RUSERA-EXE
Expanding the ERA over Russia

Spotlight on EU-Russia RTD cooperation. A snapshot of experiences on researchers' level.

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LAKE BAIKAL

FFG

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FOREWORD

As Austrian National Contact Point for the 7th European Framework Programme for Research and Technological Development, it is the main task of FFG/Austrian Research Promotion Agency, EIP/European and International Programmes, to support Austrian researchers on their way to success in FP7. This comprises information dissemination, consultancy on the legal and financial rules of FP7, training of proposers and FP7 multipliers, support to partnering and consortium building, proposal checks and coaching on all questions related to international cooperation beyond the European Union.

FFG/EIP has a long standing history and commitment to international cooperation, in particular with the former Eastern European candidate countries (in the meantime Member States) and Russia.

In the light of this background, it was particularly interesting for us to take the Task Lead for the present survey which resulted in this report.

The report offers a snapshot on key questions of EU-Russia RTD cooperation in the Framework Programme. The report forms the basis for further, tailormade measures which we will develop with our partners. As an example, I would like to mention the review of the Russian NCP system which we are about to carry out within the framework of the "IncoNet EECA"- project (FP7/ INCO) in view of Russia's association of FP7. Thus, the present study was an important preparatory step for the review.

I would like to thank cordially the coordinator of Rusera Exe, Prof. Yury Pokhokov, and the Russian RIN's for the excellent cooperation and look forward to our further activities with Russia.

Sabine Herlitschka

Director of European and International Programmes,
FFG/ Austrian Research Promotion Agency

Sabine Herlitschka is Director of the Division of European & International Programmes in the Austrian Research Promotion Agency (FFG) and Austrian Coordinating National Contact Point for the 7th EU Framework Programme.

Educated as biotechnologist her professional background includes research in international biotech industry, international RTD cooperation at BIT-Bureau for International Research and Technology Cooperation, Internship at the U.S. National Science Foundation, AAAS (American Association for the Advancement of Science) and cooperation with the first Science Advisor in the US Department of State. Before joining FFG, she was founding Vice-Rector for Research Management and International Cooperation at the newly set up Medical University of Graz/Austria.

Since 1996 she has been frequently involved in EU project development, coordination and proposal evaluation, as well as engagement in European and international expert groups including Rapporteur of the "High-level Expert Group on Frontier Research" that contributed to the development of the European Research Council, Rapporteur to the INCO Advisory Group, and chaired the Expert Group on "Diversified Funding Streams for University-based Research".

FOREWORD

The RUSERA-EXE Project logically follows the RUSERA Project which made us, while realizing it, encounter some obstacles and barriers in organizing EU/Russia research cooperation. This gave us the idea to work out some recommendations for partners/researchers, that will allow to promptly and efficiently use the researchers' abilities in developing fruitful cooperation.
In view of this, the RUSERA-EXE Project was launched, with the present report created as one of the Project outcomes.
The information presented in the report was obtained through the study of peculiarities of EU/Russia cooperation.
The regional managers of the six advanced regions of Krasnoyarsk, St Petersburg, Tomsk, Ulyanovsk, Ulan-Ude have helped us immensely in obtaining this information.
I would like to thank our European partners – FFG (Austria) and EKT (Greece) for the excellent cooperation.
I would also like to address special thanks to Petra Reiter (FFG, Austria) and Olga Mazurina (Tomsk Polytechnic University, Russia) for the great work done during the project realization.
I hope that the present report will be very helpful to researchers and research managers of both Russia and Europe, and will also be invaluably useful in the efficient and mutually beneficial international scientific-and-technological cooperation.

Prof. Yuri Pokholkov
President of the Association for Engineering Education of Russia (AEER)
Former Rector of Tomsk Polytechnic University

Yuri P. Pokholkov is coordinator of RUSERA-EXE Project; Former Rector of Tomsk Polytechnic University; President of Russian Association for Engineering Education; D.Sc., Professor. Honorary degrees, titles, Academy membership: Technology of the Russian Federation, Fellow of the International Academy of Science in Higher Education; Academy of Natural Science; Academy of Electrical Engineering; Academy of Engineering Science; Laureate of President Prize for the development of scientific fundamentals of engineering education; Publications: monographs, patents, articles, 150 scientific publications; Participation in international programmes: TEMPUS, TACIS, INTAS, ESPRIT, FP4-FP6, State Home and cross-institutional programmes; Work record: Assistant Lecturer, Deputy Dean, Associate Professor, Head of Department, Vice-Rector for Research, Rector of Tomsk Polytechnic University.

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1 EXECUTIVE SUMMARY

This report presents the outcomes of the RUSERA EXE survey which was carried out in the framework of the FP6/INCO-project "RUSERA EXE -Expanding the ERA over Russia". RUSERA EXE supports the development of strategic and lasting RTD[1] partnerships between European and Russian researchers for mutual scientific benefit.

The aim of the present survey was to get insight into experiences, practical hurdles and barriers of EU-Russia RTD cooperation.

The purpose of the report is to serve as support instrument for regional and national FP7-multipliers and contact points in Europe and Russia, and to raise their awareness for individual experiences made by researchers in EU-Russia RTD cooperation. The report aims to increase the mutual understanding and the capacity of FP7-multipliers and NCPs to consult and support researchers in Europe and Russia when establishing and implementing EU-Russia RTD cooperation projects.

The report is based on an online survey and semi-structured interviews. The tools were conceived by FFG/Austrian Research Promotion Agency in consultation with two Russian experts, Yuri Melnikov, INTAS office, Brussels, and Elena Rovenskaya, IIASA, Vienna/ MSU, Moscow. The survey and the interviews were carried out by FFG among researchers in Europe between June and October 2007.
In parallel, the survey among the Russian target groups was carried out by the Russian partners of RUSERA EXE:

- Ms. Olga Gashouk, AEER/Association for Engineering Education of Russia, Tomsk Polytechnic University
- Ms. Bairma Tsibikdorzhieva, AEER, Eastern Siberian State Technical University of Ulan Ude
- Mr. Alexey Ivanov, AEER, St.Petersburg State Electrotechnical University
- Ms. Natalia Klimchuk, AEER, Krasnoyarsk State Technical University
- Mr. Vadym Shiskin, AEER, Uljanovsk State Technical University

Key Messages:

The analysis led to a number of main conclusions, of which the most important are listed as key messages:

Institutional support to international cooperation:

- Institutional support for managing administrative and financial issues related to FP6 (FP7) is essential to foster success in proposal development and project management.
- Ongoing learning by doing, good networking and training are crucial for administrative staff providing institutional support to researchers involved in programmes like FP6 (FP7).
- Due to the scientific insight required, proposal writing and management of scientific parts is done by FP project coordinators themselves, combined with staff (a project manager, a scientific manager) working with them.

Perception of institutional benefits from international RTD cooperation:

- European and Russian respondents perceive a wide range of benefits for their institution resulting from international cooperation.
- The acquisition of additional funding is an important incentive and benefit, but respondents are very clear about the wider range of institutional benefits.
- In particular for Russia, there is a gap between the institutional benefits perceived by respondents for their institutions and the actual institutional support provided for FP6 (FP7) activities.

Awareness for selection criteria of EC-funded projects:

- 60% of Russian respondents need to improve their awareness for selection criteria of the funding programmes addressed, compared to only about 30% of European respondents.
- A more deliberate examination of all selection criteria is particularly important for Russian researchers in view of Russia's association to a highly competitive programme like the Framework Programme.

[1] Research and Technological Development

Intellectual Property Rights/IPR:

- European and Russian respondents were likely to avoid complications related to IPR by the type of task which was taken over to the Russian partner and by the type of contractual relationship.
- Russian respondents indicated more challenges in the area of IPR than European respondents.
- With the association of Russia to FP7, in part or in full, it will be essential for Russian researchers participating in FP7 to acquire supplementary skills in the area of IPR.
- Russian researchers need access to affordable consultancy services in order to raise their capacity to utilise and protect their RTD results.

Consortium building:

- European respondents were highly aware of the need for excellent S&T partners in order to improve the competitiveness of their proposals. Russian researchers, especially newcomers, need more awareness towards the strategic design of consortia in terms of S&T complementarity.
- European respondents were more convinced than Russian respondents that newcomers in the Framework Programme are given a chance.
- EU - respondents were more likely than Russian respondents to believe that brilliant names make a difference during the evaluation of proposals by their peers.
- Russian respondents underestimate the importance of involving core countries of the EU into EC-funded projects.

EU-Russia Partnering:

- Existing contacts are well "exploited" for partnering and have a tendency to turn into lasting EU-Russian relationships and networking.
- Partner search for new, highly qualified and suitable partners without previous contacts is a substantial challenge for both sides, Europe and Russia.
- Partnering requests from both sides will dramatically increase and partnering will turn into a big challenge with Russia's association, in part or in full, to FP7.

"Russia-specific"- challenges:

- There is a number of challenges which were considered as "specific to Russia" by both groups of respondents:
  - costly and complicated visa requirements
  - a considerable language barrier
  - restricted opportunities for physical mobility, notably the lack of flexible funding for participation of Russian partners in preparatory and kick-off meetings
  - a lack of project management skills of Russian researchers
  - deficiencies with money transfer and controlling at Russian partner institutions
  - insufficient institutional support in Russia to FP-projects
- Challenges regarded as "specific to Russia" by EU-respondents:
  - a strong hierarchy with limited decision making capability on an operational level
  - insufficient transparency of the Russian administration
  - a less autonomous way of working
  - a rather descriptive style of writing, eg scientific articles
- Challenges regarded as "specific to Russia" by Russian respondents:
  - a lack of international networking, notably of Russian researchers located in Russia's regions
  - a general lack of information about the Framework Programme, notably in Russia's regions
  - a lack of motivation of Russian researchers to contribute to the European Research Area
  - no entitlement to coordinate an FP-project
  - a different culture of self-presentation

Issues related to EU-Russia RTD cooperation:

- In general, EU-Russia RTD cooperation on a researcher-to-researcher level is very good. Russian researchers are considered as very reliable, competent and keen on delivering good results, once they know exactly what they're expected to deliver.
- Personal visits to Russia are essential for the development of reliable and sustainable relationships. Communication improves substantially after a face-to-face meeting. Many European respondents underlined that nothing can replace this personal contact.

- Language is an essential reason for EU-Russia communication hurdles. Russian speaking staff supporting European coordinators is of essential help with communication.
- Russian partner institutions are much more likely to report exactly as required if they know from the start what is needed and which rules to follow. Russian partners have to be considered as mediators to their institutions in need for very precise, correct and well structured information and tools which can be communicated easily.
- International cooperation sometimes puts Russian researchers into conflict with their own institution.
- European coordinators should foresee an appropriate budget for the hiring of a private Russian auditor. Costs for private auditors are high in Russia, and demand is also high.

Perception of the Russian contribution to the overall efforts:

- There is high awareness among respondents about the essential Russian S&T contribution: The Russian S&T contribution to joint projects is regarded as essential by European as well as Russian respondents.
- The Russian contribution to project preparation and management is perceived by European respondents as rather limited. However, Russian respondents assess their own contribution in this area as more significant than their European colleagues.
- Russian researchers are likely to underestimate the scope and complexity of management procedures behind EC-funded projects involving ten or more European and international partners.

Project management issues:

- Only full awareness and high attention for the management requirements will enable Russian researchers to be successful in terms of funding acquisition and project execution in the Framework Programme.
- There are good reasons to separate the project management from the scientific management, but it may also be suitable to unite the tasks in one hand.
- As a matter of fact it is advisable to engage as project manager someone who has a background in the scientific area of the project.

Impact of participation in EC-funded projects:

- The majority of respondents from both groups (70 – 86%) experienced significant personal and scientific recognition among colleagues as well as better career opportunities.
- The majority of respondents from both groups indicated to receive little or no financial recognition.
- There is a tendency showing that a positive impact of European and international cooperation was felt stronger by Russian respondents than by European respondents.

Conclusions

RTD cooperation between Europe and Russia is established and works well. The Russian S&T contribution to joint projects is undisputed among leading European researchers. Russian partners are in high esteem among European FP6 project coordinators because of their scientific competence and personal reliability. Scientific and human relationships among researchers are in general excellent.

However, researchers involved into EU-Russia RTD cooperation face a number of hurdles. Experience and growing participation in FP7 and other EC-programmes will considerably increase the capability of researchers to cope with some of the challenges which were identified by the present report.

As a conclusion we would like to present a set of measures which would essentially help Russian and European researchers, notably newcomers, in EU-Russia RTD cooperation:

On a federal level

- the further development of suitable FP7 support structures in Russia– National Contact Points, Regional Contact Points in Russia's regions – ensuring easy access of researchers to information about FP7, regardless of their location
- facilitation of visa provision to researchers notably in Russia's regions
- the further establishment of suitable support and advisory structures for researchers on legal issues, notably in the field of IPR, to ensure a proactive approach to the dissemination and exploitation of results by Russian partners

- a deeper analyses of the impact of the participation of Russian researchers in EC-funded programmes on individual RTD results, careers and on the S&T output of institutions involved
- the development of career models rewarding a proactive approach to EC-funded international RTD cooperation
- the implementation of proactive measures to raise the awareness of decision makers and heads of institutions for the need to develop institutional strategies for international cooperation incorporating the participation in EC-funding programmes (and bilateral activities of individual EU Member States/ Associated States).

On an institutional level

- the establishment of strategic and lasting support to researchers participating in FP7, such as the provision of information about suitable EC- (and other bilateral) funding programmes and basic rules of participation, open calls, the preparation, management and monitoring of spending of the EC-grants, reporting to the EC, advise and support with legal and financial issues;
- the provision of flexible funding for physical mobility, enabling researchers to participate in preparatory and kick-off meetings, empowering them to formulate proactively their share of the work, proposing themselves their share of the budget
- a transparent and reliable management of EC-funding, in line with the rules of the EC and the contracts which have been signed

On an individual level

- researchers need to acquire complementary skills notably in the areas of project management, proposal writing and languages (English)
- researchers from the EU/AS and Russia need to put right from the start attention to their style of communication as EU-Russia communication seems to be a prominent source for misunderstandings
- visits of European partners to Russia, establishing personal relationships right from the start
- increased awareness of European coordinators for the need to consider Russian researchers as mediators to an administration with little experience in international cooperation

Partnering and consortium building

- increased transparency of the Russian RTD landscape, facilitating partnering for European newcomers in EU-Russia cooperation
- an enhanced information flow from Europe to Russia about consortia under formation to potential Russian partners, EU NCPs could contribute here

Within FP7, the European Community and Russia cooperate even more closely than in FP6, defining jointly RTD topics of mutual interest and benefit, offering specific instruments to encourage an intensified RTD cooperation.

It will be of major importance to develop a straightforward implementation strategy of measures necessary in order to enable Russia and Europe to fully exploit the high potential of EU-Russia RTD cooperation in the upcoming years, notably in case of Russia's association to FP7.

2 CONTEXT OF THE SURVEY

2.1 Context of Work

The present survey was carried out in the framework of the FP6/INCO-project "RUSERA EXE - Expanding the ERA over Russia". RUSERA EXE supports the development of strategic and lasting RTD partnerships between European and Russian researchers for mutual scientific benefit.

RUSERA EXE promotes a more effective use of the mechanisms available for EU-Russia RTD cooperation, encouraging researchers to better exploit the funding opportunities available for developing joint RTD projects and setting up lasting partnerships.

The RUSERA EXE project is based on Regional Information Nodes (RINs) which were established as multipliers for FP6 all over Russia under the successful RUSERA project (funded within FP6/INCO, closed by April 2005). RUSERA EXE involves the five most committed and active Russian members of the RUSERA project - the RINs of Tomsk Polytechnical University, Krasnoyarsk State Technical University, St. Petersburg Electrotechnical University, Uljanovsk State Technical University and the Eastern Siberian State University of Technology in Ulan-Ude.
Project activities comprised two EU-Russian training workshops for research managers, mutual working visits of European and Russian researchers and the implementation of a survey on EU-Russian RTD cooperation.

Improved FP7-knowledge and practical advice skills will enable Russian RINs to promote FP7 notably in Russian regions. At the same time, the project aims at raising the awareness of the European RTD community for the significant research potential of a variety of Russian regions for FP7.

RUSERA EXE was running from January 2007 to the end of 2008.
RUSERA EXE was coordinated by the Association for Engineering Education of Russia (AEER). The Austrian Research Promotion Agency (FFG) and the Greek National Documentation Centre (EKT/NHRF) are partners.

For more information about RUSERA EXE, please contact the coordinator:
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http://www.rusera-exe.ru

2.2 Purpose of the Report

The aim of the present survey was to get insight into practical hurdles and experiences of EU-Russian RTD cooperation. The survey is based on the experiences and views of individual researchers in Europe and Russia.

The purpose of the report is to serve as a supporting tool for regional and national FP7-multipliers and contact points in Europe and Russia. The aim is to raise their awareness for individual experiences made by researchers. It should increase the comprehension and capacity of FP7-multipliers and NCPs to consult and support researchers in Europe and Russia when establishing and implementing EU-Russian RTD cooperation projects.

2.3 Methodology

The report is based on an online survey and semi-structured interviews. The tools were conceived by FFG in consultation with two Russian experts, Yuri Melnikov, INTAS office, Brussels, and Elena Rovenskaya, IIASA, Vienna/ MSU, Moscow. The survey and the interviews were carried out by FFG among researchers in Europe between June and October 2007.

In parallel, the survey among the Russian target groups was carried out by the Russian partners of RUSERA EXE (the RINs mentioned above):

- Ms. Olga Gashouk, AEER, Tomsk Polytechnic University
- Ms. Bairma Tsibikdorzhieva, AEER, Eastern Siberian State Technical University of Ulan Ude
- Mr. Alexey Ivanov, AEER, St.Petersburg State Electrotechnical University
- Ms. Natalia Klimchuk, AEER, Krasnoyarsk State Technical University
- Mr. Vadym Shiskin, AEER, Uljanovsk State Technical University

Questionnaires used for the survey are included in Annexes 8 and 9.

2.4 Target Groups of the Survey

104 respondents from Europe and Russia took part in the online survey. There are 66 respondents from Russia and 38 from Europe.

Furthermore, 46 semi structured interviews were carried out among these respondents.

Nearly 90% of the European respondents and 70% of Russian respondents to the survey were involved into projects which were successful with funding acquisition. The majority of projects which received funding is either currently implemented[2] (70%) or finished (30%).

Respondents addressed for the majority FP6 (54% of European/ 40% of Russian respondents) for funding, followed by INTAS (22,9% of European/ 19,8% of Russian respondents). Furthermore, respondents were involved into TEMPUS, TACIS and joint bilateral programmes of Russia and individual EU Member States.

All European respondents which were interviewed are coordinators of FP6-projects which were actually funded.

We may conclude that the individual experiences compiled reflect up-to-date experiences made for the majority within ongoing RTD-cooperation projects which were funded through competitive calls for proposals, for the majority in FP6.

More details about the target groups, their institutions and the position of the respondents can be found in Annex 1, page 69.

[2] *The survey was carried out between June and October 2007.*

2.5 Annexes

The annexes include a broad spectrum of background information, such as a list of quotations from respondents from the EU and Russia, examples of good practise of institutional support in the EU, an overview of current institutional support in Russia, an outline of the situation with IPR in Russia, examples of bilateral cooperation activities funded by individual Member States and the questionnaires of the survey.

2.6 Authors and Contributors

Petra Reiter, Austrian Research Promotion Agency / European and International Programmes

Petra Reiter is the main author of the handbook. She is project manager of the RUSERA EXE project at FFG/ European and International Programmes. Petra Reiter is responsible for the cooperation with Russia at FFG/ European and International Programmes.

Petra Reiter has been managing EC funded projects targeting RTD cooperation with Russia at FFG since July 2004. Before, she was working for 9 years as project manager, programme coordinator and consultant with EC-programmes in the field of education.

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Dr. Olga Mazurina is Head of Department on International Scientific and Educational Management of Tomsk Polytechnic University/TPU since 2001. She graduated at TPU on "Electroisolation and Cable Techniques" and holds a PhD in Social Philosophy. Dr. Mazurina has 16 years of experience in EU-Russia collaboration; Latest FP6-projects are:

- "RUSERA – Supporting Participation of Russian Regions in EU-RTD Programmes" FP6/INCO (coordinator)
- "SITE – Siberia, Information Technologies and Europe" IST-FP6 (partner)
- "RUSERA-EXE – Expanding ERA over Russia" FP6/INCO (coordinator)

Olga Gashouk, Tomsk Polytechnical University

Olga Gashouk is project manager at the Department on International Scientific and Educational Management at Tomsk Polytechnic University (Russia).

Within RUSERA-EXE, Olga Gashouk was Regional Manager of the Tomsk Regional Information Node (RIN). Besides, Ms. Gashouk has been participating in the following EC RTD projects since 1998: ENRIN project (" A Proposal to Enhance Co-operation of European and Russian Industry by Regional Information Nodes for IT-RTD in Russia"), Esprit Project No. 29591, (1998-2000); SITE project ("Siberia, Information Technologies and Europe"), FP6-IST-004123, (2004 – 2006).

Bairma Tsibikdorzhieva, Eastern Siberian State Technical University of Ulan Ude

Bairma Tsybikdorzhieva is manager of the RUSERA EXE Regional Information Node in the Baikal Region. She works as Assistant of the Vice-Rector in International Collaboration and Complementary Education in the ESSTU and is responsible for coordination of the activities in the frame of the international projects, for support of local research groups in elaboration of international projects. She is Assistant Professor and teaches at the Institute for Economics and Law of ESSTU.

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Alexey Ivanov is manager of the RUSERA EXE Regional Information Node in St. Petersburg and Russian Regional Information Point for FP6/FP7 nominated by INTAS. He is responsible for promoting and supporting leading local research groups and heads International Projects Office at the University with establishing and implementing international cooperation.

Since 1996, he operates as financial manager and organizational expert in FP projects, including NoE, STREP, SSA in FP6/FP7 IST/ICT and NMP thematic priorities.

Natalia M. Edwards, Krasnoyarsk State Technical University

Natalia M. Edwards has been the manager of the Regional Information Node at Krasnoyarsk State Technical University for four years. Ms. Edwards, a researcher, professor of English and RTD manager at the university, supports local research teams with developing international projects in research (FP6/FP7) and education (TEMPUS etc).

She participated in the SITE project as well as in RUSERA EXE. Ms. Edwards has been gaining special competence on cross-cultural aspects on EU-Russia RTD cooperation.

Vadym Shishkin, Uljanovsk State Technical University

Prof. Dr.Vadim Shishkin is the project manager of the RUSERA EXE project at Ulyanovsk Regional Information Node. He is the dean of the Faculty of Information Systems and Technologies of Ulyanovsk State Technical University (UlSTU). Vadim Shishkin is responsible for the international cooperation at UlSTU. He manages 4 EC funded projects targeting international RTD cooperation. His research activities are in the fields of embedded systems, real time operating systems, soft and hybrid computing.

Dr. Alexandra Bykova, Research und Innovation Policy Consultant

Dr. Alexandra Bykova collected and analysed background information on IPR issues and the Russian RTD landscape on behalf of FFG and contributed an article on IPR to the present report.

Ms. Bykova obtained her PhD in Economics in 2003 at Moscow State Lomonosov University. She was directly involved in the development of the Russian research and innovation policy as head of a division at the Ministry of Science, Industry and Education of the Russian Federation in 1999-2002. Ms. Bykova provided also expert advice on the Russian science und innovation system within the EC-funded FP6 project BS-RESPOT (Research Potential of the Black Sea Countries).

3 OUTCOMES OF THE SURVEY

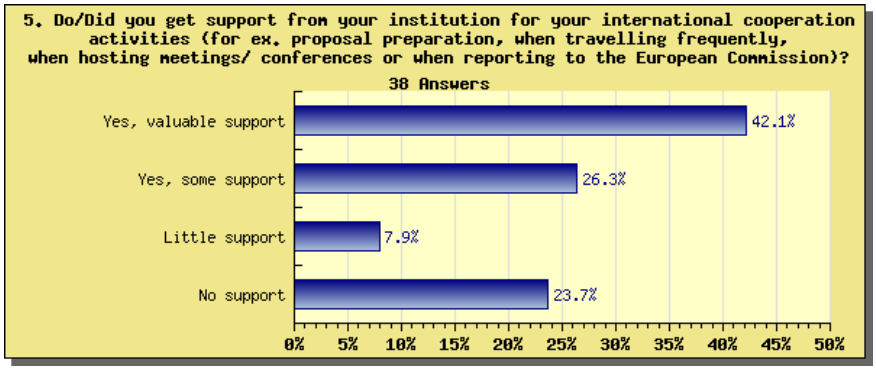
The analysis of the outcomes of the survey is structured according to the questions of the survey. There are five chapters, each chapter consists of the results of the survey (diagrams), an explanation of the answers of respondents from both sides (online survey, semi-structured interviews), key messages and suggestions for further action.

3.1 Institutional Support to international cooperation

3.1.1 Institutional support to international cooperation

Institutional support is essential in order to enable researchers to participate successfully in competitive EC-funding programmes like FP6 or FP7. The survey included questions to European and Russian respondents about the institutional support to international cooperation.

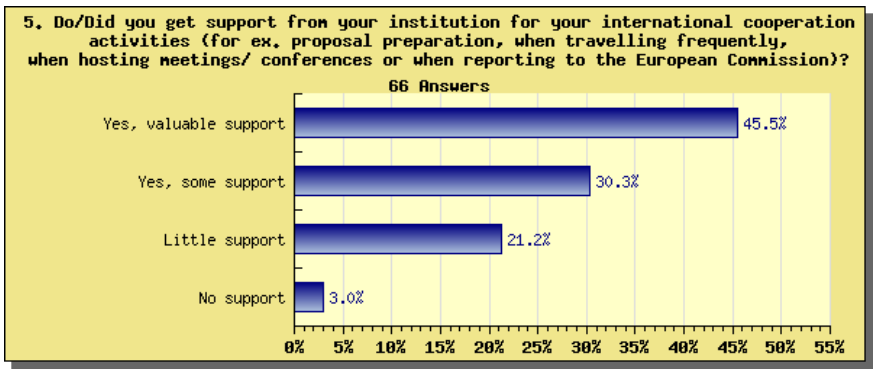
European respondents



Explanation:

The majority of European and Russian respondents indicated to receive actually considerable institutional support. Russian respondents specified even a higher degree of institutional support than European respondents. However, nearly one third of European respondents and one fifth of Russian respondents declared to receive "little support" or "no support" from their institution.

Russian respondents



Questioned about the type of support received, the majority of European respondents interviewed (all coordinators of FP6-projects) explained that they receive mainly support on administrative and financial management tasks. Offices, departments or dedicated staff for EU- and international RTD cooperation provide valuable support with tasks like the collection, explanation, completion and checking of administrative and financial information and FP-forms to be completed. However, European respondents underlined that it was not possible to hand over the writing of scientific parts of proposals to administrative staff.

Russian respondents mainly mentioned institutional support to the processing of invitations and visa.

When asked about the support they miss, European interviewees were not very demanding. Many felt that anyway they needed to do the work themselves, because of the nature of skills and competence required. Russian respondents mentioned the need for more information on FP7, support for partner search, support with communicating in English, support with financial and administrative management and support with human resources management. Examples of European as well as Russian respondents can be found in Annex 2, page 72.

Key messages:

- Successful European coordinators of FP6-projects benefit from a diverse spectrum of institutional support - in terms of type, structure and scope - to participation in EC-funded programmes like FP6 (FP7) . Institutional support depends on the type of institution involved and on the scope of international activities. Institutional support with managing administrative and financial issues related to FP7 is essential in order to foster success with proposal development and project management.
- Ongoing learning by doing, good networking and regular training are crucial for administrative staff providing institutional support.
- Due to the scientific insight required, proposal writing and management of the scientific parts is done by the coordinators themselves (eg proposal writing), combined with staff (a project manager, a scientific manager) working

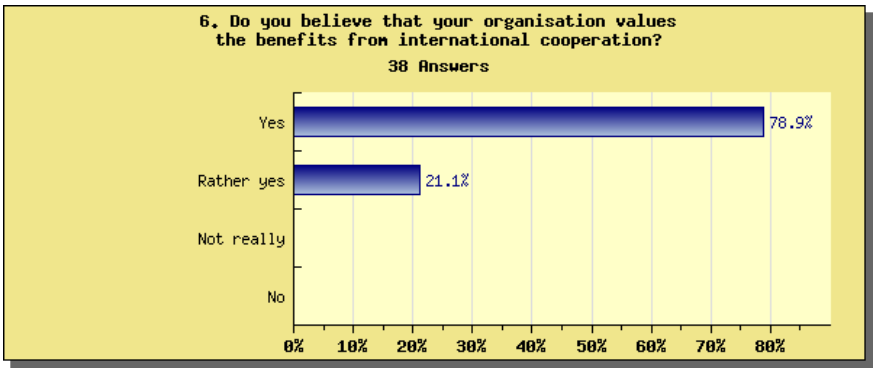
Suggestions for further action:

- Institutional administrative support for most active institutions should cover support to proposal development incl. tasks like the provision of up-to-date information about FP7, the calculation and monitoring of spending of the institutional FP-budget share and a professional approach to the protection of Intellectual Property Rights/IPR. Furthermore, a suitable institutional approach to project monitoring and reporting to the European Commission is necessary.
- Targeted trainings for the Russian administration behind individual researchers/ research teams involved in EC-funding programmes would be most suitable.
- Please see "Examples of European best practice of institutional support", Annex 3, page 77, to consult some brief case studies of well functioning international cooperation offices (Vienna Technical University, Helmholtz Center for Environmental Research, Finnish Environmental Institute/ SYKE)
- Please see also Institutional support in Russia, Annex 4, page 80, to gain a brief overview of institutional support to international cooperation in Russia (universities, RAS).

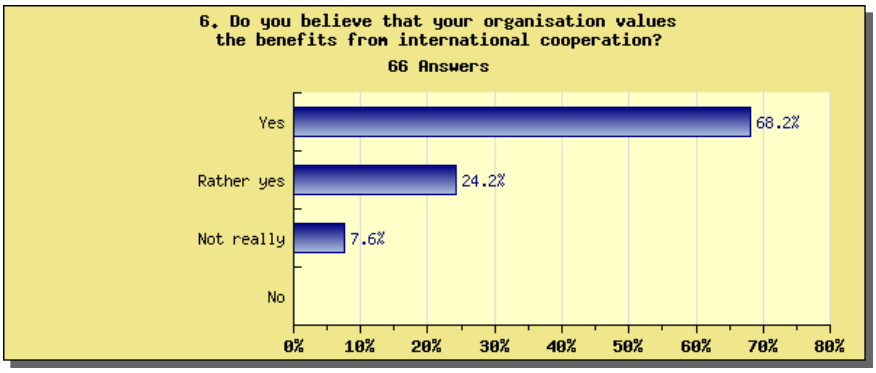
3.1.2 Perception of institutional benefits

How do institutions value the benefits of international cooperation? The institutional support provided to researchers involved in international cooperation activities can be considered as an indicator of the value given by the institution to this type of activities.

European Respondents



Russian respondents



Explanation:

The overwhelming majority of European and Russian respondents is convinced that their respective institution appreciates the benefits of international cooperation. European interviewees mentioned e.g. the identification of new research areas, new methods and additional funding as benefits. European respondents also underlined the high scientific quality of the Russian contribution. Russian respondents named e.g. an increased potential for innovation, a better understanding of the state-of-the-art of research, additional opportunities for sharing knowledge, experiences, technologies and products, increased academic mobility, more awareness in Europe about research activities of Russian institutions, additional funding and the possibility to purchase equipment.

Key messages:

- European and Russian respondents perceive a wide range of benefits for their institution which result from international cooperation.
- The acquisition of additional funding is an important incentive and benefit, but respondents are very clear that there is a much wider range of institutional benefits.
- In particular for Russia, there is a gap between the institutional benefits perceived by respondents for their institutions and the actual institutional support provided for FP6/FP7 activities.

Suggestions for further action:

EC-funded projects and their multiple benefits need visibility within participating institutions. It is important to raise the awareness and interest for the short-term, mid-term and long-term benefits of international cooperation at the level of heads of institutions, as well as at the level of colleagues and administrative staff. Information and knowledge are likely to raise interest and curiosity.

Dissemination and exploitation therefore starts in the own organisation. Decision makers need to be provided with early information about prospective tangible outcomes in order to be able to take appropriate decisions (eg human resources, trainings, international mobility).

Participation in EC-funding programmes can be of high value to institutions if they consider international projects as a strategic issue for organisational development. EC-funded projects can help institutions to develop their areas of strategic interest.

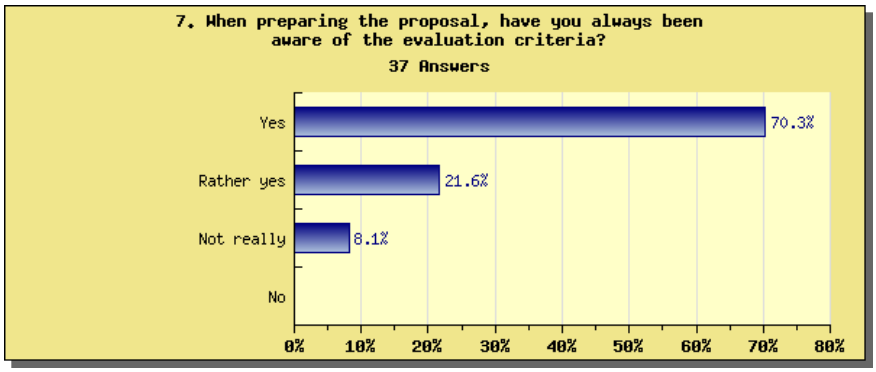
Furthermore, it should not be denied that EC-funded projects contain also risks and may sometimes cause difficulties. This is another reason why it is important to secure an institutional backing by decision makers, ensuring their willingness to face also challenging periods.

3.2 Proposal Preparation and Consortium Building

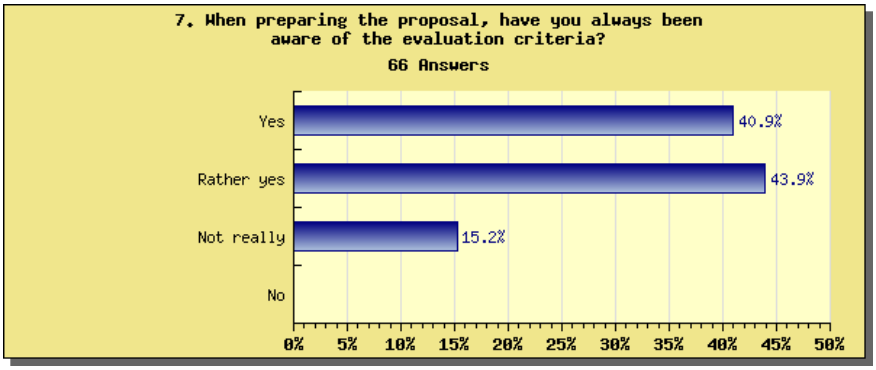
3.2.1 Awareness for the selection criteria

FP7 is a highly competitive programme. Excellent proposals compete, even more with growing experience also inside the EU. Scientific excellence is therefore only one precondition for success. To mind every single selection criteria is an essential requirement for successful participation.

