Research and Scholarships Funded by „Brussels“

Understanding the Viewpoints of Applicants, Evaluators and the European Commission

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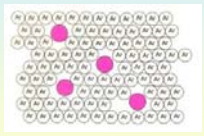
München, May 2008

Happiness is...



Mit dem Finger in den Honigtopf

FP7 2

Back to the present

It‘s a rapidly changing world...

- Enlargement of the European Community
  but European Commission still similar size
  (larger projects, JTI = Joint Technology Initiatives)
- Europe strives to become world‘s leading research area
  but lacks researchers and research funding
- Energy crisis and climate changes on the horizon
- Concept of life-long learning gaining ground

- Max Planck Society under pressure to „leave the ivory tower“:
  more applied research, third party funding,
  more dialog with the public, junior research groups,
  more advancement of women, contact with alumni, etc.

Comparison 1: Erasmus, Socrates, Leonardo

ERASMUS (support of part of the study period abroad)

1987/88	649	German students
2006	23.000	German students
Total	240.000	German Erasmus students
	1.500.000	European Erasmus students from 31 countries

2007 – 2013	Erasmus is part of „Lifelong Learning“ Budget 3100 Million Euro
Target 2012	3.000.000 Erasmus-Students

Comparison 2: BMBF vs. EU-Funding

Förderbereiche	Vergleich BMBF versus EU-Förderung (Angaben in Mio. Euro, Stand 2005)		
	Projektförderung durch BMBF (2005)	Anteil DE am 6. FRP	Verhältnis FRP zu BMBF
Gesundheitsforschung	122,6 Mio. €	61,8 Mio. €	50,4 %
Biotechnologie	193,5	58,9	30,4 %
Informationstechnik	366,8	177,6	48,4 %
Materialforschung	160,7	74,8	46,5 %
Verkehr und Mobilität	43,0	32,5	75,5 %
Nachhaltige Entwicklung	206,2	48,3	23,4 %
Energieforschung	160,0	41,3	25,8 %
Weltraumforschung	155,5	6,7	4,3 %
Geistes- u. Sozialwiss.	35,9	7,8	21,6 %
Großgeräte	72,9	38,5	52,8 %
Bereiche ohne Entsprechg.	488	388	(79,5 %)
GESAMT	2 005,1	936,2	46,7 %

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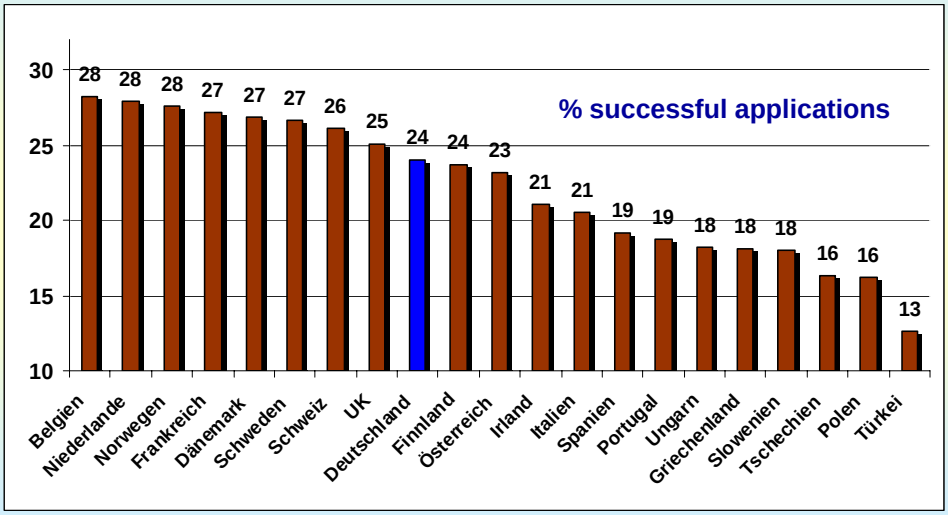
Comparison 3: FP6 success quotes



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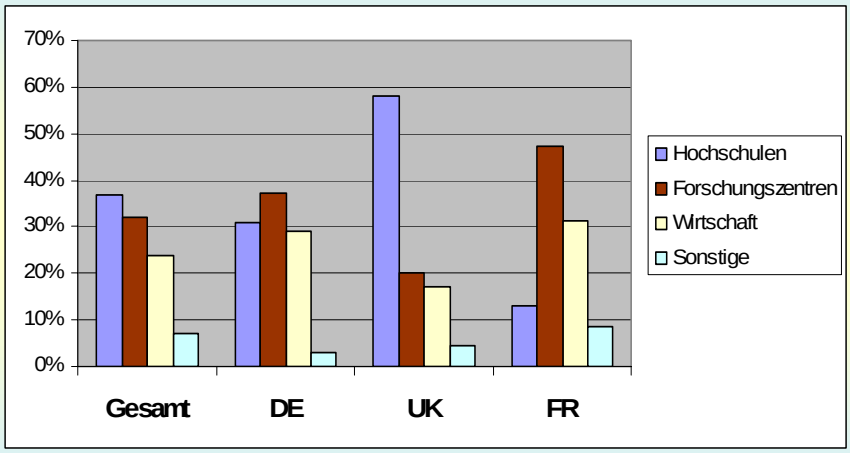
Comparison 4: receiving organisations



Prozentualer Anteil der Einrichtungstypen an den Zuwendungen, die in die jeweiligen Mitgliedstaaten fließen
100% bezieht sich auf die vom jeweiligen Mitgliedstaat eingeworbenen Mittel

A note for lawyers and social scientists

Two perspectives on EU research funding:
the present is lacklustre, the future is potentially shining

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Abstract

This commentary is in response to the European Union's (EU's) 7th framework programme (FP7). It sets out the major elements of FP7 and discusses the pros and cons of the EU's activity in the field of research funding. The main argument is that the EU's activities have grown in size. They can and should no longer be ignored by political scientists when looking for research money. The commentary enumerates some arguments regarding why the EU programmes may be better, or may become better in the future, than the usually critical accounts of the EU research system suggest.

"....Seen from the perspective of basic research, at least seven positive aspects can, in my view, be identified.....".

European Political Science **(2007) 6, 315–321. doi:10.1057/palgrave.eps.2210145**

puzzling?

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Outline

1. Quick historical tour
2. The Commission‘s viewpoint
3. Why should you / we participate? The MPI view
4. Focus 1: Coordination Action – Energy
5 Focus 2: People – MarieCurie Network
6. Focus 3: European Research Council (MPI part)
7. Focus 4: A quick look at Capacities
8. The Scientist‘s viewpoint (Tips)
9. The Evaluator‘s viewpoint (Tips)
10. Tips for contract negotiations
11. Tips for project management
12. Mortal sins or „How to secure failure“ (Tips)
13. Multiplicators & Training
14. Information sources

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EU research: the story so far

1952:	ECSC treaty; first projects started March 1955	
1957:	Euratom treaty; Joint Research Centre set up	
1983:	ESPRIT programme	
1984:	First Framework Programme (1984-1987)	1,500 M€
1987:	'Single European Act' – science as Community responsibility Second Framework Programme (1987-1991)	3,500 M€
1990:	Third Framework Programme (1990-1994)	5,500 M€
1993:	Treaty on European Union; RTD in the enlarged EU	
1994:	Fourth Framework Programme (1994-1998)	12,300 M€
1998:	Fifth Framework Programme (1998-2002)	14,960 M€
2000:	European Research Area	
2002:	Sixth Framework Programme (2002-2006)	17,500 M€
2005:	Proposal for FP7 (2007-2013)	
2007:	Seventh Framework Programme (2007 – 2013)	54.582 M€

