

4th EU-LAC Joint Call in STI 2022 Guide for Applicants



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Introduction

This "Guide for Applicants" provides information about the proceeding for the submission of project proposals in the frame of the 4th EU-LAC Joint Call in STI 2022.

Part I consists of frequently asked questions and answers.

Part II provides exemplary screenshots of the online submission proceeding via the online submission tool "pt-online" as well as step-by-step advice on how to realize the submission.

For additional information about the 4th EU-LAC Joint Call in STI 2022 please visit https://www.eucelac-platform.eu/joint-call/4th-eu-lac-joint-call-sti-2022. If your questions are not answered in this guide please contact the national Call Contact Person (CCP) of your country or the Joint Call Secretariat at FECYT (Annex 1, page 21).



I. General Information for Applicants

What is the EU-LAC Interest Group?

The EU-LAC Interest Group was founded in March 2017 in order to maintain and carry forward the biregional network built by the EC-funded ERANet-LAC project (2013-2017). It consists of 29 funding agencies from both regions wishing to cooperate in bi-regional science, technology and innovation (STI). The activities organized by the EU-LAC Interest Group aim to support the implementation of the Common EU-LAC Research Area and to create further added value to its four pillars: Mobility of researchers; increased thematic cooperation to address Global Challenges, international outreach of Research Infrastructures and Innovation. The European Commission is participating in this initiative with a specific view of maintaining the overall coherence with the Governance of the EU-LAC relations.

So far, EU-LAC funding agencies successfully organized three joint calls: Between 2013 and 2017 the 18 ERANet-LAC partners carried out two transnational joint calls and in 2017/2018 the EU-LAC Interest Group organized successfully its first joint call.

Which are the fundamental principles of the 4th EU-LAC Joint Call in STI?

The EU-LAC Joint Call for Collaborative Research and / or Innovation projects is a transnational research support instrument developed by the funding institutions participating in this call. It is implemented through a coordinated funding scheme whereby each Funding Party is funding its own national scientific team within a multilateral project ("Virtual Common Pot", see page 7). Their budget is used for the competitive support of Collaborative Research and/or Innovation projects that will have an impact on enhancing the cooperation potential between Europe, Latin America and the Caribbean countries.

Which countries are participating in the 4th EU-LAC Joint Call?

Austria, Bolivia, Brazil, Dominican Republic, Germany, Italy, Panama, Peru, Portugal, Poland, Spain, Turkey and Uruguay.

Which institutions are providing funding for the call?

The "Group of Funding Parties" comprises the following institutions:

1. Austria: Bundesministerium für Bildung, Wissenschaft und Forschung, BMBWF

2. Bolivia: Ministerio de Educación - Vice Ministerio de Ciencia y Tecnología, MINEDU¹

3. Brazil: Conselho Nacional de Desenvolvimento Cientifico e Tecnológico, CNPq

4. Brazil: Conselho Nacional das Fundações Estaduais de Amparo à Pesquisa, CONFAP

5. Dominican Republic: Ministerio de Educación Superior, Ciencia y Tecnología, MESCyT

6. Germany: Bundesministerium für Bildung und Forschung, BMBF

7. Italy: Consiglio Nazionale delle Ricerche, CNR

8. Panama: Secretaria Nacional de Ciencia, Tecnología e Innovación, SENACYT

9. Peru: Consejo Nacional de Ciencia Tecnología e Innovación Tecnológica, CONCYTEC

¹ The available budget for project funding will be defined by each Bolivian institution participating in one of the mentioned topics. In Bolivia, universities and research centres dispose of their own financial resources and are free to fund the international projects they consider relevant and according to their individual institutional funding rules.



10. Poland: Narodowe Centrum Badań i Rozwoju, NCBR11. Portugal: Fundação para a Ciência e a Tecnologia, FCT

12. Spain: Instituto de Salud Carlos III, ISCIII13. Spain: Agencia Estatal de Investigación, AEI

14. Turkey: Turkiye Bilimsel vê Teknolojik Arastirma Kurumu, TUBITAK
 15. Uruguay: Agencia Nacional de Investigación e Innovación, ANII

Not all EU and LAC countries are listed above. Does that mean that the countries that are not listed are not eligible for participation and funding?

Partners from countries that are not listed may also be part of consortia as long as they are able to clearly demonstrate an added value to the consortium and secure their own funding. However, the coordinator and the majority of partners in a consortium must be eligible by the funding organizations participating in this Joint Call. The self-financed/associated partners must provide the Call Secretariat with a **signed official letter** of support from their Head of Department or Financial Director. A pdf-version of this letter must be included as an annex at the end of the proposal when submitted.

