

## Concept Note

### **Second High-level Meeting of the Multilateral Dialogue on Principles and Values in International R&I Cooperation, 28 June 2023, Brussels**

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*Please note change of venue:*

**Hotel NH Brussels EU Berlaymont:**

*Boulevard Charlemagne 11, 1000 Brussels*

*Boulevard Charlemagne-Karel de Grotelaan 11, 1000 Brussels*

#### **1. Context**

Following the Commission Communication on the ‘Global Approach’ of May 2021 and the Council Conclusions of June 2022, the European Commission has invited key partner countries from around the globe to join in a multilateral dialogue on the principles and values which underpin international cooperation in research and innovation. The aim is to consider the main principles and values that are relevant to international cooperation in an all-encompassing manner, by having an open discussion on how these principles and values are defined, understood and implemented, to look for similarities and discuss differences in approach and to share information and best practice on specific issues of relevance for their implementation.

The Dialogue brings together Third Countries associated to Horizon Europe (including potential future associated countries) or having an active S&T Cooperation Agreement with the European Union together with the EU Member States. Several international organisations and stakeholders are also fully involved in the Dialogue (see table below). Most recently, the Multilateral Dialogue on Principles and Values has specifically been mentioned in the G7 S&T Ministers’ Communiqué, which also stressed joint efforts in open science as well as research security and research integrity as key priorities.

<b>EU Member States</b>	<b>Horizon Europe Associated Countries / Potential Associated Countries</b>	<b>Countries with an S&amp;T Agreement with the EU</b>	<b>International Organisations and Stakeholder Organisations</b>
Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, The Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden.	Albania, Armenia, Bosnia and Herzegovina, Canada, Faroe Islands, Georgia, Iceland, Israel, Kosovo*, Moldova, Montenegro, Morocco, New Zealand, Tunisia, North Macedonia, Norway, Serbia, Turkey, Ukraine, United Kingdom	Algeria, Argentina, Australia, Brazil, Chile, China, Egypt, India, Japan, Jordan, Mexico, South Africa, South Korea, Switzerland, USA	International Science Council, OECD, UNESCO, EUA, ALLEA, YERUN, AURORA, CESEAR, The Guild, The League of Research-Intensive Universities, ACA, EU-Life, European Alliance for SSH, EARTO, Cefic, Euroscience, Business Europe, ERIC Forum, EOSC, Science Europe

Following a high-level kick-off meeting on 8 July 2022, it was agreed to organise a series of thematic workshops, each focusing on one of the principles and values set out in the Global Approach Communication and the corresponding Council Conclusions. EU Member States and third countries were invited to take the lead in co-designing, co-preparing and co-organising these workshops with the European Commission. These workshops build on discussions that have taken place/are taking place in other multilateral fora; the Dialogue is quite unique in the range of principles and values covered and the range of countries and stakeholders involved.

## **2. Objectives of the second high-level meeting**

The second high-level meeting is being organised at a crucial moment for the continuation of the Multilateral Dialogue, nearly one year after its launch. Building on the experiences of the first thematic workshop sessions which took place over the last months, the current meeting will aim to assess the progress in the Dialogue and to reflect on the future direction and development of joint activities for the medium-term – for the next series of workshops – and for the long-term in view of a discussion at Ministerial level to be organised on 16 February 2024 in Brussels in conjunction with the Belgian Presidency of the Council of the EU. This meeting, which is intended to bring together Ministers from all the countries involved in the Dialogue should acknowledge the work undertaken and set out a policy perspective and provide strategic direction for the continuation of the joint work.

### *i. Taking stock of the first workshops of the Dialogue*

To date, four workshops have taken place – on academic freedom, research integrity and ethics, gender equality and inclusiveness, and on open science. A fifth workshop on research excellence is scheduled for 1 June before the second high-level meeting. All workshops have been organised as three-hour meetings held virtually. Despite the short duration of each workshop and the extreme challenges of the differences in time zones (the meetings start at 1pm in Brussels, which is 5am in Mexico City and 11pm in Auckland), these workshops are very well attended (with representatives from more than 40 countries) and well received by the participating countries and their R&I community. Above all, they serve as a platform for open exchange on the cultural embedding of the principles and values discussed in the different national systems. Following the fifth workshop, the Commission services will issue a survey to all attendees in the workshops, asking for their views on the workshop organisation, the discussions held and the potential follow-up that is considered necessary.

During the stocktaking part of this high-level meeting the co-organisers of the first series of workshops will present the outcomes from the workshops, and the lessons learned from the discussions, will be presented, based on the summary reports of the workshop. The discussions will consider how to make best use of the work already undertaken in the Dialogue and other fora including in the context of the G7, to evaluate whether adjustments are needed in view of the continuation of this work and how communicate the output of the workshops.

### *ii. Looking forward: what approach should be followed to contribute to a robust and common framework for balanced and mutually beneficial international R&I cooperation?*

The experiences of the thematic workshops should feed into discussions on the further orientation of next steps of the Multilateral Dialogue. At the launch of the event, no specific outcome of the process in terms of output was defined, other than the need for open, constructive dialogue and discussion.

