



GUIDE FOR APPLICANTS

Common part

COORDINATION AND SUPPORT ACTIONS (SUPPORTING)

This part of the guide is common to all calls using the above funding scheme. It should be read in conjunction with the call-specific annexes, published as a separate document.

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Further copies of this Guide, together with all information related to this call for proposals, can be downloaded from the following web-sites:

- <http://cordis.europa.eu/>
- <http://ec.europa.eu/research/participants/portal/> (select tab "FP7 calls")

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About this Guide

This is version number 6 of the FP7 Guide for Applicants for calls using single-stage submission procedures.

The main part of this Guide (sections 1 to 5) is common to all such calls. Information specific to this call is found in the annexes. As a departure from previous years, these parts are published in separate documents.

Please note: This Guide is based on the rules and conditions contained in the legal documents relating to FP7 (in particular the Seventh Framework Programme, Specific Programmes, Rules for Participation, and the Work programmes), all of which can be consulted via CORDIS and the Participant Portal web-sites. The Guide does not in itself have legal value, and thus does not supersede those documents.

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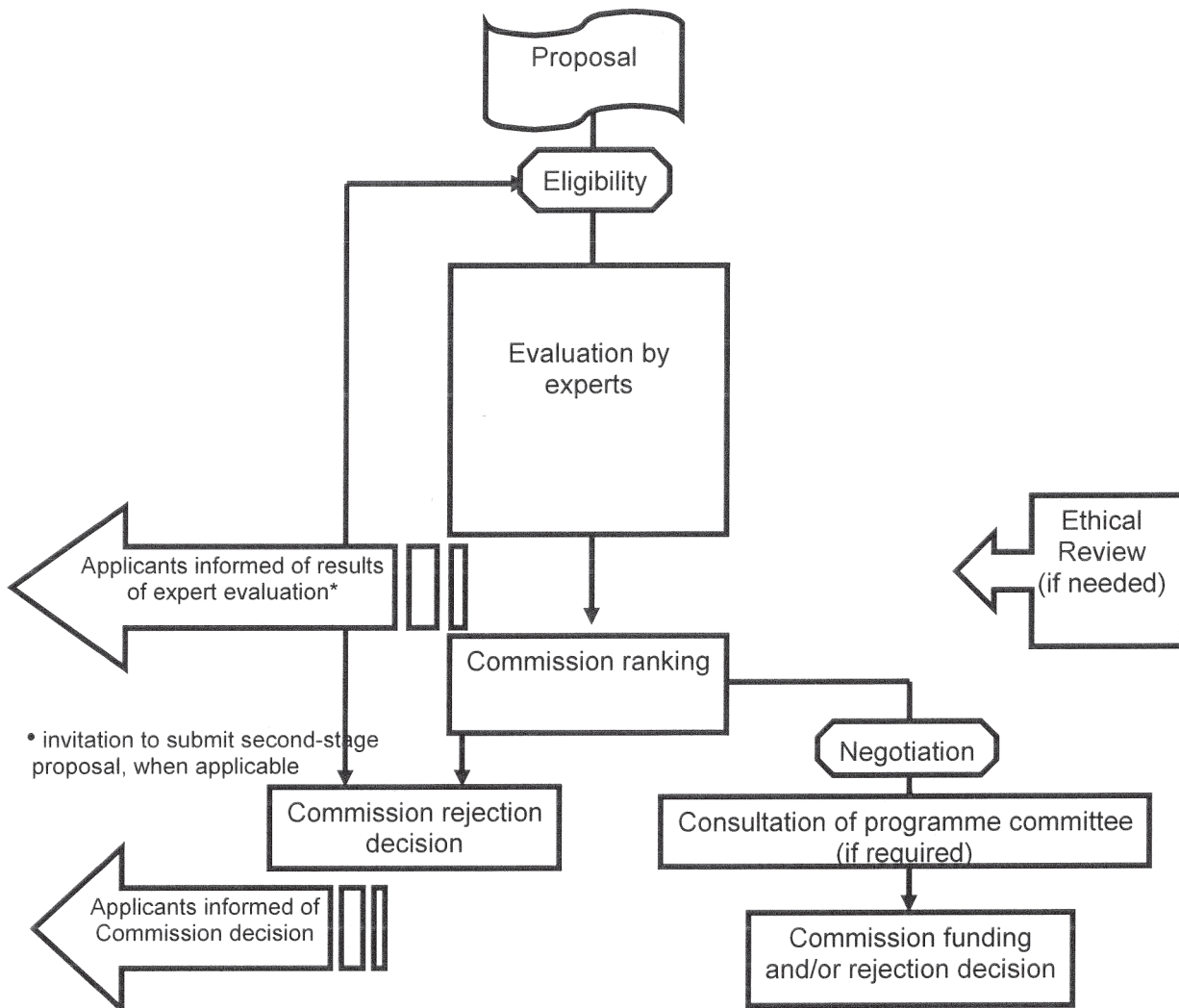
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1. Getting started

