



Terms of Reference

Call for a Team Leader for the S&T Policy Mix Peer Review in Kazakhstan

Title	Call for a Team Leader for the S&T Policy Mix Peer Review in Kazakhstan
Work package Lead:	ZSI, ICBSS, PT-DLR
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Author(s):	Klaus Schuch, ZSI George Bonas, ICBSS Jörn Sonneburg, DLR
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Abstract This is a call for a Team Leader for the S&T Policy Mix Peer Review in Kazakhstan

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1 Introduction

INCO-NET EECA (S&T International Cooperation Network for Eastern European and Central Asian Countries) is an **International Cooperation Network project**, funded under the EU's 7th Framework Programme for Research and Technology Development (FP7). Its general objective is to support and enhance the Science and Technology (S&T) policy dialogue between EU Member States (MS)¹, Associated Countries (AC)² to the FP7, and the countries of Eastern Europe and Central Asia (i.e. Armenia, Azerbaijan, Belarus, Georgia, Kazakhstan, Kyrgyzstan, Moldova, Russia, Tajikistan, Turkmenistan, Ukraine and Uzbekistan). In particular the IncoNet EECA project aims at:

- Supporting bi-regional EU – EECA S&T policy dialogue involving stakeholders from policy making, science community and industry. The dialogue addresses S&T potentials, policy goals and demands in order to define common priorities and to develop joint scenarios and implementation strategies.
- Carrying out activities aiming at an increased participation of researchers from EECA countries in FP7.
- Implementing a series of analyses feeding the policy dialogue and increasing its efficiency, monitoring the project's own activities with emphasis on their sustainability and implementing coherent dissemination activities in order to increase its visibility and impact.

One of the activities of the project, which is directly addressed by these Terms of Reference (ToR) is to organise a S&T Policy Mix Peer Review Exercise of the Kazakh National STI System. For the coordination and implementation of this S&T Policy Mix Peer Review we are looking for an experienced S&T policy analyst, who will also act as Team Leader of the Review Panel.

The INCO-NET EECA project has started in January 2008 and will last until June 2012. It is implemented by a consortium of 22 organisations.

Detailed information on the project is available at its website:

<http://www.inco-eeca.net/>

Information on INCO.Nets in general is available at the European Commission's webpage: <http://ec.europa.eu/research/iscp/index.cfm?lg=en&pg=inconet>

¹ EU member states are: Austria, Belgium, Bulgaria, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxemburg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, United Kingdom

² Countries associated to the FP7 are: Albania, Bosnia and Herzegovina, Croatia, Faroe Islands, FYR of Macedonia, Iceland, Israel, Liechtenstein, Montenegro, Norway, Serbia, Switzerland, Turkey (and Moldova as of 1 January 2012)