Indeed, the strong participation of international partner countries and EU Member States in the preparation and implementation of the first workshops is already to be seen as a success. Building on this, the high-level meeting needs to steer the Multilateral Dialogue into a policy direction which is both forward looking and implementation and result oriented.

Furthermore, this meeting should address the content and expected deliverables of a Ministerial conference involving all partners of the Multilateral Dialogue under the Belgian Presidency of the Council of the EU in February 2024, which would give the necessary political backup for the next steps to take.

The discussions in this meeting could focus on the following questions:

- How could we define common ground for framework conditions in research and jointly work for the implementation of the principles and values? What are the opportunities and the greatest challenges regarding the implementation of the principles and values? How should we provide support and guidance to the international R&I community?
- How do we make the Dialogue sustainable for the future, given that more in-depth discussion on each principle/value is needed to identify and understand differences in their definition and implementation and that the challenges for their implementation will change with time? Is the discussion of some principles and values best left to other fora?
- What could/should be the main outputs of this Dialogue? What could/should be the focus and deliverables of the discussion at Ministerial level in 2024?
- How can we communicate and promote the results from the Dialogue within our respective organisations, communities, regions and/or countries?

## Agenda:

### Second High-level Meeting of the Multilateral Dialogue on Principles and Values in International R&I Cooperation, 28 June 2023, Brussels

9.00 – 10.00: Welcome coffee/tea

10.00 – Opening and welcome	Maria Cristina Russo, European Commission, DG R&I, Director, Global Approach and International Cooperation
10.45 – 12.45 Plenary <b>Part I: Stocktaking</b>	<p>Chair: Maria Cristina Russo</p> <ul style="list-style-type: none"> <li>• Reflections from the five workshops and their outcomes moderated by the lead countries: <ul style="list-style-type: none"> <li><i>Academic Freedom:</i> Claudia Heffler – Erja Heikkinen (Germany - Finland)</li> <li><i>Research Ethics &amp; Integrity:</i> Eudy Mabuza – Anna Fill (South Africa - Switzerland)</li> <li><i>Gender Equality &amp; Inclusiveness:</i> Armela Dino – Silvia Gomez Recio (Spain - YERUN)</li> <li><i>Open Science:</i> Patrick Nédellec - Gonzalo Arenas (France - Chile)</li> <li><i>Research Excellence:</i> Roberto Cimino – Valérie La Traverse (Italy - Canada)</li> </ul> </li> <li>• Report from the recent G7 meeting: Shuichi Sakamoto, Deputy Secretary General for Science, Technology and Innovation Policy</li> <li>• <u>Tour de table:</u> What have you learnt from the workshops done so far and do you think that they reflected what was agreed last year? – 1h</li> </ul>
12.45 – 14.00	<i>Lunch</i>
14.00 – 14.15	Keynote address (video): Gabriela Ramos, Assistant Director-General for Social and Human Sciences, UNESCO
14.15 – 16.15 Break-out sessions <b>Part II: Looking forward</b>	<p><u>Break-out session A: Outputs of the Multilateral Dialogue, including in view of the forthcoming Ministerial meeting– 1h</u> (this group stays in the main room)</p> <p>Moderated by: Martin Penny, Head of Unit, DG Research and Innovation, European Commission</p> <ul style="list-style-type: none"> <li>• How could we define common ground for framework conditions in research and jointly work for the implementation of the principles and values? What are the opportunities and the greatest challenges regarding the implementation of the principles and values? How should we provide support and guidance to the international R&amp;I community?</li> <li>• What could/should be the main outputs of this Dialogue?</li> </ul>

	<ul style="list-style-type: none"> <li>• What should be the focus and deliverables of the discussion at Ministerial level in 2024?</li> </ul> <p><i>Coffee break</i></p> <p><u>Break-out session B: Outreach/impact of the Multilateral Dialogue in the long-term – 1h</u> (This group moves to the break-out room)</p> <p>Moderated by: Marco Grancagnolo, Policy Coordinator, DG Research and Innovation, European Commission</p> <ul style="list-style-type: none"> <li>• How do we make the Dialogue sustainable for the future, given that more in-depth discussion on each principle/value is needed to identify and understand differences in their definition and implementation and that the challenges for their implementation will change with time? Is the discussion of some principles and values best left to other fora?</li> <li>• How can we communicate and promote the results from the Dialogue within our respective organisations, communities, regions and/or countries?</li> </ul> <p>The two groups will then swap subjects for the second hour.</p>
<p>16.15 – 17.15 Plenary <b>Part III: Looking forward</b></p>	<p><u>Chair: Maria Cristina Russo</u> Reporting from the breakout sessions and general discussion about the next steps: – 1h</p> <p>Marc Vanholsbeeck, Head of Department Federal, Interfederal and International coordination at BELSPO</p>
<p>17.15 – 17.30</p>	<p>Closing remarks: Lina Gálvez Muñoz MEP</p>

18.00 – 19.30 *Cocktail reception*

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### **Logistics**

*Venue:* Koningsstraat/rue Royale 250, 1210 Brussels, Belgium

*Participation:* High-level meeting at director level + 1 additional member per delegation; reimbursement possible for one person per delegation.

