



Enhancing the bilateral S&T Partnership with Ukraine

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Abstract	<p>This report intends to stimulate a discussion by those policy makers in Ukraine dealing with S&T development and integration of the local science community into the ERA. It condenses and bases on three BILAT-UKR internal documents and brings examples and recommendations based on sustainable legal and organizational frames able to successfully enhance the participation of Ukrainian Researchers in the Framework Programme.</p> <p>In particular, this deliverable contributes to the discussion by providing terms of references for the setting up of 1) an International office based on the example of International Bureau in Germany, and of 2) an effective National Contact Points system in Ukraine. Finally, different schemes for project preparation and top-up funding are analyzed and described as they proved to be very practical tools to support the participation of research teams in the FP7.</p>
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1 SUMMARY

Ukraine shows an excellent potential as to the ERA integration and participation in the EU funded 7th Framework Program. This potential by now is yet far from being fully realized since a proper and effective legal and organisational environment still needs to be set up in the Country.

The local policy makers need to think it through, to discuss and finally come up to effective and stable measures for strengthening Fp7 participation and fostering stable and long-lasting international relations, especially in top-key research priorities.

Measures that proved to be successful in other countries are:

- 1) A well established FP7 National Contact Point system providing services and advice to the local research community interested to approach FP7,
- 2) The provision of schemes for project preparation and top-up funding,
- 3) The setting up of an “International Office” in charge for the Country’s strengthening of international ties at university, research institute and enterprise level with the final aim to build competences and foster competitive advantages for industry and the research community in the areas of research and innovation.

While focussing on the just mentioned measures, BILAT-UKR has developed the present document contributing examples and, case studies from other countries’ experience, as well as some recommendations.

The final purpose is to stimulate the discussion among policy makers and help them concretely to find the best way for Ukraine to set up its own sustainable legal and organisational frames in a relatively short time.

2 INTRODUCTORY REMARKS

2.1 General context and Scope of the document

The present document was developed in the framework of the FP7 project BILAT-UKR contributing to the European Commission's objective to advance the integration of the Ukraine into the broader European Research Area.

BILAT-UKR constitutes part of the implementation of the EU-Ukrainian Action Plan which is the main guiding tool of the European Neighbourhood Policy with the Ukraine, whose general objective is to share EU stability, security and prosperity with Ukraine.

With regards to ERA integration, Ukraine shows an excellent potential which by now is far from fully realized.

This is why one of the main objectives of the BILAT-UKR project is to improve the framework for enhanced future and sustainable S&T cooperation between the EU and Ukraine and to contribute to the development of effective instruments for this purpose.

Within its WP2, BILAT-UKR aims namely at analysing the current basis for the international collaboration (i.e existing instruments, rules and regulations on bilateral and Community level, etc) as well as at highlighting good practices and lessons-learned in order to finally propose synergies and develop solutions for legal and organisational frames, propose joint funding mechanisms, organise partnering events etc.

The present document was developed in such a framework and intends to put forward a proposal for possible legal and organisational environment in Ukraine that is suitable to effectively support and enhance the FP7 participation by the local scientific community as well as intensify international scientific relations.

By providing case studies, examples from other countries and some recommendations, this deliverable also aims at stimulating the discussion by those policy makers in Ukraine who deal with S&T development and integration of the country into the European Research Area.

2.2 Document structure

This document is a condensed version of three reports prepared by BILAT-UKR partners in the period September 2010 – Mai 2011 and wants to bring example and recommendations able to successfully enhance the participation of Ukrainian Researchers in the Framework Programme.

This deliverable contributes to the discussion on for sustainable legal and organizational frames by providing examples, recommendations and terms of references for the setting up of:

- 1) an International office dealing with scientific cooperation and relationships, based on the example of International Bureau in Germany, and
- 2) an effective and efficient National Contact Points system in Ukraine.

BILAT-UKR indeed directed some efforts to the National Contact Points system in Ukraine that are described in this document: the Advisory Network of NCPs in the EU and Ukraine,

training of Regional Contact Points, Questionnaires from newly set-up Third Countries NCPs (Questionnaire and testimonies of South African and Mexican NCPs in Annex I)

Yet, in order to derive comprehensive suggestions suitable for Ukraine, also the work done by other EU initiatives dealing with the enhancement of NCPs system was considered, as follows:

- The **INCONET-EECA (Eastern Europe Central Asia)** drafted a document in 2009 that took into account the Ukrainian case and provided special recommendations to the Ukrainian National Contact Points system,
- In the frame of the project “**Capacity Building and Institutional Strengthening of Science and Research in Bosnia and Herzegovina**” funded by EuropeAid, a benchmarking of NCP systems in Europe (Austria, Hungary, France, Estonia, Macedonia, Bosnia Herzegovina, Poland, Sweden) including recommendations was also drafted in 2010.
- **JSO-ERA - The Joint Support Office (JSO) for Enhancing Ukraine’s Integration into the European Research Area (ERA)** - funded by EuropeAid has been designing sets of tools directed to the Ukrainian NCP system which are included in this document. Their Mid-term International Conference held on April 6, 2011 gathered experts from the Ukraine and from the EU. They presented the best ways to support Ukraine’s potential and provided basic principles to apply to NCPs systems.
- BILAT-UKR and JSO-ERA held a **joint training seminar** for the Ukrainian Regional Contact Points (RCPs) on October 5-6, 2010, at the National Academy of Sciences of Ukraine (NASU) in Kiev. This training included a feedback session from the RCPs who provided their recommendations for the setting up of an NCP system.

Finally, different schemes for project preparation and top-up funding are also analyzed and described in chapter 3 as they proved to be very practical tools, in the countries they were applied, to support the participation of local research teams in the FP7.

3 HOW TO EFFECTIVELY SUPPORT INTERNATIONAL COOPERATION AND FP7 PARTICIPATION

The way international S&T cooperation is being implemented differs from one country to another and from one institution to another. In the following chapters, a description of the International Bureau (IB) of the Federal Ministry for Education and Research in Germany is offered as an example for the way how international cooperation in the field of S&T can be institutionalized and practically be implemented also in the Republic of Ukraine.

In order to successfully enhance the participation of Ukrainian Researchers in the EC funded 7th Framework Programme; moreover the support to researchers and companies by an efficient National Contact Points System is needed as well as other instruments such as the project preparatory and top-up funding schemes.

Hereinafter, after a brief overview of the past and current situation of the National Contact Points system in the Republic of Ukraine, some recommendations are put forward to achieve the ideal NCP system in Ukraine and to set the basic principles of the its activity. Finally, also an analysis of existing project preparatory and top-up funding instruments is provided since they proved to help local researchers' participation in the European Framework Programme (FP) for Research, Technological Development and Demonstration (RTD).

3.1 Terms of Reference for setting up an International Office

3.1.1 Mission of the International Bureau (IB)

The International Bureau works on behalf of the German Federal Ministry of Education and Research (BMBF) and sees itself as a service provider for the BMBF, or better said as service provider for the German science community on behalf of the BMBF.

The IB has been commissioned by the BMBF to strengthen the international ties of German universities, research institutes and enterprises with the aim to build competences and foster competitive advantages for industry and the research community in Germany in the areas of research and innovation. In doing so, the International Bureau is making an important contribution to cultivating an international dimension within the research programmes of the BMBF.

3.1.2 IB Contractual Basis

The IB is settled within the German Aerospace Centre (DLR) which has evolved over time as contractor of the BMBF. The DLR was and is per sé internationally oriented and was first as Research Centre under supervision of the BMBF, today it is under supervision of the Federal Ministry for Economics and Technology. Another reason that had an influence on this choice is that the DLR is located in Bonn, the same place as the BMBF, which means there is a short distance between them.

