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EUROPEAN COMMISSION

# **Implementation of the European Research Area in the Social and Human Sciences, especially as regards the coordinaton and opening-up of national programmes**

*Discussion Paper*

*by Dr. John Smith*

Directorate-General for Research  
Citizens and governance in a knowledge-based society

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<http://www.cordis.lu/fp6/citizens.htm>, for information on Priority 7 - 'Citizens and Governance in a Knowledge Based Society' under the 6th Framework Programme.

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## Preface

### *Implementation of the European Research Area in the Social and Human Sciences, Especially as Regards the Co-ordination and Opening-Up of National Programmes: Discussion Paper*

The European Research Area involves new ways of organising European scientific endeavours, new forms of co-operation and co-ordination of scientific research and policy and new approaches to relations between countries and institutions in Europe.

An important part of the European Research Area has to do with understanding each other in Europe. It is about knowledge and information on the scientific endeavours and the policies concerned in the different countries in some depth, and our ability to relate this knowledge to our current activities and our future plans.

This report is part of a broader effort to develop the European Research Area in the social sciences and the humanities, in co-operation with the Member States of the Union as well as associated and candidate countries. It constitutes a first attempt to map out the ways in which research policies in the social and human sciences are designed and implemented, and to examine the main national priorities in those sciences that could provide the basis for European efforts to link together national programmes.

Whilst the study claims neither methodological rigour nor exhaustive in-depth information provision, it provides interesting insights in the world of policy making in the social sciences and humanities in a wide range of European countries. It also provides useful ideas about areas and ways in which closer fruitful co-operation between countries in Europe can be developed and pointers about conditions that should be fulfilled for such co-operation to be successful.

It is a report, which we in the Commission have found, and continue to find, useful in our work, and a recommended reading for those interested in science policy, especially in relation to social sciences and humanities.

Brussels, December 2002

Jean François Marchipont  
Director





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## **1. Scope and aims of the task**

The scope of this paper has been guided by the following task description:

“The study aims to map out national programmes in the social and human sciences, initially in the EU member states, and if possible, in the other countries participating in the Framework Programme. The mapping will consider the different ways of functioning of national research administrations and systems, and will include the thematic coverage of the programmes.

The analysis will address the key question of how the social and human sciences can be best prepared for effective participation in the European Research Area/6<sup>th</sup> Research Framework Programme through the proposed Community-wide mechanisms, and the scope for Cupertino and joint development of programmes between national administrations”

The task has involved reviewing the Key Action, “Improving the Socio-Economic Knowledge Base”, including the project clusters, particularly in relation to their linkage with national initiatives. The review has sought to assess the existing structures and the Cupertino potential between national programmes in the field. The overall aim has been to support the discussions on the implementation of the European Research Area in the social and human sciences especially as regards the co-ordination and opening-up of national programmes.

In terms of the approach taken, some introductory remarks need to be made. At the outset, it was decided not to draft this report as a series of “national chapters”. A more interesting and challenging approach, and hopefully of more value to the European Commission, was to attempt an

overview analysis of the various national funding arrangements and their thematic programme coverage. This would be undertaken with a view to assessing how greater synergy could be achieved between national and European level research investment in implementing a European Research Area in the social and human sciences. Both the barriers and the opportunities would need to be addressed, and how they could be respectively overcome and maximised.

Secondly, in approaching this study a pragmatic definition of the social and human sciences (SHS) has necessarily been adopted. Social sciences research (or rather socio-economic research in EU terminology) has been the principal emphasis of recent EU Research Framework Programmes, but the forthcoming 6<sup>th</sup> Research Framework Programme (6FP) and the debate over the creation of the European Research Area (ERA) has widened the coverage of socio-economic research to include aspects of the humanities.

Thematic Priority 1.1.7 entitled “Citizens and Governance in a Knowledge-based Society” has as its objective to mobilise “European research capacities in economic, political, social sciences *and the humanities* that are necessary to develop an understanding of, and to address issues related to the emergence of a knowledge-based society and new forms of relationships between its citizens on the one hand, and between its citizens and institutions on the other”.

Furthermore, 6FP Heading 1.2 on “Specific Activities Covering a Wider Field of Research” includes research addressing Community policies in education and culture, and protection of cultural heritage; also 2.4 on “Science and Society” places some concern on European cultural diversity and ethical values.

The scope of the coverage of the humanities in this study has been restricted, therefore, to the above remit of the 6FP and consequently the full range of national programmes of humanities research are not accounted for.

Thirdly, it is important also to recall that in the past a commonly identified “barrier” to the growth of European level social and human sciences has been the fact that, to a much greater degree than in the natural, medical and engineering sciences, the development of these sciences has been embedded in nation state-building. The argument went that social, economic and political phenomena have been studied traditionally in the national context, and hence the scale and pace of development of European collaborative research and infrastructure support had continued to lag behind the natural sciences. Indeed, this argument was a central one used successfully to promote the need for European Commission Research Framework Programmes’ mobility schemes to include the social sciences, and for the development of targeted research key actions addressing policy options for European economic, social and political development.

Social science research communities have responded enthusiastically to the new opportunities for EU level research project and network funding in the Fourth and Fifth Framework programmes. This response has resulted from researchers’ own initiatives based upon existing professional networks and co-operation between universities, and through their initial participation in other European level activities such as the European Science Foundation. Also, the growth of European professional associations such as the European Consortium for Political Research (ECPR) and the European Consortium for Sociological Research (ECSR) have promoted joint research workshops and training schools in comparative research and methodology linking university departments through their institution-based membership.

But perhaps, most importantly, in many countries initiatives have been taken by government departments and research councils to mobilise researchers towards EU programme funding. In parallel, EU member states have also sought to

adjust their national funding arrangements in order to promote a European (and international) dimension where comparative research was an essential need in addressing socio-economic topics/phenomena that cross national boundaries and held importance at national, regional and European level.

The term “national programme” will need, therefore, to be given careful and particular attention in this study because its definition and operational components vary considerably across EU member states (and in candidate countries). In recent years, “national programmes” which in their broadest terms can be defined as the combined resources (the sum of the various parts) of national funding arrangements, or in their narrowest terms as targeted programme initiatives in specific topic fields, have tended to co-evolve with EU Framework Programme development. Between the above broadest and narrowest definitions of “national programmes” there exist many variations in EU member states on the balance between initiative (targeted) and responsive mode (curiosity-driven) research funding, both in terms of grant/contract competitions and core-funding to research institutes and centres.

The 6FP/ERA sets a new threshold in seeking to bring about greater Cupertino between national and EU level research through introducing new, larger-scale instruments “integrated research projects” and “networks of excellence”, and the co-ordination and opening-up of national programmes. For the reasons mentioned above, EU-funded research has had a particularly important effect on the national constituencies of socio-economic research in member states. EU funding has established many new networks and collaborations, particularly involving co-operation between university and non-university research institutes and “user” groups/organisations, and offered new research career opportunities particularly to younger researchers. ERA aims to achieve more synergy and added value between national and European investment in publicly funded research. In doing so, it will need to avoid, therefore, a “one size fit”

definition of “national programmes” in the social and human sciences through recognising both the differing impacts of EU funding on national research communities, and the differing national funding arrangements and institutional landscapes in member countries.

Taking a general overview of “national programmes”, it is clear that an interactive process has been at work in moving national and EU research agenda-building towards mutual priorities which has been fuelled by the increasingly cross-national nature of many socio-economic problems and issues. In all member state “national programmes” (of whatever definition), it is possible to discern a common core set of dominant issues in socio-economic research that can be summarised as follows (Table 1, next page).

It should be emphasised here that “Gender” has not been listed as a separate issue in itself, but it should be seen as a major horizontal dimension in all the above. Similarly, although “Globalisation” has been mentioned only as a sub-topic in two cases below, it should be seen also as a horizontal dimension having implications for all.

As a final comment on Table 1, another horizontal core issue within “national programmes” is the increasing priority given to the further development and strengthening of “Research Infrastructures” in socio-economic research in terms of data facilities (e.g. archives), research instruments (e.g. surveys) and methodology training (e.g. data handling and analysis, survey design, use of new ICT tools such as GIS etc).

As the demand for ‘evidence-based’ research informing policy options grows, the archiving, quality control and preservation of data sets arising from publicly-funded research assumes greater importance through the opportunities created for further secondary analysis at the national level and comparative analysis in the European and international context.

<b>Table 1. Ten Core Issues in Socio-Economic Research in EU Member States</b>	
<b>Core Issues</b>	<b>Sub-Topics</b>
<b>Democracy</b>	Governance, Institutions, Citizenship, Electoral Behaviour, Political Parties, Values, Role of State/Regional, National and European Level.
<b>Economic Performance</b>	Employment, Labour Markets Financial Markets, Fiscal Policy, New Economic and Work Models, Firms' Behaviour Globalisation economic consequences
<b>European Development</b>	European Union, Enlargement, European Culture, European History, Europe and Rest of the World.
<b>Environment</b>	Sustainable Development & Human Behaviour, Economic Mechanisms/Incentives, International Agreements/Regulations, Nature and Society.
<b>Health</b>	Demographic and Household Change, Ageing, Youth, Lifestyle (Work and Leisure), Individual Life-Course Analysis, Living Conditions. Health Care

	Delivery
<b>Knowledge &amp; Learning</b>	Knowledge Society, Education & Training, Life-long Learning, ICT development & impacts, Media, Languages
<b>Multi-Ethnic Societies</b>	Identity, Migration, Racial Discrimination, Xenophobia Globalisation- social and cultural consequences
<b>Quality of Life</b>	Urban/Rural – Sustainable Communities, Cultural Heritage, Transport & Mobility, Crime, Public Safety & Security.
<b>Science, Technology &amp; Innovation</b>	Science and Society, Ethics, Public Understanding of Science, Science Policy, History of Science.
<b>Welfare State</b>	Social Welfare and Social Security Pensions, Social Capital, Social Cohesion, Poverty & Exclusion

The scope and concept of “national programmes” explored in this discussion paper focuses on publicly-funded research. It is worthy to note, however, that private foundations in various EU countries provide an important source for social and human sciences research funds e.g. Volkswagen Foundation, Gulbenkian Foundation, Joseph Rowntree Foundation and many others. Often these foundations have

had an important innovating effect on the research agenda by acting as a vehicle through which researchers could explore new research ideas and directions. In recent years, there has also been a tendency for such foundations to develop thematic priority programmes as a part of their funding schemes.

