12%
4	2	5%
5	1	2%
7	3	7%
10	1	2%
12	1	2%
Total	42	100%



**Table 2.22** What is the number of realised doctoral degrees as a result of the project?

	Number	%
0	18	43%
1	13	31%
2	6	14%
3	1	2%
5	1	2%
7	3	7%
Total	42	100%

**Table 2.23** What is the number of planned intellectual property claims?

	Number	%
0	30	71%
1	7	17%
4	1	2%
6	1	2%
15	3	7%
Total	42	100%

**Table 2.24** What is the number of realised intellectual property claims?

	Number	%
0	34	81%
1	4	10%
3	1	2%
15	3	7%
Total	42	100%

## 2.6 The management of the programme

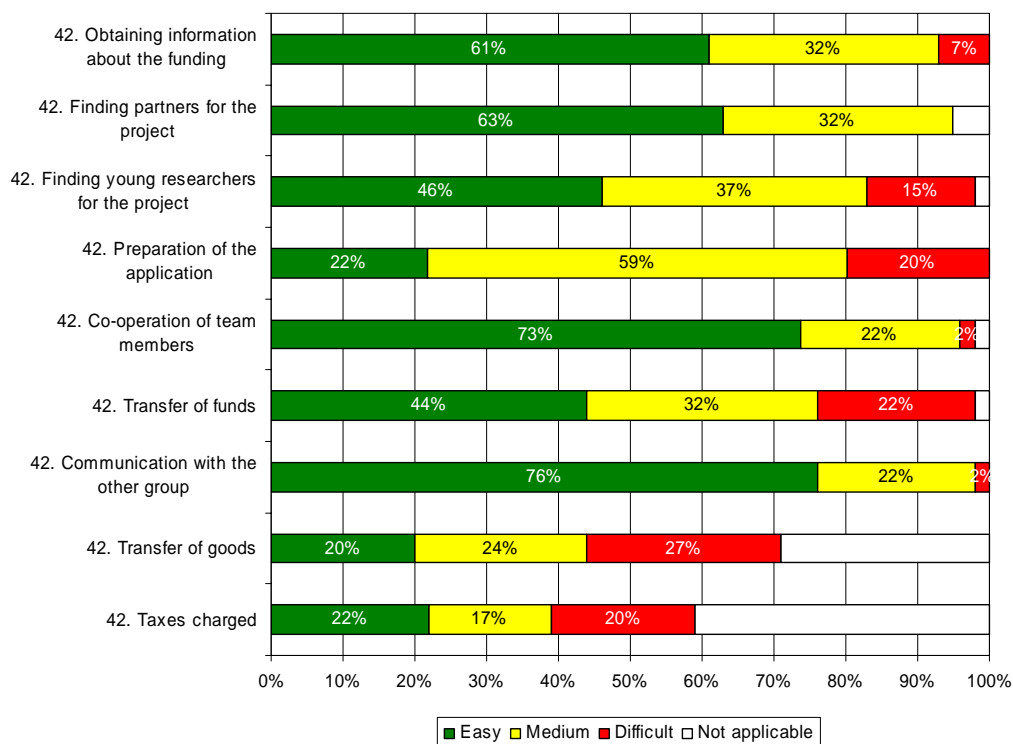
**Table 2.25** Do you prefer another distribution of NWO funds among the partners?

	Number	%
More to Russian Federation	4	7%
Stay the same	43	77%
More to the Netherlands	7	13%
Not applicable	2	4%
Total	56	100%

**Table 2.26** Did you encounter any major problems? If yes, please specify the problem and describe how you solved it:

	Number	%
No	28	67%
Yes	14	33%
Total	42	100%

**Figure 2.6** Please rank the following items on a scale from "difficult" to "easy":



**Did you encounter any major problems (e.g. with regard to the quality and quantity of the scientific contributions of the different teams, changes in the composition of the different teams, communications, transfer of funds and goods, taxations, customs)? If yes, please specify the problem and describe how you solved it:**

- Transfer of money is difficult; people take cash / visa for Russia is a painful process/ no solution
- We were faced with difficulties of spending the money transferred from the RFBR. The RFBR transferred the money to us in the middle of 2004 for the whole three years, to the extent of 10 percent of the total grant. The rules that limit financial activities in academic institutions are such that any budgetary funds should be spent at the end of the year. No provision has been made by the RFBR how to spend these funds and how to carry over the money to the next years. So we were forced at first to spend the money in the first year, unless the Institute could make a supplemental agreement with the RFBR that the money can be expended to the next year. If such an agreement existed at once, we could distribute the funds for three years more reasonably and foreseeingly with regard to possible travels/visits. Also, the transfers of individual grants from the Netherlands to Russian partners were not always made in time.
- There were some problems to transfer money to Russian due to weakness of Russian bank system.
- the major problem was the custom formalities for the scientific equipment in the Russian side.
- So far, despite appropriate filing of the necessary papers the RFFI has not come forward with the 10% of the total budget of the project which they are supposed to provide. Problem unsolved as of the moment of writing.