Formally, as for for IB services, a public call for tender needs to be launched by the ministry which is regularly (usually on a three year basis) being negotiated and renewed in form of an activity and budget agreement.

3.1.3 Responsibilities of the IB

The expertise of the IB includes outstanding knowledge about the research structures and cooperation opportunities in important partner countries around the world. It is in permanent contact with decision-makers in Germany and abroad. The IB supports the ministry in planning and implementing international agreements and cooperation programmes and makes a contribution to the advancement of cooperation strategies. On behalf of the BMBF it observes international research and innovation policy developments for the BMBF and other stakeholders in the German science, research and innovation landscape. Furthermore it is actively involved in the development of the strategic dimension of the European Research Area and represents Germany's interests when it comes to structuring the ERA's international dimension.

3.1.4 Activities of the IB

The International Bureau (IB) of the Federal Ministry for Education and Research in Germany:

- provides German institutions with information and advice on opportunities for international research cooperation.
- It offers financial support to German institutions to help them make new contacts and initiate collaborations.
- It also supports the BMBF in its efforts to advertise Germany as an outstanding research location.
- plans and organizes international conferences, forums, workshops and trade fair booths in Germany and abroad.
- acts as an interface and contact point for organizations, programmes and initiatives.
- coordinates and participates in EU network projects (ERA- and INCO-Nets/BILATs, ACCESS4EU).
- designs and maintains Internet sites and web portals

3.1.5 Products and services of the IB:

- Information as factor of success: Internet portal "**Kooperation international**"
 - Provides access to **up-to-date, subject-specific information** on research and education in support of the internationalization strategy
 - **Communication platform** for those seeking information or interested in launching collaborations in Germany and abroad
 - **Networking instrument** for German authorities, scientific institutions, intermediary organizations and industry organizations active in the field of international cooperation in research and education
 - Includes **Country profiles and reports**
 - Own **news channel** (daily, weekly, monthly): Newsletter "*inside*"

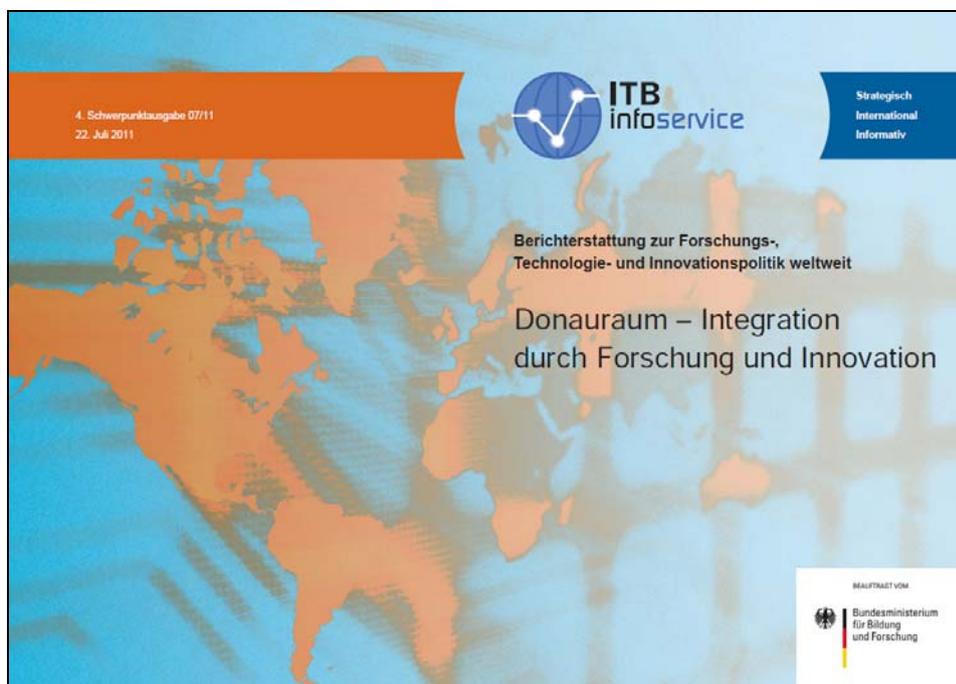
Web Portal: www.kooperation-international.de (example: start page of the Ukraine section)

Country reports (example: Thailand)

- **International reporting / policy monitoring**
 - **Yearly short country reports** from the German embassies: relevant developments in research, science, innovation and education in each host country (not publicly accessible)
 - **short studies and analyses** on different subjects in the field of research and education policy

- **ITB-Infoservice** in cooperation with VDI-TZ (monthly newsletter, PDF format): Well founded international research, technology and innovation reports for decision- and policymakers

ITB-Infoservice (example: special issue on the Danube Region):



3.2 Structuring the Ukrainian NCP system

3.2.1 The NCPs System in the Ukraine

The System how it was before the 2011

Until recently, the NCP system in Ukraine consisted in one National Contact Point called the National Information Point (NIP) based in Kiev. The NCP coordinator's activities were funded through a state financed project and some European funded projects. NIP coordinated the action of 7 **Regional Contact Points** (RCPs) covering the geographical regions of Ukraine with the most research potential: **Lviv** at Lviv Centre for Scientific Technical and Economic Information, **Uzhgorod** at Uzhhorod National University, **Simferopol** at Taurida National Vernadsky University, **Donetsk** at Donetsk National University, **Odessa** at National University, **Zaporizhzhya** at the Centre for Scientific and Technical and Economic Information, **Ivano-Frankivsk** at the Department for Intellectual Property and Innovation of Vasyl Stefanyk PreCarpathian National University. They received funding from NIP.

More information is available on NIP's website, and on the S&T portal (www.st-gate.eu) and the individual websites of their host organisations.

RCPs were selected by NIP usually based on criteria such as research excellence, expertise and performance and were appointed through a contract with NIP.

The regional system was set up to address the issue of Ukraine's vast geographical area. Each RCP handled all priorities matters but some of them dedicate most of their efforts to a thematic specialization depending on the nature of their organization. When advanced technical issues arose, informal signposting was activated on the basis of the professional background of the individual NCP or the research focus of its hosting organisation. There was interaction on bilateral, sometimes trilateral level, but no real network at the time. The interaction between RCPs has just started. Regular meetings were initiated in the frame of the JSO-ERA project.

The regional contact point activities were carried out on a part-time basis. The staff involved was primarily working on other duties in their institutions and dedicated some time to the contact point activity. The research potential was then not satisfactorily exploited since the RCPs were then more focused on offering support to their own organisation. They were very dependant on their host organization and this created instability. The expertise of RCPs on FP7 advanced issues could also be improved, by trainings and actions outlined afterwards in this document.

There was no management and self-assessment tool implemented until now. The goals of each RCP were not defined and their performance was not assessed and this is a real problem for sustainability and effectiveness.

RCPs do not have a webpage yet to disseminate their action and do not have any tool to work together and share their experience.

Official nomination of National Contact Points in the Ukraine in 2011 – the new face of the system

The official nomination of NCPs started in 2011 and some of them have been nominated. On April 15, 2011, the full list of NCPs is not released yet. The list of the nominated NCPs is available on April 15, 2011 on cordis.europa.eu.

The National Information Point for Ukraine-EC S&T cooperation stays as the **National Coordinator** and was appointed as **INCO NCP**, **Legal and financial** and **Mobility NCP**.

The Frantsevich Institute for Problems in Materials Science (IPMS NASU) in Kiev is the **NMP NCP**. The Mission of Ukraine to EU in Brussels is the **INCO NCP**. The G.M Dobrov Center for Studying R&D Potential and Science History in Kiev hosts the **SSH NCP** and the **SIS NCP**. The State Center for Science, Innovation and Informatization in Lviv is the **SME** and **ICT NCP**. The Center for Intellectual Property and Technology Transfer in Kiev is **Regional NCP** and **Infrastructures NCP**. The National Scientific Center for Medical and Biotechnical Research (NSCMBR) in Kiev is the **Health NCP**. The A.N Podgorny Institute for Mechanical Engineering Problems (IPMash NAS of Ukraine) in Kharkiv is the **Energy NCP**.

