GUIDE FOR APPLICANTS

Funding scheme:

Combination of COLLABORATIVE PROJECTS and COORDINATION and SUPPORT ACTIONS for

INTEGRATING ACTIVITIES

(CP-CSA-INFRA)

FP7-INFRASTRUCTURES-2013-1

Further copies of this Guide, together with all information related to this Call for Proposals, can be downloaded via http://ec.europa.eu/research/participants/portal/page/home

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About this Guide

This is version number 7 of the FP7 Guide for Applicants for calls using single-stage submission procedures.

The main part of this Guide (sections 1 to 5) is common to all such calls. Information specific to this call is found in the annexes.

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 Participant Portal web-site. The Guide does not in itself have legal value, and thus does not supersede those documents.

Contents

1. Getting started

Funding decisions in the Seventh Framework Programme (FP7) are made on the basis of **proposals** submitted following **calls** published by the Commission or one of its agencies. Proposals describe planned research activities, information on who will carry them out, and how much they will cost. 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 participants.

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

You must also refer to the **work programme** covering the theme[1] of FP7 related to this call. This provides a detailed description of the objectives and topics which are open for proposals, and will describe the wider context of research activities in this area. Work programmes are revised each year, so make sure you refer to the latest version before preparing your proposal.

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

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

All research activities supported by the Seventh Framework Programme should respect fundamental ethical principles.

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

2. About the funding scheme: Combination of collaborative projects and coordination and support actions for Integrating Activities (CP-CSA-INFRA)

2.1 General

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

This Guide covers the **CP-CSA-INFRA** funding scheme, and a description is given in this section.

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

Note: Your proposal will be evaluated according to the funding scheme which you select. The Commission services will not re-examine or re-assign it on your behalf.

2.2 Combination of collaborative projects and coordination and support actions for Integrating Activities

<u>Purpose</u>

A combination of collaborative projects and coordination and support actions (CP-CSA) allows to support under the same grant agreement research, coordination and support activities.

The overall objective of Integrating Activities is to optimise the use and development of existing research infrastructures, in all fields of science and technology and to facilitate the access of research teams from all over the EU to these infrastructures.

Integrating Activities bring together and integrate, on a European scale, key research infrastructures in a given class, in order to promote their coordinated use and development. This will ensure that European researchers may have a wider and more efficient access to the high performing research infrastructures they require to conduct their research, irrespective of the infrastructure location. The main characteristic of an Integrating Activity will be its capacity to mobilise a comprehensive consortium of several research infrastructures in a given class and other stakeholders (e.g. public authorities, technological partners, research institutions), from different Member States, associated countries and other third countries when appropriate. Exceptionally, the consortium may include only one research infrastructure providing access, if this facility is of a truly unique nature.

Integrating Activities are expected to have a structuring impact on the European Research Area and on the way research infrastructures operate, evolve and interact with similar infrastructures and with their users. Operators of similar infrastructures will develop synergies and complementary capabilities in such a way as to offer an improved access to researchers. Likewise, a more co-ordinated approach between infrastructure operators, users and public authorities will enable to optimise the development and sustainable operation of the research infrastructures. In addition, a closer interaction between a large number of scientists active in and around a number of infrastructures will facilitate cross-disciplinary fertilisations and a wider sharing of knowledge and technologies across fields and between academia and industry.

Specific Programmes concerned

This Funding Scheme is to be used for the implementation of the Integrating Activities under the Specific Programmes "Capacities". Part 1 Research infrastructures

Participation

There must be at least three "legal entities" established in different EU Member States or Associated countries (the countries concerned are listed in section 3). The entities must be independent of each other.

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

"Target audience": Research infrastructures and their stakeholders, public authorities, technological partners, Research institutes, Universities, Industry, including SMEs, Potential end-users.

In general, each topic corresponds to a given class of research infrastructures and consortia are encouraged to be as comprehensive as possible on a European scale to avoid competing proposals under a same topic.

Size and resources

The size, scope and internal organisation of Integrating Activities should be compatible with overall objective and manageability of the whole endeavour and can vary from research theme to research theme and from topic to topic.

Limits on the EU financial contribution apply. These are implemented strictly as formal eligibility criteria. **You must refer to the call fiche for details of these limits.**

Indicative average duration

For Integrating Activities, the recommended duration of a project is 4 years.

Activities

An Integrating Activity shall combine, in a closely coordinated manner: (i) Networking activities, (ii) Transnational access and/or service activities and (iii) Joint research activities. **All three categories of activities are mandatory** as synergistic effects are expected from these different components. It is recommended that at least one third of the EU contribution is allocated to the transnational access/service activities.

Consortia are encouraged, whenever appropriate, to give due attention to international related initiatives, foster the use and deployment of standards, carry out research on impacts of the involved research infrastructures (direct and indirect, on social, environmental and economic levels) as well as of the project itself and build on e-Infrastructure standards and services, when available. Consortia are also encouraged to organise, whenever appropriate, the efficient curation, preservation and provision of access to the data collected or produced under the project.

(i) Networking activities (implemented as Coordination activities).

To foster a culture of co-operation between research infrastructures and scientific communities and help developing a more efficient and attractive European Research Area.

Networking activities could include (non exhaustive list):

- joint management of access provision and pooling of distributed resources;
- dissemination and /or exploitation of project results and knowledge, outreach toward industry, contribution to socio-economic impacts, promotion of innovation;
- strengthening of virtual research communities;
- definition of common standards, protocols and interoperability; benchmarking;
- development and maintenance of common databases for the purpose of networking and management of the users and infrastructures;
- spreading of good practices, consultancy and training courses to new users;
- foresight studies for new instrumentation, methods, concepts and/or technologies;
- promotion of clustering and coordinated actions amongst related projects;
- coordination with national or international related initiatives and support to the deployment of global and sustainable approaches in the field;
- promotion of long term sustainability, including the involvement of funders and the preparation of a business plan beyond the end of the project.

In line with the political context set out by *Innovation Union* a specific work package on innovation is requested in all *Integrating Activities* projects to increase the potential for innovation, including social innovation, of the related infrastructures. This work package would cover activities to reinforce the partnership with industry, e.g. transfer of knowledge and other dissemination activities, activities to foster the use of research infrastructures by industrial researchers, involvement of industrial associations in consortia or in advisory bodies. The activities for innovation will be evaluated under the evaluation criterion "Impact".

(ii) Transnational access and/or service activities (implemented as Support activities).

To support scientific communities in their access to the research infrastructures in the consortium

Transnational access activities.

> To provide trans-national access to researchers or research teams to one or more infrastructures among those operated by participants. These access activities should be implemented in a coordinated way such as to improve the overall services available to the research community. Access may be made available to external users, either in person ('hands-on') or through the provision of remote scientific services, such as the provision of

reference materials or samples or the performance of sample analysis. EU financial support should never exceed 20% of the annual operating costs of the infrastructure to prevent it from becoming dependent on the EU contribution and should not include capital investments. This financial support will serve to provide access 'free of charge' to external users, including all the infrastructural, logistical, technological and scientific support (including training courses, travel and subsistence for users). Access costs will be defined on the basis of 'user fees' related to the operating costs of the infrastructure.

The research infrastructures must publicise widely the access offered under the grant agreement to ensure that researchers who might wish to have access to the infrastructure are made aware of the possibilities open to them. They must maintain appropriate documentation to support and justify the amount of access reported. This documentation shall include records of the names, nationalities, and home institutions of the users within the research teams, as well as the nature and quantity of access provided to them.

The selection of researchers or research teams shall be carried out through an independent peer-review evaluation of their research projects. The research team, or its majority, must come from countries other than where the operator of the infrastructure is established (when the infrastructure is composed of several research facilities, operated by different legal entities, this condition shall apply to each facility) except in the case of a distributed set of resources or facilities offering remote access to the same services. Only research teams, including industrial users, that are entitled to disseminate the knowledge they have generated under the project are eligible to benefit from research services to the infrastructure under the grant agreement. The duration of stay at a research infrastructure shall normally be limited to three months.

Service activities

To provide access to scientific services freely available through communication networks (e.g. databases available via Internet). Only services widely used by the community of European researchers will be supported. In such case, projects of potential users would not normally be subject to peer review. However, in such cases, the services offered to the scientific community will be periodically assessed by an external board.

(iii) Joint Research activities (implemented as RTD activities).

To improve, in quality and/or quantity, the services provided by the infrastructures.

These activities should be innovative and explore new fundamental technologies or techniques underpinning the efficient and joint use of the participating research infrastructures. These joint research activities could address (non exhaustive list):

- higher performance methodologies and protocols, higher performance instrumentation, including the testing of components, subsystems, materials, techniques and dedicated software;
- integration of installations and infrastructures into virtual facilities;
- innovative solutions for data collection, management, curation and annotation;
- novel grid architecture frameworks and policies, innovative grid technologies, or new middleware solutions driving the emergence of high level interoperable services;
- advanced Service Level Agreements and innovative licensing schemes, fostering the adoption of e-Infrastructures and the use of other types of Research Infrastructures by industry;
- innovative software solutions for making new user communities benefit from computing services;
- impacts (direct and indirect, on social, environmental and economic levels) of the research infrastructures participating in the IA as well as of the IA itself.

An Integrating Activity will also include management activities, over and above the technical management of individual work packages, linking together all the project components and maintaining communications with all relevant stakeholders.

Form of Reimbursement

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

The work programmes shall specify if other forms of reimbursement are to be used in the actions concerned. International Cooperation Partner Countries (see annex 1 to the work programme) may opt for a lump sum.
Specific provisions for the reimbursement of transnational access costs and service activities costs are given respectively in Annex III to the Grant Agreement for Infrastructures and in Special clause 17, both to be found on on the participant Portal
(http://ec.europa.eu/research/participants/portal/page/home).

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

Specific Characteristics

- The description of work (annex 1 to the grant agreement) is normally fixed. If needed a yearly update will be provided for in the grant agreement.

- Enlargement of partnership within the initial budget is possible.

3. How to apply

3.1 Turning your idea into an effective proposal

The coordinator

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

Focusing your planned work

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

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

Refer to annex 2 to this Guide, and the work programme, to check all the **eligibility criteria** and any other additional conditions that apply. Refer also to the **evaluation criteria** against which your proposal will be assessed. These are given in annex 2. Keep these in mind as you develop your proposal.

Who can participate?

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

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

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

> *The EU Member States are:*
>
> *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, United Kingdom.*
>
> *The Associated Countries are:*
>
> *Albania, Bosnia and Herzegovina, Croatia, Faroe Islands, FYR Macedonia, Iceland, Israel, Liechtenstein, Moldova, Montenegro, Norway, Serbia, Switzerland and Turkey.*
>
> *Other countries may become asociated during the course of FP7. The latest news will be posted on CORDIS and on the Participant Portal web sites.*

The following may receive EU funding in an FP7 project:

- Any legal entity established in a Member State or an Associated country (including the European Commission's Joint Research Centre), or created under EU law (e.g. a European Economic Interest Grouping),

- Any International European Interest Organisation (see Glossary).

- Any legal entity established in an FP7 International Cooperation Partner Country (ICPC). The list of ICPC can be found on the CORDIS web site, and is given in Annex 1 to the related work programme.

- Any other legal entity, under the conditions indicated below:

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

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

(b) It is essential for carrying out the indirect action,

(c) Such funding is provided for in a bilateral scientific and technological agreement or any other arrangement between the EU and the country in which the legal entity is established.