European respondents:



Russian respondents



Explanation:

Both groups demonstrated a rather high awareness of the selection criteria. However, only 40,9% of Russian respondents indicate that they were fully aware of the selection criteria as compared to 70,3% of Europeans. It should be noted that about 30% of Russian respondents were involved in proposals which failed to acquire EC-funding (see Target groups in detail, Annex 1, page 69).

60% of Russian respondents need to improve their awareness for selection criteria of the funding programmes addressed, compared to only about 30% of European respondents.

Key messages:

- 60% of Russian respondents need to improve their awareness for selection criteria of funding programmes addressed, compared to only 30% of European respondents.
- A more deliberate examination of all selection criteria is particularly important for Russian researchers in view of Russia's association to a highly competitive programme like the Framework Programme.

Suggestions for further action:

FP7 is highly competitive, it is clear that only the very best proposals, meeting exactly the selection criteria, have a chance to be selected for funding.

See the EC-Guide: "Rules for the submission of proposals, and the related evaluation selection and award procedures"

It is necessary to read carefully the basic guide of the European Commission how the submission, evaluation and selection of proposals works at European level. This guide is available at the "Find a document"-section of CORDIS:

ftp://ftp.cordis.europa.eu/pub/fp7/docs/fp7-evrules_en.pdf

Serving as evaluator

Getting involved as evaluator ist the best way for becoming familiar with the requirements and selection mechanisms of FP7. Evaluators have to work exactly along published selection criteria. Russian researchers and research managers are entitled to work as evaluator for FP7. Please visit the following website and register:

http://cordis.europa.eu/emmfp7/

Understanding the Work Programmes

Proposals have to address exactly the specific topic announced in a given call for proposals in order to be eligible for the selection process. More information about the preparation of Work Programmes in FP7, when and how they are prepared, who influences the definition of topics and how, can be found in the following publication:

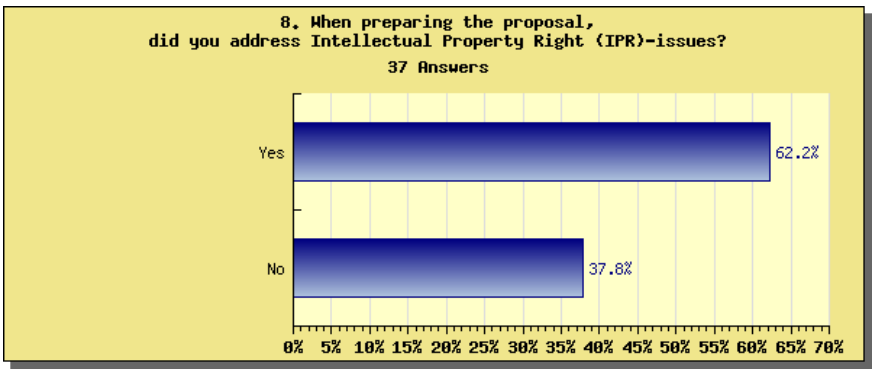
"A rough guide to the FP7 Work Programmes. Who can be involved in the preparation? What to do, when and how?" Publication date: March 2008, Government Offices of Sweden, Copies can be ordered at Skantz Distribution AB, eMail: rk@skantzdistribution.nu

3.2.2 Intellectual Property Rights / IPR

IPR are amongst the most crucial issues in international cross-border cooperation projects involving a diversity of players like for ex. universities, RTD institutes and SME. Furthermore, international projects are embedded into different legal systems.

a) When preparing a proposal, did you address IPR-issues?

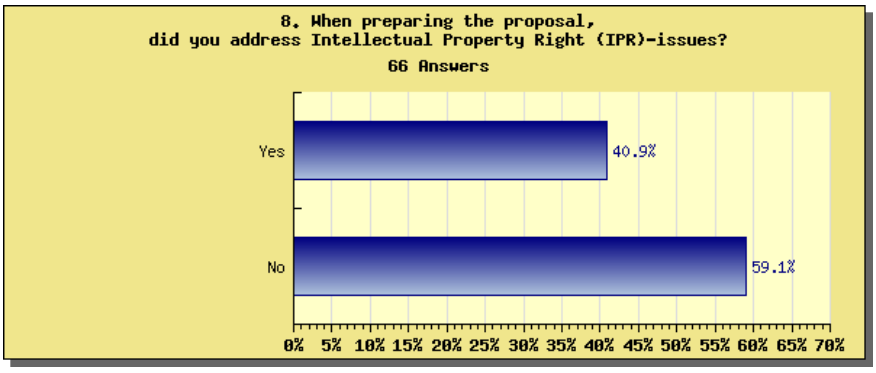
European respondents:



Explanation:

62% of European and 40,9% of Russian respond-ents indicated that they addressed IPR when preparing a proposal. The relatively high share of Russian respondents who actually addressed IPR issues during proposal preparation indicates that IPR awareness is increasing among the most active and leading Russian researchers.

Russian respondents:



European respondents explained that they either used the same procedures with their Russian partners as with any other partners, or avoided from the start to hand over tasks to their Russian partners which could result in difficulties with IPR. Several European respondents said that research carried out in their projects by Russian partners were rather of fundamental research nature, thus IRP issues were insignificant.

Russian respondents refer to regulations of the Russian Academy of Sciences, to departments at their university which deal with issues related to IPR, to the new Russian law, and also to their European partners if they have to define IPR during proposal preparation. Some Russian respondents also explained that they would handle IPR later, at the stage of contracts and agreements.

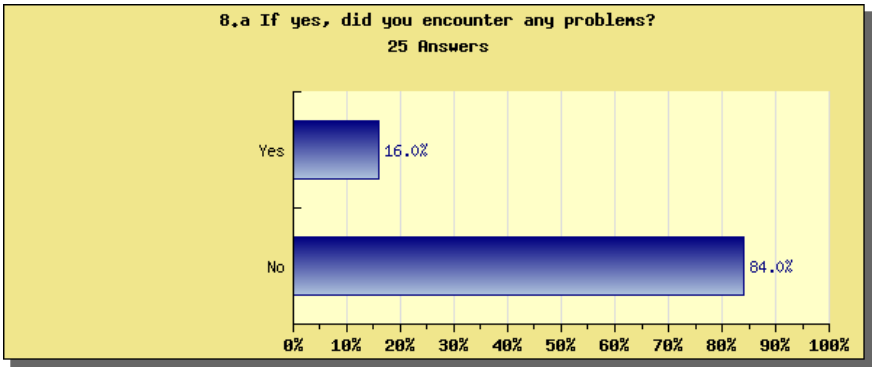
The professional handling of IPR in Russia is currently costly, rather hard to find and most of the times unaffordable for researchers. Russian researchers have usually little experience with the practical application of IPR in the domestic market.

Key messages:

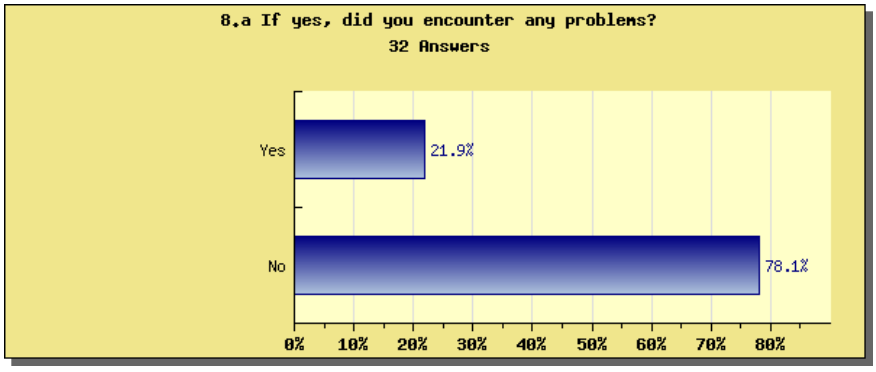
- European and Russian respondents tried to reduce complexity related to IPR by the type of task taken over by the Russian partner and by the type of contractual relationship.
- The most active and leading Russian researchers are well informed about IPR, but many researchers face a difficult situation.
- Russian respondents catched the importance of professional handling of IPR, but the majority critically needs to improve their knowledge of IPR.

b) When addressing IPR issues during proposal preparation, did you encounter problems?

European respondents:



Russian respondents:



Explanation:

Despite of the basic sensitivity of IPR issues, only 16% of the EU respondents and 21,9 % of Russian respondents actually experienced problems in this area during the project implementation phase. The relatively low level of difficulties can be explained by what was mentioned before:

- avoidance of activities/ outcomes which might lead to IPR difficulties by both groups of respondents
- the fact that Russian researchers often carry out RTD of fundamental nature
- for the most active and advanced Russian researchers, the fact that they are already used to deal with IPR in a professional way

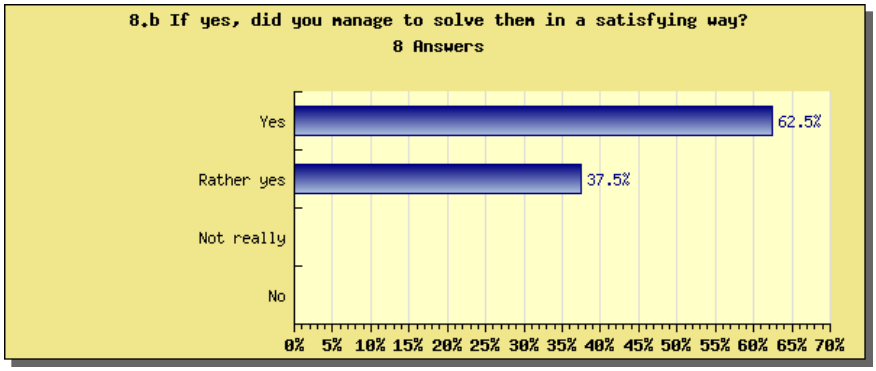
However, there is a minority of respondents who experienced difficulties.

Key messages:

- As researchers usually avoided to get into difficulties related to IPR, IPR didn't create serious problems among the majority of the respondents to this survey.
- Russian respondents indicated more challenges in the area of IPR than European respondents.

c) If you had problems with IPR during project implementation, did you manage to solve them?

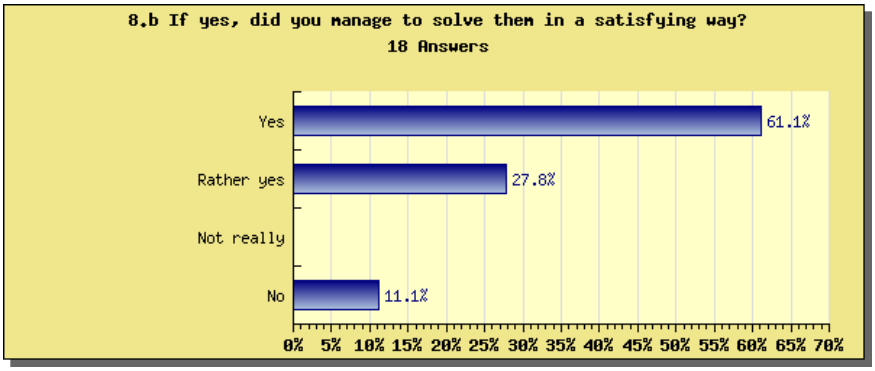
European respondents:



Explanation:

Following previous diagrams, 16% of European respondents and 21% of Russian respondents experienced IPR problems when cooperating. All EU-respondents managed to sort out upcoming problems to their satisfaction. This was not the case for 10%

Russian respondents:



of Russian respondents who experienced IPR problems with their European partners.

It should be noted that since 2004, a number of Technology Transfer Centres have been established in Russian regions with the support of the Russian federal budget. They are now providing professional support in IPR-related issues. Universities and institutes of the RAS begin to establish technology transfer departments in order to facilitate tackling of IPR issues for researchers. Furthermore, several EC-funded TACIS projects on RTD commercialisation contribute to an increased awareness of IPR protection and commercial use in Russia.

The TACIS-project "Improving the framework for international cooperation. Fostering European and International Cooperation of Russian RTD institution: A Strategic Approach to Innovation at the example of Life Sciences", carried out by the German Ministry for Science and Research, German Ministry for Economy and Technology, and by MOES, recommends an entire set of activities:

- an evaluation of the Russian legal framework of IPR
- an increased transparency of rules and greater accessibility to information via the Internet
- the setting up of a national consultancy service
- the provision of model contracts
- the development of a national programme stimulating international patenting and utilisation of Russian Intellectual Property

Key messages:

- With the association of Russia to FP7, in part or in full, it will be essential for Russian researchers participating in FP7 to acquire supplementary skills in the area of IPR.
- Russian researchers need access to affordable consultancy services in order to raise their capacity to utilise and protect their RTD results.

Suggestions for further action:

Research results and results of technological developments of FP6 (resp. FP7) projects normally must be orientated towards their application by policy makers, public bodies and/or industry.
Awareness for IPR is essential for the timely protection of results, and a smooth cooperation incl. the exploitation of results.

When to address IPR?

There are three milestones for the handling of IPR in projects which proposers should address proactively in their own interest:

- IPR need to be addressed in FP7 at the stage of proposal writing, as the approach to the dissemination and exploitation of results forms an essential part of the criteria "Impact".
- The second milestone for the handling of IPR is the Consortium Agreement which should be signed before the contract with the European Commission is signed. At this point, decisions about the future dissemination and exploitation of RTD results are fixed.
- The third milestone is during project implementation and follow up, when results actually need to be disseminated and exploited.

Publications, websites and other support offered by the European Commission

- **EC Rules for participation**

  Basic information about IPR is contained in the EC RULES FOR PARTICIPATION. The Rules for Participation can be found on CORDIS, at the "Find a document"- section (FP7 Legal Basis):

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

Helpful documents can be found here:

- **Guide to Intellectual Property Rules for FP7 Projects**

  ftp://ftp.cordis.europa.eu/pub/fp7/docs/ipr_en.pdf

- **Why researchers should care about patents**

  http://ec.europa.eu/invest-in-research/pdf/download_en/patents_for_researchers.pdf

- **Intellectual Property Website of the European Commission**

  http://ec.europa.eu/invest-in-research/policy/ipr_en.htm

- **Commission recommendation on the management of IPR in knowledge transfer activities and Code of Practice for Universities and other public research organisations** (text with EEA relevance), Brussels, 10 April 2008, C(2008) 1329

  http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2008:146:0019:0024:EN:PDF

- **IPR Helpdesk**

  The European Commission supports a helpdesk to provide support to a smooth dissemination and exploitation of RTD results. The IPR helpdesk is a very helpful body which provides useful support and advise to researchers when it comes to dealing with IPR. It is recommendable to make use of this service:

  http://www.ipr-helpdesk.org/

Dissemination and exploitation strategies

Dissemination and exploitation strategies are required **before** the Consortium Agreement is signed between all members of a consortium. The Consortium Agreement contains rules about access rights, licenses, patents etc. A checklist for a Consortium Agreement for FP7 projects can be found on CORDIS, Find a document section:

- **Checklist for a Consortium Agreement for FP7 projects**

  ftp://ftp.cordis.europa.eu/pub/fp7/docs/checklist_en.pdf

- **Model consortium agreement**

  A Model consortium agreement which is widely used can be found on the following website:

  http://www.desca-fp7.eu/download-desca/

  It is highly recommended to read a Consortium Agreement carefully and to consult a legal expert before signing it.

IPR in the Russian Federation?

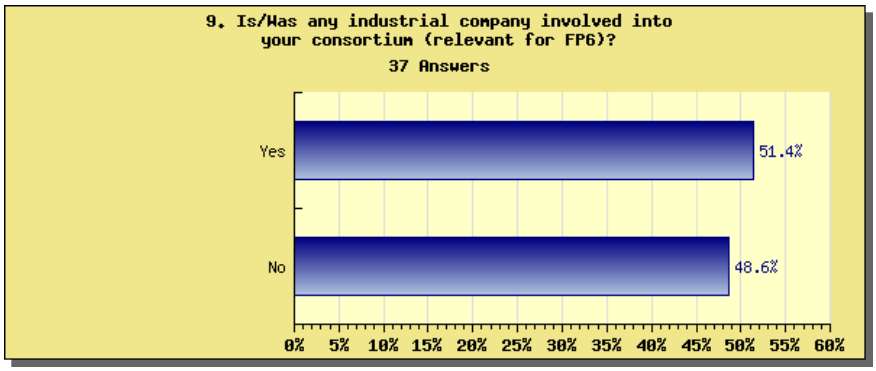
Researchers will find a brief overview of the situation in the field of IPR in Russia in Annex 5, page 81. "Intellectual property rights in Russia", prepared for the RUSERA EXE project by Dr. Alexandra Bykova.

3.2.3 Involvement of an industrial company

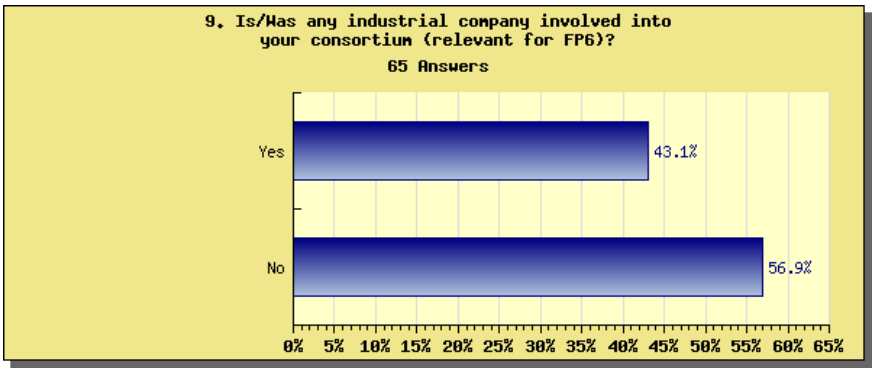
In FP6, the involvement of industrial companies, including SME's, was strongly recommended in particular in Thematic Priorities with close links to industry.

a) Any company?

European respondents:



Russian respondents:

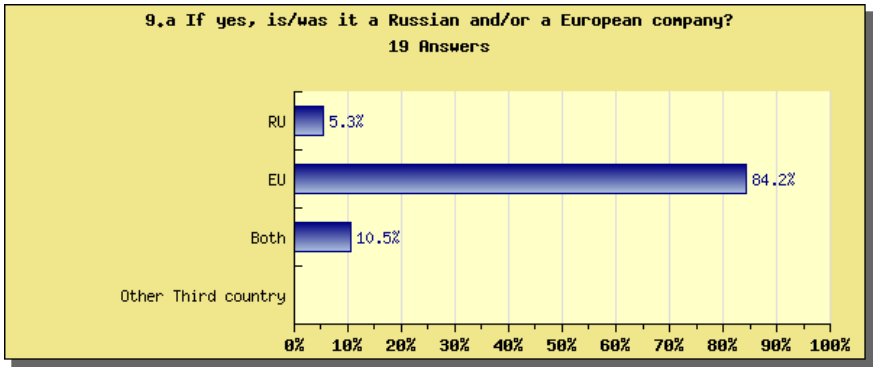


Explanation:

54% of European respondents were coordinating an FP6 project. 40,6 % of Russian respondents were partners in FP6 projects. This explains the high percentage of industrial companies involved into their consortia.

b) A European and/or a Russian company?

European respondents:

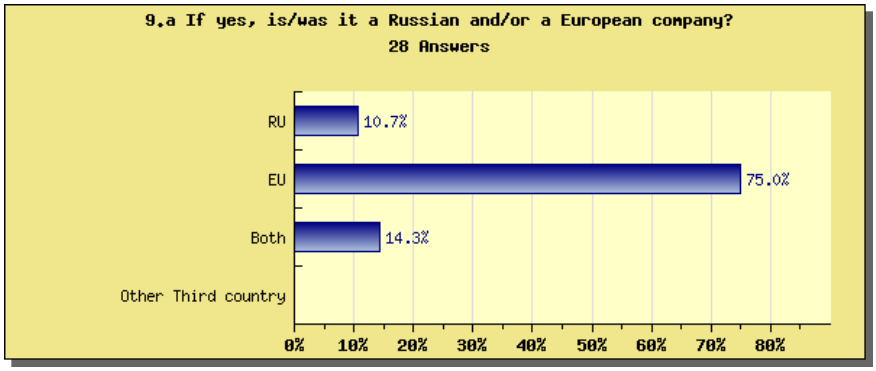


Explanation:

Europe has a long tradition of cooperation between academic institutions and research institutions, compared to Russia where the number of SME carrying out RTD is much smaller.

FP7 comprises some considerable barriers for SME although SME can act more flexible and have a less hierarchical structure than for example large Russian RTD organisations. But there is little experience how to deal with the administrative and financial requirements of FP7. The number of European

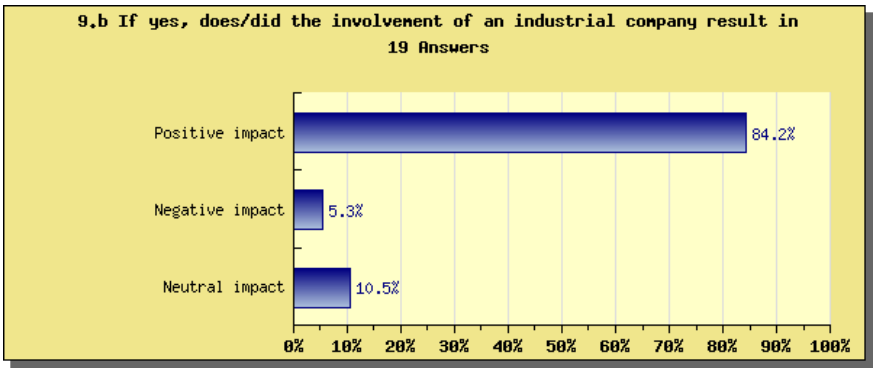
Russian respondents:



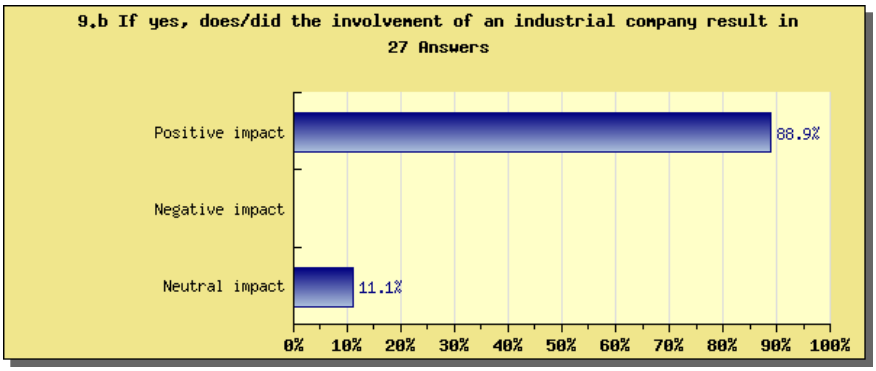
companies involved into EC-funded projects is by consequence much higher than the number of Russian companies.

c) Impact of involving a company

European respondents:



Russian respondents:



Explanation:

The impact of involving a company was considered by the majority of respondents as positive.

No Russian respondent indicated a negative impact due to the participation of industrial companies. Russian respondents underlined the benefits offered thanks to their cooperation with industrial partners: They said that international projects offered them opportunities to change the way of thinking, notably attitudes related to the exploitation resp. commercialisation of RTD results.

Key messages:

- It was and is a crucial principle of FP6 and FP7 to enhance science-industry partnerships.
- The majority of respondents communicated positive experiences
- The exploitation of RTD results forms an important criterion for the success of a proposal (Part "Impact" of the proposal). The involvement of companies can constitute an important step towards future exploitation.

Suggestions for further action:

Science-industry partnerships unite different cultures and different interests:

Researchers want to carry out research and publish scientific articles, industry wants to protect and commercialise RTD. This context may lead to diverging interests which need to be protected. Researchers have to be careful to utilise their RTD results and safeguard their intellectual property when working with industrial partners.

In Russia, GATE2RuBIN, the "Gate to Russian Business and Innovation Network" has been established to enhance cooperation between science and industry. Researchers can contact this network for issues related to science – industry partnerships, notably if they wish to involve an SME. Another purpose of GATE2RuBIN is to assist in the development of business and technological co-operation between SMEs and RTD organizations of Russia and the European Union.

GATE2RuBIN is the Russian counterpart to the new business innovation network in Europe – the ENTERPRISE EUROPE NETWORK.

More information can be found at:

- Gate2RuBIN: http://www.gate2rubin.ru
- Enterprise Europe Network: http://www.enterprise-europe-network.ec.europa.eu/index_en.htm

3.2.4 Expected contribution from European / international partners

The Framework Programme unites the concepts of competition and cooperation.

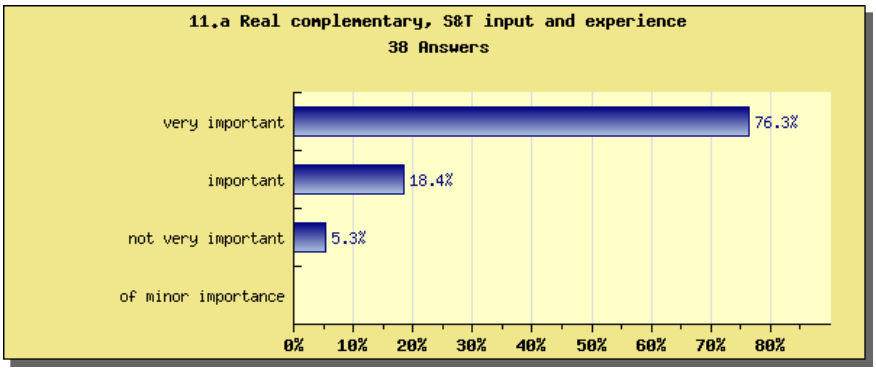
Partnering and consortium building is an essential element on the road to successful funding acquisition. The survey comprised questions on how important respondents considered

a. the real, complementary S&T input and experience of future partners
b. essential help with proposal preparation and management
c. the contribution to meet formal requirements of the European Commission

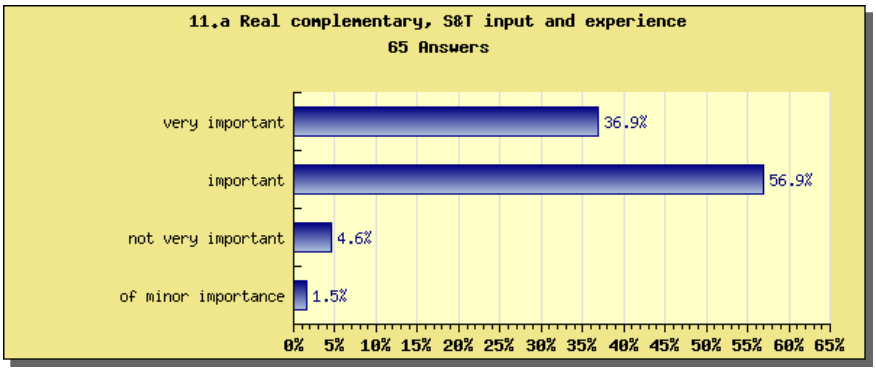
when trying to design a consortium.

a) How important do you consider the real complementary S&T input and experience of your European partners (or other international partners) when you try to design a consortium?

European respondents:



Russian respondents:



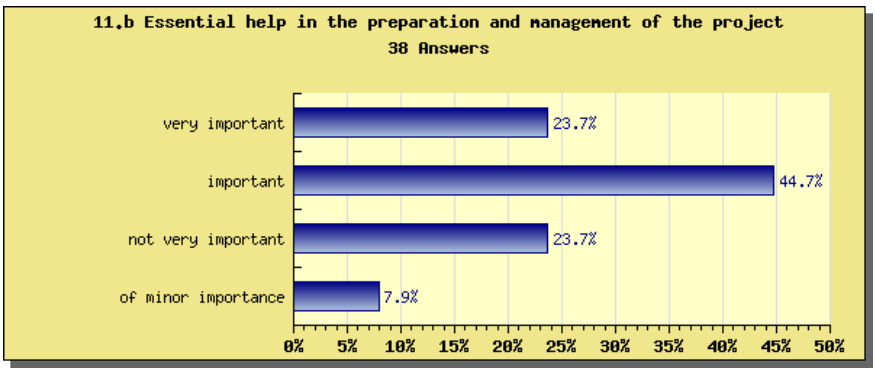
Explanation:

A rather high percentage of European respondents – 76,3 % compared to only 36,9% of Russian respondents - considered the "real, complementary S&T input and experience" from their European and international partners as "very important".

The percentage of European and Russian respondents who treated the S&T input and experience of their partners as "not very important" or "of minor importance" when building a consortium is similarly low.

b) How important do you consider essential help in the preparation and management of the project of your European partners (or other international partners) when you try to design a consortium?

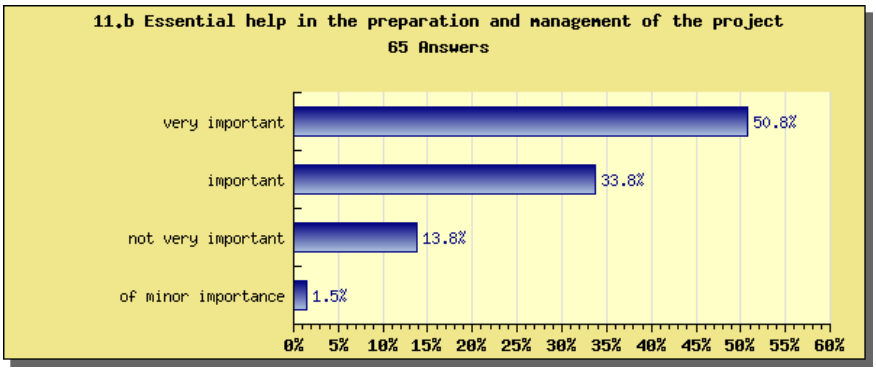
European respondents:



Explanation:

Only 23,7% of European respondents considered essential help with the preparation and the management of the project

Russian respondents:

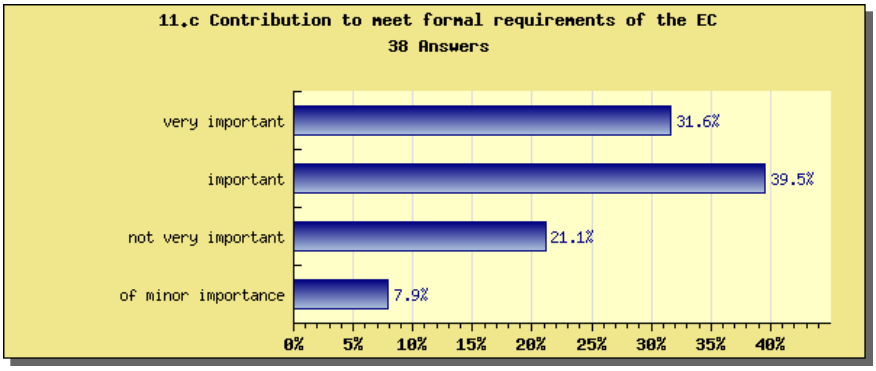


from their partners as very important. This percentage is much higher on the Russian side: Essential help in the preparation and management of the project is regarded by 50,8 % of Russian respondents as "very important".

European respondents appreciated partners who were fit in proposal preparation, but they were not in an essential need for support with these tasks.

c) How important do you consider the contribution of your partners to meet formal requirements from the European Commission when you try to design a consortium?

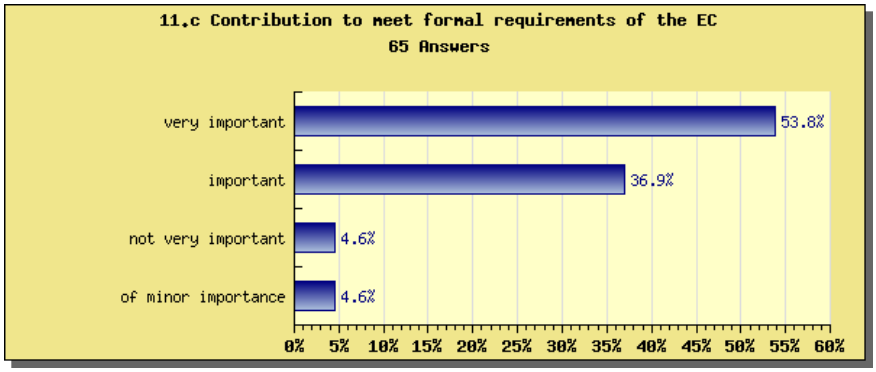
European respondents:



Explanation:

The need to meet formal requirements was important, but not the main motivation for European respondents when they tried to design a consortium. For example, the number of consortium members in projects frequently exceeds the minimum requirements. Russian respondents considered the need to fulfil formal requirements more frequently as "very important".

Russian respondents:



Russian respondents perceived a valuable contribution of EU-partners to proposal preparation and management and to meeting formal criteria more frequently as "very important" than the real complementary S&T input and experience of future partners. These results indicate that, when participating in the design of a competitive consortium, Russian respondents considered themselves as less dependent on the S&T input of their international partners than European respondents.

European respondents, most of them experienced coordinators, were rather accustomed to transnational and international S&T cooperation.

Russian researchers were accustomed in the past to carry out S&T by themselves, without international support and cooperation. Due to the lack of experience with international RTD cooperation (apart from a

small group of researchers) and the lack of contacts to the European research community Russian respondents felt more challenged by the proposal preparation and the need to fulfil formal criteria.

Key messages:

- The added value of the European and international cooperation to the S&T outcomes is an essential criterion for getting European funding.
- Consortia need to be designed in a strategic way in terms of S&T complementarity.
- European respondents are highly aware of the need for perfect S&T partners to improve the competitiveness of their proposal. Russian researchers, especially newcomers, need more awareness for this requirement.

Suggestions for further action:

The European Commission manages FP7 in order to solve challenges which can't be solved by individual Member States. FP7 is therefore an essential European policy instrument to look for solutions to problems which can only be solved on a transnational and international level.

Consortium building in FP7 has to consider the following aspects:

- There is no strict line how consortia should look like as this depends on many parameters, like the FP7-Theme, the topic, the funding scheme (eg. small or large collaborative project, research for the benefit of SME etc), the size and scope of the project. Information about specific requirements can be found in detail in the resp. Call for Proposals and in the respective Work Programme.

  However, as a general rule, FP7 is likely to support cooperation across the borders, across different sectors and between different types of players:

  Industrial partners (notably SME) and public research organisations or academic institutions, commercial and non-commercial organisations are strongly encouraged to cooperate.

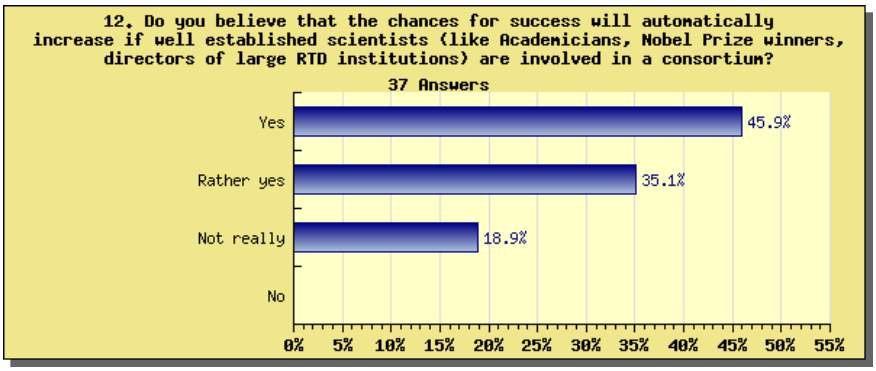
  The basic idea behind is that different cultures, competences and skills create synergies and enhance the finding of innovative solutions and applications.