3.2.2 Challenges for the Ukrainian NCPs System

The structure of the system is being defined at the time this document was drafted. The challenge for the Ukrainian NCP system is now to think about a strategy to apply to this structure.

Here are the questions to ask in order to implement an efficient system.

1. What does the NCP want to achieve?
2. What are the targets?
3. The operations of the system also have to be defined.
4. Who is our client? Priorities have to be identified.
5. Will the NCP be a public service? Is it free?
6. Will the NCP activity be a full time job?
7. Where does the service start and end?
8. An NCP action plan must be defined. What does the service include?
9. Which tools do we already have and what do we want to implement?
10. How is the system managed and assessed?
11. Who can help us in setting-up the system?

3.2.3 Recommendations for setting-up of an efficient NCPs System: good practices outlined from NCPs experiences and EU-funded projects

3.2.3.1 Division of work and NCP structure

A clear structure and division of work between the different levels (NIP, RCPs, NCPs etc.) should be implemented in Ukraine. In the recent actuality, separate agreements between the State Agency for Innovation and Informatisation, the NASU and the Ministry of Education, Science, Youth and Sports have been signed, setting up the NCP system.

Now common objectives and a strategy have to be thought thoroughly. On the basis of this strategy, the NCP system can then be established with different levels: national, regional, local, thematic.

Concerning the structure of the NCP system, here are some hints on a structure that would address the main issues of the Ukrainian NCP system:

Option 1 Retaining the regional structure and strengthening the role of NCPs. A budget increase for RCPs would ensure the employment of more dedicated personnel, and the improvement of the quality of their service. A thematic specialization of RCPs can be then facilitated and signposting among NCPs can be further strengthened.

Option 2 A budget increase targeted at the NIP only. This increase would result in developing a bigger team within the NIP, possibly setting the basis for a thematic specialisation within the NIP. In such a case, the RCPs could act as regional antennas with a role focused to awareness raising, dissemination and regional training responsibilities.

Option 3 Establishing thematic specialisation among the RCPs. Each RCP is appointed as an NCP for a certain thematic priority based on the host organisation's research focus and the NIP is operating as the coordinating entity only. This way the number of NCPs should increase and budget is shifted towards the RCPs for providing the full set of NCP services for each priority.

3.2.3.2 FP7 support strategy vis-à-vis national and regional priorities

The FP7 support system should have a clear common vision, defined objectives, activities and structures including the national, regional and institutional dimension. The strategy shall be developed together with all relevant stakeholders, identifying objectives, activities, performance goals and indicators.

Clear guidelines should be developed laying down organisational rules excluding potential conflicts of interest.

3.2.3.3 NCP Funding

Stable funding for the NCP activities needs to be provided. Sufficient funding should be provided to the system, clearly related to the objectives and activities defined. NCPs shall have organisational and financial autonomy and responsibility to serve the entire research community, especially if they are hosted by a R&D organization interested in participating in FP7.

3.2.3.4 Avoiding conflicts of interests while fostering stability

An appropriate contractual framework shall be developed for NCP host organisations, enabling sustainability of the system and services offered. A transparent way of selecting the hosting organisation and an annual evaluation of the performance and contract renewal based on the outcome of this assessment.

Any conflict of interest with the NCP's host organisations should be avoided through clearly regulated distinct governance and financial procedures based on contracts. It is strongly recommended to let the NCP system work independently, especially outside a ministry, with a dedicated own budget based on responsibility, transparency and accountability. The dependence to ministries in charge causes ups and downs in the work of the NCP whenever a political change arises. A lack of political influence is therefore strongly recommended.

3.2.3.5 NCP operativeness

The NCP system should have a clear governance structure, a committed host organisation with a strong service attitude and customer orientation, committed management and staff with a proven working culture, a performance based resource allocation, which is constantly assessed, and a cross-cutting quality assurance system in place to guarantee equal high-level service provision on all levels of the NCP system.

Here are some recommendations in order to improve further the efficiency and effectiveness of NCPs towards the research community:

- **STAFF**

- It is recommended to have **full time** personnel and **use multipliers** to promote NCP related information and events.
- NCP nomination should be done only on the basis of **professional merits**. NCPs shall also have adequate job profiles and should be formally recognised. Only well trained personnel with sufficient professional experience should do the NCP activity. High expertise provision of advanced level NCP services can be achieved by frequently organising **training sessions** on advanced FP issues and experience sharing workshops. The JSO-ERA project organizes trainings, networking meetings, events, training modules directed to NCPs and contributes to improve the NCPs knowledge on advanced matters. More information and contact information are available on www.jso-era.org.
- NCPs must **avoid add-on NCP jobs** in conflict with other work or research commitments. It is also recommended to provide a **job description** of the NCP activity.
- All NCPs should have **good writing and speaking skills in English**. This is compulsory for a good understanding of the European activities and the day-to-day contacts.
- All NCPs must have clearly **regulated and transparent working hours** in which they can be reached by telephone or eMail. The operating hours of each NCP have to be published on the NCP website.
- Each NCP must be provided by his/her employing institution with good **equipment**: a functional workstation including PC, broadband internet and mail access, desk, telephone or mobile, printer and necessary consumables. The NCP should also have a travel and a training budget.

- **NCP SERVICES**

- NCP processes were developed by the JSO-ERA project in a document called “JSO Manual” and the “National Contact Point Manual”– including quality procedures. It is available upon request by contacting the JSO-ERA project and should be used as a standard NCP service package in order to provide high-quality services towards the research community (examples: information for high potential coordinators and partners, including consultancy, proposal check and writing, financial incentives such as preparatory funding instruments).
- A set of typical FAQs (e.g. on legal and financial issues) shall be used as for example the BILAT-UKR project’s FAQs for NCPs, available upon request and on www.st-gateukr.eu
- Infodays are usually time-consuming and should thus be planned in a timely fashion and organized especially during the period in which EC is announcing calls for proposals. Infodays should be organized with small groups of participants and a large number of thematic infodays should be organized to provide professional assistance to the applicants.

- Given the increasing complexity of the Framework Programmes and the accelerated notion of excellence in FP7, it is strongly recommended to provide more individual consultation services than previously. In order to safeguard a sufficient high level of professionalism, quality and expertise, it is recommended to organise also training sessions and group consultations with potential FP applicants by calling on external experts (either domestic or from abroad). A budget to pay competitive fees has to be secured for this. The JSO-ERA project organises training sessions regularly and upon request and their training modules are also available.
- **COMMUNICATION AND DISSEMINATION**
 - **On-line communication and dissemination**
 - Implementation of a central NCP website with an intra-net function shared by NIP and the different NCPs. This can be done by further developing NIP website, which should be accessed by the NCPs/RCPs and updated and should be extended with an intranet function to ensure coordination. This intranet function should also have a WIKI function, a document repository and knowledge management support features. NCPs do not have a webpage to disseminate their action and do not have any tool to work together and share their experience yet. Some tools created in the frame of JSO-ERA are ready to be taken over by the NCP coordinator.
 - Use of an information system with information on calls, partner searches, events and other useful information. The website www.st-gateukr.eu was designed by the BILAT-UKR project and can be used as such. This way, networking and collaboration among NCPs will be facilitated boosting also the quick exchange of good practices.
 - Use of the NCPs/RCPs websites where information is public and regularly updated. The information should be available in Ukrainian and English.
 - A regular newsletter and an e-alert system could be established and sent when new calls for proposals are launched or for other important news or activities.
 - IT tools for registration and monitoring of contacts were developed and implemented by JSO-ERA like the Customer Relationship Management system for registration of contacts and building database of customers and related organizations. www.jso-era.org
 - **Network of NCPs**
 - The European Union NCPs operate since decades. Ukrainian NCPs can benefit from international network's cumulative learning experience. In order to increase the capacities of the Ukrainian NCPs, BILAT-UKR has set up an Advisory network with NCPs in the EU and in the Ukraine in February 2010. Participants of this network provide advice to each other on issues related to the 7th Framework programme. In the frame of this advisory network, BILAT-UKR co-organised along with the JSO-ERA project, the first training for FP7 multipliers in the Ukraine on October 5-6, 2010. This network should be taken over by the NCP coordinator and should be maintained after the duration of the BILAT-UKR project.
 - NCPs must maintain good cooperation with their peers in other countries and maintain regular contacts with the relevant EC officers in charge of the European Framework Programme for RTD as well as with the COST and EUREKA secretariats to be informed in a timely manner and to enable a quick dissemination of relevant information to institutions. NCPs must maintain cooperation in different thematic fields with the relevant ministries in the Ukraine. NCPs shall be able to

