



**Support for scientific excellence and the internationalisation  
of research**

## **Action Plan 2021**

**Calls for proposals and application details**

04/11/2020

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## **1. Context, objectives and priorities**

### **1.1. Institutional Setting**

CY Initiative launches a fifth action plan in support of scientific excellence and the internationalisation of research.

CY Initiative is the Excellence Initiative of CY Cergy Paris Université - the result of the merger of the University of Cergy-Pontoise and EISTI - and ESSEC Business School. CY Initiative has an annual budget of €7.4 million, 75% of which (€5.1 million) is dedicated to scientific development. The main objective of CY Initiative is to promote research excellence and to strengthen the scientific potential of partner institutions.

### **1.2. Objectives**

The main objective of the 2021 action plan is to strengthen the scientific potential of CY Initiative. It aims to increase the scientific production and its impact, to strengthen the openness and international visibility and to foster collaborations, both internally and with external partners.

The 2021 action plan is in line with the calls for proposals open since 2017. It is based on 5 funding programmes, presented in section 2, which extend the programmes initiated in the PAA 2020 and are the subject of specific calls for proposals described below.

The 2021 Action Plan supports original research projects, carried out by both individual researchers and research teams, which aim to explore new research themes or consolidate existing expertise. The scientific quality of the projects, their contribution to the visibility of CY research and to the dynamics of excellence of CY Initiative will be decisive.

The action plan also aims at strengthening the attractiveness and visibility of CY Initiative internationally by attracting young talented researchers willing to develop their research in one of CY's research teams and foreign researchers willing to engage in collaborations with these teams. The targeted projects will also contribute to the strengthening of doctoral and post-doctoral training.

The action plan encourages the deployment of ambitious research strategies developed at the level of CY Initiative teams, laboratories and departments. The selected projects will have a structuring effect on the research activity of the research centres and laboratories, allowing them to lift the identified development locks and explore high-potential research areas in order to take a major step towards increased visibility and impact. The action plan also encourages the emergence of cross-cutting projects involving several CY Initiative research entities.

The 2021 Action Plan promotes the development of international scientific collaborations, in particular with the strategic partners of CY Initiative: in Europe with all the partner universities

of the EUTOPIA Alliance (University of Warwick, Vrije Universiteit Brussel (VUB), University of Ljubljana, Pompeu Fabra University and University of Gothenburg). In Asia, a privileged partnership has been established in Singapore with the Nanyang Technological University and in South Africa with the University of the Western Cape. Others are under development (University of Mauritius, ...). The projects of collaboration with these institutions is strongly encouraged, but collaboration with other institutions will also be appreciated and evaluated.

It is expected that the projects funded under the various programmes of the 2021 action plan will initiate a dynamic enabling, at the various levels of researchers, research teams and institutions, a sustainable strengthening of scientific potential, positioning and visibility. In particular, the selected projects will have to demonstrate their ability to attract external funding that will enable them to extend their scientific ambition beyond the funding obtained under the 2021 action plan.

### **1.3. Areas of Research**

This call for proposals is open to basic or applied research projects in all scientific disciplines.

Beyond the scientific quality of the projects, CY Initiative aims to shed light on major contemporary societal issues in the light of the research results. These major issues will be approached in their global complexity, by favouring an interdisciplinary approach, mobilising different disciplines within the major disciplinary fields, and crossing, in a broader way, social sciences or modelling sciences with other disciplinary fields. Particular attention will be paid to projects that address societal challenges related to the fields of economy, finance and management; heritage, art and luxury; risk, society and security.

The call for proposals complements existing schemes to support scientific dynamics, in particular the Laboratoires d'Excellence (labex). It will make it possible both to extend the dynamics of excellence to other scientific fields and to strengthen the centres of excellence already labelled. Priority will be given to projects in the labex field. If they are also submitted in the framework of this call for proposals, the submission to this PAA must be specified, explained and justified.

Projects whose central objective is collaboration with a company and which aim at research leading to industrial or socio-economic applicability, will be able to rely on the CIREX Call for Proposals ([aap\\_cirex@universiteparisseine.fr](mailto:aap_cirex@universiteparisseine.fr)), which can be submitted on a continuous basis. The CIREX CfP is operated within the framework of the CATTs.