> *Before the signature of a grant agreement, the Commission 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 a* ***Unique Registration Facility (URF)****. These organisations are allocated a unique code, the so-called* ***Participant Identification Code (PIC)****. In any further participation in other proposals, the organisations already validated use the PIC for their identification with the Commission.*
>
> *For the confirmation and maintenance of the data stored in the URF, 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 Unique Registration Facility.*

<u>Cooperation with other countries</u>

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

- Topics of mutual interest defined in the work programmes where international cooperation is particularly encouraged.

- Specific international cooperation actions (SICA), also on topics of mutual interest. Here special minimum conditions apply.

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

More detailed practical advice on cooperation with "Third Country Participants" in FP7 can be found on the Participant Portal (http://ec.europa.eu/research/participants/portal/)

National Contact Points

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

Please note that the Commission will give the NCPs statistics and information on the outcome of the call (in particular, details of participants, but not proposal abstracts or funding details) and the outcome of the evaluation for each proposal. This information is supplied to support the NCPs in their service role, and is given under strict conditions of confidentiality.

Other sources of help

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

- The Commission's general enquiry service on any aspect of FP7. Questions can be sent to a single e-mail address and will be directed to the most appropriate department for reply.
- The ICT Information Desk
- A dedicated help desk has been set up to deal with questions related to research ethics issues
- A dedicated help desk has been set up to deal with technical questions related to the Participant Portal Submission Service.
- A further help desk providing assistance on intellectual property matters.
- Other services, including partner search facilities

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 must be included in Part B of the proposal.

Presenting your proposal

A proposal has two parts:

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

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

Part B is a "template", or list of headings, rather than an administrative form (see annex 4 to this Guide). You should follow this structure when presenting the scientific and technical content of your proposal. The template is designed to highlight those aspects that will be assessed against the **evaluation criteria**. It covers, among other things, the nature of the proposed work, the participants and their roles in the proposed project, and the impacts that might be expected to arise from the proposed work. Only black and white copies are used for evaluation and you are strongly recommended, therefore, not to use colour in your document.

Part B of the proposal is uploaded by the applicant into the **Participant Portal Submission Service**

> *A maximum length may be specified for the different sections of Part B, or for Part B as a whole (see annex 4 to this Guide). You must keep your proposal within these limits. Experts will be instructed to disregard any excess pages.*
>
> *Even where no page limits are given, or where limits are only recommended, it is in your interest to keep your text concise since over-long proposals are rarely viewed in a positive light by the evaluating experts.*

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[2];
- 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 Community 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 Community funding of subsequent steps involving human embryonic stem cells.

[2] Research relating to cancer treatment of the gonads can be financed.

European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers

The Charter, established by Commission Recommendation of 11 March 2005[3], covers a set of general principles and requirements specifying the roles, responsibilities and entitlements of researchers, employers and/or funders of researchers. According to Article II.3 (m) of the Model Grant Agreement, beneficiaries of a grant agreement will be requested to take into consideration these general principles in particular those concerning the working conditions, the transparency of recruitment processes, and the career development of the researchers recruited for the project, while recognising the voluntary nature of that Recommendation.

3.2 Proposal submission

About the Participant Portal Submission Service

Proposals must be submitted electronically, using the Commission's **Participant Portal Submission Service**. Proposals arriving at the Commission by any other means are regarded as 'not submitted', and will not be evaluated[4]. All the data that you upload is securely stored on a server to which only you and the other participants in the proposal have access until the deadline. This data is encrypted until the close of the call.

The proposal coordinator can access the Participant Portal Submission Service from the call page on the Participant Portal. Other participants must be invited by the coordinator in order to access the service.

As this is a web application, an Internet connection is required. An Internet browser and version 9 (or above) of the Adobe reader are needed. To check the requirements, click on https://ec.europa.eu/research/participants/submission/manage/diagnostics.

Full instructions are found in the "10 Minutes guide to the Electronic Submission", available from the submission service website (click on "Starter Manual" to download the user guide).

Proposal coordinator actions:

First step: getting a user ID with the Commission
Getting a personal user ID with the **European Commission Authentication Service** (**ECAS**) is mandatory in order to complete the information requested from partners or in order for the proposal coordinator to submit the proposal. The system will request it for every partner and the steps to get one are easy. The same user id will be used for all later interactions with the European Commission in the field of Research.

[3] http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2005:075:0067:0077:EN:PDF.

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

Second step: choosing a funding scheme

For each call, a list of available funding schemes will be presented by the Participant Portal Submission Service. The proposal coordinator must choose the appropriate one for the proposal. Refer to the call fiche and work programme for the various conditions applicable to each funding scheme.

Prior to step 3: obtaining a mandatory Participant Identification Code or PIC:

The Participant Identification Code is a unique 9 digit number that helps the European Commission identify a participant organisation. It is used in all grant-related interactions between the organisation and the Commission. **Each participant in your proposal must be identified with a Participant Identification Code, failure to do so will block the submission of your proposal!**

If your organisation has already participated in a 7th Framework Programme proposal, it is likely that you already have a PIC number. You can check this on the Participant Portal: http://ec.europa.eu/research/participants/portal/page/myorganisations

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

If a PIC is not yet available for an organisation, it can be obtained by registering the organisation in the Unique Registration Facility. A PIC will then be given, which can then be used in the Participant Portal Submission Service. The use of PICs will lead to more efficient processing of your proposal. Registration in the Unique Registration Facility for receiving a PIC is quick and simple:
http://ec.europa.eu/research/participants/portal/page/myorganisations

All participants already possessing a PIC should use it to identify themselves in the proposal submission system. After entering the PIC, sections of their A forms are filled in automatically.

If, after entering your PIC, the data which appears for your organisation is incorrect, you should contact the LEAR of your organisation to correct it through the Unique Registration Facility (URF). It is possible for you yourself to change the data prefilled from the PIC in your forms, but these changes would remain local in the Participant Portal Submission Service for this proposal only. The original incorrect data would always re-appear the next time the PIC was used, until corrected by the LEAR of your organisation in the URF.

Third step: creating a draft proposal

Once the prime organisation (proposal coordinator) is known and identified, the service will request the essential details of the proposal. These details will be used by the Commission services in order to plan the evaluation. In general, the following details are requested:

- *The proposal acronym*. This is the name of the proposal and it will be used throughout the lifetime of the project, if funded. No more than 20 characters are allowed (standard alphabet and numbers only; no symbols or special characters, except underscore, space, hyphen or dot).
- *The proposal short summary*, which describes briefly the purpose of the proposal with a maximum of 2,000 characters. Entering at least keywords will help the services in preparing the evaluations (e.g. choosing the experts for the evaluations). Coordinators may choose to enter 'xxx' at this stage should they prefer not disclosing any data.
- *Activity code* (i.e. the identification of the objective addressed by the proposal).

Fourth step: adding other participants to the proposal

At this step the proposal coordinator sets up the consortium. The proposal coordinator can:

- *Add other participants to the proposal*. A search function is offered, in order to insert the participant code in the administrative forms and copy the most up to date information for you. This information will be completed with contact details – multiple contacts can be added. Other participants will be invited to access to the proposal (the contact person will receive an email with a link to access the system and update the participating organisation information).
- *Delete a participant*.
- *Reorder the participants*. The order of the participants in the administrative forms will be adjusted.

The proposal coordinator however cannot be deleted, and is always the first participant.

Fifth step: forms, files and submission

This step is the core of the process, as, from this step, the proposal coordinator can:

- Fill the administrative forms, part A of the proposal (see Annex 3 of this Guide)
- Forms are completed using a PDF reader (e.g. Adobe Reader, see above "What is needed" for minimum requirements). The proposal coordinator can complete all the forms, including the budget table and its own administrative details. Proposal partners can only complete their own administrative details (form A2).
- Download the template of the part B of the proposal and other information files (see Annex 4 of this Guide)
- Upload the file that will be the part B of the proposal.
- Submit the proposal package.

> *Only the coordinator can upload the part B of the proposal and submit the proposal. Therefore, only the coordinator should be logged into the Participant Portal Submission Service when the submission attempt is made.*

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 10 Mbytes to the size of proposal file Part B. It is advised to limit the size of the proposal to 2 Mbytes.

There are also restrictions to the name given to the Part B file: use alphanumeric characters; special characters and spaces must be avoided.

> *You are advised to clean your document before converting it to PDF (e.g. accept all tracked changes, delete notes).*
>
> *Check that your conversion software has successfully converted <u>all</u> the pages of your original document (e.g. there is no problem with page limits).*
>
> *Check that your conversion software has not cut down landscape pages to fit them into portrait format. Check that captions and labels have not been lost from your diagrams*
>
> *Please note that the Commission prints out proposals in black and white on plain A4 paper. The printable zone on the print engine is bounded by 1.5 cm right, left, top bottom. No scaling is applied to make the page "fit" the window. Printing is done at 300 dots per inch.*

Completing the Part A forms in the Participant Portal Submission Service and uploading a Part B does not yet mean that the proposal is submitted. Once there is a consolidated version of the proposal, the "SUBMIT" button must be pressed.

At this point the service performs a limited automatic validation of the proposal. A list of discovered problems, such as missing data, is given on the last page of the proposal submission forms. In some cases users are allowed to submit incomplete administrative information **but for significant omissions proposal submission will be blocked until the problems are corrected**. Therefore you are strongly advised, when preparing your proposal, to regularly click on 'validate' at the bottom of any page of the Part A to obtain updated validation messages and to review them on the last page of the proposal submission forms**.**

When errors or omissions are corrected, the coordinator must then repeat the above step to finally achieve the proposal submission.

If the submission sequence described above is not followed, the Commission considers that no proposal has been submitted.

When the proposal is successfully submitted, the service will proceed to Step 6 where the coordinator sees a message that indicates that the proposal has been received.
(This automatic message is not the official acknowledgement of receipt - see Section 5).

<u>Sixth step: proposal status page</u>
Reaching this step means that the proposal is submitted (i.e. sent to the European Commission services for evaluation). It does not mean that the proposal is valid, complete, eligible in all respects or that it will be funded.

In Step 6 you can:

- *Download the proposal. It is advised to download the proposal once submitted to check that it has been correctly sent. The downloaded proposal will be digitally signed and time stamped.*
- *Re-edit the proposal*, going back to step 5. The coordinator may continue to modify the proposal and submit revised versions overwriting the previous one right up until the deadline.
- *Withdraw the proposal.* If the proposal is withdrawn, it will not be considered for evaluation. A reason for the withdrawal will be requested by the service.
  (Note: Your proposal draft is not deleted from the server and this withdrawal action can be reversed, <u>but only before the deadline,</u> by simply submitting it again).

<u>About the deadline</u>
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 Participant Portal Submission Service will be closed for this call at the call deadline. After this moment, the proposal can no longer be modified. It is however visible in a read-only version.

Do not wait until the last moment before submitting your proposal!
Call deadlines are absolutely firm and are strictly enforced.

Please note that successive drafts of the proposal can be submitted with Participant Portal Submission Service. Each successive submission overwrites the previous version. It is a good idea to **submit a draft well before the deadline**.

> *Do not wait until the last moment to attempt the submission of the proposal. Internet access issues and proposal verification issues must be detected well before the submission deadline if help is to be requested from the service desk. Such issues are never accepted as extenuating circumstances for failure to submit in time.*

> *Submission is deemed to occur at the moment when the proposal coordinator completes the submission sequence described above. It is not the point at which the upload of the part B is started. 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 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 Participant Portal Submission Service, a detailed knowledge of the contents of the proposal and the authority to make last-minute decisions on behalf of the consortium if problems arise.* ***You are advised not to delegate the job of submitting your proposal!***

In the unlikely event of a failure of the Participant Portal Submission 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 e-mail 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 the Participant Portal. 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 servers, as this is rarely the case. Contact the Participant Portal Submission Service 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, you should aim to submit your proposal well before the deadline to have time to solve any problems.