attend NCP meetings and special networking events with respect to partner search and exchange of good practices shall be enabled.

- NCPs should cooperate to organise joint events on horizontal issues (e.g. project administration and reporting, legal and financial questions, etc.) as well as joint visibility events and publications.
- Receiving direct information from the EC is very important; therefore visits to Brussels and other possibilities to get information already in advance should be well exploited: frequent meetings in Brussels, partnering and exchange in many other fora.

- DEVELOPMENT OF A MANAGEMENT AND ASSESSMENT TOOL

- There is no management and self-assessment tool at the moment. The goals of each NCP are not defined and the performance is not assessed. This is a problem for sustainability and effectiveness. A combination of quality assurance and evaluation approaches and a responsive reporting system and reporting structure well embedded in a project cycle management is recommended. The JSO-ERA Manual and quality procedures can be used as such by the NCPs .
- In terms of reporting structure it should be made clear from the very beginning for which indicators (consortia implemented, proposals written and accepted, funds received, events organised, partner search) respective data have to be analysed throughout the entire NCP system. The target groups for the NCPs shall be well analysed and categorised in order to define NCP performance goals and indicators to reach the target groups in terms of quality and quantity.
- Moreover, it is recommended that each contract with each individual NCP host organisation should be performance-based designed as of its inception. Contracts should have a duration of around 3 years in order to avoid the effort of yearly public procurement and contracting. Nevertheless, it must be contractually secured that the coordinator is allowed to terminate a contract before expiration if the performance goals are not achieved. Regular competitive contracting increases competitiveness.

3.3 Schemes for project preparatory and top-up funding

In the following an analysis of existing project preparatory and top-up funding instruments supporting the participation in FP7 is provided. The analysis is presented via case studies which are focused on three countries: i.e. Austria as long established EU member state with an excellent record in FP participation as well as Estonia and Hungary, two new EU member states which have an elaborated approach to support the participation of their researchers in FP7.

These case studies provide information on the *modus operandi* of the relevant schemes under scrutiny, on the legal environment in which they are embedded, as well as in specific rules and regulations. They are finally meant for Ukrainian policy makers as their purpose is to make available good practices for being possibly adopted to eventually advance the participation of Ukrainian researchers from industry and academy in FP7.

3.3.1 Case study 1 - Austria

Project preparatory and top-up funding for FP7 participation

	FP Project Preparatory funding For the science sector* Still valid	FP Project Preparatory funding For the business sector* Still valid	FP Top-up Project Funding Valid from May 2007 to 31. August 2009
Objectives of the instrument	The aim of the Austrian Research Promotion Agency (FFG*) by means of this instrument is to strengthen the participation of Austrian researchers from academia in the seventh Framework Programme (FP7) by supporting their inclusion in FP7 project proposals. This aim needs to be achieved by increasing the number of projects submitted and the quality of the research thanks to the development and the positive outcomes of the supported	The aim of the Austrian Research Promotion Agency (FFG*) by means of this instrument is to strengthen the participation of Austrian researchers from industry in the seventh Framework Programme (FP7) by supporting their inclusion in FP7 project proposals. This aim needs to be achieved by increasing the number of projects submitted and the quality of the research thanks to the development and the positive outcomes of the supported	The aim of the Austrian Federal Ministry of Science and Research (BMWF*) was to support financially Austrian participants selected for a FP7 project by national means (co-funding approach). All FP7 sub-programmes were eligible for top-up funding except activities concerning the networking of national programmes (e.g. Art.169, Art. 171, ERA-Net and ERA-NET plus). The FP7 Top-up Project Funding scheme in Austria was

	<p>networking activities. In addition to a comprehensive guidance package provided by FFG the possibility for supporting financially the preparation costs of the Austrian applicant during the preparation phase of the FP7 project proposal contributes to the improvement of the success rate of submitted projects. Applicants from academic research can receive financial support for drawing up a project proposal for the Seventh EU Framework</p>	<p>networking activities. In addition to a comprehensive guidance package provided by FFG the possibility for supporting financially the preparation costs of the Austrian applicant during the preparation phase of the FP7 project proposal contributes to the improvement of the success rate of submitted projects. Applicants from industrial research can receive financial support</p>	<p>cancelled without prior evaluation or participatory discussions with the target groups in order to reduce public spending in the aftermath of the economic crises.</p>
	<p>Programme (either as coordinator or as regular project partner). However, the application rules for FP7 Project Preparatory Funding differ between academic and economic applicants. In addition to FP7 Project Preparatory Funding, FFG services include information, consulting and coaching in project specification, facilitating contacts with cooperation partners and support in technology transfer activities.</p>	<p>for drawing up a project proposal for the Seventh EU Framework Programme (either as coordinator or as regular project partner). However, the application rules for FP7 Project Preparatory Funding differ between academic and economic applicants. In addition to FP7 Project Preparatory Funding, FFG services include information, consulting and coaching in project specification, facilitating contacts with cooperation partners and support in technology transfer</p>	

		activities.	
Total global budget in euro per year	€1.700.000,- per year	Around €500.000,- per year	€3.000.000- in 2007
Legal basis	The guidelines for FP7 Project Preparatory Funding for scientific research are based on the guidelines of the government according to § 11 Abs. 2 of the Research Organisation Law (Forschungsorganisations-gesetz [FOG], BGBl. Nr. 341/1981), on the granting and implementation of subsidies according § 10 FOG from 13 April 1982.	The guidelines for FP7 Project Preparatory Funding for industrial research are based on the guidelines of the government according to § 4 Abs. 2 of the federal law for the creation of FFG-G*(Österreichische Forschungsförderungs-gesellschaft mit beschränkter Haftung (FFG-G)) on the granting and implementation of subsidies. The legal basis for the implementation of	
		funding measures falls under the authority of the Federal Ministry of Economy, Family and Youth (BMWFJ - as of 9 May 2008 - GZ-BMWA-98.310/0032-C1/10/2008) and of the Ministry of Transport, Innovation and Technology (BMVIT - as of 16.05.2008 - GZ BMVIT-609.986/0005–III/I2/2008).	
Who is the owner of the Programme?	The Republic of Austria through the Austrian Federal Ministry of Science and Research (BMWF) and the Austrian Federal Ministry for	The Republic of Austria through the Austrian Federal Ministry of Science and Research (BMWF) and the Austrian Federal Ministry for Transport, Innovation	The Republic of Austria through the Austrian Federal Ministry of Science and Research (BMWF).