## 2. Funding Programmes

CY Initiative's 2021 action plan articulates five funding programmes:

1. The **Ambition programme** aims to support ambitious, medium-term research programmes that are developed at the level of a research team or a research centre;
2. The **Talent programme** aims to support the recruitment of young researchers with high potential;
3. The **Emergence programme** aims to support the development of innovative research projects, led by individual researchers, with a view to preparing an application for external funding ;
4. The **Fellows-in-Residence programme** aims to strengthen international collaborations and interdisciplinary exchanges by allowing the hosting of high-level international and national researchers in residence for stays of 4 to 12 months.
5. The **EUTOPIA PhD co-tutelle programme** aims to strengthen doctoral training in conjunction with our partners in the EUTOPIA alliance.

These five programmes complement existing funding schemes at national (notably ANR) and international level (notably Horizon Europe) and the research support programmes set up in the framework of the EUTOPIA Alliance (notably the [EUTOPIA SIF](#) postdoctoral programme). It is expected that CY Initiative researchers and research teams, candidates to the programmes of the 2021 action plan, will elaborate a development strategy articulating, in the medium term, the different internal and external support instruments.

### 2.1. The Ambition Programme

The Ambition programme aims to support large-scale scientific projects in strategic research areas that will have a significant leverage effect on the scientific output, impact and visibility of the teams. The projects will be funded over 4 years and will significantly transform the research dynamics of the laboratories involved.

Projects submitted to the Ambition programme will be carried out at the level of a research team or a research centre bringing together a significant number of researchers. Teams can be anchored in existing laboratories or research departments, but can also bring together researchers from different CY Initiative research centres or laboratories in an interdisciplinary project.

Applications must demonstrate both research excellence and impact. The projects will be at the heart of an explicit strategy highlighting the expected structuring effects in terms of international visibility (evidenced by the impact of the project on publications and rankings), scientific positioning, external partnerships and attractiveness.

Applicants will explain in detail the societal relevance of their project and the proposed dissemination and impact strategies.

Project implementation will be based on funding from this call for proposals and on additional external funding(s), which the teams will attract during the project period. Applicants are invited to explain how the additional funding will be obtained, what type of funding and at

what stage of the project. They should also indicate how the two types of funding, from this call and from external sources, will jointly contribute to achieving the objectives of the project.

The financial support granted to this programme under the present call for proposals may include in particular: a research budget, teaching grants for the researchers involved, funding for human resources (doctoral students, research assistants, post-doctoral students or non-permanent junior researcher positions).

*Indicative funding: 300 to 400k€ per project.*

*Expected number of funded projects (estimate): 1 to 2 projects.*

## **2.2. The Talent Programme**

The Talent programme aims to support the recruitment of high potential young researchers who wish to develop their research in one of CY Initiative's research teams.

The programme encourages applications from researchers with between two and ten years of postdoctoral experience and high research potential, as evidenced by their previous academic achievements and the level of ambition and innovation of the proposed project.

The programme offers an attractive remuneration, research budget and working environment for a period of 3 years in the form of integrated junior chairs. Applicants are not eligible if they have held a research position (including PhD) in one of the CY Initiative institutions before the opening date of the present Call for Proposals. The programme is open to researchers from public scientific and technological institutions (EPST) wishing to carry out research in one of our associated laboratories.

Each recruitment will be based on a global research project, which the candidate will implement in a CY Initiative laboratory/research team during the duration of his/her commitment and which will be fully integrated in the strategy of the host laboratory and/or research team. The projected impact on the strategy of the laboratory/research team, its development and evolution should be detailed in the application.

Applicants must commit to submit applications to additional external funding(s) (ERC, Horizon Europe, ANR, etc.) during their contract with CY Initiative, in order to complement the funding of this call. The way in which this funding will help to achieve the objectives of the project must be detailed in the application.

Financial support for this programme may include the salary and/or teaching release of the recruited researcher, a research budget, funding for the recruitment of PhD students (if the TALENT is entitled to direct research, or if another researcher with HDR is part of the project team and is in charge of the supervision of the PhD student) or post-doctoral fellows related to the candidate's research project.

*Indicative funding: 250 to 350 k€ per project.*

*Expected number of funded projects (estimate): 1 to 2 projects.*

### **2.3. The Emergence Programme**

Emerging research projects with high potential may be supported for a period of two years, up to a maximum of €50k. The objective of this financial support is to enable the advancement of research work and the setting up of a project with a view to submitting an application for external financial support at national (notably ANR), European (ESF, ERC, FP, Horizon Europe - see attached list) or international level. Applicants for this support undertake to submit an application for external funding, as a promoter, to national or international agencies during the two years covered by the project.