- In the project I had calculated too little for the joint conferences. Cheaper tickets and cheaper housing than estimated made it possible to "transfer" money to conference costs. The Russian partner had great problems to acquire the entire "Russian" part of the grant (the administration wanted at least 15% of the sum awarded), but ultimately succeeded.
- Some of the Russian researchers only get their allowance, their input is negligible or even nihil. This is disappointing, but cannot be solved by me. There have been several changes in the young researchers every year. As a result, some young researchers who came to Utrecht in the first year, have not been able to contribute. They should be involved in the project for the entire duration, to maximize their training and their output. The supervisor (group leader of VSEGEI) of one of the young researchers allows her to go to Holland, but she has to do her regular work for the VSEGEI institute as well during her stay here. This supervisor himself does not in any way contribute to the project. The transfer of equipment is awkward, to say the least. Apart from a huge bureaucracy, the equipment should be re-exported back. We solved this by bringing the equipment to St. Petersburg, without any official documents. This means that - for the bureaucrats - the goods have never arrived in Russia. Hence, they need not be re-exported. Minor annoyances have (sample transport, permits, etc.) have been adequately solved, some with patience and some with 'unforeseen costs'.

## 2.7 Overall self-evaluation of the strong and weak points of the research co-operation

### Strong points

- Establishing of long-term cooperation between the Dutch and Russian groups, exchange of ideas, deep education of young Russian researchers in the art of computer simulation.
- Flexibility of the people involved, to adjust to a huge change in the circumstances (our Russian project leader died during the project).
- Cooperation as a whole was quite successful. Especially, visits of Russian collaborators were very successful scientifically. Unfortunately, cooperation by just e-mail and phone contact turned out to be less efficient. Probably we had to plan and to spend more money for mutual travels. Also, Dutch participants were not interested enough to visit Russia.
- The existence and continuation of the long-term cooperation between our Institute and CWI, Amsterdam. Realized opportunities provided by the grant to visit CWI, to attend the conferences/workshops in the Netherlands and other countries in order to report the research results. Access to advanced equipment and facilities, and to scientific literature due to the NWO support. Strong advanced results obtained under support by the NWO-RFBR grant.
- To my mind the work at this project was a success, many young scientists participated in it and could work in a good scientific group in Delft at good computers. We managed to buy a Cluster for our group from the funds of this project.
- High level of partner research, complementary research Weak points - lack of experience to do research remotely.
- Good meetings and exchange visits.
- The opportunity of exchanging ideas and projects with Western colleagues, of having wider access to information on nowadays studies in humanities abroad, of getting financial support and of opportunity to release the results of the studies in one of the most prestigious scientific magazines (Russian Literature).

- I don't find any weak points of the co-operation.
- The strongest points of this co-operation program are 1) Very intensive exchange of knowledge and expertise between Dutch and Russian researchers, which take place in form of joined field work expeditions and analytical work as well as joined manuscript preparation 2) Very active participation of Russian young researchers in all the stages of the joined scientific activities.
- High output, good spirit, high quality of scientific staff.
- The cooperation with one institute is excellent, enthusiastic and will bring good new results. We anticipate to build a future collaboration with this group, preferably in several other projects, on different topics. We have much to benefit from each other, and this project has certainly contribute greatly to this. Their young researchers - this year - are enthusiastic (but should learn better English before coming here). It is only a pity that they are new ones (the ones in the first year have left the project), so that they have less time to get meaningful training and output. The cooperation with the other institute is virtually non-existent, and their contribution is accepting the allowances. One important exception: one of their young researchers is very enthusiastic, came back to Utrecht for the second time, is working hard. We think of trying to do and finish her PhD research in Holland, if we can find the funding for that. It is unfortunate that she is not at all helped by her own institute.

#### **Weak points**

- Our partners in Russia are getting very old and become less mobile.
- Lack of funds obtained for the scientific equipment and personal support.
- Interaction could have been stronger.
- Interesting and stimulating co-operation, but slight problems caused by the inappropriate remuneration of participating Russian researchers.
- Relatively rare personal meeting of the members of the international team.
- Difficulties in keeping the young Russian researchers on-board.
- Weak point is involvement of partners in too many other projects.
- Weak points of the co-operation are mostly through Russian bureaucracy.
- Relatively small number of visits of the Dutch scientists to Russia.
- There is no possibility to invite Russian young scientists for a period longer than 3 months. This delayed many activities which might have been done in a shorter period of time. On the other hand: the quality of Russian young scientists is rather high so they could start their work almost immediately.
- The communication is difficult, partly due to language problems. Obtaining visa always involved a lot of fuss. Letters had to be sent at the last minute, with special delivery. Transfer of funds is very difficult. Coordination of research proved difficult papers.
- The number of joint publications should be increased (also joint publications between the Russian institutes).