	Transport, Innovation and Technology (BMVIT) are owners of the Programme.	and Technology (BMVIT) are owners of the Programme.	
Who is implementing the Programme?	The applications for the FP7 Project Preparatory Funding are assessed by the thematic experts in the FFG. The financial and administrative implementation is done by one person in FFG.	The applications for the FP7 Project Preparatory Funding are assessed by the thematic experts in the FFG. The financial and administrative implementation is done by one person in FFG. The Austrian Research Promotion Agency FFG/EIP is the Austrian competence and service centre for	Austrian Federal Ministry of Science and Research (BMWF). FP7 Top-up Project Funding was in practice automatically granted for the eligible funded FP7 projects. The financial and administrative implementation was executed by BMWF's financial department.
What is the effort to run the Programme in euro per year or in personnel per year?	The Austrian Research Promotion Agency FFG/EIP is the Austrian competence and service centre for participating in international research and development activities. FFG is the National Contact Point for the 7th Framework Programme of the European Community for research, technological development and demonstration activities (FP7 www.ffg.at/rp7).	participating in international research and development activities. FFG is the National Contact Point for the 7th Framework Programme of the European Community for research, technological development and demonstration activities (FP7 www.ffg.at/rp7).	
Who is eligible to apply? Are there restrictions?	Only applicants with legal registered residence in Austria from academic research can receive	Only applicants with legal registered residence in Austria from the industrial sectors can receive	The following types of organisations were eligible for funding: - Universities - Universities of

	<p>financial support for drawing up a project proposal for FP7. Eligible entities are:</p> <ul style="list-style-type: none"> - Universities and Universities of Applied Science (it is contested whether or not private universities are eligible in this scheme) - Non-university research institutions - Other research oriented organisations - Public institutions - Individuals with Austrian nationality <p>Three EU Preparatory funding categories are proposed as follows:</p> <ul style="list-style-type: none"> - Funding of a FP7 project as coordinator - Funding of a FP7 	<p>financial support for drawing up a project proposal for the Seventh EU Framework Programme.</p> <p>Eligible entities are:</p> <ul style="list-style-type: none"> - Business companies (SME and large companies) or consultant from business companies - Competence centres - Non university and industrial oriented research institutions as for instance the Austrian Institute of Technology <p>Two EU Preparatory funding categories are proposed as follows:</p>	<p>Applied Sciences</p> <ul style="list-style-type: none"> - Non-university research institutions which fall under the thematic responsibility of the Austrian Ministry of Science and Research (BMWF) (for instance which are not core funded by other ministries) - Individual researchers - Others in case of specific justified interest of the BMWF and only in those FP7 sub-programmes for whom the programme committee members were delegated by BMWF
	<p>project as partner</p> <ul style="list-style-type: none"> - Funding of a FP7 contract project negotiation <p>All FP7 specific sub-programmes are concerned except funding schemes which should not require such a demanding proposal preparation as European research consortia compositions might require (e.g. Marie Curie individual grants for example).</p>	<ul style="list-style-type: none"> - Funding of a FP7 project as coordinator - Funding of a FP7 project as partner <p>Large companies are only eligible for funding of a FP7 project as coordinator in a large cooperative project. The same rule applies for non university and industrial oriented research institutions, if they have more than 250 employees.</p> <p>The only following FP7 specific sub-programmes are concerned:</p> <ul style="list-style-type: none"> - “Research for the benefit of SMEs” 	

		<p>(previously called CRAFT)</p> <ul style="list-style-type: none"> - “Research for the benefit of SME Associations” (previously called COLLECTIVE Research) - Small and large cooperative projects (previously called STREP and IP) - “Network of Excellence” (NoE) 	
How is the application procedure?	<p>Since 1 January, 2010 FFG offers the possibility for Austrian organisations to submit their application electronically through e-call. The application has to be submitted at the</p>	<p>Since 1 January, 2010 FFG offers the possibility for Austrian organisations to submit their application electronically through e-call. The application has to be submitted at the</p>	<p>The top-up funding application had to be sent to BMWF before the FP7 project’s end. The steps for the application procedure were as follows:</p> <ul style="list-style-type: none"> - Assessment along
	<p>latest three weeks (21 days) before the relevant FP7 EC submission call deadline. The application form can be found on-line (https://ecall.ffg.at/). At least one week before the EC FP7 project proposal submission, the applicant is required to meet the National Contact Point (FFG) to proceed to a final advising session.</p>	<p>latest three weeks (21 days) before the relevant FP7 EC submission call deadline. The application form can be found on-line (https://ecall.ffg.at/).</p> <p>On contrary to the procedure foreseen for academic research, the final assessment meeting between the applicant and FFG in the framework of the industrial funding instrument is not binding.</p>	<p>formal criteria.</p> <ul style="list-style-type: none"> - If accepted at this stage, there was a decision about the maximum funding contribution in cooperation with relevant programme delegates responsible for the content of the proposal. - Official approval by BMWF - Money transfer (instalment) to the selected applicant

<p>How is the evaluation and selection procedure?</p>	<p>The award of EU preparatory funding takes place after the validation of formal criteria and the positive evaluation of a review panel taking into consideration the following criteria:</p> <ul style="list-style-type: none"> - Relevance of the planned proposal towards the relevant FP7 call. It should not be out of scope. - Constitution of the consortium - Expertise and resources of the applicant - Description of the planned activities in the framework of the EU preparatory funding proposal <p>The final decision is made by an assessment panel after taking into consideration the recommendations of FFG experts in agreement with the relevant FP7 Programme delegates.</p>	<p>The award of EU preparatory funding takes place after the validation of formal criteria and the positive evaluation of a review panel taking into consideration the following criteria:</p> <ul style="list-style-type: none"> - Relevance of the planned proposal towards the relevant FP7 call. It should not be out of scope. - Constitution of the consortium - Expertise and resources of the applicant - Description of the planned activities in the framework of the EU preparatory funding proposal. <p>The final decision is made by an advisory Board (BP-Beirat) during the Board meeting (Beiratssitzung) after taking into consideration the recommendations of FFG experts.</p>	<p>It is a one-stop-shop principle. It means that implementation, monitoring and administration (contract drawing-up) was done by the Austrian Federal Ministry of Science and Research (BMWF), department. II/2. The only exception was for the content proposal check which was done by FP7 Programme delegates. However, in reality this was rather a formal regulation, since usually all eligible projects funded under FP7 received top-up funding if budgetary means were available. The calculation of the maximum contribution is based on:</p> <ul style="list-style-type: none"> - Only direct costs (net) for universities, non-profit organisations, Austrian Academy of Sciences and non-university grant funded research institutions which fall under the responsibility of the BMWF.
<p>What are the eligible costs?</p>	<p>Eligible costs have to be directly connected to the submitted project proposal or</p>	<p>Eligible costs have to be linked to the submitted project proposal or directly occur in negotiating</p>	<ul style="list-style-type: none"> - Direct costs and overheads (net) for Universities of Applied Sciences,

