

**APPLICATION GUIDE  
FOR THE AWARD OF THE  
*COLLABORATIVE LABORATORY* TITLE  
(CoLAB)**

Version 3 (20.11.2018)

*NOTE: changes are highlighted in grey.*

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## **I. GENERAL INFORMATION**

This document provides information about the application proceedings leading to award the title of Collaborative Laboratory (CoLAB), and describes the application format providing guidelines about the solicited contents.

The Regulation of the Award of Title of CoLAB, the Announcement of the Call for Proposals, the Evaluation Guidelines and other general information are available at the FCT Website.

Any question about this call should be directed to the e-mail: [CoLAB@fct.pt](mailto:CoLAB@fct.pt)

## **II. SUBMISSION OF THE APPLICATION**

The application should be submitted after filling in the CoLAB application form available in the following link:

[https://concursosfct.formstack.com/forms/colab\\_form](https://concursosfct.formstack.com/forms/colab_form)

Password: COLABAPPLICATION

(Necessary for the 1<sup>st</sup> step before starting fulfilling the application form)

When filling the form you can use the feature “Save and Resume Later”. After the first use a link is provided automatically to access application form. Required fields are marked with (\*). The successful submission is confirmed by sending the full application to the proponent institution e-mail.

## **III. IMPORTANT ASPECTS OF THE CoLAB APPLICATION**

The following aspects foreseen in the Regulation are highlighted:

The application must comprise at least one company and an R&D unit of a higher education institution funded by FCT, I.P., as participant entities;

The principal researcher of a CoLAB proposal can only be a candidate with a single CoLAB proposal, detailing the level of dedication to the proposal with which he/she is associated, which cannot be lower than 40% of his/she total dedication to other activities;

Each member of the CoLAB team or of the participating entities may only be associated with a single CoLAB proposal.

The participating entity representing the CoLAB is called proponent institution and is responsible for the communications with FCT, I.P. for the purposes set out in the Regulation, on behalf of all participating entities;

Applications are submitted in English, so that they can be evaluated by the international panel;

Other application requirements can be found on the Announcement of the Call for Proposals and on the Regulation. Of special attention is Article 9<sup>th</sup> of the Regulation, which states the reasons by which an application may be rejected.

#### **IV. INSTRUCTIONS FOR THE APPLICATION AND SUBMISSION**

The application has two parts to be fully completed:

**PART A** (4 sections) – contains general information about the CoLAB proposal and is filled in the ONLINE application form, whenever indicated in English. In this part it must be attached the Declaration of Commitment to the establishment of a private non-profit association or a company, if applicable.

**PART B** (3 sections) – contains the description of the CoLAB proposal. Should be written in English and must be attached as an independent document through a PDF file on the ONLINE application form.

## PART A

### Submitted online

General information is requested in Part A. This includes the designation of the CoLAB, the executive summary, the identification of the participating entities, including the proponent institution, the members of the CoLAB team and of the participating entities. This part also includes the commitment statements of the participating entities.

Part A has the following 4 sections:

### SECTION 1 – GENERAL INFORMATION

#### 1.1 CoLAB Designation and Acronym

CoLAB Designation PT:	Acronym PT:
CoLAB Designation EN:	Acronym EN:

#### 1.2 Current characterization

Characterization of the applicant to CoLAB if already have the corporate structure, otherwise the option should be "Without legal entity".

Private non-profit association, Company or Without legal entity	Choose the right option
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#### 1.3 CoLAB Keywords

The Keywords submitted must characterize synthetically the scope of the proposal and assist in the proper selection of the experts that will evaluate (mandatory 3, maximum 5).

Keyword 1	Self-explanatory field
Keyword 2	Self-explanatory field
Keyword 3	Self-explanatory field
Keyword 4	Self-explanatory field
Keyword 5	Self-explanatory field

## 1.4 Executive Summary

Executive Summary (max. 2000 characters, with spaces)	<p>Short summary to clearly state the “idea” proposed, namely:</p> <ul style="list-style-type: none"> <li>. the objectives of the proposal</li> <li>. how they will be achieved</li> <li>. their relevance</li> </ul>
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## SECTION 2 – PARTICIPATING ENTITIES

The registration of the participating entities at the FCT data base of institutions is mandatory for all entities with or without legal personality.

Unregistered entities or entities that need to update their registration must fill in the pre-registration form [\[available here\]](#) and send it to: <sup>1</sup>[credenciais@fct.pt](mailto:credenciais@fct.pt)

Registered entities may check their data at *Portal de Ciência e Tecnologia* - <https://pct.fct.pt/PortalCT/> - under the menu “*Dados da Instituição*” where they can complete or update the data of the entity if necessary.

