

## SCOPES 2009-2012

### Scientific Co-operation between Eastern Europe and Switzerland

#### General Information and 2<sup>nd</sup> Call for Proposals

At the end of 2008, the Swiss National Science Foundation (SNSF) and the Swiss Agency for Development and Cooperation (SDC) of the Swiss Federal Department of Foreign Affairs launched a new phase of the programme “Scientific co-operation between Eastern Europe and Switzerland” (SCOPES 2009-2012). The option of multilateral projects (see chapter 4.3) has been introduced during the current phase.

The present 2<sup>nd</sup> call for proposals will be **open from 1 November 2010 to 15 March 2011**. Detailed information on submission processes and eligibility are outlined below and on the SNSF website ([www.snf.ch](http://www.snf.ch) -> International -> Europe -> Eastern Europe: SCOPES -> call for proposals).

#### 1. Background

Together with the Swiss Government, the SNSF has been promoting co-operations with scientists from Eastern European countries including states of the former Soviet Union since 1990 by implementing a scientific co-operation programme in six consecutive phases (1990-1992, 1993-1995, 1996-1999, 2000-2004, 2005-2008, 2009-2012). The commitment is part of a wider effort to strengthen economic, scientific and cultural ties between Switzerland and Eastern Europe.

A first call was published in December 2008. **The second call is open for proposals for Conference Grants, Institutional Partnerships, Preparatory Grants and Valorisation Grants. Proposals for Joint Research Projects will not be accepted during this second call.**

**The funding scheme of Institutional Partnership has been modified.** It is therefore advisable to study the new conditions as explained in this document.

## 2. Objectives

SCOPES aims at supporting individual researchers, research teams and research institutions from the target countries in their endeavour to overcome the difficulties of the transition period specific to Eastern European countries. From a Swiss perspective, the programme offers the possibility to fund scientific collaborations and promote synergies with the target countries.

The second call for proposals focuses on the improvement of structural conditions at Eastern European research institutions that will enable an improved research performance and better integration of individuals and institutions into the international scientific community. Swiss research institutions support their Eastern European partners in their efforts.

SCOPES is open for activities in all scientific disciplines from humanities and social sciences to natural sciences, biology and medicine. As SCOPES does not provide thematic priorities, research teams and institutions are free to submit any thematic proposal (bottom-up principle) that may contribute to the objectives of the programme. Proposals are evaluated according to a set of criteria specific to each funding scheme (see below). However, to further the programme's objectives, other important aspects must be taken into account:

- **Capacity building:** Partnerships between research institutions are not designed to produce research findings but to strengthen research institutions and the scientific community in the target countries. Other important factors are the inclusion of young scientists and a good gender balance.
- **Partnership approach:** Important principles in establishing partnerships are jointly established objectives, shared responsibility, accountability, transparency, non-discrimination, participation and efficiency.
- **Transition relevance:** Eastern European research institutions are supported in their transition process towards international standards.

## 3. Funding schemes

The following funding schemes are open for proposals:

- Conference Grants (see 6.1)
- Institutional Partnerships (see 6.2)
- Preparatory Grants (see 6.3)
- Valorisation Grants (see 6.4)

More details about these funding schemes can be found in the annexes and on the website (see above).

## 4. Submission

### 4.1 Eligibility of institution

Public research institutions in Switzerland and countries in Eastern Europe, the Western Balkans and the New Independent States of the former Soviet Union are eligible for participation in the programme.

#### Eligible research institutions in Switzerland and Eastern Europe

	Switzerland	Eastern Europe
<b>Research partners</b>	<ul style="list-style-type: none"><li>• Cantonal universities of higher education</li><li>• Swiss Federal Institutes of Technology &amp; associated institutions</li><li>• Swiss universities of applied sciences</li><li>• Federal and cantonal research institutions</li><li>• Research institutions located in Switzerland and substantially supported by the Swiss Government (e.g. CABI, FIBL)</li></ul>	<ul style="list-style-type: none"><li>• Public universities</li><li>• Private universities with national accreditation</li><li>• Institutes of the Academies of Sciences</li><li>• National/state research institutions</li></ul>

### 4.2 Partner countries

Two categories of partner countries have been defined:

#### Category A

The first category comprises the countries on the OECD-DAC list of ODA (Official Development Assistance) recipients (see <http://www.oecd.org/dataoecd/62/48/41655745.pdf>) :

- Western Balkan: Albania, Bosnia-Herzegovina, Kosovo, Macedonia, Montenegro, Serbia
- South Caucasus: Armenia, Azerbaijan, Georgia
- Central Asia: Kazakhstan, Kyrgyz Republic, Tajikistan, Uzbekistan
- Moldova
- Ukraine

#### Category B

- EU-Member States: Bulgaria, Czech Republic, Estonia, Hungary, Latvia, Lithuania, Poland, Romania, Slovakia, Slovenia
- Croatia
- Russia

Category B countries have generally progressed further in the transition phase towards Western standards and may act as intermediate partners between the Swiss partner(s) and the partner countries in category A.