- Secondly, FP7 is a programme promoting excellence. It is necessary to unite in a consortium the best European, Russian and if appropriate, other international players active in the field. Normally, the core of the consortium should be located in the EU. However, depending on the call, this may vary. In FP7, the involvement of international partners has become a strategic objective. Russia, as a strategic partner of the EU, is invited to encourage cooperation of leading Russian researchers with European colleagues to solve problems of mutual interest.
- Thirdly, the consortium partners need to represent complementarity and not the same skills and competences. Cooperation should support the creation of synergies and mutual benefit. The evaluation will analyse how a consortium will jointly address a problem. Each partner needs to be justified in terms of the cost-benefit ratio. The inclusion of partners for the sake of fulfilling formal criteria should be avoided because this definitely decreases the chances for success.
- S&T complementarity is realised if an added S&T value results from the S&T synergies and cooperation among the partners.

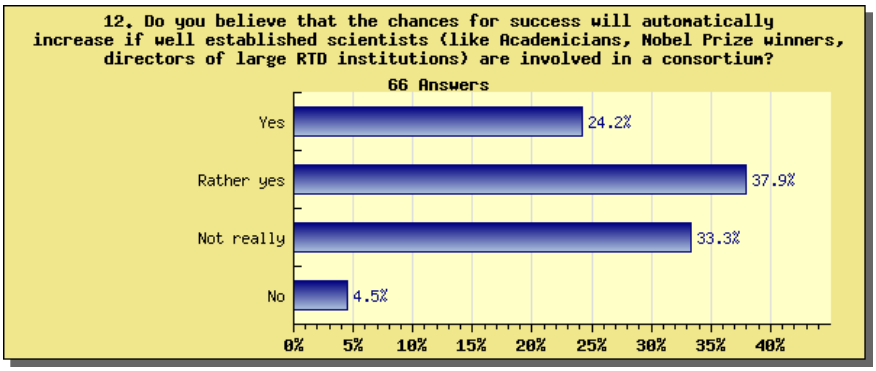
3.2.5 Perceived chances for success thanks to brilliant names

When developing a consortium – how to increase the chances for success? The survey asked researchers how they perceived the impact of involving an outstanding researcher enjoying high public esteem.

European respondents:



Russian respondents:



Explanation:

European respondents were quite convinced that the involvement of well-recognized researchers increases the chances for a consortium to get EC-funding. Only a minority of appr. 20% of EU-respondents believed that this had little impact.

It is interesting to note that Russian respondents put less expectations into well-established researchers like academicians as partners in their consortia. Nearly 38% of the respondents were sure that such a consortium partner had little or no impact on the selection in Brussels.

Key messages:

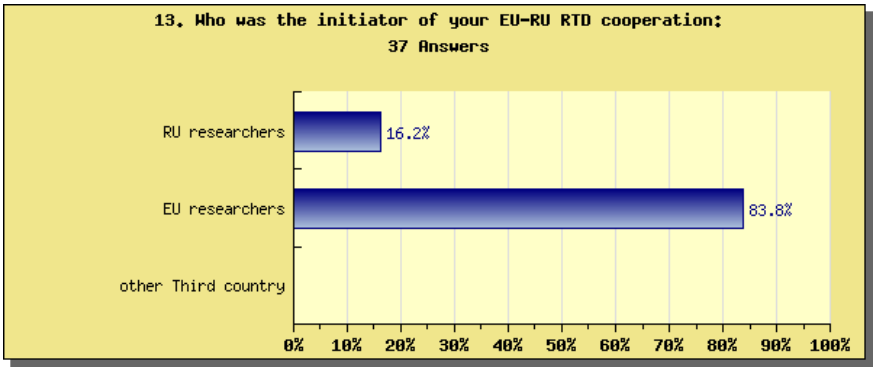
- Russian respondents showed more trust than EU colleagues that peer reviewers are unimpressible during selection processes of FP-projects.
- EU -respondents were more likely to believe that brilliant names make a difference also among their peers when reviewing and evaluating proposals on behalf of the European Commission.

3.2.6 Establishing contacts

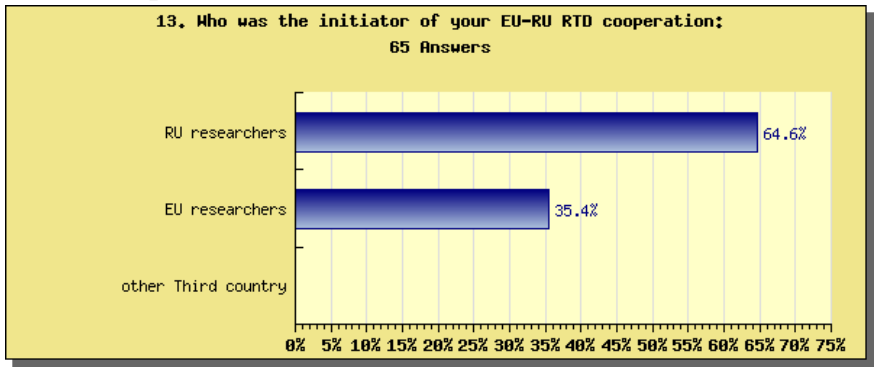
Consortium building depends on contacts, contacts depend on the level of networking. The survey addressed the question of EU-Russia contact establishment and maintenance.

a) Who was the initiator of your RTD cooperation with Russia resp. Europe?

European respondents:



Russian respondents:



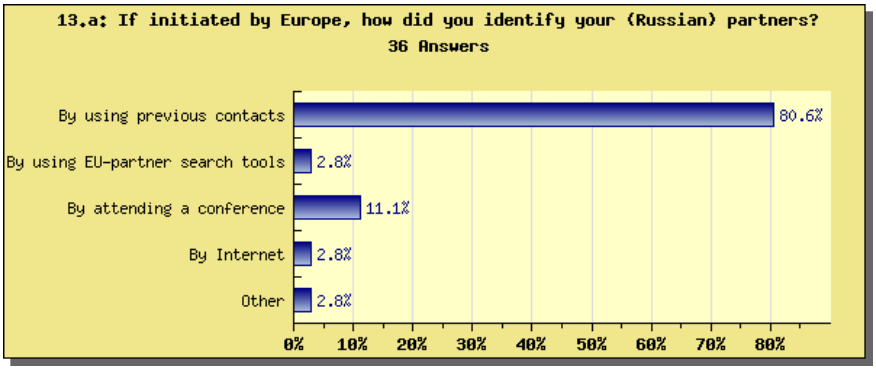
Explanation:

The majority of RTD cooperation activities carried out by European respondents was initiated by the European side. Only 16,2 % of the European respondents took Russian partners on board who initiated the contact from the Russian side.

Among Russian respondents, two-thirds of RTD cooperation projects was initiated by Russian researchers.

b) If contacts are initiated by Europe, how do European researchers search for new Russian partners?

European respondents:

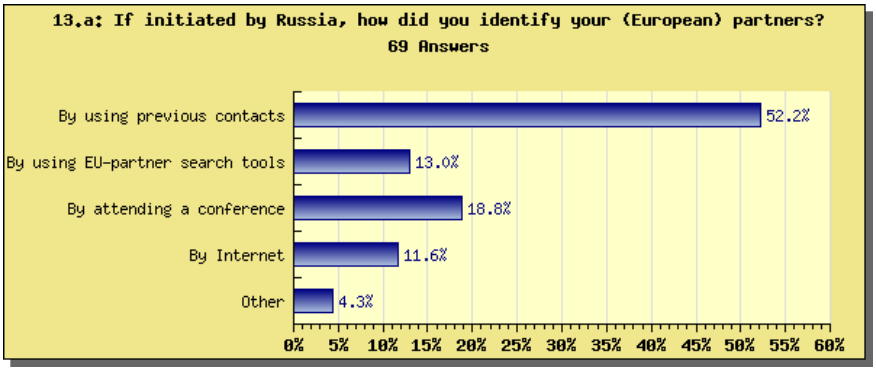


Explanation:

Previous contacts are a decisive element of mutual partner search in Russia and Europe. European respondents specified in the interviews to use existing contacts to Russia within their consortia, within their own institutions and beyond to receive personal recommendations for new Russian partners.

Also among Russian respondents, previous contacts play a decisive role with EU-Russian partnering: More than 50% of projects initiated by Russian respondents were based on previous contacts.

Russian respondents:



Informal networking thus plays a pivotal role for EU-Russian partnering.

Once Russian researchers are networked into the European research community, they swiftly build on these contacts for future cooperation activities. This is to some extend a prove for the quality of the scientific relationships maintained by these respondents.

If there are no existing contacts, it seems difficult for European and Russian researchers to find excellent counterparts and complementary scientific expertise in Russia.

The majority of European respondents were reluctant to rely only on Internet-based partner search tools when looking for suitable partners in Russia. Russian respondents indicated more frequently to use EU-partner search tools than their European colleagues.

However, the impact of these tools is limited if European coordinators looking for partners don't use them[3].

Two European respondents explained that they made the experience of considerable differences with regard to the quality of Russian research. They had met excellent researchers, and also researchers hardly fulfilling international quality requirements. Both considered the identification of suitable Russian partners without previous contacts as a challenging task.

European respondents emphasized also the limited availability of information and knowledge among researchers in Europe where to start to search for suitable Russian partners. They mentioned that up-to-date information about the directions and the quality of research in Russia was scarce and hardly accessible to them. The language barrier makes it difficult for European researchers to access Russian sources of information.

The fact that European researchers are likely to rely on well-known and long-dated Russian partners instead of unknown newcomers may turn the entrance of competitive FP-consortia under formation into a real challenge for Russian newcomers.

Russian researchers staying in Europe seem to be very good mediators between researchers located in Russia and Europe. Many European institutions with native Russian speaking staff set up a successful and lasting RTD cooperation with Russia. Several European respondents indicated that Russian speaking staff was an asset for many reasons (partner search, insight into habits/ ways of working of Russian institutions and procedures in Russia, communication).

In FP6, as a matter of fact, the involvement of Russian teams in the core activities of FP6 was not particularly encouraged. Usually, European coordinators would not start to search for partners in Russia. On the contrary, the participation of a Russian partner needed to be justified.

In FP7, the participation of Russian teams is much more encouraged than in FP6. Due to the openness of FP7 to international cooperation, Russian teams are invited to participate in three of the four Specific Programmes (apart from IDEAS) and in any project. Specific calls targeting the participation of Russian teams (SICA- Specific International Cooperation Actions) are published in all Themes (apart from Security) of the Cooperation Programme. Joint coordinated EU-Russia calls for proposals are published.

[3] *The Idealist-project (http://www.ideal-ist.net/) which is a quite popular and successful online partnering tool in the ICT Theme of FP7 may represent an exception in this context.*

Finally, Russia will be associated to FP7, and Russian researchers will take the initiative to build their own consortia.

However, effective partnering among European and Russian researchers, notably newcomers in EU-Russia RTD cooperation, will be one of the key aspects to be addressed in order to widen and deepen the cooperation in FP7.

Key messages:

- Existing relationships are well "exploited" for partnering and have a tendency to turn into lasting EU-Russian relationships and networking.
- Partner search for new, highly qualified and suitable partners without previous contacts is a substantial challenge for both sides, Europe and Russia.
- Partnering requests from both sides will dramatically increase and partnering will turn into a big challenge with Russia's association to FP7.

Suggestions for further action:

Information about RTD in Russia

There is awareness among policy makers that more information and transparency on Russian RTD is needed in order to enhance cooperation. Some examples of projects which address this issue:
http://www.increast.eu (FP7, Specific Programme Capacities, INCO)
http://www.bilat-rus.eu (FP7, Specific Programme Capacities, INCO)
http://www.istok-ru.eu/ (FP6, Thematic Priority IST/Information Society Technologies)

Useful information can also be found on the website of the EC's delegation to Russia:
http://www.delrus.ec.europa.eu/en/index.htm

Building contacts through bilateral cooperation programmes maintained by EU Member States and Russia

Member States get more and more active, and a number of bilateral programmes with Russia have been developed or are under development. Germany and France are the leading actors in this field as they issue for ex. joint calls with different Russian RTD funding organisations. But also Austria has developed international programmes including Russia and joint calls targeting Russia. Please find some examples of bilateral cooperation activities (joint calls, RTD funding programmes targeting Russia) of individual Member States with Russia in Annex 6, page 89.

Search for partners with the help of CORDIS

Database of projects

Although the establishment of contacts based only on the Internet can't replace face-to-face contacts, the Internet is a very important and powerful tool for partnering. CORDIS maintains a database of projects funded by the European Commission in FP6 and FP7. It is advisable to search this database and to get into contact with coordinators and partners:

http://cordis.europa.eu/fp7/projects_en.html

Partnering facility: CORDIS maintains also a partnering facility**:**

http://cordis.europa.eu/partners-service/home_en.html

Attendance of European RTD events, brokerage events and information days

Leading scientific conferences and brokerage events in the different Themes of FP7 as well as FP7 information days organised by the European Commission and/or by FP7- NCPs of individual Member States in response to a specific open call/ topic can offer precious opportunities for creating new EU-Russian contacts. Many of the Themes of FP7 organise large annual or bi-annual RTD conferences and events (eg in ICT, NMP, Bio/Food, etc). There is also a growing number of international events taking place in Russia which European researchers might consider when looking for a Russian partner. NCP's

will know about leading conferences and events in the EU and in Russia. A list of Russian NCPs is attached as Annex 7, page 102.

Search of compendia of successful projects

The different units of the European Commission as well as individual Member States regularly publish compendia of projects. They are a good source for identifying suitable and experienced partners. Some examples of compendia:

FP7, Environment including climate change:
http://cordis.europa.eu/fp7/environment/home_en.html

FP6, Global change and ecoystems:
http://rp7.ffg.at/upload/medialibrary/global_change_ecosystem.pdf

Social Sciences and Humanities in 2007- compendium
ftp://ftp.cordis.europa.eu/pub/fp7/ssh/docs/ssh_sis_2007_en.pdf

ERA-NETs funded under FP6:
http://cordis.europa.eu/coordination/projects.htm

Following the activities of European and Russian Technology Platforms

It is also advisable to follow the activities of the European Technology Platforms. An overview of European Technology Platforms on CORDIS:

http://cordis.europa.eu/technology-platforms/individual_en.html

Examples of Russian Technology Platforms in the FP7-Theme Food, Agriculture, Forest and Biotechnology:

Russian Technology Platform “Industrial Biotechnology”:

http://www.fp7-bio.ru/platformy/rossiiskie-platformy/promyshlennaya-biotehnologiya

Russian Technology Platform “Food for life”:

http://www.fp7-bio.ru/platformy/rossiiskie-platformy/pischa-dlya-zhizni/russian- technology-platform-abfood-for-lifebb-1

Photonics Partnering event in Moscow:

http://www.photonics21.org/index.php?option=com_content&task=view&id=159&Itemi d=57

Maintenance of a website in English

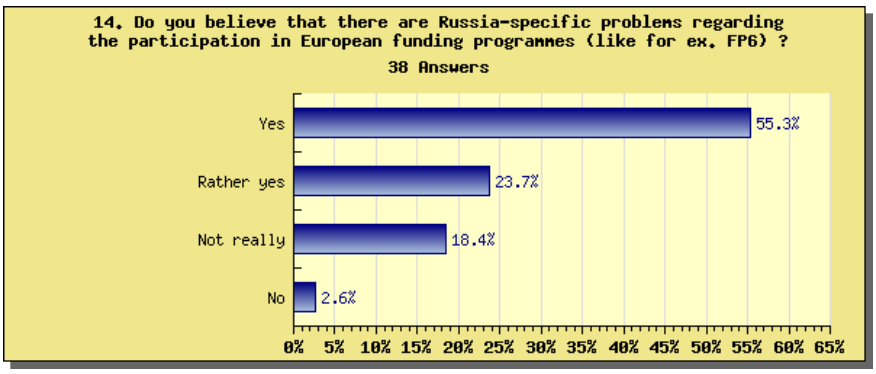
A very simple advise: Russian researchers are encouraged to maintain an informative website with detailed information in English about recent publications and projects. This can be very helpful for Russian researchers (and their European counterparts) when wishing to set up new contacts.

3.3 EU-Russian RTD Cooperation Issues

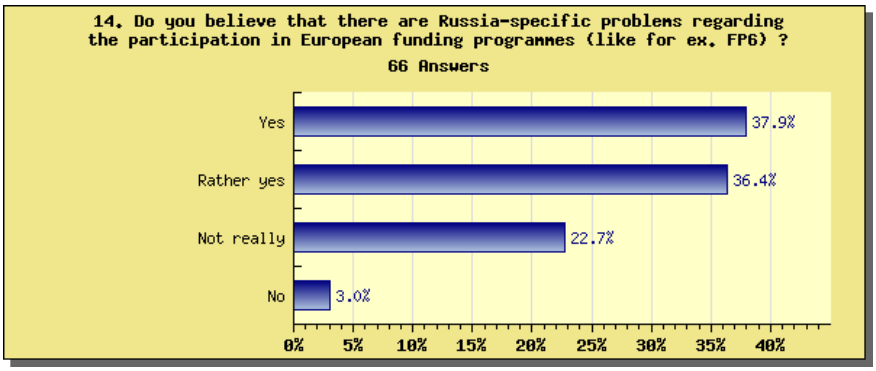
3.3.1 "Russia-specific" problems

Since the end of the Soviet Union Russia has experienced a significant transformation process which still lasts. The survey comprised a question trying to find out if respondents perceived problems in EU-Russian RTD cooperation which they considered as "specific to Russia".

European respondents:



Russian respondents:



Explanation:
There is a strong perception among respondents to the survey that there are "Russia-specific" problems which affect successful cooperation. European respondents are even more convinced than their Russian colleagues that there are "Russia-specific" problems regarding the participation in European funding programmes. There is the general impression among European respondents that the participation in EC-funded projects is not always considered by Russian institutions as something of a particular value.

European respondents spoke about a considerable language barrier**:** Without Russian staff at the European coordinators' organization, some of the coordinators said, they would face regularly serious challenges. Several European respondents also met serious difficulties to make Russian institutions sign documents, eg the contract, in English.

European respondents noticed that Russian researchers have limited freedom of decision making. The head (eg of Rector/Dean of a university or faculty) of organisations seems to have a strong authority to issue directives. If signatures are required, one European coordinator said, there is a need to go "up for two, or three levels in the hierarchy".

The capacity to write concise, appealing scientific papers seems not very common yet in Russia. European respondents observed that the Russian tradition of how to present things was different from the European one. The Russian style is regarded as rather descriptive. In Europe, for example, exact specifications usually indicate for scientific papers or within application forms, how much space is available to answer precisely to a question /issue, which size of letters and which font should be used etc. Russian colleagues do not always respond to this type of standard requirements.

Several European respondents emphasized that the lack of any short-term "Start money" in Russia was preventing Russian researchers from participating in meetings like eg a preparatory and/ or kick-off meeting. This can hinder a good understanding of their own tasks by Russian partners.

European respondents mentioned a different culture of work. Russian partners were described as less accustomed to autonomous work. Several European respondents underlined a stronger need to provide guidance on the tasks which need to be carried out, and to monitor their implementation.

European respondents also had to face costly and time-consuming visa requirements. These visa requirements result in the need to plan a long time ahead. It seems to be of no singular exception that a

Russian researcher is not able to attend a meeting because something did not work with the visa. This is particularly true for non-central Russian regions. For the same reason, some European coordinators regretted that it was hard to organise meetings in Russia. They considered this as too complicated and costly.

Several European respondents were dissatisfied with the Russian post services. One European respondent said "It is not possible to know whether the transport lasts three days or two years". This represents an organisational challenge if material needs to be exchanged. It seems easier to send material from Russia to Europe than from Europe to Russia. Even registered letters tend to disappear. Several European respondents said to always use a courier service.

Some European respondents observed deficiencies of the controlling at Russian institutes. They noticed an insufficient culture of justifying expenditure, and how expenditure relates to projects, receipts and results. The transfer of money was described by one respondent as "suboptimal":

Requests of Russian researchers to transfer EC-funding on private accounts are no exception as money tends to disappear, arrive late and/ or as a reduced amount if the accounts of the RTD organisation are used.

A European coordinator mentioned that the scientific staff of her Russian partner institution had no formal contract with the institute for whom they were working. She further mentioned that the accountancy of projects funded by the EC (or any other international funding programme) wasn't always linked to the general central accountancy of the Russian research organisation.

European respondents noticed that the budgetary systems of Russia and the European Commission seemed to be diverging, without understanding the Russian system. European coordinators need to make sure that their Russian partners follow the rules of the European Commission. One respondent was wondering if this task - to explain rules - should really be only on the shoulders of European coordinators or if national structures should not provide more support to their participants in the FP.

Russian respondents strongly feel that there are problems specific to Russia regarding the participation of Russian researchers in European and international RTD cooperation:

They were convinced that the lack of international networking, remote geographical locations (Siberian cities are located 5000, 6000 km to the East of Moscow), and a lack of physical mobility to establish and maintain new personal contacts are specific challenges for researchers located in Russia.

Some respondents believed that Russia as a Third Country participant had different priorities from the EU and that the Framework Programme (FP6 at this time) was in the end orientated at European problems. They put forward that there can be only limited motivation of Russian researchers to contribute to the "European Research Area".

The fact that Russian researchers were not allowed to coordinate an FP6-project was considered as a "Russia-specific problem". The general lack of information about FP6, in particular in Russian regions, the missing background of international project management issues, the lack of skills of Russian researchers with research management issues in general and a lack of experience on how to write proposals were also mentioned.

Another Russian respondent highlighted the lack of opportunities for young Russian researchers to get acquainted with excellent European senior researchers. Young Russian researchers may participate in annual scientific congresses in Russia, he said, but to his opinion they usually had little opportunities to get acquainted with leading European researchers. This creates a barrier to opportunities to make publications in European respective "Western" scientific journals.

Furthermore Russian researchers mentioned the general lack of time to conduct research. Russian researchers employed at universities have to teach about 900 hours a year. In addition, many of them have to carry out additional jobs to finance the subsistence of their families.

Some Russian respondents doubted the equality of Russian teams in a European consortium. They indicated that to their experience other countries participating in the FP6 (notably EU Member States) were prefered to Russia.

One Russian respondent refered to the sometimes difficult relationships of researchers with their own institution as a problem specific to Russia. Like their European colleagues, some Russian respondents mentioned deficiencies of the money transfer system (misuse of the money in the own institution).

Different bureaucratic and financial systems were considered as a cause to Russia-specific problems.

Russian respondents shared the view of their European colleagues on visa problems. They regretted that the procedures to obtain a Schengen Visa require long periods to respond to all formalities. This problem was particularly felt for respondents located in Russian regions.

Several Russian respondents mentioned mutual prejudices, a different mentality, and a different way of self-presentation as specific features complicating EU-Russian RTD cooperation.

One respondent named a lack of statistical information as a problem specific to Russia.

These outcomes show that European and Russian respondents are both convinced of the existence of "Russia-specific" problems. Some problems are considered as specific to Russia by both groups of respondents:

The language barrier, restricted opportunities for physical mobility, obstacles related to visa requirements, the lack of experience with project management, a different way of self-presentation (incl. presentation of papers) and deficiencies with money transfer are specific to Russia for both groups.

Furthermore, some European respondents mentioned a different culture of work (eg a less autonomous style), insufficient transparency of what is going on on the Russian side, and the need to take a rather hierarchical system into consideration with limited decision-making possibilities on the operative level.

Russian respondents rather concentrated on issues related to the Third-country position of Russia in the ERA as well as to their general working situation. European coordinators and partners are possibly not always fully aware of the entire working situation of their Russian counterparts.

Key messages:

- There is a number of problems which are considered as "specific to Russia" by both groups of respondents:
  - costly and complicated visa requirements
  - a considerable language barrier
  - restricted opportunities for physical mobility, notably the lack of flexible funding enabling Russian partners to take part in preparatory and kick-off meetings
  - a lack of project management skills of Russian researchers
  - deficiencies with money transfer and controlling at Russian partner institutions
  - insufficient institutional support
- Problems regarded as "specific to Russia" by EU-respondents:
  - a strong hierarchy with limited decision making on the operational level
  - insufficient transparency of the Russian administration
  - a culture of work less used to autonomous work
  - a rather descriptive style of writing scientific articles
- Problems regarded as "specific to Russia" by Russian respondents:
  - a lack of international networking, notably of Russian researchers located in the regions
  - a general lack of information about the Framework Programme, notably in Russian regions
  - a lack of motivation of Russian researchers to contribute to the ERA
  - very restricted entitlement to coordinate an FP-project
  - a different culture of self-presentation
- In order to support and extend EU-Russian RTD cooperation, it will be essential to actively address on a broad scale weaknesses like the institutional support in Russia to international RTD cooperation and the acquisition of project management skills by Russian researchers. Substantial efforts need to made also to ensure that EC-money is used in line with contractual obligations.

Suggestions for further action:

It was the quality of the scientific and human relationships as well as creativity and unusual approaches which most of the times helped consortia to overcome substantial challenges.

Many problems will decrease with growing EU-Russian RTD cooperation in FP7, notably with the association of Russia to FP7. The quantity of European and Russian researchers cooperating in RTD projects will increase the mutual insight and experience how to deal with above-mentioned issues.

As a matter of fact, Russian researchers need more opportunities to increase their networking with the European RTD community in order to overcome past isolation and the lack of international cooperation with Europe over many decades. Frequent contacts and participation in projects will enable researchers to increase their networks and to learn by doing.

Russian partner institutions need to make more efforts to ensure that EC-funding is used as stated in the contract. More institutional support to Russian partners is also required to enable them to follow the rules of FP7, notably in Russia's regions.

There is a considerable language barrier. For example, the signature of documents in English is sometimes a challenge. It is therefore important to inform the head/decision maker level of a Russian partner institution at an early moment about a project and upcoming contract signature as well as all implications (benefits/deliverables, risks, obligations, rules) of contractual obligations. European coordinators are well advised to prepare a suitable information package.

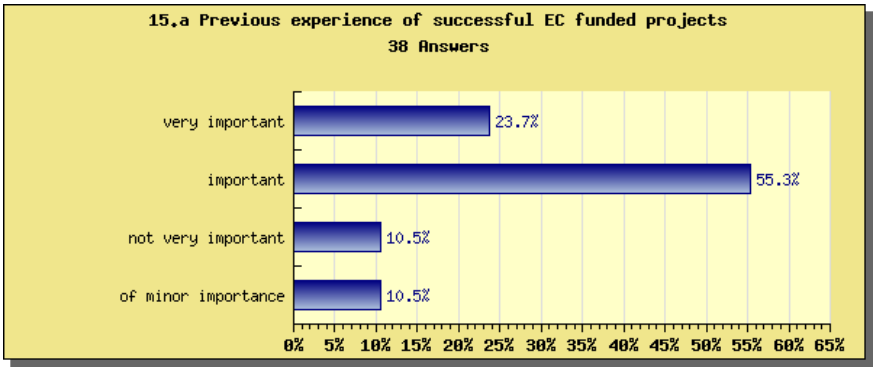
3.3.2 Equal opportunities for all?

The selection process in the Framework Programme is very clear, transparent and follows exacts rules, procedures and steps. But does it really offer equal opportunities to all proposers? The survey tried to find out what European and Russian respondents actually believe.

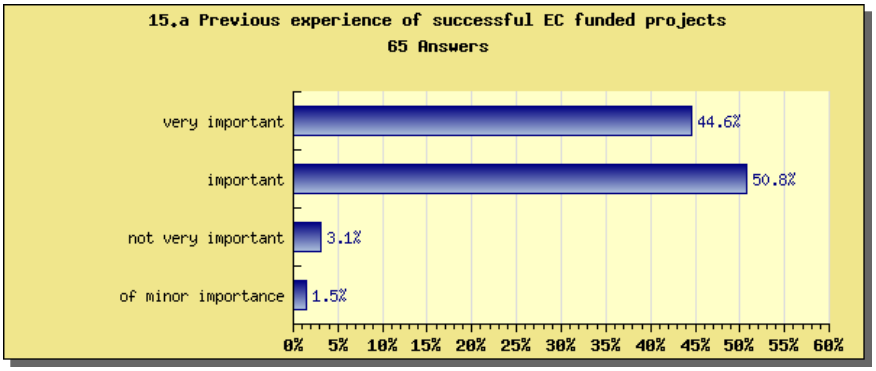
Do you believe that the selection procedure of the European Commission (or of other international foundations and bodies) really provides equal opportunities to all research groups? Please indicate the importance of the following aspects for the selection from your point of view:

a) Previous experience of successful EC funded projects

European respondents:



Russian respondents:



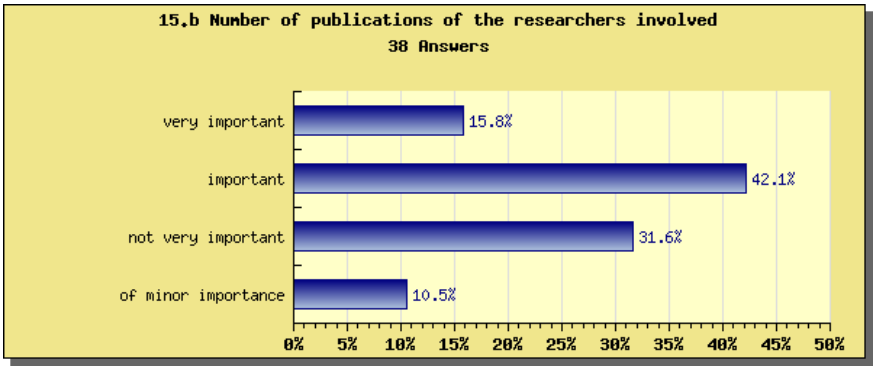
Explanation:

Both, European and Russian researchers believed that previous experience of successful EC-funded projects was "very important" or "important" for the selection of a proposal.

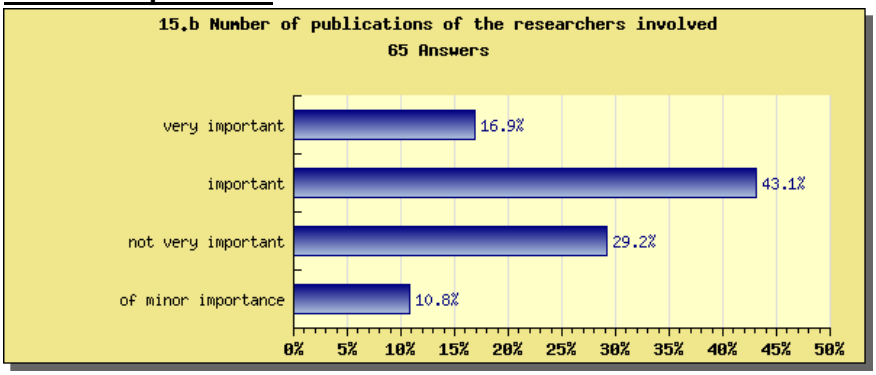
However, Russian respondents were even more convinced that previous participation in successful EC-funded projects was essential for the selection than their European colleagues. It seems that European respondents were more convinced that newcomers are given a chance.

b) Number of publications of the researchers involved

European respondents:



Russian respondents:

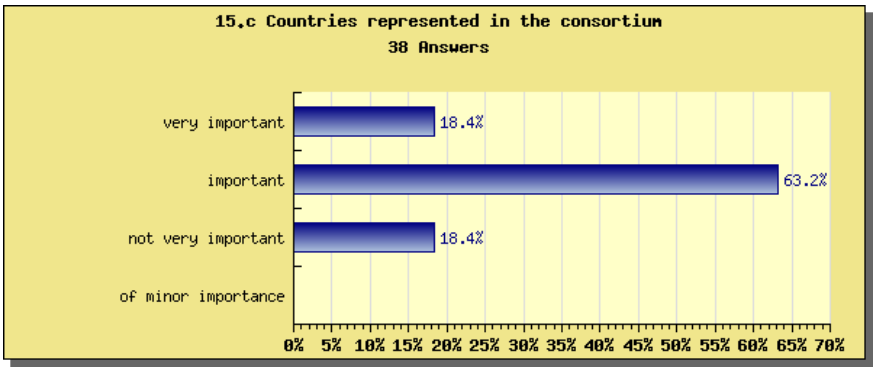


Explanation:

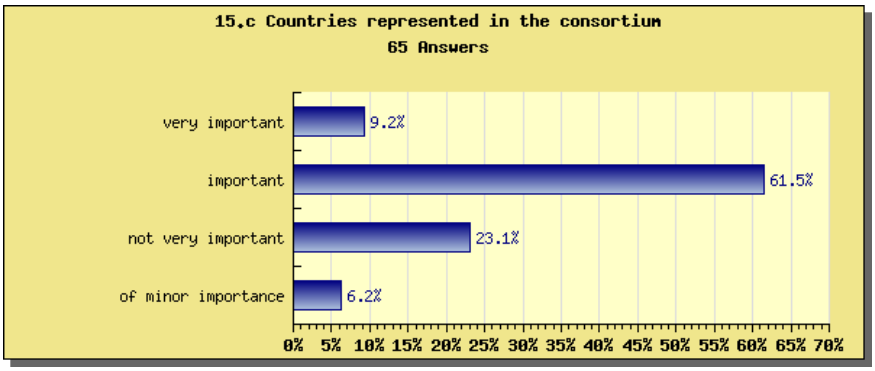
Views of European and Russian respondents about the importance of the number of publications of the researchers involved into a consortium rather comply. The majority of respondents in Europe and Russia regards the number of publications of the researchers involved as "important" or even as "very important". About 40% of European and Russian respondents believe that publications are not decisive for the selection of a proposal.

c) Countries represented in the consortium

European respondents:



Russian respondents:



Explanation:

Regarding the importance of the countries involved for the selection of a proposal, the perceptions of European and Russian respondents on the one side converge, on the other side diverge:

About 60% of both groups, European and Russian respondents, were convinced that the countries represented in a consortium were an important criteria for the selection of a proposal. 20% of European respondents considered this as "very important", compared to only 9,25% of Russian respondents.

EU respondents were thus more aware of the fact that the money for the RTD funding comes from Member States which monitor closely to which extend their contribution to Brussels' budget returns to their country. In the end, it's also a political issue. EU respondents were more likely than their Russian colleagues to believe that the European Commission has to take the level of contribution of countries to a certain extend into account.

Nearly 30% of Russian respondents believed that the countries represented in a consortium had rather little or minor importance for the selection of a proposal. Not one single European respondent regarded this of minor importance for the selection.

Key messages:

- The number of scientific publications was considered by respondents as important, but not decisive for the selection process.
- European respondents were more convinced than Russian respondents that newcomers are given a chance.
- Russian respondents underestimated the importance of involving core EU-countries.

Suggestions for further action:

Experience with FP6/ FP7

It is highly recommendable to involve in a consortium several partners who are experienced with FP6/ FP7. This is particularly true for the coordinator who should be very fit with the rules of the programme.

Countries to be involved in a consortium:

It is not only recommendable to involve leading RTD organizations and stakeholders from countries with a particular high RTD reputation in a given scientific field, but also from EU core countries which are heavily contributing to the RTD budget of the EC.