The project submitted must involve the work of a small team (at least two researchers), allow the exploration of new research themes and be in line with the scientific development strategy of the supporting entities, institutions and CY Initiative of Excellence ("research areas", above).

*Indicative funding: 25 to 50k€ per project*

*Target number of projects (estimate): 5-10 projects*

### **2.4. The Fellows-in-Residence Programme**

The Fellows-in-Residence programme, run by CY Advanced Studies (CY AS), is a residential programme for researchers from outside CY Initiative for a period of 4 months to one year. This programme aims to promote interdisciplinary exchanges, international collaborations and to strengthen the attractiveness of CY Initiative partners.

The Fellows-in-Residence programme will host, during the academic year 2021-2022, about ten researchers in residence. All fields of research are eligible. Fellows are encouraged to develop their research programme in line with the research activity carried out by the CY Initiative research groups. The evaluation of the research project will be based on its quality and originality.

Fellows-in-Residence benefit from a dual affiliation:

- At CY Advanced Studies, where they participate in transversal scientific activities: Fellows Seminars, Guest Lectures for Fellows, participation in scientific events organised within CY AS, advanced courses for researchers and PhD students, organisation of scientific events related to CY Initiative researchers;
- At a CY Initiative laboratory or research centre.

The programme distinguishes three types of Fellows:

- *Junior Fellows*: researchers who have obtained their PhD within the last 10 years, with or without a permanent position in a foreign university or research institute. They are hosted for a period of one year, renewable.
- *Senior Fellows*: researchers who have obtained their PhD more than 10 years ago, with a permanent position in a foreign university or research institute. They are hosted for a period of 4 to 10 months. It is possible, in the context of a long-term collaboration, to divide this period into two or three annual stays.
- *National Fellows*: junior or senior researchers and professors holding permanent positions in French higher education institutions and wishing to develop collaborations

with the scientific community of CY Initiative. These researchers are hosted as a delegation from their home institution or within the framework of a research leave (CRCT) for a period of one semester.

NB: Junior researchers will also be welcome at CY Advanced Studies as part of the [EUTOPIA SIF](#) postdoctoral programme and are encouraged to apply to the latter programme.

*Total indicative funding: €360k*

*Target number of Fellows-in-Residence (estimate): 7 Fellows*

## **2.5. The EUTOPIA PhD co-tutelle programme**

Funding under the EUTOPIA PhD co-supervision programme aims to support co-supervision of theses within the [EUTOPIA alliance](#). Applications for funding will be the subject of a separate call for proposals, managed jointly by the EUTOPIA partners. The call will be open early 2021 and details will be communicated at a later stage.

CY Initiative funding will cover half the cost of the PhD for theses between CY and a EUTOPIA partner, with the other half financed by the partner. Doctoral funding is valued at 40k€ charged/year (total cost) for the duration of the stay in the institutions of CY Initiative and the co-tutoring partner (38k€ charged/year plus environmental costs).

Building on the success of the EUTOPIA PhD co-tutorship programme 2020, which has funded 12 co-tutorship between CY and the alliance partners, EUTOPIA members have expressed their interest in renewing the programme in 2021, while opening it up to co-tutorship between all institutions (the 2020 "pilot" edition offered co-tutorship between CY and the partners only). The number of theses that will be proposed for co-funding is currently being defined. The aim is to extend the enriching dynamics of cooperation and joint recruitment of doctoral students initiated in 2020.

For the EUTOPIA PhD co-supervision programme, the relevance and quality of the scientific project, its strategic character, its contribution to the scientific development of CY Initiative and to the structuring of international collaborations, the quality of the candidates and their capacity to work in an international context, as well as the quality of the scientific environment (supervision, laboratory, interactions with the national and international academic world), will be key elements for the evaluation of the proposals.

*NB: The EUTOPIA PhD co-supervision programme will be organised in the framework of a separate call for proposals, managed jointly with EUTOPIA member universities, which will propose an integrated application and selection process between the partners. The modalities of this call will be announced at a later stage.*



### 3. Practical details of the Calls for Proposals

#### 3.1. Timeline and General Provisions

With the exception of the EUTOPIA PhD co-supervision programme, the modalities of which will be specified later, the timing of the calls for proposals of the 2021 action plan is as follows:

- **Opening** of the calls for proposals: **Thursday 12 November 2020**
- **Pre-submission** of a project summary: until **Monday, 11 January 2021**, at 13:00.
- **Submission of final projects** until **Wednesday 10 February 2021**, at 13:00.