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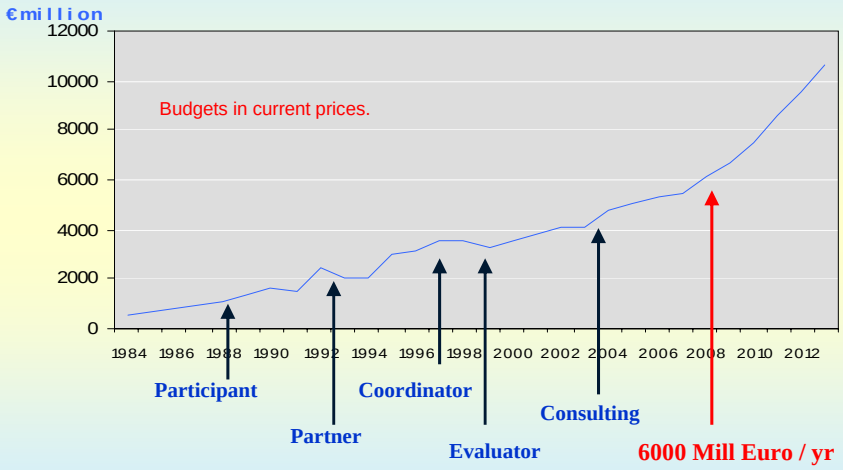
Annual FP Budgets 1984 - 2013



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The Commission's Viewpoint

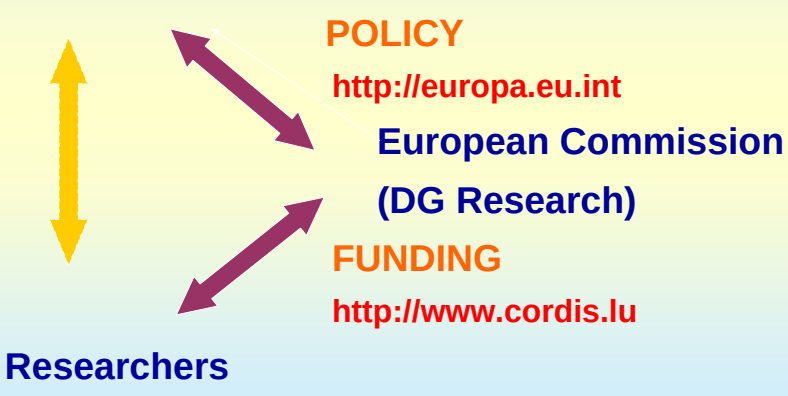
Valid from RP1 – RP6:

"If you expect the Commission to finance your basic or applied research - forget it."

Basic and applied research in general has to be financed by national means!

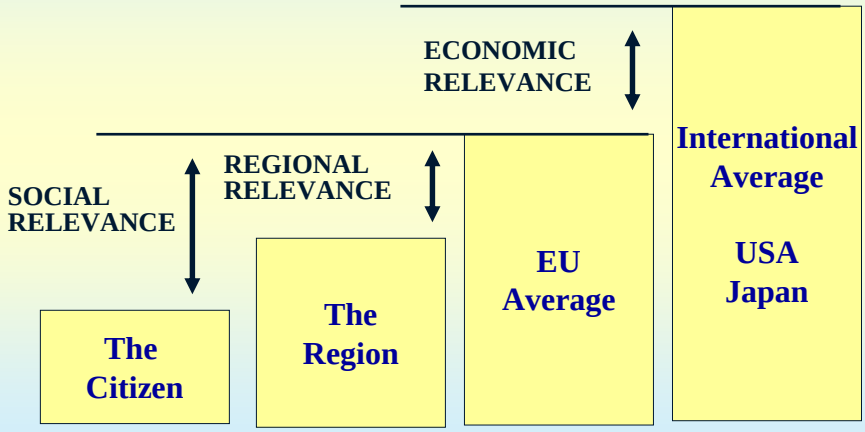
Basics (1)

Basic relationships



Basics (2)

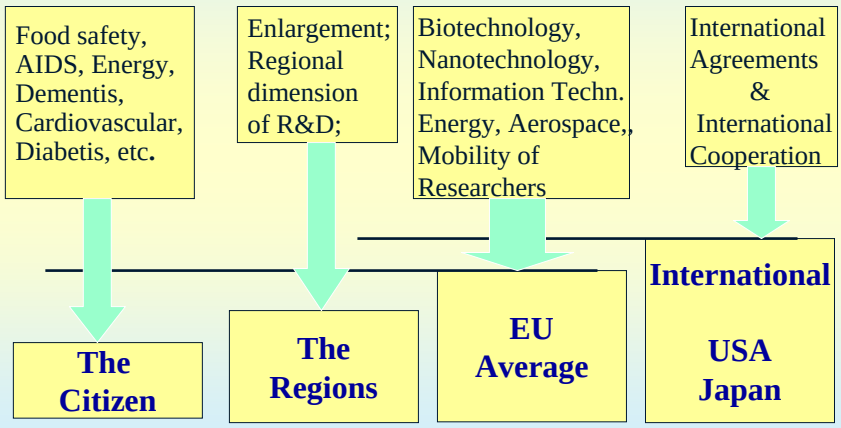
What concerns European politicians?



Adopted from the concept of Dr. Sean McCarthy, www.hyperion.ie

Basics (3)

Policy concerns reflected in Commission topics:



Adopted from the concept of Dr. Sean McCarthy, www.hyperion.ie

... and consequences

You are not going to Brussels
to get funding for your research!

You are going to Brussels
to assist the Commision
in solving a problem
the Commission has identified!

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Why participate?

Student:	**Funding of postdoc period**
Postdoc:	**Funding of advanced studies, career start**
Postdoc:	**Start of an independent junior research group**
Group leader:	**Funding of doctoral students and postdocs**
Group leader:	**Funding research off mainstream (or risky)**
Group leader:	**Extra lab funding („Bench fee“) + International cooperation, (+ Fachbeirat)**
Director:	**Fachbeirat + International cooperation + Scientific necessity + Access to infrastructure + Reputation + ERC easter egg**
For all:	**„The Framework Programmes are transparent....“ „There are guidelines and help for everything...“ „The Framework Programmes can appear complex...“**

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EU-Funding of Max-Planck-Projects 1

- RP4 1995-1998 13,50 Mio Euro / y + 33,75 IPP
- RP5 1999-2002 20,75 Mio Euro / y + 29,0 IPP
- RP6 2003-2006 36,77 Mio Euro / y + 24,75 IPP

74 Institutes participated, acquired 147 Mio Euro
with overall success rate higher than 40 %

- Excellent science
- Liaison office in Brussels (Dr. Hesse)
- Responsibilities established at headquarters, audit by „Interne Revision“, legal IPR advice
- EU Liaison Officers in a growing number of institutes attend information seminars for multiplicators
- Information exchange in „EU Arbeitskreis“
- Training seminars for all (McCarthy) centrally funded
- Pre-evaluation by internal (MPG) experts

EU-Funding of Max-Planck-Projects 2

So far in FP7

- 10 new Regional EU Liaison Officers funded by central funds for three years

- 158 Institutes participated
- acquired approx. 50 Mio Euro
- with overall success rate of 25 %

By comparison with FP6 this means
less projects - but with on average larger funding

And: 10 Institutes are hosts for ERC Starting Grants
(only CNRS hosts more)