### 4.3 Eligible project consortia

For funding schemes that require the formation of **consortia** (Institutional Partnerships), the following collaborations are eligible for funding:

#### **Bilateral projects**

(i.e. one partner from Switzerland and one partner from a partner country)

These are only possible with countries in category A.

#### **Multilateral projects**

(i.e. one partner from Switzerland and two or more partners from partner countries)

These are possible with countries in category A as well as with countries from both categories. In the case of a collaboration involving partners from category A + B, at least 50% of the funding must go to the partner(s) in category A (see annexe for more details concerning financial issues).

To create a sound and balanced consortium, all partner teams must have **a substantial role in the partnership** and complement each other. For this reason, the Eastern European partner teams should request equal contributions.

### 4.4 Technical details for submission

The call information will be available from 1 November 2010 on the SNSF website.

Proposals must be prepared jointly by the Swiss and Eastern European applicants. **The proposal must be submitted by the Swiss applicant (= future co-ordinator of the project) through the SNSF web platform [www.mysnf.ch](http://www.mysnf.ch). The online submission facility will be activated on 1 November 2010.**

**A user account is needed in order to gain access to the web platform and to submit the proposal.** To open an account, new applicants must register with the SNSF as a new user. Once registered, the responsible person will receive a username and password by regular mail (generally within five working days). The co-applicants from Eastern Europe can access the online proposal with the login details of the Swiss partner.

General questions concerning the application procedure may be directed to the SCOPES Programme Office (SNSF, International Co-operation, [international@snf.ch](mailto:international@snf.ch)). For technical questions regarding [www.mysnf.ch](http://www.mysnf.ch), a hotline is operated: +41 31 308 22 00.

Submission deadlines are specified below. Late and incomplete proposals will not be accepted. Please note that this is the last call launched within the SCOPES 2009-2012 programme.

#### 4.5 Deadlines of the call for proposals

##### **Conference Grants**

Proposals can be submitted continuously.

##### **Institutional Partnerships**

Proposals must be submitted to the SNSF by 15 March 2011.

##### **Preparatory Grants**

Proposals must be submitted to the SNSF by 28 February 2011.

##### **Valorisation Grants**

Proposals can be submitted towards the end of a funded Joint Research Project or Institutional Partnership and at the latest until 31 December 2012.

### 5. Evaluation and selection

Proposals for **Conference Grants, Preparatory Grants and Valorisation Grants** will be evaluated by the administrative offices of the SNSF.

Proposals for **Institutional Partnerships** will be assessed by an evaluation panel composed of experienced scientists from various disciplines and experts for organisation development. Following the panel recommendation, the Research Council of the SNSF will decide which proposals will be funded.

The **evaluation criteria** are specific to each funding scheme and can be found in the annexe below.

## 6. Annexe

### 6.1 Conference Grants (CGs)

#### 6.1.1 Description

Funds can be made available for Eastern European researchers wishing to participate in good quality scientific conferences with international participation taking place in Switzerland. Pure training courses will not be supported.

#### 6.1.2 Goals

Conference grants aim to strengthen the international networks of scientists from Eastern Europe and open new perspectives for their international co-operation as well as for the development of their scientific CV.

#### 6.1.3 Project duration

Maximum 7 days

#### 6.1.4 Project consortia

The Swiss conference organiser must submit the proposal.

#### 6.1.5 Eligible costs

Contribution to travel and accommodation costs for conference participants from partner countries (flat rate per person, see below). The maximum contribution per CG is CHF 10,000.

#### 6.1.6 Submission

Proposals may be submitted to the SNSF during the whole period of the programme, but at least 3 months before the conference takes place.

#### 6.1.7 Evaluation and selection

The quality of the conference and the candidates will be evaluated. Young scientists (<45) and active conference participants will be given preference. A gender balance is aimed at.

