DEVELOPING AND SUBMITTING A PROPOSAL FOR FUNDING IN THE FIELD OF HEALTHCARE RESEARCH OR CAPACITY BUILDING IN RESPONSE TO A CALL FOR PROPOSALS PUBLISHED BY THE EUROPEAN COMMISSION: LESSONS LEARNED AND EXPERIENCES GAINED BY THE RESEARCH GROUP OF CLINIC OF SOCIAL AND FAMILY MEDICINE OF THE SCHOOL OF MEDICINE AT THE UNIVERSITY OF CRETE IN GREECE

Opracowanie i składanie wniosków o granty badawcze w obszarze tworzenia potencjału i opieki zdrowotnej do europejskich instytucji finansujących: wnioski i doświadczenia zdobyte przez Grupę Naukową Kliniki Medycyny Społecznej i Rodzinnej Szkoły Medycznej Uniwersytetu Kreteńskiego w Grecji

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SUMMARY

With research and innovation being key elements to ensure a prosperous future for the European Union (EU) and figuring prominently in the Europe 2020 strategy, the EU funds research and innovation, and supports cross-border collaboration, but, also, local initiatives, to an unprecedented scale. The success of the funding-seeking effort heavily relies upon establishing a continuous flow of up-to-date information, including assessing the needs of researchers and practitioners seeking funding, not only regarding funding opportunities and requirements, but, also, about project and research management tools, wider EU priorities and how to, respectively, utilize and embed these in any proposal. The experience of the Clinic of Social and Family Medicine (CSFM) of the School of Medicine at the University of Crete (UoC) in developing proposals, building consortia and securing funding has been substantial over the past decade, and the aim of this short introductory paper is to provide some background information to help fellow researchers better prepare for the development of a successful proposal.

Keywords: research in the field of healthcare, capacity building, innovation, proposal writing, calls for proposals published by the European Commission, funding
Introduction

Research and innovation are key elements to ensure a prosperous future for the European Union (EU) and, therefore, figure prominently in the European 2020 strategy, thus, underpinning progress towards the 10 priorities of the Juncker Commission. With Horizon 2020, the EU funds research and innovation, and supports cross-border collaboration, but, also, local initiatives, to an unprecedented scale.

Three major challenges have been identified at EU level. These include improving the track record in terms of the relevance of research results, in other words, making it to market and being commercialized. Researchers need to be able not only to tap into appropriate resources, but, also, to have a greater overview of translational aspects of their work and the impact thereof. Although Europe generates more scientific output than any other region in the world, there is still a lot that remains to be improved in terms of quality and to produce the best possible scientific output. Additionally, science cooperation and science diplomacy are underdeveloped and should be considered underpinning factors and essential drivers in all project and programme work.

A unique challenge for healthcare researchers and practitioners, within and beyond academia, is to understand these aspects, stay well informed of resources available to them, structures supporting their work and the priorities thereof. Staying abreast of times in health research and healthcare capacity includes the strongly emerging cost-effectiveness component for any research effort, as illustrated by the additional emphasis captured as one of the four main thematic priorities for the current period, with emphasis on Health Technology Assessment (HTA). Similarly, continuing the efforts of the Innovative Medicines Initiative (IMI) (http://www.imi.europa.eu/), additional incentives and emphasis has been given in involving small- and medium-sizes enterprises (SMEs) when building consortia.

Information regarding entrepreneurship can be found in the European Commission’s Directorate-General for Internal Market, Industry, Entrepreneurship and SMEs: http://ec.europa.eu/growth/index_en.htm

This continuously emerging trend emphasizes the need to bring together academia and industry. The aim of this short introductory paper is to provide some background information on preparing for the development of a successful proposal. A prerequisite for making the best of the information provided is to understand a funding agreement is essentially a starting point of multiple contractual obligations and, therefore, concepts and respective terminology, which may be technical, legal or belonging to the sphere of policy and/or other domains, should be well understood, and elucidated, if necessary, to better understand what is being requested and what should be put forth. A sound starting point is the main funding portal of the EU: http://ec.europa.eu/contracts Grants/index_en.htm

Key structures, emerging thematic priorities for health, and funding mechanisms

It is important to be well informed about the EC calls for funding so as to be able to identify relevant open calls. Knowing the basic structures determining priorities and allocating funds for research and for capacity building overall, and, also, in the healthcare sector will help identify and assess relevant options, synergies and complementarities.

