



# **GUIDE FOR APPLICANTS**

# International Researcher Exchange in the field of energy

# **ENERGY**

SUPPORT FOR TRAINING AND CAREER DEVELOPMENT OF RESEARCHERS

**Single-Stage Submission Process** 

Call identifier FP7-ENERGY-2011- EXCHANGE

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

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

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## **Definitions used throughout this Guide:**

**Third Countries:** are countries which are neither EU Member States (MS) nor countries associated to FP7 (AC); (please see the updated list on CORDIS: <a href="http://cordis.europa.eu/fp7/who\_en.html#countries">http://cordis.europa.eu/fp7/who\_en.html#countries</a>);

**Research organisations**: are defined in the rules for participation as a legal entity established as a non-profit organisation which carries out research or technological development as one of its main objectives;

Beneficiaries: are legal entities located in a MS or AC which sign the *grant agreement* with the Commission:

**Participants:** are legal entities which are located in a Third Country and which will not sign the *grant* agreement;

Partners: refer to either the beneficiaries or the participants;

**Partnership agreement:** means an agreement signed between the *beneficiaries* and the *partner organisations* for the purpose of the *project*. This agreement is deemed to have been signed before the signature of the *grant agreement*;

**Coordinator:** is the *beneficiary* who is taking the lead in the preparation of the proposal as the "proposal coordinator". For a given proposal, the *coordinator* acts as the single point of contact between the *partner organisations* and the Commission;

**Early stage researcher:** means a professional *researcher* in the first 4 years (full-time equivalent) of their research careers, including the period of research training, starting at the date of obtaining the degree which would formally entitle him/her to embark on a doctorate either in the country in which the degree was obtained or in the country in which the *mobility activities* are provided, irrespective of whether a doctorate is envisaged or not;

**Experienced researcher:** means a professional *researcher* 1) already in possession of a doctoral degree, independently of the time taken to acquire it or 2) having at least 4 years of research experience (full -time equivalent) after obtaining the degree which formally allows him/her to embark on a doctorate in the country in which the degree/diploma was obtained or in the country where the activities under the *project* are carried out;

**Researcher**: means an early stage or an experienced *researcher* selected and appointed by his/her *home organisation* among the staff to benefit from the staff exchange under the *project*. Technical and managerial staff are assimilated to *early stage or experienced researcher* depending on their level of professional experience and are eligible if they are involved in research related activities;

**Home organisation:** means the *beneficiary* or *partner organisation* of which the *researcher* is a staff member:

**Host organisation:** means the *beneficiary* or *partner organisation* hosting the *researcher* for the *secondment period*;

**Secondment period:** means the period(s) spent by a *researcher* at a *host organisation* under the *project*;

**Mobility activities:** means the knowledge sharing and networking activities related to the *researcher* under the *project*;

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# **About this Guide**

This Guide explains the principles of International Researcher Exchange in the field of energy research Scheme to be funded under the EU's Seventh Framework Programme.

The structure required for a proposal, and the rules which will govern its evaluation, vary according to the type of action and may also vary from call to call. It is therefore important to ensure that you are using the right guide.

Please check that this is the right guide for you by consulting the Work Programme, the call text and the description of the Energy Theme of the Cooperation Programme.

# 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 the CORDIS<sup>1</sup> website (<a href="http://cordis.europa.eu">http://cordis.europa.eu</a>) and Participant Portal web-site.

This Guide does not in itself have any legal value, and thus does not supersede those documents.

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<sup>&</sup>lt;sup>1</sup>EU R&D Information System

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# THE ESSENTIALS

# What is Exchange of Researchers?

The International Researcher Exchange on the field of energy research scheme aims at supporting international cooperation in energy research, including the SET-Plan. Accordingly, this pilot action aims to promote international cooperation through establishing a dual mechanism to support the reciprocal exchange of research staff between: (i) European and US energy research entities; (ii) European and Japanese energy research entities. This action aims to provide support to European energy research entities in order to establish or reinforce long-term research cooperation through a reciprocal programme of exchange of researchers for short periods.

# Who can apply?

Legal entities engaged in energy research activities can participate in this action. A partnership in this action shall be composed of (i) at least two research organisations (non profit public or private bodies which carry out research) established in at least two different EU Member States (MS) or Associated countries (AC), and one or more research organisation(s) located in the US or (ii) at least two research organisations established in at least two different EU Member States (MS) or Associated countries (AC), and one or more research organisation(s) located in Japan. One of the MS/AC research organisation beneficiaries will be the coordinator of the *project*.

# Which research topics are supported?

Exchange programmes should support the activities of the Energy theme of the Cooperation Programme. Full details of these activities can be found in Annex I of the Decision No 1982/2006/EC of the European Parliament and of the Council of 18 December 2006 concerning the Seventh Framework Programme of the European Community for research, technological development and demonstration activities (2007-2013).

#### How does it work?

Proposals are submitted within the specified deadlines, and are evaluated by external independent experts against a series of predetermined criteria. A staff exchange programme can apply for European Union ("EU") support for a period of maximum 48 months. The duration of exchanges for each researcher or technical/management staff will be for a maximum of 12 months. Multiple stays or interruptions are acceptable within this maximum duration. The grant agreement will be concluded with the beneficiaries located in the EU Member States (MS) or countries associated to FP7 (AC), while the other members of the partnership are defined as *participant organisations*.

## What does the funding cover?

For each member of staff from an EU Member State or Associated country seconded to a participant organisation from either the US or Japan, the EU will pay a fixed EU contribution of €2000 per researcher per month (a flat rate, which is intended to cover or contribute to the researcher's subsistence and travel costs, as well as management costs, overheads and costs related to organisation of workshops and conferences). In all cases, the staff remains employed by their home organisations and are expected to return after the mobility period.

## How to apply?

This Guide contains the essential information for applicants to prepare and submit a proposal for the International Researcher Exchange in the field of energy research. Applicants should also consult the relevant legal documents (listed in Annex 1 of this document) in order to understand better the evaluation process, rules of participation, contractual and financial issues, etc. Proposals are submitted electronically via the Electronic Proposal Submission Service (EPSS).

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# 1. Getting started

Funding decisions in the Seventh Framework Programme (FP7) are made on the basis of **calls** published by the Commission, which solicit **proposals**. Proposals describe a planned international research staff exchange programme and provide information on its content and coordinator/partners. They must be submitted using a special web-based service before a strictly-enforced **deadline**. The Commission 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 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 beneficiaries.

This **Guide for Applicants** contains the essential information to guide applicants through the mechanics of preparing and submitting a proposal.

Applicants must also refer to the **"ENERGY" Work Programme.** This provides a detailed description of the Pilot International Researcher Exchange, its objectives and scope, the eligibility criteria, the EU contribution and the evaluation criteria. Work programmes are revised each year, so it is important to refer to the latest version<sup>2</sup> before preparing your proposal.

Please check that this is the correct guide for you by consulting the Work Programme, the **call fiche**, and the description of the Pilot International Researcher Exchange in the next section.

This Guide and the Work Programme are essential reading. However, applicants may also wish to consult other reference and background documents, in particular those relating to negotiation and the *grant agreements*, which are available on the CORDIS and Participant Portal web sites (see Annex 1 of this Guide).

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<sup>&</sup>lt;sup>2</sup> Please consult CORDIS at http://cordis.europa.eu/fp7/find-doc\_en.html for the latest versions.

# 2. About the International Researcher Exchange in the field of energy research

# 2.1 General aspects

# Purpose

International Researcher Exchange in the field of energy research is a new type of action that aims to strengthen energy research partnerships through staff exchanges and networking activities. This pilot action targets exchange of researchers between EU and US on one side and between EU and Japan on the other side. This new action will provide support to legal entities engaged in energy research activities to establish or reinforce long-term energy research cooperation through a coordinated joint programme of exchange of *researchers* for short periods.

#### Size

There is a minimum of 3 partners (2 EU/AC + 1 US or 1 Japan) but no maximum size in terms of number of partners for an exchange programme. The size of the joint programme and of the partnership will depend on the expected number of researchers, technical and management staff to be exchanged.

# Balanced exchanges

Independently of the size of an exchange programme, it is expected that the exchanges are approximately in balance (in terms of person/months) between the various partner organisations of the *project*.

#### Duration

A staff exchange programme can apply for EU support for a period of maximum 48 months. The maximum duration of the individual staff exchanges will be 12 months, which can be split into several exchange periods within the total duration of the programme.

## Thematic Areas of the International Researcher Exchange Programme

This exchange programme supports the activities of the Energy theme of the Cooperation Programme. Full details of these activities can be found in Annex I of the Decision No 1982/2006/EC of the European Parliament and of the Council of 18 December 2006 concerning the Seventh Framework Programme of the European Community for research, technological development and demonstration activities (2007-2013).

#### **Partners**

A partnership in this action shall be composed of at least two research organisations established in at least two different EU MS or AC, and one or more research organisation(s) either located in Japan or in the US. Partners located in a MS or AC have rights and obligations with regard to the EU under the terms of the Rules for Participation and will be signing the *grant agreement* as beneficiaries. All partners, including those from *Third Countries*, are required to conclude a partnership agreement. The coordinator of a project must be from a Member State or Associated Country.

# **Grant Agreement**

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The *grant agreement* will be concluded between the Commission and the partners located in the MS or AC (*beneficiaries*), while the other members of the partnership are defined as *partner organisations*.

# Partnership Agreement<sup>3</sup>

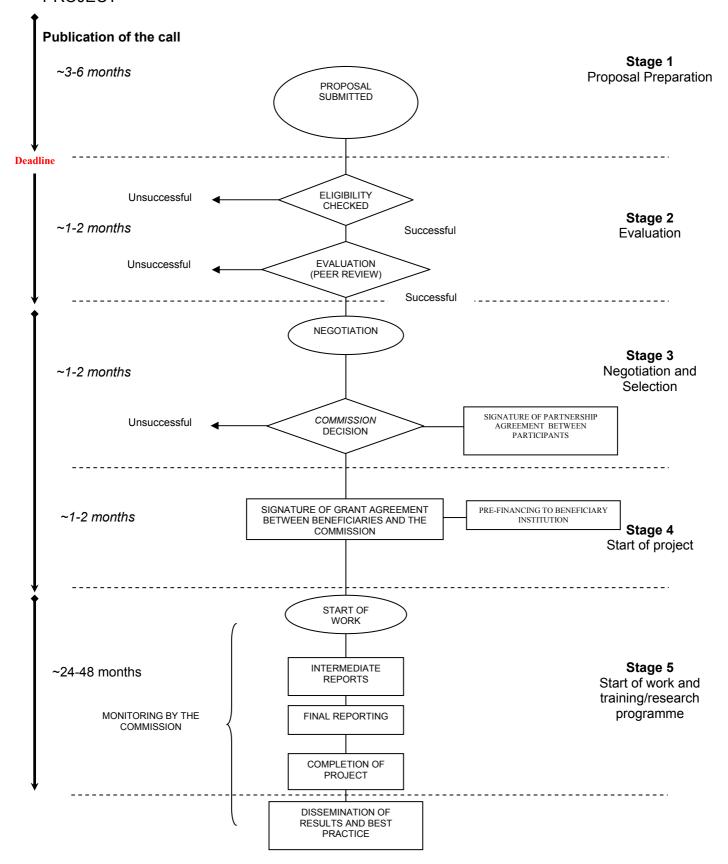
The *Partnership agreement* is a mandatory agreement signed between all partners for the purpose of the *project*. This agreement must have been signed before the signature of the *grant agreement*.

<sup>3</sup> This agreement is signed between partners only; the Commission is not a party to this agreement. Please refer to the checklist and critical issues to be addressed in a Partnership agreement (ftp://ftp.cordis.europa.eu/pub/fp7/docs/checklist\_en.pdf).

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# LIFE CYCLE OF FOR INTERNATIONAL RESEARCH STAFF EXCHANGE SCHEME PROJECT



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# 2.2 Eligible partners

A partnership in this action shall be composed of at least two independent partners, being research organisations, established in at least two different MS or AC, and one or more research organisation **either** located in Japan **or** the US..

