

WORK PROGRAMME 2012-2013

CAPACITIES

PART 4

RESEARCH POTENTIAL

Revised

(European Commission C(2012)9379 of 17 December 2012)

Capacities Work Programme: Research Potential

The revised work programme replaces the work programme adopted by Commission Decision C(2012)4526 of 9 July 2012. This update introduces the Call FP7-ERACHairs-Pilot Call-2013 under activity "4.1 Unlocking and developing the Research Potential of research entities established in the EU's Convergence regions and Outermost regions".

This update also provides the total amount allocated to the call FP7-ERACHairs-Pilot Call-2013 and modifies the figure of the draft budget for 2013.

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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 regions¹, and helping to strengthen the potential of their researchers to successfully participate in research activities at European Union level.

I CONTEXT

Innovation Union aspects of the 'Capacities' work programme

The Innovation Union initiative underlines that research and innovation are key drivers of competitiveness, jobs, sustainable growth and social progress. The work programme 2012-2013 has been designed to support the implementation of the Innovation Union Initiative and in particular to bring together research and innovation to address major challenges.

The work programme contributes to the innovation objective by identifying and addressing exploitation issues, like capabilities for innovation and dissemination, and by enhancing the use of the generated knowledge (e.g. protection of Intellectual Property, including rights).

The innovation component of the proposals will be evaluated under the evaluation criterion 'Excellence', whilst the innovation dimension of the proposals will be evaluated under the evaluation criterion 'Expected Impact'.

Approach for 2012-2013

Many research actors located in the Convergence and Outermost regions of the European Union (EU) have difficulties to become active players in ERA and in the 7th Framework Programme because they are facing problems of brain drain, lack of infrastructure and of

¹ 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 7th 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, Turkey and Galilee region of Israel are eligible for participation.

After adoption of the *Commission Decision on the approval of Anguilla, Aruba, Bonaire, Curaçao, Falkland Islands, French Polynesia, Mayotte, Montserrat, Saba, Saint Helena, Sint-Eustatius, Sint-Maarten, Wallis and Futuna as being equivalent to the common classification of territorial units for statistics (NUTS) level 2 to convergence regions in the EU for the purpose of participation in research cooperation actions funded under the 'Research Potential' part of the Seventh EU Framework Programme Capacities Specific Programme* the mentioned regions will also be eligible under the REGPOT calls.

Outermost regions are defined according to 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).

appropriate access to finance as well as low innovation performance. There is a clear need to **fully integrate** them in the **ERA**. **To achieve this, it is necessary they** advance scientific discovery and innovation and improve management of intellectual property (IP). Having met these challenges, the research actors concerned will play an active role in a sustainable development of European economy and growth. This is a key challenge of this call.

The activity aims at strengthening the potential of research entities established in the eligible regions that need new knowledge and support to sustain their development. It will help to enhance their capacity to successfully participate in research and innovation activities at EU level. Therefore, it will tackle a variety of challenges such as 'brain gain' through networking with other European world class research players and industry, upgrading of relevant RTD equipment, recruitment of experienced researchers, institutional mobilisation and dynamic contribution to the European or regional sustainable socio-economic development.

On the grounds of past experience, the *Research Potential* activity will focus on **excellent research entities of significant scientific size²** with **high potential to innovate**. Their research strategy should ensure the highest possible impact of the EU intervention. These research entities, public or private, should demonstrate a high quality of human, material and organisational capacity, allowing the hosting of several new experienced researchers and engineers. They should also demonstrate the capacity to innovate and to consider innovation as a key issue in their actual research strategy.

The enhancement of the research potential of the research entities will be realised through **close cooperation with European outstanding research 'partnering organisations'** in the same S&T domain or in a complementary field, and when appropriate with industry and SMEs from the regional, national or European landscape (call FP7-REGPOT-2012-2013-1), and by **attracting outstanding researchers to a research institution** as part of a strategy to upgrade its performance effectively widening participation in competitive European funded research (call FP7-ERACHairs-Pilot Call-2013).

Under the first approach 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 regional or national policies. 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 and European growth and employment.

This mono-applicant action will support projects carried out by individual research entities established in the eligible regions.

The second approach introduces the "ERA Chairs" initiative, which is part of a set of targeted measures proposed for Horizon 2020 to contribute towards closing the research and innovation divide in Europe. Research organisations interested in appointing an ERA Chair will have to commit to introduce measures and activities to facilitate the structural change and

² Such as University Departments, Faculties, specialised Research Institutes or important size research laboratories, with at least 10 permanent experienced researchers.

put in place the conditions needed to develop excellent research and to fully benefit from the appointment of an ERA Chair. This should include the necessary investments in facilities and infrastructures and the interaction with national and/or regional authorities to mobilise support, including from Cohesion funding, so that synergies between cohesion and research funding are strengthened. Smart specialisation strategies provide an excellent vehicle to articulate and plan such synergies.

