



EUROPEAN COMMISSION
RESEARCH DIRECTORATE-GENERAL

Directorate K - Technology foresight and socio-economic research
Unit K3 - Socio-economic knowledge base

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der nächsten
Anspruchsberechtigten
an alle Direkt.
mitglieder*

Brussels, 19 April 2002
RTD-K3/ D(2002) 515109

Dr. Hubert Heinelt
Darmstadt University of
Technology
Centre for Interdisciplinary Studies
of Technology
Hochschulstrasse 1
D - 64289 Darmstadt

H.

**Subject: Key Action "Improving the socio-economic knowledge base" - Call
identifier: IHP-KA1-2001-1**

Proposal n° SERD-2002-00102

Dear Dr. Heinelt,

I would like to inform you that the Commission services with the help of independent experts have recently evaluated the proposals submitted in the context of the above mentioned call. This includes the proposal entitled: "Developing Institutional Abilities towards sustainable Governance Arrangements" submitted by yourself.

You will find attached a copy of the evaluation summary report on your proposal (Annex).

A ranking has been made of all proposals submitted and evaluated.

A batch of the most highly ranked proposals will be invited to contract negotiations with the Commission services. The size of this batch depends on the Community funding available for supporting proposals under this call.

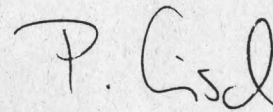
For those proposals which did not pass the evaluation threshold of 70% (in block one criterion and in total, as mentioned in the Evaluation Manual), you are reminded that they will not be retained for possible selection.

This information letter should not be regarded under any circumstances as prejudging the final Commission decision on your proposal.

I would be grateful if you could inform the other participants in this proposal of the content of this letter. For further queries, you might contact my colleague Angela Liberatore. (E-mail address: angela.liberatore@cec.eu.int).

Yours sincerely,

P.O.

A handwritten signature in dark ink, appearing to read 'P. Sors', written in a cursive style.

Andrew Sors
Head of Unit

Encl.: Evaluation Summary Report

CC.: Angela Liberatore

Evaluation Summary

Project SERD-2002-00102

Proposal Title /Acronym: **DIALOG**

Marks achieved for evaluation criteria

1. Scientific quality and innovation

MARK 3

Comments

The scientific quality is quite high and the proposal addresses an important -- if rather narrow issue in terms of this particular Key Action. The proposal makes a direct contribution to the EU through contributions to the WFD, but it is unclear how broader governance issues will be addressed, and these have to be inferred from the proposal.

The positive aspects of the proposal are the cross cutting work packages that offer some elements of an integrated project; the attempt to take an interdisciplinary approach and the relevance of the proposal to the Water Framework Directive (WFD.)

However, there are a number of concerns. The method raises some unanswered questions in the proposal as it currently stands. In particular the selection and relevance of case studies requires further explanation. Moreover, few testable hypotheses are offered which raises some methodological concerns. The reference to the work of Schmitter offering some generic design principles which could be quite helpful also introduces some doubt about confidence in the amount of thought given to the method prior to submission of the proposal.

In terms of originality, the proposal does not really move beyond the existing state of the art in a number of ways. There are some concerns about the lack of references to other existing funded framework projects, that appear to have direct or indirect relevance to the aims and objectives of this project. Since the aim is to examine sustainable governance there is some confusion in the aims and objectives that materialise in the use of modeling and the concept and application of governance -- the proposal ignores a large literature in integrated environmental assessment and therefore the link between modeling and governance is unclear. It is not sufficiently clear how the proposal will identify conditions and options for these governance arrangements, which support sustainable management of water resources.

Moreover, leaving exact hypotheses to be developed in Work Package 2 does introduce an element of risk into the research proposal. Some element of the

Work Packages are also underspecified, for example Work Package 8. On page 6 the proposal will "confront key players" but the details are left rather vague.

Overall, the proposal is relevant to the call. However the originality of the proposal raises some concerns and the methodology poses some unanswered questions.

2. Community added value and contributions to EU policies

MARK 3

Comments

The European dimension to this project proposal is very clear, and aspires to make a direct contribution to the policies at the European level, notably water management and the Water Framework Directive. These are important policies. The contribution to the Key Action is also clear and very well specified in the proposal. There is no doubt that the project will have an impact greater than its parts.

The contribution of the project to the development of the European socio-economic base – the European added value of the consortium is clear in so far as there are 12 partners drawn from four member states but the impact on the European socio-economic base is somewhat limited with a modest Europeanisation of the social science research community.

The contribution of the proposal to the actual implementation is potentially very strong, but greater thought needs to be given to the proposal in contributing to the development of the concept and application of sustainable governance in this area.

3. Economic development and S&T prospects

MARK 4

Comments

A great deal of thought has clearly been given to the exploitation of the results of this proposal and this is a strong feature of the project. The strategy appears to be very effective with consideration given to ensuring the findings can be exploited by end users in a variety of ways, including academic communities, policy makers and other stakeholders.

There are very sound dissemination strategies and the range and quantity of deliverables (23 in total) are a clear indication of a well planned approach to disseminating the project findings well beyond the partners and this is to be commended. However, there is some risk of fragmentation in the work packages that might limit the impact of the research findings. The evaluators also considered that the Advisory Group could have been more explicitly included in the dissemination strategy.

4. Resources, partnership and management**MARK 4*****Comments***

The quality of the management procedure are very well set out and look capable of delivering an effective project. The advisory group and the assurance of the quality of the project work -- through the planned academic conference and internally through the coordinator, plenary discussions and workshops -- are good mechanisms to ensure effective management.

The quality of the partnership in terms of the range of participants is good (including river basin managers), but the partnership is drawn rather narrowly from just four member states. The scientific competence, expertise and the roles and functions within the consortium are well specified. There is clearly complementarity amongst the selected partners. The requested resources look reasonable in terms of the aims and objectives with person months for each partner suitable for the work packages.

OVERALL**MARK 67 %*****General / overall comments***

The actual relevance of the proposal outputs could benefit from developing the theoretical framework, by better integrating the concept of sustainable governance, integrated environmental assessments and better linking the modeling case studies and theoretical frameworks.

Whilst the proposal does set out to address a European level problem which is clearly important, the methodological weakness limits the extent to which it will move beyond the current state of the art and also the relevance in practical terms for European public policy.

However, the evaluators consider the exploitation and dissemination strategies are clear and very well considered with a wide range of deliverables, the resources, management and partnership are good.

Proposal passed the required thresholds:

NO