## Annex 3 The Questionnaire

### Introduction

The Dutch-Russian scientific cooperation programme was established in 1992. The actual programme (2004-2007) is being implemented under a Memorandum of Understanding signed at ministerial level by the Netherlands and the Russian Federation. The programme is financed by the Dutch Ministry of Education, Culture and Science (OCW), NWO and RFBR. NWO and RFBR are responsible for implementing the programme.

The Dutch Ministry of Education, Culture and Science has asked Research voor Beleid to evaluate the scientific cooperation between the Netherlands and Russia. We think it is very important to include in this study the experiences and opinions of the actual end users of the programme, the scientists involved.

Therefore we ask you 30 minutes of your precious time to let us know, based on your experiences, what is your opinion on the programme. The results are used as input for the discussion on the future of this programme.

### GENERAL QUESTIONS

1. With which of the following instruments within the programme for scientific cooperation between the Netherlands and Russia are you familiar? More than one answer possible.
  - Cooperation on project basis
  - Cooperation in programmes (Centres of excellence)
  - Mobility scheme for young scientists
  - Training for joint applications in European programmes
  - Innovation scheme
2. Which instruments in the scientific cooperation between the Netherlands and Russia did you make use of? Please fill in a number (1,2, 3 etc.), 1 being the most recent instrument you used
  - Cooperation on project basis
  - Cooperation in programmes (Centres of excellence)
  - Mobility scheme for young scientists
  - Training for joint applications in European programmes
  - Innovation scheme
3. What is the reason you did not make use of other instruments?
  - I am not in the target group
  - Procedure is too complicated
  - I was not aware of the possibility
  - The application was rejected
  - Other, namely

**In the following questions, when we refer to *project* we also referring to other instruments (programmes, mobility etc.)**

4. Name:

Date of birth

Sex  M  F

University or institute:

City and country

5. Name of the principal co-applicant:

Date of birth

Sex  M  F

University or institute:

City and country

6. What is the priority area you applied for?

Nanosciences

Information technology and the humanities

Infectious diseases and vaccines

Geobiology

Interdisciplinary mathematics

Cultural heritage

Computational sciences

Plasma physics

Agricultural and food research

Other, namely:

7. What was the starting date of your project in the scientific programme between the Netherlands and Russia? Month and year.

8. What are the names of the universities and/or institutes in the other country where this project is/was carried out? Please mention name and city.

9. How many scientists are/were involved in the project?

Scientists from Russian universities / institutions:

Scientists from Dutch universities / institutions:

10. What is the age distribution of the researchers (including principle coordinator and co-leaders) involved in the project?

Scientists from Russian universities / institutions

Male

Female

Scientists from Dutch universities / institutions

Male

Female

11. What is your main motivation / ground for participation in this project?

12. From your opinion, what is the added value of your partner organisation(s)?

#### **COOPERATION**

13. What is the attractiveness of the co-operation in this project?

14. In how many NWO / RFBR projects are you currently involved?

- No project
- 1 project
- 2 projects
- More than 2 projects

15. Are you involved in other collaborative programmes (like EU, INTAS, ESF, NATO, other)?

- Yes
- No
- Not applicable

16. What is the added value of the co-operation in terms of European co-operation?

17. Were you collaborating with one of the partners from the Russian Federation *before* preparation of the NWO application?
- Yes
  - No
  - Not applicable
18. Who, originally, took the initiative for collaboration?
- (members of) Dutch team
  - (members of) Russian team
  - Both (members of) Dutch and Russian team
19. What was the basis for this collaboration? More than one answer possible
- Personal contacts
  - Previous collaboration
  - Institutional contacts
  - Previous scientific results of the partners
  - Mediation by NWO or RFBR
  - Other, namely:
20. In your opinion, how intense was or is the collaboration in the project?
- High
  - Rather high
  - Rather low
  - Low
21. How unique is the present research co-operation? (*Could the same results have been reached with a national or other international research-partner?*)
- Highly unique
  - Rather unique
  - Not unique
22. Has the project led your team to other projects?
- Yes, namely (please mention type of project, partners, programme, funds)
  - No
  - Not applicable
23. Will you continue collaborative research once the project finishes? Or: have you continued collaborative research after your project had finished?
- Yes
  - No
  - Not applicable
24. Has the project provided mutual scientific benefit?
- Definitely yes
  - Rather yes
  - Rather not
  - Definitely not



25. Would you undertake the project again under the same conditions?
- Definitely yes
  - Rather yes
  - Rather not
  - Definitely not
26. How satisfied are you overall with the collaborative project?
- Very satisfied
  - Satisfied
  - Not satisfied
  - Not applicable
27. How important was *this* grant for starting and carrying out the project?
- Very important
  - Quite important
  - Less important
  - Not important
28. Would the project *have started* without funding by NWO?
- Definitely yes
  - Rather yes
  - Rather not
  - Definitely not
29. Do you prefer another distribution of NWO funds among the partners?
- More to Russian Federation
  - Stay the same
  - More to the Netherlands
  - Not applicable
30. Other suggestions, please describe:
31. To what extent is this bilateral project part of the research programme of your faculty / department / research group? *Please describe how the bilateral project adds value to the research programme of your faculty / department / research group*

