

BILAT-UKR*AINA POLICY BRIEF



Recommendations

To the Meeting of the Joint-EU-Ukraine S&T Committee 2013

24 May 2013, Kyiv

INTRODUCTION

This Policy Brief complements following 5 policy briefs elaborated by BILAT-UKR*AINA¹ in preparation of the Meeting of the JSTCC EU-Ukraine in 2013:

- Overview of the internationalisation of Ukraine in STI including recent trends and developments (Policy Brief 1)
- Take-up of the EU-Ukrainian JSTCC Thematic Priorities in FP7 (2007-2013) (Policy Brief 2)
- Coordinated and Joint Calls (Policy Brief 3)
- Statistics on the number of EU researchers in national Ukrainian R&D programmes (Policy Brief 4)
- Research Infrastructures (Policy Brief 5)

The main objective of the Policy Brief at hand is to provide a condensed and insightful summary of the main BILAT-UKR*AINA recommendations towards the enhanced EU-Ukraine STI cooperation.

¹ www.bilat-ukraina.eu

JSTCC PRIORITIES IN FP7

Not yet the strengths of Ukrainian participation in FP7

According to the analysis of FP7 data presented in BILAT-UKR*AINA Policy Brief 2; some of the JSTCC priorities are not (yet) the main drivers of Ukrainian thematic participation in the European Framework Programme for RTD.

Importance of NCP support

The current JSTCC priorities are material sciences, biotechnology, ICT and aeronautics. **In order to increase Ukrainian participation in these thematic priority fields, the Ukrainian NCP system should provide strengthened and targeted thematic support activities focusing on the selected priority topics.** Especially the **health sector and the ICT sector** seem to be in need for more targeted mobilisation and quality improvement activities.

On the other hand, the **existing strengths** of Ukrainian participation in FP7, which are mainly the fields of **environmental research, fission and transport (incl. aeronautics)**, should be further exploited.

Regional focus

Due to the fact that 80% of Ukrainian partners are concentrated in 4 regions, **we recommend strengthening regional support, advisory and networking services in these four most important regions for STI** (Kiew oblast, Kharkiv oblast, Odessa and Sevastopol City).

PARTICIPATION OF UKRAINIAN ORGANISATIONS IN TARGETED VS. OPEN CALLS IN FP7

Success rate in open calls relatively high

Around 45% of the successful projects with Ukrainian participation have been submitted in calls generally open to all partner countries which shows that Ukrainian organisations are able to succeed also in calls not giving any advantage to participants from international partner countries. However, the majority of successfully selected projects still originate under targeted calls with a relatively high quota of coordination and support actions. For instance, 2/3 of the 'Health' projects were funded under SICA actions and 2/3 of the 'ICT' topics under targeted opening actions towards Eastern Europe.

Need for shift towards open thematic calls in H2020

In order to transform the Ukrainian participation towards higher added value in terms of research and technological development, we recommend implementing activities to mainstream the Ukrainian participation towards the generally open thematic calls in Horizon 2020.

We recommend a key account approach aiming to broaden the participation of already successful Ukrainian organisations in RTD projects (especially within NASU and the main research universities) and to support Ukrainian organisations, which by now were only involved in CA and CSA projects, in their attempts to become successfully engaged in future collaborative RTD projects with EU partners. The funding structure of Horizon 2020 provides a favourable framework condition to facilitate this transformation.

OPTIMISATION OF SUPPORT STRUCTURES FOR THE EU FRAMEWORK PROGRAMMES

NCP system

In order to increase and to transform (in the sense of “upgrading”) the Ukrainian participation in Horizon 2020, **it is recommended to configure the NCP system to enable NCP advisors to have up-to-date information and all essential conditions to fulfil their supporting and advisory role on a regular basis** (salary, training, networking opportunities with other NCPs nationally and internationally, clear organisational NCP structure etc.).

Responsibility carried by all actors

However, not only Ukrainian NCPs but **all Ukrainian organisations** interested in FP7 need to do their part by using available or creating own opportunities and instruments to mobilise their research capacities, networks to connect with European partners and organisational framework conditions.