It is probably most appropriate to conclude these opening remarks by recalling Professor Helga Nowotny's "Key Note" speech given at the EU Conference on "Unity and Diversity. The Contribution of the Social Sciences and the Humanities to the ERA" held in Bruges, Belgium, in late October 2001. In rehearsing the challenges facing the social and human sciences in terms of redefining its task of interpreting a rapidly changing world, Professor Nowotny observed that, "In the social and human sciences, we have a tendency to respond to the challenges and priorities of yesterday rather than the future". This is perhaps too a problem that we should be aware of at the beginning of this task because "national programmes", particularly targeted thematic topic programmes, have often gone through a long process of negotiation and conciliation at research council and government ministry level before they emerge as priorities. In seeking to define "national programmes" and foster productive synergy across them in the European Research Area, it is crucial to do this in a manner that promotes the innovative components of these programmes and creates conditions in which new ideas can flourish.

## **2. Mapping of the national arrangements for the funding of social and human sciences (SHS) research in EU member states**

Recent decades have witnessed great changes in national research funding systems. To a considerable degree, the dynamics of these changes have revolved around the dialogue on how to achieve a sound balance and productive synergy between “science-driven” and “policy-driven” research. Demands for “relevance” in social sciences research began in earnest in the 1960’s and have continued unabated until the present day. Social and human sciences as a “small science” research field has been, therefore, in the forefront of experiencing the new climate of increasing governmental demands for policy-relevant research (and more recently societal questioning of scientific priorities in the face of uncertainties) which now also affects in a similar manner “big science”. As a result, SHS national funding arrangements have tended for many years to have to innovate more with new funding mechanisms such as initiative mode (targeted) research programmes, designated research centres and other competitive schemes in priority topic fields. Different variations of these mechanisms have been adopted in EU member states in accordance with the respective institutional structures, and scientific and administrative cultures.

Mapping national funding arrangements in SHS research is a complex task, therefore, which is rather like seeking to describe kaleidoscopic moving objects. Research councils tend to experience five-year cycles of structural re-organisation reflecting shifting science priorities within government policy and its interpretation by their executive boards. In recent years, however, an enduring trend has been the consolidation of previously separate SHS research councils into an integrated national research council structure covering all fields of science. Changing

governments also constantly re-structure ministries for science, and re-allocate responsibilities for scientific research between several ministries according to specific policy sectors. An overall trend, however, has been an increasing consultation process (along a continuum of informal to formal mechanisms ranging from social networking between government and academia to the establishment of advisory boards) on priority areas for which greater coordination and concentration of research effort was desirable, for example, in such areas as the environment, public health and science/technology societal impacts (public understanding of science). In these pages, therefore, only a current “snapshot” of this kaleidoscopic landscape can be captured.

Nevertheless, bearing in mind the above qualifications, five types of national funding arrangements can be usefully characterised containing groupings of EU member states as follows (Table 2).

<b>Table 2.Types of National Funding Arrangements for Social and Human Sciences Research in EU Member States</b>
(A) Strong research council systems with both initiative and responsive mode funding schemes (Denmark, Finland, Netherlands, Sweden and the United Kingdom)
(B) Strong research institution funding from several national sources (France and Italy)
(C) Strong research council and institution funding with dominant responsive mode (Germany)

(D) Mixed (but more limited) research council and institution funding with both initiative and responsive mode funding (Austria, Belgium, Luxembourg, Portugal and Spain)

(E) EU Framework Programmes playing major role in funding of research community activities and projects (Greece and Ireland)

It is suggested that the drawing-up of these five “types” of national funding arrangements helps considerably in defining the differing nature of the various “national programmes” in SHS research in relation to their scope and potential for linkage and opening-up in the European Research Area. For the sake of completeness, concerning non-EU member associated countries which have joined EU Framework Programmes to date, it could be said that Norway and Switzerland fall into “type A”, and Iceland and Israel into “type D” national funding arrangements. Reference to the situation of candidate countries in Central – Eastern Europe will be made later in this section.

Before proceeding to a brief description of each “type”, it should be emphasised that reference will be made only to the general funding arrangements of research councils and government ministries of science and research, *not including* national funding mechanisms for distribution of research resource allocations to universities (i.e. universities “own” research funds). Neither will reference be made to the extensive applied research undertaken by social scientists for other government ministries (and regional authorities) addressing sectoral policy needs e.g. in areas of economic

development, health, education, social affairs, justice etc. Such coverage would require a more extensive study than the scale of this present one. But, an important marker should be put down here because these latter research contributions represent a significant element of “national programmes” in SHS fields. National SHS research communities are very diversified phenomena who, to use perhaps an apt phrase, “work for many masters” and this fact needs to be borne in mind when creating incentives to rally them to play their full potential role in the European Research Area.

## **Type A**

In “type A”, the research council is the dominant model for the distribution of research funds through various project and programme mechanisms. The balance between responsive mode (curiosity-driven) and initiative mode (targeted thematic priority) funding varies across the countries in the group. Responsive mode funding has tended to reduce as a percentage of the overall research council budgets over the years but still commands at least one-third of budget resources in all countries rising to 80% in some Nordic countries. A key characteristic of targeted thematic priority funding in “type A” is the short-to-medium term nature of programme support (normally from three-to-five years). It should be said, of course, that after the operation of a review procedure, some targeted programmes are renewed for a further period. But, the important distinguishing element is the flexibility of targeted research programme funds and their ability to be directed towards new topic priorities. Scientific cultures are embedded within this competitive and flexible framework of “type A” national arrangements with research careers requiring an increasing degree of mobility across research institutions.

Priority themes are firstly developed in “strategic plan” or “forward look” exercises conducted regularly by research councils. These plans tend to span the next five-year periods.

The broad definition of the thematic content comes about through the dialogue mentioned above, both formal and informal, between academia, government and practitioners. In “type A” countries, the membership of governing bodies of research councils which decide upon thematic priorities contain normally a broad representation of academics, government ministry advisers, and representatives from industry, non-governmental bodies and “user” organisations. Not since the early 1970s have research council governing bodies been largely the domain of university professors and other research professionals. Once the strategic themes have been agreed, the next stage of the expert development of the programme content, work-plan and budget begins which can take up to a year. With the growing trend that Governments allocate specific additional funds to research councils to develop and manage programmes in priority fields, the consultation process on the research agenda and setting-up of the programme can take longer (with the relevant policy ministries/agencies).

In the “type A” funding arrangements, there have evolved two models of thematic priority programmes. The first model is the “targeted research programme”. In this model, a research council announces a new programme, say in “Social Variations in Health”, and invites proposals for project grants addressing the programme themes. Following peer review and selection by an expert programme committee, the successful applications for projects are then awarded. These projects then run in an autonomous manner without any research coordination between them. They are free-standing projects within the overall programme theme, and are evaluated as such.

The second model of the thematic priority programme is more structured with a conscious effort made to achieve more coordination between the component projects within the programme. A national coordinator is appointed who is assisted by a scientific advisory committee in managing the programme. Such programmes seek to achieve greater

synergy both across the project teams whilst the research is underway, and importantly, when evaluating and presenting the results of the programme to the academic community, potential users of the findings and the wider interested public. It should be added here that this “second model”, more structured approach applies also to the initial phase of project selection where a two-stage application procedure is operated to choose the final projects. Project outlines are first requested, and those chosen are then invited to submit a full proposal. This enables a more integrated set of projects to be assembled from the outset of the programme. (The potential relevance of national experiences of progressing from the “first” to the “second model” programmes for the shift from 5FP “calls for proposals” of targeted socio-economic programmes to the 6FP new instruments, “networks of excellence” and “integrated research projects”, will be addressed in section 5 below). Both models of research programme development and management co-exist in “type A” countries, with some preference for targeted calls (first model) in Denmark and Sweden.

The strong presence of a scientific administrative culture in “type A” funding agencies should also be recognised as another important distinguishing characteristic. Research council administrative staff, through their accumulated experience of implementing new funding mechanisms and their knowledge of, and regular contact with, the research communities constitute a valuable resource in linking research policy with research expertise and interest.

Finally in “type A” countries, many major research institutes in both the university and non-university environments tend to be funded directly by government ministries and other sources for both basic and policy-relevant research in particular sectors. They are engaged largely in research addressing national policy needs and hence form a key element of “national programmes” in SHS fields. The importance of their contribution to the future European

Research Area, and how it can be realised, will be tackled in section 5 below.

## **Type B**

In “type B” national arrangements, the research institutes (laboratories) are the main recipients of funds from national funding agencies (CNRS in France, and CNR in Italy). The key characteristics are a strong institutional framework of specialist institutes with research careers (often on a permanent contractual basis) rooted in disciplinary expertise. These permanent infrastructures of institutes function alongside university research institutes and departments with varying degrees of separation and overlap in the respective two countries. In France, CNRS funds are mainly channelled through its institute structure whereas CNR in Italy funds its own institutes and awards some project grants to the universities.