What are the fundamental principles of the 4th Joint Call?

The fundamental principles of the call guiding the selection of projects to be funded are:

- **Transparency.** The process for reaching funding decisions will be clearly described and available to any interested party.
- **Equality of treatment.** All proposals shall be treated alike, irrespective of where they originate or the identity of the proposers.
- Ethical considerations. Any proposal that contravenes fundamental ethical principles may be excluded from being evaluated and selected at any time.

Which research topics are eligible for funding under the 4th Joint Call?

Research proposals can be submitted to the following thematic fields and topics:

1. GLOBAL CHALLENGES

- 1.1. Global Challenges I Interactions and integration between the climate science, SSH and other communities
- 1.2. Global Challenges II / Cross-cutting digital research infrastructure

2. HEALTH

- 2.1. Health I Personalised Medicine
- 2.2. Health II EU-LAC Regional Hubs: Integrating research infrastructures for Health and Disease

3. **BIODIVERSITY**

3.1. Biodiversity and Ecosystem Services Research Infrastructures

4. ENERGY

4.1. Interoperability of energy data spaces for an optimized exploitation by producers and prosumers / Research Infrastructures



Table 1: The below Funding Contribution Table shows a list of the participating funding agencies in the Call, their budget and the topics they are funding. Proposals must match the topics listed (please see the call text for the detailed formulation of the topics).

#	Country	Funding	1.1 Global Challenges	1.2 Global	2.1 Health I -	2.2 Health II - EU-LAC	3.1 Biodiversity and	4.1 Interoperability of	
		Agency	I - Interactions and	Challenges II /	Personalised	Regional Hubs:	Ecosystem Services	energy data spaces for an	
			integration between	Cross-cutting	Medicine	integrating research	Research	optimized exploitation by	
			the climate science,	digital research		infrastructures for	Infrastructures	producers and prosumers	
			SSH and other	infrastructure		Health and Disease		/ Research Infrastructures	
			communities						Total in €
1	Austria	BMBWF	X	Х	X	X	X	Х	200,000
2	Bolivia	MINEDU	Х	X	X	X	X	X	2
3	Brazil	CNPq	-	40,000	80,000	-	80,000	-	200,000
4	Brazil	CONFAP	X	X	X	X	X	X	Budget ³
	Dom.		Х	Х	x	Х	X	X	200,000
5	Rep.	MESCYT							
6	Germany	DLR/BMBF	Х	Х	X	X	X	Х	1,000,000
7	Italy	CNR	-	-	X	X	X	-	150,000
8	Panama	SENACYT	X	Χ	X	X	X	X	177,000 ⁴
9	Peru	CONCYTEC	-	-	-	200,000	200,000	-	400,000
10	Poland	NCBR	300,000	-	300,000	-	-	-	600,000
11	Portugal	FCT	-	-	-	300,000	-	-	300,000
12	Spain	AEI	X	X	X	X	X	X	600,000
13	Spain	ISCIII	-	-	750,000	-	-	-	750,000
14	Turkey	TUBITAK	X	X	Х	X	X	X	750,000
15	Uruguay	ANII	X	-	-	X	-	-	44,000 ⁵

² The available budget for project funding will be defined by each Bolivian institution participating in one of the mentioned topics. In Bolivia, universities and research centres dispose of their own financial resources and are free to fund the international projects they consider relevant and according to their individual institutional funding rules.

³ The budget for each participating State Funding Agency (FAP) is detailed in the funding rules of CONFAP under: https://www.eucelac-platform.eu/joint-actions

⁴ The amount represents 200,000 US Dollars based on the exchange rate for December 16, 2021, of the European Commission Exchange rate

⁵ The amount represents 50,000 US Dollars based on the exchange rate for December 17, 2021, of the European Commission Exchange rate



Do I need to have an agreement with my national funding body in order to submit a proposal within the EU-LAC Joint Call?

No. Any eligible institution from a country participating in this call can submit a proposal directly to the Joint Call Secretariat using the PT Outline Management System.

The participating countries have appointed national Call Contact Persons (CCPs) who will help research institutions from the respective countries to submit applications. If you need special support and assistance to prepare your project, please contact your CCP (a list of CCPs is provided in Annex 1, page 21 and at https://www.eucelac-platform.eu/joint-call/4th-eu-lac-joint-call-sti-2022).

Which Funding Scheme will be applied in the Joint Call?

The 4th EU-LAC Joint Call follows a *coordinated funding scheme*. This means that each Funding Party is funding its own national research team within a multilateral project ("*Virtual Common Pot*"). The country contributions are listed in the above Funding Contribution Table.

