

WORK PROGRAMME 2009

CAPACITIES

PART 4

RESEARCH POTENTIAL

(European Commission C(2009) 4236 of 8 June 2009)

Capacities Work Programme: Research Potential

The Work Programme presented here provides two calls for proposals, one on 'Unlocking and developing the research potential of research entities in the EU's convergence regions and outermost regions' and a second call on International Cooperation.

TABLE OF CONTENTS

I	CONTEXT	4
II	CONTENT OF CALLS IN 2009	6
	Area: 4.1.Unlocking and developing the research potential of research entities in the EU's convergence regions and outermost regions - REGPOT-2009-1	6
	Area: 4.2.International Co-operation - REGPOT-2009-2	9
III	IMPLEMENTATION OF CALLS	11
	Indicative budget for 2009	15
IV	INDICATIVE PRIORITIES FOR FUTURE CALLS	16

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 capacities of their researchers to successfully participate in research activities at Community level.

I CONTEXT

Europe does not fully exploit its research potential, in particular in less advanced regions remote from the European core of research and industrial development. This action (Research Potential) aims at establishing conditions that will allow research entities² in these regions - whether in the public or private sector - to exploit their research potential, thus contributing to regional development while taking advantage of the knowledge and experience existing in other regions of Europe. Hence this action will help to fully realise the European Research Area (ERA) within the enlarged Union.

Approach for 2009

In order to support the realisation of the full research potential of the enlarged European Research Area, a dedicated action will seek to unlock the potential of research entities and strengthen their development in the convergence regions and outermost regions of the European Union that are currently not using their possibilities to the full or that are in need of new knowledge and support to realise their potential. It will notably be focused on high quality research entities of significant scientific and organisational size.

By focusing on strengthening the research and technological development capacities of the selected research entities and on the development of collaboration between them and excellent research entities elsewhere in the EU, the action will contribute to the setting-up of strategic partnerships, enabling the selected research entities to realise their full potential. This will increase their contribution to regional sustainable development and employment growth and highlight their scientific excellence and visibility in the European Research Area (ERA).

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 EC 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 Turkey, Serbia, Croatia and FYROM are eligible for participation.

Outermost regions are defined according to the article 299§2 of the EC Treaty: Guadeloupe, French Guiana, Martinique and Réunion (the four French overseas departments), the Canaries (Spain), and the Azores and Madeira (Portugal).

² Research entities are for the purpose of this action defined as research centres and universities

The action will complement the investments in research capacity co-financed through the EU cohesion policy programmes for 2007-2013.

International Cooperation

To contribute to the realisation of the FP7's international dimension, a dedicated action under the 'Research Potential' activity will promote closer S&T cooperation opportunities between Europe and the Mediterranean³ Partner Countries (MPC). This will allow research entities of MPCs to establish contacts with counterparts in the European Research Area in order to improve their participation in the RTD Framework Programme and favour brain-gain environments through trans-national two-way exchanges of research staff between research entities established in the EU's convergence and outermost regions, in another Member State or Associated Country and in the MPC.

The consultation process

Expert Groups' contributions have been taken into account and an FP7 Expert Advisory Group for "Research Potential", composed of senior experts from ministries and research entities has also contributed to the preparation of this action.

Activities

The 2009 Work Programme will cover the following activities:

- Exchange of know-how and experience
- Recruitment by the selected research entities of incoming experienced researchers
- Acquisition, development, maintenance or upgrading of research equipment
- Organisation of workshops and conferences
- Dissemination and promotional activities
- Evaluation facility

The above listed activities of this Work Programme will be implemented through the following **areas**:

- Unlocking and developing the Research Potential of research entities established in the EU's Convergence Regions and Outermost regions;
- International Cooperation;

³ Algeria, Egypt, Jordan, Lebanon, Morocco, Tunisia, Syrian Arab Republic, Palestinian-Administered Areas and Lybia.

II CONTENT OF CALLS IN 2009

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 31 million.

Technical content/scope :

Topics - REGPOT-2009-1

This Activity will enable *highest quality* or *most promising research entities* of significant size such as University Departments, Faculties or specialised Research Institutes which are active in the thematic priorities' domains of the EC FP7 to become more integrated in the European Research Area. This will be realised through a coherent set of measures ("Action Plan") with the aim to reinforce their S&T potential by supporting and mobilising their human and material resources; by developing strategic partnerships (including twinning) with other outstanding research entities elsewhere in the Union and - wherever appropriate - with SMEs or industry; by disseminating scientific information as well as the results of S&T research; by facilitating the communication between research entities having similar scientific interests and by improving their responses to socio-economic needs of the country.

As such, the activity supports capacity building for improving the selected research entities' participation in European research cooperation, in particular in the 7th Framework Programme and for increasing their contribution to regional economic and social sustainable development.

This Activity does not finance research and technological development joint projects.

Topics: Any research topic covered by the EC FP7⁴.

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 a University Department, a Faculty or a specialised Research Institute. These research entities must not be a subsidiary or branch of another legal entity established in a different country.