In addition, the participation of relevant industrial research centres/and or companies is encouraged as it could help achieving the expected impact.

Below are indicative lists of countries for the purpose of this Call. These are subject to change, and it is the responsibility of the applicant to check their exact content at the time of application:

## The EU 27 Member States:

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

#### The Associated countries<sup>4</sup>:

Albania, Bosnia and Herzegovina, Croatia, Faroe Islands, FYROM, 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 the CORDIS web site.

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.

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Please consult list at http://cordis.europa.eu/fp7/who\_en.html

Before the signature of a grant agreement, the Commission 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 database, accessible for restricted users from the Participant Portal. 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— accessible from the Participant Portal, the Commission 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 Web interface of the Participant Portal.

# 2.3 Eligible staff and eligible programmes

The applicants submit a joint multi-annual programme for the exchange of staff between the project partners. For staff from MS or AC, the mobility must take place towards the *third country* partners and from the third country partners towards MS and AC partners. Staff exchange between European partners or between third country partners is not eligible for funding.

The International Researcher Exchange scheme targets early stage and experienced *researchers*, but if appropriate and justified, technical and managerial staff can also benefit from the exchange programme.

The duration of exchanges for each *researcher* or technical/managerial staff member will be for a maximum of 12 months. The applicants will describe the planned exchange programme, including the proposed durations of stays, in their proposal. In particular, very short stays (i.e. of less than one month), are exceptional and should be well justified in the application.

In addition to these aspects, the active participation of relevant industrial research centres/and or companies would help achieving the expected impact.

## **Examples showing the minimum eligibility requirements to fulfil:**

An Austrian and a Hungarian universities propose an exchange programme with a research institute in Japan. The programme is **eligible** as it satisfies the minimum partner requirement.

An Irish university proposes an exchange programme with an American university. This programme is **ineligible** (at least two partners from 2 different MS/AC partners are required).

A Spanish and a Portuguese universities propose an exchange programme with a research centre in Japan and a research centre in the US. This programme is **ineligible** (the third parties have to be located in <u>either</u> Japan <u>or</u> the US).

A Dutch research centre and an Estonian university propose an exchange programme with the US. Staff from the US partner will be seconded to the Netherlands and Estonia, Dutch staff will be seconded to Estonia and the US and Estonian staff will be seconded to the Netherlands and the US. This exchange programme is eligible. However, the Estonian staff going to the Netherlands and the Dutch staff going to Estonia are ineligible for a EU contribution. Subsistence costs for the US staff seconded to the European partners must be covered by the US partner.

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# 2.4 Typical Activities of an International Researcher Exchange in the field of energy research Project

The partners are expected to propose a multiannual joint programme as the common basis for their collaboration. This may include joint research and training activities or joint workshops and seminars, as well as other networking activities. The activities should be designed to exploit complementary expertise of the partners and to create synergies between them. In addition to achieving scientific results in a particular area, the International Researcher Exchange in the field of energy research *projects* are above all expected to generate a basis for sustainable cooperation.

# 2.5 Financial Regime

All partners involved in a joint exchange programme are expected to **second** their staff and thus continue paying their salary during the stay abroad.

For each member of staff from a MS or AC staying in an eligible *third country* participant organisation, the EU will pay a flat rate of €2000 per month.

This contribution is intended to cover or contribute to the costs for the staff exchange, including travel costs and subsistence, networking actions (including workshops), management costs and overheads related to the execution of the exchange.

There will be no extra EC funding for management costs. The EC financial contribution is a fixed amount (flat rate) of €2000 per seconded *researcher* month to be used towards the *project* goals and objectives. This amount may be also used to cover costs for the management of the project; however this cannot lead to a reduction of number of exchanges. No cost breakdown will be requested but the specific section in the *partnership agreement* should clarify how funds are allocated to each partner and what percentage is used for management (if any).

# Financing of Third Country partner organisations

Partner organisations from eligible *third countries* are supposed to cover the costs for their "outgoing" staff themselves.

For proposals that pass the evaluation thresholds and are selected for EU funding, the Commission will require evidence for matching funds at the stage of contract negotiations. It is therefore recommended that *third country* partners take appropriate action to ensure the availability of these funds at the proposal submission stage. A failure to secure these funds will lead to the rejection of the proposal.

# **Example:**

An Irish research centre and an Austrian university propose a staff exchange programme with three institutions in either Japan or the US. The *Third country* participants<sup>5</sup> in the International Researcher Exchange in the field of energy programme must be financed by their own funds.

# Financial reporting

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<sup>&</sup>lt;sup>5</sup> These countries must ensure that matching funds or other resources are available for the exchange program at the date of submission of the proposal

The EU contribution of €2000 per month and per exchanged member of staff is paid as a fixed contribution (flat rate) to the *coordinator of the project*. The contribution is intended to cover, or contribute to, the mobility costs of participating *researchers* (i.e. subsistence and travel costs of European *researchers* going to the eligible *third countries*). There is no contribution for *researchers* from *third country* partners.

When reporting to the Commission, *beneficiaries* will not have to provide evidence<sup>6</sup> of actual costs (i.e. cost statements for travel, evidence for how much each *researcher* has received individually, etc.). Reporting will be limited to showing the accomplished results, i.e. number of person-months exchanged and scientific results achieved, according to the grant agreement.

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<sup>&</sup>lt;sup>6</sup> Proof of the costs of the exchanges and networking activities must be kept available by the beneficiaries as a normal accounting procedure.

# 3. How to apply

# 3.1 Turning your idea into an effective proposal

# The coordinator

The "proposal coordinator" is the partner who is taking the lead in the preparation of the proposal. For a given proposal, the coordinator acts as the single contact point between the partners and the Commission.

# Focusing your planned work

Please refer to the description of the International Researcher Exchange in the field of energy research in Section 2 of this Guide, and to the COOPERATION Energy Work Programme to check the **eligibility criteria** and any other special conditions that apply.

Please refer also to the **evaluation criteria** against which your proposal will be assessed, as specified in the Annex 2 of this Guide. Always refer to them when developing 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. Applicants are highly recommended to get in touch with their NCP at an early stage. (please consult the CORDIS web page, available at <a href="http://cordis.europa.eu/fp7/get-support\_en.html">http://cordis.europa.eu/fp7/get-support\_en.html</a>, or the Annex 1 of this Guide). Please note that the Commission will make statistics and information on the outcome of the Call, as well as the evaluation outcome, to the NCPs. This information is supplied to support the NCPs in their service role, and it is given under strict conditions of confidentiality.

## Other sources of help

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

- The general enquiry service on any aspect of FP7 (please consult <a href="http://ec.europa.eu/research/enquiries">http://ec.europa.eu/research/enquiries</a>). Questions can be sent to the single e-mail address available at the above mentioned link; they will be directed to the most appropriate department;
- A dedicated help desk has been set up to deal with technical questions related to the Electronic Proposal Submission Service (https://www.epss-fp7.org/epss/EPSS-Userguide.pdf). See section 3.2 below;
- A dedicated Help Desk has been set up to deal with questions related to research ethics issues
- A further help desk providing assistance on intellectual property matters (please consult the CORDIS site http://cordis.europa.eu/fp7/how en.html#ipr);
- Any other guidance documents or background information relating specifically to this call are available on CORDIS;
- The date and contact address for any 'information day' that the Commission may be organising for this Call;
- Other services, including partner search facilities, provided via the CORDIS web site (please consult: <a href="http://cordis.europa.eu/fp7/partners">http://cordis.europa.eu/fp7/partners</a> en.html).

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# **Ethical principles**

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 ensure the freedom of research and the need to protect the physical and moral integrity of individuals and the welfare of animals. For this reason, the European Commission carries out an ethical review of proposals when appropriate. 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 heritable;
- 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, see:

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

# Presenting your proposal

A proposal has two parts:

**Part A** will contain the administrative information about the proposal and the partners. The information requested includes a brief description of the work, contact details and characteristics of the partners, and information related to the funding requested (please see Annex 3 of 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 be used by the experts and the Commission staff during the evaluation process.

The information in **Part A** is <u>entered</u> through a set of on-line forms.

**Part B** is a "template", or list of headings, rather than an administrative form (please see Annex 4 of this Guide). Applicants should strictly follow this structure when presenting the scientific and technical content of their 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 exchanged, the partners and their roles in the proposed *project*, and the impacts that might be expected to arise from the proposed work. Only black and white copies are used for evaluation and applicants are strongly recommended, therefore, not to use colour.

Part B of the proposal is <u>uploaded</u> by the applicant in the EPSS described below.

A <u>maximum length</u> may be specified for the different sections of Part B, or for Part B as a whole (see Annex 4 of this Guide). Applicants <u>must</u> keep their

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proposal within these limits. Experts will be instructed to disregard any excess pages.

# **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)**. Applicants can access the EPSS from <a href="https://www.epss-fp7.org">https://www.epss-fp7.org</a>. Proposals arriving by any other means than through EPSS are regarded as 'not submitted', and will not be evaluated.<sup>7</sup>

All data that applicants upload is securely stored on a server to which only applicants and the other partners in the proposal have access, until the deadline. This data is encrypted until the closing of the Call.

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

Full instructions will be found in the "EPSS preparation and submission guide" (please see <a href="http://cordis.europa.eu/fp7/epss">http://cordis.europa.eu/fp7/epss</a> en.html).

The most important points are explained below.

# Use of the EPSS system by the proposal coordinator

The EPSS refers to the partner who is taking the lead in the preparation of the proposal as the "proposal coordinator".

As coordinator you can:

- register as interested in submitting a proposal to a particular call;
- complete all of Part A of the proposal, pertaining to the proposal in general, and to your 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;

## **Participant Identification Codes (PICs)**

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<sup>&</sup>lt;sup>7</sup> In exceptional cases, when a proposal coordinator has absolutely no means of accessing the EPSS, and when it is impossible to arrange for another member of the partnership 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 call the enquiry service if the web access is not possible: +800 6 7 8 9 10 11 from inside Europe; or +32 2 299 96 96 from the rest of 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. If 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 Participant Identification Code is a unique 9 digit number that helps the European Commission to identify a participant. It is used in all grant-related interactions between the participant and the Commission.

If your organisation has already participated in a 7<sup>th</sup> 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.

If your organisation already has a PIC, it is likely that it has also appointed a Legal Entity Appointed Representatives (LEAR) (see section 31.). 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 and receive a temporary PIC, which can then be used in the EPSS. The use of PICs – even temporary ones – will lead to more efficient processing of your proposal.

In case 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 button "Register").

Further details on the appointment of LEARs and the use of PICs can be found in the FAQs of the Participant Portal: <a href="https://ec.europa.eu/research/participants/portal">https://ec.europa.eu/research/participants/portal</a> and on Cordis: <a href="https://cordis.europa.eu/fp7/pp\_en.html">https://ec.europa.eu/fp7/pp\_en.html</a>.

## Submitting the proposal

Only the coordinator is authorised to submit the proposal.

Completing the **Part A** forms in the EPSS and uploading a **Part B** does not mean that your proposal is submitted. Once there is a consolidated version of the proposal, the coordinator must press the button "**SUBMIT NOW**".

(If you don't see the button "SUBMIT NOW", first select the "SUBMIT" tag at the top of the screen).

Please note that "SUBMIT NOW" starts the final steps for submission; it does not in itself cause the proposal to be submitted.

After reading the information page that then appears, it is possible to submit the proposal using the button marked "PRESS THIS BUTTON TO SUBMIT THE PROPOSAL".

The EPSS then performs an automatic validation of the proposal. A list of any problems such as missing data, viruses, wrong file format or excessive file size will then appear on the screen.

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**Submission is blocked until these problems are corrected.** Once corrected, the coordinator must then repeat the above steps to achieve submission.

If successfully submitted, the coordinator receives a *message* that indicates that the proposal has been received. This automatic message is *not* the official acknowledgement of receipt (for this, please see Section 5).

The coordinator may continue to modify the proposal and submit revised versions overwriting the previous one until the deadline. *Please note that the sequence above must be repeated each time*. If the submission sequence described above is not followed, the Commission considers that *no proposal has been submitted*.

