

WORK PROGRAMME 2013¹

CAPACITIES

(European Commission C(2012)4526 of 09 July 2012)

¹ In accordance with Articles 179 to 190 of the Treaty on the Functioning of the European Union, and in particular Article 182(1) as contextualised in the following decisions: Decision 1982/2006/EC of the European Parliament and of the Council of 18/12/2006 concerning the Seventh Framework Programme of the European Community for Research, Technological Development and Demonstration (2007 – 2013) and the Council Decision 2006/974/EC of 19/12/2006 adopting a Specific Programme for Research, Technological Development and Demonstration 'Capacities' (2007 – 2013).

Capacities Work Programme

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i. General Introduction

The work programme, adopted by the Commission, is the final such exercise under the Capacities Specific Programme of the Seventh Framework Programme for Research, Technological Development and Demonstration Activities (FP7).

RESEARCH AND INNOVATION – THE KEY DRIVERS FOR NEW GROWTH AND JOBS

Aligned with the Europe 2020 growth and job creation strategy², this work programme is the Union's biggest investment package to date to boost research and innovation. The activities of the work programme have been prioritised and designed to ensure that their outputs and impacts would contribute to and push forward the key policy priorities of the European Union. Additionally this work programme has been tailored to fully fit the policy framework set out with the Innovation Union³, the Europe 2020 flagship initiative aimed at securing Europe's global competitiveness.

In practical terms, activities will address the significant innovation gap the Union is facing, they will build up the knowledge base and they will develop solutions to tackle a number of clearly identified societal challenges facing Europe at large. This work programme is indeed expected to have a significant macro-economic impact over time on European society through its contribution to creating new and sustainable jobs and growth.

From FP7 to Horizon 2020

The activities under this work programme will also provide for a preparation and smooth transition towards Horizon 2020, the EU's new research and innovation programme covering the period 2014-2020⁴. The 2013 work programme therefore **ushers in new approaches that will be deployed more fully in Horizon 2020**. The final FP7 Capacities work programme includes in particular the issues outlined below.

a) Facing EU challenges: strategic prioritisation

Across the work programme there has been a strong focus on priority areas having a high European added-value, including support to other EU policies, and a high potential impact. Each priority is anchored in a particular theme, but usually also with a cross-cutting involvement of one or more other themes. While the main contributions to these priorities come from the Cooperation Specific Programme, there are nonetheless certain important contributions under the Capacities Specific Programme. The priorities are:

- *Oceans of the future*: Promoting research and innovation on marine technologies, in particular sensors, anti-biofouling materials, and innovative transport and deployment systems for the offshore energy sector.

² Europe 2020: A strategy for smart, sustainable and inclusive growth' COM(2010) 2020 of 3.3.2010.

³ European Commission Communication on 'Europe 2020 Flagship Initiative Innovation Union' (COM(2010) 546 final of 6.10.2010).

⁴ COM(2011)809 of 30.11.2011

- *Water*: Improving the sustainability of natural resources, linked in part to the proposed European Innovation Partnership on Water. This priority is primarily supported under Environment, but with contributions from Science in Society.
- *Raw materials*: Moving European industry away from a resource-intensive basis (relying on raw materials, labour, energy etc.) to one that is more knowledge-intensive and sustainable. Here there are strong links to an important part of a proposed Horizon 2020 challenge and the proposed European Partnership on Raw Materials.
- *Smart Cities*: Part of the follow-up to the Commission's Communication on this subject; also with strong links to parts of the Public-private partnerships set up under the "Recovery package" (see annex 5). Wide ranging support comes primarily under Energy, ICT, Transport and NMP, but with important contributions also from Science in Society.
- *Secure clean and efficient energy*: Firmly driven by the SET plan⁵, including work on renewable energies and carbon capture and storage; and with strong link to a proposed challenge under Horizon 2020.
- *Public sector reform*: In the face of the financial and economic crisis, together with an ageing population and an increased dependency ratio with its attendant impact on the public purse, the European welfare state, in its different forms, is under huge pressure. New ways of organising public administrations need to be explored and developed. Relevant initiatives are also found in the Coherent Development of Research Policies.
- *Brain research*: Effective and translational brain research can have a major impact on health care costs, estimated at EUR 800 billion in 2010.
- *Anti-microbial resistance*: This follows up on the Commission's recently launched Action plan against the rising threats from antimicrobial resistance⁶; and also in line with commitments to the Millennium Development Goals⁷. Again, support is primarily under Health, but with contributions from Science in Society.
- *Bio Resource Efficiency*: This priority follows up on the Commission's Bio-Economy Communication⁸, and links as well to the greenhouse gas emission targets.
- *Europe: a destination for world-class researchers*. This priority underlines the proposed first pillar of Horizon 2020, helping make Europe an attractive place to do excellence research.

b) Ramping up the innovation dimension

More than ever before, this work programme embraces the full innovation cycle. The goal is to make sure that the fruits of research can be exploited, and to help place new products and services on the market. To this end:

⁵ COM(2009) 519 final of 7.10.2009.

⁶ 'Action plan against the rising threats from Antimicrobial resistance'. COM(2011)748 final of 15.11.2011.

⁷ Recalled by President Barroso recently in his declaration on the State of the Union at the European Parliament (28/9/2011).

⁸ COM(2012)60 final of 13.2.2012.

- Some parts – in particular Science in Society and Research for the benefit of SMEs – include demonstration, piloting, and validation measures.
- Demand-driven innovation is encouraged, by way of support to standardisation (e.g. Support for the Coherent Development of Research Policies and Science in Society); and actions relevant to existing European Innovation Partnerships (e.g. Support for the Coherent Development of Research Policies).
- More opportunities for non-technological innovation are provided, including support for public sector innovation (e.g. Prizes and expert groups); and social innovation, including transnational networks for incubators.

c) Enhancing participation of Small and Medium-Sized Enterprises (SMEs).

Innovative SMEs are the seedbeds for new jobs and future growth. We need to help existing ones flourish, and to encourage fresh start-ups.

The Research for the benefit of SMEs endeavours to enhance the research and innovation capacities of European SMEs which have little or no research capacity themselves to turn innovative ideas into products and services with clear future market potential in line with the aims of the Innovation Union. These specific measures are complemented by activities in the ‘Cooperation’ programme.

In total 105 topics in this work programme are dedicated in one way or another to SMEs, estimated to lead to around 20% of the total budget share. This includes SME-oriented topics, or topics generally encouraging industrial participants (including SMEs), as well as dedicated calls with strict rules leading to strong SME participation.

d) European Research Area

This work programme contributes to meeting the overarching objective of the EU research policy to develop an open and competitive **European Research Area (ERA)**, which is a core element in the research and innovation agenda of the Commission, as defined in the Innovation Union flagship.

The main premise of ERA is to increase research quality and impact, as well as to raise the attractiveness of the EU as a research location, by exploiting cross-border synergies. This would help to realise research critical mass and economies of scale unattainable at national level and to overcome deficiencies and inefficiencies arising from fragmentation, sub-criticality and duplication in R&D activities, and from a lack of policy coherence and coordination at and between regional, national and European levels. Tackling these depends upon the extent to which high-level political/ministerial commitment⁹ is matched by concerted action and enhanced partnerships between the Member States and the European Commission and research stakeholders as well as concrete research initiatives leading to substantial progress and improvements in research quality, impact and funding efficiency.

⁹ As in the Ljubljana Process, Council Conclusions on the Launch of the "Ljubljana Process"- towards full realisation of ERA, 30 May 2008.

ERA Chairs:

A pilot action on the proposed "ERA Chairs" in Horizon 2020 is being prepared for the 2013 work programme covering the Capacities Specific Programme. The aim of the "ERA Chairs" is to attract outstanding academics to institutions with a clear potential for research excellence, in order to help these institutions fully unlock this potential and hereby create a level playing field for research and innovation. Call details for this pilot action are expected to be provided in an update to this work programme before the end of 2012. The budget is envisaged to be of the order of EUR 12 million.

CONSULTATION AND ADVICE

The Capacities work programme is structured around 7 chapters, setting out the implementation of the parts. In general, each chapter is self-standing; however, applicants are advised to read this general introduction in addition to the chapter(s) containing the part(s) of interest. A range of issues of relevance to the Capacities work programme as a whole are also set out in Annexes 1-3.

In preparing this work programme, the Commission has relied on advice from a wide range of consultations, including from specific advice of a series of advisory groups¹⁰. The advisory groups are groups of independent, high-level, experts which have been set up by the Commission to advise on the implementation of the European Union's research policy in all parts contained in this work programme, except for Support to the Coherent Development of Research Policies. The experts were chosen based on their knowledge, skills and significant experience in the field of research and aligned issues covered by the Parts. More information on the members, and the work, of the advisory groups can be found on the Europa website.

The Commission is also assisted by the Programme Committee of Member State delegates. The Committee provides an opinion on the draft work programme before it is adopted by the Commission.

In the implementation of the Capacities Specific Programme, attention is also paid to the working conditions, transparency of recruitment processes, and career development as regards the researchers recruited on projects and programmes funded, for which the Commission Recommendation of 11 March 2005 on the European Charter for Researchers and on a Code of Conduct for the Recruitment of Researchers¹¹ offers a reference framework, while respecting its voluntary nature.

This work programme, in particular parts 1 (Research Infrastructures), 2 (Research for the benefit of SMEs), 3 (Regions of Knowledge) and 4 (Research Potential), can also contribute to allow the enhancement of synergies and complementarities between FP7 and Cohesion Policy investments in research and innovation¹² as described in the related communication from the Commission^{13 14}.

¹⁰ http://ec.europa.eu/research/fp7/advisory_en.html

¹¹ <http://ec.europa.eu/euraxess/index.cfm/rights/codeOfConduct>

¹² See also the "Practical guide to EU funding for Research, Development and Innovation" which sets out the complementarities of EU support for RTDI through the Seventh Framework programme, the Competitiveness and Innovation programme and the Structural Funds. The guide is available at the following link:

RESEARCH AND INNOVATION – A WIDE RANGE OF ACTIVITIES

Risk-Sharing Finance Facility

Commitment No. 10 of the Innovation Union Flagship Initiative¹⁵ is to increase private finance and close the market gap in investing in Research, Development and Innovation (RDI). The European added-value of public support is to overcome market gaps for the financing of European RDI with a high level of risk¹⁶.

In accordance with Annex III to the Capacities Specific Programme, the European Union (EU) provides a contribution to the European Investment Bank (EIB) for a Risk Sharing Finance Facility (RSFF). The objective is to foster primarily private sector investment in research, technological development and demonstration as well as innovation¹⁷. The EIB designed this new financing instrument with the European Commission with the financial support of the EU.

In compliance with the Capacities Specific Programme, the development of research infrastructures funded by the EU under this Specific programme shall be automatically eligible for the RSFF. Other research infrastructures of European interest could also be considered. The operation shall involve one or several legal entitie(s) (public bodies, industries, SMEs, research organisations, including universities) established in a Member State or an Associated Country. Legal entities established in Third Countries other than Associated Countries are also eligible if they participate in FP7 indirect actions and their costs are eligible for EU funding, or, in the case of research infrastructures, if their services are used or requested for use by research communities from at least three Member States or Associated Countries.

In December 2011, the Commission and the EIB responded to the European Council's and European Parliament's requests to develop and improve the RSFF through an amendment to the RSFF Cooperation Agreement. The EU now assumes a higher risk. The amendment enlarges the definition of entities eligible as research infrastructures: RSFF can help any entity that participates to the achievements of the "Research Infrastructure" Part (e.g. not only research infrastructures, but also suppliers and entities commercialising their outputs).

http://ec.europa.eu/research/participants/portal/ShowDoc/Extensions+Repository/General+Documentation/Guidance+documents+for+FP7/Financial+issues/new-practical-guide-web_en.pdf

¹³ COM (2007) 474 of 16.8.2007

¹⁴ In this context project applicants are encouraged to check the operational programme for the Structural Funds applicable in their region (http://ec.europa.eu/regional_policy/atlas2007/fiche_index_en.htm)

¹⁵ European Commission Communication on 'Europe 2020 Flagship Initiative Innovation Union' (COM(2010) 546 final, 6 October 2010)

¹⁶ In terms of current added value, the Independent Experts Group in charge of the RSFF interim evaluation in 2010 notably underlined that *"the RSFF has been one of the most successful instruments for addressing market imperfections in the debt financing of RDI investments in Europe. As the financial crisis unfolded, the market imperfections with respect to loan finance for RDI investments did not just increase substantially, they became to some extent ubiquitous. RSFF remained one of the few financial instruments available to innovative firms and organisations. RSFF helped many European research intensive firms to maintain RDI activities in period of major financial stress (...). It has provided loan finance to those innovative SMEs not interested in private equity funding"*.

¹⁷ Costs related to innovations activities may be considered as eligible EU RSFF Operations if they comply with the provisions set in the RSFF Co-operation Agreement between the European Union and the European Investment Bank (as stated in Article A4.6.2: Selection of Projects for Financing and the Eligibility Criteria under Annex IV).

The RSFF focus for 2013 is on maximising the implementation level for target groups that have so far been relatively less attracted to the RSFF, in particular research infrastructures under the Capacities Specific Programme. The expected results of awareness-raising activities and the larger definition of eligible research infrastructure are likely to lead to more loan signing in 2013.

For the period 2011-2013, following the positive results of the RSFF interim evaluation, the EU has released a contribution of EUR 500 million to RSFF, as foreseen in the RSFF legal basis¹⁸. For the period 2012-2013, it is expected that the EU transfers EUR 50 million (broken down as follows: in 2012: EUR 0 million; in 2013: EUR 50 million) to the EIB¹⁹ from the Capacities Specific Programme (Research Infrastructures Part).

This last year of FP7 is a preparatory phase for the development of innovative financial instruments for RDI under the proposed Horizon 2020, notably to help support research infrastructures.

Part 1 of this work programme gives more information on the RSFF.

PRACTICAL MODALITIES

This work programme provides additional detail of the implementation of the Capacities Specific Programme. The calls for proposals planned within this work programme are those which are scheduled to be launched in the second half of 2012 and in 2013.

a) Submitting a Proposal

Proposals should be submitted in accordance with the terms set out in a call for proposals. In order to submit a proposal, applicants should consult the following documents:

- The text of the call for proposals, as announced in the Official Journal of the European Union and published on the Participant Portal;
- This work programme; and
- The relevant Guide for Applicants.

There are also a number of other useful texts, which applicants could refer to, including the Specific Programme 'Capacities', the Rules for Participation for FP7, the 'Rules for Submission of Proposals and the Related Evaluation, Selection and Award Procedures', and the Commission Recommendation on the European Charter for Researchers and on a Code of Conduct for the Recruitment of Researchers. These documents, and other relevant background documents, are available on the Participant Portal. The forms of the grant which will be used and the maximum

¹⁸ The EU contribution to RSFF is expected to come from the following sources for the period 2011-2013: EUR 400 million from the Specific Programme "Cooperation" and EUR 100 million from the Specific Programme "Capacities".

¹⁹ Under the condition that the legislative authority releases the overall budgetary envelope of EUR 200 million for the RSFF for the period 2007-2011, as specified under Annex II of the Specific Programme "Capacities", among which EUR 150 million have been committed in the 2007-2011 period. This amount for 2013 corresponds to primary-credit appropriations. It will be complemented by an additional amount (corresponding to the allocation to RSFF of the EFTA credits.) It may be further increased by other Third Countries appropriations.

reimbursement rates for projects funded through the Capacities work programme are set out in Annex 3 and are applicable to actions as a result of calls for proposals and grants to identified beneficiaries, unless indicated otherwise in the different Parts. Participants have the possibility to use flat rates to cover subsistence costs incurred by beneficiaries during travel carried out within grants for indirect actions.

In addition, every Member State and Associated Country has appointed a set of National Contact Points (NCPs) to assist potential and successful applicants. There is a NCP for each of the Parts of the Capacities Programme, except for 'Support to the Coherent Development of Research Policies'. Applicants are encouraged to make contact with the relevant NCP from their country.

b) Evaluation Criteria and Related Issues

The 'Rules for Submission of Proposals and the Related Evaluation, Selection and Award Procedures' set out the basic procedures to be followed by all programmes under the Seventh Framework Programme.

The set of eligibility and evaluation criteria for this work programme is given in Annex 2 and is applicable to actions as a result of calls for proposals and grants to identified beneficiaries²⁰, unless indicated otherwise in the different Parts. Any deviations or complementary criteria, which may apply, are clearly set out in the relevant chapter of this work programme and in the text of the calls for proposals.

All proposals which deal with ethical issues and all proposals for which ethical concerns have been identified during the evaluation process may be reviewed by a separate ethical evaluation panel, before they can be selected for funding. Further information on this ethical review and all aspects of the evaluation procedure are given in the 'Rules for Submission of Proposals and the Related Evaluation, Selection and Award Procedures'.

The work programmes, and consequently the calls for proposals, may specify and restrict the participation of legal entities, according to their activity and type, or according to the funding scheme used.

Calls for proposals may involve a two-stage submission and/or a two-step evaluation procedure. When such a procedure is employed, this is clearly stated in the text of the call for proposals and the Guides for Applicants. More information on two-stage submission and two-step evaluation is given in the 'Rules for Submission of Proposals and the Related Evaluation, Selection and Award Procedures'.

In carrying out the evaluations of proposals received, the Commission may choose to send the proposals to external experts, or to make the proposals available electronically, so that the experts may carry out their examination and review of the proposals at their home and/or their place of work.

²⁰ According to Article 13 and Article 14 (a) of Regulation No 1906/2006 of the European Parliament and of the Council 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), OJ L391 of 30.12.2006.

c) Gender

The pursuit of scientific knowledge and its technical application towards society requires the talent, perspectives and insight that can only be assured by increasing diversity in the research workforce. Therefore, all projects are encouraged to have a balanced participation of women and men in their research activities and to raise awareness on combating gender prejudices and stereotypes. When human beings are involved as users, gender differences may exist. These will be addressed as an integral part of the research to ensure the highest level of scientific quality²¹. In addition, specific actions to promote gender equality in research can be financed as part of the proposal, as specified in Appendix 7 of the Negotiation Guidance Notes.²²

d) Ethical Aspects

All research carried out under this work programme must respect ethical principles and legislation as well as the requirements set out in the text of the Capacities Specific Programme. More information on the procedures for the peer and ethics review of submitted proposals is given in the 'Rules for Submission of Proposals and the Related Evaluation, Selection and Award Procedures'.

The Commission is fully committed to the principles set out in:

- a) The Charter of Fundamental Rights of the European Union²³ as well as in the relevant EU legislation;
- b) The declaration on the use of human embryonic stem cells, as set out in the annex to the Commission Communication COM(2006)548 of 26 September 2006²⁴. This states that the Commission will maintain the practice of the 6th Framework Programme. Accordingly, the Commission will not fund projects which include research activities which destroy human embryos, including for the procurement of stem cells. The exclusion of funding of this step of research will not prevent Community funding of subsequent steps involving human embryonic stem cells.

e) Support under the Capacities programme

This specific programme will support a range of actions involving the active collaboration of research teams from all sectors, including industry, SMEs, universities and other higher education institutions, research institutes and centres, international European interest organisations, civil society organisations, and any other legal entities. These actions will be implemented through the funding schemes: Collaborative Projects, Coordination Support Actions and Research for the benefit of Specific Groups (in particular SMEs). Legal entities from Associated Countries²⁵ may take part in the Capacities programme under the same terms and conditions as those based in Member States unless otherwise stated. International

²¹ Case studies are presented at www.genderedinnovations.eu

²² Guidance notes available at the following link:

http://ec.europa.eu/research/participants/portal/ShowDoc/Extensions+Repository/General+Documentation/Guidance+documents+for+FP7/Negotiations+and+amendments/negotiation_en.pdf

²³ OJ C 303/7, 14.12.2007, p.1. See also Strategy for the effective implementation of the Charter of Fundamental Rights by the European Union, COM(2010) 573 final, 19.10.2010.

²⁴ OJ L 412 of 30.12.2006, p. 42

²⁵ Albania, Bosnia & Herzegovina, Croatia, Faroe Islands, the Former Yugoslav Republic of Macedonia, Iceland, Israel, Lichtenstein, Moldova, Norway, Montenegro, Serbia, Switzerland and Turkey.

cooperation represents an important dimension of all research activities carried out in the Capacities Programme.

Through the principle of general opening up of all research activities, the participation by legal entities from third countries is allowed. This concerns both International Cooperation Partner Countries (ICPC, full list provided in Annex I) and other third countries, including the Associated Countries. Organisations from associated and ICPC countries are eligible for funding. Legal entities from other third countries and international organisations are eligible for funding under the conditions laid down in Art 29 (2) of the Rules for Participation. There is provision for the financing of the participation of research partners from the ICPC countries from the FP7 budget.

Some topics of the work programme, in areas of mutual interest and benefit, may target the participation of specific third countries. The participation of third countries may also be implemented in the form of coordinated or joint calls. Chapter 7 of this work programme focuses specifically on a range of activities designed to support and stimulate the participation of third countries in the Framework Programme.

f) Registration of legal entities in the Commission's Early Warning System (EWS) and Central Exclusion Database (CED)

The Commission uses an internal information tool (EWS), as well as a database available to public authorities implementing EU funds (CED) to flag identified risks related to beneficiaries of centrally managed contracts and grants with a view to protecting the EU's financial interests.

Prior Information of Candidates, Tenderers and Grant Applicants (*Article 8 of Decision on the EWS and Article 13 of Regulation on the Central Exclusion Database*):

Candidates, tenderers, grant applicants and, if they are legal entities, persons who have powers of representation, decision-making or control over them, are informed that, should they be in one of the situations mentioned in:

- the Commission Decision of 16.12.2008 on the Early Warning System (EWS) for the use of authorising officers of the Commission and the executive agencies (OJ, L 344, 20.12.2008, p. 125), or
- the Commission Regulation of 17.12.2008 on the Central Exclusion Database – CED (OJ L 344, 20.12.2008, p. 12),

their personal details (name, given name if natural person, address, legal form and name and given name of the persons with powers of representation, decision-making or control, if legal person) may be registered in the EWS only or both in the EWS and CED, and communicated to the persons and entities listed in the above-mentioned Decision and Regulation, in relation to the award or the execution of a procurement contract or a grant agreement or decision²⁶.

²⁶ More information on the EWS and CED, can be found here:
http://ec.europa.eu/budget/explained/management/protecting/protect_en.cfm

g) Budget Figures in this Work Programme

This work programme draws on financing from the 2013 budgetary year. All budgetary figures given in this work programme are indicative and subject to the condition that the draft budget 2013 is adopted without modifications by the Budgetary Authority.

Unless otherwise stated, final budgets may vary following the evaluation of proposals.

The final budget awarded to actions implemented through calls for proposals may vary:

- The total budget of the call 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.

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; and
- 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.

WORK PROGRAMME 2013

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PART 1

RESEARCH INFRASTRUCTURES

(European Commission C(2012)4526 of 09 July 2012)

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Objective

The overall objective of the Research Infrastructures Part of the 'Capacities' specific programme is to optimise the use and development of the best research infrastructures existing in Europe, and to help to create in all fields of science and technology new research infrastructures of pan-European interest needed by the European scientific community to remain at the forefront of the advancement of research, and able to help industry to strengthen its base of knowledge and its technological know-how.

I. CONTEXT

Political landscape

Against the backdrop of the current economic situation and increased global competition, the Union has defined a strategy to support growth and job creation, Europe 2020.

The *Innovation Union Flagship* initiative¹ supports this strategy through specific commitments. Research and innovation are key drivers of competitiveness, jobs, sustainable growth and social progress. The *Innovation Union* highlights the increasing relevance of world-class research infrastructures to enable ground-breaking research and innovation and stresses the need of pooling resources across Europe to build and operate research infrastructures in view of their cost and complexity. It commits Member States together with the Commission to complete or launch by 2015 the construction of 60% of the priority European research infrastructures currently identified by the European Strategy Forum on Research Infrastructures (ESFRI) and to increase the potential for innovation of research infrastructures. The *Digital Agenda for Europe*², another flagship initiative of Europe 2020, highlights the role and need for reinforcement of e-Infrastructures as well as targeted development of innovation clusters for building Europe's innovative advantage.

The work programme 2013 aligns with, and contributes towards, the objectives of Europe 2020, the Innovation Union and the Digital Agenda Flagships, and other EU policies. There is a determined focus on fostering new ideas, supporting world class teams tackling significant societal challenges, and on ensuring that the fruits of our investments can be properly exploited.

In this way the work programme provides for a smooth transition towards the new research and innovation programme for 2014-2020, Horizon 2020.

The proposed action in 2013 will also have synergies with the trans-European broadband backbone for public services, which is part of the Connecting Europe Facility (CEF) proposal. In addition to direct financial support to participants in RTD actions, the EU will improve their access to private sector finance by contributing financially to the 'Risk-Sharing Finance Facility' (RSFF), an innovative financial instrument established under FP7 by the European Investment Bank (EIB). Information on the RSFF is available online³ (see also section VII.4). The Commission will respond to further needs of potential beneficiaries for information on the RSFF (by, e.g., awareness-raising activities in conjunction with the European Investment Bank, participation to thematic events).

¹ Communication from the EC to the European Parliament, Council, European Economic and Social Committee and the Committee of the Regions, Europe 2020 Flagship Initiative Innovation Union COM(2010) 546 final

² Communication from the EC to the European Parliament, Council, European Economic and Social Committee and the Committee of the Regions, A Digital Agenda for Europe COM(2010) 245 final

³ <http://www.eib.org/products/loans/special/rsff/?lang=en> ; http://ec.europa.eu/invest-in-research/funding/funding02_en.htm

Research Infrastructures Action

Research infrastructures play an increasing role in the advancement of knowledge and technology and their exploitation. For example, radiation sources, data banks in genomics or in social science, observatories for environmental sciences, systems of imaging or clean rooms for the study and development of new materials or nano-electronics, are at the core of research and innovation processes. By offering high quality research services to users from different countries, including from the peripheral and outermost regions, by attracting young people to science and by networking facilities, research infrastructures help structuring the scientific community and play a key role in the construction of an efficient research and innovation environment. Because of their ability to assemble a 'critical mass' of people, knowledge and investment, they contribute to national, regional and European economic development. They are therefore at the core of the knowledge triangle of research, education and innovation.

The development of a European approach with regard to research infrastructures, including ICT-based e-infrastructures, and the carrying out of activities in this area at a European level, can make a significant contribution to boosting European research potential, increasing the efficiency and effectiveness of research, as well as to reinforcing European research communities. Indeed, since such infrastructures are expensive and need a broad range of expertise to be developed, they should be built, used and exploited on a European or even a global scale.

While Member States remain central in the development and financing of most infrastructures, the EU can and should via FP7 play a catalysing and leveraging role by helping to ensure wider and more efficient access to and use of the infrastructures existing in the different Member States. The EU actions should also stimulate the coordinated development, deployment and networking of these infrastructures, and foster the emergence of new research infrastructures of pan-European interest within a medium to long term vision⁴.

Within the scope of this EU action, the term 'research infrastructures' refers to facilities, resources, systems and related services that are used by research communities to conduct top-level research in their respective fields. This definition covers: major scientific equipment or set of instruments; knowledge-based resources such as collections, archives or structured scientific information; ICT-based e-Infrastructures (networks, computing resources, software and data repositories) for research and education; any other entity of a unique nature essential to achieve or enable excellence in research. Research infrastructures may be 'single-sited' or 'distributed' (a network of resources).

This EU action addresses only research infrastructures with a clear European dimension and added value in terms of performance and access. These infrastructures must contribute significantly to the development of European research and innovation capacities. The activities to be supported are identified under three main lines of actions as described below.

1 - Support to existing research infrastructures

The objective is to optimise the use and development of existing research infrastructures in all fields of science and technology, including e-Infrastructures, and to facilitate the access of research teams from all over the EU to these infrastructures. This line of action

⁴ Moreover, the EU also supports the development and construction of research infrastructures via Cohesion Policy.

represents the majority of the efforts (more than 60% of the operational funds) to be carried out under this Part of the Specific Programme. Support will be provided for:

- *Integrating Activities*: to bring together and integrate, on a European scale, key research infrastructures in a given field, in order to promote their coordinated use and development. Integrating Activities provide researchers with a harmonised and optimised access to the best research infrastructures of a given field, independent of where the research infrastructures are located and by whom they are operated. In particular, they provide users with harmonised and enhanced interfaces, improved processing methods and optimised procedures. Integrating Activities create the basis for a more rapid advancement of science in Europe, enabling the development of new advanced technologies and the associated growth of the European technology market as well as the creation of a new generation of researchers, ready to exploit in the best way all the essential tools needed for their research. Lastly, by integrating major scientific equipment (telescopes, synchrotrons, research vessels, etc.) or set of instruments (sensors, microscopes, radars, etc.), as well as knowledge-based resources (collections, archives, structured scientific information, data infrastructures, etc.), they harmonise and organise the continuous flux of data collected or produced by these facilities and resources.
- *e-Infrastructures*: Relentless progress in ICT makes it now possible to deploy integrated ICT environments that radically transform the process of scientific and engineering research. In *eScience*, computer simulation and knowledge extraction from unprecedented amounts of data help to address scientific and global challenges of enormous complexity and scale. These ICT-based environments, commonly called e-Infrastructures, empower researchers by offering them access to facilities and resources regardless of their location. They foster the emergence of new working methods, based on the shared use of resources across different disciplines and technology domains enabling sustainable collaboration and partnerships between researchers in 'virtual research communities' in all e-Science fields, thereby creating a single European space for "online" research. e-Infrastructures are often also used beyond research, for example in education or public services. They include today high-capacity and high-performance communication networks (GÉANT), cloud and grid-empowered resource sharing infrastructures and supercomputing facilities (PRACE), combined with scientific application software, data repositories and services. The further development and adoption of e-Infrastructures requires structured interaction between computational scientists and ICT engineers and a broad range of scientific disciplines as well as catering for the specific needs of scientific and industrial user communities.

2 - Support to new research infrastructures (or major upgrades of existing ones)

The aim is to help to create in all fields of science and technology new research infrastructures of pan-European interest needed by the European scientific community in order to remain at the forefront of the advancement of research, and be able to help industry to strengthen its base of knowledge and its technological know-how. This action would also examine the opportunities to exploit the potential for scientific excellence of the convergence and outermost regions through new infrastructures. This line of action represents about one third of the total financial resources available for this Part of the Specific Programme.

Support is provided for:

- *Design Studies*: to contribute to conceptual design studies for new research infrastructures, that demonstrate a clear European dimension and interest.
- *Construction of new infrastructures (or major upgrades of existing ones)*: to provide a catalytic and leveraging support for the construction of critical new facilities building primarily upon the work conducted by the European Strategy Forum on Research Infrastructures (ESFRI)⁵. This activity follows a two stage-approach:
 - *Stage 1 - support to the preparatory phase*: This first phase involves, in particular, the finalisation of the legal organisation, of the management and multi-annual financial planning. Some technical work could also be considered.
 - *Stage 2 - support to the implementation phase*: this phase involves the actual construction or deployment, building on the technical, legal, administrative and financial agreement achieved during the preparatory phase between all stakeholders.

Only projects which have sufficiently progressed in the preparatory phase could proceed to Stage 2. FP7 EU financial support for the implementation phase is limited to cases where there is a critical need and clear European added value for such a support.

3 - Support to policy development and programme implementation

The aim is to enhance the effectiveness and coherence of national and EU research policies and international cooperation in the field of research infrastructures.

Approach for 2013

The work programme for 2013 will build on the strategic approach for existing and new research infrastructures undertaken in previous years, taking into account the orientations set out in the *Europe 2020* strategy and its two flagship initiatives: *Innovation Union* and *Digital Agenda*. The foreseen actions will support the transition to Horizon 2020. They will help overcome the fragmentation of efforts and will contribute to the development of technological capacity, scientific performance and innovative advantage in Europe. They will contribute thereby to the development of a more efficient, attractive and seamless European Research Area.

- Innovation dimension of the activities and bridging towards Horizon 2020:

Call N° 11 for *e-Infrastructures* focuses on the support of the next phase of development of research and education networks in Europe (GÉANT), one of the main pillars of the online European Research Area. This call will address innovation explicitly, both at technology and at service level.

The 2013 work programme also contributes to the objectives of the *Innovation Union* and *Digital Agenda* flagships as follows:

The *Innovation Union* Commitment n. 4: "*Opening of Member State operated research infrastructures to the full European user community*" will be directly addressed by the addition of EUR 83.2⁶ million from the 2013 budget to the budget of Call N° 10 - FP7-

⁵ http://ec.europa.eu/research/infrastructures/index_en.cfm?pg=esfri

⁶ Under the condition that the draft budget for 2013 is adopted without modifications by the budgetary authority.

INFRASTRUCTURES-2012-1, published in July 2011, in particular to support a larger number of the *Integrating Activities* recommended under the call. These projects will provide to user community trans-national and on-line access to the best research facilities in Europe.

The *Innovation Union* Commitment n. 32: "*to step up European Union cooperation on the roll-out of the global research infrastructures*" will be directly addressed by Call N° 11 reinforcing Europe's position as a hub of global research networking by strengthening the international dimension of GÉANT.

The following aspects of the *Digital Agenda* will be directly addressed in the GÉANT topic:

- "Leveraging more private investment (Key Action 9) through the strategic use of pre-commercial procurement".
- "Ensure sufficient financial support to joint ICT research infrastructures and innovation clusters.

Finally, this work programme contains innovation measures in support of activities closer to market such as, in the GEANT topic:

- the possibility to implement R&D activities through public-private partnerships or pre-commercial procurement,
- the exploration of innovative business models e.g. for clouds, federated AAI (Authorisation and Authentication Infrastructure) and mobility; and contribution to international standardisation such as in IETF (Internet Engineering Task Force),
- the deployment of an open, advanced, virtualised, multi-domain testbed facility and its expansion to cloud testing.

- Strengthening the European Research Area

All activities foreseen in this work programme will directly contribute to reinforcing research infrastructures of pan-European interest. The addition of 2013 budget to the budget of Call N° 10 - FP7-INFRASTRUCTURES-2012-1, in particular to support a larger number of the *Integrating Activities* recommended under the call, will support a wider use of research infrastructures at Union level, and will promote their integrated use and development. The GEANT topic will enable compute- and data-intensive collaborative research and education anywhere in Europe and beyond. This will contribute to a more efficient, attractive and seamless European Research Area.

- Dissemination actions

In line with the political context set out in the Innovation Union a specific work package on innovation has been requested, whenever appropriate, in all Integrating Activities submitted to Call N° 10. This work package covers activities to reinforce the partnership with industry, e.g. transfer of knowledge and other dissemination activities, activities to foster the use of research infrastructures by industrial researchers, involvement of industrial associations in consortia or in advisory bodies.

Open Access Pilot in FP7: beneficiaries funded partially or entirely by the Capacities Programme under the e-Infrastructures activities are required to deposit peer-reviewed articles resulting from projects to an institutional or subject-based repository, and to make their best efforts to ensure open access to these articles within six months.

- International Cooperation

Call N° 11 will strengthen the international dimension of GÉANT, in particular:

- ensuring global connectivity and interoperability,
- developing an open, virtualised and multi-domain testbed facility and expanding it globally.

II. CONTENT OF CALLS

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

1.1 Support to existing research infrastructures

1.1.1 Integrating Activities

There will be no further call for proposals for 'Integrating Activities' under FP7.

However the 2013 Work Programme will add EUR 83.2⁷ million from the budget 2013 to the budget of the Call N° 10 - FP7-INFRASTRUCTURES-2012-1 published in July 2011. This additional funding will allow supporting a larger number of *Integrating Activities* projects recommended under that call.

1.1.2 e-Infrastructures

The e-Infrastructures activity fosters the emergence of new research environments in which 'virtual communities' of scientists and engineers are empowered to share and exploit the collective power of the European ecosystem of scientific and engineering facilities. The topic supported in 2013 is the deployment, operation and evolution of the pan-European high-capacity and high-performance communication networking (GÉANT) as well as the deployment of user-centric services, in close articulation with the National Research and Education Networks (NRENs). GÉANT should be seen as an e-Infrastructure that should be seamlessly integrated with other infrastructures and services for computing and data. Activities related to socio-economic impact assessment and evaluation should also be foreseen where appropriate. Projects shall implement (i) *Networking Activities*, (ii) *Service Activities* and (iii) *Joint Research Activities* (JRA) in a closely coordinated manner following the I3 model (see section VII-1).

Topics opened in Call FP7-INFRASTRUCTURES-2013-1 (Call N° 11):

INFRA-2013-1.2.1: GÉANT. The overall objective is to advance towards the GÉANT expert Group 2020 vision⁸, enabling compute- and data-intensive collaborative research and education anywhere in Europe and beyond, through innovative services and operational excellence. This also implies bridging the digital divide and ensuring the free and unimpeded movement of scientific data and knowledge in the EU. Specific objectives to be addressed are:

⁷ Under the condition that the draft budget for 2013 is adopted without modifications by the budgetary authority

⁸ "Knowledge without borders: GÉANT 2020 as the European Communication Commons", Report of the GÉANT expert group, October 2011.

- a) Support knowledge communities' growing requirements, address the approaching data tsunami⁹ and evolve GÉANT by:
- deploying the 100 Gbits/s technology across Europe and improving peering;
 - developing, testing and operating innovative user-centric services; decisions for investing in new services should be based on a clear business case and commitment to deploy by several NRENs;
 - strengthening the EU added value of GÉANT: adopt federated authentication and authorisation infrastructure (eduGAIN); define decision-making procedures for aggregating demand, brokering services and joint procurements at European level on behalf of NRENs; and aligning to the most recent regulations, e.g. in terms of data protection;
 - reinforcing Europe's position as a hub for global research networking, by ensuring intercontinental as well as neighbourhood connectivity;
 - seeking synergies with public services at European and national levels when appropriate.
- b) Ensure GÉANT stays at the forefront of innovation, boosting the innovation potential of research and education network communities by:
- R&D activities that are open to academia, industry and user communities, e.g. implemented through open calls, public-private partnerships or pre-commercial procurement¹⁰; this includes exploring innovative business models e.g. for clouds, federated AAI and mobility; and contributing to international standardisation, such as in IETF.
 - deploying an open, advanced, virtualised, multi-domain testbed facility and expanding it globally and to cloud testing;
 - exchanging staff between NRENs, academia and industry, and training;

In order to stimulate competition, the R&D activities that will be open to participation by external partners and implemented through open calls should amount to at least 50% of the EU contribution requested for the JRA. Where such activities concern applied research for developing new services, they will be supported only if tested over the GÉANT infrastructure and if there is commitment by at least three NRENs to use the services developed.

Achieving these objectives will require improving governance through greater end-user involvement and strengthened coordination with other e-Infrastructures in Europe and globally.

Given the specific objective of this topic, the proposal shall be submitted solely by legal entities operating the NRENs or legal entities created by the NRENs to contribute to the deployment of connectivity and services on a pan-European scale (e.g. DANTE, TERENA, NORDUnet).

⁹ "Riding the Wave: How Europe can gain from the rising tide of scientific data", Report of the high level group of experts on scientific data, October 2010.

¹⁰ Pre-commercial procurements are public procurements of R&D services (as described in COM (2007) 799 and SEC / 2007 /1668, see also section VII.3 of this work programme) carried out by public purchasers which are contracting authorities in the meaning of the public procurement directives 2004/18/EC and/or 2004/17/EC. Cross-border cooperation via pre-commercial procurement enables public sector organisations of different countries to define together the mid-to-long term solution requirements for a shared public sector purchasing need and to explore, test and validate together alternative solution approaches from various solution providers that could respond to the common challenge.

Expected impact: GÉANT becomes the European communications commons, where talent anywhere is able to collaborate with their peers around the world and to have instantaneous and unlimited access to any resource for knowledge creation, innovation and learning, unconstrained by the barriers of pre-digital world; Europe is the hub for research networking excellence world-wide; the GÉANT community produces innovative solutions and drives the internet evolution; GÉANT governance is able to cope with the changing environment.

1.2 Support to new research infrastructures

There will be no further call for proposals for supporting new research infrastructure projects under FP7.

1.3 Support to policy development and programme implementation

There will be no further call for proposals for 'Support to policy development and programme implementation' projects under FP7.

III. IMPLEMENTATION OF CALLS

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

Call title: Call N° 11 - FP7-INFRASTRUCTURES-2013-1

- **Call identifier:** FP7-INFRASTRUCTURES-2013-1
- **Date of publication**¹¹: 10 July 2012
- **Deadline**¹¹: 5 December 2012 at 17.00.00, Brussels local time.
- **Indicative budget**¹²: EUR 39.00 million¹³

Line of action/Activity	Topics called	Funding schemes	EUR million indicative
1.2 Support to existing infrastructures			
1.1.2 ICT based e-Infrastructures	INFRA-2013-1.2.1: GÉANT	Combination of Collaborative projects and Coordination and Support Actions (CP-CSA)	39.00

- **Eligibility criteria:**

- The general eligibility criteria are set out in Annex 2 of 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.
- Table of standard minimum number of participating legal entities for all funding schemes used in the call, in line with the Rules for Participation:

Funding scheme	Minimum conditions
Combination of Collaborative projects and Coordination and Support Actions (CP-CSA)	At least 3 independent legal entities, each of which is established in a MS or AC, and no two of which are established in the same MS or AC.

- 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.
- **The following additional eligibility criteria apply in this call:**
 - Proposals shall address all the three categories of activities (networking activities, service activities, joint research activities) of the I3 model as defined in Section VII.1.

¹¹ The Director-General responsible for the call may publish it up to one month prior to or after the envisaged date of publication. Also, the Director-General responsible may delay this deadline by up to two months.

¹² The budget for this call is indicative. The final budget of the call may vary by up to 10% of the total value of the indicated budget for the call.

¹³ Under the condition that the draft budget for 2013 is adopted without modifications by the budgetary authority.

- Proposals shall be submitted solely by legal entities operating the NRENs or legal entities created by the NRENs to contribute to the deployment of connectivity and services on a pan-European scale (e.g. DANTE, TERENA, NORDUnet).
- **Evaluation procedure:**
 - The evaluation criteria and scoring scheme are set out in Annex 2 of the work programme. However, specific selection and award criteria are set out in section VII.2 replacing those of Annex 2 to the Capacities 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 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).
 - A one stage submission procedure will be followed.
 - The procedure for prioritising proposals with equal scores is described below. It will be applied successively for every group of *ex aequo* proposals requiring prioritisation, starting with the highest scored group, and continuing in descending order:
 - (i) Proposals that address topics not otherwise covered by more highly-rated proposals will be considered to have the highest priority.
 - (ii) These proposals will themselves be prioritised according to the scores they have been awarded for the criterion *impact*. If necessary, any further prioritisation will be based on other appropriate characteristics, to be decided by the panel, related to the contribution of the proposal to the European Research Area and/or general objectives mentioned in the work programme.
 - (iii) The method described in (ii) will then be applied to the remaining *ex aequos* in the group.
 - A reserve list may be produced of projects that pass the evaluation but fall below the available budget in case additional budget becomes available.
- **Indicative timetable:**
 - Evaluation results: estimated to be available within some 4 months after the closure date.
 - Grant Agreement signature: it is estimated that the first grant agreements related to this call will come into force before the end of 2013.
- **Consortia agreements:** Participants are required to conclude a consortium agreement.
- **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'.
- **Dissemination.** Grant agreements of projects financed under topics INFRA-2013-1.2.1 of this call for proposals will include the special clause 39 on the "Open Access Pilot in FP7". Under this clause, beneficiaries are required to make their best efforts to ensure free access

to peer-reviewed articles resulting from projects via an institutional or subject-based repository.

IV. OTHER ACTIONS (not implemented through calls for proposals)

- **External expertise**

- The use of appointed independent experts for the reviewing of running projects.
- The set up of groups of independent experts to advise on or support the design and road-mapping of future EU research policy as well as the implementation of EU research policy.

Indicative budget: EUR 0.70¹⁴ million

Funding scheme: *Coordination and support actions*¹⁵ - *Expert contracts*

- **RSFF:** In addition to direct financial support to participants in RTD actions, the EU will improve access for them to private sector finance by contributing financially to the 'Risk-Sharing Finance Facility' (RSFF) established by the European Investment Bank (EIB).

The EU contribution to RSFF will be used by the Bank in accordance with eligibility criteria set out in section VII.4 of this Work Programme. RSFF support is not conditional on promoters securing grants resulting from calls for proposals described herein, although the combination of grants and RSFF-supported financing from EIB is possible. Further information on the RSFF is given in section VII.4 The Commitment and Payment Appropriations for the RSFF in 2013 will be EUR 50.00 million¹⁶.

- **Studies**

One or more studies addressing the scoping and road-mapping of Research Infrastructures (including e-Infrastructures) future activities. DG INFSO plans to launch the call for tenders for a service contract during the first semester 2013, and conclude indicatively the contract before year end.

Indicative budget: EUR 0.30¹⁷ million

Funding scheme: *Coordination and support actions*¹⁸ - *Public procurement*

¹⁴ Under the condition that the draft budget for 2013 is adopted without modifications by the budgetary authority.

¹⁵ In compliance with Article 14(c) 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).

¹⁶ This amount for 2013 corresponds to primary-credit appropriations under the condition that the draft budget for 2013 is adopted without modifications by the budgetary authority. It will be complemented by an additional amount (corresponding to the allocation to RSFF of the EFTA credits.) It may be further increased by other Third Countries appropriations

¹⁷ Under the condition that the draft budget for 2013 is adopted without modifications by the budgetary authority.

¹⁸ In compliance with Article 14(b) 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. BUDGET

Research Infrastructures - Indicative budget

	Budget 2013 EUR million¹⁹
Call N° 10: FP7-INFRASTRUCTURES-2012-1 (<i>see WP 2012</i>)	83.20 ²⁰
Call N° 11: FP7-INFRASTRUCTURES-2013-1	39.00
Other actions <ul style="list-style-type: none"> • RSFF (EUR 50.00 million²¹) • Independent experts (EUR 0.70 million) • Studies (EUR 0.30 million) 	51.00
Estimated total budget allocation	173.20

Budget figures in this work programme

All budgetary figures given in this work programme are indicative. The final budgets may vary following the evaluation of proposals.

The final budget awarded to actions implemented through calls for proposals may vary:

- The total budget of the call 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.

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.

¹⁹ Under the condition that the draft budget for 2013 is adopted without modifications by the budgetary authority

²⁰ This amount will be added to the amount already available from the 2012 budget (see WP 2012 C(2011)5023 of 19 July 2011), in particular to support Integrating Activity proposals recommended under Call N° 10, under the condition that the draft budget for 2013 is adopted without modifications by the budgetary authority.

²¹ This amount for 2013 corresponds to primary-credit appropriations under the condition that the draft budget for 2013 is adopted without modifications by the budgetary authority. It will be complemented by an additional amount (corresponding to the allocation to RSFF of the EFTA credits.) It may be further increased by other Third Countries appropriations.

VI. OVERVIEW OF CALLS

The table below provide an overview and information about the calls published under the Seventh Framework Programme.

Activity	Call 1 Feb07	Call 2 Sep07	Call 3 Feb08	Call 4 Sep08	Call 5 Mar09	Call 6 Dec09	Call 7 Nov09	Call 8 Nov10	Call 9 Nov10	Call 10²² Nov11	Call 11²³ Dec12
Integrating activities			278			168		107.5		114.2	
e-Infrastructures	44	50		115	4		85		72		39
Design studies	29							17.7			
Construction – support to the preparatory phase	147					44				21.3	
Construction – support to the implementation phase							20	32.2	18	19	
Support to policy development	8	13	4		5	5	10	6.1	5	20.5	
Budget (EUR million)	227	63	282	115	9	217	115	163.5	95	175.0	39

²² An amount of EUR 83.20 million from the 2013 budget is added to this call, under the condition that the draft budget for 2013 is adopted without modifications by the budgetary authority.

²³ Under the condition that the draft budget for 2013 is adopted without modifications by the budgetary authority.

VII. COMPLEMENTARY INFORMATION

1. The Integrated Infrastructure Initiative (I3) model

Integrated Infrastructure Initiatives (I3) should combine, in a closely co-ordinated manner: (i) *Networking activities*, (ii) *Trans-national access and/or service activities* and (ii) *Joint research activities*. All three categories of activities are mandatory as synergistic effects are expected from these different components.