2 Task Description

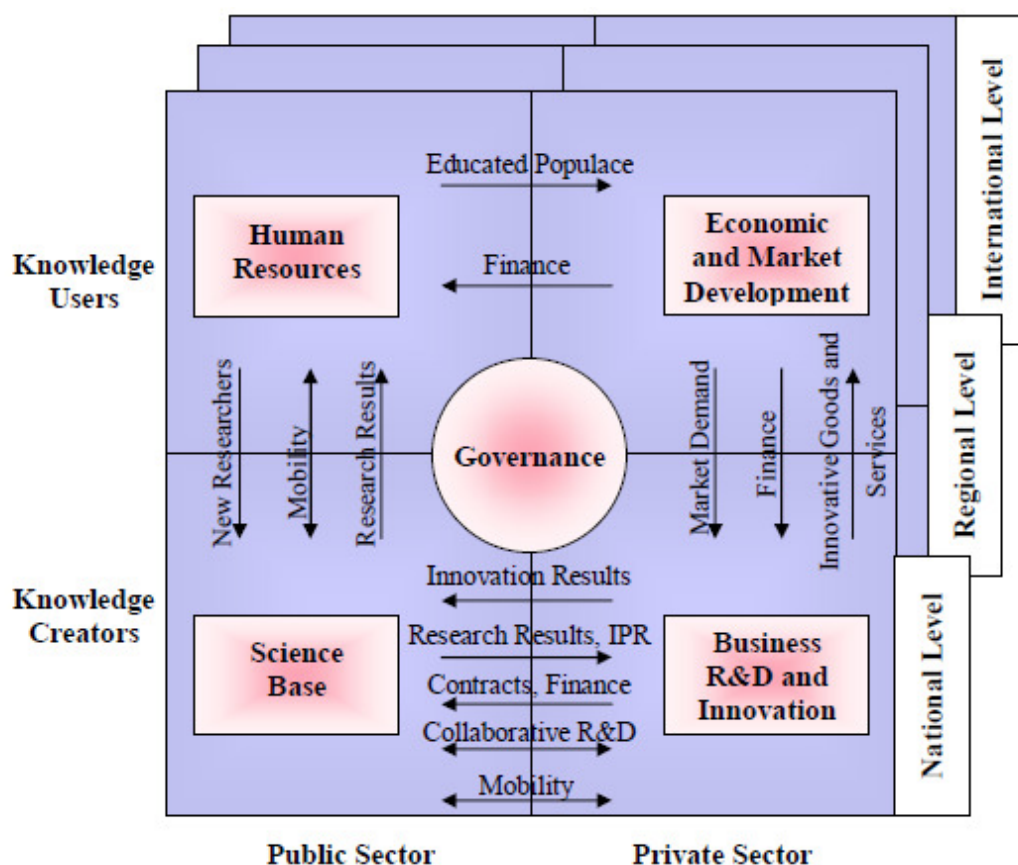
Most of the countries of the EECA region are undergoing a period of transition/ reform of their research systems. New strategies for RTD are launched and new laws implemented, but in most of the cases, with limited scientific evidence to support them. In this respect, several EECA countries requested an outside view from European partners. The S&T policy mix peer review, suggested by the INCO-NET-EECA project is a fitting support tool from which the EECA countries could benefit in view of increasing the legitimacy and basis for the planned or ongoing reforms in the field of science, technology and innovation (STI).

What is it?

A policy mix peer review is a systematic examination and assessment of the national STI system by international experts which aims at improving the design and the implementation of national S&T policy. It is not an evaluation but a mutual learning process based on a critical friends approach.

Special attention is put on the national challenges (and the policy response to these) in the dimensions of human resources in S&T, public science base, business R&D and innovation, and economic and market development. Analytically, the whole Peer Review methodology is based on a simplified examination model of a national system of innovation (see Fig. 1)

Fig. 1: Simplified Examination Model of NIS (source: wiseguys ltd)



More specifically, the policy mix peer review puts special attention on the following issues:

- scope and relative scale of the challenges in the country vis-à-vis the four identified dimensions (i.e. human resources; public science base; business R&D and innovation; economic and market development);
- range of policy responses to these challenges (there is a necessity to focus on strategies AND implementation!);
- quality of the matching between the challenges and the policy responses;
- conflict and synergies between policies and across dimensions and
- governance of policies within and across dimensions.

Goals and expected results

The S&T policy mix peer review provides a view on the national STI system from the outside. The view is that of informed experts from partner countries (mostly governmental level), who themselves are interested to learn and to engage in a dialogue with policy makers and S&T experts from the Eastern European or Central Asian host country.

Thus, the ultimate goal of a S&T policy mix peer review is to increase mutual understanding and learning.

The very concrete deliverable of the S&T policy mix peer review is a report, including recommendations, from the peers on the following dimensions reviewed under this exercise:

- human resources in S&T,
- public science base,
- business R&D and innovation,
- and economic and market development.

This report will be feed backed by the hosts and in its final shape presented during a specific event format proposed and organized by the host country in agreement with the peers.

Who will participate?

1. National authorities responsible for STI from Kazakhstan which expressed readiness to join the pilot exercise.
2. Experienced experts from the S&T governance and policy delivery systems from the EU Member States and countries associated to FP7 together with an independent team leader, jointly acting as peers.
3. Senior experts from national S&T authorities in Eastern Europe and Central Asia, acting as peers and at the same time assessing the implementation of the policy mix review.