In this both strong and diverse institution-based structure with its emphasis on disciplinary expertise, the national funding arrangements work in different ways in seeking to develop new areas of research to address societal concerns and policy needs. The CNRS operates a mechanism of interdisciplinary research programmes (PIR) in topic areas such as environment, health, urban life and information and communication technology. The emphasis is on interdisciplinary research across all fields of science including SHS. In this way CNRS provides an incentive for its disciplinary-orientated institutes’ teams to adjust their research priorities and work together on a common agenda. Institutional mechanisms allow for, and encourage, therefore, new research agenda-setting within the

permanent institute structure. Also, new institutes are created (or institutes merged) to tackle new fields. The CNR in Italy created several new institutes in 2001 tackling new interdisciplinary approaches in SHS priority fields (e.g. on

science policy and innovation; social welfare and demographic change). CNR also operates a scheme of targeted strategic projects (Progetti Strategici) in specific fields of science including SHS.

In “type B” national arrangements the respective Ministries for Research play a more direct role in promoting targeted thematic research programmes (perhaps more pronounced in France than Italy where MURST funding of university research allows for a more curiosity-driven approach). In France, the Ministry for Research launches “calls for proposals” for targeted research programmes (Action Concertée Incitative, ACI). These can vary considerably in size and purpose, ranging from schemes for doctoral and post-doctoral researchers to team-based research projects. As in “type A” national arrangements, other major government ministries concerned with various sectoral policies (such as social and employment policies) commission policy-related research directly with research institutes. An important distinction of “type B” national arrangements is that the “administrative culture” is based upon drawing expert input. Extensive groups of national committees covering various institutes/disciplines exist within the national funding agencies. Also, for example, CNRS Headquarters operate a rotating appointment system for key scientific administrative positions in its main departments drawing candidates from the university sector.

## **Type C**

The Federal Republic of Germany national funding arrangements place primary emphasis on the autonomy of decision-making structures and the “science-driven” nature of setting research priorities through grant and programme themes. “Type C” national funding arrangements are personified in the role and mission of the German Research Society (Deutscher Forschungsgemeinschaft, DFG). DFG

funds derive from both the federal and regional (Lander) level and its membership draws fully from the German scientific institutional landscape (encompassing university research establishments, Max-Planck- Gesellschaft MPG institutes, Academies of Sciences and other major research institutes and associations). Its scientific membership elects Board and Senate members, and all other policy and decision-making bodies.

In “type C” national arrangements, there exists a clear formal line of demarcation, therefore, between “science-driven” research supported by DFG funding, MPG institutes funding, and policy-driven research promoted through government departments at the federal level such as the Ministry for Education for Education Research (BMBF) and regional (Lander) level. Scientific excellence and innovation are the governing criteria guiding DFG funding decisions backed up by a peer review system of elected review committees. However, as the DFG website itself asserts in its opening pages, “This does not mean that DFG is an ‘ivory tower’ institution turning a blind eye on the needs of society”. In other words, scientists do not live in a vacuum and, of course, the continual dialogue between science and government (e.g. informal social networking between government and academia) present in varying degrees in “types A & B” also exist in Germany. Many priority programmes emerging from the scientific communities and decided upon by the DFG Senate address similar research topic priorities to those identified and launched under “type A&B” national funding arrangements. The significant distinguishing characteristic of DFG priority programmes, however, lies in the extensive preparatory process for identifying priorities and developing thematic topics through the relevant scientific communities.

In the development of DFG “Schwerpunktprogrammes”, priority programmes, two main phases of preparation take place. In the normal responsive mode, research groups submit proposals for programmes to DFG; in most cases this

first phase involves consultation with DFG professional staff. Normally, DFG will then fund one or two meetings of the respective research groups to help develop the programme proposal which often involve DFG staff attending in an advisory capacity. Each proposal is required to be fully elaborated and detailed which, inter alia, places the programme in the context of the state-of-the-art of research in the field, main research foci and objectives, international dimensions, list of potential projects within overall programme theme and interested research communities and teams. This key first phase can last from a period of six months up to two years, with the planning of the timetable and the programme proposal left entirely to the initiative and responsibility of the research groups. The second phase begins if and when the DFG Senate decides to approve the "Schwerpunktprogramme". The successful proposal forms the essential basis for the "call for proposals" and an independent Steering Committee is established to set and apply criteria for the selection of projects under the programme. Consultative procedures operate between the Steering Committee and the programme coordinator (and through him or her to the individual projects) throughout the lifetime of the programme, which is normally a six-year period.

DFG funding mechanisms have embedded within them, therefore, the benefits of the deep and multi-faceted involvement of the scientific community which has fostered long-term research collaboration across German universities and research institutes. Another funding mechanism which particularly illustrates this well is the Collaborative Research Centres programme (Sonderforschungsbereiche) which can support research collaboration between universities and institutes over a period from three to fifteen years. Priority programmes and Collaborative Research Centres account for approximately 40% of DFG funding, and equivalent percentage to that devoted to the "curiosity-driven" individual project grants programme.

The Federal Ministry for Education and Research, BMBF, plays a similar role to equivalent ministries in “type A & B” but given its federal function seeks to perform a coordinating role in mobilising the German research community towards EU Research Framework Programmes. Specific targeted programmes have stimulated SHS research fields concerned with social impacts of technology and innovation; human dimensions of environmental change/sustainable development; and measurement of social indicators/ social reporting etc. BMBF is also a federal funding partner in key social science research institutions such as Wissenschaftszentrum Berlin (WZB) and also has given priority to strengthening social science data and infrastructure facilities, in particular GESIS (German Social Science Infrastructure Services). In terms of “scientific administrative culture” there are strong similarities with “type A” national arrangements where national funding agency professional staff careers dominate with good knowledge bases and linkage with the research communities. Such expertise offers productive exchanges and consultations with the research communities in the exploration of new research ideas and directions for DFG funding.

From the perspective of the main aims of the present study, it is worthwhile to take a pause for reflection at this point. In “type C”, and “type B” to a large part, national funding arrangements provide established, career-based research institute structures with a substantial degree of self-governance and agenda-setting responsibility for their research staff (and in many cases with resources for development of international cooperation). It can be seen clearly that the challenge for the 6FP/ERA will be to make the new instruments both attractive and flexible enough to engage this significant section of the SHS research communities. (Section 5 below will consider this point further).

## **Types D & E**

Moving from “types A-C” to “types D & E” national funding arrangements involves crossing a threshold in terms of the size of SHS research communities and the scale of resources devoted to SHS research. Research communities are smaller, and more dispersed for various historical reasons, and there are regional differences in some countries regarding how research funding arrangements operate. Most elements of the “type A-C” national arrangements can be identified in various combinations. Consequently, the main concern here will be to highlight innovative mechanisms that have been introduced.

In turning firstly to “type D” national arrangements, a word of explanation should perhaps be given as to why Spain has been grouped in “type D” rather than “type B”. It can be argued that the Consejo Superior de Investigaciones Científicas (CSIC) is similar to CNRS (France) and CNR (Italy) as a major national funding body with a large research institute structure. While this is certainly true, the number of institutes in SHS fields, particularly the social sciences, is much smaller. Hence, Spain has been placed in “type D” on the grounds of the key characteristic of the scale of research resources allocated to SHS. Having said this, however, there have been recent government initiatives to increase funding in SHS fields.

In both Spain and Portugal there have been important restructuring innovations in national funding arrangements through the creation of central agencies to bring about greater planning and coordination of national and regional science and technology development (including socio-economic research) and national participation in EU and other international programmes. These bodies are, respectively, the Interministerial Commission for Science and Technology/Office for Science and Technology (CICYT/OCYT) in Spain, and the Foundation for Science and Technology, and Institute for International Cooperation

in Science and Technology (ICCTI) in Portugal. Given the “type D” key characteristic of small and quite dispersed SHS research communities, it is an important concern to foster mechanisms to create greater critical mass in project/programme development. In 1995, the Portuguese Ministry for Science and Technology undertook an international evaluation across several disciplinary fields (including SHS) examining the research programmes and activities of both university and non-university research institutes. The purpose and outcome led to some rationalisation through the consolidation of smaller units and the creation of critical mass in some priority areas. Evaluation processes of this nature (with international membership of review panels) may become a more widely used mechanism in “type D” national funding arrangements in future.

Within “Type D” some innovative schemes have been developed to provide “start-up” grants to SHS researchers to enable them to undertake preparatory work for future EU/FP proposals (e.g. in Austria through BMBWK). Also, there is a tendency for Ministries of Science and Research to be the principal instigators of targeted research programmes rather than research councils (and their equivalents) which largely function in the responsive mode (“curiosity-driven research”). But there are important exceptions to this general tendency e.g. in Belgium where the French Community “research council”, FNRS, operates “Actions de Recherche Concertees (ARCs) to strengthen critical mass in key priority fields.

“Type E” national arrangements have been created as a fifth category in order to identify those countries where there has been an absence of national programmes. In both Greece and Ireland, of course, SHS research is funded through university funds and government ministries support various centres to conduct research in support of social policy development etc., but on a limited scale. EU project support has become, in fact, the major vehicle in defining priorities for project development in the SHS research communities. In

the Republic of Ireland, there has been established recently an Irish Research Council for the Humanities and Social Sciences. In 2002, it has planned to launch a research project grant scheme to strengthen national critical mass in these fields particularly in the university sector. This initiative can be seen as tackling the specific need to strengthen national research capacity through a complementary funding mechanism to EU/FP funding.

### **Central - Eastern European EU Candidate Countries**

None of the above five “types” of national funding arrangements can be used to describe those prevailing currently in Central- Eastern European (CEE) EU candidate countries. The impacts and consequences of the post-1989 complex interplay between private and public funding of research continue to be realised, and they differ in the respective countries. Generally speaking, with an acknowledged risk of oversimplification, it can be said that from the early 1990s new institutions funded by private resources (mainly from the United States) provided new stimuli to develop SHS fields, particularly the social sciences, with an emphasis on interdisciplinary approaches, and importantly, offered employment opportunities for young researchers. Such institutional investments in social science were driven by the push for democratic reforms. By the mid-1990s, private investment was shifting towards the creation of teaching institutions to produce graduates with the commensurate skills required by the new economies and labour markets.