This logic may work in favour of Russian proposers once Russia is associated to FP7 and starts contributing a considerable amount to the budget of FP7. The popularity of Russian partners among the European research community will definitely increase substantially.

Other political considerations should also not be fully ignored. The involvement of old AND new EU Member States in a consortium is for example most of the times recommendable.

3.3.3 Problems encountered in cooperation

Respondents showed a high awareness for the benefits of EU-Russian cooperation. However, as was mentioned before, both groups face also problems in cooperation. The survey included questions exploring

a. communication problems

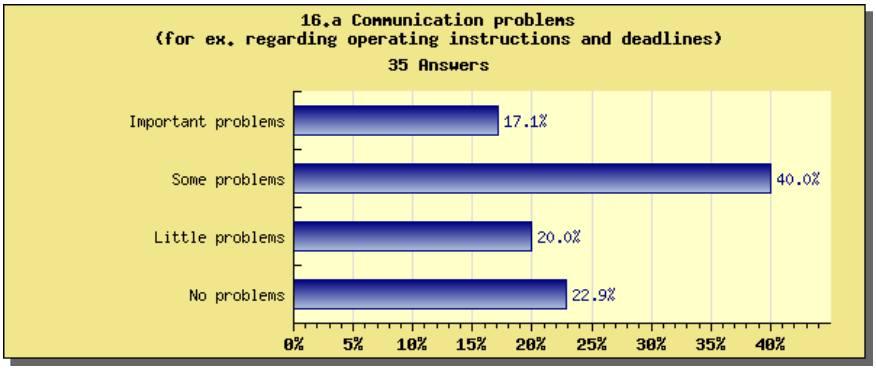
b. problems with IPR

c. problems with an intransparent project management

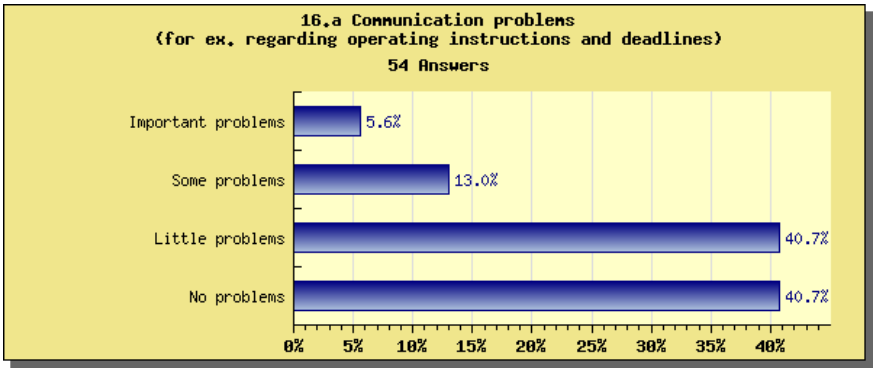
d. problems with a lack of commitment of partners

a) Communication problems

European respondents:



Russian respondents:



Explanation:

A substantial percentage of European respondents, more than Russian respondents, indicated communication problems.

Language is obviously an essential reason for EU-Russian communication problems. Native Russian speaking staff seems to constitute an enormous asset for European RTD organisations cooperating with Russian partners. Several European respondents highlighted the essential support with communication provided by their Russian speaking staff. They were convinced that without the help of their native Russian speaking employee/s with overcoming obstacles they would not have sorted out some challenging situations.

Russian respondents also regarded their insufficient knowledge of English as an essential barrier to a smooth communication, and to their successful participation in EC-funded RTD projects. There is also a considerable cultural dimension which becomes distinct in communication. Furthermore, not answering in the face of unclarity or uncertainty seems to be a cross-cultural phenomenon.

Many European respondents underlined that communication usually improves a lot after a face-to-face meeting.

European respondents mentioned also emails getting lost, emails which are unreadable, and postal services which are not reliable (see also “Russia-specific”-problems).

However, it has to be underlined that more than 40% of European respondents have little or no communication problems, at least not more than with other partners.

Communication seems to be one of the most critical points for an extended, deepened and successful EU-Russian RTD cooperation.

Key messages:

- Language is an essential reason for EU-Russian communication problems
- Communication improves a lot after a face-to-face meeting
- Russian speaking staff supporting European coordinators is of essential help with communication

Suggestions for further action:

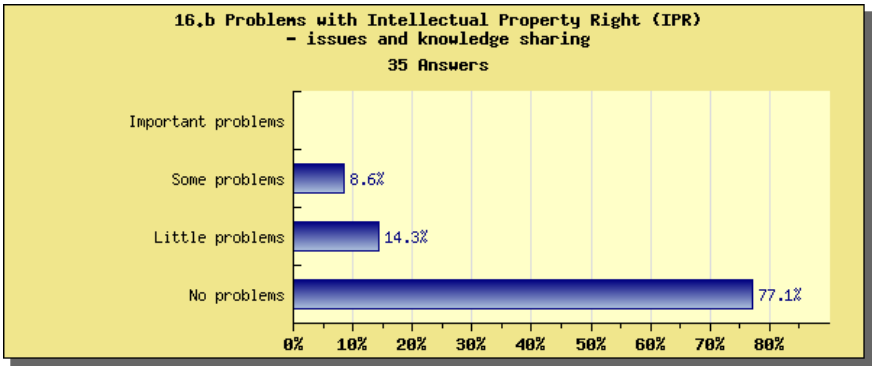
This survey confirms that a culture of communication needs to be established right from the start by both sides.

This comprises the need to ensure full clarity of the content of messages, an appropriate level of English, asking for confirmation of the receipt of a message and the necessity to reply and give a sign of life even – or in particular – if things remain unclear or if things are unsatisfactory.

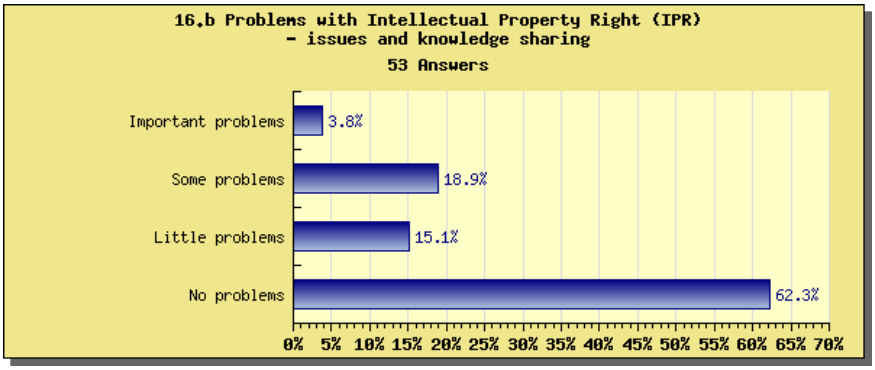
Face-to-face meetings and visits to the Russian partner in Russia at an early point of an upcoming cooperation are warmly recommendable for EU coordinators involving new Russian partners. New Russian partners are strongly recommended to attend preparatory and kick-off meetings to ensure right from the start a reliable communication.

b) Problems encountered in cooperation with your partners: Problems with Intellectual Property Right (IPR)

European respondents:



Russian respondents:



Explanation:

The answers to this question confirm the results of the previous question on IPR: The overhelming majority of European respondents - 91,4% - experienced little or no problems with their Russian colleagues in relation to IPR.

Although a large majority of Russian respondents experienced little or no problems, Russian respondents had to face more problems in the field of IPR than their European colleagues.

As a matter of fact, the handling of IPR is challenging for Russian researchers.

The FP6/SSH project SCOPE EAST states that IPR are a problem:

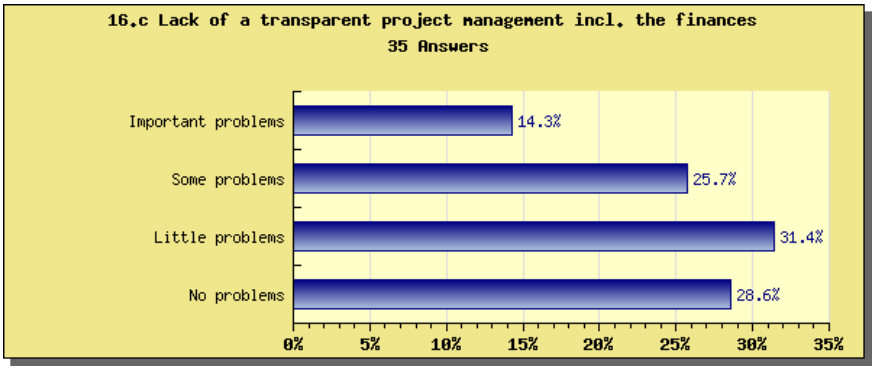
"Regarding the role of Community instruments for the Russian S&T policy a very important aspect was highlighted in the interviews: the protection of intellectual property. … the Russian Government as well as the EU are aware about this problem and several IPR-related consultancy projects were/are funded (i.e.

in the scope of TACIS), but the adaption of IPR-regulations, which are in-line with international standards is still an ongoing process."[4]

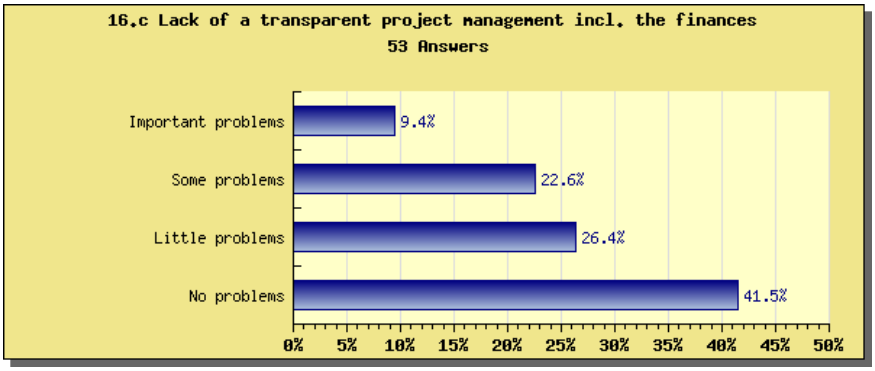
As was mentioned already, RUSERA EXE compiled some information about the current situation with Russian IPR. This information is attached as Annex 5, page 81.

c) Problems encountered in cooperation with your partners: Lack of a transparent project management including finances

European respondents:



Russian respondents:



Explanation:

The majority of European respondents stressed that once they had explained the procedures to their Russian partners and/or provided them with a good monitoring and reporting tool, they didn't experience difficulties with getting the information and data required for reporting. Answers from European respondents reveal that Russian partners are likely to respond to requirements if they are clear to them, and if they can communicate them easily within their own institution.

However, 40% of European respondents indicated some or even serious problems with an intransparent management of the project, in particular the finances, on the Russian side.

They mention cases where money is paid, but no work is carried out, and cases where money disappears on the accounts of the institution, arrives with a considerable delay and/or arrives as a reduced amount at the researcher's level, or not at all. These respondents suspect that the European Commission might not be "amused" by all discoveries if they would send an auditor to Russia. Difficulties are also caused by an insufficient understanding of EC-rules.

As a matter of fact, European coordinators sometimes have to face challenging situations in this area. They are normally obliged to transfer EU-funds to their partners within 45 days after receipt from the European Commission.

But EU-respondents found different ways to handle the situation:

As a preventive measure, one European coordinator obliged his Russian partner to hire a private external Russian auditor. He hoped to avoid problems by this approach.

One European coordinator payed all travel costs of the Russian partner directly and small amounts were transferred on the private account of the Russian partner. This way, the disappearance or reduction of the funds when passing by the account of the institution, or the late arrival on the researchers' account, can be avoided.

[4] *SCOPE EAST, Report: State of the Art and Perspectives of the bilateral S&T cooperation between EU Member States, the Russian Federation and Ukraine, Page 19.*

Another European respondent explained that as long as the names of those Russian researchers who participate in a project were mentioned explicitly in the Technical Annex, it was harder for the Russian administration to misuse money.

Several EU coordinators underlined that to involve native Russian speaking staff was always a huge advantage in case of difficulties. If there is more than one Russian partner in the project, another Russian partner may help also with solving challenging situations.

Following one interview EC money is sometimes transferred to a Russian partner although the work agreed is not carried out. But to ask money back because of missing results may require the change of the Consortium Agreement. This complex and heavy procedure which would necessitate the signature of each consortium partner is avoided.

Another European coordinator mentioned that his Russian partner institute had for a longer period of time not transfered the money to his Russian subcontractor who was employed at this institute. After the receipt of a letter from the European coordinator, highlighting the obligations of the Russian institute, the Russian institute decided to leave the project.

Taking the explanations of all respondents, it should be highlighted that 60% of European respondents have little or no difficulties with the management of the project, incl. the finances, by the Russian partner institution. However, a non neglectable minority of European respondents underlined that there is a risk that difficulties may appear when the institution comes in. Therefore it is important to always consider the Russian partner as a mediator to an institution who needs very clear, well structured information.

Also Russian respondents experienced problems with an intransparent project management including finances:

They were facing difficulties in getting correct and clear information from their coordinators which they could communicate to their accountancy. Russian universities can comply with the budgeting rules of FP6 (or FP7). The challenge is the relationship between Russian researchers and the Russian partner institute resp. accountancy. An accountant in Russia follows Russian rules and is not eager to listen to a researcher (not an accepted accountancy expert!) telling her/ him how to follow EC-rules which are not 100% clear to the Russian researcher herself/ himself. This is were problems are likely to start.

Russian partners also felt unsecure how to calculate daily rates of their staff. Furthermore, the daily rate allowed for Russian researchers in FP6 was extremely low.

To hire a private auditor in Russia is very expensive, and these high costs are usually not foreseen to this extend in the EU-project budget. EU-coordinators are not always familiar with the Russian situation when they set up the project budget and foresee only a small amount for auditing in Russia.

As a matter of fact, international cooperation sometimes puts Russian researchers into conflict with their own institution. Russian respondents mentioned “imperfections of money transfer regulations” and difficult relationships with the authorities of their own institution.

In conclusion there seems to be a certain lack of a transparent project management experienced by both sides, Europe and Russia.

Russian respondents (and institutions) lack full insight into the extensive and complex requirements of project management, methods and tools, the time which needs to be dedicated to management issues and the rules which need to be observed. European coordinator should ensure full information of their Russian partner about rules and obligations.

As a matter of fact, Russian partners will need to improve their capacities of management of international cooperation projects, notably in view of the association of Russia to FP7. Russian researchers will be entitled to coordinate projects. It will be one of the key challenges for Russia to support a critical mass of researchers with the acquisition of project management skills, enabling them to combine their high S&T competence with appropriate management skills. However, not only individual researchers, also Russian institutions need to be supported proactively via targeted training measures by qualified experts.

Key messages:

- Russian partners are much more likely to report as required if they know from the start what is needed and which rules to follow.
- Russian partners have to be considered as mediators to their institutions in need for very concise, correct and well structured information and tools which can be communicated easily.
- International cooperation sometimes puts Russian researchers into conflict with their own institution.
- European coordinators are well advised to foresee an appropriate budget for the hiring of a private Russian auditor. Costs for private auditors are high in Russia, and demand is also high. In view of Russia's association to FP7, a critical mass of researchers and staff belonging to the Russian administration need to acquire appropriate project management skills

Suggestions for further action:

About 40% of the FP7-budget spent will be audited by the European Commission and/ or the European Court of Auditors. Participants in FP7 are therefore more likely to undergo an on-the-spot audit.

The European Commission has published several guides for FP7, in order to ensure that beneficiaries can access detailed and correct information and more easily follow the rules. Among them, the following guides are most essential:

- Guide to financial issues to FP7 indirect actions,
- Guidance notes on Audit Certificates,
- Guide for beneficiaries,
- Guide on project reporting

All of these documents (and more) can be found on CORDIS on the "Find a document"-section:

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

Support in the Theme ICT:

http://www.finance-helpdesk.org/

Examples of timesheets

It is very important to use timesheets specifying in sufficient detail how much time was spent when by whom within which workpackage on the project.

- The "Guide to financial issues to FP7 indirect actions" comprises on page 40 a template which can be used for monitoring the time spent on the project:

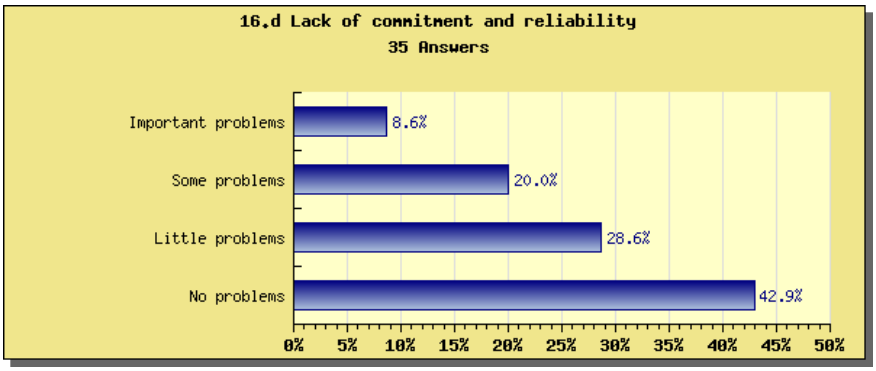
  ftp://ftp.cordis.europa.eu/pub/fp7/docs/financialguide_en.pdf

- Timesheet suggested by the EU-Bureau of the German Aerospace Center (German NCP coordinating institution):

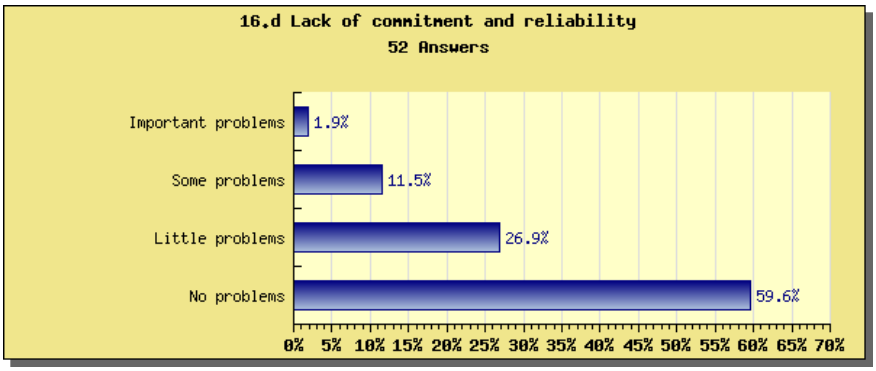
  http://www.forschungsrahmenprogramm.de/_media/timesheet.xls

d) Problems encountered in cooperation with your partners: Commitment and reliability

European respondents:



Russian respondents:



Explanation:

Although nearly 1/3 of European respondents indicated "some" or even "important problems", the interviews revealed, apart from one exception, only minor problems in this area.

On the contrary, many European respondents underlined the reliability of their Russian partners. In fact, Russian researchers are considered as very reliable and keen on delivering good results, once they know exactly what they should deliver. The relationship from researcher-to-researcher was described most of the times as a very positive one. European respondents underlined the warm-hearted character of their Russian counterparts and the good quality of their scientific and human relationships. Many European respondents stressed for example the amazing hospitality experienced in Russia.

However, one respondent mentioned a stronger need to monitor the work carried out in Russia. Many European respondents underlined the necessity to visit the colleagues in Russia. They consider personal visits as a crucial means to enhance sustainable and reliable relationships.

Many European respondents underlined the good human atmosphere with their Russian partners. The same picture is reflected by the Russian side: 86,5% of Russian respondents indicated that they experienced "little" or "no problems" in this field.

Key messages:

- EU-Russian RTD cooperation on a researcher-to-researcher level is in general very good.
- Russian researchers are considered as very reliable and keen on delivering good results, once they know exactly what they should deliver.
- Personal visits to Russia are essential for the development of reliable and sustainable relationship. Many European respondents underlined that nothing can replace this personal contact.

Suggestions for further action:

Face to face meetings at an early moment of a newly established contact and well structured information about rules to be followed greatly help to increase reliability and commitment.

3.3.4 Perception of the contribution of Russian partners

How is the contribution of Russian partners perceived by consortium members? We asked European and Russian respondents about their perception of the Russian contribution to

a. the project preparation

b. the scientific and technological development

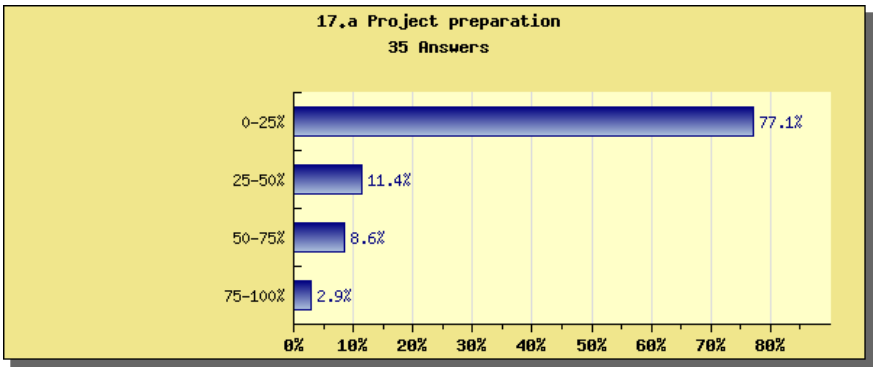
c. project management.

The survey invited respondents to make an estimation quantifying this contribution, as compared to other consortium partners.

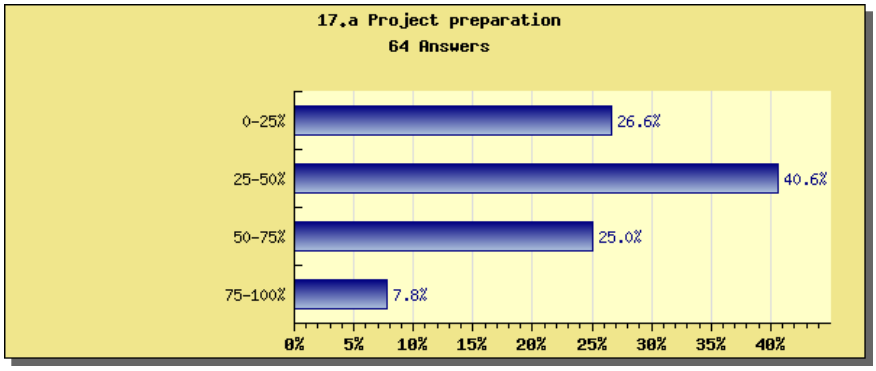
How do you estimate the share of contribution of the Russian partners in your consortium, compared to the input of other (European) consortium partners?

a) Project preparation

European respondents:



Russian respondents:

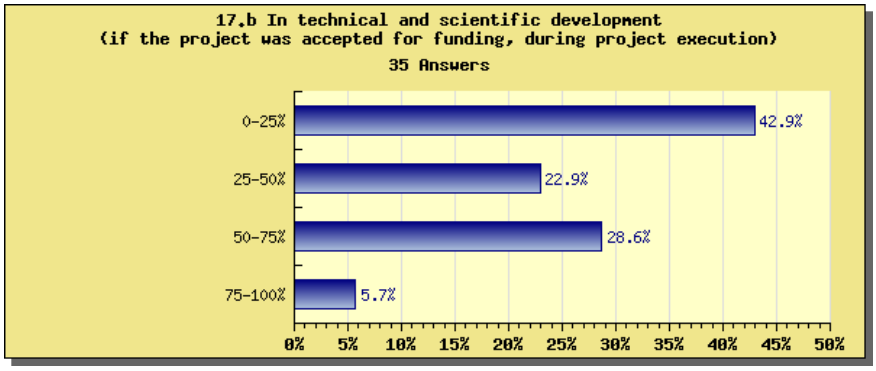


Explanation:
It is interesting to note that the perception of European and Russian respondents diverges considerably.

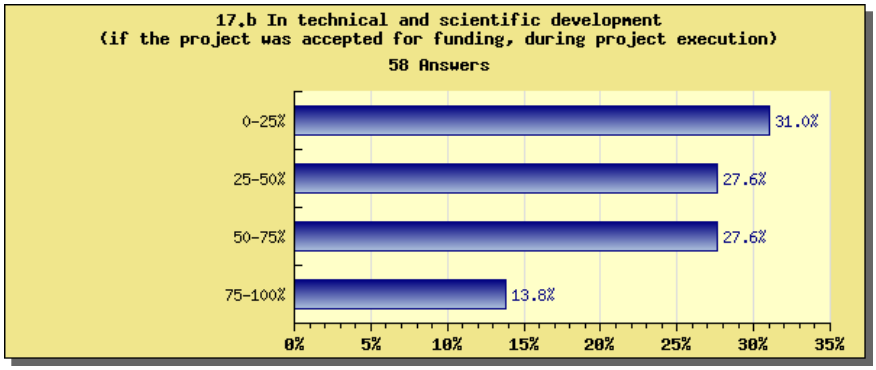
While a majority of nearly 80% of European respondents believed that the Russian contribution to project preparation varies between 0-25%, this perception was shared only by a minority of 26,6% of Russian respondents. The relative majority of Russian respondents, 40,6 %, regarded their contribution to proposal preparation as 25-50% of the entire work of the emerging consortium. Only 11,4% of European respondents shared this view.

b) Technical and scientific development

European respondents:



Russian respondents:



Explanation

The Russian contribution to technical and scientific development was regarded by European respondents as significant. Nearly 1/3 of European respondents estimated that the Russian contribution covered 50-75% of the S&T development. Another 22,9% perceived the Russian contribution as amounting to 25-50% of the overall S&T work.

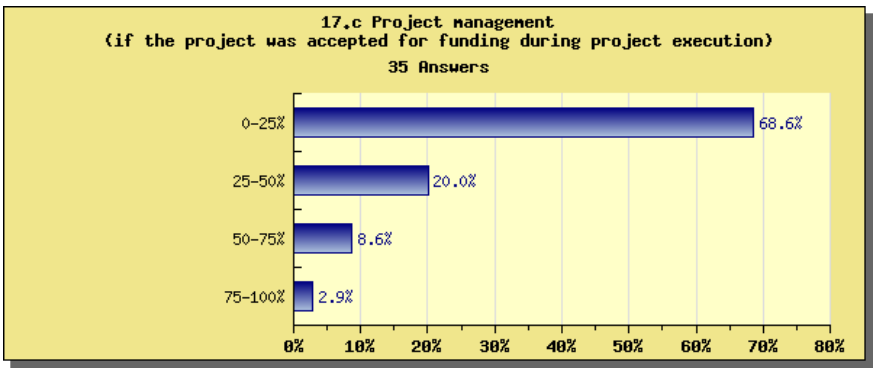
Russian respondents considered their S&T contribution as essential and, apart from one exception, exceeded again slightly the perception of European respondents.

27,6% of Russian respondents regarded their S&T contribution as 25-50% of the overall S&T output, compared to 22,9% of European respondents sharing this view.

Only about 1/3 of Russian respondents indicated that the Russian contribution to the S&T work was limited to 0-25% of the whole S&T work carried out in the consortium, compared to 42,9% of European respondents.

c) Project management

European respondents:

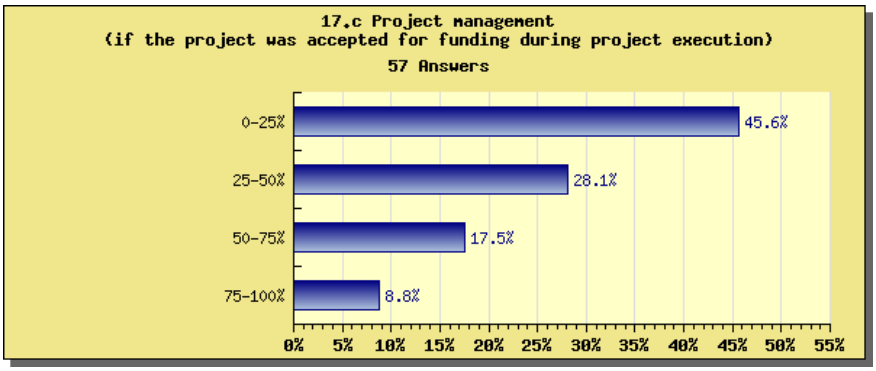


Explanation

The Russian contribution to the project management was perceived by a majority of European respondents as limited. Nearly 70% of Europeans indicated that the Russian contribution to project management didn't exceed 0-25% of the entire management work.

This is understandable, as the majority of EC-funded projects are coordinated by Europe. The relative majority of Russian respondents also estimated that their contribution to the overall project management as

Russian respondents:



limited. However, Russian respondents perceived their contribution to project management again as more significant that European respondents do: 45,6% of Russian respondents compared to 68,6% of European respondents believed that the Russian contribution to project management is between 0-25%.

It is interesting to note that Russian respondents had a tendency to considered their own input to the overall work in the consortia as more significant than European respondents did.

These results indicate that Russian partners were not yet fully aware of the scope and complexity of management procedures behind EC-funded projects involving ten or more European and international partners. There was a tendency to underestimate the time and efforts required for the preparation of a really competitive proposal. Similarly, the efforts needed for the coordination and management of an FP6/ FP7 project were to a certain extend underestimated.

Russian researchers are already participating quite successfully in FP6 and FP7. This experience will allow leading researchers to gain more and more insight into management requirements. In view of Russia's association to FP7, these experiences need to be capitalized. Only full awareness and high attention for the management requirements will enable Russian researchers to be successful in terms of funding acquisition and project execution.

Key messages:

- There was high awareness among respondents about the essential Russian S&T contribution: The Russian S&T contribution to joint projects was regarded as essential by European as well as Russian respondents.
- The Russian contribution to project preparation and management was perceived by European respondents as rather limited. Russian respondents assessed their own contribution in this area as more significant than their European colleagues.
- Russian respondents were likely to underestimate the scope and complexity of management procedures behind EC-funded projects involving ten or more European and international partners.
- Only full awareness and high attention for the management requirements will enable Russian researchers to be successful in terms of funding acquisition and project execution in the framework Programme.

Suggestions for further action:

Experience with participating in the Framework Programme, notably as coordinators and work package leaders, will help Russian researchers to gain full insight into the scope of project management needed to ensure a smooth international cooperation and joint achievement of goals. Good networking and learning by doing will enable Russian researchers to upgrade their project management and proposal preparation skills, combining their scientific expertise with these essential skills, increasing their overall insight, contribution and success.

3.4 Project Management Issues

3.4.1 Perception of the impact of a smooth management on the success

There are many potential and at the same time well-known barriers to a smooth cooperation. Respondents were asked to indicate how important they regarded the following cooperation aspects:

a. a clear distribution of responsibilities

b. well established communication procedures

c. well established reporting procedures

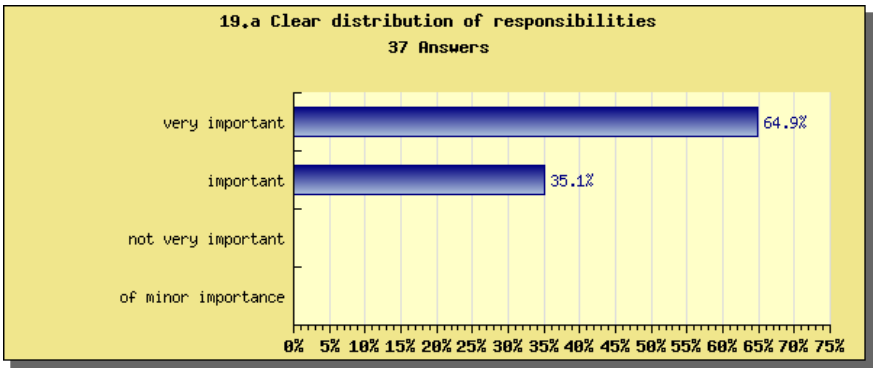
d. the respect of deadlines

e. a good understanding of the financial regulations

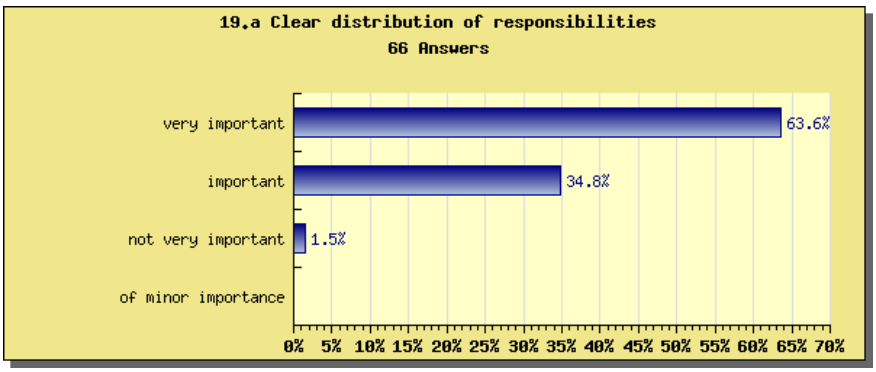
for a successful proposal preparation respectively project execution.

a) How important do you consider a clear distribution of responsibilities?

European respondents:



Russian respondents:

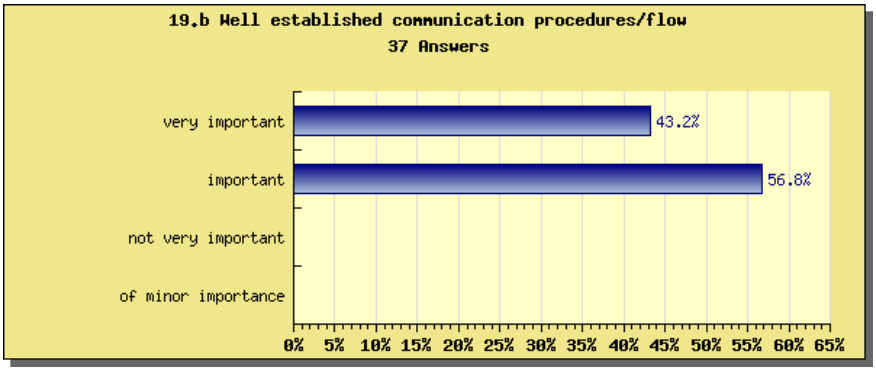


Explanation:

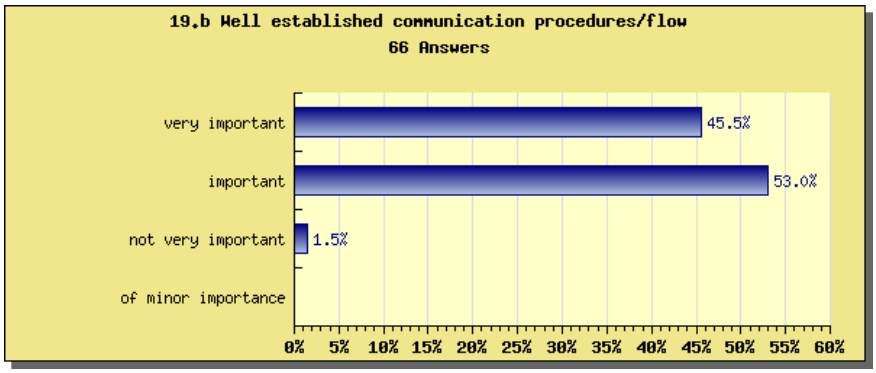
In fact, European and Russian researchers share nearly the same view on the importance of a clear distribution of responsibilities. Both groups considered this aspect as very important.

b) How important do you consider well established communication procedures?