#### 6.1.8 Financial Details

Region	Countries	Flat rate per person*
Western Balkan:	Albania, Bosnia-Herzegovina, Kosovo, Macedonia, Montenegro, Serbia	CHF 1500
South Caucasus:	Armenia, Azerbaijan, Georgia	CHF 2000
Central Asia:	Kazakhstan, Kyrgyz Republic, Tajikistan, Uzbekistan	CHF 2500
Other countries:	Moldova, Ukraine	CHF 2000
EU-Member States:	Bulgaria, Czech Republic, Estonia, Hungary, Latvia, Lithuania, Poland, Romania, Slovakia, Slovenia	CHF 1000
Other countries:	Croatia, Russia	CHF 1000

\* All amounts shown are the maximum flat rate per person. Smaller amounts are also possible in order to support more participants if requested.

## 6.2 Institutional Partnerships (IPs)

### 6.2.1 Description

Institutional Partnerships (IPs) are intended to contribute to the structural development and modernisation of research and teaching institutions in Eastern Europe. The aim is to increase their attractiveness and international competitiveness by improving basic overall conditions.

**Research should not be the main component of an IP.**

Grants for IPs are meant to establish medium to long-term partnerships between research institutions in Eastern Europe and Switzerland. The funds of an IP are earmarked to overcome shortcomings of the Eastern European institutions and to contribute to :

- Improvement of institutional and research management
- Improvement of teaching and training, development of curricula
- Modernisation of methodology and approaches
- Improvement of networking
- Research infrastructure

A partnership will comprise at least one research institution (or a smaller unit within an institute/department) from Switzerland and one from Eastern Europe (composition of project consortia see chapter 4.3). The Swiss side is responsible for the overall partnership co-ordination. It is possible to include one or more partners from Eastern Europe; at least half of the partners must be countries in category A.

Partners from countries in category B could be engaged by the Swiss co-ordinator for the restructuring and modernisation of the partner institutions as well as the capacity development at the institution from category A. All partners need to agree to this.

Various activities are possible in order to reach the goals outlined above (not all must be included):

- Development of research networks (organization of international workshops)
- Training of the next generation of scientists (support of young scientists, promotion of women) through the organization of training courses, doctoral workshops, etc.
- Improvement of research /teaching infrastructure
- Development of new curricula, courses
- Improvement of teaching: training of tutors, common summer schools
- Support in the Bologna process
- Improvement of research management and general management (e.g. human resource management, strategic management, financial management, IT management, technology transfer management)

Examples of IPs during previous programme phases:

- Network for environmental assessment and remediation in aquatic systems: environmental curriculum and training at postgraduate level
- Advanced process engineering for Master and joint PhD education
- Promotion of forest and wood sciences in ... to mitigate the effects of climate changes on long-term forest development
- Improvement of teaching methods and development of new curricula for a course in general physics

- Implementation of a new teaching concept for selected paediatric disciplines in ...

#### 6.2.2 Project duration

24-36 months

#### 6.2.3 Project consortia

Bi- and trilateral partnerships are possible (see details under 4.3)

#### 6.2.4 Allowable costs in the programme

A detailed budget is required. Projected expenses must be justified and related to the proposed activities:

- Travel expenses in connection with visits to the partner institution (exchange of faculty members, postdoctoral and doctoral students)
- Living expenses for the visiting project partners
- Support of jointly organized workshops, training activities, etc.
- Research infrastructure (maximum 30% of the budget, only partners from Eastern Europe)
- Contractual costs (maximum 20% of the IP budget, e.g. for management training courses)
- Consumables necessary for the proposed work
- Co-ordination costs for Swiss partner(s): personnel costs to provide part-time support to the IP
- Other costs (must be justified)

Grants may not be used to cover overhead costs and research activities.

#### 6.2.5 Submission

Proposals must be submitted to the SNSF **no later than 15 March 2011**. They must be prepared jointly by the Swiss and Eastern European applicants. Late and incomplete proposals will not be accepted.

#### 6.2.6 Evaluation criteria

The proposals will be reviewed by an evaluation panel selected by the National Research Council of the SNSF. The following evaluation criteria will be applied:

- Scientific, educational and technological merit
- Significance and potential impact of the proposed activities for the participating institutions and their standing /role within their national/regional context.
- Originality of the proposed approach
- Experience and past performance of applicants
- Specific qualifications of applicants for the proposed activities
- Feasibility of proposed approach
- Potential synergy between the partners
- Potential for follow-up long-term collaboration
- Promotion of young and female researchers

### 6.2.7 Financial Details

Here are some examples of budgets for project consortia (see chapter 4.3):