FP7 2007–2013: The Specific Programmes

Cooperation – Collaborative research

Ideas – Frontier Research

People – Marie Curie Actions

Capacities – Research Capacity

+

JRC non-nuclear research

Euratom direct actions – JRC nuclear research

Euratom indirect actions – nuclear fusion and fission research

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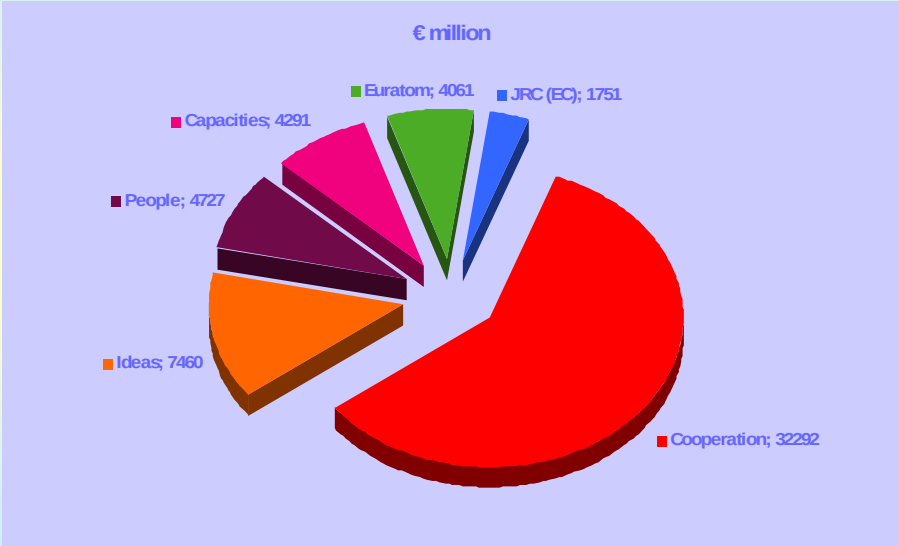
FP7 budget (€ 54 582 million, current prices)



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What's new in FP7 ?

Main new elements compared to FP6:

- Duration increased from five to seven years
- Annual budget increased significantly
- Basic research (~ €1 billion per year)
- **New structure**: Cooperation, Ideas, People, Capacities
- Flexible funding schemes
- Joint Technology Initiatives
- Funding thresholds as eligibility criteria !
- Logistical and administrative tasks transferred to external structures

Secondary Commission aims

- Better communication, simpler language (CORDIS, working programs, regulations, guidelines, broschures...)
- Acceleration and harmonisation of the internal procedures of the Commission
- Improvement and harmonisation of the IT-procedures for the entire project cycle (proposal > negotiation > contract > reports > audits > final and public reporting)
- Higher success rate for the new membership countries

New terms in FP7

PROGRAMMES

e.g. Cooperation, Ideas, People, Capacities

Programme have **THEMES**

e.g. Energy, Transport

Themes have number of **ACTIVITIES**

e.g. Renewable electricity generation; Hydrogen and Fuel Cells

Each activity covers one or more **AREAS**

e.g. PV, Wind, Biofuels

Each area in turn is split in a number of **TOPICS**

project-level subjects in calls for proposals – change each call

Funding Schemes

e.g. Collaborative Project, Network of Excellence

Example: "Solar Hydrogen Production"

Cooperation **– Collaborative research**

Ideas **– Frontier Research**

People **– Marie Curie Actions**

Capacities **– Research Capacity**

+

JRC non-nuclear research

Euratom **direct actions – JRC nuclear research**

Euratom **indirect actions – nuclear fusion and fission research**

Focus: Collaboration project "Solar Hydrogen"

I. Cooperation	Budget (€ million, current prices)
1. Health	5 984
2. Food, agriculture and biotechnology	1 935
3. Information and communication technologies	9 110
4. Nanotechnologies, materials and production	3 467
5. Energy	2 265
6. Environment	1 886
7. Transport	4 180
8. Socio-economic research	607
9. Security and space	2 858
Total	32 292*

* Not including non-nuclear activities of the Joint Research Centre: €1 751 million

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Focus: Energy Theme

- Renewable electricity generation DG RTD & TREN
- Energy savings and energy efficiency (incl. CONCERTO & CIVITAS-Plus) DG TREN
- Renewable fuel production DG RTD & TREN
- CO_2 capture and storage for zero emission power generation DG RTD
- Renewables for heating and cooling DG TREN
- Clean coal technologies DG TREN
- Smart energy networks DG RTD & TREN
- Hydrogen and fuel cells DG RTD & TREN
- Knowledge for energy policy making DG RTD & TREN
- Horizontal programme actions DG RTD & TREN

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Focus: Activity Energy 1 - Hydrogen and Fuel Cells

Area	Topics called	Funding
1.1 Fuel cells	1.1.1: Basic research…Polymer Electro.	CP s/m
	1.1.2: ….	
1.2 Hydrogen Supply	1.2.1 New materials .. electrolysers	CP s/m
	1.2.2 New materials.. processors	CP s/m
	1.2.3 Adv. materials.. thermochem	CP s/m
	1.2.4 Novel nano mat storage	CP s/m
1.3 Cross cutting issues	1.3.1 Pre-normative research	CP s/m

No chance here

Focus: Activity Energy - Renewable Fuel Production

Area	Topics called	Funding
3.2 Second generation fuel from biomass	3.2.1 Pre-treatment of… biomass	CP s/m
	3.2.2 New & adv. Technologies	CP s/m
	3.2.3 High purity syngas…	CP s/m
3.3 Biorefinery	3.3.1 Forest-based biorefinery	CP s/m
	……	
3.5 Alternative routes to renewable fuel production	**3.5.1 Fuel production using solar radiation (FET = Future and Emerging Technology topic)**	**CP s/m**

Deadline 3 May 2007; 109 M€ from 2007 budget; max EC request 4 M€, single stage evaluation May-July 2007; contract negotiations by September 2007; consortium agreement. **We got it!**

NB: look forward to 2008-RTD, check Important topics complementary to those in first all; areas not well covered by the outcome of the first call wiil be handled by Future and Emerging Technologies (FET). ERA-NETs, Specific International Cooperation Actions(SICA)

NB: averages in FP6

Instrument	EU-Contribution	Contract period	Optimal size
IP	**€ 10 Mio.** (€ 4-25 Mio.)	**36-60 months**	**10-20 partner**
STREP	**€ 1.9 Mio.** (€ 0.8-3 Mio.)	**18-39 months**	**6-15 partner**
NoE	**€ 7 Mio.** (€ 4-15 Mio.)	**48-60 months**	**6-12 partner**
CA	**€ 1 Mio.** (€ 0.5-12 Mio.)	**18-36 months**	**13-26 partner**
SSA	**€ 0.5 Mio.** (€ 0.03-1 Mio.)	**9-30 months**	**1-15 partner**

Focus: check other programmes where energy proposals can be submitted

Transport, Nanotech, Biotech Themes
CIP – Intelligent Energy for Europe
RFCS Coal and Steel Programme
- Clean Coal, Carbon Capture and Storage

IDEAS Specific Programme
- European Research Council
- Frontier research

PEOPLE Specific programme
- Marie Curie Fellowships and Networks

CAPACITIES Specific programme
- SMEs
- Infrastructures
- ERA NET

FP7 2007–2013 Specific Programmes

Cooperation **– Collaborative research**

Ideas **– Frontier Research**

People **– Marie Curie Actions**

Capacities **– Research Capacity**

+

JRC non-nuclear research

Euratom **direct actions – JRC nuclear research**

Euratom **indirect actions – nuclear fusion and fission research**

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People – Marie Curie Actions