Please note: the Peers (experienced experts from the S&T governance and policy delivery systems from the EU Member States, countries associated to FP7 and EECA countries) are already selected!

Tasks and activities to be implemented by the peer review team members

The tasks and activities of the peer review *team members* (i.e. governmental experts from EU Member States, countries associated to FP7 and EECA countries) are to

- study the background materials prepared by the national country correspondent and the team leader,
- participate in a preparatory kick-off meeting to be held in Vienna
- participate in the peer review visit and get involved in discussions (which should create mutual learning via a dialogue between the review team and the national/regional stakeholders),
- prepare short written reflections on the discussions based on a prepared guideline (incl. key lessons for the country reviewed and the expert's own country),
- submit these reflections on a confidential base to the team leader to write the synthesis report (these reflections should be formulated in a frank way, because diplomatic polishing is done by team leader anyway when he draws up the draft Peer Review report),
- comment and amend the draft peer review report (2 stages, since the draft peer review report will also be sent to the reviewed country),
- possibly accompany the team leader to present the results (not all team members necessary).

The tasks and activities of the team leader are comprehensive:

- Firstly, the team leader and the other review team members as well as the senior correspondent from Kazakhstan will meet at a kick-off-meeting in Vienna to get to know each other, to build joint understanding on the approach for the S&T Policy Mix Peer Review (assisted by the INCO-NET EECA Project) and to decide on the division of labour and organisational issues (incl. timing and logistics);
- S/he receives a country report by the national country correspondent. The team leader is obliged to carefully **study the provided background material** and to undertake own research on the subject.
- Then s/he conducts a **preparatory visit** (2 days) to the country which is undergoing the peer review to collect information and **work out a joint agenda** with the country's authorities (i.e. hosts and local country correspondent).
- Based on the insights gained from this preparatory visit, the team leader **prepares an additional short briefing paper** for the whole review team as well as a list of guiding questions for the review visit to be shared with the review team and the Kazakh authorities.
- One of the core tasks of the team leader is **to lead the peer review team during the entire peer review visit of 3 to 4 days** in the country under scrutiny (facilitated by the senior correspondent from Kazakhstan with full support by the host countries' ministry/ies responsible for research, technological development and innovation).
- Based on the feedback of all peer reviewers, the team leader then **prepares and finalises the draft S&T policy mix peer review report** (including recommendations). This draft report is sent
 - i) first to the peers for comments and

- ii) to the host country for feedback.
- To discuss the feedback and the format of the final presentation, the team leader makes **another consolidation visit to the host country**.
- Finally, s/he leads the **dissemination mission to the country** (1 day) possible accompanied by other team members, and presents the results to the authorities of Kazakhstan which underwent the Peer Review.

The team leader is crucial for the success of a Peer Review process. S/he should thus be an experienced S&T policy analyst.

The team leader is responsible to overview and manage (together with the local country correspondent) the entire peer review process and is in charge for the compilation of the inputs from the governmental experts, for consolidation and drafting of the draft and final peer review report incl. recommendations.

The team leader will be assisted with secretariat services by the IncoNet EECA project consortium mainly in organisational and logistic terms (compilation of background papers, dissemination of documents and reports, travel arrangements, reimbursement of costs of review team, etc.).

Time resources needed from Peers

A minimum of **40 working days** must be earmarked by the team leader.

Around 10 working days might be needed by each team member (governmental experts from EU Member State or country associated to FP7).

Tentative implementation period

January 2011 to June 2012 (five to six months)

Tentative Timeline

Kick-off meeting – End of January 2011 (in Vienna)

Preparatory visits to Kazakhstan – February 2012 (only team leader)

Formal visit to Kazakhstan – March/April 2012 (all experts)

Consolidation visit to Kazakhstan – April/May 2012 (only team leader)

Drafting of the report – May 2012

Final meeting to present results – first half of June 2012 (in Kazakhstan)

Funding and Reimbursement

The pilot exercise will be funded exclusively through the INCO-NET EECA project³.