The Directorate General (DG) for Health and Food Safety (DG SANTE) allows the selection of parameters for continuous informational updates by visiting the main portal, creating an account, building an agent to regularly retrieve relevant call information, and subscribing to the mailing lists for call updates: https://ec.europa.eu/core/services/mailing/index.cfm?controller=login&action=login&serviceid=1

The main page for structures within the DG SANTE, other agencies, social media providing real-time information and an overview of trends is, also, useful: http://ec.europa.eu/dgs/health_food-safety/index_en.htm

One important source of information is the Consumers, Health Agriculture and Food Executive Agency (CHAFEA) (http://ec.europa.eu/chafea/) administering funds through various mechanisms. CHAFEA is accountable for implementing the Health Programme that is the main EC instrument to implement the EU Health Strategy developed by DG SANTE, operationalized in funding through various mechanisms.

The priority objectives of the new Health Programme for 2014–2020 are part of the Regulation (EU) No 282/2014 of the European Parliament and of the Council of 11 March 2014 on the establishment of...
developing a third Programme for the Union’s action in the field of health (2014–2020). They are as follows:

Objective 1: Promote health, prevent diseases, and foster supportive environments for healthy lifestyles. In practice: identify, disseminate and promote the uptake of evidence-based and good practices for cost-effective disease prevention and health promotion measures by addressing in particular the key lifestyle related risk factors with a focus on the Union added value.

Objective 2: Protect citizens from serious cross-border health threats by identifying and developing coherent approaches and promoting their implementation for better preparedness and coordination in health emergencies.

Objective 3: Support public health capacity building and contribute to innovative, efficient and sustainable health systems. In practice: identify and develop tools and mechanisms at Union level to address shortages of resources, both human and financial, and facilitate the voluntary up-take of innovation in public health intervention and prevention strategies.

Objective 4: Facilitate access to better and safer healthcare for Union citizens. This would be achieved through increasing access to medical expertise and information for specific conditions, also beyond national borders. It would also entail helping to apply research results and developing tools for the improvement of healthcare quality and patient safety through, inter alia, actions contributing to improve health literacy.

The budget of the new Health Programme is € 449 394 000 for 2014–2020. This amount is to be shared between the different objectives of the Programme. Funding opportunities include:

- Grants for action co-financed by the competent authorities responsible for public health in the Member-States (called “Joint Actions”);
- Grants for actions (projects) co-financed by other public, non-governmental or private bodies including international health organisations;
- Grants for the functioning of non-governmental bodies;
- Procurement contracts.

By visiting the CHAFEA site, detailed information can be retrieved regarding these tools and about how to tackle practical matters, and most importantly, a detailed overview of the main thematic priorities and respective objectives is also presented at: [http://ec.europa.eu/health/programme/docs/factsheet_healthprogramme2014_2020_en.pdf](http://ec.europa.eu/health/programme/docs/factsheet_healthprogramme2014_2020_en.pdf)

In greater detail, along with the full text of the Regulation: [http://ec.europa.eu/health/programme/policy/index_en.htm](http://ec.europa.eu/health/programme/policy/index_en.htm)

The European Commission (EC) and the Member-States are mandated by regulations establishing the rules for the European Structural and Investment Funds” (ESIF), Horizon 2020, and other EU programmes directly managed by the Commission in the areas of research, innovation and competitiveness (i.e., COSME, Erasmus+, Creative Europe, European Union Programme for Employment and Social Innovation (“EaSI”) and the digital services part of the Connecting Europe Facility – to ensure coordination, synergies and complementarities. This aspect is crucial when identifying conflicting or complementary priorities and funding opportunities”. Multiple resources are provided by the Proposal Submission Service of the EC in the context of Horizon 2020:


Most importantly, the current “Proposal Submission Service – User Manual” providing information and links to relevant resources and all technical information to establish submission-readiness can be retrieved from: [http://ec.europa.eu/research/participants/data/support/sep_usermanual.pdf](http://ec.europa.eu/research/participants/data/support/sep_usermanual.pdf)

The first chapter of this document, also, provides sufficient information regarding the proposal submission process relevant either to EC Grant Proposal Process (i.e., information on how to participate, information about Horizon 2020 online manual, certain references, documents, the Beneficiary Register, a financial capacity self-check and information about the participation of enterprises) or to the Proposal Submission Preparatory Checklist (i.e., a clear guidance on the steps that you have to follow: decision on the funding opportunity, selection of partners, registration in the European Commission Authentication Service (ECAS), or, as necessary, entity/organization and partner registration in the Beneficiary Register through the Participant Portal), as well as an overview of “quick steps” to the online submission process and the assessment of the draft and submitted proposal.