## SUMMARY OF RESULTS AND KEY REFERENCES

32. Which scientific papers, presentations or patents have resulted directly from this project?  
*Please note: papers that were published before the project started must NOT be included.*

List the references under the following headings:

- 1 a) Joint publications of Dutch and Russian project teams
  - i. International journals
  - ii. National journals
  - iii. Abstracts in proceedings (conferences / workshops)
- b) Publications without co-authorship of the project teams
  - iv. International journals
  - v. National journals
  - vi. Abstracts in proceedings
2. Books, monographs, thesis, patent, other
3. Conferences attended

33. Please summarise the scientific output (in NUMBERS) in the table below

	Joint publications			Publications without co-authorship		
	Published	In press / Accepted	Submitted	Published	In press / accepted	Submitted
1 Paper in an international journal						
Paper in a national journal*						
Abstract in proceedings						
2 Book, monograph						
Thesis (MSc, PhD etc)						
Patent						
Other						
3 Conferences attended						

\* Indicate the language

34. In how many other international networks did you participate before the start of the project? □□□

35. Did this increase due to project?

- Yes  
 No  
 I don't know

36. After finishing the project, in how many other international networks did you participate? □□□

37. What is the number of planned doctoral degrees as a result of the project? □□□

38. What is the number of realised doctoral degrees as a result of the project? □□□

39. What is the number of planned intellectual property claims? □□□

40. What is the number of realised intellectual property claims? □□□

## MANAGEMENT

41. Did you encounter any major problems (e.g. with regard to the quality and quantity of the scientific contributions of the different teams, changes in the composition of the different teams, communications, transfer of funds and goods, taxations, customs)? If yes, please specify the problem and describe how you solved it:

42. Please rank the following items on a scale from "difficult" to "easy":

**Obtaining information about the funding**

Easy                       Medium                       Difficult                       Not applicable

**Finding partners for the project**

Easy                       Medium                       Difficult                       Not applicable

**Finding young researchers for the project**

Easy                       Medium                       Difficult                       Not applicable

**Preparation of the application**

Easy                       Medium                       Difficult                       Not applicable

**Co-operation of team members**

Easy                       Medium                       Difficult                       Not applicable

**Transfer of funds**

Easy                       Medium                       Difficult                       Not applicable

**Communication with the other group**

Easy                       Medium                       Difficult                       Not applicable

**Transfer of goods**

Easy                       Medium                       Difficult                       Not applicable

**Taxes charged**

Easy                       Medium                       Difficult                       Not applicable

## RESEARCH RELATED ISSUES

43. From your point of view, what were the most important achievements of the project?

**Exciting science**

Very important    Quite important    Less important    Not important

**Advancing science**

Very important    Quite important    Less important    Not important

**Continuing existing science**

Very important    Quite important    Less important    Not important

**Creating new international contacts**

Very important    Quite important    Less important    Not important

**Keeping my research team together**

Very important    Quite important    Less important    Not important

**Additional prestige for my institute**

Very important    Quite important    Less important    Not important

**Additional funds for my institute**

Very important    Quite important    Less important    Not important

**Access to unique institutes**

Very important    Quite important    Less important    Not important

**Access to advanced equipment and facilities**

Very important    Quite important    Less important    Not important

**Access to unique data**

Very important    Quite important    Less important    Not important

**Access to scientific literature**

Very important    Quite important    Less important    Not important

**Other, please specify:**

44. Overall self-evaluation of the strong and weak points of the research co-operation:

45. If you have any other relevant information on your project, you can enter it here:

46. In your opinion, should the cooperation programme between the Netherlands and Russia be continued? Why (not)?



## **Annex 4**

### **Working Programme 2004 – 2007**

12 May 2004





# **1. Introduction**

- 1 Introduction**
- 2 Key players, instruments and proposed budget**
- 3 New Instruments**
  - 3.1 Traditional cooperation on project basis**
  - 3.2 Cooperation in programmes: centres of excellence**
  - 3.3 Mobility scheme for young Russian scientists**
  - 3.4 Integration in European programmes**
  - 3.5 Innovation scheme**
- 4 Action list**

## 1 Introduction

With reference to articles 3, 4 and 6 of the Memorandum of Understanding, signed in Moscow on April 17<sup>th</sup>, the Joint Dutch-Russian Committee\* has made a working programme corresponding with the new lines of activities. The new model of cooperation activities combines models for capacity building, mobility, innovation, integration in European programmes, with a more structural approach for cooperation. The new instruments are more divers and offer more opportunities for cooperation than the former cooperation on project basis. The overall aim of the new instruments is to create a firm basis for structural relationship and networks. We like to suggest that these new instruments will pave the way for successful participation of Dutch and Russian teams in multilateral (Framework) programmes.

