

**WORK PROGRAMME 2011**

***CAPACITIES***

**PART 4**

***RESEARCH POTENTIAL***

***(European Commission C(2010)4903 of 19 July 2010)***

**Capacities Work Programme: Research Potential**

The work programme presented here provides one call for proposals on '*Unlocking and developing the research potential of research entities established in the EU's Convergence regions and Outermost regions*'.

**TABLE OF CONTENTS**

<b>I</b>	<b>CONTEXT</b>	<b>4</b>
<b>II</b>	<b>CONTENT OF CALL IN 2011</b>	<b>7</b>
	<b>Area: 4.1. Unlocking and developing the research potential of research entities established in the EU's Convergence regions and Outermost regions – FP7-REGPOT-2011-1</b>	
<b>III</b>	<b>IMPLEMENTATION OF CALL</b>	<b>11</b>
<b>IV</b>	<b>INDICATIVE BUDGET</b>	<b>13</b>
<b>IV</b>	<b>INDICATIVE PRIORITIES FOR FUTURE CALL - 2012</b>	<b>13</b>

## **4. RESEARCH POTENTIAL**

### **Objective**

**Stimulating the realisation of the full research potential of the enlarged Union by unlocking and developing existing or emerging excellence in the EU's Convergence regions and Outermost regions<sup>1</sup>, and helping to strengthen the capacities of their researchers to successfully participate in research activities at European Union level.**

### **I CONTEXT**

Europe is not making the most of its research potential and resources located in less advanced regions remote from the European core of research and industrial development. Indeed, the Convergence and Outermost regions research actors may find difficult to play their role and find their place in the European Research Area (ERA), because they are facing problems of brain drain, infrastructure, economic and institutional organisation or lack of appropriate access to finance. This action will enable highest quality research entities<sup>2</sup> in these regions – whether in the public or private sector - to reinforce their excellence and creativity while taking advantage of the knowledge and know-how existing in leading research organisations of Europe. Hence, they will contribute actively to the regional or European economy and social welfare, in line with the mutually reinforcing priorities of the Europe 2020 Strategy. In this way they will become dynamic actors of the ERA within the enlarged Union.

### **Approach for 2011**

The action aims at strengthening the potential of *research entities established in the Convergence and Outermost regions of the European Union* (EU) that need new knowledge and support to realise their development. It will help to enhance the capacity of their researchers to successfully participate in research activities at EU level. It will therefore tackle a variety of challenges such as 'brain gain' through networking with other European world class research players and industry, upgrading of relevant RTD infrastructure,

---

<sup>1</sup> Convergence regions are listed in the C(2006) 3475 and are defined as those regions having a per capita gross domestic product (GDP) of less than 75 % of the average GDP of the EU-25. Subject to international instruments associating third countries to the 7<sup>th</sup> EU Framework Programme, other regions may become eligible for participation; the modalities for the identification of eligible regions will be defined in these international instruments. All regions of Albania, Bosnia and Herzegovina, Croatia, FYROM, Montenegro, Serbia and Turkey are eligible for participation as well as Galilee region of Israel.

Outermost regions are defined according to the article 349 of the Treaty on the Functioning of the European Union: Guadeloupe, French Guiana, Martinique, Réunion, Saint-Barthélemy and Saint-Martin (France), the Canaries (Spain), and the Azores and Madeira (Portugal).

<sup>2</sup> Research entities are for the purpose of this action defined as research centres and universities.

recruitment of experienced researchers and institutional mobilization as well as dynamic contribution to the regional or European sustainable socio-economic development.

On the grounds of past experience, the *Research Potential* action will focus on **high quality research entities of significant scientific size**<sup>3</sup> to ensure the highest impact of the European Union intervention. These research entities, public or private, should demonstrate a high quality of human, material and organisational capacity, allowing hosting several new experienced researchers and engineers from the country concerned and abroad. Their research potential increase will be realised in **close cooperation with at least 3 European outstanding research 'partnering organisations'** in the same S&T domain or in a complementary field. The '*partnering organisations*' should be established in at least 3 different Member States or Associated Countries, other than that of the applicant. From the European perspective, it will be crucial to put more emphasis on linking these beneficiaries to larger interdisciplinary communities as well as to the regional/national or European sustainable development needs.

A Steering Committee for research strategy should be foreseen with top class scientists (e.g. representatives of the '*partnering organisations*'). Regional authorities, funding agencies, representatives of the national research bodies, applicant's parent organisation, and end-users (SMEs, industry, etc) could also participate if appropriate, especially in order to ensure synergies with local, regional or national policies or programmes. Such an approach will increase the sustainability of the Convergence and Outermost regions' RTD players. It will also enhance the up-scaling of their potential and will allow them to become dynamic "innovation engines" capable of sustaining regional or national growth and employment.

