

II

(Preparatory Acts)

COMMISSION

Proposal for a Council Decision concerning a Community programme in the field of strategic analysis, forecasting an evaluation in matters of research and technology (Monitor)

(1988 to 1992)*COM(88) 386 final — SYN 147**(Submitted by the Commission on 29 July 1988)**(89/C 29/04)*

THE COUNCIL OF THE EUROPEAN COMMUNITIES,

Having regard to the Treaty establishing the European Economic Community, in particular Article 130 Q (2) thereof,

Having regard to the proposal from the Commission,

In cooperation with the European Parliament,

Having regard to the opinion of the Economic and Social Committee,

Whereas Article 130 K of the Treaty states that the framework programme should be implemented through specific programmes developed within each activity;

Whereas by its Decision of 28 September 1987⁽¹⁾ the Council has adopted a framework programme of Community research and technological development (1987 to 1991), providing for activities in the fields of forecasting and assessment in science and technology and in evaluation of programmes;

Whereas, for the selection of Community actions, the framework programme sets out criteria among which is that of contributing to the strengthening of economic and social cohesion of the Community, consistent with the pursuit of scientific and technical quality;

Whereas the Single European Act enters the European Communities into a phase of European construction — notably in scientific, technological and industrial cooperation — and therefore calls for a strengthening

and renewing of long term and strategic analysis and technological assessment:

Whereas the growing impact of science and technology on social and economic life reinforces, as underlined by the Economic and Social Committee, the role and utility of long term analysis of the social and economic consequences of developments in science and technology in the highlighting of choices in matters of RDT;

Whereas in 1987 the European Parliament approved, on an experimental basis, the setting up of an assessment body of scientific and technological options (STOA: Scientific and Technological Options Assessment) and given the importance of cooperation between Community institutions at this level;

Whereas several important initiatives have been taken in the Member States in matters of programme evaluation, forecasting and technology assessment;

Whereas the Commission, in carrying out its duties regarding evaluation of R & D activities, must have the support of reliable methods, appropriate indicators and a network of experienced European specialists in order that the effectiveness of its evaluations and its capability to measure the impact of R & D activities are improved;

Whereas the evaluation report of FAST II has been taken into account;

Whereas the Scientific and Technical Research Committee (Crest) has been consulted on the following measures,

HAS ADOPTED THIS DECISION:

Article 1

A specific research and technological development programme for the European Economic Community in the field of strategic analysis, forecasting and evaluation in matters of research and technology (Monitor), as defined in the Annex is hereby adopted for a period of five years from 1 January 1988.

⁽¹⁾ OJ No L 302, 24. 10. 1987, p. 1.

Article 2

The amount deemed necessary for the execution of the programme is ECU 22 million, including expenditure on a staff of 12 to 27 persons (six A, two B, four C for 1988; 12 A, two B, eight C for 1989; 15 A, two B, 10 C for 1990 to 1992) and costs associated with researchers seconded from Member States to a maximum of 47 man years.

Article 3

Detailed rules for the implementation of the programme and the rate of the Community's financial participation are set out in the Annex.

Article 4

1. In the third year of the programme implementation, the Commission shall undertake a review of the programme and it shall report to the Council and the European Parliament on the results thereof, together, if necessary, with any proposals for modification or prolongation.
2. An evaluation of the results achieved shall be conducted by the Commission, which shall report thereon to the Council and the Parliament.
3. The abovementioned reports shall be established having regard to the objectives set out in the Annex to this Decision and in conformity with the provisions of Article 2 (2) of the framework programme.
4. The Commission will regularly inform — but particularly in the first half of 1990 and the end of 1991 — the Council and the Parliament of the state of its activities.

Article 5

1. The Commission shall be responsible for the execution of the programme and shall be assisted in its

implementation by a Management and Coordination Advisory Committee (CGC), which shall be set up in accordance with the provisions laid down in Council Decision 84/338/Euratom, ECSC, EEC⁽¹⁾.

2. The contracts entered into by the Commission shall regulate the rights and obligations of each party, including the methods of disseminating, protecting and exploiting the research results.

Article 6

The Commission is authorized to negotiate, in accordance with Article 130 N of the EEC Treaty, agreements with international organizations, those non-member States participating in European cooperation in the field of scientific and technological research (COST) and those European countries having concluded framework agreements in scientific and technical cooperation with the Community, with a view to associating them wholly or partly with the programme.

Where framework agreements for scientific and technical cooperation between non-Member States and the European Communities have been concluded, organizations and enterprises established in those countries may participate in a project undertaken within this programme.

Article 7

This Decision is addressed to the Member States.

⁽¹⁾ OJ No L 177, 4. 7. 1984, p. 25.

ANNEX

COMMUNITY PROGRAMME IN THE FIELD OF STRATEGIC ANALYSIS, FORECASTING AND EVALUATION IN MATTERS OF RESEARCH AND TECHNOLOGY (MONITOR)

I. AIMS AND ACTIVITIES

1. The purpose of the programme is to be instrumental in identifying new directions and priorities for the Community research and technological development policy and to help show more clearly the relationships between it and the other common policies.

It involves factual and strategic analysis and forecasting relating to the scientific and technological environment and its interaction with economic and social developments.

2. It comprises three activities:

- Strategic and impact analysis (SAST),
- FAST forecasting,
- Research and studies to improve methodologies and effectiveness of evaluation of R & D activities (Spear).