Incentives for coordinators and WP leaders

. Another option to encourage organisations in their proposal writing phase - if they assume a coordinating position or a work package lead - is **to set up a project preparation funding instrument**. Such instrument has proved useful in a number of transition countries like Turkey, Estonia and Hungary.

LAUNCH OF HORIZON 2020

Automatic funding for Ukraine untouched

Horizon 2020 will be launched in just a few months. It retains its principal openness for STI collaboration with international partner countries and, in particular, remains especially advantageous for Ukraine because “automatic” funding for Ukrainian organisations will continue.

While these favourable participation conditions present an encouraging stimulus for the future, they should be taken with vigour and sincerity. Given the scale and scope of the Ukrainian research potential and the thematic orientation of Horizon 2020 towards societal challenges, maximising the competitiveness impact of research and innovation and spreading levels of excellence in the research base, it seems that there is room for improving the Ukrainian participation in the EU Framework Programme.

H2020 Launch Conference

A good start into Horizon 2020 would be very helpful. In order to facilitate this, pro-active campaigning of Horizon 2020 cooperation opportunities in Ukraine should be kick-started as soon as the shape of the programme is clear. It is recommended to organise an attractive **Horizon 2020 Launch Conference in Ukraine, which will be facilitated by BILAT-UKR*AINA**, but would become more effective if also national resources are invested and involved. It is further recommended to develop closer cooperation with the JRC, which is actively supporting the European Neighbourhood Policy through a number of activities.

DIVERSIFICATION OF INSTRUMENTS FOR STI COOPERATION

Instruments for equal partnership: ERA-NETs and Coordinated Calls

It is recommended to support the development of strategic research priority themes, which are relevant for the EU and Ukraine, also through other means of international cooperation where a sufficient juste-retour for Ukraine can be controlled, notably to invest more financial resources into participation in thematic and regional ERA-NETs (such as Black Sea ERA-NET, EUPHRESKO, SEAS-ERA), and to identify ways to find an agreement with the European Commission to launch coordinated calls. For detailed explication on the steps leading to the establishment of Coordinated/Joint Calls please consult the BILAT-UKR*AINA Policy Brief No. 3.

Instruments for regional cooperation

Also the regional cooperation opportunities, e.g. provided within the Eastern Partnership agenda, the Black Sea and Danube Region strategies, and the future European Territorial Cooperation Programme “Danube Region 2014-2020” should be more pro-actively approached by the dedicated Ukrainian authorities. To this end, **necessary framework conditions (e.g. national co-funding means and procedures) should be defined and secured to make optimal use of these opportunities** for the participating organisations. In line with this, also bilateral cooperation agreements should be more focused on strategic research priority themes, facilitating bridging towards Horizon 2020 priorities.

ENHANCING STI COOPERATION AT BILATERAL LEVEL

Bilateral cooperation as a first step towards multilateral programmes

In some cases bilateral Ukraine- EU MS/AC cooperation based on the long-term partnership is strong and dynamic. However, there is lack of a coordinated approach between different bilateral programmes at the side of EU Member States. **Bilateral cooperation might be used as nuclei for the development of a few multilateral initiatives and mobility schemes.** BILAT-UKR*AINA Stakeholder Forum is an appropriate arena to discuss the opportunity of enhanced bilateral cooperation in the future.