In parallel, in the publicly-funded sector, the Academies of Sciences lost between one-third and one-half of their research personnel, and in most countries, no longer held a privileged advisory role in science and research policy. In the universities, where financial resources were also severely constrained, salaries deteriorated and many SHS

researchers left the profession for other employment (e.g. market research) or, of necessity, took on other (non-academic) work to supplement their income. In fact, there was also some degree of movement of research personnel from the Academies and universities to the new private universities to work as lecturers; and émigrés returning home. All in all, this recent period of great flux and structural change has seen substantial development of SHS disciplines and curricula, the introduction of new theoretical and methodological approaches, but also a great deal of fragmentation of the research communities into smaller and multiple units.

Against the above turbulent background, the new national research funding arrangements have been taking shape. Although the Academies of Sciences are still an important presence in all countries, except Estonia, their reform has meant that they no longer generally dominate national research resources. In many CEE/EU candidate countries there have been established new grant-giving bodies, normally within Ministries of Science, which distribute funds amongst universities on a competitive basis. For the future, these bodies might be seen as nascent research councils, and hence “type A or D” may emerge. But, it is too early yet to judge.

Some most valuable insights on the role that EU Research Framework Programmes were having on re-shaping the research agenda were forthcoming at the recent Conference on “The State of Three Social Science Disciplines in Central and Eastern Europe” held at the Collegium Budapest, on 23-26 January 2002 (funded as an EU/FP5 accompanying measure). While the principal purpose of the conference was to take an overview of the recent development of economics, political science and sociology in CEE/EU accession countries with particular emphasis on research, many presentations and session debates touched upon new research agenda-building relating to EU issues and its potential impact upon the national funding arrangements.

Two views tended to mix into an unresolved dialogue over whether there was a danger of a second “colonisation” of SHS fields and research agenda by “EU-entry” priority themes and issues, following the first impact of US funds, or a greater opportunity to re-shape the agenda to address broader major issues affecting the region. There was a clear consensus that participation in EU/FP projects so far, and the prospects for its strengthening in the 6FP/ERA had boosted cross-national research projects, and in some countries, such as the Czech Republic, had led to more national resources being allocated to research. But, as Professor Pal Tamas observed in an opening “key note” address at the Conference, “We are increasingly getting the grants but we do not yet have enough influence on the setting and content of the research agenda”. The response to this dilemma on the part of the new grant-giving bodies in CEE states may be to simply shift pragmatically their research agenda to EU 6FP/ERA thematic priorities. This appears to be the case, and it is arguably easier to achieve, in those countries where the SHS research communities are smaller (e.g. Slovenia), compared with countries with much larger research communities (e.g. Poland). However, the wholesale adoption of an EU-determined research agenda may not produce real dividends in the long-term if it leads to the “withering away” of research areas of national strength (e.g. in humanities fields which have a richness and depth of knowledge rooted in the recent and past diverse historical experiences of the region).

Certainly, it can be said also that the manner in which national funding arrangements reward successful researchers will be important to the development of future research capacity. For example, at present, in the Czech Republic if a university-based researcher is successful in gaining a project grant from the Czech grant giving agency, the Ministry of Science and Research can then ‘buy out’ his/her time with replacement teaching, whereas in Hungary, if a university researcher is successful with the grant agency for social sciences, OTKA, he/she will have to continue with

teaching commitments while undertaking the research project. Such disparities will play a part in the respective pace of the development of SHS research communities in EU/CEE candidate countries and their effective participation in the 6FP/ERA.

Before leaving this section, it is pertinent to note some general trends at play in all “types” of national arrangements. Socio-economic research addressing sectoral policy requirements is common to all “types”, with government ministries commissioning research across a broad field from economic and social policy to defence. In many cases such commissioning is undertaken in collaboration with research councils. For example, the French Ministry for Defence through the auspices of the CNRS has recently announced a new research programme on “The Soldier in Europe/Relations between the Military and Society”, including the scope for comparative research with other European country partners. This latter point on comparative research illustrates another general trend that nationally funded projects now involve a greater level of internationalisation which extend beyond the boundaries of traditional bi-lateral agreements. Such internationalisation has been also present and growing in peer review systems for many years; in the case of Austria, for instance, the research council, FWF, operates solely international peer review and requires applications to be written in the English language.

Academies of Sciences in current EU member states have not been focussed upon in discussing the above five “types” of national funding arrangements but their presence and role has been taken as implicitly understood. They do not constitute major funding agencies as such, but the importance of their function in marshalling scientific expert advice and their support for individual scholarship in SHS fields is a significant one. Similarly, the role of national banks and bank foundations are not mentioned here but they do

play an important funding role in some countries (e.g. Austria and Sweden).

Finally, a closing reference should be made to an innovative scheme launched in 2000 by the European Science Foundation Standing Committee for the Social Sciences entitled "Collaborative Research Projects in the Social Sciences" (ECRP). The ECRP scheme has been joined through the signing of a protocol by research councils/national funding agencies in all current EU member states. The scheme operates on the responsive mode (curiosity-driven research) allowing a group of researchers from at least three European countries to submit a common research proposal that is assessed and reviewed simultaneously by research councils in their respective countries. A three-year pilot phase is underway with closing dates of 1<sup>st</sup> June 2001, 2002 and 2003. A key characteristic of the scheme is that ECRP proposals compete with national project proposals in the respective councils, with no specific funding allocation preserved for them. With this pilot scheme, therefore, a further indication is provided of the trend towards the internationalisation of national funding arrangements.

### **3. Identification of Clusters of National Thematic Priority Programmes in SHS Research Across EU Member States**

In this section an overview is taken of “national programmes” that fall within the description of “targeted research programmes” covering both basic and strategic research issues. Recalling the previous section, “targeted research programmes” (initiative mode funding) are those where a specific budget is allocated for a limited number of years and “calls for proposals” are made which lead to either a set of “free-standing” projects being funded, or a more integrated set of projects funded under the direction of a programme director/coordinator. It has been shown above that “targeted research programmes” as funding instruments in national arrangements do not operate in some EU member states.

The implications of this fact for the definition of “national programmes” and their scope for coordination and opening-up under 6FP/ERA mechanisms will be assessed in section 4 below. Certainly, attention will need to be given to avoiding the creation of a “North-South divide” in such coordination efforts because it is primarily the case that targeted SHS research programmes are not present in Southern European countries ( i.e. Greece, Portugal and Spain). As targeted research programmes are important national funding mechanisms in Norway and Switzerland, these two non-EU states have been included in the clusters.

Another general observation is that the duration and lifespan (start and finish dates) of targeted research programmes differ from case to case. In listing the programmes below, each cluster is ordered by country/organisation in relation to their remaining lifespan (i.e. new programme first, concluding programme last). The sizes of their budgets also vary considerably but this is not taken account of here where the essential concern is to identify thematic clusters.

The clustering of targeted programmes has been guided by the core issues in socio-economic research listed in section

1 above, but with a view to their potential connection and relevance to 6FP/ERA thematic priority 7 (Citizens and Governance in a Knowledge-based Society) and socio-economic aspects of the other 6FP themes. In relation to theme 7, the connecting sub-themes are as follows: - Citizens and Governance; citizenship; democracy, legitimacy; EU integration and enlargement; political and social institutions; new forms of governance; cultural and ethnic diversity; security. Knowledge production, transmission and utilisation. Knowledge based Economy/Society: quality of life; social cohesion; labour markets; life-long learning; sustainable development; regional and national level transition processes.

## **Cluster 1** **Economic Performance/Competitiveness**

Understanding the Evolving Macro-Economy,  
Management Initiatives,  
Evolution of Business Knowledge.  
> (Economic and Social Research Council, UK)<

Finnish Companies and the Challenge of Globalisation,  
Economic Crisis of the 1990s; Reasons, Events and  
Consequences.  
Efficient Design of Financial Markets and Institutions,  
Regulation and Restructuring of Labour between  
Globalisation and Decentralisation,  
Industrial Economies and Input Markets,  
Interdisciplinary Entrepreneurship Research.  
>(DFG Schwerpunktprogrammes, Germany)<

Dynamic Processes in the Economy,  
Industrial Economics,  
The Firm's Organisation and System of Incentives,  
Globalisation – New International Conditions for the life of  
States, Organisations, Enterprises and Individuals,

>(Danish Social Science Research Council, plus Danish Humanities Research Council on Globalisation programme)<

Economy and Taxation,  
Trade, Industry, Finance and the Market.  
>(Norwegian Research Council)<

**6FP connecting themes** = knowledge economy;  
entrepreneurial activities; transformation of economic institutions; economic development.

## **Cluster 2** **Democracy/Governance**

Shifts in Governance: Problems of Legitimacy and Accountability.  
>(Netherlands Research Council, NOW)<

Governance and Citizenship: Transformation of Modern Swedish Society.  
>(Swedish Research Council)<  
New Orientations for Democracy in Europe.>(Ministry for Science and Culture, BMBWK, Austria)<

Italy in Europe: Governance, Politics and Socio-Economic Development.  
>(Italian Research Council, CNR, Italy)<

Future Governance,  
Devolution and Constitutional Change,  
Democracy and Participation,  
One Europe or Several?  
>(Economic and Social Research Council, UK)<

Democracy, Institutional Development and Political Governance.

>(Danish Social Science Research Council)<

European Union Governance.

>(DFG Scherppunktprogramme, Germany)<

Europeanisation of the National State (ARENA).

>(Norwegian Research Council)<

Switzerland – Towards the Future.

>(Swiss National Science Foundation)<

**6FP connecting themes** = Citizens and Governance: new forms of governance; legitimacy; EU integration.

### **Cluster 3**

#### **Environment/Human Behaviour**

Sustainable Development Policy.