In this context, and to prepare the ground for Horizon 2020, the Commission is launching a pilot call under FP7. This single beneficiary action will support projects carried out by individual research entities established in the eligible regions.

The applicant research entities should be qualified in any scientific and technological field within the scope of the EU FP7.

Such an approach 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 Research and Innovation Framework Programmes;
- Attract, develop and retain the best researchers in the Convergence and Outermost regions;
- Up-grade the laboratory equipment and research performance of the Convergence and Outermost RTD actors, to improve the research environment and ensure leadership;
- Increase the visibility of excellence of the research centres concerned and ensure the setting-up of long-lasting strategic partnerships in ERA;
- Demonstrate responsiveness to society and regional/European development concerns by involving relevant regional or national authorities at an early stage of the projects;
- Increase the innovation potential and contribute to economic growth;
- Foster synergies between Cohesion and Research funding; and
- Foster compliance with the ERA priorities, including open recruitment, gender balance, peer review, and structured innovative doctoral training;

• **Innovation dimension**

Considering the necessity to fully integrate the Convergence and Outermost regions' research actors in the ERA, *Research Potential* offers a tailor-made approach to promote excellence in research. The measures supported by the activity are preparing the best research centres in the economically weak and geographically remote regions to respond to the needs expressed in the Innovation Union Communication³ (e.g. 'free movement of knowledge' or 'more innovation out of our research').

³ COM (2010) 546

This activity will indeed enable highest quality research entities⁴ in these regions - whether in the public or private sector - to reinforce their excellence, bent for innovation and creativity while taking advantage of the knowledge and know-how existing in Europe. Hence, they will contribute actively to the European or regional economy and social welfare, in line with the mutually reinforcing priorities of the Europe 2020 Strategy, and will become dynamic actors of the ERA within the enlarged Union.

➤ Dissemination actions

The dissemination will mostly take place through national and regional contact points, organisation of information days, roundtables with targeted audience as well as with specific publications on projects and programme implementation and assessment.

➤ Overall expected impact

The beneficiaries will enhance their competitiveness and excellence in research thus becoming active players in ERA. They will also gain potential to directly contribute to a national and European sustainable economic development. In this way *Research Potential* will ensure synergy between the Research, Innovation and Cohesion Policies and will valuably contribute to boosting new sources of growth and social cohesion, major objective of Europe 2020.

⁴ Research entities are for the purpose of this action defined as research centres and universities.

II CONTENT OF THE CALL

This section describes all the topics for which proposals will be called in this work programme. This concerns only the content of the call. For all practical modalities related to this call, please refer to section III 'Implementation of calls'. For actions not implemented through calls for proposals, please refer to section IV 'Other actions'.

Activity: 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 141.76 million⁵.

Call identifier: FP7-REGPOT-2012-2013-1

CALL TITLE: Integration of research entities from the EU's Convergence and Outermost regions in the ERA and enhancement of their innovation potential

This Activity is addressed to *highest quality* or *most promising*⁶ *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), established in the eligible regions. These research entities may be qualified in any S&T field within the scope of EU FP7⁷.

In the proposals, the applicants 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 good 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, potential participation in research programmes or activities funded by the European Union, other national or international organisations or the private sector (SMEs, industry, end-users), etc.

The applicants should also make clear that the organisation and management of their Intellectual Property and innovation capability are part of their development strategy. The enhancement of their research potential will be realised in *twinning with at least 3 European outstanding research 'partnering organisations'* in the same S&T domain or in a complementary field, and when appropriate with industry and SMEs from the national or

⁵ This total amount includes EUR 66.34 million from the 2012 budget and EUR 75.42 million from the 2013 budget, under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

⁶ For Research entities established during the last three years.

⁷ 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 L 412 of 30.12.2006.

European landscape. The 'partnering organisations' must be established in at least 3 different Member States or Associated Countries, other than that of the applicant.

A complete **SWOT analysis** (Strengths, Weaknesses, Opportunities and Threats) of the beneficiary should be included in the proposal. The reason of the need for a European intervention rather than for a national one and the European added value of the proposal should also be addressed.

Taking into account the SWOT analysis, the applicant should propose an **Action Plan** based on a coherent set of measures given below, **with the aim to strengthen its S&T research and innovation potential**.