The submission must be made online, from Thursday 12 November 2020, via the application platform: <https://cy-initiative.smapply.io>.

#### **Deadline for recruitment in the 5 programmes :**

All recruitments under this call must respect the following timetable: employment contracts must be signed **before 30 June 2022 for academic positions** (PhDs, post-docs, tenure track, non-permanent junior researcher positions, etc.) The CY Initiative funding for these positions will be available until 30 June 2025, except for post-docs until 30 June 2023) and **before 31 December 2021 for administrative positions** (CY Initiative funding will be available until 31 December 2022).

#### 3.2. Modalities of the Ambition, Talents et Emergence Programmes

##### *Constitution of the file :*

The application documents for the Ambition, Emergence and Talents programmes will be available from Thursday 12 November 2020 via the platform: <https://cy-initiative.smapply.io>. A pre-submission of the application must be made before Monday 11 January 2021; the final application must be submitted before Wednesday 10 February 2021.

The application must include a presentation of the scientific project and a description of the scientific development strategy in which it fits. The objectives of the project in terms of scientific quality, impact and visibility must be described, as well as, for the Ambition and Talent programmes, their structuring effect on the strategy of the laboratory or research team submitting / supporting it. The application file may be completed by an appendix.

The application can be written in English or French. English will be given priority to allow evaluation by non-French speaking experts.

##### *Who can apply?*

- Applications to the *Ambition programme* can be submitted by an existing or future research team, department or research centre of CY Initiative . Applications must be explicitly approved by the laboratories to which the members of the submitting team

are affiliated. The team must involve a majority of researchers already working in one of CY Initiative's partner institutions.

- The *Talent Programme* is open to applicants not already working in one of CY Initiative's partner institutions before the opening date of the Call for Proposals.
  - All applications must be explicitly supported by the CY Initiative laboratory(ies) to which the candidate will be affiliated in case of recruitment. The motivated and detailed opinion of the head of the research team hosting the project must be included in the application. Candidates for the Talent Programme are strongly encouraged to liaise with the director of the prospective host laboratory from the very beginning of the preparation of their application to jointly define a research project that is relevant for both the candidate and the host laboratory.
  - The list of CY Initiative host laboratories for the TALENT programme, including the link to the laboratory sites for establishing contact, is specified in the TALENT Program Description which can be found [here](#)
- For the *Emergence programme*, applications are open to researchers working in one of CY Initiative's partner institutions. The project must involve the work of a team (at least two researchers).

NB: Doctoral students or candidates for a doctoral or post-doctoral fellowship under this call for proposals are not allowed to submit an application by themselves. Applications for funding for such recruitments may be included in the Ambition or Talent projects and submitted by the project leader. Full applications, including the pre-identified candidate, will be preferred for doctoral and post-doctoral fellowships.

#### *Evaluations and results:*

Applications will be evaluated by the scientific committee of the call for proposals. The committee will rely on evaluations by recognised experts from outside CY Initiative of the submitted applications.

The evaluations and selection proposals of the scientific committee will be forwarded to the CY Initiative Executive Board for decision.

The results will be published in May 2021.

The criteria taken into account for the evaluation will be :

- The scientific quality and innovative character of the project;
- The strategic nature of the project and its contribution to the scientific development of the excellence initiative;
- The expertise of the promoter and the quality of the scientific environment;
- The impact of the project;
- The quality of the candidate(s) (PhD, post-doc, non-permanent junior researcher positions, etc.).

#### *External funding :*

Selected projects are encouraged to complement the funding of this call with funds from national or international agencies (Horizon Europe, ANR, etc.).

These funds will allow either a sufficient level of funding to achieve the objectives of the project during the period of the present call (concurrent external funding, if possible), or to extend the project beyond the period of the present call to achieve the final objectives (subsequent external funding). Applications will include a detailed presentation of the financing and deployment strategy of the project, including external funding.

For projects involving funding from external partners (private partners or universities) identified at the time of submission, an agreement of these partners must be attached to the application. The final partnership agreement, including all financial and intellectual property aspects, can however be finalised within the months following the results of this call for proposals, and before October 2021.