## 2 Key players, instruments and proposed budget

The below picture gives an overview of the key players and the instruments in the cooperation programme.

	<b>Executing agencies</b>	<b>Instruments</b>	<b>Preferred partners (Implementation)</b>
Ministry of Education, Culture and Science (OCW)	Netherlands Organisation for Scientific Research (NWO)	1. Projects 2. Programmes 3. Mobility	
Ministry of Education and Science (MES)	Russian Foundation for Basic Research (RFBR)	4. Training for joint applications	SENER/EGL INTAS /ININ
		5. Innovation scheme	NWO/STW SENER/EGL

\* in order to underline the character of the Dutch-Russian cooperation, the new Memorandum of Understanding replaced "Mixed Committee" by "Joint Committee"

### Instruments

Referring to article 2 of the Memorandum of understanding, the working group formulated five action lines for scientific cooperation. These five lines and accompanying instruments are:

- 1 Cooperation on project basis
- 2 Cooperation in programmes
- 3 Training for joint applications in EC programmes, extra financial stimulus
- 4 Mobility scheme for young scientists
- 5 Innovation scheme

### Proposed budget

Taking into account article 7 of the Memorandum of Understanding, the budget proposed for these action lines is as follows:

		2004	2005	2006	Total	Total in €
1. Cooperation on project basis	150.000	13	13	13	39	5.850.000
2. Cooperation in programmes (Centres of excellence)	500.000	1	2	0	3	1.500.000
3. Mobility scheme for young scientists	15.000	5	10	10	25	375.000
4. Training for joint applications in European programmes	15.000	0	5	5	10	150.000
5. Innovation scheme	10.000	(1)	2	2	5	50.000
						<b>7.925.000</b>

We hereby like to sketch the most important characteristics of each instrument. For each instrument we will discuss its objectives, approach, budgetary issues, priorities of the call, deliverables and selection criteria.

### 3 New Instruments

#### 3.1 Traditional cooperation on project basis

With reference to article 2a, 2b, 2c and article 3 of the new Memorandum of Understanding, a budget of € 5.85 million will be available to fund projects under this call. This will be channelled towards supporting approximately 40 projects, each for a period of three (occasionally two) years.

#### Budgetary issues

		2004	2005	2006	Total	Total in €
Cooperation on project basis	150.000	13	13	13	39	5.850.000
<b>Per project</b>						<b>150.000</b>
An example of a typical project						
Travel						40.000
Equipment						60.000
Individual grants (in RF)						47.000
Overhead (max. 2% = 3.000 in NL)						3.000

#### Division of funds

Dutch team(s)	Approximately 35% of the grant
Russian team(s)	Approximately 50% of the grant
Young scientists from Russian teams	Approximately 15% of the grant
The research teams can propose a different division of funds if they consider this necessary and beneficial for the proper execution of the project.	

<b>Individual grants</b>			
<b>Per project (in RF)</b>	<b>Per Russian institute</b>		
Team leader	Max.	1	€ 400
Key researcher (senior scientist)	Max.	2	€ 300
Young scientist (<35 years PhD student or post-doc)	Max.	3	€ 200
The research teams can propose different amounts if they consider this necessary and beneficial for the proper execution of the project.			

#### Objectives

The bilateral projects have proven to be a useful, flexible and manageable instrument to further participation in (European) networks (see evaluation report 1999-2002). The objectives of the cooperation on project basis are to increase Dutch Russian networking and to further capacity-building by attracting young researchers and involving them in European networks. This instrument does not stand alone, but should be considered in combination

with the new mobility scheme, the initiative for training for joint applications in EC Framework programs, the innovation scheme (to be developed) and, last but not least, the creation of centres of excellence.

### **Approach and priorities**

We propose a more or less funnel-shaped approach in which the "traditional" bilateral cooperation projects will lead to structural cooperation. Structural cooperation might take the form of cooperation in EC programmes or in the creation of joint centres of excellence (either in the Russian Federation or in the Netherlands).

### **Priorities for the first Call 2004**

With reference to article 2 of the Memorandum of Understanding priorities will be yearly specified in the Joint Committee. For the first Call 2004 the following priorities were agreed upon:

1. - Earth and Life sciences:  
Geobiology including evolutionary ecology and evolutionary change
2. - Exact sciences:  
Interdisciplinary Mathematics
3. - Humanities:  
Cultural Heritage

### **Selection criteria**

Scientific quality is a major criterion in all competitions. Selection criteria are defined as follows:

- Scientific excellence and originality of the proposal;
- Scientific excellence of the research groups;
- Mutual advantage for both Dutch and Russian research groups;
- Young scientists participation is firmly integrated into the project;
- Prior collaboration is an advantage, but not a prerequisite.

Competition will increase, as only approximately 13 projects will be selected (yearly), as compared to approximately 20 projects in the past. It is expected that the success rate will be in the order of 35%.