For the proposal **Part B** you must use **exclusively PDF** ("portable document format", compatible with Adobe version 3 or higher, with embedded fonts). Other file formats will not be accepted by the system. Irrespective of any page limits specified in annex 4 to this Guide, there is an overall limit of 10Mbyte to the size of proposal file Part B. There are also restrictions to the name you give to the Part B file. You should only use alphanumeric characters. Special characters and spaces must be avoided.

# About the deadline

Proposals must be submitted on or before the deadline specified in the **Call Fiche**. It is your responsibility to ensure the timely submission of your proposal.

The EPSS will be closed for this Call at the call deadline. After this time, access to the EPSS for this call will be impossible. **Do not wait until the last moment before submitting your proposal! Call deadlines are absolutely final and are strictly enforced.** 

Please note that you may submit successive drafts of their proposal through the EPSS. Each successive submission overwrites the previous version. It is a good idea to **submit a draft well before the deadline**:

Leaving your first submission attempt to the last few minutes of the call will give you no time to overcome even the smallest technical difficulties, proposal verification problems or communications delays which may arise. Such events are never accepted as extenuating circumstances; your proposal will be regarded as not having been submitted.

Submission is deemed to occur at the moment when the proposal coordinator presses the "submit" button. <u>It is not the point at which you start the upload</u>. If you wait until too near to the close of the call to start uploading your proposal, there is a serious risk that you will not be able to submit in time.

If you have registered and submitted your proposal in error to another call which closes after this call, the Commission will not be aware of it until it is discovered among the downloaded proposals for the later call. It will therefore be classified as ineligible because of late arrival.

The submission of a proposal requires some knowledge of the EPSS system, a detailed knowledge of the contents of the proposal and the authority to make last-minute decisions on behalf of the partnership if problems arise. Applicants are advised not to delegate the job of submitting their proposal.

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In the unlikely event of a failure of the EPSS service due to breakdown of the Commission server during the last 24 hours of this call, the deadline will be extended by a further 24 hours. This will be notified by email to all proposal coordinators who had registered for this call by the time of the original deadline, and also by a notice on the Call pages on CORDIS (see <a href="http://cordis.europa.eu/fp7/calls">http://cordis.europa.eu/fp7/calls</a>) and on the Participant Portal or go to the "COOPERATION" programme pages (see <a href="http://cordis.europa.eu/fp7/cooperation/home en.html">http://cordis.europa.eu/fp7/cooperation/home en.html</a> and follow the "call" link) and on the web site of the EPSS.

Such a failure is a rare and exceptional event; therefore do not assume that there will be an extension to this Call. If you have difficulty in submitting your proposal, you should not assume that it is because of a problem with the Commission server, since this is rarely the case. Contact the EPSS help desk if in doubt (see the address given in Annex 1 of this Guide).

Please note that the Commission will not extend deadlines for system failures that are not its own responsibility. In all circumstances, applicants should aim to submit their proposal well before the deadline to have time to solve any problems.

# **Correcting or revising your proposal**

Errors discovered in proposals submitted to the EPSS can be rectified by simply submitting a corrected version. So long as the Call has not yet closed, the new submission will overwrite the old one.

Once the deadline has passed, however, the Commission can accept no further additions, corrections or re-submissions. The last version of your proposal received before the deadline is the one which will be evaluated, and no later material can be submitted.

# **Ancillary material**

Only a single PDF file comprising the complete **Part B** can be uploaded. Unless specified in the call, any hyperlinks to other documents, embedded material, and any other documents (company brochures, supporting documentation, reports, audio, video, multimedia etc.) sent electronically or by post, will be disregarded.

# Withdrawing a proposal

Before the deadline, applicants may withdraw a proposal by submitting a revised version with an empty **Part B** section, with the following words entered in the abstract field of **Part A**:

"The applicants wish to withdraw this proposal. It should not be evaluated by the Commission".

After the deadline, applicants may send an email to EPSS Helpdesk: <a href="mailto:support@epss-fp7.org">support@epss-fp7.org</a>.

# Registration of legal entities in the Commission's Early Warning System (EWS) and Central Exclusion Database (CED)

To protect the EU's financial interests, the Commission uses an internal information tool, the Early Warning System (EWS) to flag identified risks related to beneficiaries of centrally managed contracts and grants. Through systematic registration of financial and other risks the EWS enables

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the Commission services to take the necessary precautionary measures to ensure a sound financial management<sup>8</sup>.

EWS registrations are not publicly disclosed. However, registrations will be transferred to the Central Exclusion Database (CED) if they relate to entities that have been excluded from EU funding because they are insolvent or have been convicted of a serious professional misconduct or criminal offense detrimental to EU financial interests. The data in CED are available to **all public authorities implementing EU funds**, i.e. European institutions, national agencies or authorities in Member States, and, subject to conditions for personal data protection, to third countries and international organisations.

The work programme informs you that the details of your organisation (or those of a person who has powers of representation, decision-making or control over it) may be registered in the EWS and the CED and be shared with public authorities as described in the relevant legal texts<sup>9</sup>.

More information on the EWS and CED can be found here:

http://ec.europa.eu/budget/sound\_fin\_mgt/ews\_en.htm

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<sup>&</sup>lt;sup>8</sup> The EWS covers situations such as significantly overdue recovery orders, judicial proceedings pending for serious administrative errors/fraud, findings of serious administrative errors/fraud, legal situations which exclude the beneficiary from funding.

<sup>&</sup>lt;sup>9</sup> The basis of registrations in EWS and CED is laid out in:

<sup>-</sup> the Commission Decision of 16.12.2008 on the Early Warning System (EWS) for the use of authorising officers of the Commission and the executive agencies (OJ, L 344, 20.12.2008, p.125), and

<sup>-</sup> the Commission Regulation of 17.12.2008 on the Central Exclusion Database – CED (OJ L 344, 20.12.2008, p.12).

# 4. Checklist

# 4.1 Preparing your proposal

- Are you applying for the right action? Check that your proposed work falls within the scope of this call, and that you have applied for the right action 10 (see the "COOPERATION Energy" Work Programme).
- **Is your proposal eligible?** The eligibility criteria are given in the Work Programme. See also Section 2 of this Guide. Any proposal not meeting the eligibility requirements will be considered ineligible and will not be evaluated.
- Is your proposal complete? Proposals must comprise a Part A, containing the administrative information including partner and project costs details on standard forms; and a Part B containing the scientific and technical description of your proposal as described in this Guide. A proposal that does not contain both parts will be considered ineligible and will not be evaluated.
- Does your proposed work raise ethics issues? Clearly indicate any potential ethics, safety or regulatory aspects
  of the proposed research and the way these will be dealt with prior and during the implementation of the proposed
  project. A preliminary ethics control will take place during the scientific evaluation and, if needed, an ethics screening
  and/or review will take place for those proposals raising ethics issues.. Proposals may be rejected on ethical
  grounds if such issues are not dealt with satisfactorily.
- Does your proposal follow the required structure? Proposals should be precise and concise, and must follow exactly the proposal structure described in this document (Annex 4 of this Guide), which is designed to correspond to the evaluation criteria which will be applied. This structure varies for different funding schemes. Omitting requested information will almost certainly lead to lower scores and possible rejection.
- Have you maximised your chances? Please be aware that there will be strong competition. Therefore, edit your
  proposal carefully, strengthen or eliminate weak points. Put yourself in the place of an expert evaluator; please refer
  to the evaluation criteria given in the Annex 2 of this Guide. Arrange for your draft to be evaluated by experienced
  colleagues; use their advice to improve it before submission.
- **Do you need further advice and support?** You are strongly advised to inform your National Contact Point of your intention to submit a proposal (please see Annex 1 of this Guide). Remember the Enquiry service listed in Annex 1.

# 4.2 Final checks before submission

- Do you have the authorisation of each partner in the *project* to submit this proposal on their behalf?
- Check once more the eligibility criteria mentioned in the call documents (work programme and call fiche)!
   This includes any budget limits.
  - Remember the information given in part A is considered definitive.
- Is your Part B in portable document format (PDF), including no material in other formats?
- Is the filename made up of the letters A to Z, and numbers 0 to 9? You should avoid special characters and spaces.
- Have you printed out your Part B, to check that it really is the file you intend to submit, and that it is complete, printable and readable? Proposals that cannot be printed will not be evaluated. After the call deadline it will not be possible to replace your Part B file.
- Double check that you respect the font size (11 points) and the page limitations for the different chapters!
- Is your Part B (pdf file) within the size limit of 10 Mbytes?
- Have you virus-checked your computer? The EPSS will automatically block the submission of any file containing a virus

# 4.3 The deadline is very important

- Have you taken the responsibility to submit your proposal?
- Have you made yourself familiar with the EPSS in good time?
- Have you allowed time to submit a first version of your proposal well in advance of the deadline (at least several days before), and then to continue to improve it with regular resubmissions?
- Have you pressed 'SUBMIT' after your final version?

# 4.4 Following submission

• Information submitted to the EPSS remains encrypted until the deadline and can only be viewed by the applicant

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<sup>&</sup>lt;sup>10</sup> If you have in error registered for the wrong call, discard that registration (usernames and passwords) and re-register and re-submit correctly. If there is no time to do this, notify the EPSS Helpdesk.

• It is recommended that you check that all your material has been successfully uploaded and submitted

You can revise and resubmit your proposal up to call deadline.

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# 5. What happens next

Shortly after the call deadline, the Commission will send an **acknowledgement of receipt** to the email address<sup>11</sup> of the proposal coordinator given in the submitted proposal. This is assumed to be the individual named on the A2 Form for partner No. 1 as the person in charge. Please note that the brief electronic message given by the EPSS system after each submission is not the official Acknowledgement of Receipt.

The sending of an acknowledgement of receipt does not imply that a proposal has been accepted as eligible for evaluation.

If you have not received an acknowledgement of receipt within 12 working days after the call deadline (or cut-off date, in the case of a continuously open call), you should contact the FP7 Enquiry Service (see annex 1 to this Guide). However, first please check that you are the person named in the proposal as contact person for partner no. 1, check the email address which you gave for yourself, and check the junk mail box of your email system for the first few days following the close of call for any mail originating from FP7Aor@ess-fp7.org.

The Commission will check that your **proposal** meets the **eligibility criteria** that apply to this Call and this funding scheme (see the Work Programme and Section 2 of this Guide).

All eligible proposals will be evaluated by independent experts. The evaluation criteria and procedure are described in Annex 2 of this Guide.

Soon after the completion of the evaluation, the results will be finalised and all co-ordinators will receive a letter containing **initial information** on the results of the evaluation, including the Evaluation Summary Report (ESR) giving the opinion of the experts on their proposal. Even if the experts viewed your proposal favourably, the Commission cannot at this stage indicate if there is a possibility of EU funding.

If you have not received the "initial information letter" by the date referred to in annex I to this Guide, please contact the Commission via the FP7 enquiry service.

The letter will also give the relevant contact details and the steps to follow if you consider that there has been a shortcoming in the conduct of the evaluation process.

The Commission also informs the relevant **programme committee**, consisting of delegates representing the governments of the MS and AC. Based on the results of the evaluation by experts, the Commission draws up the final list of proposals for possible funding, taking into account of the available budget. The Commission must also take into account the strategic objectives of the Programme, as well as their overall balance of the proposals to be funded.

Official letters are then sent to the applicants. If the letter expresses a positive outcome of the evaluation, the letter will mark also the beginning of the **negotiation phase**. Due to budget constraints, it is also possible that your proposal will be placed on a reserve list. In this case, negotiations will only begin if funds become available. In other cases, the letter will explain the reasons why the proposal cannot be funded on this occasion.

A description of the negotiation process will be provided in the **"FP7 Guidelines for negotiation"** available at http://cordis.europa.eu/fp7/find-doc en.html.

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<sup>&</sup>lt;sup>11</sup> Please check carefully the accuracy of the email address

Negotiations between the applicants and the Commission aim to conclude a *grant agreement* which provides for EU funding of the proposed work. They cover both the scientific/technological, and the administrative and financial aspects of the *project*. The officials conducting these negotiations on behalf of the Commission will be working within a predetermined budget envelope. They will also refer to any recommendations which the experts may have made concerning modifications to the work presented in the proposal, as well as any recommendations arising from an ethics review of your proposal if one was carried out. Where relevant, security aspects shall also be considered.