It is suggested not only to enhance the joint communication between interested EU MS/AC stakeholders and the Ukrainian stakeholders already involved, in particular SASII, SFFR and NASU, e. g. by dedicated meetings and exchange, but also to initiate communication with other stakeholders in Ukraine, in particular additional relevant ministries, National Academies and funding bodies. It is recommended that Ukraine on one side and the individual EU MS/AC STI programme owners on the other side consider in a first step a targeted **mutual opening-up of national programme lines.**

TWINNING SCHEME

Twinning arrangements, ERA-WIDE projects

It is suggested that national policy stakeholders in EU MS/AC and Ukraine encourage and **provide the necessary framework conditions and incentives for twinning arrangements between research centres or institutes in Ukraine and the EU**. The **ERA-WIDE projects** involving Ukrainian institutions constitute already best practice examples. Such twinning could take the form of memoranda or agreements between the respective research entities and could include a large variety of activities, possibly leading on the long run to the creation of joint laboratories or institutes. Experiences with the International Laboratory of High Magnetic Fields and Low Temperatures (Wroclaw, Poland)² as a joint Ukraine-Poland-Russia-Bulgaria initiative should be taken into account as a good practice in this context.

Twinning between other entities

It is also suggested to develop scenarios for bilateral twinning **between similar entities (ministries, funding agencies, STI organizations, interest groups)** in one or more EU MS/AC with the **aim to better understand legal and other boundary conditions and mechanisms** in partner countries **and to exchange best practices in order to improve institutional functioning**. TAIEX twinning and similar EU-funded institutional building tools should be taken advantage of in this context.

INVOLVEMENT OF PRIVATE SECTOR IN UKRAINE-EU STI COOPERATION

FP7 participation low

With the shift from research to innovation, a special emphasis should be put on the private sector. Yet, the participation of Ukraine's private sector in FP7 is low. The gap between science and industry – and notably between research and innovation – can be reduced by **enhancing the involvement of the private sector in Ukraine-EU STI cooperation**. It is recommended to increase the number of targeted consultancies, to implement special SME information sessions and workshops to raise awareness on the collaboration opportunities for the private sector companies.

Commercialisation of research findings

Advisory support should also cover aspects of how to increase the capitalisation of research findings from FP projects. It is, thus, recommended to strengthen the capacity and competence of the NCP system in Ukraine also in this respect, e.g. how to approach SMEs with different needs or from different industries.

15% SME participation goal in FP

The Ukrainian NCP system – in cooperation with the main national and regional stakeholders – should elaborate a strategy how to move towards the **15% SME participation goal**. It is obvious to say that not the actual goal itself, but the systematic approach (including adaptation of institutional domestic frameworks) will pave the way to reach this ambitious target in the end. This approach is promising to affect the national innovation system with better absorption capacities.

² <http://www.ml.pan.wroc.pl/en>

TECHNOLOGY TRANSFER AND INNOVATION INFRASTRUCTURES

Technology transfer infrastructure needed

Innovation and business support infrastructures are essential to provide state of the art technology transfer and brokerage services between research institutes, universities, and SMEs.

EEN Network

An EEN network as a central coordination point for the EU and Ukrainian stakeholders, and with regional /thematic / sectoral nodes is needed. The Enterprise Europe Network (EEN) Ukraine needs to have sufficient financing in order to ensure concerted action at different levels of governance. The evidence from the precursor of the EEN network, the Innovation Relay Centre (IRC) network suggests that the costs for the setting up and maintaining technology transfer centres are rewarded by at least 1.8 times by the socio-economic impact gained through international technology transfer agreements of the client organisations³.

ENHANCEMENT OF SCIENCE-INDUSTRY COLLABORATION IN UKRAINE

Technology platform as a means for enhanced science-industry collaboration

Moreover, to enhance the structural dimension of science-industry collaboration in Ukraine itself, **it is recommended to make use of successful good practice cases established elsewhere in Europe. This could eventually lead to further establishing mirror technology platforms in Ukraine and exchanging best practices on innovation support measures.**

BILAT-UKR*AINA aims to improve this issue by supporting the establishment of the Ukrainian **National Technology Platform for Advanced Materials (UNTPAM)**, a highly prioritised field in Ukraine.