(i) *Networking activities*. To foster a culture of co-operation between the participants in the project and the scientific communities benefiting from the research infrastructures and to help developing a more efficient and attractive European Research Area. Networking activities could include (non exhaustive list):

- joint management of access provision and pooling of distributed resources;
- dissemination and /or exploitation of project results and knowledge, outreach toward industry, contribution to socio-economic impacts, promotion of innovation;
- strengthening of virtual research communities;
- definition of common standards, protocols and interoperability; benchmarking;
- development and maintenance of common databases for the purpose of networking and management of the users and infrastructures;
- spreading of good practices, consultancy and training courses to new users;
- foresight studies for new instrumentation, methods, concepts and/or technologies;
- promotion of clustering and coordinated actions amongst related projects;
- coordination with national or international related initiatives and support to the deployment of global and sustainable approaches in the field;
- promotion of long term sustainability, including the involvement of funders and the preparation of a business plan beyond the end of the project.

(ii) *Trans-national access and/or service activities*.

Trans-national access activities

To provide trans-national access to researchers or research teams to one or more infrastructures among those operated by participants. These access activities should be implemented in a coordinated way such as to improve the overall services available to the research community. Access may be made available to external users, either in person ('hands-on') or through the provision of remote scientific services, such as the provision of reference materials or samples or the performance of sample analysis. EU financial support should never exceed 20% of the annual operating costs of the infrastructure to prevent it from becoming dependent on the EU contribution and should not include capital investments. This financial support will serve to provide access 'free of charge' to external users, including all the infrastructural, logistical, technological and scientific support (including training courses, travel and subsistence for users). Access costs will be defined on the basis of 'user fees' related to the operating costs of the infrastructure.

The research infrastructures must publicise widely the access offered under the grant agreement to ensure that researchers who might wish to have access to the infrastructure are made aware of the possibilities open to them. They must maintain appropriate documentation to support and justify the amount of access reported. This documentation shall include records of the names, nationalities, and home institutions of the users within the research teams, as well as the nature and quantity of access provided to them.

The selection of researchers or research teams shall be carried out through an independent peer-review evaluation of their research projects. The research team, or its majority, must come from countries other than where the operator of the infrastructure is established (when the infrastructure is composed of several research facilities, operated by different legal entities, this condition shall apply to each facility) except in the case of a distributed set of resources or facilities offering remote access to the same services. Provided that the majority of users are from Member States or Associated Countries, other third country users can be part of an eligible user team. Only research teams, including industrial users, that are entitled to disseminate the knowledge they have generated under the project are eligible to benefit from research services to the infrastructure under the grant agreement. The duration of stay at a research infrastructure shall normally be limited to three months.

Service activities for Integrating Activities

To provide access to scientific services freely available through communication networks (e.g. databases available via Internet). Only services widely used by the community of European researchers will be supported. In such case, projects of potential users would not normally be subject to peer review. However, in such cases, the services offered to the scientific community will be periodically assessed by an external board.

Service activities for e-Infrastructures

To provide specific research infrastructure related services to the scientific community. This may include (non exhaustive list):

- procurement and upgrading communication infrastructure, network operation and end-to-end services;
- distributed computing infrastructure support, operation and management; integration, test and certification; services deployed on top of generic communication and computing infrastructures to build and serve virtual communities in the various scientific domains;
- deployment, quality assurance and support of middleware component repositories;
- data and resources management (including secure shared access, global scheduling, user and application support services) to foster the effective use of distributed supercomputing facilities; federated and interoperable services to facilitate the deployment and wide use of digital repositories of scientific information;
- vertical integration of the different services in support of specific virtual research communities, including virtual laboratories for simulation and specific workspaces.

(iii) *Joint Research activities.* These activities should be innovative and explore new fundamental technologies or techniques underpinning the efficient and joint use of the participating research infrastructures. To improve, in quality and/or quantity, the services provided by the infrastructures, these joint research activities could address (non exhaustive list):

- higher performance methodologies and protocols, higher performance instrumentation, including the testing of components, subsystems, materials, techniques and dedicated software;
- integration of installations and infrastructures into virtual facilities;
- innovative solutions for data collection, management, curation and annotation;
- innovative solutions for communication network (increasing performance, improving management, exploiting new transmissions and digital technologies, deploying higher degrees of security and trust) and introduction of new end-to-end services (including dynamic allocation of resources and innovative accounting management);

- novel grid architecture frameworks and policies, innovative grid technologies, or new middleware solutions driving the emergence of high level interoperable services;
- advanced Service Level Agreements and innovative licensing schemes, fostering the adoption of e-Infrastructures and the use of other types of Research Infrastructures by industry;
- innovative software solutions for making new user communities benefit from computing services.

2. Evaluation criteria for Integrating Activities and ICT-based e-Infrastructures

1. Scientific and/or technological excellence (relevant to the topic addressed by the call) (award)

- Soundness of concept and quality of objectives.
- Progress beyond the state-of-the-art (e.g. improved performance and capacity of the proposed integrated Research Infrastructures and e-Infrastructures).
- Quality and effectiveness of the methodology to achieve the objectives of the project, in particular the provision of integrated services.
- Quality and effectiveness of the Networking Activities and associated work plan. The extent to which the co-ordination mechanisms will foster a culture of co-operation between the participants, and enhance the services to the users.
- Quality and effectiveness of the Trans-national Access and/or Services, and associated work plan. The extent to which the activities will offer access to state-of-the-art infrastructures, high quality services, and will enable users to conduct high quality research.
- Quality and effectiveness of the Joint Research Activities and associated work plan. The extent to which the activities will contribute to quantitative and qualitative improvements of the services provided by the infrastructures.

2. Quality and efficiency of the implementation and the management (selection)

- Appropriateness of the management structure and procedures.
- Quality and relevant experience of the individual participants.
- Quality of the consortium as a whole (including complementarity, balance, critical mass).
- Appropriate allocation and justification of the resources to be committed (staff, equipment...), by work package and participant.

3. Potential impact through the development, dissemination and use of project results (award)

- Contribution to the expected impacts listed in the work programme under the relevant topic.
- Contribution at the European level towards structuring the European Research Area taking into account the EU objective of balanced territorial development for optimising the use and development of the best research infrastructures existing in Europe.
- Appropriateness of measures for the dissemination and/or exploitation of project results and knowledge and for spreading excellence.
- Contribution to socio-economic impacts, including for promoting innovation and developing appropriate skills in Europe.

Notes:

- Evaluation scores will be awarded for each of the three criteria, and not for the sub-criteria. Each criterion will be scored out of 5. No weightings will apply. The threshold for individual criteria will be 3. The overall threshold, applying to the sum of the three individual scores, will be 10.
- The second criterion corresponds to the **selection criteria** in the meaning of Article 115 of the Financial Regulations applicable to the general budget of the EU (OJ L248 16.9.2002, p.1). It will be the basis for assessing the 'operational capacity' of participants. The remaining criteria and sub-criteria correspond to the **award criteria**.

3. Specific Requirements for the implementation of Pre-Commercial Procurement

The following requirements are applicable to Pre-Commercial Procurement (PCP) calls for tender launched under actions requiring PCP to ensure that the conditions for the Article 16f/24e exemption of the public procurement directives²⁴ are respected, that the risk-benefit sharing in PCP takes place according to market conditions and that the Treaty principles²⁵ are fully respected throughout the PCP process:

- The public purchaser(s) should verify that the topic proposed for the joint PCP call for tender would **fit the scope of an R&D²⁶ services contract²⁷**.
- **The practical set-up foreseen for the PCP** shall be clearly announced in the PCP contract notice. This shall include the intention to select multiple companies to start the pre-commercial procurement in parallel, as well as the number of phases and the expected duration of each phase.
- **Functional specifications** shall be used in order to formulate the object of the PCP tender as a problem to be solved without prescribing a specific solution approach to be followed.
- In view of triggering tenderers to send in innovative offers that include R&D that can bring breakthrough improvements to the quality and efficiency of public services, the selection of offers shall not be based on lowest price only. The PCP contracts shall be awarded to the tenders offering best value for money, that is to say, to the tender offering the best price-quality ratio, while taking care to avoid any conflict of interests²⁸.
- In respect of the Treaty principles the public purchaser(s) shall ensure EU wide publication for the PCP call for tender²⁹ in at least English and shall evaluate all offers according to the

²⁴ Directives 2004/18/EC and 2004/17/EC

²⁵ In particular the fundamental Treaty principles on the free movement of goods, the free movement of workers, the freedom to provide services, the freedom of establishment and the free movement of capital, as well as the principles deriving there from, such as the principles of non-discrimination, transparency and equal treatment

²⁶ R&D can cover activities such as solution exploration and design, prototyping, up to the original development of a limited volume of first products or services in the form of a test series. Original development of a first product or service may include limited production or supply in order to incorporate the results of field testing and to demonstrate that the product or service is suitable for production or supply in quantity to acceptable quality standards. R&D does not include commercial development activities such as quantity production, supply to establish commercial viability or to recover R&D costs, integration, customisation, incremental adaptations and improvements to existing products or processes.

²⁷ Contracts providing more than only services are still considered a public service contract if the value of the services exceeds that of the products covered by the contract.

²⁸ For more info refer to Staff Working Document on PCP: SEC (1668) 2007

²⁹ Through the Official Journal of the European Union (OJEU), using the TED (Tenders Electronic Daily) web portal

same objective criteria regardless of the geographic location of company head offices, company size or governance structure. The PCP process should be organised so as to stimulate companies to locate a relevant portion of the R&D and operational activities related to the PCP contract in the European Economic Area or a country having concluded a Stabilisation and Association Agreement with the EU.

- In PCP, the public purchaser(s) does (do) not reserve the R&D results exclusively for its (their) own use. To ensure that such an arrangement is beneficial both for the public purchaser and for the companies involved in PCP, R&D risks and benefits are shared between them in such a way that both parties have an incentive to pursue wide commercialisation and take up of the new solutions. Therefore, for PCP, ownership rights of IPRs generated by a company during the PCP contract should be assigned to that company. The public purchaser should be assigned a free licence to use the R&D results for internal use as well as the right to require participating companies to license IPRs to third parties under fair and reasonable market conditions. A call-back provision should ensure that IPRs from companies that do not succeed to exploit the IPRs themselves within a given period after the PCP project return back to the public purchaser(s).
- In order to enable the public purchaser(s) to establish the correct (best value for money) market price for the R&D service, in which case the presence of State aid can in principle be excluded according to the definition contained in Art. 107 of the Treaty on the functioning of the European Union, the distribution of rights and obligations between public purchaser(s) and companies participating in the PCP, including the allocation of IPRs, shall be published upfront in the PCP call for tender documents and the PCP call for tender shall be carried out in a competitive and transparent way in line with the Treaty principles which leads to a price according to market conditions, and does not involve any indication of manipulation. The public purchaser(s) should ensure that the PCP contracts with participating companies contain a financial compensation according to market conditions³⁰ compared to exclusive development price for assigning IPR ownership rights to participating companies, in order for the PCP call for tender not to involve State aid.
- The PCP contract that will be concluded with each selected organisation shall take the form of one single framework contract covering all the PCP phases, in which the distribution of rights and obligations of the parties is published upfront in the tender documents and which does not involve contract renegotiations on rights and obligations taking place after the choice of participating organisations. This framework contract shall contain an agreement on the future procedure for implementing the different phases (through specific contracts), including the format of the intermediate evaluations after the solution design and prototype development stages that progressively select organisations with the best competing solutions.

³⁰ The financial compensation compared to exclusive development cost should reflect the market value of the benefits received and the risks assumed by the participating company. In case of IPR sharing in PCP, the market price of the benefits should reflect the commercialisation opportunities opened up by the IPRs to the company, the associated risks assumed by the company comprise for instance the cost carried by the company for maintaining the IPRs and commercialising the products.

4. Risk-Sharing Finance Facility

In accordance with Annex III to the Capacities Specific Programme, the European Union (EU) provides a contribution to the European Investment Bank (EIB), which is a risk-sharing partner for the debt financial instrument, entitled "Risk-Sharing Finance Facility" (RSFF). RSFF is co-funded by the EU and the EIB. It aims at fostering primarily private sector investment across Europe in research, technological development, demonstration as well as innovation³¹ (RDI). This financing instrument was designed by the Commission and the EIB, and launched in June 2007.

Political landscape

Against the backdrop of the current economic situation and increased global competition, the EU has defined a strategy to support growth and job creation, Europe 2020. The Innovation Union flagship initiative supports this strategy through specific commitments. Research and innovation are key drivers of competitiveness, jobs, sustainable growth and social progress.

The work programme 2013 aligns with, and contributes towards, the objectives of Europe 2020, the Innovation Union flagship initiative and other policies, in particular to bring together research and innovation to address major challenges and to enhance access to finance for enterprises.

Access to finance to support investments in RDI is part of the Innovation Union Flagship Initiative. Its Commitment No. 10 is that by 2014 the EU should put in place financial instruments to attract a major increase in private finance and close market gaps in investing in RDI. The Commission proposal on Horizon 2020 also put emphasis on raising private investment and access to risk finance, in particular through loan guarantees and equity instruments.

There is a determined focus on fostering new ideas, supporting world class teams tackling significant societal challenges and on ensuring that the fruits of EU investments can be properly exploited. In this way the work programme provides for a smooth transition towards the new research and innovation programme for 2014-2020, Horizon 2020.

An Independent Expert Group in charge of the RSFF interim evaluation underlined its successful achievements and proposed improvements in 2010³². On this basis, the European Council, in its conclusions of 4 February 2011 on Innovation³³, invited the Commission to present proposals by the end of 2011 for scaling-up the RSFF and for assessing how best to meet the needs of relatively underrepresented beneficiaries, such as research infrastructures. The European Parliament expressed similar requests.

Responding to the European Council and European Parliament, the EU and the EIB signed Amendment No. 4 to the RSFF cooperation agreement on 5 December 2011. The EU now

³¹ See below under 'Innovation dimension of the activity'.

³² See Report of the Independent Expert Group in charge of the RSFF evaluation:

http://ec.europa.eu/research/evaluations/index_en.cfm?pg=rsff

and the response: European Commission Communication COMM (2011)52 'On the Response to the Report of the Expert Group on the Interim Evaluation of the Seventh Framework Programme for Research, Technological Development and Demonstration Activities and to the Report of the Expert Group on the Interim Evaluation of the Risk-Sharing Finance Facility':

http://ec.europa.eu/research/evaluations/pdf/archive/other_reports_studies_and_documents/commission_response_fp7_ie_report_2011.pdf#view=fit&pagemode=none

³³ Doc EUCO 2/11.

assumes a higher risk: the EU financial contribution is used as a first-loss piece³⁴. The amendment enlarges the definition of entities eligible as research infrastructures: RSFF can help any entity that participates to the achievements of the Research Infrastructure Programme (e.g. not only research infrastructures, but also suppliers and entities commercialising their outputs).

Approach for 2013

RSFF Context

The RSFF has repeatedly been showcased as an example of how EU resources can leverage private funding for a larger impact in achieving EU objectives. It has also been hailed as a model for collaboration between the EU and the EIB³⁵.

Private investment in research and innovation in Europe remains below the level necessary to achieve the ambitions of the '*Europe 2020 strategy*'. In addition to grants, other mechanisms – in the form of financial instruments including the RSFF – have proven effective in leveraging private investment by firms, thus mobilising the financial markets and diversifying funding sources for European RDI actions.

The financial crisis has made access to finance for innovative companies even more difficult as banks have become more than ever risk-averse. As a result, risk capital for private investments in RDI is very scarce. In addition, public financial support for RDI at national level is also scarce, fragmented and cyclical depending on the availability of budget resources in the EU Member States.

Improving access to loans for RDI actions requires public support to overcome market deficiencies for the financing of European RDI actions, which often involve a high level of risk.

One of the key challenges of the 2013 RSFF work programme is to support the implementation of the Innovation Union and to improve access to the appropriate forms of finance to increase RDI investment, especially private one, in Europe. This notably concerns research infrastructures, for which specific obstacles need to be addressed.

The RSFF focus for 2013 is on maximising the implementation level for target groups that have so far been relatively less attracted to the RSFF, in particular research infrastructures under the Capacities Specific Programme. In 2013, the Commission and the EIB Group will implement the major changes introduced in the RSFF cooperation agreement, following the RSFF interim evaluation.

With the same spirit of the RSFF interim evaluation of 2010, a group of very-high level independent experts will evaluate the RSFF activities in mid-2013. The evaluation will notably assess to which extent the Commission and the EIB Group have implemented the recommendations of the RSFF interim evaluation for a better support to research infrastructures.

³⁴ The EU contribution would be used first to cover potential losses for a portfolio of loans provided to a specific target group, up to a defined percentage of losses ("first-loss" cushion). Only if potential losses were to exceed the EU contribution, the EIB contribution to the RSFF would be used to cover such further losses on an agreed basis.

³⁵ In the words of President Barroso, the RSFF is "an excellent example to build on in order to improve the blending between grants from the EU budget and EIB loans" (in the *Political Guidelines for the Next Commission*, 2009)

This will feed into the process of designing an enlarged and expanded debt financing facility under the proposed Horizon 2020 to increase the leverage and multiplier effects of such an instrument in total RDI investments.

Innovation dimension of the activities and bridging towards Horizon 2020

The Innovation Union and Horizon 2020 give increased weight to innovation. It is worth noting that the RSFF has financed support to innovation already since 2007.

This work programme contains innovation measures in support of activities closer to the market such as support to market-uptake, notably through more activities aimed at generating knowledge to deliver new and more innovative products, processes and services. This notably supports activities such as prototyping, testing, demonstrating, knowledge transfer, proof of concept and activities addressing exploitation of existing research results. The demand-driven nature of the RSFF also encourages innovation and particularly the industrial participation, on a market basis.

The EU–EIB risk-sharing arrangement ensures that RSFF can cover activities from any part of the value-chain (e.g. from "blue-sky" research to commercialisation activities, encompassing innovation). The RSFF interim evaluation showed that the majority of approved loans financed technological development and innovation activities in the period 2007-2009.

Regarding the EU financial contribution, costs related to innovation activities are eligible for EU RSFF Operations if they comply with the provisions of the RSFF Cooperation Agreement³⁶. In this final year of FP7, the RSFF is well positioned to ensure a smooth transition to the scaled-up debt instrument that the proposal of Horizon 2020 foresees under "Access to Risk Finance".

Dissemination actions

Information on the RSFF is available online³⁷. The Commission will respond to further needs of potential beneficiaries for information on the RSFF (by, e.g., awareness-raising activities in conjunction with the EIB, participation to thematic events).

Since 2006, the EIB Group, and the Commission services have carried out an intensive awareness-raising campaign to reach stakeholders in as many Member States and Associated Countries as possible. Such awareness-raising actions will continue in 2013, with special focus on the most RDI-intensive sectors in Europe and on beneficiaries potentially eligible under the enlarged definition of research infrastructures. However it should be noted that loans can only be signed under RSFF until 31 December 2013.

The RSFF involves the development of financial engineering solutions adapted to the needs of European research infrastructures. Relevant solutions can be implemented in 2013 in compliance with the provisions of Amendment No. 4. As soon as such a solution can be considered replicable, case studies and new products developed specifically for RSFF are published on the EIB's dedicated RSFF web-site.

A number of workshops for representatives of the Member States and Associated Countries have been held since the launch of the RSFF. They have disseminated financial engineering

³⁶ As stated below under 'Selection of Projects for Financing and the Eligibility Criteria'

³⁷ See: <http://www.eib.org/products/loans/special/rsff/index.htm?lang=en>

solutions and sought future cooperation opportunities. Initiatives of this kind continue in 2013, both at European and national level, to make the link with Horizon 2020.

Contacts with potential clients

The RSFF dedicated websites and other awareness raising activities have resulted in applications from promoters of European research infrastructures. In parallel, the EIB has discussed with research infrastructure promoters, public and private, their concrete financing needs. This has resulted in the signature of RSFF loans to research infrastructures and the approval of other projects.

All types of legal entities, irrespective of size (including SMEs in particular and research organisations, including universities) may benefit from this facility to support their eligible operations.

The objective is also to increase the participation in RSFF in as many Member States and Associated Countries as possible. Specific efforts are also made to address financing needs of research infrastructures and entities that participate to the achievements of the Research Infrastructures Part (e.g. not only research infrastructures, but also suppliers and entities commercialising their outputs).

A yet broader geographical distribution of projects is expected. Appropriate performance indicators are in place to encourage the EIB Group to do so. The participation rate has risen steadily to over 20 participating countries under Cooperation and Capacities Specific Programmes. Moreover, European added-value is not only ensured by the geographical distribution of projects. It also stems from the actual design of projects: a client may have RDI operations in several countries even if the concrete RSFF loan is extended to a sole client.

Overall expected impact

In terms of current impact, the Independent Expert Group in charge of the RSFF interim evaluation in 2010 notably underlined that *"the RSFF has been one of the most successful instruments for addressing market imperfections in the debt financing of RDI investments in Europe. As the financial crisis unfolded, the market imperfections with respect to loan finance for RDI investments did not just increase substantially, they became to some extent ubiquitous. RSFF remained one of the few financial instruments available to innovative firms and organisations. RSFF helped many European research intensive firms to maintain RDI activities in period of major financial stress (...)"*.

Following the experts' recommendations on research infrastructures, Amendment No. 4 has made it possible to help finance more operations, thus contributing to the diversification of long-term private-financing sources for research infrastructures.

International Co-operation

In accordance with the provisions of the Capacities Specific Programme, the EIB may only use the EU contribution to RSFF to cover risk of operations limited to those borrowers or beneficiaries of guarantees from legal entities from Third Countries other than Associated Countries who participate in FP7 projects and whose costs are eligible for EU funding or, in the case of research infrastructures, if their services are used or requested for use by research communities from at least three Member States or Associated Countries.

Modalities of implementation

Within the framework of a maximum contribution of EUR 1 billion for the period 2007-2013, the EU has provided its first contributions to the EIB for RSFF for an amount of EUR 949.6 million for the period 2007-2012³⁸, EUR 151.6 million of which coming from the Capacities Specific Programme (Research Infrastructures). For the period 2011-2013, following the positive results of the RSFF interim evaluation, the EU has released a contribution of EUR 500 million to RSFF, as foreseen in the RSFF legal basis³⁹.

For the period 2012-2013, it is expected that the EU transfers EUR 50 million (broken down as follows: in 2012: EUR 0 million; in 2013: EUR 50 million) to the EIB⁴⁰ from the Capacities Specific Programme (Research Infrastructures). The EIB Group is the sole beneficiary of this European Union action. Pursuant to a EIB decision of 9 June 2006, the EU contribution will be matched by an equivalent amount from the EIB (up to EUR 1 billion for the period 2007-2013).

The EU and the EIB signed the cooperation agreement with respect to the RSFF – the RSFF co-operation agreement – on 5 June 2007. The Commission amended it on the basis of the Commission Decision C(2008) 8058 of 12 December 2008 authorising the Director-General of the Directorate-General for Research to conclude further amendments to the Agreement on behalf of the Commission on a number of points specified in the decision.

The cooperation agreement defines terms and conditions related to RSFF and, in particular, to the use of the EU contribution in RSFF, the risk-sharing methodology, the indicative annual budget, the reporting conditions, the governance, the rules for establishment of network of financial intermediaries in all Member States and Associated Countries and its relating conditions.

It was subject to the following amendments: The first amendment on 26 February 2009 simplifies and harmonises the financial reporting requirements and rules for asset management with other Commission funds managed by the EIB. It allows, *inter alia*, for the allocation to RSFF of the Third Country Appropriations. The second amendment on 8 September 2009 specifies the EU contribution for 2009 and simplifies reporting dates. The third amendment on 5 January 2011 specifies the maximum EU contribution for the period 2007-2010.

The recommendations of the Independent Expert Group in charge of the RSFF interim evaluation were endorsed by the Commission in its Communication of 9 February 2011⁴¹. Amendment No. 4 was signed accordingly on 5 December 2011.

³⁸ For the record, an amount of EUR 70 million was front-loaded from the 2010 budget to the 2009 budget in response to the financial and economic crisis for the Cooperation Specific Programme. An additional contribution of EUR 1.5 million in 2009 was requested by the budgetary authority for the Capacities Specific Programme, consequently increasing the total EU contribution for 2007-2010 to EUR 501.5 million (All amounts mentioned here are voted credits).

³⁹ The EU contribution to RSFF is expected to come from the following sources for the period 2011-2013: EUR 400 million from the Specific Programme "Cooperation" and EUR 100 million from the Specific Programme "Capacities".

⁴⁰ This amount for 2013 corresponds to primary-credit appropriations and also assuming that the draft budget for 2013 is adopted without modifications by the Budgetary Authority. It will be complemented by an additional amount (corresponding to the allocation to RSFF of the EFTA credits.) It may be further increased by other Third Countries appropriations.

⁴¹ COM(2011) 52

Governance

RSFF implementation is managed by the EIB in accordance with its own rules and procedures and in compliance with the RSFF Cooperation Agreement (and its subsequent amendments). The RSFF implementation, in particular the use of the EU Contribution, is supervised by a Steering Committee. It is composed by at least four representatives, at Director level, from the Commission and the EIB.

The Commission continues to monitor closely the effective use of the EU Contribution. This includes ex-post assessments of the features of the action. It reports regularly to the Programme Committee. In addition, the Commission include the main findings in the annual report on research and technological development activities which it sends to the European Parliament and the Council pursuant to Article 190 TFEU. The RSFF interim evaluation concluded very positively on the implementation phase and governance of the RSFF also making specific recommendations for the future, notably for research infrastructures.

Selection of Projects for Financing and the Eligibility Criteria

The EIB was recognised as a beneficiary of the EU action in the Council and Parliament decision adopting the Seventh Framework Programme. In accordance with the principles established in the Capacities Specific Programme, the EIB will use the EU contribution on a 'first come, first served basis' to cover part of the risks associated with its operations supporting eligible research infrastructures. An operation may be considered eligible as a RSFF research infrastructure if one of the following non-cumulative conditions is fulfilled:

- (i) The operation concerns the development of a research infrastructure (new or existing and publicly and/or privately owned) within the scope of the Capacities Specific Programme⁴²;
- (ii) The potential beneficiary of the operation could be (1) the owner or operator of the research infrastructure itself (either a public or a private body), or (2) a supplier participating in or contributing to the development or construction of a Research infrastructure, or (3) an entity dedicated to the commercialisation of the research-infrastructure services.

The EU contribution to RSFF supports activities which can be classified as 'fundamental research', 'industrial research' or 'experimental development', as defined in the European Union Framework for State Aid for Research and Development and Innovation⁴³.

⁴² The term "research infrastructures" on the basis of FP7 refers to facilities, resources or services that are needed by the research community to conduct research in all scientific and technological fields. This definition covers, including the associated human resources:

- major equipment or set of instruments used for research purposes,
- knowledge-based resources such as collections, archives, structured information or systems related to data management, used in scientific research,
- enabling Information and Communication Technology-based infrastructures such as Grid, computing, software and communications,
- any other entity of a unique nature that is used for scientific research.

Only research infrastructures or networks of research infrastructures with clear interest for the European scientific community (academic, public and industrial), in terms of performance and access, can be considered for support. They must contribute significantly to the development of European research capacities.

⁴³ OJ C323, 30.12.2006

Prototypes and pilot projects, which are part of 'experimental development', are eligible if they fulfil the conditions specified therein. Innovation activities, as defined in the EU Framework for State Aid for Research and Development and Innovation, intended to prepare the commercial use of research results within the time period of the project (such as training, technology management and transfer) are eligible if they are linked to and complementary to research and technological development and/or demonstration activities, the latter constituting at least 2/3 of the action. Other innovation activities of a commercial nature are eligible for RSFF only via the use of the EIB's own contribution.

The RSFF Cooperation Agreement, including its amendments, comprises a list of exclusions criteria for the support of the EU contribution, in compliance with the Seventh Framework Programme and its Capacities Specific Programme.

The Commission Right to Object to the Use of the European Union Contribution

The Commission has a right to express its opinion on each and every financial operation proposed by the EIB to its Board for decision under Article 21 of the EIB Statutes. Where the Commission delivers an unfavourable opinion, the EIB Board may not grant the loan or guarantee concerned, unless it votes unanimously in its favour, the Commission nominee abstaining. Should the Bank proceed with financing despite the Commission's negative opinion the European Union contribution to RSFF may not be used.

In accordance with EU FP7 Rules of Participation and the RSFF Cooperation Agreement, the Commission may object, in duly justified cases, to the use of the EU contribution to cover the risk for a loan or a guarantee proposed by the EIB. If such a case arises the Commission may conduct an independent, internal or external, review of such a case.

European Union Financial Contribution to RSFF in 2013

As foreseen in the RSFF legal basis and following the positive outcome of the RSFF interim evaluation, the EU contribution is expected to come from the following sources for the period 2011-2013: EUR 400 million from the Cooperation Specific Programme and EUR 100 million from the Capacities Specific Programme. Under the Capacities Specific Programme, only the Research Infrastructures Part contributes to RSFF. The EU financial contribution to RSFF from the Research Infrastructures Part of the Capacities Specific Programme may reach a maximum amount of EUR 200 million for 2007-2013.

After the interim evaluation of the RSFF the Commission endorsed the recommendation of the Independent Expert Group to release up to EUR 500 million for the period 2011-2013. By voting the EU budgets in 2011 and 2012 (including a total of around EUR 450 million for the RSFF), the Council and the European Parliament agreed in principle on the release of the second tranche. In the conclusions of the Competitiveness Council of 9 March 2011, the Council agreed with the recommendation of the Independent Expert Group to release an additional EU contribution of up to EUR 500 million for the period 2011-2013.⁴⁴

⁴⁴ See final Council conclusions on the interim evaluation of the RSFF on 04/03/2011: *"Regarding the role of the Risk-Sharing Finance Facility (RSFF) in FP7, the Council WELCOMES the finding of the Independent Expert Group (IEG) that RSFF has been a success, both in quantitative and qualitative terms and that very considerable results on an EU-wide scale have been achieved since its launch. The Council therefore AGREES with the recommendation of the IEG, also supported by the Commission, to release an additional EU contribution of up to EUR 500 million for the period 2011-2013 under the conditions foreseen in the FP7 Decision in accordance with the applicable procedures. The Council CALLS ON the Commission, in liaison with the European Investment Bank, to urgently examine ways and means to improve the take-up by currently underrepresented target groups, in particular SMEs, universities and research infrastructures with a view to*

The Commission proceeds annually with an equal amount of commitment and payment of the EU contributions to RSFF. It is based on the EIB's activity and forecast report and its request for the amount of the contribution estimated necessary for the following year.

For the period 2012-2013, the Commission commits an amount of EUR 50 million (broken down as follows: in 2012: EUR 0 million; in 2013: EUR 50 million⁴⁵) coming from the Research Infrastructures Part.

Process for Recovering and Reallocating Unused European Union Funds

In order to mitigate the risk of accumulation of unused funds the multi-annual planning will be adjusted on the basis of reports. They include pipeline report (summary of information on projects considered for financing) and demand forecasts. Amounts committed but not used for the operations of RSFF will be reallocated to other activities of the contributing Part.

Notwithstanding the above and unless the Council and the European Parliament adopting Horizon 2020 for the period post 2014 decide otherwise the Commission will recover from the EIB any unused funds of the EU contribution (including interest and income) which have not been used or committed to be used or are required to cover eligible costs on 31 December 2013, as defined in the RSFF Cooperation Agreement.

achieving significant progress in 2012. A specific SME lending mechanism within the current facility is being designed by the Commission, the European Investment Fund and the EIB in this respect. The Council is looking forward to the Commission proposals called for by the European Council for scaling up the RSFF".

⁴⁵ This amount corresponds to voted-credit appropriations only. It will be complemented by an additional amount corresponding to the allocation to RSFF of the EFTA credits and by third-country appropriations.

WORK PROGRAMME 2013

CAPACITIES

PART 2

RESEARCH FOR THE BENEFIT OF SMES

(European Commission C(2012) 4526 of 09 July 2012)

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RESEARCH FOR THE BENEFIT OF SMEs

Objectives:

To strengthen the innovation capacity of European SMEs and their contribution to the development of new technology based products and markets by helping them outsource research, increase their research efforts, extend their networks, better exploit research results and acquire technological know-how, bridging the gap in the innovation chain from idea to market through European level collaboration.

I CONTEXT

Political landscape

Against the backdrop of the current economic situation and increased global competition, the Union has defined a strategy to support growth and job creation, Europe 2020. In particular, it foresees “reinforcing the competitive advantages of our businesses, particularly in manufacturing and within our SMEs”, “to promote technologies and production methods that reduce natural resource use” and “to promote the internationalisation of SMEs”.

The Innovation Union is one of the several flagship initiatives supporting the implementation of the EU2020 strategy. It defines political guidelines for a new broad European innovation policy, which will lead to more concrete initiatives within the Member States and the regions but, of course, also within the Commission. It comprises the whole innovation chain from ideas to market. For the first time research and innovation are at the top of the political agenda.

The Innovation Union places particular emphasis on innovation and support measures for SMEs stating “...to ensure simple access and stronger involvement of SMEs in future EU research and innovation programmes, in particular those with high growth potential...¹.”

The work programme 2013 aligns with, and contributes towards, the objectives of Europe 2020, the Innovation Union Flagship, and other EU policies. There is a determined focus on fostering new ideas, supporting world class teams tackling significant societal challenges, and on ensuring that the fruits of our investments can be properly exploited.

In this way the work programme provides for a smooth transition towards the new research and innovation programme for 2014-2020, Horizon 2020.

¹ COM(2010) 546 Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions - Europe 2020 flagship initiative - Innovation union.

The Commission also recognises the crucial role that SMEs play in terms of economic growth and job creation:

Between 2002 and 2010, net employment in the EU rose substantially, by an average of **1.1 million new jobs** (or 0.9%) each year. **85%** of total employment growth was attributed to **small and medium sized enterprises (SMEs)** and SMEs have a much higher employment growth rate (1% annually) than large enterprises (0.5% a year).²

Access to appropriate sources of finance is one of the most significant constraints on business-led innovation in Europe. This leads to insufficient private sector R&D spending, which is the main reason for Europe's R&D investment gap and more crucially to a lack of financial support at the commercialisation phase for young innovative companies. The financial market crisis has aggravated the situation hitting SMEs³ the hardest.

The Practical Guide to EU funding opportunities for Research and Innovation therefore aims at helping potential applicants for EU funding for research and innovation to find their way to relevant information on funding opportunities: http://cordis.europa.eu/eu-funding-guide/supporting-id_en.html

Approach for 2013

This 2013 work programme *Research for the benefit of SMEs* endeavours to enhance the research and innovation capacities of European SMEs which have little or no research capacity themselves to turn innovative ideas into products and services with clear future market potential in line with the aims of the Innovation Union. The global challenges Europe faces create new opportunities for new innovative ideas to compete in these new markets.

The *Research for the benefit of SMEs* programme's focus is on the outsourcing of research by SMEs to specialised 'RTD performers' (research service providers i.e. universities, research centres, other research performing companies etc.) but can also include outsourcing by research performing SMEs who need to complement their core research activities. Two types of measures - 'Research for SMEs' and 'Research for SME Associations' - constitute the core activities of the programme.

Following the test 'Demonstration Action' launched in the 2011 work programme the 2013 SME work programme continues to promote and increase this activity. In response to the experiences in the first round, this action is now limited to projects already having taken part in Research for SMEs and Research for SME Association schemes in the FP7 Capacities Programme.

These specific measures are complemented by activities in the 'Cooperation' programme. There, however, research performing SMEs participate in the projects as part of a consortium of research organisations. A target has been set so that at least 15% of the funding available under the 'Cooperation' programme should go to SMEs. The Commission will continue the

² http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/performance-review/pdf/do-smes-create-more-and-better-jobs_en.pdf

³ SME/ business support: http://ec.europa.eu/regional_policy/activity/business/index_en.cfm

quantitative and qualitative monitoring of SME participation in the Framework Programme against the objectives set.

What does the 2013 work programme concretely include?

One call for proposals with 4 activities detailed as follows

1. Research for SMEs
2. Research for SME Associations
3. Demonstration activity
4. Coordination and support action – supporting action

A coordination and support action – expert contracts is also included in the work programme.

1. Research for SMEs scheme

The objective of this scheme is to directly support SMEs in the project to outsource their research activities.

This is a highly competitive programme with a high number of proposals, which demonstrates the interest of SMEs for the scheme and the economic return they expect to generate.

The scheme aims at supporting SMEs in need of outsourcing research activities to RTD performers such as universities, research centres or research performing SMEs. 'Other enterprises and end-users', which belong to the same value chains as the participating SMEs, can participate, if it is in the interest of the project.

Projects aim at creating new knowledge or achieving results with a clear exploitation potential to improve or develop new products, processes or services which meet the needs of the participating SMEs. This scheme can assist SMEs in acquiring technological know-how and accessing international networks for their medium to long-term business development and follow a bottom-up approach, meaning that the research can originate in the entire field of science and technology in all industrial sectors.

2. Research for SME Associations scheme

The objective of this scheme is to indirectly support SMEs through their associations /groupings to outsource research activities. This scheme targets SME associations which act on behalf of their members to identify and address common technological problems and to promote the effective dissemination and take-up of research results. Projects may address, among others, pre-normative research issues, new business, management, production and service models, technological problems related to the development and implementation of legislation, that cannot be addressed by the 'Research for SMEs' scheme and which meet the needs of the SME members of the SME associations. It also follows a bottom-up approach.

Projects include research, technological development and demonstration activities and are encouraged to include other activities such as training, to facilitate the dissemination and exploitation of results.

The two above schemes provide financial support to SMEs or SME associations to outsource research and technological development, with the view to enable their acquisition of intellectual property rights, preferably ownership of all project results. This is a different approach from that of collaborative projects in the Cooperation programme where participant cooperates on equal terms with regard to the research undertaken and acquire only access rights to the intellectual property rights generated by them.

3. Demonstration activity

The objective of this activity is to prove (demonstrate) the viability of a new solution (itself a successful outcome of a research project) that offers a potential economic advantage but which cannot be directly commercialised as further technological or other developments are required.

The 2013 work programme continues with the test action introduced in the 2011 Work Programme, aimed at funding demonstration projects. SMEs often need to follow up research projects with work linked to ‘demonstration’ or production of prototypes before actually commercialising goods and services but funding for this kind of activity is not readily available. Activities could e.g. include testing of prototypes, scale-up studies, performance verification and implementation of new technological and non-technological solutions.

This action could also include detailed market studies and business plans. There are no thematic restrictions.

4. Coordination and Support Action- supporting action

The Commission, in its proposal for the SME support in the forthcoming programme Horizon 2020, has put strong emphasis on the development of a direct face-to-face mentoring and coaching support to SMEs desiring to innovate. Such a support function is expected to be present during the full lifetime of the innovation project and would include various aspects, in particular the development of strategic innovation plans with the SME.

Such coaching facilities exist at various levels and degrees at national level. The first aim of the project is to screen the currently available models and methodologies, to select a few examples which could service as best practices and to develop one or several scenarios for a workable approach to be linked to the SME instrument proposed under Horizon 2020, including suggestions for quality control of the coaching provided.

Secondly, the project could also contain direct actions to test and validate the developed scenario(s) with view of the possible future rolling-out, comprising training of and dissemination to possible actors.

5. Coordination and Support Action – expert contracts⁴

In line with article 13, paragraph 3 of Decision No 743/2008/EC, a final evaluation shall be carried out by the Commission at the end of the Eurostars Joint Programme. The final evaluation should examine the Eurostars Joint Programme at programme and project level. Special emphasis will be put on the economic impact of the programme, in particular with respect to article II.3 of the Annex I of the above mentioned decision. The evaluation shall also look into the governance of the programme.

Innovation dimension

This work programme contains innovation measures in support of activities closer to market such as demonstration activities within the Research for SMEs and Research for SME Associations projects, as well as the stand alone demonstration activity.

Dissemination activities

The overall aim for each of the activities mentioned above is for the participating SMEs to innovate and become more competitive in a global market. Therefore dissemination and exploitation of the project results must include concrete actions as an integral part of the project and demonstrate the economic impact on the SMEs. Projects must have a strong focus on exploitation with clear future market potential. Projects are expected to actively disseminate project results to the relevant public and professional audience, using multiple communication pathways including the use of new media (such as web sites, wiki pages, videos, etc), preserving the industrial and commercial interests of the benefiting SME.

For research for SMEs, dissemination activities are usually implemented by the SME participants in the project. In the case of the SMEs Associations however they are implemented through their Associations. As the Associations act as multipliers of the results via their network they must show a dissemination plan for their members. Other activities such as training, to facilitate the dissemination and exploitation of results are strongly encouraged.

It is expected to see dissemination and exploitation directly as a result of these projects.

International cooperation

Although international cooperation is not the main aim of this programme, it can play a role. SMEs can outsource work to RTD performers from any country, including third countries, if these have the right expertise and the research activity provided is cost-effective. This may also be helpful to SMEs to expand their markets. In addition, information and good practices based on the European experience in relation to SMEs and research can be disseminated to

⁴ In accordance with Articles 14(c), 17 and 27(5) 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)

third countries in order to enable them to create the necessary structures and support mechanisms for the creation of viable and effective SME support activities.

Modalities of Implementation: The Research Executive Agency

Calls for proposals under this work programme are implemented by the Research Executive Agency (REA) according to the provisions of the Commission decision C/2008/3980 of 31/07/2008 "delegating powers to the Research Executive Agency with a view to performance of tasks linked to implementation of the specific Community programmes People, Capacities and Cooperation in the field of research comprising, in particular, implementation of appropriations entered in the Community budget". It is anticipated that the management practices of REA should lead to a shorter time to grant for successful proposals with respect to previous calls.

II CONTENT OF CALL

This section describes all the topics for which proposals will be called in this work programme. This concerns only the content of the calls.

For all practical modalities related to these calls, please refer to section III 'Implementation of calls'. For actions not implemented through calls for proposals, please refer to section IV 'Other actions'.

How can I ensure that my project meets the objectives of this programme?

Based on the results of an impact assessment study on SME participation in FP5 and FP6, it has been shown that SMEs get more out of a project if its objectives are really in line with the SME needs in terms of final exploitation of the results. A strong commitment and active involvement of the SMEs will ensure the project meets its objectives. The SMEs needs of the project will be carefully examined during the evaluation from concept to exploitation thus helping to provide strong guarantees that the research and innovation ambitions of the SMEs and the RTD-performers will be reconciled from the outset.

It should also be highlighted that for all of the three activities, Research for SMEs, Research for SME Associations and Demonstration activity, the project must include a convincing business case on how investment in the research or demonstration will lead to a clear benefit for the SMEs. This is also of particular importance to the 'demonstration activity'. The guide for applicants, which also acts as manual for the evaluators of the project proposals, will reflect this in particular emphasising the importance of a clear description of management and commercial exploitation of Intellectual Property Rights (IPR) (both background and foreground). **This point will be further elaborated under the heading 'Transaction'.**

As in the 2011 and 2012 'Research for the Benefit of SMEs' work programmes, in this 2013 work programme, the inclusion of demonstration activities in the research projects themselves is encouraged. Analysis of past experience shows that for the 'Research for SMEs' scheme up to 6% of costs on average do relate to demonstration. It is expected that under this work programme, the demonstration element as part of future SME-specific R&D-projects should gain importance. For the Demonstration activity it is critical that there should be a clear route to exploitation and commercialisation.

Activity: 2.1 Research for SMEs

Technical content/ scope

'Research for SMEs' supports small groups of innovative SMEs in solving technological problems and acquiring technological know-how. Projects must fit into the overall business and innovation needs of the SMEs, which are given the opportunity to subcontract research to RTD performers in order to acquire the necessary technological knowledge. Projects must render clear innovation and exploitation potential and economic benefits for the SMEs involved.

The aim is that the participating SMEs become more competitive and their capacity to collaborate with the 'research community' is enhanced, forging closer industry / academia links. A strong emphasis is therefore placed on the economic impact of the results achieved in the project on the SMEs themselves. The economic 'benefit for the SMEs' is crucial in such projects.

Topics

'Research for SMEs' is a bottom-up scheme: the projects may address any research topic across the entire field of science and technology⁵.

Participants

It is required that participants of 'Research for SMEs' projects are from the following three categories:

1. SME participants:

SMEs are the direct beneficiaries of the scheme: they outsource their research needs by subcontracting the research to RTD performers. The level of EU funding is substantial but will cover only part of the total costs of the project. In practice, however, the grant should suffice to cover all the costs of the outsourced research and demonstration activities.

They must be SMEs as defined by Commission Recommendation 2003/361/EC⁶.

However, SMEs that are research centres, research institutes, contract research organisations or consultancy firms are not eligible as SME participants. They are eligible to take part as RTD performers or 'Other enterprisers and end users'.

The project results (Foreground) generated in the project shall be at the benefit of the participating SMEs and they have rights of use and dissemination. Projects are centred on the economic interest of the SME participants which will take an active role by defining

⁵ Research proposals within the scope of Annex I to the EURATOM Treaty, namely those directed towards nuclear energy applications, should be submitted to relevant calls under the EURATOM Framework Programme (2012-2013).

⁶ OJ L 124, 20.5.2003, p.36 http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/index_en.htm).

their specific technological needs and will ensure that the research performed complies with their requirements. No decision in the consortium shall be taken against the collective interest of the SME participants. They will provide input and will contribute to the research activities where appropriate and will take-up and exploit the research results to their own best advantage.

2. RTD performers:

RTD performers are legal entities carrying out research and technological development activities for the benefit of the SME participants. Examples of RTD performers are universities, research organisations and industrial companies, including research performing SMEs.

3. 'Other enterprises and end-users' (including SMEs):

SMEs have to keep a predominant role in the consortium. However, 'Other enterprises and end-users' may participate by making a particular contribution to the project and in addressing specific needs of the SME participants involved. The 'Other enterprises and end-users' must be independent of any other participant.

Type of activities

The projects may consist of up to four different types of activities from which research and technological development activities and/or demonstration activities are compulsory.

Research and technological development activities form the core of the project and the RTD performers should perform the bulk of these. SMEs should focus on initial specifications, and on testing and validation of project results and the preparatory stages for further use. Knowledge management and IPR protection should support the SMEs in protecting and using the research results to their best advantage, leading to a clear economic impact.

Demonstration activities are designed to prove the viability of new technologies that offer a potential economic advantage, but which cannot be commercialised directly (e.g. testing of product-like prototypes). Demonstration activities are an important step of a project on its way towards commercialization and should therefore typically be a distinct element of a project.

Other activities to facilitate the take-up of results by the SMEs, in particular training and dissemination:

- Training activities are aimed at technical and managerial staff from the participating SMEs. Training should focus on results/technologies generated by the projects. Training activities should normally not exceed 10% of the total eligible project costs.
- Dissemination activities targeted to the relevant public and professional audience, using multiple communication pathways including the use of new media (such as web sites, wiki pages, videos, etc.) as well as conferences and publications.

Management activities, over and above the technical management of individual work packages, provide an appropriate framework bringing together all project components and maintaining regular communications with the Commission.

Co-ordination tasks may not be subcontracted. The organisation acting as coordinator must have the necessary capacity and competence to ensure effectively the coordination tasks. The co-ordinator of a 'Research for SMEs' project should preferably be one of the SME participants. This role may be entrusted by the SMEs in duly justified cases to a RTD performer or an organisation specialised in professional project management. The latter will participate in the project under the category 'Other enterprises and end-users' in support to the SMEs.

Resources and duration

Indicative budget: EUR 169.564 million⁷.

Applicants are strongly encouraged to form small consortia which fit the purpose of the proposed project. The size of the consortium should typically be 5, but generally not exceeding 10 participants.

Accordingly, the overall budget of the project should typically be between EUR 500 000 to EUR 1 500 000 and the duration of the project should normally be between 1 and 2 years.

Funding Scheme

‘Research for the benefit of specific groups (in particular SMEs)’

The calculation of the European Union contribution for projects is built upon the reimbursement, in whole or in part, of eligible costs (based on maximum rates of reimbursement specified in the grant agreement for different types of activities within the project) and shall not exceed the maximum European Union contribution determined by the FP7 rules for the participation of undertakings, research centres and universities in actions⁸.

The financial support of the European Union in accordance with Article 33 of the FP7 rules for participation will be capped at a value not exceeding 110% of the estimated price to be invoiced by RTD providers to SME participants and/or 'Other enterprises and end users' participants as agreed amongst them prior to grant agreement signature in compliance with Article 120 of the Financial Regulation⁹. Within this limit, the effective reimbursement of eligible costs will be subject to the applicable rates of the various activities (see Annex 3). Should the actual invoices be lower than the initially estimated price, the financial support of the European Union will not exceed 110% of their actual value.

⁷ Under the condition that the draft budget for 2013 is adopted without modifications by the budgetary authority.

⁸ Regulation (EC) No1906/2006 of the European Parliament and of the Council 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) – OJ L391, 30.12.2006.p1.