To encourage exchanges amongst participants this is organised as a physical event.

*Setting:* The focus will be on plenary discussions and on the break-out sessions to hear as many ideas and comments as possible.

*Language:* The meeting will be in English; no interpretation is foreseen.

# Second High-level Meeting of the Multilateral Dialogue on Principles and Values in International R&I Cooperation, 28 June 2023, Brussels

## Report

### Table of Contents

<b>1. Summary</b> .....	7
<b>2. Introduction</b> .....	7
<b>3. Stocktaking</b> .....	8
<b>4. Outputs and take-aways from the discussions</b> .....	11
3.1 Continue the Dialogue with the three workshops planned .....	11
3.2 Need for a common endorsement of the principles and values to be covered.....	12
3.3 Ensure a global perspective.....	12
3.4 Develop a roadmap for furthering the Dialogue.....	13
3.5 Produce a useable framework to guide international R&I cooperation .....	14
3.6 Ensure a strong statement at the Ministerial meeting .....	14
<b>4. Wrap-up and outlook</b> .....	15
<b>5. ANNEX – List of participating countries and stakeholder organisations</b> .....	16

## 1. Summary

The 2nd high-level meeting of the Multilateral Dialogue on principles and values in international R&I cooperation took place on 28 June 2023 in Brussels. It was attended by 87 participants representing 42 countries, 7 European stakeholder organisations, the OECD, International Science Council, the European Parliament, the Council of the European Union, and the European Commission.

The meeting followed the launch of the Dialogue in July 2022 and a series of workshops in the period October 2022 - June 2023, covering five of the principles and values for international R&I cooperation: academic freedom, research integrity and ethics, gender equality and inclusiveness, open science, research excellence.

The meeting assessed the progress in the Multilateral Dialogue so far and reflected on the future direction and development of joint activities in the longer-term, notably in view of a Ministerial conference to be co-organised on 16 February 2024 with the Belgian Presidency of the Council of the European Union.

There was general support for the work undertaken to date and broad agreement that the Ministerial conference would offer an opportunity for discussion and common endorsement at international level on the importance of the dialogue, on the principles and values to be covered, for a political recognition of the work undertaken so far, as well for agreement on the approach for further action. The deliverables of the Ministerial conference could be a declaration and/or a call for a roadmap of further activities to allow for deeper discussions, working in synergy and complementarity with international fora and initiatives active in this area such as the ISC, the OECD and UNESCO. In order to prepare the Ministerial meeting, the participating countries were invited to nominate contacts ('sherpas') by the end of August.

The Multilateral Dialogue will continue with three new workshops until the end of the year, on knowledge valorisation, partnership with low- and middle-income countries, and on the research security.

## 2. Introduction

The 2<sup>nd</sup> high-level meeting of the Multilateral Dialogue on Principles and Values in International R&I Cooperation saw a strong participation of 87 delegates from 22 European Union Member States, 9 countries associated to Horizon Europe (or in negotiation process), 11 third countries with an S&T Cooperation Agreement with the EU, the European Parliament, the Council of the European Union, 7 European stakeholder organisations (ALLEA, AURORA, EU Life, Euroscience, The Guild, Science Europe and YERUN), the OECD and the International Science Council and the European Commission. In addition, a video keynote address by Gabriela Ramos, UNESCO Assistant Director General for Social and Human Sciences, was shown (see Annex 1).

This meeting, organised nearly one year after the launch of the Dialogue, aimed to reflect on the future direction and development of joint activities for the medium and long-term. It was chaired by Maria Cristina Russo, Director for the Global Approach and International Cooperation in R&I, European Commission, DG R&I. In her opening remarks, she welcomed all participants and thanked the 2022 French Presidency of the Council of the European Union, which was instrumental for quickly taking up the issue of principles and values in international R&I cooperation and pushing it forward during the Marseille Conference of March 2022, which resulted in the 'Marseille Declaration on International Cooperation in Research and Innovation'<sup>1</sup>. She also thanked all the participants for the strong engagement of their countries and organisations in the Dialogue.

In addition to this opening section, the report consists of four sections. Section 2 takes stock of the work done under the Multilateral Dialogue up to now. Summarising the discussion of this high-level meeting, section 3 is a

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<sup>1</sup> <https://presidence-francaise.consilium.europa.eu/media/xi1kxzg/marseille-declaration.pdf>

forward look to explore follow-up approaches able to contribute to a robust and common framework for balanced and mutually beneficial international R&I cooperation. Section 4 wraps-up the meeting.