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

Correcting or revising your proposal

Errors discovered in proposals submitted can be rectified by simply submitting a corrected version prior the submission deadline; the new proposal package (part A and B) will overwrite the old one.

Once the deadline has passed, however, the Commission can accept no further additions, corrections or re-submissions.

The <u>last version</u> of your proposal submitted before the deadline is the one which will be taken into consideration; no later version can be substituted and no earlier version can be recovered.

<u>Ancillary material</u>

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.

<u>Withdrawing a proposal</u>

You may withdraw a proposal before the call deadline by simply submitting a revised version with an empty Part B section, and with the following text in the abstract field of form A1:
"The applicants wish to withdraw this proposal. It should not be evaluated by the Commission".

You may also withdraw a proposal, either before or after the call deadline, by accessing the 'My Proposals' tab when you login in the participant portal. With the action 'view submitted' the coordinator will move to Step 6, where the proposal can be withdrawn.

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 the Commission services to take the necessary precautionary measures to ensure a sound financial management[5].

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 offence 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[6].

More information on the EWS and CED can be found here:
http://ec.europa.eu/budget/explained/management/protecting/protect_en.cfm

[5] 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.

[6] The basis of registrations in EWS and CED is laid out in: - 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- the Commission Regulation of 17.12.2008 on the Central Exclusion Database – CED (OJ L 344, 20.12.2008, p. 12).

4. Check list

4.1 Preparing your proposal

- **Does your planned work fit with the call for proposals?** Check that your proposed work does indeed address the topics open in this call. (See the current version of the work programme).

- **Are you applying for the right funding scheme?** Check that you have applied for the right call and one of the funding schemes open for your chosen topic (see the work programme)[7].

- **Is your proposal eligible?** The eligibility criteria are given in the work programme. See also annex 2 to this Guide. In particular, make sure that you satisfy the minimum requirements for the makeup of your consortium. Have any additional eligibility criteria been set for this call? Check that you comply with any budgetary limits that may have been fixed on the requested EU contribution. 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 participant and project cost 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 proposal follow the required structure?** Proposals should be precise and concise, and must follow exactly the proposal structure described in this document (annex 4 to this Guide), which is designed to correspond to the evaluation criteria which will be applied.

- **Does your proposed work raise ethical issues?** Clearly indicate any potential ethical, 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 particular ethical issues. Proposals may be rejected on ethical grounds if such issues are not dealt with satisfactorily.

- **Have you maximised your chances?** There will be strong competition. Therefore, edit your proposal tightly, strengthen or eliminate weak points. Put yourself in the place of an expert evaluator; refer to the evaluation criteria given in annex 2 to 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 (see address in annex 1 to this Guide). Remember the Enquiry service listed in annex 1 of this Guide.

[7] If you have in error registered for the wrong call or funding scheme, discard that registration (usernames and passwords) and register again before the call deadline. If, after the close of the call, you discover that you have submitted your proposal to the wrong call, notify the Participant Portal Submission Service Helpdesk.

4.2 Final checks before submission

- Do you have the agreement of all the members of the consortium to submit this proposal on their behalf?
- Is your Part B in portable document format (PDF), including no material in other formats?
- Is your Part B filename made up only of the letters A to Z and numbers 0 to 9 without special characters or 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? After the call deadline it will not be possible to replace your Part B file
- Have you respected the font size (11 point) and the page limitations for the different sections?
- Is your Part B file within the size limit of 10 Mbytes?
- Have you virus-checked your computer? The Participant Portal Submission Service will automatically block the submission of any file containing a virus.

4.3. The deadline: very important!

- Have you made yourself familiar with the Participant Portal Submission Service in good time?
- Have you allowed time to submit a draft 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 completed the Participant Portal submission process for your final version?

4.4 Following submission

- Proposals submitted to the Participant Portal can still be reviewed by the applicant.
- It is highly recommended that after uploading and submitting your final version, you then review what you have uploaded
- Do this while there is still time to submit a corrected version if necessary

5. What happens next

Shortly after the call deadline (or batch date in the case of continuously open calls), the Commission will send an **Acknowledgement of receipt** to the e-mail address of the proposal coordinator given in the submitted proposal. This is assumed to be the individual named as "person in charge" on the A2 form of participant no. 1. Please note that the message received on reaching step 6 within the Participant Portal Submission Service 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 funding scheme (see the work programme and annex 2 to this Guide).

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

If **hearings** are planned in this call (see annex 2 to this Guide), you will receive an invitation if your proposal is highly rated. In this case, you will be asked by the evaluation panel to provide further details on the proposal. The letter of invitation will specify the date and time and the particular arrangements. It may also list a number of specific questions concerning the proposal, which you should be prepared to respond to at the hearing. The letter will explain how to reply if you cannot attend in person.

Soon after the completion of the evaluation, the results will be finalised and all coordinators will receive a letter containing initial information on the results of the evaluation, including the **Evaluation Summary Report** giving the opinion of the experts on their proposal. However, 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 your ESR by the date referred to in annex I of 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 ("redress procedure").

The Commission also informs the relevant **programme committee**, consisting of delegates representing the governments of the Member States and Associated countries.

Based on the results of the evaluation by experts, the Commission draws up the final list of proposals for possible funding, taking account of the available budget. The Commission must also take account of the strategic objectives of the programme, as well as the overall balance of the proposals to be funded.

Official letters are then sent to the applicants. If all has gone well, this letter will mark the beginning of a **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.

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 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 ethical review of the proposal if one was carried out. The negotiations will also deal with gender equality actions, and, if applicable to the project, with gender aspects in the conduct of the planned work, as well as the relevant principles contained in the European Charter for researchers and the Code of Conduct for their recruitment. Where relevant, security aspects shall be considered also.

A description of the negotiation process will be provided in the **Negotiation Guidance Notes** available on CORDIS and on the Participant Portal.
Members of the proposal consortium may be invited to Brussels or Luxembourg to facilitate the negotiation.

For participants in negotiated proposals not yet having a Participant Identification Code (PIC) - i.e. not yet registered and validated in the Commission's Unique Registration Facility (URF) - their existence as legal entities and their legal status will have to be validated before any grant agreement can be signed.

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

Risk sharing finance facility

The Risk-sharing Finance Facility (RSFF) provides project financial support in addition to the FP7 grant. This innovative debt-based facility, designed by the European Commission and the European Investment Bank, creates an additional capacity of up to €10 billion for financing higher risk research, technological development, demonstration and innovation activities.

The EIB will implement RSFF in close collaboration with all major EU national and regional banks within Member states and Associated countries to FP7, which are providing support to the development of European companies.

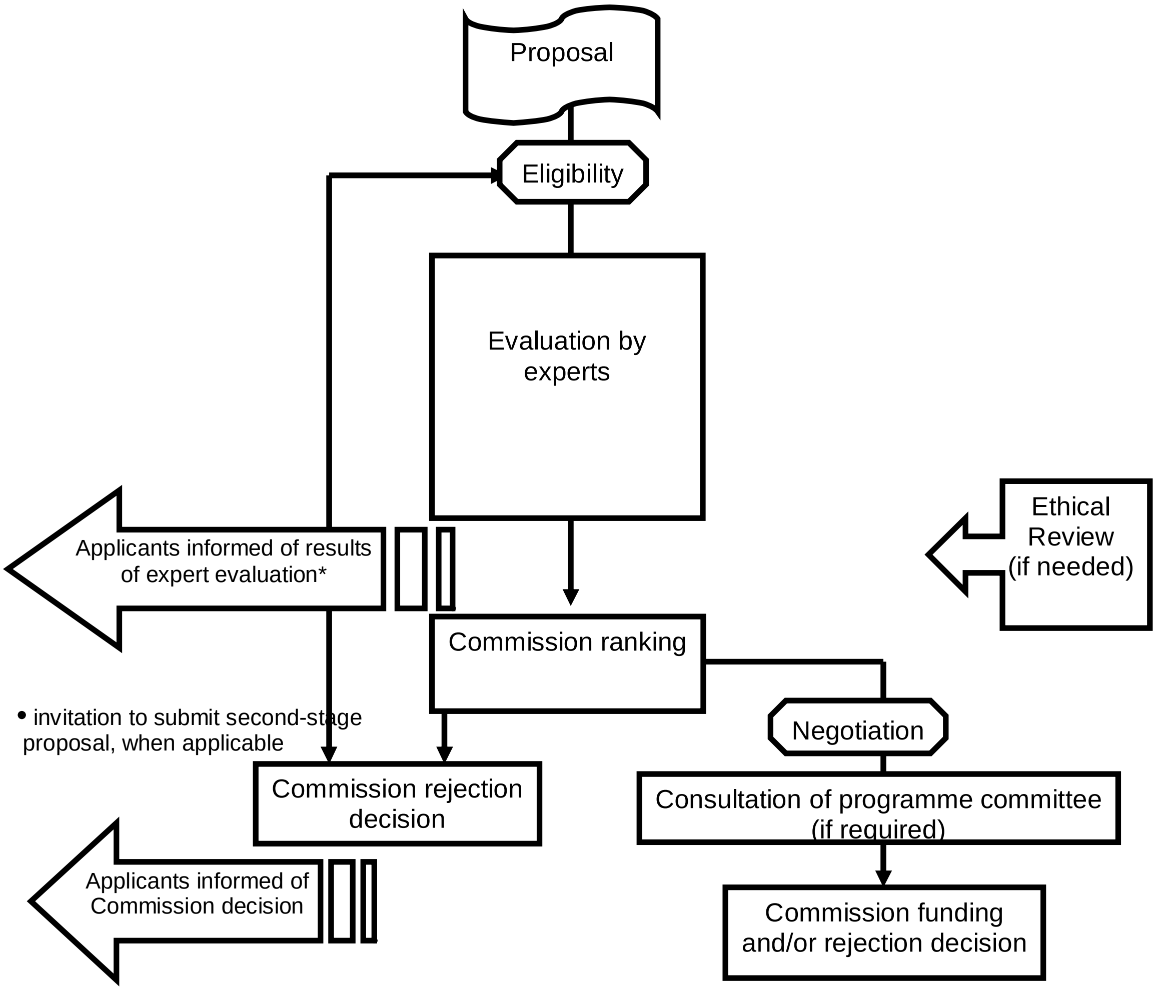
Financing through the RSFF can be sought either in addition to, or instead of FP7 grants.

For additional information on RSFF see:

http://www.eib.org/products/loans/special/rsff/index
http://ec.europa.eu/invest-in-research/funding/funding02_en.htm

Summary of the evaluation and selection process

The sequence of steps in the evaluation and selection procedure is summarised in the following flow chart:



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 FP7 Enquiry service urgently if you do not receive such an acknowledgement within a few days of the close of call (or batch, for continuous submission calls).

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 below).

Associated countries

Non-EU countries which are party to an international agreement with the Community, 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 guide.

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 Participant Portal web pages devoted to a particular call.

Call for proposals (or "call")

An announcement is published, usually in the Official Journal, inviting proposals for research activities in a certain theme. Full information on the call can be found on the 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.

Continuous submission

Some calls are open for an extended period, during which proposals may be submitted at any moment. In these cases, proposals are evaluated in batches after fixed cut-off dates.