⁹ Council Regulation (EC, Euratom) No 1995/2006 13 December 2006 on the Financial Regulation applicable to the general budget of the European Communities – OJ L248, 16.9.2002.p1

RTD performers will charge eligible costs only under 'management activities' and 'other activities' (including training and dissemination). Resources they use for 'research and technological development activities' and/or 'demonstration activities' will be invoiced to the 'SMEs' participants and/or 'Other enterprises and end-users' participants at an agreed price. The price and payment modalities agreed between RTD performers and 'SME' participants should reflect the value of the intellectual property rights and knowledge acquired: the price of a licence should normally be lower than the price for ownership.

RTD performers are protected against the insolvency of an 'SME' participants and/or 'Other enterprises and end-users' participants to honour the financial commitment towards them. In such a situation, RTD performers may be authorised to charge their eligible costs related to unpaid invoices for direct reimbursement by the European Union. This reimbursement shall be subject to the funding rates applicable for 'research and technological development activities' and/or 'demonstration activities' in accordance with Article 33 of the FP7 rules for participation and within the above-mentioned cap.

'SME' participants and 'Other enterprises and end-users' participants will charge eligible costs under the various available activities to the project. The payment of RTD performers' invoices will be considered as an eligible cost and be reimbursed at the funding rate applicable for 'research and technological development activities' and/or 'demonstration activities'.

The SMEs are held responsible for the funds managed within the project. Sufficient safeguard measures should be agreed between them and the RTD Performers allowing the former to recover from the RTD Performers any funds in case of non-delivery of results, etc.

The transaction

In these projects SME participants are provided with the necessary funds to buy research from RTD providers (universities, research centres, etc.) which are called RTD performers in the programme. This is done by subcontracting against market conditions in a customer/seller-relationship laid down in the so called 'transaction'.

The SME participants remain at all times responsible for the outcome/results of the project. Therefore they have to ensure adequate management of the funds provided and for the quality of the work delivered to them by the subcontractors (RTD performers).

The RTD performers offer a research service for which they must be remunerated by the SME participants and/or 'Other enterprises and end-users'. In return the SME participants receive ownership and/or user rights to the Foreground generated in the project. All participants must agree on the appropriate conditions with respect to remuneration of the RTD performers and rights relinquished to the SME participants, and in the best interest of the SME participants, before submitting the proposal. This is referred to as 'the transaction'.

By default, the preferred option is that the SME participants obtain the full ownership of the Foreground and the RTD performers are remunerated accordingly. The consortium may reach a different agreement in their own best interests, as long as the SME participants are provided with all the rights that are required for their intended use and dissemination of the project results. This should, however, be clearly reflected in the remuneration of the RTD performers.

The way in which the Intellectual Property Rights are distributed should be clearly addressed in the project proposal and not to be decided at a later stage in the Consortium Agreement, as it has consequences for the impact of the project for the SME participants.

Further detail on how to prepare a project proposal and apply the funding scheme is presented in the brochure "Research for SMEs & Research for SME Associations at a glance" which can be consulted at http://ec.europa.eu/research/sme-techweb/index_en.cfm?pg=publications on the SMETechWeb: http://ec.europa.eu/research/sme-techweb/index_en.cfm. Model proposals are also available on the website of the NCP SME Network: <http://www.ncp-sme.net/publications/model-proposal>.

Expected impact

Projects under 'Research for SMEs' aim at contributing to the innovation of products, processes and services and at strengthening the competitiveness of SME participants. This programme will also contribute to improving industrial competitiveness across the European Union. The proposed Science & Technology approach should take into account the SME demand (need for a solution to a problem) and not only the state-of-the-art in the technology domain and demonstrate the capability and commitment of the consortium to implement a tangible RTD work plan at a high quality level with a clear path towards the response to the SME needs.

The expected outcome should be innovative including new or improved products, processes or services with a distinct market potential. Project proposals: should include a comprehensive business case and demonstrate a clear economic impact for the SME participants, improving their competitiveness by creating new or expanding existing markets. Collaboration and networking at EU level should enhance their access to markets and customers.

The expected impact should be clearly described both at qualitative and quantitative level, providing where possible an indication of the economic impact, e.g. on turnover, employment, target markets and market improvements as well as expected patent applications or licence agreements. A dedicated strategy for the use of the research results is expected to ensure optimal and rapid innovation impact.

Projects shall comply with basic ethical principles including the rights and principles enshrined in the Charter of Fundamental Rights of the European Union¹⁰ and include provisions for communication and dissemination of results. They should highlight any relevance to EU policies (i.e. environment, energy, health, etc.), encourage gender equality initiatives (i.e. gender action plans according to the size of the project), foster dialogue beyond the research community, explore wider societal issues and address possible synergies with education.

¹⁰ OJ C 303/7, 14.12.2007, p.1. See also Strategy for the effective implementation of the Charter of Fundamental Rights by the European Union, COM(2010) 573 final, 19.10.2010

Activity: 2.2 Research for SME Associations (SME-AGs)

Technical content/scope

‘Research for SME Associations’ supports SME associations to develop technological solutions to problems common to a large number of SMEs in specific industrial sectors or segments of the value chain through research, for example, to develop or conform to European norms and standards, and to meet regulatory requirements in areas such as health, safety, environmental protection and energy efficiency. Projects must be driven by the SME associations which outsource research to RTD performers for the benefit of their members and must involve a number of individual SMEs.

Topics

‘Research for SME Associations’ is a bottom-up scheme: the projects may address any research topic across the entire field of science and technology¹¹.

Participants

It is required that participants of ‘Research for SME Associations’ projects are from the following three categories:

1. SME associations/groupings (SME-AGs):

SME associations/groupings are legal persons having SME members and representing the interests of SMEs and/or physical persons having the same kind of activities. Examples of these are sectoral industrial associations, national or regional industrial associations and chambers of industry and commerce.

Projects are centred on the economic interest of the SME members of the SME AGs. The SME-AGs take an active role by defining the specific technological needs and ensuring that the research performed complies with their requirements. They provide input and contribute to the research activities where appropriate. The SME-AGs are the direct beneficiaries of the scheme by investing in research activities carried out by the RTD performers. The level of public funding is substantial but will cover only part of the total costs of the project. In practice, however, the grant should suffice to cover all the costs of the outsourced research and demonstration activities.

The SME-AGs normally retain the ownership of any project results (Foreground). No decision in the consortium shall be taken against the collective interest of the SME-AGs. They ensure the broad uptake, use and dissemination of the research results by their SME members to their best advantage.

¹¹ Research proposals within the scope of Annex I to the EURATOM Treaty, namely those directed towards nuclear energy applications should be submitted to relevant calls under the EURATOM Framework Programme (2012-2013).

2. RTD performers:

RTD performers are legal entities carrying out research and technological development activities for the benefit of the SME-AGs and in the interest of their SME members. Examples of RTD performers are universities, research organisations and industrial companies, including research performing SMEs.

3. 'Other enterprises and end-users' (including SMEs):

The scope of their activity will be focused on validation, take-up, training and dissemination activities, but not on research activities.

SME-AGs have to keep a predominant role in the consortium. However, 'Other enterprises and end-users' (including SMEs) may participate by making a particular contribution to the project and in solving specific problems or needs of the SME-AGs involved and the SMEs they represent.

Type of activities

The projects may consist of up to four different types of activities from which research and technological development activities and/or demonstration activities are compulsory.

Research and technological development activities form the core of the project and the RTD performers should perform the bulk of these. SME-AGs and their SME members should focus on testing and validation of project results and the preparatory stages for further use. Knowledge management and IPR protection should support the SME-AGs in protecting and using the research results to the best advantage of their members, leading to a clear positive economic impact.

Demonstration activities are designed to prove the viability of new technologies that offer a potential economic advantage, but which cannot be commercialised directly (e.g. testing of product-like prototypes). Demonstration activities are an important step of a project on its way towards commercialization and should therefore typically be a distinct element of a project.

Other activities as appropriate and directly related to the project's objectives that facilitate the take-up of results by the SMEs, in particular training, dissemination and networking:

- Training activities contribute to the professional development of the persons concerned, in particular technical and managerial staff from the participating SME-AG and their (SME) members. They aim at fostering the take-up and use of project results in larger groups of SMEs concerned. Training activities focus on results/technologies generated by the projects and can be carried out by:
 - RTD performers towards SME-AG technical and managerial staff ("Train the Trainer" formula) and/ or towards SMEs,
 - SME-AG staff towards technical and managerial staff of SME members.

Training activities should normally not exceed 15% of the total eligible project costs.

- Dissemination activities targeted to the relevant public and professional audience, using multiple communication pathways including the use of new media (such as web sites, wiki pages, videos, etc.) as well as conferences and publications. Projects include activities to effectively disseminate the research results to the members of the SME associations, and if appropriate, more widely. Furthermore, dissemination to policy makers, including standardisation bodies, is encouraged to facilitate the use of policy relevant results by the appropriate bodies at international, European, national or regional levels.

Management activities, over and above the technical management of individual work packages, provide an appropriate framework bringing together all project components and maintaining regular communications with the Commission.

Co-ordination tasks may not be subcontracted. The organisation acting as coordinator must have the necessary capacity and competence to ensure effectively the coordination tasks. The co-ordinator of a 'Research for SME Associations' project should preferably be one of the SME-AGs. This role may be entrusted in duly justified cases to a RTD performer or an organisation specialised in professional project management. The latter will participate in the project under the category 'Other enterprises and end-users' in support to the SME-AGs.

Resources and duration

Indicative budget: EUR 55 million¹².

Applicants are strongly encouraged to form small consortia which fit the purpose of the proposed project. The size of the consortium should be typically between 5 and 15 participants; the SME end users group should be limited to 2 to 5 members necessary to achieve the objectives.

The overall budget of the project should typically be between EUR 1 500 000 to EUR 3 000 000 and the duration of the project should normally be between 2 and 3 years.

Funding Scheme:

'Research for the benefit of specific groups (in particular SMEs)'

The calculation of the European Union contribution for projects is built upon the reimbursement, in whole or in part, of eligible costs (based on maximum rates of reimbursement specified in the grant agreement for different types of activities within the project) and shall not exceed the maximum European Union contribution determined by the FP7 rules for participation¹³.

The financial support of the European Union in accordance with Article 33 of the rules for participation will be capped at a value not exceeding 110% of the estimated price to be invoiced by RTD providers to the SME Associations and/or 'Other enterprises and end users'

¹² Under the condition that the draft budget for 2013 is adopted without modifications by the budgetary authority.

¹³ See footnote 6.

as agreed amongst them prior to grant agreement signature in compliance with Article 120 of the Financial Regulation¹⁴. Within this limit, the effective reimbursement of eligible costs will be subject to the applicable rates of the various activities (see Annex 3). Should the actual invoices be lower than the initially estimated price, the financial support of the European Union will not exceed 110% of their actual value.

RTD performers will charge eligible costs only under 'management activities' and 'other activities' (including training and dissemination). Resources they use for 'research and technological development activities' and/or 'demonstration activities' will be invoiced to SME-AGs at an agreed price. The price and payment modalities agreed between RTD performers and the SME-AGs should reflect the value of the intellectual property rights and knowledge acquired: the price of a licence should normally be lower than the price for ownership. RTD performers are protected against the insolvency of the SME Associations and/or 'Other enterprises and end-users' to honour the financial commitment towards them. In such a situation, RTD performers may be authorised to charge their eligible costs related to unpaid invoices for direct reimbursement by the European Union. This reimbursement shall be subject to the funding rates applicable for 'research and technological development activities' and/or 'demonstration activities' in accordance with Article 33 of the rules for participation and within the above-mentioned cap.

SME associations and 'Other enterprises and end-users' will charge eligible costs under the various available activities to the project. Subject to an agreement between SME-AGs and their SME members, the payment of RTD performers' invoices by SME members will be considered as eligible costs for them and be reimbursed at the funding rate applicable for 'research and technological development activities' and/or 'demonstration activities'.

The transaction

In these projects SME AGs are provided with the necessary funds to buy Research from RTD providers (universities, research centres, etc.) which are called RTD performers in the programme. This is done by subcontracting against market conditions in a customer/seller-relationship laid down in the so called 'transaction'.

The SME AGs remain at all times responsible for the outcome/results of the project. Therefore they have to ensure adequate management of the funds provided and for the quality of the work delivered to them by the subcontractors (RTD performers).

The RTD performers offer a research service for which they must be remunerated by the SME-AGs and/or 'Other enterprises and end-users'. In return the SME-AGs receive ownership and/or user rights on Foreground generated in the project. All participants must agree on the appropriate conditions with respect to remuneration of the RTD performers and rights relinquished to the SME-AGs, and in the best interest of the SME-AGs and their SME-members, before submitting the proposal. This is referred to as 'the transaction'.

By default, the preferred option is that the SME-AGs obtain the full ownership of the Foreground and the RTD performers are remunerated accordingly. The consortium may reach

¹⁴ See footnote 7.

a different agreement in their own best interests, as long as the SMEs-AGs are provided with all the rights that are required for their intended use and dissemination of the project results. This should, however, be clearly reflected in the remuneration of the RTD performers. The way in which the Intellectual Property Rights are distributed should be clearly addressed in the project proposal and not to be decided at a later stage in the Consortium Agreement, as it has consequences for the impact of the project for the SME-AGs and their SME-members.

Further detail on how to prepare a project proposal and apply the funding scheme is presented in the brochure 'Research for SMEs & Research for SME Associations at a glance' which can be consulted at http://ec.europa.eu/research/sme-techweb/index_en.cfm?pg=publications on the SMETechWeb: http://ec.europa.eu/research/sme-techweb/index_en.cfm. Model proposals are also available on the website of the NCP SME Network: <http://www.ncp-sme.net/publications/model-proposal>.

Expected impact

Projects under 'Research for SME Associations' aim at developing new or conforming to existing European norms and standards, meeting regulatory requirements and policy objectives in areas such as health, safety and environmental protection, research into new business, management, production and service models, or solving technological problems common for larger groups of SMEs that could not be addressed under 'Research for SMEs'.

The proposed Science & Technology approach should take into account the state of the art in the targeted technology domain and demonstrate the capability of the consortium to implement a tangible RTD work plan at a high quality level. Projects should lead to a clear economic impact for the SME members of the SME-AGs involved in the project, thus contributing at programme level to improving industrial competitiveness across the European Union.

The readiness to meet regulatory requirements and/or to influence norms and standards will give SME-AGs and their SME-members a competitive advantage in creating new or expanding existing markets. Collaboration and networking at EU level is expected to enhance their access to markets and customers geographically and sectorially.

The expected impact should be clearly described both at qualitative and quantitative level, providing an indication of the expected consequences for the SME-AGs concerned. This should cover the implications concerning compliance with regulatory requirements, but also economic impact, e.g. on turnover, employment or target markets as well as expected patent applications or licence agreements. A dedicated dissemination and exploitation strategy is expected to ensure that a large group of SMEs benefit from the results post project completion.

Projects shall comply with basic ethical principles including the rights and principles enshrined in the Charter of Fundamental Rights of the European Union¹⁵ and include

15 OJ C 303/7, 14.12.2007, p.1. See also Strategy for the effective implementation of the Charter of Fundamental Rights by the European Union, COM(2010) 573 final, 19.10.2010

provisions for communication and dissemination of results. They should highlight any relevance to EU policies (i.e. environment, energy, health, etc.), encourage gender equality initiatives (i.e. gender action plans according to the size of the project), foster dialogue beyond the research community, explore wider societal issues and address possible synergies with education.

Activity: 2.3 Demonstration activity

The call for project of Demonstration Activity aims at helping participating SME to increase impact of their projects or to explore new ways of using the acquired knowledge from their research for SME or SME association project. Nevertheless, all research for SME or SME association projects are not expected to be followed by a separate Demonstration Activity project.

The demonstration activity is targeted to SMEs having participated or still participating in a 'Research for SMEs'/'Research for SME Associations' project in the FP7 Capacities Programme. The aim is to guarantee that the benefits of supporting demonstration activities will go directly to the SMEs involved which are ready to fully exploit the results of such project. The consortium will have to prove that the results from the demonstration activity are ready and suitable for exploitation.

Technical content/scope

Demonstration projects must be centred on the needs of the SMEs to carry out demonstration activities before being able to enter the market. Activities can include testing of product-like prototypes, scale-up studies, performance verification and implementation of new technical and non-technical solutions. However, the demonstration projects are not meant for further research and development activities. This phase could also include detailed market studies/business plans or market strategies.

Topics:

The Demonstration activity is a bottom-up scheme: the demonstration projects may address the entire field of science and technology¹⁶.

Participants

The SMEs shall have a predominant role in the consortium. The participation of other actors, like SME end-users, SME associations, large companies and/or partners specialised in dissemination of innovative results is possible.

Applicants are encouraged to form small consortia fit for the purpose of the proposed demonstration project.

Type of activities

The demonstration projects can consist of up to three different types of activities from which demonstration activities are compulsory.

Demonstration activities are designed to prove the viability of new technologies that offer a potential economic advantage, but which cannot be commercialised directly (e.g. testing of product-like prototypes).

¹⁶ Research proposals within the scope of Annex I of the EURATOM Treaty, namely those directed towards nuclear energy applications, should be submitted to relevant calls under the EURATOM Framework Programme (2012-2013).

Management activities over and above the technical management of individual work packages provide an appropriate framework bringing together all project components and maintaining regular communications with the Commission.

Other activities to facilitate the take-up of results by the SMEs, in particular training and dissemination:

- Training activities aimed at technical and managerial staff from the participating SMEs. Training should focus on results/technologies generated by the projects.
- Dissemination activities targeted to the relevant public and professional audience, using multiple communication pathways including the use of new media (such as web sites, wiki pages, videos, et) as well as conferences and publications

The emphasis of this activity is with the demonstration part. Management and other activities shall only represent a small part of the project. Sub-contracting shall be limited to specialised tasks (such as market studies, support to IPR and use of external testing facilities) and duly justified.

Resources and duration

Indicative budget: EUR 27 million¹⁷.

The overall budget of a project should typically be between EUR 500 000 to EUR 3 000 000.

It is expected that the duration of a project would be in the range of 18 to 24 months.

Funding Scheme:

Collaborative Projects.¹⁸

Expected impact: Projects under the scheme for demonstration aim at bridging the gap between research and market. The concept is to prove the viability of a new solution (itself an outcome of a successful research project) that offers a potential economic advantage, but which cannot be directly commercialised.

The expected impact should be clearly described both at qualitative and quantitative level, providing an indication of the expected economic impact, e.g. on turnover, employment or target markets as well as expected patent applications or licence agreements.

Projects ensure to respect basic ethical principles and include provisions for communication and dissemination of results.

Other information / Specific Features: The participants should demonstrate that the research results which lead to the demonstration activity originate from a 'Research for SMEs'/'Research for SME Associations' project in the FP7 Capacities Programme and that these results are ready and suitable for the exploitation phase through the demonstration project.

¹⁷ Under the condition that the draft budget for 2013 is adopted without modifications by the budgetary authority.

¹⁸ In line with the upper funding limits defined in Article 33 of Regulation (EU) 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)

Activity: 2.4 Coordination and Support Action – supporting action

Technical content/scope

The Commission, in its proposal for the SME support in the forthcoming programme Horizon 2020, has put strong emphasis on the development of a direct face-to-face mentoring and coaching support to SMEs desiring to innovate. Such a support function is expected to be present during the full lifetime of the innovation project and would include various aspects, in particular the development of strategic innovation plans with the SME.

Such coaching facilities exist at various levels and degrees at national level. The first aim of the project is to screen the currently available models and methodologies, to select a few examples which could service as best practices and to develop one or several scenarios for a workable approach to be linked to the SME instrument proposed under Horizon 2020, including suggestions for quality control of the coaching provided.

The indicative budget for this analysis and the scenario building shall not exceed EUR 250.000¹⁹.

Secondly, the project could also contain direct actions to test and validate the developed scenario(s) with view of the possible future rolling-out, comprising training of and dissemination to possible actors. In this case the project budget can be increased to EUR 750.000²⁰

Members of existing European support networks dedicated to SMEs are particularly encouraged to participate.

It is expected that the duration of a project shall not last longer than 12 months.

A maximum of one proposal will be selected for financing.

Funding Scheme:

Coordination and Support Action (Supporting Action) – call for proposal.

Expected impact:

The objective is to assist in the development of improved support services for SME participants proposed under Horizon 2020, in particular mentoring and coaching, in order to boost the innovation capacity of the SMEs and to increase the impact from the support provided.

¹⁹ Under the condition that the draft budget for 2013 is adopted without modifications by the budgetary authority.

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

III IMPLEMENTATION OF CALL

Call title: Research for the Benefit of SMEs

- **Call identifier:** FP7-SME-2013
- **Date of publication:** 10 July 2012 at 17.00.00, Brussels local time²¹
- **Deadline:** 15 November 2012 at 17.00.00, Brussels local time²²
- **Indicative budget:** EUR 252.31²³ million²⁴

Activity/ Area	Indicative budget (EUR million)
2.1 Research for SMEs FP7-SME-2013-1	169.56
2.2 Research for SME Associations FP7-SME-2013-2	55.00
2.3 Demonstration Activity FP7-SME-2013-3	27.00
2.4 Coordination and support action FP7-SME-2013-4	0.75

The budget for this call is indicative. The final budget awarded to actions implemented through this call for proposals may vary:

- The final budget of the call may vary by up to 10% of the total value of the indicated budget.
 - Any repartition of the call budget between the different actions may also vary by up to 10% of the total value of the indicated budget for the call.
-
- **Topics called:** the call is open to all research fields

²¹ The Director-General responsible for the call may publish it up to one month prior to or after the envisaged date of publication.

²² The Director-General responsible may delay this deadline by up to two months

²³ Figures in the Annexes to the Decision are presented in EUR Million and rounded to two decimal points for consistency and presentational purpose.

²⁴ Under the condition that the draft budget for 2013 is adopted without modifications by the budgetary authority.

Activity/ Area	Topics called	Funding Scheme
2.1 Research for SMEs (SME.2013.1)	The call is open to all research fields ²⁵	Research for the benefit of specific groups (in particular SMEs) - BSG
2.2 Research for SME Associations (SME.2013.2)	The call is open to all research fields	Research for the benefit of specific groups (in particular SMEs) - BSG
2.3 Demonstration Activity (SME.2013.3)	The call is open to all research fields	Collaborative projects - CP
2.4 Coordination and support action (SME.2013.4)	Analysis on the currently available models and methodologies on direct face-to-face support, mentoring and coaching to SMEs and direct actions to test and validate the developed scenario(s). Up to one proposal will be selected for financing.	Coordination and Support Action (Supporting Action) - CSA-SA

- **Eligibility criteria**

- The general eligibility criteria are set out in Annex 2 to the work programme and explained in the guide for applicants (three different guides for applicants are available, one for each activity). Please note that the completeness criterion also includes that part B of the proposal shall be readable, accessible and printable.

²⁵ Research proposals within the scope of Annex I to the EURATOM Treaty, namely those directed towards nuclear energy applications, should be submitted to relevant calls under the EURATOM Framework Programme (2012-2013).

Funding scheme	Minimum conditions
Research for the benefit of specific groups (in particular SMEs)	At least 3 independent legal entities, each of which is established in a MS or AC, and no 2 of which are established in the same MS or AC.
Collaborative Projects	At least 3 independent legal entities, each of which is established in a MS or AC, and no 2 of which are established in the same MS or AC.
Coordination and Support Actions (supporting action)	At least 1 independent legal entity.

- The following additional eligibility criteria apply in this call for **Activity 2.1 Research for SMEs**:
 - At least 3 participants must be SMEs independent²⁶ of each other established in at least 3 MS or AC.
 - At least 2 participants must be RTD performers²⁷ independent of each other and from any other type of participant that is not an RTD performer.
 - If there are any 'Other enterprises and end-users', they must be independent of any other participant.
 - SMEs that are research centres, research institutes, contract research organisations or consultancy firms are not eligible as SME participants, however they are eligible to take part as RTD performers, other enterprisers or end users. This eligibility criterion will be checked definitely and finally at the end of the negotiation, before the signature of the grant agreement.
- The following additional eligibility criteria apply in this call for **Activity 2.2 Research for SME Associations**:
 - At least 3 participants must be SME associations/groupings independent of each other established in 3 MS or AC. An alternative to this is that there may be 1 European SME association/grouping established in a MS or an AC. This

²⁶ Independence: As defined in Article 6 of Regulation (EU) 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)"

²⁷ As defined in Article 2 of Regulation (EU) 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): "'RTD performer' means a legal entity carrying out research or technological development activities in funding schemes for the benefit of specific groups as identified in Annex III to Decision No 1982/2006/EU".

association/grouping must be made up of a minimum of 3 legal entities independent of each other established in 3 MS or AC. SME associations/groupings are legal persons, composed mostly of and representing the interests of SMEs and/or physical persons having the same kind of activities.

- At least 2 participants must be RTD performers (having the capacity to carry out research at the request of the association(s)/grouping(s)), independent of each other and from any other type of participant that is not an RTD performer.
 - At least 2 participants must be SMEs ('Other enterprises and end-users') established in 2 MS or AC and they must be independent of any other participant.
- The following additional eligibility criteria apply in this call for the **Activity 2.3 Demonstration Activity**:
- The coordinator of the project must be an SME.
 - At least 3 legal entities that are independent of each other and each of which is established in a different Member States (MS) or Associated Countries (AC). The consortium must include minimum 2 SMEs independent of each other from at least 2 different MS or AC. These 2 SMEs must be/have been participants together in a successful FP7 'Research for SMEs' project, or participated as 'Other enterprises and end-users' and/or SMEs that were members of the participating SME Association in a successful²⁸ FP7 'Research for SME Associations' project. Such project must have finished or be in its last year of operation by the submission deadline date. In addition to this minimum consortium requirement, the participation of additional SMEs that have not taken part in the above mentioned research project is possible.
 - At least 75% of the declared total budget shall be carried out by the SME(s).
- The following additional eligibility criteria apply in this call for the **Activity 2.4 Coordination and support action**:
- The requested EU contribution per project is maximum EUR 750 000.
 - The requested EU contribution for the analysis on the available models and methodologies shall not exceed EUR 250 000.

- **Evaluation procedure:**

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

²⁸ An FP7 research project can be considered successful if it meets all the requirements of the interim or final review.

- 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 Research Executive Agency 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 15mm (not including any footers or headers).
- The evaluation will follow a single stage procedure.
- Experts might be asked to carry out the individual evaluation of proposals remotely.
- The procedure for prioritising proposals with equal score for this call will differ from Annex 2 as follows: the first step (point 'i') making reference to topics is suppressed, and point "ii" (now point 'i') indicates that the proposals will be prioritised first according to the scores for the criterion 'Potential impact' and, when these scores are equal, according to the scores for the criterion 'scientific and technological excellence' (ref. guide for applicants).
- Please note that for this call, the threshold for the 'Potential impact' criterion will be 4 (instead of 3) and the overall threshold will be 11 (instead of 10).
- A reserve list of proposals per activity will be established.
- The following will be evaluated under the impact criterion for **Activities 2.1 Research for SMEs** and **2.2 Research for SME Associations**:

Within part B of the proposal, the rules on dissemination and use, including intellectual property rights management and the settlement of internal disputes, are described. In particular, part B should contain provisions related to the remuneration of the RTD performers especially if different from the default regime, clearly indicating the ceiling for remuneration agreed within the consortium and the related consequences in terms of allocation of ownership and use and dissemination rights.

- **Indicative timetable:** evaluation results estimated to be available within 3 months after closure date. Grant agreement signature: it is estimated that the first grant agreements related to the call will come into force 6 months after the closure date.

The objective is that all grant agreements will have been signed within 6 months after the adoption of the ranked list of proposals.

- **Consortium agreements:** The participants are deemed to have concluded a consortium agreement before the signature of the grant agreement.

It addresses issues such as the internal organisation of the consortium, the management of the European Union financial contribution, rules on dissemination and use, including intellectual property rights management and settlement of internal disputes.

- **The forms of grants and maximum reimbursement rates** which will be offered are specified in Annex 3 to the 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'.

IV OTHER ACTIONS²⁹

1. Expert evaluators and reviewers

The Research Executive Agency will appoint independent experts to assist with the evaluations of proposals and the review of indirect actions financed under FP7.

An indicative budget of EUR 3.3 million³⁰ has been earmarked for these purposes.

2. Coordination and Support Action – expert contracts

- An expert group shall be set up to carry out the *ex-post* evaluation of the research and development programme undertaken by several Member States aiming at supporting research and development performing small and medium-sized enterprises (Eurostars) by a group of independent experts.

Funding Scheme

Coordination and Support Action – expert contracts – EUR 0.35 million³¹.

Expected impact

In accordance with Article 13, paragraph 3 of Decision No 743/2008/EC, a final evaluation shall be carried out by the Commission at the end of the Eurostars Joint Programme. The final evaluation should examine whether the objectives of the Eurostars Joint Programme set in the above decision had been met. Special emphasis will be put on the economic impact of the programme, in particular with respect to article II.3 of the Annex I of the above mentioned decision. The evaluation shall also look into the quality and efficiency of the implementation of the programme.

²⁹ 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).

³⁰ Under the condition that the draft budget for 2013 is adopted without modifications by the budgetary authority.

³¹ Under the condition that the draft budget for 2013 is adopted without modifications by the budgetary authority.

V BUDGET

Research for the Benefit of SMEs – Indicative budget*

Activities		Budget 2013 (EUR million) ³²
Research for SMEs	FP7-SME-2013-1	169.56
Research for SME Associations	FP7-SME-2013-2	55.00
Demonstration Activity	FP7-SME-2013-3	27.00
Coordination and support action	FP7-SME-2013-4	0.75
Other actions:		
• Expert Evaluators and Reviewers (EUR 3.3 million)		3.65
• Coordination and support action – expert contract (EUR 0.35 million)		
Estimated total budget		255.96

* An additional EUR 20 million of the 2013 budget will be dedicated to EUROSTARS (Art 185 TFEU). These data have only an informative purpose.

All budgetary figures given in this work programme are indicative. The final budgets may vary following the evaluation of proposals.

The final budget awarded to actions implemented through the call for proposal may vary:

- The total budget of the call may vary by up to 10% of the total value of the indicated budget; 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
- 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.

³² Under the condition that the draft budget for 2013 is adopted without modifications by the budgetary authority

WORK PROGRAMME 2012-2013

CAPACITIES

PART 3

2nd Revision

REGIONS OF KNOWLEDGE

(European Commission C(2012) 4526 of 09 July 2012)

Capacities Work Programme: Regions of Knowledge

The revised work programme replaces the work programme adopted by Commission Decision C (2011)9496 of 20 December 2011.

This update provides the total amount allocated to the call FP7-REGIONS-2012-2013-1 for 2012 and 2013 by introducing the figure of the draft budget 2013.

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Objective

Strengthening the research potential of European regions, in particular by encouraging and supporting regional 'research-driven clusters' associating universities, research centres, enterprises, regional authorities and other stakeholders across Europe.

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 focus on innovation will be reflected in the description of the objectives and scope of the specific topics, as well as in the expected impact statements. The innovation dimension of the proposals will be evaluated under the evaluation criterion 'Expected Impact'.

Approach for 2012-2013

The 'Regions of Knowledge' action in FP7 responds to a need at European level to increase the overall capacity of European regional players to boost innovation based on research and technology development (R & D). The goal is to enable regions to strengthen their capacity for investing in and conducting research and technological development activities in a way which can contribute significantly to their sustainable economic development. To this end, 'Regions of Knowledge' will support the cooperation, development and integration of **regional research-driven clusters**¹ on a transnational basis. Throughout FP7 so far 'Regions of Knowledge' has successfully initiated a process of transnational collaboration of clusters and their parent regions in dedicated economic and technological sectors that will harness R & D for regional development in synergy with the EU regional policy and the related structural funds. Mutual

¹ Research-driven clusters must be composed of at least three types of legal entities (so called 'triple helix'), namely:

- legal entities conducting research (universities, research organisations and research for-profit bodies); national entities conducting research can be accepted if their organisational structure is broken down at regional level and if the regional structure involved is located in the same region as the other components of the cluster;
- business entities (large enterprises and SMEs as defined in the EC recommendation 2003/361/CE of 6 May 2003, OJ L 124/36, 20/05/2003) or their local groupings;
- regional/local authorities (local and regional government, regional development agencies); national entities can be accepted to represent regional authorities either in small Member States made up of only one NUTS II region (plus Slovenia which has two NUTS II regions) or if their organisational structure is broken down at regional level and their regional representation is located in (or is effectively in charge of) the same region than the other components of the cluster; specialised regional entities. Where appropriate research-driven clusters may involve as well, in addition to the three previous categories, other regional/local relevant stakeholders such as technology transfer offices, chambers of crafts, commerce and industry, financial entities (such as banks and saving banks)

learning and exchange of best practices took place at European level that could not have been achieved by national or other European funding programmes.

This work programme 2012-2013 orients the initiative closer to the Europe 2020 strategy² (and its flagship initiatives, notably the 'Innovation Union'³, 'A digital agenda for Europe'⁴ and 'Resource efficient Europe'⁵). The 'Regions of Knowledge' action will promote synergies between regional research and innovation policies, primarily by supporting the development of regional research agendas and Joint Action Plans (JAP) which regional authorities can integrate into their economic development strategy as a basis for increased and more focused use of the Structural Funds and other regional development instruments. The policy context for 'Regions of Knowledge' has been outlined by various communications from the European Commission e.g. on the Innovation Union, the Communication on world class clusters⁶, the Communication on Regional Policy⁷ and the Communication on the digital agenda⁴. In particular the work programme 2012-2013 addresses key issues of the Innovation Union as it will help to overcome the fragmentation of the knowledge economy in Europe by initiating border-crossing collaboration of research-driven clusters and regions.

Research-driven clusters create an innovative and creative ecosystem where academia and business work together and turn excellent research results into new products and services. The participating clusters will set up Joint Action Plans where they will systematically design the unlocking of new finance sources in a complementary and synergetic manner. Clusters are expected to stimulate investments in R & D and ICT in particular and boost innovative eco-design approaches (see description of topic). Trans-national collaboration on design in an environmental context will promote openness of innovation and capitalise on the creative potential of Europe. Within the research-driven clusters supported by 'Regions of Knowledge' it is expected that SMEs play a role as key innovation actors that absorb excellent R & D results and turn them into novel products, services and processes.

In addition, excellent research-driven clusters will provide the framework for innovative SMEs and other companies, once successfully embedded in the clusters, to internationalise and unlock novel business opportunities on global markets beyond Europe. For that reason the work programme 2012-2013 of "Regions of Knowledge" foresees a mandatory internationalisation action to be implemented in a bottom up manner according to the needs of the clusters involved. Internationalisation can either be accomplished by the inclusion of additional international partners to the consortium in line with the FP7 rules for international co-operation or conceptually by development of strategies for internationalisation in the thematic domains specified in this work programme that should become a deliverable of the project.

At the operational level, the work programme 2012-2013 will leave more flexibility for regional players and research actors to customise the activities to regional demands in view of the need for smart specialisation⁷.

² COM(2010) 2020 : Europe 2020: A strategy for smart, sustainable and inclusive growth

³ COM(2010) 546 : Europe 2020 Flagship Initiative, Innovation Union

⁴ COM(2010) 245 : A Digital Agenda for Europe

⁵ COM(2011) 21 : A resource-efficient Europe – Flagship initiative under the Europe 2020 Strategy

⁶ COM(2008) 652 : Towards world-class clusters in the European Union: Implementing the broad-based innovation strategy

⁷ COM(2010) 553 : Regional Policy contributing to smart growth in Europe 2020

The specific goals of the 'Regions of Knowledge' action therefore are:

- Fostering trans-national, including cross-border, co-operation between high potential research-driven clusters in areas or topics of common interest. Projects should respond to challenges from the globalisation of markets, technological change or the evolution of the research framework in the European context and initiate mutual learning between regional actors (legal entities conducting research, business entities, regional/local authorities);
- Improving links between regional authorities, research entities and the local business community for the development of specific regional RTD policies and also partnerships in national or European initiatives;
- Developing Joint Action Plans (JAPs) at the regional and European level to increase regional economic competitiveness through research, technological development activities and innovation in traditional or emerging business sectors. JAPs will also explore opportunities for mobilising financial and other forms of support offered by national/regional authorities, private investments and by EU programmes (Research Framework Programme, Competitiveness and Innovation Programme and the Structural Funds), in order to exploit the synergies between regional, national and EU programmes for research and economic development.
- Boosting the competitiveness of the regional research-driven clusters via dedicated internationalisation measures;
- Mentoring regions with a less developed research profile to support their capacity in setting up and developing regional research-driven clusters.
- Promoting the visibility of regional research-driven clusters by targeted dissemination actions including regional stakeholders and the wider public.

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 calls. For all practical modalities related to these calls, please refer to section III 'Implementation of calls'. For actions not implemented through calls for proposals, please refer to section IV 'Other actions'.

The activities listed on the following pages of this Work Programme will be implemented in the following area:

Area: 3.1. Transnational cooperation between regional research-driven clusters

The 'Regions of Knowledge' action supports the development, cooperation and integration of innovative and high potential research-driven clusters in order to make happen more and better RTD investments at regional level and support European competitiveness worldwide. Proposals must demonstrate a clear exploitation potential in their regions and should help actors in the regions to make the best use of EU instruments such as the Research Framework Programmes, the Competitiveness and Innovation Programme or the Structural Funds. For the implementation of this work programme, regions shall not necessarily be defined along administrative boundaries or according to the European statistical NUTS nomenclature.

Scope of Activities

The work programme 2012-2013 will develop '**Transnational cooperation between regional research-driven clusters**' by covering the following action lines

- Analysis, development and implementation of research agendas.
- Mentoring of regions with a less developed research profile by highly developed ones (optional).
- Internationalisation activities / strategies with third countries.
- Initiatives to improve integration of research actors and institutions in regional economies.

Topic: REGIONS-2012-2013-1

Description of topic

In the 2012-13 call, proposals shall support transnational co-operation of clusters that are active in one of the following two domains:

a) RTD and innovation aspects of EU digital agenda

Co-ordination and Support Actions (CSA) within 'Regions of Knowledge' will support the transnational co-operation of high potential research-driven clusters that address the research and innovation aspects of the EU digital agenda (section 2.5 of COM(2010) 245 final/2,

26.8.2010)⁸. Areas of particular interest are reinforcement of e-Infrastructures, cloud computing applications for government and science, new generation of web based applications and services including multilingual content, Internet of Things and key enabling technologies in ICT.

Clusters should have the capability to leverage private investment in ICT research and to build sustainable partnerships between research and business. Such partnerships will drive initiatives for open innovation in order to develop new ICT based products and services in their regions with the potential to perform on international markets.

Clusters in this domain are especially encouraged to contribute to setting up a regional digital agenda for the sake of competitiveness but also to foster digital literacy, skills and inclusion in order to overcome regional disparities, also including social innovation.

b) Development of technologies and services relevant for the implementation of a 'resource efficient Europe'

Coordination and Support Actions (CSA) under 'Regions of Knowledge' will support the transnational cooperation of research-driven clusters that are active in the development of technologies and services relevant for the realisation of the resource-efficient Europe. They should underpin the shift towards a resource-efficient, low-carbon economy to achieve sustainable growth which are in line with the Communication on 'A resource-efficient Europe – Flagship initiative under the Europe 2020 Strategy'⁹. The addressed technologies should increase the efficiency of using materials, water and energy. Application areas are for example renewable energies, smart grids, recycling, waste management, clean technologies, water treatment and eco-design.

Clusters in both domains should have the capability to build sustainable partnerships between research and business, leverage private and public investments and drive the implementation of the Innovation Union. On the grounds of a sound business strategy, clusters are especially encouraged to contribute to setting up **smart specialisation strategies** in the regions.

Projects should favour innovative and cross-disciplinary approaches. Applications may address both domains in one proposal if justified from an S & T point of view. However, no preference will be given to such proposals in comparison to those addressing only one domain.

Type of activities/work and their implementation

The activities listed in this section apply for both domains of this Work Programme and linked to the area of **Transnational cooperation** will be implemented through **Coordination and Support Actions (Coordinating Action) (CSA-CA)**, which will support projects covering **all** of the following steps:

⁸ COM(2010) 245 : A Digital Agenda for Europe

⁹ COM(2011) 21 : Resource efficient Europe

- **Analysis and integration of research agendas of actors in regional clusters**

Project partners will perform a detailed analysis of the state of play of the identified research-driven clusters and of additional regional capabilities around which research could be carried out. For the selected domains, the analysis shall involve the identification of relevant issues and components, including:

- The existing regional RTD policies, plans and activities, their evolution and their impact;
- Regional public and private RTD actors including universities and infrastructure facilities;
- Financial actors (e.g. banks, venture capitalists, business angels) relevant for R & D and innovation
- The strengths and weaknesses of the regions concerned in terms of their capacity to produce knowledge and transfer it into novel products, services and processes ;
- The existing regional smart specialisation strategies if applicable
- The existing regional cluster policy and initiatives;
- Economic development strengths, opportunities and needs, and economic development policies;
- European and international context, with a reference to possible links to existing European Technology Platforms, Joint Technology Initiatives or other European projects.

This analysis shall cover the possibilities of synergies and opportunities for mutual learning and exchange of best practices and of cooperation possibilities between the regional actors involved in regional research-driven clusters. It shall also cover the preparation of an international cooperation strategy, with a clear identification of clusters from third countries¹⁰ and of cooperation possibilities in RTD and innovation support services with these clusters. Such international co-operation component aims at strengthening the competitiveness of the participating clusters by opening up new business opportunities.

Optionally, the analysis may include possibilities of mentoring for capacity building, with identification of the targeted emerging European clusters, if not already identified in the proposal¹¹,

It shall be made with the involvement of local stakeholders concerned as part of the consensus building and dissemination processes around the project.

The outputs will be: (1) a directory of RTD offer and demand, (2) a global analysis including an analysis of Strengths, Weaknesses, Opportunities and Threats (SWOT) from an economic, innovation and R&D perspective and (3) an analysis of the complementarities of the partners involved in the consortium for the particular scientific and technological domain or economic sector targeted by the project.

¹⁰ Any country other than Member States or Associated Countries.

¹¹ In this case, the proposal should at least include a clear commitment to mentoring as well as the methodology and schedule to be followed to identify them.

- **Initiatives to improve integration: definition of a Joint Action Plan**

Project partners shall define a Joint Action Plan (JAP) that describes their strategy to drive economic development through research and technological development and innovation activities in a selected topic or economic sector and enhance the whole value-added chain of innovation.

This JAP may comprise regionally specific activities. It will include the design of measures **such as**:

- Innovation measures to facilitate the development of new products, services and processes on the grounds of excellent research results, recruitment of innovation assistants;
- Increasing researcher mobility, including mobility between research and industry;
- Improving and sharing RTD infrastructure and other facilities;
- Identifying relevant (collaborative) research and technological development related projects;
- Enhancing skills and knowledge transfer (including technology transfer and intellectual property management) between business entities and between research entities and business entities, in particular SMEs, through networking;
- Involving universities and other higher education establishments in the process of knowledge transfer e.g. via dedicated measures for personnel exchange, upgrading of skills for human resources and joint R&D undertakings, liaison with the European Institute of Innovation and Technology (EIT);
- Improving availability of, and access to, SME and innovation support services, including the facilities provided under Europe INNOVA (under CIP);
- Facilitating access to private and/or public funding for RTD and innovation, including venture capital, the risk sharing facility (RSSF), mobilisation of pre-commercial procurement or structural funds;
- Other relevant business support measures;
- Mentoring activities for capacity building in regions with a less-developed research profile in order to bring them in the position to design and implement their own actions for the setting up of new regional research-driven clusters.

The Joint Action Plan **must** include the following mandatory components:

- Dissemination activities through conferences, workshops, publications, web-based initiatives and any other relevant events or activities, including public awareness raising measures, especially among economic actors in their regions.
- Internationalisation activities to prepare clusters for global competition and to unlock new business opportunities. This Joint Action Plan shall identify the partners involved, objectives, activities (what to do), responsibilities (who does what) and schedule for trans-national (European) and international cooperation with third countries. International partners need not necessarily become participants of the project consortium.

- The financial plan (FP) describing in details the sources of funding for the implementation of the Joint Action Plan.

The Joint Action Plan shall include clear targets in terms of outputs for the measures underpinned by verifiable indicators.

The Joint Action Plan shall also clearly define how the different measures foreseen will be funded by using possibilities available at national and at regional / local level, including private investments, or at EU level (Research Framework Programmes, Competitiveness and Innovation Programme, Structural Funds). In particular, it must include the involvement of the management authority for the Structural Funds in the concerned regions at an early stage if applicable. This condition only applies for participants from EU Member States. Participants from associated countries are encouraged but not obliged to explore options of collaboration with their national regional development authorities.

The Joint Action Plan should make clear the complementarities between the proposed actions and the EU regional policy programmes of the regions concerned (funded under the EU Structural Funds).

- **Measures towards the implementation of the Joint Action Plan**

The specific measures identified for implementation in the Joint Action Plan (e.g., R&D projects, researchers' mobility, collaborative research projects, infrastructure, skills enhancement, access to finance, etc) will **not** be funded by the 'Regions of Knowledge' co-ordination actions. Nevertheless, it is expected that these implementation measures are already launched during the life time of the CSA project.

Co-ordination activities relating to mentoring, international cooperation and dissemination will be funded under 'Regions of Knowledge'. Other activities to co-ordinate and accompany the implementation of the Joint Action Plan (e.g., other staff exchange or trust-building activities for members of the clusters, research intelligence, joint trainings, joint recruitment campaigns for research staff, identification and definition of research related projects...) can also be funded¹².

Conditions for participating clusters:

The clusters in the consortium submitting a proposal shall be high potential, high-growth research-driven clusters. They have to prove their high potential to upgrade in face of the global competition. In addition these clusters must respond to the needs of the research intensive business community in the regions. They should have the capacity to become drivers of innovation in their regions with business partners able to absorb knowledge from excellent research partners and turn them into novel products, processes and services.

¹² Open business partnering events will not be funded under this call, but partners can take advantage of the opportunities offered in that respect under Europe INNOVA (<http://www.europe-innova.org>).

Clusters involved shall demonstrate in their proposal their high potential and current state of development in terms, for example, of membership (business and research entities), workforce (including researchers), turnover, foreign direct investment, R&D expenditure, collaborative projects, exploitation of R&D results, spin-offs, start-ups, patents generated, intellectual property management, as well as services offered to their members and their financing. Partner entities conducting research have to be already and demonstrably involved in RTD activities supported by national, regional or European programmes that are closely linked to the economically relevant technological or scientific areas.

The cluster as a whole may be represented through one legal entity; the proposal shall demonstrate that it conforms to the definition of a regional research-driven cluster.

If such a legal entity does not exist, two possibilities are proposed:

a) if a legal arrangement¹³ between the members exists for one member of the cluster to be allowed to legally represent all the others (and the envisaged representative must have a clear mandate to represent and act on behalf of all other members of the 'research-driven cluster') then this member can represent all the research-driven cluster;

b) the cluster is represented by all its legal entities being direct partners at least one legal entity conducting research, one business entity and one public authority being part of the cluster shall be direct partners of the project consortium.

The clusters involved shall clearly indicate in their proposal the potential for growth and competitiveness foreseen in the targeted sector through the proposed cooperation. Furthermore the proposed project shall address one or both of the domains set out in this work programme.

This information shall not be considered as eligibility criteria but shall be taken into account during the evaluation for the respective evaluation criteria.

'Regions of Knowledge' will support consortia of partners representing at least three regional research-driven clusters from at least three different EU Member States and/or Associated Countries.

The maximum duration of the projects will be 36 months.

The applicable Funding Scheme is 'Coordination and Support Actions' (**Coordinating Action (CSA-CA)**). The EU contribution to be envisaged for projects will be approximately from EUR 1 to 3 million. 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.

¹³ It can be an existing legal arrangement or a legal arrangement specifically elaborated before the submission of the proposal (or before the entry into force of the grant agreement) but its scope can not be limited to the participation and the duration of the project and must cover other activities implemented by the cluster.

Specific impact expected: The impacts listed below apply for both domains and should be underpinned by verifiable success indicators stated in the proposal.

- Boosting the competitiveness of research-driven clusters in the domains of digital agenda and resource efficient technologies Europe-wide and globally, unlocking new business opportunities for participating SMEs.
- Build sustainable partnerships between academia and business within clusters and trans-nationally across clusters and regions, facilitating the knowledge transfer from academia to business in order to develop novel services, products and processes.
- Contribution to the development of smart specialisation strategies of regions¹⁴ through R&D and Innovation in the field of digital agenda and resource efficient technologies.
- New private and public investments in R&D and Innovation at regional level driven by regional strategies based on business needs and an integrated Joint Action Plan, access to finance facilitated for SMEs, synergies created with other EU and national funding sources.
- Create an innovation friendly ecosystem in the regions through close and sustainable collaboration and networking between universities, research centres, business, local policy makers and other stakeholders.
- Include more European regions into the European Research Area (ERA) while involving relevant regional stakeholder for the design of research agendas.