The negotiations will also deal with the relevant principles contained in the European Charter for *Researchers* and the Code of Conduct for their Recruitment.

For participants not yet having a Participant Identification Code (PIC), i.e. not yet being registered and validated in the Commission's database, their existence as legal entities and their legal status will have to be validated before a grant agreement can be signed. For these participants, the procedure of registration and validation is triggered by a self-registration in the web interface of the Participant Portal available at <a href="http://ec.europa.eu/research/participants/portal">http://ec.europa.eu/research/participants/portal</a>. This self-registration will lead to a request by the Commission to the organisation to provide supporting documents and to nominate a Legal Entity Authorised Representative (LEAR).

The LEAR is a person nominated in each legal entity participating in FP7. This person is the contact for the Commission related to all questions on legal status. He/she has access to the online database of legal entities with a possibility to view the data stored on his/her entity and to initiate updates and corrections to these data. After the validation of the entity has been finalised, the contact person/authorized representative named in the Participant Portal receives the PIC number. Once the LEAR is validated, he/she manages the modifications of the entity-related information in the Participant Portal and distributes the PIC number within his/her organisation.

**Further** details be found in section 3.2., the Participant Portal can on http://ec.europa.eu/research/participants/portal Cordis and on http://cordis.europa.eu/fp7/pp en.html.

Applicants are reminded that the Commission's Research DGs have adopted a new and reinforced audit strategy aimed at detecting and correcting errors in cost claims submitted in projects on the basis of professional auditing standards. As a result the number of audits and participants audited will increase significantly and the Commission's services will assure appropriate mutual exchange of information within its relevant internal departments in order to fully coordinate any corrective actions to be taken in a consistent way. More information can be found here: http://cordis.europa.eu/audit-certification/home en.html

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# **Glossary**

The following explanations are provided for clarity and easy-reference. They have no legal authority, and do not replace any official definitions set out in the Council decisions.

# A

# **Acknowledgement of receipt**

Applicants are informed by email shortly after the deadline that a proposal has been successfully submitted (but not that it is necessarily eligible). Contact the *help desk* urgently if you do not receive such an acknowledgement.

# **Applicant**

The term used generally in this guide for a person or entity applying to a call for proposals. The term 'participant' is used in the more limited sense of a member of a proposal or project consortium (see definition).

#### **Associated countries**

Non-EU countries which are party to an international agreement with the EU, under the terms or on the basis of which it makes a financial contribution to all or part of the Seventh Framework Programme. In the context of proposal consortia, organisations from these countries are treated on the same footing as those in the EU. The list of associated countries is given in the body of this quide.

#### C

## Call fiche

The part of the work programme giving the basic data for a call for proposals (e.g. topics covered, budget, deadline etc). It is posted as a separate document on the CORDIS and Participant Portal web pages devoted to a particular call.

# Call for proposals (or "call")

An announcement, usually in the Official Journal, inviting proposals for research activities in a certain theme. Full information on the call can be found on the CORDIS and Participant Portal web-sites.

#### Consensus meeting

The stage in the proposal evaluation process when experts come together to establish a common view on a particular proposal.

#### Consortium

Most *funding schemes* require proposals from a number of participants (usually at least three) who agree to work together in a consortium.

#### Coordinator

The coordinator leads and represents the applicants. He or she acts as the point of contact with the Commission.

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#### **CORDIS** service

A web service providing access to all the documentation related to FP7, and access to the *electronic proposal submission service*. (See also Participant Portal)

# D

#### **Deadline**

For a particular *call*, the moment after which proposals cannot be submitted to the Commission, and when the *Electronic Proposal Submission Service* closes for that call. Deadlines are strictly enforced.

## **Deliverable**

A deliverable represents a verifiable output of the project. Normally, each work package will produce one or more deliverables during its lifetime. Deliverables are often written reports but can also take another form, for example the completion of a prototype etc.

#### **Direct costs**

Direct costs are all eligible costs which can be attributed directly to the project and are identified by the participant as such, in accordance with its accounting principles and its usual internal rules.

# Ε

# Early Warning System (EWS)

An internal information tool of the Commission to flag identified financial risks related to beneficiaries.

## **Electronic Proposal Submission Service (EPSS)**

A web-based service which must be used to submit proposals to the Commission. Access is given through the *CORDIS* web-site, or via the Participant Portal.

## **Electronic Proposal Submission Service (EPSS) Helpdesk**

A telephone / email service to assist applicants who have difficulty in submitting their proposal via the Electronic Proposal Submission System: tel: +32 2 233 3760 email <a href="mailto:support@epss-fp7.org">support@epss-fp7.org</a>

## **Eligibility Review Committee**

An internal committee which examines in detail cases of proposals whose eligibility for inclusion in an evaluation is in question

# Eligibility criteria

The minimum conditions which a proposal must fulfil if it is to be retained for evaluation. The eligibility criteria are generally the same for all proposals throughout FP7, and relate to submission before the *deadline*, *minimum participation*, *completeness and scope*. However, additional eligibility criteria may apply to certain calls, and applicants should check the work programme, and annex 2 to this Guide.

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#### Ethics issues table

Research activities supported by the Framework Programme should respect fundamental ethical principles. The main issues which might arise in a project are summarised in tabular form in a checklist included in the proposal

#### **Evaluation criteria**

The criteria against which eligible proposals are assessed by independent experts. The evaluation criteria are generally the same for all proposals throughout FP7, and relate to S/T quality, impact and implementation. Relevance is also considered. However, additional evaluation criteria may apply to certain calls, and applicants should check the work programme, and annex 2 to this Guide.

# **Evaluation Summary Report (ESR)**

The assessment of a particular proposal following the evaluation by independent experts is provided in an Evaluation Summary Report. It normally contains both comments and scores for each criterion.

F

# FP7 enquiry service

A general information service on all aspects of FP7. Contact details are given in annex 1 to this Guide.

# **Funding scheme**

The mechanisms for the EU funding of research projects. The funding schemes have different objectives, and are implemented through grant agreements.

G

# **Grant Agreement (GA)**

The legal instrument that provides for Commission funding of successful proposals.

I

## **Indirect costs**

Indirect costs, (sometimes called overheads), are all those eligible costs which cannot be identified by the participant as being directly attributed to the project, but which can be identified and justified by its accounting system as being incurred in direct relationship with the eligible direct costs attributed to the project.

#### Individual evaluation

The stage in the evaluation process when experts assess the merits of a particular proposal before discussion with their peers.

# **Information Days**

Open events organised by the Commission to explain the characteristics of specific calls, and often as well, a chance for potential applicants to meet and discuss proposal ideas and collaborations.

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#### Initial information letter

A letter sent by the Commission to applicants shortly after the evaluation by experts, giving a report from the experts on the proposal in question (the Evaluation Summary Report).

# **International Cooperation Partner Countries (ICPC)**

A list of low-income, lower-middle income and upper-middle-income countries, given in annex 1 to the work programme. Organisations from these countries can participate and receive funding in FP7, providing that certain minimum conditions are met.

# **International European Interest Organisation**

International organisations, the majority of whose members are European Union Member States or Associated Countries, and whose principal objective is to promote scientific and technological cooperation in Europe.

# J

# Joint Research Centre (JRC)

The Commission's own research institutes.

# L

# **LEAR (Legal Entity Authorised Representative)**

The LEAR is a person nominated in each legal entity participating in FP7. This person is the contact for the Commission related to all questions on legal status. He/she has access to the online database of legal entities with a possibility to view the data stored on his/her entity and to initiate updates and corrections to these data. The LEAR receives a Participant Identification Code (PIC) from the Commission (see below), and distributes this number within his/her organisation.

#### Lump sum

Lump sums do not require the submission of financial justifications (statements), as they are "fixed"

#### M

## **Milestones**

Control points where decisions are needed with regard to the next stage of the project.

## N

# **National Contact Points (NCP)**

Official representatives nominated by the national authorities to provide tailored information and advice on each theme of FP7, in the national language(s).

# **Negotiation**

The process of establishing a grant agreement between the Commission and an applicant whose proposal has been favourably evaluated, and when funds are available.

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# Non-profit

A legal entity is qualified as "non-profit" when considered as such by national or international law.

# P

#### Part A

The part of a proposal dealing with administrative data. This part is completed using the web-based EPSS.

# Part B

The part of a proposal explaining the work to be carried out, and the roles and aptitudes of the participants in the consortium. This part is uploaded to the EPSS as a pdf file

# Part B template

A document in PDF format supplied by the EPSS, consisting of a template of all chapter headings, forms and tables required to prepare a proposal Part B. The template format is given in Annex 4 to this Guide.

# **Participants**

The members of a consortium in a proposal or project. These are legal entities, and have rights and obligations with regard to the EU.

#### Participant Identification Code (PIC)

Organisations participating in FP7 will progressively be assigned Participant Identification Codes (PIC). The PIC is a unique 9-digit number for each organisation. Possession of a PIC will enable organisations to take advantage of the Participant Portal (see below), and to identify themselves in all transactions related to FP7 proposals and grants. An online tool to search for existing PICs and the related organisations is available at http://ec.europa.eu/research/participants/portal.

# **Participant Portal**

The single entry point for interaction with the Research Directorates-General of the European Commission. It hosts a full range of services that facilitate the monitoring and the management of proposals and projects throughout their lifecycle, including calls for proposals, and access to the electronic proposal submission service.

# **Programme committee**

A group of official national representatives who assist the Commission in implementing the Specific Programmes of FP7.

#### **Proposal**

A description of the planned research activities, information on who will carry them out, how much they will cost, and how much funding is requested

## **Public body**

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Public body means any legal entity established as such by national law, and international organisations.

# R

# Redress procedure

The initial information letter will indicate an address if an applicant wishes to submit a request for redress, if he or she believes that there have been shortcomings in the handling of the proposal in question, and that these shortcomings would jeopardise the outcome of the evaluation process. An internal evaluation review committee ("redress committee") will examine all such complaints. This committee does not itself evaluate the proposal. The committee's role is to ensure a coherent legal interpretation of such requests and equal treatment of applicants. The committee will not call into question the judgement of appropriately qualified groups of experts. In the light of its review, the committee will recommend a course of action to the authorising officer responsible for the call.

# Research organisation

A legal entity established as a *non-profit* organisation which carries out research or technological development as one of its main objectives.

#### Reserve list

Due to budgetary constraints it may not be possible to support all proposals that have been evaluated positively. In such conditions, proposals on a reserve list may only be financed if funds become available following the negotiation of projects on the main list.

# **RTD**

Research and Technological Development.

## S

#### **SME**

'SMEs' are micro, small and medium-sized enterprises. SMEs are defined in Recommendation 2003/361/EC of 6 May 2003. Research organisations (non profit public or private bodies which carry out research) can participate in this action only.

# Specific flat rate (60%)

A 60% flat rate of the total direct costs applicable under certain conditions to non-profit public bodies, secondary and higher education establishments, research organisations and SMEs. This rate is now available for the entire duration of FP7.

# Т

# **Thresholds**

For a proposal to be considered for funding, the evaluation scores for individual criteria must exceed certain thresholds. There is also an overall threshold for the sum of the scores.

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# W

# Weightings

The scores for certain evaluation criteria may be multiplied by a weighting factor before the total score is calculated. Generally, weightings are set to one; but there may be exceptions and applicants should check the details in annex 2 to this Guide.

# **Work Package**

A work package is a major sub-division of the proposed project with a verifiable end-point – normally a deliverable or a milestone in the overall project.

# **Work Programme**

A formal document of the Commission for the implementation of a specific programme, that sets out the research objectives and topics to be addressed. It also contains information that is set out further in this Guide, including the schedule and details of the calls for proposals, indicative budgets, and the evaluation procedure.