### **Deliverables**

Deliverables (minimum requirements) are:

#### General:

- Kick-off meeting;

#### Dissemination of results:

- Yearly progress reports;
- It is expected that the project will publish several articles in international refereed journals;

#### Participation in European networks:

- At least one researcher actively involved in the project will participate in an EC FP training (organised by NWO and RFBR)

## Administrative issues

A project is regarded as a joint research project with a Dutch scientific programme leader who acts as formal applicant. The formal applicant is responsible for the proper execution of the approved project. This includes scientific progress and output, financial management and administration. The Russian scientific co-leader is responsible for the management on Russian side and will report to the Dutch programme leader. NWO and RFBR will simplify rules and regulations, so as to decrease the administrative burden.

### 3.2 Cooperation in programmes: Centres of Excellence

With reference to article 2a, 2b, 2c and article 3 of the new Memorandum of Understanding, a budget of 1.5 million euro will be available to fund programmes under this call. This will be channelled towards supporting approximately 3 centres of excellence for research for a period of five years. This new initiative will only continue in 2005 with funding two more programmes if the first call and mid term evaluation is successful.

#### Budgetary issues

		2004	2005	2006	Total	Total in €
Cooperation in programmes	500.000	1	2	0	3	1.500.000
<b>Per programme</b>						<b>500.000</b>
An example of a typical programme						
Equipment and consumables						150.000
Short term fellowships and PhD training						150.000
Travel and subsistence						50.000
Other research costs directly related to the programme						140.000
Overhead (max. 2% = 10.000 in NL)						10.000
Applicants make a tailor-made budget proposal.						

Division of funds	
Dutch team(s)	No fixed %
Russian team(s)	No fixed %
Young scientists	Approximately 15%
Applicants make a tailor-made budget proposal.	

## **Objectives**

Proposals should take account of the following objectives:

- Increased networking;
- Increased scope;
- Contribution to capacity-building through attracting young researchers;
- Increased linkage with economic and social environment;
- (Enhanced) participation in the Sixth Framework Programme.

## **Approach and Priorities**

Centres to be supported should bring together basic and where possible applied research, using a multi-disciplinary approach if possible. The programme should have a well defined target and envisaged impact. The centre grant will approximately be € 500.000 (three times as large as a traditional project) and will have a duration of approximately 5 years. The grant is essential for addressing longer term research that often requires interdisciplinary approaches and that will lead to continuation of the research in multilateral international settings like the Framework Programmes of the European Commission.

## **Proposed Priorities for the first Call 2004**

Open call (any subject that has been a NWO/RFBR priority area in the past and corresponds to current national NWO/RFBR priority areas).

## **Specific criteria: Centre criteria**

A joint (virtual) centre of excellence might take different configurations. It will have a dual mission that integrates research and (PhD) education and might have working partnerships with industry. A centre has its own specific research agenda which includes different (joint) research projects on a mutual theme. The centre should not be a subsidiary or branch of an organisation established in another country. The subsidy is meant as a first investment in the establishment of a long-term research collaboration, the continuation of which must be sought and supported by the institutions involved, and/or external European funding.

Centres will be selected on the basis of past performance and competence by a committee which is of multidisciplinary character. Prior successful collaboration in the Dutch Russian collaboration programme is required.

## **Selection criteria**

Centres will be selected on a competitive basis. Selection criteria are:

### Scientific excellence of the centre:

- Scientific reputation of team members (scientific excellence of the research groups);
- Quality and volume of scientific output and activities (number of publications, patents etc.);
- Experience with networking activities (for example participation in European projects), prior collaboration is a prerequisite;



#### Scientific excellence of the program and projects within the program:

- Scientific excellence and originality of the proposal;
- Coherence with national and 6th Framework Programme themes;
- Mutual advantage and added value for both Dutch and Russian research groups;
- Young scientists participation is firmly integrated into the programme;

#### Scientific potential and impact:

- Perspectives for long term structural collaboration, future plans;
- Contribution to linkages with other European centres and networks;
- Possible links with SME's;

#### Diversity of funding:

- Proportion of existing funding coming from external sources and the origin of this funding. The NWO/RFBR contribution should correspond to no more than one third of the normal activity level.

Competition is firm, as only 3 programmes will be selected in a three year period. It is expected that the success rate will be in the order of 20%.

### **Deliverables**

#### General:

- Kick-off meeting;

#### Dissemination of results:

- At least two workshops will be held related to the programme (one in NL, one in RF);
- Yearly progress reports;
- The programme will publish a substantial number of articles in international journals;
- The programme will have its own website/ web pages and information on the programme (publications, workshops etcetera) will be widely published;

#### Participation in European networks:

- At least one researcher actively involved in the project will participate in an EC FP training;

#### Involvement of SME:

- The programmes actively seeks ways to link with SME's.

The maximum duration of support for will be five years with a mid-term evaluation which might lead to termination of funding due to poor performance.