Initial training:
•Networks for Early stage researchers

Life long training and career development:
• Individual Fellowships
• Co-funding of national programmes

Industry dimension*:*
• Industry-academia partnership and pathways

International dimension*:*
• Outgoing fellowships
• Incoming fellowships
• International staff exchange scheme
• Scientific diasporas

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People – Marie Curie Actions

Initial training of researchers **(40%)**
- Marie Curie Networks*

Life-long training and career development **(25-30%)**
- Individual Fellowships
- Co-financing of regional/national/international programmes

Industry-academia pathways and partnerships **(5-10%)**
- Industry-Academia Knowledge–sharing Scheme*

International dimension **(25-30%)**
- Outgoing & Incoming International Fellowships
- International Cooperation Scheme
- Reintegration grants;
- Support to researcher 'diasporas'

Specific actions **(~ 1 %)**
- Mobility and career enhancement actions
- Excellence awards

*** Open to third-country nationals**

Marie Curie International dimension

Objective

Reinforce extra-European dimension of the ERA through human resources

Two action lines:

Career development/life-long training for EU researchers :
- Outgoing individual fellowships**, with mandatory return**
- Return and reintegration **for European researchers abroad**

International co-operation through researchers from 3d countries :
- **All Marie Curie *host driven* actions open to 3d country nationals**
- Incoming individual fellowships **for knowledge transfer to Europe and collaboration enrichment with 3d countries (optional return for researchers from less developed economies)**
- Staff exchange scheme **to enhance co-operations between EU and 3d country research organisations (for EU neighbouring countries and S&T agreement countries) – from 2008 only**
- **Support action for «** scientific diasporas **»**

MC Initial Training Networks

Main features

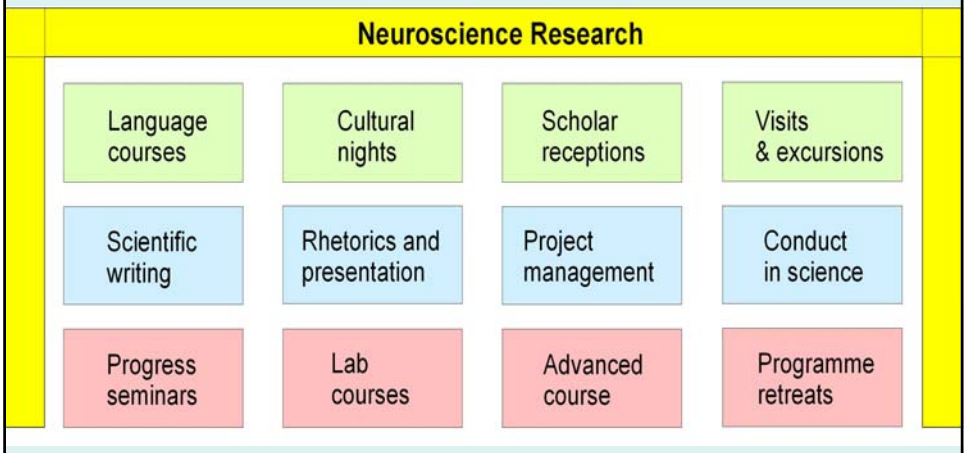
- **International network of participants or international cooperation in research training**
  Participants: National organisations (e.g. universities, research centers, etc); Commercial enterprises (especially SMEs); Non-profit or charitable organisations (NGOs, trusts, etc…); International European Interest Organisations (CERN, EMBL, …); The Joint Research Center of the EC; International organisations (WHO, UNESCO, etc…)
- **Industry involvement obligatory (involvement at several levels)**
- **Joint Training Programme with (i) training through research, (ii) complementary competences modules, (iii) exposure to both public and private sector**
- **Coherent quality standards / mutual recognition of training / diplomas**
- **Multi-, twinning-or mono-sites possible!**

MC Initial Training Networks

Main features

- **Allowances (“bench fee”) for ‘early-stage’ researchers;**
- **‘visiting scientist’ positions;**
- **Contribution to training and networking costs;**
- **Short training events open to researchers from outside the network**
- **No “European Added Value” necessary !**
- **Network-wide joint research project not necessary !!**
- **3 year funding under a 4 year project contract (no stipends! contracts!)**
- **But: SME participation important!**

Example structured training



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ITN (multi, twinning or mono)

Direct or indirect involvement **of** private business sector **as:**

Full Network Partner	Offer research training & **Recruit** eligible researchers	Level 1
Associated Partner	Provide research training, **complementary skills courses,** (communication, enterprise cycles, innovation, IPR, …) **secondments**	Level 2
	Member of the **Supervisory Board**: definition of skills requirements for targeted researchers	Level 3

ITN: eligibility

Eligible researchers: **Member States, AC, ICPC and OTC**

		Eligibility Criteria at the time of recruitment	Duration of appointments
INITIAL TRAINING	Early stage researchers *(≥ 80%)*	0 ≤ Research experience ≤ 4 years No PhD	3-36 months
INITIAL TRAINING	Experienced researchers	PhD or at least 4 years of research experience & Research experience ≤ **5 years**	3-24 months
Transfer of NEW COMPETENCES	Visiting scientists *(a limited number)*	Experienced researchers (experience >> 4 years) with outstanding stature in international training and collaborative research	≥ 1 month Multiple stays

ITN: Training activities 1

Training activities:

Training **on** scientific **and** technological knowledge through research**: individual personalised projects within the frame of the research topics defined by the network**

Provision of structured training courses**:**

- **tutoring, lecture courses, teaching**
- **available either locally or from another participant of the TN**
- **local training programmes are expected to be coordinated to maximise added value (e.g. joint syllabus development, opening up of local training to other network teams, joint Ph.D. programmes, etc.)**

- intersectorial visits **and** secondments (e.g. Bruker, PerkinElmer, European Patent Office, GDCh courses, skills courses)
- **Development of** network-wide training activities**: *workshops, summer schools***
- **exploitation of the** interdisciplinary **and** intersectoral **aspects of the project**
- **exposure of the participants to different schools of thought**

ITN: Training activities 2

- **provide** complementary training **in IPR, project management, presentation skills, language courses, ethics, communication, entrepreneurship, proposal writing, task coordination…**
- visiting scientists **may contribute to such activities**
- **coordinated by a clearly identified** Supervisory Board
- **Personal Career Development Plan established for researchers recruited for ⩾ 6 months**

Early Post-Docs

- **make them more independent**
- **provide them the skills to become team leaders in a near future**

- **involved in intersectoral or interdisciplinary ToK**
- **taking part in the management of the research project**
- **organisation of training events**

ITN: networking activities

Networking activities:

- **Organisation of scientific / managerial network meetings**
- **Invitation of external experts**
- **Attendance at international conferences and workshops**
- **Electronic networking (internet webpages, email, video conferencing)**
- **Collaboration with other ITNs in similar or complementary fields**
- **Organisation of a final network conference (widely publicised)**

International Conferences and other training events open to external researchers:

Opportunity for the recruited researchers to exchange knowledge with more experienced researchers
Opportunity for the members of the network to disseminate the skills and knowledge that the teams have to offer
Open training events can be international conferences, workshops, seminars, summer schools, etc…
Full details of the contents, quality and expected number of participants of such events should be given and fully justified in the proposal. Justification and integration of the proposed events in the joint training programme will be assessed by the expert evaluators !!