Such a strategy will permit to:

- Establish and expand networks across Europe to support high quality research, exchange know-how and experiences and ensure technology and knowledge transfer so that leading-edge research can thrive in the Convergence and Outermost regions;
- Increase the participation of beneficiaries in any scientific field covered by the EU FP7;
- Attract, develop and retain the best research professionals in the Convergence and Outermost regions' research centres;
- Up-grade and extend the laboratory equipment and research performance of the Convergence RTD actors to improve the research environment and ensure leadership;
- Increase the visibility of excellence in S&T research of the Convergence and Outermost regions' research centres and ensure the setting-up of long-lasting strategic partnerships whilst developing the research skills of the future leaders in the concerned thematic domains;
- Demonstrate responsiveness to society and regional/European development concerns with involving relevant regional or national authorities at an early stage of the projects.

This mono-applicant action will support projects carried out by individual research entities established in the eligible regions. The projects must have a multi-partner approach involving cooperation with at least 3 outstanding research '*partnering organisations*' established in at

---

<sup>3</sup> Such as University Departments, Faculties, specialised Research Institutes or important size research laboratories with at least 10 permanent experienced researchers

least 3 different Member States or Associated Countries, other than that of the applicant. Research and technological development joint projects are not eligible for funding under this programme.

The applicant research entities will be qualified in any scientific and technological field within the scope of European Union research eligible under the EU FP7.

### **The consultation process**

Expert Groups' contributions have been taken into account for the preparation of this action, including the Expert Advisory Group for "Regional aspects in the FP7".

### **Modalities of implementation**

The 2011 Work Programme will be implemented through one call for proposals: '*Unlocking and developing the research potential of research entities established in the EU's Convergence regions and Outermost regions*'. The applicable Funding Scheme for the above call is 'Coordination and Support Actions' (**Supporting Action (CSA-SA)**).

The 2011 Work Programme will cover the following activities:

- Exchange of know-how and experience
- Recruitment by the selected research entities of experienced researchers
- Upgrading, development or acquisition of research equipment
- Organisation of workshops and conferences, dissemination and promotional activities
- Ex-post Evaluation of applicants' research potential (optional)

## II CONTENT OF CALL

### **Area: 4.1. Unlocking and developing the Research Potential of research entities established in the EU's Convergence regions and Outermost regions**

Indicative available budget: EUR 64.68 million.

#### **Topic: FP7-REGPOT-2011-1**

This Activity will enable *highest quality* or *most promising research entities* of significant size (such as University Departments, Faculties, specialised Research Institutes or important size research laboratories with at least 10 permanent experienced researchers) in the eligible regions, qualified in any S&T field within the scope of EU research eligible under the EU FP7, to become actively integrated in the ERA.

In the proposal, the applicant research entities have to *provide evidence of their excellence in research* and *of their leadership potential in the scientific fields of their competence*. They should include a clear description of their RTD objectives, their main research activities and demonstrate a promising track-record of achievements; self-assess their research accomplishments to demonstrate their potential and expertise; describe the organisation of their entity (who is doing what, short description of available research facilities in terms of staff and durable equipment); provide short CVs of the most important researchers of their entity, a list of most recent and significant publications or patents, collaborations with other RTD entities in the country or elsewhere, possible participation in research programmes or activities funded by the European Commission, other national or international organisations or the private sector (SMEs, industry, end-users), etc.

A complete *SWOT analysis* (Strengths, Weaknesses, Opportunities and Threats) of the applicant's research entity should be included in the proposal. On this basis, the applicant should propose an *Action Plan* based on a coherent set of measures given below *with the aim to further develop or strengthen their S&T research potential and capacity*.

Particular attention will be paid to the quality of the defined Action Plan. It will be assessed toward its capacity to respond to:

- the objectives of the Research Potential activity;
- the SWOT analysis of the applicant;
- the need to define a long term high quality research strategy of the applicant taking into account the state of the art and future perspectives of the scientific domain,
- the need for sustainability of the measures in line with this research strategy and beyond the project lifetime.

The Action Plan will be realised by supporting and mobilising the applicants human and material resources; by developing strategic partnerships with other outstanding research 'partnering organisations' elsewhere in the Union and - wherever appropriate - with SMEs or industry; by sharing results of their research with the scientific community and potential beneficiaries; by facilitating the communication between research entities having similar or complementary scientific interests and by improving their contribution to the socio-economic

needs of the country. Management and protection of intellectual property related issues can also be considered on a case-by-case basis.