>(Office for Scientific, Technical and Cultural Affairs, OSTC, Belgium)

Sustainable Technologies,  
Environment and Human Behaviour,  
Inland Surface Transport.

>(Economic and Social Research Council, UK)<

Environment – Interdisciplinary Research programme (PIR).

>(National Centre for Scientific Research, CNRS, France)<

Spaces of Nature and Culture,

Environment and Health.

>(Academy of Finland)<

Social and Economic Aspects of Sustainable Development.

>(Federal Ministry for Research, BMBF, Germany)<

Global Changes in the Environment: Socio and Behavioural Scientific Dimension.

>(DFG Schwerpunktprogramme, Germany)<

Transport and Environment: Interactions Swiss.

>(Swiss National Science Foundation)<

**6FP connecting themes** = Sustainable development; global change and ecosystems.

#### **Cluster 4** **Health/Living Conditions**

Priorities for Public Health Systems.

>(Italian Research Council, CNR, Italy)<

Ageing.

>(Academy of Finland)<

Growing Older: Extending Quality Life,  
Innovative Health Technologies,  
Eating, Food and Health,  
Cultures of Consumption.

>(Economic and Social Research Council, UK)<

Health Definitions and Health Development in Society.

>(Swedish Council for Working Life and Social Research)<

Housing and Living Conditions,  
Urban Development.

>(Norwegian Research Council)<

Cities and Urban Life.

>(Ministry for Research, France)<

Cities, Competitiveness and Cohesion.

>(Economic and Social Research Council, UK)<

**6FP connecting themes** = improved quality of life; food quality and safety; social and territorial cohesion.

## **Cluster 5** **Knowledge and Learning**

Learning and the Acquisition of Knowledge.

>(Swedish Research Council)<

Information Processing in a Social Context,  
Reading, Literacy and the Media,  
Net-based Knowledge Communication in Groups.

>(DFG Schwerpunktprogrammes, Germany)<

Teaching and Learning,  
People at the Centre of Communications and Information  
Technology,

E-Society.

>(Economic and Social Research Council, UK)<

Education and Training (PIREF)

>(Ministry for Research, France)<

New Technology, Writing and Cognition.

>(CNRS, France)<

Life as Learning.

>(Academy of Finland)<

Knowledge in Society,  
Power and Knowledge in Modern Societies.

>(Danish Social Sciences Research Council, Danish Humanities Research Council)<

Cognition Research,  
Society and ICT,  
Education, Labour and Market Economy.  
>(Netherlands Research Council, NOW)<

Education, Competence and Wealth Creation,  
Knowledge Development in Professional Education and Practice.  
>(Norwegian Research Council)<

Formation and Employment.  
>(Swiss National Science Foundation)<

**6FP connecting themes** = Knowledge production, transmission and utilisation; knowledge society; life-long learning; access to education and training; role of the media.

## **Cluster 6** **Multi-Ethnic Societies/Cultural Diversity/Identity**

Terrains, Techniques, Theories (First Call = Identity)  
>(Ministry for Research, France)<

Marginalisation, Inequality and Ethnic Relations in Finland.  
>(Academy of Finland)<

The Inclusive Society.  
(Danish Humanities Research Council)<

Transnational Communities.  
>(Economic and Social Research Council, UK)<

Discrimination at Work and in Everyday Life.  
>(Swedish Council for Working Life and Social Research)<

Xenophobia, Migration and Identity.  
>(Ministry for Science and Culture, BMBWK, Austria)

International Migration and Ethnic Relations.  
>(Norwegian Research Council)<

Migration and Intercultural Relations.  
>(Swiss National Science Foundation)<

**6FP connecting themes** = citizenship and cultural identities;  
tolerance; racism and xenophobia; mobility; security.

## **Cluster 7** **Welfare State/Social Cohesion**

Social Cohesion.  
(Office for Scientific, Technical and Cultural Affairs, OSTC,  
Belgium)<  
Social Cohesion.  
(Netherlands Research Council, NOW)<

Future of Work,  
Youth, Citizenship and Social Change.  
>(Economic and Social Research Council, UK)<

Research on Aspects of the Welfare State.  
>(Danish Social Science Research Council)<

Social Capital and Networks of Trust.  
>(Academy of Finland)<

Measuring Social, Economic and Political Parameters.  
>(Italian Research Council, CNR Strategic Project, Italy)<

Citizens and the Welfare State,  
Family and Working Life.  
>(Swedish Council for Working Life and Social Research)<

Welfare and Society.  
>(Norwegian Research Council)<

Social Integration and Social Exclusion,  
Future Problems of the Welfare State.  
>(Swiss National Science Foundation)<

**6FP connecting themes** = social cohesion; change to work  
and employment; intergenerational change and social  
networks; varieties of social models in Europe.

## **Cluster 8** **Science/Technology/Innovation**

Ethics, Research and Policy.  
>(Netherlands Research Council, NOW)<

Science in Society.  
>(Economic and Social Research Council, UK)

Terrains, Techniques, Theories (First Call = Approaches to  
Complexity).  
>(Ministry for Research, France)<

Public Understanding of Science.

>(Ministry of Science and Culture, BMBWK, Austria)

Ethical, Legal and Social Aspects of Biotechnology.

>(Norwegian Research Council)<

Studies on Science and Science Policy.

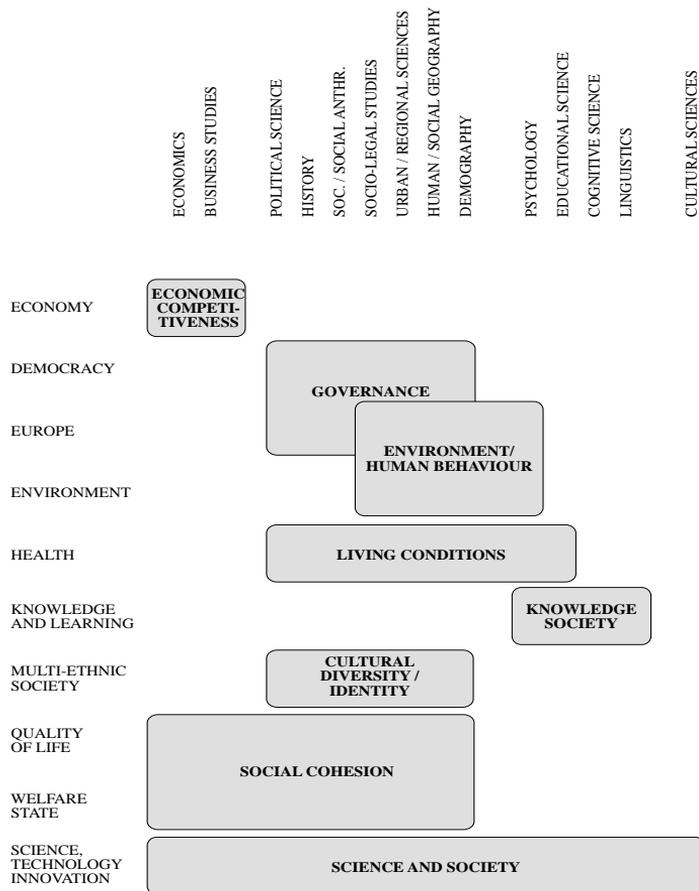
>(Academy of Finland)<

**6FP connecting themes** = Science and Society; ethical values; communication of uncertainty and risk; scientific expertise; science and government.

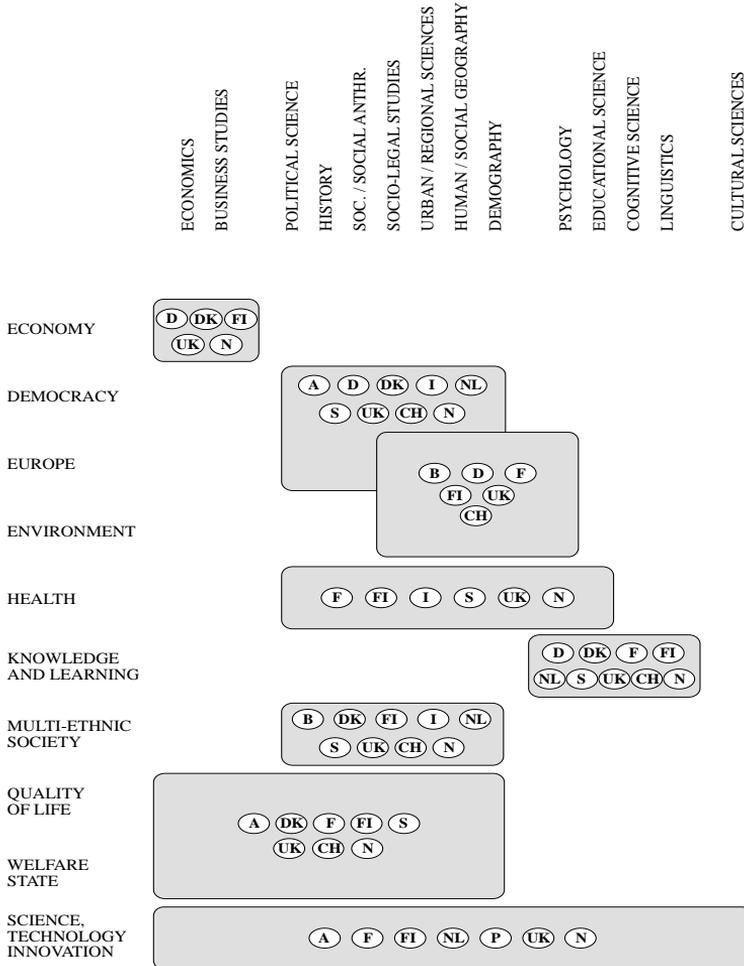
The above listing of clusters of thematic targeted programmes cannot claim to be comprehensive. Its purpose is to provide a reasonable overview of the coverage of current programmes in relation to 6FP thematic priorities. By way of illustration, **Diagrams 1 and 2** (below) show respectively the clusters of national targeted research programmes as they connect to 6FP themes, and those European countries in each cluster. In the diagrams, the vertical axis refers to the ten core issues in socio-economic research (section 1 above), and the horizontal axis indicates the disciplinary orientations of the programmes

It can be concluded that, in principle, there exists much scope for productive synergy between targeted research programmes in several countries and the 6FP/ERA thematic priority programmes and new instruments and mechanisms. In the next two sections, we turn to the key questions of how such synergy might be realised in practice.