European respondents:



Russian respondents:

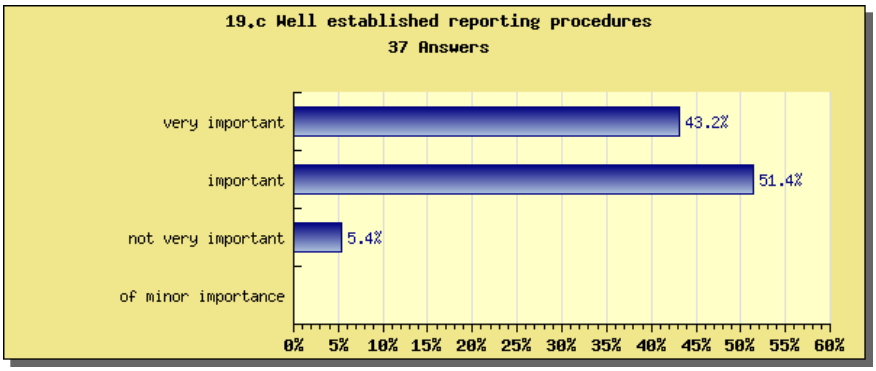


Explanation:

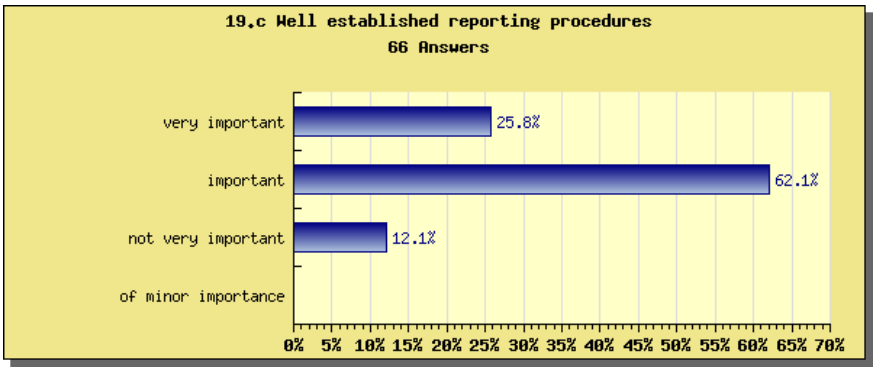
Similarly European and Russian respondents also shared nearly the same view on the importance of well-established communication procedures. These answers indicate the essential desire for a clear definition of responsibilities and a smooth communication. Both sides were well aware that these aspects are essential for an efficient cooperation across borders.

c) How important do you consider well established reporting procedures?

European respondents:



Russian respondents:



Explanation:

Well-established reporting procedures was given slightly higher priority by EU-respondents, as compared to their Russian colleagues:

43,2 % European respondents considered well-established reporting procedures as "very important", 51,4% considered them as "important". Only 5,4% regarded reporting procedures as something of "minor importance".

Only 25,8% of Russian respondents considered well-established reporting procedures as "very important", compared to 43,2% European respondents:

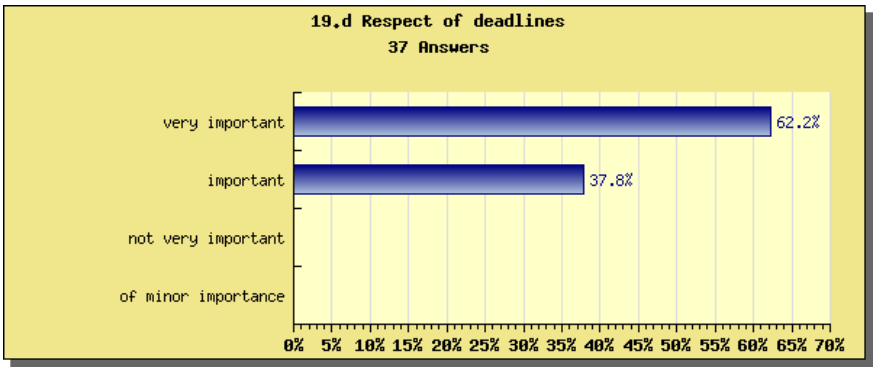
However, 62,1% of Russian respondents regarded well-established reporting procedures as "important".

12, 1% of Russian respondents - compared to 5,4% of European respondents – believed that agreed reporting procedures are of "minor importance".

Several European respondents told us that clearly defined reporting procedures helped them a lot with receiving the required information from Russia. This confirms that Russian partners are likely to provide excellent results if they know exactly what they are asked to do.

d) How important do you consider respecting deadlines?

European respondents:

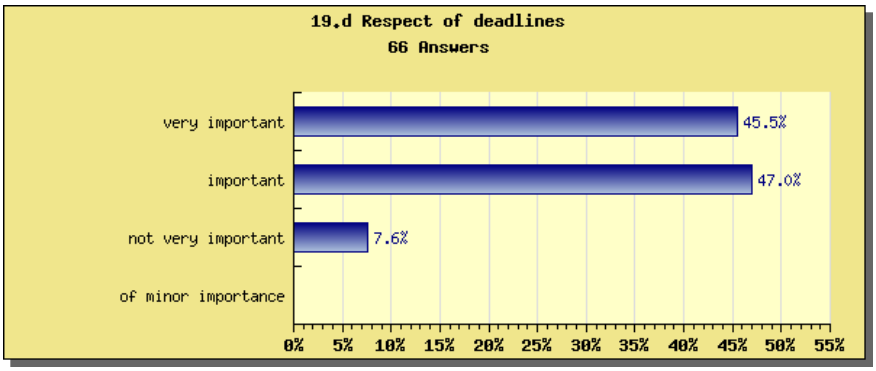


Explanation:

The answers regarding respecting deadlines for a successful preparation and submission of a proposal and a successful project execution are slightly diverging, although not in substance: All European respondents understand respecting deadlines as "important", 62,2% even as "very important":

Russian respondents:

How important do you consider

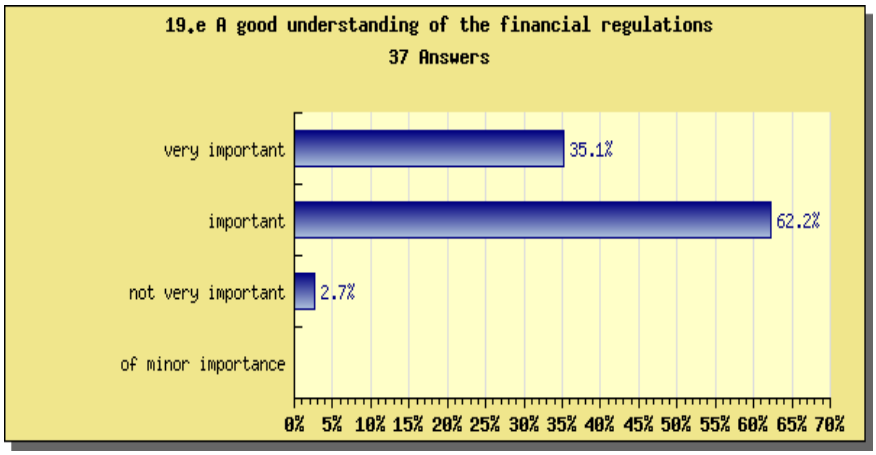


The percentage of Russian respondents who regarded the respecting deadlines as "very important" is also high, although slightly lower than the percentage of EU respondents sharing the same view.

However, more than 90% of Russian respondents treated respecting deadlines as "very important" or "important". Only a minority of 7,6% considered respecting deadlines is "not very important" for a successful proposal submission and completion.

e) How important do you consider a good understanding of the financial regulations?

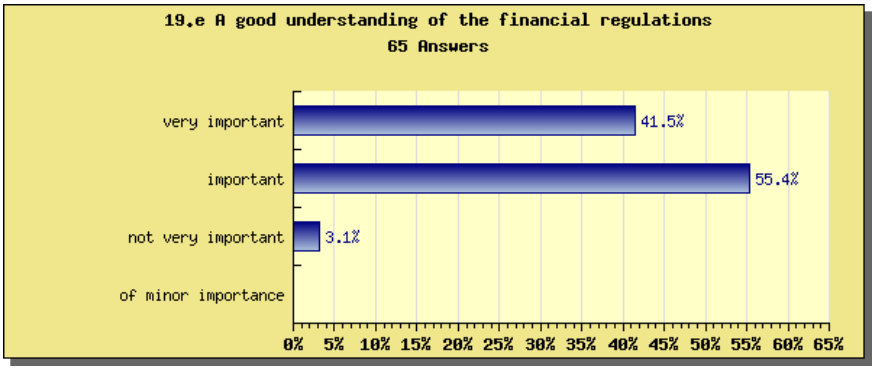
European respondents:



Explanation:

It is interesting to note that Russian respondents placed a slightly higher importance on the understanding of financial regulations than European respondents. These results could indicate that Russian partners sometimes don't feel sufficiently informed about financial regulations to follow.

Russian respondents:



Key messages:

- Both sides are in theory well aware of the need for a clear distribution of responsibilities, a well-established communication flow, well established reporting procedures, respecting deadlines and a good understanding of financial regulations. This awareness is many times, but not always translated successfully into practice.
- EU respondents (who are mostly coordinating projects) place even more priority on issues like reporting requirements and deadlines. They are as coordinators liable to the European Commission for ensuring the respect of reporting requirements and are highly aware that reporting is in the end linked to payment.
- Russian respondents place more priority than EU respondents on their understanding of financial regulations.
- The answers confirm that it is misunderstandings which may lead to problems, not bad will.

Suggestions for further action:

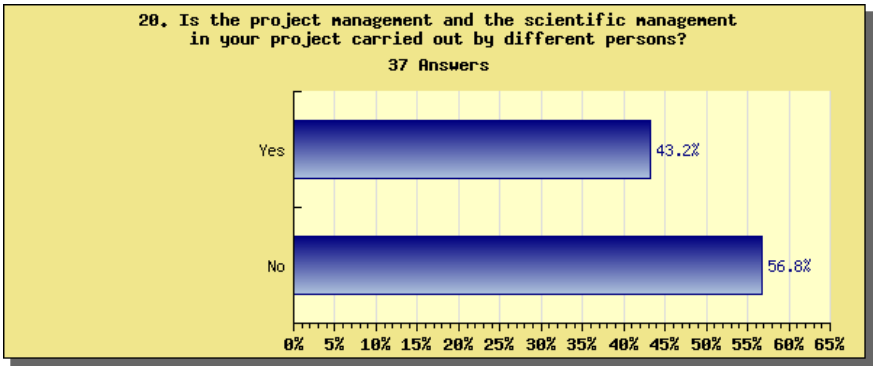
There is already a lot of experience in EU-Russian RTD cooperation. It is useful to build on existing experiences. During the interviews, European coordinators provided recommendations to European and Russian researchers planning to set up a new EU-Russian cooperation. These recommendations are integrated into the extended version of the present report which can be found on the Rusera Exe website.

3.4.2 Project manager and scientific manager

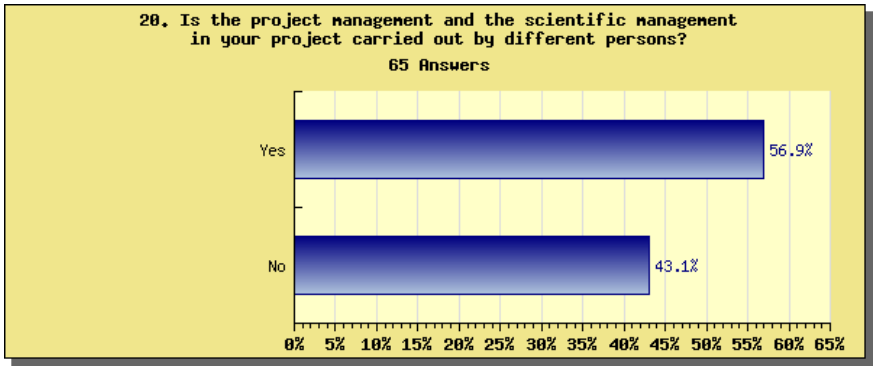
The management of EC-funded projects is a challenging task which needs a professional approach. Respondents were asked if the roles of project manager and scientific manager were separated in their project/s, and what was the impact experienced in both cases, in case of a separation of tasks and in case of a pooling of the two tasks in one person.

a) Is the project management and the scientific management in your project carried out by different persons?

European respondents:



Russian respondents:

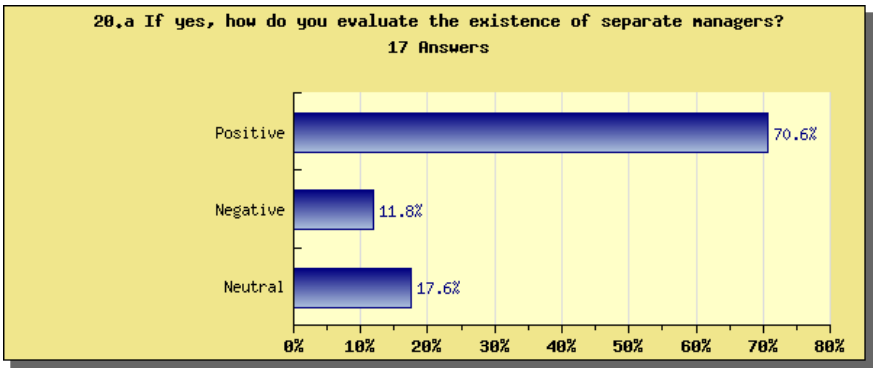


Explanation:

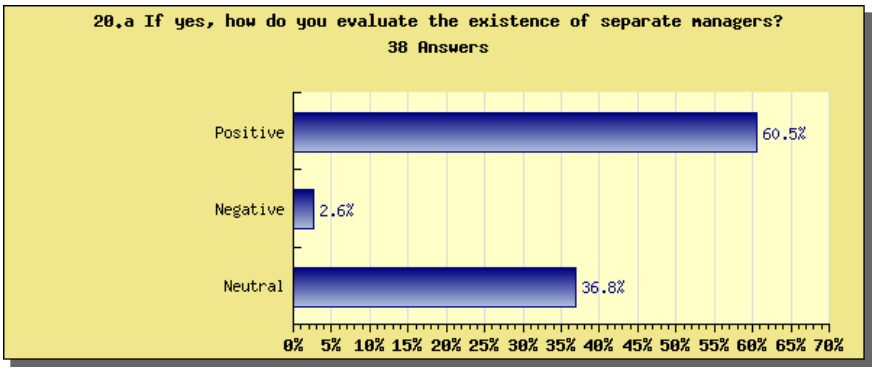
It is very interesting to see that the project management and the scientific management are more likely to be separated in Russia than in the EU. The majority of Russian respondents indicated that different persons act as project manager and scientific manager.

b) If yes, how do you evaluate the existence of separate project managers?

European respondents:



Russian respondents:

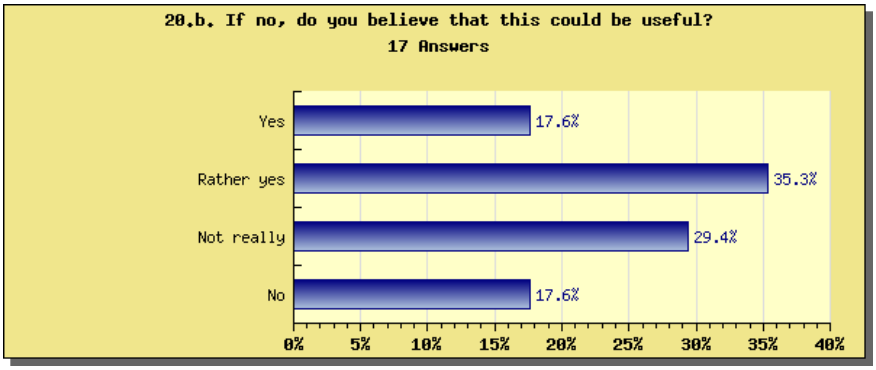


Explanation:

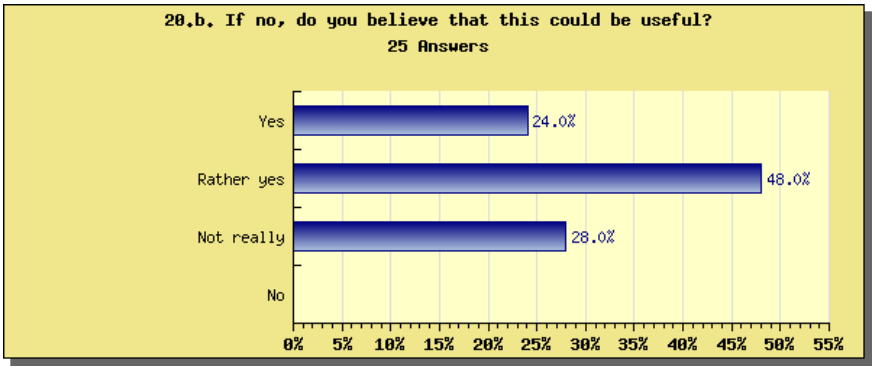
If the tasks had been separated, the majority of European and Russian respondents considered the impact of this separation as positive. Russian respondents were more likely than their EU colleagues to show a neutral attitude towards this separation, while European respondents were more likely to show a negative attitude.

c) If no, do you believe that this could be useful?

European respondents:



Russian respondents:



Explanation:

The slight majority of European and a considerable majority of Russian respondents who did not separate the project management from the scientific management, would prefer a separated approach.

Key messages:

- There are good reasons to separate the project management from the scientific management, however it may also be suitable to unite the tasks in one hand.
- Both approaches comprise advantages and disadvantages. It seems hard to make everyone happy with the one or the other approach.
- As a matter of fact it is advisable to engage as project manager someone who has a background in the scientific area of the project. It is definitely an advantage if the project manager is familiar with a given scientific branch.

Suggestions for further action:

Scientific excellence alone can't turn an FP7 project into a success. The management of large international RTD projects with many partners from different cultural backgrounds, representing different types of institutions and interests, is a challenge. Project management is an essential instrument facilitating cooperation, enabling large consortia to reach project goals, to comply with rules and to fulfil contractual committments.

It is recommendable especially for researchers who get involved for the first time into FP7 to attend a targeted training course organised by an experienced training provider. Please find here some examples, but there are many other course providers in Europe which can be found easily via the Internet:

Sean McCarthy:

http://www.hyperion.ie/

Myer Morron:

http://www.efpconsulting.com

EU Training site

http://www.eutrainingsite.com

European Community Project managers' association

http://www.ecpma.eu

3.5 Impact of European/ international cooperation

It is not always the first thought of proposers, but it is the first thought of policy makers: What should be the impact of a European or bilateral funding programme? It is interesting to analyse how European and Russian respondents perceive the impact of EC-funded projects. Respondents were asked respondents about

a. commercial benefits for their institution

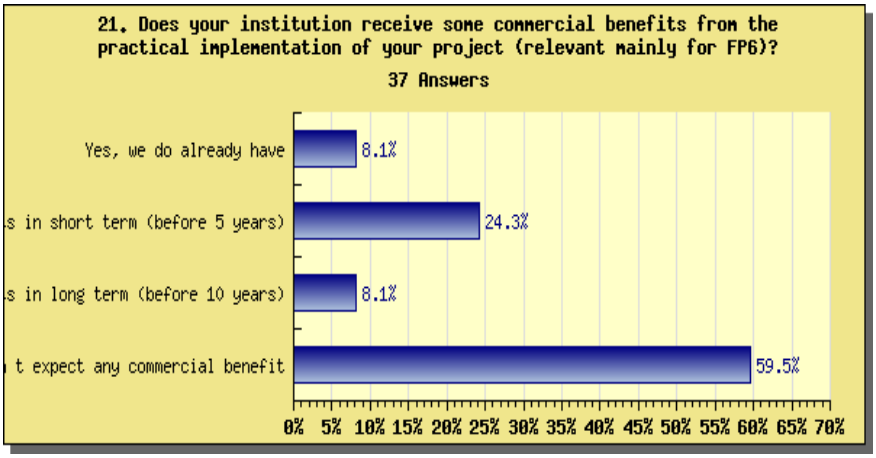
b. personal recognition in terms of higher esteem by colleagues, better acceptance papers at conferences, more invitations to take part in projects

c. financial recognition in terms of a higher salary

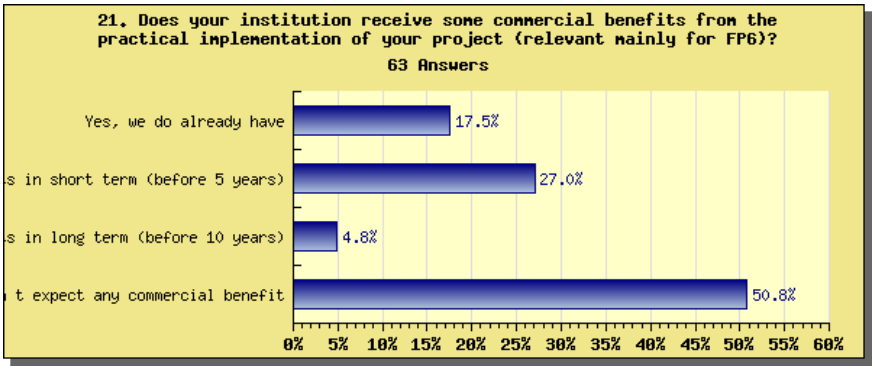
d. work-related recognition in terms of better career opportunities

3.5.1 Commercial benefits for the institution

European respondents:



Russian respondents:



Explanation:

It seems that the impact experienced by respondents is considerably more tangible in Russia than in Europe:

Only a minority of 8,1 % of the European respondents declared that their institution was already gaining some commercial benefits from the practical implementation of their projects, compared to 17,5% of Russian respondents.

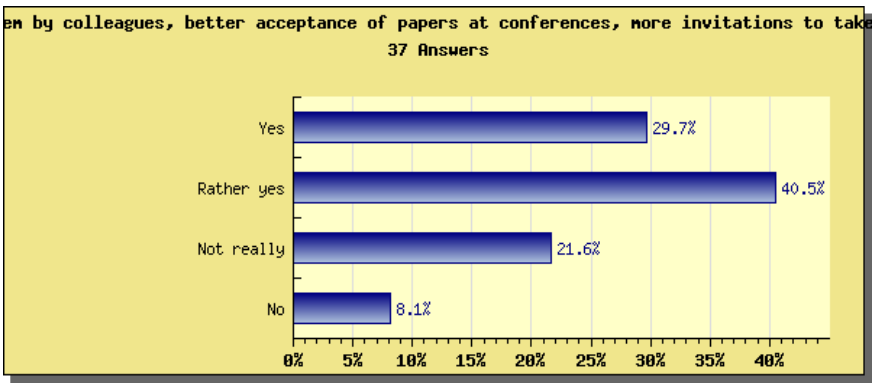
60% of European respondents didn't expect any commercial benefit for their institution from EC-funded projects, compared to 50,8% of Russian respondents.

About 1/3 of European and Russian respondents believed in short term or long term commercial benefits for their institutions resulting from EC-funded projects.

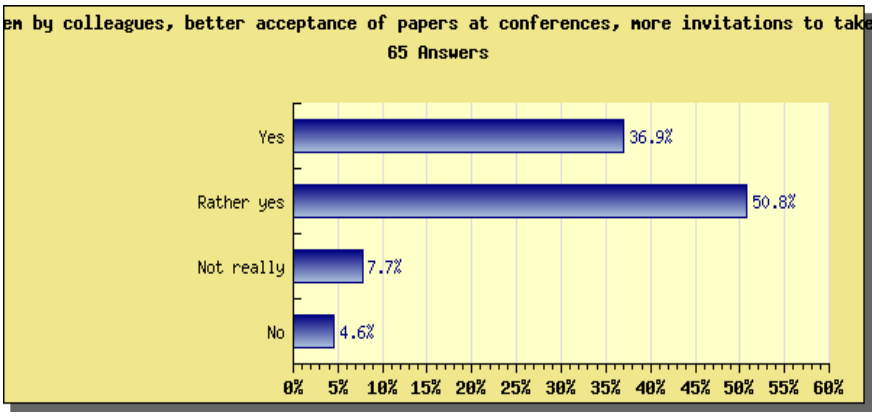
Following the answers of the respondents to this survey, Russian institutions are more likely to gain commercial benefit from their involvement in international RTD cooperation than European institutions. However, this result needs to be treated with caution.

3.5.2 Personal recognition

European respondents:



Russian respondents:



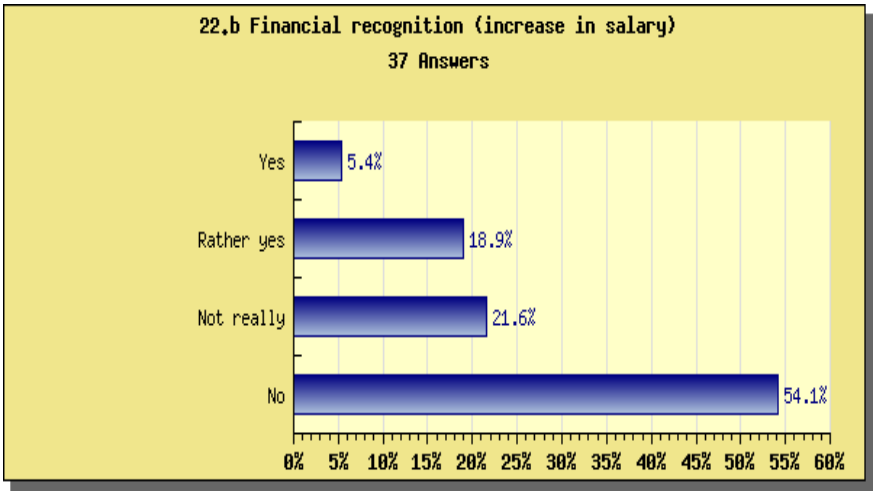
Explanation:

A similar situation is reflected by the answers to this question:

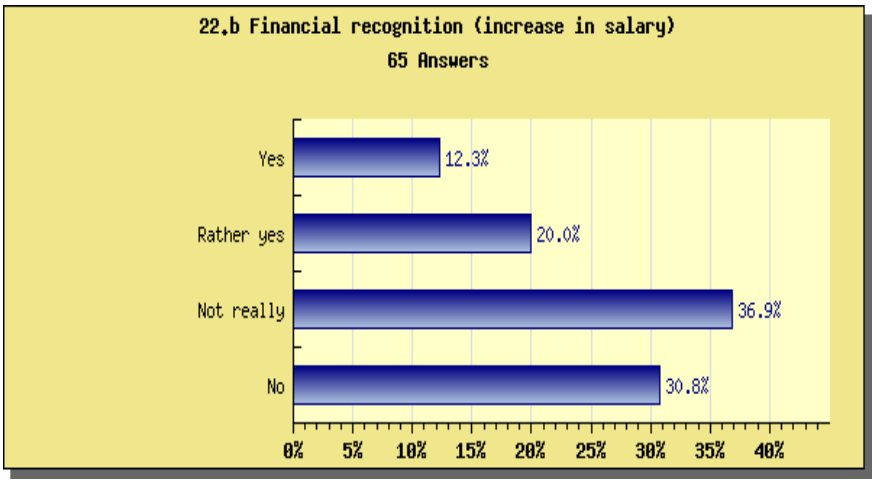
The high level of personal recognition within the international scientific community experienced by Russian respondents participating in EC-funded projects exceeds the personal recognition obtained by European respondents.

3.5.3 Financial recognition

European respondents:



Russian respondents:



Explanation:

Both groups of respondents indicated limited financial recognition, although Russian respondents again showed more satisfaction in this area.

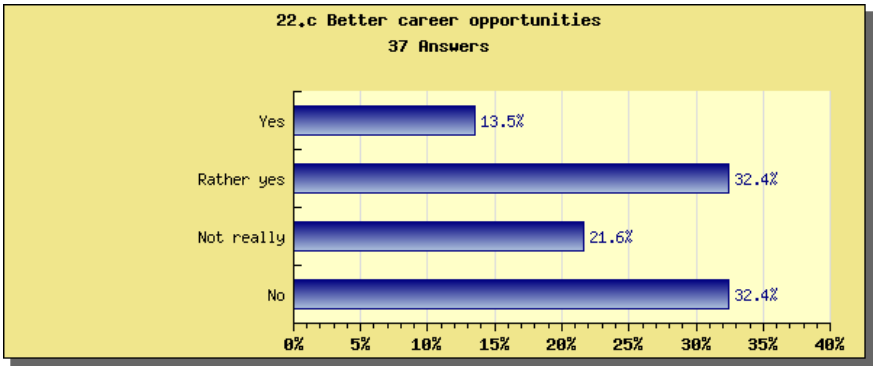
Only a minority of respondents - about 24,3% of European and 30% of Russian respondents - experiences financial recognition attributed to their European and international cooperation activities.

A large majority - 75,7% of Europeans and 67,5% of Russian respondents – declared to experience little or no financial recognition.

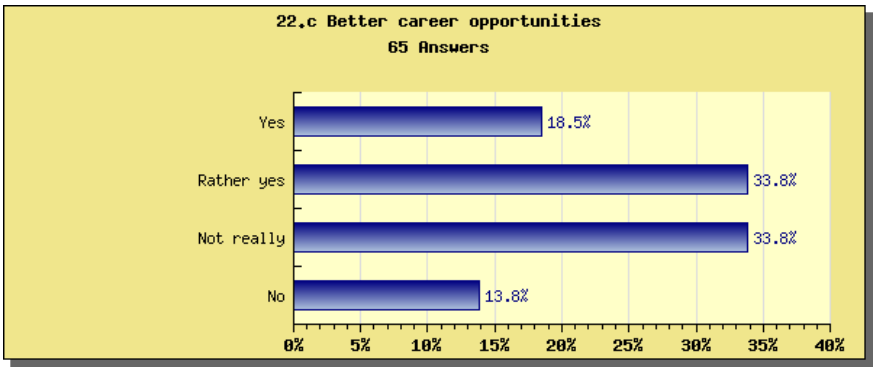
One European respondent underlined that coordinators of large national projects were well paid, while coordinators of large EC- funded RTD projects, which are often more complex and challenging, were less well paid and didn't receive appropriate remuneration.

3.5.4 Better career opportunities

European respondents:



Russian respondents:



Explanation:

European and international cooperation activities may not lead to tangible financial recognition in the short term. But European and Russian respondents experience both to a considerable extend a positive impact on their career opportunities. Russian respondents were again more positive about this impact than European respondents.

As a conclusion it can be said that the majority of both groups (70 – 86%) experience significant personal and scientific recognition among colleagues, as well as better career opportunities, but receive little or no financial recognition.

Key messages:

- The majority of respondents from both groups (70 – 86%) experience significant personal and scientific recognition among colleagues as well as better career opportunities
- The majority of respondents from both groups receives little or no financial recognition
- There is a tendency showing that a positive impact of European and international cooperation is felt stronger by Russian respondents than by European respondents.

Suggestions for further action:

It has to be taken into consideration that the majority of European respondents works in a different environment and refers to a different context of work and starting point as compared to Russian respondents. The impact of participating in EC-funded projects is maybe less obvious.

Additional comparative EU-Russian analysis of the concrete impact of European and international RTD cooperation on researchers' careers and the benefit for institutions would be highly interesting.

4 CONCLUSIONS

RTD cooperation between Europe and Russia is established and works well. The Russian S&T contribution to joint projects is undisputed among leading European researchers. Russian partners are in high esteem among European FP6 project coordinators because of their scientific competence and personal reliability. Scientific and human relationships among researchers are in general excellent.

However, researchers involved into EU-Russia RTD cooperation face a number of hurdles. Experience and growing participation in FP7 and other EC-programmes will considerably increase the capability of researchers to cope with some of the challenges which were identified by the present report.

As a conclusion we would like to present a set of measures which would essentially help Russian and European researchers, notably newcomers, in EU-Russia RTD cooperation:

On a federal level

- the further development of suitable FP7 support structures in Russia– National Contact Points, Regional Contact Points in Russia's regions – ensuring easy access of researchers to information about FP7, regardless of their location
- facilitation of visa provision to researchers notably in Russia's regions
- the further establishment of suitable support and advisory structures for researchers on legal issues, notably in the field of IPR, to ensure a proactive approach to the dissemination and exploitation of results by Russian partners
- a deeper analyses of the impact of the participation of Russian researchers in EC-funded programmes on individual RTD results, careers and on the S&T output of institutions involved
- the development of career models rewarding a proactive approach to EC-funded international RTD cooperation
- the implementation of proactive measures to raise the awareness of decision makers, heads of institutions etc for the need to develop institutional strategies for international cooperation incorporating the participation in EC-funding programmes (and bilateral activities of individual EU Member States/ Associated States).

On an institutional level

- the establishment of strategic and lasting support to researchers participating in FP7, such as the provision of information about suitable EC- (and other bilateral) funding programmes and basic rules of participation, open calls, the preparation, management and monitoring of spending of the EC-grants, reporting to the EC, advise and support with legal and financial issues;
- the provision of flexible funding for physical mobility, enabling researchers to participate in preparatory and kick-off meetings, empowering them to formulate proactively their share of the work, proposing themselves their share of the budget
- a transparent and reliable management of EC-funding, in line with the rules of the EC and the contracts which have been signed

On an individual level

- researchers need to acquire complementary skills notably in the areas of project management, proposal writing and languages (English)
- researchers from the EU/AS and Russia need to put right from the start attention to their style of communication as EU-Russia communication seems to be a prominent source for misunderstandings
- visits of European partners to Russia, establishing personal relationships right from the start
- increased awareness of European coordinators for the need to consider Russian researchers as mediators to an administration with little experience in international cooperation

Partnering and consortium building

- increased transparency of the Russian RTD landscape, facilitating partnering for European newcomers in EU-Russia cooperation
- an enhanced information flow from Europe to Russia about consortia under formation to potential Russian partners, EU NCPs could contribute here

Within FP7, the European Community and Russia cooperate even more closely than in FP6, defining jointly RTD topics of mutual interest and benefit, offering specific instruments to encourage an intensified RTD cooperation.

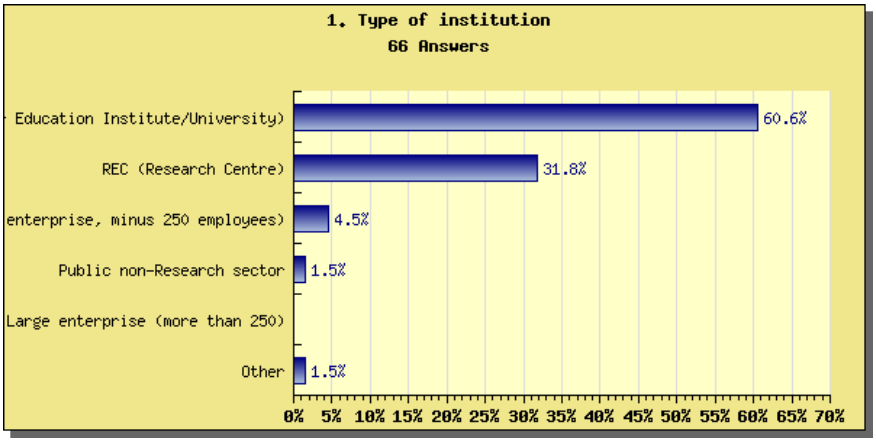
It will be of major importance to develop a straightforward implementation strategy of measures necessary in order to enable Russia and Europe to fully exploit the high potential of EU-Russia RTD cooperation in the upcoming years, notably in case of Russia's association to FP7.

