



Coalition for Advancing Research Assessment

CoARA Boost Cascade Funding Programme

Guidelines for Applicants- First Round

Opening: 26 April 2024

Closing: 26 June 2024 at 17:00 CEST

Funding Call information, documents and templates: https://coara.eu/first-call-cascade-funding/

Funding Call Application Platform: https://esf.smartsimple.ie/s_signup.jsp?token=XVtQC1oGYV5ZSxtZXxJXR1JWYUI1H3Rt





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Introduction

This document aims to assist applicants submitting proposals for the first Cascade Funding Call under CoARA Boost. It contains information on eligibility criteria, evaluation procedure, submission requirements and timeline for the call.

Key figures

Total funding	2.75 million EUR: 40% (1.1M EUR) for the first call
Funding per project	30,000 EUR to 60,000 EUR: a lump sum, depending on the type of project
Number of projects to be funded	+ 50 overall: 20-25 projects in first round.
Target applicants	Legal entities interested in reforming research assessment practices in their institutions
1st call	26 April – 26 June 2024
2nd call	December 2024, open for 60 days.
Duration of the projects	Implementation within 12 months after signature of a Third-Party Project Agreement – TPPA
Start of the projects	Within 4 months from TPPA signature

Context of the call

Over 700 research organisations, funders, assessment authorities, professional societies, and their associations have agreed on a common direction and principles for reforming the assessment of research, researchers and research organisations, outlined in the <u>Agreement on Reforming Research Assessment</u>. They have also committed to implement changes within their organisations.

The <u>Coalition for Advancing Research Assessment</u>, CoARA, offers a platform for collaboration and mutual learning. However, given the complexity of the reform process, **providing support for institutions to test**, **design**, **and carry out in-depth institutional changes** is crucial to implement the Agreement commitments.





The CoARA Boost project, funded by the European Union, strengthens CoARA's operational capacity. It provides a means to develop a critical mass for reforming research assessment, to generate gravitas for new members as well as to investigate and implement new models for research assessment. Find out more about the project here: <u>CoARA Boost Project</u>

The Cascade Funding Programme within CoARA Boost represents more than half of the project's overall budget. This programme will support a minimum of 50 organisations in tackling specific challenges related to reforming research assessment and implementing the Agreement commitments. By supporting different types of proposals, the programme will maintain a balanced portfolio of projects. The cascade funding programme consists of two rounds of open calls, the first one launched in April 2024 and second one in December 2024.

Summary of the call

CoARA Boost's first cascade funding call facilitates institutional change and targets pilot and exchange-of-knowledge initiatives. It will fund +20 projects facilitating knowledge-exchange, piloting new initiatives within institutions, and enabling lasting institutional change. As such, it encourages and supports research organisations to investigate and test what will efficiently work 'in real life'. More specifically, the first call aims to:

- Facilitate the exchange, transfer and adaptation of proven good practices and their adoption in research organisations.
- Catalyse the set-up or transformation of research assessment practices and tools in line with the commitments of the Agreement on Reforming Research Assessment.
- Support the development and testing of new and innovative research assessment approaches, models and procedures.

Projects can be proposed by any of the organisation types specified below through a cascading grant mechanism. By the end of the programme, it is expected to have a **diverse portfolio of projects available that will translate the shared vision outlined in the Agreement into tangible, lasting institutional changes in research assessment practices.**





Types of projects

The CoARA Boost cascading grants are a tool for organisations to implement the 10 commitments that are enshrined in the <u>Agreement on Reforming Research</u> <u>Assessment</u> (ARRA) and facilitate institutional change in the context of research assessment. The activities eligible for support must demonstrate the commitment to a systemic change with medium-term or long-term trajectories and impact. The grants will support organisations to develop, pilot and implement, assessment criteria, tools and processes; while avoiding contradictions across assessment systems, types and purposes, through continuous dialogue. There is room for diverse starting points and approaches. As part of the first call, three types of projects will be supported. These reflect different stages of an institution's reform journey, namely: 1. knowledge exchange (teaming projects), 2. piloting (institutional pilot projects), 3. paving the way for a lasting change (institutional change projects). Their description is provided in DOCUMENT 1: FIRST CALL.