ITN: the financial benefits

Eligible expenses for the activities carried out by the host organisations:

- Contribution to the research/training/ToK programme expenses
  - Fixed amount of 600€ / researcher-month
- Contribution to the organisation of international conferences, workshops and events
- Fixed amount of 300€ / researcher-day for researchers from outside the network and for the duration of the event (!)
- Management activities
  - *7% of the total EC contribution for Multi-site ITN*
  - *3% of the total EC contribution for Mono-site and Twinnings ITN*
- Overheads
  - *10% of direct costs (except subcontracts)*

This is the chance to fund PhD students for three years

and get on top 22,000 Euro for consumables !

ITN in 2008 WP

- Call Identifier: *FP7-PEOPLE-ITN-2008*
- Call Date: *4 April 2008*
- Submission Deadline: ***2 September 2008*** *(17:00 Brussels time)*
- Procedure: ***Single stage submission / evaluation !***
- Evaluation results: *~ January 2009*
- Contract signature: *~ March 2009 onwards*

– *http://ec.europa.eu/research/mariecurieactions/*

Keep in mind: in FP6 success 80/900. Best 6-8 participants, 2 coworkers per group (1 ESR + 1 Postdoc), 2.5 Mio €, roughly 100 – 110 projects expected

No call in 2009 !!

FP7 2007–2013 Specific Programmes

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People – Marie Curie Actions

Capacities – Research Capacity

+

JRC non-nuclear research

Euratom direct actions – JRC nuclear research

Euratom indirect actions – nuclear fusion and fission research

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Funding of Basic Research

- research-driven pioneer research ("bottom-up") (frontier research, risky, without disciplinary borders, for the benefit of science and society)
- single teams (not networks)
- scientific autonomy
- single criterium: scientific excellence
- promise of simple and user-friendly execution
- all areas of science covered, administrative:

  Physical Sciences & Engineering, Biological & Life Sciences, Social Sciences and Humanities

- First call Starting Grants 45% - 40% - 15%
- First call Advanced Grants 39% - 34% - 14%

  + 13% for Interdisciplinary – Cross Panel / Cross domain

FP7 48

Specific Program IDEAS

***Aim*: Retain – Repatriate – Recruit**

- favour **"brain gain"** and **"reverse brain drain"**
- improve **career opportunities and independence** – especially for young researchers
- increase **competition, recognition and international visibility** for excellent individual scientists and scholars in Europe

***Activities*: Two complementary funding schemes**

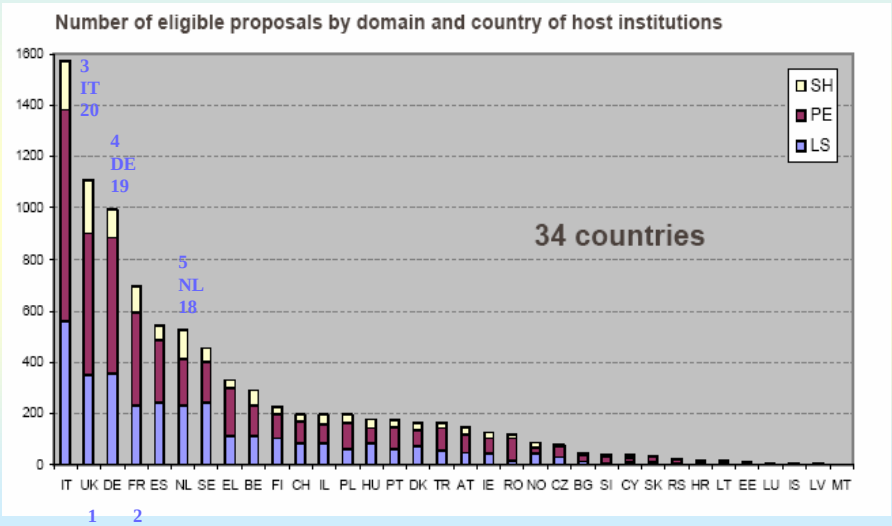
- **ERC Starting Grant (StG):** attract & retain the next generation of independent research leaders
- **ERC Advanced Grant (AdG):** attract & reward established independent research leaders

ERC Starting Grant

ERC Starting Independent Researcher Grant

Support for establishing or consolidating an independent team of researchers. Transition to independent research.
Young and new excellent teams, with energy and new ideas for science.

ERC Starting grants – proposals 2007



ERC Starting Grant

ERC Starting Independent Researcher Grant

Support for establishing or consolidating an independent team of researchers. Transition to independent research.
Young and new excellent teams, with energy and new ideas for science.

9167 applications > 8794 eligible > 559 full proposal
Priority list – 201 proposals; Reserve – 229 proposals in rank order.

UK 40; FR 24; IT 20; DE 19; NL 18; IL 17; CH 13; ES 13; BE 10; SE 7; FI 5; HU 3; AT 2; EL 2; 1 each CZ, BG, PT, NO, DK, IE

136 Starting Grants Proposals with MPG participation – 10 successful

Quality: some countries fund unsuccessful B-List from own funds !

ERC Advanced Grant

ERC Advanced Grant

- **Designed to support excellent investigator-initiated research projects by** established independent research leaders
- **Targeting researchers who have already established their independence as team leaders and are** exceptional leaders in terms of significance of their research achievements **(in the last 10 years)**
- **In mind: 10-15 years after PhD, or end of career**

Total Budget: 517 Mio € > approx. 200 projects funded
Project budget: 100.000 – 500.000 €/ Jahr,
max 2.5 Mio € (exception 3.5 Mio for new, highly disciplinary project with PI from outside)
Project period: up to 5 years

- Single (EPSS) submission (1 stage, 2 step evaluation)
- 3 deadlines, 3 domains, 25 panels (10 PE, 9 LS, 6 SH), 20,000 prop feared
  - Physical Sciences and Engineering (PE) 997 proposals
  - Social Sciences and Humanities (SH) 403 proposals
  - Life Sciences (LS) 776 proposals

ERC Advanced Grants

Managing the high demand for grants

- **Maximise call budget**
  - By combining budgets over 2 successive years (only one application per researcher in either 2008 or 2009)
- **Encourage the best to apply**
  - Excellent track record (in recent years)
  - Strong leadership profile
- **Discourage trivial or low-quality applications**
  - Applications should be substantive (one-stage submission with two stage evaluation)
  - Disincentives to submission of applications which are not of the highest quality

ERC Advanced Grant

Benchmarks of 10 year "track record"

- Senior author publications in major peer-reviewed multi-disciplinary scientific journals **and / or** in the leading peer-reviewed journals of their respective research fields
- Monographs and any translations of monographs (if applicable).
- Granted patents (if applicable)
- Invited presentations into peer-reviewed, internationally established conferences and/or international advanced schools (if applicable)
- Expeditions that the applicant has led (if applicable)
- International conferences in the field of the applicant that have been organised (member of the steering and/or organising committee) by him/her (if applicable)
- International Prizes / Awards / Academy memberships (if applicable)

FP7 2007–2013 Specific Programmes

Cooperation **– Collaborative research**

Ideas **– Frontier Research**

People **– Marie Curie Actions**

Capacities **– Research Capacity**

+

JRC non-nuclear research

Euratom **direct actions – JRC nuclear research**

Euratom **indirect actions – nuclear fusion and fission research**

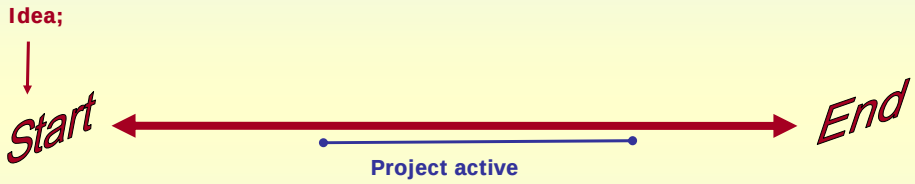
Capacities

To enhance research and innovation capacities throughout Europe and ensure their optimal use in seven areas:

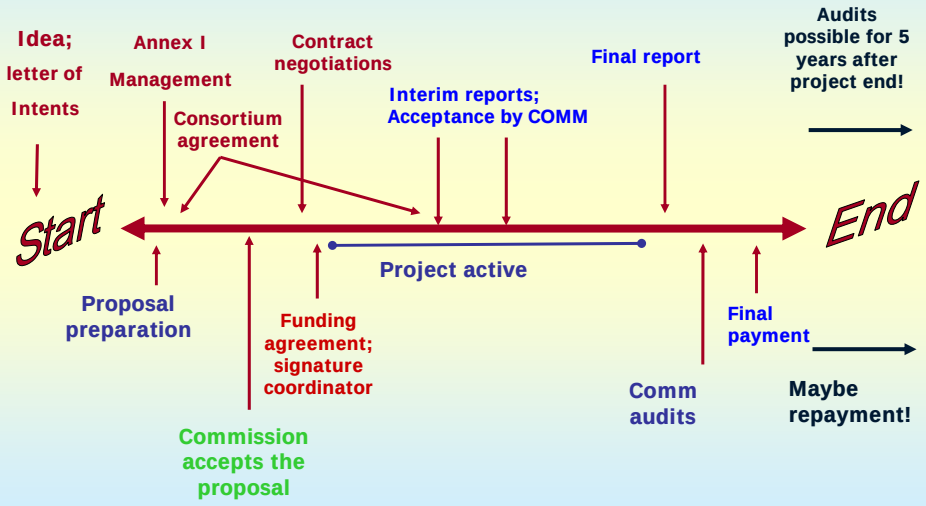
- **Research for the benefit of SMEs**
- **Regions of knowledge and support for regional research-driven clusters**
- **Research potential of Convergence Regions**
- **Science in society**
- **Support to the coherent development of research policies**
- **International cooperation**

Also:
support the coherent development of policies;
complement the Cooperation programme;
contribute to EU policies and initiatives to improve the coherence and impact of Member States policies;
find synergies with regional and cohesion policies, the Structural Funds, education and training programmes and the Competitiveness and Innovation Programme (CIP).

The scientists viewpoint



The scientists viewpoint



It all begins with an idea...

Field of interest compatible with FP7?

- www.cordis.europa.eu/fp7
- europa.eu.int/comm/research/future
- national websites
- National Contact Points (NCPs)

Prior co-operation?

- Activate existing contacts
  - Whom have you co-operated with in the past?
  - Do you have contacts to successful projects?

The “Old Guard” or must find new partners?

Proposal preparation (1)

The Scientist viewpoint:

1. **Why? Determine your own motive(s)! Impact?**
2. **Alone, as partner, as coordinator?**
   Contemplate "costs" (time, resources, dependence)
3. **Do your intentions fit in company and FP7 frame? Permission?**
4. **Who are the potential partners?**
   Do they want? Can they? Complementarity and balance?
5. **Are there potential competitors?** Are they active?
6. **Read, read, read: Call, WP, Handbook, Newsletters**
7. **Contact EU multiplicators, National Contact Point, go to national information seminars, check FAQs**
8. **Check for start-up support ("Anschubfinanzierung")**
8. **For partners in a consortium**
   (best with assistance of an experienced independent moderator):
   - first meeting, status of research, clarify partner motives
   - develop mission statement (MoU?), letter of intent (LoI)

Proposal preparation (2)

9. **Read and understand the documents:**
   - Work programme
   - Guides for proposers; Guides for evaluators
     http://cordis.europa.eu/fp7/home_en.html
     http://ec.europa.eu/research/fp7/home_en.html
10. **Seriously ponder the proposal:**
    - Is it complete?
    - Is the partnership right? (Possible competing proposal?)
      - can we all work together?
      - clear roles responsibilities, critical mass, etc.
    - Does it address all the questions?
      - (see guide for proposers)
    - Does it address the work programme?
      - (check with the call!)
    - Are the objectives clear?
    - Is it clear how the project will be managed?

Proposal preparation (3)

- Set up a high quality research project that provides an effective platform / vehicle for training, transfer of knowledge and career development
- Establish core research team & editorial team
- Consider local specialist training combined with multidisciplinary and network-wide training activities
- Use all possibilities to develop networking for the benefit off all, especially the researchers being trained
- Careful management (co-ordinator plus other parties). Sherpa system?
- Ponder failed audit, survival funding
- Propose extensive use of information / communication tools (web-site, portal for job opportunities, etc.)

11. Study Work Programme, realize weightings:

You can get at most 40 / 100 points for excellent science !!

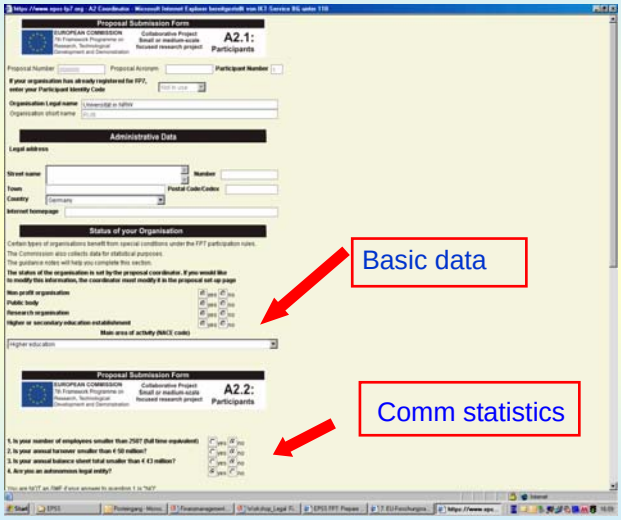
Proposal preparation (4)

Example: Human Resources and Mobility	RTN	EST
Content of the Proposal / Project	15	10
Training Activities / Transfer of Knowledge	20	15
Quality of the Host	15	25
Quality of the Researchers	n/a	n/a
Management and Feasibility	15	15
Relevance to the objectives of the specific activity	20	20
Added value to the Community	15	15
	100	100

Proposal preparation (4)

12. **Writing of first drafts, discussions, improvements**
    - Drawings / schemes / Gantt & Pertt charts only in B&W, avoid pictures
    - Attractive layout: use only one font type, subtitles, short paragraphs, bullet points, highlight key phrases, include tables or diagrams when necessay.
    - KISS: Keep it Short and Simple
    - Page limits are serious. PDF < 10 MB,
13. **Discuss drafts for consortium agreement!**
14. **Analysis of competition, merger?**
15. **Register early in EPSS, re-check partner data**
16. **EPSS: Upload first version to Comm-Server, can be improved until deadline (but disruption possible!).**
17. **Pre-evaluation by experienced colleague! Improve!**
18. **Avoid working under time restraints / pressure.**
19. **"Mortal sins" avoided? Self-evaluation form!**
20. **Check and re-check: proposal consistent?**

Electronic Proposal Submission System (EPSS)



Tips (1)

- "Striking" scientific idea with training content
- Obtain informations... Most is official, some "grey":
  (Work program, Call text, Guide for Proposers, Guide for Evaluators, Forms, comments from NatCo, multiplicators)
- Enough time (for networks 4-6 months before deadline!)
- Serious discussions with potential partners ("Would I also like to cooperate with him/her without the tempting EU-funding?")
- Can he/she really? (No signatures in proposal!).
- Complementary expertise, good reputation.
- Language and communication skills (!)
- Experience with proposal writing, working in a team.
- Cooperation with partner even after this project?
- "Attractive " EC-Partners, SME included?