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

- Objectives of the *Research Potential* activity;
- SWOT analysis of the applicant;
- Need to reinforce the long-term high quality research and innovation strategy of the applicant taking into account the state of the art and future perspectives of the scientific domain;
- Sustainability of the measures, in line with the applicant's research strategy, beyond the project lifetime.

The Action Plan will be realised by supporting and mobilising the applicant's human and material resources; by developing strategic partnerships with other outstanding research 'partnering organisations' and - wherever appropriate - with SMEs or industry; by sharing research results and innovation experiences; by facilitating the communication between research entities having similar or complementary scientific interests and by improving their response to the European socio-economic needs. The 'partnering organisations' must be actively involved in several activities foreseen in the Action Plan.

A Steering Committee for research strategy should be foreseen in the Action Plan, involving top class scientists (e.g. representatives of the 'partnering organisations'), regional authorities, representatives of the national research bodies and, if appropriate, end-users (SMEs, industry, etc.). The Steering Committee will target the sustainability of the Action Plan and the applicant's research strategy beyond the project's end.

The Action Plan must include the set of **four coherent measures**:

- **Twinning through exchange of know-how and experience:** trans-national two-way secondments of research permanent staff between the applicant and 3 or more knowledgeable and experienced 'partnering organisations'. The organisation of workshops and conferences as well as dissemination and promotional activities for knowledge sharing, networking and for better visibility at national and European level might be envisaged. Partners from the applicant's country can be involved and, when appropriate, stakeholders like enterprises, SMEs, hospitals, etc.

- **Recruitment by the applicant of experienced researchers.** In this context the return of nationals having left the country is encouraged. Experienced engineers, scientists or technicians for running the newly acquired equipment are also eligible.
- **Upgrading, development or acquisition of research equipment⁸** for the applicant. This measure should not account for more than 30% of the total project budget. Only in duly 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.
- **Elaboration of a strategic Intellectual Property development plan** for IP management and protection and **innovation capacity building.** The plan will provide a framework for improvement of IP and protection of know-how. Innovation capacity building measures will assure IP training and update of competences, provide expertise on IP issues and assure organisation of the IP including networking with partnering entities for co-exploitation of results. IP and Innovation managers might be employed in this frame. Commercial activities are not eligible. Innovation capacity building refers to those capacities embedded into the applicant's structure which facilitates the use or exploitation of the acquired or created knowledge and technology. This also applies to the applicant's relationship with end-users or stakeholders using research outputs.

In case where one or more of the above-mentioned 4 measures of the Action Plan are considered not to be appropriate, justification should be provided in the proposal.

Applicants should indicate whether the proposed activities raise sensitive ethical issues.

Ex-post Evaluation of applicant's research potential: In addition to the above listed 4 measures, the applicant 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 at 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/European 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 complementarities with the funding requested to the call should be described in details.

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.

⁸ The acquisition of research equipment is one of the core activities of the Research Potential programme. Consequently, the EC will bear up to the total cost of the research equipment (except VAT), regardless of the depreciation model used by the beneficiary.

The applicable Funding Scheme is 'Coordination and Support Actions' (**Supporting Action (CSA-SA)**). The EU contribution envisaged will be up to EUR 5 million per project. The size of the budget should be coherent with the activities to be undertaken and the size of the applicant. The EU financial contribution may reach a maximum of 100% of the total eligible costs.

Research and technological development joint projects are not eligible for funding under this call.

Expected impact:

- Better integration of the eligible research entities in the European Research Area (long-lasting partnerships with research groups elsewhere in Europe);
- Upgraded RTD capacity and capability (human potential: number of new researchers and training of research staff; material potential: modern scientific equipment) as well as the quality of research carried out by the beneficiary research entities;
- Improved research capacity for effective contribution to regional economic and social development;
- Improvement of participation of the applicant's entity in FP7 and other important European programmes;
- Improvement of the applicant's innovation potential.

Call identifier: FP7-ERACHairs-Pilot Call-2013

CALL TITLE: ERA Chairs Pilot Call

The objective of the ERA Chair Initiative is to support universities and other research organisations⁹ located in Convergence and Outermost regions with a strong research capacity building profile, to significantly improve their performance in competitive research funding, under the direction of an outstanding researcher, the "ERA Chair holder".