#### *Administrative and financial rules :*

- The administrative and financial rules for the Ambition, Talent and Emergence programmes are available in Annex 2.
- The Research Department of CY Cergy Paris University (Izabel Martins / [izabel.martins@cyu.fr](mailto:izabel.martins@cyu.fr)) and the Department of Institutional Partnerships and Public Funding of ESSEC (Celine Alves-Pinto / [alvespinto@essec.edu](mailto:alvespinto@essec.edu)) will provide project leaders with additional information on this framework, as well as assistance in setting up projects.

#### *Contacts :*

- Contact for the coordination of the call for proposals: [aap-cy-initiative@cyu.fr](mailto:aap-cy-initiative@cyu.fr)
- For general information on the calls for proposals and the selection process:
  - CY University: Nicola Ebenburger ([nicola.ebenburger@cyu.fr](mailto:nicola.ebenburger@cyu.fr)) / Director International Scientific Development; Kate Robinson ([katy.robinson@cyu.fr](mailto:katy.robinson@cyu.fr)) / Assistant for Scientific Development
  - ESSEC: Celine Alves-Pinto ([alvespinto@essec.edu](mailto:alvespinto@essec.edu)) / Director of Institutional Partnerships and Public Funding; Johanna Brookman ([brookman@essec.edu](mailto:brookman@essec.edu)) / External Grants Team - European Projects
- For administrative and financial support in setting up projects:
  - ESSEC: Celine Alves-Pinto ([alvespinto@essec.edu](mailto:alvespinto@essec.edu)) / Director of Institutional Partnerships and Public Funding; Johanna Brookman ([brookman@essec.edu](mailto:brookman@essec.edu)) / External Grants Team - European Projects
  - CY University: Izabel Martins ([izabel.martins@cyu.fr](mailto:izabel.martins@cyu.fr)) / Contracts and Valorisation Project Manager - InEX contracts

*NB: Applicants are invited to inform Ms Alves-Pinto (ESSEC projects) or Ms Martins (CY projects) of their intention to apply for one of these PAAs before 29 November 2020; they will be assisted in setting up the project in accordance with the administrative and financial rules of the call, as well as for the planned recruitments.*

### 3.3. Modalities of the Fellows-in-Residence Programme

#### *Constitution of the file:*

Application documents for the Fellows-in-Residence programme, and a detailed description of the call for proposals will be available from Thursday 12 November 2020 via the platform: <https://cy-initiative.smapplly.io>. A pre-submission of the application must be made by Monday 11 January 2021; the final application must be submitted by Wednesday 10 February 2021.

The application must include a curriculum vitae, a detailed presentation of the research project, a programme of activities describing the collaborations that will be implemented, both with the host laboratory and within CY Advanced Studies, a commitment to collaboration established by the host laboratory.

#### *Who can apply?*

The Fellows-in-Residence programme is open to researchers and teacher-researchers of all nationalities.

The programme distinguishes three types of Fellows:

- *Junior fellowships:* for researchers who have obtained their PhD within the last 10 years, with or without a permanent position in a foreign university or research institute. Junior fellowships are granted for one year and can be renewed for a further year.
- *Senior fellowships:* for researchers more than 10 years after obtaining their PhD, with a permanent position in a foreign university or research institute. Senior fellowships are granted for a period of 4 to 10 months. It is possible, in the context of a long-term collaboration, to divide this period into two or three annual stays.
- *National fellowships:* for junior or senior researchers and teacher-researchers occupying a permanent position in French higher education institutions and wishing to develop collaborations with the CY Initiative scientific community. These researchers are hosted as a delegation from their home institution or within the framework of a research leave (CRCT) within CY AS.

#### *Evaluations and results:*

Applications will be evaluated by the Scientific Committee of the Fellows-in-Residence call, chaired by the Director of CY Advanced Studies and composed of representatives of the CY Initiative scientific community and external scientific personalities. They will rely on the expertise of internationally recognised evaluators.

The results will be published in May 2021.

The selection criteria include:

- The scientific quality and innovative character of the project
- The potential for collaboration with researchers from the Paris Seine Initiative
- The candidate's expertise.