Area 3.2. Support to Joint Programming

Topic: REGIONS-2012.2 Coordination action in support to the Joint Programming Initiative on 'Urban Europe – Global Urban Challenges, Joint European Solutions'

Description of the topic

Following the Communication "Towards Joint Programming in Research: working together to tackle common challenges more effectively"¹⁵, the Commission has been encouraging Member States to pursue common visions and strategic research agendas in the domains identified by the High Level Group for Joint Programming (GPC) as suitable for Joint Programming Initiatives (JPIs).

In its conclusions of 26 May 2010, the Competitiveness Council welcomed the identification and substantiation of six "second wave" themes for JPIs. Further, the Competitiveness Council invited the Commission to sustain the implementation of the proposed JPIs and "Act as a

¹⁴ COM(2010) 553: Regional Policy contributing to smart growth in Europe 2020

¹⁵ COM(2008)468 final

facilitator by suggesting complementary measures to support the Joint Programming initiatives"¹⁶.

Therefore, the Commission decided to facilitate, by funding dedicated coordination actions, the JPIs which have reached a satisfactory level of maturity testified by:

- a) Adoption of a challenge-oriented problem-solving approach, backed by a solid and firm commitment by participating Member States or Associated Countries, which should include also provision of adequate human and financial resources.
- b) Development of a Strategic Research Agenda that, on the basis of an up-to-date mapping of research activities in the concerned areas, should have identified at least a limited number of measurable scientific-technological or socio-economic objectives, translating the challenge into operational terms, supported by an appropriate analysis of their relevance in relation to the addressed challenge and innovation potential.
- c) The presence of a governance system commensurate to the tasks, involving the participating organisations at an appropriate level.
- d) The European added value of the proposal be justified in terms of its scale, scope, increased effectiveness and/or cost savings potentially achieved.

Scope of the Action: The Commission foresees to sustain the overall coordination and capacity-building process for the JPI 'Urban Europe – Global Urban Challenges, Joint European Solutions'¹⁷, with the initial aim of shortening the time required to reach the implementation phase and then allow the adoption of effective and efficient methods of collaboration, such as those proposed within the "Voluntary Guidelines on Framework Conditions for Joint Programming in Research", adopted by the GPC on 11 November 2010¹⁸.

The Strategic Research Agenda to be refined under this topic should contribute, *inter alia*, to furthering the development of European conurbations and cities into 'innovation hubs' and to strengthening the impact of research-driven clusters on their innovation systems thereby contributing to wealth creation, growth and jobs.

Funding scheme: Coordination and Support Action (Coordinating Action)

Only up to one proposal can be selected.

Expected impact: This action should help establish effective JPI governance structures. It should help develop a sharply focused and realistic strategic research agenda, based on the mapping and analysis of the state of the art in the specific field both at European and international level. Furthermore, it should raise the scale and ambition of the research carried out in the specified domain beyond the level that would be otherwise sustainable, globally increasing the coherence and efficiency in the use of European resources.

¹⁶ Council Conclusions on Joint Programming of 12 October 2010

¹⁷ Commission Recommendation C(2011)7406 of 21 October 2011

¹⁸ Annex to "Joint Programming in research 2008-2010 and beyond - Report of the High Level Group on Joint Programming to the Council" <http://ec.europa.eu/research/era/docs/en/joint-programming-in-research-2008-2010-and-beyond---report-of-the-high-level-group-on-joint-programming-to-the-council.pdf>

Additional eligibility criteria for this action: This topic is included in the cross-thematic call FP7-JPROG-2012-RTD. Complete information on the applicable special eligibility criteria can be found in the corresponding call fiche. The applicable special eligibility and evaluation criteria are also published herein in section III Implementation of the Call.

III IMPLEMENTATION OF THE CALL

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

Call title: Transnational cooperation between regional research-driven clusters

- **Call identifier: FP7-REGIONS-2012-2013-1 – single stage**
- Date of publication: 20 July 2011
No further calls will be published in 2012 or 2013.
- Deadline: 31 January 2012 at 17.00.00, Brussels local time¹⁹
- Indicative budget: EUR 45.02 million for 2012 and 2013²⁰
- Topics called:

Activity/ Area	Topics called	Funding Schemes
<i>REGIONS-2012-2013-1.</i> <u>Transnational cooperation between regional research-driven clusters</u>	In the 2012-2013 call, proposals should address either one or both of the following domains: a) RTD and innovation aspects of EU digital agenda b) Development of technologies and services relevant for the implementation of a 'resource efficient Europe'	CSA-CA (Coordinating Action)

- Eligibility conditions:
 - The general eligibility criteria for the different funding schemes are set out in Annex 2 to this work programme and in the guide for applicants. Please note that the completeness criterion also includes that part B of the proposal shall be readable, accessible and printable
 - The minimum number of participants: Consortia of partners representing a minimum of three regional research-driven clusters from at least three different EU Member States and/or Associated Countries. Research-driven clusters must be composed of at least three types of legal entities (so called 'triple helix'), namely:
 - legal entities conducting research (universities, research organisations and research for-profit bodies); national entities conducting research can be accepted if their organisational structure is broken down at regional level and if the regional structure involved is located in the same region as the other components of the cluster;

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

²⁰ This total amount includes EUR 17.99 million from the 2012 budget and EUR 27.03 million from the 2013 budget, under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

- business entities (large enterprises and SMEs as defined in the EC recommendation 2003/361/CE of 6 May 2003, OJ L 124/36, 20/05/2003) or their local groupings;
- regional/local authorities (local and regional government, regional development agencies); national entities can be accepted to represent regional authorities either in small Member States made up of only one NUTS II region (plus Slovenia which has two NUTS II regions), or if their organisational structure is broken down at regional level and their regional representation is located in (or is effectively in charge of) the same region as the other components of the cluster; specialised regional entities, can be accepted if they are in charge of the design and/or the implementation of the relevant regional policy.

In any case each member of the cluster directly involved in the project's activities should be clearly identified in the proposal.

- 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.
 - Proposals may be evaluated remotely.
- Indicative evaluation and contractual timetable: *Evaluation results are estimated to be available within 4 months after the deadline; grant agreement signature: it is estimated that the first grant agreements related to the call will come into force 9 months after the closure date.*
 - Consortia agreements: *Participants are encouraged, but not required, to conclude a consortium agreement.*
 - The forms of grant and maximum reimbursement rates which will be offered are specified in Annex 3 to the Capacities work programme. The EU financial contribution may reach a maximum of 100 % of the total eligible costs.
 - Use of flat rates for subsistence costs:

In accordance with Annex 3 of this work programme, this call provides for the possibility to use flat rates to cover subsistence costs incurred by beneficiaries during travel carried out within grants for indirect actions. For further information, see the relevant Guides for Applicants for this call.

The applicable flat rates are available 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: Joint Programming Coordination 2012

- Call identifier: **FP7-JPROG-2012-RTD**²¹
- Date of publication: 12 January 2012 (TBC)²².
- Deadline: 20 March 2012 (TBC), at 17.00.00, Brussels local time²³.

Indicative budgets and Topics:

A total of EUR 8.00 million²⁴ is foreseen for this call and will be allocated by individual Themes in the Cooperation and Part in the Capacities work programmes to the topics detailed in Table below. *Only up to one proposal per topic can be selected.*

Table – Overview of the Topics in FP7-JPROG-2012-RTD²⁵

THEME/Activity	Topic identifier	TITLE	Indicative budget (EUR million)
COOPERATION SPECIFIC PROGRAMME			
1. HEALTH			
2.3 Transnational research in major infectious diseases: to confront major threats to public health	HEALTH-2012.2.3.1-1	Coordination action in support to the Joint Programming Initiative on <i>'The microbial challenge – An emerging threat to human health'</i>	2.00
6. ENVIRONMENT			
6.1 Coping with climate change	ENV.2012.6.1-6	Coordination action in support to the Joint Programming Initiative on <i>'Connecting Climate Knowledge for Europe'</i>	2.00

²¹ The present call, which assembles topics from both the Cooperation and Capacities FP7 programmes is published in Cooperation Annex 4 and the Regions of Knowledge Capacities work programme. Description of the topics is under the relevant Themes/Part.

²² The Director-General responsible for the call may publish it up to one month prior to or after the envisaged date of publication.

²³ The Director-General responsible for the call may delay this deadline by up to two months.

²⁴ Following the evaluation of proposals, the final total budget of the call, as well the individual sub-budgets independently allocated by each Theme in Cooperation and Part in Capacities, may vary by up to 10% of the values initially foreseen.

²⁵ Coordination and Support Actions (Coordinating Action)

6.3 Improving resource efficiency	ENV-2012.6.3-5	Coordination action in support to the Joint Programming Initiative on 'Water Challenges for a Changing world'	2.00
CAPACITIES SPECIFIC PROGRAMME			
3. REGIONS OF KNOWLEDGE			
3.2 Support to Joint Programming	REGIONS-2012.2	Coordination action in support to the Joint Programming Initiative on 'Urban Europe - Global Urban Challenges, Joint European Solutions'	2.00

General eligibility criteria

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 (coordinating action)	At least 3 independent legal entities, each of which is established in a MS or AC, and no 2 of which are established in the same MS or AC

Additional eligibility criteria

(Complementing the general eligibility criteria applicable to CSA-CA)

All participants in the proposal must be independent legal entities which:

- Finance or manage publicly funded national or regional programmes related to the addressed domains or
- Institutions which have been expressly mandated to represent the country/region in JPI activities.

Sole participants (as referred to in Article 10 of the Rules for Participation) shall be eligible if each individual member in the sole legal entity satisfies the above-mentioned general and additional eligibility criteria.

Evaluation Criteria

The general criteria and thresholds applicable to Coordination and Support Actions (Coordinating Action) given in Annex 2 will be applicable for the evaluation of the proposals.

Proposal format:

- Applicants must ensure that proposals conform to the drafting instructions 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 allowed is 11 points. The page size is A4, and all margins (top, bottom, left, right) should be at least 15 mm (not including any footers or headers).

Evaluation procedure:

- The evaluation will follow a single stage procedure.
- Proposals will not be evaluated anonymously.
- Proposals may be evaluated remotely.

Indicative timetable:

- Evaluation in April 2012.
- Opening of negotiations in June 2012.
- Selections from October 2012.
- Grant agreements from December 2012.

Consortia agreements:

- Consortia Agreements are recommended.

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 ACTIONS²⁶ **(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 0.53 million.

Indicative budget: EUR 0.53 million

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

²⁶ 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 BUDGET

Activities	Budget 2012 (EUR million)
Call FP7-REGIONS-2012-2013-1	17.99 ²⁷
Call FP7-JPROG-2012-RTD	2.00
2012-2013 Evaluations, monitoring and review	0.53
ESTIMATED TOTAL BUDGET	20.52

Activities	Budget 2013 (EUR million)
Call FP7-REGIONS-2012-2013-1 ²⁸	27.03 ²⁹
ESTIMATED TOTAL BUDGET	27.03³⁰

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.

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 the call FP7-REGIONS-2012-2013-1 is EUR 45.02 million including EUR 17.99 million from the 2012 budget.

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

³⁰ EFTA and third country contributions may be used for the proposed action, however at this stage the exact amount cannot be determined.

WORK PROGRAMME 2012-2013

CAPACITIES

PART 4

RESEARCH POTENTIAL

Revised

(European Commission C(2012) 4526 of 09 July 2012)

Capacities Work Programme: Research Potential

The revised work programme replaces the work programme adopted by Commission Decision C(2011) 9496 of 20 December 2011.

This update introduces the support of EUR 0.30 million to an expert group for the assessment of draft national and regional research and innovation strategies for smart specialisation. This expert group replaces with the same amount, the expert group to perform a mapping of research legal entities established in the EU Convergence and Outermost regions and their excellence.

This update provides the total amount allocated to the call FP7-REGPOT-2012-2013-1 for 2012 and 2013 and introduce the figure of the draft budget 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 size**² 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.

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

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.

• **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.

³ COM (2010) 546

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

➤ 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.

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 million.⁵

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.

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.

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.

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 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

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.

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 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

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 2011⁹

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

- ***Deadline:*** 03 January 2012 at 17.00.00, Brussels local time¹⁰
- ***Indicative budget:*** EUR 141.76 million¹¹

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.</i> <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:**

⁹ The Directorate-General responsible for the call may publish it up to one month prior to or after the envisaged date of publication.

¹⁰ The Director-General responsible may delay this deadline by up to two months.

¹¹ 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'.

IV OTHER ACTIONS¹² (not implemented through calls for proposals)

Evaluations, monitoring and review:

Appointed external experts will be used for the evaluation, monitoring, review of project proposals.

Indicative budget: EUR 0.80 million

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

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 funds¹³. 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 Sevilla¹⁴.

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

¹² 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).

¹³ 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.

¹⁴ <http://ipts.jrc.ec.europa.eu/activities/research-and-innovation/s3platform.cfm>

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 Beneficiary¹⁵ - 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.

¹⁵ In compliance with Article 14a of the EC Rules for Participation and Article 168 of the Implementing Rules of the Financial Regulation.

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 Beneficiary¹⁵: 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 BUDGET¹¹ for the Research Potential Activity for the 2012- 2013 work programme

Activities	Budget 2012 (EUR million)
Call FP7-REGPOT-2012-2013-1	66.34 ¹⁶
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 ¹⁷	75.42 ¹⁸
ESTIMATED TOTAL BUDGET	75.42¹⁹

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.

¹⁶ 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.

¹⁷ 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.

¹⁸ Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

¹⁹ EFTA and third country contributions may be used for the proposed action , however at this stage the exact amount can not be determined

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.

WORK PROGRAMME 2013

CAPACITIES

PART 5

SCIENCE IN SOCIETY

(European Commission C (2012) 4526 of 09 July 2012)

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Objective

In the terms of the Seventh Framework Programme and of the Specific Programme Capacity¹., activities in the field of Science in Society aim to *"stimulate, with a view to building an open, effective and democratic European knowledge-based society, the harmonious integration of scientific and technological endeavour, and associated research policies in the European social web, by encouraging pan-European reflection and debate on science and technology and their relationship with the whole spectrum of society and culture"*.

I- CONTEXT

Political landscape

Against the backdrop of the current economic situation and increased global competition, the Union has defined a strategy to support growth and job creation, Europe 2020. The Innovation Union Flagship initiative supports this strategy through specific commitments. Research and innovation are key drivers of competitiveness, jobs, sustainable growth and social progress.

The Science in Society Work Programme 2013 aligns with, and contributes towards, the objectives of Europe 2020, the Innovation Union Flagship, and other EU policies. It bears a determined focus on fostering new ideas, on supporting world class teams tackling significant societal challenges, and on ensuring that the fruits of our investments can be properly exploited.

More precisely, in the Europe 2020 Communication, the Commission has defined and listed the societal challenges with which the Union will be confronted. Against this background, the following questions come to the fore: How to address future Challenges? How to ensure that replies are adequate for Society in the long run? How to be sure replies to the Europe 2020 Challenges will correspond to the needs of the various societal actors? In fact, who better than the societal actors themselves to determine whether correct answers are brought to future Challenges? This means that Society engagement is a necessary condition to address Societal Challenges.

In this vein, President Barroso, in his "Political Guidelines" of September 2009, called for a much stronger focus on citizens, who should be at the very centre of European policies. This focus has been maintained in Innovation Union², which states that *"key enabling technologies, such as eco, nano, bio, and info [...] may affect all areas of our lives and regulatory frameworks must be based on scientific evidence with transparent information and involvement of citizens. In this way Europe can ensure public trust in scientific and technological breakthroughs and provide a favourable environment for investment"*.

Moreover, the European Research Area (ERA) vision 2020 states that ERA is firmly rooted in society and responsive to its needs and ambitions in pursuit of sustainable development.

¹ OJEU L400, 30 December 2006, page 338.

² COM (2010) 546 final, 6.10.2010

In order to respond to these requirements, the Science and Society programme acts on the relations between societal actors involved in the research and innovation process, providing them with an adequate framework for their engagement in the future Societal Challenges.

Furthermore, in 2013 the Commission will celebrate the 20th anniversary of the establishment of Union citizenship under the Maastricht Treaty that entered into force on 1 November 1993. The European Commission therefore proposed to designate 2013 as the "European Year of Citizens". One of the challenges for the "Year of Citizens" will be to raise citizen's awareness of how they can benefit from EU rights and policies, and to stimulate citizen's active participation in EU policy-making. In support to this initiative, the SiS 2013 Work Programme will make possible active participation of citizens in Research and Innovation policies through the different topics planned for 2013

In this way the 2013 Science in Society Work Programme provides for a smooth transition towards the new research and innovation programme for 2014-2020, Horizon 2020.

Bridging with Horizon 2020

The 2013 Science and Society Work Programme also intends to prepare the ground for Horizon 2020 which embeds Responsible Research and Innovation (RRI) as stated in the Commission's proposal for a regulation establishing Horizon 2020:

"(20) With the aim of deepening the relationship between science and society and reinforcing public confidence in science, Horizon 2020 should favour an informed engagement of citizens and civil society on research and innovation matters by promoting science education, by making scientific knowledge more accessible, by developing responsible research and innovation agendas that meet citizen's and civil society's concerns and expectations and by facilitating their participation in Horizon 2020 activities.

(21) The implementation of Horizon 2020 should respond to the evolving opportunities and needs from science and technology, industry, policies and society. As such, the agendas should be set in close liaison with stakeholders from all sectors concerned, and sufficient flexibility should be allowed for new developments. External advice should be sought on a continuous basis during Horizon 2020, also making use of relevant structures such as European Technology Platforms, Joint Programming Initiatives and the European Innovation Partnerships."³

Responsible Research and Innovation (RRI) means that societal actors (researchers, citizens, policy makers, businesses, civil society, ...) work together during the whole research and innovation process in order to better align the process and the results with the expectations of society. The following elements characterise Responsible Research and Innovation:

1. All societal actors are engaged in R&I, thereby increasing the quality, relevance, acceptability and sustainability of innovation outcomes by integrating society's expectations, interests and values;

³ Recital 20 and 21; Commission's proposal for a regulation of the European Parliament and of the Council establishing Horizon 2020 - The Framework Programme for Research and Innovation (2014-2020), COM (2011) 809 final, 30 November 2011, page 9. See: [http://ec.europa.eu/research/horizon2020/pdf/proposals/com\(2011\)_809_final.pdf](http://ec.europa.eu/research/horizon2020/pdf/proposals/com(2011)_809_final.pdf)

2. A scientifically literate, responsible and creative society is nurtured through:
 - appropriate science education methods at school;
 - basic and life-long training programmes for researchers (notably young researchers) in ethical, legal and economical concerns related to their own research context ;
 - regular public exchanges on research and innovation concerns;
3. Gender equality is promoted at all levels and the gender dimension is integrated in research and innovation content;
4. Publicly-funded research results are freely accessible and available on the Internet, not only for researchers but for all components of society;
5. Ethics dimension is built in from the inception of processes and products;
6. Governance rules are tuned to favour the take-off of the above elements.

Approach for 2013

Europe 2020 challenges can only be tackled effectively if all societal actors (mainly: researchers and research organisations, civil society, industry and policy-makers) are fully engaged in a co-building mode in the research and innovation process. All stakeholders have a joint responsibility to provide the right solutions for the European challenges. Each stakeholder has to act responsibly to that end, i.e. by foreseeing, as much as possible, how their actions fit in the broader picture and what will be their social, environmental and economic impacts. As proven in the past, irresponsible research and innovation do exist when stakeholders do not pay sufficient attention to the consequences of their actions (or inaction) or when responsibilities are not clearly attributed between them.⁴

The 2010 Euro Barometer on Life Sciences and Biotechnology⁵, showed that Europeans are in favour of Responsible Research and Innovation. People in Europe do not only expect safe food and a safe environment; they also want a clear framework where the responsibilities of each actor are well defined and European values are at the heart of research and innovation developments: a framework which makes trust among actors possible. People in Europe wish to be involved in decisions regarding new technologies when cultural, environmental, social and ethical values are at stake. A truly creative society must involve all of its potential innovators in the technological, service and social innovation processes, i.e. all Science in Society stakeholders, including every citizen.

Furthermore, Responsible Research and Innovation processes constitute by themselves a growing 'niche market' that some companies have already started to exploit. Their respect for

⁴ Examples of irresponsible innovation can be found in the press on a daily basis, and when privacy and fundamental rights enshrined in the EU charter are ignored, major technological advances are undermined or stopped. We can quote the electronic patient filing system, the introduction of "body scanners" at airports rejected in several countries; the use of "smart meters" in private homes or the withdrawal from the market of certain drugs because of women's health issues (the research was carried out in a gender biased or gender-blind way). In all these cases, the cost of not addressing societal issues while developing the technology is very substantial.

⁵ 2010 Eurobarometer on Life Sciences and Biotechnology (nr. 73.1).

environmental or social rights makes the difference for their products and services. Responsibility makes the market!

Since 2010 the focus of Science in Society has been to develop a framework responding to those aspirations and ambitions called for by European citizens and acknowledged by the Commission i.e. a framework for Responsible Research and Innovation. This strategy, translated for the first time in the work programme 2012, will be pursued with even more strength in 2013 by capitalising on the results obtained so far in FP7 and by bridging with Horizon 2020. The 2013 Science in Society Work Programme will focus on the following aspects of Responsible Research and Innovation:

- engaging Societal actors in the research and innovation process, shaping governance for RRI and creating equal conditions for citizen's engagement;
- modernizing research institutions to promote gender equality;
- providing free access to publicly-funded scientific knowledge to all actors;
- and equipping through education future researchers and other societal actors with the necessary knowledge and tools to fully participate and take responsibility in the research and innovation process.

- Innovation dimension of the activities and bridging leading up to Horizon 2020

The innovation dimension will be present in every SiS 2013 topic through the concept of Responsible Research and Innovation (RRI), which is underpinned by the engagement of the whole society in science and technology, with a well understood, shared and trusted responsibility.

The 2013 Science in Society Work Programme aims at implementing Innovation Union commitments. In particular, it should enable Society to better meet future societal challenges through citizen engagement and especially through the mechanism of Mutual Mobilisation and Learning Action Plans (Topic SiS.2013.1.2-1); it should develop a framework for Responsible Research and Innovation in the context of the European Research Area; and it should contribute to smart and open research by supporting an Open Access approach for all stakeholders (Area 5.1.3.1).

The 2013 Science in Society Work Programme will have the following two connections to Horizon 2020:

- A vertical one with the Horizon 2020 Innovative Societies challenge fostering societal engagement by improving understanding and launching pilot experiments for testing good governance practices, in particular through the Mobilisation and Mutual Learning Action Plans (Topic SiS.2013.1.2-1);
- A horizontal one, embedding Responsible Research and Innovation and its components in all parts of Horizon 2020 (e.g. on Horizon 2020 societal challenges).

The 2013 Science in Society Work Programme also contributes to the following priority themes:

- **Water:** The following topic will develop constructive dialogue and participatory research across sectors, disciplines and stakeholders, linked with an EU integrated management of water resources, against the background of 2012, the European Year of water and the priority set on the European political agenda by the Cypriot Presidency:
 - Topic SiS.2013.1.2-1: Mobilisation and Mutual Learning (MML) Action Plans: mainstreaming Science in Society actions in research – *Specific challenge n°3 water challenge*
- **Smart Cities:** The following topic will create a platform to discuss and explore paths of integrated urban development to implement the Commission recommendation on the Joint Programming Initiative "Urban Europe" which aims at ensuring a broad involvement of relevant stakeholders.
 - Topic SiS.2013.1.2-1: Mobilisation and Mutual Learning (MML) Action Plans: mainstreaming Science in Society actions in research – *Specific challenge n°4 societal engagement for integrated urban development.*

a) Innovation dimension of the activities and bridging towards Horizon 2020:

This Work Programme contains innovation measures in support of activities closer to market such as:

- Support to market-uptake, notably through more activities aimed at generating knowledge to deliver new and more innovative products, processes and services.

This includes activities such as prototyping, testing, demonstrating, knowledge transfer, and activities addressing exploitation of existing research results and protection of intellectual property rights. See in particular:

 - Topic SiS.2013.1.1.1-3: Coordination of Responsible Research and Innovation approaches in industrial contexts;
 - Topic SiS.2013.1.1.1-6: Tools and instruments for a better societal engagement in "Horizon 2020";
 - Topic SiS.2013.1.2-1: Mobilisation and Mutual Learning (MML) Action Plans: mainstreaming Science in Society actions in research;
 - Topic SiS.2013.1.3.3-1: Upstream support to the definition, development and implementation of Open Access strategies and policies and to their coordination in the European Research Area;
 - Topic SiS.2013.1.3.3-2: Downstream training on Open Access in the European Research Area;
 - Topic SiS.2013.2.2.1-1: Raising youth awareness to Responsible Research and Innovation through Inquiry Based Science Education.

Innovation is also encouraged by supporting demand-side measures and more specifically standard-setting. See in particular:

- Topic SiS.2013.1.1.1-2: Demonstration of Responsible Research and Innovation practices in industrial processes;
- Topic SiS.2013.1.1.1-3: Coordination of Responsible Research and Innovation approaches in industrial contexts;
- Topic SiS.2013.1.1.1-6: Tools and instruments for a better societal engagement in "Horizon 2020";
- Topic SiS.2013.1.2-1: Mobilisation and Mutual Learning (MML) Action Plans: mainstreaming Science in Society actions in research;
- Topic SiS.2013.1.3.3-1: Upstream support to the definition, development and implementation of open access strategies and policies and to their coordination in the European Research Area;
- Topic SiS.2013.2.1.1-2: ERA-NET on the promotion of gender equality in research institutions;
- Topic SiS.2013.2.2.3-1: Research on the role of teaching methods and assessment methods in addressing low achievement in the field of Mathematics, Science and Technology (MST).

Industrial participation is encouraged particularly in:

- Topic SiS.2013.1.1.1-2: Demonstration of Responsible Research and Innovation practices in industrial processes;
- Topic SiS.2013.1.1.1-3: Coordination of Responsible Research and Innovation approaches in industrial contexts;
- Topic SiS.2013.1.1.1-6: Tools and instruments for a better societal engagement in "Horizon 2020";
- Topic SiS.2013.1.2-1: Mobilisation and Mutual Learning (MML) Action Plans: mainstreaming Science in Society actions in research;
- Topic SiS.2013.1.3.3-1: Upstream support to the definition, development and implementation of open access strategies and policies and to their coordination in the European Research Area.

User engagement is encouraged in all the topics of the call FP7-SCIENCE-IN-SOCIETY-2013-1.

The focus on innovation is reflected in the description of the objectives and scope of the specific topics, as well as in the expected impact statements. The innovation dimension of the proposals will be evaluated under the 'Impact' evaluation criterion.

- Support to broader aspects of innovation, notably through:

- Topics aimed at fostering service, process and/or organisational innovation;
- Topics addressing design and creativity;
- Topics particularly focussing on social innovation or having a component of it.

All the topics of the Call FP7-SCIENCE-IN-SOCIETY-2013-1 support the different aspects of innovation as mentioned above.

b) SME relevant research

Participation of SMEs has strongly been encouraged in FP7 Science in Society Theme of the Specific Programme Capacity. The 2013 Science in Society Work Programme encourages the participation of SMEs across its various activities and areas and particularly in the following topics:

- Topic SiS.2013.1.1.1-2: Demonstration of Responsible Research and Innovation practices in industrial processes;
- Topic SiS.2013.1.1.1-3: Coordination of Responsible Research and Innovation approaches in industrial contexts;
- Topic SiS.2013.1.1.1-6: Tools and instruments for a better societal engagement in "Horizon 2020";
- Topic SiS.2013.1.2-1: Mobilisation and Mutual Learning (MML) Action Plans: mainstreaming Science in Society actions in research;
- Topic SiS.2013.1.3.3-1: Upstream support to the definition, development and implementation of open access strategies and policies and to their coordination in the European Research Area.

c) Strengthening the European Research Area

The 2013 Science and Society Work Programme will contribute to the achievement of the European Research Area (ERA) by supporting legislative initiatives to enable Responsible Research and Innovation. Each topic proposed in the 2013 Science and Society Work Programme aims at supporting this approach and nurturing the ERA's dimension. Every topic will pay particular attention to the cohesion of the ERA, with the aim that Member States and regions benefit equally from SiS activities. Special attention will be given, in particular, to capacity building measures in the fields of gender equality and open access in all Member States:

- **Open access to scientific knowledge:**

- Topic SiS.2013.1.3.3-1: Upstream support to the definition, development and implementation of open access strategies and policies and to their coordination in the European Research Area;

- Topic SiS.2013.1.3.3-2: Downstream training on Open Access in the European Research Area.

- **Gender equality**

- Topic SiS.2013.2.1.1-1: Supporting changes in the organisation of research institutions to promote Gender Equality;

- Topic SiS.2013.2.1.1-2: ERA-NET on the promotion of gender equality in research institutions.

d) Dissemination actions

Open Access in FP7: Beneficiaries funded partially or entirely by the Science in Society Programme under the Capacities Part 5 are required to deposit peer-reviewed articles resulting from projects to an institutional or subject-based repository, and to make their best efforts to ensure open access to these articles within twelve months.

e) Overall expected impact

The overall expected impact of the 2013 Science and Society Work Programme is to make research and innovation more attractive for developing careers (for men and women equally), and enable citizens (and all other stakeholders as well) to be better informed, to better understand and to participate more comprehensively and efficiently in the research and innovation processes.

- **International Cooperation**

Research and innovation are global activities by nature. They must therefore be dealt with at an international level first by systematically integrating the national and regional cultural, social, economic and ethical context, and by exploring options for global governance of research and innovation. The interest for international and global cooperation will be considered for each topic of the SiS WP 2013, on the two following aspects: need for establishing links with global/international activities (e.g. UNESCO/COMEST, ISO/CSR, OECD/SiS, etc.) and need for establishing links with specific third country partners due to specific expertise they may have (e.g. industrialised countries, emerging economies, etc.).

All topics in the Work Programme are open to international cooperation on the condition that is justified. There is provision for the participation of research partners from the International Cooperation Partner Countries (ICPC) from the FP7 budget. A list of the ICPC countries is given in Annex 1 to this Work Programme.

- Cross-thematic approaches

The principles inherent in this Work Programme will also be taken up, in different ways, in other parts of the Seventh Framework Programme and in particular in the themes of the Specific Programme 'Cooperation'.

Coordination on Topic SiS.2013.1.2-1, Mobilisation and Mutual Learning (MML) Action Plans - mainstreaming Science in Society actions in research - is foreseen with the corresponding Themes of the Cooperation Programme, in particular, Health (Specific challenge n°1 on infectious diseases), Knowledge-Based Bio-Economy (KBBE) (Specific challenge n°6 on ethics assessment), Transport (Specific challenge n°4 on societal engagement for integrated urban development), Environment (Specific challenge n°2 on assessment of sustainable innovation; Specific challenge n°3 on water), Information and Communication Technologies (Specific challenge n°5 on ICT – Internet and Society), Nanosciences, Nanotechnologies, Materials and New Production Technologies (NMP) (Specific challenge n°6 on ethics assessment). It also should be noted that topic SiS.2013.2.1.1-2 - ERA-NET on the promotion of gender equality in research institutions - is included in the Call FP7-ERANET 2013-RTD and implemented in annex IV to the Specific Programme Cooperation – Work Programme on general activities.

- Specific information

➤ Socio-economic dimension of research

Where relevant, account should be taken of socio-economic impacts of research, including its intended and unintended consequences and the inherent risks and opportunities. A sound understanding of this issue should be demonstrated both at the level of research design and research management. In this context, where appropriate, the projects should ensure engagement of relevant stakeholders (e.g., user groups, civil society organisations, policy-makers), as well as cultivate a multi-disciplinary approach (including, where relevant, researchers from social sciences and humanities). The submission of projects which raise ethical or security concern is encouraged.

➤ Gender dimension

The pursuit of scientific knowledge and its technical application in society requires the talent, perspectives and insight that can only be assured by increasing diversity in the research workforce. Therefore, all projects are encouraged to have a balanced participation of women and men in their research activities and to raise awareness on combating gender prejudices and stereotypes. When human beings are involved as research subjects or users, gender differences may exist. These will be addressed as an integral part of the proposal to ensure the highest level of scientific quality. In addition, specific actions to promote gender equality in research can be financed as part of the proposal, as specified in Appendix 7 of the Negotiation Guidance Notes⁶.

⁶ http://ec.europa.eu/research/participants/portal/page/fp7_documents under 'Guidance documents for FP7/Negotiations and amendments/.'

II- CONTENT OF CALLS

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

Action Line 1: A more dynamic governance of the science and society relationship

Activity 5.1.1 Better understanding of the place of science and technology (S&T) in society

Area 5.1.1.1 Relationships between science, democracy and law

SiS.2013.1.1.1-1: Production and use of a Training and Dissemination Toolkit on Responsible research and innovation

Topic description: The purpose of the topic is to raise awareness on Responsible Research and Innovation among all societal actors (e.g. civil society, researchers, policy makers, business...).

The topic will be implemented through the production and the use of a Responsible Research and Innovation Training and Dissemination Toolkit by the societal actors. The RRI toolkit will address the various components of Responsible Research and innovation:

1. Governance of Research and Innovation;
2. Engaging society;
3. Gender;
4. Access to scientific information;
5. Science education (formal/informal);
6. Ethics.

The toolkit, to be used by the trainers and the whole range of stakeholders, will be composed of different modules adaptable according to the specific needs. It will combine paper documents, DVDs, web platform, etc. The Toolkit will include measuring tool allowing assessment of the degree of compliance with or performance against good practice standards.

In addition, trainings will be organised to encourage use and dissemination of the toolkit. These trainings will cover the maximum EU 27 Members States as well as Associated Countries.

Expected impact: The Toolkit will raise awareness of Responsible Research and Innovation among all societal actors with a specific focus on national and regional policy makers across the European Research Area (including Member States, Associated Countries and regions less advanced in the Research and Innovation governance fields) in order to make change the

research and innovation process. It will also enhance the creativity throughout Europe through the use of good governance practices in Responsible Research and Innovation fields to respond adequately to societal challenges.

SiS.2013.1.1.1-2: Responsible Research and Innovation in industrial context

Topic description: The topic will bring together actors from industry, civil society and research to jointly define an implementation plan for the responsible development of a particular product to be developed within a specific research/innovation field. Responsible Research and Innovation should be shown in terms of the product development process (such as stakeholder involvement, etc.) and quality of the final product (complying with, among other standards, those relating to sustainability and ethics).

The project should include at least an industrial organisation and a civil society organisation. This participation will be evaluated under criterion 2.

Expected impact: Demonstration of how industry can work productively together with societal actors according to Responsible Research and Innovation approach, thereby showing potential benefits for industry at large to follow up on such an example.

The Commission will positively evaluate projects having a minimum duration of three years, in view of an appropriate potential impact.

SiS.2013.1.1.1-3: Coordination of Responsible Research and Innovation approaches in industrial context

Topic description: Far from being against social progress and environmental protection, many entrepreneurs are convinced that tomorrow's winners will be those able to deliver more sustainable products and services. Some companies are already involved in cooperation with Civil Society Organisations aiming to develop solutions agreeable to citizens and civil society (e.g. in the field of environment and sustainable development) or involved in universities and media in order to enhance transparency on their activities, others are joining forces in common structures in order to develop long term strategies, and countries are working together in the search for common standards for the social responsibility of organisations. Public research funders are also recognising the value of responsible research and innovation.

There is a need for better understanding, mapping and coordinating these various industrial and business dynamics at European and global level in order to create the right knowledge base and connections for further actions, in view of progressing and spreading good practices in Europe and beyond.

Consortia should involve stakeholders from industry and business, academy, civil society and policy making from several European countries and show a good experience in analysing innovation in industrial and business context. This will be evaluated under criterion 2.

Expected impact: It is expected that the coordination action will make progress in mainstreaming economic, environmental and social sustainability concepts in industrial environments.

SiS.2013.1.1.1-4: Eurobarometer on the perception of Responsible Research and Innovation

See Section IV Other Actions (not implemented through calls for proposals)

SiS.2013.1.1.1-5: Development of Impact Assessment and ex-ante evaluation methodologies using agent-based simulation including notably the role of civil society agents in collaborative Responsible Research and Innovation

See Section IV Other Actions (not implemented through calls for proposals)

SiS.2013.1.1.1-6: Tools and instruments for a better societal engagement in "Horizon 2020"

Topic description: The synthesis MASIS report (Monitoring Policy and Research Activities on Science in Society in Europe) underlines 'that the dynamics of public and stakeholder engagement [in science, technology and innovation] remains an important object for further research and experimentation'. The present Collaborative Project should therefore go deeper into the understanding of policies, activities, tools and instruments supporting interactions between researchers, innovators and societal actors (e.g. communication, dialogue, mutual engagement, co-creation of new knowledge, innovative use of existing knowledge). Such prospective and comparative analysis will be focussed on the six societal challenges addressed by the Commission included in the priority III of "Horizon 2020" with a view to building better tools and instruments in these fields.

Expected impact: This topic will improve the understanding of the status quo and trends in public and stakeholder engagement in Research and Innovation in Europe and beyond. It will refine existing instruments and tools and propose new ones.

Activity 5.1.2 Broader engagement to anticipate and clarify political, societal and ethical issues

In 2013 the Commission will celebrate the 20th anniversary of the establishment of Union citizenship under the Maastricht Treaty that entered into force on 1 November 1993. The European Commission therefore proposed to designate 2013 as the "European Year of Citizens". One of the challenges for the "Year of Citizens" will be to raise citizens' awareness of how they can benefit from EU rights and policies, and to stimulate citizens' active participation in EU policy-making. The SiS 2013 Work Programme will support this initiative through six themes for Mobilisation and Mutual Learning Action Plans, which call for collective reflexion and deliberations among stakeholders from academia, policy, industry and civil society for tackling societal challenges in ways that match up with the values, interests and needs of EU citizens.

The six MMLAP themes proposed for 2013 build on the experience acquired from the nine MMLAPs in progress, with a focus on the societal challenges which are identified in the European Commission proposal for a regulation establishing Horizon 2020, in response to the Europe 2020 strategy. The MMLAP on "*infectious diseases*" is related to the challenge named "*Health, demographic change and well-being*" in Horizon 2020. The MMLAPs on "*Water challenge*" and "*Assessment of sustainable innovation*" notably respond to the challenge called "*Climate action, resource efficiency and raw materials*". The MMLAP dealing with "*Societal engagement for integrated urban development*" relates to the "*Smart, green and integrated transport*" challenge. The MMLAPs on "*Ethics assessment*" and "*ICT- Internet and the society*" respond to the Horizon 2020 challenge on "*Inclusive, innovative and secure societies*".

SiS.2013.1.2-1: Mobilisation and Mutual Learning (MML) Action Plans: mainstreaming Science in Society actions in research

Topic description:

Context: The European Research Area is targeting efforts in research and innovation on the current challenges faced by society. They are complex, multidimensional and require the engagement of different actors alongside researchers.

Objective: The Mobilisation and Mutual Learning Action Plan (MMLAP) is a mechanism for effectively tackling research and innovation related challenges by proactively forging partnerships with complementary perspectives, knowledge and experiences. The MMLAP shall comprise at least one of each of the following types of partners: research performing or funding organisations, industry / businesses, policy makers, Civil Society Organisations. The consortium may include as well media, education establishments, science academies, museums, science centres, etc. The MMLAP therefore develops forms of dialogue and cooperation between science and society at different stages of the research and innovation process. The MMLAP will contribute to further incorporating Science in Society issues into the system of Research and Innovation (public engagement, ethics, gender perspectives, science education, communication and access to and dissemination of scientific information). The partners will pool experiences and knowledge and better focus their respective efforts to shape research in emerging science, technology and innovation in response to the views and needs of society.

The mobilisation of societal actors in this process, the opening up to civil society and the multidisciplinary dimension are crucial elements for ensuring performance excellence, relevance and responsiveness of research and innovation to the needs of all stakeholders. This approach is a key for increasing trust and the acceptability of research and innovation processes and outcomes among the general public, and to a larger extent, for ensuring a widespread use of technologies.

Each MMLAP will include, among others, the following work packages:

- A 'Dialogue and Participation' Work Package: building a common approach concerning the societal challenge among the different MMLAP partners during the first six months; identification and discussion of topics and opportunities for future cooperative multi-actor research. The dialogue between the partners will be based on a participatory process. Particular attention will be given to making the different types of knowledge concerned accessible to all MMLAP partners, through capacity-building, training, etc.. In order to improve the competencies and quality of leadership, the project should seek from an early stage to learn from the experience acquired by other running MMLs.

- A 'Communication' Work Package: production of a common communication strategy, joint activities, and education materials, which actively involve all types of partners in order to effectively disseminate any significant MML results in appropriate ways 'tailored' to reach the various targeted audiences;

- An 'Evaluation' Work Package:

- In-depth independent evaluation of the methodology and implementation progress of the MMLAP and of its potential impacts on citizens and civil society, throughout the duration of the project, in relation to its objectives and expected impacts.
- Inclusion of an 'internal observer' whose task will be to contribute to a reflexive analysis of the implementation process, to facilitate links between the work packages, and to ensure that the partners of the MMLAP benefit from a common global overview of the various activities.

- A 'Policy Watch' Work Package: The proposal should demonstrate a good knowledge of EU strategic priorities and include the means to monitor throughout the project other EU related initiatives and policy developments at local, national and European levels, in order to better connect with policy cycles.

- An 'Heritage' Work Package: MMLAP partners will set up a strategy whose functions are to ensure the sustainability of the work carried out and to give future participants wishing to pursue this work the means to efficiently implement the MML recommendations.. Before the end of the project, subsequent financial possibilities from other national and EU sources will be identified.

The MMLAP consortium is expected to include relevant expertise and experience from various types of partners (research performing or funding organisations, industry / businesses, policy makers, Civil Society Organisations, media, education establishments, science academies, museums, science centres) to implement the planned actions and efficiently manage the whole Plan.

The MMLAP consortium must consist of at least 10 independent legal entities established in at least 10 different EU Member States or Associated countries.

The MMLAP is expected notably to take into account the results of other research projects that have been funded under EU framework programmes⁷ or any relevant national and international programmes.

The partners build the proposed MMLAP in an integrated, systemic and transdisciplinary way to address the questions raised under each of the six selected Specific Challenges. This aspect will be evaluated under criterion 1.

The MMLAP activities may take place at different stages of the research cycle. However, since this topic uses the funding scheme Coordination and Support Actions (supporting action), the cost of performing research as such cannot be covered by the grant.

The MMLAP activities can be implemented combining local, regional and national levels. Ensuring a balanced distribution of roles and responsibilities between the different types of participants will be evaluated under criterion 2. The budget will reflect this distribution and include financial means to allow the appropriate participation of all participants. Particular attention must be paid to ensuring efficient management of the MMLAP, including appropriate experience and skills in the management team.

The MMLAPs proposed under this topic must address one of the following Specific Challenges that are relevant to the Europe 2020 Strategy and where a more structured dialogue and cooperation between research organisations and other stakeholders is sought. Each proposal must state clearly which Specific Challenge it addresses:

- Specific Challenge 1: Infectious diseases

On the basis of the research agenda developed by the H1N1 Expert Group on the specific case of the H1N1 crisis in 2009, the MMLAP will further explore SiS-related issues in global pandemics and crisis management in order to identify and promote shared solutions.

Experience of global pandemics has shown that links with societal issues and society involvement are crucial in the prevention and treatment of infectious diseases, and in the management of global health crisis.

The Expert Group on Science, H1N1 and Society ('H1N1 Expert Group', or 'HEG'), which was set up by the European Commission in 2010, clarified the 'Science in Society'-related research questions raised by the specific case of H1N1 pandemic and associated crisis management.

After reviewing a number of aspects relating to the involvement of scientific expertise in the management of the A (H1N1) pandemic through various documents from the WHO, articles in international health journals, European Union documents and some national reports, the H1N1 Expert Group identified a number of research needs, which are at the intersection of scientific expertise, citizen's risk assessment and new governance models related to A (H1N1) and other cases of pandemics.

These topics are the following:

- reviews, based on historical data and previous experience on influenza, highlighting specific scientific issues to be clarified or to be solved by science;

⁷ A list of related EU funded projects will be provided on SiS webpage.

- elaborating lists of unsolved scientific questions regarding influenza and pandemic situations;
- righteous power: democratic versus elitist perspectives on decision-making;
- facilitating the utilisation of scientific knowledge in decision processes;
- decision-making and public participation in a crisis situation;
- evaluative research;
- mapping of experiences in bringing research closer to democratic institutions at all levels (parliaments, regional governments, local authorities).

The MMLAP will further look at this research agenda in order to better understand the SiS related issues in global pandemics and crisis management, and identify commonly-accepted solutions, which better take into account society concerns.

- Specific Challenge 2: Assessment of sustainable innovation

Europe 2020 strategy has set as a priority to achieve sustainable growth, which notably means capitalising on Europe's leadership in developing green innovation. To address research and innovation in a responsible way will also help Europe to achieve sustainable growth.

The MMLAP's purpose is to look at advantages, disadvantages, relevance, benefits and the risks of innovation and its impact on human health, the environment, the economy and the society at large. The MMLAP aims to propose commonly defined assessment framework/methodologies and management of multi-disciplinary solutions, which take into account general public concerns and Science in Society related issues (participation, inclusiveness, ethics, gender, open access).

Sustainable innovation is not necessarily technological. Environmental technologies are designed to decrease material inputs, reduce energy consumption and greenhouse gas emissions, minimise waste and reduce the impact on the environment. As a paradox, the same advanced technologies, products and applications, throughout their lifecycle, can have undesired negative effects on the environment, the economy and society at large, notably because energy and materials are required to produce and maintain them.

Sustainable innovation can also be social. Governance modes, behaviour, changes in processes use and appropriation of existing technologies can also lead to sustainability.

The MMLAP will propose inclusive assessment methods (framework, process, indicators), identify scientific challenges and possible improvements to current innovations, develop a common understanding of the innovation management, and develop specific policy recommendations.

- Specific Challenge 3: Water Challenge

2012 is the European Year for Water and the Cypriot Presidency has put 'Water & climate as a key priority in its political agenda. Currently, a European Innovation Partnership on Water is being developed, whereas the World Water Forum, which took place in Marseille in March 2012, increased the momentum for a sustainable water management at the global level. The drought that will be affecting many parts of EU in 2012 will make Europeans more aware of the need to save water and be more receptive to water efficiency messages.

Since the adoption of the Water Framework Directive (WFD) in 2000, EU water policy took an integrated approach on the basis of the concept of river basin management aimed at achieving good status of all EU waters by 2015. However, as pointed out in the 2010 State of the Environment Report, the achievement of EU water policy goals appears far from certain due to a number of old and emerging challenges. Article 14 of the WFD specifically requires member states "to encourage the active involvement of interested parties" in the implementation of the directive. However, despite the regular science-policy interactions occurring within the Common Implementation Strategy (CIS) for WFD, which is a stable exchange platform among Member States and stakeholders, a number of substantial and persisting difficulties hinder the effective science-policy interactions in the European Union. A commonly shared diagnosis is the need for a streamlined flow of information, appropriate education efforts and cross-border capacity-building at all levels.

The Blueprint to Safeguard Europe's Water Resources, which will be the EU policy response to these challenges, is the specific policy context in which the MMLAP topic on 'Water challenge' is to be inscribed.⁸ The Blueprint Roadmap will aim at ensuring good quality water in sufficient quantities for all legitimate uses, and by being closely related to the EU's 2020 strategy, its recommendations should be implemented by 2020. However, it will drive policy for a longer duration as the analysis underpinning the Blueprint will cover the period up to 2050.

In this context, the MMLAP on Water challenge will set up a system of mediation between Researchers, policy-makers, users/citizens and businesses, at appropriate EU, national and regional levels and create platforms of constructive dialogue and participatory research across sectors, disciplines and types of stakeholders, linked with an EU integrated management of water resources. The 'Water' MMLAP has the following objectives:

- Raise the awareness of researchers about the concerns of the European publics, both as users and as citizens,
- Explore inputs to responsible and innovative mechanisms that will enable Member States to anticipate the challenges linked with the implementation of the Blueprint roadmap to Safeguard Europe's Water Resources,
- Embed the concept of Responsible Research and Innovation in the 'Water resources' management',
- Provide evidence for a new paradigm of resilient and adaptive management of water resources, balancing environmental, economic and social priorities, through integrated approaches and effective cooperation between public authorities and stakeholders,
- Explore and assess opportunities for collaboration of R&I organisations, universities, SMEs and Civil Society to boost innovation in the water sector,
- Facilitate the transfer of research results into policy.