Apart from the data provided in the registration in FCT it is necessary to fill in the following information:

### 2.1 Participating Entity designated as Proponent Institution

A participating entity is any legal entity that takes part in the legal constitution of the CoLAB. The proponent institution (PI) is a participating entity representing the CoLAB for the purposes set out in the regulation, which is responsible for communications with FCT, I.P., and other agencies to be designated by FCT, I.P., on behalf of all participating entities, if applicable.

Legal designation of proponent institution	Full designation without abbreviations
Proponent institution Acronym	Self-explanatory field
Full name of the responsible person for the proponent institution	Self-explanatory field
Proponent institution e-mail	The proponent institution's email is the email to be used by FCT for all contacts to be carried out concerning the application, e.g. requested clarifications, communication of results, etc.
Tax Identification Number (TIN)	<sup>2</sup> Self-explanatory field

<sup>1</sup> Change of the e-mail address “colab@fct.pt” to “credenciais@fct.pt”

Public or private institution?	Choose the right option
Institution NUT II	NUT II: Norte, Centro, Alentejo, Algarve, Lisboa, R.A. Açores, R.A. Madeira
% of share capital /assets of CoLAB	No CoLAB associate, partner or shareholder may hold less than 5% or more than 49% of the assets or share capital. Numerical field without %.
Institution typology (number 1 of Article 4.º)	<p>a) Company;</p> <p>b) Non-corporate entity of the R&amp;D System</p> <ul style="list-style-type: none"> <li>. Private non-profit institution whose primary objective is R&amp;D activities, e.g. associated laboratory;</li> <li>. State or international laboratory having his registered office in Portugal;</li> <li>. Other public and private non-profit institution that carry on or take part in scientific research activities;</li> </ul> <p>c) Higher education institution, through an institute or an R&amp;D unit;</p> <p>d) Technology interface centre or other intermediary and interface institution, e. g. engineering or transfer and dissemination of knowledge centre;</p> <p>e) Business Association;</p> <p>f) Other relevant partner from the productive, social or cultural fabric, e.g. healthcare facility, museum, archive or institution of a cultural and/or social nature, national or international;</p> <p>g) Other public-administration organization.</p>
PME or Big company?	When the institution typology is company
<sup>3</sup> The institution is an R&D Unit?	If the answer is yes, a list of R&D units with legal personality financed by FCT, is provided. If the R&D unit is not funded by FCT should be chosen "Other R&D unit not funded by FCT" and inserted the name of the R&D unit. If the answer is no, the following question is provided.
The institution represents an R&D Unit <sup>4</sup> without	If the answer is yes, a list of R&D units without

<sup>2</sup> Change of "Numeric field" to "Self-explanatory field"

<sup>3</sup> New field

legal personality?

legal personality financed by FCT, is provided. If the R&D unit is not funded by FCT should be chosen "Other R&D unit not funded by FCT" and inserted the name of the R&D unit

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<sup>4</sup> Added sentence: "without legal personality"



## 2.2 Participating Entities

A participating entity is any legal entity that takes part in the legal constitution of the CoLAB.

The following information is requested for each participating entity. The form accepts up to <sup>5</sup>19 participating entities.

Legal designation of the participating entity	Full designation without abbreviations
Participating entity acronym	Self-explanatory field
Full name of the responsible person for the participating entity	Self-explanatory field
Entity e-mail	Self-explanatory field
Tax Identification Number (TIN)	<sup>6</sup> Self-explanatory field
Public or private entity?	Choose the right option
Participating entity NUT II	NUT II: Norte, Centro, Alentejo, Algarve, Lisboa, R.A. Açores, R.A. Madeira
% of share capital/assets of CoLAB	No CoLAB associate, partner or shareholder may hold less than 5% or more than 49% of the assets or share capital. Numerical field without %.
Entity typology (number 1 of Article 4.º)	<p>a) Company;</p> <p>b) Non-corporate entity of the R&amp;D System</p> <ul style="list-style-type: none"> <li>. Private non-profit institution whose primary objective is R&amp;D activities, e.g. associated laboratory;</li> <li>. State or international laboratory having his registered office in Portugal;</li> <li>. Other public and private non-profit institution, that carry on or take part in scientific research activities;</li> </ul> <p>c) Higher education institution, through an institute or an R&amp;D unit;</p> <p>d) Technology interface centre or other intermediary and interface institution, e. g. engineering or transfer and dissemination of knowledge centre;</p> <p>e) Business Association;</p> <p>f) Other relevant partner of the productive, social or cultural fabric, e.g. healthcare facility,</p>