### **The Multilateral Dialogue in a nutshell**

The purpose of the Multilateral Dialogue on principles and values in International R&I Cooperation is to exchange and discuss views, information, and policies, at a global level, on the principles and values which should underpin international cooperation in research and innovation (R&I). It is based on the European Commission's Communication on the 'Global Approach'<sup>2</sup> of May 2021 and the respective Council Conclusions of September 2021<sup>3</sup> and June 2022<sup>4</sup>. The aim is to consider the main principles and values that are relevant to international R&I cooperation in an all-encompassing manner, through an open discussion on how these principles and values are defined, understood, and implemented, to look for similarities and discuss differences in approaches and to share information and best practice on specific issues of relevance for their implementation. The Dialogue brings together third countries associated to Horizon Europe (including potential future associated countries) and countries with an active S&T Cooperation Agreement with the European Union, together with the EU Member States. In addition, European stakeholder organisations and relevant international organisations are involved in the Dialogue. More information on what the Multilateral Dialogue is, its aims, work done so far, and workshop reports can be found on the website of the European Commission.<sup>5</sup>

### **3. Stocktaking**

The first part of the meeting focussed on an assessment of the progress of the Multilateral Dialogue. To date, five workshops haven taken place<sup>6</sup>. These workshops focussed on five of the principles and values of international R&I cooperation as set out in the Council Conclusions of June 2022. The topics covered are:

- Academic freedom
- Research integrity and ethics
- Gender equality and inclusiveness
- Open Science
- Research excellence

These five workshops were very well attended despite the participants being located in completely different time zones, with an average of 110 experts from 40 countries participating in each workshop. A number of the co-organisers of the first series of workshops opened the discussion, presenting the results and lessons learned from the discussions in summary form.

Claudia Heffler from the German Ministry of Education and Science and Erja Heikkinen from the Ministry of Education and Culture Science and Culture of Finland started by providing a summary of the workshop on 'academic freedom'. They emphasised that the gathering of a heterogeneous group of participants from different countries, continents and institutional backgrounds was a big 'plus' to gain perspectives from outside the

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<sup>2</sup> <https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52021DC0252>

<sup>3</sup> <https://data.consilium.europa.eu/doc/document/ST-12301-2021-INIT/en/pdf>

<sup>4</sup> <https://www.consilium.europa.eu/media/56956/st10125-en22.pdf>

<sup>5</sup> [https://research-and-innovation.ec.europa.eu/strategy/strategy-2020-2024/europe-world/international-cooperation/multilateral-dialogue-values-and-principles\\_en](https://research-and-innovation.ec.europa.eu/strategy/strategy-2020-2024/europe-world/international-cooperation/multilateral-dialogue-values-and-principles_en)

<sup>6</sup> The summary reports of these five workshops are available at: [https://research-and-innovation.ec.europa.eu/strategy/strategy-2020-2024/europe-world/international-cooperation/multilateral-dialogue-values-and-principles\\_en](https://research-and-innovation.ec.europa.eu/strategy/strategy-2020-2024/europe-world/international-cooperation/multilateral-dialogue-values-and-principles_en)



‘Brussels bubble’. This provided a more realistic picture. The openness of the Dialogue should be maintained, as global challenges and problems require international cooperation and are urgently needed for the survival of humanity in terms of socio-economic and environmentally sustainable development. They reported that it had been suggested, amongst others, to widen the Dialogue on principles and values in international R&I cooperation by integrating it in regular bi- and multilateral exchanges of ministries and agencies with their international partners.

Eudy Mabuza from the Department of Science and Innovation from the South African Embassy and Anna Fill from the Swiss State Secretariat for Education, Research and Innovation reported on the workshop on ‘research ethics and integrity’. They noted that some variations exist in view of emerging technologies and the medical sciences and that it would be good to have a deeper look at these issues, for instance as regards regulations and how to cope with them in international R&I settings. However, neither the online format nor the three-hour time limit is suitable for such "deep dives". They reported that participants of the workshop had emphasised the importance of a trustworthy knowledge base for international R&I cooperation and that a long-term roadmap would be helpful to provide orientation to researchers. Workshop participants had also raised the question of the long-term end goal of this exercise.

Armela Dino of the Spanish Ministry of Science and Innovation and Silvia Gomez from YERUN informed about the workshop on ‘gender equality and inclusiveness’. Participants of that workshop had highlighted the fact that all four topics discussed during the workshop’s breakout groups (under-representation of women in STEM; under-representation in leadership positions; gender-based violence and sexual harassment; integration of gender-contents in research) were interdependent and related to each other. Participants had stressed that the way towards gender equality and inclusiveness was still a long one and that online-formats were less suitable for discussing sensitive issues. They had also urged for a deeper exchange by using other formats.

Patrick Nédellec of the French Ministry for Higher Education and Research and Gonzalo Arenas Sepúlveda from the Ministry of Science, Technology, Knowledge and Innovation of Chile summarised the workshop on ‘open science’. They concluded that the workshop had put a lot of knowledge on the table and that a joint understanding on actions needed<sup>7</sup> had emerged, although countries face different challenges and disciplines react differently to open science. It was noted that without virtual connections, the inclusion of so many countries from all around the globe would have been impossible, but for an in-depth dialogue other formats would be necessary. Both speakers reported the view voiced by workshop participants that the discussion on where to go with open science in international R&I cooperation had only just kicked-off. Further efforts are necessary to connect international R&I cooperation to society.