How do I submit a project proposal under the EU-LAC Joint Call?

Project proposals are submitted through the web-based Call Management System PT Outline. Please visit https://ptoutline.eu/app/eu-lac-2022 and follow the indications provided.

Note that proposals submitted by post, e-mail, fax or any other means will not be accepted and rejected without further review.

In addition to the online submission procedure, should I submit a paper copy of the proposal?

No, you should not send a paper version of the project proposal to the Call Secretariat. However, some funding organizations may ask for a paper copy of the proposal and further information (see National Rules at https://www.eucelac-platform.eu/joint-call/4th-eu-lac-joint-call-sti-2022).

Is there a deadline for the submission of a project proposal?

Yes, the deadline for submission of research proposals is **28 April 2022, 5PM CEST.** After this date the online submission system will be closed.

What are the national eligibility criteria?

The present joint call includes different national funding organizations with their own call management system. The respective national funding rules and procedures and national eligibility criteria have been defined by the participating countries (see https://www.eucelac-platform.eu/joint-call/4th-eu-lac-joint-call-sti-2022). Project partners are advised to check in advance what type of costs are eligible for national beneficiaries as well as the funding rates and limits of the countries concerned.

Which types of institutions are eligible for participation and funding?

Applicants can represent public and private scientific-, research-, technological- and innovation institutions on national, federal or EU-LAC regional level, research active industry and NGOs and other institutions involved in research and or innovation activities, as long as they are eligible for funding according to the respective national and/or institutional rules. To check if your institution is eligible for funding, see the specific internal/ national funding rules (https://www.eucelac-platform.eu/joint-call/4th-eu-lac-joint-call-sti-2022 and/or contact your national CCP, Annex 1, page 21).



How can I find appropriate research partners?

The EU-LAC Interest Group together with the EU funded *ENRICH in LAC* Project supports the identification of partner institutions in Latin America/Caribbean and Europe. At https://europe-lac.b2match.io/ a partner search tool is available for free registration to help bringing together interested applicants from countries in both regions.

Can I be evaluator and partner of a project proposal at the same time?

No! If you are a coordinator or partner in a project proposal of the 4th EU-LAC Joint Call, you are not allowed to perform as evaluator.

Evaluators are selected by the Group of Funding Parties from a database following a pre-selection procedure through the Call Secretariat.

What is the role of the coordinator?

The project coordinator has the overall responsibility for the project and represents the consortium before the Call Secretariat. The coordinator is responsible for submitting the proposal and will receive the results of the evaluation. The contact data of the coordinator (and optionally of her/his representative) as well as of the institution must be included in the proposal.

It is recommended that the coordinators counter check the eligibility of all partners with the CCPs (see list of CCPs in Annex 1, page 21). Coordinators are allowed to contact the partners' national CCPs.

What is the role of the principal investigator?

There should be a principal investigator (PI) for each of the national research groups. The PI from each country is the contact person for the respective national funding organization.

One of the PIs should be appointed as coordinator by the project consortium to represent the consortium, submit the proposal and communicate with the Call Secretariat.

Must all partners be included in the project proposal at the submission stage?

Yes. The whole consortium must be included in the proposal. It is important to ensure that the minimum participation requirements are met (see next question below) and that all consortium partners are eligible for funding according to the national eligibility and funding rules.

How many partners must cooperate in a project proposal?

Each consortium submitting a proposal must involve a minimum of four eligible partners from four different countries with at least two countries from each region (see page 3, list of funding organizations). Some funding organisations may define a maximum number of national partners applying for funding in their institutional rules. However, the coordinator and the majority of partners in a consortium must be eligible for the funding organizations participating in this Call and comply with the minimum number of eligible partners as indicated above.

Self-financed associated partners may also be part of the consortia if they can clearly demonstrate an added value to the consortium and secure their own funding.

The associated partners must provide the Call Secretariat with a **signed official letter of support** from their Head of Department, Financial Director, or equivalent position, stating the commitment of the



organization/company to provide its own funding. This letter must be annexed to the proposal submission form.

Only transnational projects will be funded. Each consortium should have the optimal critical mass to achieve ambitious scientific/innovation goals and clearly show an added value resulting from their cooperation.

Can I submit more than one proposal as a coordinator?

No. However, one research institution – as a legal entity – is allowed to participate as a coordinator or partner in several project proposals.

May I submit a proposal twice?

A given proposal may only be submitted for one of the topics supported within the framework of the 4th EU-LAC joint call; otherwise it will be considered non-eligible.