The maximum budget for the above described tasks to be delivered (including reports etc.) is up to € 34,000. This maximum budget includes the consultancy fee,

³ A formal decision of the European Commission for launching the exercise is expected in fall 2011.

travel and daily allowances for the travels as outlined above. At least four trips are foreseen:

- participation at the kick-off in Vienna (January 2012, 2 days),
- preparatory travel to Kazakhstan (February 2012; 3 days minimum),
- S&T Policy Mix Peer Review Visit in Kazakhstan (March or April 2012; 5 days),
- feedback visit to Kazakhstan (April or May 2012, 2 days),
- final presentation meeting in Kazakhstan (June 2012, 2 days).

Delays are not acceptable.

3 Selection and contracting procedure

The Team Leader for the S&T Policy Mix Peer Review to Kazakhstan will be selected in a public procedure. These Terms of Reference will be published at the INCO-NET EECA website and distributed by INCO-NET EECA consortium partners.

Required qualification/skills/experiences of the Team Leader

- The *team leader* is a senior S&T policy analyst experienced in policy advice and policy assessment at highest level (minimum of 10 years of experience evidenced by the CV and information about contact persons for obtaining references and comprehensive list of reference projects).
- Moreover, s/he has to be an excellent process manager (minimum of 10 years of experience evidenced by the CV and information about contact persons for obtaining references) and ready to engage hands-on in the preparation and organization of the visits, feedback rounds and the drafting of the peer review report.
- The team leader must make him/herself familiar with the national STI system of the host country. S/he must be flexible and ready to travel and to spend a couple of days at location.
- The team leader has to define the scope of the review carefully in agreement with the hosts and peers (not too large and not too tightly focused), build on what is available, emphasize that the process is not an evaluation but a critical friends approach, employ hands-off facilitation with a less directive approach which encourages participants to manage and develop the discussions, deal with language concerns, promote sensitive questioning and active listening in a gentle, supportive and yet challenging without being threatening way, and manage time well because it is important to have enough time for reflection within the peer review team!
- The team leader must be fluent in English (proven by a list of publications). Proficiency of the host country's language skills or of Russian is of advantage.
- The team leader must not be employed by one of the INCO-NET EECA consortium partners.

Application

An application for the position of the S&T Policy Mix Peer Review Team Leader for Kazakhstan shall include the following documents:

- a cover letter/e-mail with short description of the motivation;
- a CV, highlighting relevant experience and reference projects;
- a short implementation plan (3 A4 pages), which shall sketch out the methods and work to be performed, including an assessment of the risks of the S&T Policy Mix Peer Review;
- a cost plan including the consultancy days foreseen for the implementation of the monitoring task.

Submission of application

Please submit the required documents for the application as *Team Leader of the S&T Policy Mix Peer Review to Kazakhstan* per e-mail to:

Centre for Social Innovation (ZSI), Austria

c/o Klaus Schuch

e-mail: schuch@zsi.at

Deadline for the submission of an application is **Wednesday, 21 December 2011, 17:00 CET (date of entry of the eMail)**.

Selection

A committee will be convened to select the Team Leader for the S&T Policy Mix Peer Review to Kazakhstan. This selection committee will be composed by representatives from the

- International Centre for Black Sea Studies ICBSS (co-ordinator of INCO-NET EECA)
- Independent Expert Consulting Board to Promote Scientific Research Activity in Kazakhstan InExCB-Kz
- International Bureau of the Federal Ministry of Education and Research – German Aerospace Center DLR
- Centre for Social Innovation ZSI

Telephone interviews with suitable candidates will be held in December 2011/ early January 2012, if deemed necessary.

The Contractor reserves the right not to place any order. Costs for necessary document preparation by the Applicants to this call for tender will not be reimbursed. This call for tender is not subject to the conditions of the Austrian Public Procurement Law.

Contracting procedure for external expert

The applicants and the selected Team Leader will be informed until 10 January 2012 on the result of the selection procedure. The contract with the monitoring expert will be established by the INCO-NET EECA Project shortly after the selection of the expert. As soon as the contract is concluded, the Team Leader will get access to data and necessary documents. The S&T Policy Mix Peer Review will be implemented in close contact with ZSI (Austria), ICBSS (Greece) and IB-DLR, (Germany).

The duration of the contract with the external monitoring expert will last from January 2012 until 29 June 2012.