Roberto Cimino from the Italian Ministry of University and Research and Valérie La Traverse from the Social Sciences and Humanities Research Council of Canada informed about the workshop on ‘research excellence’. They reported that the workshop participants had agreed that quality and impact are important components of the definition of research excellence, but also that the definition should not be specified too much as this would risk leaving insufficient space for diversity and inclusion. They further put the spotlight on the necessity of research infrastructures for excellent research, the debate about AI in science that had come in and the discussion, recently launched by COARA<sup>8</sup>, on the assessment of research and researchers. They suggested that a global dialogue on how to understand and define ‘impact’ could be a potential follow-up to their workshop.

Shuichi Sakamoto, Deputy Secretary General for Science, Technology and Innovation Policy, Cabinet Office of Japan, as representative of the Japanese G7 Presidency this year, reported that the Multilateral Dialogue on

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<sup>7</sup> They mentioned for instance (i) the problem of fees, which determine equality, (ii) the potential power of open science to reduce the risk of scientific fragmentation and (iii) the widespread need for more training and skills development.

<sup>8</sup> COARA = abbr. Coalition for Advancing Research Assessment. <https://coara.eu/>

Principles and Values had specifically been mentioned in the Communiqué<sup>9</sup> adopted by the G7 S&T Ministers at their meeting in Sendai City, Japan, 12-14 May. The meeting was dedicated to discussing three main points, each closely related to one or more of the topics of the Multilateral Dialogue:

1. Respect for freedom and inclusiveness in scientific research and promotion of open science;
2. Promotion of trustworthy scientific research through research security and research integrity measures;
3. International cooperation in science and technology to solve global issues.

Amongst others, G7 Ministers agreed to collaborate in expanding open science *‘with equitable dissemination of scientific knowledge and publicly funded research outputs including research data and scholarly publications in line with the [...] FAIR<sup>10</sup> principles’*<sup>11</sup>. Furthermore, they stated supporting *‘immediate open and public access to government-funded scholarly publications and scientific data, and [...] the endeavours of the scientific community to address challenges in scholarly publishing for broader sharing of appropriate scientific outputs’*<sup>12</sup>.

At the meeting, the G7 also reaffirmed *‘the importance of common values and principles for global research security and research integrity and their dissemination’*<sup>13</sup> and to continue *‘to support the efforts of the G7 Security and Integrity of the Global Research Ecosystem (SIGRE) Working Group’*<sup>14</sup>, recognising *‘that more needs to be done to raise awareness among the research community of the risks of unauthorized knowledge and technology transfer and of foreign interference in research and innovation, and in turn to effectively apply risk mitigating measures wherever necessary’*.<sup>15</sup>

In the subsequent open discussion session, many delegations stressed that the Dialogue had created a useful environment for information exchange and mutual learning, which should be further developed.<sup>16</sup> Comments made during the discussion included the call for ‘mutual respect’ and ‘mutual benefit’ to be included as core principles for international R&I cooperation, the observation about an inevitable tension between setting rules, principles and values, and leaving sufficient space for autonomy, interpretation and freedom. The importance of considering the impact which the ever-growing use of AI will have on the issues discussed under the Multilateral Dialogue was also emphasised.

A recorded keynote address by Gabriela Ramos, Assistant Director General for Social and Human Sciences at UNESCO, concluded the first plenary session. Ms Ramos highlighted the importance of access to research and innovation for poor and underrepresented populations. She outlined that the science system had come under pressure, citing as examples the increase in fake news, online harassment of researchers (especially female researchers) in the wake of the Covid-19 pandemic, and the danger of AI in relation to biased outcomes. UNESCO therefore welcomes this Multilateral Dialogue, which is in line with several UNESCO recommendations<sup>17</sup>, notably

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<sup>9</sup> [https://www8.cao.go.jp/cstp/english/others/2023/g7\\_2023\\_en.html](https://www8.cao.go.jp/cstp/english/others/2023/g7_2023_en.html)

<sup>10</sup> FAIR = abbr. Findable, Accessible, Interoperable, and Reusable

<sup>11</sup> G7 Science and Technology Ministers’ Communique, p. 2.

[https://www8.cao.go.jp/cstp/kokusaiteki/g7\\_2023/230513\\_g7\\_communique.pdf](https://www8.cao.go.jp/cstp/kokusaiteki/g7_2023/230513_g7_communique.pdf)

<sup>12</sup> Ibid., p. 3.

<sup>13</sup> Ibid., p. 3.

<sup>14</sup> SIGRE had already developed the documents “G7 Common Values and Principles on Research Security and Research Integrity” and “G7 Best Practices for Secure and Open Research”, and the online Virtual Academy, to promote research security and research integrity initiatives amongst the G7 community and with a view to future global outreach.

<sup>15</sup> G7 Science and Technology Ministers’ Communique, p. 3.