<sup>5</sup> Change of the number of the participating entities: deleted “15” and added “19”

<sup>6</sup> Change of “Numeric field” to “Self-explanatory field”

	museum, archive or institution of a cultural and social nature, national or international; g) Other public-administration organization.
PME or Big company?	When the entity typology is company
<sup>7</sup> The institution is an R&D Unit?	If the answer is yes, a list of R&D units financed by FCT, is provided. If the R&D unit is not funded by FCT should be chosen "Other R&D unit not funded by FCT" and inserted the name of the R&D unit
The institution represents an R&D Unit <sup>8</sup> without legal personality?	If the answer is yes, a list of R&D units without legal personality financed by FCT, is provided. If the R&D unit is not funded by FCT should be chosen "Other R&D unit not funded by FCT" and inserted the name of the R&D unit

### SECTION 3 –CoLAB MEMBERS AND MEMBERS OF PARTICIPATING ENTITIES

In this section is requested information regarding the CoLAB bootstrapping team (CoLAB members that are launching the CoLAB) and members of the participating entities that are collaborating with the CoLAB.

#### 3.1 Preliminary list of CoLAB members

A member/collaborator of the CoLAB is a worker or employee having a direct contractual relationship with the CoLAB after its creation. Applicable to a technological interface centre that already has a corporate or an associate structure similar to a CoLAB. The form accepts up to 50 members.

Member full name	Self-explanatory field
Association Key	Code assigned upon individual registration at the FCT/SIG Portal (more info ahead)
Degree or other	PhD, Master, Graduate, Other

<sup>7</sup> New field

<sup>8</sup> Added sentence: "without legal personality"

### 3.2 Preliminary and provisional members that will integrate the CoLAB team

Number of PhD members	Numeric field
Number of master members	Numeric field
Number of graduate members	Numeric field
Number of others members	Numeric field

### 3.3 List of the main members of the participating entities that are collaborating with the CoLAB

A member of the participating institution's team is an employee or collaborator having a contractual relationship with a participating entity, whose activity at the CoLAB falls within the scope of a protocol between his/her employer and the CoLAB. The form accepts up to 20 members.

Participant full name	Self-explanatory field
Association Key	Code assigned upon individual registration at the FCT/SIG Portal (more info ahead)
% CoLAB dedication	Level of dedication to the proposal considering the total dedication to other activities. Numerical field without %.
Degree or other	PhD, Master, Graduate, Other
Participating entity	Self-explanatory field

### 3.4 Principal Researcher (PR)

The principal researcher (PR) is the person responsible, with the proponent institution, for the application.

PR full name	Self-explanatory field
PR Association Key	Code assigned upon individual registration at the FCT/SIG Portal (more info ahead)
% CoLAB PR dedication	Level of dedication to the proposal which cannot be less than 40% of his/her total dedication to other activities. Numerical field without %.
PR degree or other	PhD, Master, Graduate, Other
<sup>9</sup> PR E-mail	Self-explanatory field

<sup>9</sup> New field

The principal researcher, the CoLAB members and the members of the participating entities should be previously registered on the FCT Information System (FCT/SIG).

1st time users

Register at the FCT/SIG Portal, on “Individual registration” through the website: [https://www.fct. pt/fctsig](https://www.fct.pt/fctsig)

Association key

The Association Key is an automatic code generated by the FCT/SIG platform to identify each system user. It allows, for example, the association of each user to research teams. This code can be obtained by the CoLAB members through the FCT/SIG Portal, following the indications below:

Use your access credentials, to fill in the “User name” and “Password” and click on “login”. In the top right corner, click on “Your account”. In this page, click on “Association Key”, that you can send directly to the proponent institution, filling in the recipient email and clicking on “To send Key”.

If you lost your access codes, choose “Recuperar credenciais de acesso” and write the e-mail that you used in your registration.

If you are not registered, select “Individual registration” and fill in the form (in all situations you will receive an automatic e-mail in you registration e-mail account).