# Diagram 1 Clusters of National Targeted Research Programmes Addressing 6FP Thematic Priorities (By Topic)



## Diagram 2 Clusters of National Targeted Research Programmes Addressing 6FP Thematic Priorities (By Country)



#### **4. Towards a definition of “national programmes” in SHS research and potential ways and means for their co-ordination in the European Research Area**

In the introductory remarks to this paper, the term “national programme” was defined in both its broadest and narrowest definitions. The broadest definition was the combined research resources (the sum of the various parts) of SHS national funding arrangements. The narrowest definition was taken to be the identification of “targeted research programmes”. The previous section has shown that there exists an optimum number of such programmes which address key 6FP thematic priorities and, hence, hold potential for coordination within the context of building the European Research Area (ERA). A practical approach should be, therefore, to seek some coordination between a minimum of three and, say, a maximum of eight targeted programmes in selected clusters. The ways and means for achieving some initial coordination will now be explored.

At the outset, however, it is necessary that this narrow definition of “national programmes” be adjusted to a working definition that is equitable to those EU member states that do not operate targeted research programmes within their national funding arrangements. On the basis of the overview of current targeted research programmes in section 3 above, five EU member states have fallen into this category (Greece, Ireland, Luxembourg, Portugal and Spain). It is suggested that these countries should be given the opportunity to propose “functional equivalents” which reflect their differing national funding arrangements and institutional landscapes. These functional equivalents should be a national research institute team and/or a major research project teams (funded under a responsive mode grant scheme) working in the fields of the thematic topic clusters. Several major research institutes with critical mass tackling

the above identified topic clusters are present in these countries, for example: National Centre for Social Research (Greece); Economic and Social Research Institute (Ireland); CEPS/INSTEAD (Luxembourg); Instituto Superior de Ciencia do Trabalho e da Empresa, ISCTE (Portugal); and Instituto Juan March Centro Estudios Avanzados en Ciencias Sociales (Spain). This “functional equivalent” approach might also be applied in the case EU candidate countries.

In the light of the various trends towards the internationalisation of research and other factors, there will certainly be strong motivation on the part of national funding agencies to make the ERA instruments work effectively in the coordination and opening-up of national research programmes. For several years, there have been efforts made to achieve greater coordination between national funding agencies in the social sciences and humanities with their own resources. Reference has already been made above to the work of the European Science Foundation in this respect. There have also been important European regional initiatives to improve coordination between national funding agencies concerning their research strategies and policies. The most well-known and developed of such coordination efforts is the cooperation between Nordic research councils, known as NOS-S in the social sciences, and NOS-H in the humanities. Such cooperation in the Nordic framework has been extended over the years particularly including links with the UK Economic and Social Research Council and the Netherlands Research Council. For example, a programme of workshops funded by NOS-S councils and UK/ESRC addressed mutual strategies on science policy research and the public understanding of science. In October 2001 the Nordic Research Councils convened a workshop to discuss the scope for cooperation between their research programmes in preparation for the ERA. In some cases also, bilateral agreements have been extended to trilateral arrangements to exchange research personnel between programmes/projects. In recent years, in many countries the development of new national research

programmes has often involved other European experts at the planning stage, as well as later with scientific steering and evaluation. So clearly, the 6FP/ERA initiative to coordinate and open-up national programmes (to a greater level of European participation) both follows and builds upon considerable initial efforts on the part of national funding agencies.

But, of course, a key question must also be as follows:- "What will be the motivation for researchers to engage themselves in the process of coordination and opening-up of national programmes?" Most researchers involved in these programmes will reply, of course, that they want less "process" (i.e. administration) and more freedom to pursue their new research orientations. At this point, it is crucial to return to the important distinction made between the two models of thematic priority programmes (section 2 above) i.e. those targeted research programmes which are a range of free-standing research projects addressing a common theme, and those which comprise an integrated set of projects with a national director/coordinator and more structured scientific steering. In the first model the question arises of who will take responsibility for the coordination efforts in the framework of ERA. In the second model, programme directors are often over-burdened and will not find attractive another layer of coordination if it implies heavier management responsibilities. Given that the first model programmes are an aggregate of projects based in several institutions, one responsible research contact point will need to be identified in order to manage the EU funds and hence act as a legitimate basis for the ERA level coordination of project activities (self-nominated or negotiated via the national programme funding agency?). In both models, the research contact persons and the programme directors respectively will need to be convinced that the self-management aspects of the new 6FP/ERA instruments will allow them considerable freedom to distribute the coordination funds between programme partners and to delegate management responsibilities. At

present, there exists quite an information gap to be filled in getting across the new flexibility of the management and accountability requirements of the 6FP/ERA instruments that will require a major dissemination effort. Greater self-management and flexibility, however, can be expected to be welcomed by social and human scientists who have considerable accumulated experience of managing national and European research networking and projects with limited resources and administrative support!

Other attractive incentives for researchers, therefore, will be key to the success of the ERA. Essentially, the coordination of targeted national programmes is the coordination of researchers and their institutes/departments, not of national funding agencies. Clusters of targeted national programmes should, therefore, have new forward-looking research elements funded as the added-value 6FP/ERA range of activities across the programmes. Given the point made earlier (section 1) that such programmes have a long negotiation process before being launched, and hence run the danger of addressing issues of the past rather than the future, this “prospective” component should be the main focus of the ERA layer of activities. Innovative researchers will not be interested in rehashing earlier work in a comparative framework. It is suggested that the challenges and problems of “uncertainty and risk (particularly relating to policy options)” might be focussing points for the thematic topic clusters to tackle within the ERA context.

A valuable practical step for the European Commission to take in preparation for SHS research coordination activities might be to convene consultative meetings of national programme directors/coordinators (in the above clusters) to seek their views on such “prospective” foci for collaborative research across the programmes. From the analysis in section 3, the clusters on ‘Governance’, ‘Knowledge and Learning’ and ‘Welfare State/Social Cohesion’ would appear to be the most promising given the range of new programmes launched. Coordinators from

completed/concluding programmes should also be invited because their experience would be particularly valuable in pointing to new directions (and pitfalls to be avoided!). As a result, workshops might be organised to which leading representatives from important research institutions or research groups from other countries which do not have specific programmes would also be invited.

Pro-active measures of this nature may be essential to bring SHS research institutions to the level of preparation for ERA new instruments that has already been reached in fields of science such as biotechnology and aeronautics that are addressed in other 6FP thematic priorities. Normally, “accompanying measures” could perform this function but their preparation timeframe would be too long in order to meet the planned schedule for the first deadline for proposals under 6FP thematic priorities.

A recent example of the value of EU/ FP accompanying measures in this respect has been the “Learningspace” initiative which brought together several teams of national programmes and projects on education and learning (including ICT impacts in formal and informal learning environments) on the initiative of the respective “Teaching and Learning” and “Life as Learning” national research programmes in the United Kingdom and Finland.

The promotion of such fora could be crucial for the effective participation of SHS fields in ERA through discussion of the appropriate choices of 6FP new instruments for applications to be prepared for the first deadlines. Indeed, a more structured EU policy towards the social and human sciences in the ERA would seem to be required and further steps in this direction are considered in the next section.

## **5. Enhancing the effective participation of SHS research from the Fifth to the Sixth Research Framework Programme: the challenge of the new instruments**

EU Research Framework Programmes have clearly provided many new opportunities for networks and projects and hence have had a significant impact on “national research communities” across SHS disciplines, particularly the social sciences. New configurations of research collaborations and research agenda have developed often involving multiple partners from university institutes/departments, non-university institutes (both public and private), ‘user’ groups, non-governmental organisations etc. Importantly, new research opportunities have been created, particularly for young researchers. Emphasis has been placed here deliberately on the term “national research communities” because, in reality, it is these communities that constitute any wider definition of “national programmes” than the narrower working definition used in the previous sections.

6FP/ERA new instruments are aimed to have a “multiplier effect” through bringing about greater synergy between national and EU research programmes. In doing so, there will be the need to bear in mind the varying degrees of overlap in EU member states between research personnel involved in “national research programmes” and EU networks and RTD projects. Furthermore, 6FP/ERA new instruments are perceived generally as not designed for SHS fields, but for the needs of the “big sciences”. The major challenge for the creation of the European Research Area in SHS fields will be, therefore, to recruit and engage high quality researchers from across these diverse national research communities who have acquired skills and experience of research management and fund-raising at national *and* European level. Hence, there is a clear need for an integrated EU policy on SHS in the European Research

Area which will require a more structured dialogue with key representatives of research communities as well as with national funding agencies.

Turning firstly to the research communities, there has been a substantial growth of professional research associations on the European level that constantly link national research expertise through organising conferences, joint research projects and working sessions on methodological training and new data modelling techniques etc. The European Commission could valuably establish consultative mechanisms with leading professional associations in SHS fields. Given the ERA priority of creating critical mass and synergy between national and European level research, priority should be given perhaps to consultations with those professional associations that have an institutional (institute or university department) membership base rather than individual membership. An initial step might be to focus on key professional associations in the major social science disciplines (i.e. European Consortium for Political Research, ECPR; European Consortium for Sociological Research, ECSR; and the European Economics Association).

