



EC Sixth Framework ERA-NET Project  
**EUPHRESCO**  
(**EU**ropean **PH**ytosanitary **RE**search **CO**ordination)

Deliverable 2.4

Common principles guide for the establishment of  
national phytosanitary research

Date of report: 19 may 2010

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## **Context**

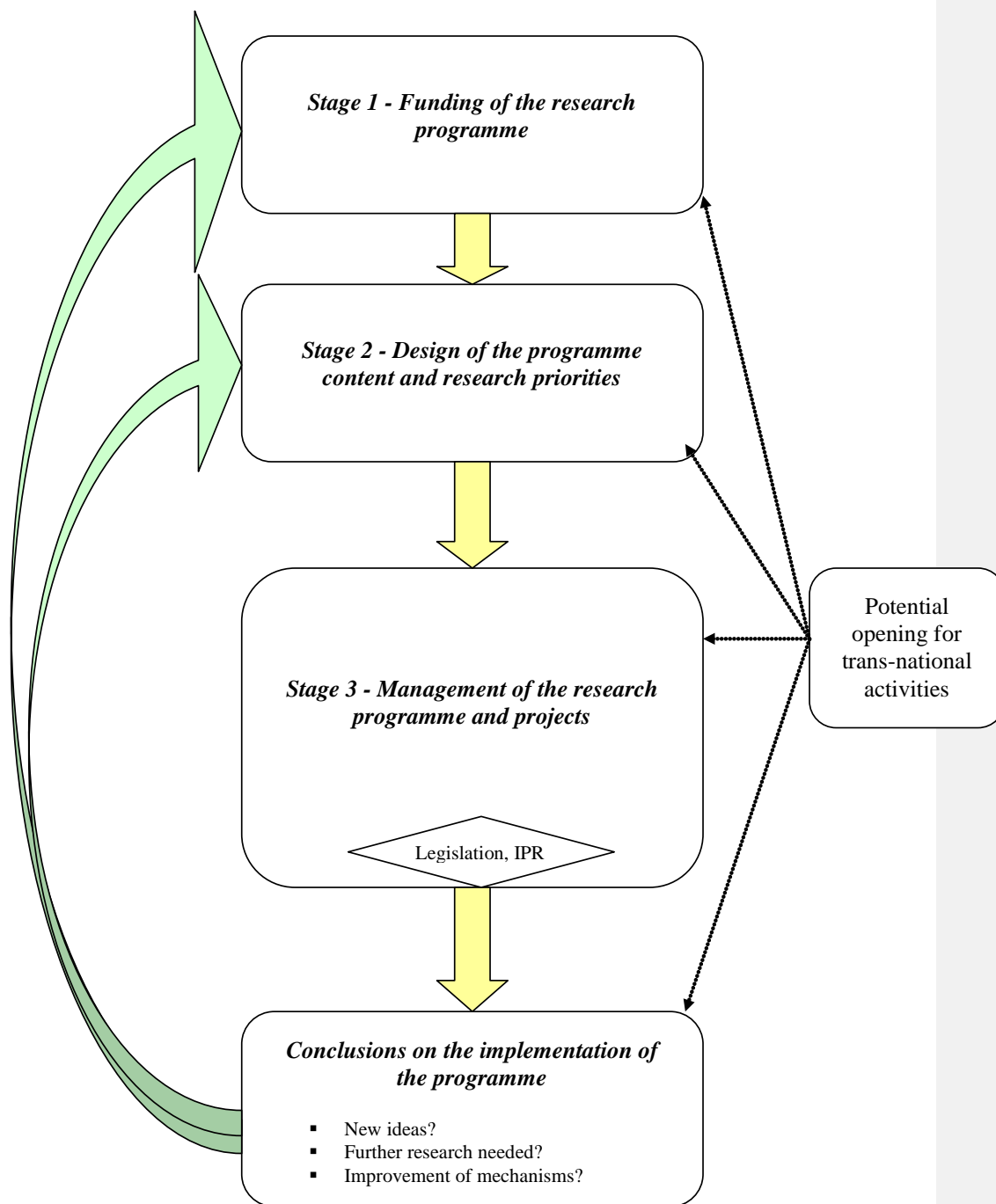
EUPHRESKO is an ERA-Net funded within the 6<sup>th</sup> Framework Programme and aims to increase cooperation and coordination of national phytosanitary research programmes at the EU level. EUPHRESKO is a network of funding organisations that already have national/regional phytosanitary research programmes. However, an additional aim of EUPHRESKO was to encourage and help facilitate the setting up of national programmes in countries where they do not currently exist. In such cases, EUPHRESKO can advise on some key issues that will help the establishment of such programmes, especially in relation to ensuring that they can best collaborate trans-nationally with other European national programmes, e.g. to ensure that barriers to trans-national collaboration of minimised (see also DL 4.1: *Evaluation of instruments, mechanisms and processes tested in EUPHRESKO pilot projects*).