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# Annex 1 – Timetable and specific information for this call

• The "COOPERATION" Work Programme provides the essential information for submitting a proposal to this call. It describes the content of the topics to be addressed, and details on how it will be implemented. The Work Programme is available on the CORDIS call page (please see <a href="http://cordis.europa.eu/fp7/calls">http://cordis.europa.eu/fp7/calls</a>) and the Participant Portal page. The part giving the basic data on implementation (deadline, budget, deadlines, special conditions etc...) is also posted as a separate document ("call fiche"). Applicants must consult these documents.

# Indicative timetable for this call

Publication of call	20 July 2010
Deadline for submission of proposals	16 November 2010 at 17:00:00 Brussels local time
Evaluation of proposals	December 2010 – January 2011
Evaluation Summary Reports sent to proposal coordinators ("initial information letter")	January 2011
Invitation letter to successful coordinators to launch contract negotiations with COMMISSION services	February 2011
Letter to unsuccessful applicants	From April 2011
Signature of first contracts	From <i>May 2011</i>

Indicative budget: EUR 3 million of the 2011 budget<sup>12</sup>.

# Further information and help

The CORDIS call page: <a href="http://cordis.europa.eu/fp7/calls">http://cordis.europa.eu/fp7/calls</a> contains links to other sources that you may find useful in preparing and submitting your proposal. Direct links are also given where applicable.

#### Call information:

CORDIS call page and Work Programme <a href="http://cordis.europa.eu/fp7/calls">http://cordis.europa.eu/fp7/calls</a> and follow specific links to the "COOPERATION" calls,

Participant Portal <a href="http://ec.europa.eu/research/participants/portal/">http://ec.europa.eu/research/participants/portal/</a>

**Information day**: will take place on the 8 of July 2010 for more information please check: http://ec.europa.eu/research/conferences/2009/energy\_infoday/infoday\_energy\_en.htm

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<sup>&</sup>lt;sup>12</sup> Under the condition that the draft budget for 2011 is adopted without modification by the budgetary authority.

# General sources of help:

The Commission's FP7 Enquiry service <a href="http://ec.europa.eu/research/enquiries">http://ec.europa.eu/research/enquiries</a>

National Contact Points http://cordis.europa.eu/fp7/ncp\_en.html

National Contact Points in third countries <a href="http://cordis.europa.eu/fp7/third-countries">http://cordis.europa.eu/fp7/third-countries</a> en.html

**Contact person:** Emma Bagyary (emma.bagyary@ec.europa.eu)

# Specialised and technical assistance:

CORDIS help desk http://cordis.europa.eu/guidance/helpdesk/home\_en.html

EPSS Help desk <u>support@epss-fp7.org</u>

IPR helpdesk <a href="http://www.ipr-helpdesk.org">http://www.ipr-helpdesk.org</a>

Ethics help desk <a href="http://cordis.europa.eu/fp7/get-support">http://cordis.europa.eu/fp7/get-support</a> en.html

You may also wish to consult the following documents that can be found at http://cordis.europa.eu/fp7/find-doc\_en.html

# FP7 Legal basis documents generally applicable

- Decision on the Framework Programme
- Rules for Participation
- Specific Programmes
- Work Programmes

# Legal documents for implementation

- Rules for submission, evaluation, selection, award
- Standard model grant agreement
- Rules on verification of existence, legal status, operational and financial capacity

#### **Guidance documents**

- Guidance Notes on Audit Certification Guide for beneficiaries Guide to Financial Issues
- Guide to IPR
- Checklist for the Consortium Agreement
- Negotiation Guidance Notes and Templates for Description of Work

# Other supporting information

- Brochure "The FP7 in Brief"
- European Charter for researchers and the Code of Conduct for their recruitment

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- International cooperation
- Risk Sharing Financing Facility and the European Investment Bank

# **Ethics Review**

- Ethics check list
- Supporting documents

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# Annex 2 – Evaluation criteria and procedures to be applied for this call

#### 1. General

The evaluation of proposals is carried out on behalf of the Commission by independent experts.

Commission staff ensure that the process is fair, and in line with the principles contained in the *Commission*'s rules<sup>13</sup>.

Experts perform evaluations on a personal basis, not as representatives of their employer, their country or any other entity. They are expected to be independent, impartial and objective, and to behave throughout in a professional manner. They sign an appointment letter, including an agreement of non-disclosure/confidentiality and conflict of interest before beginning their work. These rules must be adhered to at all times, before, during and after the evaluation.

In addition, independent experts will be appointed by the Commission to observe the evaluation process from the point of view of its working and execution. The role of the observer is to give independent advice to the Commission on the conduct and fairness of the evaluation sessions, as well as on possible improvements of the evaluation procedures. The observer will not express views on the proposals under examination or the opinions of the experts on the proposals.

#### 2. Before the evaluation

On receipt by the Commission, proposals are registered and acknowledged, and their contents entered into a database to support the evaluation process. Eligibility criteria for each proposal are also checked before the evaluation begins. Proposals which do not fulfil these criteria will not be included in the evaluation. For this Call, a proposal will only be considered eligible if it meets all of the following conditions:

- It is received by the Commission before the deadline given in the call fiche;
- It involves at least the minimum number of partners given in the call fiche;
- It is complete (i.e. both the requested administrative forms and the proposal description are present); to satisfy this condition, part B of the proposal must be readable, accessible and printable.
- The content of the proposal relates to the topic(s) and funding scheme(s), including any special conditions set out in the relevant parts of the Work Programme<sup>14</sup>.
- The minimum number of participating legal entities required for this call is Consortia composed of at least two independent "research organisations" established in at least two different Member States or Associated countries, and one or more "research organisation(s)" located in either the US or Japan.
- In addition to minimum eligibility criteria (for MS and AC), proposals must contain partners from either the US or Japan. The potential participants in this action are energy research entities from the EU, US and Japan. These will form a partnership that will implement a reciprocal exchange programme, by seconding and/or hosting eligible researchers A partnership agreement in this action shall be established either on the one hand between a consortium of a at least two independent participants established in at least two different EU Member States or Associated

<sup>4</sup> Please consult the 2011 Work Programme at http://cordis.europa.eu/fp7/find-doc en.html .

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 $<sup>^{13}</sup>$  "Rules for submission of proposals, and the related evaluation, selection and award procedures" (available at ftp://ftp.cordis.europa.eu/pub/fp7/docs/fp7-evrules\_en.pdf

Countries, and one or more *partner organisation(s)* located in the US or on the other between a *consortium* of a at least two independent participants established in at least two different EU Member States or Associated Countries, and one or more *partner organisation(s)* located in Japan.

Where a maximum number of pages has been indicated for a section of the proposal, or for the proposal as a whole, the experts will be instructed to disregard any excess pages.

The Commission establishes a list of experts capable of evaluating the proposals that have been received. The list is drawn up to ensure:

- A high level of expertise;
- An appropriate range of competencies;

Provided that the above conditions can be satisfied, other factors are also taken into consideration:

- An appropriate balance between academic and industrial expertise and users;
- A reasonable gender balance;
- A reasonable distribution of geographical origins;
- Regular rotation of experts

In constituting the lists of experts, the Commission also takes into account their abilities to appreciate the industrial and/or societal dimension of the proposed work. Experts must also have the appropriate language skills required for the proposals to be evaluated.

Commission staff allocates proposals to individual experts, taking account of the fields of expertise of the experts, and avoiding conflicts of interest.

#### 3. Evaluation of proposals

At the beginning of the evaluation, experts will be briefed by the Commission staff, covering the evaluation procedure, the experts' responsibilities, the issues involved in the particular area/objective, and other relevant material (including the integration of the international cooperation dimension).

Each proposal will first be assessed independently by at least three experts.

The proposal will be evaluated against predetermined evaluation criteria.

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Evaluation criteria applicable to the International Research  Exchange in the field of energy research						
S/T QUALITY IMPLEMENTATION IMPACT						
1. Scientific and/or technological excellence (relevant to the topics addressed by the call) (award)	2. Quality and efficiency of the implementation and the management (selection)	3. The potential impact through the development, dissemination and use of project results (award)				
Soundness of concept and quality of objectives	Appropriateness of the management structure and procedures  Quality of relevant experience of the individual participants	Contribution, at the European [and/or international] level, to expected impacts listed in the work programme under relevant topic/activity				
Objective and relevance of the joint exchange programme	Quality and mutual benefit of the transfer of knowledge	Relevance of the proposed partnership to the area of collaboration and for the ERA				
Scientific quality of the partners	Adequacy and role of staff exchanged with respect to the transfer of knowledge	Potential to develop lasting collaboration with eligible Third country partners.				
Complementarities/synergies between the partners	Capacities (expertise/human resources/facilities/infrastructur e) to achieve the objectives of the planned cooperation  Appropriateness of the plans					
	for the overall management of the exchange programme					

#### Additional aspects to be considered

- The Exchange programmes should support the activities of the Energy theme of the Cooperation Programme.
- A maximum of two projects can be funded between EU and US entities and a maximum of two projects can be funded between EU and Japanese entities

Evaluation scores will be given for each of the three criteria, and not for the sub-criteria. The sub-criteria are issues that the expert should consider in the assessment of the relevant criterion. They also act as reminders of issues to be raised later during the discussions of the proposal.

The second column corresponds to the selection criteria in the meaning of the financial regulation<sup>15</sup> (article 115) and its implementing rules<sup>16</sup> (article 176 and 177). They will also be the basis for assessing the "operational capacity" of participants. The other two criteria correspond to the award criteria.

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<sup>&</sup>lt;sup>15</sup> OJ L248 16.9.2002, p1.

<sup>&</sup>lt;sup>16</sup> OJ L357 31.12.2002, p1.

The <u>relevance</u> of a proposal will be considered in relation to the topic(s) of the work programme open in a given call, and to the objectives of a call. These aspects will be integrated in the application of the criterion "S/T quality", and the first sub-criterion under "Impact" respectively. When a proposal is <u>partially relevant</u> because it only marginally addresses the topic(s) of the call, or if only part of the proposal addresses the topic(s), this condition will be reflected in the scoring of the first criterion. Proposals that are clearly not relevant to a call ("out of scope") will be rejected on eligibility grounds.

Each criterion will be scored out of 5. Half marks can be given.

The scores indicate the following with respect to the criterion under examination:

- 0 The proposal fails to address the criterion under examination or cannot be judged due to missing or incomplete information
- 1 Poor. The criterion is addressed in an inadequate manner, or there are serious inherent weaknesses.
- 2 Fair. While the proposal broadly addresses the criterion, there are significant weaknesses.
- 3 Good. The proposal addresses the criterion well, although improvements would be necessary.
- 4 Very good. The proposal addresses the criterion very well, although certain improvements are still possible.
- 5 Excellent. The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor.

No weightings will be applied.

The thresholds will be applied to the scores as follows:

Evaluation Criterion	Threshold
S/T quality	4/5
Implementation	3/5
Impact	2/5
Overall threshold required	12/15

Examples of the evaluation forms and reports that will be used by the experts in this call will be made available on CORDIS and on the Participant Portal.

<u>Conflicts of interest</u>: Under the terms of the appointment letter, experts must declare beforehand any known conflicts of interest, and must immediately inform a Commission staff member if one becomes apparent during the course of the evaluation. The Commission will take whatever action is necessary to remove any conflict.

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<u>Confidentiality:</u> The appointment letter also requires experts to maintain strict confidentiality with respect to the whole evaluation process. They must follow any instruction given by the Commission to ensure this. Under no circumstance may an expert attempt to contact an applicant on his own account, either during the evaluation or afterwards.

#### 4. Individual evaluation

This part of the evaluation will be carried out on the premises of the experts concerned ("remotely").

At this first step the experts are acting individually; they do not discuss the proposal with each other, nor with any third party. The experts record their individual opinions in an <u>Individual Evaluation Report (IER)</u>, giving scores and also comments against the evaluation criteria.

When scoring proposals, experts will *only* apply the above evaluation criteria.

Experts will assess and mark the proposal exactly as it is described and presented. They do not make any assumptions or interpretations about the *project* in addition to what is in the proposal.

Concise but explicit justifications will be given for each score. Recommendations for improvements to be discussed as part of a possible negotiation phase will be given, if needed.

The experts will also indicate whether, in their view, the proposal raises research ethics <u>issues</u>.