Researchers are only allowed to participate in one proposal as principal investigator of the coordinating institution. However, some institutional / national funding rules may add additional eligibility criteria with regard to participation in several proposals.

What happens if one of the project partners is found non-eligible for funding after a project proposal is submitted?

If the Project Coordinator does not meet the international or national eligibility requirements, the proposal will not be admitted to the evaluation procedure.

In case (a) Co-applicant(s) is (are) not eligible, the proposal may still be eligible if the eligibility criteria are met without this (these) partner(s).

Should I provide a detailed financial plan when submitting a project proposal?

Yes. The project coordinator is expected to calculate the overall costs and the requested amounts per partner. In the project description template a detailed description of the requested funds for each cost category is asked for (e.g. personnel costs, travel- and other direct/indirect costs or costs related to the use of research infrastructures, such as equipment, software, consumables, secondments, data access etc.).

How many applicants from a country are allowed to participate in a project?

Each funding organization decides about a maximum number of national partners applying for funding. Please ask your CCP (page 21, Annex 1) in case this is not defined in the national rules of your country.

What are the requirements for a Consortium Agreement?

Each consortium selected for funding must provide a Consortium Agreement (CA) signed by all participants to clarify the potential Intellectual Property Rights (IPR) matters (such as licensing in, licensing out, patent and exploitation strategy). The consortium agreement must be sent to the call secretariat before the project starts officially. It must address (as a minimum), the following points:

- Common start date and duration of the research and / or innovation project
- Organization and management of the project
- Role and responsibilities of each partner's resources and funding



- Confidentiality and publishing
- Intellectual Property Rights
- Decision making within the consortium
- Handling of internal disputes
- The liabilities of the research partners towards one another (including the handling of default of contract)

Any issues regarding funding are a bilateral matter between each project partner and the relevant funding organization and should be excluded from the CA. The CA, together with any other information required by national rules, must be made available upon request to the national funding agencies.

Standard documents that can be used as templates and modified according to the specific needs of the consortium can be found at: http://www.desca-2020.eu/

What are the evaluation criteria for a project proposal?

The evaluation procedure will be done according to the criteria defined in the following:

1. Excellence

- Clarity and pertinence of the objectives;
- Credibility of the proposed approach;
- Integration of diversity considerations in submitted proposals, as well as underrepresented
 populations in the planned research/innovation. This includes not only diversity in the
 consortium, but also the inclusion of diversity perspectives and analysis in the research/
 innovation itself if it is relevant. A project is considered diversity (or gender) relevant when it
 concerns individuals or specific groups of people and/or when its findings may affect individuals
 or specific groups.
- Soundness of the concept, including trans-disciplinary considerations, where relevant;
- Extent to which the proposed work is ambitious, has innovation potential, and is beyond the state of the art (e.g. ground-breaking objectives, novel concepts and approaches).

2. Impact

- Expected impacts listed in the description under the relevant topic;
- Enhancing research and innovation capacity and integration of new knowledge;
- Any other environmental and socially important impacts;
- Implementation of Open Science measures (early and open sharing of research; research output management; providing open access to research outputs i.e. publications, data, software, algorithms, etc.), participation in open peer review; involvement of relevant actors including citizens, civil society and end users in the co-creation of R&I contents and agendas;
- Effectiveness of the proposed measures to exploit and disseminate the project results (including management of IPR), to communicate the project and to manage research data where relevant;
- Added value for the EU-LAC cooperation in STI;
- Mobility, networking and training of human resources in both regions;
- For Research Infrastructures topics: Contribution of the RI use to the impact of the project.

3. Quality and efficiency of the implementation

- Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks and resources;
- Complementarity of the participants within the consortium (if relevant) and gender balance



- among them;
- Appropriateness of the management structures and procedures, including risk and innovation management;
- <u>For Research Infrastructures topics:</u> Appropriateness of the proposal to the research infrastructure.

4. Economic impact, applicability and exploitation of results

- Potential for economic impact and exploitation/transfer of results;
- In case of industry and SME participation: Strengthening competitiveness and growth of companies by developing innovations that meet the needs of global markets and, where relevant, deliver such innovations to the market;
- Feasibility;
- Involvement of stakeholders;
- Communication and dissemination of results;
- Exploitation and transfer of results;
- Management of intellectual property issues and consortium agreements.

What are the rating scores for a project proposal?

The evaluators are requested to assess proposals against a set of criteria, each of which may be awarded a maximum of 5 points per criterion, 20 points maximum, according to the following scale:

EXCELLENT = 5 points

The proposal successfully addresses all relevant aspects of the criterion. Any shortcomings are minor.