The main aim of this TP is to strengthen innovative activity in the field of advanced materials, to facilitate the coherence in national and international cooperation and to develop a roadmap for sustainable cooperation between research and businesses in the field. In order to advance the matching between the demands of the industry and offers of the research institutes, and to modernise manufacturing technologies and increase the innovative capacity of companies. **also technical assistance sources should be addressed such as ENPI/ENI.**

QUALIFIED RESEARCHER BASIS FOR THE STI COOPERATION

Need to rejuvenate the international STI practitioners basis

It is also **recommended to rejuvenate, and thus to broaden, the structure of contact persons for EU researchers who are ready to cooperate with Ukraine in bi-, multi- or European projects.** This, however, calls for targeted “nursing” activities, such as networking

³ Based on the input of Ms Rumpf, representative of the completed EU-funded projects “Enhance Innovation Strategies, Policies and Regulation in Ukraine” and “JSO-ERA”; Innovation policy. European benchmarking for Ukraine, 3rd Volume. Innovation in Ukraine: Policy Options for Action. Final Document, EU Project “Enhance Innovation Strategies, Policies and Regulation in Ukraine”. -K.Feniks,2011.-72p.

facilitation, job shadowing, European RTD management summer schools or webinars, for the next generation of successful Ukrainian researchers and research managers.

BILAT-UKR*AINA is piloting a few activities to this end. Job shadowing, trainings on project management, facilitation of FP partnerships are of utmost importance in this respect. Networking can be facilitated and structured through best project idea competitions (run under BILAT-UKR*AINA project) whose successful “winners” receive special advisory and networking support.

ENHANCED COOPERATION AT UNIVERSITY LEVEL

Importance of Bologna process

In line with the notion of “rejuvenating” the Ukrainian human research basis, **we recommend to speed-up the implementation of the Bologna Process with regards to its international dimension.**

Joint programmes

Emphasis should be put on developing a larger number of joint degree programmes, international doctoral schools and “cotutelle de thèse” initiatives, which involve European higher education institutes and which implement up-to-date researchers’ trainings with a large number of courses in English and the utilisation of eLearning devices and approaches.

European Education programmes

European programmes (such as Tempus or Erasmus Mundus), which were to some extent already successfully taken-up in Ukraine, should be further used for such endeavours.

In order to scale-up good practices from European projects, national authorities should continuously support a framework for the transfer of good-practice results from these projects across the entire higher education sector in Ukraine.

At the level of Higher Education Institutes, **universities should develop a clear internationalisation strategy** and build up **internal supporting structures** for the project application and implementation phases. The Ukrainian support system should provide train-the-trainer courses to this end. **Project management and intercultural communication skills** in general, taking responsibility for project implementation as well as openness to international cooperation and networking are crucial assets that characterise successful project teams.

PARTICIPATION OF EU RESEARCHERS IN NATIONAL R&D PROGRAMMES

Ukrainian side has to **clarify conditions of participation of the EU researchers in the national R&D programmes** at the legal level. It would be also useful to formulate clearly opportunities and rules for this type of co-operation.

BRAIN DRAIN OF YOUNG RESEARCHERS

Brain drain

Based on the conclusions of the recent COMBIOM⁴ Project Meeting, there are few factors that should be solved in order to facilitate and deepen long-term S&T collaboration between the EU and Ukraine. The current obstacles to such collaboration concern mainly **the young researchers' mobility and funding, and the research management rules.**

According to the COMBIOM Advisory Board conclusions, the inducements to **motivate young researchers to stay in Ukraine and to prevent brain drain** are insufficient. The major issues that should be tackled at the policy level are:

- the impossibility for young researchers to go abroad for research and/or training (e.g. post-doc experience) to significantly improve their qualification, on the risk of losing their job;
- the insufficiency of the Ukrainian scientific grant system, in particular start-up and excellence grants for young researchers;
- lack of employment opportunities for young researchers due to the absence of contractual employment and insufficient salary inducement.

Improvement of operability of national R&D programmes

EU-Ukraine S&T cooperation could be also further enhanced by improving **operability of national R&D programmes**, i.e:

- the insufficient level of basic funding from the state budget, which leaves a very narrow margin for operating costs once salaries are paid;
- non-transparency in the evaluation and selection procedures in call proposals, as well their non-conformity with EU management standards (principles of peer review and conflict of interest).

