



GUIDE FOR APPLICANTS

Theme 7: TRANSPORT (including AERONAUTICS)

COLLABORATIVE PROJECT

FP7-GALILEO-2011-GSA-1

Further copies of this Guide, together with all information related to this Call for Proposals, can be downloaded from the following websites:

<http://cordis.europa.eu/fp7/calls>

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



About this Guide

This is version number 3 of the FP7 Guide for Applicants for Calls issued by the European GNSS Supervisory Authority 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.

This version contains a number of clarifications and amendments, the most important of which are:

- Additional guidance on page limits (annex 4)
- Additional guidance on dissemination of research (annex 4)
- Additional guidance on security sensitive proposals (annex 6)

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



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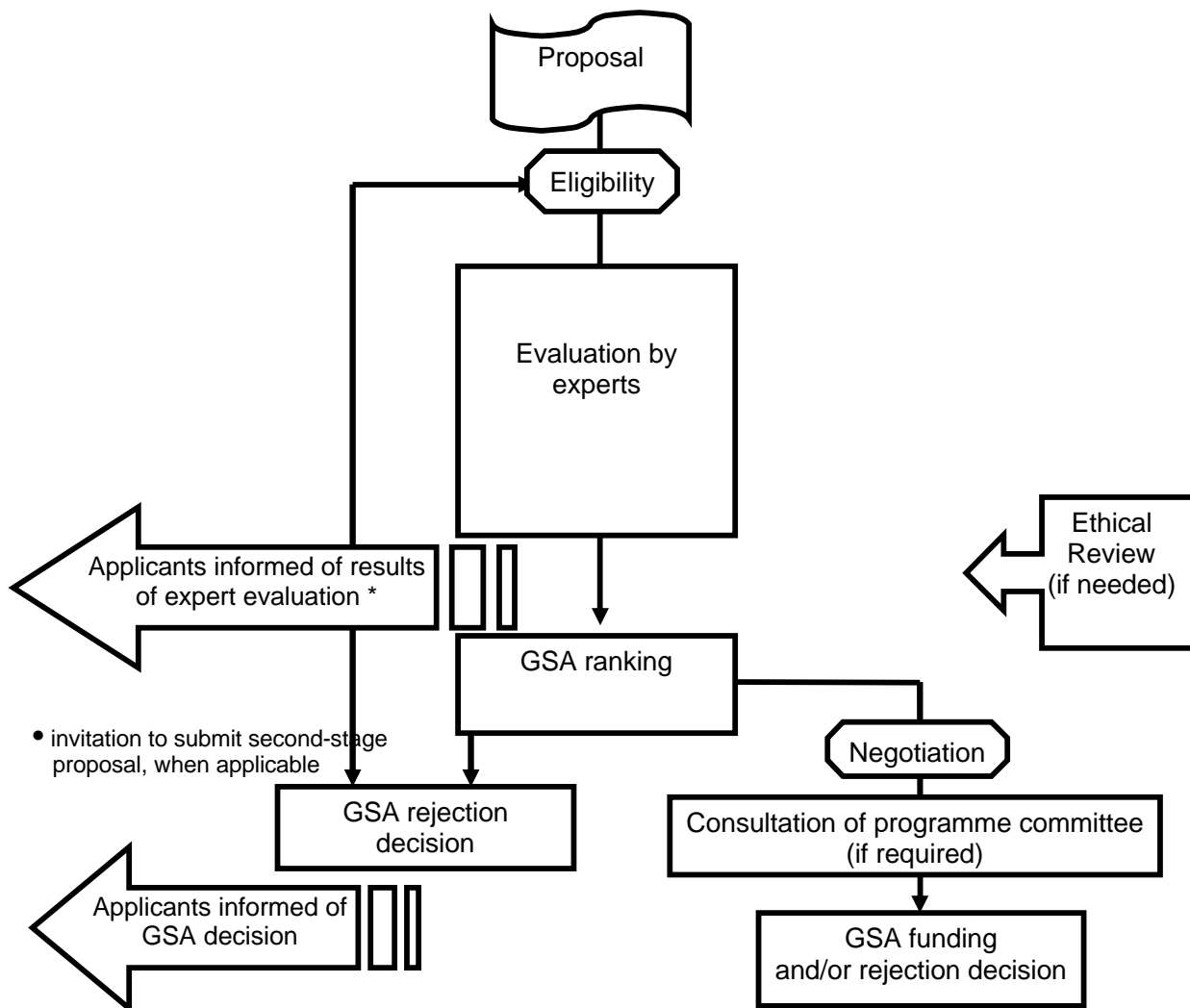


1. Getting started

Funding decisions in the Seventh Framework Programme (FP7) are made on the basis of **proposals** submitted following **Calls** published by the European GNSS Supervisory Authority (hereinafter referred to as "the GSA"). Proposals describe planned research activities, information on who will carry them out, and how much they will cost. They must be submitted using a special web-based service before a strictly-enforced **deadline** (please refer to the procedure described in annex 6 for the specific provisions relating to security sensitive proposals). The GSA 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 GSA then **negotiates** with some or all of those whose proposals have successfully passed the evaluation stage, depending on the budget available. If negotiations are successfully concluded, **grant agreements** providing for an EU financial contribution are established with the participants.