Signature of the IER also entails a declaration that the expert has no conflict of interest in evaluating the particular proposal.

<u>Scope of the call</u>: It is possible that a proposal is found to be completely out of scope of the call during the course of the individual evaluation, and therefore not relevant. If an expert suspects that this may be the case, a Commission staff member will be informed immediately, and the views of the other experts will be sought.

If the consensus view is that the main part of the proposal is not relevant to the topics of the call, the proposal will be withdrawn from the evaluation, and the proposal will be deemed ineligible.

#### 5. Consensus meeting

Once all the experts to whom a proposal has been assigned have completed their IER, the evaluation progresses to a consensus assessment, representing their common views.

This entails a consensus meeting possibly in the form of an electronic forum to discuss the scores awarded and to prepare comments.

The consensus discussion may be moderated by a representative of the Commission. The role of the moderator is to seek to arrive at a consensus between the individual views of experts without any prejudice for or against particular proposals or the organisations involved, and to ensure a confidential, fair and equitable evaluation of each proposal according to the required evaluation criteria.

The moderator for the group may designate an expert to be responsible for drafting the consensus report ("rapporteur"). The experts attempt to agree on a consensus score for each of the criteria that have been evaluated and suitable comments to justify the scores. Comments should be

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suitable for feedback to the proposal coordinator. Scores and comments are set out in a consensus report. They also come to a common view on the questions of scope.

If during the consensus discussion it is found to be impossible to bring all the experts to a common point of view on any particular aspect of the proposal, the Commission may ask up to three additional experts to examine the proposal.

Ethics issues: If one or more experts have noted that there are ethics issues touched on by the proposal, the relevant box on the consensus report (CR) should be ticked and an Ethics Issues Report (EIR) should be completed stating the nature and type of ethics issues involved. Exceptionally for this issue, no consensus is required.

#### Outcome of consensus

The outcome of the consensus step is the consensus report. This will be signed (either on paper, or electronically) by all experts, or as a minimum, by the Rapporteur and the moderator. The moderator is responsible for ensuring that the consensus report reflects the consensus reached, expressed in scores and comments. In the case that it is impossible to reach a consensus, the report sets out the majority view of the experts but also records any dissenting views.

The Commission will take the necessary steps to assure the quality of the consensus reports, with particular attention given to clarity, consistency, and appropriate level of detail. If important changes are necessary, the reports will be referred back to the experts concerned.

The signing of the consensus report completes the consensus step.

#### 6. Panel review

This is the final step involving the independent experts. It allows them to formulate their recommendations to the Commission having had an overview of the results of the consensus step.

The main task of the panel is to examine and compare the consensus reports in a given area, to check on the consistency of the marks applied during the consensus discussions and, where necessary, propose a new set of scores.

The panel comprises experts involved at the consensus step. One panel will cover the whole call.

The tasks of the panel will also include:

- reviewing cases where a minority view was recorded in the consensus report
- recommending a priority order for proposals with the same consensus score

The panel is chaired by an expert appointed by the Commission. The Commission will ensure fair and equal treatment of the proposals in the panel discussions. A panel Rapporteur will be appointed to draft the panel's advice.

Two ranked list of the proposals will be drawn up: one for proposals with the US partner(s) and another one for the proposals with the Japanese partner(s).

#### Priority order for proposals with the same score

The following approach will be applied successively for every group of ex aequo proposals for prioritisation, starting with the highest scored group, and continuing in descending order:

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Proposals will themselves be prioritised according to the scores they have been awarded for the criterion scientific and/or technological excellence. When these scores are equal, priority will be based on scores for the criterion impact. If necessary, any further prioritisation will be based on other appropriate characteristics, to be decided by the panel, related to the contribution of the proposal to the European Research Area and/or general objectives mentioned in the work programme (e.g. presence of SMEs, international co-operation, public engagement).

The outcome of the panel meeting is a report recording, principally:

- An evaluation summary report (ESR) for each proposal, including, where relevant, a report of any ethics issues raised and any security considerations;
- A list of proposals passing all thresholds, along with a final score for each proposal passing the thresholds and the panel recommendations for priority order.
- A list of evaluated proposals having failed one or more thresholds;
- A list of any proposals having been found ineligible during the evaluation by experts;
- · A summary of any deliberations of the panel;

The panel report is signed by at least three panel experts, including the panel Rapporteur and the chairperson.

Following the final scoring and ranking by experts, the Commission will apply the following rules (which are set out in the work programme for this call):

• a maximum two projects could be funded between EU and US entities and a maximum two projects could be funded between EU and Japanese entities.

#### 7. Ethics Review of project proposals

An ethics review of above-threshold proposals may be organised by the Commission. The Ethics Review is carried out by independent experts with a special expertise on ethics. Reviewing research projects on ethical grounds at the EU level is a legal requirement under FP7. The Review evaluates aspects of the design and methodology of the proposed research such as intervention on humans, use of animals, data protection issues, terms of participation of children and vulnerable populations groups.

The Panel drafts an Ethics Review Report that summarises its opinion on the ethical soundness of the project proposal under consideration. The requirements put forward by the Panel are taken into account in any subsequent negotiations on the grant agreement, and may lead to obligatory provisions in the conduct of the research.

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# Annex 3 – Instructions for completing "part A" of the proposal

Proposals in this call must be submitted electronically, using the Electronic Proposal Submission System. The procedure is given in section 3 of this guide.

In **Part A**<sup>17</sup> applicants will be asked for certain administrative details that will be used in the evaluation and further processing of your proposal. **Part A** forms an integral part of your proposal. Details of the work you intend to carry out will be described in **Part B** (annex 4).

Section A1 gives a snapshot of your proposal, section A2 concerns the research organisations, section, while section A3 deals with financial matters.

#### Please note:

- The coordinator fills in sections A1 and A4.
- The participants already identified at the time of proposal submission (including the coordinator) each fill in their respective section A2.
- Subcontractors shall not fill in section A2 and should not be listed separately in section A4.
- The estimated budget planned for any future participants (not yet identified at the time of the proposal) is not shown separately in form A4 but <u>should be added to the coordinator's budget</u>. Their role, profile and tasks are described in Part B of the proposal.

#### Check that your budget figures are correctly entered in Part A. Make sure that:

- Numbers are always rounded to the nearest whole number
- All costs are given in Euros. Do not express your costs in thousands of Euros ("KEUROS") etc. This can affect decisions on the eligibility of your proposal
- You have inserted zeros ("0") if there are no costs, or if no funding is requested. Do not leave blanks
- Costs do not include value added tax.

When you complete **Part A**, please make sure that:

- The Participant Identification Code (PIC) is entered. Check the following weblink to retrieve your PIC number (<a href="http://cordis.europa.eu/fp7/urf-pic">http://cordis.europa.eu/fp7/urf-pic</a> en.html);
- Emails addresses are correct;
- EC contribution requests are summarized for each partner (2000€ in column B). Partners not eligible for funding must leave 0 as value.

<u>Note</u>: The following notes are for information only. They should assist you in completing the Part A of your proposal. On-line guidance will also be available. The precise questions and options presented on EPSS may differ slightly from these below.

Note: Mac OS 9 and Safari are not supported

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<sup>&</sup>lt;sup>17</sup> In the given templates, participants mean MS/AC and third country partners

	Section A1 – Summary					
Proposal number	Automatically prefilled by EPSS					
Proposal Acronym	Please provide a short title or acronym, which will be used to identify your proposal efficiently in this call. It should be of <u>no more than 20 characters</u> (use standard alphabet and numbers only; no symbols or special characters please). The same acronym should appear on each page of <b>Part B</b> of your proposal.					
Proposal Title	The title should be <u>no longer than 200 characters</u> and should be understandable to the non-specialist in your field.					
Total Duration in months	Insert the estimated duration of the <i>project</i> in full months (from 24 to 48 months).					
Call identifier	[pre-filled] The call identifier is the reference number given in the call or part of the call you are addressing, as indicated in the publication of the call in the Official Journal of the European Union, and on the CORDIS call page. A call identifier looks like this: FP7-ENERGY-2011-EXCHANGE					
Abstract	The abstract should, at a glance, provide the reader with a clear understanding of the objectives of the proposal, how they will be achieved, and their relevance to the Work Programme. This summary will be used as the short description of the proposal in the evaluation process and in communications to the programme management committees and other interested parties. It must therefore be short and precise and should not contain confidential information. Please use plain typed text, avoiding formulae and other special characters. If the proposal is written in a language other than English, please include an English version of the proposal abstract in English. There is a limit of 2000 characters					
Similar proposals	characters.  A 'similar' proposal or contract is one that differs from the current one in minor ways and in which some of the present consortium members are involved.  Please choose YES or NO on the following basis:  In the Part B Proposal Description you are asked to describe any ethical issues that may arise in your proposal and to fill in the table "RESEARCH ETHICAL ISSUES". If your proposal involves any of the sensitive ethical issues detailed in the table, please choose YES in this field. If not, choose 'NO'. This information will be used by the Commission to flag proposals with potential ethical issues that need further follow-up (but not necessarily a formal ethical review).					
Ethical Issues in Part B						
Topic code(s) most	Please refer to the topic codes /objectives listed in the work programme call fiche.					
relevant to your proposal	All activities and topics of FP7 have been assigned unique codes, which are used in the processing of data on proposals and subsequent contracts. The codes are organised hierarchically.					
	The choice of the first topic code will be limited in the drop-down menu to one of the topics open in this call. Select the code corresponding to the topic most relevant to your proposal.					
	The choice for the second code is also limited to topics open in the call in question. Enter a second code if your proposal also addresses another of these. Select 'none' if this is not the case.					
	Select a third code if your proposal is also relevant to another theme. This time, the available codes will simply correspond to broad themes. Select 'none' if this is not the case.					
Free Keywords	Please enter a number of keywords that you consider sufficient to characterise the scope of your proposal.					
	There is a limit of 100 characters.					

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	Section A2 – Information on Organisations				
Partner number	The number allocated to the participants for this proposal. The co-ordinator of a proposal is always number one.				
Participant identity code	The Participant Identification Code (PIC) enables organisations to take advantage of the Unique Registration Facility. Organisations who have received a PIC from the Commission are encouraged to use it when submitting proposals. By entering a PIC, parts of section A2 will be filled in automatically. An online tool to search for existing PICs and the related organisations is available at <a href="http://ec.europa.eu/research/participants/portal">http://ec.europa.eu/research/participants/portal</a> . Organisations not yet having a PIC are strongly encouraged to self-register (a <a href="http://ec.europa.eu/research/participants/portal">http://ec.europa.eu/research/participants/portal</a> ) before submitting the proposal and insert in section A2 the temporary PIC received at the end of the self-registration.				
Legal name	For Public Law Body, it is the name under which your organisation is registered in the Resolution text, Law, Decree/Decision establishing the Public Entity, or in any other document established at the constitution of the Public Law Body;  For Private Law Body, it is the name under which your organisation is registered in the				
Legal name	national Official Journal (or equivalent) or in the national company register.  For a natural person, it is for e.g. Mr Adam JOHNSON, Mrs Anna KUZARA, or Ms Alicia DUPONT				
	Choose an abbreviation of your Organisation Legal Name, only for use in this proposal and				
Organisation Short Name	in all related documents.  This short name should not be more than 20 characters exclusive of special characters (./;), for e.g. CNRS and not C.N.R.S. It should be preferably the one as commonly used, for e.g. IBM and not Int.Bus.Mac.				
Legal address	For Public and Private Law Bodies, it is the address of the entity's Head Office.  For Natural Persons it is the Official Address.  If your address is specified by an indicator of location other than a street name and number please insert this instead under the "street name" field and "N/A" under the "number" field.				
Non-profit organisation	Non-profit organisation is a legal entity qualified as such when it is recognised by national or international law.				
Public body	Public body means any legal entity established as such by national law				
Research organisation	Research organisation means a legal entity established as a non-profit organisation which carries out research or technological development as one of its main objectives.				
Higher or secondary education establishment	A secondary and higher education establishment means organisations only or mainly established for higher education/training (e. g. universities, colleges).				
International organisation	"international organisation" means an intergovernmental organisation, other than the EU, which has legal personality under international public law, as well as any specialised agency set up by such an international organisation;				
International European Interest organisation	"international European interest organisation" means an international organisation, the majority of whose members are Member States or Associated Countries, and whose principal objective is to promote scientific and technological cooperation in Europe;				
Joint Research Centre of the European Commission	The European Commission's Joint Research Centre				
Entity composed of one or more legal	European Economic Interest Groups, Joint Research Units (Unités Mixtes de Recherche), Enterprise Groupings Decision DL/2003/3188 27.11.2003				