Funding decisions in the Seventh Framework Programme (FP7) are made on the basis of **proposals** submitted following **calls** published by the Commission or one of its agencies. Proposals describe planned research activities, information on who will carry them out, and how much they will cost. They must be submitted using a special web-based service before a strictly-enforced **deadline**. The Commission/agency evaluates all eligible proposals in order to identify those whose quality is sufficiently high for possible funding. The basis for this **evaluation** is a peer-review carried out by independent experts.

The Commission/agency then **negotiates** with some or all of those whose proposals have successfully passed the evaluation stage, depending on the budget available. If negotiations are successfully concluded, **grant agreements** providing for an EU financial contribution are established with the participants.

The sequence of steps is summarised in this flow chart:



This **Guide for Applicants** contains the essential information to guide you through the mechanics of preparing and submitting a proposal. It is important that you have the correct document! Not only are there different Guides for different calls, there may also be different Guides for other funding schemes within the same call.

You must also refer to the **work programme** covering the theme¹ of FP7 related to this call. This provides a detailed description of the objectives and topics which are open for proposals, and will describe the wider context of research activities in this area. Work programmes are revised each year, so make sure you refer to the latest version before preparing your proposal.

*Please check that this is the right guide for you by consulting the work programme, the **call fiche** (both posted on the CORDIS and Participant Portal websites), and the description of the funding scheme in the next section.*

This Guide and the work programme are essential reading. However, you may also wish to consult other reference and background documents, particular those relating to negotiation and the grant agreements, which are available on the CORDIS web site (see annex 1 to this guide) and on the Participant Portal: <http://ec.europa.eu/research/participants/portal/page/home>.

¹ In addition to the main domains of the "Cooperation" programme, the term "theme" is used in this guide to refer, as appropriate, to the parts of FP7 in "Capacities".

2. About the funding scheme: Coordination and Support action (Supporting)

2.1 General

A number of funding schemes are available to implement projects in FP7, but only certain ones may be available for the topics covered by this call. These are indicated in the call fiche.

This Guide covers the **Coordination and support action (Supporting)** funding scheme, and a description is given in this section.

Please note that special conditions may apply on a call-by-call basis. These will always be set out in the work programme, including the call fiche.

All research activities supported by the Seventh Framework Programme should respect fundamental ethical principles. Compliance with these principles is safeguarded through the European Commission's Ethics Review procedure. (See section 3.1 on Principles of Ethics).

2.2 Coordination and support actions²

Research, technological development or demonstration activities cannot be supported within this scheme.

Purpose

This funding scheme allows for two different types of actions to be financed:

- “*Co-ordination (or networking) actions*” aimed at coordinating research activities and policies.
- “*Support actions*” aimed at contributing to the implementation of the Framework Programmes and the preparation of future EU research and technological development policy or the development of synergies with other policies, or to stimulate, encourage and facilitate the participation of SMEs, civil society organisations and their networks, small research teams and newly developed or remote research centres in the activities of the thematic areas of the Cooperation programme. Support actions normally focus on one specific activity and often one specific event.