	<p>directly occur in negotiating the FP7 project. Eligible costs are taken into consideration as of the submission of the EU preparatory funding to FFG which can be at the soonest at the date of the publication of the FP7 call by the European Commission. If the EU preparatory funding has been submitted to FFG after the publication of the call by the EC, eligible costs will be accepted only three months retroactive as a maximum but not beyond the date of EC call publication. Costs will be eligible until the submission of the FP7 project proposal to the European Commission. Concerning EU preparation funding assigned for negotiation, the financial support will end after the termination of the grant agreement negotiations. Eligible costs are:</p> <ul style="list-style-type: none"> - Travelling and subsistence costs. The maximum hotel cost per night in Europe is set with €100,- The cheapest flight ticket possibility should be taken into consideration. - Personnel costs for supplementary hired 	<p>the FP7 project. Eligible costs are taken into consideration as of the submission of the EU preparatory funding to FFG which can be at the soonest at the date of the publication of the FP7 call by the European Commission. If the EU preparatory funding has been submitted to FFG after the publication of the call by the EC, eligible costs will be accepted only three months retroactive as a maximum but not beyond the date of EC call publication. Costs will be eligible until the submission of the FP7 project proposal to the European Commission. Eligible costs are:</p> <ul style="list-style-type: none"> - Travelling and subsistence costs. The maximum hotel cost per night in Europe is set with €100,- The cheapest flight ticket possibility should be taken into consideration. - Personnel costs for supplementary hired personnel or not yet paid personnel (written confirmation is indeed required by FFG to be sure that these given extra personnel costs are not already claimed on other projects). <p>The maximum eligible hourly rates for Junior Scientists or consultants is 35,50 €hour and for Senior Scientists and</p>	<p>non-university not grant funded research institutions and individual researchers.</p> <p>In case of 50 % EC contribution for universities, non-profit organisations and non-university research institutions (with BMWF grant basis), BMWF top-up funding covered</p> <ul style="list-style-type: none"> - up to 35% of direct costs - Maximum funding was €75.000,- without taking into consideration a possible project extension. <p>BMWF did not fund Overheads and other activities which are fully funded by the European Commission as for example coordination costs.</p> <p>In case of 75 % EC contribution for universities, non-profit organisations and non-university research institutions (with BMWF grant basis), BMWF top-up funding covered:</p> <ul style="list-style-type: none"> - Up to 10% of direct costs - Maximum funding was €35.000,- without taking into consideration a possible project extension. <p>Also in this case, BMWF did not fund Overheads and other activities which are fully funded by the European</p>
<p>D2.5 - Discussion Paper on a common sustainable legal and organisational frames</p>	<p>personnel or not yet paid personnel (written confirmation is indeed required by FFG to be sure that</p>	<p>for Junior Scientists or consultants is 35,50 €hour and for Senior Scientists and</p>	<p>BMWF did not fund Overheads and other activities which are fully funded by the European</p>

<p>Is there feedback to applicants?</p> <p>What are the reporting requirements?</p>	<p>Within three months after FFG funding deadline starting from the EC FP7 submission deadline, the applicant organisation has to provide the following documents through electronic means (https://ecall.ffg.at/):</p> <ul style="list-style-type: none"> - FP7 submitted proposal (Part B final, A1, A3.1 of the organisation, A3.2 and A4 in People programme). - Acknowledgement of receipt from the European Commission - Gender Impact Assessment form - Form for payment and bills <p>In addition to the above mentioned requirements, the organisation has also to provide the following signed documents:</p> <ul style="list-style-type: none"> - Personnel costs justification - Justification of FP7 Project Preparatory Funding submission (form in e-call) <p>In order to be fully funded by FFG, the</p>	<p>Within three months after FFG funding deadline starting from the EC FP7 submission deadline, the applicant organisation has to provide the following documents through electronic means (https://ecall.ffg.at/):</p> <ul style="list-style-type: none"> - FP7 submitted proposal (Part B final, A1, A3.1 of the organisation, A3.2 and A4 in People programme). - Acknowledgement of receipt from the European Commission - Gender Impact Assessment form - Form for payment and bills <p>In addition to the above mentioned requirements, the organisation has also to provide the following signed documents:</p> <ul style="list-style-type: none"> - Personnel costs justification - Justification of FP7 Project Preparatory Funding submission (form in e-call) <p>In order to be fully funded by FFG, the following important issues have to be</p>	<p>other activities which are fully funded by the European Commission as for example coordination costs</p> <p>The top-up funding happens after acceptance by the European Commission of all claimed costs for the given FP7 selected project period by filling in the relevant form and providing all justifications (lists of invoices, receipts,...). These binding justifications have to be kept aside at disposal in case of monitoring or audit control for a period of 5 years.</p> <p>For the funding purpose, the Austrian Federal Ministry of Science and Research (BMWF) required from selected organisations to be funded:</p> <ul style="list-style-type: none"> - A final report. - A costs overview to be listed in the relevant BMWF form. - Accepted financial statements for the given period for BMWF funding and also corrected forms from the European Commission. - EC Certificate on the financial statements (when required)
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		taken into consideration:	
	<p>following important issues have to be taken into consideration:</p> <ul style="list-style-type: none"> - The filled in form along with a list of all invoices, numbered properly has to be provided - All original invoices have to be sent. The name of the funding organisation has to be clearly identified on it. <p>Concerning honorary fees and invoices with a total amount including VAT higher than €1500.-, the transfer or payment has to be proved.</p> <ul style="list-style-type: none"> - Pay slips, time sheets along with a very detailed tasks description and a written confirmation letter stating that these given personnel costs have not already been claimed in some other projects. - Boarding cards for air travel costs have to be provided. <p>The use of a car is only possible if duly justified.</p>	<ul style="list-style-type: none"> - The filled in form along with a list of all invoices, numbered properly has to be provided - All copies of invoices have to be sent. The name of the funding organisation has to be clearly identified on it. <p>Concerning honorary fees and invoices with a total amount including VAT higher than €1500.-, the transfer or payment has to be proved.</p> <ul style="list-style-type: none"> - Pay slips, time sheets along with a very detailed tasks description and a written confirmation letter stating that these given personnel costs have not already been claimed in some other projects. - Boarding cards for air travel costs have to be provided. <p>The use of a car is only possible if duly justified.</p>	<ul style="list-style-type: none"> - EC payments (Bank statements copies to be provided). - If the project was extended, an acceptance from EC side had to be provided. - Information about other co-financing means along with their amount(s) as for instance from local, regional or national Institutions. - Gender impact assessment.
Is the Programme monitored and how?	Internal monitoring is done by FFG.	Internal monitoring is done by FFG.	Internal monitoring was done by BMWF.
Has the	Austria's entire role and participation in	Austria's entire role and participation in	Austria's entire role and participation in

Programme been evaluated? Internally and/or externally?	FP7 is subjected to an external interim evaluation, carried out by Technopolis and partners. Under this overall evaluation, also the FP7 Project Preparatory Funding is taken into account.	FP7 is subjected to an external interim evaluation, carried out by Technopolis and partners. Under this overall evaluation, also the FP7 Project Preparatory Funding is taken into account.	FP7 is subjected to an external interim evaluation, carried out by Technopolis and partners. Under this overall evaluation, also the FP7 Top-up Project Funding is taken into account.
Is the submission of the proposal to the EC checked? How is it verified?	<p>The applicant has to provide its FP7 submitted proposal (Part B final, A1, A3.1 of the organisation, A3.2 and A4 in People programme) and its acknowledgement of receipt from the European Commission.</p> <p>If the applicant did not submit its application, the EU preparatory funding amount already received has to be paid back to FFG.</p>	<p>The applicant has to provide its FP7 submitted proposal (Part B final, A1, A3.1 of the organisation, A3.2 and A4 in People programme) and its acknowledgement of receipt from the European Commission.</p> <p>If the applicant did not submit its application, the EU preparatory funding amount already received has to be paid back to FFG.</p>	Not applicable

Glossary

- FFG/EIP (Österreichische Forschungsförderungsgesellschaft mbH - Bereich Europäische und Internationale Programme - Austrian Research Promotion Agency – European and International Programme Department) is the national funding institution for applied research in Austria

Address : Sensengasse 1, 1090 WIEN

3.3.2 Case study 2 - Estonia

Presentation of preparatory and top-up funding for Framework Programme (FP7) participation