Tips (2)

- **Abstract** - the first impression for the evaluator! **Major effort!**
- Work plan with realistic work packages and milestones
- Topic, reasoning, project targets "popularly" formulated.
- Emphasis on scientific originality and methods employed.
- Realistic and detailed estimate of all costs
- Detailed description of all partners infrastructure (coworkers involved, equipment, local situation, training possibilities)
- Management (separation of admin - research, expertise)
- Strategies for integration of (weaker) partners in team
- Europe-wide training need clearly demonstrated?
- Gender issues actively discussed?
- Science, practical aspects, application well balanced?
- All forms filled out correctly and consistently?
- Carefully (re-)read all pages! Only submit complete set!

Tips (3)

- If possible Pre-Evaluation by EU-Bureau or expert colleague
- EPSS: submit early version, update later.
- Notify national contact office (Dr. Schlochtermeier)
- Science 40 %; Network Management 30 %; Training 30%(!!)

  Get points where points can be gotten !!!
- Networking: "Problem cannot be solved bilateral, only at the European level", "Training needed"
- At least 'Core Teams' should have collaboration experience
- Experienced coordinator, maybe admin/research separat
- Cover all aspects: science, management, integration, training, possible future application, IPR, publication, ...

Tips (4)

- RTN: training aspect has to be in the foreground:
- Very concrete training program (meetings and training-on-the-job are not sufficient; e-mail, newsletter and project website are routine). Therefore, e.g.:
  - **Method courses (what, where, when);**
  - **Individual method training (what, where, when);**
  - **Workshops in connection with team meetings;**
  - **Workshops via Internet;**
  - **Participation of Trainees in Node-Cooperations;**
  - **Conference participation & contributions, delegations;**
  - **"Soft skills" and advanced general training (How to write a publication, a funding proposal; improving presentation skills, "Intercultural communication", etc.)**

Tips (5)

Tip: 40 % of the training should be done by project halftime

Tip: Use "delegation to third country (USA)" to attract

Tip: Assist with daily life problems: finding accommodation, language course, insurance probleems, etc.

Tip: How will positions be advertised? Selection rules?

Tip: At least brief explanation for consumables, travel and durable equipment purchases; detailed financial plan.

Tip: Friendly sounding acronym (check database!)

Tip: Get more than a simple "supporting letter" from SME - include them! E.g. Trainee position, etc.

Tip: Abstract can influence up to 80% of the opinion !!!

Tips (6)

Tip: Already while formulating consider the situation of the evaluator! S/he is your target audience!

Evaluator is not expert in your field, but an experienced scientist, who knows how proposals are "put together" - and who does not like to be fooled.
There will be at least two other evaluators looking at this proposal - he/she does not want to "stick out".

Personality and human shortcomings of the common types:

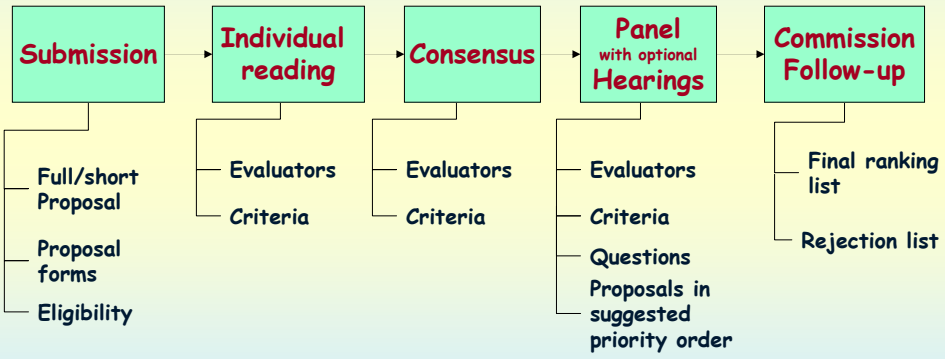
Type General	(friendly and kind, no prejudice)
Type Expert	(Half-knowledge, hunter)
Type Pedant	(checks budget, compares)
Type Chaot	(rare, elates on a single mistake)
Type Lots-of-Time	(often from Border States, has time available, likes to do many evaluations, friendly).

Tip: Improvements after Pre-Evaluation by former EU-Evaluator can add 3-6 extra points even for already good proposals!

Either deliver a quality product – or fail

Evaluation process (1)

Overview Evaluation Process



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Evaluation process (2)

1. Only after the deadline the proposal is transferred into the evaluation section of the Commission.
   Over 16,000 proposal per year
2. Check of the formal criteria by subject officers
3. Preliminary sorting of the topics by Panel Officer
4. Selection of a balanced Panel (using the evaluator database plus part of a former panel, chairperson).
   4,500 – 5,000 independent experts annually as evaluators
5. Notification of evaluators, contract.
6. Distribution by Panel Officer and Chairperson
7. Evaluation of small contracts (MC Stipends, Conferences, etc.) at Commission offices in Brussels; primary evaluation of large proposals at home ("remote"). Secrecy clauses !

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Evaluation process (3)

8. Submission is the sole basis for evaluation.
9. Administration of evaluations, putting together of "Bible" and other lists. Electronic panel voting.
10. If Panel in Brussels: sendout of invitations
11. Brussels: first meeting, briefing of evaluators.
12. Pre-selection using points list; many excellent projects
13. Discussion of problem cases, "spot evaluation"
14. Establishing A-, B- and R(ejection) lists
15. Putting together of comments by "Rapporteurs", destruction of unnecessary copies. Secrecy!
16. After several weeks: information about Priority List
17. After weeks / months: financial reimbursement

"Lobbying does not work"

Contract negotiation

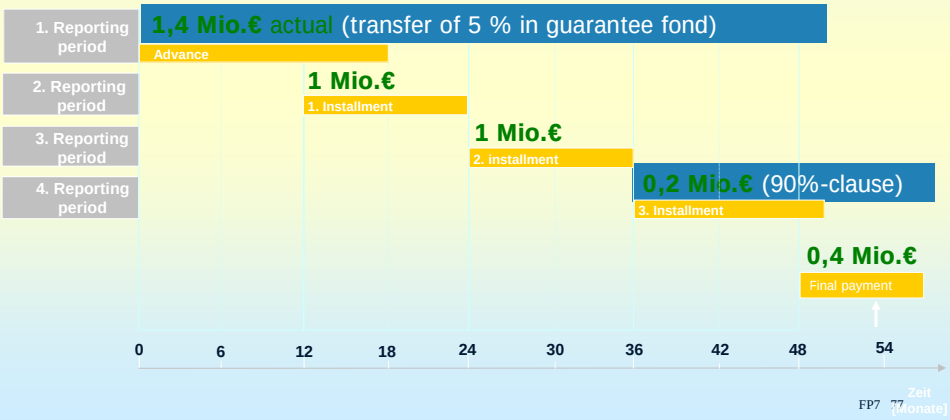
1. Negotiation based on proposal and evaluator comments
2. Mostly electronic mail (CPF = Contract Negotiation Form, Negotiation Guideance Notes)
3. For networks: meeting in Brussels, get to know scientific and financial officer, agree on special clauses (monitoring, audit)
   - SC 09 Beneficiaries without EC contribution
   - SC 13ff Ethical rules, stem cell, clinical research
   - SC 21ff security-related projects
   - SC 39 Audit
4. Technical details of work packages, etc. (Annex 1)
5. Partners, changes in consortium envisioned?
6. (Back-dated) Project start, project length
7. Budget, cost models, advance payment, liability
8. Consortium agreement and much more....