Coordinator

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

CORDIS service

A web service providing access to all the documentation related to FP7. (See also Participant Portal).

Cut-off date

An intermediate date in the context of a call operating a continuous submission procedure. Proposals are evaluated in batches after each cut-off date.

D

Deadline

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

Deliverable

A deliverable represents a verifiable output of the project. Normally, each workpackage 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.

E

Early Warning System (EWS)

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

Eligibility 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.

Ethical 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 evaluation 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 Community 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 projects.

H

Hearing

Applicants whose proposals have been evaluated are sometimes invited to provide explanations and clarifications to any specific questions raised by the experts. These questions are transmitted to the applicants in advance.

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.

Initial information letter

The letter sent by the Commission to applicants shortly after the evaluation by experts, which includes the 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 co-operation 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". ICPC participants when participating in an FP7 grant agreement have the choice between being reimbursed on the basis of eligible costs or on the basis of lump-sums. This choice can be made up to the moment of the signature of the grant agreement (whatever the final option chosen, the maximum EU contribution for the project remains unchanged). Once made, it will apply during the whole duration of the agreement without the possibility of changing it. ICPC participants may opt for a lump sum in a given project and for reimbursement of costs in another.

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.

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 Participant Portal Submission Service.

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 Participant Portal as a pdf file

Part B template

A document in PDF format supplied by the Participant Portal Submission Service, consisting of a template of all chapter headings, forms and tables required to prepare a proposal Part B. The template format is illustrated 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 Community.

Participant Identification Code (PIC)

Organisations participating in FP7 will progressively be assigned Participant Identification Codes (PIC). Possession of a PIC will enable organisations to take advantage of the Unique Registration Facility (see below), and to identify themselves in all transactions related to FP7 proposals and grants.

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 Participant Portal Submission Service.

Participant Portal Submission Service

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

Participant Portal Submission Service Helpdesk

A telephone / email service to assist applicants who have difficulty in submitting their proposal via the Participant Portal Submission Service :
tel: +32 2 29 92222 email DIGIT-EFP7-SEP-SUPPORT@ec.europa.eu

Programme committee

A group of official national representatives who assist the Commission in implementing the Framework Programme.

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

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. It is possible that the committee will recommend a re-evaluation of all or part of the proposal.

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 will only be financed if funds become available following the negotiation of proposals on the main list.

Risk-Sharing Finance Facility (RSFF)

A new mechanism to foster private sector investment in research by increasing the capacity of the EIB and its financial partners to provide loans for European RTD projects.

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.

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 available for the entire duration of FP7.

Specific International Cooperation Actions (SICA)

In some calls on topics of mutual interest, special conditions apply to promote research collaborations between European organisations and those based in the International Cooperation Partner Countries (ICPC). This usually entails a minimum of two participants from EU or Associated countries, and two from ICPC.

T

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.

Two-stage submission

Some calls require proposals to be submitted in two stages. In this case, applicants initially present their idea in a brief outline proposal. This is evaluated against evaluation criteria, or sub-criteria for this stage set out in the call. Applicants successful in the first stage will be invited to submit a full proposal at the second stage, which will be evaluated against criteria for this second stage set out in the call. The first stage criteria, as set out in the work programme, are usually a limited set of those applying at the second stage.

Two-step evaluation

An evaluation procedure in which a proposal is evaluated first on a limited number of evaluation criteria (usually, just one), and only those proposals which achieve the threshold on this are subject to a full evaluation on the remaining criteria.

U

Unique Registration Facility (URF)

A system that will allow organisations who intend to submit on several occasions to register their details once and for all, obviating the need to provide the same information with each submission. The Web interface of the URF is found at http://ec.europa.eu/research/participants/urf. On this website you will also find a search tool to check if your organisation is already registered or not.

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.

Annexes

Annex 1	Timetable and specific information for this call
Annex 2	Evaluation criteria and procedure to be applied to I3 proposals
Annex 3	Instructions for completing Part A of the proposal
Annex 4	Instructions for drafting Part B of the proposal
Annex 5	Ethical Guidelines for undertaking ICT research in FP7

Annex 1: Timetable and specific information for this call

- The **Research Infrastructures part of the Capacities 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 Participant Portal call pages. The part giving the basic data on implementation (deadline, budget, additional conditions etc) is also posted as a separate document ("call fiche"). You must consult these documents. You must consult these documents.

- **Indicative timetable for Research Infrastructures Call 11**

Publication of call	*10th July 2012*
Deadline for submission of proposals	*5rth December 2012 17h00 Brussels time*
Evaluation of proposals	*December 2012 - January 2013*
Invitation letter to coordinators to appear before the evaluation panel together with member of the consortium ("hearings")	*Starting 20th December 2012*
Hearings	*Starting 14th January 2013*
Evaluation Summary Reports sent to proposal coordinators	*February 2013*
Invitation letter to successful coordinators to launch contract negotiations with Commission services	*February 2013*
Letter to unsuccessful applicants	*March 2013*
Signature of first contracts	*May 2013*

- **Further information and help**

The Participant Portal call page 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

Participant Portal — http://ec.europa.eu/research/participants/portal/ *(select tab "FP7 calls")*

General sources of help

The Commission's FP7 Enquiry service — http://ec.europa.eu/research/enquiries

National Contact Points — http://cordis.europa.eu/fp7/ncp.htm

National Contact Points in third countries — http://cordis.europa.eu/fp7/third-countries_en.html

RI Helpdesk — e-mail: infso-einfrastructure@ec.europa.eu

Contact persons:

A list of contact details of Commission officers can be found on a separate document on the call page.

Specialised and technical assistance:

Participant Portal Submission Service	Help desk tel: +32 2 299 2222 email DIGIT-EFP7-SEP-SUPPORT@ec.europa.eu
IPR help desk	http://www.ipr-helpdesk.org
Ethics help desk	http://cordis.europa.eu/fp7/get-support_en.html
Risk sharing financing facility (European Investment Bank)	http://www.eib.org/rsff

Generally, you may also wish to consult the following documents that can be found at:
http://ec.europa.eu/research/participants/portal/

Legal documents generally applicable

- Decision on the Framework Programme
- Rules for Participation
- Specific Programmes
- Rules for proposal submission, evaluation selection and award
- Work Programmes

Contractual information

- Consortium agreement checklist
- Negotiation guidance notes
- Financial guidelines
- Model Grant agreement

All the above at http://cordis.europa.eu/fp7/find-doc_en.html

Other supporting information

- Brochure "The FP7 in Brief"
- European Charter for researchers and the Code of Conduct for their recruitment
- International cooperation
- Risk Sharing Financing Facility and the European Investment Bank

Ethics Review

- Ethics check list
- Supporting documents

Open Access (when relevant)

- Leaflet "Open access pilot in FP7"
- OpenAIRE website (Open Access Infrastructure for Research in Europe: www.openaire.eu)
- Model cover letter for amendment to publishing agreement
- Model amendment to publishing agreement

Annex 2: Evaluation criteria and procedures to be applied to I3 proposals in this call

1. General
All eligible proposals will be evaluated by independent experts.

- Commission staff ensures that the process is fair, and in line with the principles contained in the Commission's rules[8].

- 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 a confidentiality and conflict of interest declaration before beginning their work. Confidentiality rules must be adhered to at all times, before, during and after the evaluation.

In addition, an independent expert or 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(s) is to give independent advice to the Commission on the conduct and fairness of the evaluation sessions, on the way in which the experts apply the evaluation criteria, and on ways in which the procedures could be improved. The observer(s) will not express views on the proposals under examination or the experts' opinions 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 by Commission staff 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 via the electronic submission service (SEP) before the deadline given in the call fiche
- It involves at least the minimum number of participants 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 topics and funding schemes, including any special conditions, set out in the relevant parts of the work programme

Proposal in which the Part B pdf file has been password-protected or for which printing has been blocked will be considered as failing the eligibility criteria under the third bullet point.

<u>Note that additional eligibility criteria have been defined for the topic INFRA-2013-1.2.1 in the call fiche that is part of the Research Infrastructures work programme</u>

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;

[8] Rules on submission of proposals, and the related, evaluation, selection and award procedures [available on CORDIS]

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 account of 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 on 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).

The proposal will be evaluated against evaluation criteria determined in the Work Programme.

<table>
<tr><th colspan="3">Evaluation criteria applicable to
Integrated Infrastructure Initiative (I3) project proposals
Call topics: INFRA-2013-1.2.1</th></tr>
<tr><th>S/T QUALITY

“Scientific and/or technological excellence (relevant to the topics addressed by the call)”</th><th>IMPLEMENTATION

“Quality and efficiency of the implementation and the management”</th><th>IMPACT

“Potential impact through the development, dissemination and use of project results”</th></tr>
<tr><td>• Soundness of concept and quality of objectives.

• Progress beyond the state-of-the-art (e.g. improved performance and capacity of the proposed integrated Research Infrastructures and e-Infrastructures).

• Quality and effectiveness of the methodology to achieve the objectives of the project, in particular the provision of integrated services.

• Quality and effectiveness of the Networking Activities and associated work plan. The extent to which the co-ordination mechanisms will foster a culture of co-operation between the participants, and enhance the services to the users.

• Quality and effectiveness of the Trans-national Access and/or Services, and associated work plan. The extent to which the activities will offer access to state-of-the-art infrastructures, high quality services, and will enable users to conduct high quality research.

• Quality and effectiveness of the Joint Research Activities and associated work plan. The extent to which the activities will contribute to quantitative and qualitative improvements of the services provided by the infrastructures.</td><td>• Appropriateness of the management structure and procedures.

• Quality and relevant experience of the individual participants.

• Quality of the consortium as a whole (including complementarity, balance, critical mass).

• Appropriate allocation and justification of the resources to be committed (staff, equipment…), by work package and participant.</td><td>• Contribution to the expected impacts listed in the work programme under the relevant topic.

• Contribution at the European level towards structuring the European Research Area taking into account the EU objective of balanced territorial development for optimising the use and development of the best research infrastructures existing in Europe.

• Appropriateness of measures for the dissemination and/or exploitation of project results and knowledge and for spreading excellence.

• Contribution to socio-economic impacts, including for promoting innovation and developing appropriate skills in Europe.</td></tr>
</table>

Evaluation scores will be awarded for each of the three criteria, not for the sub-criteria (bullet points). These sub-criteria are issues which the expert should consider in the assessment of that criterion. They also act as reminders of issues to raise later during the discussions of the proposal.

Additional eligibility criteria apply in this call:

- Proposals shall address all the three categories of activities (networking activities, service activities, joint research activities) of the I3 model as defined in Section VII.1 of the Work Programme.
- Proposals shall be submitted solely by legal entities operating the NRENs or legal entities created by the NRENs to contribute to the deployment of connectivity and services on a pan-European scale (e.g. DANTE, TERENA, NORDUnet).

The relevance 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 partially relevant 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.

Thresholds will be applied to the scores. The threshold for individual criteria will be 3. The overall threshold, applying to the sum of the three individual scores, will be 10.

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

Conflicts of interest: Under the terms of their 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.

Confidentiality: 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 in Brussels.

Each proposal will first be assessed independently by five or more experts, chosen by the Commission from the pool of experts taking part in this evaluation. 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 **Individual Evaluation Report** (IER), giving scores and also comments against the evaluation criteria.

When scoring proposals, experts must *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 deals with sensitive ethical issues.

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

Scope of the call: It is possible that a proposal is found to be 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.