VERY GOOD = 4 points

The proposal addresses the criterion very well, but a small number of shortcomings are present.

GOOD = 3 points

The proposal addresses the criterion well, but a number of shortcomings are present.

FAIR = 2 points

The proposal broadly addresses the criterion, but there are significant weaknesses.

POOR = 1 point

The criterion is inadequately addressed, or there are serious inherent weaknesses.

0 points

The proposal fails to address the criterion or cannot be assessed due to missing or incomplete information.

No additional criteria will be used for evaluation and selection of the proposals.

What is the evaluation procedure for the EU-LAC Joint Call?

The selection of the proposals for funding is based on an international, independent remote peer-review procedure. A dedicated pool of evaluators, consisting of external independent experts, will assess anonymously the submitted proposals. Each proposal will be evaluated by two external independent evaluators. Following the peer-review process, Scientific Expert Committees, consisting of scientifically multidisciplinary experts experienced in managing, following and evaluating transnational projects in each of the thematic areas, will consolidate the results of the evaluation and make recommendations to the Group of Funding Parties (GFP).



The final recommendation for funding rests with the Group of Funding Parties. The formal funding decision will be taken by the respective national funding party.

What is the schedule for the call?

DATE	ACTION			
24 Jan 2022	Launch of the Joint Call			
28 Jan 2022	Guidelines for Evaluators, Confidentiality Agreement			
28 April 2022, 5 pm CEST	Closure of the Joint Call			
28 April – 12 May 2022	International and National Eligibility Check			
16 May – 15 July 2022	Evaluation of proposals based on the evaluation guidelines			
1 – 15 Sep 2022	Scientific Evaluation Committee meeting and ranking list			
15 – 30 Sep 2022	Funding agencies confirm projects' funding according to ranking list			
3 – 14 Oct 2022	Information to applicants about the results of the evaluation			
Oct - Dec 2022	Preparation of national/ regional funding contracts/funding decisions			
December 2022 – February 2023	Start of funded projects			
Note	The Consortium Agreement must be sent to the Call Secretariat with the official start of the project			
Max. duration of projects	36 months			

Where can I find more information about the EU-LAC Interest Group and the Joint Call?

Please visit https://www.eucelac-platform.eu/ for further information about the EU-LAC Interest Group and the 4th Joint Call.

The application procedure is managed by the Call Management System of DLR: https://ptoutline.eu/app/eu-lac-2022

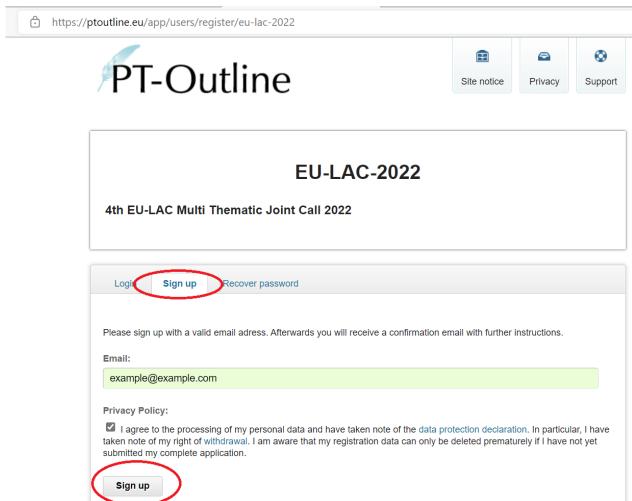


II. Screenshots of the Online application procedure





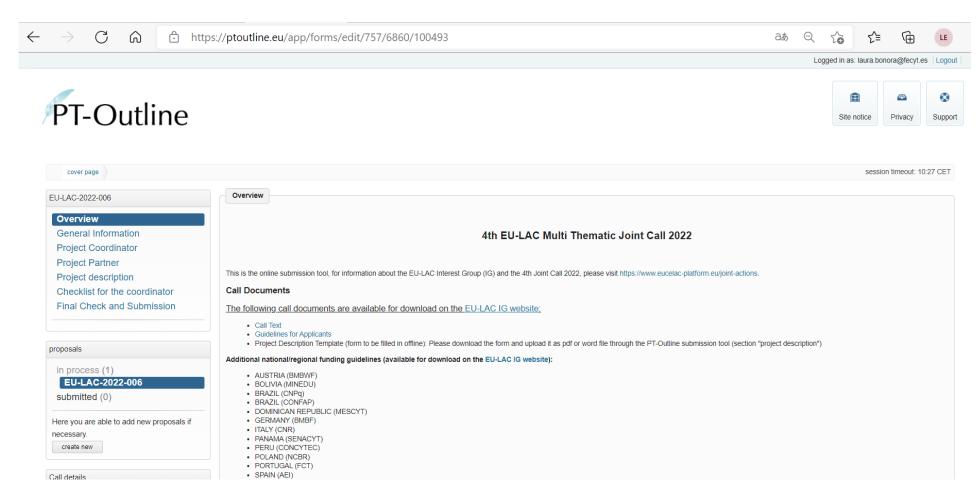
Registration: Before you can log into the electronic proposal submission system, you need to register. Please click on the top right icon "Sign up", enter your Email address and follow the instructions. During the registration process you will receive back a password via the given E-mail address. In case you do not receive it, first please check your SPAM folder and contact the Call Secretariat if needed. After login you can enter data and information about your research project.