Research organisations interested in establishing an ERA Chair shall submit a proposal aimed at facilitating structural change in the institution and ensuring that the conditions are in place to foster excellent research. This should include a description of the necessary investments in facilities and infrastructures and the interaction with national or regional authorities to mobilise support, including from Cohesion funding, so that synergies between cohesion and research funding are strengthened. The successful research organisations will publish the job vacancy and select the ERA Chair holder.

An ERA Chair holder should be an outstanding researcher and research manager in the given field of research, with a proven record of effective leadership (see ERA Chair holder profile). They will be selected through an open and transparent recruitment process. They should establish their own team and help the research organisation to significantly improve its research performance and to be more successful in obtaining competitive funding.

Activities should be focused on achieving concrete and clearly identified objectives. Objectives should be sustainable. Interaction with external stakeholders (regional/national authorities, innovative businesses, civil society organisations, etc) is an essential part of the action. Projects should have a quantifiable impact on the capacity of the institution and contribute to the achievement of the European Research Area.

Description of Work

ERA Chair Institutions (ECI) will provide a strategy to develop their research excellence and to fully capitalise on the spill-over effects generated by the ERA Chair. The grant will cover the appointment of the ERA Chair holder and a number of team members and will also provide a contribution towards measures aimed at facilitating structural changes in the institution. Any S&T field within the scope of FP7 is covered by this action.

The ECI will ensure that the selected ERA Chair holder is empowered to make a significant contribution to the research excellence in the chosen research field as well as to contribute to the overall capacity building process of the institution. The ERA Chair holder shall be part of the selection procedure of any new team member appointed under the project and shall be in a position to apply as lead scientist/principal investigator for national/international funding, publish independently as senior author, make appropriate resource allocation decisions and supervise team members.

⁹ Article 2(7) of Regulation (EC) No 1906/2006 of the European Parliament and of the Council of 30 December 2006 laying down the rules for participation in actions under FP7, OJ L391/1

The selection procedure of the ERA Chair holder will be carried out by the ECI and follow an open, transparent and merit-based recruitment process. The institution will set up a panel, composed of a majority of independent and international experts. It will also advertise the Chair holder post on the EURAXESS jobs portal for a pre-defined period. The ECI should propose an attractive remuneration package to the Chair holder.

It is expected that the Chair holder will commit him/herself for the full duration of the grant. The *ERA Chair holder shall* be designated as a full-time position (permanent or non-permanent) or as a contractual arrangement with the ECI in accordance with its national legislation and be remunerated in accordance with the general practices of the institution.

The ERA Chair team researchers are expected to be offered employment contracts or equivalent. Stipends will only be accepted when the national legislation does not allow for the use of fixed-term, employment contracts or equivalent.

The size of the ERA Chair research team to be recruited under the grant is expected to be at least of 300 months of full-time work equivalent (person/month). The ERA Chair holder will have flexibility in timely using the personnel according with the project needs.

It is necessary to include in the proposal the following information, that will be taken into account during the evaluation for the respective evaluation criteria:

a) S&T Research potential

1. The institution's existing organisational structure and activities

The ECI will provide a description of the existing organisational structure and activities¹⁰. It will explain the need for their institution to establish an ERA Chair within the national and European context. It will also provide a set of **Specific, Measurable, Attainable, Relevant and Time bound (SMART¹¹)** objectives to raise research excellence.

The following elements are to be included:

- Description of the R&D objectives, the main research activities, including national and international collaborations;
- Description of the organisational structure (including strategic management, human and financial resources);
- Description of the research facilities and infrastructure (human and technical resources);
- Description of training and career development programmes for doctoral candidates;
- SWOT analysis (Strengths, Weaknesses, Opportunities and Threats) of the institution's position within the national and European context. This analysis shall cover both the overall performance of the institution and more specifically the chosen

¹⁰ The quality of the participant/consortium will be evaluated under the Implementation criterion

¹¹ http://ec.europa.eu/regional_policy/sources/docgener/informat/2014/smart_specialisation_en.pdf

research department hosting the ERA Chair; the analysis shall take account of the structure as well as the research performance and its exploitation such as possible spin-offs, patents, etc.

2. Activities and objectives to develop their research excellence and improve performance

The ECI will present a work plan with activities and SMART objectives that can be achieved during the lifetime of the project.