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 to discuss the scores awarded and to prepare comments.

The consensus discussion is 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 evaluation criteria.

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

The consensus group will also suggest questions to be asked during the hearing, if one is foreseen (see below).

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.

Outcome of consensus: The outcome of the consensus step is the **Consensus Report** (CR). 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.

Ethical issues (above threshold proposals): If one[9] or more experts have noted that there are ethical issues touched on by the proposal, and the proposal is considered to be above threshold, the relevant box on the consensus report (CR) will be ticked and an Ethical Issues Report (EIR) completed, stating the nature of the ethical issues. The EIR will be signed by the Commission moderator and one member of the consensus group (normally, the proposal rapporteur).

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 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.

Evaluation of a resubmitted proposal: In the case of proposals that have been submitted previously to the Commission in FP7, the moderator may give the experts the previous evaluation summary report (see below) following the consensus stage. If necessary, the experts will be required to provide a clear justification for their scores and comments should these differ markedly from those awarded to the earlier proposal.

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 panel comprises experts involved at the consensus step with the experts who reviewed the other proposals in the area.

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 tasks of the panel will also include:

- hearings with the applicants of those proposals which are highly rated in the initial stages of the evaluation (see below)
- resolving cases where a minority view was recorded in the consensus report
- recommending a priority order for proposals with the same score
- making recommendations on possible clustering or combination of proposals.

[9] Exceptionally for this issue, no consensus is required.

The panel is chaired 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.
A ranked list will be drawn up for every indicative budget as shown in the call fiche. The panel can deal with one or more ranked lists for the proposals under evaluation, following the scoring systems indicated above.

Hearings with applicants:
Invitations will be sent to the co-ordinators of all those proposals which have, following initial panel discussion, scores above all the thresholds.

Hearings provide input to clarify further the proposals and to help the panel to establish their final rating and scores for the proposals. To this end, applicants will be invited to provide explanations and clarifications to questions submitted to them in advance. They will not be required to present their proposal.

Any particular issues raised by individual proposals requiring specific expertise may be dealt with by inviting appropriate extra experts to the hearings for those proposals. In this case, the extra experts are only invited to comment on the particular issue on which they have expertise and not on the proposal as a whole.

If a consortium submitting a proposal does not attend the hearing, but replies in written form to the questions which were sent, their written responses will be taken into account. If a consortium both fails to reply to the questions and also to attend the hearing, the panel will arrive at a final score and comments for the proposal on the basis of the originally submitted material only.

The detailed arrangements for the hearings will be communicated in a letter to the coordinators concerned.

Priority order for proposals with the same score

As part of the evaluation by independent experts, a panel review will recommend one or more ranked lists for the proposals under evaluation, following the scoring systems indicated above. A ranked list will be drawn up for every indicative budget shown in the call fiche.

If necessary, the panel will determine a priority order for proposals which have been awarded the same score within a ranked list. Whether or not such a prioritisation is carried out will depend on the available budget or other conditions set out in the call fiche. The following approach will be applied successively for every group of *ex aequo* proposals requiring prioritisation, starting with the highest scored group, and continuing in descending order:

i) Proposals that address topics not otherwise covered by more highly-rated proposals, will be considered to have the highest priority.

(ii) These proposals will themselves be prioritised according to the scores they have been awarded 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.

(iii) The method described in (ii) will then be applied to the remaining *ex aequos* in the group.

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 ethical issues raised;
- 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;
- A summary of the deliberations of the panel.

If the panel has considered proposals submitted to various parts of a call (e.g. different funding schemes, or different topics that have been allocated distinct indicative budgets in the work programme), the report may accordingly contain multiple priority lists.

The panel report is signed by at least three panel experts and the Commission chairperson.

A copy of the Evaluation Summary Report will be sent to each proposal coordinator.

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.

For additional information on the Ethics Review procedure see:
http://ec.europa.eu/research/science-society/index.cfm?fuseaction=public.topic&id=73

Annex 3: Instructions for completing Part A of the proposal

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

In Part A you 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 of this guide).

Section A1 gives a snapshot of your proposal, section A2 concerns the participants in the consortium, while section A3 deals with money matters.

Please note:

- The coordinator fills in the sections A1 and A3.
- Participants already identified at the time of proposal submission (including the coordinator) each fill in their respective section A2.
- Subcontractors, if any, do not fill in a section A2 and are not listed separately in section A3 (They are described in Part B)
- The estimated budget planned for any future participants, not yet identified at the time of the proposal, is not shown separately in form A3 but must be added to the coordinator's budget. (Their role, profile and tasks are described in Part B)

When you complete section A3, please make sure that:

- *Numbers are always rounded to the nearest whole number*
- *You have inserted zeros ("0") where there are no costs or funding figures. Leaving cells empty will block the submission of your proposal*
- *All costs are given in Euros (not thousands of Euros)*
- *Costs do not include Value Added Tax*

Note:
The following notes are for information only. They should assist you in completing the A-part of your proposal. On-line guidance will also be available. The precise questions and options presented **via the Participant Portal Submission Service** may differ slightly from these below.

Section A1: Summary

Proposal Acronym	The short title or acronym will be used to identify your proposal efficiently in this call. It should be of no more than 20 characters (use standard alphabet and numbers only; no symbols or special characters please). The same acronym should appear on each page of part B of your proposal.
Collaborative Projects	For each type of Collaborative Projects, please refer to the work programme.
Proposal Title	The title should be no longer than 200 characters and should be understandable to the non-specialist in your field.
Duration in months	Insert the estimated duration of the project in full months.
Call (part) identifier	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 Participant Portal call page. **[The call identifier is pre-filled in the forms from the Participant Portal Submission Service. If you do not have the correct identifier on your forms, you have registered for the wrong call. Discard this registration and register again].**
Topic code(s) most 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 activity 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.
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 Part B. **There is a limit of 2000 characters** (with spaces). Exceeding this limit may block the submission of your proposal.
Similar proposals or signed contracts	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.

Section A2/ Participants

Participant number	The number allocated by the consortium to the participant for this proposal. The **co-ordinator** of a proposal is always **number one**.
Participant Identify Code	The Participant Identification Code (PIC) enables organisations to take advantage of the Participant Portal. 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 http://ec.europa.eu/research/participants/portal. Organisations not yet having a PIC are strongly encouraged to self-register (at http://ec.europa.eu/research/participants/urf) 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 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, and Ms Alicia DUPONT.
Organisation Short Name	Choose an abbreviation of your Organisation Legal Name, only for use in this proposal and in all relating 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, and international organisations.
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.
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 Commission Recommendation 2003/361/EC in the version of 6 May 2003. The full definition and a guidance booklet can be found at http://ec.europa.eu/enterprise/enterprise_policy/sme_definition/index_en.htm To find out if your organisation corresponds to the definition of an SME you can use the on-line tool at http://ec.europa.eu/research/sme-techweb/index_en.cfm
Dependencies with (an) other participant(s)	Conditions for dependency and independence are stipulated in Article 6 of the FP7 Rules for Participation. Two participants (legal entities) are dependent on each other where there is a controlling relationship between them: – A legal entity is under the same direct or indirect control as another legal entity (**SG**); or – A legal entity directly or indirectly controls another legal entity (**CLS)**; or – A legal entity is directly or indirectly controlled by another legal entity **(CLB)**. ***Control:*** Legal entity A controls legal entity B if: – A, directly or indirectly, holds more than 50% of the nominal value of the issued share capital or a majority of the voting rights of the shareholders or associates of B, or – A, directly or indirectly, holds in fact or in law the decision-making powers in B. The following relationships between legal entities shall not in themselves be deemed to constitute controlling relationships: (a) the same public investment corporation, institutional investor or venture-capital company has a direct or indirect holding of more than 50 % of the nominal value of the issued share capital or a majority of voting rights of the shareholders or associates; (b) the legal entities concerned are owned or supervised by the same public body.
Character of dependence	According to the explanation above mentioned, please insert the appropriate abbreviation according to the list below to characterise the relation between your organisation and the other participant(s) you are related with: • **SG**: Same group: if your organisation and the other participant are controlled by the same third party; • **CLS**: Controls: if your organisation controls the other participant; • **CLB**: Controlled by: if your organisation is controlled by the other participant.
Contact point	It is the main scientist or team leader in charge of the proposal for the participant. For participant number 1 (the coordinator), this will be the person the Commission will contact concerning this proposal (e.g. for additional information, invitation to hearings, sending of evaluation results, convocation to negotiations).
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 or T or A or H as appropriate.
Phone and fax numbers	Please insert the full numbers including country and city/area code. Example +32-2-2991111.

Section A3/Budget

<table>
<tr><td>Indirect Costs</td><td>Indirect costs 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. They may not include any eligible direct costs.</td></tr>
<tr><td>Method of calculating indirect costs</td><td>Summary description

Participants who have an analytical accounting system that can identify and group their indirect costs in accordance with the eligibility criteria (e.g. exclude non-eligible costs) must report their actual indirect costs (or choose the 20% flat rate option referred to below).

For the purpose of calculating the actual indirect costs, a participant is allowed to use a simplified method of calculation of its full indirect eligible costs.

Optionally, participants may opt for a flat rate for indirect costs of 20% of the direct costs (minus subcontracting and third party costs not incurred on the premises of the participant.

A specific flat rate of 60% of the direct costs is allowed for non-profit public bodies, secondary and higher education establishments, research organisations and SMEs which are unable to identify with certainty their real indirect costs for the project.

For Coordination and Support actions, whichever method is used, the reimbursement of indirect eligible costs may not exceed 7% of the direct eligible costs, excluding the direct eligible costs for subcontracting and the costs of reimbursement of resources made available by third parties which are not used on the premises of the participant.

Further guidance

In FP7 all departments, faculties or institutes which are part of the same legal entity must use the same system of cost calculation (unless a special clause foreseeing a derogation for a particular department/institute is included in the grant agreement). Under FP7, there are no cost reporting models.

1. Participants which have an analytical accounting system that can identify and group their indirect costs (pool of costs) in accordance with the eligibility criteria (e.g. exclude non-eligible costs) must report their actual indirect costs (or choose the 20% flat rate option under 2. below). This method is the same as the "full cost" model used in previous Framework Programmes.

For the purpose of calculating the actual indirect costs, a participant is allowed to use a simplified method of calculation of its full indirect eligible costs. The simplified method is a way of declaring indirect costs which applies to organisations which do not aggregate their indirect costs at a detailed level (centre, department), but can aggregate their indirect costs at the level of the legal entity.

The simplified method can be used if the organisation does not have an accounting system with a detailed cost allocation. The method has to be in accordance with their usual accounting and management principles and practices; it does not involve necessarily the introduction of a new method just for FP7 purposes. Participants are allowed to use it, provided this simplified approach is based on actual costs derived from the financial accounts of the last closed accounting year.