Type of activities/work

⁴ 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

This Activity will support the **implementation** of an Action Plan defined by the research entities, derived from their **SWOT** (Strengths, Weaknesses, Opportunities, Threats) analysis. The Action Plan must include the following set of five coherent measures:

- **Exchange of know-how and experience** through trans-national two-way secondments of research staff between the selected research entities in the qualifying regions and three or more knowledgeable and experienced partner organisations in other EU Member States or Associated countries, with obligatory return mechanisms for these seconded staff originating from the selected research entities in the qualifying regions;
- **Recruitment by the selected research entities of incoming experienced researchers**, including managers, particularly as a means of encouraging the return of nationals having left the country;
- **Acquisition, development, maintenance or upgrading of research equipment** for the selected research entities and;
- **Organisation of workshops and conferences** to facilitate knowledge transfer at regional, national and international level involving both the selected research entities' own research staff as well as invited researchers from other countries relevant to the development of the selected research entities' international training capacity and reputation; participation of the research staff of the research entities selected under the scheme at international conferences or short term training events, for knowledge sharing, network building and to expose them to a more international environment;
- **Dissemination and promotional activities** to ensure increased visibility of the selected research entities and their activities within the EU and elsewhere.

In case where one or more of the above mentioned 5 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 selected research entity), this will have to be justified in the proposal. It should also be noted that the measure related to "the acquisition, development, maintenance or upgrading of research equipment" should not account for more than 30% of the total project budget. Only in duly justified cases where the equipment is crucial to increase the applicant's research capacity, it may be up to 45 % of the total project budget.

Evaluation facility: In addition to the above listed 5 measures, the selected research entities can optionally apply for an international independent expert evaluation of their 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. The results of this evaluation should be discussed jointly with the representatives of the national/regional research ministry and regional/local authorities to determine the most appropriate ways and methods to preserve the selected research entities 'excellence' and to explore its contribution to the regional/local sustainable development. Based on the results of this evaluation, the selected research entity might receive a certified recognition.

This activity should be developed in a separate work package which eligible costs should not exceed EUR 150 000 €

Research entities involved in **Research Potential** should explain the synergies between the measures set out in their Action Plan and related actions supported or to be supported through the cohesion policy programmes (specifically through the European Regional Development

Fund), whether in terms of human resources, the acquisition, development or upgrading of research equipment or activities for knowledge transfer.

Duration

Projects will last up to 36 months. In the case the optional independent expert evaluation activity is requested, projects will last up to 42 months.

Funding Schemes that apply:

The applicable Funding scheme is 'Coordination and Support Actions' (**Supporting Action**).

The Community contribution envisaged for Coordination and Support Actions (Supporting Action) will be up to EUR 4 million.

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

Expected impact:

- Better integration of the selected research entities in the European Research Area as a whole (partnership, including twinning 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 research management, 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 the potential of the selected research entities to participate in FP7 projects.

Area: 4.2. International Co-operation

Indicative available budget: EUR 8million.

Technical content/ scope:

Topics - REGPOT-2009-2

This activity will provide the opportunity for the Mediterranean Partner Countries (MPC) to develop partnerships through twinning actions with existing or emerging centres of excellence established in the EU's convergence and outermost regions and the Member States and/or the Associated Countries. This will be realised by improving scientific relationships, networking and development of the S&T Human Potential, exchanging of know-how and experience between the countries concerned as well as by upgrading the S&T research capacities of highest quality and/or promising research entities in the MPC. Improvements should be aimed at adjusting Mediterranean Partner RTD research entities' policies, boosting their scientific and technological research potential, and developing links between their scientific communities and those of Member States.

This Activity does not finance research and technological development activities.

Topics: Any research topic covered by the EC FP7.

Participants

Proposals should include at least 3 research entities: one established in a convergence or outermost region in the EU, one in another Member State or Associated country and one in a MPC. 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 an Action Plan defined by the selected research entities, which will be based on a coherent set of twinning measures for:

- Exchange of know-how and experience between the selected research entities in Member States or Associated Countries and those of the Mediterranean Partner Countries through trans-national two-way secondments of research staff between the selected entities, with in-built obligatory return mechanisms. Training in Member States or Associated Countries for Ph.D. students and/or post-doctoral researchers: sending scientists from the Mediterranean Partner research entities for short stays, to laboratories abroad, either for specialised training or to carry out a specific research experiment or to prepare cooperative activities and/or joint RTD proposals;
- Recruitment by the MPC selected research entities of incoming experienced researchers, including as a mean to particularly encourage the return of nationals having left the country, for teaching, training and/or joint research activities; and hiring of new young researchers to reinforce the human potential of the Mediterranean Partner selected research entities;
- Acquisition, development, maintenance, upgrading and/or renewal of S&T research equipment for the selected MPC research entities;

- Organisation of workshops and conferences to facilitate knowledge transfer at national and international level involving both the selected research entities' own research staff and invited researchers, from other countries in the frame of the development of the selected research entities' international training capacity and reputation; participation of the research staff of the selected entities under the scheme at international conferences or short term training events, for knowledge sharing, network building and to expose them to a more international environment;
- Dissemination and promotional activities to ensure increased visibility of the selected research entities and their activities.