Additionally to these technical elements, some attention should be paid on combining funding mechanisms and embedding proposals in the appropriate regional and local context, as well as into longer-term efforts for needs-based research priority setting and for relevant capacity building. There are numerous useful resources mapping regional and local priorities, but the overarching document on how to combine funding tools can be retrieved at: [http://ec.europa.eu/regional_policy/sources/docgener/guides/synergy/synergies_en.pdf](http://ec.europa.eu/regional_policy/sources/docgener/guides/synergy/synergies_en.pdf)

As previously mentioned, depending on the topics of interest, it is, also, important to map synergies with other agencies and funding structures within and outside the EU Structures. Accordingly, other relevant programmes and financing instruments should be identified. For example, for social innovation and equal access to services, the Employment and Social Innovation (EaSI) programme “” provides funding; a guide and details of such synergies and respective funding with emphasis on SMEs can be found in the relevant portal: [http://ec.europa.eu/social/mainjsp?langid=en&catid=1081](http://ec.europa.eu/social/mainjsp?langid=en&catid=1081)

From a strategic perspective, to better understand the context under which thematic priorities are determined and policy-makers determine actions, it is important to familiarize researchers with interrelated concepts on research and innovation on a global rather than simply European context. We, therefore, recommend utilising “Science, research and innovation performance of the EU – A contribution to the open innovation, open science, open to the world agenda: 2016” as a “stepping stone” to understand these aspects. This publication, along with many other useful ones can be retrieved or order from the EU Bookshop:

We, also, strongly recommend familiarizing the team to work on any proposal with basic concepts and terminology utilized in calls or technical annexes and/or to be used, and/or to be avoided. There are many useful publications from consulting agencies, academic institutions, etc.; a good starting point could be the publications of the European Commission, as for example:

Experience gained by the Core Team of the Clinic of Social and Family Medicine (CSFM) of the School of Medicine at the University of Crete (UoC), Greece

The CSFM of the School of Medicine at the UoC has been successful in securing funding for research and for capacity building in the context of the Seventh Framework Programme (FP7) and of Horizon 2020. Despite the resource limitations and the variety of the activities and thematic areas in which the CSFM is engaged, a strategic approach in priority setting, and an intensive skill and knowledge transferability process and research management has allowed the Core Team to secure funding through various tools and mechanisms, and for a wide array of activities. This strategy has been applied to national and local efforts alike, and with equal success. Part of this success has been to selectively lead efforts remaining realistic regarding capacity, and to seek knowledgeable partners so as to engage and participate in the efforts of peers across Europe. An indicative list of recent European project follows, but we have selected two of our main projects to highlight the most relevant and useful aspects from a practical perspective, one research project and a capacity-building project.

I. OTC SOCIOMED (http://www.otcsociomed.uoc.gr/joomla/) research project

The project focused on the inappropriate supply and consumption of non-prescribed medicines, a well-established public health issue and priority recognized by the World Health Organization (WHO) and the EU, both for developing and developed countries, and it was funded in the context of the 7th Framework Programme (FP7). The proposal was developed through the collaboration of EU Member-States, but, also other neighbouring countries (e.g., Turkey) given geographical relevance, and historical and organizational traits in terms of how the healthcare provision paradigm was shaped in the Mediterranean basin, and with international partners to best ensure wide dissemination of results, maximum impact and relevant informing for future decision- and policy-making.