#### *Contacts :*

- Contact for the coordination of the call for proposals: [fir-inq@ml.u-cergy.fr](mailto:fir-inq@ml.u-cergy.fr)
- Applicants are invited to contact the director of the prospective host laboratory. The list of host laboratories will be given on the dedicated website of the Fellows-in-Residence programme.

### **3.4. Modalities of the EUTOPIA PhD co-tutelle Programme**

The practical modalities of the EUTOPIA PhD co-supervision programme will be set out in a dedicated call for proposals to be launched in early 2021 (see above).

## Annex 1 – Main calls for external projects

### ANR

Link to view current calls: <https://anr.fr/fr/appels/>

The main dates are ::

- AAP ANR 2022: end of October 2021 for Stage 1 (including PRCI), <https://anr.fr/fr/detail/call/appel-a-projets-generique-2021/>.
- AAP LABCOM: on a continuous basis <https://anr.fr/fr/detail/call/laboratoires-communs-organismes-de-recherche-publics-pme-eti-labcom-6/>
- AAP ORA+: September 2021 (call SHS France Germany England Netherlands)
- AAP Astrid and Astrid Maturation: during the year 2021 (with an industrialist)
- AAP SHS France Germany: in the course of 2021

### Horizon Europe/ERC

#### Horizon Europe :

- Calls for Horizon Europe will be published as and when the final Work Programs are released in the first half of 2021. Apart from the ERCs positioned in the first half of 2021, the majority of Horizon Europe Calls for proposals will be released at the end of 2021.

#### Programme COST

- This programme aims to strengthen scientific and technological research by supporting cooperation through networking activities.
- To consult the actions in progress (covering the costs of participating in events organised under this action) or to submit an action as a coordinator (organisation of conferences, training school, short mission and seminar): <https://www.cost.eu/>
- Several dates per year

#### ERC

The main dates are :

- ERC ADV: end of August 2021 (excellence scholarship for doctoral student for more than 12 years)
- ERC COG: beginning of April 2021 (scholarship for excellence for doctoral students under 12 years and over 7 years)
- ERC STG: beginning of March 2021 (scholarship for excellence for doctoral students for less than 7 years and more than 3 years)
- ERC SYNERGY: no call in 2021, uncertainty for 2022

## Annex 2 – Submission Guide and administrative and financial regulations for the Ambition, Talents et Emergence Programmes

Scientific contact: [aap-cy-initiative@cyu.fr](mailto:aap-cy-initiative@cyu.fr)

### 1) Timetable and conduct of the call for proposals

Main deadlines :

- Contact the Project Engineering (CY) or Legal (ESSEC) department: before 29 November 2020 for the Emergent, Ambition and Talent programmes.
- Sending a pre-submission abstract of the project: before 11 January 2021, 13h00
- Submission of projects: before 10 February 2021, 1:00 p.m.
- Announcement of results: early May 2021

Once the projects have been selected, a notification letter will be sent to the project leader. Then an agreement and a scientific and financial implementation follow-up will be set up. The research work and the implementation of the funding allocated during this call for proposals must start within one year following the notification of the results.

### 2) Constitution of the file and submission

The dossier includes a presentation of the scientific project of the application and a description of the scientific development strategy in which the project fits. The objectives of the project, in terms of scientific quality, impact and visibility must be precisely described. The application may be supplemented by information provided in the appendix.

It will be made up of a main document and an annexed document, in accordance with the submission documents provided, available on the online platform: <https://cy-initiative.smapply.io>.

The submission file may be written in English or French. English will be preferred.

The dossier may be submitted by a laboratory, a research team or a department for the AMBITION and EMERGENCE programmes. In these two cases, the Principal Investigator and the team members proposing the project to the AAP must already be working in one of the partner institutions of the CY Initiative of Excellence or the UMRs associating the CNRS with one of these institutions, at the time of submission of the project. For the TALENT programme, only external applications will be accepted; no researcher in a member institution of CY Initiative of Excellence before the opening date of the call for proposals (including PhDs) will be able to apply.

In all cases, the precise and detailed opinion of the head of the entity to which the applicant belongs, for the AMBITION and EMERGENCE programmes, and of the future entity envisaged for the TALENT programme, must be included in the application file. It will be sent separately, via the electronic submission platform.

The deadlines for submission are as follows:

- Sending a pre-submission abstract of the project until 11 January 2021, 13h00
- Sending of final proposals until 10 February 2021, 13:00

The submission will be made on the electronic submission platform, available at the following address: <https://cy-initiative.smapply.io> (opening 12 November 2020).