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entities	
Commercial Enterprise	Organisations operating on a commercial basis, i.e. companies gaining the majority of their revenue through competitive means with exposure to commercial markets, including incubators, start-ups and spin-offs, venture capital companies, etc.
NACE code	NACE means "Nomenclature des Activités économiques dans la Communauté Européenne".  Please select one activity from the list that best describes your professional and economic ventures. If you are involved in more than one economic activity, please select the one activity that is most relevant in the context of your contribution to the proposed project. For more information on the methodology, structure and full content of NACE (rev. 1.1) classification please consult EUROSTAT at: http://ec.europa.eu/eurostat/ramon/nomenclatures/index.cfm?TargetUrl=LST_CLS_DLD&StrNom=NACE_1_1&StrLanguageCode=EN&StrLayoutCode=HIERARCHIC.
Small and Medium- Sized Enterprises (SMEs)	SMEs are micro, small and medium sized enterprises within the meaning of Recommendation 2003/361/EC in the version of 6 May 2003. The full definition and a guidance booklet can be found at: <a href="http://ec.europa.eu/enterprise/enterprise_policy/sme_definition/index_en.htm">http://ec.europa.eu/enterprise/enterprise_policy/sme_definition/index_en.htm</a> To find out if your organisation corresponds to the definition of an SME you can use the online tool at: <a href="http://ec.europa.eu/research/sme-techweb/index_en.cfm">http://ec.europa.eu/research/sme-techweb/index_en.cfm</a>
Person in charge	It is the person in charge of the proposal for the partner. For partner number 1 (the coordinator), this will be the person the <i>Commission</i> will contact concerning this proposal (e.g. for additional information, invitation to hearings, sending of evaluation results, convocation to negotiations).
Authorised representative to sign the grant agreement or to commit the organisation for this proposal	Please indicate the contact details of the person in the Organisation who would be authorised to sign the <i>grant agreement</i> with the <i>Commission</i> in case the proposal is selected for funding.
Title	Please choose one of the following: Prof., Dr., Mr., Mrs, Ms.
Sex	This information is required for statistical and mailing purposes. Indicate F or M as appropriate.
Phone and fax numbers	Please insert the full numbers including country and city/area code. Example +32-2-2991111.

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Proposal Number

7<sup>th</sup> Framework Programme on Research, Technological Development and Demonstration Support for training and career development of researchers International Researcher Exchange in the field of energy research

Proposal Acronym

**A1** 

•		•		
	GENERAL INFOR	MATION ON THE PROPOSA	1	
Proposal Title	SENERVIE IVI ON	WINTER ON THE FROM CONT	-	
Total duration in months		Call identifier		
Keywords (up to 200 characters)			I	
	Abstract (u	o to 2000 characters)		
Has a similar proposal b	neen suhmitted under thi	is or previous RTD Fra	mework Programmes?	
a siiiiiai proposai b			YES/NO	
If yes:			•	
Programme name(s) and	year Proposa	l number(s)		
Does this proposal inclu	ide any of the sensitive of	ethical issues detailed	in the Research Ethical	

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Issues table of Part B? ......YES/NO



Proposal Nr

conditions given in annex X.

an SME

7<sup>th</sup> Framework Programme on Research, Technological Development and Demonstration

Proposal Acronym

Support for training and career development of researchers International Researcher Exchange in the field of energy research

Participant Nr

**A2** 

	INFORMATION ON ORGANISATIONS						
INFORMATION ON ORGANISATIONS							
If your organisation has alread Code	ady registered for FP7, enter your Participant Identity	[PIC or 'none']					
Organisation legal name							
Organisation short name							
Ü	Administrative data						
Legal address							
Street name		Number					
		Number					
Town							
Postal Code / Cedex							
Country Internet homepage							
Internet homepage (optional)							
(optional)							
	Status of your organisation						
The Commission also colle The guidance notes will be Please 'tick' the relevant categories. Non-profit organisation Public body Research organisation Higher or secondary edu International organisation International organisation Joint Research Centre of the Entities composed of one Research unit (Unité mixte Commercial Enterprise Main area of activity (NA	tions benefit from special conditions under the Fects data for statistical purposes.  Elp you complete this section.  It box(es) if your organisation falls into one or	more of the following	ng				
only by the participants ha	aving chosen NONE of the options in the first sect						
organisation"	and another than 2502 (full time a suit alout)	/n -1					
	, , , , , , , , , , , , , , , , , , , ,	es/no]					
2. Is your annual turnover sn		es/no]					
		es/no]					
4. Are you an autonomous le		es/no]	NO"				
	answer to question 1 is "NO" and/or your answer to bot t conform to the <i>Commission</i> 's definition of an SME. <b>F</b>						

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[yes/no]

Following this check, do you conform to the Commission's definition of



7<sup>th</sup> Framework Programme on Research, Technological Development and Demonstration Support for training and career development of researchers International Researcher Exchange in the field of energy research

**A2** 

# Are there dependencies between your organisation and (an)other participant(s) in this proposal? (Yes or No) If Yes: Participant Number Organisation Short Name Character of dependence Participant Number Organisation Short Name Character of dependence Participant Number Organisation Short Name Character of dependence Participant Number Organisation Short Name Character of dependence

#### **Contact points**

Person in charge (For the co Commission will contact in t			ber 1) this pers	son is the one	e who the	
Family name			First na	ıme(s)		
Title			Sex (Fe	emale – F / Ma	ale – M)	
Position in the organisation						
Department/Faculty/Institute/La	aboratory					
name/						
Is the address different from	ddress?			YES/NO		
Street name					Number	
Town						
Postal Code / Cedex						
Country						
Phone 1			Phone 2			
E-mail			Fax			•

Authorised representative to sign the grant agreement or to commit the organisation for this proposal						
Family name				First name(s)		
Title		Sex (Female – F / Male – M)				
Position in the organisation						
Department/Faculty/Institute/La	aboratory					
name/						
Is the address different from	the legal ac	ddress?			YES/NO	
Street name					Number	
Town						
Postal Code / Cedex						
Country						
Phone 1			Phone	e 2		
E-mail			Fax			•

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**A4** 

Proposal Number	Proposal Acronym	

#### FUNDING REQUEST

			[A]	[B]	[G]
Beneficiary/Participant organisation number	Beneficiary/Participant organisation Short Name	Partner country code	Staff to be exchanged  (Total Number of – researchermonths)	Monthly exchange allowance (2,000€ where applicable)	Requested EC contribution
Partner 1	Beneficiary (coordinator		Integer	Drop-down menu 0 or 2000	= columns [A] <b>x</b> [B]
Partner 2	Beneficiary				
Partner 3	(to be expanded for each beneficiary A2 form filled in)				
Etc. (expanding with each partner filling in an A2 form)	(to be expanded for each partner organisation A2 form filled in)				
	Total		Sum		Sum

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# Annex 4 – Instructions for drafting "Part B" of the proposal

A description of this action is given in section 2 of this Guide for Applicants. Please examine this carefully before preparing your proposal.

This annex provides a template to help you structure your proposal. It will help you present important aspects of your planned work in a way that will enable the experts to make an effective assessment against the evaluation criteria (see annex 2).

IMPORTANT: Page limits: remember to keep to the page limits where these are specified.

The maximum length of Part B is 30 pages (excluding table of contents, the ethical issues section, start and end pages and, where applicable, annexes), with minimum allowed font size of 11 points. The minimum font size allowed is 11 points. The page size is A4, and all margins (top, bottom, left, right) should be at least 15 mm (not including any footers or headers).

Please remember that it is up to you to verify that you conform to page limits. There is no automatic check in the system!

Ensure that the font type chosen leads to clearly readable text (eg. Arial or Times New Roman).

As an indication, such a layout should lead to a maximum of between 5000 and 6000 possible characters per page (including spaces).

The Commission will instruct the experts 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 experts.

#### Please make sure that:

- You use the right template to prepare your proposal;
- You respect the maximum number of pages. Commission Services reserve the right to disregard parts of a proposal that clearly exceed the maximum lengths specified along with any attachments/additional information provided to the proposal;
- **Part B** of your proposal carries the proposal acronym as a header to each page and that all pages are numbered in a single series on the footer of the page to prevent errors during handling. It is recommended that the numbering format "**Part B** Page X of Y" is used:
- Your proposal is complete. Incomplete proposals are not eligible and will not be evaluated.

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#### **STARTPAGE**

#### **COOPERATION**

## International Researcher Exchange in the field of energy research

Call: FP7-ENERGY-2011-EXCHANGE

PART B

"PROPOSAL FULL TITLE"

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#### Part B - Table of Contents

To draft PART B of proposals applicants should take into account the following structure and subheadings.

If required for an adequate description of their *project*, applicants may wish to add further headings.

The maximum length of Part B is 30 pages (excluding table of contents, the ethical issues section, start and end pages and, where applicable, annexes), with minimum allowed font size of 11 points. The minimum font size allowed is 11 points. The page size is A4, and all margins (top, bottom, left, right) should be at least 15 mm (not including any footers or headers).

#### B 1 Scientific and/or technological excellence

- B 1.1 Soundness of concept and quality of objectives
- B 1.2 Objective and relevance of the joint exchange programme
- B 1.3 Scientific quality of the partners
- B 1.4 Complementarities/synergies between the partners

#### B 2 Quality and efficiency of the implementation and the management

- B 2.1 Appropriateness of the management structure and procedures; Quality of relevant experience of the individual participants
- B 2.2 Quality and mutual benefit of the transfer of knowledge
- B 2.3 Adequacy and role of staff exchanged with respect to the transfer of knowledge
- B 2.4 Capacities (expertise/human resources/facilities/infrastructure) to achieve the objectives of the planned cooperation
- B 2.5 Appropriateness of the plans for the overall management of the exchange programme

#### B 3 The potential impact through the development, dissemination and use of project results

- B 3.1 Contribution, at the European [and/or international] level, to expected impacts listed in the work programme under relevant topic/activity
- B 3.2 Relevance of the proposed partnership to the area of collaboration and for the ERA
- B 3.3 Potential to develop lasting collaboration with eligible Third country partners.

#### **B 4 Ethical Issues**

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#### B 1 Scientific and/or technological excellence

#### B 1.1 Soundness of concept and quality of objectives

- Explain the concept of your project. What are the main ideas that lead you to propose this work?

#### B 1.2 Objective and relevance of the joint exchange programme

- Describe in detail the S&T objectives of the joint exchange programme
- Give an overall description of the exchange scheme and the planned scientific areas and activities

Please provide in this section:

- the description of the Work Packages divided by specific tasks
- the list of milestones, where appropriate
- a suggested format of a Gantt Chart of secondments

The tables which are proposed below can be taken as example:

Table 1: List of Work Packages

Work package n°	Work package title	Beneficiary/Partner organisation short name	Start month	End month
1				
2				
			-	

#### Table 2: Work Packages<sup>18</sup>

The work packages should be described one by one.

Work package number	1	Start date or starting event:	Month
Work package title			
Beneficiary/Partner Organisation short names			

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<sup>&</sup>lt;sup>18</sup> The planning of a work package should be sufficiently detailed to justify the proposed effort and to allow progress monitoring by the Commission. A work package of an International Researcher Staff Exchange in the field of energy proposal may concern the exchange of researchers, the joint research and training activities or joint workshops and seminars, as well as other networking activities.

Objectives	
Description of work	
<u>Task 1.1:</u>	
<u>Task 1.2:</u>	
<u>Task 1.3:</u>	
Deliverables	
<u>D1.1:</u>	
<u>D1.2:</u>	
Researchers involved	

#### Table 3: List of Milestones

Milestones are control points where decisions are needed with regard to the next stage of the project. For example, a milestone may occur when a major result has been achieved, if its successful attainment is required for the next phase of work. Another example would be a point when the consortium must decide which of several technologies to adopt for further development.