The application form is structured in seven different sections or pages (access buttons on the top): *Overview, General Information, Project coordinator, Project Partners, Project description, Checklist and Final Check & Submission.*

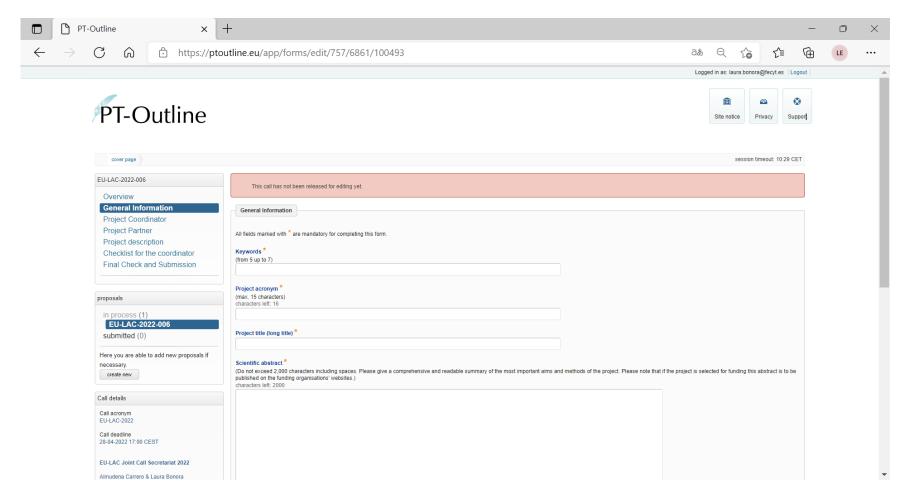


Step 1: On the page Overview you can find general information and the documents of the 4th EU-LAC Multi Thematic Joint Call



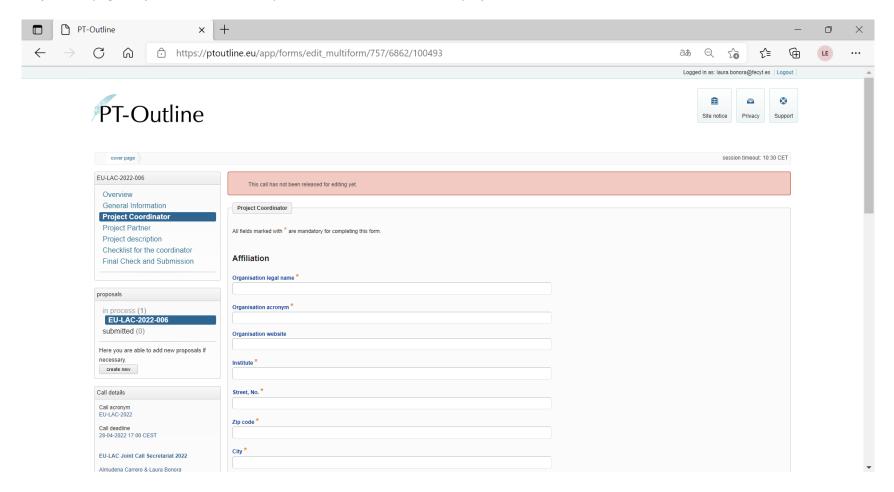


Step 2: On the page **General Information** you must include the basic information on the project: keywords, project acronym, project tittle, project summary, expected start date, duration, thematic area/topics and participating research infrastructures from LAC or EU (if applicable).