### 3) File engineering

Academic scientific managers are invited to contact the departments in charge of each member institution of CY Initiative of Excellence (research for CY, legal for ESSEC) in order to consolidate, upstream and before submission, the projects (financial, eligibility), and if necessary the partnership dimension of the projects (financial and intellectual property). The management of the institutions must be contacted as soon as possible and in any case before November 29, 2021 for the Ambition, Emergence and Talent programmes, in order to be able to check and correct, if necessary, the cost calculations that must be included in the file before the submission deadline.

### 4) External partnerships

In the case of co-financing or collaborative projects, and therefore discussions with external and/or industrial partners, it is strongly advised to have a confidentiality agreement (NDA) signed. In the case of co-financing with a socio-economic partner, the above-mentioned directorates in charge must be contacted in order to consolidate the partners' commitments (intellectual property (IP) and financial aspects) by mid-January. Co-financing (cf. § 7) must include a commitment by the partners, in accordance with the partnership policies of the institutions.

A letter of commitment in accordance with the proposed model (ANNEX 3) must be included in the application file for the present call for proposals, in the case of co-financing of the proposed project by a partner or company.

### 5) Selection of projects

The selection of projects will be made on the basis of the complete proposal submitted on time on the submission site (including annexes and opinion of the head of the entity to which the project belongs).

### 6) Agreement and implementation of projects

After the selection, the implementation of the selected projects will take place in several stages:

- Notification to the applicant specifying the start date, amount, duration and any preconditions, etc.
- Drawing up and signing of a financing agreement.
- In case of co-financing, elaboration and signature of an agreement between the external partner and the CY Excellence Initiative member partner, which will specify the partnership implementation modalities (project management, co-financing, IP regime). The Directorates in charge of each Institution will be responsible for this agreement on behalf of their teacher-researchers.
- Hiring of researchers-docs, post-docs or engineers by CY Initiative Excellence Initiative member Institution, according to the needs identified by the project in compliance with the procedures of each Institution. Recipients undertake to ensure, in case of future recruitment, the highest visibility for CY Initiative by using the available dissemination portals (notably EURAXESS, Campus France, Nature Careers, Academic Positions, etc.).
- Progress of the work according to the established timetable.
- The obligation to mention in all publications the support provided by CY Initiative Excellence Initiative under the Investments for the Future Programme

### 7) Financing and co-financing of the project

Project funding will have one or two components:

- A contribution from the CY Excellence Initiative
- Where appropriate, a contribution from one or more external partner(s), or, in the case of co-financing, from another funding window.

These contributions will be used for the various expenses related to the project, including salaries,



including charges, of the people hired, equipment (on the part co-financed outside the Excellence Initiative) and the costs of the project itself (on the part co-financed outside the Excellence Initiative). CY Initiative only), operating costs etc.

In the case of co-financing, it is expected that the laboratory/external partner(s) (including the company(ies)) will have a balanced funding on these cost categories. The external partner(s) is (are) fully entitled to contribute more than this if equipment purchases prove necessary.

The full cost of the project borne by the partners must be submitted (whether co-financed or not).

The academic laboratory teams will have to provide a cost sheet evaluating all the resources committed by the research unit and by the supervisors to the project, in liaison/with the support of the management in charge of their institution.

The supervisors of the academic laboratories will bear the costs of the infrastructure/environment and permanent staff, and CY Initiative of Excellence will bear part of the additional costs necessary for the realisation of the project.

The financing of the different actions mentioned in the 2021 Action Plan will have to take into account the following points:

- For doctoral co-financing, the amount to be covered is 115k€ for a 36-month period (salary costs) plus environmental costs, which are estimated at around 10k€ (possible variation according to disciplines).

- o For co-financing with a foreign university/institute, the objective is to ensure 36 months of doctoral funding for the researcher-doctoral student, taking into account the time spent by the candidate in CY's laboratories. In certain cases, and in the context of a co-supervision with a partner institution where the usual duration of the thesis exceeds 36 months, co-funding over 48 months may be envisaged according to modalities to be defined on a case-by-case basis and in compliance with French regulations and those of the partner's country. The researcher/doctoral student will enter into a thesis scheme under co-supervision or co-direction. In the case of co-supervision that does not take the form of co-supervision, the doctoral student must be enrolled in a CY Initiative University doctoral school for the duration of his/her doctorate.