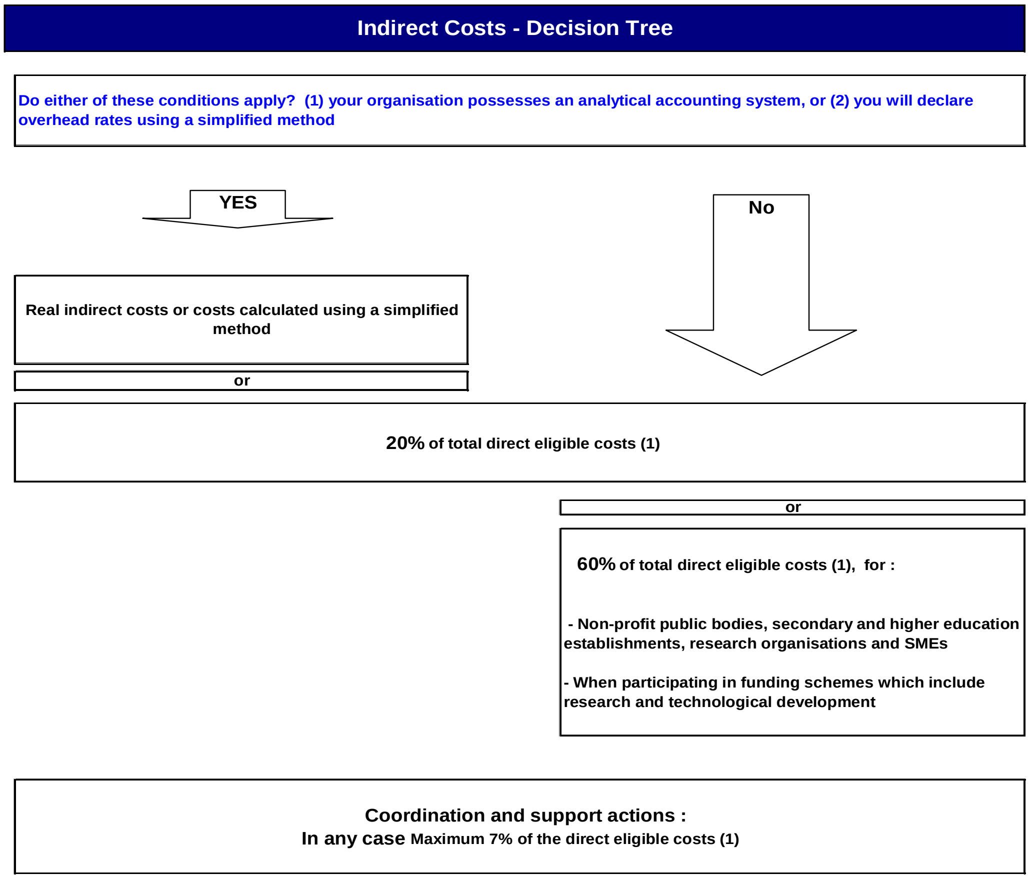
There is no "standard model"; each legal entity will use its own system. The minimum requirements for it to be considered a simplified method for FP7 purposes are the following:

- the system must allow the participant to identify and remove its direct ineligible costs (VAT, etc.);
- it must at least allow for the allocation of the overheads at the level of the legal entity to the individual projects by using a fair "driver" (e.g. total productive hours);
- the system applied and the costs declared according to it should follow the normal accounting principles and practices of the participant. Therefore, if the system used by a participant is more "refined" than the "minimum" requirements mentioned here, it is that system which should be used when declaring costs.

Example: if a participant's accounting system distinguishes between different overheads rates according to the type of activity (research, teaching...), then the overheads declared in an FP7 grant agreement should follow this practice and refer only to the concerned activities (research, demonstration...)

The simplified method does not require previous registration or certification by the Commission.</td></tr>
</table>

	2. Optionally, participants may opt to declare their actual direct costs plus a flat rate for indirect costs of 20% of the direct costs (minus subcontracting and third party costs not incurred on the premises of the participant). This flat rate is open to any participant whatever the accounting system it uses. Accordingly, when this option is chosen, there is no need for certification of the indirect costs, only of the direct ones. 3. Also, a **specificl flat rate** is allowed for certain types of organisations. The use of this flat rate is subject to three cumulative conditions : (i) Status of the organisation The flat rate is reserved for: - non-profit public bodies - secondary and higher education establishments - research organisations - SMEs (ii) Accounting system of the organisation The flat rate is foreseen for the organisations which are unable to identify with certainty their real indirect costs for the project. How will it be proved that an organisation is unable to identify with certainty their real indirect costs for the project? The participant (for example, an SME) does not have to change its accounting system or its usual accounting principles. If its accounting system can identify overall overheads but does not allocate them to project costs, then the participant can use this flat rate if the other conditions are fulfilled. Example: A University, which in FP6 has used the "additional cost" basis because its accounting system did not allow for the share of their direct and indirect costs to the project to be distinguished may under FP7: - either opt for the 60% flat rate, knowing that it will be revised at the end of 2009, or - introduce a cost accounting system "simplified method" by which a basic allocation per project of the overhead costs of the legal entity will be established, or - introduce a full analytical accounting system. Following this, an organisation which used the "full cost" model under the Sixth Framework Programme (FP6) is presumed to be in a situation to be able to identify the real indirect costs and allocate them to the projects. Accordingly, this organisation would not in principle be able to opt for the 60% flat rate for FP7. An organisation which can identify the real indirect costs but does not have a system to allocate these indirect costs can opt for this 60% flat rate. The choice of this specific flat rate lies within the responsibility of the participant. If a subsequent audit shows that the above-mentioned cumulative conditions are not fulfilled, all projects where this participant is involved might be reviewed. (iii) Type of funding scheme The flat rate is reserved to funding schemes which include research and technological development and demonstration activities: Network of Excellence and Collaborative projects (including research for the benefit of specific groups – in particular SMEs). The basis for the calculation of the flat rate excludes the costs for subcontracting and the costs of resources made available by third parties which are not used on the premises of the participant because in these two cases, the indirect costs are not incurred by the participant but by the subcontractor or the third party. When a participant opts for the specific flat rate of 60 % for its first participation under FP7 it can opt afterwards for the actual indirect costs system for subsequent participations. This change does not affect previous grant agreement. After this change, this organisation cannot opt again for a flat rate system (either 60% or 20% flat rate).

<table>
<tr>
<td></td>
<td>


(1) excluding direct eligible costs for subcontracting and the costs of reimbursement of resources made available by third parties which are not used on the premises of the beneficiary
</td>
</tr>
<tr>
<td>International Cooperation Partner Country (ICPC)</td>
<td>International Cooperation Partner Country means a third country which the Commission classifies as a low-income, lower-middle income or upper-middle-income country and which is identified as such in Annex I of the work programmes.</td>
</tr>
<tr>
<td>Lump sum funding method</td>
<td>
Legal entities established in an ICPC may opt for lump sums. In that case the contribution is based on the amounts shown below, multiplied by the total number of person-years for the project requested by the ICPC legal entity.

- Low-income ICPC: 8,000 Euro/researcher/year
- Lower middle income ICPC: 9,800 Euro/researcher/year
- Upper middle income ICPC 20,700 Euro/researcher/year

The maximum EC contribution is calculated by applying the normal upper funding limits shown under "requested EC contribution". This amount is all inclusive, covering support towards both the direct and the indirect costs.

More information on ICPC lump sums can be found in section II.18 of the "Guide to financial issues" on the Participant Portal http://ec.europa.eu/research/participants/portal/page/home
</td>
</tr>
</table>

Type of Activity	• **RTD activities** are directly aimed at creating new knowledge and new technology. For *e-Infrastructures* it includes the costs of **joint research activities***. • **Coordination activities** foster a culture of co-operation between the participants in the project and the scientific communities benefiting from the research infrastructure. For *e-Infrastructures* it includes the costs of **networking activities*** (including, but not limited to, training, dissemination and communication). It does not cover management costs. • **Management activities** include the maintenance of the consortium agreement, if it is obligatory**,** the overall legal, ethical, financial and administrative management including for each of the participants obtaining the certificates on the financial statements or on the methodology, the implementation of competitive calls by the consortium for the participation of new participants and, any other management activities foreseen in the proposal* except coordination of research and technological development activities. • **Other activities** means any specific activities not covered by the above mentioned types of activity, which may include **service activities*** aimed at the provision of specific research infrastructures related services to the scientific community (amongst those, connectivity services can be funded up to 50%).These activities should be specified in the proposal Part B. (*) as defined in Section 2.2 of this Guide for Applicants.
Personnel costs	Personnel costs are only the costs of the actual hours worked by the persons directly carrying out work under the project and shall reflect the total remuneration: salaries plus social security charges (holiday pay, pension contribution, health insurance, etc.) and other statutory costs included in the remuneration. Such persons must: – be directly hired by the participant in accordance with its national legislation, – be working under the sole technical supervision and responsibility of the latter, and – be remunerated in accordance with the normal practices of the participant. Participants may opt to declare average personnel costs if certified in accordance with a methodology approved by the Commission and consistent with the management principles and usual accounting practices of the participant. Average personnel costs charged by a participant having provided a certification on the methodology are deemed not to significantly differ from actual personnel costs**.**
Sub-contracting	A subcontractor is a third party which has entered into an agreement on business conditions with one or more participants, in order to carry out part of the work of the project without the direct supervision of the participant and without a relationship of subordination. Where it is necessary for the participants to subcontract certain elements of the work to be carried out, the following conditions must be fulfilled: - subcontracts may only cover the execution of a limited part of the project; - recourse to the award of subcontracts must be duly justified in Part B of the proposal having regard to the nature of the project and what is necessary for its implementation; - recourse to the award of subcontract by a participant may not affect the rights and obligations of the participants regarding background and foreground; - Part B of the proposal must indicate the task to be subcontracted and an estimation of the costs; Any subcontract, the costs of which are to be claimed as an eligible cost, must be awarded according to the principles of best value for money (best price-quality ratio), transparency and equal treatment. Framework contracts between a participant and a subcontractor, entered into prior to the beginning of the project that are according to the participant's usual management principles may also be accepted. Participants may use external support services for assistance with minor tasks that do not represent per se project tasks as identified in Part B of the proposal. If applicable, actual direct costs and real overhead costs of third parties that make available to the proposal resources otherwise unavailable within the consortium, can also be included under the category of subcontracting costs (provided that these costs are not related to proposal's core tasks).

Other direct costs	Means direct costs not covered by the above mentioned categories of costs.
Total Budget	**[Please note: The term "total budget" does not mean your requested EC contribution]** A sum of all the eligible costs, under the respective types of activity.
Requested EC contribution	The requested EC contribution shall be determined by applying the upper funding limits indicated below, per activity and per participant to the costs accepted by the Commission, or to the flat rates or lump sums. **Maximum reimbursement rates of eligible costs** • **Research and technological development = 50% or 75%*** • **Coordination activities = 100%** • **Management activities = 100%** • **Other activities = 100%**** (*) For participants that are non profit public bodies, secondary and higher education establishments, research organisations and SMEs. (**) For connectivity services costs, the maximum reimbursement rate shall be 50% for all participants.
Total Receipts	**[Please note: The term "receipts" does not mean your requested EC contribution]** Receipts of the project may arise from: a) Financial transfers or contributions in kind free of charge to the participant from third parties: i. shall be considered a receipt of the project if they have been contributed by the third party specifically to be used on the project. ii. shall not be considered a receipt of the project if their use is at the management discretion of the participant. b) Income generated by the project: i. shall be considered receipts for the participant when generated by actions undertaken in carrying out the project and from the sale of assets purchased under the grant agreement up to the value of the cost initially charged to the project by the participant; ii. shall not be considered a receipt for the participant when generated from the use of foreground resulting from the project. The Community financial contribution may not have the purpose or effect of producing a profit for the participants. For this reason, the total requested EC funding plus receipts cannot exceed the total eligible costs.

Annex 4: Instructions for drafting Part B of the proposal

Integrated Infrastructure Initiative projects (I3)
Call topics: INFRA-2013-1.2.1

A description of this funding scheme 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). Sections 1, 2 and 3 each correspond to an evaluation criterion. The sub-sections (1.1, 1.2 etc.) correspond to the sub-criteria.