### **Administrative issues**

A centre is regarded as a joint research programme with a Dutch scientific programme leader who acts as formal applicant. The formal applicant is responsible for the proper execution of the approved programme. This includes scientific progress and output, financial management and administration. The Russian scientific co-leader is responsible for the management on Russian side and will report to the Dutch programme leader. NWO and RFBR will simplify rules and regulations, so as to decrease the administrative burden.

### 3.3 Mobility scheme for young Russian scientists

With reference to article 2a, 2b, 2c and article 3 of the Memorandum of Understanding, a budget of 375.000 euro will be available to fund fellowships under this call. This will be channelled towards supporting approximately 25 special fellowships for a period of two years.

#### Budgetary issues

		2004	2005	2006	Total	Total in €
Mobility scheme for young scientists	15.000	5	10	10	25	375.000
<b>Per fellow</b>						<b>15.000</b>
In the Netherlands (6 months)	1500	6	Months			9000
Research costs	600					600
In the Russian Federation	300	18	months			5400

#### Objectives

The before discussed projects and programmes include the participation of young scientists as well, but this scheme is to be seen as an additional initiative to stimulate excellence within the group of young scientists already involved in the collaborative projects. Only the most engaged and excellent researchers can be proposed as candidates for a fellowship.

#### Approach and Priorities

The mobility scheme is developed to be a stimulant for excellent young Russian post-doc researchers to stay actively in science in their home country and to involve them in an international circuit. The program is open to post-docs of outstanding talent below the age of 35 years to enable them to:

- advance their careers via international collaboration;
- stabilise their position and continue their research in the home country;
- establish contacts with other research teams, enhance their reputation and give opportunities to build up scientific contacts for future research.

Duration of fellowship: Two years (including a maximum of 6 month stay in the Netherlands). Fellowships are awarded for a period of 24 months maximum, of which at least 18 months are to be spent in the home institute. The maximum period of 6 months research stay in the Netherlands host institute is to be divided into two parts. The period in between is to be used for research in the home institute and preparations for the second visit. The fellow may receive an individual grant for a maximum of 18 months in the Russian Federation.

## Selection criteria

- The fellow is actively involved in one of the NWO/RFBR projects or programmes;
- The fellowship and stay in the Netherlands contribute to the collaborative project as a whole;
- The fellow must be 35 years of age or less at the time the grant is awarded;
- The fellow must be an outstanding post-doctoral scholar;
- The fellow has proven their abilities among other things by high level publications in national and/or international journals;
- The fellow must have a good knowledge of English;

A Dutch project leader (only after 6 months since the start of a new project) can propose a candidate for a fellowship. A fellowship can only be requested after proof of active participation in the bilateral programme/project.

## Deliverables

### Dissemination of results:

- Yearly progress reports;
- The fellow will publish at least two articles in international journals;

## Administrative issues

Applications must be formally submitted by the Dutch group leader of an ongoing project or programme, together with the Russian co-leader as co-applicant. Post-doc researchers cannot apply for themselves.

## 3.4 Integration in European programmes

With reference to article 2a, 2b, 2c and article 3 of the Memorandum of Understanding, a budget of 150.000 euro will be available to fund initiatives related to the integration in European programmes. This will be channelled towards training workshops and supporting approximately 15 grants for coordination activities.

## Budgetary issues

		2004	2005	2006	Total	Total in €
Subsidy for coordination activities	15.000	0	5	5	10	150.000
<b>Per project</b>						<b>15.000</b>
Running projects						0
Former projects	Travel and coordination					15.000 max.

Training						0
<b>Per project</b>						<b>0</b>
Running projects						0

## Objectives and approach

This instrument to encourage network building and participation in European multilateral programmes includes two initiatives:

- Joint KP6 **training** (organized on cooperation with Senter/EGL and INTAS and NCP's in Russia)
- **Subsidy for coordination activities**. This subsidy will cover travel and coordination costs to a maximum of € 15.000

The level of participation of Russian groups (legal entities) in FP5 (besides the INTAS program) was very low. The low level of participation was due to restrictions in the FP5 programmes, but also due to lack of infrastructure (knowledge sharing) in the Russian Federation in this period. The first results for Russian participation in FP6 are however promising and encouraging. Both INTAS and Senter/EGL are actively involved in knowledge sharing (NCP, ININ project). NWO and RFBR want to contribute to these new developments. The new initiatives aim at removing barriers for joint (Dutch Russian) participation in FP6 and to provide added value to the bilateral arrangements.

### Selection criteria for the coordination subsidy:

- The consortium should apply for one of the FP6 instruments: NoE, IP, INTAS projects;
- For INTAS projects different rules apply, as they require less coordination activities;
- The consortium has a Dutch coordinator and the consortium has the intention to establish the secretariat in the Netherlands;
- The research groups (Dutch and Russian) have a top ranking in the relevant field(s);
- Both the Dutch and Russian groups play a major part in the consortium;
- The topic of the proposal is part of the EC thematic working programme;
- The consortium preferably has a broad network in the Netherlands and the Russian Federation;
- The consortium is experienced in managing Framework programmes.