Financial plan collaborative project

Example: project budget 4 Mio.€; period 4 years

Advance payment covers interim periods (Grant Agreement, Art. 6)

For projects with more than 2 periods the advance payment can be more than 160% of the average period payment (Grant Agreement, Art. 6)



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Vorlage: Kontaktstelle Lebenswissenschaften

Project management

1. Medium size: excellent coordinator, scientific coordinator, administrative coordinator, experienced financial department, strict organisation. Workshop organizer?
2. Large size: extra project office, project manager on contract, financed from 7 % management allowance. Strict organisation.
3. Web-based project management tools
4. Take McCarthy “Project management” course
5. Communication via e-mail, webseite, regular meetings,
6. Sherpa system !

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My favorite mortal sins (1)

1. Proposal in one of the "smaller" official languages - only excellent English makes sense!
2. Abstract is imprecise and /or incomplete (30 sec)
3. Long-winded text (preferably more than 100 pages) with specialized abbreviations. Colour drawings unreadable in b/w copy. Title of 6 - 10 lines.
4. "State of the Art" replaced by reference list
5. Proposal is mere collection of partner contributions
6. Aims, milestones, results not clearly pointed out
7. Not all partners are really highly competent
8. National basic funding not secured for each partner
9. Eligibility not checked (wrong call, wrong partners)
10. Proof reading under time pressure (inconsistencies)

My favorite mortal sins (2)

11. Incompetent project management or coordinator
12. Management not discussed in proposal (also: consortium agreement discussed after EC contract)
13. Finances inconsistent
14. Excellent science without training content
15. Disregarding page limitations; page(s) missing
16. Disregarding work programme, guide for proposers
17. Proposal versions mixed up or last not submitted
18. Prominent partner is on many proposals
19. Colourful team without prior cooperation
20. Super-experience and arrogance

("If it isn`t written down, you didn`t think about it"

My favorite mortal sins (3)

21. (All) partners misunderstand financial conditions
22. Administration personell does not understand English
23. Administration personell skips training and information opportunities
24. Administration does not submit reports in time or incomplete
25. Use outdated version of documents

26. ...

27. ...

Multiplicators & Training 1

Your In-house "expert" – first contact, multiplicator face and collector for the institution.

Julia Epp
Verena Maier

EU-Büro
Regionalcluster Bayern
der Max-Planck-Gesellschaft

MPI für Quantenoptik
Hans-Kopfermann-Str. 1
85748 Garching
Tel. 089-32905-217
0160-96979788
julia.epp@mpq.mpg.de

Multiplicators & Training 2

- "Forschen in Europa: Warum? Das EU-Forschungsrahmenprogramm als Karrierechance für WissenschaftlerInnen" (Veranstaltungsreihe an Universitäten) oder
  "Das Rahmenprogramm für Einsteigerinnen und Einsteiger"
  EU-Büros des BMBF, z.B. am 14. Mai 2008 in Bonn
  www.eubuero.de/rp-einstieg
- Einführungsseminar (2 Tage)
  KoWi Koordinationsstelle Wissenschaft (Bonn)
  Für Experten: Bundestagung der EU-Referenten
  www.kowi.de
- EU-Kompakt: Einführung in die EU-Forschungsförderung
  Kompakt-Seminare KoWi bzw. EU-Büro des BMBF (Deutsch)
- McCarthy Seminar (2 Tage, Englisch)
- Informationsveranstaltungen des EU Büros
  Kontakt: Christine Zirkel, EU-Büro des BMBF,
  Tel.: 0228 3821-637, E-Mail: christine.zirkel@dlr.de

Special

- Health scheme
  Second information day for proposal coordinators, April 2, 2008
  Presentations under
  http://cordis.europa.eu/fp7/health/past-events_en.html
- European partnering days on Health and Biotechnology
  June 17 Krakow
  June 20 London
  http://www.matchmaking.at/smesgohealth/
- Marie Curie Initial Training Networks
  16. Juni 2008 EU-Intensiv Workshop bei KoWi in Bonn
  Zielgruppe: ausschliesslich Geistes- und Solzialwissenschaftler
  Anmeldung: Patricia Fuchs postmasterbn@kowi.de
- Marie Curie Initial Training Networks
  (Deadline 2. September 2008)
  Geplant: im Juli 2008 EU-Intensiv Workshop bei KoWi in Bonn
  Zielgruppe: alle Fachbereich

Information sources

Regional: http://www.frp.nrw.de/frp/de/hot/pub/

National:

http://www.eubuero.de
http://www.kowi.de
http://www.forschungsrahmenprogramm.de

European:

http://www.hyperion.ie (McCarthy)

EU research:

http://ec.europa.eu/research
http://europa.eu.int/comm/off/white/index_en.htm
http://europa.eu.int/comm/off/green/index_en.htm

Seventh Framework Programme:

http://ec.europa.eu/research/fp7

Information on research programmes and projects:

http://www.cordis.lu/
http://cordis.europa.eu/

Information requests:

http://ec.europa.eu/research/enquiries/
research@ec.europa.edu

McCarthy courses

Grant writing advice

Fundsnet Services: Grantwriting Resources
- http://www.fundsnetservices.com/grantwri.htm

Grantwriting Resources
- http://www.proposalwriter.com/grants.html#Grantwring

Proposal Writer's Guide
- http://www.research.umich.edu/research/proposals/proposal&dev/pwg/PWGCONTENTS.HTM

Listing of resources
- http://www.library.wisc.edu/libraries/Memorial/grants/proposal.htm

General info: Science Next Wave Online
- http://nextwave.sciencemag.org/de

Search : scientific search engine SCIRUS
- http://www.scirus.com

Summary

- The Commision‘s viewpoint
- Snapshot: what‘s new in FP7 ?
- The Scientist‘s viewpoint
- The Evaluator‘s viewpoint
- Project management
- Mortal sins or „How to secure failure“
- Information sources

Recommendation

Apply to become an EU-Evaluator !
The experience gained is extremely valuable,
on a personal level
as well as for your institution!

Independent experts with skills and knowledge appropriate to the tasks assigned to them, with high level of professional experience.

Basis: **Excellent English, wide range of knowledge in the field, at least 10 publications, EU-Basics, experience with international cooperations.**

And if all else fails...

Wer sein Ziel kennt, rennt!

Olles Hansengedicht

"Wohin mit dem Geld?
1300 Stiftungen bieten Stipendien an - doch jede fünfte findet keine Studenten“

Die Zeit, 16.10.2003

Grazie Merci

Danke

Bedankt

Gracias

Hvala

Kiitos

Tack

Obrigado

Ε υ χ α ρ ι σ τ ω

Köszönöm

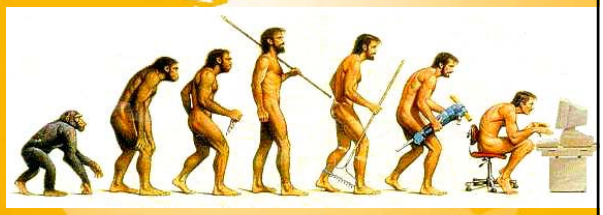
Teşekkür ederim

ありがとう

СПАСІБО

धन्यवाद

Thanks for your kind attention



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