Research infrastructures are another priority issue within 6FP/ERA for greater coordination between EU member states. A further important “consultative partner” should be the “Consortium for European Social Science Data Archives, CESSDA”. CESSDA member institutions comprise the major socio-economic data providers in EU member states, where the results of publicly-funded research are deposited and substantial work is undertaken on the preparation of survey and administrative data for secondary analysis at the European and international level. Furthermore, CESSDA members in many countries have established links with national statistical offices and national ministries to help facilitate access to data for research purposes related to policy options development. Creating a firm link between policy-orientated research needs and best available data should be a key concern of the ERA in SHS fields and CESSDA could play a valuable advisory role in this respect.

Another important feature on the SHS landscape in many EU countries are Institutes for Advanced Studies (e.g. Netherlands Institute for Advanced Studies, NIAS; Swedish Collegium for Advanced Studies in the Social Sciences, SCASSS; Wissenschaftskolleg Berlin, Germany). Similar Advanced Institutes also exist in Switzerland (Collegium Helveticum, Zurich) and Hungary (Collegium Budapest) and are a growing phenomenon which provide a scarce resource of bringing senior and junior researchers for short stays for research discourse focussed often in topic groups, e.g. on science studies of knowledge production. Although national institutes, their research communities are international and their established networks could provide further valuable consultative advice on building the ERA. Specifically, these institutes have been a meeting place between social sciences and the humanities (and in some case the natural sciences) and in recent years have played an innovative role in integrating Central eastern European young researchers into networking activities and project development.

But, most crucially, the European Commission and national research agencies (particularly in “type B and C” funding arrangements) need to work together to create a dialogue with institute directors whose research programmes relate to 6FP thematic priorities. Perhaps, this could be started in a pragmatic way on the basis of the priority programme clusters identified in section 3 above. Also, those research institutes that are funded largely through national ministries (concerned with sectoral policies) could be brought together in “consultative networks” by the Commission. It could be argued that the European Commission is uniquely placed to do so now because of the coordination needs of the ERA. Furthermore, this is particularly pertinent because policy option advice developed by researchers in these institutes (addressing, say, social policy, employment policy, health policy) is affected increasingly by European regulatory policy requirements etc.

Such national research institutes operate some professional networking and exchange (i.e. personnel and joint publications) between themselves generally outside of EU funding. It is essential to bring this professional networking between institutes into the framework of ERA instruments in order to strengthen the socio-economic contribution to 6FP thematic priority area. As a pilot study, it is suggested to convene the directors of national research institutes addressing social and welfare policies, given that the European social dimension will be a significant concern in the forthcoming phase of European integration as the Enlargement process proceeds. National research institutes in this field are present in most EU member states with research programmes highly relevant to 6FP/ERA priorities, and hence a pilot effort to provide a European framework for research policy debate would be both timely and valuable.

The dialogue between the European Commission and national funding agencies will need to focus primarily in future months on how to engage major national research institute teams in the ERA. Both new instruments, “networks of excellence” and “integrated research projects” should be embraced by them, and importantly, but also by successful configurations of researchers funded by earlier EU Framework Programmes, while also leaving scope for new entrants. It would seem that given these ambitious requirements, the limited level of resources available for SHS fields in the 6FP, and the desire for a smaller number (but larger scale) of projects/networks to be funded, a two-stage application procedure for evaluation of applications will become necessary. Such a procedure has been adopted increasingly in national funding agencies in launching calls for national research programme project proposals.

An initial call for proposals asks firstly for a project outline to be submitted. These project outlines are then considered by a programme committee and a selected number of projects are then invited to submit a full proposal. The submitted proposals are then subject to peer review for final decision.

A most recent example of such a two-stage application procedure is the UK Economic and Social Research Council's "Priority Networks" scheme. Priority network proposals are requested that address the ESRC's thematic priority areas. The scheme allows researchers to propose a network of projects (up to ten) and to select their own national coordinator to manage the network. This scheme has features, therefore, that might be valuably adapted within both ERA new instruments. The European Commission has already moved in this direction with the request for the submission of expressions of interest (EOIs) in the new 6FP/ERA instruments – although it is stated clearly that this is a voluntary exercise that does not imply any change in existing application procedures. The forthcoming analysis of submitted EOIs should give a valuable indication of the extent to which the various diverse components of "national research communities" are attracted by the ERA instruments. Importantly also, the response from humanities researchers should be carefully examined. National funding agencies in the humanities have not generally sponsored targeted research programmes and hence topic-focussed, team based projects are less developed. European network building remains crucial in the field of the humanities and ERA instruments will need to be flexible enough to meet this continuing need.

As a final remark, it should be stated that the European Commission and national funding agencies in SHS fields need to make ERA instruments work effectively because of the fact that overall resources remain limited when compared to other sciences. Assuming the successful implementation of the European Research Area in the social and human sciences, it will remain a truism that more research resources are invested at the national level than the European level. However, in aggregate terms EU research funds in SHS fields have a significant impact in EU member states, even the larger countries. In recent years, this has led to a tendency on the part of some national funding agencies to allocate more national money to those

research institutes that gain EU funds and shift their agenda to EU priorities. While these tendencies have their merits in terms of rewarding success, they may lead to the phenomenon of “the rich getting richer” and hence limit funding opportunities for new entrants. So perhaps another guiding principle for the European Research Area should be to have trust in researchers and provide some space for the blossoming of critical and innovative approaches to tackle societal needs and problems.

JHS – June 2002

## ***Executive Summary***

The purpose of this paper has been to map out national programmes in the social and human sciences in EU member states, with some reference to other countries participating in the Framework programmes. The mapping has considered the different ways of functioning of national research funding arrangements including the thematic coverage of programmes. Five “types” of national funding arrangements are characterised which help to define the differing nature of the various “national programmes” in SHS research in relation to their potential for linkage and opening-up in the European Research Area. Emergent types of national funding arrangements in EU/CEE candidate countries are also considered.

A key emphasis is that EU funding has established important new research configurations and agenda, particularly involving collaboration between university and non-university research sectors, “user” groups and organisations, and offered new research careers particularly for younger researchers. In seeking to achieve its goals of more synergy and added-value between national and European level research, ERA policies will need to avoid a “one size fit” definition of “national programmes” in SHS fields through recognising the varying impacts of EU funding on national research constituencies, and the differing national funding arrangements and institutional landscapes in member countries.

“National programmes” that fall within the definition of “targeted research programmes” covering both basic and strategic research are examined. Eight clusters of targeted research programmes are identified which offer scope for coordination and synergy with ERA/6FP thematic priorities using the new instruments. It is suggested that three clusters, Governance, Knowledge Society and Social Cohesion would be the most promising for initial coordination

efforts given the range of new programmes launched and the optimum number of countries involved.

Pro-active measures by the European Commission in bringing together national programme directors/coordinators are recommended in order to identify valuable innovative ERA actions across these programmes. It is proposed that ERA synergy actions should have a “prospective” forward-looking element, perhaps focusing particularly on challenges and problems of uncertainty and risk in relation to formulating European policy options. The paper argues, therefore, for an integrated EU policy on SHS research in the European Research Area that will require a more structured dialogue with key representatives of research communities as well as national funding agencies.

The major challenge for the creation of the European Research Area in the social and human sciences will be to recruit and engage high quality researchers from across the various national research communities who have acquired skills and experience of research innovation (and management) at both national *and* European level. These diverse national SHS research communities constitute the real definition of “national programmes”, and hence an ERA guiding principle must be to place trust in researchers to develop critical and innovative approaches to tackle societal problems.

**Appendix:**  
**Definitions, Sources and Acknowledgements**

**(1) Definitions of key terms used in the report  
(Sections 1 & 2)**

The term “**national programme**” has been used to describe national research funding arrangements including thematic coverage of research programmes. National programmes have been described according to both “broadest” and “narrowest” definitions.

Broadest definition = the combined elements of SHS national (public) funding arrangements (the sum of the various parts) i.e. research grants and contracts from research councils, government ministries etc.

Narrowest definition= targeted research programmes which are specific calls for research proposals on defined topics and tasks with fixed allocated budgets and time duration for the programmes (funded through research councils and/or ministries).

“**Responsive mode**” funding = open grant schemes where topics are not pre-determined or specified. Research communities determine the research topic proposals to be submitted. “Curiosity-driven” research is another common term used to describe responsive mode research funding.

“**Initiative mode**” funding = calls for proposals for grants/contracts where topics are pre-determined and specified. These topic choices are made, therefore, on the “initiative” of the funding bodies. “Targeted research” is another common term used to describe initiative mode research funding.

“**Designated Research Centres**” are defined as research centres/institutes that are not permanently financed by funding bodies, but receive designated status as “research

centres” for the conduct of a specific research programme grant/contract over a fixed period of time.

## **(2) Sources and details of “Targeted Research Programmes” by country and funding institution (Section 3)**

The identification of targeted research programmes was undertaken essentially on the basis of a “Website” analysis. Further information on funding institutions and programmes can be obtained, therefore, at the websites listed below. The extent and depth of information on the respective programmes varies considerably from site to site. Basic information is given below concerning each programme on key matters such as title, start and finish dates, and budget where these are available. Where a programme has its own specific website with details of programme focus and funded projects this is also indicated for further reference.

### **Austria**

#### **Bundesministerium für Bildung, Wissenschaft und Kultur (BMBWK)**

New Orientations for Democracy in Europe (NODE-Austria)  
2002-2004, 2 million €.

[www.node-research.at](http://www.node-research.at)

Xenophobia, Migration and Culture (Fremdenfeindlichkeit)  
1995-2001.

[www.bmbwk.gv.at/start.asp?bereich=5&OID=3637&11=579  
&12=3648&13=3959](http://www.bmbwk.gv.at/start.asp?bereich=5&OID=3637&11=579&12=3648&13=3959)

Public Understanding of Science

2000-2003.