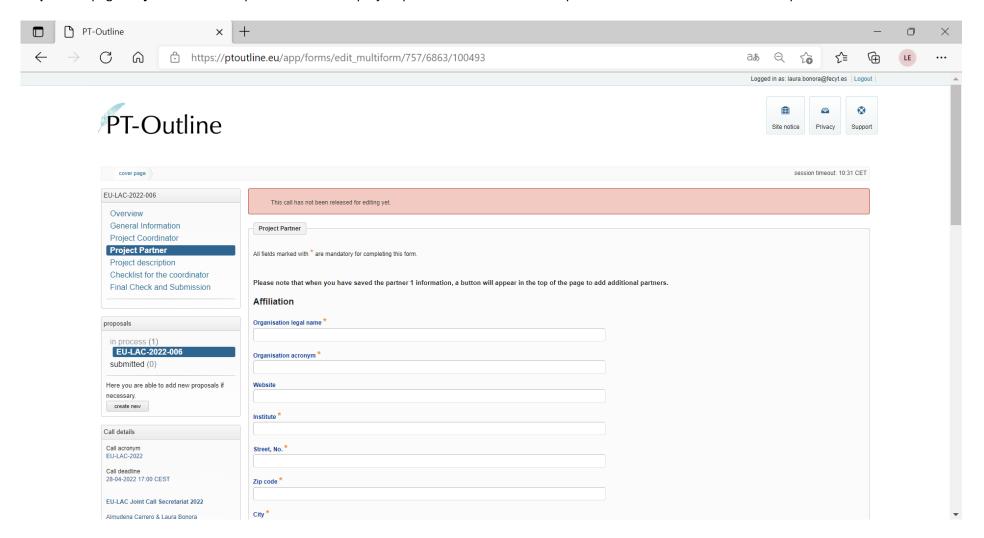


Step 3: The page **Project Coordinator** compiles the full information of the project coordinator.



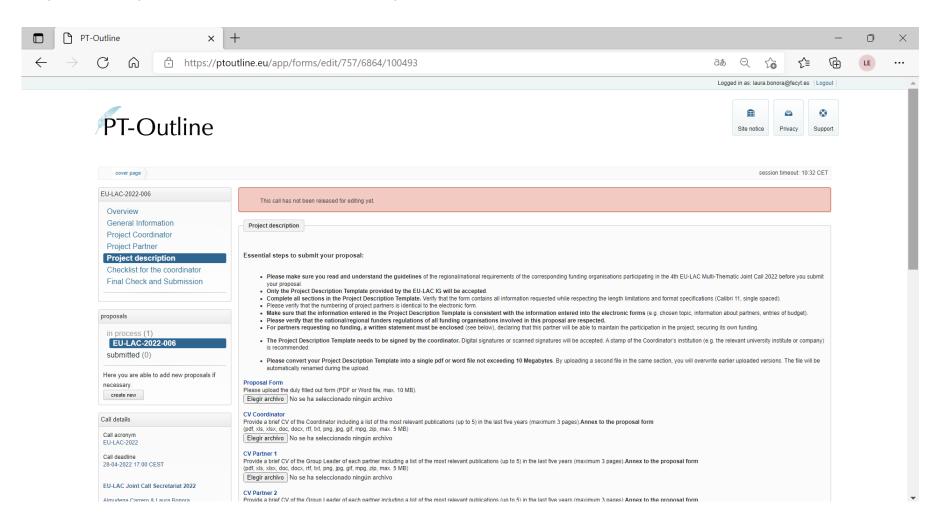


Step 4: The page Project Partner compiles the full list of project partners. Click on the "Add partner" button to include additional partners.



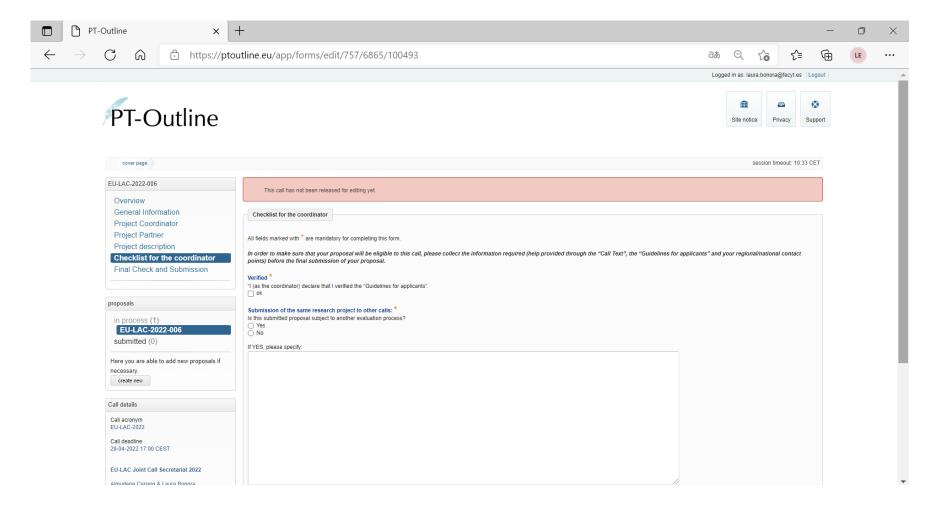


Step 5: Page **Project description**. You have to access the <u>Project Description Template</u> for providing a complete project description. Please download it, complete all the requested information and submit it either in pdf or Word format.