[https://www8.cao.go.jp/cstp/kokusaiteki/g7\\_2023/230513\\_g7\\_communique.pdf](https://www8.cao.go.jp/cstp/kokusaiteki/g7_2023/230513_g7_communique.pdf)

<sup>16</sup> As this further development was explored in the two breakout groups that followed, the details of the discussions are included in section 3.

<sup>17</sup> An overview of the UNESCO recommendations is provided here: <https://www.unesco.org/en/legal-affairs/standard-setting/recommendations>

the Recommendation on Open Science<sup>18</sup>. She invited the Dialogue participants to join the policy dialogue at the margins of UNESCO's General Conference in November 2023, organised together with The Netherlands.

Ms Russo thanked the participants for the lively discussion. She underlined the need for further reflection on the approach for the Ministerial meeting of 16 February 2023 and the longer-term sustainability of this initiative. These issues would be the subject of the subsequent breakout sessions.

#### **4. Outputs and take-aways from the discussions**

Two breakout sessions were organised in parallel on (1) the 'outputs of the Multilateral Dialogue, in view of the forthcoming Ministerial meeting' and (2) on 'outreach and impact of the Multilateral Dialogue in the long-term'. All delegates participated in both breakout sessions, discussing the following questions:

- *How could we define common ground for framework conditions in research and jointly work for the implementation of the principles and values? What are the opportunities and the greatest challenges regarding the implementation of the principles and values? How should we provide support and guidance to the international R&I community?*
- *What could/should be the main outputs of this Dialogue?*
- *What should be the focus and deliverables of the discussion at Ministerial level in 2024?*
- *How do we make the Dialogue sustainable for the future, given that more in-depth discussion on each principle and value is needed to identify and understand differences in their definition and implementation and that the challenges for their implementation will change with time? Is the discussion of some principles and values best left to other fora?*
- *How can we communicate and promote the results from the Dialogue within our respective organisations, communities, regions and/or countries?*

Six key points came out of the discussions:

1. Continue the Dialogue with the three workshops planned;
2. Need for a common endorsement of the principles and values to be covered;
3. Ensure a global perspective;
4. Develop a roadmap for furthering the Dialogue;
5. Produce a useable framework to guide international R&I cooperation;
6. Ensure a strong statement at the Ministerial meeting.

The details of these six key points are summarised below.

##### **3.1 Continue the Dialogue with the three workshops planned**

There was general agreement that the Multilateral Dialogue in general and the Dialogue workshops held so far had fulfilled their purpose of exchanging views on principles and values in the context of international R&I cooperation. Some participants explicitly stated that the multilateral setting was well suited for the endeavour and that the workshops planned for the second half of 2023 should be implemented to continue the discussions. With regard to the preparation and implementation of the individual workshops, the collaborative approach in terms of co-designing content and logistics by individual EU Member States and non-EU countries, stakeholder organisations as well as the European Commission was much appreciated. Some delegations noted that the virtual setting of the workshops helped to mobilise a high number of participants around the globe. New Zealand and Chile explicitly highlighted the convenience of virtual meetings. On the other hand, there was a clear

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<sup>18</sup> <https://www.unesco.org/en/open-science/about>

understanding that a virtual setting limits the depth of exchange on the individual topics. There was widespread agreement that these workshops are not an end in themselves but a first step of an ongoing process.

The planned workshops that will be implemented in the second half of 2023 are as follows:

- Workshop on knowledge valorisation and IPR (early October 2023)
- Workshop on partnership and solidarity with low- and middle-income countries (November 2023)
- Workshop on the security and integrity of research (December 2023)

Ms Russo called on the participating countries and organisations to volunteer to co-design and co-host these three workshops.

### 3.2 Need for a common endorsement of the principles and values to be covered

Several countries argued for a sharper focus on a few agreed key principles and values. The principles and values to be covered in the Dialogue should be endorsed by all participating countries, if possible, not least to maintain the momentum of the Dialogue. It was mentioned that principles and values should be facilitators for international cooperation in R&I and not barriers. Some participants pointed to the importance of remaining alert and flexible in response to unforeseeable developments, such as the expected impacts of the growing use of artificial intelligence, genetic engineering, or the combination of biological tissue and non-biological material. Some countries suggested considering further principles, such as (i) mutual respect for diversity as regards different cultures, and (ii) mutual benefit. It was also pointed out that there was a difference between ‘principles’ and ‘values’ as they pertain to science, the former being intrinsic to scientific research and therefore universal, and the latter being culture-bound. At the same time, it was acknowledged that the borderline between the two is not always clear-cut. Several participants pointed out that there was a significant difference between ‘research’ and ‘innovation’ and that therefore not all principles and values would necessarily apply to both in the same way or to the same extent.

A few countries argued that principles and values are complex, multi-dimensional, and sometimes inter-related, and may be differently understood by different communities. Some delegations pointed to differences between different countries’ understandings of individual principles and values, caused by national and cultural factors and historical developments, and asked that these should be respected and considered for the future of the Multilateral Dialogue. It was further suggested to develop practical guidelines for researchers and innovators on the basis of those principles and values which are generally accepted and recognised by everyone. However, for principles and values on which there are differences of views or differences in their practical application, further and deeper exchanges would be needed. A separate suggestion to carry out a comprehensive mapping exercise to link countries with principles and values was rejected by some participants as too time-consuming, too complex, and too open to debate.