The following elements are to be taken into consideration when preparing the work plan:

- Coherence with the SWOT analysis.
- European added value of the proposal.
- Measures to develop synergies between cohesion and research funding and ensure alignment with smart specialisation strategies.
- A strategy to ensure the sustainability and further development of the measures presented beyond the lifetime of the project, including the possibility of a long-term appointment of the ERA Chair holder.
- An approach towards raising research excellence in the chosen research area on a sustainable basis. The proposal must explain what measures the institution intends to implement to maximise the spill-over effect of the ERA Chair beyond the specific field of research concerned, including in terms of research capacity building, access to public and private funding, technology transfer etc.
- Measures and actions proposed by the institution to become more competitive, in particular those related to open recruitment¹², gender equality, innovative doctoral training and external peer review of institutions activity.
- Complementarity between the *ERA Chair holder's* tasks, responsibilities and profile and the proposed measures to use his/her knowledge and leadership potential.

b) Implementation, management structure and procedures

The following elements are to be taken into account:

- Description of the composition and tasks of a dedicated project management Board responsible for the implementation; it is expected that the majority of Board members are involved in the decision-making process of the institution covering strategic

¹² including international advertisement of vacancies on the EURAXESS Jobs portal.

management decisions, HR policy, financial management and administration; a project coordinator should also be appointed. The ERA Chair holder shall be a member of the Board.

- Appropriate allocation of resources (staff, infrastructures, labs, etc.) for the implementation of the work plan.
- Specific elements for the ERA Chair holder.
 - Clear description of the ERA Chair holder position in the institutional structure, including how he/she will be involved in the institution's decision making process.
 - Description of the roles, level of responsibility, obligations and tasks of the ERA Chair holder. This shall include management of projects, and appointment and supervision of his/her own research team.
 - Steps to ensure the **autonomy** of the Chair and to establish his/her own team, manage the ERA Chair budget and to perform his duties in order to improve the research performance of the organisation and to be more successful in obtaining competitive funding.
- Specific elements for the selection procedure of the ERA Chair holder:
 - It is necessary to include in the proposal the draft job description and the job advertisement text for the ERA Chair holder, which should also give a clear indication of the type of contract and of an attractive remuneration package.
 - It should take account of the fact that the ERA Chair holder:
 - Can be of any nationality;
 - Shall match the profile of an "Established Researcher (R3)" or "Leading Researcher (R4)" as set out in the European Framework for Research Careers¹³;
 - The selection procedure of the ERA Chair holder should start within one month following entry into force of the grant agreement.
 - It will be necessary to ensure that the following minimum criteria are included in the selection procedure of the ERA Chair holder in order to select the best candidate:

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http://ec.europa.eu/euraxess/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf

- The applicant has a proven international research experience through mobility, internationally co-authored publications, well established international collaborations, etc.
- The applicant has an international reputation based on research excellence in his/her field, as expressed in the number of publications as a senior author in major international peer-reviewed scientific journals, or equivalent such as the number of monographs or patents.
- The applicant has a proven record in securing significant research funding / budgets / resources and experience in managing and leading research projects.

c) Expected impact:

Taking account of the need to go beyond the lifetime of the project and demonstrate its sustainability, the proposal, as a minimum, will provide information on:

- development of research capacity and research excellence combining different funding streams;
- the increased participation of the institution in Horizon 2020 and other important European programmes; effectively widen participation;
- compliance with the ERA priorities¹⁴, including open recruitment, gender balance, peer review, and doctoral training;
- stronger interaction with national or regional authorities designing and implementing research and innovation strategies for smart specialisation;
- research activities to contribute to regional/national development plans on research infrastructure and innovation; and
- the research capacity for an effective contribution to regional economic and social development.

¹⁴ http://ec.europa.eu/euraxess/pdf/research_policies/era-communication_en.pdf

III IMPLEMENTATION OF THE CALL

For description of the topics of the call, please refer to section II 'Content of the call'

Activity: 4.1. Unlocking and developing the Research Potential of research entities in the EU's Convergence regions and Outermost regions

Call title: Integration of research entities from the EU's Convergence and Outermost regions in the ERA and enhancement of their innovation potential

Call identifier: FP7-REGPOT-2012-2013-1

- **Date of publication:** 20 July 2011¹⁵

Please note that no further call will be published in 2012 or 2013

- **Deadline:** 03 January 2012 at 17.00.00, Brussels local time¹⁶
- **Indicative budget:** EUR 141.76 million¹⁷

The budget for this call is indicative. The final budget of the call may vary up to 10% of the total value of the indicated budget for the call.

- **Topics called:**

Activity/Area	Topic called	Funding Schemes and eligibility criteria
FP7-REGPOT-2012-2013-1. <i>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>	CSA-SA <i>(Supporting Action)</i>

- **Eligibility Conditions:**

¹⁵ The Directorate-General responsible for the call may publish it up to one month prior to or after the envisaged date of publication.