	FP Preparatory funding	Top-up Funding (if relevant in your country)
Objectives of the instrument	To support active participation of Estonian organisations as core partners in an FP7 project.	n/a
Total Global budget in euro per year	192 000 euros	n/a
Legal basis	<p>The project preparation support procedure is established by the Board of Archimedes, and approved by decree No Archimedes 1-5/143, 09.05.2008. a.</p> <p>If the applicant is a company, the procedure for de minimis regulation has to be applied. „Procedures and form of notification of the de minimis aid“</p> <p>Based on Commission Regulation (EC) No 69/2001 of 12 January 2001 on the application of Articles 87 and 88 of the EC Treaty to de minimis aid</p> <p>https://www.riigiteataja.ee/ert/act.jsp?id=743987</p>	n/a
Who is the owner of the Programme?	<p>Archimedes Foundation Research Cooperation Centre Tel +372 730 0324 Fax +372 730 0336 Väike-Turu 8 Tartu 51013 Estonia</p> <p>The Research Cooperation Centre is an unit</p>	n/a

	<p>within the Archimedes Foundation.</p> <p>The aim of the centre is to enhance the participation of the Estonian research, commercial and other organisations in EU research and technological development programmes and thus improve competitiveness of Estonian actors.</p> <p>The Research Cooperation Centre has several tasks:</p> <p>To coordinate and participate in different domestic and international projects for supporting R&D.</p> <p>To disseminate information about the EU programmes to Estonian organisations (to organize information events, to give free of charge consultations, to publish monthly newsletter Innovaatika).</p> <p>To make science attractive for young people.</p> <p>To implement specific projects and to enhance the innovation capacity of the Estonian society (NETS Estonia etc.).</p> <p>The Research Cooperation Centre has the following subunits:</p> <p>Unit for international cooperation programmes</p> <ul style="list-style-type: none"> - National Contact Point for the Seventh Framework Programme of EU Research and Technological Development (FP7) - National office for the COST network <p>Unit for the Estonian Research Information System ETIS</p> <ul style="list-style-type: none"> - Estonian Research Information System - Estonian Research Portal <p>Science Communication Unit</p> <ul style="list-style-type: none"> - Estonian contests for young scientists at high school level - Estonian contests for young scientists at university level - Young Scientists' Association - European Young Scientists Contest in 	
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	<p>Estonia</p> <p>- Science Popularization Awards (with the Estonian Academy of Sciences)</p> <p>Administrative Unit of the Estonian Research Council</p> <p>Estonian EURAXESS Network</p>	
<p>Who is implementing the Programme?</p> <p>What is the effort to run the Programme in euro per year or in personnel per year?</p>	<p>Archimedes Foundation Research Cooperation Centre Tel +372 730 0324 Fax +372 730 0336 Väike-Turu 8 Tartu 51013 Estonia</p> <p>No information provided</p>	n/a
<p>Who is eligible to apply? Are there restrictions?</p>	<p>All applicants who passed the threshold, and who were core partners in the project (coordinators or WP or Task leaders)</p>	n/a
<p>How is the application procedure?</p>	<p>The applicant has to submit an application in hard copy (free form, at: Väike Turu 8, Tartu 51013) as well as electronically:</p> <p>Internet based application form:</p> <p>http://www.archimedes.ee/teadus/index.php?leht=195</p> <p>Content: the applicant's name, contact information, banking account, an acronym of the project, an application form for registration and participation in the project (co-ordinator or partner).</p> <p>On the hard copy of the application the signature of the organization's leader is needed. If the applicant is a company, the de minimis</p>	n/a

	procedure has to be carried out.	
How is the evaluation and selection procedure?	Accordingly to FP7 evaluation panel evaluation results.	n/a
Are there regular and maximum grants? What are the eligible costs?	3800 euros to coordinators, 1300 euros to task, and WP leaders.	n/a
Is there feed-back to applicants? What are the reporting requirements?	Internet based questionnaire	n/a
Is the Programme monitored and how?	Every year	n/a
	FP Preparatory funding	Top-up Funding (if relevant in your country)
Has the Programme been evaluated? Internally and/or externally?	no	n/a
Is the submission of the proposal to the EC checked?	n/a	n/a

How is it verified?		
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3.3.3 Case study 3 - Hungary

Presentation of FP7 project preparatory and top-up funding for Framework Programme (FP7) participation

	FP Preparatory funding	FP Top-up Funding
Objectives of the instrument	Consortia Building Grant: EUKONZ_07 – the aim is to encourage Hungarian companies/universities/research institutions etc. to take part with a higher share in FP7 consortia and undertake coordinator roles.	BONUS-HU Grant: the aim is to give supplementary funding for Hungarian higher education institutes, public financed research institutes, non profit organizations and SMEs who have successfully competed for collaborative research projects in the FP.
Total Global budget in euro per year	500 million HUF between 2007-2010; i.e. approximately 0.5 million €/year (250HUF/€)	2008-2013 3.6 billion HUF; i.e. approximately 2.4 million €/year (250 HUF/€)
Legal basis	Act CLXIX of 2007 The grant can cover these grounds: Act XC of 2003 8. § (1) c) and e)	Act XC of 2003 8. § (1) e)
Who is the owner of the Programme?	National Office for Research and Technology (NKTH)	National Office for Research and Technology (NKTH)
Who is implementing the Programme? What is the effort to run the Programme in euro per year or in personnel per year?	National Office for Research (NKTH) and Technology and MAG Zrt. 2-3 persons per year	National Office for Research (NKTH) and Technology and MAG Zrt. 2-3 persons per year

<p>Who is eligible to apply? Are there restrictions?</p>	<p>Those Hungarian based enterprises, associations, non-profit companies and budgetary organisations that do not perform market-influencing activities can apply that have previously participated in the FP as project partners or coordinators. There are restrictions on financial grounds (e.g. when a company is declared insolvent, bankrupt, or if it has an uncovered financial obligation toward NKTH etc.)</p>	<p>Those Hungarian based SMEs, public financed research institutes, higher education institutes, non profit organisations can apply that have an ongoing collaborative research project financed by the FP. There are restrictions on financial grounds (e.g. when a company is declared insolvent, bankrupt, or if it has an uncovered financial obligation toward NKTH etc.)</p>
	<p>FP Preparatory funding</p>	<p>FP Top-up Funding</p>
<p>How is the application procedure?</p>	<p>There are 2 types of grants. 1 for Project Preparation and 1 for those who have already won the FP grant and apply for Contract Negotiation Preparation. Thus there are 2 application packages (consisting of forms A1, A2, A3 and an abstract of the application). The application package must be sent to MAG ZRT.</p>	<p>A short abstract of the original application (in Hungarian) and some additional documents must be submitted to MAG Zrt.</p>
<p>How is the evaluation and selection procedure?</p>	<p>Applications are not evaluated in Hungary. The evaluation is based on the Evaluation Summary Report of the European Commission.</p>	<p>Applications are not evaluated in Hungary. Those who have successfully applied for a FP7 grant, automatically get the Hungarian supplementary funding (until the budget of BONUS-HU programme expires).</p>
<p>Are there regular and maximum grants? What are the</p>	<p>Maximum grants: Project Preparation Grant as coordinator: 3 million HUF (around 12,000 Euros)</p>	<p>The programme adds to the maximum funding intensity provided by the EC for the successful Hungarian FP7 applicant. (They will get</p>

eligible costs?	<p>Project Preparation Grant as participant: 1 million HUF (around 4,000 Euros)</p> <p>Contract Negotiation Preparation Grant as coordinator: 2 million HUF (around 8,000 Euros)</p> <p>Contract Negotiation Preparation Grant as participant: 600,000 HUF (around 2,500 Euros)</p> <p>Eligible costs: Personnel costs and social contributions, material costs, subcontracting according to the regulations of Act C of 2000 on Accounting</p>	<p>additional funding above the ‘normal’ funding intensity determined by the EC.) So while ‘enhanced’ maximum funding intensities are</p> <p>in case of applied research: small enterprises will be funded up to 80%, medium enterprises up to 75%; public financed research institutions, non profit organisations, higher education institutes will be funded up to 85%, in case they are coordinators up to 90%.</p> <p>in case of experimental development: small enterprises will be funded up to 60%, medium enterprises up to 50%; public financed research institutions, non profit organisations, higher education</p>
	FP Preparatory funding	FP Top-up Funding
		institutes will be funded up to 85%, in case they are coordinators up to 90%.
Is there feed-back to applicants? What are the reporting requirements?	The abstract of the project is also the report which must be accompanied by evidence (e.g. invoices) of what was purchased from the grant.	The abstract of the project is also the report which must be accompanied by evidence (e.g. invoices) of what was purchased from the grant.
Is the Programme monitored and how?	There is a Monitoring Unit within NKTH.	There is a Monitoring Unit within NKTH.