Relevant dates

Applications

Opening: 26.04.2024

Deadline for submission: 26.06.2024, 17:00h CEST

Application Timeline

26/04/2024	 Launch of the Call - Opening of the First CoARA Boost Cascade Funding Call, Call open for two months
03/06/2024 – 2pm CEST	 Online Information Session - CoARA Boost Secretariat will provide an online information session on the Cascade Funding application process
26/06/2024	 Closing of the Call – Applications are no more accepted for this First Call
By 31/10/2024	 Results - Consensus Reports will be communicated to the applicants
By 31/11/2024	 Successful applicants will receive the first part of the Grant depending on their Project type





Rules and conditions

Eligible countries

As the call is meant to support institutions from across the European Research Area (ERA), only legal entities based in the EU Member States and <u>countries associated</u> to the Horizon Europe Framework Programme for Research and Innovation are eligible to apply.

For more details on eligibility details, please consult Annex 1 - FAQ.

Eligible beneficiaries

The primary targets of the CoARA Boost Cascade Funding Programme are legal entities of the following types:

- Academies, learned societies that implement some form of research assessment,

- National/regional authorities or agencies that implement some form of research assessment,

- Public or private research funding organisations,
- Research centres, research infrastructures,
- Universities,

- Other relevant non-for-profit organisations that implement some form of research assessment.

Applications from faculties of universities are also eligible. However, the university needs to be formally the applicant.

Beneficiaries of the CoARA Boost project are not eligible to participate in the call. In the case of beneficiaries that are umbrella organisations, their member organisations are eligible. Nominating organisations of the CoARA Steering Board members are also eligible, as the Steering Board does not directly participate in the evaluation of the proposals. The Steering Board will not have any role in both the evaluation and selection of winning applications.

Financial Support

CoARA Boost Cascade Funding will only provide financial support to entities (registered in Member States or associated countries) for the successful projects submitted to this open call.

The total budget available for this first call is 1.1M EUR. The grant is distributed over the course of the CoARA Boost project, following a "flat rate" approach. This means





that the funding is distributed gradually, subject to meeting specific outcomes and milestones included in the agreement, considering completion of activities/tasks as indicator, but also taking into account administrative justifications of time and/or expenses claimed in the application.

Types of projects	Maximum grant amount	Maximum project duration
1. Teaming projects	40 k€	1 year
2. Institutional pilot projects	30 k€	1 year
3. Institutional change projects	60 k€	1 year

The program offers three types of grants based on the project's type:

Subcontracting

Regarding "subcontracting," it is important to note that within the context of CoARA Boost Cascade Funding, subcontracting is strictly prohibited for core/essential tasks. This signifies that the primary responsibilities associated with the project must be undertaken and carried out by the team members described in the proposal. It is essential to maintain a clear understanding that the core tasks should not be delegated to external entities or subcontractors. The team should possess the necessary expertise and capacity to fulfil these crucial obligations to ensure the successful execution of the project.

Indicative distribution of the funds

Payments will be disbursed in two stages of meeting designated milestones or KPIs and delivering specific outputs, considering the work plan and resources claimed in the application.

- 70% once KPIs definition and outcomes are approved by the CoARA Secretariat (approx. month 1)
- 30% after the final review (appro. month 12, depending on the project duration)

Origin of the funds

Once an applicant has been selected for funding, they will be required to sign a dedicated Sub-Grantee Funding Agreement with the CoARA Boost Coordinator (ESF). It is important to note that the funds attached to the Sub-Grantee Funding



Agreement come directly from the funds of the Horizon Europe Project CoARA Boost, which has been funded by the European Commission via Grant Agreement Number 101131826.

Evaluation Procedure

Formal eligibility check: Performed by CoARA Secretariat. End of June 2024.

<u>Pre-assessment</u>: All applications will be made available to the review panel prior to the panel meetings, for each application to be pre-assessed by two panel members and read by all panel members. Each submission will be reviewed by one Lead Reviewer panellist and one Secondary Reviewer panellist. They will have access to each other's reviews. **July-August 2024**

<u>Review panels</u>: During the review panel meetings (teleconference), each application will be presented by their reviewers and discussed by the full panel. Each application will be presented by Lead Reviewer panellists who will introduce both pre-assessments alongside the application. The review panel will then agree on an overall mark for each application and produce a ranked list of applications..