The MML should seek to establish links with the actors that are involved in the development of the European Innovation Partnership on Water. The MMLAP could have a specific focus on participatory research, participation of social scientists, participation of socially responsible companies, social-network analysis and multi-criteria analysis; cultural and institutional aspects, ethical dilemmas and the role of ethics to provide frameworks for the

⁸ The Blueprint to Safeguard Europe's Water Resources (still under preparation) will be officially presented during the GREEN WEEK (22-25 May 2012) by the Commissioners ENV and CLIMA and it will be effectively released on 26/11/2012 under the Cypriot Presidency.

conceptualisation of different water management perspectives; ethical - formal and non-formal - 'water use' education for the youth [UNESCO report⁹], links between social innovation and water challenges, links with EU transversal processes: Mediterranean, Arab, Central Asia; challenges linked with urbanisation.

- Specific Challenge 4: Societal engagement for integrated urban development

The Commission recommendation¹⁰ on the Joint Programming Initiative (JPI) 'Urban Europe', encourages the Member States to include, as part of the strategic research agenda and of the implementation plan of the JPI: better collaboration within the public sector and between public and private sectors, open innovation between different research activities, education and business sectors related to urban development, and also to ensure a broad involvement of relevant stakeholders such as local authorities and civil society.

This MMLAP will create a platform to discuss and explore paths of integrated urban development. To this end, it will seek to establish links with initiatives and projects at European level related to the JPI 'Urban Europe', which pave the way for smart, sustainable and inclusive cities. It will include thematic lines and activities that would interact with 'Urban Europe' by contributing to the social dimension and the stakeholder participation in the research agenda development and/or the JPI implementation, as well as wider societal participation. The MMLAP could particularly support the structures of the 'Urban Europe Forum' of the Joint Programming Initiative (UEF), which represents a platform of a broad spectrum of organisations and initiatives dedicated to one or more of the JPI's research areas, and which aims to intensify the cooperation and collaboration with the existing and new players in the urban stakeholder community at national, European and international levels. The MMLAP will also focus on social innovations that originate at regional and local levels.

Specific Challenge 5: ICT - Internet and Society:

One of the aims of the «Digital Agenda for Europe», one of the seven flagship initiatives launched by the Europe 2020 Strategy, is to ensure that the digital transition, i.e. the deployment of ICTs, brings maximum benefit to European economy and society. The continuous and transformative changes in ICT, and especially the next generation Internet services, have significant and multifaceted economic, social, and ethical consequences for both individuals and society as such. The perceptions and practices of social actors in the face of these, sometimes pervasive, changes influence the uptake by society of ICTs and shape the context in which the Digital Agenda for Europe, and its successor, is to be implemented. The MMLAP should cover the following areas of concern and debates.

(1) Internet governance issues:

While accepting that ICT and Internet technologies are global and interoperable and no mechanisms for their governance and regulation can be efficiently limited within its regional frontiers, Europe has set itself the objective to play a role in shaping and participating in the global governance of the Internet. This objective requires examining a number of pertinent

⁹ In 2011, UNESCO published a report on 'Water Ethics and Water Resource Management': <http://unesdoc.unesco.org/images/0019/001922/192256e.pdf>

¹⁰ See the following web site: <http://www.jpi-urbaneurope.eu/>

questions: Is there an EU vision about Internet governance, participative freedoms, ethics and security? How should Internet be governed in full respect of the European Charter of fundamental human rights? Should the European Charter of fundamental human rights address directly the internet-related freedoms? How can European users be empowered to exercise their rights of access and ownership of their personal data, consistent with the new EU data protection laws? Through what mechanisms can they participate in the development of Internet-related governance and public policy processes? In this regard, the MMLAP should include perspectives from outside Europe, in particular from the Southern and Eastern Neighbourhood Policy countries.

(2) *Privacy in the internet world*

Privacy is challenged by the expansion of ways to exploit personal data commercially and non-commercially. At the same time, the use of personal data gives possibilities to develop new services that benefit the individual. A proper balance of clear, fundamental principles of privacy, and flexible ways of using personal data for service development, must be created in order to shape the societal context that will be conducive to new services and opportunities, while ensuring the protection of fundamental rights.

(3) *IPR, new business models in an internet world and open innovation*

Intellectual property rights protect creative work, inventions, brands and designs. The IPR protection has expanded from traditional use to fields like geographical indications, medicine, food production and green technologies. IPR protects creativity by setting proprietary rights – it may also provide issues in rare cases of prohibitive uses of essential IPR. The internet requires a new way of looking at IPR, not only from the perspective of protection, but also of active use and dissemination of IPR in the sense of open innovation. IPR is a way to protect innovation but it is also, if cleverly used, the lubrication of innovation and growth. Internet requires efficient and fast mechanisms for licensing of IPR to enhance growth.

The proposed MMLAP invites ICT-related stakeholders and social actors from at least 10 countries and from various sectors, i.e. researchers, businesses, policy makers, practitioners and operators, groups representing social networks, international and European governing bodies of the Internet, Web entrepreneurs, NGOs, civil society organisations and network users, to set up frameworks of collaboration and public forums that foster informed discussion about the issues mentioned above, linked to the uptake of the internet. The MMLAP platform will explore paths for a responsible, responsive, adaptive and integrated approach to the Internet-enabled innovation and elaborate a responsible action plan, taking into account other relevant activities such as the Network of Excellence in Internet Science (EINS). The proposed MMLAP will formulate workable policy recommendations to improve the societal relevance of the Digital Agenda for Europe.

- Specific Challenge 6: Ethics Assessment

European research policy will experiment with new ways of involving society at large in the definition, implementation and evaluation of research agendas and of promoting responsible

scientific and technological progress, within a framework of common basic ethical principles and on the basis of agreed practices that can inspire the rest of the world"¹¹.

The MMLAP will actively contribute to this aim by involving all the main actors (including scientists, regulators, civil society, industrial actors, public bodies and research ethics committees in the Member States and the relevant international bodies), responsible for the design and application of research ethics standards and principles. They will act together to establish operational links and exchange effectively good practices through mutual learning initiatives. This is of particular importance in a changing legal environment (including major legal initiatives such as the new Clinical Trials Directive and the Data Protection Regulation) which also impacts the way ethics assessment is organised and implemented in the Member States. In addition, the expected enhanced collaboration will result in appropriate training and capacity building actions, paying particular attention to the involvement of young researchers from various disciplines including the humanities and social sciences.

The partners will implement the proposed MMLAP in an integrated, systemic and trans-disciplinary way, by conducting the following activities:

- Produce an up-to-date and detailed comparative analysis of the EU and international practices related to ethics assessment in scientific research and related innovation activities, including legal aspects based on available information (e.g. EUREC - <http://www.eurecnet.org/index.html> and Ethicsweb - <http://ethicsweb.org/portal>);
- Develop a methodology to examine the cost-effectiveness and analyse the risk-benefit of the ethics assessment activities and propose, where appropriate, mechanisms to streamline them without compromising the ethics assessment quality and the adherence to the current legal frameworks. This methodology should also include an evaluation of the appropriate WTA¹² indicators as these might apply to ethics assessment procedures;
- On the basis of the analysis of different scenarios and discussion with the relevant actors, agree on a way to progressively move towards a common EU ethics framework and set out a practical roadmap. If the main characteristic of the framework is to discuss and eventually limit the differences in implementing the ethics assessment procedures while enabling cultural diversity, it should also evolve and include mechanisms ensuring that the technological progress and changes in values are taken into account and reflected;
- Measure and explore the positive and negative impact of the globalisation of research activities on their ethics dimension. As regards the risk of conducting research activities outside Europe in order to profit of more flexible legal frameworks, propose policy and legal options that could minimise such opportunistic behaviours, including international agreement and suitable legal provisions;
- Assess the feasibility of developing standard operating procedures and related certification (e.g. ISO) for ethics assessment;
- Methodology to measure and picture the different types of impact of ethics assessment including a pilot impact study on FP ethics review;

¹¹ Green paper "The European Research Area: New Perspectives", COM (2007) 161 final, http://ec.europa.eu/research/era/pdf/era_gp_final_en.pdf.

¹² WTA: Willingness to Accept.

- Development of specific policy Recommendations.

The MMLAP aims at both improving the respect of ethics principles and laws in research and innovation activities, as well as making sure that, whenever needed, they are adequately adapted to the evolution of technologies and societal concerns. At the same time, as the uniformity of the ethics framework increases, a better and easier understanding of the ethics issue will be ensured. It is also expected that the emerging common framework will increase and facilitate the mobility of researchers, and the cooperation of teams from different countries, while reducing the unhealthy competition that could derive from dissimilar legislations and practices.

Expected impact of the six MMLAPs: In each MMLAP, the governance of research and technological development will be adapted to facilitate sustainable and inclusive solutions to key challenges facing European society. The MMLAPs will contribute to further incorporating Science in Society issues in the system of research and innovation. They will also contribute to an improved transnational cooperation.

The Commission will positively evaluate projects having a minimum duration of three years, in view of an appropriate potential impact.

Activity 5.1.3 Strengthening and improving the European science system

Area 5.1.3.3 Encouraging the debate on information dissemination, including access to scientific results and the future of scientific publications, taking also into account measures to improve access by the public.

Open access refers to the practice of providing free on-line access and re-use of scientific information (e.g. publications and data), allowing the benefits of science to be exploited by researchers, industries and citizens – for their scientific work and business innovation. The general objective of EU action in this field is to improve the conditions of access to and re-use of scientific information, mainly in the case of publicly-funded research, to support knowledge and innovation. This is fully in line with two Europe 2020 Flagship initiatives Innovation Union and Digital Agenda for Europe¹³.

The Commission proposed that the Rules for participation and dissemination of Horizon 2020¹⁴ go further than the Open Access Pilot in FP7: with regard to research publications, open access shall apply; for other results, including research data, terms and conditions under which open access to such results must be provided shall also be defined.

Lastly, the Commission is preparing a vision for open access in the European Research Area, encouraging Member States to develop and appropriately implement an open access strategy and report on progress achieved. The two following topics aim to support the implementation of this vision for open access with upstream coordination between Member States and downstream training at stakeholder level. Stakeholders to be considered include individual researchers, academic institutions, libraries, governments (relevant ministries) and research funding organisations, business (including SMEs), scientific publishers and civil society organisations (e.g. NGOs). Ultimately, promoting open access will result in an improved circulation of knowledge which will benefit citizens (through an improved science system resulting in better products and quality of life).

SiS.2013.1.3.3-1: Upstream support to the definition, development and implementation of open access strategies and policies and to their coordination in the European Research Area

Topic description: The answers on behalf of the European Research Area Committee to the 2011 questionnaire on national open access and preservation policies in Europe¹⁵ call for the identification of common agendas and the implementation of joint initiatives. Therefore, this topic supports actions with a clear European added value that are aimed at developing, improving or consolidating co-ordination activities and policies at upstream level. The proposed actions should define or reinforce national strategies, promote their convergence in the European Research Area and facilitate their implementation at national level, in the remit of the policy developments on open access to and preservation of scientific information and Horizon 2020. In this context, the proposed action may also include the monitoring of the Member State implementation of the forthcoming soft law initiative on open access to and preservation of scientific information.

Actions must be objective-driven. They may include the definition, organisation and management of joint or common initiatives and/or policy activities, transnational networking

¹³ COM (2010) 245, 19.05.2010.

¹⁴ COM (2011) 810 final, 30.11.2011.

¹⁵ ISBN 978-92-79-21055-6, 2011.

activities, the exchange and dissemination of good practices etc. Initiatives may build on existing co-operative efforts and should aim to complement, improve, enlarge, or consolidate these. In addition, actions may explore the possibility of setting up a specific EU collaborative network, based on national membership, in order to better define common principles and standards, co-ordinate implementation measures and explore new ways of sharing research in the European Research Area through open access. Such a network should also ensure that the results at the national levels feed into the discussions and policy processes at Community level.

Target groups are any bodies with sufficient authority and decision-making power in EU Member States and Associated Countries that address and/or co-ordinate policies and activities relating to open access. Where this is the case, financial aspects of continuation of activities or structures after expiration of the grant agreement should be addressed and/or planned.

Expected impact: to improve the co-ordination of existing Member States and Associated Country initiatives on open access to scientific information and, where this is the case, to extend existing activities, as well as to set up an EU collaborative network on open access.

SiS.2013.1.3.3-2: Downstream training on Open Access in the European Research Area

Topic description: While open access and open data policies and mandates have become more widely known and implemented in recent years, significant knowledge gaps in both institutional settings and among individual stakeholders still exist, in particular academics and researchers. Therefore, this topic supports actions with a clear European added value that are aimed at developing, improving or consolidating training activities at downstream level and reach the highest number of stakeholders in the European Research Area.

Actions proposed must be aimed at training stakeholders with a view to permitting them and/or their organisations to fully comprehend policy and practical aspects of open access to scientific information. Stakeholders include academic staff, in particular researchers and students, but also policy-makers and staff working in funding bodies. The training should also address and train stakeholders in EU-funded research projects, in particular in those areas not covered by the Open Access Pilot in FP7, in order to prepare stakeholders for the application of open access procedures in Horizon 2020.

Actions should be innovative and cross-fertilizing. Activities developed following a "training the trainers" approach can be supported, as well as networking among already existing training initiatives. The training actions proposed must be relevant, engaging, dynamic and outcome-oriented. They must provide a range of information, advice, support, and practical help, and reach the greatest number of stakeholders. Didactic material or training tool kits must be developed and made available open access for re-use.

Expected impact: to spread/increase knowledge of open access related issues in order to reach a wide range of communities and geographic areas; to contribute to changes in behaviour that are consistent with the ideals underlying open access; to prepare stakeholders for the application of open access in the European Research Area, in particular as regards Horizon 2020.

Action Line 2: Strengthening potential, broadening horizons

Activity 5.2.1. Gender and research

Area 5.2.1.1 Strengthening the role of women in scientific research and in scientific decision-making bodies

SiS.2013.2.1.1-1: Supporting changes in the organisation of research institutions to promote Gender Equality

Topic description: This topic will support common actions by research institutions, to identify and put into practice the best systemic organisational approaches to increase the participation and career advancement of women researchers, improve working conditions of women and men, as well as the integration of gender in curricula and research content. Initiatives aim at encouraging the modernisation of institutional practices and culture in research institutions, in particular research organisations¹⁶, universities and funding agencies, to promote gender equality.

Proposals should take account of relevant studies on structural change in research institutions¹⁷ as well as on gender in research and innovation¹⁸. They will incorporate a self-tailored *Gender Equality Plan* per each participating institution, which should include an analysis of the main problems and challenges, as well as a set of specific actions, aiming at implementing the necessary structural changes on the basis of each specific situation and challenges. Action plans will be accompanied in the proposals by an implementation roadmap containing a clear description of:

- (1) The challenges existing in achieving gender equality among the organisations concerned and the scientific leadership bodies;
- (2) Innovative strategies to address barriers to recruitment, retention and advancement of women's careers, and to integrate a gender dimension in research and innovation content.

The *Gender Equality Plans* will serve as a management tool to help achieve the objectives of the call. They could address among others:

- Recruitment, promotion, retention policies;
- Returning schemes after career breaks;
- Leadership development;
- Gender balance in decision-making processes;
- Work/ life balance, including at particularly difficult life transitions;
- Supporting policies for dual career couples;

¹⁶ A research organisation means a legal entity established as a non-profit organisation which carries out research or technological development as one of its main objectives (Art. 2, FP7 Rules for Participation, Reg. (EC), n° 1906/2006).

¹⁷ In particular: Structural Change in research institutions report: <http://ec.europa.eu/research/science-society/index.cfm?fuseaction=public.topic&id=1406>

¹⁸ In particular : Meta-analysis of gender and science research - <http://www.genderandscience.org>; Sex and gender methods for research, <http://genderedinnovations.eu/>

- Enhancing networking opportunities;
- Gender in the content of curricula and research;
- Gender in the content of training for academic staff and PhD students;
- Guidelines for other interested institutions and disseminating best practices to the broader academic community at regional, national and/or international level.

In addition, key points to tackle include:

- Assessment standards of research excellence;
- Accountability of evaluation policies.

Consideration should be given to the involvement of local or national social partners (trade unions and/or employers' associations), wherever appropriate.

The proposal should include a methodology for impartially monitoring and assessing – throughout the duration of the project:

- a) The effectiveness and the anticipated impact of the actions proposed;
- b) The institutional progress gradually achieved, including its impact on the number and situation of women scientists, as well as on the integration of gender in research content.

In the evaluation process, the following elements will be considered, among others:

- (1) Innovative nature; setting up of new gender equality plans and reinforcement / extension of existing ones;
- (2) Sustainability of the actions
- (3) Support from the highest management structures of the institutions concerned;
- (4) Learning process/ exchange of expertise between the organisations involved;
- (5) Activities to disseminate broadly the outcomes of the project.

The EU contribution will not exceed 70% of the total estimated budget for each proposal.

Expected Impact: The implementation of the topic should bring about tangible and measurable results in terms of organisational process and structures, as well as on attracting, recruiting, and advancing women in research at all levels of seniority in project partners' organisations. It shall improve the working conditions of women and men in partners' organisations. It shall improve the uptake of a gender dimension in the content of research carried out by the partners' organisations. It shall provide evidence that the Plans will continue to be implemented in the medium / long term. The action shall contribute to raising awareness on the institutional issues hindering the advancement of women Europe-wide.

SiS.2013.2.1.1-2: ERA-NET on the promotion of gender equality in research institutions¹⁹

Topic description: The objective of this topic is to foster cooperation and coordination of initiatives carried out at national or regional level. These initiatives should address common challenges still present in research institutions, including research organisations, universities and funding agencies, in achieving gender equality in research and innovation. These challenges concern the persistent barriers and constraints to the recruitment, advancement and mobility of women in the European scientific system, the lack of women in decision-making and the limited integration of the gender dimension in research programmes and content.

This will be done through:

- The networking of research activities and initiatives conducted at national or regional level relating to gender in Research and Innovation
- The mutual opening of national and regional research initiatives.

The scheme will contribute to improve the coherence in the promotion of gender equality in research by providing a framework for the actors implementing public research programmes. It will reduce fragmentation across ERA and reach a critical mass of research organisations and universities, facilitate mutual learning, create a more consistent approach in implementing gender equality initiatives, and coordinate the policy responses to shared challenges. This scheme will also enable national systems to take on tasks collectively, that they would not have been able to undertake independently, and ensure a coherent monitoring and reporting of progress made at EU level with common indicators to assess achievements.

Expected impact: This scheme is expected to strengthen the development of gender equality measures in research and innovation across the EU. Concretely, the scheme will aim to:

- Increase the number of research organisations and universities developing and implementing gender equality plans or equivalent initiatives;
- Improve recruitment and career paths for female scientists, as well as working conditions of women and men in research institutions;
- Improve the integration of the gender dimension in research and innovation.

The Commission will positively evaluate projects having a minimum duration of three years, in view of an appropriate potential impact.

SiS.2013.2.1.1-3: Conference on structural change promoting gender equality in research organisations (LT Presidency)

See Section IV Other Actions (not implemented through calls for proposals)

¹⁹ This topic is included in the Call FP7-ERANET 2013-RTD: See point III implementation of Calls in the present document Call fiche 2 and annex IV Work Programme on general activities in Cooperation.

Area 5.2.1.3 Mainstreaming gender in Community Research policy and programmes

SiS.2013.2.1.3-1: Monitoring of gender equality in research and innovation (development of indicators): SHE FIGURES 2015

See Section IV Other Actions (not implemented through calls for proposals)

Activity 5.2.2 Young people and science²⁰

For the purpose of each topic under this activity, 'science' includes: physical sciences, life sciences, computer science, technology and mathematics.

The definition of Inquiry Based Science Education (IBSE) is given in 'Science Education Now; A Renewed Pedagogy for the Future of Europe'. The reading of this report is particularly recommended for the topic SiS.2013.2.2.1-1²¹.

Well educated and trained citizens are the key to employment, competitiveness, productivity and social inclusion. Both the 2009 strategic framework for European cooperation in education and training (ET2020)²² and the Europe 2020 strategy for growth (Europe 2020)²³ adopted in 2010 attach importance to education and training which is underpinned by a series of benchmarks to be achieved by 2020. Against this background, science education plays a major role in order to strengthen Europe's knowledge base and to ensure its capacity for innovation.

Area 5.2.2.1 Supporting formal and informal science education in schools as well as through science centres and museums and other relevant means

SiS.2013.2.2.1-1: Raising youth awareness to Responsible Research and Innovation through Inquiry Based Science Education

Topic description: Building up a scientifically literate society which enables its citizens to participate in the research and innovation process is part of Responsible Research and Innovation. It is important to ensure that young people, the human capital of the future, are equipped with the scientific and technological skills they need in their everyday, as well as in their professional, life. These skills are essential to enable every citizen to participate successfully in the Research and Innovation process, make informed choices and to engage actively in a democratic knowledge-based society.

The European Commission, through its 7th Framework Programme, is financing projects in the field of teacher training on Inquiry Based Science Education with the aim of raising children's interest and knowledge in Science, Technology, Engineering and Mathematics (STEM). The Inquiry-Based Science Education (IBSE) has the inherent qualities of promoting scientific reasoning, as well as transversal competencies such as critical thinking, problem solving, creativity, and teamwork and communication skills. Moreover IBSE offers the possibility of a multidisciplinary approach in teaching which facilitates connecting STEM subjects with each other and with other disciplines like social sciences. This method is thus

²⁰ For the purpose of each topic under this activity, 'science' includes: physical sciences, life sciences, computer science, technology and mathematics.

²¹ Report of the high-level group on science education chaired by Michel Rocard, 2007. http://ec.europa.eu/research/science-society/document_library/pdf_06/report-rocard-on-science-education_en.pdf

²² Council Conclusions on a strategic framework for European cooperation in education and training ("ET 2020"), 12/05/2009, (2009/C 119/02), download: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:C:2009:119:0002:0010:EN:PDF>.

²³ COMMUNICATION FROM THE COMMISSION: EUROPE 2020, A strategy for smart, sustainable and inclusive growth, 03/03/2010, COM(2010) 2020 final, download: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2010:2020:FIN:EN:PDF>.

appropriate to raise awareness of young people, from an early age, on the subject of Responsible Research and Innovation.

The topic will support actions to raise awareness of young people on the different aspects of Responsible Research and Innovation. The actions are intended to complement school science curricula and should focus particularly on teacher training activities (pre-service and in-service) and make use of existing European teachers' networks. The actions proposed should be open to the participation of entities seeking to gain experience in the area of raising youth awareness about Responsible Research and Innovation through Inquiry Based Science Education techniques.

The training of the teachers should include actions that incorporate Responsible Research and Innovation aspects and contribute toward the following: securing basic knowledge, developing a task culture, learning from mistakes, cumulative learning, autonomous learning, experiencing subject boundaries and interdisciplinary/transdisciplinary approaches, considering the difference between girls' and boys' interests and considering promoting pupils' cooperation.

The planned activities should be based on existing activities, best practices or projects' results which have already proven their efficiency and efficacy. Furthermore, training activities should be realistic and feasible in terms of the participation of teachers and the opportunities offered to them by their employers or education authorities. If the proposed training activities are to take place outside of normal school hours, measures to facilitate participation should be considered. The impact on the requested grant support of training activities outside normal hours should be identified.

While each EU Member State is responsible for the organisation and content of its education systems, there are advantages to tackle these issues at EU level. The challenges faced in this field are common and urgent in all the European countries. The EU level and support allows better sharing of research results, good practices, teaching material and the building of a real community of stakeholders.

Projects are expected to have a broad coverage of EU Member States and Associated Countries - in order to generate a European impact. For the purposes of this topic, the minimum participation condition for the Co-ordination and support action (supporting) is at least 10 independent legal entities, established in at least 10 different European Union Member States or Associated Countries.

In addition to this, during grant agreement negotiation, links will be established with SCIENTIX - The Community for Science Education in Europe (www.scientix.eu)²⁵. The proposals should include and describe a methodology for impartially assessing the actions implemented, throughout the duration of the project in relation to their objectives and expected impacts.

²⁴ SCIENTIX is the new web-based community for Science Education targeted at teachers and researchers. It will manage a user-friendly information platform to facilitate regular dissemination and sharing of progress, know-how, and best practices in science education across the EU Member States and Associated Countries.

²⁵ SCIENTIX is the new web-based community for Science Education targeted at teachers and researchers. It will manage a user-friendly information platform to facilitate regular dissemination and sharing of progress, know-how, and best practices in science education across the EU Member States and Associated Countries.

Expected impact: Raising youth awareness about Responsible Research and Innovation through Inquiry Based Science Education shall better equip future citizens with the skills and knowledge they need to engage in research and innovation in a responsible manner. Thus, it shall help to build up a scientifically literate society which will be enabled to fully participate in the research and innovation process.

The Commission will positively evaluate projects having a minimum duration of three years, in view of an appropriate potential impact.

Area 5.2.2.3 Research and Coordination Actions on methods in science education

SiS.2013.2.2.3-1: Research on the role of teaching methods and assessment methods in addressing low achievement in the field of Mathematics, Science and Technology (MST)

Topic description: Research should look at the role of teaching and assessment methods in addressing low achievement in the field of Mathematics, Science and Technology, i.e. to improve attainment levels of low-achieving students (LAS) in MST and to stimulate their interest in these subjects.

How is low achievement defined and measured? What distinguishes students with special educational needs from low-achievers?

Are there systemic factors that contribute to reducing the number of low-achieving students in Mathematics, Science and Technology and increasing attainments as regards teaching and assessment methods (e.g. commitment to education; general approach in teaching; stakeholder collaboration; teacher training and professional development; spending; ratio teacher/students; level of autonomy of teachers and schools; teachers' networks etc.)?

What is the role of assessment methods in identifying low-achieving students? How do they help to understand the difficulties with which a low performer is confronted (a single issue, a set of difficulties, special needs; preventive measures/focus)? Are there any specific needs and requirements with regard to Mathematics, Science and Technology teaching and assessment methods in primary and secondary schools? In which way are support measures to low-achieving students incorporated into teaching? How they are implemented in practice (access to support, early/prompt intervention, specialised professionals, and risk of stigmatisation)? What role does ICT play as a tool for supporting low-achieving students in Mathematics, Science and Technology? How can transferability of teaching and assessment methods in addressing low-achieving students in Mathematics, Science and Technology be ensured? In addressing low achievement in the fields of Mathematics, Science and Technology do teaching and assessment methods take gender dimensions into consideration?

International cooperation is recommendable in terms of best practices and transferability of teaching and assessment methods.

The research should have significant wider benefits across Europe beyond those accruing directly to project participants. In this respect, it should address several educational systems in Europe, in order to produce results that may be relevant for other countries with similar characteristics. The choice of the countries should be based on appropriate variables that the research proposal will identify.

Expected impact: Understanding the role of teaching and assessment methods in addressing low achievement in the field of Mathematics, Science and Technology should enhance the performance of students in this area. Research findings should help to reduce the number of low-achieving students in Mathematics, Science and Technology and to prevent early-school leaving or drop-out due to low performance in MST subjects. Thus, it will help to better equip all young Europeans with the skills and knowledge needed to become future innovation and "science active" citizens. This topic will also enable stakeholders to further develop teaching and assessment methods in order to attain better performing students in Mathematics, Science and Technology. The Commission will positively evaluate projects having a minimum duration of three years, in view of an appropriate potential impact.

Action Line 3: Science and Society Communicate

Area 5.3.0.5 Promoting excellent trans-national research and science communication by the means of popular prizes

SiS.2013.3.0.5-1: European Union Contest for Young Scientists (EUCYS) 2013

See Section IV Other Actions (not implemented through calls for proposals)

Area 5.3.0.6: Research aimed at enhancing inter-communication concerning science, both in its methods and its products, to raise mutual understanding between the scientific world, and the wider audience of policy-makers, the media and the general public

SiS.2013.3.0.6-1: Conference under the Irish Presidency (1st semester 2013) "The role of the media in Responsible Research and Innovation"

See Section IV Other Actions (not implemented through calls for proposals)

Action Line 4: Strategic activities

Area 5.4.0.0 Monitoring, evaluation and assessment of Responsible Research and Innovation

SiS-2013.4.0.0-1: Monitoring the evolution of economic benefits of Responsible Research and Innovation

See Section IV Other Actions (not implemented through calls for proposals)

SiS.2013.4.0.0-2: Stock taking and Meta analysis of SiS projects throughout FP6 and FP7

See Section IV Other Actions (not implemented through calls for proposals)

SiS.2013.4.0.0-3: Ex-post evaluation of SiS FP7

See Section IV Other Actions (not implemented through calls for proposals)

III. IMPLEMENTATION OF CALLS

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

CALL FICHE 1 – SCIENCE IN SOCIETY 2013

- Call identifier: FP7-SCIENCE-IN-SOCIETY-2013-1
- Date of publication²⁶: 10 July 2012
- Deadline²⁷: 16 January 2013 at 17.00, Brussels local time.
- Indicative budget: 51.7 million EUR²⁸ from the 2013 budget

The budget for this call is indicative. The final budget awarded to actions implemented through calls for proposals may vary:

- The final budget of the call 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.
- Topics called

Activity/ Area	Topics Called	Funding Schemes and additional eligibility criteria
ACTION LINE 1: A more dynamic governance of the science and society relationship		
ACTIVITY 5.1.1 Better understanding of the place of science and technology (S & T) in society (Indicative budget: EUR 10.5 million)		
<i>Area 5.1.1.1 Relationships between science, democracy and law</i>	<i>Topic SiS.2013.1.1.1-1: Production and use of a Training and Dissemination Toolkit on Responsible research and innovation</i> <i>One proposal is expected to be funded</i>	<i>Coordination and Support actions (Supporting Actions)</i> <i>The requested European Union contribution shall not exceed EUR 7 million.</i>
	<i>Topic SiS.2013.1.1.1-2:</i>	<i>Co-ordination and Support actions (Supporting Action).</i>

²⁶ The Director-General responsible for the call may publish it up to one month prior to or after the envisaged date of publication.

²⁷ The Director-General responsible may delay this deadline by up to two months.

²⁸ Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

	<p><i>Responsible Research and Innovation in industrial context</i></p> <p><i>One proposal is expected to be funded</i></p>	<p><i>The requested European Union contribution shall not exceed EUR 1.5 million.</i></p>
	<p><i>Topic SiS.2013.1.1.1-3: Coordination of Responsible Research and Innovation approaches in industrial contexts</i></p> <p><i>One proposal is expected to be funded</i></p>	<p><i>Co-ordination and Support actions (Coordinating Action).</i></p> <p><i>The requested European Union contribution shall not exceed EUR 1 million.</i></p>
	<p><i>Topic SiS.2013.1.1.1-6: Tools and instruments for a better societal engagement in "Horizon 2020"</i></p> <p><i>One proposal is expected to be funded</i></p>	<p><i>Collaborative Projects (Small or medium-scale focused research project)</i></p> <p><i>The requested European Union contribution shall not exceed EUR 1 million.</i></p>
<p>ACTIVITY 5.1.2 Broader engagement to anticipate and clarify political, societal and ethical issues (Indicative budget: EUR 24 million)</p>		
<p><i>SiS.2013.1.2-1: Mobilisation and Mutual Learning (MML) Action Plans: mainstreaming Science in Society actions in research</i></p> <p><i>It is expected to fund six proposals. It is expected to fund at least one proposal from each Specific Challenge</i></p>		<p><i>Coordination and Support Actions (Supporting Actions)</i></p> <p><i>The requested European Union contribution shall not exceed EUR 4 million per proposal.</i></p> <p><i>The proposal must clearly indicate which one of the six specific challenges is addressed.</i></p> <p><i>The consortium must consist of at least 10 independent legal entities established in at least 10 different EU Member States or Associated Countries.</i></p> <p><i>The consortium shall comprise at least one of each of the following types of partners: research performing or funding organisations, industry / businesses, policy makers, Civil Society Organisations.</i></p>

ACTIVITY 5.1.3 Strengthening and improving the European science system (Indicative budget EUR 3.5 million)		
Area 5.1.3.3 Encouraging the debate on information dissemination, including access to scientific results and the future of scientific publications, taking also into account measures to improve access by the public.	<p>Topic SiS.2013.1.3.3-1: Upstream support to the definition, development and implementation of open access strategies and policies and to their coordination in the European Research Area</p> <p>One proposal is expected to be funded</p>	<p>Co-ordination and Support actions (Coordinating Action).</p> <p>The requested European Union contribution shall not exceed EUR 2 million.</p>
	<p>SiS.2013.1.3.3-2: Downstream training on Open Access in the European Research Area</p> <p>One proposal is expected to be funded</p>	<p>Co-ordination and Support actions (Coordinating Action).</p> <p>The requested European Union contribution shall not exceed EUR 1.5 million.</p>
ACTION LINE 2: Strengthening potential, broadening horizons		
ACTIVITY 5.2.1 Gender and research (indicative budget: EUR 9.2 million)		
Area 5.2.1.1. Strengthening the role of women in scientific research and in scientific decision-making bodies	<p>Topic SiS.2013.2.1.1-1: Supporting changes in the organisation of research institutions to promote Gender Equality</p> <p>Up to 4 proposals are expected to be funded</p>	<p>Coordination and Support Actions (Supporting Actions)</p> <p>The requested EU contribution will not exceed EUR 2.3 million per proposal</p> <p>The EU contribution will not exceed 70% of the total estimated budget for each proposal.</p>
ACTIVITY 5.2.2 Young people and science (indicative budget: EUR 4.5 million)		
Area 5.2.2.1 Supporting formal and informal science education in schools as well as through science centres and museums and other relevant means.	<p>Topic SiS.2013.2.2.1-1 Raising youth awareness to Responsible Research and Innovation through Inquiry Based Science Education</p> <p>1 proposal is expected to be funded.</p>	<p>Coordination and Support Actions (Supporting Action).</p> <p>The requested European Union contribution shall not exceed EUR 2.5 million.</p> <p>For the purposes of this topic, the minimum participation condition for the Co-ordination and support</p>

		<i>action (supporting) is at least 10 independent legal entities, established in at least 10 different European Union Member States or Associated Countries.</i>
<i>Area 5.2.2.3 Research and coordination actions on new methods in science education</i>	<p><i>Topic SiS.2013.2.2.3-1: Research on the role of teaching methods and assessment methods in addressing low achievement in the field of mathematics, science and technology (MST)</i></p> <p><i>1 proposal is expected to be funded</i></p>	<p><i>Collaborative Projects (Small or medium-scale focused research project)</i></p> <p><i>The requested European Union contribution shall not exceed EUR 2 million.</i></p>
TOTAL: EUR 51.7million		

- **Eligibility criteria**

- The general eligibility criteria are set out in Annex 2 of 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.

Funding scheme	Minimum conditions
– Collaborative Projects	At least 3 independent legal entities, each of which is established in a MS or AC, and no 2 of which are established in the same MS or AC.
– Coordination and Support Actions (coordinating action)	At least 3 independent legal entities, each of which is established in a MS or AC, and no 2 of which are established in the same MS or AC.
– Coordination and Support Actions (supporting action)	At least 1 independent legal entity.

- 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.

- **Evaluation procedure:**

- The evaluation criteria and scoring scheme are set out in Annex 2 of the work programme.

For Collaborative Projects (Small or Medium Scale focused research projects) under topics:

- SiS.2013.1.1.1-6: Tools and instruments for a better societal engagement in "Horizon 2020";

- SiS.2013.2.2.3-1: Research on the role of teaching methods and assessment methods in addressing low achievement in the field of Mathematics, Science and Technology (MST);

the scientific and/or technological excellence evaluation criterion will include the following additional sub-criterion: *"appropriate comparative perspective in relation to the proposed research"*.

- 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 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).

- Experts will carry out the individual evaluation of proposals remotely.
- The procedure for prioritising proposals with equal scores is described below.
- The number of proposals that can be funded per topic is limited as indicated below.

1. A separate ranking list, based on evaluation scores, will be established for each of the indicative budgets as indicated in the table above. Proposals will be selected within each ranking list according to their ranked order, and provided that the proposal has a score above threshold, until the available budget is committed.

2. In Activity 5.1.2, Topic SiS.2013.1.2-1 Mobilisation and Mutual Learning (MML) Action Plans - mainstreaming Science in Society actions in research: the first six places on this list shall be given to the proposal with the highest score from each of the six Specific Challenges, provided that the proposal in question is scored above the threshold.

3. Activity 5.1.1- Better understanding of the place of Science and Technology (S & T) in society, contains four topics. A separate ranking list will be produced for each of these four topics.

4. Activity 5.1.3- Strengthening and improving the European science system contains two topics. A separate ranking list will be produced for each of these two topics.

5. Activity 5.2.2- Young people and Science contains two topics. A separate ranking list will be produced for each of these two topics.

6. In cases of equal score, the procedure described in Annex 2 will be followed. In cases of completely identical evaluation scores in all criteria, priority will be given to the proposal from the topic with the higher number of proposals submitted and evaluated above threshold.

7. A reserve list will also be established for each Activity ranking list: proposals with evaluation scores above threshold and for which budget is not immediately available (those ranked below the selection list) will be put in this reserve list. Within each reserve list proposals will also be ranked in strict order of score.

8. If funding is available after the selection of proposals for financing from each ranking list, further proposals will be selected across the different reserve lists on the basis of evaluation score obtained. In cases of equal score priority will be given to any proposal which obtained the highest score for that topic but which has not been financed because enough money did not remain under that topic. Following this, the procedure described in Annex 2 will be followed. In cases of completely identical evaluation scores in all criteria, priority will be given to the proposal from the topic with the higher number of proposals submitted and evaluated above threshold. The application of this process as regards the reserve list may mean that the number of financed proposals envisaged for a particular topic may be exceeded in certain cases

- **Indicative timetable:** Evaluations are expected to be completed in the month of April 2013. It is expected that the grant agreement negotiations for the shortlisted proposals will be open in June 2013.
- **Consortia agreements:** Participants are required to conclude a consortium agreement prior to grant agreement.
- **Large consortia:** Experience has shown that as the number of partners (beneficiaries indicated in part A of the proposal) in a proposal increases, often exceeding 20, the organisational aspects of the proposed work and strong management capabilities from the coordinating entity become critical factors in the likely success of the project. This aspect will be taken into account in particular under the second evaluation criteria "Quality and efficiency of the implementation and management". This applies especially to the following topics of the present Work Programme:
 - SiS.2013.1.2-1: Mobilisation and Mutual Learning (MML) Action Plans: mainstreaming Science in Society actions in research;
 - SiS.2012.2.2.1-1: Raising youth awareness to Responsible research and Innovation through Inquiry Based Science Education.
- **The forms of grants and maximum reimbursement rates** which will be offered are specified in Annex 3 to the Capacities work programme.

The actions proposed under the following topics of this Work Programme:

- SiS.2013.1.2-1: Mobilisation and Mutual Learning (MML) Action Plans: mainstreaming Science in Society actions in research;
- SiS.2013.2.1.1-1: Supporting changes in the organisation of research institutions to promote Gender Equality;
- SiS.2013.2.2.1-1: Raising youth awareness to Responsible Research and Innovation through Inquiry Based Science Education.

may bring together different stakeholder organisations as partners in a proposal with the objective of exploiting their networking capacities and facilities, such as European networks, groupings, partnerships, etc.

These stakeholder organisations may wish to involve some of their members directly in the planned activities in order to build on the existing cooperation structures and networks and in so doing these members will incur project related costs.

In order to facilitate the participation of such members who are seeking grant support only for their participation in certain project activities, the related expenses could be reimbursed in the form of a lump sum. Therefore, such reimbursements do not require the justification of real costs.

This reimbursement is limited in this work programme to a maximum of EUR 25 000 per member, per grant agreement. The maximum amount to be reimbursed in the form of a lump sum shall not exceed 15% per grant.

It shall cover all eligible expenses mentioned in the description of work related to European networking activities, such as travel and accommodation related to the attendance to certain project activities and/or exchange of good practices, and/or to activities foreseen in the project at national/local level (i.e. promotional activities, awareness campaign, dissemination activities, etc.).

The lump sum is reimbursed according to the upper funding limits described in Article II.16 of the grant agreement. The reimbursement rates apply also to lump sums.

Members of participating stakeholder organisations seeking to avail themselves of this option must be identified in part B of the submitted proposal. During the negotiation, such members will be specified in the grant agreement and its description of work, as well as in the tables of estimated budget breakdowns of the project.

Such members using this lump sum cannot receive any other form of grant support under the project. Funds will be paid proportionally on the basis of the approval of the periodic reports (including the final reports) and deliverables as foreseen in the grant agreement as well as on the basis of the performance of the specific members concerned.

- **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.. 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/Financial issues/Flat rates for daily allowances'.
- **Dissemination:** Grant agreements of projects financed under this call for proposals will include the special clause 39 on the "Open Access Pilot in FP7". Under this clause, beneficiaries are required to make their best efforts to ensure free access to peer-reviewed articles resulting from projects via an institutional or subject-based repository

The following special clause 40 will therefore be included in the grant agreement of each project selected for funding under topic SiS.2013.2.2.1-1 – Raising youth awareness to Responsible Research and Innovation through Inquiry Based Science Education and topic SiS.2013.2.2.3-1 - Research on the role of teaching methods and assessment methods in addressing low achievement in the field of Mathematics, Science and Technology (MST): "The Commission shall be authorised to publish any foreground disseminated by the consortium in whatever form and on or by whatever medium, in particular via a European level information provider on its behalf. To enhance the accessibility of this foreground for third parties, it may adapt such foreground in any manner, including by making translations thereof. Any third party shall be allowed to utilise this published foreground for free for non-commercial educational purposes. To ensure the above, the consortium, acting through the coordinator, shall upon dissemination of any foreground provide the

Commission with an electronic copy thereof and shall ensure that any necessary authorisations have been obtained and that it has not accepted legal obligations which could conflict with this clause".

CALL FICHE 2 FP7-ERANET-2013-RTD²⁹

Call title: *ERA-NET Call 2013*

- Call identifier: *FP7-ERANET-2013-RTD*
- Date of publication: 10 July 2012³⁰.
- Deadline: 28 February 2013, at 17.00.00, Brussels local time³¹.

Indicative budgets and Topics³²:

A total of EUR 61.1 million³³ is foreseen for this cross-thematic call, which will be allocated to the ERA-NET and ERA-NET Plus topics detailed in *Table 1* by the individual Themes in the Cooperation Work Programme and Parts in the Capacities Work Programme which are participating in the call.

Table 1 – Overview of the Actions in FP7-ERANET-2013 -RTD

Funding Scheme: Coordination and Support Actions (Coordinating Actions)

Challenge/Activity / Area	Topic identifier	TITLE	Indicative budget (EUR million)
FOOD SECURITY, SUSTAINABLE AGRICULTURE, MARINE AND MARITIME RESEARCH AND THE BIO-ECONOMY			
Socio-economic research and support to policies	KBBE.2013.1.4-01	Sustainable Forest Management and Multifunctional Forestry ERA-NET	2.0
	KBBE.2013.1.4-02	Integrated Pest Management (IPM) ERA-NET	2.0
	KBBE.2013.1.4-03	Mediterranean agriculture ERA-NET	2.0
	KBBE.2013.1.4-04	Information and Communication Technologies and robotics for sustainable agriculture ERA-NET	2.0

²⁹ The present call, which assembles topics from both the Cooperation and Capacities FP7 programmes, is published in Cooperation Annex 4 and Science in Society Work Programme. Description of the topics is under the relevant Themes/Part

³⁰ The Director-General responsible for the call may publish it up to one month prior to or after the envisaged date of publication.

³¹ The Director-General responsible for the call may delay this deadline by up to two months.

³² Under the condition that the draft budget for 2013 is adopted without modifications by the budget authority.

³³ Total indicative budget provided by the concerned Themes for ERA-NET actions. Following the evaluation of proposals, the final total budget of the call, as well the individual sub-budgets independently allocated by each Theme, may vary by up to 10% of the values initially foreseen.

	KBBE.2013.1.4-05	Climate smart Agriculture: adaptation of agricultural systems in Europe ERA-NET Plus	4.0
	KBBE.2013.1.4-06	Innovative solutions in organic food and agriculture for next generation of food systems seeking synergies between rural development, natural resource management and food security and quality ERA-NET Plus	3.0
Marine and fresh-water biotechnology	KBBE.2013.3.2-01	Marine biotechnology ERA-NET	2.0
LEADERSHIP IN ENABLING AND INDUSTRIAL TECHNOLOGIES			
Integration	NMP.2013.4.0-7	ERA-NET to support Innovation in the NMP thematic area	1.5
SECURE, CLEAN AND EFFICIENT ENERGY			
Energy: Horizontal Programme Actions	ENERGY.2013.10.1-1	ERA-NET Plus – Bioenergy II: Demonstrations of the European Industrial Bioenergy Initiative	20.0
	ENERGY.2013.10.1-2	ERA-NET Plus – European wind resources assessment	5.0
	ENERGY.2013.10.1-3	Supporting the coordination of national research activities of Member States and Associated States in the field of OCEAN energy (ERA-NET)	2.0
PROTECTING OUR ENVIRONMENT			
Mobilising environment knowledge for policy, industry and society	ENV.2013.6.5-6	ERA-NET Plus – Development of new methodologies, technologies and products for the assessment, protection and management of historical and modern artefacts, buildings and sites	4.0
SMART, GREEN AND INTEGRATED TRANSPORT			
Eco-Innovation	SST.2013.1-3	ERA-NET Plus - Advanced systems, materials and techniques for next generation infrastructure	4.0
INCLUSIVE, INNOVATIVE AND SECURE SOCIETIES			
Socio-economic Sciences and	SSH.2013.2.1-4	ERA-NET Plus on the future of the welfare state	6.0

Humanities			
Gender and Research	SiS.2013.2.1.1-2 ³⁴	ERA-NET on the promotion of gender equality in research institutions	1.6

General Eligibility Conditions

The general eligibility criteria are set out in Annex 2 to this work programme, and in the guide for applicants. 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

Additional Eligibility Criteria for ERA-NET actions

The minimum number of participants in an ERA-NET action is **3 independent legal entities** which finance or manage publicly funded national or regional programmes. **Each of these shall be established in a different Member State or Associated Country.**

Partners for ERA-NET actions eligible to satisfy the above conditions are:

- Programme owners: typically national ministries/regional authorities responsible for defining, financing or managing research programmes carried out at national or regional level.
- Programme 'managers' (such as research councils or funding agencies) or other national or regional organisations that implement research programmes under the supervision of the programme owners.
- Programme owners (typically national ministries/regional authorities) which do not have a running or fully fledged research programme at the moment of submitting an ERA-NET proposal, but which are planning, and have committed, to set up such a programme, are also eligible if their participation is well justified and adds value to the overall programme coordination.

Sole participants (as referred to in Article 10 of the Rules for Participation) are eligible if the above-mentioned minimum conditions are satisfied by the legal entities forming together a sole participant. A sole participant shall explicitly indicate which of its 'members' are either programme owners or programme managers in the proposed action, and indicate for these members the respective national/regional programmes which are at the disposal of the proposed ERA-NET action.

Provided that the proposal complies with the minimum number of participants required in an ERA-NET action as described above, the following legal entities are eligible:

- a) Programme owners and programme managers not established in a Member State or Associated Country;
- b) Private legal entities (e.g. charities) which own or manage research programmes, if their participation is well justified and adds value to the overall programme coordination.

³⁴ A dedicated additional eligibility criterion (3 years minimum duration of the action) is applicable to topic SiS.2013.2.1.1-2.

For topic SiS.2013.2.1.1-2, the minimum duration of the action shall be 3 years

Additional Eligibility criteria for ERA-NET Plus actions

- The minimum number of participants in an ERA-NET Plus action is **5 independent legal entities** which finance or manage publicly funded national or regional programmes. **Each of these shall be established in a different Member State or Associated Country.**

Partners for ERA-NET actions eligible to satisfy the above conditions are:

- Programme owners: typically national ministries/regional authorities responsible for defining, financing or managing research programmes carried out at national or regional level.
- Programme 'managers' (such as research councils or funding agencies) or other national or regional organisations that implement research programmes under the supervision of the programme owners.

Sole participants (as referred to in Article 10 of the Rules for Participation) are eligible if the above-mentioned minimum conditions are satisfied by the legal entities forming together a sole participant. A sole participant shall explicitly indicate which of its 'members' are either programme owners or programme managers in the proposed action, and indicate for these members the respective national/regional programmes which are at the disposal of the proposed ERA-NET Plus action.