Specific Programmes concerned

This Funding Scheme is to be used for the implementation of the actions under the Specific Programmes “Cooperation”, “Capacities”, “People” and “Ideas”.

² Coordination and Support Actions may also be awarded to participants named in the work programme. In these cases other indicative conditions may apply.

Participation

For Coordination (or networking) actions whose purpose is to coordinate research activities: There must be at least three 'legal entities' established in different EU Member States or Associated countries (the countries concerned are listed in section 3.1). The entities must be independent of each other.

For other coordination actions and support actions, the minimum condition shall be the participation of one legal entity.

A higher number of participants may be specified on a call-by-call basis (see the call fiche).

"Target audience": Research organisations; universities; industry including SME.

Size and resources

The size, scope and internal organisation of coordination actions and support actions can vary from research theme to research theme and from topic to topic.

Indicative average duration

Coordination actions are expected to have a duration of typically two to four years, while support actions are expected to have a shorter duration from some months to two to four years. However, there will be no formal minimum or maximum duration.

Activities

Coordination (or networking) actions may cover activities such as:

the organisation of events – including conferences, meetings, workshops or seminars, related studies, exchanges of personnel, exchange and dissemination of good practices, and, if necessary, the definition, organisation and management of joint or common initiatives, together with management of the action.

Support actions may cover activities, depending on their nature such as:

monitoring and assessment; conferences; seminars; workshops; working or expert groups or individual expert appointment letters; studies; fact finding; monitoring; strategy development; high level scientific awards and competitions; operational support; data access and dissemination, information and communication activities; management activities; specific services activities related to research infrastructures, such as for example transnational access; preparatory technical work, including feasibility studies for the development of new infrastructures; contribution to the construction of new infrastructures; cooperation with other European research schemes; or a combination of these.

Form of Reimbursement

Reimbursement will be based on eligible costs (based on maximum rates of reimbursement specified in the grant agreement for different types of activities within the project). In some cases the reimbursement of indirect costs is based on a flat rate.

The work programmes shall specify if other forms of reimbursement are to be used in the actions concerned. International Cooperation Partner Countries (see annex 1 to the Work programme) may opt for a lump sum.

If so provided in the call fiche, it is possible to claim subsistence and accommodation costs (related to travel as part of the implementation of a project) on the basis of flat rates. These rates, which do not cover travel costs, are in the form of a daily allowance for every country. The use of these rates is optional, but you may wish to use them when calculating your proposal budget. The rates, and the detailed rules for their use, can be found on CORDIS (http://cordis.europa.eu/fp7/find-doc_en.html) and on the participant Portal (<http://ec.europa.eu/research/participants/portal/home>).

3. How to apply

3.1 Turning your idea into an effective proposal

The coordinator

For a given proposal, the coordinator acts as the single point of contact between the participants and the Commission/agency. The co-ordinator is generally responsible for the overall planning of the proposal and for building up the consortium that will do the work.

Focusing your planned work

The work you set out in your proposal must correspond to one or more of the topics, and associated **funding scheme(s)**, indicated in this call for proposals. **Proposals that fail to do so will be regarded as ineligible.**

Multidisciplinary proposals addressing several topics may be submitted, provided that the 'centre of gravity' lies in a topic or topics open in the call in question.

Refer to annex 2 to this Guide, and the work programme, to check all the **eligibility criteria** and any other additional conditions that apply.

Refer also to the **evaluation criteria** against which your proposal will be assessed. These are given in annex 2. Keep these in mind as you develop your proposal.

National Contact Points

A network of National Contact Points (NCPs) has been established to provide advice and support to organisations which are preparing proposals. You are highly recommended to get in touch with your NCP at an early stage. (Contact details are given on the CORDIS call page - annex 1 to this Guide).