A crucial element for the success of the proposal was not only aligning the objectives to the key priorities of the call and of the EU, but, also, anchoring the methodological framework in a robust theoretical framework. The theory-specific approach drove the generation of methodological tools to identify and understand primary care physicians and primary care patient behaviour towards prescription and consumption of medicines. The approach was interdisciplinary as methodology was grounded on the theory of planned behaviour (TPB; Ajzen, 1991) [1] seeking to identify predisposing behavioural factors that will enable the alteration of the problematic behaviour, and providing a validated model for theory-guided interventions, allowing the consortium to tailor it so as to address the behavioural components playing an influential role in the irrational prescription and consumption of medicines. Systematic reviews were conducted to ensure wide capturing of data internationally so as to develop tools to assess of the extent of OTC misuse in countries of Southern Europe, the identification of influential factors on the intentions of primary care physicians and patients concerning irrational prescription and misuse of medicines. The output of the reviews was then coupled with the primary research output, in a mixed methods (i.e., qualitative and quantitative) approach, to elicit semantically rich yet quantitatively robust data in terms of identified factors, and to ultimately design and implement a feasibility pilot intervention to allow for relevant recommendations to policy makers [2].

The benefits for the Union were concretized in terms of identified factors, and in terms of informing policy actions. Southern European countries would benefit double from the progress and the know-how of Northern European countries invited to participate. Awareness of the team on generation a research network was high and this was highlighted in the proposal. The previous collaboration of some of the consortium members was flagged to demonstrate adequately that the capacity of delivering a team existed already, particularly given the level of funding requested and the complexity of the proposed work. The previous work in relevant research areas was further presented to support the generation of a network consisting of various intersecting disciplines that ensures evaluation, discussion and widespread dissemination of emerging knowledge throughout European primary healthcare settings. Indeed, the various consortium members participating in this proposal have continued working together, and the members of the core research group moved on to draft research strategy for seeking further funding and highlighting further priority areas.

II. EUR-HUMAN (http://eur-human.uoc.gr) capacity-building project

The EUR-HUMAN project is a one-year project that aims to enhance the capacity of European Member-States who accept migrants and refugees in addressing their health needs, safeguard them from risks, and minimize cross-border health risks. This initiative will focus on addressing both the early arrival period and longer-term settlement of refugees in European host countries. The UoC is the Coordinator in a consortium of eleven partners. The institution that has the role of the coordinator in a consortium should focus on the following: clarify terminology and identify all key documents, be responsible for the pre-registration data (topic, type of action, participants, short summary) and disseminate key documents to the members of the consortium by providing simple and clear instructions. As the Coordinator of the EUR-HUMAN project, the UoC had an important role not only on the administrative and coordination tasks but also on the scientific
Developing and submitting a proposal for funding (in the field) of healthcare research or capacity building... preparing to launch an effort at integrating innovative research management and best practice knowledge brokering by creating a small sub-team with a focus on: intellectual property, commercialisation, global partnering, providing supporting services to the School of Medicine of the UoC, and, also, creating a page to provide systematic and continuous updates on available project and research management resources.

For all the projects we have led or participated in, anchoring any proposed work in a strong theoretical model, underpinned by a strong, previously used, and – ideally – validated intervention model is considered to be a major strength of the proposal. Relevant referencing and assessment of feasibility and sustainability are important, and, for very valid reasons, we have seen these elements become essential components, rather than simply nice “add-ons” over the years. Similarly, impact is key and should be assessed along with the relevant publication plan not simply by examining dissemination aspects, but by rendering these sufficient for relevant decision-making. Of course, all such aspects should be supported by robust proposal writing, with appropriate citations and relevant reference selection which extends beyond purely scientific aspects and into policy agendas, briefs, white papers, and, depending on the context and the thematic priority, legislation, guidance, etc.

According to our experience, and independently of whether the proposal developed will focus on research or capacity building, special attention should be given:

On realistic expectations and commitment when proposing work with long-term horizon in projects with a large consortium – the lean and relevant Description of Work (DoW) will have to be revisited often enough during execution.

– Each partner should have a clear understanding of the aim and structure of the proposal, so as to be able to develop the Work Packages, matched to the overall DoW, and to perform tasks for which they carry the responsibility effectively during the project. An essential element extending beyond the successful securing of funding to the successful project performance and execution of the work described, is reporting; accountability and responsibility of these aspects should be clarified and Coordinator and Partners should have clear roles and responsibilities (R&Rs) with dedicated personnel, contacts and, if possible, simple and easy-to-follow processes in place.