5 ANNEXES

5.1 Annex 1: Target Groups of the Survey in Detail

5.1.1 Type of institution

Europe

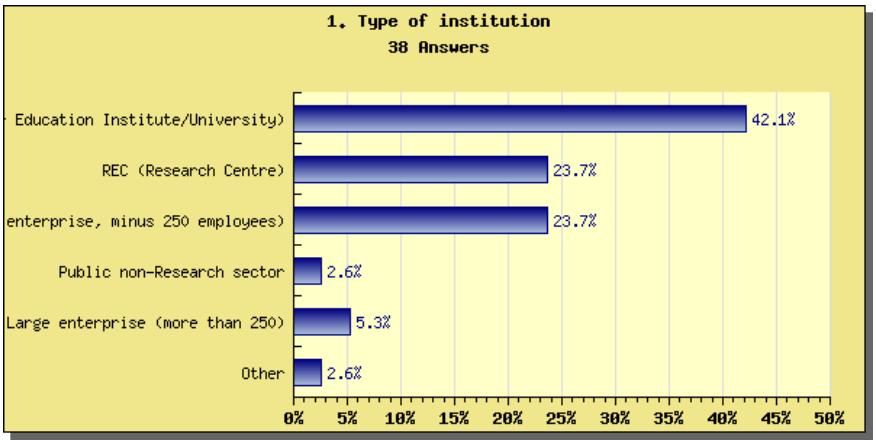


Explanation:

The following diagram shows at which type of institution European respondents are located:

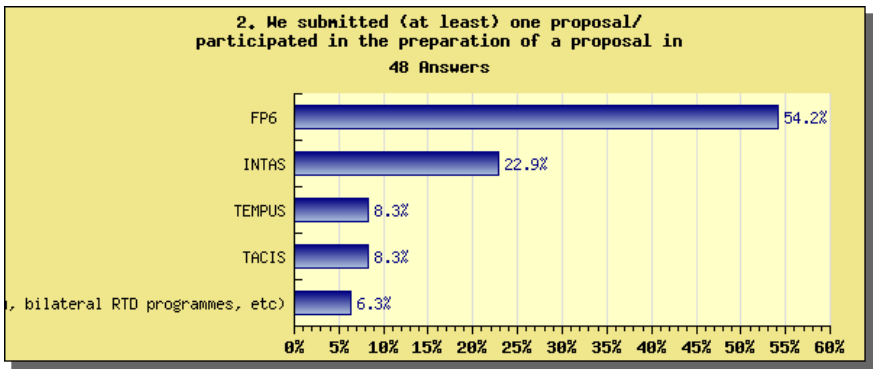
In Russia, the percentage of respondents located at universities exceeds 60%. Nearly 1/3 of institutions involved into the survey are research institutes.

Russia



5.1.2 Type of funding programme

Europe

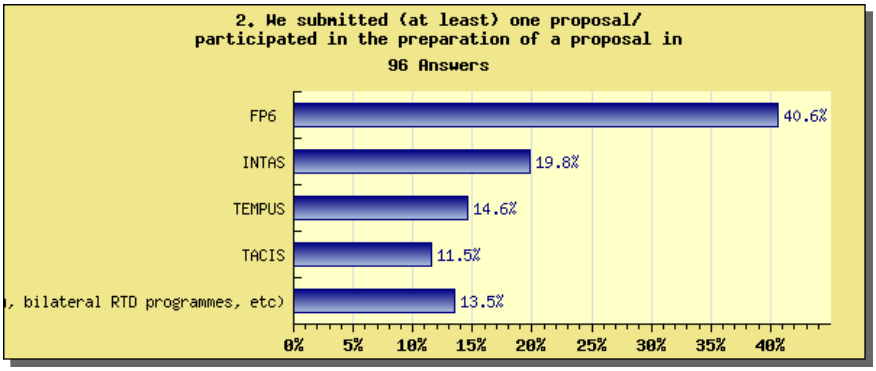


Explanation:

We can see from the diagram that the majority of European respondents is resp. was involved into FP6. There is also a considerable number of respondents who is/was involved in INTAS projects. Some respondents are involved into several projects (number of answers exceeds the number of respondents).

The responses of the Russian researchers show that, similar to the European respondents, the majority participates in FP6 (40,6%) and INTAS (19,8%), but with a

Russia

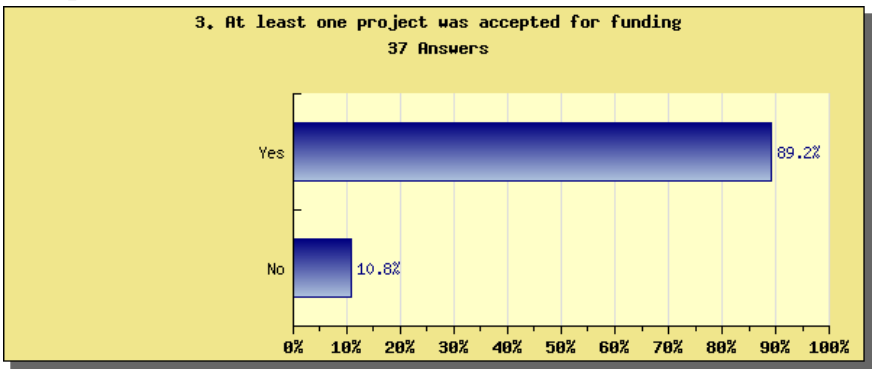


considerable number – appr. 40% of respondents – being also involved into EC-funded programmes like TEMPUS, TACIS and other bilateral funding programmes:

Some Russian respondents are involved into several projects (number of answers exceeds the number of respondents).

5.1.3 Focus on projects which were actually funded

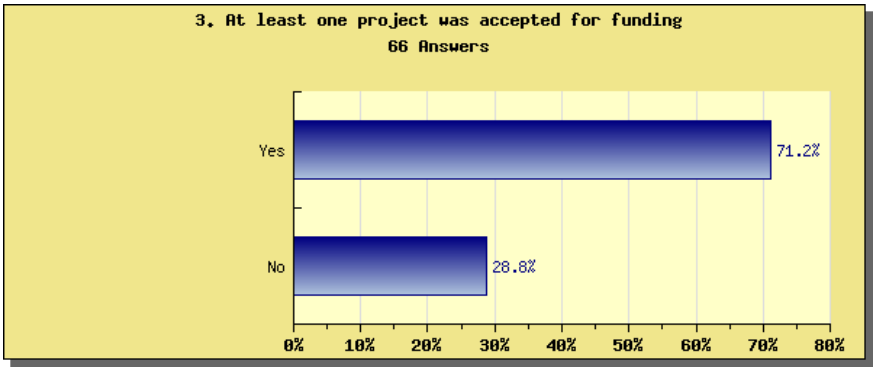
Europe



Explanation:

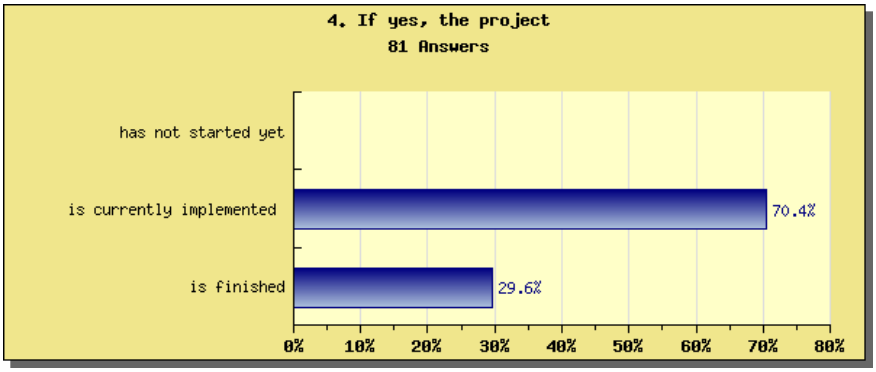
Nearly 90% of the European respondents and more than 70% of the Russian respondents to the survey are involved into projects which were successful with funding acquisition:

Russia



5.1.4 Time frame

Europe and Russia



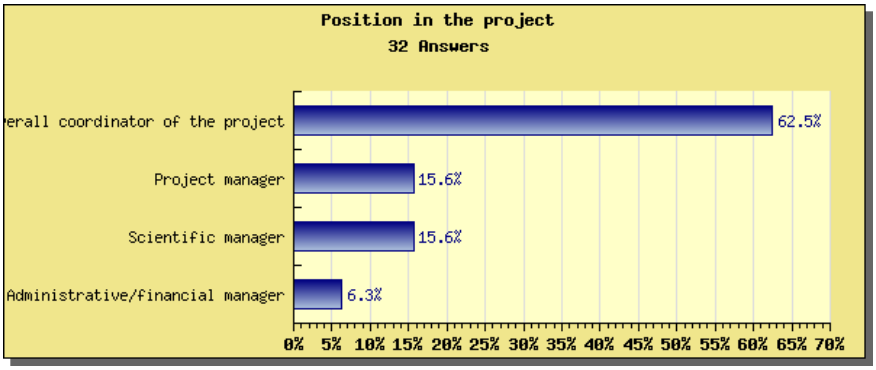
Explanation:

The majority of projects which received funding is either currently implemented (70%) or finished (30%):

We can therefore conclude that the individual experiences collected reflect current experiences made mainly in ongoing RTD-cooperation projects funded via competitive calls for proposals, for the majority in FP6.

5.1.5 Position of the respondents in the project

Europe

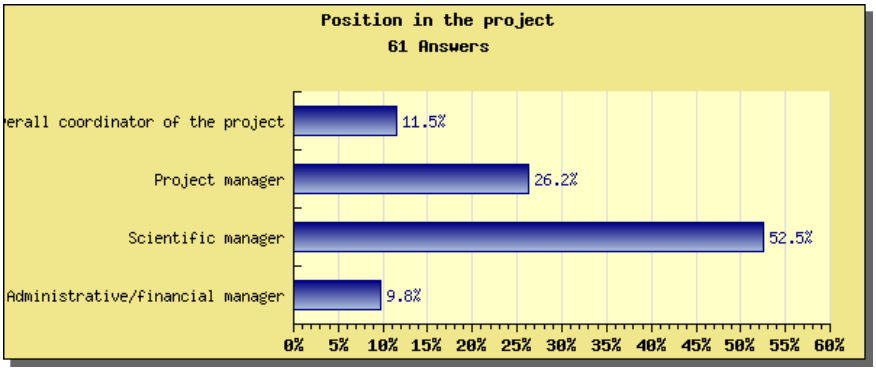


Explanation:

The majority of European respondents is overall coordinator of a project.

The majority of the Russian respondents is the scientific manager of the project. 11,5% of respondents are project coordinators.

Russia



5.2 Annex 2: Quotations of Respondents

5.2.1 Institutional support to international cooperation

European respondents:

European respondent located at a university:

"We don't need any department for international cooperation. This would not help us as they lack the necessary scientific expertise. It is also hard to separate purely "administrative tasks" from the rest of the work. I will soon employ a graduated physicist who has the necessary expertise for the management of the next project."

European respondent located at a research institute:

"We have six people looking for international cooperation, three of them for EC-funded projects, and one legal expert. They prepare the finances, budgets and carry out administrative tasks. The legal expert is particularly helpful, as she deals with the contracts and all legal issues. These people receive a lot of training. We recruited them from our national NCP organisation. They started with EC-funded projects in 1993."

One respondent located at an SME:

"We are a small SME with 36 employees. I'm writing the proposals myself, which is a lot of work. But we have 2 employees with a non-engineering background. They are in charge of the accountancy and related issues."

One respondent located at a research institute:

"We have no special department for international cooperation, rather some people in charge of administrative tasks. One person is employed only to carry out administrative tasks. Of course, we managed to gain some experience in European and international cooperation. It works well now."

One respondent located at a large research institute:

"We do have a department for international cooperation, but all research groups here work on an international level. Our organisation is rather a precursor, we offer trainings ourselves. Anyhow, if we are coordinating, it is necessary to write the proposal ourselves (= the researchers) to achieve a competitive proposal."

One respondent located at a university:

"Our department for international cooperation is helpful with our participation in the framework programme. But admittedly I learn more from rumours among my colleagues across Europe. Which calls are upcoming, which topics…"

Russian respondents:

One quotation of a researcher located at a well-known and leading Russian university:

"Fast and friendly service when travelling abroad (mainly with paperwork); this is however, due to my personal good contacts;"

Respondents who had been involved within FP6 in Specific Support Actions targeting Russia (like SITE, RUSERA) mention the following support received:

"Joint project preparation, help in communication, seminars (FP6, FP7, TEMPUS, etc)"

"Support with the preparing of documents according to international standards, Visas support, Financial support, English language course for research and academic purposes"

"Dissemination of knowledge about the opportunities of participation in FP7 and other EC -funding programmes; the support in organisation of visits of our partners from EU; improvement of the English language level;"

"Partner search for a project idea in France and Germany; travels organization; seminars and Information Days on FP6, FP7 and TEMPUS; specific course of English for projects at our university (1 year) and then at Tomsk Polytechnic University (2 weeks) for young-generation researchers."

"It's difficult to say. The international department can't support with filling in the application form because nobody can elaborate the project better than the researcher himself. As for the rules and requirements of participation in the FP7 program the researchers must get acquainted with them first and then start with the project elaboration. Otherwise it would be complicated to reach positive results with the proposal. Maybe the international department could support the scientists in this sphere."

5.2.2 Perception of institutional benefits

European respondents:

"We are cooperating today with leading researchers in Russia. There is a quantity of common achievements, with valuable, complementary contributions of Russian researchers. Our University benefits a lot. There are joint start-ups in our country, and many patents."

"We are not in a position to solve this by ourselves. Russian groups are outstanding because of the big number of excellent researchers participating. We would face difficulties to carry out our work without Russia."

"We received scientific input of high quality at low cost."

"For a university it is important to include Russia as they have an important cultural patrimony."

"International cooperation helps us a lot to identify new research areas."

"Thanks to our (European and) international cooperation we developed a method which enables us to carry out comparative (qualitative and quantitative) transcultural research."

"Thanks to our Russian partner, we had the opportunity to work on a broader basis, to unite different resources and methods and to apply methods under different circumstances."

"It is very interesting on the level of human relationships."

"Our international cooperation enabled us to increase our capacities to deal with emerging problems, new methodologies, additional funding. The world is getting more and more international – projects moved from a local level to an international scale."

"For us, cooperation with Russia has been essential. We share 1200 km of a joint border. Together, we can study common problems."

"Our European and international cooperation helps us to save money. We can choose to put 100 million Euro in the area of microsystem technologies before we can use this technology, or we can look for a partner who just finished with setting up this type of technology, and who can offer it's exploitation."

"It is not possible for our thematic area to limit ourselves to Western Europe. The inclusion of Eastern European regions is essential to answer our scientific questions."

"Our international cooperation enables us to learn about different scientific methods. We had, for example, a joint publication of four authors (RU, PO, GE, US), an exciting genetic story from Novosibirsk. The method was provided by the Russian colleagues, the others provided the data."

"Our international cooperation creates access to the sectoral market in Russia."

"It helps us to save time. Developments within a consortium are implemented much quicker than by one single SME. And we need to place our products on the market as quickly as possible."

Russian respondents:

"Students in my lab have chemicals and other consumables for practise, partners often provide used equipment as gifts, minor equipment, office equipment can be bought - as the university provides literaly nothing…"

5.2.3 Intellectual Property Rights/ IPR

Russian respondents:

"I believe that the professional handling of IPR is an important issue for Russian researchers as the IPR protection laws are absolutelly different in different countries. It is sometimes impossible to match these laws in order to correspond both parties. I think many Russian researchers don't take part in the international projects because of expected difficulties with solving the IPR problems….. I try to avoid researches which could lead to IPR issues."

"For Russian researchers it has one more dimension: We should learn that we have the Rights."

"I can say that there is no appropriate awareness in this area: how to competently regulate and arrange IPR issues, what the legal basics (both in Russia and in the EU) are."

"I think that many Russian researchers don't take part in the international projects because of expected difficulties with solving IPR problems."

"As for IPR, I have not ever had troubles with it; this issues was well stated in the contract…I can say that European researchers are very scrupulous about this issue."

One Russian respondent was convinced that IPR were an important issue for Russian researchers "if millions of Euro are at stake".

5.2.4 Involvement of an industrial company

Russian respondents:

"We are working in collaboration with different companies and it is always important to get industry feedback about requirements of industry to scientific and educational programmes."

"The industrial partner provides the opportunity to check the test-bed model in real conditions of future exploitation."

"Yes, in the frames of our consortia our institute cooperates with certain industrial partners, for ex. with a small industrial partner from Germany. I hope that our research activity is helpful for the industrial partners. As for us, we now better understand what is really important for industry."

"We conducted several local projects with participation of the local industrial companies and the impact was positive. Firstly, the results of the research were more for practical use than theoretical. Secondly, the industries profit from such cooperation because they get valuable

statistical information and scientific explanation of industrial procedures. Thirdly, the scientists get an excellent field for research and for development of innovation."

"Several small enterprises from the EU are involved. No specific impact due to their nature as far as I know."

5.2.5 Contribution of partners when a consortium is designed

Russian respondents:

"Nowadays we are going to participate in another EU project. It will be realised within FP7. Our research team was offered to be a task leader in the project, but we had to give up, because of lack of necessary experience."

5.2.6 Establishing contacts

European respondents

"It is important to have an idea of the person with whom you will cooperate. A face-to-face meeting definitely helps a lot. However, it is possible to create a new contact via the Internet, if I get in addition a personal recommendation that someone is very good."

"A website with detailed information about recent activities and publications is obviously essential. Otherwise, it is hard to get a picture of your future partner."

"Within our consortium, we have many contacts. Our Russian partner was proposed by someone who knew them. But Italian researchers do not particularly look for Russian partners. This only happens if someone knows a qualified partner from Russia."

5.2.7 "Russia- specific" problems"

European respondents:

"Russia is an industrial nation like Japan, the EU, the US…They occupy leading positions in many technological areas…even though they are not treated for ex. like Switzerland."

"I'm fascinated by our Russian colleagues. They are absolutely equal."

Russian respondents:

"The one big problem is that our University is managed exactly like in the USSR, but times changed a bit… Not until the management system is changed or all scientists start working on international projects this loosing battle would get a chance."

5.2.8 Problems encountered with cooperation

a) Communication problems

European respondents:

"Russian researchers are very reliable. I always receive fast replies, in good English."

"Communication takes place in English and is no problem at all. Our Russian partners possess an outstanding education."

"We solved our communication problem with one Russian partner with the help of other Russian partners. They contacted them and asked them to reply."

"One of my colleagues had once a Russian hospital with 12000 beds as partner. He visited them one day and realised that they simply didn't have the necessary equipment in their laboratories. They would never have been able to carry out the agreed and required tasks….This was never communicated."

Russian respondents:

"There have been no big problems with corresponding too. ….From the experience of my own, I can say that emails of German people, for instance, are very compact and cool, without clarifying things. So I have to ask for some explanations and/or additional information. French people do their emails much like SMS, i.e. without using capital letters and punctuation marks. And, what is typical of all European people, they do not response if they are not certain what they should response. In those cases, they just keep silence."

"Unlike Russian people, European people are remarkable for their high sociability. If they know ten words, they try to speak to a foreigner using just those ten words."

b) Lack of a transparent project management including the finances

European respondents:

"They are helpless with the complexity of reporting for EU-projects, specifically, the financial reports" believes one European respondent.

Russian respondents:

"Receiving of grant money; although it is not specific of participating in FP7, it is a specific problem for research organizations in Russia working with foreign partners. Over the last year, the institutes of the Academy of Sciences need to pay taxes for the land they occupy. The government (Academy of Sciences) reimburse this money, but with a delay. So the Institutes always have debts to be paid to the local municipal government. As a punishment tool, financial officers use to arrest the institutes accounts. They have no rights to arrest the "budget" account (from which salaries are paid), but they can arrest the "currency" accounts used to receive grant money transactions from abroad. They always do it. "

"The administration has "overheads", which are hopefully used for good purposes, though I know little about it."

c) Commitment and reliability

European respondents:

"To my experience, Russian researchers attach much importance to carry out a good job. It is only necessary to tell them what they should do."

"The personal relationships are very good. They are warmhearted people. They are people easy to get along with."

5.2.9 Perception of the impact of a smooth management on the success

Respect of deadlines

"To my experience, deadlines are rather seldom respected. Russian researchers underestimate how serious the Commission is with reporting."

5.3 Annex 3: European examples of Best Practise of Institutional Support

5.3.1 Helmholtz Centre for Environmental Research, Leipzig, Germany

http://www.ufz.de

The Helmholtz Center for Environmental Research is located in Leipzig. It is named after one of the most famous German natural scientists of the 19th century, Hermann von Helmholtz, "an allround genius with an eye to practical applications". The Helmholtz Center for Environmental Research employs more than 800 people, the overhelming majority in S&T areas. The center belongs to the well known Helmholtz Association. Helmholtz Association employs currently 26500 people in 15 research centers.

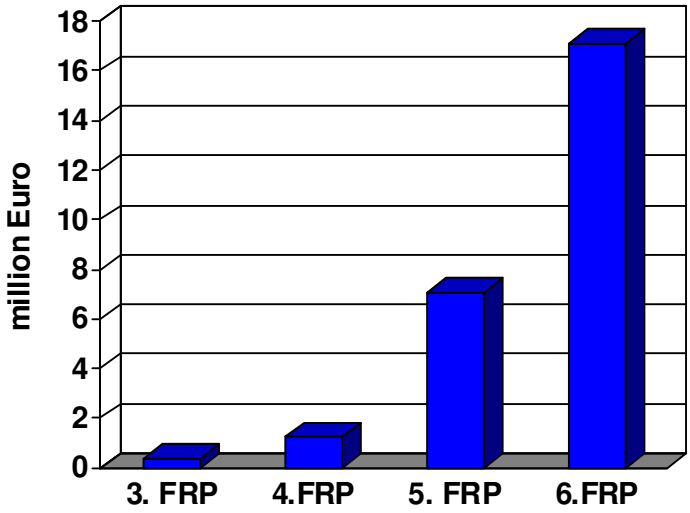
Helmholtz maintains also an office in Moscow:

Helmholtz-Association
German-Russian House Moscow
Malaya Pirogovskaya 5
119435 Moscow
Russian Federation

Tel.: +7 495 981 17 63
Fax: +7 495 981 17 65
www.helmholtz.ru

There are many joint German-Russian activities in arctic research, climate research, geophysics, atmosphere research, remote sensing, nuclear physics, laser physics, astrophysics and more.
The Helmholtz Center for Environmental Research cooperates for many years already with Russian partners, currently within 5 FP-projects. Experiences of cooperation are excellent.

Helmholtz Center for Environmental Research is very successful in the Framework Programme:



Helmholtz Center started with 6 successful project in FP3, participated in 16 projects in FP4, in 36 in FP5 in 48 in FP6.

The unit providing support to researchers with EC-funded RTD projects is composed of 3 persons which cover the strategic planning, issues related to proposal preparation, legal and financial issues and issues related to the project management.

The unit provides information about upcoming calls, calculates the budget of proposals, prepares the A-forms and pre-evaluates the proposals.

During contract negotiations, the unit ensures the negotiation process and exchange of information between the coordinator, the partners and the European Commission, prepares the Contract Preparation

Forms (CPFs) and the Grant Agreement Preparation Forms (GPFs) and prepares and negotiates the consortium agreement with the partners.

During the phase of the project implementation, one representative of the unit figures as contact person for administrative and financial issues. This person calculates and transfers the EC-funds to the partners and provides support for the coordination and during the reporting phase. This person is also responsible for preparing project amendments.

In general, the unit has to keep researchers of the center updated about the actual budgetary situation of projects, prepares the financial reports as well as the management reports, organises the project meetings and prepares and negotiates subcontracts.

For more information, please contact:

Ms. Silke Rattei (silke.rattei@ufz.de)

Ms. Annette Schmidt (Annette.schmidt@ufz.de)

5.3.2 Vienna University of Technology, Austria

Vienna University of Technology was founded in 1815. It comprises 8 faculties, 18.000 students, 1440 researchers and 940 employees in administration.

The university has partnership agreements with more than 50 universities and research organisations. Vienna University of Technology participates in FP6/FP7, the Competitiveness and Innovation Programme (CIP), EUREKA (eligibility of Russian partners) and COST (eligibility of Russian partners).

The university received 28,9 Mio Euro during FP6, coordinated 18 projects and took part in 113 projects as partner.

The International Cooperation Office of the university employs four persons. The unit closely cooperates with FFG/Austrian Research Promotion Agency, the Austrian FP7-NCP organisation, eg when organising targeted events and workshops.

The unit provides information and support with financial information and project management, legal support (Consortium Agreement, Grant Agreement), and promotes the mobility of researchers via Marie Curie actions.

In the field of international project development, the unit supports researchers with

- identifying suitable programmes for funding (eg the Framework Programme)
- identifying appropriate topics in work programmes of the Framework Programme
- creating a complementary consortium
- defining roles of participants (coordinator, partner, subcontractor)
- calculating the budget/ project costs

The unit provides furthermore consultancy with the use and completion of administrative forms, with financial and legal aspects, supports the preparation of financial statements, legal documents and audits. It provides also support with the monitoring of the project (notably the budget) and statistics.

The university maintains a special fund for financing individual mobility of researchers.

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5.3.3 Finnish Environmental Institute (SYKE), Helsinki, Finland

The Finnish Environmental Institute SYKE was established in 1995 by the Ministries of Environment, Agriculture and Forestry. It employed in 2008 about 600 people. The institute provides expertise from a wide range of disciplines, and delivers information and solutions promoting sustainable ecological development.

SYKE has 8 departments, of which the research department with 200 employees is the second one in terms of number of employees.

The unit for international consulting, composed of two full-time and one part-time employee, is directly under the supervision of the director of the institute. The staff has an educational background in business administration and receives training mostly from the Finnish National Contact Point for FP7. Furthermore, the staff actively studies all the guides and documents made available via CORDIS. ”Learning by doing” is the central approach. Furthermore, weekly internal meetings and self-organised information acquisition enables the staff to keep up-to-date with FP7 (and other funding programmes).

The unit assists the whole institute with financial and administrative tasks related to the Framework Programme and two other European funding programmes (LIFE, INTERREG). SYKE has been participating in the Framework Programme since FP4, as coordinator and as partner. In January 2008, SYKE was involved into 19 ongoing FP-projects.

The unit assists researchers with budget calculation during the phase of proposal preparation, with contract preparation (incl. negotiations), with support during project implementation with financial reports, provision of person months tables, preparation of audits, meetings and with the writing of minutes of meetings.

Maria Vuorinen, who is working at the unit for international consulting, told us at the RUSERA EXE training workshop in January 2008 in Vienna: “The most common questions we receive concern the remaining budget/ person months in a project, and if there is enough national co-financing.”

5.4 Annex 4: Institutional Support in Russia

As Helene Kamensky, Salzburg Global Seminar, pointed out at the RUSERA EXE conference in January 2008:
Overall, there is engagement of Russian universities in international cooperation, although each university develops its international activities in a particular way. Despite the differences, Ms. Kamensky identified common elements of international cooperation offices at Russian universities:
Russian universities are likely to carry out classical support like the administration of grants and exchange programmes. But there is no strategic commitment to foster international cooperation across the institution.
Internationalisation is no strategic priority of university leadership so far. International cooperation offices at Russian universities are usually more likely to facilitate activities than to provide strategic advise.
Ms. Kamenksy described the following way forward for Russian Universities:

- to change from “exchange” to “collaboration”:
- to develop a new mission for international cooperation offices, from support offices to strategic promoters of internationalisation, across the entire institution with a strong focus on RTD collaboration,
- to develop an efficient internationalisation strategy and an efficient internationalisation management system, including the creation of an advisory board and effective structures for international cooperation offices

International cooperation offices should be fully integrated into the development and implementation of the internationalisation strategy. A strong relationship with the leadership is essential. The system of internationalisation management should meet international standards.

Regarding the Russian Academy of Sciences/RAS, Ms. Kamensky mentioned a flexible internationalisation management system. The RAS comprises nine departments (by scientific subjects), three regional branches (URAL, Siberian Branch, FAR EAST) and between 415 – 450 institutes (sources diverge). The RAS employed approximately 115 000 people (2007).[5]

The RAS by tradition enjoys considerable autonomy. Each institute is entitled to develop and carry out international projects.

There is an internationalisation management system for the RAS at the level of the presidium. The Vice-President for International Affairs is in charge of the international collaboration. Furthermore, there are international offices for each department (of the nine science subjects), for the regional branches of the RAS, within regional scientific centers and in some research institutes.

[5] *Wissenschaft – Forschung – Bildung in der Russischen Föderation. Erweiterte und aktualisierte Ausgabe. Stand: Juli 2008. Deutsche Forschungsgemeinschaft (DFG), Verbindungsbüro Moskau, Helmholtz-Gemeinschaft Deutscher Forschungszentren, Büro Moskau, Botschaft der Bundesrepublik Deutschland in Moskau. Page 40.*

5.5 Annex 5: Intellectual Property Rights (IPR[6]) in Russia

by Dr. Alexandra Bykova

5.5.1 Recent Developments in the Russian IPR legislation

The history of the IPR legal framework development

Legal protection of IPR in the USSR was based on the concept of "intellectual property for the benefit of the masses". All inventions were claimed to be state property. As a reward for their work inventors received an *Author's Certificate for Invention*.

After the collapse of the Soviet Union work began in 1992-1993 in order to bring the IPR legislation in line with market economy requirements. As a result the **Patent Law** governing moral and economic rights arising from the development, legal protection and use of inventions, useful models and industrial designs was adopted, as well as **special laws** governing different types of intellectual property (trademarks; computer programs, databases and topographies of integrated circuits, copyright and neighbouring rights).

The practical use of this legislative framework revealed some gaps which were later filled in 2002-2003 by introducing amendments to the IPR legislation.

Recently, another important step has been made with a view to finalising and integrating the legal framework. The IPR-related legislative norms have been brought together in a single document - **Part IV of the Civil Code.** This Part, entitled **"Rights for Intellectual Activity Results and Means of Individualization"** came into force on January 1, 2008.[7] It replaced the old Patent Law and all the other special laws.

Such an approach made it possible to formulate **common general provisions** for intellectual property as far as such rights as transfer and succession are concerned as well as regarding the contestation and enforcement of those rights (Chapter 69). It helps to avoid unnecessary differences between the provisions of separate laws on intellectual property rights regulating the same problem, which often cause confusion. As the IPR are now included in the Civil Code they are considered part of private individual rights and civil law in general (unlike many other legislations in the world).[8]

5.5.2 Some crucial facts about the Russian patent legislation

a) Compliance of the Russian Patent legislation with international standards

Russia is a member of the WIPO and a participant in major WIPO treaties including the Patent Cooperation Treaty (PCT).[9] Many of the provisions of the patent legislation are similar to those in force in the majority of industrially developed countries. Russia is seeking to harmonize its national rules and procedures according to the international treaties.

In accordance with international agreements on reciprocity, the patent legislation offers rights to both Russian citizens and foreign nationals. Thus, Russia has signed the Paris Convention for the

Protection of Industrial Property,[10] which grants the same protection to nationals of the other contracting States as to the country's own nationals.

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[6] *This part was written using material from http://www.gowlings.com/resources/PublicationPDFs/GuideIPRussia_reformatted.pdf (in English) (sometimes out of date due to the adoption of Part IV of the Civil Code) and Short-hand notes of the Round Table on "Problems of the capitalization of intellectual property" held at the Centre for Strategic Research (www.csr.ru) on June 8, 2007, Moscow, Russia http://www.opec.ru/library/article.asp?d_no=5828&c_no=83&c1_no= (in Russian)*

[7] *Part IV was approved by Federal Law No.230-FZ of December 18, 2006.*

[8] *http://www.boek9.nl/default.aspx?id=3899*

[9] *The list of the WIPO-treaties signed by the Russian Federation can be found on the WIPO web-site under Country Profile http://www.wipo.int/about-ip/en/ipworldwide/pdf/ru.pdf*

[10] *The Summary of the Paris Convention to be found at http://www.wipo.int/treaties/en/ip/paris/summary_paris.html*

b) Main functions of the Russian Patent Office

The patent office in Russia is called the "Federal Service for Intellectual Property, Patents and Trade Marks" or, briefly, "Rospatent" (http://www.fips.ru). It is subordinated to the Ministry of Science and Education of the Russian Federation. The Russian Federation recognizes patents issued either by Rospatent or patents valid in Russia in accordance with international treaties that Russia has signed. To obtain a patent in Russia an application must be submitted to Rospatent.

Rospatent

- receives applications and issues patents;
- registers agreements on intellectual property rights, i.e. patent assignment agreements and license agreements.
- publishes information on the registered IP objects, applications received and patents issued;
- checks the activities of organisations handling the rights of the Russian Federation for intellectual property.

c) Who has the right to obtain a patent?

According to Chapter 72 of Part IV of the Civil Code the IPR for inventions, utility models and industrial designs are considered to be patent rights. **The following persons have the right to obtain a patent** (Articles 1357 and 1370):

- inventors - if several persons participate in the invention; all of them are considered to be inventors, and the distribution of patent rights among them may be assigned by contract;
- employers - if the invention was made by an employee within the scope of his or her duties unless the contract between the employer and the employee provides otherwise. Employers are entitled to apply for a patent if an invention, utility model or industrial design was created by an employee either in the course of the employment or while fulfilling a specific assignment by the employer. The employer should pay the employee an award. This amount is determined by an agreement between the employer and the employee or, when the parties cannot agree, by a court of law. Employers who are entitled to obtain a patent must apply to Rospatent to register or otherwise dispose of their rights within four months. If the employer fails to do so, or does not inform the inventor of the intention to keep the invention secret, the right to register the invention reverts to the inventor. Even if the rights revert to the employee, the employer still has the right to use the patented invention in his or her business, subject to the requirement of compensating the employee.
- other individuals or entities according to a written contract with the inventor or in other special cases regulated by law.

d) The main preconditions for patent protection

An invention is generally granted patent protection if it has novelty; inventive element; and industrial applicability (Article 1350). It is noteworthy that in case the invention was made public, an application for a patent may still be filed with Rospatent within 6 months after the disclosure of the information about the invention. The applicant must be able to prove that such disclosure did not undermine the patentability of the invention.

A utility model is generally granted patent protection if it has novelty and industrial applicability (Article 1351). An industrial design can be protected if it has novelty and originality (Article 1352). Russia has a

'first-to-file' patent system. However, if the application has already been submitted in another member-state of the **Paris Convention**, the **'right of priority'**, provided for in the Convention, applies.[11]

e) Periods of patent protection in Russia

IPR for invention, utility model or industrial design are protected only after the state registration is completed and the patent is granted. But the period of protection begins from the date of filing the application with Rospatent rather than the date of the invention itself.