Please note that the Commission will give the NCPs statistics and information on the outcome of the call and the outcome of the evaluation for each proposal. This information is supplied to support the NCPs in their service role, and is given under strict conditions of confidentiality.

Other sources of help

Annex 1 to this guide gives references to these further sources of help for this call. In particular:

- The general **enquiry service** on any aspect of FP7. Questions can be sent to a single e-mail address and will be directed to the most appropriate department for reply.
- A dedicated help desk has been set up to deal with technical questions related to the **Electronic Proposal Submission Service (EPSS)**. See section 3.2 below.
- A dedicated Help Desk has been set up to deal with questions related to research ethics issues and to the Ethics Review procedure.
- A further help desk providing assistance on intellectual property matters.
- Any other guidance documents or background information relating specifically to this call.

- The date and contact address for any '**information day**' that the Commission/agency may be organising for this call.
- Other services, including partner search facilities, provided via the CORDIS web site.

Who can participate?

In principle, a legal entity may participate in a proposal no matter where it is established.

A legal entity can be a so-called "natural person" (e.g. Mme Dupont) or a "legal person" (e.g. National Institute for Research).

However, there are certain minimum conditions that have to be met relating to participation from the EU and Associated countries. These conditions vary between funding scheme and may vary from call to call. See the call fiche for the conditions applicable to this call.

EU Member States

The EU Member States are:

Austria, Belgium, Bulgaria, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, The Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, United Kingdom.

Associated Countries (AC)

The Associated Countries are:

Albania, Bosnia and Herzegovina, Croatia, Faroe Islands, FYR Macedonia, Iceland, Israel, Liechtenstein, Montenegro, Norway, Serbia, Switzerland and Turkey

Other countries may become associated during the course of FP7. The latest news will be posted on CORDIS and on the Participant Portal web sites.

The following may receive EU funding in an FP7 project:

- Any legal entity established in a Member State or an Associated country (including the European Commission's Joint Research Centre), or created under EU law (e.g. a European Economic Interest Grouping),
- Any International European Interest Organisation (see glossary).
- Any legal entity established in an FP7 International Cooperation Partner Country (ICPC). The list of ICPC can be found on the CORDIS web site, and is given in Annex 1 to the related work programme.
- Any other legal entity, under the conditions indicated below:

In the case of a participating international organisation, other than an international European interest organisation, or a legal entity established in a non-EU country other than an associated country or ICPC, a EU financial contribution may be granted provided that at least one of the following conditions is satisfied:

- (a) Provision is made to that effect in the specific programmes or in the relevant work programme,

- (b) It is essential for carrying out the indirect action,
- (c) Such funding is provided for in a bilateral scientific and technological agreement or any other arrangement between the EU and the country in which the legal entity is established.

*Before the signature of a grant agreement, the Commission/agency has to verify the existence and legal status of all participants. This verification is made only once for each organisation at the time of its first participation in FP7. The details of all validated organisations are stored in the internal Commission/agency database. These organisations are allocated a unique code, the so-called **Participant Identification Code (PIC)**. In any further participation in other proposals, the organisations already validated use the PIC for their identification with the Commission.*

For the confirmation and maintenance of the data – stored in the Participant Portal,, the Commission/agency asks each organisation to nominate one privileged contact person, the so-called Legal Entity Appointed Representative (LEAR). The LEAR is usually a person working in the central administration of the organisation and he/she must be appointed by the top management of the entity. The LEARs can view their organisations' legal and financial data online and ask for corrections and changes to the data of their legal entity via the Participant Portal.

International cooperation

The Commission attaches great importance to international cooperation in research, and FP7 has been designed to ensure that such activities can be integrated across the programme. In addition to the opportunities mentioned above, which are generally applicable, calls may include:

- Topics of mutual interest defined in the work programmes where international cooperation is particularly encouraged.
- Specific international cooperation actions (SICA), also on topics of mutual interest. Here special minimum conditions apply.