The strategy presented in the **Action Plan** will be implemented in cooperation with the research 'partnering organisations'. A Steering Committee for research strategy should be foreseen with top class scientists (e.g. representatives of the 'partnering organisations'). Regional authorities, representatives of the national research bodies and end-users (SMEs, industry, etc) could also participate if appropriate. The Steering Committee will target the sustainability of the Action Plan and the applicant's research agenda beyond the project's end.

Research and technological development joint projects are not eligible for funding under this call. Applicants should indicate whether the proposed activities raise sensitive ethical issues.

In this way, the activity supports capacity building for improving the selected research entities' participation in European research cooperation, in particular in the FP7.

**Topics:** Any research topic covered by the EU FP7<sup>4</sup>.

### **Participants**

Any public or private research entity (**as a single proposer**) established in the EU's Convergence regions and Outermost regions of significant size such as university departments, faculties, specialised research institutes or important size research laboratories with at least 10 permanent experienced researchers. These research entities must not be a subsidiary or branch of another legal entity established in a different country.

### **Type of activities/work**

This Activity will support the implementation of an **Action Plan** defined by the applicant, derived from its **SWOT** analysis. The Action Plan must include the following set of **four coherent measures**:

- **Exchange of know-how and experience** through trans-national two-way secondments of research staff between the applicant and three or more knowledgeable and experienced 'partnering organisations' established in at least 3 other different EU Member States or Associated Countries, other than that of the applicant. Return mechanisms for these seconded staff should be described in the proposal. Additionally, partners from the applicant's country can be added, including when appropriate, stakeholders like enterprises, SME, hospitals, etc.
- **Recruitment by the applicant of experienced researchers.** In this context the return of nationals having left the country is particularly encouraged. Experienced engineers, scientists or technicians for running the newly acquired equipments are also eligible.
- **Upgrading, development or acquisition of research equipment<sup>5</sup>** for the applicant. This measure should not account for more than 30% of the total project budget. Only in duly

---

<sup>4</sup> DECISION No 1982/2006/EC OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 18 December 2006 concerning the Seventh Framework Programme of the European Community for research, technological development and demonstration activities (2007-2013), published in the Official Journal 30.12.2006 L 412



justified cases where the equipment is capital to increase the applicant's research capacity, it may be up to 45 % of the total project budget.

- **Organisation of workshops and conferences, dissemination and promotional activities** for knowledge sharing, networking and for better visibility at national and European level. Workshops and conferences targeting the research excellence and the reputation of the applicant could be envisaged as well as short term training events.

In case where one or more of the above mentioned 4 measures of the Action Plan are considered not to be appropriate (either because the measure is already realised or because it is not relevant for the applicant research entity), justification should be provided in the proposal.

**Ex-post Evaluation of applicant's research potential:** In addition to the above listed 4 measures, the applicant research entity can optionally apply for an international independent expert evaluation of its overall research quality and capability (including management and infrastructure). This evaluation will take place after the end of the implementation of the Action Plan, over a period of up to 6 months and it will be carried out by high-level, independent international experts nominated by the Commission. The results of this evaluation should be discussed jointly with the representatives of the national research ministry and regional authorities to determine the most appropriate ways and methods to preserve the applicant's 'excellence' and to explore its contribution to the regional sustainable development.

This activity should be developed in a separate work package which eligible costs should not exceed EUR 100.000.

In order to ensure long term sustainability of the applicant research entity, synergies between measures proposed in the Action Plan and actions supported through the Cohesion Policy programmes should be presented in the proposal. The expected added value and complementarity with the funding requested to the call should be described in details.

### **Duration**

Projects will last up to 36 months. In the case the optional ex-post evaluation of applicant's research potential facility is requested, projects will last up to 42 months.

### **Funding Scheme that apply:**

The applicable Funding Scheme is 'Coordination and Support Actions' (**Supporting Action (CSA-SA)**).

The EU contribution envisaged for Coordination and Support Actions (Support Action (CSA-SA)) will be up to EUR 4 million.

The EU financial contribution may reach a maximum of 100 % of the total eligible costs.

---

<sup>5</sup> The acquisition of research equipment is one of the core activities of the Research Potential programme. Consequently, the EU will bear up to the total cost of the research equipment (except VAT), regardless of the depreciation model used by the beneficiary.

**Expected impact:**

- Better integration of the selected research entities in the European Research Area as a whole (long lasting partnership with research groups elsewhere in Europe);
- Upgrading the RTD capacity and capability (human potential: number of new researchers and training of research staff, improvement of scientific equipment) as well as the quality of research carried out by the selected research entities;
- Improved research capacity for increased contribution to regional economic and social development;
- Improvement of participation of the applicant entity in FP7 projects.