## Deliverables

### Subsidy

The subsidy for coordination activities will receive at least 5-10 applications per year and will grant approximately 2-5 of them (50%). It is expected that the success rate for NoE, IP and INTAS will be fair, meaning that at least 5 projects will receive funding for a NoE/IP or INTAS project from the EC.

- 5-10 applications per year
- 10 grants per three years
- 5 projects in total funded by the EC (FP/INTAS)

### Training

At least two workshops will be organized jointly by NWO and RFBR in the period 2004-2007. One workshop will be organised in Moscow and one workshop will be held in the

Netherlands. We expect more than 20 participants per training. Training is organized on cooperation with Senter/EGL, INTAS and NCP's in Russia.

- 2 workshops in total
- 1 workshop in The Hague
- 1 workshop in Moscow
- 20 participants per workshop

### **Administrative issues**

The consortium formally has a Dutch coordinator who acts as formal applicant. The formal applicant is responsible for the (financial) administration and reporting.

### **3.5 Innovation scheme**

With reference to article 2a, 2b, 2c and article 3 of the Memorandum of Understanding, a budget of € 50.000 is reserved to fund projects under this call. This is a new initiative to be developed in the coming period in consultation with other stakeholders and interested parties. Support for innovations might promote the further development, utilisation and marketing of research results.

### **Budgetary issues**

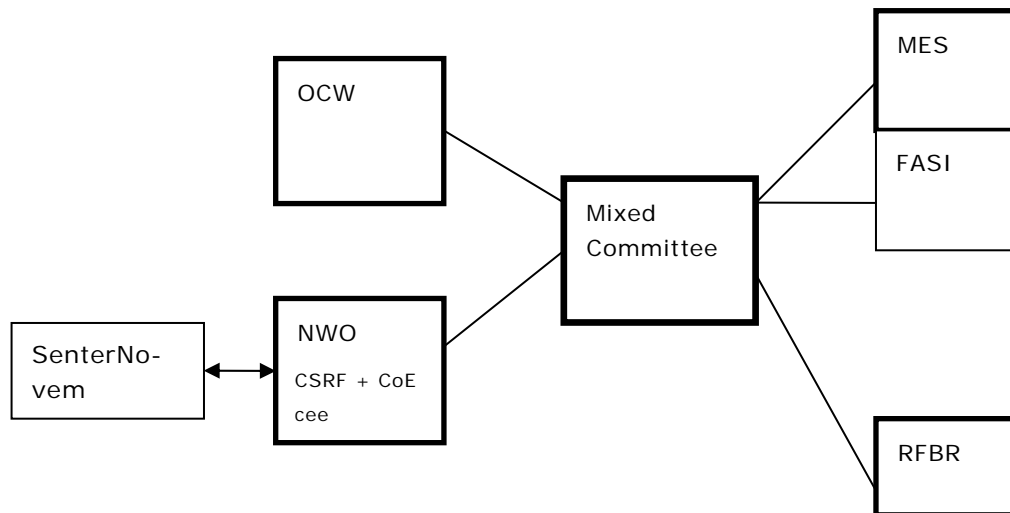
		<b>2004</b>	<b>2005</b>	<b>2006</b>	<b>Total</b>	<b>Total in €</b>
Innovation scheme	10.000	(1)	2	2	5	50.000
<b>Per project</b>						10.000

## **4 Action list 2004**

April	April 17 signing new MoU
May	
June	
July	First Call will be launched
August	
September	
October	
November	
December	



## Annex 5 The management structure



- OCW: Ministry of Education, Culture and Science, The Netherlands
- MES: Ministry of Education and Science, Russian Federation
- NWO: Netherlands Organisation for Scientific Research
- RFBR: Russian Federation for Basic Research
- FASI: Federal Agency for Science and Innovation of the Ministry of Education and Science, Russian Federation
- SenterNovem: preferred partner of NWO in the execution of some instruments of the working plan.
- Mixed Committee: yearly meeting of the managing organizations. In the Russian Federation FASI is chair and NWO co-chair. In the Netherlands NOW is chair and FASI is co-chair.
- NWO/CSRF: NWO/Committee Cooperation Russian Federation: Internal Ccommittee of NWO that coordinates the peer reviews for the projects that are sent in.
- NWO/CoE-committee: NWO/Centres of Excellence-committee: committee of experts to advise NWO in the peer reviews of the Centres of Excellence that are sent in.





Research voor Beleid  
Schipholweg 13-15  
P.O. box 985  
2300 AZ Leiden  
tel: +31(0)71 525 37 37  
fax: +31(0)71 525 37 02  
e-mail: [info@research.nl](mailto:info@research.nl)  
[www.research.nl](http://www.research.nl)