Please check the work programme, including the call fiche, to see if these possibilities apply to this call.

More detailed practical advice on cooperation with "Third Country Participants" in FP7 can be found on CORDIS (ftp://ftp.cordis.europa.eu/pub/fp7/docs/guideline-third-country-participants_en.pdf) and on the Participant Portal (<http://ec.europa.eu/research/participants/portal/page/home>).

Principles of Ethics

Please remember that research activities in FP7 should respect fundamental ethical principles, including those reflected in the Charter of Fundamental Rights of the European Union. Ethical principles include the need to protect the physical and moral integrity of individuals, their privacy and dignity and the welfare of animals. For this reason, the European Commission carries out an ethical review of proposals when appropriate.

The applicant needs to address the ethical aspects of the objectives, methodology and the implications of the proposed research in the dedicated ethics section of his/her proposal and, if relevant, include a timetable regarding the prior authorisation of his/her research.

The following fields of research shall not be financed under this Framework Programme:

- research activity aiming at human cloning for reproductive purposes;

- research activity intended to modify the genetic heritage of human beings which could make such changes heritable³
- research activities intended to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.

As regards human embryonic stem cell research, the Commission will maintain the practice of the Sixth Framework Programme, which excludes from EU financial support research activities destroying human embryos, including for the procurement of stem cells. The exclusion of funding of this step of research will not prevent EU funding of subsequent steps involving human embryonic stem cells.

For additional information on the Ethics Review procedure, please see:

<http://ec.europa.eu/research/science-society/index.cfm?fuseaction=public.topic&id=73>

Risk-Sharing Finance Facility (RSFF)

This innovative debt-based facility, designed by the European Commission and the European Investment Bank creates an additional capacity of up to EUR 10 billion for financing higher risk research, technological development, demonstration and innovation activities. The EIB implements RSFF in close collaboration with all major EU national and regional banks within Member States and Associated Countries to FP7, which are providing support to the development of European companies. Financing through the RSFF can be sought either in addition to, or instead of FP7 grants.

For additional information on RSFF see:

<http://www.eib.org/products/loans/special/rsff/index>

http://ec.europa.eu/invest-in-research/funding/funding02_en.htm

Presenting your proposal

A proposal has two parts:

Part A will contain the administrative information about the proposal and the participants. The information requested includes a brief description of the work, contact details and characteristics of the participants, and information related to the funding requested (see annex 3 to this Guide). This information will be encoded in a structured database for further computer processing to produce, for example, statistics, and evaluation reports. This information will also support the experts and Commission/agency staff during the evaluation process.

The information in Part A is entered through a set of on-line forms.

Part B is a "template", or list of headings, rather than an administrative form (see annex 4 to this Guide). You should follow this structure when presenting the scientific and technical content of your proposal. The template is designed to highlight those aspects that will be assessed against the **evaluation criteria**. It covers, among other things, the nature of the proposed work, the participants and their roles in the proposed project, and the impacts that might be expected to arise

³ Research relating to cancer treatment of the gonads can be financed.

from the proposed work. Only black and white copies are used for evaluation and you are strongly recommended, therefore, not to use colour in your document.

Part B of the proposal is uploaded by the applicant into the Electronic Proposal Submission Service (EPSS) described below.

*A maximum length may be specified for the different sections of Part B, or for Part B as a whole (see annex 4 to this Guide). You **must** keep your proposal within these limits. Experts will be instructed to disregard any excess pages.*

Even where no page limits are given, or where limits are only recommended, it is in your interest to keep your text concise since over-long proposals are rarely viewed in a positive light by the evaluating experts.

*A small number of calls operate a **continuous submission procedure**. These calls are open for an extended period, during which proposals will be evaluated in batches after fixed cut-off dates. The call fiche will show whether intermediate cut-off dates apply to his call.*

Proposal language

Proposals may be prepared in any official language of the European Union. If your proposal is not in English, a translation of the full proposal would be of assistance to the experts. An English translation of the abstract may be included in Part B of the proposal.