The first task of EUPHRESKO was to gather information on existing programmes, including projects and budgets, existing funding systems and research management practices. This collation and analysis of this management procedures allowed to identify common principles presented in this short guide.

The main issues that have to be addressed when setting up national phytosanitary programmes can be split up into four separate areas :

- Financial aspects : funding of the research programme/projects
- Design of the programme content and of the research priorities
- Management of the research projects
- Legislation (intellectual property, patents, use of the results)

### Overall structure for setting up national phytosanitary research programmes



***Stage 1 - Funding of the research programme***

Key points to be defined:

- Identification of potential funding bodies (public and/ or private)
- Numbers of funding bodies and amount of funds available
- Type of budget and action (exceptional, annual, renewable)
- Identification of decision authority to allocate funds
- Cost model to be applied (staff, direct working costs, overheads...)
- Timescale for payments
- Justification for payments needed or not
- Duration of funding support (short term versus long term project)
- Type of research (competitive and/or non-competitive)

***Stage 2 - Design of the programme content and research priorities***

Key points to be defined:

- Priorities / difficulties faced in the phytosanitary policy that should be dealt through research
- Scope and objective of research programme (broad or restricted)
- Identification of individual / organisation in charge of programme's development (policymakers and/or researchers)
- Decision structure (government bodies, research council/agency, university, private company)

*Examples from different countries at EU levels given in EUPHRESKO DL 2.2 (Report on the Mapping and Analysis of National Phytosanitary [Quarantine / Regulated Plant Health] Research Programmes).*

***Stage 3 - Management of the research programme and projects***

Key points to be defined:

- Project initiation :
  - Design process of the research projects (top down or bottom up)
  - Process for application / call and timescale associated (open competition, expression of interest, limited competition, single tender)
  - Legal issues to publicise calls
- Application and proposal procedures
  - Requirements for applications: proposal with introduction/abstract/summary, aims/objectives, description of work, relevance, time plan, milestones, cost plan available, requested resources ...
  - Routes for submission (paper and/or electronic)
- Evaluation
  - Procedure to be defined as one step or several steps (filtering stage)
  - Evaluators to be recruited (internal, external, anonymous, specific panel, standing committee/board from the funding body)
  - Evaluation criteria to be defined (scientific quality, relevance of proposal, expected benefits, expertise of applicant, feasibility...)
- Feedback
  - Notification of the results of the evaluation process to the applicants
- Control and monitoring
  - Interim and final reports to be provided and evaluated
  - Heavy / light control procedures depending of the project's size (funds, duration)
- Legislation, Intellectual Property Rights
  - Defined by national or internal rules
  - In case of multiple partners involved in the research project, IPR issues organised through an agreement.

*Examples from different countries at EU levels given in EUPHRESKO DL 2.2 (Report on the Mapping and Analysis of National Phytosanitary [Quarantine / Regulated Plant Health] Research Programmes).*

*Potential opening for transnational activities*

General prerequisite: administrative flexibility needed

Key points to be defined:

- Preference for commonalities in processes and criteria
- Language may be a barrier. English should be accepted for call and report writing at least
- IPR issues to be solved by an agreement
- Funding mechanisms to be adequate, possibility to fund foreign research easily and quickly
- Setting up good relationships and communication between national coordinators, partners.

## **Conclusion**

This short guide presents the compilation of results obtained in WP2 which aims at gathering information from national/regional phytosanitary research programmes. This document is a starting point for discussion on common principles that can be used to establish phytosanitary programme in countries where none exists. The following conclusions could be drawn from the information collected:

- The design and content of phytosanitary programmes is mainly policy lead.
- The programme objectives were more or less the same for all the EUPHRESKO partners and rely on more or less the same activities (PRA, diagnostics, control methods for quarantine pests, etc.).
- The funding mechanisms and the cost models have to be defined.
- The management of all the different programmes is quite diverse and very various situations can be encountered (competitive, non-competitive, or both). However, we can find similarities in current procedures in the various funding organisations. The procedures involved during proposal evaluation and selection are a crucial step in the allocation of funds to the highest quality projects. A good consensus may be reached to find common evaluation criteria and management procedure.
- Some elements need to be taken into account for a potential opening of the programme to trans-national collaboration. The following aspects in particular can be highlighted (see also DL 4.1):
  - Funding cycles should have a degree of flexibility that can enable responsiveness to urgent policy problems that can be quickly addressed through trans-national research.

**Commentaire [m1]:** Please can WP4 look at this section and advise as necessary.

- National programmes should consider reducing barriers that may prevent trans-national flow of funds (e.g. legal barriers to funding researchers in other countries).
- Funding decisions should be able to be made by programme managers rather than needing to be referred to higher-level approval bodies, e.g. national boards or ministers.
- National programmes should consider being able to fund trans-national project via a range of different mechanisms, e.g. competitive (real common pot and virtual common pot) and through non-competitive mechanisms.