16.09.2024 to 29.09.2024

<u>Panel chairs' meeting</u>: During the panel chairs meeting (teleconference), chairs of the topical panels bring results of their respective topical panels together. They agree on the overall ranking (i.e. rankings from each panel) and make final selection decisions. **30.09.2024 to 04.10.2024**

<u>Results</u>: The panel members will then produce a consensus report for each application, summarising the panel discussions. Narrative comments (not scores) from the consensus reports will be communicated to the applicants. **End of October 2024.**

Further information on diversity measures when compiling the pool of reviewers as well as a detailed description of the evaluation process can be found in document 2: EVALUATION GUIDELINES.

Evaluation Criteria

Panellists will evaluate the proposals considering three criteria. Criteria will bear an equal weight in the assessment and each criterion will be qualitatively assessed following the scales provided in the table below. Scoring is complemented by comments from reviewers.





Reviewers will score each award criterion on a scale from 0 to 5:

Score	Definition
0	Proposal fails to address the criterion or cannot be assessed due to missing or incomplete information.
1	Poor – criterion is inadequately addressed or there are serious inherent weaknesses.
2	Fair – proposal broadly addresses the criterion, but there are significant weaknesses
3	Good – proposal addresses the criterion well, but a number of shortcomings are present.
4	Very good - proposal addresses the criterion very well, but a small number of shortcomings are present.
5	The proposal successfully addresses all relevant aspects of the criterion. Any shortcomings are minor.

The total score will be calculated as the sum of the score of the three criteria. The threshold for each criterion will be three (3), while the overall score threshold will be ten (10). That means if a proposal receives less than 3 in one criterion or less than 10 overall score, will not be recommended for funding by the independent evaluators and will be automatically rejected.

The scoring sheet and detailed evaluation criteria can be found in Annex 3.

Submission Requirements

Overall process

The submission will be done through the official SmartSimple submission platform (operated by <u>ESF</u>), which is directly linked to the CoARA Boost Website at <u>https://coara.eu/call-cascade-funding-coara-boost/</u>. Only applications received directly through this platform will be considered eligible. For technical guidelines on how to use the platform, see the section "Technical Guidelines – Platform Guidelines for Applicants".

The application form must be submitted in two steps:

1. The first part of the application form should be completed directly on the SmartSimple platforms. For technical guidelines on the Platform, please to





"Technical Guidelines – Platform Guidelines for Applicants" final section of this document.

Title of the proposal *	
Type of project*	 Please select one among the following: Teaming projects Institutional change projects Institutional pilot projects Please select one among the following:
Main keyword*:	 Assessment of research organisations Careers Assessment of research proposals Changing culture CVs and Narrative Disciplines and inter, trans and multidisciplinary Diversity Equity Ethics and integrity Impact Language Metrics and indicators Open Science Peer-review Quality and excellence Raising awareness and engagement Rankings Sharing good practices Sustainability (e.g. costs, over-assessment, reviewer fatigue) Team science Transparency Other. please specify:
Second keyword (optional):	 Please select up to two among the following: Assessment of research organisations Careers Assessment of research proposals Changing culture CVs and Narrative



	Boost
	 Disciplines and inter, trans and multidisciplinary Diversity Equity Ethics and integrity Impact Language Metrics and indicators Open Science Peer-review Quality and excellence Raising awareness and engagement Rankings Sharing good practices Sustainability (e.g. costs, over-assessment, reviewer fatigue) Team science Transparency Other. please specify:
Contact details of the project coordinator: *	Title, First and Last name, affiliation, department, e- mail address and ORCID ID
I confirm that I have the authority to submit the proposal on behalf of my organisation and on behalf of the organisations mentioned in point 7 below: *	• Yes • No
Name and PIC number of the organisation*	

COARA

*Mandatory

2. The second part of the application form must be uploaded on the SmartSimple platform. The Application Template can be downloaded from the <u>webpage of</u> <u>the Call</u>: Annex 2_Application Template and Annex_4 Use of Resources.

The use of the Application Template and Use of Resources Templates are mandatory – please do not delete any sections and keep to the page limit (please do not exceed 5 pages, all included, i.e., figures, tables, charts, etc.) – font-size Arial II.



These forms must be entirely filled and uploaded to the online SmartSimple platform. Applicants shall merge Application Template and Use of Resources Template before uploading them as one sign file PDF file as specified on the application platform.