[www.bmbwk.gv.at/start.asp?bereich=5&OID=3710&11=579  
&12=3656&13=3656](http://www.bmbwk.gv.at/start.asp?bereich=5&OID=3710&11=579&12=3656&13=3656)

## **Belgium**

### **OSTC, Federal Services for Scientific, Technical and Cultural Affairs**

Sustainable Development Policy

1996-2002. 3.7million €

Social Cohesion

2000-2005. 10 million €

[www.ostc.be](http://www.ostc.be) (Search to Research Programmes department)

[www.ostc.be/belspo/ostc/geninfo/org/progrli%Fuk.stm](http://www.ostc.be/belspo/ostc/geninfo/org/progrli%Fuk.stm)

## **Denmark**

### **Danish Social Science Research Council**

Dynamic Processes in the Economy

1998-2002. 18 million DKK

The Firm's Organisation and System of Incentives

1998-2002. 22 million DKK

Industrial Economics

2000-2002. 10.5 million DKK

Globalisation – New International Conditions for the Life of States, Organisations, Enterprises and Individuals.

1998-2002. 20 million DKK  
Democracy, Institutional Development and Political  
Governance

1998-2002. 18 million DKK

Power and Knowledge in Modern Society

1998-2002. 16 million DKK

[www.forsk.dk/eng/ssf/publ/ssf-strategi98-02/summary98-02.htm](http://www.forsk.dk/eng/ssf/publ/ssf-strategi98-02/summary98-02.htm)

### **Danish Research Council for the Humanities**

The Inclusive Society

2003-2007.

[www.forsk.dk/eng/shf/publ/STPlan\\_2003\\_2007.htm](http://www.forsk.dk/eng/shf/publ/STPlan_2003_2007.htm)

### **Finland**

#### **Academy of Finland (Research Council for Culture and Society)**

Finnish Companies and the Challenge of Globalisation

2001-2004. 6 million €

Economic Crisis of the 1990s; Reasons, Events and  
Consequences

1998-2001. 4.2 million €

Spaces of Nature and Culture

2000-2004. 2 million €

Environment and Health

1998-2001. 8 million €

Ageing

2000-2002. 3.4 million €

Life as Learning  
2002-2005. 5.1 million €

Marginalisation, Inequality and Ethnic Relations in Finland  
2000-2003. 4.4 million €

Social Capital and Networks of Trust  
2003-2006. (planning stage – no budget indicated)

Studies in Science and Science Policy  
1997-2000. 3.5 million €

[www.aka.fi/index.cfm?ChangeSetNow=3](http://www.aka.fi/index.cfm?ChangeSetNow=3)

## **France**

### **Centre National de la Recherche Scientifique (CNRS)**

Environment, Life and Society (Interdisciplinary Research Programme)  
1998-2002 (latest phase of long-term programme)

[www.cnrs.fr/cw/fr/prog/progsci/evs.html](http://www.cnrs.fr/cw/fr/prog/progsci/evs.html)

New Technologies, Writing and Cognition (Interdisciplinary Research Programme)  
2002-2004 (latest call of Information, Communication and Knowledge Programme)

[www.cnrs.fr/cw/fr/prog/progsci/societedelinfo.html](http://www.cnrs.fr/cw/fr/prog/progsci/societedelinfo.html)

### **Ministere de la Recherche**

Action Concertee Incitative (ACI)

ACI Ville (Cities and Urban Life)  
1999-2002 (latest phase of long-term programme)

[www.recherche.gouv.fr/recherche/aci/villeb.htm](http://www.recherche.gouv.fr/recherche/aci/villeb.htm)

ACI Terrains, techniques, theories.  
1998-2004

[www.recherche.gouv.fr/appe/2002/ttt.htm](http://www.recherche.gouv.fr/appe/2002/ttt.htm)

Education and Training (Programme Interdisciplinaire  
Recherche Education et Formation, PIREF)

[www.recherche.gouv.fr/appe/default.htm](http://www.recherche.gouv.fr/appe/default.htm)

## **Germany**

### **Deutscher Forschungsgemeinschaft (DFG)**

Regulation and Restructuring of Labour Between  
Globalisation and Decentralisation  
1995-2002. 7.7 million €

Industrial Economies and Input Markets  
1995-2002. 3.5 million €

Interdisciplinary Entrepreneurship Research  
1998-2002. 2.4 million €

European Union Governance  
1996-2002. 7.2 million €

Global Changes in the Environment: Socio and Behavioural  
Dimensions  
1995-2002. 8.4 million €

Reading, Literacy and the Media  
1998-2002. 3.2 million €

Net-based Knowledge Communication in Groups  
200-2002. 1,6 million €

All the above “schwerpunktprogrammes” can be accessed through the DFG website with direct links to individual programme sites.

[www.dfg.de](http://www.dfg.de)

### **Federal Ministry for Education and Research (BMBF)**

Social and Economic Aspects of Sustainable Development  
[www.bmbf.de/en/2517.html](http://www.bmbf.de/en/2517.html)

## **Italy**

### **Italian Research Council (CNR)**

Italy in Europe: Governance, Politics and Socio-Economic Development

Priorities for Public Health Systems

Measuring Social, Economic and Political Parameters

The above “Attività – Progetti Strategici” can be located on the CNR site

[www.cnr.it](http://www.cnr.it)

## **The Netherlands**

### **Netherlands Organisation for Scientific Research/Social Science Research Council (MaGW)**

Shifts in Governance  
2002-2006. 5.7 million €

Cognition Research (Interdisciplinary Programme)  
2001-2006. 12.5 million €

Society and ICT  
1999-2004.

Education, Labour and Market Economy  
1997-2002.

Social Cohesion  
1996-2003

Ethics, Research and Policy  
2002-2007

[www.nwo.nl/NWOHome.nsf/pages/NWOA\\_4WRG42\\_Eng?OpenDocument](http://www.nwo.nl/NWOHome.nsf/pages/NWOA_4WRG42_Eng?OpenDocument)

## **Norway**

### **Norwegian Research Council (Culture and Society)**

Economy and Taxation  
2000-2003. 3.5 million NOK (2002 budget)

Trade, Industry, Finance and the Market  
1997-2002. 5.1 million NOK (2002)

Europeanisation of the Nation State (ARENA)  
1993-2003. 7.3 million NOK (2002)

Housing and Living Conditions  
1997-2002. 4.8 million NOK (2002)  
Urban Development  
2000-2004. 8.4 million NOK (2002)

Education, Competence and Wealth Creation  
1997-2002. 10.8 million NOK (2002)

Knowledge Development in Professional Education and  
Practice  
1999-2004. 10.4 million NOK (2002)

International Migration and Ethnic Relations  
2002-2004. 6.1 million NOK (2002)  
Welfare and Society  
1999-2008. 49 million NOK (2002)

Ethical, Legal and Social Aspects of Biotechnology  
2002-2006. 8 million NOK (2002)

[www.forskingsradet.no/omnfr/program/aktiviteter.html](http://www.forskingsradet.no/omnfr/program/aktiviteter.html)

For access to details of programmes (in Norwegian)

[www.forskingsradet.no/english/divisions/ks/index.html](http://www.forskingsradet.no/english/divisions/ks/index.html)

For summary of target areas and priorities (in English)

## **Sweden**

### **Swedish Research Council**

Governance and Citizenship: Transformation of Modern Swedish Society

2002-2004 (new phase of earlier research programme on Governance and Public Administration. 1992-2002. 90 million SEK)

<http://www.vr.se/humsam/index.asp>

Learning and Acquisition of Knowledge

2001-2003 (part of the research programme of the Committee for Educational Research. 2001-2003. 220 million SEK)

<http://www.vr.se/utbildningsvet/index.asp>

### **Swedish Council for Working Life and Social Research**

Health Definitions and Health Development in Society

Discrimination at Work and in Everyday Life

Citizens and the Welfare State

Family and Working Life

Above topics are amongst those currently being considered for new targeted research programmes within the Council's Research Strategy, 2002-2005

<http://www.fas.forskning.se/en/>

## **Switzerland**

### **Swiss National Science Foundation**

Switzerland – Towards the Future  
1996-2004. 45 million CHF

Transport and Environment: Interactions Swiss  
1995-2001. 10 million CHF

Formation and Employment  
1998-2004. 8 million CHF

Migration and Intercultural Relations  
1993-98. 8 million CHF

Social Integration and Social Exclusion  
2000-2006. 12 million CHF

Future Problems of the Welfare State  
1998-2004. 10 million CHF

Details of all above programmes can be found at the SNSF  
site

[http://www.snf.ch/en/rep/nat/nat\\_nrp.asp](http://www.snf.ch/en/rep/nat/nat_nrp.asp)

## **United Kingdom**

### **Economic and Social Research Council**

Understanding the Evolving Macro-Economy  
2000-2004

Management Initiatives  
2002-2006

Evolution of Business Knowledge  
2002-2006

Future Governance  
2000-2004

Devolution and Constitutional Change  
2001-2005

Democracy and Participation  
1999-2003

One Europe or Several?  
1999-2003

Sustainable Technologies  
2002-2006

Environment and Human Behaviour  
2002-2006

Inland Surface Transport  
1998-2001

Growing Older: Extending Quality Life  
1999-2003

Innovative Health Technologies  
2000-2004

Eating, Food and Health  
2000-2004

Cultures of Consumption  
2003-2007

Cities, Competitiveness and Cohesion  
1998-2002

Teaching and Learning  
2002-2008

People at the Centre of Communications and Information  
technology  
2000-2004

E-Society  
2002-2006

Transnational Communities  
2000-2003

Future of Work  
2000-2003  
Youth, Citizenship and Social Change  
1999-2002

Science in Society  
2001-2004

All the above ESRC research programmes have total budgets ranging between £3-5 m. Details of all programmes with direct links to programme sites via following ESRC site

[http://www.esrc.ac.uk/esrccontent/ourresearch/our\\_research  
\\_rp.asp#current](http://www.esrc.ac.uk/esrccontent/ourresearch/our_research_rp.asp#current)

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