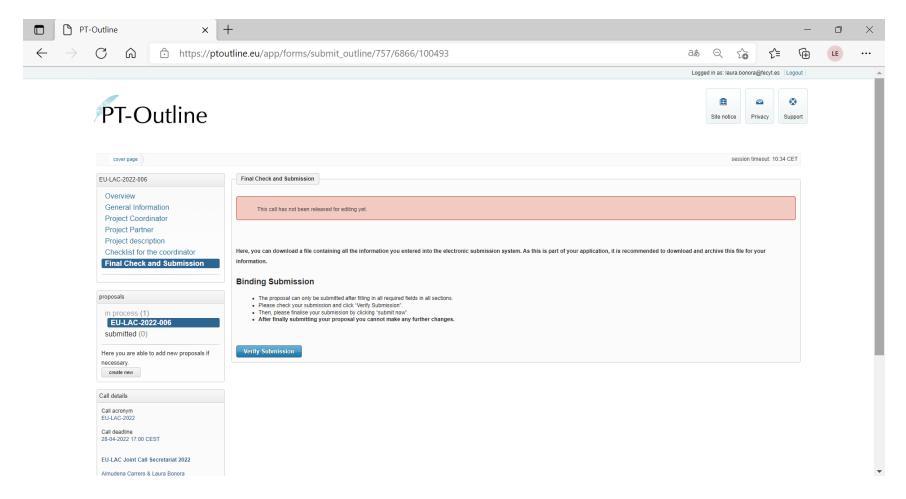


Step 6: Checklist page for the coordinator. Please complete all the requested information.





Step 7: On the **Final Check & Submission** page you will be able to check at any time if the proposal adjusts to the application requirements (this revision is done automatically when the proposal is submitted). Additionally, a pdf file can be generated before submitting the proposal in order to detect and correct mistakes. The proposal will be submitted for evaluation by clicking the "Verify Submission" button. If everything is correct you'll be able to generate a pdf file for saving or printing purposes. Please be aware that once submitted, the proposal cannot be modified.





Annex 1 – Call Secretariat and Call Contact Persons

4 th EU-LAC Call Contact Persons							
Austria	BMBWF	Christian Gollubits	Christian.Gollubits@bmbwf.gv.at Tel: +43 1 53120-7132				
		Taylor Dorian	<u>Dorian.Taylor@bmbwf.gv.at</u> Tel: +43 1 53120-7223				
Bolivia MINEDU		Mauricio Céspedes	mcespedes@minedu.gob.bo wmauriciohcq@hotmail.com Tel: +591 7011 7444				
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Brazil			elisa.confap@gmail.com Tel: +55 61 9 9613.8850				
Dominican Republic	MESCYT	Carlos M. Rodriguez	carlosrguez96@gmail.com Tel: +809-731-4223				
Germany BMBF / DLR		Marianne Vaske, Anneken Reise	Marianne.Vaske@dlr.de Tel: +49 228 3821-1439 Anneken.Reise@dlr.de Tel: +49 228 3821-1241				
Italy	CNR	Marilena Rossano	marilena.rossano@cnr.it Tel: +39 – 06 – 49932359 or +39 -081 - 6132641				
Panama	nama SENACYT Anabella Vasquez		avasquez@senacyt.gob.pa Tel: +507 517 0124				
Peru	CONCYTEC	Jessica Jenifer Mora Velit (CONCYTEC) Sandra Portugal Arakaki (PROCIENCIA)	imora@concytec.gob.pe Tel: +51 1 399-0030 sportugal@prociencia.gob.pe Tel: +51 1 6440004				
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Spain AEI Juan		Juan Climent	juan.climent@aei.gob.es Tel: +34 91 6037242				
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Uruguay ANII		Ana Vásquez	cooperacion@anii.org.uy Tel: +598 26004411				
Call Secretariat							
Spain	FECYT	Almudena Carrero Laura Bonora	<u>UEcelac@fecyt.es</u>				