Sending these templates in any other format and via e-mail or any other means will automatically disqualify the submission.

Application reception

Submissions will be done only via the SmartSimple platform, and it will be the unique entry point for all application submissions. Applications submitted by any other means will not be considered nor evaluated. Only the documentation in the right format included in the submission will be considered by evaluators. A full list of applicants will be drafted containing their basic information for statistical purposes and clarity (which will be also shared with the European Commission for transparency). The application reception will close on **26.06.2024**, **17:00 CEST**. The deadline for submission is as stated in this Guidelines for Applicants document. Please note that the system time depends on the user's configured time zone and may or may not coincide with the correct time (this depends on the user, not the platform for submission).

Language

Applicants must submit their proposals in English. Submissions done in any other language will not be eligible and will not be evaluated. The grant management process (including the submission of documents and deliverables) will be conducted in English.

Ethical Issues

CoARA Boost strictly adheres to the fundamental ethical principles outlined in the "European Code of Conduct for Research Integrity." To ensure compliance, all applicants are required to acknowledge and accept our privacy policy and honour (ethics) during declaration of the submission process. This acknowledgment confirms that, by submitting the form, they accept the terms described in the provided text. No additional documents need to be uploaded; applicants are solely required to read and agree to the terms outlined when submitting the form. In terms of ethics, aligning project proposals with the principles of the Agreement on Reforming Research Assessment is also strongly recommended.





During the evaluation process, the CoARA Secretariat may verify whether the selfassessment declaration aligns with the contents of the application. In cases where clarification is needed, the CoARA Secretariat reserves the right to contact the beneficiaries. If an applicant indicates that their application may have ethical issues, an ethics review will be conducted. Applications that fail to adequately address ethical concerns or privacy aspects will be rejected.

Data Protection

CoARA Boost Cascade Funding Call requires access to Personal and Entity Data to process and evaluate applications. As open call coordinator, ESF/CoARA Secretariat will act as the Data Controller for all data submitted through the SmartSimple platform for this purpose. To ensure the safety and security of this data, the SmartSimple platform has been designed and operates under strict compliance with The General Data Protection Regulation (EU) 2016/679 (GDPR). Therefore, all applicants are required to accept the SmartSimple Platform terms to ensure full coverage. For more information regarding the data privacy policy and security measures implemented by SmartSimple, please refer to their <u>website</u>.

Contact information

Any questions regarding the call can be directed to the CoARA Secretariat: <u>funding@coara.org</u>

In case of technical questions concerning the submission platform SmartSimple (operated by <u>ESF</u>) please reach out to: <u>esf-panels@esf.org</u>

An online information session for interested parties will be organised on the 3rd of June 2024 at 14:00 CEST.

Support information

CoARA Secretariat offers a dedicated support channel available for applicants at <u>funding@coara.org</u>. Requests will receive a response within 2 working days of their submission. While all possible efforts will be made to respond in a timely manner, the applicants should plan their submissions, accordingly, allowing enough time before the deadline (i.e., at least 2 working days prior) if they expect an answer. Lack of the receipt of an answer to an enquiry shall not constitute grounds for extension or re-evaluation of a submission.

An online information session for interested parties will be organised on the 3rd of June 2024 at 14:00 CEST.





In addition to the support channels above, there is a collection of Frequently Asked Questions made available on the website and as Annex 1 - FAQ. This will be continuously updated from the questions received through the support channels.

Please note that any email received outside the designated support channel will not be taken into account. It is imperative that all requests or inquiries related to the submission system or the call itself are directed through the official support channels.

Technical Guidelines – Platform Guidelines for Applicants

For all correspondence concerning the online submission of your application, please send an email to <u>esf-panels@esf.org</u>.

REGISTER

If you have already registered on our platform, you will not need to do this step again. You can directly go to your portal (<u>https://esf.smartsimple.ie/s_Login.jsp</u>), login with your email address and the password you have selected and start your application.

You will be able to register on the submission platform using the following link:

https://esf.smartsimple.ie/s_signup.jsp?token=XVtQCloGYV5ZSxtZXxJXR1JWY UIIH3Rt

Then, please fill in your Contact Information details. Required fields are marked with an asterisk "*".