- o For a co-financing with a socio-economic partner, the salary, including charges, of the person hired by the CY Initiative member institution will be co-financed by CY Initiative and the partner, with a transfer from the partner to the CY Initiative member as provided for in the partnership agreement.

- Postdoctoral contracts are valued at 53k€/year for a maximum duration of two years to which an environment cost of 3k€/year can be added.

- These amounts are indicative and can be re-evaluated according to co-financing or the context of the discipline upon justification.

In case of co-financing from partners external to the Initiative, the agreement referred to in paragraph 6 must be signed by the partners within four (4) months from the selection of the project (notwithstanding the effective starting date of the project, in particular with regard to the recruitments to be carried out) in compliance with the criteria of the call, failing which the commitment of co-financing by CY Initiative of Excellence will be null and void. It will specify again the start/end dates in accordance with the notification of the winning projects.

## 8) Intellectual property and publications

The partnership and intellectual property (IP) strategy will have been drawn up in consultation with the departments in charge of each partner institution that is a member of the CY Excellence Initiative, the project leader's employer initiative, prior to the response to the PAA.

IP rules and principles relating to exploitation will be included in the agreement provided for in point 6 of this document. In particular, it is specified that the results resulting from the collaboration will be co-owned by the academics and the company(ies) participating in the project. The co-owner company may benefit from an option and/or licence for the said results. In accordance with the intellectual property code, the principle of a fair financial return from the partner(s) who exploit(s) the said results to the other co-owners of the said results will be recalled in the provisions of the agreement.

It is specified that the supervisors of the laboratories of the members of the CY Excellence Initiative will be likely to mandate SATT Ergané (ex-IdInnov) for all steps and actions necessary for the valorisation of the results,

notably "outside the field", in particular the negotiation and management of any technology transfer agreement concerning Intellectual Property assets on which the members of the CY Excellence Initiative hold property rights.

In case of industrial and/or commercial exploitation, a fair financial return will have to be provided for the non-exploiting co-owner part.

Moreover, the collaboration must guarantee that the institutions are able to carry out their missions (research, teaching, publications, sharing/dissemination, valorisation, etc.) in accordance with article L112-1 of the French Research Code.

Finally, the partners undertake to mention INEX support in their publications and communications in accordance with terms and conditions to be specified in the award agreement.

Mention should be made of the support provided by the Initiative d'Excellence by indicating: "This research was supported by CY Initiative d'Excellence ("Investissements d'Avenir" grant ANR-16-IDEX-0008)", "This project was supported by CY Initiative d'Excellence ("Investissements d'Avenir" grant ANR-16-IDEX-0008)" or any other translation in the relevant language.

#### 9) Scientific and financial reports

The selected projects will be subject to mandatory periodic financial and scientific reporting:

- A financial report will be produced on 31/12 of each year (in compliance with the reporting conditions imposed by the ANR) and sent within two (2) months to CY Cergy Paris University;
- The scientific reporting procedures will be specified at the time of selection.

### Annex 3 – Letter of engagement, in the case of co-financing by a partner or company (model)

Letterhead of the company

#### **Engagement Letter from (name of company)**

Subject: Engagement letter from (name of the company) for the project (name of the project) within the framework of Call for Projects (name) / Collaboration (name)

I undersigned, (Surname, Name) legal representative of (name of the company or institution), (state legal status), registered with the SIRET (or equivalent) XXXX, whose headquarters are registered at the following address (insert address), confirm by the present letter, the engagement of the (company name) to co-finance (co-fund) the project (name of project) by allocating to it resources in kind and in monetary terms:

Resources in kind:

Please list the resources that will be made available (infrastructure, manpower, etc) and indicate the financial value that they represent.

Monetary contribution

Please indicate here the amount that will be given to the laboratory (project)

The modalities will be described in the collaboration contract that will be concluded between CY Cergy Paris University and (name of the company) in the event of obtaining the funding requested in the call for projects. As stated in the rules of the AAP of CY Initiative of Excellence, (name of the company) hereby accepts the principle that the results of the collaboration will be the joint ownership of the academics and of (name of company). In accordance with Intellectual property legislation, the principle of a fair financial return from the partner(s) exploiting the said results to the other co-owners of the said results will be recalled in the provisions of the agreement.

(Date & place)

Signature