Duration

The duration of a project could be up to 36 months.

Funding Schemes that apply:

The applicable Funding scheme is 'Coordination and Support Actions' (**Supporting Action**).

The Community contribution to be envisaged for Coordination and Support Actions (Supporting Action) will be up to EUR 1 million.

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

Expected impact:

- Accelerate the setting up of sustainable partnerships between the most competitive RTD centres of EU's convergence and outermost regions, Member States and Associated Countries, and Mediterranean Partner Countries to create networks with the MPCs in the frame of the European Research Area;
- Improving and/or enlarging the RTD capacity of Mediterranean Partner research entities of excellence in terms of S&T policy and research programmes, scientific and technical human resources and S&T infrastructures;
- Improve the participation of the Mediterranean Partner Countries in the FP7 networks and RTD projects.

III IMPLEMENTATION OF CALLS

Call title: Unlocking and developing the research potential of research entities in the EU's convergence regions and outermost regions

- **Call identifier:** *FP7-REGPOT-2009-1*
- **Date of publication:** *24 October 2008⁵*
- **Deadline:** *13 February 2009, at 17.00.00, Brussels local time⁶*
- **Indicative budget:** *EUR 31 million from 2009 budget⁷*
- **Topics called:**

Activity/ Area	Topics called	Funding Schemes
<i>REGPOT-2008-1. 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 EC FP7.</i>	<i>CSA-SA (Supporting Action)</i>

- **Eligibility Conditions:**
 - General eligibility criteria as mentioned in annex 2 will apply.
 - 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 or specialised Research Institutes which is established in the EU's convergence regions and outermost regions. 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 EC 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 Turkey, Serbia, Croatia and FYROM are eligible for participation.
 - The Community contribution envisaged for Coordination and Support Actions (Supporting Action) will be up to EUR 4 million.

⁵ *The Directorate-General responsible for the call may publish it up to one month prior to or after the envisaged date of publication*

⁶ *At the time of the publication of the call, the Director-General responsible may delay this deadline by up to two months.*

⁷ *The budget for this call is indicative. The final total budget awarded to this call, following the evaluation of proposals, may vary by up to 10 % of the total value of the call.*

- 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 dates; grant agreement signature: it is estimated that the first grant agreements related to a call will come into force 9 months after the closure dates.*
- 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.

Call title: International Co-operation

- **Call identifier: FP7-REGPOT-2009-2**
- Date of publication: 24 October 2008⁸
- Deadline: 13 February 2009, at 17.00.00, Brussels local time⁹
- Indicative budget: EUR 8 million from 2009 budget¹⁰
- Topics called:

Activity/ Area	Topics called	Funding Schemes
REGPOT-2008-2. International Co-operation	Any research topic covered by the EC FP7.	CSA-SA (Supporting Action)

- Eligibility Conditions:
 - General eligibility criteria as mentioned in annex 2 will apply.
 - Particular requirements for participation: At least one research entity from a Mediterranean Partner Country, one from a convergence or outermost region in a Member State or Associated Country and one from another Member State or Associated Country.
 - Restrictions on participation: Member States, Associated countries and Mediterranean Partner Countries¹¹.
 - The research entities must not be a subsidiary or branch of another legal entity established in a different country.
 - The Community contribution to be envisaged for Coordination and Support Actions (Supporting Action) will be up to EUR 1 million.

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 At the time of the publication of the call, the Director-General responsible may delay this deadline by up to two months.

¹⁰ The budget for this call is indicative. The final total budget awarded to this call, following the evaluation of proposals, may vary by up to 10 % of the total value of the call.

¹¹ Algeria, Egypt, Jordan, Lebanon, Morocco, Tunisia, Syrian Arab Republic, Palestinian-Administered Areas and Lybia.

- 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 dates; grant agreement signature: it is estimated that the first grant agreements related to a call will come into force 9 months after the closure dates.*

- 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.

INDICATIVE BUDGET¹² for the Research Potential activity for the 2009 Work Programmes

	Indicative budget 2009 ¹³
• Call <i>FP7-REGPOT-2009-1</i>	<i>EUR 31 million</i>
• Call <i>FP7-REGPOT-2009-2</i>	<i>EUR 8 million</i>
• <i>2009 Expert evaluators</i>	<i>EUR 0.52 million</i>
INDICATIVE TOTAL BUDGET ALLOCATION	<i>EUR 39.52 million</i>

Budget figures in this work programme

All budgetary figures given in this work programme are indicative. Following the evaluation of proposals the final budget awarded to actions implemented through calls for proposals may vary:

- by up to 10% of the total value of the indicated budget for each call, and
- any repartition of the call budget may also vary by up to 10% of the total value of the indicated budget for the call.

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 The budgets for the calls FP7-REGPOT-2009-1 and FP7-REGPOT-2009-2 are indicative: the final total budget awarded to the calls, following the evaluation of proposals, may vary by up to 10% of the total value of the calls. The final total budget awarded to 2009 Experts evaluators may vary by up to 20%.

¹³ 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.

IV. INDICATIVE PRIORITIES FOR FUTURE CALLS

In 2010, similar activities will 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"