		COA Boos
	Platform Registration	
Со	ntact Information	
e	Instructions	
	Required fields are marked with an asterisk **".	
https	have already logged on to our platform to submit an application in the past with the same email address, please login to our platform //esf.smartsimple.ie/s_Login.jsp. other case, please write to esf-panels@esf.org	
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Once everything is completed, click on "Submit". Then, click on "Login here".

(!) Make sure that the email address you indicated is correct.

	Platform Registration
Regist	tration Complete
Thank you	u for registering. You will soon receive an email with your login information.





SCIENCE CONNECT E	
Welcome to European Science Foundation ESF is a non-governmental, non-profit organisation working on facilitating research processes across Europe. As an independent pan-European platform, the ESF implements scientific assessments of research proposals submitted in the frame of competitive calls issued by third parties (e.g. International programmes, national funding organisations, private foundations and philanthropy).	Login Image: Description of the second se
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After a short while, you should receive a confirmation email, "Platform Registration confirmation", from <u>esf-panels@esf.org</u>. If you have not received it in your inbox, **please check your spam folder.**

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esf-panels@esf.org	*** SPAM *** Platform registration confi	06/04/20 11:41	7.5 ko

In this email, you will find your login (the email address you have indicated on the Registration Form) and a temporary password to connect to the platform.





LOG IN TO THE PLATFORM

Once you have completed your first login (using the information provided in the email), you will have to choose a new password.

This is strictly personal and ESF will not have access to it.

(!) Make sure to remember your password.

Change Password	
Current Password	•
New Password	
Confirm New Password	•
Policy	Password must be a minimum of 6 characters
	Submit Cancel

You should then receive a verification code to enter the platform (please check spam and deleted items folders). You will then have access to your portal, your **profile** and your **application**.

First, you will need to complete your **profile**.

(!) If your profile is not completed, you will not be able to submit your proposal.

To complete your profile, click on the button "Click Here" on the "Welcome to your portal" section.

Back	
Welcome to your portal, NM-App-Test-1	+
Please complete your profile if necessary and accept the agreement. Privacy Policy and Data Protection Policy can be found on our website.	Click Here You will not be able to finalise your submission unless this step has been completed. For informational purposes, the ESEs
 To start your application, please go to the section "External Open Calls" Draft". Your application will then be visible in "My Applications" section for 	below and click on "Apply". Once inside the form and in order to create your application, please complete some of the fields and click on "Save editing.

Fill in the Contact Information Details and click on "Complete Profile" once it is done.





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Dr NM-App-Test-1	NM-App-Surname		>	(i
This platform will enable you	u to register and submit the details of your application. The da	ta collected are necessary to process applications. Mandatory data fields are marked in red.		
	ing an application you explicitly accept that your personal deta d above: authorised ESF staff, scientific community (external	ils and project details are communicated to the following different parties (who may be located in any country in the world) depending on eviewers/panel members).	their	
Farther Information on the c	ollection, registration and dissemination of data is available a	t https://www.esf.org/privacy-policy/		
I have read the above, un	derstood these requirements and acknowledge that my o	ata has been passed on to ESF, and explicitly accept all of this.		
CONTACT INFORMATION	EXPERTISE			
If you cannot make changes	s to your profile and wish to do so, please contact ESF.			
* Title:	Dr 🗸			
* First Name:	NM-App-Test-1			
Middle Name:				
* Surname:	NM-App-Surname			
* Year of Birth:	1985		NEXT >	
wascript:opentopurl('/iface/ex/ax_index.jsp')		Save Draft Complete Profile		

Please note that once you have completed your profile, it will be locked and you will need to contact <u>esf-panels@esf.org</u> to modify it.

To go back to your portal, click on the arrow

SUBMIT YOUR APPLICATION

Click on "Apply" for the CoARA Boost 2024 Call.

Open Calls			
Specified times correspond to the GMT zone (UK ti	ime).		
← →			1-6 of 6 < >
External Open Calls			
Туре	Call Name	Call Deadline Date	Action
Fight Kids Cancer	Fight Kids Cancer 2024 - Clinical Trial Full Applications	2024-02-15 15:00:00	The call deadline has passed.
Fight Kids Cancer	Fight Kids Cancer 2024 - Translational Research Full Applications	2024-02-15 15:00:00	The call deadline has passed.
Swiss Re Institute - AXA Research Fund	Joint Risk Resilience Partnership: Building Resilience against Systemic Cyber Risk 2023	2024-02-15 11:00:00	The call deadline has passed.
AgroServ TNA	AgroServ Transnational/Virtual Access 2024	2024-03-08 16:00:00	The call deadline has passed.
METU Programme	Enrich Together 2024	2024-04-16 13:00:00	Apply
CoARA Boost	CoARA Boost 2024	2024-06-17 16:00:00	Apply

Make sure that you do not hide the instructions.