– Partners should have a comprehensive understanding of their obligations under which funding is secured and its continuity ensured, not excluding, diligent performance of task as described and reporting thereof in a timely manner. These aspects may turn into major challenges, if not managed properly. For instance, partners often find hard to understand the difference between the vision/scope of the project and the objectives, results, approach/methods and the impact when developing a proposal, but, also, when reporting on tasks performed.

– Partners should keep in mind the following questions per part. The vision refers to “why” and “who” is the future target group, objectives offer
an answer to “why” and “who” (near future and during the project), results refer to “what” (during the project), overall and Work Packages’ methodological approach refers to “how” (during the project) and the impact refers to “why”, “who”, “what” and “how” (after the project’s completion).

- Additionally to the overall R&Rs (Coordinator – Partners), a clear description of the role of each partner in the consortium embedded into the DoW is vital to form an effective proposal.

Furthermore, evaluators pay attention to maintain a relative balance regarding:

- Budget allocation between the partners and responsibilities (i.e., efforts, funding, cost categories);
- Roles of each consortium member;
- Appropriate number, timing and relevance for the scope of work of the Work Packages.

To summarize the main points put forth:

- Identify the most relevant thematic priority and funding mechanism for the nature of your work and your research and capacity-building priorities;
- Regularly monitor information and train personnel to develop strategic and research priorities that are relevant for your organization, national and local context, ideally, matching these to EU objectives, priorities, etc.
- Parallel to these steps read previous reports and project descriptions, familiarize the team with previous work that received funding and is of relevance (i.e., ensuring continuity of activities) and develop and maintain a list of potential partners on the basis of expertise, experience, but, also, previous collaboration – particularly where this has been documented;
- Read calls identified paying particular attention on verbiage, expectations, matching of aims to overall objectives, innovative collaboration and network building and expansion;
- Pay particular attention to expected impact; scaling up, feasibility and sustainability concepts, as well as dissemination activities in a manner sufficient to ensure informed decision- and policy-making;
- Identify theoretical models and interventions of relevance and train personnel on methodology that can be of relevance in different context; it is important to remember there is an expectation to contribute with highly skilled personnel and to have already systematically examined bibliography to submit proposals with high originality and relevance for the thematic priorities identified.

Conclusion

It is important to remember this is a quickly changing landscape. Dedicated resources at institutional level are necessary to ensure research priorities are assessed strategically and capacity building remains relevant. Research strategy with organizational aspects, including strengths and limitations should be factored in and taken into consideration when establishing consortia. The success of the funding-seeking effort heavily relies upon establishing a continuous flow of up-to-date information, including assessing the needs of researchers and practitioners seeking funding; not only regarding funding opportunities and requirements, but, also, about project and research management tools, wider EU priorities and how to, respectively, utilize and embed these in any proposal.

Additionally, research and project managers should reach out to the newly formed professional bodies, such as the European Association of Research Managers and Administrators (EARMA) and the European Community of Project Managers and Administrators (ECPMA) or its local chapters for up-to-date access to toolboxes with links, and for exchanging ideas and practices on a project and programme management and leadership level.

Academic research generates new ideas and highly specialized scientific knowledge carrying tremendous translational potential for novel practices and to inform decision- and policy-making. Therefore, it is important to secure sufficient funding so as to ensure the continuity of efforts and the sustainability of initiatives. Therefore, we believe funding through successful proposals in calls should be complemented by embracing entrepreneurship, building networks with partners from various sectors and exploring the commercialization of new ideas, always aligning institutional priorities with local, national and European research and innovation priorities.

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The conflict of interests

The authors do not report any conflicts of interests.

Notes

• In most cases, the grants will contribute 60% of the costs of the action/project. This figure rises to 80% in specific cases, e.g. Joint Actions with the involvement of Member-States with a low Gross National Income. The specific criteria will be detailed in the annual work programme.


The Regulation 1303/2013 laying down common provisions of the ERDF, ESF, Cohesion Fund, EAFRD and EMFF; Regulation 1299/2013 on specific provisions for the support from the ERDF; Regulation 1300/2013 on the Cohesion Fund; Regulation 1304/2013 on the ESF and Regulation 1302/2013 on a European grouping of territorial cooperation (EGTC).

*** EaSI is an instrument to promote a high level of quality and sustainable employment, with emphasis, however, on guaranteeing adequate and decent social protection, combating social exclusion and poverty and improving working conditions, thus, closely interrelated to capacity building and health research on multiple levels.

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References


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