- Provided that the proposal complies with the minimum number of participants required in an ERA-NET Plus action as described above, the following legal entities are eligible:
 - a) Programme owners and programme managers not established in a Member State or Associated Country;
 - b) Private legal entities (e.g. charities) which own or manage research programmes, if their participation is well justified and adds value to the overall programme coordination.
- A single joint call shall be planned with a clear financial commitment from the participating national or regional programmes³⁵.
- The total planned budget of ***the joint call shall have a minimum financial volume of EUR 5 million, EU contribution included.***
- The joint call organised by the national programmes shall establish a set of common general evaluation/selection criteria, such as excellence and European added value.
- A common peer review mechanism for evaluating the proposals submitted to the joint call shall be planned.

³⁵ Proposals must demonstrate that national research programmes are committed to support the call. Selected proposals will have to provide evidence that a commitment has been made by the relevant research programmes.

- Each project financed out of the joint call shall be trans-national (i.e. minimum of two partners from different Member States or Associated Countries).
- Detailed rules for participation in the funded trans-national projects shall be defined by the call organisers themselves (i.e. participating national or regional programmes).

Evaluation Criteria for ERA-NET and ERA-NET Plus proposals

For the evaluation of ERA-NET and ERA-NET Plus proposals, the general criteria and thresholds applicable to Coordination and Support Actions given in Annex 2, are complemented as follows:

1. Scientific and/or technological excellence - Quality of coordination (Threshold 3/5)

Level of ambition in the collaboration and commitment of the participants in the proposed ERA-NET / ERA-NET Plus action to coordinate their national/regional research programmes.

2. Quality and efficiency of the implementation (Threshold 3/5) – no additional criteria

3. Potential impact (Threshold 3/5)

Contribution to establishing and strengthening a durable cooperation between the partners and their national/regional research programmes.

A reserve list may be produced of proposals that pass the evaluation, but fall below the available budget.

- Proposal format:
 - Applicants shall 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 will instruct the experts to disregard any pages exceeding these limits. The minimum font size allowed is 11 points. The page size is A4, and all margins (top, bottom, left, right) shall be at least 15 mm (not including any footers or headers).
- Evaluation procedure:
 - The evaluation will follow a single stage procedure.
 - Proposals will not be evaluated anonymously.
 - Proposals may be evaluated remotely.
- Indicative timetable:
 - Evaluation in April 2013.
 - Opening of negotiations in June 2013.
 - Selections from October 2013.

- Grant agreements from December 2013.
- Consortia agreements:
 - Consortia Agreements are recommended.

The forms of grant and maximum reimbursement rates which will be offered are specified in Annex 3 to the Cooperation work programme. This call provides 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, please refer to the relevant Guide for Applicants. 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'.

***** End of Call Fiche FP7-ERANET-2013-RTD *****

***** Appendix to Call Fiche FP7-ERANET-2013-RTD *****

For information purposes: overview of **ERA-NET topics**, open for other Themes in Cooperation and Parts in Capacities, **which are not included** in the **cross-thematic ERA-NET Call 2013** described in the previous section.

Challenge/Activity /Area	Topic identifier	TITLE	Indicative budget (EUR million)
INNOVATION IN INFORMATION TECNOLOGIES			
Alternative Paths to Components and Systems	ICT-2013.3.2 ³⁶	Photonics ERA-NET Plus	4.0
Future and Emerging Technologies (FET)	ICT-2013.9.9 ³⁷	FET Flagships ERA-NET	2.0
INTERNATIONAL COOPERATION			
Supporting the coordination of national and regional policies and activities of Member States and Associated countries in the field of international cooperation	FP7-INCO-2013-3.1 ³⁸	ERA-NET / ERA-NET Plus supporting cooperation with: - India - Latin America and Caribbean countries - Mediterranean Partner countries - Russia	10.0

***** End of Appendix to Call Fiche FP7-ERANET-2013-RTD *****

³⁶ In call FP7-ICT-2013-11 with planned publication date of 18/9/2012

³⁷ In call FP7-ICT-2013-11 with planned publication date of 18/9/2012

³⁸ In call FP7-INCO-2013-3 with planned publication date of 10/7/2012

IV OTHER ACTIONS (not implemented through calls for proposals)

1 Coordination and Support Actions: Grants to Identified Beneficiaries³⁹

SiS.2013.2.1.1-3: Conference on structural change promoting gender equality in research organisations (LT Presidency) (See Area 5.2.1.1)

Legal entity: University of Vilnius, Universiteto G 3, LT-01513 Vilnius, Lithuania

Topic description: During the Lithuanian EU Presidency in 2013, a Conference on structural change in research institutions to promote gender equality is planned. The conference aims to enable and enhance the dialogue and knowledge sharing between academia, research institutions, research funding agencies, researchers, policy-makers and society.

Maximum EU contribution: EUR 300 000. The Commission shall finance up to 75% of the total eligible costs for this action⁴⁰.

Expected Impact: The conference will raise awareness among research institutions, funding agencies, researchers and society at large on best practices to modernise research institutions and promote gender equality. It will give inputs to on-going initiatives relating to gender equality in the European Research Area (ERA) and in Horizon 2020.

SiS.2013.3.0.5-1: European Union Contest for Young Scientists (EUCYS) 2013 (See Area 5.3.0.5)

Legal Entity: The Academy of Sciences of the Czech Republic, Narodni 3, 117 20 Prague 1, the Czech Republic.

Topic description: The European Union Contest for Young Scientists brings together first prize winners of national contests for pre-university school science projects to compete for prizes and awards. The EU Contest takes place each year in a different location. This Contest provides additional stimulus to young people who have already demonstrated that they are applying science to solve problems. Many go on to become successful scientists. It attracts a considerable level of co-funding in the host country, and high levels of international media attention. International research organisations and similar bodies donate many of the non-monetary prizes.

Expected Impact: The contest will bring a greater awareness of and interest in science and research among school students.

Maximum EU contribution: EUR 600 000. The Commission shall finance up to 75% of the total eligible costs for this action⁴¹.

³⁹ In compliance with Article 14(a) of the Rules of Participation.

⁴⁰ In accordance with article 33 of the EU FP7 rules for participation.

⁴¹ In accordance with article 33 of the EU FP7 rules for participation.

SiS.2013.3.0.6-1: Conference under the Irish Presidency (1st semester 2013) "The role of the media in Responsible Research and Innovation"

Legal entity: Atomium Culture A.I.S.B.L, 4, rue Louis Hymans, 1050 Brussels, Belgium.

Topic description: In 2012, the Danish Presidency hosted the Science in Dialogue Conference on participatory processes and frameworks enabling and enhancing the dialogue and interaction between academia and society. The conference aimed at building a European model for Responsible Research and Innovation. After the 2012 ESOF Conference in Dublin, further contacts with Irish authorities will take place in order to prepare a Presidency Conference exploring another specific area of Responsible Research and Innovation: "The role of the media in Responsible Research and Innovation", including a focus on the use of social media. This Conference will be organised with the support of Trinity College Dublin and the Irish Times.

The proposed lines of reflection for the Irish Presidency Conference will be:

- Media reporting on science and technology issues;
- Interfaces between journalists and research;
- Media, scientific information and policy making;
- Interacting with the readership: Social media vs. classical media (paper, TV, radio);
- Media, crisis communication and scientific information.

The conference will facilitate knowledge-sharing between the participants (e.g. researchers, business, journalists, civil society, policy-makers). It will be participative and very interactive, giving the possibility to citizens across Europe to testify and learn from the conference.

A specific objective: Citizens' contributions to shaping Horizon 2020

The Irish Presidency Conference will be instrumental in preparing the first 2014 Work Programmes of Horizon 2020 (notably the 'Engagement' part of the challenge 'Inclusive, Innovative and Secure Societies' in the Commission's proposal (former SiS)). Workshops will be organised, mobilising and engaging citizens. These workshops will be participatory in nature and take advantage of the various social media. Their outcomes will be a list of research and innovation themes that will feed the first Horizon 2020 calls.

Maximum EU contribution: EUR 400 000. The Commission shall finance up to 75% of the total eligible costs for this action⁴².

Expected Impact: The conference will start a structured European reflection on the role and responsibilities of the media, at the science and society interface. It will give inputs for shaping the European Research Area and will prepare all the participants to the Horizon 2020 calls for proposals. It will raise the quality standards of responsible reporting on science, technology, Research and Innovation in the media.

⁴² In accordance with article 33 of the EU FP7 rules for participation.

2- Coordination and Support Actions: Expert Group Contracts

External expertise

The use of appointed independent experts for the evaluation of project proposals and, where appropriate, for the reviewing of running projects.

Indicative budget: *EUR 0.876 million*

Funding scheme: *Coordination and support actions - Expert contracts*

3- Coordination and Support Actions: Public Procurement

SiS.2013-1.1.1-4: Eurobarometer on the perception of Responsible Research and Innovation (See Area 5.1.1.1)

Topic description: *Europe 2020* is Europe's strategy for smart, sustainable and inclusive economic growth. It has identified innovation as key to achieving this growth, implemented via the *Innovation Union* strategy that encompasses over 30 actions. For delivering on the Europe 2020 strategy, innovation has to have the support from all stakeholders in Europe, notably its citizens. The last Eurobarometer shows that Europeans do not reject the impetus towards innovation, but are in favour of appropriate regulation to balance the market, and wish to be involved in decisions about new technologies when social values are at stake. To achieve economic growth that is truly smart, sustainable and inclusive, meriting continued support from European citizens, research and innovation obviously need to be carried out in responsible ways. But how do citizens in Europe perceive and define Responsible Research and Innovation (RRI), and via which governance standards and instruments can RRI be ensured? To further explore these questions, a Eurobarometer on RRI will be launched.. The Eurobarometer shall identify more precisely the elements and conditions for RRI that citizens in Europe align with, and what types of governance frameworks citizens expect for RRI at the various levels (European, national, institutional). The Eurobarometer will deliver quantitative data on public opinion regarding issues, conditions and governance frameworks for RRI in the individual EU Member States, as well as aggregated at EU level.

Maximum indicative budget: EUR 1 million.

Expected impact: Better knowledge of the public perception of issues and responsibilities regarding research and innovation.

SiS.2013.1.1.1-5: Development of Impact Assessment and ex-ante evaluation methodologies using agent-based simulation including notably the role of civil society agents in collaborative Responsible Research Innovation (See Area 5.1.1.1)

Topic description: The tender will produce a tool allowing ex-ante Impact Assessment in Responsible Research and Innovation fields (education, gender, participation, ethics, open access, governance) based on past FP6-S&S and FP7-SiS activities. It will include the development of a full set of Responsible Research and Innovation impact indicators.

The study will build on previous work commissioned by DG INFSO (agent-based INFSO SKIN⁴³) which investigated the structuring effects of Framework Programme (FP) ICT research and showed that over time FPs have facilitated more intense and inclusive collaborations, and were effective in bringing together different types of actors and integrating European players into global networks. The work commissioned by DG INFSO allows ex-ante network analysis to simulate the impacts of policy interventions in the preparation of future EU-level RTD.

⁴³

Study

DG

INFSO:

http://ec.europa.eu/dgs/information_society/evaluation/studies/2010/index_smart25_en.htm

SKIN information: Simulating Knowledge Dynamics in Innovation Networks:

<http://cress.soc.surrey.ac.uk/SKIN/>

The study will develop a sound theoretical and conceptual framework and a methodology with a view to simulating (a-priori) impacts of future Responsible Research and Innovation policy interventions including notably the role of civil society agents in collaborative Responsible Research and Innovation. It will ease preparations relating to operational developments of Responsible Research and Innovation under the forthcoming Horizon 2020. The study will simulate different 'scenarios' of policy intervention and provide alternatives for the best combination of, among other elements, funding levels, instrument types and participant configurations, to aid knowledge production and applications in Responsible Research and Innovation.

Maximum indicative budget: EUR 1 million.

Expected impact: Better measurement of impacts of Responsible Research and Innovation activities; better forecast of potential impacts of RRI activities and policies on society; Availability of a set of Responsible Research and Innovation impact indicators for assessing the impact of RRI activities (including for Horizon 2020).

SiS.2013.2.1.3-1: Monitoring of gender equality in Research and Innovation (development of indicators): SHE FIGURES 2015 (See Area 5.2.1.3)

Topic description: Since 2003 the European Commission has been publishing comprehensive statistics on the participation of women in science through the SHE FIGURES publication. Following the experience of the three published editions and the forthcoming SHE FIGURES 2012, it is now time for further evolution. Taking stock of the work done so far, it is expected to enhance the coverage, frequency and comparability of existing data, with particular reference to organisational elements, seniority grades, boards' composition and funds. In addition, two of the core tasks to be performed will consist of the identification and data collection of potential new indicators with particular focus on the themes of structural change, gender and innovation, pay gap and work-life balance. Some of the new indicators identified will be used in the SHE FIGURES 2015 publication, in addition to the standard body of indicators.

The main deliverables will thus be the SHE FIGURES 2015 publication, adding to the selection of commonly accepted definitions for the main indicators relating to Human Resources in Research and Development activities, and the new elements of the SHE FIGURES 2012, a further collection of new indicators, based on commonly accepted definitions and with clearly specified coverage.

Maximum EU contribution: EUR 500 000.

Expected impact: This publication is a Europe-wide statistical survey of science professionals, including graduates and researchers, carried out to better understand the factors influencing women's careers in Research and Innovation sectors. It is extensively exploited in European comparison and is employed by many policy-makers, as well as stakeholders, as a benchmark.

SiS-2013.4.0.0-1: Monitoring the evolution of benefits of Responsible Research and Innovation (See Area 5.4.0.0)

Topic description: The topic aims to set up a monitoring system on the benefits of Responsible Research and Innovation. The tenderer will be asked to identify and define a number of benefits (output, outcomes, and impact in economic, social, environmental and democratic terms) of Responsible Research and Innovation at micro and macro levels, choose

a set of quantitative and qualitative indicators and develop a methodology and the related tools to monitor them.

Maximum indicative budget EUR 3 million

Expected impact: It is expected to set up a monitoring system on Responsible Research and Innovation, in view of Horizon 2020, in order to have a better understanding of the benefits of RRI and an evidence-based view of their evolution. This will contribute to the future development of the Responsible Research and Innovation dimension in the European Research and Innovation policy.

SiS.2013.4.0.0-2: Stock-taking and Meta analysis of Science in Society projects throughout FP6 and FP7 (See Area 5.4.0.0)

Topic description: This topic comprises a study to be carried out in 2013 and 2014 including stock-taking and meta analysis of all the projects funded under the 6th Framework Programme (Science and Society) and the Science in Society part of the 'Capacities' Specific Programme, funded to date, under the 7th Framework Programme. The study will be based on previous ex-ante and ex-post evaluations, on the material published by the projects and on direct interviews with coordinators and participants in the projects. This topic aims to identify lessons taken from all the FP6 and FP7 Science in Society projects, as well as to determine the most remarkable tools and instruments that contribute to recommendations for the future.

Maximum indicative budget: EUR 2 million.

Expected impact: The study will give a complete picture of the activities funded by the Commission in these fields. It will provide key information on policy and instruments developments at various levels.

SiS.2013.4.0.0-3: Ex-post evaluation of Science in Society in FP7 (See Area 5.4.0.0)

Topic description: In view of the forthcoming FP7 ex post evaluation, which, according to article 7.3 in the FP7 decision (EC), shall be conducted by the Commission two years following the completion of the Framework Programme, an independent study will be carried out on the Science and Society programme. The study will provide an assessment of the rationale, implementation and achievements of the SiS programme within FP7. The findings and recommendations will serve as a solid evidence base on Science and Society for the FP7 ex post evaluation.

Maximum indicative budget: EUR 400 000.

Expected impact: The evaluation exercise will feed into the reflection on the development of the SiS dimension in the implementation of Horizon 2020 and the future research and innovation policy.

5- Budget for other actions not implemented through calls for proposals

TABLE 1: Coordination and Support Actions: Grants to Identified Beneficiaries	
Topic	Indicative EU funding⁴⁴ (EUR million)
SiS.2013.2.1.1-3: Conference on structural change to promote gender equality in research organisations (LT Presidency)	0.30
SiS.2013.3.0.5-1: European Union Contest for Young Scientists (EUCYS) 2013	0.60
SiS.2013.3.0.6-1: SiS.2013.3.0.6-1: Conference under the Irish Presidency (1st semester 2013) "The role of the media in Responsible Research and Innovation"	0.40
SUBTOTAL	1.30

TABLE 2: Coordination and Support Actions: Experts Group Contracts		
Topic	Indicative timing	Indicative EU funding (EUR million)
SUBTOTAL		-

TABLE 3: Coordination and Support Actions: Public Procurement		
Topic	Indicative timing	Indicative EU funding⁴⁵ (EUR million)
SiS.2013-1.1.1-4: Eurobarometer on the perception of Responsible Research and Innovation	4 th Quarter 2013	1.00
SiS.2013.1.1.1-5: Development of Impact Assessment and ex-ante evaluation methodologies using agent-based simulation including notably the role of civil society agents in collaborative Responsible Research and Innovation	4 th Quarter 2013	1.00
SiS.2013.2.1.3-1: Monitoring of gender equality in research and innovation (development of indicators): SHE FIGURES 2015	4 th Quarter 2013	0.50

⁴⁴ Under the condition that the draft budget for 2013 is adopted without modifications by the budgetary authority.

⁴⁵ Under the condition that the draft budget for 2013 is adopted without modifications by the budgetary authority.

SiS-2013.4.0.0-1: Monitoring the evolution of benefits of Responsible Research and Innovation	4 th Quarter 2013	3.00
SiS.2013.4.0.0-2: Meta analysis of Science in Society projects throughout FP6 and FP7	4 th Quarter 2013	2.00
SiS.2013.4.0.0-3: Ex-post evaluation of Science in Society in FP7	4 th Quarter 2013	0.40
SUBTOTAL		7.90

V BUDGET

Part 5 – Indicative budget

Activities	Budget 2013 ⁴⁶ EUR million
<ul style="list-style-type: none">• Call FP7-SCIENCE-IN-SOCIETY-2013-1• Call FP7-ERANET 2013-RTD	51.7 1.6
Other actions: <ul style="list-style-type: none">• Evaluations• Actions implemented through public procurements, expert groups and grants to identified beneficiaries	0.876 9.2
Estimated total budget	63.376

All budgetary figures given in this work programme are indicative. The final budgets may vary following the evaluation of proposals.

The final budget awarded to actions implemented through calls for proposals may vary:

- The total budget of the call 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.

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.

⁴⁶ Under the condition that the draft budget for 2013 is adopted without modifications by the budget authority.

WORK PROGRAMME 2013

CAPACITIES

PART 6

SUPPORT FOR THE COHERENT DEVELOPMENT OF RESEARCH POLICIES

European Commission C (2012) 4526 of 09 July 2012

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Objective

Enhancing the effectiveness and coherence of national and European Union research policies and their articulation with other policies, improving the impact of public research and its links with industry, and strengthening public support and its leverage effect on investment by private actors.

I CONTEXT

Political landscape

Against the backdrop of the current economic situation and increased global competition, the Union has defined a strategy to support growth and job creation, Europe 2020¹. The Innovation Union Flagship initiative supports this strategy through specific commitments. Research and innovation are key drivers of competitiveness, jobs, sustainable growth and social progress.

The Coherent Development of Research Policies (CDRP) work programme 2013 aligns with, and contributes towards, the objectives of Europe 2020, the Innovation Union Flagship, and other EU policies. There is a determined focus on fostering new ideas, supporting world class teams tackling significant societal challenges, and on ensuring that the fruits of our investments can be properly exploited.

In this way the work programme provides for a smooth transition towards the new research and innovation programme for 2014-2020, Horizon 2020².

Approach for 2013

A successful Europe 2020 strategy needs structural reforms, backed up by a transparent and clear monitoring of progress. CDRP supports in particular the development of evidence (e.g. economic analyses), tools (e.g. policy monitoring and indicators) and processes (e.g. mutual learning between Member States) that help policymakers develop and implement coherent and effective Research and Innovation (R&I) policies.

In line with the European Council conclusions of 2 March 2012³, this work programme focuses on a limited number of key strategic orientations in order to make the bridge with Horizon 2020 which consist of: an *integrated approach for research and innovation policy* at regional, national and EU level, *the roll-out of the European Research Area (ERA) Framework*, and the *creation of a single market for research and innovation* with a special attention given to *tackling obstacles* to the development of *fast-growing innovative firms, in particular SMEs*.

In support of these key strategic orientations, the work programme is structured under the following three blocks:

¹ <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2011:0808:FIN:en:PDF>

² <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2011:0808:FIN:en:PDF>

³ <http://europa.eu/rapid/pressReleasesAction.do?reference=MEMO/12/153&format=HTML&aged=0&language=EN&guiLanguage=en>

1. **Activity A** - comprising actions aimed at **providing evidence-base and monitoring of R&I policies and supporting policy coordination** to tackle *societal challenges* by increasing synergies and consistency at the EU level.

Emphasis is put on linking the performance of the EU and national R&I systems to the wider budgetary and economic context and the preparation of National Reform Programmes, taking into account the need to pursue smart fiscal consolidation and identify ways for R&I to better contribute to growth. Actions under this block intend also to pave the way for the roll-out of the future Policy Support Facility envisaged to be set up under the proposed Horizon 2020.

2. **Activity B** - comprising actions aimed at **supporting a single market for R&I and delivering the ERA Framework** with a focus on topics underpinning policies that foster *excellent science*, such as quality of research training, mobility and career development for researchers.
3. **Activity C** - (complementary to the Competitiveness and Innovation Programme) comprising actions aimed at analysing how **to improve the business environment and foster European partnerships in R&I** in view of unleashing the EU's innovation potential, leveraging private investment and fostering European competitiveness. Actions under this block intend to analyse the ways to improve the overall framework conditions for innovation, tackle the specific barriers preventing the growth of innovative firms, highlight excellence in innovation through the means of awards and support initiatives bringing innovative solutions to society.

All the actions under these three blocks correspond to specific Innovation Union commitments⁴.

Innovation dimension of the activities and bridging towards Horizon 2020:

This work programme addresses **specific innovation-related topics** such as social innovation, public sector innovation, standard setting, public procurement etc. which have not yet been sufficiently tackled in the previous CDRP work programmes. All the three blocks comprise actions that aspire to contribute to the three key pillars of Horizon 2020. In addition, it aims at exploring new forms of innovations which may be further developed and implemented through Horizon 2020.

➤ SME relevant research

Actions in the third block (Activity C) include measures to analyse the various existing national support structures to fast growing innovative firms, in particular SMEs.

⁴ <http://i3s.ec.europa.eu/commitments.html>

➤ Dissemination actions

The results of the actions developed under this part of the work programme are disseminated through:

- The new comprehensive and user-friendly website on Innovation Union; http://ec.europa.eu/research/innovation-union/index_en.cfm?pg=intro.
The Innovation Union website acts as the portal to provide information on all activities related to the Innovation Union such as ERA, expert groups etc.
- The dedicated Innovation Union Information and Intelligence System which is the European Commission platform for all Innovation Union stakeholders.
It provides easy access to updated, comprehensive and comparable information on the nature and implementation of all the 34 Innovation Union Commitments; <http://i3s.ec.europa.eu/home.html>
- The ERA website http://ec.europa.eu/research/era/index_en.htm
- The ERAWATCH website, linked to the Innovation Union website, provides information on European, national and regional research systems, policies, and programmes in the EU and beyond <http://erawatch.jrc.ec.europa.eu/>

Results are discussed, validated and disseminated through success stories, case studies etc. in workshops and conferences, as well as through publications of reports and studies. They are discussed in the European Research Area Committee (ERAC) and specific policy forums, such as the Steering Group on Human Resources and Mobility, the Strategic Forum for International Cooperation or the European Strategy Forum for Research Infrastructures.

In 2014, the second 'Innovation Convention' will be organised, as well as supporting events under the EU presidencies. Moreover, in order to better associate stakeholders to EU research policy development and in particular render results more relevant to interested stakeholders, the development of an ERA stakeholders' forum is planned to be launched in 2013 under this work programme.

➤ Overall expected impact

CDRP activities contribute to the realisation of the political guidelines of the Commission: to combine European research efforts to overcome fragmentation and achieve higher coherence and synergies of research and innovation policies between the EU, national and regional levels and with other policies (notably employment, education, industrial and regional), in order to collectively tackle societal challenges, to achieve world excellence in research, to increase innovation by equipping all sectors of our economy to be more competitive, and to attract world class researchers to the EU, and making thus the Innovation Union a reality (including ERA).

International Cooperation

The development of an international strategy for Science and Technology (S&T) cooperation with Third Countries is mainly supported through another part of the 'Capacities' specific programme. This work programme will implement two specific studies; one to better identify the ways third countries provide State support in S&T domains and the other focusing on a comparative analysis of growth enhancing measures in Member States, Associated Countries and some selected Third Countries.

Modalities of implementation

This work programme will be implemented through Coordination and Support Actions via calls for proposals, expert groups, grant to identified beneficiaries, public procurements, and prizes.

II CONTENT OF CALLS

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

1. Activity: B. Supporting a single market for R&I and delivering the ERA Framework

Area: *B1. Implementation of the ERA Framework*

Developing an open and competitive ERA is at the core of the research and innovation agenda of the Commission, as defined in the Innovation Union flagship⁵.

The main premise of ERA is to increase research quality and impact, as well as to raise the attractiveness of the EU as a research location, by exploiting cross-border synergies. This would help to realise research critical mass and economies of scale unattainable at national level and to overcome deficiencies and inefficiencies arising from fragmentation, and duplication in R&D activities, and from a lack of policy coherence and coordination at and between regional, national and European level. Tackling these depends on how much high-level political/ministerial commitment is matched by concerted action and effective partnership between the Member States, the Commission and the research stakeholder organisations as well as concrete research initiatives leading to substantial progress and improvements in research quality, impact and funding efficiency.

Title of topic: FP7-CDRP-2013-STAKEHOLDERS

Description of topic:

The objective of this topic is twofold: *first*, to involve European umbrella research stakeholder organisations in ERA policy-making and in the implementation process through a higher commitment and reinforced ERA partnership approach; *second*, to gather evidence on the state of advancement on the various ERA dimensions in participating members of the European umbrella research stakeholder organisations.

European umbrella research stakeholder organisations, which represent most of the research funding and performing organisations, have so far only been indirectly and independently involved in ERA policy decision making. The proposal(s) would support networking between them as well as the development and implementation of a research stakeholder's platform.

Proposal(s) could address either one or both of the objectives. It is expected that the topic funds either one project covering both objectives, or two projects covering the objectives separately.

⁵ http://ec.europa.eu/research/innovation-union/pdf/innovation-union-communication_en.pdf

To achieve the *1st objective*, the project(s) is/are expected to deliver:

- Common strategies and joint agendas for action between participants in European umbrella research stakeholder organisations;
- A set of indications to monitor progress as well as identify gaps to be addressed by ERA policy;
- Common interface or portal with relevant tools that enhance interaction of the stakeholder network, including exchange of information and best practices;
- A set of conditions for the sustainability of the stakeholder platform(s) created by the project(s).

Proposals addressing the *1st objective* are also expected to consider including the following activities:

- Organisation of working level meetings to discuss and develop common research objectives and agendas, identification of key principles in contribution to and implementing the ERA policy agenda, and setting-up monitoring tools to evaluate the progress made in the ERA activities and start implementing it from 2014 on
- Organising an annual conference of major ERA stakeholders
- Other activities essential to the preparation, implementation and management of the platform, the working groups and the conference.

To achieve the *2nd objective*, the project(s) is/are expected to deliver:

- An assessment of current measures to promote ERA implemented so far by research organisations represented by European umbrella research stakeholder organisations
- A long-term evaluation system to monitor future progress to be made by stakeholder organisations involved in implementing ERA policy initiatives (of relevance to them), beyond 2014.

Proposal(s) addressing the second objective are expected to include at least a representative survey of research funding and research performing organisations represented by European research stakeholder umbrella organisations.

It is of utmost importance that major recognised European research stakeholder umbrella organisations are deeply involved in the project, representing the interests of main stakeholders in the area of EU Research policy (researchers, research infrastructures, research performing or research funding organisations, industry and research users). Flexibility in the approach would ensure that the variability in competences and remit of the different specific stakeholder organisations are catered for in the project.

Expected impact:

This action will further enhance the ERA partnership and the role that European umbrella research stakeholders organisations will play in delivering the ERA policy. Moreover, it will help understanding the current attention paid to ERA in participating institutions and setting up a monitoring system operational in 2014, which will support policy decision making. Furthermore, stakeholders would further assert their commitment to undertake a set of actions to promote ERA such as joint transnational coordinated bottom-up and top-down calls and research agendas, transnational peer reviewed evaluation systems, co-operation with third countries, open recruitment, portability of grants, gender action plans, open access to scientific publications and data, etc.

2. Activity: C. Improving business environment and European partnerships in R&I

Area: *C1. Support to the development, implementation and evaluation of initiatives aimed at improving the business environment, enhancing economic growth*

The activity includes support for the coordination and networking of incubators for social innovation. Social innovation can be defined as a new product, service or model that simultaneously meets social needs (more effectively than alternatives) and creates new social relationships or collaborations. Social innovations are not only important for the specific new solutions to societal needs, but can furthermore impact on society's capacity to innovate.

In order to realise this potential, intermediaries, networks and other infrastructures are needed across Europe, similar to those existing for business innovations but adapted to social innovations. Complementary to the actions linked to the Social Innovation Europe Initiative⁶ and those supported by the European Social Fund, this topic supports research and innovation partnerships which link civil society with public and private organisations across Europe, in particular through the coordination and the implementation of common actions within a transnational network of incubators for social innovation.

Title of topic: FP7-CDRP-2013-INCUBATORS Support to trans-national network of incubators for social innovation

Description of topic:

Incubators can accelerate the growth of small innovative businesses (for profit and non-profit) and, in the case of social innovation, enable experiments that are small and locally successful to be applied in other places across Europe, spreading good ideas and innovations. The action will provide support for up to two transnational networks of incubators to facilitate the scaling up of social innovations from their local communities to higher levels across Europe.

A broad definition of "incubators for social innovation" is applied, including business clusters and networks, social innovation parks, universities, technological institutes, private research institutions and bodies. Incubators for social innovation may work in a similar manner to technology incubators, by bringing together the resources, skills, and expertise needed to assist entrepreneurs and innovators, including from the public sector, seeking to build a social enterprise or to address a societal need.

⁶ <http://www.socialinnovationeurope.eu/>

Scope of the action

The network (or networks) will:

- a) assess and select social innovations successful at local level;
- b) ensure the provision of the professional services needed to scale up these social innovations, notably legal and financial advice and business coaching;
- c) implement the necessary activities to support the scaling up of the selected social innovations across Europe.

In addition, the network(s) could provide further services, such as dissemination events (e.g. success stories) and broad stakeholder collaboration (e.g. intensifying links between social and other businesses).

A transnational network supported by this call is expected to scale up more than 300 social innovations. The partners of the network(s) could be any type of organisations such as business networks, technology parks, universities or other science and research bodies with experience in incubating services including for social enterprises and social innovators.

Expected impact:

The action is expected to increase the innovation capabilities of social innovators and to enable small and locally successful social innovations to be realised across Europe. The action is also expected to provide new evidence of the role of incubators networks in accelerating and scaling up social innovations, test social incubation processes and show what works and how across Europe.

III IMPLEMENTATION OF CALLS

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

Call title: Support to the development of an ERA Stakeholders platform

- **Call identifier: FP7-CDRP-2013-STAKEHOLDERS**
- **Date of publication⁷: 10 July 2012**
- **Deadline⁸: 07 November 2012 at 17.00.00, Brussels local time**
- **Indicative budget: EUR 0.60 million⁹.**

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

Activity	Topics called	Funding Schemes and eligibility criteria
<i>1. B. Supporting a single market for R&I and delivering the ERA Framework</i> <i>B1. Implementation of the ERA Framework</i>	<i>FP7-CDRP-2013-STAKEHOLDERS</i> <i>Up to 2 projects are expected to be funded</i>	<i>CSA-SA</i> <i>Coordination and Support Action (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.

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

⁷ The Director-General responsible for the call may publish it up to one month prior to or after the envisaged date of publication.

⁸ The Director-General responsible may delay this deadline by up to two months.

⁹ Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

- 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.

- **Evaluation procedure:**

- The evaluation criteria and scoring scheme are set out in Annex 2 to the 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 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).

- Experts will carry out the individual evaluation of proposals remotely.
 - The procedure for prioritising proposals with equal scores is described in Annex 2 to the work programme.
- **Indicative timetable:** Evaluation results are estimated to be available within 4 months after the deadline. Grant agreement signature: it is estimated that it should come into force 8 months after the closure date.
 - **Consortia agreements:** Participants are encouraged to conclude a consortium agreement.
 - **The forms of grants 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: Support to transnational networks of incubators for social innovation

- **Call identifier:** FP7-CDRP-2013-INCUBATORS
- **Date of publication**¹⁰: 10 July 2012
- **Deadline**¹¹: 07 November 2012 at 17.00.00, Brussels local time
- **Indicative budget:** EUR 2 million¹²

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

- **Topics called:**

Activity	Topics called	Funding Schemes and eligibility criteria
<p>2. C. Improving business environment and partnerships in R&I</p> <p>CI. Support to the development, implementation and evaluation of initiatives aimed at improving the business environment, enhancing economic growth</p>	<p>FP7-CDRP-2013-INCUBATORS</p> <p>Support to transnational networks of incubators for social innovation</p> <p><i>Up to 2 projects are expected to be funded</i></p>	<p>CSA-CA</p> <p><i>Coordination and Support Action (coordinating action)</i></p>

- **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.

Funding scheme	Minimum conditions
Coordination and Support Actions (coordinating action)	At least 3 independent legal entities, each of which is established in a MS or AC, and

¹⁰ The Director-General responsible for the call may publish it up to one month prior to or after the envisaged date of publication.

¹¹ The Director-General responsible may delay this deadline by up to two months.

¹² Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority

	no 2 of which are established in the same MS or AC.
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- 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

- **Evaluation procedure:**

- The evaluation criteria and scoring scheme are set out in Annex 2 to the 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 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).

- Experts will carry out the individual evaluation of proposals remotely.
 - The procedure for prioritising proposals with equal scores is described in Annex 2 to the work programme.
- **Indicative timetable:** Evaluation will be carried out in November-December 2012. The call results are estimated to be available within 4 months after the deadline. Grant agreement signature expected to come into force 9 months after the closure date.
 - **Consortia agreements:** Participants are encouraged to conclude a consortium agreement.
 - **The forms of grants 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'.

IV OTHER ACTIONS¹³ (not implemented through calls for proposals)

A. Providing evidence-base and monitoring of R&I policies and supporting policy coordination

This block of actions aims at supporting policymakers by providing evidence-base, monitoring R&I policy developments and performance - including through the development of indicators, data and information platforms - and supporting policy coordination and mutual learning in view of increasing synergies and consistency across the EU.

A.1 - Strengthening of the economic analysis and providing evidence base for R&I systems and reporting on overall progress on R&I performance Addressing IU commitments 8 and 34

This series of actions aims at launching a set of "economic analysis" studies to ensure better international comparability with Europe's main trade partners, to extend the provision of the indicators (investment, bibliometrics, patenting, mobility and cross-border cooperation, impact) used for monitoring innovation and ERA performance and to deepen the analysis of Europe's R&I challenges.

It comprises the following studies along the R&I value cycle:

1. Maintenance of a data collection and analysis of joint national research funding (joint programmes) and of national research programmes open to non-resident researcher performers in order to monitor progress in the degree of opening-up of national research programmes and the degree of coordination of national research funding.
2. Analysis of national public research funding, by theme and by type of allocation (competitive project-based funding versus institutional block funding).
3. Identification of the patenting activities of different category of firms per sector and size by matching different data bases.
4. Identification and analysis of the international business investment flows (foreign direct investments) in R&I.
5. Data mining on knowledge and technology flows in priority domains within the private sector and between public and private sector.
6. Maintenance of national data collection and analysis of R&I investment in different sectors, thematic areas and societal challenges.

Indicative timeline: 4th quarter of 2013.

Coordination and Support Action (supporting action), public procurement - EUR 2.7 million¹⁴

¹³ 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).

7. Statistical analysis and monitoring the use of Composite indicators in research and innovation.

- Objectives: This action is a continuation and extension of the feasibility study conducted in 2011 (CDRP work programme 2010) and of the study conducted in 2012 (CDRP work programme 2011) for DG Research and Innovation by the Group of Research on the Impact of the Innovation Union (GRIU) of the Joint Research Centre, to develop four sets of indicators in view of measuring respectively a) progress towards a more open and integrated ERA, b) progress towards higher research excellence, c) nature and speed of structural change towards a more knowledge-intensive economy and d) capacity of the national and European R&I systems to diffuse knowledge and technology.

This study will firstly further progress in improving the relevance and comprehensiveness of the core sets c and d mentioned above, which comprises a series of sub-indicators still at a stage of development. It will secondly update the indicators used in the first ERA related core set, in order to integrate new data collected to measure the impact of the ERA framework and to take into account feedback of the stakeholders. It will thirdly compute updated value and time series for these core set of indicators. Thirdly, it will continue to provide statistical analysis in support of the interpretation of the variation in the value of these indicators and in support of the regular production by DG Research and Innovation of the Innovation Union Competitiveness report.

- Expected impact: The indicators developed will serve policy-makers at the European level, in the EU Member States and regions. They provide an objective, scientifically tested assessment of performance and impact of policies, which are crucial to foster the development of a knowledge-intensive, innovative and economically efficient economy at the various geographical levels of the European Union. Such a development is one of the key priorities of the Europe 2020 strategy and of its Innovation Union flagship initiative. Its importance has recently been underlined with the priority given to smart growth-enhancing measures in the annual orientations (AGS) of the Europe 2020 strategy.

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). The maximum possible rate of co-financing is set out in Article 33 of the FP7 rules of participation (available in Annex 3 to this work programme).

*Coordination and Support Action (supporting action), Grant to identified beneficiary Joint Research Centre (JRC)/The Institute for the Protection and Security of the Citizen (IPSC) - EUR 0.40 million*¹⁵

¹⁴ Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

¹⁵ Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

A.2 - Strengthening the monitoring of the Member States' R&I policies and systems, and support to policy coordination, notably in view of assessing Europe 2020 National Reform Programmes

Addressing IU commitments 25, 31 and 33

1. Comparative analysis of growth enhancing measures in Member States, Associated Countries and some selected Third Countries.

Indicative timeline: To be launched by 4th quarter of 2013.

Coordination and Support Action (supporting action), public procurement - EUR 0.15 million¹⁶

2. Support to peer reviews and policy mutual learning activities in the context of the European Research Area Committee (ERAC). Paving the way for the future Policy Support Facility these activities will build on the IU self-assessment tool¹⁷ to promote the identification and diffusion of experiences and good practices including from the point of view of higher education institutions, researchers and private stakeholders. Policy areas covered could include R&I policies addressing societal challenges; the definition of growth- enhancing policy mixes; the evaluation of smart specialisation strategies; and the building of S&T capacity through the use of structural funds.

Coordination and Support Action (supporting action), expert contracts - EUR 0.20 million¹⁸

A.3 - Development of forward looking activities and dialogue with stakeholders
Addressing IU commitments 8 and 13

This series of actions aims at providing financial support to different expert groups which are expected to put forward strategic advice on the Innovation Union and other European R&I policy issues as well as provide fresh thinking on how to put into action a globally competitive ERA. This includes also a study to analyse "State support schemes for RDI" in the EU's international competitors in the fields of science, R&I and an assessment of the CDRP Programme and its future in the context of the proposed Horizon 2020.

1. A study on "State support schemes for RDI in the EU's international competitors in the fields of science, research and innovation", by sector / industry and type of beneficiary.

Indicative timeline: To be launched by 4th quarter of 2013.

¹⁶ Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

¹⁷ Annex 1 to the Innovation Union Flagship Initiative Communication, at http://ec.europa.eu/research/innovation-union/pdf/innovation-union-communication_en.pdfview=fit&pagemode=none

¹⁸ Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

Coordination and Support Action (supporting action), public procurement - EUR 3.00 million¹⁹

2. An expert group to assess the support given through the CDRP Programme and draw lessons for the future.

Coordination and Support Action (supporting action), expert contracts - EUR 0.05 million²⁰

3. The European Research and Innovation Board (ERIAB) is expected to advise the Commission on the development and realisation of the ERA as well as integrated Research and Innovation policies and Innovation Union flagship initiative, at the request of the Commission, or on ERIAB own initiative. ERIAB will be composed of 15 members and includes prominent innovators and leaders from business, science and government. To this end the following actions are supported:

- Support to ERIAB members for attendance at meetings related to their work, including the setting up of ad-hoc expert groups or inviting experts to participate in the work of ERIAB.

Coordination and Support Action (supporting action), expert contracts – EUR 0.20 million²¹

- Support to the work of ERIAB through a range of services such as facilitation of meetings, preparation of documents, writing proceedings, preparation of annual report etc. , including studies to support its work. The studies will be used as key input to deliberations on the topic in question. Indicative timeline: To be launched by 1st quarter of 2013.

Coordination and Support Action (supporting action), public procurement - EUR 0.275 million²²

4. The European Forum on Forward Looking Activities (EFFLA) is expected to enhance collective intelligence and help devise better European policies and R&I in particular, which need a long term perspective. It is also expected to build genuine stakeholder commitment to action. The forum brings together a set of high-level experts and decision makers from academia, industry, government, European and international organisations, NGOs, as well as think tanks with very diverse profiles, able to mobilise the best available expertise and interact with key networks.

¹⁹ Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

²⁰ Ibid.

²¹ Ibid.

²² Ibid.

5. The Innovation for Growth group (I4G) is expected to provide strategic economic advice to EU R&I policies and their potential impact on growth. Its members are top economists from the academia. To this end the following actions are supported:

- Support to the work of EFFLA and I4G experts.
Coordination and Support Action (supporting action), expert contracts - EUR 0.46 million²³
- Approximately 10 studies to support the work of EFFLA and I4G.
Indicative timeline: To be launched during 1st and 2nd quarter 2013
Coordination and Support Action (supporting action), public procurement - EUR 0.10 million²⁴

B. Supporting a single market for R&I and delivering the ERA Framework

This block of actions aims at supporting **the roll-out of the ERA Framework** and the establishment of a genuine internal market for research as well as specific research policy areas requiring action at EU and/ or Member State level.

B1. Implementation of the ERA Framework

Addressing IU commitments 4 and 30

1. Evaluations: appointed external experts will be used for the evaluation of proposals relating to the call for proposals FP7-CDRP-2013 STAKEHOLDERS.

Coordination and Support Action (supporting action), expert contracts - EUR 0.05 million²⁵

2. Two or more studies in support of the implementation of the ERA Framework.
3. Indicative time line: 1st quarter 2013

Coordination and Support Action (supporting action), public procurement- EUR 0.29 million

4. Expert groups in support of the implementation of the ERA Framework.

Coordination and Support Action (supporting action) - public procurement and expert contracts - EUR 0.06. million²⁶

²³ Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

²⁴ Ibid.

²⁵ Ibid.

²⁶ Ibid.

B2. Excellence in science

Addressing IU commitment 4

1. A European accreditation mechanism for Human Resources (HR) Excellence in Research will be set up. Its aim is to further encourage and incentivise the take-up of the ERA principles related to the HR management in research institutions and universities (including the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers).

Indicative timeline: To be launched by the 4th quarter of 2013.

Coordination and Support Action (supporting action), public procurement - EUR 0.30 million²⁷

2. To support the setting up of pan-European (supplementary) pension funds for researchers a series of Mutual Learning Activities will be implemented. The aim of the Mutual Learning Activities is to allow institutions more advanced in the pension project to share their experiences with those only about to join the fund, and to provide more clarity on this subject. Indicatively six specific contracts using a Framework Service Contract.

Indicative timeline: To be launched by 4th quarter of 2013.

Coordination and Support Action (supporting action), public procurement - EUR 0.30 million²⁸

3. Various awareness raising activities at the Commission initiatives related to researchers' careers and mobility, including the HR Excellence in Research accreditation will be supported. This may include for example the production of leaflets and brochures, a launch event for the accreditation mechanism for HR Excellence in Research with selected guests, or small working level events with relevant stakeholders. Indicatively eight specific contracts using a Framework Service Contract. Indicative timeline: To be launched by 4th quarter of 2013.

Coordination and Support Action (supporting action), public procurement- EUR 0.35 million²⁹

4. Experts Groups on the role of Universities and Research Centres in Smart Specialisation. The role of the experts groups would be to analyse the role of universities and research centres in the Smart Specialisation Process, examine strengths and weaknesses and identify opportunities and propose recommendations for policy makers.

²⁷ Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

²⁸ Ibid.

²⁹ Ibid.

*Coordination and Support Action (supporting action), expert contracts - EUR 0.20 million*³⁰

C. Improving business environment and European partnerships in R&I

This block of actions aims at analysing the ways of improving the overall framework conditions for innovation, tackling specific barriers preventing the growth of innovative firms and in particular SMEs and enterprises of intermediate size as well as highlighting excellence in innovation through the means of awards.

*C.1 - Support to the development, implementation and evaluation of initiatives aimed at improving the business environment and enhancing economic growth
Addressing IU commitments 10, 13, 16 and 34*

1. Standards are strategic assets for securing Europe's competitiveness and key tools for knowledge dissemination, interoperability, and validation of novel ideas and promotion of innovation. Standardisation will expand more and more into new areas and will cover new subjects. To this end an expert group will be appointed to support an independent review in the area of innovation and technological development, announced in the Innovation Union flagship initiative (commitment 16) and the standardisation package.
2. An expert group will also be established to test feasibility with national experts and stakeholders, and provide advice and recommendations, for guidance on application of EU public procurement directives for facilitating and driving demand for innovative products and services.

*Coordination and Support Action (supporting action), expert contracts - EUR 0.20 million*³¹

*C.2 - Support to the implementation or testing of initiatives aimed at improving the linkage between business, academia and public administrations
Addressing IU commitments 2, 21 and 29*

1. Innovation- fostering awards

This initiative aims to drive innovation through the recognition of achievements, promotion of role models and highlighting of excellence in innovation through the means of awards.

1.1 A Prize for Women Innovators 2014

After the success of the first Prizes for Women Innovators, awarded in 2011, the Commission continues its drive to spotlight women researchers who have brought about outstanding innovations to the market. Europe urgently needs more innovators to stay competitive in the coming decades. The large number of well-educated women researchers who, for various reasons, including lack of awareness, do not consider entrepreneurship as an option, represents a tremendous untapped pool of innovation. Awards have a strong potential to drive innovation through the recognition of achievements and the promotion of role models.

³⁰ Ibid.

³¹ Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

The Prize for Women Innovators 2014 will aim to increase public awareness of this issue, to encourage women to exploit the commercial and business opportunities offered by their research projects and become entrepreneurs, it will therefore help to achieve the objectives of the Europe 2020 Strategy. The prizes will not reward research or innovation proposed for the future, but results that have been already obtained.

The Commission intends to award up to three "Prize for Women Innovators 2014" following a contest.

Implementation and management:

The rules of the contest are established and published by the Commission, which will launch and manage the contest and award the prizes. An information campaign will be launched to advertise it via National Contact Points and Programme Committees in order to encourage candidates to apply. Applications have to be submitted by the contestant (natural person) via the web-based submission forms on www.ec.europa.eu/women-innovators.

The applicant will have to provide proof of eligibility and a written presentation of her achievements, which will be presented to a High Level Jury for evaluation.

The High Level Jury will consist of a group of independent experts from business and academia appointed by the Commission.

They will appraise the quality of the entries and submit to the Commission the final list of up to 3 women selected for the award of the following prizes:

First prize: EUR 0.10 million

Second prize: EUR 0.05 million

Third prize: EUR 0.03 million

Funding scheme: prizes³²

*Coordination and Support Action (supporting action), prizes - EUR 0.18 million*³³

Date of publication of the contest³⁴: 10 July 2012

Date of opening of the contest³⁵: 15 April 2013, at 12:00:00 Brussels local time

Deadline to submit applications³⁶: 15 October 2013, at 17:00:00 Brussels local time

Eligibility criteria:

Contestants for the "**Prize for Women Innovators 2014**" shall comply with the following eligibility criteria to participate:

³² In accordance with Article 30 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).

³³ Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

³⁴ The Director- General responsible for the contest may publish it up to one month prior or after the envisaged date of publication.

³⁵ The Director-General responsible may delay this deadline up to two months.

³⁶ The Director-General responsible may delay this deadline up to two months.

