

WORK PROGRAMME 2012-2013

CAPACITIES

PART 4

RESEARCH POTENTIAL

(European Commission C(2011)5023 of 19 July 2011)

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*'.

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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 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

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.

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).

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 their research potential will be realised in ***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 local, national or European landscape.

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. 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 projects must have a multi-partner approach involving cooperation with at least 3 outstanding research '***partnering organisations***' established in at least 3 different Member States or Associated Countries, other than that of the applicant.

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;

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

- 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.

- **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').

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 leading research organisations of 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.

³ COM (2010) 546

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 66.57 million for 2012 .

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*⁵ *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 FP7⁶.

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

⁵ For Research entities established during the last three years.

⁶ 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.

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 equipments are also eligible.

- **Upgrading, development or acquisition of research equipment**⁷ 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.

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

⁷ 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.

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.

III IMPLEMENTATION 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 2011⁸*

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

- *Deadline: 03 January 2012 at 17.00.00, Brussels local time⁹*
- *Indicative budget: EUR 66.57 million for 2012¹⁰*

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
<i>FP7-REGPOT-2012-2013-1. 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>	CSA-SA <i>(Supporting Action)</i>

- Eligibility Conditions:

- 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.

⁸ The Directorate-General responsible for the call may publish it up to one month prior to or after the envisaged date of publication.

⁹ The Director-General responsible may delay this deadline by up to two months.

¹⁰ Under the condition that the draft budget for 2012 is adopted without modification by the budgetary authority. It is expected that this call budget will be increased significantly using 2013 appropriations, subject to the adoption of the 2013 budget by the European Parliament and the Council.

- 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 EPSS.
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 to 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>.

IV OTHER ACTIONS¹¹ (not implemented through calls for proposals)

Evaluations, monitoring and review:

Appointed external experts will be used for the evaluation, monitoring, review of project proposals. For these activities the indicative budget is EUR 0.80 million. A group of appointed experts will be set-up to perform a mapping of research legal entities established in the EU Convergence and Outermost regions and their excellence. For this activity the indicative budget is EUR 0.30 million.

Indicative budget: EUR 0.80+0.30 million

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

¹¹ 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).

V BUDGET¹⁰ for the Research Potential Activity for the 2012-2013 work programme

Activities	Budget 2012 (EUR million)
Call <i>FP7-REGPOT-2012-2013-1</i>	66.57 ¹²
Other actions: <ul style="list-style-type: none">• <i>2012-2013 Evaluations, monitoring and review (EUR 0.80 million);</i>• <i>independent experts group (EUR 0.30 million)</i>	1.10
ESTIMATED TOTAL BUDGET	67.67

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.

¹² 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.