¹⁶ The Director-General responsible may delay this deadline by up to two months.

¹⁷ This total amount includes EUR 66.34 million from the 2012 budget and EUR 75.42 million from the 2013 budget, under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

- The general eligibility criteria 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.
- Only information provided in part A of the proposal will be used to determine whether the proposal is eligible with respect to budget thresholds and/or minimum number of eligible participants.

Funding scheme	Minimum conditions
Coordination and Support Actions (Supporting Action)	1 independent legal entity

- **Additional eligibility criteria:**

- 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, with at least 10 permanent researchers. These 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, Turkey and Galilee region of Israel are eligible for participation.

- **Evaluation procedure:**

- The evaluation criteria and scoring scheme are set out in Annex 2 to this work programme.
- Proposal page limits: Applicants must ensure that proposals conform to the page limits and layout given in the Guide for Applicants, and in the proposal part B template available through the electronic Submission Services of the Commission.

The Commission might instruct the experts to disregard any pages exceeding these limits.

The minimum font size is 11. All margins (top, bottom, left, right) should be at least 15 mm (not including any footers or headers).

- The procedure for prioritising proposals with equal scores is described in Annex 2 to the work programme.

- **Indicative 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.

Flat rates to cover 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 on the Participant Portal at: http://ec.europa.eu/research/participants/portal/page/fp7_documents under 'Guidance documents for FP7/Financial issues/Flat rates for daily allowances'.

Call title: ERA Chairs Pilot Call

Call identifier: FP7-ERACHairs-Pilot Call-2013

Date of publication: 18 December 2012¹⁸

Deadline: 30 May 2013 at 17.00.00, Brussels local time¹⁹

Indicative budget: EUR 12 million²⁰

The budget for this Call is indicative. The final budget of the call may vary by and up to 10% of the total value of the indicated budget for the call.

Topics called:

Activity/Area	Topic called	Funding Schemes and eligibility criteria
<p><i>FP7-ERACHairs-Pilot Call-2013</i></p> <p><i>Activity 4.1 <u>Unlocking and developing the Research Potential of research entities in the EU's Convergence regions and Outermost regions</u></i></p>	<p><i>Any research topic covered by the EU FP7</i></p>	<p>CSA-SA</p> <p><i>(Supporting Action)</i></p>

Eligibility criteria:

The general eligibility criteria are set out in Annex 2 to this work programme. Please note that the completeness criterion also requires that part B of the proposal shall be readable, accessible and printable.

Only information provided in part A of the proposal will be used to determine whether the proposal is eligible with respect to budget thresholds and minimum number of eligible participants.

¹⁸ The Director-General responsible for the call may publish it up to one month prior to or after the envisaged date of publication.

¹⁹ The Director-General responsible may delay this deadline by up to three months.

²⁰ Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

Funding scheme	Minimum conditions
Coordination and Support Actions (supporting action)	1 independent legal entity.

- Additional eligibility criteria:

- The requested EU contribution shall not exceed a maximum of EUR 2.4 million for a period of up to 60 months and 90% of the total estimated budget for each proposal.

- Only Universities and other research organisations²¹ can apply under this Call;

- Universities and other research organisations located in EU Convergence regions and Outermost regions²². 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, Moldova, Montenegro, Serbia, Turkey and the Galilee region of Israel are eligible for participation.

Evaluation criteria

The evaluation criteria and scoring scheme are set out in Annex 2 to this work programme.

The following additional sub-criteria should be added under the S&T Quality and Implementation criteria envisaged in Annex 2:

1) under the S&T Quality criterion:

- ✓ Level of interaction with national and/or regional authorities in the planning and programming design of smart specialisation strategies.

²¹ Article 2(7) of Regulation (EC) No 1906/2006 of the European Parliament and of the Council of 30 December 2006 laying down the rules for participation in actions under FP7, OJ L391/1

²² 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. After adoption of the Commission Decision on the approval of Anguilla, Aruba, Bonaire, Curaçao, Falkland Islands, French Polynesia, Mayotte, Montserrat, Saba, Saint Helena, Sint-Eustatius, Sint-Maarten, Wallis and Futuna as being equivalent to the common classification of territorial units for statistics (NUTS) level 2 to convergence regions in the EU for the purpose of participation in research cooperation actions funded under the 'Research Potential' part of the Seventh EU Framework Programme Capacities Specific Programme the mentioned regions will also be eligible under this call. Outermost regions are defined according to 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).

- ✓ Level of interaction with additional stakeholders, e.g. through clusters and networks to innovative business partners, civil society organisations, etc., able to contribute to the definition and implementation of smart specialisation strategies.