Patents are valid for the following periods of time (Article 1363 of Part IV of the Civil Code):

- inventions - 20 years;
- industrial designs - 15 years with a possibility to renew for up to 10 more years (formerly – 10 years, with a possible renewal for up to 5 more years);
- utility models - 10 years with a possibility to renew for up to 3 years (formerly - 5 years, with a possible renewal for up to 5 more years).

f) The rules for protecting Russian inventions abroad

An application to obtain a patent for a Russian invention outside of Russia can only be submitted six months after the submission of the respective patent application to Rospatent (Article 1395). Furthermore, it can only be submitted outside Russia if during this six-month period the applicant was not informed that the application contains information related to national security issues. Rospatent may - upon request - shorten this compulsory six-month period for checking the application in relation to national security information according to a procedure envisaged by a governmental decree.

Failure to follow this rule entails an administrative fine.

The compulsory period of six months is not applicable to international applications to Rospatent for obtaining a Russian patent (according to the Patent Cooperation Treaty) or "Eurasian" applications to Rospatent (according to the Eurasian Patent Convention).

g) Some remarks on licenses and assignment

The agreement for the transfer, assignment or licensing of intellectual property rights must be made in writing. The written agreement must be registered with Rospatent. The three main types

of agreements subject to registration are IPR assignments; exclusive IPR licences; and non-exclusive IPR licences.

5.5.3 Challenges for the Russian scientific community, mostly related to the application of the IPR legislation

General remarks on the Russian IPR legislation

Russian IPR legislation is quite extensive but it often can't be applied directly since many norms are very general in nature and their application has to be clarified by presidential and governmental decrees, ministerial instructions and other by-laws.

To apply IPR rules properly, one has to deal with other branches of law such as civil, financial, tax, administrative, criminal, criminal procedure legislation.

Sometimes this relationship is not very evident, sometimes legislative rules are not coordinated. Differences in the use of terms and term definitions which are used in the tax legislation and in the Civil

[11] *"This right means that, on the basis of a regular first application filed in one of the contracting States, the applicant may, within a certain period of time (12 months for patents and utility models; 6 months for industrial designs and marks), apply for protection in any of the other contracting States; these later applications will then be regarded as if they had been filed on the same day as the first application. In other words, these later applications will have priority (hence the expression "right of priority") over applications which may have been filed during the said period of time by other persons for the same invention, utility model, mark or industrial design." The Summary of the Paris Convention to be found at http://www.wipo.int/treaties/en/ip/paris/summary_paris.html*

Code are not rare. Experts[12] also claim that there are different rules and reporting requirements regarding IP issues applied by the Accounts Chamber[13] and the Rospatent. The legislative gaps lead to different interpretations of the same situation. Some most common gaps actively discussed in the Russian scientific community are presented later.

Furthermore, the legal framework keeps changing constantly due to the changes in the IPR legislation (mainly governmental decrees and ministerial orders), but also due to the changes in the budget and civil legislation, creating contradictions and confusion.

The positive effect of the incorporation of the entire IPR regulations in Part IV of the Civil Code which has entered into force on January 1, 2008 is undermined by emerging concerns as regards its practical implementation.

First, the legal provisions of the Civil Code and their practical use need to be clarified by additional laws (about four of them are needed) and governmental decrees (about 15-16 needed), many of which have not been adopted so far. Pending this legislative work there is no clear legal basis. And as negotiation procedures among various ministries take time there will be no clear rules for the time being. As for the content, many lawyers claim that the precise definitions previously included in the special laws are now missing in the Civil Code, making it less precise and hampering its use by judges in courts.

Another formal objection may be that the Civil Code is a higher level instrument than a special law; it is therefore more difficult to amend it in order to fill the gaps that have been identified in the course of its practical application.

On May 8, 2008 the Russian Government submitted to the State Duma (Parliament) the draft federal law On Introducing Amendments to Part 4 of the Civil Code of the Russian Federation..

The problems of applying the law often force organisations neither to patent RTD results, nor to use them in the trade secret regime, nor to show them in the balance sheet as an intangible asset.[14]

5.5.4 Major challenges related to the IPR issues

- The major challenge for the majority of the Russian scientific community is the **distribution of intellectual property ownership** between the state, on the one hand, and organisations performing RTD as well as inventors, on the other. The challenge consists in determining the conditions under which the ownership belongs to one party or the other.
- Another vague issue is **payments for IP**. The most common questions that arise are: How should one determine the inventor's remuneration when there is virtually no intellectual property market? How a state university or an academic state institute can legally sell patents or receive royalties for IP?
- It is also not very clear for an institute or a company how they should properly and according to the actual Accounting Rules of the Russian Ministry of Finance show the **arising intellectual property** in the balance sheet**.**

All of the above-mentioned issues are even less clear and more difficult to resolve for:

- RTD funded from the Russian federal budget;

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[12] *Short-hand notes of the Round Table "Problems of the capitalization of intellectual property" in Centre of Strategic research (www.csr.ru) on 8 June 2007, Moscow, Russia http://www.opec.ru/library/article.asp?d_no=5828&c_no=83&c1_no= (in Russian)*

[13] *The public body responsible for the control of the federal budget (www.ach.gov.ru).*

[14] *Short-hand notes of the Round Table "Problems of the capitalization of intellectual property" in Centre of Strategic research (www.csr.ru) on 8 June 2007, Moscow, Russia http://www.opec.ru/library/article.asp?d_no=5828&c_no=83&c1_no= (in Russian), Natalia Zolotaryova, IPR lawyer, TAT Transtechnology director, page 10; Oleg Diachenko, director fo the Technology Transfer Center of the Lomonossov MSU, page 16*

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- State-owned research organisations (especially, state establishments).

These two cases will be discussed in greater detail below.

The following figures illustrate that the legal uncertainty regarding the use of RTD results represents a serious concern for the major part of the Russian S&T sector. More than 50% of research funding is provided from the Russian federal budget (60.9% of GERD in 2005) and many RTD activities are co-financed and partially funded by the state. Furthermore, about 70% of research organisations are state-owned (73.8% in 2005).

a) RTD funded from the Russian federal budget

At the beginning of the development of the IPR legislation in 1992, the ownership of intellectual property as regards RTD results funded by the Russian Federation (from the Russian federal budget) belonged to the state. But the legislation did not regulate the mechanism of the IPR use by the state. Despite the fact that the share of federal financing has always been at about 55-60% of GERD, only a small part of those RTD activities produced results which were later patented and used in the economy.

It was clear that this approach lead to highly ineffective public S&T investments. Therefore the S&T policy making body has shifted towards a more liberal approach, i.e. the assignment of IPR for civil RTD to the developers. Unfortunately, this approach at first was not supported by the Ministry of Finance of the Russian Federation.

After 7 years of discussions and negotiations the Governmental Decree No. 685 of November 17, 2005 "*On the Procedure for the Disposal of Rights for RTD Results*" entered into force. It defines the cases when the IP ownership rights for RTD results financed from the Russian federal budget belong to the STATE. First, "when the use of RTD results financed from the Russian federal budget is limited or restricted by law". Second, when "*the state finances the work to bring the RTD results to the production stage (including the production of a pilot batch)*".

Upon the decision of a "*Public Customer*", IPR could belong to the Russian Federation and the contractor JOINTLY if the RTD results are necessary "for the *performance of state functions* related to *national defence and security* as well as to *the protection of public health*".

As for other RTD results, IP ownership belongs to contractors and should be specified in the *Public Services Contract*. RTD which is funded from the Russian federal budget is considered to belong to *Public Services*. After the tender the winning research organisation concludes a *Public Services Contract* with a *Public Customer* (various Ministries or other administrative bodies).

When assigning IPR to a contractor, the state can also later demand a free licence from the contractor.

Thus, the Russian Ministry of Science and Education and branch Ministries are formally empowered to assign the rights to RTD developers.

Despite numerous by-laws adopted by the ministries to develop this legislation, it is still unclear what is meant by "*for the performance of state functions*", "*related to national defence*", "*related to the protection of public health*" or "*when the state finances the work to bring the RTD results to the production stage (including the production of a pilot batch).*"

In practice, the process of IP ownership assignment for contractors is hampered by the lack of clear instructions for public officials working in the ministries. They are sometimes reluctant to take a decision in favour of developers. It is quite reasonable - when carrying out the checks, the Accounts Chamber can claim that the interests of the Russian Federation were not protected sufficiently.

If IPR are assigned to the RTD contractor and the contractor decides to start using them commercially, compensation is to be paid to the state. *IPR assignment agreements* and *licence agreements* must contain a provision on compensatory payments to the state. Those payments are to be based on the income received from the commercial use of IPR. Yet the legislation does not specify how those payments are to be calculated precisely.

Part IV of the Civil Code (Article 1298) provides for a more liberal approach to exclusive IPR for the use of RTD results funded from the Russian federal budget through Public Services Contracts.

Exclusive IPR will be granted by the state to a contractor if the *Public Services Contract* does not specify that the rights belong to the state or belong jointly to the contractor and the state.

If the rights do not belong to the state, the customer, at the request of the Public Customer, must issue a simple (non-exclusive) licence to the state.

If IPR are co-owned, the Public Customer can issue a simple (non-exclusive) licence to anybody, while informing the contractor. The rights of inventors (researchers) are regulated by Article 1295 as "rights for usual inventions".

It should be mentioned though that as long as the public contracting rules have not been changed (as to how a public official should write a contract), the old above-mentioned Governmental Decree No.685 applies.

Despite all these vague points, the positive effect of this decree is that performers of RTD funded from the Russian federal budget will finally have a contract specifying all the details regarding the ownership of intellectual property.

Conclusion

The main conclusion is that the involvement of the state might limit ownership rights and the mobility of intellectual property. Thus, in those cases when Russian partners in FP-projects bring in co-financing provided from the Russian federal budget, the IPR distribution should be clarified in advance. In so doing one should ensure that the contract of Russian partners with the Russian

Federation on the use of RTD results does not limit or only marginally limits Russian partners in terms of IPR mobility and compensation payments to the state.

The upcoming adoption of the law "On the Transfer of Federal Technologies" should clarify the vague issues regarding co-financing. This comprises the relationship that emerges in case of rights distribution, the assignment of rights, the distribution of income received from the use of the technology. But this law is still under negotiation among the ministries.

b) IPR for RTD results generated by state-owned research organisations

There are also several unclear moments of the IPR for RTD results generated by research organisations owned by the state.

If RTD were *funded* from the *Russian federal budget*, the use of RTD results is more or less regulated by law (see above).

Numerous questions arise however when a *state-owned* research organisation finances RTD from its *own money* (the income gained through its commercial activities) or *grant funding* coming from abroad.

Who owns IPR for such RTD results? How legal is it to declare such an organisation as their owner? And thus how legal are further transactions involving those rights? If the sale of the patent is not quite legal, the question arises whether state-owned organisations could enter into license agreements?

The nature of those questions is explained below.[15]

The lack of clarity arises mainly due to some *vague provisions of the civil and budget legislation*.

Thus, the Civil Code does not clearly describe the legal status and rights of *state establishments*[16] (all state universities and most institutes of the RAS) and *state unitary enterprises*[17]

[15] *The explanation follows the logic of a leading IPR legal expert Ms. Natalya Zolotaryova, director of the TAT Transtechnology, expressed during the Round Table "Problems of the capitalization of intellectual property" in Centre of Strategic Research, Russia, Moscow, on June 8, 2007.*

[16] *This is a legal form (from the Russian Civil Code) of state owned organisations which are fully funded from the Russian federal budget through the Federal Treasury.*

[17] *This is a legal form (from the Russian Civil Code) of state owned organisations which are not funded by the Russian federal budget and can act as commercial companies.*

On the one hand, they do not have OWNERSHIP rights for the property the owner (state) has provided them with. They use this property according to special regimes, described by the Civil Code - *civil management* and *economic operation regimes*.

On the other hand, *state-owned* research organisations are allowed to carry out *commercial activities* if this is foreseen by their constituent documents. According to Article 298.2 of the Russian Civil Code the *income* from commercial activities and *property* acquired from such funds could be accounted for in a separate balance sheet and could be in **"independent disposition"** of such organisations. But the Civil Code does not contain the definition of **"independent disposition."**

As the law does not provide for the clear rules of the game, there is a possibility of different interpretations.

Some lawyers claim that state-owned research organisations, which have no legal OWNERSHIP rights, cannot own RTD results, whether protected or not (patented or not patented). If the legality of the selling of a patent is questionable, the question arises whether RTD organisations owned by the state are entitled to conclude license agreements.

Other lawyers claim that if there is NO exact definition of **"independent disposition",** it could also mean OWNERSHIP rights. Thus, if the state-owned research organisation has acquired RTD results through allowed commercial activities, they own them.

In this case an additional question of *allowed commercial activities* for UNIVERSITIES arises.

For example, universities, as *state establishments,* according to Article 47 of the Law on Education should comply with the "list of allowed commercial activities". Patent cession (sale) or license sale are not "allowed commercial activities" for Russian universities. Therefore, when universities cede patents or sell licenses, the Ministry of Finance does not allow that the university transfers the earnings gained to the so-called university account "from commercial activities." All earned money has to be transferred to the federal treasury accounts and therefore to the Russian federal budget. As a result, the patenting of inventions generated by universities is hindered as universities cannot legally generate any income by selling patents and licenses.

The new Law "On Autonomous Establishments" No.174-FZ of November 3, 2006 shows a possible way out of this situation – to transform the legal form of the organisation from a *state establishment* into an *autonomous establishment*. This new status would allow universities to determine independently how they use the income from commercial activities. This transformation would however entail the loss of direct funding from the Russian federal budget. It would lead to a more unstable situation of the university in terms of funding as the university will only be able to obtain funding from the federal state in the form of subsidies through state contracts. This does not include core funding. However, some universities consider the transformation of their legal status into an "autonomous establishment" as reasonable.

The use of IPR by *research organisations belonging to the Russian Academy of Sciences (RAS)* is even more complicated. The RAS is currently undergoing a reform. The organisation has obtained a new *legal form* as a *'state non-commercial scientific organisation'*, according to the new Statute adopted in December 2007. This *legal form* is not addressed at all by the Russian Civil Code. Hence, the *legal status* of the entities of the RAS - research institutes of the RAS – is not clear at the moment.

Conclusion

For the above mentioned reasons, Russian state-owned research organisations often renounce to patent and commercially use their RTD results.

It seems that at present intellectual property transfer is legally easier for Russian *private* research companies that finance their RTD by *private* money (own funding, private contracts, grants from abroad etc).

c) Accounting of the IPR

The decisions on how to show RTD results in the balance sheet represent another challenge. In view of the above-mentioned problems with ownership rights, this is especially true for a state-owned organisation. As the market for trading with intellectual property has not fully developed yet, it is not easy to estimate the value of intellectual assets. Many organisations prefer to use inventions in the so-called "trade secret" regime to escape patenting and thus patent-related payments.

There are also problems related to the unclear rules of accounting of intangible assets. The Ministry of Finance of the Russian Federation now has to change the accounting rules in order to align accounting objects with Part IV of the Civil Code for both *enterprises* and organisations funded by the Russian state (*state establishments*). Thus, Part IV of the Civil Code now considers the 'know how' to be an intellectual property object, and the Russian Ministry of Finance should issue instructions on how to properly account for it. This includes for example, the know-how as an intellectual property object.

d) Challenges in the area of technology transfer

Technology transfer is also challenged by several issues.

First, there is a requirement in the Civil Code that the RTD results provided by the developer to the customer must be unencumbered by the rights of third parties. The exported RTD results must be checked for patent novelty. Experts[18] claim that in practice in the course of technology transfer this rule is rarely complied with.

First, the practical use represents a challenge. The rules of the Civil Code regarding the development and transfer of technology, like the check of exported products for patent clearance, to the customer of RTD results are usually not practised.

Second, military and dual technology transfer is regulated by the Russian Federal Law "On Export Control" (Law No.183-FZ of 18 July, 1999) while civil technology transfer is not regulated at all. According to the requirements of Part IV of the Civil Code, new legislation is to come soon.

e) Qualified specialists in IPR are needed

Many difficulties related to IPR could be avoided if proper provisions were included in the contracts. It should be noted though that in view of the unclear legislation the proper structure of a contract requires profound knowledge of IPR issues. Many researchers and even lawyers in research organisations are not specialised enough.

One simple example mentioned by an expert from a law consultancy company provides a brilliant illustration. She mentioned numerous license agreements between foreign companies and Russian state-owned research institutes or researchers. They required special legal services in order to reduce the risk of possible future complaints from the state. These legal services for the agreements were very costly due to the legal uncertainty. That is why they were paid 10 and more times more than the inventors' revenues from the deal were.[19]

There is currently an obvious lack of a sufficient number of highly qualified IPR specialists in Russia.

However, researchers and lawyers can improve their knowledge of IPR legislation and practice at courses organized by Rospatent and the Russian State Institute of Intellectual Property.

Researchers can also obtain help on IPR-related issues from technology transfer departments which have already been established in some research organisations, universities and in Technology Transfer Centres (TTC). Since 2004 the federal state has been establishing TTCs in order to offer help in the area of commercialisation of RTD results. Their tasks include patent research, protection of various types of IP and know-how, preparation of license agreements, rendering legal assistance in case of violations of patent holder rights and unfair competition.

[18] *According to Oleg Strelkov, department director of Rospatent, Round Table "Problems of the capitalization of intellectual property" in Centre of Strategic Research, Russia, Moscow, on June 8, 2007.*

[19] *Ms. Natalya Zolotaryova, director of TAT Transtechnology, Round Table "Problems of the capitalization of intellectual property" in Centre of Strategic Research, Russia, Moscow, on June 8, 2007*

5.6 Annex 6: Examples of Bilateral Cooperation Activities between Individual EU Member States and Russia

5.6.1 Bilateral German-Russian activities

a) Helmholtz Association – Helmholtz Russia

The Helmholtz Association was established in 1995. Helmholtz is an umbrella organisation uniting 15 research institutes active in natural sciences which were founded in Germany after 1950. Helmholtz Association comprises 250 research centers and employs 26500 people, among them 8500 scientists and 3250 doctoral students. Helmholtz operates large research infrastructures which can't be maintained by small research entities.

The annual budget comprises 2.3 million Euro. 1.7 Million Euro are provided as institutional funding (90% Federal budget of Germany, 10% budget of Federal States). 0.6% are provided by industrial partners.

Helmholtz research institutes are active and very successful in the framework programme (see Annex 3 of this publication, Examples of best practise – international bureau of Helmholtz Leipzig).

Helmholtz has a long tradtion of research cooperation with Russia.

Research cooperation areas are arctic research and climate research, research in the field of geophysics, atmosphere research and remote sensing, fusion research, particle-/laserphysics and astrophysics.

Calls for proposals for Helmholtz- Russia Joint Research Groups
Particular opportunities for young researchers

In September 2006 the Russian Foundation for Basic Research (RFBR) and the Helmholtz Association of German Research Centres signed an agreement over the joint funding of Helmholtz-Russia Joint Research Groups. In spring 2007 the first call was launched and received strong interest from all Helmholtz Research Centres and Russian partners. In September 2007, eight groups were selected for funding from among 25 applications which the Helmholtz Association and the Russian Foundation for Basic Research submitted to an international review process. Based on the results of the first call, the Helmholtz Association and the Russian Foundation for Basic Research will invest over 3.5 million euros in the German-Russian cooperation during the coming 3 years.

Based on the successful launch of this funding instrument the presidents of the Helmholtz Association and the Russian Foundation for Basic Research decided to continue this action with a second call this year. The second call for the Helmholtz-Russia Joint Research Groups will be open from 15 February to 15 May 2008.

The Helmholtz-Russia Joint Research Groups are designed to intensify scientific cooperation between the Helmholtz Research Centres and Russian scientific institutions and universities in order to set new impulses in existing and upcoming research programmes of the Helmholtz Association. A special focus lies in the promotion of excellent young Russian scientists, post-docs and PhD students, and their involvement in the multinational research projects and infrastructures steered by the research centres of the Helmholtz Association.

The Helmholtz-Russia Joint Research Groups are funded by the Helmholtz Association for a duration of three years with 130,000 euros per year. The RFBR co-funds the Russian partner institute and/or university with 1,000,000 RUB (approx. 28,000 euros) per year.[20]

[20] *Quotation from the website: http://www.helmholtz.de/en/research/promoting_research/helmholtz_calls_for_applications/artikel/detail/helmholtz_russia_joint_research_groups-1/*

b) DFG – The German Foundation for Basic Research

by Christian Schaich, DFG, Liaison Office, Moscow

The Deutsche Forschungsgemeinschaft (German Research Foundation) is the central public funding organization responsible for promoting research in Germany.

The DFG funds research projects in all fields of science and the humanities. This includes support for individual projects and research collaboration, awards for outstanding research achievements, and funding for scientific infrastructure and scientific cooperation.

Its activities focus on funding research projects carried out by scientists and academics working at universities or research institutes and on selecting the best projects in a process of fair and transparent competition. The work of the DFG serves all branches of science and the humanities to reflect its role as the self-governing organization of German science and research. Its legal status is that of an association under private law. DFG membership is made up of German universities, non-university research institutions, scientific associations as well as the Academies of Science and Humanities. The DFG receives its funding from the federal (*Bund*) and state (*Länder*) authorities, which are represented on all decision-making bodies, whereas scientists and academics hold the majority.

The DFG promotes scientific excellence through competition: Scientists and academics submit proposals in which they present their projects. Peer reviewers, all experts in their respective fields, evaluate the quality of these projects. Their reviews serve as the basis for funding decisions.

The DFG advises parliaments and public authorities on questions relating to science and research. It contributes its scientific expertise to political and social discourse by advising and accompanying the political decision-making processes. Consultations in the DFG's Senate commissions and publication of the results enable the DFG to comment on questions relating to science policy and the responsible use of scientific findings in society. The DFG's guidelines on good scientific practice provide an internationally recognized frame of reference.

In all its programmes, the DFG actively promotes collaboration between researchers in Germany and colleagues abroad. Special importance is given to strengthening European cooperation.

The DFG promotes the advancement and education of young scientists and academics by offering programmes which provide appropriate support throughout their qualification phases: In particular, the DFG encourages the early independence of young scientists and academics. The DFG endeavours to recruit talent from home and abroad to engage in science and research in Germany.

Quo vadis, proposals? From submission to decision

Without a proposal, there is no funding by the DFG, but what happens to the proposal once it has been received? The following steps depict the route a proposal takes on its way to a final

decision. You will also see how repeated assessment and decision-making contribute to ensuring that funding decisions are made in a fair and transparent manner.

Proposal

A funding proposal may be submitted to the DFG by individual researchers or universities, depending on the programme. The DFG provides information, such as programme guidelines, to assist in the preparation and submission of proposals. These are available online or by mail. Questions may also be addressed to the DFG’s staff.

Formal examination

Prior to the review process the DFG Head Office checks the proposal to ensure that all of the formal requirements have been met. If not, the applicant has the opportunity to supply the missing information. The process only continues once the proposal is complete.

Selection of peer reviewers

The quality of each proposal is assessed by peer reviewers selected by the DFG Head Office. The appropriate programme director must ensure that all important aspects of the proposal fall within the expertise of the selected reviewers. Reviewers must be recognised experts in their fields and be capable of

giving an objective appraisal of the proposal. The Head Office is careful to avoid conflicts of interest arising from collaboration or competition, teacher-student relations, reciprocal reviews, etc. The DFG solicits statements from approximately 10,000 reviewers annually, from Germany and abroad. DFG reviewers work in an honorary capacity.

Peer review

The reviewers prepare their statements, following careful consideration of the proposal. These statements form the basis for the subsequent funding decision. Review boards ensure that reviewers were selected appropriately.

Scientific quality assessment

The review boards, the members of which are selected from the scientific community, ensure the quality of the decision. In cases where the reviewers have prepared written evaluations, a separate procedural step is carried out. Here, the review boards assess whether reviewers were appropriately chosen and the content of their statements, in order to prepare a funding decision based on a comparison of all proposals received within the particular subject. The funding recommendation is then forwarded to the decision-making bodies.

Formal quality assessment

Before the proposal reaches the decision-making body, it is once again checked by the DFG for errors and potential conflicts of interest.

Senate Committees

In certain programmes proposals are initially passed to DFG Senate Committees, whose members are drawn from the scientific community. These committees discuss the proposals and make preliminary funding decisions.

Final decision

The final funding decision, including the level of funding to be awarded, is made by the DFG's Joint Committee or a Grants Committee, consisting of scientists and representatives from the federal and state governments and installed by the Joint Committee.

Award notification

The DFG Head Office informs the applicant of the funding decision and may forward comments made during the review process.

DFG Office Russia

Scientific links with Russia have developed very dynamically in the past years. The DFG maintains particularly close ties to the Russian Foundation of Basic Research (RFFI); THE Russian Academy of Sciences and the Russian Foundation for the Humanities. The collaboration of scientists from both countries is funded by the DFG through the support of joint projects, short-term research exchange visits by both German and Russian scientists, bilateral symposia and the participation of Russian scientists in scientific events in Germany.

The liaison office is intended to support the further development of these scientific ties by assuming the following functions:

- Be a point of contact for Russian scientists, scientific organisations and funding bodies;
- intensify and develop the collaboration with Russian organisations;
- advise on opportunities for cooperation within the framework of the DFG funding portfolio;
- prepare and hold events to promote cooperation;
- mediate and mentor contacts and collaborations, particularly in the context of supporting young scientists;
- analyse and evaluate scientific policy developments of relevance to the DFG in Russia.

The mutual activities are also envisaged to incorporate the key scientific centres in St. Petersburg, the Urals, Siberia and the Far East.

Planning a joint Project

In addition to providing general research funding, the International Affairs Division also provides funding for preparatory measures that facilitate personal contact.

Preparatory trips or collaboration visits to the partner's institute or department can be supported through the DFG's international cooperation funds, as long as the visit is not in connection with general cooperation between the institutes involved, but is associated with a specifically planned cooperation project or a specific joint research project

If you plan a joint Project with your Partner please follow the DFG's notes for bilateral Co-operations. A good proposal states whether the cooperative project is the result of joint preliminary work, indicates what scientific interest both parties have in the project and includes whether complementary expertise will be available.

Do not hesitate to contact for any further question the program officers in the DFG headquarter or in the Russia liaison office in Moscow.

c) The Alexander von Humboldt Foundation
Fellowships and Research Awards for researchers from the Russian Federation

The Alexander von Humboldt-Foundation promotes the worldwide networking of scientific excellence, knowledge transfer and cooperation at the highest level.

The foundation supports lasting networking and contacts at all levels of a researchers' career between outstanding researchers from Russia and Germany. The only criteria for the selection for a grant is scientific excellence. Funding is granted to individual researchers, not institutions. There is a worldwide network of researchers who were supported by Humboldt. Grants target outstanding researchers in a flexible way. For example, researchers from Russia can apply for a research grant to carry out research in Germany for 6 to 24 months, with a monthly salary of 2.250 €. Applications are possible until four years after the completion of a PhD.

Heads of teams of young researchers can apply for the Sofia Kovalevskaja-Prize, which comprises 1,65 Mio EUR for 5 years. The aim is the setting up of a research group in Germany.

Experienced researchers with a distinguished scientific profile can apply for research grants of 6 to 18 months. The monthly salary amounts to 2.450 €.

They can also apply for a "F.W. Research Prize" which amount to 45.000 €. This includes the invitation to several stays in Germany based on a procedure of nomination.

Applications are possible until twelve years after the completion of a PhD.

Russian (and other international) researchers at the apogee of their career can apply for the Humboldt Research Prize which amount to 60.000€. This includes the invitation to several stays in Germany based on a procedure of nomination.

The "Alexander von Humbold-Professur" is provided with 3,5 – 5 Mio €. The aim is to attract established outstanding researchers from outside Germany for a permanent stay. The nomination is carried out by German Universities (resp. in cooperation with research institutes).

Other funding action lines are the support of networking among the Humboldt-community, partnerships between institutes, grants of the Prime Minister and Feodor-Lynen-Programme for German Postdocs, who would like to carry out research at former Humboldt-fellows.

Studies have shown that Alexander von Humboldt-Fellowships are conducive for publications of scientific articles in international papers submitted by Russian researchers.

Mobility via fellowships does not necessarily lead to emigration, as the findings of the study "Western Foundations and the reproduction of the Russian scientific elite" reveal. The study rather demonstrates that frequent international scientific contacts strenghten the wish of young researchers to stay in Russia and to increase the attractiveness of conducting research in Russia (see page 19 of the study).

5.6.2 Bilateral Franco-Russian cooperation activities

by Michel Zigone, Université Joseph Fourrier de Grenoble

The **French Embassy** in Russia maintains four departments which promote cooperation with Russia in Education, Research and Economy:

- the Science, Technology and Space Department
- the Department of Cultural activity and cooperation (academic cooperation in education)
- the Nuclear Department
- the Economic mission (economic cooperation)

The French Embassy organizes, builds up or supervises all the different types of cooperation : academic, scientific, technological and industrial.

a) The Science, Technology and Space Department (SSTE)

This department deals with the cooperation in science technology and space of all the French research organizations. The main contributors to cooperation with Russia are the Centre National de la Recherche Scientifique (CNRS), the Commissariat à l'Energie Atomique (CEA), the Institut National de Recherche Agronomique (INRA), the Centre National d'Etudes Spatiales (CNES), the Bureau de Recherches Géologiques et Minières (BRGM), the Institut Français de Recherches pour l'Exploitation de la Mer (IFREMER) and the universities.

The «Centre National de la Recherche Scientifique» (CNRS)

Basic research

The CNRS is deeply involved in research cooperation with Russia in the field of Basic Research. Russia is one of the leading countries which cooperates most with France, in the area of basic research.

The CNRS signed two general agreements:

One agreement on scientific exchanges with the Russian Academy of Science (RAS) was signed on 22nd December 1995, and renewed in 2002 and 2006

One agreement with the Russian Foundation for Basic Research (RFBR) was signed in 1996, and renewed in 2003.

Furthermore, the French National institute of nuclear physics (one of the Institutes of the CNRS – IN2P3) signed two specific agreements

One agreement with the Russian Joint institute for Nuclear Physics in 1972, renewed in 1992

One agreement with the Institute for theoretical and experimental physics (ITEP) in 1999.

Russia is the sixth's country in terms of co-publications with French researchers from the CNRS, after the United States, Germany, UK, Italy and Spain. 3,5% of all publications of the CNRS are published with Russian colleagues.

The Franco-Russian cooperation is organised by

- International programmes of scientific cooperation / Programmes internationaux de cooperation scientifique (PICS)
- Groupings of European research/ Groupements de recherche européens (GDRE)
- Associated European laboratories/ Laboratoires européens associés (LEA)

60 joint projects of the CNRS and the RAS were selected by both organisations in 2006/2007

39 Programmes of International programmes of scientific cooperation were established eg in 2006, more are planned for 2007.

For more information

See the site of the CNRS : https://dri-dae.cnrs-dir.fr
CNRS office in Moscow 14, Gubkina Ulitsa, Moscow 117 312 Russia
Vladimir Mayer, director of the CNRS representation in Moscow
mayer@orc.ru
cnrsadm@orc.ru

Franco-Russian Joined Laboratories

The Joint Laboratories cover fields such as Mathematics, Chemistry, Physics, Micro- and Nanotechnologies, Geochemistry, Nuclear research and Molecular biology. Nine laboratories have been set up. French main partners are the CNRS (this institution participates in 7 Franco-Russian joined laboratories over the 9 existing ones), Universities, research institutes and centres. On the Russian side, partners are the RFBR, the Academy of Sciences (RAS) and research institutes.

Some examples:

- Poncelet Laboratory (Mathematics), created in 2002, CNRS / Russian Academy of Sciences (RAS) and the Independent University of Moscow
- Jointed laboratory on Catalysis Chemistry, created in 2004, CNRS Lyon / RAS Novosibirsk
- Joint Laboratory on « Non-linear magneto-acoustics in condensed matter », created in 2004, CNRS and university of Lille / RAS Moscow (General Physics Institute of Moscow), and RFBR
- Joint Laboratory on « Physics of the coherent electronic states in condensed matter », created in 2004, CNRS Grenoble / RAS Moscow (Radio-electronic engineering Institute), and RFBR

Franco-Russian Research Networks

Franco-Russian research networks unite about 5 – 20 research organisations from France and Russia, which have clearly defined research objectives. Universities, industrial partners as well as other types of research centres and institutes cooperate. The directing team is composed of a French and a Russian coordinator, which is controlled by a scientific committee and a steering committee. 10 different networks have been set up today. Among them, 9 have the CNRS as a partner.

The networks deal with CO_2 observation, Paleo-climate, Laser and technical optics of information, Particle Physics, Molecular Biology, Theoretical physics and the interface with Mathematics, Cosmology, Solid State Physics and Hydrodynamics.

Ten Franco-Russian research networks have been set up.

Examples:

- « YAK AEROSIB » created in 2003, works on systematic observations of CO, O3 and CO2 atmospheric sources. Partners : CNRS, RAS of Moscow, Tomsk, Krasnoyarsk, and RFBR
- « Lasers and optical technics of information » created in 2003. CNRS, RAS of Moscow, Troïtsk, Novosibirsk, St Petersburg
- « SupraChem » created in 2005, works on biological supermolecular systems, self organization. Partners : CNRS, RAS of Kazan, Moscow, Novosibirsk, St Petersburg
- « Vostok » created in 2004, works on icebiology and paleoclimate in the Russian station « Vostok » in Antartica. Partners : CNRS, RAS of St Petersburg, Moscow, Kazan, Russian federal service for hydrometeorology and environment

For more information

See the site of the French Embassy in Russia (in French and Russian): http://www.ambafrance.ru
French Embassy: Bolshaya Yakimanka, 45 119 049 Moscow, Russia

- Pierre-Bruno Ruffini: Counsellor for science, technology and space
  Pierre-Bruno.Ruffini@diplomatie.gouv.fr

- Michel Tararine, Attaché for science and technology
  Michel.Tararine@diplomatie.gouv.fr
- Catherine Ivanov-Trotignon: Attaché for space and representative of Centre d'Etudes Spaciales (CNES)
  Catherine.Ivanov@diplomatie.gouv.fr

Franco-Russian Technology Transfer Centres

A Franco-Russian network of Innovation Centres has been established in 2002. A database which has been set up, contains technological offers and technological requests from Russian and French companies and R&D organizations. Several Technology Transfer Centres have been established by this Franco-Russian network of Innovation Centres on topics such as Biotechnology, Nanotechnology& Nanomaterials and Optoelectronics.

Examples of Technology Transfer Centres:

- Technology Transfer Centre of Moscow : French Group of Ecoles Centrales (Lyon, Paris, Marseille) / State University Bauman of Moscow
- Innovation and Technology Transfer Centre of St Petersburg : University of Franche-Comté (Besançon) / Aerospace State University of St Petersburg (GUAP)

For more information

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See also the site of French-Russian transfer centres: http://rfr-net.org

The ARCUS Programme

The Arcus programme has been build up by the French Foreign Office in 2005 in order to federate the cooperation initiatives in education, technology and research at the level of the regions or inter-regions. It is supported by the French Foreign Office and French Regions at an amount of about 500,000 € for each project, for a 3 years period.