Remember, please keep to the page limits where these are specified. Information given on excess pages may be disregarded. The minimum font size allowed is 11 points. All margins (top, bottom, left, right) should be at least 15 mm (not including any footers or headers).

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

<u>Cover Page</u>

Proposal full title
Proposal acronym
Type of funding scheme:
In this case - Combination of Collaborative Project and Coordination and Support Action: Integrated Infrastructure Initiative (I3)
Work programme topic
Name of the coordinating person

List of participants:

Participant no. *	Participant organisation name	Part. short name	Country
1 (Coordinator)			
2			
3			

* *Please use the same participant numbering as that used in Proposal submission forms A2*

<u>Table of Contents</u>

<u>Proposal</u>

Section 1: Scientific and/or technical quality, relevant to the topics addressed by the call

1.1 Concept and objectives

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

Describe in detail the S&T objectives. Show how they relate to the topics addressed by the call, <u>which you should explicitly identify</u>. The objectives should be those achievable within the project, not through subsequent development. They should be stated in a measurable and verifiable form, including through the milestones that will be indicated under section 1.4, 1.5 and 1.6 below.

1.2 Progress beyond the state-of-the-art

Describe the state-of-the-art in the area concerned, and the advance that the proposed project would bring about. If applicable, refer to the results of any patent search you might have carried out.

1.3 Methodology to achieve the objectives of the project, in particular the provision of integrated services

Describe the methodology to achieve the objectives of the project, especially the way integrated services will be provided.

1.4 Networking Activities and associated work plan

Describe the extent to which the proposed co-ordination mechanisms will foster a culture of co-operation between the participants, and enhance the services to the users. A detailed work plan should be presented, broken down into work packages[10] (WPs) which should follow the logical phases of the implementation of the project's Networking Activities, and include consortium management and assessment of progress and results. (Please note that your overall approach to management will be described later, in section 2).

Please present your plans as follows[11]:

i) Describe the overall strategy of the work plan *(Maximum length – one page)*

ii) Show the timing of the different WPs and their components (Gantt chart or similar)

iii) Provide a detailed work description broken down into work packages:

- Work package list (please use table 1.3a);
- Deliverables list (please use table 1.3b);
- Description of each work package, and summary (please use table 1.3c);
- Summary effort table (please use table 1.3d);
- List of milestones (please use table 1.3e)

[10] 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.

[11] The first WP under this section should address the management related activities of the project and the costs relevant to this WP should be reported in the "Management" column of the appropriate A-form. The remaining costs should be reported under the “Co-ordination” column of the appropriate A-form.

iv) Provide a graphical presentation of the components showing their interdependencies (Pert diagram or similar)

v) Describe any significant risks, and associated contingency plans

Notes:
The number of work packages used must be appropriate to the complexity of the work and the overall value of the proposed project. The planning should be sufficiently detailed to justify the proposed effort and allow progress monitoring by the Commission.

1.5 Service Activities and associated work plan

Describe the extent to which the activities will offer access to state-of-the-art infrastructures, high quality services, and will enable users to conduct high quality research.

A detailed work plan should be presented, broken down into work packages (WPs) which should follow the logical phases of the implementation and provision of the project's Service Activities, and include assessment of progress and results.

Please present your plans as follows:

i) Describe the overall strategy of the work plan *(Maximum length – one page)*

ii) Show the timing of the different WPs and their components (Gantt chart or similar)

iii) Provide a detailed work description broken down into work packages:

- Work package list (please use table 1.3a);
- Deliverables list (please use table 1.3b);
- Description of each work package, and summary (please use table 1.3c);
- Summary effort table (please use table 1.3d);
- List of milestones (please use table 1.3e);
- Connectivity services cost table (if applicable, please use table 1.3f)

iv) Provide a graphical presentation of the components showing their interdependencies (Pert diagram or similar)

v) Describe any significant risks, and associated contingency plans

Notes:

The number of work packages used must be appropriate to the complexity of the work and the overall value of the proposed project. The planning should be sufficiently detailed to justify the proposed effort and allow progress monitoring by the Commission.

1.6 Joint Research Activities and associated work plan

A detailed work plan should be presented, broken down into work packages (WPs) which should follow the logical phases of the implementation of the project's Joint Research Activities, and include assessment of progress and results.

Please present your plans as follows:

i) Describe the overall strategy of the work plan *(Maximum length – one page)*

ii) Show the timing of the different WPs and their components (Gantt chart or similar)

iii) Provide a detailed work description broken down into work packages:

- Work package list (please use table 1.3a);
- Deliverables list (please use table 1.3b);
- Description of each work package, and summary (please use table 1.3c);
- Summary effort table (please use table 1.3d);
- List of milestones (please use table 1.3e)

iv) Provide a graphical presentation of the components showing their interdependencies (Pert diagram or similar)

v) Describe any significant risks, and associated contingency plans

Notes:

The number of work packages used must be appropriate to the complexity of the work and the overall value of the proposed project. The planning should be sufficiently detailed to justify the proposed effort and allow progress monitoring by the Commission.

Table 1.3 a: Template - Work package list

Work package list

Work package No[12]	Work package title	Type of activity[13]	Lead partic no.[14]	Lead partic. short name	Person-months[15]	Start month[16]	End month
	TOTAL						

12 Workpackage number: WP 1 – WP n

13 Please indicate <u>one</u> activity per work package:
RTD = Research and technological development; COORD = Co-ordination;
MGT = Management of the consortium; SVC = Service activities

14 Number of the participant leading the work in this work package

15 The total number of person-months allocated to each work package

16 Measured in months from the project start date (month 1)

Table 1.3 b: Template - Deliverables List

List of Deliverables

Del. no. [17]	**Deliverable name**	**WP no.**	**Nature**[18]	**Dissemi-nation level** [19]	**Delivery date**[20] **(proj. month)**

[17] Deliverable numbers in order of delivery dates. Please use the numbering convention <WP number>.<number of deliverable within that WP>. For example, deliverable 4.2 would be the second deliverable from work package 4.

[18] Please indicate the nature of the deliverable using one of the following codes:
R = Report, **P** = Prototype, **D** = Demonstrator, **O** = Other

[19] Please indicate the dissemination level using one of the following codes:
PU = Public
PP = Restricted to other programme participants (including the Commission Services)
RE = Restricted to a group specified by the consortium (including the Commission Services)
CO = Confidential, only for members of the consortium (including the Commission Services)

[20] Measured in months from the project start date (month 1)

Table 1.3 c: Template - Work package description

Work package description

Work package number		**Start date or starting event:**					
Work package title							
Activity type[21]							
Participant number							
Participant short name							
Person-months per participant							

Objectives

Description of work (possibly broken down into tasks) and role of partners

Deliverables (brief description) and month of delivery

[21] Please indicate one activity per work package:
RTD: Research and technological development; COORD: Co-ordination; MGT: Management of the consortium;
SVC: Service activities

Table 1.3 d: Summary of staff effort

Summary of effort

A summary of the effort is useful for the evaluators. Please indicate in the table number of person months over the whole duration of the planned work, for each work package by each participant. Identify the work-package leader for each WP by showing the relevant person-month figure **in bold**.

Partic. no.	Partic. short name	WP1	WP2	WP3	…	Total person months
1						
2						
3						
etc						
Total						

Table 1.3 e: Template - List of milestones

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 a 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.

Milestone number	Milestone name	Work package(s) involved	Expected date [22]	Means of verification[23]

[22] Measured in months from the project start date (month 1)
[23] Show how you will confirm that the milestone has been attained. Refer to indicators if appropriate. For example: a laboratory prototype completed and running flawlessly; software released and validated by a user group; field survey complete and data quality validated.

Table 1.3 f: Template - Connectivity services cost table (if relevant)

Connectivity services costs result from the provision of connectivity. Connectivity is defined as a set of one or more circuits allowing for the transmission of full duplex bit streams between defined end points.

If relevant to your proposal, please identify the cost for connectivity services per partner.

Part. number	**Part. short name**	**Cost (€)**
1		
2		
3		
…		
-	**Total**	

Note that connectivity services are considered as a service activity and thus have to be declared under the column “Other” in the relevant A3 forms. The funding of connectivity services costs is limited to a maximum of 50% of the eligible costs.

Section 2. Implementation

2.1 Management structure and procedures

Describe the organisational structure and decision-making mechanisms of the project. Show how they are matched to the complexity and scale of the project.

2.2 Individual participants

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 individuals who will be undertaking the work.

(Indicative length for Section 2.2 – one page per participant. However, where two or more departments within an organisation have quite distinct roles within the proposal, one page per department is acceptable.

The maximum length applying to a legal entity composed of several members, each of which is a separate legal entity (for example an EEIG), is one page per member, provided that the members have quite distinct roles within the proposal.)

2.3 Consortium as a whole

Describe how the participants collectively constitute a consortium capable of achieving the project objectives, and how they are suited and are committed to the tasks assigned to them. Show the complementarity between participants. Explain how the composition of the consortium is well-balanced in relation to the objectives of the project.

If appropriate describe the industrial/commercial involvement to ensure exploitation of the results. Show how the opportunity of involving SMEs has been addressed.

i) Sub-contracting: If any part of the work is to be sub-contracted by the participant responsible for it, describe the work involved and explain why a sub-contract approach has been chosen for it.

ii) Other countries: If a one or more of the participants requesting EU funding is based outside of the EU Member states, Associated countries and the list of International Cooperation Partner Countries[24], explain in terms of the project's objectives why such funding would be essential.

iii) Additional partners: If there are as-yet-unidentified participants in the project, the expected competences, the role of the potential participants and their integration into the running project should be described. (These as-yet-unidentified participants will not be counted in the minimum number of participants for the eligibility of the proposal).

2.4 Resources to be committed

Describe how the totality of the necessary resources will be mobilised, including any resources that will complement the EC contribution. Show how the resources will be integrated in a coherent way, and show how the overall financial plan for the project is adequate.

[24] See CORDIS web-site, and annex 1 of the work programme.

In addition to the costs indicated on form A3 of the proposal, and the effort shown in section 1.3 above, please identify any other major costs (e.g. equipment). Ensure that the figures stated in Part B are consistent with these.

Section 3. Impact

3.1 Expected impacts listed in the work programme

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.

3.2 Dissemination and/or exploitation of project results, and management of intellectual property

Describe the measures you propose for the dissemination and/or exploitation of project results, and how these will increase the impact of the project. In designing these measures, you should take into account a variety of communication means and target groups as appropriate (e.g. policy-makers, interest groups, media and the public at large).

For more information on communication guidance, see
http://ec.europa.eu/research/science-society/science-communication/index_en.htm

Describe also your plans for the management of knowledge (intellectual property) acquired in the course of the project.

3.3 Contribution to socio-economic impacts

Describe the socio-economic impacts, including for promoting innovation and developing appropriate skills in Europe.

Section 4. Ethical Issues

Describe any ethics issues that may arise in the project. In particular, you should explain the benefit and burden of the 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).

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 authorisation from the national data protection authorities.

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. State what happens to the animals after the research experiments. The use of animals requires permits and/or authorisations from the competent national 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 necessity to use hESC in order to achieve the scientific objectives set forth in the proposal.
- whether the applicants have taken into account the legislation, regulations, ethical 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 source of the hESC
- the measures taken to protect personal data, including genetic data, and privacy;
- the nature of financial inducements, if any.

Identify the countries where research will be undertaken and which ethical committees and regulatory organisations will need to be approached during the life of the project.