1. The contestant must be a woman.
Example of proof: Copy of any official document of identification e.g. passport, identity card.
2. The contestant must be an ordinary resident in an EU Member State or in Associated Countries³⁷ of the Research Framework Programmes.
Example of proof: Copy of any official document of identification e.g. passport, driving licence etc.
3. The contestant must be the founder or co-founder of an existing and active company.
Example of proof: Copy of any official document showing clearly that the candidate has (co-) founded a company.
4. The company has been registered before 1 January 2011.
Example of proof: Copy of any official document showing the date of registration of the company (e.g. copy from the business register).
5. The annual turnover of the company was at least EUR 0.10 million in 2011 or 2012.
Example of proof: Copy of a document showing the annual turnover in 2011 (e.g. copy of the annual report to the tax authorities).
6. Either the contestant as a natural person or the company founded/co-founded by the contestant have received or is receiving funding from the European Union or the European Atomic Energy Community Research Framework Programme, or from the Competitiveness and Innovation Framework Programme (CIP).
Example of proof: Copy of a document demonstrating the past or current EU funding.

Award criteria:

The winners of the "**Prize for Women Innovators 2014**" will be selected according to the following award criteria, which will be assessed by the High Level Jury:

1. The originality and marketability of the developed product or service provided by the company of the contestant.
2. The economic relevance for Europe.
The economic relevance of a product or service of the company for Europe is measured by the number of countries (inside and outside the EU) where the product or service is sold, and by the size of the turnover achieved with this service or product in 2011 and 2012.
3. The social relevance for Europe
The social relevance of a product or service of the company for Europe is defined by the potential of the service or product to help Europe address the grand societal challenges such as the ageing of the European population, global warming, clean water, renewable energy and resource efficiency.
4. The high scientific content of the innovation

The contestant must have been involved in the research and innovation activities connected to the origin of the product or service provided by the company she has founded or co-founded. Entries will be compared according to the number of patents/co-patents, scientific publications (or co-publications) and trademark.

Contestants can at any time be required to submit official proof to support claims made under any of the above eligibility and award criteria.

Expected impact:

In face of the demographic development of the European continent, Europe can no longer afford to leave unused the greatest untapped pool of innovative entrepreneurs, the European-based women researcher. The prizes will both boost the public awareness of the contribution, potential and importance of women researchers to entrepreneurship and will encourage entrepreneurial women themselves to become innovators.

1.2 A group of independent experts (in the form of a High Level Jury) will be in charge of assessing the quality of the applications for the '**Prize for Women Innovators 2014**' against the rules of the contest.

Coordination and Support Action (supporting action), expert contracts - EUR 0.02 million³⁸

2. A European Prize for Innovation in Public Administration

The public sector accounts for half of GDP in the EU³⁹. Therefore, in order to excel and stay competitive, Europe needs to mobilise innovation and modernisation in its public administrations. Awards have a strong potential to drive innovation through the public recognition of achievements and the provision of role models.

The Commission plans to award prizes to successful, already running, and innovative public initiatives. The initiatives, managed by the national, regional or local public administrations, will have made significant improvements in citizens' lives. With this Prize the Commission wants to reward excellence and innovation in strategies, services, networks, processes and infrastructure. All public administrations from EU Member States or Associated Countries of the Research Framework Programme are invited to submit their innovative initiatives or programmes.

The awarded money will be used by the winning public administration to scale up and expand their initiative thereby leveraging and inducing further excellence and innovation in public administration. The Commission will remain in close contact with the winners and ensure follow-up for the implementation of the subsequent stages of their initiatives.

Implementation and management:

The Commission wants to recognise the outstanding achievements of public administrations in the following three categories:

³⁸ Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

³⁹ Total general government expenditure in EU27 was 50.6% of GDP in 2010 (Source: Eurostat).

1. Initiatives for **citizens**
(e.g. special assistance for the elderly; eco-friendly public transport; participatory budgeting)⁴⁰
2. Initiatives for **firms**
(e.g. providing networking platforms for start-ups; supporting rural entrepreneurs with e-trade tools)⁴¹
3. Initiatives for **education** and **research**
(e.g. new approaches to vocational training; fostering a better learning environment for primary schools; facilitating entrepreneurship of researchers⁴²)

The High Level Jury evaluating submissions will consist of a group of independent experts from public administration, business and academia appointed by the Commission. The High Level Jury will submit to the Commission a shortlist of up to six initiatives in each category. In each of the three categories, monetary prizes of EUR 0.1 million will be awarded to each of the three best initiatives.

The Commission will manage the award. An information campaign will be launched to encourage contestants to apply.

Funding scheme: Prizes⁴³, (9 prizes)

Coordination and Support Action (supporting action), prizes - EUR 0.90 million⁴⁴

Date of publication⁴⁵: 10 July 2012

Opening of the submission phase: 17 September 2012, at 12:00:00 Brussels local time

Deadline to submit applications⁴⁶: 15 February 2013, at 17:00:00 Brussels local time

Eligibility criteria:

Contestants for the "**European Prize for Innovation in Public Administration**" shall comply with the following **eligibility criteria** to participate:

⁴⁰ The examples given are by no means to be regarded as complete or exhaustive.

⁴¹ Ibid.

⁴² Ibid.

⁴³ In accordance with Article 30 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).

⁴⁴ Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

⁴⁵ The Director-General responsible for the contest may publish it up to one month prior or after the envisaged date of publication.

⁴⁶ The Director-General responsible may delay this deadline up to two months.

1. The candidate must be an established public administration at the national, regional or local level in an EU Member State or in Associated Countries of the Research Framework Programme⁴⁷.
2. The candidates' submission will consist of a complete application for the "European Prize for Innovation in Public Administrations".
3. The on-going initiative or programme has been running for at least 1 year but not longer than 4 years at the time of submission.
4. The initiative or programme is owned by the contestant (idea, planning, design, launch, administration etc.).
5. The initiative or programme cannot have already been awarded a monetary prize by an EU Institution.

Award criteria:

The winners of the "**European Prize for Innovation in Public Administration**" will be selected according to the following award criteria, which will be assessed by a High Level Jury:

1. The **social relevance** for the community concerned
In line with the Europe 2020 strategy goals, initiatives will be assessed on their potential to address grand societal challenges (e.g. the ageing of Europe, climate change, clean water, renewable energy and resource efficiency).
Importance will also be given to the level of citizen engagement and satisfaction as well as the involvement of direct users in the design and operation of the initiative.
2. The **originality and replicability**
Initiatives must be highly innovative and will be judged on the level of quality of implementation and potential for being replicated in other European contexts.
3. The **economic relevance** for the community concerned.
Important aspects to be considered will be, for example: increased efficiency in resource allocation; more effective use of personnel, ICT platforms or green technology; increased cost efficiency; improved attractiveness for investors; better service delivery.
4. The **planned use of the prize money**
Plans to use the prize money to scale-up or expand the initiative will be judged based on their ambition and feasibility, on the expected impact and benefits for citizens and on their potential to attract further financial or technical support from other sources for their realisation.

Candidates can at any time be required to submit official proof to support claims made under any of the above award criteria.

Expected impact:

⁴⁷ Associated Countries are: Israel, Switzerland, Norway, Iceland, Liechtenstein, Turkey, Croatia, the Former Yugoslav Republic of Macedonia, Serbia, Albania, Montenegro, Bosnia & Herzegovina, Faroe Islands and the Republic of Moldova.

By awarding the "European Prize for Innovation in Public Administration" the Commission will showcase innovations in the public administration and give visibility to the most dynamic, forward-looking and innovative public administrations and their initiatives. The winners' innovative initiatives will have a strong potential for replicability and scaling up and should be used as role models for other public administrations in Europe. Furthermore, the awards aim to challenge persistent negative stereotypes and also to increase citizens' expectation for excellence in public administration in Europe.

- 2.1 A group of independent experts (in the form of a High Level Jury) will be in charge of assessing the quality of the applications for the "European Prize for Innovation in Public Administrations" in accordance with the contest rules.

Coordination and Support Action (supporting action), expert contracts- EUR 0.03 million⁴⁸

3. First pilot of the Award on "European City of Science and Innovation". Building on the feasibility assessment of an expert group, the purpose of the award would be to provide a distinction to those European cities which are making major efforts to promote innovative solutions for their citizens. This initiative intends to acknowledge the role of the cities as places where most creativity concentrates and cross-fertilises, thus making them propellers of innovation in Europe. It is expected that some knowledge cities investing in innovation to address common challenges provide valuable models for world centres of excellence.

Coordination and Support Action (supporting action), expert contracts - EUR 0.15 million⁴⁹

4. Study on monitoring of knowledge transfer. The purpose of the study is to monitor the actual performance of higher education institutes and public research organisations as regards their performance in transferring knowledge to the private sector.
Indicative timeline: To be launched by 4th quarter of 2013.

Coordination and Support Action (supporting action), public procurement - EUR 0.20 million⁵⁰

C.3 – Support to the cross-cutting aspects of implementing and evaluating EIPs Addressing IU commitments 15 and 29

⁴⁸ Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

⁴⁹ Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

⁵⁰ Ibid.

1. An independent expert evaluation of the European Innovation Partnership approach will be carried out, assessing its effectiveness and efficiency, utility and sustainability, and EU added value. The evaluation will cover European Innovation Partnerships in different phases of development and with both common and specific features.

Coordination and Support Action (supporting action), expert contracts – EUR 0.20 million⁵¹

⁵¹ Ibid.

V BUDGET

Part - Indicative budget

Activities	Budget 2013 ⁵² EUR million
Call FP7-CDRP-2013-STAKEHOLDERS	0.60
Call FP7-CDRP-2013-INCUBATORS	2
<ul style="list-style-type: none"> Evaluations (EUR 0.05 million) Actions implemented through public procurement, expert groups and grant to identified beneficiary (EUR 9.84 million) Actions implemented through prizes (EUR 1.08 million) 	10.97
Estimated total budget	13.57

All budgetary figures given in this work programme are indicative. The final budgets 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.

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.

⁵² Under the condition that the draft budget for 2013 is adopted without modifications by the budget authority.

WORK PROGRAMME 2013

CAPACITIES

PART 7

ACTIVITIES OF INTERNATIONAL COOPERATION

(European Commission C(2012)4526 of 09 July 2012)

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7. ACTIVITIES OF INTERNATIONAL COOPERATION

Objective

To become competitive and play a leading role at world level, the European Union needs a strong and coherent international science and technology policy. The international actions carried out under the different programmes within the seventh Framework Programme will be implemented in the context of an overall international cooperation strategy.

This international policy has three interdependent objectives:

- to support European competitiveness through strategic partnerships with third countries in selected fields of science and by engaging the best third countries scientists to work in and with Europe;
- to facilitate contacts with partners in third countries with the aim of providing better access to research carried out elsewhere in the world;
- to address specific problems that third countries face or that have a global character, on the basis of mutual interest and mutual benefit.

I CONTEXT

Political landscape

Against the backdrop of the current economic situation and increased global competition, the Union has defined a strategy to support growth and job creation, Europe 2020. The Innovation Union Flagship initiative supports this strategy through specific commitments. Research and innovation are key drivers of competitiveness, jobs, sustainable growth and social progress.

The work programme 2013 aligns with, and contributes towards, the objectives of Europe 2020, the Innovation Union Flagship, and other EU policies. There is a determined focus on fostering new ideas, supporting world class teams tackling significant societal challenges, and on ensuring that the fruits of our investments can be properly exploited.

In this way the work programme provides for a smooth transition towards the new research and innovation programme for 2014-2020, Horizon 2020.

Approach for 2013

The 2013 Activities of International Cooperation will support the international Science, Technology and Innovation (STI) dimension of the Europe 2020 Strategy and Innovation Union Flagship Initiative and ensure transition between the FP7 and Horizon 2020 Programmes. Activities will therefore promote the development of mutually beneficial partnerships, by focusing in particular on tackling common societal challenges, by extending cooperation beyond research to cover also innovation issues of common interest, and by fostering the establishment of a level-playing field in research and innovation. They will also reinforce the external dimension of the European Research Area (ERA) by promoting the attractiveness of Europe in the world, fostering coordination and joint actions between Member States and/or Associated Countries, and contributing to the implementation of the strategic framework for international Science and Technology (S&T) cooperation¹ and of initiatives of the Strategic Forum for International Cooperation (SFIC).²

The 2013 activities will:

- Ensure continuity in supporting the development of cooperation with regions and countries for which ongoing actions are coming to an end in 2012/2013;
- Support the coordination of national policies and development of joint activities between Member States and/or Associated Countries and third countries where these actions are not focussed thematically or their focus is not defined a priori;
- Raise awareness in third countries about Horizon 2020;
- Support a new activity of mutual benefit to bridge the gap between research and innovation in European Neighbourhood Policy (ENP) countries.

The 2013 activities will build on the experiences and results of previous and ongoing actions of this programme and will take into account and promote complementarities with activities carried out under other EU programmes notably those related to external policies.

¹ Document available at http://ec.europa.eu/research/iscp/pdf/com_2008_588_en.pdf

² Council conclusions concerning a European partnership for international scientific and technological cooperation, 16017/08 of 2 December 2008.

Innovation dimension of the activities and bridging towards Horizon 2020:

In line with the Horizon 2020 objectives, this work programme promotes cooperation on innovation activities closer to market and focused on societal challenges:

- bi-regional and bilateral cooperation activities (INCO-NET, BILAT) will promote cooperation across the whole STI chain in view of fostering the translation of research results into innovative market products and services.
- a new activity targeting ENP countries (R2I-ENP) will specifically address the gap between research and innovation, focusing on improving competences and cooperation between producers and users of knowledge to tackle societal challenges of common interest. This activity will complement INCO-NET and BILAT actions with ENP countries.

Dissemination actions

By their very nature, activities of this work programme include actions for promoting exchange and dissemination of information, knowledge transfer and stakeholders engagement. The results of the different activities will notably feed the STI policy dialogues with targeted countries and regions.

Overall expected impact

By promoting the development of STI cooperation with targeted countries and regions in areas of common interest and mutual benefit, the activities will contribute to:

- strengthen EU STI and economic competitiveness, notably through improved access to knowledge, expertise and markets in third countries;
- tackle more efficiently and effectively major societal challenges;
- support EU external policies objectives, by helping less developed regions and countries strengthen and make better use of their STI competences for their socio-economic development.

II CONTENT OF CALLS

This section describes all the topics for which proposals will be called in this work programme. This concerns only the content of the calls. For all practical modalities related to these calls (including eligibility criteria and funding schemes), please refer to section III 'Implementation of calls'. For actions not implemented through calls for proposals, please refer to section IV 'Other actions'.

Activity 7.1. Bi-regional coordination of S&T cooperation including priority-setting and definition of S&T cooperation policies (FP7-INCO-2013-1, INCO-NET)

This INCO-NET call focuses on addressing societal challenges, supporting policy dialogue, and developing cooperation on innovation.

7.1.1. Areas

The regions targeted by the call are:

- Arab Gulf countries;³
- Central Asia;⁴
- Danube region;⁵
- Eastern Partnership;⁶
- Pacific region, including Overseas Countries and Territories;⁷
- Southern Asian countries⁸ (preparatory action, see section 7.1.3.2).

7.1.2. Technical content/ scope

The INCO-NET call aims at:

- Supporting the institutional bi-regional policy dialogue in Science and Technology;

³ Countries covered are: Bahrain, Kuwait, Oman, Qatar, Saudi Arabia and United Arab Emirates and Yemen.

⁴ Countries covered are: Kazakhstan, Uzbekistan, Kyrgyzstan, Tajikistan and Turkmenistan.

⁵ Countries covered are those currently involved in the Danube Cooperation Process (of which eight are EU Member States): Austria, Bulgaria, Czech Republic, Hungary, Germany, Romania, Slovak Republic, Slovenia, Bosnia and Herzegovina, Croatia, the Republic of Moldova, Montenegro, Serbia and Ukraine.

⁶ Countries covered are: Armenia, Azerbaijan, Belarus, Georgia, Moldova and Ukraine.

⁷ Countries and Territories covered are: Australia, New-Zealand, Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Timor-Leste, Tonga, Tuvalu, Vanuatu, French Polynesia, New Caledonia, Pitcairn and Wallis and Futuna.

⁸ Countries covered are: Afghanistan, Bangladesh, Bhutan, Maldives, Nepal, Pakistan and Sri Lanka.

- Strengthening the bi-regional cooperation between research and innovation actors, especially in the context of the upcoming Horizon 2020 programme;
- Monitoring progress in the bi-regional STI cooperation.

7.1.3. Proposed activities

7.1.3.1. Proposed activities common to the Arab Gulf countries, Central Asia, the Danube region, Eastern Partnership, and the Pacific Region

The INCO-NET actions targeting the Arab Gulf countries, Central Asia, the Danube region, the Eastern Partnership countries, or the Pacific Region will:

A *Focus on major societal challenges*

The proposed actions will seek to avoid dispersion of efforts and maximise results and impact by focusing on 2 to 3 societal challenges from those defined in the Commission proposal for Horizon 2020.⁹ They will:

- Identify the societal challenges on which to focus the cooperation and justify them in terms of common interest and potential for increasing mutually beneficial cooperation, taking into account existing cooperation and orientations resulting from policy dialogue with the region concerned;
- Support the coordination of Member States and/or Associated Countries' research policies and programmes with the targeted regions contributing, where appropriate, to the:
 - Identification of bilateral programmes with the countries of the region concerned which may be opened to other Member States and/or Associated countries;
 - Definition and preparation of joint activities;
 - Implementation of commonly agreed objectives and joint activities by facilitating innovative programmatic approaches, including appropriate funding modalities;
- Ensure coordination and coherence with other relevant actions funded by FP7 and Horizon 2020¹⁰;
- Contribute to strengthen complementarities and synergies between activities funded by the Framework Programme and with other EU policies and programmes addressing the targeted regions;

⁹ Societal challenges defined in the Commission proposal "Horizon 2020 - The Framework Programme for Research and Innovation", COM(2011) 808.

¹⁰ As a matter of example, the INCO-NET action targeting the Danube region should ensure coordination with any action selected out of the activity ENV.2013. 6.5-2, sub-topic f (see Work Programme 2013 of the Theme 6 –Environment- of the FP7 Cooperation Programme)

- Promote coordination and synergies between actions supported by EU programmes and national programmes of the Member States and/or Associated Countries in order to optimize their socio-economic impact;
- Identify and support cooperation on issues related to framework conditions for research and innovation (e.g. Intellectual Property Rights protection, standards, regulations, access to innovation financing) with the view to establish a 'level playing field' and facilitate the deployment of innovative products and services.

B Support policy dialogue

Support the development of the bi-regional policy dialogue in Science and Technology by:

- Providing up to date analytical evidence (e.g. key players, competences, priorities, obstacles, opportunities, impact assessment, etc.);
- Monitoring and analysing the progress and results of the cooperation in R&D and innovation, including an analysis of the scope, scale and content of cooperation activities funded by FP7 and Horizon 2020;
- Supporting the implementation of the dialogue recommendations.

C Foster cooperation between stakeholders

- Encourage the best research and innovation actors to use the Framework Programme as a platform for mutually beneficial cooperation by increasing the awareness about its activities and results, including through user friendly web-based information systems and brokerage and other networking events to facilitate the preparation of collaborative activities. Similar activities will promote European participation in relevant programmes funded by countries of the targeted region which are open to international cooperation;
- Identify and share best practices (e.g. related to technology transfer programmes, inter-sectoral mobility schemes, research-driven clusters, science and technology parks, etc...) aimed at fostering public-private partnerships in Member States/Associated countries as well as in the targeted region;
- Organise activities (e.g. brokerage events, workshops, electronic fora, and information systems) that contribute to bridging the gap between public and private innovation actors and the dissemination and exploitation of research results;
- Support, where relevant, the training and extension of the network of FP Contacts in the targeted region.¹¹

D Ensure effectiveness and impact

- Ensure appropriate quality control of the action deliverables, including through an external review committee;

¹¹ The activities related to FP contacts should be carried out in synergy with the ongoing 'INCONTACT' action (www.ncp-incontact.eu/) and its planned follow-up action (see 7.4).

- Define and implement a proactive and comprehensive communication plan to ensure optimal dissemination and uptake of the actions' results for the benefit of the broad STI community in both regions.

The actions will establish balanced and broad partnerships, ensuring adequate involvement of public authorities, and other stakeholders (national/regional agencies, research organisations, industry and civil society) of participating countries. They will build on the results of existing bi-regional initiatives, including ongoing actions, and should clearly describe advance beyond state-of-the-art. While focusing on a few societal challenges of mutual interest, the actions should have a multidisciplinary and cross-sectoral approach. Proposals addressing research focused on a single societal challenge will be declared ineligible.

Specific attention will be given to exploit synergies between the two individual actions targeting Eastern Partnership and Central Asia countries and those actions should include provisions to ensure such coordination.

7.1.3.2. Proposed activities for the preparatory action targeting Southern Asian countries

The action targeting the Southern Asian countries¹² will prepare the ground for a possible future INCO-NET and as such will:

- Provide up to date analytical evidence on key players and competences in the targeted countries;
- Identify the societal challenges on which to focus the cooperation and justify them in terms of common interest and mutual benefit;
- Support, where relevant, the training and extension of the network of FP Contacts in the region,¹³ in particular with the view of increasing awareness about cooperation opportunities offered by Horizon 2020.

7.1.4. Implementation and management

7.1.4.1. Funding scheme(s)

The funding scheme that applies is the 'Coordination and Support Action' (coordinating action) for activities described in section 7.1.3.1 and 'Coordination and Support Action' (supporting action) for the activities described in section 7.1.3.2. The financial support from the EU will take the form of a grant. Under this scheme, no support will be provided for the research and innovation activities themselves.

¹² Countries covered are: Afghanistan, Bangladesh, Bhutan, Maldives, Nepal, Pakistan and Sri Lanka.

¹³ The activities related to FP contacts should be carried out in synergy with the ongoing 'INCONTACT' action (www.ncp-incontact.eu/) and its planned follow-up action (see 7.4).

The INCO-NET actions described under section 7.1.3.1 should last sufficiently long to contribute to sustainable networking structures and practices and a duration of three years is expected. The EU contribution will be up to:

- EUR 3 million for each action targeting the Eastern Partnership and the Pacific region (including Overseas Countries and Territories),
- EUR 2 million for the Arab Gulf countries, the Danube region and Central Asia.

A budget not exceeding 15% of the total action budget should be reserved to provide logistical and secretarial support to institutional bi-regional policy dialogues between the EU and the region of interest. These support activities will be organised on an ad hoc basis, and in agreement with the European Commission services and the countries targeted by the action.

The action described under section 7.1.3.2 should last up to 18 months and the EU contribution should be up to EUR 0.3 million.

All proposed activities should be properly described, justified and budgeted in the proposal.

7.1.4.2. Participants

The consortium must include participants from Member States and/or Associated countries. In addition to the minimum number of participants as set out in the rules for participation, proposals must include at least one participant from the region targeted by the INCO-NET action (additional eligibility criterion, see III.1).

Preference will be given to INCO-NET actions involving the participation of a significant number of third countries of the region targeted by the INCO-NET action. A high coverage of the region will be considered essential to guarantee the success of these actions.

Preference will also be given to INCO-NET actions involving the participation of a significant number of Member States and/or Associated countries and including plans to widen dissemination activities to Member States and/or Associated countries activities not represented in the action consortium.

The participation of additional partners from countries neighbouring the targeted region is welcome provided added-value to the action is clearly demonstrated.

Consortium composition, responsibilities and volume of activities should be balanced between Member States and/or Associated countries and third countries participants.

The actions described under section 7.1.3.1 will set up an advisory board composed of selected authorities' representatives and if relevant, of high level experts, originating from the Member States and/or Associated countries and the targeted region.

The funding of participants from industrialised third countries would be allowed for this Activity if it is considered essential for the success of the actions.

The consortium should promote gender equality.

7.1.4.3. Areas open to this call

Each proposal must target only one single Area covered by the call (see 7.1.1). As it is important to have as many regions covered as possible, the following scheme for selection of

actions will be applied. The highest ranked proposal per region of the work programme will be funded, provided that it has passed thresholds of all evaluation criteria. If budget is remaining, this could be allocated to the other proposals according to the following criteria: the best proposal(s) in the overall ranking (considering all regions together) will be selected, if it can convincingly address a different set of societal challenges than the ones tackled by the highest ranked proposal for the concerned region. In such case, coordination of actions targeting the same region will be ensured thus avoiding duplication of activities and fragmentation of effort.

7.1.5. Expected impact

The bi-regional cooperation will be reinforced through the focusing of activities on 2 to 3 major societal challenges of mutual interest. This will also lead to a reduction in the fragmentation of effort and to a more targeted use of available resources. The INCO-NET actions will support the policy dialogue and contribute to the definition and implementation of joint strategic agendas for research, development and innovation.

An increased level of cooperation through the whole research to innovation chain will be achieved via the development or strengthening of partnerships, the preparation of joint collaborative actions and programmes, and improved coherence of framework conditions for innovation.

It is expected the bi-regional relation on Science, Technology and Innovation will be made sustainable through an uptake of the coordination mechanisms by the stakeholders involved.

The actions will also result in an increased participation of the regions concerned in Horizon 2020.

The expected impact will also depend on the number of participating third countries of the region concerned and their engagement in the action.

The exploitation of the results will be enhanced through appropriate communication and dissemination actions.

Activity 7.2. Bilateral coordination for the enhancement and development of S&T Partnerships (FP7-INCO-2013-2, BILAT)

This BILAT call targets individual countries that concluded or are in the process of negotiating bilateral S&T agreements with the European Union¹⁴.

7.2.1. Areas

The countries targeted by the call are:

Area 1:¹⁵ Canada, India, Japan, Republic of Korea,

Area 2: Algeria, Egypt, Mexico, Tunisia

7.2.2. Technical content/ scope

The BILAT call aims at:

- Supporting the institutional dialogue under the bilateral S&T agreement between the EU and the targeted country;
- Strengthening bilateral cooperation between research and innovation actors, especially in the context of the upcoming Horizon 2020 programme;
- Monitoring progress in the bilateral STI cooperation;

7.2.3. Proposed activities

The new BILAT actions will seek to avoid dispersion of efforts and maximise results and impact by focusing on several specific societal challenges and industrial technologies from those defined in the Commission proposal for Horizon 2020¹⁶. They will justify their focus in terms of common interest and potential for increasing mutually beneficial cooperation, taking into account existing cooperation and orientations resulting from policy dialogue with the country concerned.

Building on activities and results of previous initiatives,¹⁷ and demonstrating clear progress beyond state-of-the-art, the new actions will:

- Support the bilateral S&T policy dialogue and contribute to the implementation of the roadmap defined by the Joint S&T Cooperation Committee. In doing so, the action will be

¹⁴ More information can be found on these agreements at <http://ec.europa.eu/research/iscp/index.cfm?lg=en&pg=countries>

¹⁵ Industrialised Countries and BRICS.

¹⁶ Societal challenges and industrial technologies defined in the Commission proposal "Horizon 2020 - The Framework Programme for Research and Innovation", COM(2011) 808.

¹⁷ Including 'BILAT' and 'ACCESS4EU' actions.

designed with some flexibility¹⁸ to take into account new priorities defined in the bilateral policy dialogue between the EU and the country concerned;

- Encourage the best research and innovation actors (organisations and scientists) to use the Framework Programme as a platform for mutually beneficial cooperation by increasing the awareness about its activities, including through user friendly web-based information systems and brokerage and other networking events to facilitate the preparation of collaborative activities. Similar activities will promote European participation in relevant programmes funded by the targeted country, which are open to international cooperation;
- Identify and share best practices (e.g. related to technology transfer programmes, inter-sectoral mobility schemes, research-driven clusters, science and technology parks, etc...) aimed at fostering public-private partnerships in Member States/Associated countries as well as in the targeted third country;
- Organise activities (e.g. brokerage events, workshops, virtual fora and web-based information services) that contribute to bridging the gap between public and private research and innovation actors and the dissemination and exploitation of research results;
- Ensure coordination and coherence with other relevant actions funded by FP7 and Horizon 2020;
- Support the coordination of Member States and/or Associated Countries' research policies and programmes vis-à-vis the targeted third country, contributing, where appropriate, to the :
 - Identification of bilateral programmes with the third country concerned which may be widened to a larger group of Member States and/or Associated countries;
 - Definition and preparation of joint activities, including relevant initiatives agreed in the SFIC;¹⁹
 - Implementation of commonly agreed objectives and joint activities by facilitating innovative programmatic approaches, including appropriate funding modalities.
- Promote synergies with activities funded through other EU policies and programmes addressing the targeted country and facilitate the coordination of research actions and initiatives supported by the EU and those supported by Member States and/or Associated Countries to avoid duplication and develop synergies;
- Monitor and analyse (quantitatively and qualitatively) the evolution of the cooperation supported by the Framework Programme (and for Area 1 through the targeted country programmes open to Member States and/or Associated countries participation) and the factors affecting it;
- Support implementing a quality-control of FP Contacts activities in the targeted third country , and where appropriate the training and extension of the FP Contacts network;²⁰

¹⁸ The detailed work-plan may include options in terms of activities or topics.

¹⁹ At present, pilot initiatives involving group of Member States and Associated Countries have been agreed for India, China, and the U.S.

²⁰ The activities related to FP contacts should be carried out in synergy with the ongoing 'INCONTACT' action (www.ncp-incontact.eu/) and its planned follow-up action (see 7.4).

- Ensure the quality-control of action deliverables, including through an external review committee.

7.2.4. Additional activities for Area 1 of the Call

In addition to the activities described above, proposals targeting the countries in Area 1 should also:

- Identify and support cooperation on issues related to framework conditions for research and innovation (e.g. Intellectual Property Rights protection, standards, regulations, innovative public procurement) with the view to establish a 'level playing field' and facilitate the deployment of innovative products and services;
- Promote the twinning of research organisations/laboratories between on one hand Member States and/or Associated Countries, and on the other hand the third country concerned, through exchange of staff, sharing of good practices, and identification of future joint actions;
- Study the feasibility of bringing together representations of European research organisations in the targeted country, with the view to establish a joint liaison office.

7.2.5. Additional activities for Area 2 of the Call

In addition to the activities described above, proposals targeting the countries in Area 2 should also analyse innovation support schemes and national innovation system profiles in the targeted country to facilitate the development of an integrated approach for bringing the results of common R&D or innovation actions into the marketplace. In this context and where appropriate, they should ensure close coordination with relevant ERA-WIDE and possible R2I-ENP actions (see Activity 7.9) involving these countries.

7.2.6. Implementation and management

7.2.6.1. Funding scheme(s)

The funding scheme that applies is the 'Coordination and Support Action' (supporting action). The financial support from the EU will take the form of a grant. Under this scheme, no support will be provided for the research activities themselves. Each action should last sufficiently long to contribute to sustainable networking structures and practices.

The EU contribution can be up to EUR 1.35 million per country for Area 1 and up to EUR 0.75 million per action for Area 2 for a duration of three years.

All proposed actions should be described, justified and budgeted in the proposal.

For actions targeting Area 1, matching funds from third countries are expected. Evidence of such commitment should be provided in the proposal and this will be taken into account in the evaluation (impact criterion).

7.2.6.2. Participants

The consortium must include at least one participant from the targeted country (additional eligibility criterion). It is considered essential that the main third country participants be either public authorities responsible for the follow-up of the S&T cooperation agreement or any organisation, which has received the necessary mandate from the national authorities. The funding of participants from industrialised countries would be allowed for this activity if it is considered essential for the success of the action.

The participation of public authorities, national agencies and research organisations from Member States and/or Associated countries is encouraged. The participation of industry and SMEs associations from Member States and/or Associated countries and the targeted country is also encouraged.

The action should set up an advisory board that will be composed of representatives of authorities responsible for the S&T agreement and, where appropriate, of high level experts originating from the Member States and/or Associated countries and the targeted third country.

The consortium should promote gender equality.

7.2.6.3. Areas open to this call

In order to be eligible, the proposal must target only one country covered in the Areas of the call (see 7.2.1). One action per country will be funded, provided that it has passed thresholds of all evaluation criteria. Therefore, the highest ranked action for a given country will be selected.

7.2.7. Expected impact

The BILAT actions will support the policy dialogue and contribute to the definition and implementation of joint strategic agendas for research, development and innovation.

An increased level of cooperation through the whole research to innovation chain will be achieved via the development or strengthening of partnerships, the preparation of joint collaborative actions and programmes, and the improved coherence of framework conditions for innovation.

Impact will depend on the involvement of a large number of Member States and/or Associated countries in the coordination of policies and programmes vis-à-vis the targeted third country. It is therefore expected each action includes meaningful activities to widen participation of Member States and/or Associated countries.

It is expected the bilateral relation on Science, Technology and Innovation will be made sustainable through an uptake of the coordination mechanisms by the stakeholders involved.

Activity 7.3 Supporting the coordination of national and regional policies and activities of Member States and/or Associated States on international S&T cooperation (FP7-INCO-2013-3, ERA-NET/ERA-NET PLUS)

7.3.1 The ERA-NET scheme

The objective of the ERA-NET scheme is to develop and strengthen the coordination of research programmes carried out at national or regional level through two specific actions:

- 'ERA-NET actions' - which provide a framework for actors implementing public research programmes to coordinate their activities;
- 'ERA-NET PLUS actions'- which, *in a limited number of cases*, can provide additional EU financial support to facilitate joint calls for proposals between national and/or regional programmes.

"Research programmes carried out at national or regional level" refers to entire research programmes, parts of such programmes or similar initiatives. Such programmes shall have all the following characteristics:

- a) Be strategically planned (i.e. be composed of a number of research actions focused on a defined subject area or set of problems, that are scheduled to run for a set period of time and that have a co-ordinated management).
- b) Be carried out at national or regional level.
- c) Be either financed or managed directly by national or regional public bodies, or by structures (e.g. agencies) closely related to, or mandated by, public authorities.

Under the ERA-NET scheme, national and regional authorities of the EU Member States and/or Associated Countries and targeted third countries identify research programmes they wish to coordinate or open up mutually. The participants in these actions are therefore programme 'owners' (typically ministries or regional authorities defining research programmes) or programme 'managers' (such as research councils or other *research funding* agencies managing research programmes).

Since the introduction of the scheme, a large number of ERA-NETs have been funded, involving hundreds of national research programmes.²¹

ERA-NETs span a wide range of research fields such as transport, energy, environment, industrial technologies, plant and human health, astrophysics and social sciences. ERA-NET actions have been also set up to address more horizontal topics such as international cooperation, SMEs, metrology or the promotion of gender balance in research.

The networking and mutual opening of research programmes require a progressive approach.

The ERA-NET scheme therefore has a long-term perspective and it is flexible in order to accommodate the different ways in which public research funding is organised in Member States and/or Associated Countries.

²¹ ERA-NET actions cover both national and regional research programmes. To avoid repetition, the term 'national research programme' will be used in this section to refer to both national and regional research programmes.

In contrast to FP6, the ERA-NET scheme is no longer conceived as a 'stand-alone' action in FP7, but as an implementation tool available to the Themes of the Cooperation specific programme and to the Parts of the Capacities Programme.

Several ERA-NETs have been already able to contribute and interact with proposed Joint Programming Initiatives, aimed at addressing major societal challenges. The involvement of programme managers and programme owners in ERA-NETs renders them a useful instrument also in this context.

Thanks to the ERA-NET scheme, tangible progress has been made in reducing fragmentation across the European Research Area (ERA).

7.3.2. Areas

The ERA-NET/ERA-NET PLUS activity of the International Cooperation activities of the Capacities Programme aims at increasing the coordination of international cooperation activities of the EU Member States and/or Associated Countries and pull co-funding for multilateral research actions that comes from EU Member States and/or Associated Countries and the targeted third countries. The activity will support either the ERA-NET or ERA-NET PLUS action and will target the following countries/regions:

- India;²²
- Latin America and Caribbean countries;
- Mediterranean Partner Countries;²³
- Russia;²⁴

The use of the ERA-NET PLUS action is encouraged for the countries/regions, which were targeted by previous ERA-NET actions or have already indicated their commitment to engage in such an undertaking.

7.3.3. ERA-NET actions

Funding Scheme: 'Coordination and Support Action' (Coordinating Action)

The aim of ERA-NET actions is to network research programmes carried out at national or regional level, with a view to their mutual opening and the development and implementation of joint activities. The EU contribution for an ERA-NET action will be up to EUR 2.5 million for an action duration of 3 years.

²² Follow-up of the successful New Indigo action, SFIC priority.

²³ Implementation of a recommendation of the Monitoring Committee for Euro-Mediterranean Cooperation in S&T (MoCo) meeting in June 2011 in Szeged.

²⁴ Follow-up of the successful ERANET RUS action.

Additional Eligibility criteria for ERA-NET actions

The minimum number of participants in an ERA-NET consortium is **3 independent legal entities** which finance or manage publicly funded national or regional programmes. ***Each of these must be established in a different Member State or Associated Country.***

Partners for ERA-NET actions eligible to satisfy the above condition are:

- Programme owners: typically national ministries/regional authorities responsible for defining, financing or managing research programmes carried out at national or regional level;
- Programme 'managers' (such as research councils or funding agencies) or other national or regional organisations that *implement* research programmes under the supervision of the programme owners;
- Programme owners (typically national ministries/regional authorities) which do not have a running or fully fledged research programme at the moment of submitting an ERA-NET proposal, but which are planning, and have committed, to set up such a programme, are also eligible if their participation is well justified and adds value to the overall programme coordination.

Sole participants (as referred to in Article 10 of the Rules for Participation) are eligible if the above-mentioned minimum conditions are satisfied by the legal entities forming together a sole participant. A sole participant shall explicitly indicate which of its 'members' are either programme owners or programme managers in the proposed action, and indicate for these members the respective national/regional programmes which are at the disposal of the proposed ERA-NET action.

Provided that the proposal complies with the minimum number of participants required in an ERA-NET action as described above, the following legal entities are eligible:

- a) Programme owners and programme managers not established in a Member State or Associated Country;
- b) Private legal entities (e.g. charities) which own or manage research programmes, if their participation is well justified and adds value to the overall programme coordination.

The participation of programme owners and programme managers from the targeted countries or regions is considered essential for the success of the actions, this will be taken into account in the evaluation (management criterion).

Technical content/scope

The networking of programmes may involve several levels of cooperation and coordination, depending on the degree of maturity of the network. The use of the ERA-NET scheme should make this evolution possible and should adopt a step-by-step approach.

In this respect, a four-step approach covering the following activities could be envisaged:

- 1) Information exchange
- 2) Definition and preparation of joint activities
- 3) Implementation of joint activities

4) Funding of joint trans-national research.

ERA-NET actions should be ambitious and result in concrete progress towards the opening up of, or cooperation between, the participating research programmes. The cooperation should be sustainable beyond the duration of the ERANET action itself.

Activities funded

The EU contribution will take the form of a grant consisting of a reimbursement of the eligible costs related to the action.

Activities eligible for funding correspond to the four steps identified in the *technical content/scope* section above. More specifically, these include:

(i) Information exchange

This step aims to gather information on the structure and programmes covered by each national research system. It could also improve communication, develop better reciprocal knowledge and promote trust-building among programme owners or managers in similar scientific and technological areas through a mutual learning process, and the systematic exchange of information and good practices.

(ii) Definition and preparation of joint activities

This key part of the action will analyse the information gathered in step 1 and identify the type of cooperation and the areas which will be addressed.

It should result in an **Action plan**, which sets out common strategic issues and prepares for a concrete implementation of joint activities.

(iii) Implementation of joint activities

Experience has shown that much of the added value in co-ordinating national programmes is gained by trying to implement joint activities, even if in a pilot form.

ERA-NET actions are therefore encouraged to develop and implement, from an early stage in the action, common, joint, strategic activities such as:

- Clustering of nationally-funded research actions, to develop complementarities or mutual reinforcement of on-going nationally-funded research programmes;
- Multinational action evaluation procedures (common evaluation criteria and methods of implementation). This could contribute in the long-term to the integration of evaluation practices across national research systems (covering proposal, action and programme evaluation);
- Schemes for joint training activities, such as co-supervised theses and international PhD schemes, to help support a wider cooperation in research;
- Schemes for the mutual opening of facilities or laboratories in one country for scientists from another;
- Converging schemes for programme monitoring and evaluation, including joint monitoring or evaluation;
- Schemes for personnel exchange, in the context of the above activities;

- Specific cooperation agreements or arrangements between participating programmes. These would prepare the ground for further trans-national research programmes and ensure that legal barriers are removed.

(iv) Funding of joint trans-national research.

The strongest form of programme networking implies the funding and implementation of a joint programme of trans-national research projects or actions. This is likely to involve the setting-up of a common strategy, a joint work programme, common (mutually open) or joint calls for proposals or tenders, a common trans-national evaluation system and a common plan for dissemination of results or experiences. In such schemes, actions funded out of a common or joint call for proposals should involve ***at least two teams from two different Member States and/or Associated countries and at least one team from a third country targeted by the Call.***

In this step, other ways of implementing joint research actions could also be developed or explored. For example, a complex or very ambitious research agenda could be divided in various parts, which are each addressed through differentiated national calls. Results would then be shared.

Joint activities should be based on a joint strategy and might enable the action partners to implement joint funding activities for focused challenges or specific topics.

The details of new, joint funding activities should be prepared during the first phase of the action, which should not take longer than 12 months. A general vision including the specific focus of future joint funding activities should be set out in the description of work.

As a result of this first phase, an action should deliver a strategy including recommendations for future joint activities. The strategy should prepare the way for joint programming and needs to be backed up by a traceable roadmap describing:

- The implementation steps for joint funding activities e.g. joint calls for action proposals, and/or the top-down funding of single actions or programmes or the development and implementation of schemes for the mutual opening of laboratories and other scientific facilities;
- A clear plan describing how programmes will be initiated, trans-national mobility realised and the working conditions of the final beneficiaries enhanced;
- Budgetary aspects of the contributions of each participating action partner;
- Monitoring and evaluation plans at action and programme level, e.g. a short description of transparent multinational evaluation procedures (peer review, etc.)

Expected Impact

The ERA-NET scheme aims to reduce the fragmentation of the European Research Area by increasing coordination between participating national research programmes, avoiding unnecessary duplications of effort and developing expertise from mutual learning.

In general, ERA-NET actions should not cover very restricted research domains and should not overlap with other ongoing ERA-NET actions, as this could create further fragmentation.²⁵

Complementarities to, or coordination with, FP7 activities should be ensured where possible and in particular with other relevant thematic ERA-NET actions as well as international cooperation actions targeting the same countries or regions.

ERA-NET actions should deliver concrete results: establishment of solid networks, mutual opening of activities, development and implementation of joint programmes.

The level of ERA-NET actions will depend on their previous experience:

- Proposals from existing ERA-NETs are expected to include a strong coordination action directly focusing on steps 3 and 4. As such, these proposals should aim to broaden the partnership and/or deepen the coordination between the relevant national programmes in the concerned field. In particular, a global approach including non-European research programmes is encouraged.
- New ERA-NETs, addressing topics not covered by previous ones, are expected to target steps 1 to 3 as a minimum, but are encouraged to aim at the 'four step approach' described above.

The scheme will also enable national or regional systems to collectively take on tasks that they would not have been able to tackle independently.

ERA-NET actions are expected to have a lasting impact. The cooperation developed should provide reliable indications that it could continue beyond the EU funding. Lessons learned and knowledge gathered should be disseminated throughout the European Research Area.

In addition to the general impact described above, more specific expected benefits of ERA-NET actions include:

- Achieving critical mass, to ensure the better use of scarce resources.
- Joining forces to provide common answers to common research problems.
- Addressing global issues, common to many countries.
- Addressing specific geographical issues.
- Developing common governance principles (e.g. with respect to ethics, good practices).
- Bring together national programmes which deal with cooperation with third countries, and enable them to speak with a 'single voice'.
- Adopt a global approach, involving third countries research programmes in the ERA-NET activities.

²⁵ In that context, complementarities with actions that will be selected under the ERA-NET call targeting the Mediterranean Partner Countries to be launched in the Work Programme 2013 of the KBBE Programme should be ensured.

7.3.4. ERA-NET PLUS actions

Funding Scheme: 'Coordination and Support Action' (Coordinating action) CSA ERA-NET PLUS.

Under ERA-NET PLUS actions, the Commission provides an incentive to the organisation of joint calls between national or regional research programmes by 'topping-up' joint transnational funding with EU funding. These joint calls will entail the award of grants to third parties participating in calls for proposals launched under the ERA-NET PLUS actions.

These actions require programme owners or programme managers ***from at least 5 different Member States and/or Associated Countries*** to plan a single joint call with a clear financial commitment from the participating national or regional research programmes.

The participation of programme owners and programme managers from the targeted third countries is considered essential for the success of the actions; this will be taken into account in the evaluation (management criterion).

The main deliverable of an ERA-NET PLUS joint call shall be an agreed joint selection list for funding of transnational projects, including the formal commitment of the participating programmes to finance these projects. The EU can subsequently agree on a "topping up" of the call resulting in up to 33% of the total cumulative funding of the joint call budget.

Technical content/scope

The ERA-NET PLUS action is divided into two phases of activities:

- Phase 1 (constituting, in principle, the first reporting period):

It covers the activities strictly related to the call preparation and publication, the proposals evaluation and the management of the joint call until the formal release of the short list of selected transnational projects and of the funding decisions from the national or regional programmes.

It is expected that, prior to the submission of the proposal for an ERA-NET PLUS action, a pre-existing base for the cooperation and preliminary agreements on the activities necessary to launch a joint call exist between the potential participants, as well as a scientific rationale like a joint scientific work programme. However it is still possible to finalise some tasks in Phase 1 before the actual publication of the transnational joint call.

- Phase 2 (all following periods, from reporting period 2):

This phase covers the lifetime of the selected transnational projects, their funding, for which the EU contribution is dedicated, and their monitoring.

This second phase covers the periods of implementation, funding and monitoring of the transnational projects. The partners are expected to establish a robust and coherent governance and administrative framework around the coordinator for the implementation of the funding of the projects, as well as their follow-up. The coordinator of the joint call will act as interface to receive and distribute the EU financial contribution to the consortium.

Activities funded

The EU will top up the total of the national contributions to the joint call with additional funding for RTD activities. The EU contribution will be limited to a maximum of 33% of the total contributions to the joint call budget. The combined national/regional and EU contributions to the joint calls have to reach **at least EUR 5 million**.

The EU contribution will take the form of a grant for the reimbursement of eligible costs as an agreed proportional contribution to the national pooling of funds (for activities relating to the funding of selected trans-national projects, maximum 33%).

In accordance with the Decisions concerning the Seventh Framework Programme²⁶ and the 'Capacities' Specific Programme,²⁷ the provisions of Article 120(2) of the Council Regulation on the Financial Regulation applicable to the general budget of the European Communities²⁸ and Article 184a of the Commission Regulation laying down detailed rules for the implementation of Council Regulation on the Financial Regulation applicable to the general budget of the European Communities,²⁹ shall not be applicable with regard to the financial support provided by the participants in the ERA-NET PLUS actions to third parties participating in actions selected following calls for proposals launched under these actions.

The total duration of a given ERA-NET PLUS action and of the resulting actions shall **not exceed 5 years**.

Additional Eligibility criteria for ERA-NET PLUS actions

- The minimum number of participants in an ERA-NET PLUS action is **5 independent legal entities** which finance or manage publicly funded national or regional programmes. **Each of these shall be established in a different Member State or Associated Country.**

Partners for ERA-NET PLUS actions eligible to satisfy the above conditions are:

- Programme owners: typically national ministries/regional authorities responsible for defining, financing or managing research programmes carried out at national or regional level.
- Programme 'managers' (such as research councils or funding agencies) or other national or regional organisations that implement research programmes under the supervision of the programme owners.

Sole participants (as referred to in Article 10 of the Rules for Participation) are eligible if the above-mentioned minimum conditions are satisfied by the legal entities forming together a sole participant. A sole participant shall explicitly indicate which of its 'members' are either programme owners or programme managers in the proposed action, and indicate for these members the respective national/regional programmes which are at the disposal of the proposed ERA-NET PLUS action.

²⁶ OJ L 412, 30.12.2006, p. 1 Decision No 1982/2006/EC of the European Parliament and of the Council of 18 December 2006.

²⁷ OJ L 400, 30.12.2006, p. 299.

²⁸ Council Regulation No. 1605/2002 of 25.6.2002 on the Financial Regulation applicable to the general budget of the European Communities (OJ L248, 16.09.2002, p1).

²⁹ Commission Regulation No. 2342/2002 of 23.12.2002 laying down detailed rules for the implementation of Council Regulation No. 1605/2002 (OJ L357, 31.12.2002, p1).

- Provided that the proposal complies with the minimum number of participants required in an ERA-NET PLUS action as described above, the following legal entities are eligible:
 - a) Programme owners and programme managers not established in a Member State or Associated Country;
 - b) Private legal entities (e.g. charities) which own or manage research programmes, if their participation is well justified and adds value to the overall programme coordination.
- A single joint call shall be planned with a clear financial commitment from the participating national or regional programmes³⁰.
- The total planned budget of ***the joint call shall have a minimum financial volume of EUR 5 million, EU contribution included.***
- The joint call organised by the national programmes shall establish a set of common general evaluation/selection criteria, such as excellence and European added value.
- A common peer review mechanism for evaluating the proposals submitted to the joint call shall be planned.
- Each project financed out of the joint call shall be trans-national (i.e. minimum of two partners from different Member States or Associated Countries).
- Detailed rules for participation in the funded trans-national projects shall be defined by the call organisers themselves (i.e participating national or regional programmes).