	List and schedule of milestones						
Milestone n°.	Milestone name	WPs n°	Lead Beneficiaryl Partner organisation short name	Delivery date	Comments		
1							
2							
3							

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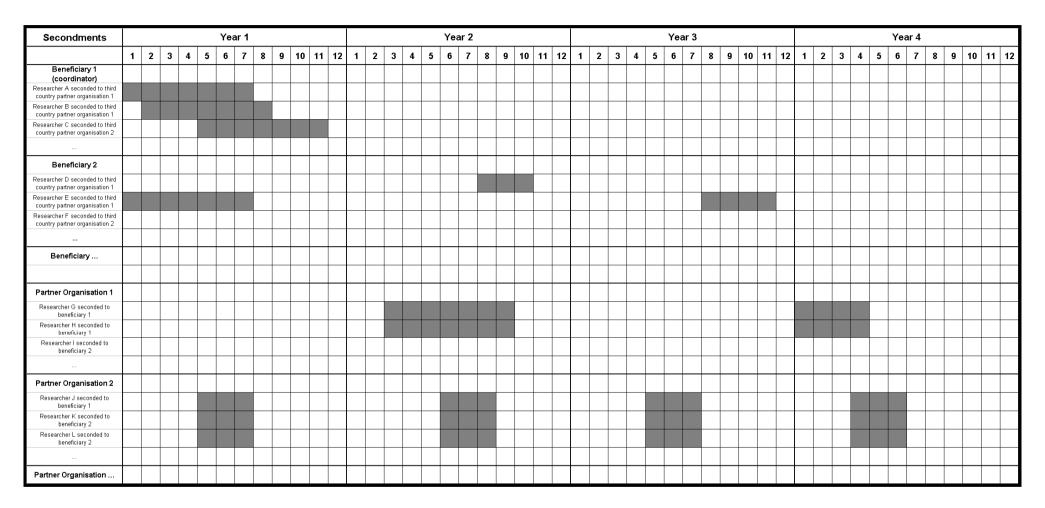


Table 4: Gantt chart of secondments

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The Gantt chart should illustrate the secondments of exchanged staff towards all the partner organisations for the whole duration of the *project*.

- Demonstrate that the numbers of exchanged staff and the duration of their exchange are adequate to achieve the objectives of the programme.

#### B 1.3 Scientific quality of the partners

- Describe the expertise of the partners in the scientific fields of the cooperation and list their experience in international cooperation

#### B 1.4 Complementarities/synergies between the partners

 Describe the complementarities and synergies between the partners. Illustrate how these complementarities and synergies will contribute to achieving the objectives of the programme

#### B 2 Quality and efficiency of the implementation and the management

- B 2.1 Appropriateness of the management structure and procedures; Quality of relevant experience of the individual participants
  - Describe the organisational structure and decision-making mechanisms of the project. Show how they are matched to the complexity and scale of the project;
  - For each participant in the proposed project, provide a brief description of the legal entity, the main tasks they have been attributed, and the previous experience relevant to those tasks. Provide also a short profile of the staff members who will be undertaking the work.

#### B 2.2 Quality and mutual benefit of the transfer of knowledge

- Describe the programme for the transfer of knowledge between the partners. Please give detailed information about, for example, the number of workshops/conferences/training, the target audience, sustainability of the knowledge transfer, etc.
- Describe the added value (in terms of gained knowledge) for the partners involved

#### B 2.3 Adequacy and role of staff exchanged with respect to the transfer of knowledge

- Describe the role of the exchanged *researchers* and their specific expertise. Define the goals to be achieved through their exchange
- If applicable: describe the reasons for exchanging managerial/technical staff and explain their specific role and the goals to be achieved through their exchange

## B 2.4 Capacities (expertise/human resources/facilities/infrastructure) to achieve the objectives of the planned cooperation

- Give a detailed description of the expertise and the human resources/facilities/infrastructure at the partner institutions

#### B 2.5 Appropriateness of the plans for the overall management of the exchange programme

- Describe the management plan of the exchange scheme (e.g. support for detached and incoming personnel
- Demonstrate that the complementarities and synergies between the partners are well exploited

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Give details of the available matching funds

#### B 3 The potential impact through the development, dissemination and use of project results

- B 3.1 Contribution, at the European [and/or international] level, to expected impacts listed in the work programme under relevant topic/activity
  - Describe how your project will contribute towards the expected impacts listed in the work programme in relation to the topic or topics in question. Mention the steps that will be needed to bring about these impacts. Explain why this contribution requires a European (rather than a national or local) approach. Indicate how account is taken of other national or international research activities. Mention any assumptions and external factors that may determine whether the impacts will be achieved
- B 3.2 Relevance of the proposed partnership to the area of collaboration and for the European Research Area<sup>19</sup>
  - Describe the partnership's contribution to the area of collaboration
  - Describe the relevance of the exchange between the partner countries for ERA
- B 3.3 Potential to develop lasting collaboration with the eligible *Third country* partners
  - Give a detailed overview over the measures taken to create or reinforce a lasting cooperation between the partners

#### **B 4 Ethics Issues**

Describe any ethics issues that may arise in the project.. In particular, you should explain the benefit and burden of their experiments and the effects it may have on the research subject. All countries where research will be undertaken should be identified. You should be aware of the legal framework that is applicable and the possible specific conditions that are relevant in each country (EU and non-EU countries alike).

The following special issues should be taken into account:

**Informed consent**: When describing issues relating to informed consent, it will be necessary to illustrate an appropriate level of ethical sensitivity, and consider issues of insurance, incidental findings and the consequences of leaving the study.

Clinical Trials: Approvals from national competent authorities are required

**Data protection issues**: Avoid the unnecessary collection and use of personal data. Identify the source of the data, describing whether it is collected as part of the research or is previously collected data being used. Consider issues of informed consent for any data being used. Describe how personal identify of the data is protected. Data protection issues require authorization from the national data protection authorities.

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<sup>&</sup>lt;sup>19</sup> Towards a European Research Area, version Brussels, 18 January 2000. COM (2000)6

**Use of animals:** Where animals are used in research the application of the 3Rs (Replace, Reduce, Refine) must be convincingly addressed. Numbers of animals should be specified. Describe what happens to the animals after the research experiments. The use of animals requires permits and/or authorizations from the national competent authorities.

**Human embryonic stem cells**: Research proposals that will involve human embryonic stem cells (hESC) will have to address all the following specific points:

- the applicants should demonstrate that the project serves important research aims to advance scientific knowledge in basic research or to increase medical knowledge for the development of diagnostic, preventive or therapeutic methods to be applied to humans:
- the necessity to use hESC in order to achieve the scientific objectives set forth in the
  proposal. In particular, applicants must document that appropriate validated alternatives
  (in particular, stem cells from other sources or origins) are not suitable and/or available
  to achieve the expected goals of the proposal. This latter provision does not apply to
  research comparing hESC with other human stem cells;
- the applicants should take into account the legislation, regulations, ethics rules and/or codes of conduct in place in the country(ies) where the research using hESC is to take place, including the procedures for obtaining informed consent;
- the applicants should ensure that for all hESC lines to be used in the project were derived from embryo's
  - of which the donor(s)' express, written and informed consent was provided freely, in accordance with national legislation prior to the procurement of the cells:
  - o that result from medically-assisted *in vitro* fertilisation designed to induce pregnancy, and were no longer to be used for that purpose;
  - of which the measures to protect personal data and privacy of donor(s), including genetic data, are in place during the procurement and for any use thereafter. Researchers must accordingly present all data in such a way as to ensure donor anonymity;
  - of which the conditions of donation are adequate, and namely that no pressure was put on the donor(s) at any stage, that no financial inducement was offered to donation for research at any stage and that the infertility treatment and research activities were kept appropriately separate

Include the Ethics issues table below. If you indicate YES to any issue, please identify the pages in the proposal where this ethics issue is described. Answering 'YES' to some of these boxes does not automatically lead to an ethics review. It basically enables the independent experts to decide if an ethics review is required. If you are sure that none of the issues apply to your proposal, simply tick the YES box in the last row.

(No maximum length for Section 4: Depends on the number of such issues involved)

Notes:

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Only in exceptional cases will additional information be sought for clarification, which means that any ethics review will be performed solely on the basis of the information available in the proposal.

Projects raising specific ethics issues such as research intervention on human beings<sup>20</sup>; research on human embryos and human embryonic stem cells and non-human primates are automatically submitted for ethics review.

To ensure compliance with ethical principles, the Commission Services will undertake ethics audit(s) of selected projects at its discretion.

A dedicated website that aims to provide clear, helpful information on ethics issues is now available at: <a href="http://cordis.europa.eu/fp7/ethics">http://cordis.europa.eu/fp7/ethics</a> en.html

The site includes guidance documents on privacy and data protection, developing countries, informed consent procedures etc.

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<sup>&</sup>lt;sup>20</sup> Such as research and clinical trials involving invasive techniques on persons (e.g. taking of tissue samples, examinations of the brain).

#### **ETHICS ISSUES TABLE**

(Note: Research involving activities marked with an asterisk \* in the left column in the table below will be referred automatically to Ethics Review)

	Research on Human Embryo/ Foetus	YES	Page
*	Does the proposed research involve human Embryos?		
*	Does the proposed research involve human Foetal Tissues/ Cells?		
*	Does the proposed research involve human Embryonic Stem Cells (hESCs)?		
*	Does the proposed research on human Embryonic Stem Cells involve cells in culture?		
*	Does the proposed research on Human Embryonic Stem Cells involve the derivation of cells from Embryos?		
	I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL		

	Research on Humans	YES	Page
*	Does the proposed research involve children?		
*	Does the proposed research involve patients?		
*	Does the proposed research involve persons not able to give consent?		
*	Does the proposed research involve adult healthy volunteers?		
	Does the proposed research involve Human genetic material?		
	Does the proposed research involve Human biological samples?		
	Does the proposed research involve Human data collection?		
	I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL		

Privacy	YES	Page
Does the proposed research involve processing of genetic information or personal data (e.g. health, sexual lifestyle, ethnicity, political opinion, religious or philosophical conviction)?		
Does the proposed research involve tracking the location or observation of people?		
I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL		

	Research on Animals <sup>21</sup>	YES	Page
	Does the proposed research involve research on animals?		
	Are those animals transgenic small laboratory animals?		
	Are those animals transgenic farm animals?		
*	Are those animals non-human primates?		
	Are those animals cloned farm animals?		
	I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL		

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<sup>&</sup>lt;sup>21</sup> The type of animals involved in the research that fall under the scope of the Commission's Ethical Scrutiny procedures are defined in the <u>Council Directive 86/609/EEC</u> of 24 November 1986 on the approximation of laws, regulations and administrative provisions of the Member States regarding the protection of animals used for experimental and other scientific purposes Official Journal L 358, 18/12/1986 p. 0001 - 0028

Research Involving ICP Countries <sup>22</sup>	YES	Page
Is the proposed research (or parts of it) going to take place in one or more of the ICP Countries?		
Is any material used in the research (e.g. personal data, animal and/or human tissue samples, genetic material, live animals, etc):		
a) Collected in any of the ICP countries?		
b) Exported to any other country (including ICPC and EU Member States)?		
I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL		

Dual Use	YES	Page
Research having direct military use		
Research having the potential for terrorist abuse		
I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL		

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<sup>&</sup>lt;sup>22</sup> In accordance with Article 12(1) of the Rules for Participation in FP7, 'International Cooperation Partner Country (ICPC) means a third country which the Commission classifies as a low-income (L), lower-middle-income (LM) or upper-middle-income (UM) country. The list of countries is given in annex 1 of the work programme. Countries associated to the Seventh EC Framework Programme do not qualify as ICP Countries and therefore do not appear in this list.

#### **ENDPAGE**

#### **COOPERATION**

# International Researcher Exchange in the field of energy research

Call: FP7-ENERGY-2011-EXCHANGE

PART B

"PROPOSAL ACRONYM"

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