View Edit Application Project Number: 24-CoARA-002	
* Project Title	
* Type of projectselect one-	~
* Main keyword (please select one among the following)	





You will have to dully fill in all the mandatory fields : Project Title, Type of project, Main and Second Keywords, Abstract, Contact details of the project coordinator, name and Organisation's PIC number

Under **Template for Application & Instructions for Submission**, you will find these guidelines for the applicants, the Application template in word format that has to be used (mandatory) and to upload the PDF of your application once it is ready, click on the arrow as shown below:

* Upload PDF of Application		
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Edit Application		> (1)
* Project Number: 24-CoARA-002		
* Project Title		
r type i nue		- 1
* Type of project		
-select one-	~	
* Main keyword (please select one among the following)		
-select one-	~	
Second keyword (optional)		
Please select up to two among the following.		
Assessment of research organisations		
Carers		
Assessment of research proposals		
Changing culture		
CVs and Narrative		
Disciplines and inter, trans and multidisciplinary		
Diversity		
Equity		
Ethics and integrity		
Impact		
Language		
Metrics and indicators		
Open Science Save Draft Submit for review		
		•

(!) When you are filling in your application form, **remember to click on "Save Draft" regularly.**

The first time you will click on "Save Draft", you will obtain the reference ID (project Number) for your application:





← <mark>→</mark> View	
dit Application	
* Project Number: 24-CoARA-002	
Project Title	
Type of project	
select one	
Main keyword (please select one among the following)	
select one	

If you log out and re-login later, you will find your application under the "My Applications" section. You will have to click, then, on the Edit button.

Open Calls					+
Specified times correspond to the GMT zon	e (UK time).				
← ▼					1-6 of 6 < >
External Open Calls					
Туре	Call Name			Call Deadline Date	Action
Fight Kids Cancer	Fight Kids Cancer 2024 -	Clinical Trial Full Applications		2024-02-15 15:00:00	The call deadline has passed.
Fight Kids Cancer	Fight Kids Cancer 2024 -	Translational Research Full Applicatio	ns	2024-02-15 15:00:00	The call deadline has passed.
Swiss Re Institute – AXA Research Fund	Joint Risk Resilience Par	tnership: Building Resilience against S	ystemic Cyber Risk 2023	2024-02-15 11:00:00	The call deadline has passed.
AgroServ TNA	AgroServ Transnational/	Virtual Access 2024		2024-03-08 16:00:00	The call deadline has passed.
METU Programme	Enrich Together 2024			2024-04-16 13:00:00	Apply
CoARA Boost	CoARA Boost 2024			2024-06-17 16:00:00	You have already created an application for this call.
My Applications and Rebuttals					+
APPLICATIONS (2) REBUTTALS (0) F	REBUTTALS MISSED DEADLINE (0)				
					1-2 of 2 < >
Application Type	Project Number	Project Title	Call Name		Edit / View
1 CoARA Boost	24-CoARA-002		CoARA Boost 2024		Edit

Finally, when you are ready to submit your application, click on "Submit for review". If you have made any modifications, you will need to first save them by clicking on "Save Draft" before submitting your application.



(!) Be careful, once you have submitted your application, you will not be able to modify it anymore!

Once you have submitted your application, the platform will generate a pdf overview of the fields you have completed that you can download by clicking on "Print Form".

Funded by the European Union

				COAR/ Boost
My Applications and Rebuttal	s			+
APPLICATIONS (2) REBUTTALS	S (0) REBUTTALS MISSED DEADLINE (0)		
				1-2 of 2 < >
# Application Type	Project Number	Project Title	≑ Call Name	⇔ Edit / View
1 CoARA Boost	24-CoARA-002		CoARA Boost 2024	Print Form

If you need any help in submitting your application or using the submission platform, please contact <u>esf-panels@esf.org</u>.