### 3.3 Ensure a global perspective

In order to take a truly global perspective on principles and values for international R&I cooperation, it was suggested by some countries that the Multilateral Dialogue should perhaps add more participants by including less developed countries. It was mentioned that the EU should avoid ‘Eurocentrism’ and discuss principles and values such as ‘freedom of research’ at a global level. It was also mentioned that other countries may have quite different challenges – financial and technical – which may be perceived as more urgent and for which European solidarity was desired. On the other hand, it was emphasised that the EU in particular should and could demonstrate itself as an advocate for international R&I cooperation.

From a technical point of view, it was suggested to implement specialised workshops for certain groups of countries and to use already existing fora. These could also facilitate the integration of indigenous populations and local knowledge into the debate. The European Commission emphasised that the selected principles and values did not originate from and are not ‘owned’ by the EU or any other part of the world alone but are or should be universally accepted and applied. Ms Russo emphasised that diversity needs to be maintained in order

to be able to discuss sensitive areas and explore differences. The representative of the forthcoming Belgium Council Presidency added that research-based knowledge should be perceived as a common good of humanity.

### 3.4 Develop a roadmap for furthering the Dialogue

There was overall support for the Multilateral Dialogue, the processes in place and the way in which they had been designed and implemented so far. The joint co-design approach to the organisation and implementation of the thematic workshops was well appreciated and should be continued. However, participants pointed to the need to clarify the long-term goals of this initiative. In this regard it was underlined that the Multilateral Dialogue was not about transferring or imposing views or values, but about exchanging experiences and good practices. The process was a mutual learning exercise and as such a useful step forward to enhance both international research and research policy cooperation.

To support the continuation of the Multilateral Dialogue, some participants thought it would be useful to establish a longer-term roadmap, which would provide for in-depth discussions to identify current and future common challenges for the implementation of principles and values in international R&I cooperation. These suggestions included:

- Establishment of a specific online platform, where documents can be shared and information on relevant events etc. could be collated;
- Countries participating in this Multilateral Dialogue could host high-level events to continue the exchange on principles and values in international R&I cooperation;
- Reach out to existing specialised organisations like UNECO or OECD, which have a broad membership basis<sup>19</sup>, to further the dialogue especially for those principles and values on which there is a divergence of perception;
- Implementation of dedicated task forces to continue and deepen the Dialogue<sup>20</sup>;
- Broaden dissemination on the topic by discussing it in already existing bi- and multilateral fora which support international R&I cooperation;
- Organise regional workshops on principles and values for international R&I cooperation around the globe to create 'snowball effects';
- Use embassies and country representations as well as EU delegations to support dissemination and outreach;
- Commitment to ensure that the principles and values are dealt with in detail at national level, e.g. through national consultations;
- Launch dedicated calls for policy labs or 'flagship projects' addressing principles and values in international R&I cooperation;

At the same time, corresponding resources must be guaranteed for further activities (e.g. in relation to dissemination, transnational pilots and capacity building). In this context, a concern regarding overall efficiency and the wish to avoid extra layers to the structure already put in place was raised.

The implementation of the roadmap should be time-bound because situations in countries or globally can change. Desk research should be used to monitor which principles and values are being implemented at the national level and how.

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<sup>19</sup> Several participants pointed out, that these should be inclusive fora; many countries participating in this Multilateral Dialogue are not participants of the G7 or the G20.

<sup>20</sup> Artificial Intelligence (AI) was specifically mentioned as a potential topic of a task force, because the effects of AI can affect research excellence, research integrity and other principles.

Suggestions for follow-up to continue the discussion were made by several delegations. South Africa proposed the Science Forum South Africa, taking place 4-8 December, which could provide a platform for continuing this Dialogue. The USA referred to an event on research security this autumn, co-hosted by the Netherlands.

### 3.5 Produce a useable framework to guide international R&I cooperation

Many delegations were clear that the discussion on principles and values should become 'actionable' for researchers. The leading question should be: *What do researchers need as a guiding framework for international R&I cooperation to navigate it safely and what should be considered?* In this context, some participants suggested to produce a practical framework for the implementation of international R&I cooperation as a key output of the Multilateral Dialogue. This could be in the form of guidelines, checklists, a code of conduct or recommendations for actions, which should then be broadly disseminated and published to facilitate the work of researchers so that they are able to engage simply and with confidence in international cooperation. Some participants pointed out that such a framework should be developed with the research communities themselves in the spirit of academic freedom and the autonomy of research and so as to be credible with the research communities.

Some countries pointed out that the implementation of this framework in whatever form must subsequently be implemented nationally to receive commitment from researchers and thus to become effective. For example, research organisations could be invited to sign up to these guidelines on principles and values. They should then take care of trickling them down to their researchers.