II. CONTENT AND WORKING METHODS

Strategic and impact analysis (SAST)

3. The SAST activities consist of carrying out 'targeted' analyses in a scientific field, technology sector, or a challenging theme. The aim is to show the options available to the Commission's science and technology policy and interactions with other policies as well as the way in which the different concerned actors (industrialists, certain local public authorities, Member and non-member States, social groups, etc.) situate themselves with regard to the options.
4. These activities consist of:
 - (a) the preparation of reports on the prospects for development and the strengths and weaknesses of the European Community, a group of countries in the Community, particularly with respect to R & D structures, a high technology sector, a scientific field or in relation to important changes in other countries' science and technology policies, particularly those outside the Community;
 - (b) the carrying out of technology assessments into the state of development of a technology and its future evolution, constraints to innovation, industrial and socio-economic impact within the Community (by sector, region, etc.), requirements in terms of R & D and investment financing etc; and
 - (c) the preparation of reports of strategic analyses ('Strategic dossiers') shedding light, for a given problem, on alternatives open to the European Community and proposing precise orientations for action.
5. The Commission will establish an annual calendar of priority activities which will be adopted after consultation with the CGC.

FAST forecasting

6. The FAST forecasting activities are a reoriented follow-up to previous FAST programmes: they include study of scientific and technological changes and their many interactions with economic and social changes. Their aim is to provide the Commission with global analyses and long term projections. The projections are to be useful in relation to the Community's major objectives for the 1990s, namely the creation of a single internal market and strengthening economic and social cohesion within the Community, and in the light of worldwide economic and social developments.
7. Forecasting includes:
 - (a) the preparation of reports ('Forecasting dossiers') on major topics or phenomena of a global character. The choice of these topics will depend on their relevance and significance in relation to the objectives of the common RDT policy. They may extend beyond the strictly European framework;
 - (b) the undertaking of studies of the implications and consequences of selected scientific and technical developments which present important challenges for society in the future;
 - (c) the synthesis and critical analysis of the main forecasting studies published worldwide;
 - (d) the preparation every two years of a report on the economic and social implications of technological change, particularly in Europe.
8. These activities will be defined according to a biennial work programme established by the Commission in consultation with the CGC.
9. These activities will involve the participation of experts and working groups from outside the Commission under the responsibility and guidance of the FAST team in consultation with other concerned Commission services (including, where necessary, officials from other Directorates-General seconded to the FAST team for limited periods) and visiting scientists on secondment from the Member States or even from non-member countries.

In addition, the activities under (a) and (b) will be organized in such a way as to ensure the broadest and most efficient possible interaction between the actors involved. To that end the Council, the Parliament and the Economic and Social Committee will be regularly informed of the results of these activities.
10. FAST forecasting activities are also intended to continue to stimulate the development of European forecasting efforts and expertise. To this end it will be necessary to reinforce the FAST '12 + 1' network (comprising the 12 national FAST units nominated by the Member States to ensure interaction between Community activities and similar work undertaken in their own countries) and to

encourage the setting up of an informal network of European 'prospectivists'.

Activities in support of the evaluation of R & D Programmes (Spear)

11. Research and studies in support of evaluation of R & D activities at the Community level are intended to improve the theoretical and methodological bases, as well as the methods of organization and management of Community, national and international R & D programmes. They will also analyse and improve the effectiveness and impact of R & D activities, and support the evaluation 'plan of action'.
12. To this end, the Spear activities comprise:
 - the preparation, in conformity with the evaluation plan of action⁽¹⁾ of four to five horizontal evaluations of certain activities common to Community, national or international research in order to analyse their impact and identify means to improve their effectiveness at Community level. This covers analyses of methods of support and of management of national and Community research,
 - research actions into methodologies of evaluation of R & D programmes in order to increase their utility and make them more credible to their users. This will be in conformity with Articles 5, 6 and 7 of the plan of action referenced above.In particular it must:
 - improve methods for evaluations which cover at the same time Community and related national R & D programmes,
 - stimulate research into the methodology of evaluation and its use in Member States,
 - develop quantitative indicators that can describe the quality and utility of research and its contribution to the Community's economic and social development, and
 - prepare guidelines for the carrying out of R & D programme evaluations in the light of the European experience.
13. The Commission will establish an annual calendar of priority activities which will be adopted after consultation with the CGC.

III. IMPLEMENTATION

14. The preceding paragraphs define the aims of the various activities. They specify the products and services expected and the appropriate working methods.
Given the different nature of these activities, and their specificity, implementation will include:
 - involving in the abovementioned activities, research centres or research teams from the Community countries specializing in strategic and impact analyses, forecasting and evaluation of R & D programmes, especially by setting up networks, organizing workshops, seminars, etc.,
 - the setting up of two '12 + 1' networks, one linked to FAST forecasting, the other to Spear. Their objectives will be the exchange and diffusion of information, promotion within the Community of more effective means of forecasting and of evaluation of R & D, and also the exploitation of results, and
 - secondment of visiting scientists from national institutions and governments to take part in the various activities.The financial contribution of the Community towards these activities could be up to 100 % of necessary expenditures.

⁽¹⁾ See action plan in OJ No C 14, 20. 1. 1987, pp. 5 to 8.