Include the Ethical issues table below. If you indicate YES to any issue, please identify the pages in the proposal where this ethical issue is described. 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 and complexity of the ethical issues involved)

Notes:
1. For further information on ethical issues relevant to ICT, see annex 5 of this Guide
2. Only in exceptional cases will additional information be sought for clarification, which means that any ethical review will be performed solely on the basis of the information available in your proposal.
3. A dedicated website that aims to provide clear, helpful information on ethics issues is now available at: http://cordis.europa.eu/fp7/ethics_en.html. The site includes guidance documents on privacy and data protection, developing countries , informed consent procedures etc.

ETHICAL ISSUES TABLE

	YES	Page Number
Informed Consent		
• Does the proposal involve children?		
• Does the proposal involve patients?		
• Does the proposal involve persons not able to give consent?		
• Does the proposal involve adult healthy volunteers?		
Biological research		
• Does the proposal involve human genetic material?		
• Does the proposal involve human biological samples?		
• Does the proposal involve human biological data collection?		
• Does the proposal involve human embryos?		
• Does the proposal involve human foetal tissue or cells?		
• Does the proposal involve human embryonic stem cells?		
Privacy		
• Does the proposal involve processing of genetic information or personal data (e.g. health, sexual lifestyle, ethnicity, political opinion, religious or philosophical conviction)		
• Does the proposal involve tracking the location or observation of people without their knowledge?		
Research on Animals		
• Does the proposal involve research on animals?		
• Are those animals transgenic small laboratory animals?		
• Are those animals transgenic farm animals?		
• Are those animals cloned farm animals?		
• Are those animals non-human primates?		
Research Involving Third Countries		
• Is any part of the research carried out in countries outside of the European Union and FP7 Associated states?		
Dual Use		
• Does the research have direct military application		
• Does the research have the potential for terrorist abuse		

ICT Implants		
• Does the proposal involve clinical trials of ICT implants?		
(IF NONE) I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL		

Annex 5: Ethical Guidelines for undertaking ICT research in FP7

1. Introduction
In recent years there has been an increase in the importance of ethical issues related to ICT research and technological developments.

The decision of the European Parliament and the Council concerning FP7[25] states that research activities supported by the Framework Programme should respect fundamental ethical principles, including those reflected in the Charter of Fundamental Rights of the European Union[26] and take into account opinions of the European Group on Ethics in Science and New Technologies (EGE)[27].

Article 15 of the FP7 draft rules of participation[28] states that any proposal which contravenes fundamental ethical principles or which does not fulfil the conditions set out in the specific programme, the workprogramme or in the call for proposals shall not be selected and may be excluded from the evaluation, selection and award procedures at any time.

Applications for EU-funded research activities may, if appropriate, include specific tasks or a specific work package that explicitly addresses ethical concerns (in terms of the research, its conduct and outcomes) and outlines how ethical issues raised by the proposed research will be handled.

The purpose of this guidance is to assist proposers in identifying potential ethical issues arising from the proposed ICT research.

2. Conduct of ICT Research
All research areas within ICT of FP7 may raise ethical issues of varying seriousness. Some proposals will be more sensitive than others. It is likely that new, sensitive applications will come to the fore during the term of FP7.

2.1 A responsible approach
It is likely that most of the principles of the Charter of Fundamental Rights of the European Union[29] will be relevant to the approach adopted by ICT researchers. These principles cover dignity, freedom, equality, solidarity, citizens' rights and justice. Proposals must comply with Article 8 of the European Human Rights Convention[30]. In particular, given the pervasive and ubiquitous nature of ICT and the many opportunities it offers, researchers should consider the sensitive implications of their proposals for privacy and autonomy.[31] However, researchers should recognise that new dangers associated with the process of ICT research can exist. They should carry out a prior assessment of risk and identification of precautionary actions proportional to the potential risk/harm.[32]

Researchers have a duty to alert public authorities to the ethical and practical implications of the ICT research outcomes, as and when particular issues become apparent within the research process.[7]

Researchers should comply with national legislation, European Union legislation, respect international conventions and declarations and take into account the Opinions of the European Group on Ethics. However, consideration of ethical issues goes beyond simple compliance with current regulations and laws.

2.2 Privacy and informed consent

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[25] Decision 1982/2006/EC: Official Journal L412 of 18/12/06
[26] http://www.europarl.europa.eu/charter/default_en.htm
[27] The EGE is an independent, multidisciplinary body, appointed by the Commission to examine ethical questions arising from science and new technologies and on this basis to issue *Opinions* - http://ec.europa.eu/european_group_ethics/index_en.htm
[28] Official Journal L391 of 30/12/06
[29] The Charter of Fundamental Rights of the European Union - http://www.europarl.europa.eu/charter/pdf/text_en.pdf
[30] http://conventions.coe.int/treaty/en/Treaties/Html/005.htm
[31] Opinion 10 of EGE - The Ethical Aspects of the 5th Framework Programme , http://ec.europa.eu/european_group_ethics/docs/opinion10_en.pdf
[32] Opinion 20 of EGE – Ethical Aspects of ICT Implants in the Human Body - http://ec.europa.eu/european_group_ethics/docs/avis20_en.pdf

The right to privacy and data protection is a fundamental right[33] and therefore applicable to ICT research.

Researchers must be aware that volunteers[34] have the right to remain anonymous[35]. Researchers must comply with Data Protection legislation[36] in the Member State where the research will be carried out regarding ICT research data that relates to volunteers.

Informed consent is required whenever ICT research involves volunteers in interviews, behavioural observation, invasive and non-invasive experimentation, and accessing personal data records. The purpose of informed consent is to empower the individual to make a voluntary informed decision about whether or not to participate in the research based on knowledge of the purpose, procedures and outcomes of the research.

Before consent is sought, information must be given specifying the alternatives, risks, and benefits for those involved in a way they understand. When such information has been given, free and informed consent must be obtained. Depending on the nature of the research, different consent procedures may be used. Special consideration must be given when volunteers have reduced autonomy or are vulnerable[3].

The majority of European citizens view personal privacy as an important issue. Research, for example, on RFID[37] and ICT for healthcare[38], is likely to raise privacy issues. Therefore, researchers must ensure that the manner in which research outcomes are reported does not contravene the right to privacy and data protection. Furthermore, researchers must carefully evaluate and report the personal privacy implications of the intended use or potential use of the research outcomes. Wherever possible, they must ensure that research outcomes do not contravene these fundamental rights.

2.3 Use of animals in ICT research

In accordance with the Amsterdam protocol on animal protection and welfare, animal experiments must be replaced with alternatives wherever possible. Suffering by animals must be avoided or kept to a minimum. This particularly applies to animal experiments involving species which are closest to human beings[39]. Thus ICT research involving animals should conform to the ethical principles of replacement, reduction, refinement and minimisation of suffering[3].

Proposers must carefully justify animal experiments in cross-science proposals for non-medical objectives. Furthermore, they should identify the scientific areas which would benefit from knowledge gained through animal experiments. Proposers must be aware that Member States may have differing and possibly conflicting interpretations of animal welfare in research, and the research must meet regulations in the country in which it will be carried out.

3 Specific guidance in some currently sensitive areas

3.1 ICT implants[40] and wearable computing

- ICT implants should only be developed if the objective cannot be achieved by less-invasive methods such as wearable computing devices and RFID tags.
- To the extent that an individual, via an ICT implant or wearable computing device, becomes part of an ICT network, the operation of this whole network will need to respect privacy and data protection requirements.

[33] The Charter of Fundamental Rights of the European Union - http://www.europarl.europa.eu/charter/pdf/text_en.pdf
[34] "Volunteers" is used to describe all those who are the subjects of research observations, experiments, tests etc.
[35] Opinion 10 of EGE - The Ethical Aspects of the 5th Framework Programme , http://ec.europa.eu/european_group_ethics/docs/opinion10_en.pdf
[36] National legislation transposing Directive 95/46/EC - http://ec.europa.eu/justice_home/fsj/privacy/docs/95-46-ce/dir1995-46_part1_en.pdf
[37] RFID Technology - Results of the Public Consultation on Article 29 Working Document 105 on Data Protection Issues Related to RFID Technology Adopted on 28 September 2005 http://europa.eu.int/comm/justice_home/fsj/privacy/workinggroup/consultations/rfid_en.htm
[38] Opinion 13 of EGE - Ethical Issues of Healthcare in The Information Society.- http://ec.europa.eu/european_group_ethics/docs/avis13_en.pdf
[39] Council Directive on Protection of Animals used for Experimental and other Scientific Purposes http://europa.eu.int/comm/food/fs/aw/aw_legislation/scientific/86-609-eec_en.pdf
[40] Opinion 20 of EGE – Ethical Aspects of ICT Implants in the Human Body - http://ec.europa.eu/european_group_ethics/docs/avis20_en.pdf

- ICT implants in healthcare are, in general, acceptable when the objective is saving lives, restoring health, or improving the quality of life. They should be treated in the same way as drugs and medical devices.[41]
- ICT implants to enhance human capabilities should only be developed: to bring individuals into the "normal" range for the population, if they so wish and give their informed consent; or to improve health prospects such as enhancing the immune system. Their use should be based on need, rather than economic resources or social position.
- ICT implants or wearable computing devices must not: allow individuals to be located on a permanent and/or occasional basis, without the individual's prior knowledge and consent; allow information to be changed remotely without the individual's prior knowledge and consent; be used to support any kind of discrimination; be used to manipulate mental functions or change personal identity, memory, self-perception, perception of others; be used to enhance capabilities in order to dominate others, or enable remote control over the will of other people.
- ICT implants should not be developed to influence future generations, either biologically or culturally.
- ICT implants should be developed to be removed easily.

3.2 eHealth[42] and genetics

Personal health data must be treated as 'sensitive personal data'[43.] ICT researchers using it have a duty of confidentiality equivalent to the professional duty of medical secrecy. Therefore:

- The use of personal health data in ICT research for the purposes from which society as a whole benefits must be justified in the context of the personal rights.
- The security of ICT in healthcare is an ethical imperative to ensure the respect for human rights and freedoms of the individual, in particular the confidentiality of data and the reliability of ICT systems used in medical care.
- Proposers should be particularly aware when ICT is linked to sensitive medical areas such as the use of genetic material[1].
- Proposers should access established general medical and genetics ethical guidance when formulating their proposals.

3.3 ICT and Bio/Nano-electronics

ICT-bio/nano-electronics has a strong potential for mis-use. Consequently, proposers should pay particular attention to the guidelines in Section 2 in this area[44].

- Researchers involved in ICT-bio/nano-electronics research proposals should be aware that certain applications, e.g. miniaturised sensors, may have specific implications for the protection of privacy and personal data[4].
- ICT-bio/nano-electronics research may overlap with other scientific disciplines such as biology. In these situations proposers should draw upon the ethical guidance of that discipline.

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[41] Such research is partly covered by Council Directive 90/385/EEC relating to active implantable medical devices- http://europa.eu.int/eur-lex/en/consleg/pdf/1990/en_1990L0385_do_001.pdf
[42] Opinion 13 of EGE - Ethical Issues of Healthcare in The Information Society.- http://ec.europa.eu/european_group_ethics/docs/avis13_en.pdf
[43] Directive 95/46/EC - http://ec.europa.eu/justice_home/fsj/privacy/docs/95-46-ce/dir1995-46_part1_en.pdf
[44] COM (2004) 338 final - http://ec.europa.eu/prelex/rech_simple.cfm?CL=en