2) under the Implementation criterion:

- ✓ Feasibility of the tasks allocated to the ERA Chair holder.

Evaluation procedure:

- In order to provide broader coverage and experience of different national systems, only one project per country will be funded, provided that it has passed thresholds of all evaluation criteria. Therefore, only the highest ranked proposal for a given country will be selected.
- Proposal page limits: Applicants must ensure that proposals conform to the page limits for Part B and layout given in the Guide for Applicants, and in the proposal part B template available through the electronic Submission Services of the Commission.

The Commission will instruct the experts to disregard any pages exceeding these limits.

The minimum font size is 11. All margins (top, bottom, left, right) should be at least 15 mm (not including any footers or headers).

- The procedure for prioritising proposals with equal scores is described in Annex 2 to the work programme.

Indicative timetable: Evaluation results should be available within 4 months after the closure date. Grant agreement signature: the first grant agreements related to a call should be signed within 9 months after the closure date.

Start date of the project:

The project shall start the first day of the month after the entry into force of the grant agreement.

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.

The budget will be dedicated to personnel costs, implementation of the measures set in the proposal and implementation of the ERA priorities, including training. Any transfers between categories are subject to approval by the EU project officer.

Project review:

First reporting period: Following the selection of the Chair holder, the ECI shall provide a report on the selection process and procedure, including the composition of the panel, CVs of the applicants and the minutes of the panel meeting(s).

The execution of the selection of the ERA Chair holder in line with the principles of open recruitment is a project deliverable. In case of non-execution, the Commission reserves the right to terminate the grant agreement according to article II.38 of the General Conditions.

Mid-term review: A mid-term review of the project will be performed by the Commission in accordance with the provisions of special clause 5 to the Grant Agreement.

Ex-post evaluation of the institution's research potential: In addition to the above, the Commission might conduct an ex-post evaluation of the institution's research potential.

Flat rates to cover 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 on the Participant Portal at: http://ec.europa.eu/research/participants/portal/page/fp7_documents under 'Guidance documents for FP7/Financial issues/Flat rates for daily allowances'.

IV OTHER ACTIONS²³ **(not implemented through calls for proposals)**

Evaluations, monitoring and review:

1. Appointed external experts will be used for the evaluation, monitoring, review of project proposals for the Call **FP7-REGPOT-2012-2013-1**.

Indicative budget: EUR 0.80 million

Funding scheme: Coordination and Support Action - Supporting Action - Expert contracts

2. Appointed external experts will be used for the evaluation and monitoring of project proposals for the Call **FP7- ERA Chairs-Pilot Call-2013**.

Indicative budget: EUR 0.40 million

Funding scheme: Coordination and Support Action - Supporting Action - Expert contracts

3. Support for the assessment of the national and regional research and innovation strategies for smart specialisation

A group of independent experts will be set up to provide assistance in the assessment of the national and regional research and innovation strategies for smart specialisation foreseen at Annex 1 to the draft common regulation relating to the future CSF funds²⁴. These strategies will be developed by the Member States and regions with the assistance of a Smart Specialisation Platform established at the JRC - Institute for Prospective Technological Studies (IPTS) in Sevilla²⁵.

The mandate of the expert group will be to examine and report on the draft strategies against specific assessment criteria.

Indicative budget: EUR 0.30 million

Funding scheme: Coordination and Support Action - Supporting Action - Expert contracts

²³ In accordance with Articles 14, 17 and 27 of Regulation (EC) No 1906/2006 of 18 December 2006 laying down the rules for the participation of undertakings, research centres and universities in actions under the Seventh Framework Programme and for the dissemination of research results (2007-2013).

²⁴ COM(2011) 615: Proposal for a regulation of the European Parliament and the Council laying down common provisions on the European Regional Development Fund, the European Social Fund, the Cohesion Fund, the European Agricultural Fund for Rural Development and the European Maritime and Fisheries Fund covered by the Common Strategic Framework and laying down general provisions on the European Regional Development Fund, the European Social Fund and the Cohesion Fund and repealing Regulation (EC) No. 1083/2006.

²⁵ <http://ipts.jrc.ec.europa.eu/activities/research-and-innovation/s3platform.cfm>

4. Support to an event organised by the Polish Institute of Fundamental Research of the Academy of Science organised during the Danish Presidency (spring 2012): Week of Innovative Regions in Europe (WIRE III)

Identifier: FP7-WIRE-2012-1 (*Week of Innovative Regions in Europe – WIRE*)

Technical content / scope

A two-day conference (WIRE III) will be organised during the EU Danish Presidency by the former Polish Presidency.