#### Total amount per IP with one Eastern European (EE) partner

	<b>total</b>
Swiss partner(s)	60,000
EE partners (only category A)	75,000
<b>Total</b>	<b>135,000</b>

#### Total amount per IP with two Eastern European (EE) partners

	<b>total</b>
Swiss partner(s)	60,000
First EE partner (category A)	75,000
Second EE partner (category A or B)	75,000
<b>Total</b>	<b>210,000</b>

#### Total amount per IP with three and more Eastern European (EE) partners

	<b>total</b>
Swiss partner(s)	60,000
First EE partner (category A)	60,000
Second EE partner (category A)*	60,000
Third EE partner (category A or B)*	60,000
<b>Total</b>	<b>240,000</b>

**Example of IP budget\***

	1st year	2nd year	3rd year	Total
<b><u>Main Swiss applicant</u></b>				
Consumables	2,500	2,500	2,500	7,500
Travel & accommodation costs	5,000	5,000	5,000	15,000
Other costs	12,500	12,500	12,500	37,500
Total costs	20,000	20,000	20,000	60,000
<b>Co-applicant 1 from EE</b>				
Equipment	10,000	0	0	10,000
Consumables	5,000	2,000	2,000	9,000
Travel & accommodation costs	14,000	19,000	12,000	45,000
Other costs	6,000	2,000	2,000	10,000
Total costs	35,000	23,000	16,000	74,000
<b>Co-applicant 2 from EE</b>				
Equipment	5,000	0	0	5,000
Consumables	5,000	5,000	5,000	15,000
Travel & accommodation costs	15,000	18,000	10,000	43,000
Other costs	6,000	2,000	2,000	10,000
Total costs	31,000	25,000	17,000	73,000
<b>Total budget</b>				
Main Swiss applicant	20,000	20,000	20,000	60,000
Co-applicant 1	35,000	23,000	16,000	74,000
Co-applicant 2	31,000	25,000	17,000	73,000
	76,000	58,000	43,000	207,000

\* Divided into amounts per year as required for the electronic submission

## 6.3 Preparatory Grants (PGs)

### 6.3.1 Objectives

PGs should improve the quality of the submitted IP proposals.

### 6.3.2 Description

Researchers who intend to submit a proposal have the opportunity to request funds for travel and accommodation costs in order to meet future partners. This meeting should allow partners to discuss and work on the proposal.

### 6.3.3 Eligible costs

- Contribution to travel and accommodation costs
- Maximum amount per PG: CHF 10,000 (flat rate per person)

#### Travel from/to Switzerland

Region	Country	Flat rate
Western Balkan:	Albania, Bosnia-Herzegovina, Kosovo, Macedonia, Montenegro, Serbia	CHF 1500
South Caucasus:	Armenia, Azerbaijan, Georgia	CHF 2000
Central Asia:	Kazakhstan, Kyrgyz Republic, Tajikistan, Uzbekistan	CHF 2500
EU-Member States:	Bulgaria, Czech Republic, Estonia, Hungary, Latvia, Lithuania, Poland, Romania, Slovakia, Slovenia,	CHF 1000
Other countries:	Croatia, Russia Moldova, Ukraine	CHF 1000 CHF 2000

### 6.3.4 Submission

Proposals must be submitted to the SNSF **before 28 February 2011**. Late and incomplete proposals will not be accepted.

### 6.3.5 Eligibility

Approved funds for a Preparatory Grant will only be released once a full proposal has been submitted. This proposal must meet the eligibility criteria for an IP.

## **6.4 Valorisation Grants**

### **6.4.1 Objective**

Valorisation Grants aim to increase the effects and sustainability of the supported activities and the results achieved by JRPs/IPs (e.g. publications, websites, organisation of conferences with stakeholders or the general public). Additionally, VGs can be requested if a JRP/IP intends common activities with another JRP/IP in order to make the most of possible synergies.

### **6.4.2 Description**

If JRPs and IPs have generated transition relevant results, funds can be granted to support their implementation or dissemination. Furthermore, extra financial support for the co-operation between different JRPs/IPs will be considered if the according similarities have developed during the programme.

### **6.4.3 Eligible costs**

Allowable costs are not restricted to a specific budget category. The financed activities must relate to the goals of this funding scheme. The maximum contribution per VG is CHF 10,000.

### **6.4.4 Submission**

Proposals may be submitted to the SNSF during the whole programme period, but at least 3 months before the activities take place.

### **6.4.5 Evaluation and selection**

The activities must contribute to an improved dissemination/implementation of the results achieved in the IP.

30 October 2010