**SECTION 4 – COMMITMENT DECLARATIONS**

**4.1 Participating entities including the proponent institution (PDF file)**

To attach the Declaration of Commitment to the establishment of a private non-profit association or of a company (PDF file), signed by all participating entities (if applicable).	Upload a PDF file Model of Declaration available on <a href="https://www.fct.pt/apoios/CoLAB/index.phtml.en">https://www.fct.pt/apoios/CoLAB/index.phtml.en</a>
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**4.2 Proponent Institution**

The entity, as proponent institution, assumes the representation of the Collaborative Laboratory for the purposes defined on the Regulation	Yes or No
The proponent institution declares that all information contained in this online form is true, including the veracity of the assumptions used in defining the research and innovation agenda	Yes or No
The proponent institution declares that an agreement was obtained from each of the participating entity for the inclusion, and for the % of dedication time, of the members in the CoLAB	Yes or No

team affiliated with that particular participant entity.	
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### 4.3 Principal Researcher

The principal researcher declares that he / she was informed about the Regulation governing the award of the title of CoLAB and about the Announcement of the Call for Proposals.	Yes or No
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The principal researcher declares that he / she has been informed of all data and information contained in this CoLAB proposal form.	Yes or No
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## **PART B**

Submitted in a PDF annexed to PART A

You are able to upload a maximum of 25MB of data in the form

The structure of these guidelines must be followed when preparing your proposal.

### **Page limit**

The CoLAB proposal shouldn't be longer than **30** pages. All tables, figures, references and any other elements must be included as an integral part of these sections. The proposals should be as concise as possible.

The following formatting requirements should be used.

### **Formatting requirements**

- The reference font for the body text: Times New Roman (Windows platforms), Times/Times New Roman (Apple platforms) or Nimbus Roman No. 9 L (Linux distributions).
- The minimum font size suggested is 11 points except for figures, tables and footnotes where a minimum of 8 points is suggested. Standard character spacing and a minimum of single line spacing is to be used;
- The page size is A4, and all margins (top, bottom, left, right) should be at least 15 mm (not including any footers or headers);
- All pages should include the designation of the CoLAB and the acronym on the page header;
- All pages should be numbered in the end of page according to the following format: Page X of Y.
- Name the file using the following reference: *CoLAB Acronym\_PartB.pdf*

**The proposal must be structured according to the headings (sections and numbered points) indicated in these guidelines.**

**Cover Page**

**CoLAB designation and acronym:** \_\_\_\_\_

**List of participating entities**

Participant number*	Participating Entities
No number	Proponent Institution
1	
2	
3	
.....	.....

\* Please use the same participant number as used in PART A, except for Proponent Institution.

## SECTION 1 – SCIENTIFIC AND TECHNICAL MERIT AND RELEVANCE

### 1.1 Strategic Vision

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Strategic vision and motivation, short and long term impact on the main research field(s) and its potential impact on other fields - if any - as well as on innovation.

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### 1.2 Research and Innovation (R&I) Agenda

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- CoLAB Research and Innovation Agenda: Identify and characterize the challenge and extent to which the problem to be addressed is of relevant dimension and complexity;
  - Science and technology state of the art related to the CoLAB research agenda;
  - Clearly identify the goals, objectives and priorities of the CoLAB.
- 
- Particular attention should be given to the following aspects:
  - How the CoLAB corresponds to a long-term R&I agenda by a well-established science community and if and how your CoLAB opens inter- or multidisciplinary scientific frontiers, enabling opportunities in (several) research fields, that should be identified;
  - Why is the CoLAB able, and is the most appropriate solution, to address the stated challenges and objectives;
  - What is the added value of performing the research and innovation activities within the proposed CoLAB;
  - How does the CoLAB provide appropriate consideration of interdisciplinary and inter-sectorial approaches and how will it effectively (re-) orient resources from the relevant communities and stimulate “joint activities”, e.g. contributing to activating partnerships, training of young researchers in the relevant field (s) of science, etc;
  - How does the CoLAB offer the potential for new knowledge generation and translation into novel concepts, approaches, processes, products, technologies, services, businesses, organizational models, among others;
  - How well is the CoLAB able to exploit and disseminate scientific and technological results;
  - What is the potential of the CoLAB to promote internationalization of the national scientific and technological capacity; how is this relevant to attract new business opportunities to Portugal.
  - What are the synergies and complementarities of the CoLAB with other national and/or international activities
  - What is the contribution of the CoLAB to the internationalization of the national economy, for example, leveraging the insertion in international networks of opportunity, initiatives or knowledge networks, within the scope of the innovation agenda to be developed;
  - What are the overall impacts and indicators, explaining national and international CoLAB added value.
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### 1.3 Analysis of major strengths, weaknesses, opportunities and threats

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Type of SWOT analysis or similar narrative.