Expected Impact

ERA-NET PLUS actions aim to facilitate the launching of joint calls for proposals between EU Member States or Associated Countries, based on their European added value. In special cases, they may also facilitate the transition of an ERA-NET towards an Article 185 TFEU initiative, where the criteria for the latter are met.

The EU added value will be a critical criterion to evaluate the impact of ERA-NET PLUS actions and will depend on the area/topic covered by the research programmes participating in the joint call. Therefore, the following criteria will help to identify the impact of ERA-NET PLUS actions offering best prospects for sufficient European added value:

1. **Relevance to EU objectives:** The field of the potential topic will be of major interest for the EU as a whole.

³⁰ Proposals must demonstrate that national research programmes are committed to support the call. Selected proposals will have to provide evidence that a commitment has been made by the relevant research programmes.

2. **Framework Programme relevance.** As regards '**objective**': Demonstration that an ERA-NET PLUS action in that topic will allow the EU to reach the objective of effectively enhancing the coordination of national research programmes. As regards '**content**': The field of the potential topic is expected to be covered by the Framework Programme both in terms of scientific content and of budget allocation.
3. **Pre-existing basis:** The ERA-NET PLUS action is expected to build on a pre-existing basis or coordination experience between national programmes in the topic identified.
4. **Critical mass:** ERA-NET PLUS actions will help national programmes to address research areas that, due to the nature of the field, are better addressed jointly or fields which could not have been addressed independently.
5. **Instrument relevance:** Demonstration that ERA-NET PLUS is the most appropriate instrument for achieving the Framework Programme goals with regard to coordination of national research programmes (i.e.: avoiding fragmentation, etc.). Demonstration that implementing an ERA-NET PLUS action in a given field is more appropriate to coordination goals than other possible FP7 actions.

ERA-NET PLUS actions are expected, where appropriate, to facilitate the development of a more global approach to the topics addressed, involving also non European research programme.

ERA-NET PLUS actions are expected to have a lasting impact. Proposals submitted to the ERA-NET call shall provide reliable indications whether the cooperation developed could continue beyond the EU funding.

Activity 7.4 Supporting the awareness raising of Horizon 2020 in third countries (FP7-INCO-2013-4, INCO-H2020)

The aim of this activity is to support awareness-raising of Horizon 2020 in third countries.

7.4.1. Proposed activities

The action will focus on:

- Raising awareness in third countries of the opportunities available in H2020 for research and innovation actors through the organisation of workshops and seminars;
- Supporting training of contacts in third countries regarding the content and rules of Horizon 2020;
- Sharing good practices in facilitating partnering and the preparation of international collaborative actions;
- Promoting cooperation between contacts in third countries. This may entail various activities such as joint workshops to identify and disseminate good practices, preparation of training materials, benchmarking between contacts in third countries.

The action should also organise in cooperation with DG RTD annual meetings aiming to bring together all contacts in third countries to review cooperation status, issues and perspectives for improvement.

The proposed action shall build upon previous experience and achievements obtained in the INCONTACT³¹ action ending in 2013. The proposed action should also ensure coherence and coordination with similar awareness-raising and training activities planned throughout INCO-NET and BILAT actions.

7.4.2. Participants

Participants should have experience in promoting EU Programmes of Research and Innovation in third countries, in particular the dedicated horizontal activities to promote cooperation with third countries. This requirement should be explicitly documented in the proposal and will be reflected in the evaluation (management criterion). The involvement of participants from third countries with similar previous experience is encouraged and this will be reflected in the evaluation (impact criterion).

7.4.3. Funding scheme

The funding scheme to be used for this activity is the 'Co-ordination and Support Action' (coordinating action). The EU contribution should be up to EUR 1 million for an action duration up to 2 years.

³¹ Additional information available at <http://www.ncp-incontact.eu>

7.4.4. Expected impact:

- A more consistent level of information and assistance services in third countries.
- More effective participation of organisation from third countries in collaborative actions with European organisations, in line with the principle of mutual benefit.

Activity 7.5 Supporting the EU access to third countries programmes

No such activities are foreseen in this call.

Activity 7.6 Reinforcing cooperation with Europe's neighbours in the context of the ERA

No such activities are foreseen in this call.

Activity 7.7 Strengthening European research facilities in third countries

No such activities are foreseen in this call.

Activity 7.8 Strengthening joint European S&T centres in third countries

No such activities are foreseen in this call.

Activity 7.9 Reinforcing cooperation with European Neighbourhood Policy countries on bridging the gap between research and innovation (FP7-INCO-2013-9, R2I-ENP)

Working towards the development of a "Common Knowledge and Innovation Space" is highlighted as one of the priorities of cooperation between EU and European Neighbourhood Policy (ENP) countries³² and should cover the whole spectrum from policy dialogue, capacity-building in human resources and infrastructures, cooperation in research and innovation, and mobility.

In this context, the R2I-ENP activity will focus on bridging the gap between research and innovation by aligning better research objectives to socio-economic needs and improving performance in managing, transferring and using knowledge resulting from research. The

³² Joint Communication to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions - A new response to a changing Neighbourhood, COM(2011) 303 final.

activity will contribute to enhance cooperation between ENP countries and Member States and/or Associated Countries on addressing key societal challenges of common interest.

7.9.1. Areas

The two geographic Areas targeted by the activity are the following regional groupings of ENP countries:

- Eastern Partnership:³³ Armenia, Azerbaijan, Belarus, Georgia, Ukraine,
- Mediterranean Partner Countries:³⁴ Algeria, Egypt, Jordan, Lebanon, Libya, Morocco, Palestinian-administered Areas, Syria, Tunisia,

In defining the objectives and content of the activities described above, proposals should take into account the state of play as well as the objectives and needs identified in each bi-regional cooperation framework for deepening and enhancing the STI cooperation.

7.9.2. Technical content/ scope

The R2I-ENP proposals will involve different stakeholders among those involved in the various steps of the "knowledge value chain" such as: research organisations, industry including SMEs (preferably at the level of their representative associations), science parks and innovation clusters, national and regional research and innovation funding agencies, intermediary organisations providing innovation support services, national and regional authorities as well as end users communities. The activities will notably aim to promote interaction and transfer of knowledge between academia, research organizations and industry for an effective market uptake of research results through innovative products and services.

Proposed actions should focus on **only one societal challenge among those identified in the Commission proposal for Horizon 2020**.³⁵

7.9.3. Proposed activities

Actions will involve organisations in Member States and/or Associated countries and ENP countries to carry-out the cooperation activities such as:

- Promoting networking between actors in the "knowledge value chain" to better focus research on socio-economic needs as well as to facilitate exploitation of research results, notably through the organization of brokerage events;

³³ Moldova, although part of Eastern Partnership, is an FP7 Associated Country and Moldovan legal entities can participate as such in the activity.

³⁴ Israel, although part of Mediterranean Partner Countries, is an FP7 Associated Country and Israeli legal entities can participate as such in the activity.

³⁵ Societal challenges defined in the Commission proposal "Horizon 2020 - The Framework Programme for Research and Innovation", COM(2011) 808.

- Identifying concrete opportunities as well as potential bottlenecks related to cooperation and knowledge transfer between public research and industry, take-up of research results in particular by start-ups and existing SMEs, and innovation management and financing in the targeted countries;
- Improving competencies and mutual learning by promoting exchange of best practices through twinnings between relevant organisations (including national and regional innovation agencies), training activities, exchange of staff and possible mobility schemes notably between research and industry, support for young innovative companies to set-up technological partnerships;
- Providing innovation support services (technical assistance on e.g. market and risk assessment, access to risk capital, Intellectual Property Rights issues, business plan, compliance with standards, innovation management skills) to organizations from Member States and/or Associated Countries and ENP countries already engaged in or wishing to develop partnerships.

Where appropriate, proposals will describe how they will build on, complement and ensure coordination with relevant activities (existing or planned), notably the Preparatory Action funded by the European Parliament³⁶ and those implemented through the EIT and its Knowledge Innovation Centres, the Framework Programme, the Competitiveness and Innovation Framework Programme (CIP) and the European Neighbourhood and Partnership Instruments (ENPI), especially those aiming to reinforce STI capacities in ENP countries.³⁷

7.9.4. Implementation and management

7.9.4.1. Funding scheme(s)

The funding scheme that applies is the 'Coordination and Support Action' (supporting action). The EU contribution should be up to EUR 1 million per action for an action duration up to 3 years.

7.9.4.2. Participants

Each action consortium should be composed of at least two participants from two different countries of each targeted geographic area and two participants from two different Member States and/or Associated Countries.

Each action consortium should include at least two research organisations and two stakeholders from the industry or related business community (including industrial and SMEs associations, entities managing incubators or industrial clusters, innovation support service providers) in view of fostering collaboration on innovation-oriented research and exploitation of research results.

³⁶ Preparatory Action: "Euromed innovation entrepreneurs for change", implemented by DG ENTR.

³⁷ Calls FP7-INCO-2010-6 and FP7-INCO-2011-6; Medibtikar (regional), SRTD (Jordan), RDI I (Egypt), RDI II (Egypt) and PASRI (Tunisia) programmes funded by MEDA and ENPI.

Each action should involve only participants from either the Eastern Partnership or the Mediterranean Partner Countries. Selected actions related to the same targeted geographic Area will be clustered to promote exchange of experience and synergies regarding similar activities and needs (e.g. training, networking and dissemination activities). Proposed actions should allocate 10% of their total budget for participating in joint activities within each cluster. One of the objectives of this clustering will be to identify common structural weaknesses in the research to innovation chain and coordinated policy measures to address them. In this context, close coordination should be ensured with INCO-NET and BILAT actions targeting the same countries or regions. Strengthening the innovation chain in the targeted geographic Areas will in turn enhance opportunities for mutually beneficial bi-regional cooperation in innovation.

7.9.5. Expected impact

- To foster mutually beneficial public-private-partnerships between Member States and/or Associated Countries and ENP countries through the market uptake of research results.
- To contribute to the achievement of a Common Knowledge and Innovation space between the EU and ENP countries through enhancing cooperation between research and innovation actors on both sides.
- To increase the potential of STI cooperation between Member States and/or Associated Countries and ENP countries under the Horizon 2020 and to contribute to the definition of bi-regional programmes on innovation.

III IMPLEMENTATION OF CALLS

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

1. Call title: Bi-regional coordination of S&T cooperation including priority setting and definition of S&T cooperation policies - Activity INCO-NET

- **Call identifier: FP7-INCO-2013-1**
- **Date of publication³⁸: 10.07.2012**
- **Deadline³⁹: 18.12.2012 at 17.00.00, Brussels local time**
- **Indicative budget⁴⁰: EUR 12.3 MILLION**

Activities called:

Activity/ Area	Funding Schemes	Indicative amount
7.1.Bi-regional coordination of S&T cooperation including priority setting and definition of S&T cooperation policies		EUR 12.3 million
7.1.1. Arab Gulf Countries	Coordination and Support Action (coordinating action)	EUR 2.0 million
7.1.2. Central Asia	Coordination and Support Action (coordinating action)	EUR 2.0 million
7.1.3. Danube Region	Coordination and Support Action (coordinating action)	EUR 2.0 million
7.1.4. Eastern Partnership	Coordination and Support Action (coordinating action)	EUR 3.0 million
7.1.5 Pacific region, including Overseas Countries and Territories	Coordination and Support Action (coordinating action)	EUR 3.0 million
7.1.6. Southern Asian countries	Coordination and Support Action (supporting action)	EUR 0.3 million

Eligibility conditions

The general eligibility criteria are set out in Annex 2 of 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.

³⁸ The Directorate-General responsible for the call may publish it up to one month prior to or after the envisaged date of publication.

³⁹ The Director-General responsible may delay this deadline by up to two months.

⁴⁰ Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority

- 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.
- All budgetary figures given in this call are indicative. The repartition of the sub-budgets awarded within this call, following the evaluation of proposals, may vary by up to 10% of the total value of the call.

Minimum number of participants⁴¹ as set out in the Rules for Participation:

Funding scheme	Minimum conditions
Coordination and Support Action (coordinating action)	At least 3 independent legal entities, each of which is established in a MS or AC, and no two of which are established in the same MS or AC.
Coordination and Support Action (supporting action)	At least 1 independent legal entity

Additional Eligibility Criteria:

The additional eligibility criteria that apply to this call are:

- Proposals addressing research focused on a single societal challenge from those defined in the Commission proposal for Horizon 2020⁴² will be declared ineligible.
- The proposals must target only one Area covered by the call.
- In addition to the minimum number of participants as set out in the Rules for participation, proposals must include at least one participant from the region targeted by the INCO-NET action.

Evaluation procedure:

- A one-stage submission procedure will be followed.
- Proposals may be evaluated remotely.
- The evaluation criteria (including weights and thresholds) and sub-criteria for the different funding schemes are set out in Annex 2 to this work programme.
- Preference will be given to INCO-NET actions involving the participation of a significant number of third countries of the region targeted by the INCO-NET action. A high coverage of the region will be considered essential to guarantee the success of these actions.
- Preference will also be given to INCO-NET actions involving the participation of a significant number of Member States and/or Associated countries and including plans to widen dissemination activities to Member States and/or Associated countries activities not represented in the action consortium.
- As it is important to have as many regions covered as possible, the following scheme for selection of actions will be applied. The highest ranked proposal per region of the work programme will be funded, provided that it has passed thresholds of all evaluation criteria. If budget is remaining, this could be allocated to the other proposals according to the following criteria: the best proposal(s) in the overall ranking (considering all regions together) will be selected, if it can convincingly address a different set of societal challenges than the ones tackled by the highest ranked proposal for the concerned region. In such case, coordination of actions targeting the same region will be ensured thus avoiding duplication of activities and fragmentation of effort.

⁴¹ MS = Member States of the EU; AC = Associated country. Where the minimum conditions for an indirect action are satisfied by a number of legal entities, which together form one legal entity, the latter may be the sole participant, provided that it is established in a Member State or Associated country.

⁴² Societal challenges defined in the Commission proposal "Horizon 2020 - The Framework Programme for Research and Innovation", COM(2011) 808.

Indicative evaluation and contractual timetable:

Evaluations are expected to be carried out during the month of March 2013. It is expected that the grant agreement negotiation for the shortlisted proposals will start in May 2013.

Consortia agreements:

Consortia agreements are recommended but not mandatory for the action.

Forms of grants:

The forms of grant and maximum reimbursement rates which will be offered are specified in Annex 3 to this work programme.

2. Call title: Bilateral coordination for the enhancement and development of S&T Partnerships - Activity BILAT

- **Call identifier: FP7-INCO-2013-2**
- **Date of publication⁴³: 10.07.2012**
- **Deadline⁴⁴: 18.12.2012 at 17.00.00, Brussels local time**
- **Indicative budget⁴⁵: EUR 8 MILLION**

Activities called:

Activity/ Area	Funding Schemes	Indicative amount
7.2. Bilateral coordination for the enhancement and development of S&T Partnerships		EUR 8 million
7.2.1 Area 1: Canada, India, Japan, Republic of Korea	Coordination and Support Action (supporting action)	EUR 5 million
7.2.2 Area 2: Algeria, Egypt, Mexico, Tunisia	Coordination and Support Action (supporting action)	EUR 3 million

Eligibility conditions:

The general eligibility criteria are set out in Annex 2 of 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.

Minimum number of participants⁴⁶ as set out in the Rules for Participation:

Funding scheme	Minimum conditions
Coordination and Support Action (supporting action)	At least 1 independent legal entity

Additional Eligibility Criteria:

The additional eligibility criteria that apply to this call are:

- Each proposal must target only one country covered in the Areas of the call.

⁴³ The Directorate-General responsible for the call may publish it up to one month prior to or after the envisaged date of publication.

⁴⁴ At the time of the publication of the call, the Director-General responsible may delay this deadline by up to two months.

⁴⁵ Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority
- 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.
- All budgetary figures given in this call are indicative. The repartition of the sub-budgets awarded within this call, following the evaluation of proposals, may vary by up to 10% of the total value of the call.

⁴⁶ MS = Member States of the EU; AC = Associated country. Where the minimum conditions for an indirect action are satisfied by a number of legal entities, which together form one legal entity, the latter may be the sole participant, provided that it is established in a Member State or Associated country.

- The consortium must include at least one participant from the country targeted in the proposal.
- Proposals addressing a single societal challenge or a single industrial technology from those defined in the Commission proposal for Horizon 2020⁴⁷ will be declared ineligible

Evaluation procedure:

- A one-stage submission procedure will be followed.
- Proposals may be evaluated remotely.
- The participation of the third countries authorities responsible for the follow-up of the S&T cooperation agreement or any organisation, which has received the necessary mandate from the national authorities, is considered essential for the action and this will be reflected in the evaluation.
- For proposals targeting Area 1, matching funds from the target country are expected and this will be reflected in the evaluation (impact criterion).
- The participation of public authorities, national agencies and research organisations from Member States and/or Associated countries is encouraged and this will be reflected in the evaluation.
- The participation of industry and SMEs associations is encouraged and this will be reflected in the evaluation.

Indicative evaluation and contractual timetable:

Evaluations are expected to be carried out during the month of March 2013. It is expected that the grant agreement negotiations for the shortlisted proposals will start in May 2013.

Consortia agreements:

Consortia agreements are recommended but not mandatory for the action.

Forms of grants:

The forms of grant and maximum reimbursement rates which will be offered are specified in Annex 3 to this work programme.

⁴⁷ Societal challenges and industrial technologies defined in the Commission proposal "Horizon 2020 - The Framework Programme for Research and Innovation", COM(2011) 808.

3. Call title: Supporting the coordination of national and regional policies and activities of Member States and/or Associated countries in the field of international cooperation – Activity ERA-NET/ERA-NET PLUS

- **Call identifier:** FP7-INCO-2013-3
- **Date of publication⁴⁸:** 10.07.2012
- **Deadline⁴⁹:** 18.12.2012 at 17.00.00, Brussels local time
- **Indicative budget⁵⁰:** EUR 10 MILLION

Activities called:

Activity/ Area	Funding Schemes	Indicative amount
7.3 Supporting the coordination of national and regional policies and activities of Member States and/or Associated countries in the field of international cooperation (ERA-NET/ERA-NET PLUS) Areas : - India - Latin America and Caribbean countries - Mediterranean Partner countries - Russia	Coordination and Support Action (coordinating action)	EUR 10 million

Eligibility conditions:

The general eligibility criteria are set out in Annex 2 to this work programme and in the guide for applicants. 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.

Additional Eligibility Criteria:

⁴⁸ The Director-General responsible for the call may publish it up to one month prior to or after the envisaged date of publication.

⁴⁹ The Director-General responsible may delay this deadline by up to two months.

⁵⁰ Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority

- 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.
- All budgetary figures given in this call are indicative. The repartition of the sub-budgets awarded within this call, following the evaluation of proposals, may vary by up to 10% of the total value of the call.

- ERA-NET actions

The minimum number of participants in an ERA-NET action is **3 independent legal entities** which finance or manage publicly funded national or regional programmes. **Each of these shall be established in a different Member State or Associated Country.**

Partners for ERA-NET actions eligible to satisfy the above conditions are:

- Programme owners: typically national ministries/regional authorities responsible for defining, financing or managing research programmes carried out at national or regional level.
- Programme 'managers' (such as research councils or funding agencies) or other national or regional organisations that implement research programmes under the supervision of the programme owners.
- Programme owners (typically national ministries/regional authorities) which do not have a running or fully fledged research programme at the moment of submitting an ERA-NET proposal, but which are planning, and have committed, to set up such a programme, are also eligible if their participation is well justified and adds value to the overall programme coordination.

Sole participants (as referred to in Article 10 of the Rules for Participation) are eligible if the above-mentioned minimum conditions are satisfied by the legal entities forming together a sole participant. A sole participant shall explicitly indicate which of its 'members' are either programme owners or programme managers in the proposed action, and indicate for these members the respective national/regional programmes which are at the disposal of the proposed ERA-NET action.

Provided that the proposal complies with the minimum number of participants required in an ERA-NET action as described above, the following legal entities are eligible:

a) Programme owners and programme managers not established in a Member State or Associated Country;

b) Private legal entities (e.g. charities) which own or manage research programmes, if their participation is well justified and adds value to the overall programme coordination.

- ERA-NET PLUS actions

- The minimum number of participants in an ERA-NET Plus action is **5 independent legal entities** which finance or manage publicly funded national or regional programmes. **Each of these shall be established in a different Member State or Associated Country.**

Partners for ERA-NET actions eligible to satisfy the above conditions are:

- Programme owners: typically national ministries/regional authorities responsible for defining, financing or managing research programmes carried out at national or regional level.

- Programme 'managers' (such as research councils or funding agencies) or other national or regional organisations that implement research programmes under the supervision of the programme owners.

Sole participants (as referred to in Article 10 of the Rules for Participation) are eligible if the above-mentioned minimum conditions are satisfied by the legal entities forming together a sole participant. A sole participant shall explicitly indicate which of its 'members' are either programme owners or programme managers in the proposed action, and indicate for these members the respective national/regional programmes which are at the disposal of the proposed ERA-NET Plus action.

- Provided that the proposal complies with the minimum number of participants required in an ERA-NET Plus action as described above, the following legal entities are eligible:
 - a) Programme owners and programme managers not established in a Member State or Associated Country;
 - b) Private legal entities (e.g. charities) which own or manage research programmes, if their participation is well justified and adds value to the overall programme coordination.
- A single joint call shall be planned with a clear financial commitment from the participating national or regional programmes⁵¹.
- The total planned budget of *the joint call shall have a minimum financial volume of EUR 5 million, EU contribution included*.
- The joint call organised by the national programmes shall establish a set of common general evaluation/selection criteria, such as excellence and European added value.
- A common peer review mechanism for evaluating the proposals submitted to the joint call shall be planned.
- Each project financed out of the joint call shall be trans-national (i.e. minimum of two partners from different Member States or Associated Countries).
- Detailed rules for participation in the funded trans-national projects shall be defined by the call organisers themselves (i.e. participating national or regional programmes).

Evaluation procedure:

The evaluation criteria and scoring scheme are set out in Annex 2 to this work programme and are complemented as follows :

⁵¹ Proposals must demonstrate that national research programmes are committed to support the call. Selected proposals will have to provide evidence that a commitment has been made by the relevant research programmes.

1. Scientific and/or technological excellence - Quality of coordination (Threshold 3/5)

Level of ambition in the collaboration and commitment of the participants in the proposed ERA-NET / ERA-NET Plus action to coordinate their national/regional research programmes.

2. Quality and efficiency of the implementation (Threshold 3/5) – no additional criteria

3. Potential impact (Threshold 3/5)

Contribution to establishing and strengthening a durable cooperation between the partners and their national/regional research programmes.

- A one-stage submission procedure will be followed.
- Proposals may be evaluated remotely.
- The participation of programme owners and programme managers from the targeted countries or regions is considered essential for the success of the ERA-NET/ERA-NET PLUS actions; this will be taken into account in the evaluation (management criterion).
- The procedure for prioritising proposals with equal scores is described in annex 2 of the work programme.

Indicative timetable:

Evaluations are expected to be carried out during the month March 2013. It is expected that the contract negotiation for the shortlisted proposals will start in May 2013.

Consortia agreements:

Consortia agreements are recommended but not mandatory for the ERA-NET/ERA-NET PLUS actions.

Forms of grants:

The forms of grant and maximum reimbursement rates which will be offered are specified in Annex 3 to this work programme.

Use of flat rates for subsistence costs:

In accordance with Annex 3 of this work programme, this call provides for the possibility to use flat rates to cover subsistence costs incurred by beneficiaries during travel carried out within grants for indirect actions. For further information, see the relevant Guides for Applicants for this call. The applicable flat rates are available on the Participant Portal at: <http://ec.europa.eu/research/participants/portal> under 'Guidance documents for FP7/Financial issues/Flat rates for daily allowances.

4. Call title: Supporting the awareness raising of Horizon 2020 in third countries (INCO-H2020)

- **Call identifier: FP7-INCO-2013-4**
- **Date of publication⁵²: 10.07.2012**
- **Deadline⁵³: 18.12.2012 at 17.00.00, Brussels local time**
- **Indicative budget⁵⁴: EUR 1 MILLION**

Activities called:

Activity/ Area	Funding Schemes	Indicative amount
7.4. Supporting the awareness raising of Horizon 2020 in third countries	Coordination and Support Action (coordinating action)	EUR 1 million

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.

Minimum number of participants⁵⁵ as set out in the Rules for Participation:

Funding scheme	Minimum conditions
Coordination and Support Action (coordinating)	At least 3 independent legal entities, each of which is established in a MS or AC, and no two of which are established in the same MS or AC.

Evaluation procedure:

- A one-stage submission procedure will be followed.
- Proposals may be evaluated remotely.

⁵² The Directorate-General responsible for the call may publish it up to one month prior to or after the envisaged date of publication.

⁵³ At the time of the publication of the call, the Director-General responsible may delay this deadline by up to two months.

⁵⁴ Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority

- 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.
- All budgetary figures given in this call are indicative. The repartition of the sub-budgets awarded within this call, following the evaluation of proposals, may vary by up to 10% of the total value of the call.

⁵⁵ MS = Member States of the EU; AC = Associated country. Where the minimum conditions for an indirect action are satisfied by a number of legal entities, which together form one legal entity, the latter may be the sole participant, provided that it is established in a Member State or Associated country.

- Participants should have experience in promoting EU Programmes of Research and Innovation in third countries, in particular the dedicated horizontal activities to promote cooperation with third countries. This requirement should be explicitly documented in the proposal and will be reflected in the evaluation (management criterion).
- The involvement of participants from third countries with experience in promoting EU Programmes of Research and Innovation is encouraged and this will be reflected in the evaluation (impact criterion).
- 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.

Indicative evaluation and contractual timetable:

Evaluations are expected to be carried out during the month of March 2013. It is expected that the grant agreement negotiations for the shortlisted proposals will start in May 2013.

Consortia agreements

Consortia agreements are recommended but not mandatory for the action.

Forms of grants:

The forms of grant and maximum reimbursement rates which will be offered are specified in Annex 3 to this work programme.

5. Call title: Reinforcing cooperation with European Neighbourhood Policy countries on bridging the gap between research and innovation (R2I-ENP)

Call identifier: FP7-INCO-2013-9

Date of publication⁵⁶: 10.07.2012

• Deadline⁵⁷: 18.12.2012 at 17.00.00, Brussels local time

Indicative budget:⁵⁸ EUR 9.5 MILLION

Activities called:

Activity/ Area	Funding Schemes	Indicative amount
Reinforcing cooperation with European Neighbourhood Policy countries on bridging the gap between research and innovation (R2I-ENP)	Coordination and Support Action (supporting action)	EUR 9.5 million

Eligibility conditions:

The general eligibility criteria are set out in Annex 2 of 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.

Minimum number of participants⁵⁹ as set out in the Rules for Participation:

Funding scheme	Minimum conditions
Coordination and support action (supporting)	At least 1 independent legal entity

Additional Eligibility Criteria:

⁵⁶ The Directorate-General responsible for the call may publish it up to one month prior to or after the envisaged date of publication.

⁵⁷ At the time of the publication of the call, the Director-General responsible may delay this deadline by up to two months.

⁵⁸ - 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.
- All budgetary figures given in this call are indicative. The repartition of the sub-budgets awarded within this call, following the evaluation of proposals, may vary by up to 10% of the total value of the call.

⁵⁹ MS = **Member** States of the EU; AC = Associated country. Where the minimum conditions for an indirect action are satisfied by a number of legal entities, which together form one legal entity, the latter may be the sole participant, provided that it is established in a Member State or Associated country.

Beyond the minimum number of participants as set out in the Rules for participation, the additional eligibility criteria that apply to this call are:

- Each proposal shall focus on only one societal challenge among those identified in the Commission proposal for Horizon 2020⁶⁰;
- The consortium shall be composed of at least two participants from two different countries of each targeted geographic area (Eastern Partnership; Mediterranean Partner Countries) and two participants from two different Member States and/or Associated Countries;
- The consortium shall include at least two research organisations and two stakeholders from the industry or related business community (including industrial and SMEs associations, entities managing business incubators or industrial clusters, innovation support services providers).

Evaluation procedure:

- The evaluation criteria and scoring scheme are set out in Annex 2 to this work programme.
- A one-stage submission procedure will be followed.
- Proposals may be evaluated remotely.
- The procedure for prioritising proposals with equal scores is described in Annex 2 of the work programme.

Indicative evaluation and contractual timetable:

Evaluations are expected to be carried out during the month of March 2013. It is expected that the grant agreement negotiations for the shortlisted proposals will start in May 2013.

Consortia agreements

Consortia agreements are recommended but not mandatory for the action.

Forms of grants:

The forms of grant and maximum reimbursement rates which will be offered are specified in Annex 3 to this work programme.

⁶⁰ Societal challenges defined in the Commission proposal "Horizon 2020 - The Framework Programme for Research and Innovation", COM(2011) 808

IV OTHER ACTIONS

i) Evaluation of the cooperation with countries with an S&T agreement

The objective is to perform an evaluation of the cooperation with countries with an S&T agreement, which is up for renewal. The countries targeted in 2013 will be China, Morocco, Mexico and New-Zealand.

Funding scheme: Coordination and Support Action (supporting action), expert contracts,⁶¹ indicative budget EUR 0.20 million

Indicative timeframe: to be launched in the first quarter of 2013

ii) Ex-post evaluation of the International Cooperation Activities of the Capacities Programme

The objective is to perform an evaluation of the international cooperation activities of the Capacities Programme, which will feed into the overall ex-post evaluation of FP7. The impact of these activities on the participation of third countries in the Framework Programme will also be analysed.

The evaluation should comprise an in-depth analysis on the achievements of the actions and will entail meetings with the coordinators and main participants of these actions. An analysis of the actions supported by the joint activities of the International Cooperation ERA-NET/ERANET-PLUS actions should also be covered by the evaluation.

Funding scheme: Coordination and Support Action, expert contracts,⁶² indicative budget EUR 0.15 million

Indicative timeframe: to be launched in the second quarter of 2013

iii) Presidency events

The objective will be to organise two Presidency Conferences:

- in the second semester of 2013 (Lithuanian EU Presidency) with the view of taking stock of the FP7 achievements on international cooperation and discuss orientations for future actions to promote International Cooperation;

- in the first semester of 2014 (Greek EU Presidency) with the view of addressing the reinforcement of cooperation with ENP countries on bridging the gap between research and innovation

⁶¹ In accordance with Article 14(c), 17 and 27(5) 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).

⁶² In accordance with Article 14(c), 17 and 27(5) 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).

Funding scheme: Coordination and Support Action (supporting action), named beneficiary⁶³, indicative budget EUR 0.20 million (EUR 0.10 million per event)

Legal name and address of the beneficiary for the Conference under Lithuanian Presidency: Vilnius University, 3 Universiteto St., LT-01513 Vilnius, Lithuania

Legal name and address of the beneficiary for the Conference under Greek Presidency: General Secretariat for Research and Technology/Ministry of Education, Life Long Learning and Religious Affairs, 14-18 Messogion Ave, 115 10, Athens, Greece,

Indicative timeframe: third quarter of 2013 for the first event; second quarter of 2014 for the second event

iv) Destination Europe

In line with the development of the Partnership between the Member States and the EU, and with Commitments 30 and 31 of the Innovation Union flagship initiative, the 'Destination Europe' initiative to raise awareness in the USA of the attractiveness of Europe as a research and innovation location will be continued and strengthened in coming years (in consultation with the Strategic Forum for International Cooperation) with a series of events targeting researchers and innovators of all nationalities, who are examining their options for the next steps in their careers.

Funding scheme: Coordination and Support Action (supporting action), public procurement⁶⁴ (service contract), indicative budget EUR 0.65 million

Indicative timeframe: to be launched in the first quarter of 2013

⁶³ As defined in article 110 of the Financial Regulation and Article 168(1)(e) of the Implementing Rules.

⁶⁴ In accordance with Article 14(b) 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 BUDGET

Indicative budget for the Activities of International Cooperation of the 2013 Work Programme⁶⁵

	Total (EUR million)
Call FP7-INCO-2013-1 (INCO-NET)	12.30
Call FP7-INCO-2013-2 (BILAT)	8.00
Call FP7-INCO-2013-3 (ERA-NET/ERA-NET PLUS)	10.00
Call FP7-INCO-2013-4 (INCO-H2020)	1.00
Call FP7-INCO-2013-5 (R2I-ENP)	9.50
Other actions	
• Evaluation of the cooperation with countries with an S&T agreement	0.20
• Ex-post evaluation of the International Cooperation Activities of the Capacities Programme	0.15
• Presidency events	0.20
• Destination Europe	0.65
Estimated total budget allocation	42.00

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.

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 actions not implemented through calls for proposals may vary by up to 10% of the indicated budget for these actions.

Annexes:

⁶⁵ Under the condition that the preliminary draft budget for 2013 is adopted without modifications by the budget authority.

Annex 1: International cooperation partner countries

Identification of international cooperation partner countries following definition in Rules of Participation (note: common Annex to all Work Programmes).

Annex 2: Eligibility and evaluation criteria

Setting out the standard criteria following the principles set out in the Specific Programme. In line with discussions in the Submission to Ranking working group, these criteria for the different funding schemes should be the same for all calls and all parts to the extent possible.

Annex 3: Forms of the Grant and Maximum Reimbursement Rates for Projects

Setting out the standard forms of the grant used and any exceptions to these which apply (e.g. use of flat rates and lump sums), and the maximum reimbursement rates as set out in the Rules for Participation.

WORK PROGRAMME 2013

CAPACITIES

ANNEXES 1 - 3

***ANNEX 1: LIST OF INTERNATIONAL COOPERATION PARTNER
COUNTRIES (ICPC)***

ANNEX 2: ELIGIBILITY AND EVALUATION CRITERIA FOR PROPOSALS

***ANNEX 3: FORMS OF GRANT AND MAXIMUM REIMBURSEMENT
RATES FOR PROJECTS FUNDED THROUGH THE CAPACITIES WORK
PROGRAMME***

(European Commission C(2011)4526 of 09 July 2012)

**Annex 1: List of
International
Cooperation
Partner
Countries
(ICPC)¹**

ACP *

- AFRICAN

• Angola	LM
• Benin	L
• Botswana	UM
• Burkina-Faso	L
• Burundi	L
• Cameroon	LM
• Cape Verde	LM
• Central African Republic	L
• Chad	L
• Comoros	L
• Congo (Republic)	LM
• Congo (Democratic Rep.)	L
• Côte d'Ivoire	L
• Djibouti	LM
• Equatorial Guinea	UM
• Eritrea	L
• Ethiopia	L
• Gabon	UM
• Gambia	L
• Ghana	L
• Guinea	L
• Guinea-Bissau	L
• Kenya	L
• Lesotho	LM
• Liberia	L
• Madagascar	L
• Malawi	L
• Mali	L
• Mauritania	L
• Mauritius	UM
• Mozambique	L
• Namibia	LM
• Niger	L
• Nigeria	L
• Rwanda	L
• Sao Tome and Principe	L
• Senegal	L
• Seychelles	UM
• Sierra Leone	L
• Somalia	L
• South Africa ²	UM
• South Sudan	L
• Sudan	L
• Swaziland	LM

• Tanzania	L
• Togo	L
• Uganda	L
• Zambia	L
• Zimbabwe	L

- CARIBBEAN

• Barbados	UM
• Belize	UM
• Cuba	LM
• Dominica	UM
• Dominican Rep.	LM
• Grenada	UM
• Guyana	LM
• Haiti	L
• Jamaica	LM
• Saint Kitts and Nevis	UM
• Saint Lucia	UM
• Saint Vincent and the Grenadines	UM
• Suriname	LM
• Trinidad and Tobago	UM

- PACIFIC

• Cook Islands	UM
• Timor Leste	L
• Fiji	LM
• Kiribati	LM
• Marshall Islands	LM
• Micronesia, Federal States of	LM
• Nauru	UM
• Niue	UM
• Palau	UM
• Papua New Guinea	L
• Samoa	LM
• Solomon Islands	L
• Tonga	LM
• Tuvalu	LM
• Vanuatu	LM

ASIA

• Afghanistan	L
• Bangladesh	L
• Bhutan	L
• Burma/Myanmar	L
• Cambodia	L
• China ^{2**}	LM
• Democratic People's Republic of Korea	L
• India ^{2**}	L
• Indonesia	LM
• Iran	LM

• Iraq	LM
• Lao People's Democratic Rep.	L
• Malaysia	UM
• Maldives	LM
• Mongolia	L
• Nepal	L
• Oman	UM
• Pakistan	L
• Philippines	LM
• Sri Lanka	LM
• Thailand	LM
• Vietnam	L
• Yemen	L

EASTERN

EUROPE

AND CENTRAL

ASIA (EECA)

• Armenia ³	LM
• Azerbaijan ³	LM
• Belarus ³	LM
• Georgia ³	LM
• Kazakhstan	LM
• Kyrgyz Republic	L
• Russia ^{2**}	UM
• Tajikistan	L
• Turkmenistan	LM
• Ukraine ^{2,3}	LM
• Uzbekistan	L

LATIN AMERICA

• Argentina ²	UM
• Bolivia	LM
• Brazil ^{2**}	LM
• Chile ²	UM
• Colombia	LM
• Costa Rica	UM
• Ecuador	LM
• El Salvador	LM
• Guatemala	LM
• Honduras	LM
• Mexico ²	UM
• Nicaragua	LM
• Panama	UM
• Paraguay	LM
• Peru	LM
• Uruguay	UM
• Venezuela	UM

MEDITERRANEAN

PARTNER

COUNTRIES (MPC)

• Algeria ³	LM
• Egypt ^{2,3}	LM
• Jordan ^{2,3}	LM
• Lebanon ³	UM
• Libya ³	UM

• Morocco ^{2,3}	LM
• Palestinian-administered areas ³	LM
• Syrian Arab Rep. ³	LM
• Tunisia ^{2,3}	LM

WESTERN

BALKAN

COUNTRIES

(WBC)

• Kosovo ⁴	LM
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*In the 'Specific international cooperation actions', Africa can also be considered as a region on its own, while the Caribbean countries can also participate with Latin American and the Pacific countries with Asia.

**For participation in the 'Specific international cooperation actions' each of Brazil, China, India and Russia may be considered individually as a region on its own. Thus, the required two or more partners can be located in these countries. However, in this case, at least two different partners from different provinces, oblasts, republics or states within Brazil, China, India or Russia are necessary.

In accordance with Article 2(12) of the Rules for Participation in FP7, 'International Cooperation Partner Country' (ICPC) means a third country which the Commission classifies as a low-income (L), lower-middle-income (LM) or upper-middle-income (UM) country. Countries associated to the Seventh EU Framework Programme do not qualify as ICP Countries and therefore do not appear in this list.

¹ Legal entities established in countries in which the European Union under Articles 75 and 215 of the Treaty on the Functioning of the European Union has issued actions to interrupt or to reduce, in part or completely, economic relations, may only participate and receive a financial contribution if it complies with these actions.

² Signed an agreement with the EU covering Science & Technology.

³ These countries are also part of the European Neighbourhood Policy (ENP).

⁴ As defined by UNSC resolution 1244 of 10 June 1999.

* Legal entities established in the high-income territories Hong Kong, Macao and Taiwan, are not eligible under the ICPC provisions.

Annex 2: Eligibility and Evaluation Criteria for Proposals

Eligibility criteria

A proposal will only be considered eligible if it meets all of the following conditions:

- It is received by the Commission before the deadline given in the call text.
- It involves at least the minimum number of participants given in the call text.
- It is complete (i.e. both the requested administrative forms and the proposal description are present)
- The content of the proposal relates to the topic(s) and funding scheme(s), including any special conditions, set out in those parts of the relevant work programme

Other eligibility criteria may be given in the call text.

Evaluation criteria

The evaluation criteria against which proposals will be judged are set out in article 15 of the Rules for Participation. For the 'Capacities' specific programme these are:

- scientific and/or technological excellence;
- relevance to the objectives of these specific programmes[†];
- the potential impact through the development, dissemination and use of project results;
- the quality and efficiency of the implementation and management.

Within this framework, the work programmes will specify the evaluation and selection criteria and may add additional requirements, weightings and thresholds, or set out further details on the application of the criteria.

The purpose of this annex is to set out such specifications. Unless otherwise indicated in the relevant parts of this work programme, the criteria, weightings and thresholds given here will apply to all calls for proposals.

Proposals will be evaluated in line with the Commission 'Rules on Submission of Proposals and the Related Evaluation, Selection and Award Procedures'.

A proposal which contravenes fundamental ethical principles, fails to comply with the relevant security procedures, or which does not fulfil any other of the conditions set out in the specific programme, the work programme or in the call for proposals shall not be selected. Such a proposal may be excluded from the evaluation, selection and award procedures at any

[†] **Relevance** will be considered in relation to the topic(s) of the work programme open in a given call, and to the objectives of a call. In the scheme set out on the following page, these aspects will be integrated in the application of the criterion "S/T excellence", and the first sub-criterion under "Impact" respectively. When a proposal is **partially relevant** because it only marginally addresses the topic(s) of a call, or because only part of the proposal addresses the topic(s), this condition will be reflected in the scoring of the first criterion. Proposals that are clearly not relevant to a call ("out of scope") will be rejected on eligibility grounds.

Annex 2 of the 2013 Capacities Work Programme

time. Details of the procedure to be followed are given in the Commission rules mentioned above.

The arrangements for a particular call will be set out in the relevant Guide for Applicants.

Annex 2 of the 2013 Capacities Work Programme

		1. Scientific and/or technological excellence (relevant to the topics addressed by the call) (award)	2. Quality and efficiency of the implementation and the management (selection)	3. The potential impact through the development, dissemination and use of project results (award)
All funding schemes		<ul style="list-style-type: none"> Soundness of concept, and quality of objectives 	<ul style="list-style-type: none"> Appropriateness of the management structure and procedures Quality and relevant experience of the individual participants 	<ul style="list-style-type: none"> Contribution, at the European [and/or international] level, to the expected impacts listed in the work programme under relevant topic/activity
Collaborative projects		<ul style="list-style-type: none"> Progress beyond the state-of-the-art Quality and effectiveness of the S/T methodology and associated work plan 	<ul style="list-style-type: none"> Quality of the consortium as a whole (including complementarity, balance) Appropriateness of the allocation and justification of the resources to be committed (staff, equipment) 	<ul style="list-style-type: none"> Appropriateness of measures for the dissemination and/or exploitation of project results, and management of intellectual property.
Networks of Excellence		<ul style="list-style-type: none"> Contribution to long-term integration of high quality S/T research Quality and effectiveness of the joint programme of activities and associated work plan 	<ul style="list-style-type: none"> Quality of the consortium as a whole (including ability to tackle fragmentation of the research field, and commitment towards a deep and durable integration) Adequacy of resources for successfully carrying out the joint programme of activities 	<ul style="list-style-type: none"> Appropriateness of measures for spreading excellence, exploiting results, and disseminating knowledge, through engagement with stakeholders and the public at large.
Co-ordination & Support Actions	CA	<ul style="list-style-type: none"> Contribution to the co-ordination of high quality research Quality and effectiveness of the co-ordination mechanisms, and associated work plan 	<ul style="list-style-type: none"> Quality of the consortium as a whole (including complementarity, balance) [for SA: only if relevant] Appropriateness of the allocation and justification of the resources to be committed (staff, equipment) 	<ul style="list-style-type: none"> Appropriateness of measures for spreading excellence, exploiting results, and dissemination knowledge, through engagement with stakeholders, and the public at large.
	SA	<ul style="list-style-type: none"> Quality and effectiveness of the support action mechanisms, and associated work plan 		
Research for the benefit of specific groups		<ul style="list-style-type: none"> Innovative character in relation to the state-of-the art Contribution to advancement of knowledge / technological progress Quality and effectiveness of S/T methodology and associated work plan 	<ul style="list-style-type: none"> Quality of the consortium as a whole (including complementarity and balance) Appropriateness of the allocation and justification of the resources to be committed (staff, equipment) 	<ul style="list-style-type: none"> Appropriateness of measures for the dissemination and/or exploitation of project results, and management of intellectual property

Annex 2 of the 2013 Capacities Work Programme

Notes:

1. Evaluation scores will be awarded for each of the three criteria, and not for the sub-criteria. Each criterion will be scored out of 5. No weightings will apply. The threshold for individual criteria will be 3. The overall threshold, applying to the sum of the three individual scores, will be 10.
2. The second column corresponds to the **selection criteria** in the meaning of the financial regulation[‡] (article 115) and its implementing rules[§] (article 176 and 177). They also will be the basis for assessing the 'operational capacity' of participants. The other two criteria correspond to the **award criteria**.
3. For the evaluation of first-stage proposals under a two-stage submission procedure, only the sub-criteria in italics apply.

Priority order for proposals with the same score

As part of the evaluation by independent experts, a panel review will recommend one or more ranked lists for the proposals under evaluation, following the scoring systems indicated above. A ranked list will be drawn up for every indicative budget shown in the call fiche.

If necessary, the panel will determine a priority order for proposals which have been awarded the same score within a ranked list. Whether or not such a prioritisation is carried out will depend on the available budget or other conditions set out in the call fiche. The following approach will be applied successively for every group of *ex aequo* proposals requiring prioritisation, starting with the highest scored group, and continuing in descending order:

- (i) Proposals that address topics not otherwise covered by more highly-rated proposals, will be considered to have the highest priority.
- (ii) These proposals will themselves be prioritised according to the scores they have been awarded for the criterion *scientific and/or technological excellence*. When these scores are equal, priority will be based on scores for the criterion *impact*. If necessary, any further prioritisation will be based on other appropriate characteristics, to be decided by the panel, related to the contribution of the proposal to the European Research Area and/or general objectives mentioned in the work programme (e.g. presence of SMEs, international co-operation, public engagement).
- (iii) The method described in (ii) will then be applied to the remaining *ex aequos* in the group.

NOTE: the call fiche may indicate provisions that supplement or override the above.

[‡] OJ L248 16.9.2002, p1.

[§] OJ L357 31.12.2002, p1

Annex 3: Forms of Grant and Maximum Reimbursement Rates for Projects Funded Through the Capacities Work Programme

Forms of Grant

The FP7 'Rules for Participation' propose three potential forms of grant for the European Union financial contribution: reimbursement of eligible costs, flat rate financing including scale of unit costs, and lump sum financing. In this work programme, for all funding schemes, the reimbursement of eligible costs (including the different options for flat rates on indirect costs as established in Article 32 of the Rules for Participation) will be the only form of grant used.

Three exceptions to this will apply. Pursuant to Article 30 of the Rules for Participation and Commission Decision C(2007)2287 of 4 June 2007, participants from International Cooperation Partner Countries (see Annex 1) may choose to opt for lump sum financing.

In accordance with Article 2 of the Commission Decision of 23 March 2009 under reference C(2009)1942, the present work programme provides for the possibility to use flat rates to cover subsistence costs incurred by beneficiaries during travel carried out within grants for indirect actions. The applicable flat rates are available at the following website: http://ec.europa.eu/research/participants/portal/page/fp7_documents under 'Guidance documents for FP7/Financial issues/Flat rates for daily allowances'. Please note this option is only available when stated explicitly in the call fiche.

In addition, Part 5 of this work programme 'Science in Society' provides for lump sum reimbursement for travel and subsistence costs, up to a maximum of EUR 25 000 per beneficiary. This option is not available for participants wishing to cover cost categories other than travel and subsistence and for those participants requesting a total EU contribution of more than EUR 25 000. Further information on this is given in Part 5.

Maximum Reimbursement Rates

The upper limits foreseen in the Rules for Participation (Article 33) for the Community financial contribution are summarised in the following table.

	Non-profit public bodies, secondary and higher education establishments, research organisations and SMEs	All other organisations
Research and technological development activities	75%	50% ^{**}
Demonstration activities	50%	50%
Coordination and support actions	100%	100%
Management, audit certificates and other activities ^{††}	100%	100%

^{**} For security related research and technological development activities, (Chapter 10 of this work programme) the EU financial contribution may reach a maximum of 75% in the case of the development of capabilities in domains with very limited market size and a risk of 'market failure' and for accelerated equipment development in response to new threats. Further information is given in Chapter 10.

^{††} Including, inter alia training in actions that do not fall under the funding schemes for training and career development of researchers, coordination, networking and dissemination (as set out in Article 33(4) of the Rules for Participation).