VISA FOR RESEARCHERS

Visa for FP7 researchers

The monitoring of participation of Ukrainian researchers in FP7 projects revealed that obtaining a Schengen area visa remains a major bureaucratic obstacle for Ukrainian researchers. Although this issue is definitely out of influence by BILAT-UKR*AINA, we recommend to launch a new **attempt to facilitate procedures for Ukrainian researchers involved in FP projects to obtain a Schengen visa.**

Visa for researchers and students

At the same time, project welcomes plans of the EC to update the current EU legal framework governing visas for **non-EU national researchers and students** with the aim of **simplification of visa procedures to enter and stay in the EU for periods exceeding three months**⁵. This being said, the stimuli to return to their jobs in Ukraine after the end of their stay should be secured at national level.

⁴ COMBIOM is the only Ukrainian ERA-WIDE project in the field of life sciences, <http://www.combiom-fp7.org/>

⁵ http://europa.eu/rapid/press-release_IP-13-275_en.htm?locale=en

RESEARCH INFRASTRUCTURES

e-Infrastructures

“Rejuvenation” is also an issue for physical infrastructures. In this respect **we recommend to explore and extend collaboration with the EU in the area of e-Infrastructures**, for instance in the area of distributed computing where resources and services could be shared between Ukraine and the EU through a Memorandum of Understanding or association to EGI.eu. It is considered important for Ukraine to join the European e-infrastructure activities to gain full access to state of the art scientific resources.

Research Infrastructures

Research Infrastructures (RI) seem in general to be a promising area for the EU-Ukraine cooperation with a lot of untapped potential.

To this end, it is suggested that Ukraine elaborates a **national RI roadmap** with appropriate funding lines and definition of priority areas for RI development and RI cooperation promotion. In the next step, a **joint EU-Ukraine expert group on RI cooperation** that would identify and promote cooperation in selected fields with the view of increasing mutual accessibility and benefits should be established. Moreover, on one hand, **Ukrainian RIs should aim to increase their visibility in Europe** in order to establish connections and cooperation with dedicated European RIs as well as potentially ESFRI projects. On the other hand, **in order to increase the potential for cooperation and visibility of European RIs in Ukraine, it is suggested to organise a series of information events in Ukraine** where Ukrainian scientists learn about different options of joining them.

PROJECT IDENTITY

Project Name	Enhancing the BILATeral S&T Partnership with UKRraine * Advanced INnovative Approach (BILAT-UKR*AINA)
Consortium	<ul style="list-style-type: none"> • Centre for Social Innovation (ZSI), Vienna, Austria (Co-ordinator) • Kyiv State Center for Scientific and Economic Information (NIP) • Centre for S&T Potential and Science History Studies (named after G.M. Dobrov) of the National Academy of Sciences of Ukraine (STEPS) • National Centre for Scientific Research, France (CNRS) • German Aerospace Center – International Bureau of the Federal Ministry of Education and Research, Germany (DLR) • Polish Academy of Sciences, Poland (PAN) • Research & Development Engineering and Manufacturing for Automation Equipment and Systems, Romania (IPA SA) • Center of Practical Informatics of the National Academy of Sciences of Ukraine (CPI NASU) • Regional Centre for Information and Scientific Development (RCISD)
Funding Scheme	7th European Framework Programme for RTD of the European Union, Capacities Programme, Coordination and Support Action. Project ID:FP7-311839
Duration	1 September 2012 – 30 June 2015
Website	www.bilat-ukraina.eu
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Further reading	<p>Policy briefs on</p> <ul style="list-style-type: none"> • Overview of the internationalisation of Ukraine in STI including recent trends and developments (Policy Brief 1) • Take-up of the EU-Ukrainian JSTCC Thematic Priorities in FP7 (2007-2013) (Policy Brief 2) • Coordinated and Joint Calls (Policy Brief 3) • Statistics on the number of EU researchers in national Ukrainian R&D programmes (Policy Brief 4) • Research Infrastructures (Policy Brief 5)
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