This conference will aim at giving an appropriate follow up to the conference organised in Debrecen by the Hungarian Presidency (WIRE II) and the conference organised in Granada during the Spanish Presidency (WIRE I: Week of the innovative regions of Europe).

It will highlight and discuss the conclusions drawn by the WIRE II conference in Debrecen. It will also discuss the future of the European Research and Innovation policy in the period (2014 – 2020).

Schedule: Spring 2012 in Poland

Funding scheme: Coordination and Support Action (Supporting Action) - Grant to Identified Beneficiary²⁶ - Institute of Fundamental Technological Research Polish Academy of Sciences, 5B Pawinskiego St., PL-02-106 Warsaw.

The Coordination and Support Action will be evaluated based on the evaluation criteria set out in Article 15 of the FP7 rules of participation (available in Annex 2 to this work programme).

Budget

The EU contribution to be envisaged will be up to EUR 0.25 million.

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

Expected impact:

This conference will take stock of the results achieved since the conference organised in Debrecen during the Hungarian Presidency (WIRE II) and the conference organised in Granada during the EU Spanish Presidency (WIRE I).

This event will also contribute to the discussion over the future period (2014-2020) on the improved interaction of the different systems oriented towards knowledge-based competitiveness; especially cluster policy and regional development policy for cluster initiatives.

²⁶ In compliance with Article 14a of the EC Rules for Participation and Article 168 of the Implementing Rules of the Financial Regulation.

5. Support to an event organised by the EU Irish Presidency: Week of Innovative Regions in Europe (WIRE IV)

Identifier: FP7-WIRE-2013-1 (*Week of Innovative Regions in Europe – WIRE IV*)

Technical content / scope

A two-day conference (WIRE IV) will be organised during the EU Irish Presidency (Presidency Conference). This conference will aim at giving an appropriate follow up to the WIRE III conference organised during the Polish Presidency. It will highlight and discuss cluster development policy in the context of transition from the Seventh Framework Programme for RTD (FP7) to the new proposed Horizon 2020 with particular emphasis on the enhancement of innovation performance and regional development. Particular attention will be paid to standardised processes for Regions of Knowledge, Research Potential, Competitiveness and Innovation Programmes and Structural Funds.

Schedule: spring 2013 in Ireland

Funding scheme: Coordination and Support Action (Supporting Action) – Grant to Identified Beneficiary²⁶: Enterprise Ireland, East Point Business Park, Dublin 3, Ireland

The Coordination and Support Action will be evaluated based on the evaluation criteria set out in Article 15 of the FP7 rules of participation (available in Annex 2 to this work programme).

Budget

The EU contribution to be envisaged will be up to EUR 0.40 million.

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

Expected impact:

This conference will take stock of the results achieved since the conference WIRE III organised in Poland during the Danish Presidency.

This event will also contribute to the discussion over the future period (2014-2020) on the improved interaction of the different systems oriented towards knowledge-based competitiveness; especially cluster policy and regional development policy for cluster initiatives.

V BUDGET¹⁷ for the Research Potential Activity for the 2012- 2013 work programme

Activities	Budget 2012 (EUR million)
Call FP7-REGPOT-2012-2013-1	66.34 ²⁷
Other actions: <ul style="list-style-type: none"> • Evaluations, monitoring and review (EUR 0.80 million); • Experts group (EUR 0.30 million) • Grants to Identified beneficiaries (EUR 0.65 million) 	1.75
ESTIMATED TOTAL BUDGET	68.09

Activities	Budget 2013 (EUR million)
Call FP7-REGPOT-2012-2013-1 ²⁸	75.42 ²⁹
Call FP7-ERACHairs-Pilot Call-2013	12 ³⁰
Other actions: Evaluations and monitoring EUR 0.40 million	0.40
ESTIMATED TOTAL BUDGET	87.82³¹

²⁷ 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.

²⁸ The total amount for this call is EUR 141.76 million including EUR 66.34 million from the 2012 budget and EUR 75.42 million from the 2013 budget, under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

²⁹ Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

³⁰ The Call will be financed by Third Country contributions.

³¹ EFTA and third country contributions may be used for the proposed action, however at this stage the exact amount cannot be determined.

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 calls for proposals:

- The final budgets for evaluation, monitoring and review may vary by up to 20% of the indicated budgets for these actions;
- The final budget awarded for all other actions not implemented through calls for proposals may vary by up to 10% of the indicated budget for these actions.