### III IMPLEMENTATION OF CALL

**Call title: Unlocking and developing the research potential of research entities in the EU's Convergence regions and Outermost regions**

- **Call identifier:** *FP7-REGPOT-2011-1*
- **Date of publication:** *20 July 2010<sup>6</sup>*
- **Deadline:** *07 December 2010 at 17.00.00, Brussels local time<sup>7</sup>*
- **Indicative budget:** *EUR 64.68 million<sup>8</sup>*
- **Topics called:**

Activity/ Area	Topics called	Funding Schemes
<i>REGPOT-2011-1. Unlocking and developing the research potential of research entities in the EU's Convergence regions and Outermost regions</i>	<i>Any research topic covered by the EU FP7</i>	<i>CSA-SA (Supporting Action)</i>

- **Eligibility Conditions:**
  - The general eligibility criteria for the different funding schemes are set out in Annex 2 to this work programme and in the guide for applicants. Please note that the completeness criterion also includes that part B of the proposal shall be readable, accessible and printable.
  - Particular requirements for participation: The projects must be proposed by a single public or private research entity of significant size such as university departments, faculties, specialised research institutes or important size research laboratories. These

---

<sup>6</sup> *The Directorate-General responsible for the call may publish it up to one month prior to or after the envisaged date of publication.*

<sup>7</sup> *The Director-General responsible may delay this deadline by up to two months.*

<sup>8</sup> *Under the condition that the draft budget for 2011 is adopted without modifications by the budgetary authority. The budget for this call is indicative. The final total budget awarded to this call, may vary by up to 10 % of the total value of the call.*

research entities must not be a subsidiary or branch of another legal entity established in a different country.

- Restrictions on participation: EU Convergence regions and Outermost regions. Subject to international instruments associating third countries to the 7th EU Framework Programme, other regions may become eligible for participation; the modalities for the identification of eligible regions would be defined in these international instruments. All regions of Albania, Bosnia and Herzegovina, Croatia, FYROM, Montenegro, Serbia and Turkey are eligible for participation as well as Galilee region of Israel.
- Evaluation procedure:
  - The evaluation criteria (including weights and thresholds) and sub-criteria together with the eligibility, selection and award criteria, for the different funding schemes are set out in Annex 2 to this work programme.
  - The evaluation will follow a single stage procedure.
  - Proposals will not be evaluated anonymously.
- Indicative evaluation and contractual timetable: *it is estimated that evaluation results will be available within 4 months after the closure date; grant agreement signature: it is estimated that the first grant agreements related to a call will come into force 9 months after the closure date.*
- Consortia agreements: *No consortium-agreement is required for this call.*
- The forms of grant and maximum reimbursement rates which will be offered are specified in Annex 3 to the Capacities work programme.
- Use of flat rates for subsistence costs:

In accordance with Annex 3 of this work programme, this call provides for the possibility to use flat rates to cover subsistence costs incurred by beneficiaries during travel carried out within grants for indirect actions. For further information, see the relevant Guides for Applicants for this call. The applicable flat rates are available at the following website: [ftp://ftp.cordis.europa.eu/pub/fp7/docs/flat-rates-subsistence\\_en.pdf](ftp://ftp.cordis.europa.eu/pub/fp7/docs/flat-rates-subsistence_en.pdf).

**IV INDICATIVE BUDGET<sup>9</sup>** for the Research Potential Activity for the 2011 work programme

<b>Activities</b>	<b>Indicative budget 2011 (EUR million)<sup>10</sup></b>
• Call <i>FP7-REGPOT-2011-1<sup>11</sup></i>	64.68
• <i>2011 Expert evaluators</i>	0.64
<b>INDICATIVE TOTAL BUDGET ALLOCATION</b>	<b>65.32</b>

**Budget figures in this work programme**

All budgetary figures given in this work programme are indicative. The final budget awarded to actions implemented through call for proposals may vary by up to 10% of the total value of the indicated budget for the call.

For actions not implemented through call for proposals:

- The final budget for evaluation, monitoring and review may vary by up to 20 % of the indicated budget for this action.

**V INDICATIVE PRIORITIES FOR FUTURE CALL - 2012**

In 2012, similar activities should be addressed to research legal entities in Convergence and Outermost regions of the EU in the Area of "Unlocking and developing the research potential of research entities in the EU's Convergence regions and Outermost regions". An ex-post impact assessment of the activity may be performed.

---

<sup>9</sup> Under the condition that the draft budget for 2011 is adopted without modifications by the budgetary authority.

<sup>10</sup> The Budget figures given in this table should be rounded to two decimals points.

<sup>11</sup> A reserve list may be produced of projects that pass the different thresholds of the evaluation but fall below the available indicative budget of a call, in case additional budget becomes available.