It was further highlighted by some participants that other 'sectoral' ministries and research funding organisations are also affected by the matter and should therefore be involved in the implementation. Guidelines on principles and values related to international R&I cooperation should also be designed for research funders and policy-makers.

With a long-term perspective, and as far as the European Union was concerned, some discussants argued that the conclusions of the Multilateral Dialogue should inform the next European Framework Programme for Research and Innovation, in particular with a view to international R&I cooperation.

### 3.6 Ensure a strong statement at the Ministerial meeting

There was widespread agreement among the participants that it would be important and helpful for the Ministerial meeting planned under the Belgian Presidency of the Council of the EU in Brussels on 16<sup>th</sup> February 2024, to which all Ministers from the countries participating in this Multilateral Dialogue will be invited, to voice a clear statement on the importance of international cooperation in R&I. Many participants welcomed the Ministerial meeting as an excellent opportunity to take forward the issues discussed in times of a rapidly changing world and a challenging research environment (for instance challenges posed by artificial intelligence), both impacting the conduct of R&I and international cooperation in R&I.

A clear statement, e.g. in form of a declaration<sup>21</sup> on the values and principles to be covered by the dialogue, supported potentially by a longer-term roadmap, would be appreciated by many countries. Ministers should agree on the importance of science and on enhancing international R&I cooperation, especially for tackling global challenges. A reference to the European framework for Science Diplomacy currently being developed was also suggested by several participants. Furthermore, several participants suggested that the Ministerial meeting should make it clear that discussions on principles and values in research and innovation are already taking place at national level in many countries.

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<sup>21</sup> The UK mentioned the G7 Research Compact: <https://www.consilium.europa.eu/media/50365/g7-2021-research-compact-pdf-356kb-2-pages-1.pdf>. The OECD suggested to bring like-minded declarations such as the Marseille Declaration, the Lisbon Declaration on Humanities, Open Research and Innovation or the Bonn Declaration on Freedom of Scientific Research under one framework for international cooperation.

Several discussants noted that the declaration - or whatever is chosen at Ministerial level – should ideally be only the first of an ongoing discussion, and that it should be developed further depending on progress at subsequent meetings.

In order to prepare the Ministerial meeting on 16 February 2024, the participating countries of the Multilateral Dialogue were invited to set up a 'sherpa group' by putting forward nominations of delegates to the European Commission by the end of August 2023.

#### **4. Wrap-up and outlook**

With regard to the immediate further development of the Multilateral Dialogue, it was stated that the planned workshops on 'knowledge valorisation', 'partnership and solidarity with low- and middle-income countries', and 'security and integrity of research' should be organised swiftly. Countries and organisations are invited to prepare and support the content of these workshops.

In the medium-term, the intensive discussions to date have shown that there was interest to go deeper (in terms of content) as well as wider (in terms of participation and topics) and that other formats for discussion should be developed and offered in the future. For more in-depth exchanges and discussions, face-to-face events were proposed, possibly under the auspices of specific international organisations or fora. Several discussants noted that researchers needed a framework for international cooperation in order to navigate it safely. The creation of a roadmap for this purpose, which in the end would also provide guidelines, was raised by several participants in this context. However, some participants also noted that for developing new formats, flexibility and agility must be guaranteed so as to be able to adapt to unforeseeable developments.

Many participants agreed that the Ministerial meeting planned under the Belgian Presidency of the Council of the EU in Brussels on 16<sup>th</sup> February would be an excellent opportunity to take forward the issues discussed. They expressed their hope that the Ministerial meeting would voice a clear commitment to the importance of international R&I cooperation, endorsement of the principles and values to be covered by the Multilateral Dialogue and continued support for an open exchange of views, experiences, and best practices in the future.

In her remarks closing this session, Dr Lina Gálvez Muñoz, Member of the European Parliament, stressed the importance of promoting trust in science among the public and amongst politicians. She further stressed the importance of R&I to prepare for the many global challenges ahead, but also emphasised that research and innovation need good framework conditions, also with regard to international cooperation, which should be based on common principles and values, such as gender justice, which she mentioned as an example.

Ms Russo thanked all participants for their valuable contributions to the constructive discussion and extended an invitation to all countries of this Multilateral Dialogue to participate in the preparation of the Ministerial meeting on 16 February 2024.

## 5. ANNEX – List of participating countries and stakeholder organisations

Algeria	Luxembourg	ALLEA
Armenia	Malta	AURORA
Austria	Moldova	Council of the EU
Belgium	Montenegro	European Parliament
Brazil	Netherlands	EU Life
Canada	New Zealand	European Commission
Chile	Portugal	Euroscience
China	Romania	International Science Council
Cyprus	Slovakia	OECD
Czech Republic	Slovenia	Science Europe
Denmark	South Africa	The Guild
Egypt	Spain	UNESCO
Estonia	Switzerland	YERUN
Finland	UK	
France	USA	
Georgia		
Germany		
Greece		
Hungary		
Iceland		
India		
Ireland		
Israel		
Italy		
Japan		
Jordan		
Lithuania		