3 examples of Arcus projects which currently exist between French Regions of the East of France and Russia:

- « New materials and environment » (2006-2008) : Region Lorraine / ~ 10 institutes of RAS Moscow, ~ 15 Russian universities among which are Moscow State University for Metals and Alloys, Moscow State University for Chemistry « Mendeleyev »
- « Supramolecular Chemistry and Biotechnologies » (2007-2009) : Region Alsace / Physical Chemistry Institute of Moscow, Arbuzof Institute of Kazan, Radium Institute of St Petersburg, Biological Chemistry Institute of Novosibirsk, Oncological Institute of Kiev
- « Green Chemistry and separative processes » : This last project is in preparation. Partners : Region Bourgogne, CEA, Air Liquide / State University of Moscow « Lomonosov », RAS Physical Chemistry Institute

For more information

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Franco-Russian Cooperation in the field of Space

The French-Russian bilateral cooperation in the field of space has been established since 1966 in terms of "cooperation in space study and exploration for pacific goals". After a scientific period of 20 years, this cooperation has become of major importance after the flight of manner spacecraft of Jean-Loup Chretien, followed by other manner flights in the years between 1982 and 2000. Since 1992, after the creation of the Russian agency "Rosaviacosmos", the French-Russian cooperation has evolved to a more commercial and industrial partnership involving not only the French Centre National d'Études Spatiales (CNES), but also French companies such as Alcatel and Snecma. The manner flights have been carried on the base of

commercial agreements. Nevertheless, some research programmes in biology, physiology, fluid physics, material physics, and sciences of the universe have been performed successfully during this period, and lead to important applications. Today, this bilateral cooperation has been widen to the multilateral framework of European Union with the European Space Agency (ESA). The industrial and commercial cooperation has been concentrated on space launchers, in which Russians have got a worldwide competence: "Soyuz" has become a product of the Euro-Russian company "Starsem", the European agency ESA, the European companies "EADS" and "Ariane Espace", the Russian agency "Rosaviacosmos" and the Russian spatial centre of Samara. The Soyuz implantation in French Guyana, through an agreement signed in 2003, reveals the European and French strong determination to intensify the long range partnership with Russia more.

For more information

http://www.ambafrance.ru
Contact: Pierre-Bruno.Ruffini@diplomatie.gouv.fr, Catherine.Ivanov@diplomatie.gouv.fr

b) The Department for Cultural Activities (incl. cooperation in the field of education):

More than 400 cooperation agreements have been signed between French and Russian universities. Various activities support Russian students wishing to study in France. In 2005, a total of 2700 Russian undergraduates studied in France. The French Government attributes provides about 400 scholarships per year to Russian students, worth more than 1 million Euros. Approximately each year, 70 researchers and professors benefit from exchanges between France and Russia.

More than 3000 Professors of French work in Russia, and more than 300 000 Students study French at Russian universities.

In the year 2000, a Franco-Russian Centre for Research in Social Sciences and Humanities has been established in Moscow. The centre, to which the CNRS is associated, is financially supported by the French Ministry for Foreign Affairs and the French Ministry for Research. Russia supplies several rooms in the building of INION Russian Academy of Science as well as a few administrative employments.

There are also about 30 joint Franco-Russian study programmes which take place in Russia in French language, with French universities as partners.

Examples of joint Franco-Russian educational programmes:

- Double Master « Top Industrial Managers for Europe » (Bauman University of Moscow, University for radio electronics and automatism of Moscow / Ecoles Centrales)
- Bachelor and Master degrees in Economy and Management (FINEC St Petersburg / University Grenoble 2, University Paris Dauphine)

For more information
http://www.ambafrance.ru
Contact at the French Embassy: Mrs Armelle GROPPO (up to September 2008), Attaché for academic cooperation, Armelle.Groppo@diplomatie.gouv.fr

c) The department for nuclear cooperation

The Worldwide Partnership Programme of the G8.

The critical state of the Russian nuclear military branch, such as it has evolved after the political transition of 1991, has raised the following questions and problems:

- Breaking up of military nuclear facilities, submarines and ships;
- Security of nuclear stations and radioprotection;
- Storing of used nuclear fuel of stations and submarines;
- Decontamination of sites;
- Storage of nuclear wastes, especially those of high activity;
- Breaking up of weapons;

- Reuse of Plutonium and highly enriched Uranium coming from weapons;
- Financial problems;

Consequently, the political and strategic issues, in terms of disarmament and non-proliferation, have lead the occidental countries to help Russia to transform their military nuclear installations in the Russian civil nuclear industry, to get together in the frame of the G8, elaborating worldwide ambitious programmes which, since 2002, have been called "the Worldwide Partnership Programme of the G8.

Bilateral Cooperation between the Commissariat à l'Energie Atomique (CEA) and the Russian Federal Agency for Atomic Energy "Rosatom"

As regards the French-Russian nuclear cooperation, the CEA actively participates in those programmes with the Russian agency "Rosatom". The fields of this cooperation concern the nuclear reactors, the combustible cycle, the nuclear security (crisis management), the radioprotection, the fundamental research on the controlled thermonuclear fusion and plasma physics. Russian scientists participate in programmes whose experiments require the use of French reactors ILL (Grenoble) and ORPHEE (Saclay).

Bilateral Cooperation between CEA and the Kurtshatov Institute of Moscow

Some agreements between CEA and the Kurtshatov had already been signed in 1993 and have been renewed since then. They concern cooperation on nuclear reactors and combustible cycle for innovating reactors, as well as the AIDA-MOX programme which uses Russian VVER 1000 reactors for the elimination of the Russian military Plutonium in excess by manufacturing mixed oxide (PuO_2 – UO_2) combustible.

Bilateral cooperation between CEA and the Russian Academy of Science (RAS)

On the nuclear security the French IPSN (from CEA) cooperates with the Russian security authority "Rostekhnadzor". In fundamental research, the Léon Brillouin laboratory of Saclay (from CEA) works with Gatchina (St Petersburg), Kurtshatov (Moscow) and Dubna (the international joint laboratory JINR) on condensed matter.

Bilateral industrial cooperation in nuclear energy

Activities of AREVA - NC (ex COGEMA)

The upstream cycle activities are devoted mainly to the buying of enriched Uranium and natural Uranium to Russia. An agreement for supplying French research reactors (Institute Laue-Langevin in Grenoble and ORPHEE in Saclay) in high enriched Uranium has been signed in 1996.

The downstream cycle activities concern the engineering studies for AIDA-MOX 2 (metallic Plutonium reconversion, MOX combustible manufacturing, and combustible process)

Activities of AREVA - NP (ex FRAMATOME)

- Nuclear realizations: Completion and modernization of Russian nuclear centres (Rovno 4 / Khmelnitski 2) in the framework of TACIS programmes.
- Nuclear services: Agreement with the Murmansk Shipping Company to build up stocks for used combustible of Russian nuclear submarines and ice-breakers.
- Nuclear combustible: Information transfers, acquisition of new technologies

Activities of Electricité de France (EDF)

- Improvement and modernization of the security of Russian nuclear reactors (of VVER type with pressurized water and RNR of Beloyarsk)
- Pairing of French and Russian nuclear sites
- Assistance on Russian nuclear sites
- Training of specialists
- Cooperation with Rosenergoatom (civil nuclear energy producer which has got 10 nuclear centres with 31 reactors for a total power of 23,242 MW)

For more information
http://www.ambafrance.ru
Contact at the French Embassy : Denis Flory: nuclear Counsellor, Denis.Flory@diplomatie.gouv.fr,
Dasha Kabloukova: secretary, Dasha.Kabloukova@diplomatie.gouv.fr
See also the site of CEA : http://www-pmg8.cea.fr

d) The Department for economic cooperation

Together with the SSTE and the nuclear departments, the Department for economic cooperation of the French Embassy of course plays a key role in several activities already mentioned above, such as the Franco-Russian technology transfer centres and the nuclear industrial cooperation, in the field of industrial technological development.

In addition, it is worthwhile mentioning the bilateral and European cooperation in the field of aeronautics: The cooperation between the French "SNECMA" and the Russian motor constructor "Saturn" has been existing for several years in the manufacturing of various CFM-56 motor pieces, and .the construction of the new Russian regional aircraft. A recent born cooperation between the French "Airbus" and the Russian industrial company "Kaskol" for the construction of an engineering aeronautic centre is on the rise. In the same way, in 2003, the European "EADS" and the Russian "Sukhoï" have signed an agreement to build together a fighter of the last generation.

For more information
http://www.ambafrance.ru
Contact: at the French Embassy : Jean-François Collin: Minister Counsellor,
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The aim of the French Embassy in Russia has always been to enhance cooperation with Russian scientists and undergraduates from all over Russia. So far, this policy is illustrated by the establishment of a real partnership in different fields of research and technical developments with partners, from Moscow and the Moscow region, from St Petersburg, but also from Yekaterinburg, Tomsk, Novosibirsk, Krasnoyarsk, Irkutsk, Kaliningrad, among others.

This bilateral successful French-Russian cooperation brings a lot to both countries in terms of knowledge, know-how-to, and human relationships, and should be encouraged more for the future.

5.6.3 Bilateral Austrian-Russian cooperation activities

a) Austrian-Russian Call for proposals

The Austrian Science Fund (FWF) is Austria's central body for the promotion of basic research. The Austrian Science Fund/ Der Wissenschaftsfonds FWF concluded an agreement with the Russian Foundation for Basic Research at the end of 2007. In Spring 2008, the first joint call for proposals was launched. Deadline for submission of proposals was the 30th April 2008.

Researchers from Austria and Russia had the opportunity to submit applications for joint projects and joint seminars and workshops.

Scientists from Russia and Austria could apply for their respective project parts at their own country's organisation. They had to use the forms prescribed by this organisation. Both organisations select proposals on their own, and then those proposals which are selected by both sides, will receive funding.

On the Austrian side, projects are handled identical to the (in Austria well-known) "Einzelprojekte". Funding amounts from 100.000 to 500.000 €/year, for a maximum duration of 5 years.

Mr. Bärenreuter informed us that the FWF was very satisfied with the response to the call. "We received a considerable number of applications. The call was really worth the effort. We conclude that there is a huge potential for cooperation."

The next call for 2009 opened in February 2009. The scheme is open, there is no deadline anymore.

The call is open to a wide number of research fields:

- mathematics, mechanics, informatics;
- physics and astronomy;
- chemistry;
- biology and medical science;
- Earth sciences;
- Social sciences (Applicants should contact RFBR regarding the possibility of funding their topic)
- Information, computer and telecommunication resources;
- Engineering sciences

More calls will follow in subsequent years.

For more information

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b) Russian organisations for the first time eligible for FFG-Calls for proposals

For the first time, Russian organisations were allowed to participate in one funding programme of FFG/Austrian Research Promotion Agency (http://www.ffg.at): CIR- CE

CIR-CE promotes cooperation between innovative Austrian companies and innovative companies from Central- and Eastern Europe. This includes the Russian Federation.

The programmes objectives are

- the implementation of transnational networks - organised by intermediary organisations (Competence Centres, Technology centres, clusters) and
- encouraging transnational projects covering R&D, technology transfer, benchmarking, quality assurance etc.

Public funding ranges between 45% and 75%, projects last from 1,5 up to 3 years.

Possible applicants are intermediary organisations like:

- Clusters
- Competence Centres
- Cooperative research institutes
- Research institutes acting as intermediary organisations (focus on technology- and knowledge transfer)
- Network of companies with network-coordinator

Examples of good practise

"AU-RU-Cert – Austrian – Russian Network for Cooperation, Quality Control, and Certification for Wood Based Products"

Status: Closed

The main aim of the project was to set up a cooperation between "Holzforschung Austria"/ "Timber Research Austria", the "Central scientific research institute for structural design/ ZNIISK", Moscow, some Russian and Austrian companies, which are active in the field of glued timber construction, as well as national associations and interest groups.

Within the project, national certification standards and quality certification systems of laminated timber construction of both countries were compared with regard to certification criteria, testing methods and threshold values.

The impact of standards, certification criteria, testing methods and threshold values on the concrete market situation of glued timber companies was compared and analysed. Possibilities to match and mutually recognize criteria, standards, methods and threshold values were explored. The primary aim was to identify equivalent quality assessment and certification methods. This enabled the partners to lay the basis for a further close cooperation between Austrian and Russian timber companies.

"Holzforschung Austria" and the "Central scientific research institute for structural design/ ZNIISK", Moscow, as well as the Russian Association for Glued Timber signed an agreement on a future cooperation within the field of quality assessment in glued timber construction. European companies requiring certifications complying with Russian standards can directly contact Timber Research Austria. Timber Research Austria takes the necessary steps in cooperation with the Russian partner. Furthermore, the new set of Russian standards were developed in a way which makes them often compliant with European standards.

Apart from the lasting strategic cooperation, the project managed to contribute concretely to a reduction of technical as well as non-technical market barriers.

Contact person in Austria: Dr. Manfred Brandstätter hfa@holzforschung.at

"STRAW IT - Technological Feasibility Study of a 20 MW-CHP-demo plant based on gasification of straw in Russia"

Status: running

The aim of the project is to develop the technological feasibility of a demo-plant which is based on the gasification of straw (20 MWth). The demo-plant will be located in Russia. The project will lay the basis for the development of a lasting cooperation between the Austrian Bioenergy Center, Graz, Styria and the Moscow Committee for Research and Technology Inc./MKNT. The intention is to gain insight into the

longterm benefits of this type of energy production. This project plans to create sustainable socio-economic results for the region.

The project lasts twelve months.

Contact in Austria: Markus Kleinhappl, Austrian Bioenergy Center

CIR-CE will be phased out (no calls anymore) and merged in the FFG programme COIN.

http://www.ffg.at/content.php?cid=769 (in German language only)

The aim of COIN is to stimulate SME to increase their RTD activities. The programme supports cooperation projects between universities, research institutes and SME in order to ensure the effective transformation of knowledge into innovative products, processes and services.

The target group for the new programme (once CIR-CE is fully integrated) in terms of international cooperation includes Russia.

The next call for proposals within COIN opened on 15th December 2008:

http://www.ffg.at/content.php?cid=969 (in German language only)

For more information, please contact Ms. Petra Reiter: petra.reiter@ffg.at

Similar possibilities are offered by the German funding programme "PRO INNO II".

http://www.zim-bmwi.de/
(in German Language only)

5.7 Annex 7: FP7 Russian National Contact Points (NCPs)

FP7 NCP	Name	Position	Organisation	Address	Tel./Fax	E-mail	Web
NATIONAL COORDINATOR	Mr. Vladimir Nikolaevich Zavalko	Counsellor	Ministry of Education & Science of the RF Department of International Cooperation	Bryusov pereoulok, 11 103905 Moscow, Russia	Tel. (+7 495) 629-7441 Fax (+7 495) 629-7451	Zavalko@mon.gov.ru	www.mon.gov.ru
HEALTH	Prof. Vsevolod Arsenievich TKACHUK	Dean	Lomonosov Moscow State University Faculty of Fundamental Medicine	Lomonosovsky prospect, 31/5 117192 Moscow, Russia	Tel. (+7 495) 932-8814 Fax: (+7 495) 725-5547	Tkachuk@fbm.msu.ru	www.fbm.msu.ru
	Prof. Yuriy Vladimirovich ARKHIPENKO (Ms. Elena Tarasova)	Deputy Dean			Tel. (+7 495) 932-9910 Fax (+7-495) 932-9908	arkhipenko@fbm.msu.ru tarasova@mniop.ru	
INFORMATION COMMUNICATION TECHNOLOGIES (ICT)	Mr. Alexander BERIEV	Director	Institute of Operating Systems	Kosmodamianskaya nab., block 3, 46-50 115035 Moscow, Russia	Tel. (+7 495) 951-0404 Fax (+7 495) 953-4475	Gosniios.bah@mail.ru	www.Russia-IT.org
	Mr. Mark MURASHOV	Leading Manager	Institute of Operating Systems Department for International Cooperation		Tel. (+7 495) 951-0404 Fax (+7 495) 953-4475	gosniios.bah@mail.ru	
NANO-TECHNOLOGY & MATERIALS	Mr. Evgeniy Ugrinovich	Deputy Director for International Cooperation	RRC "Kurchatov Institute",	1, Ac Kurchatov Sq., Moscow, 123182	Tel: +7 499 196-7219 Mobile: +7 8916707-9257	ugrinovich@kiae.ru ugrinovich@rrcki.ru	www.crys.ras.ru

	Ms. Marina Karapetovna MELKONYAN	Project Administrator	Shubnikov Institute of Crystallography Russian Academy of Sciences	Leninsky prospect, 59 119333 Moscow, Russia	Tel. (+7 499) 135-0581 Fax (+7 495) 135-1011	nanotech@ns.crys.ras.ru	www.ncp-nanotech.ru
FOOD, AGRICULTURE & BIOTECHNOLOGY	Prof. Vladimir POPOV	Director	A. N. Bakh Institute of Biochemistry Russian Academy of Sciences	Leninsky prospect, 33/1, room 246 117071 Moscow, Russia	Tel. (+7 495) 952-3441 Fax (+7 495) 954-2732	VPopov@inbi.ras.ru vpopov@inbio.ru	www.fp7-bio.ru
	Dr. Vladimir ERYOMIN	Scientific Counsellor			Tel. (+7 495) 952-3441 Fax (+7 495) 954-2732	Eryomin@inbi.ras.ru	
ENERGY	Ms. Elena Chistaykova	Project Administrator	ANO "Russian Energy Efficiency Demonstration Zones" (RUSDEM)	Krasnokazarmenaya str., 14 111250 Moscow, Russia	Tel. (+7 495) 362-7271 Fax (+7 495) 362-7864	chistaykova@psm.com.ru	www.fp7-energy.ru
	Ms. Tamara Chernikova	Project Administrator			Tel. (+7 495) 362-7271 Fax (+7 495) 362-7864	Wolfovskaya@psm.com.ru	
SOCIAL SCIENCES & HUMANITIES (SSH)	Ms. Anastasia Gurova	Senior Scientific Assistant	Centre for Science Research and Statistics (CSRS) Department of international science and innovation policy	Brusov per., 21/1 125009 Moscow, Russia	Tel. (+7 495) 629-0558 Fax (+7 495) 629-1810	gurova@csrs.ru	www.csrs.ru
SMALL & MEDIUM-SIZED ENTERPRISES (SME)	Ms. Olga REUSCHE		International Department, Foundation for Assistance to Small Innovative Enterprises (FASIE)	Leninsky prospect, 49 119991 Moscow, Russia	Tel. (+7 495) 627-8207 Fax (+7 495) 231-1902	Reusche@fasie.net	www.fasie.ru

MOBILITY	Prof. Leonid GOKHBERG	Vice-Rector Director	State University - Higher School of Economics Institute for Statistical Studies and Economics of Knowledge	Myasnitskaya str., 20 101000 Moscow, Russia	Tel. (+7 495) 621-2873 Fax (+7 495) 625-0367	LGokhberg@hse.ru	www.hse.ru http://fp7.hse.ru
	Dr. Anna PIKALOVA	Head of Department	State University - Higher School of Economics Centre for International Projects		Tel. (+7 495) 628-3254 Fax (+7 495) 625-0367	APikalova@hse.ru	
INTERNATIONAL COOPERATION (INCO)	Prof. Leonid GOKHBERG	Vice-Rector Director	State University - Higher School of Economics Institute for Statistical Studies and Economics of Knowledge	Myasnitskaya str., 20 101000 Moscow, Russia	Tel. (+7 495) 621-2873 Fax (+7 495) 625-0367	LGokhberg@hse.ru	www.hse.ru http://fp7.hse.ru
TRANSPORT	Prof. Leonid PAVLOV	Director	JSC "Russian Railway" (RZD) Center for Scientific & Technological Information (TsNTI)	Rizhskaya pl., 3 107996 Moscow, Russia	Tel. (+7 495) 262-3295 Fax (+7 495) 262-6911	cntisekretar@mail.ru	www.rzd.ru

	Dr. Vladimir MELNIKOV	Head of Unit	JSC "Russian Railway" (RZD) Center for Scientific & Technological Information (TsNTI) Unit of Advanced Research and Technology		Tel. (+7 495) 262-3295 Fax (+7 495) 262-6911	cntisekretar@mail.ru	www.rzd.ru
SCIENTIFIC INFRASTRUCTURES	Mr. Evgeny Alexandrovich LEVASHOV	Full Member of RAS Vice-Rector	Moscow Institute of Steel and Alloys Centre for Science and Education	Leninsky prosp., 2-2a, office 317 119049 Moscow, Russia	Tel. (+7 495) 230-4500 Fax (+7 495) 237-8756	levashov@shs.misis.ru ncp@fp7-infra.ru	www.fp7-infra.ru
	Mr. Viktor TERESHENKO	Coordinator	Moscow Institute of Steel and Alloys International Relations Office		Tel. (+7 495) 236-9953 Fax (+7 495) 230-4440	ncp@fp7-infra.ru	
AERONAUTICS	Mr. Sergey CHERNYSHEV	Director	Central Aerohydrodynamic Institute (TsAGI)	1 Zhukovsky street, TsAGI Zhukovsky, Moscow Region, 140180 Russia	Tel.: (+7 495) 556-4000 Fax (+7 495) 777-6332	SLC@tsagi.ru	www.tsagi.ru
	Mr. Evgeny ANDREEV				Tel. (+7 495) 777-6331	Evg_Andreev@tsagi.ru	www.tsagi.ru
ENVIRONMENT	Dr. Andrey Borisovich SHMAKIN	Head of Climatology Laboratory	Institute of Geography, Russian Academy of Sciences.	Staromonetny per., 29 119017 Moscow, Russia	Tel. (+7-495) 129-0474 Fax (+7-495) 959-0033	Andrey_Shmakin@mail.ru	www.igras.ru

5.8 Annex 8: Questionnaire for European Respondents

http://www.rusera-exe.ru

Survey on challenges and obstacles to EU-RU RTD cooperation
carried out by the RUSERA EXE project
Target group: European researchers involved in RTD cooperation with Russia
(FP6, INTAS, bilateral RTD programmes of individual Member States, etc)

Sections of this questionnaire:

I. General information
II. Proposal preparation and consortium building
III. EU-RU RTD cooperation issues
IV. Project management issues
V. Impact
VI: Contact details

I. General information

1. Type of institution:

- ☐ HES (Higher Education Institute/University)
- ☐ REC (Research Centre)
- ☐ SME (Small and medium sized enterprise, minus 250 employees)
- ☐ Public non-Research sector
- ☐ Large enterprise (more than 250)
- ☐ Other

2: We submitted (at least) one joint EU-RU proposal for funding within

- ☐ FP6
- ☐ INTAS
- ☐ TEMPUS
- ☐ TACIS
- ☐ Other (EUREKA, bilateral RTD programmes, etc)

3. At least one joint EU-RU project was accepted for funding

Yes ☐ No ☐

4: If yes, the project

- ☐ has not started yet
- ☐ is currently implemented
- ☐ is finished

5. Do/Did you get support from your institution for your international cooperation activities (for ex. proposal preparation, when travelling frequently, when hosting meetings/ conferences or when reporting to the European Commission)?

- ☐ Yes, valuable support
- ☐ Yes, some support
- ☐ Little support
- ☐ No support

6. Do you believe that your organisation values the benefits from international cooperation?

Yes ☐ Rather yes ☐ Not really ☐ No ☐

II: Proposal preparation and consortium building

7. When preparing proposals, have you always been aware of the evaluation criteria?

Yes ☐ **Rather yes** ☐ **Not really** ☐ **No** ☐

8.a If yes, did you adjust the management part and the scientific part accordingly for separate readers?

Yes ☐ **Rather yes** ☐ **Not really** ☐ **No** ☐

8. When preparing the proposal, did you address Intellectual Property Right (IPR)- issues?

Yes ☐ **No** ☐

8.a If yes, did you encounter any problems?

Yes ☐ **No** ☐

8. b If yes, did you manage to solve them in a satisfying way?

Yes ☐ **Rather yes** ☐ **Not really** ☐ **No** ☐

9. Is/Was any industrial company involved into your consortium (relevant for FP6)?

Yes ☐ **No** ☐

9.a If yes, is/was it a European and/ or a Russian company?

RU ☐ **EU** ☐ **both** ☐ **Other Third country** ☐

9.b If yes, does/did the involvement of an industrial company result in

Positive impact ☐

Negative impact ☐

Neutral impact ☐

10. Did you receive national or regional financial support for covering the costs for the preparation of a proposal (relevant for FP6)?

Yes ☐ **No** ☐

11. What would you consider a valuable contribution from your European partners (or other international partners) when you try to design a consortium?

	1 very important	**2 important**	**3 not very important**	**4 of minor importance**
Real complementary S&T input and experience				
Essential help in the preparation and management of the project				
Contribution to meet formal requirements of the EC				

12. Do you believe that the chances for success will automatically increase if researchers who have an excellent reputation are involved in a consortium?

Yes ☐ **Rather yes** ☐ **Not really** ☐ **No** ☐

III: EU-RU RTD cooperation issues

13. Who was the initiator of your EU-RU RTD cooperation:
EU researchers ☐ RU researchers ☐ other Third country ☐

13.a If initiated by Europe, how did you identify your Russian partner/s?
- ☐ **By using previous contacts**
- ☐ **By using EU-partner search tools**
- ☐ **By attending a conference/workshop**
- ☐ **Internet**
- ☐ **Other**

14. Do you believe that there are Russia-specific problems regarding the participation in European funding programmes (like for ex. FP6) ?
Yes ☐ Rather yes ☐ Not really ☐ No ☐

15. Do you believe that the selection procedure of the European Commission (or of other international foundations and bodies) really provides equal opportunities to all research groups? Please indicate the importance of the following aspects for the selection from your point of view:

	1 very important	2 important	3 not very important	4 of minor importance
Previous experience of successful European Commission-funded projects				
Number of publications of the researchers involved				
Countries represented in the consortium				

16. If your project was accepted and received funding: Which problems did you encounter in cooperation with your Russian partners?

	1 Important problems	2 Some problems	3 Little problems	4 No problems
Communication problems (for ex. regarding operating instructions and deadlines)				
Problems with IPR issues and knowledge sharing				
Lack of a transparent project management incl. the finances				
Lack of commitment and reliability				

17. How do you estimate the share of contribution of the RU partners in your consortium, compared to the input of the other (European) consortium partners? Please give percentages:

	RU input			
	0-25%	**25-50%**	**50-75%**	**75-100%**
Project preparation				
In technical and scientific development (if the project was accepted for funding, during project execution)				
Project management(if the project was accepted for funding during project execution)				

V: Project management issues

18. Did your Russian partners show awareness for the management requirements of an EC-funded project (only relevant if the project was accepted)?

Yes ☐ **No** ☐

If no, please describe briefly which problems occured:

19. How important do you consider the following management issues

- **for the successful preparation and submission of a proposal**
- **for a successful project execution.**

Please prioritize by ticking one box for each issue from 1 -4.

	1 very important	**2 important**	**3 not very important**	**4 of minor importance**
clear distribution of responsibilities				
well established communication procedures/flow				
well established reporting procedures				
respect of deadlines				
a good understanding of the financial regulations				

20. Is the project management and the scientific management in your project carried out by different persons?

Yes ☐ **No** ☐

20.a If yes, how do you evaluate the existence of separate managers?

Positive ☐

Negative ☐

Neutral ☐

20.b. If no, do you believe that this could be useful?

Yes ☐ **Rather yes** ☐ **Not really** ☐ **No** ☐

V. Impact

21. Does your institution receive some commercial benefits from the practical implementation of your project (relevant mainly for FP6)?

- **Yes, we do already have** ☐
- **Yes, we expect commercial benefits in short term (before 5 years)** ☐
- **Yes, we expect commercial benefits in long term (before 10 years)** ☐
- **No, we don't expect any commercial benefit** ☐

22. Do you experience personal recognition thanks to your European and international cooperation activities?

Scientific recognition (eg high esteem by colleagues, better acceptance of papers at conferences, more invitations to take part in EC-funded projects)

Yes ☐ **Rather yes** ☐ **Not really** ☐ **No** ☐

Financial recognition (increase in salary)

Yes ☐ **Rather yes** ☐ **Not really** ☐ **No** ☐

Better career opportunities

Yes ☐ **Rather yes** ☐ **Not really** ☐ **No** ☐

VI: Contact details:

Name of your institution (Legal name in English):
City: **Country:**
Contact person:
Name (First name and family name):
Position in the institution:
Phone:
eMail:
Fax:

Title of the project:
Acronym:
Website: **http://**

Position in the project:

- ☐ **Overall coordinator of the project**
- ☐ **Project manager**
- ☐ **Scientific manager**
- ☐ **Administrative/financial manager**

Thank you very much for completing this questionnaire!
Would you be available for a short interview by phone?
YES ☐ **NO** ☐

Your name will not be mentioned in a public document without your prior permission.

5.9 Annex 9: Questionnaire for Russian Respondents

http://www.rusera-exe.ru

Survey on challenges and obstacles to EU-RU RTD cooperation
carried out by the RUSERA EXE project
Target group: Russian researchers involved in RTD cooperation with Europe
(FP6, INTAS, TACIS, TEMPUS, etc)

Sections of this questionnaire:

I. General information:

1. Type of institution:

- ☒ **HES (Higher Education Institute/University)**
- ☐ **REC (Research Centre)**
- ☐ **SME (Small and medium sized enterprise, minus 250 employees)**
- ☐ **Public non-Research sector**
- ☐ **Large enterprise (more than 250)**
- ☐ **Other**

2: We submitted (at least) one proposal/ participated in the preparation of a proposal in

- ☒ **FP6**
- ☒ **INTAS**
- ☐ **TEMPUS**
- ☐ **TACIS**
- ☐ **Other (EUREKA, bilateral RTD programmes, etc)**

3. At least one project was accepted for funding

Yes ☐ **No** ☐

4: If yes, the project

- ☐ **has not started yet**
- ☐ **is currently implemented**
- ☐ **is finished**

5. Do/Did you get support from your institution for your international cooperation activities (for ex. proposal preparation, when travelling frequently, when hosting meetings/ conferences or when reporting to the European Commission)?

- ☐ **Yes, valuable support**
- ☐ **Yes, some support**
- ☐ **Little support**
- ☐ **No support**

6. Do you believe that your organisation values the benefits from international cooperation?

Yes ☐ **Rather yes** ☐ **Not really** ☐ **No** ☐

II: Proposal preparation and consortium building

7. When preparing the proposal, have you always been aware of the evaluation criteria?

Yes ☐ **Rather yes** ☐ **Not really** ☐ **No** ☐

8. When preparing the proposal, did you address Intellectual Property Right (IPR)- issues?

Yes ☐ **No** ☐

8.a If yes, did you encounter any problems?

Yes ☐ **No** ☐

8.b: If yes, did you manage to solve them in a satisfying way?

Yes ☐ **Rather yes** ☐ **Not really** ☐ **No** ☐

9. Is/Was any industrial company involved into your consortium (relevant for FP6)?

Yes ☐ **No** ☐

9.a If yes, is/was it a Russian and/or a European company?

RU ☐ **EU** ☐ **both** ☐ **Other Third country** ☐

9.b If yes, does/did the involvement of an industrial company result in

Positive impact ☐

Negative impact ☐

Neutral impact ☐

10. Does/Did your consortium involve end users (relevant for FP6)?

Yes ☐ **No** ☐

11. What would you consider a valuable contribution from your European partners (or other international partners) when you try to design a consortium?

	1 very important	**2 important**	**3 not very important**	**4 of minor importance**
Real complementary S&T input and experience				
Essential help in the preparation and management of the project				
Contribution to meet formal requirements of the EC				

12. Do you believe that the chances for success will automatically increase if well established scientists (like Academicians, Nobel Prize winners, directors of large RTD institutions) are involved in a consortium?

Yes ☐ **Rather yes** ☐ **Not really** ☐ **No** ☐

III: EU-RU RTD cooperation issues

13. Who was the initiator of your EU-RU RTD cooperation:

RU researchers ☐ **EU researchers** ☐ **other Third country** ☐

13.a If initiated by Russia, how did you identify your (European) partners?

☐ **By using previous contacts**

☐ **By using EU-partner search tools**

☐ **By attending a conference**

☐ **By Internet**

☐ **Other**

14. Do you believe that there are Russia-specific problems regarding the participation in European funding programmes (like for ex. FP6) ?

Yes ☐ **Rather yes** ☐ **Not really** ☐ **No** ☐

15. Do you believe that the selection procedure of the European Commission (or of other international foundations and bodies) really provides equal opportunities to all research groups? Please indicate the importance of the following aspects for the selection from your point of view:

	1 very important	**2 important**	**3 not very important**	**4 of minor importance**
Previous experience of successful European Commission-funded projects				
Number of publications of the researchers involved				
Countries represented in the consortium				

16. If your project was accepted and received funding: Which problems did you encounter in cooperation with your European (and other international) partners?

	1 Important problems	**2 Some problems**	**3 Little problems**	**4 No problems**
Communication problems (for ex. regarding operating instructions and deadlines)				
Problems with Intellectual Property Right (IPR)- issues and knowledge sharing				
Lack of a transparent project management incl. the finances				
Lack of commitment and reliability				

17. How do you estimate the share of contribution of the RU partners in your consortium, compared to the input of the other (European) consortium partners? Please give percentages:

	RU input			
	0-25%	**25-50%**	**50-75%**	**75-100%**
Project preparation				
In technical and scientific development (if the project was accepted for funding, during project execution)				
Project management(if the project was accepted for funding during project execution)				

IV. Project management issues

18. Have you been involved into the management of the project (only relevant if the project was accepted)?

Yes ☐ **No** ☐

If yes, please describe briefly your responsibilities:

19. How important do you consider the following management issues

- **for the successful preparation and submission of a proposal**
- **for a successful project execution.**

Please prioritize by ticking one box for each issue from 1 -4.

	1 very important	**2 important**	**3 not very important**	**4 of minor importance**
clear distribution of responsibilities				
well established communication procedures/flow				
well established reporting procedures				
respect of deadlines				
a good understanding of the financial regulations				

20. Is the project management and the scientific management in your project carried out by different persons?

Yes ☐ **No** ☐

20.a If yes, how do you evaluate the existence of separate managers?

Positive ☐
Negative ☐
Neutral ☐

20.b. If no, do you believe that this could be useful?

Yes ☐ **Rather yes** ☐ **Not really** ☐ **No** ☐

V. Impact

21. Does your institution receive some commercial benefits from the practical implementation of your project (relevant mainly for FP6)?

Yes, we do already have ☐
Yes, we expect commercial benefits in short term (before 5 years) ☐
Yes, we expect commercial benefits in long term (before 10 years) ☐
No, we don't expect any commercial benefit ☐

22. Do you experience personal recognition thanks to your international cooperation activities?

Scientific recognition (eg high esteem by colleagues, better acceptance of papers at conferences, more invitations to take part in European projects and workshops)

Yes ☐ **Rather yes** ☐ **Not really** ☐ **No** ☐

Financial recognition (increase in salary)

Yes ☐ **Rather yes** ☐ **Not really** ☐ **No** ☐

Better career opportunities

Yes ☐ **Rather yes** ☐ **Not really** ☐ **No** ☐

VI: Contact details:

Name of your institution (Legal name in English):
City: **Country:**

Contact person:
Name (First name and family name):
Position in the institution:
Phone:
eMail:

Title of the project:
Acronym:
Website: **http://**

Position in the project:

- ☐ **Overall coordinator of the project**
- ☐ **Project manager**
- ☐ **Scientific manager**
- ☐ **Administrative/financial manager**

Thank you very much for completing this questionnaire by 8th June!
Would you be available for a short interview by phone?
YES ☐ **NO** ☐

Your name will not be mentioned in a public document without your prior permission.