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### 1.4 Brief and Detailed Presentation of the Work Plan (including strategy for qualified job creation)

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- Presentation of the CoLAB Action Plan for 5 and 10 years;
  - Overall methodology to be adopted to implement the action plan, describing the scientific, technological and innovation potential of the proposed activities;
  - Extent to which these activities contribute to achieve the established goals and are beyond the state of the art, and enable innovation and technological potential driven by the identification of economic, social and cultural needs and challenges.
- 

### 1.5 Action Plan (5 years)

Work packages with brief description of each work package

Work package	Description of work
Work package Nr.	<i>Please indicate: objectives, description of work, deliverables and key researchers and institutions involved</i>
Work package Nr.	<i>Please indicate: objectives, description of work, deliverables and key researchers and institutions involved</i>
Work package Nr.	<i>Please indicate: objectives, description of work, deliverables and key researchers and institutions involved</i>
.....	.....

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## SECTION 2 – IMPLEMENTATION, MANAGEMENT AND SUSTAINABILITY

### 2.1 Selected activities from Participating Entities

#### Proponent Institution

Entity designation:	Self-explanatory field
Research Unit designation (if applicable)	Self-explanatory field
Brief characterization of the proponent institution	Self-explanatory field
Selected description of activities and results achieved during the last 10 years that are relevant to the CoLAB	Self-explanatory field
Key contributions to the CoLAB R&I agenda	Self-explanatory field

#### Participating Entity

Entity Designation:	Self-explanatory field
Research Unit designation (if applicable)	Self-explanatory field
Brief characterization of the participating entity	Self-explanatory field
Selected description of activities and results achieved during the last 10 years that are relevant to the CoLAB	Self-explanatory field
Key contributions to the CoLAB R&I agenda	Self-explanatory field

## 2.2 Human Resources

Provide the plan of qualified and scientific employment to be created directly (i.e., CoLAB members) and indirectly (i.e., in other institutions, and in the market);

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- Outline the development plan for the human resources to be involved in the CoLAB operation in the short (5 years) and in the medium term (10 years) range, indicating the expected number of qualified workers and potential doctorate researchers to be engaged directly in the CoLAB. It is expected that the CoLAB will employ not only scientific staff - PhDs for R&D activities - but also a large proportion of qualified innovation-oriented jobs - graduated, master and doctorate level, as well as technicians;
  - Provide an estimative of indirect job creation in companies that might be involved in the value-added chain promoted by the CoLAB;
  - Clearly link the CoLAB qualified human resources with the activities described in the Action Plan, quantifying the person.month per Participant Entity;
  - Explain how the CoLAB human resources from different Participating Entities are going to be engaged in the CoLAB;
  - Clearly explain how the CoLAB will attract and retain a variety of qualified and scientific human resources and foster innovation-oriented employment.
- 

## 2.3 Governance and Management

- Describe the CoLAB Governance with clearly defined responsibilities and reporting lines. Include all bodies, senior managers, supervisory and other advisory boards;
  - Provide an organization chart of the CoLAB;
  - Describe the management skills and competences – other than scientific - required to the operation of the CoLAB;
  - Clearly explain how the CoLAB will effectively articulate with external and associated entities.
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## 2.4 Financial and Business Plan

Financial and business plan with detailed analysis of plan for the diversification of funding sources.

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Please provide, if applicable, and among other items that you may find necessary:

- CoLAB budget per cost category - resources, equipment, services, etc - per year, for 5 years;
  - General multi-annual financial plan;
  - Strategy to attract and diversify the funding sources along 5 years;
-

- 
- Main products, services and clients;
  - Forecasted revenues.
-

### SECTION 3 – POTENTIAL IMPACT: foreseen and/or expected

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- Identify and quantify the expected impacts of the Action Plan implementation, focusing on results and short- and medium-term impacts for research, innovation, advanced training and the creation of scientific and qualified employment created directly or indirectly by the Colab.

In addition, you may also explain how the CoLAB outputs contribute to the expected impact such as:

- Direct economic impact e.g. the economic impact from direct spending in the site and region hosting the CoLAB or the headquarters;
  - Generation of new knowledge and technology likely to stimulate a knowledge-based economy and its diffusion throughout the territory, in partnership and in network with relevant actors from these territories;
  - Characterize innovative solutions to be provided to address complex societal challenges creating economic, social and cultural value;
  - Creation of critical mass and effective mobilization and collaboration of inter-sectorial institutions;
  - Creation new centralities for R&I activities throughout the national territory especially in areas of lower population density;
  - Strengthen the institutional collaboration of interface and knowledge transfer centers, ensuring the collaboration between technology and engineering centers with scientific and higher education institutions and with the productive fabric and cultural and social institutions;
  - Mobilize the entrepreneurial capacity, create new market opportunities and strengthen competitiveness and growth of companies.
-