Has the Programme been evaluated? Internally and/or externally?	The Programme has not been internally evaluated yet but it will expire at the end of 2010 and an internal evaluation will follow. It was, however, externally evaluated together with all the Hungarian R&D funding programmes (portfolio evaluation).	The Programme has not been internally evaluated yet. It was externally evaluated together with all the Hungarian R&D funding programmes (portfolio evaluation).
Is the submission of the proposal to the EC checked? How is it verified?	Yes, it is checked. The applicants must submit A1, A2, A3 forms and the Evaluation Summary Report and – in case – the invitation to contracting issued by the EC.	Yes, it is checked. The contract signed between the Hungarian applicant and the EC must be presented.
Other important information	It should be noted that ALL programmes managed by NKTH (with the exception of some international programmes) are temporarily suspended due to modification of priorities by the new government but the aforementioned programmes have been running for years now.	It should be noted that ALL programmes managed by NKTH (with the exception of some international programmes) are temporarily suspended due to modification of priorities by the new government but the aforementioned programmes have been running for years now.

3.4 Main recommendations following project preparatory and top-up funding for FP7 participation

FP Project Preparatory funding are still implemented in Austria, Estonia and Hungary while FP Top-up Project funding is implemented only in Austria and Hungary. Anyhow, project preparatory and top-up funding instruments for FP7 would have not been possible and successful without political will along with properly allocated budgets to enable collaboration and implement measures.

Such support could improve the S&T cooperation between our countries, promote more close integration of Ukraine into European community and help to keep the political and economic stability on the continent.

Main recommendations are:

Set up proper and relevant objectives for the instrument	<p>- Participation rules (especially formal, selection and assessment criteria) and procedures have to be clear and user-friendly</p> <p>- Target group(s) in Austria consisted in supporting on the one hand the science sector and on the other hand the business sector. Supporting differently these both target groups enabled a more effective approach because the specific dedication towards the business sector consequently involved more industrial partners and companies for research cooperation</p>
Tailored budget	It is important to have proper budget tailored according to the country size in order to be able to meet the set objectives, run the managing/funding organisation and especially provide professional guidance support toward targeted groups. Precautions to avoid double funding (especially for public research organisations, which are basically funded, e.g. through high GUF appropriations) should be foreseen. The European subsidy regulations need to be respected.
Networking activities with other NCPs to benefit from their experience	The good cooperation with Austrian, Estonian and Hungarian NCPs partners improved quality and relevance of project outcomes which would not have been possible at such an extent in a national setting only.
Involved institutions capacity	Necessity to have adequate professional assistance in project management, able to support skilled accounting professionals for meeting the requirement of multilateral/international projects
One-stop-shop principle	It would be more relevant and effective if the whole management cycle of the proposal from administration, evaluation till monitoring, feed-back would be done by one institution.
Scientific excellence	In Austria, Estonia and Hungary, FP project Preparatory funding and Top-up funding in Austria and Hungary increased the room for focusing more on scientific aspects thanks to the proposed comprehensive guidance support. This instrument strengthened the participation and quality of researchers in FP.

Evaluation	<p>Quality control of submitted proposals and evaluation of proposed instrument(s) either internally or/and externally as well enabled to validate and adjust the relevance of proposed support in the future must be foreseen. Relevant key indicators help stakeholders to make decisions and allocate further budget for these types of instruments. However, the administrative effort should be kept low for all involved parties, and the evaluation effort for both parties should correspond to the funding size. The evaluation effort under the project preparatory funding scheme should stay within limits, because the funding size is usually very little. Re-evaluation for top-up funding of already evaluated FP7 proposals should be omitted.</p>

4 ANNEXES

4.1 Two Examples of NCP Systems in the World and their Advice

SOUTH AFRICA : Mamohloding Tlhagale, Deputy Director at the Department of Science and Technology – Coordinator and Mobility NCP

In South Africa, the NCP system belongs to the government office. They have NCPs in three universities, four in science councils, two in the private sector and one in a government department. The system is both geographically and organisationally centralised. The main financial resource is national government funding and the budget is used for the NCP activities, not for the time spent by the personnel. Their time is covered by the institution.

South Africa has NCPs for **Health, Food Agriculture and Fisheries, Biotechnology, Nanosciences, materials and production technologies, Energy, Environment, Transport, Socio-economic sciences and humanities, Security, Space, the People programme, Research for the benefits of SMEs, INCO, Nuclear Research and training, legal and finance.**

Four NCPs are **civil servants** and the other work for government supported institutions. The average working time a NCP dedicates to the NCP activities is 2 hours a day and when they have activities 5 hours a day.

For the selection of an NCP, the South African NCP thinks the most important skills are :

- 1) the thematic scientific and technological expertise,
- 2) language skills,
- 3) previous experience in the FP and management skills

The contractual documents available to describe the functions of the NCP system are a nomination letter and a **contract** with the relevant governmental office.

The NCP very often provides information services, advising, assisting, training (one-to-few or one-to-one), participation in projects. It also regularly does policy support. They often use different tools such as the InfoDays, training seminars, newsletter, websites, stands in conferences, road shows, individual consultation, face to face and via phone or electronically or group consultation. For communication, they use mostly their website, email alerts, and group or thematic area information session. For assisting and advising they use mostly emails and telephone or meetings.

The NCP system will be evaluated annually. It was already done once and it used regular monitoring of data provided, internal ministry staff evaluation, peer reviewing with other NCP systems.

According to this NCP, the ideal NCP system would be set up by securing resources to fund NCP activities and investigate if one NCP per theme is needed or if it would be useful to have an NCP covering several thematic areas. The country should look at areas it would like to prioritize.

“From the South African experience, it is useful to have full time dedicated NCP’s and motivate them by giving them some stipend rather than appointing researchers from research institutions who can only do NCP work when time permits and are not getting any financial support for their time spent implementing activities as NCPs.”

About the factors to be taken into consideration before setting up an NCP, the South African NCPs Coordinator advises : *“appoint NCPs that are familiar with FP7 rules and processed and have experience of participating in the FP. Also make sure you have enough financial and logistical support instruments in place to support NCPs with implementing their activities.”*.

The NCP system advised would be a decentralised geographically distributed system, dispersed in different organisational structures and embedded in to public administration.

MEXICO : Héctor SAMANO, Coordinator and INCO NCP at CONACYT

The Mexican NCP system is embedded in a government office. It is geographically centralised but organisationally decentralised. Some organisations have more than one NCP. CONACYT coordinates the network of NCPs .

The NCPs are always consulted for the contents and follow up of the bilateral cooperation relation with the EU and for the dissemination of the rules of participation to the FP7, or the promotion of participation to national S&T community in this programme.

The funding comes from their own financial resources and the government. Their services are free of charge. There are 15 part time NCPs and 20 assistant NCPs. The Mexican NCP very often provides information services, advising, assisting, and training.

His advice for the setting up of an NCP system: *“The work to be done by the NCP should be really supported. Frequently the experts complain that they can’t dedicate full time to their activity. Besides, they do not have enough support to have a staff dedicated to this activity and without support, their activity as NCP is not well accomplished.”*

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