3.2 Proposal submission

About the EPSS

Proposals must be submitted electronically, using the Commission's **Electronic Proposal Submission Service (EPSS)**. Proposals arriving at the Commission/agency by any other means are regarded as 'not submitted', and will not be evaluated¹.

All the data that you upload is securely stored on a server to which only you and the other participants in the proposal have access until the deadline. This data is encrypted until the close of the call.

You can access the EPSS from the call page on CORDIS, or on the Participant Portal.

Full instructions are found in the "EPSS preparation and submission guide", available from the EPSS entry page (click on "EPSS user guide").

¹ In exceptional cases, when a proposal co-ordinator has absolutely no means of accessing the EPSS, and when it is impossible to arrange for another member of the consortium to do so, an applicant may request permission from the Commission to submit on paper. A request should be sent via the FP7 enquiry service (see annex 1), indicating in the subject line "Paper submission request". (You can telephone the enquiry service if web access is not possible: 00 800 6 7 8 9 10 11 from Europe; or 32 2 299 96 96 from anywhere in the world. A postal or e-mail address will then be given to you). Such a request, which must clearly explain the circumstances of the case, must be received by the Commission no later than one month before the call deadline. The Commission will reply within five working days of receipt. Only if a derogation is granted, a proposal on paper may be submitted by mail, courier or hand delivery. The delivery address will be given in the derogation letter.

The most important points are explained below.

Use of the system by the proposal coordinator

As a coordinator you can:

- register as interested in submitting a proposal to a particular call
- set up (and modify) your consortium by adding/removing participants
- complete all of Part A of the proposal, pertaining to the proposal in general, and to your own administrative details
- download the document template for writing Part B of the proposal and, when it is completed, upload the finished Part B
- submit the complete proposal Part A and Part B.

Use of the system by the other participants

Other participants can:

- complete their own sections A2 (participant details)
- download the document template for writing Part B of the proposal, in order to assist the coordinator in preparing it (however, only the coordinator can upload the finished version)
- view the whole proposal.

Participant Identification Codes (PICs)

The Participant Identification Code is a unique 9 digit number that helps the Commission/agency to identify a participant. It is used in all grant-related interactions between the participant and the Commission/agency.

If your organisation has already participated in a 7th Framework Programme proposal, it is likely that the organisation has already received a PIC number. You can check it on the Participant Portal: <http://ec.europa.eu/research/participants/portal> ('My Organisations' tab').

If your organisation already has a PIC, it is likely that it has also appointed a Legal Entity Appointed Representatives (LEAR) (see section 3.1.). The names of LEARs are not available online, you have to enquire with the administration of your organisation.

All participants already possessing a PIC should use it to identify themselves in the Electronic Proposal Submission System. After entering the PIC, parts of the A forms will be filled in automatically.

If a PIC is not yet available for your organisation, you can still submit your proposal by entering the organisation details manually. However, it is strongly recommended that before submitting a proposal via the Electronic Proposal Submission System (EPSS), you self-register your organisation in the Participant Portal under the "My Organisations" "Register" tabs. Before obtaining a temporary PIC, which can then be used in the EPSS, please use the search facility to find out whether your organisation has already received a temporary or validated PIC number. The use of PICs – even temporary ones – will lead to more efficient processing of your proposal.

If you use the PIC of your organisation in the EPSS and the data on your organisation displayed in EPSS seem to contain mistakes, please ask your LEAR to change the data through the Participant Portal. This parallel process has no influence on the preparation and submission of your proposal. The proposal can be submitted even without the correction of such errors.

Self-registration in the Participant Portal for receiving a temporary PIC is quick and simple, see <http://ec.europa.eu/research/participants/portal> (use the tabs "My Organisations" "Register").