The sequence of steps is summarised in this flow chart:



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

IMPORTANT: You must also refer to the specific **description of topics** 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.

*Please check that this is the right guide for you by consulting the description of topics, 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 description of topics are essential reading. However, you may also wish to consult other reference and background documents, particular those relating to negotiation and the grant agreements, which are available on the Commission's CORDIS web site (see



annex 1 to this guide) and on the Participant Portal:
<http://ec.europa.eu/research/participants/portal>.

2. About the funding scheme: Collaborative Projects

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 **Collaborative Project** 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, or in the description of topics.

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

2.2 Collaborative Projects

Purpose

Collaborative Projects are objective driven research projects aiming at developing new knowledge, new technology, products, and that may include scientific coordination, demonstration activities or sharing of common resources for research in order to improve European competitiveness or to address major societal needs. As such, they may also be targeted to special groups, such as SMEs and other smaller actors.

Specific Programmes concerned

This Funding Scheme is to be used for the implementation of the actions under the Specific Programmes "Cooperation" and "Capacities".

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 institutes, Universities, Industry, including SMEs, (Possibly) Potential end-users.



Size and resources

The size, scope and internal organisation of Collaborative Projects 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.

A Call may distinguish between different forms of Collaborative Project (projects can range from small or medium-scale focused research actions to large-scale integrating projects for achieving a defined objective) based on limits to the requested EC financial contribution. Any such limits are indicated in the call fiche, and will be applied as eligibility criteria.

Indicative average duration

Collaborative Projects are expected to last typically from 6 to 24 months. However, there is no formal minimum or maximum duration.

Activities

The activities to be carried out in the context of a Collaborative Project should include:

- research and technological development activities, reflecting the core activities of the project, aimed at a significant advance beyond the established state-of-the-art, including scientific coordination

and/or

- demonstration activities, designed to prove the viability of new technologies that offer a potential economic advantage, but which cannot be commercialised directly (e.g. testing of product-like prototypes)

and

- management activities, over and above the technical management of individual work packages, linking together all the project components and maintaining communications with the GSA.
- any other activities such as:
 - activities directly related to the project's objectives (as identified in the relevant work programme or description of topics) and likely to have a potential impact on the outcome of the project (e.g. debates and initiatives on issues such as ethics, gender, socio-economic, etc.);
 - activities to disseminate research results and to prepare for their take-up and use, including knowledge management and, activities directly related to the protection of foreground;
 - training of researchers and key staff, including research managers and industrial executives (in particular for SMEs) and any potential users of the knowledge generated by the project. The training should aim to improve the professional development of the personnel concerned.



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 description of topics shall specify whether other forms of reimbursement are to be used in the actions concerned. International Cooperation Partner Countries (see annex 5) may opt for a lump sum.

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 GSA. The Coordinator 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 description of topics, to check all the **eligibility criteria** and any other additional conditions that apply.

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

National Contact Points

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

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

Designated Security Authority

You may also need to contact your Designated Security Authority (DSA) if your proposal is security sensitive (see annex 6).

The Designated Security Authority is the security authority designated by the National Security Authority (NSA) of a participating State to be responsible for the coordination and implementation of national, ESA and EU industrial security aspects of the European GNSS programmes.



The list of DSA/NSAs is available through the European GNSS Programme Security Instruction (PSI) that you can request at GSA-FP7-Call-1@gsa.europa.eu

Other sources of help

Annex 1 to 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.
- A dedicated helpdesk has been set up to deal with technical questions related to the **Electronic Proposal Submission Service (EPSS)**. See section 3.2 below.
- A dedicated helpdesk has been set up to deal with questions related to research ethics issues.
- A further helpdesk providing assistance on intellectual property matters.
- Any other guidance documents or background information relating specifically to this Call.
- The date and contact address for any '**information day**' that the GSA may be organising for this Call.
- Other services, including partner search facilities, provided via the CORDIS web site.

Who can participate?

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

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

However, there are certain minimum conditions that have to be met relating to participation from the EU and Associated Countries. These conditions vary between funding schemes, and may vary from Call to Call. See the Call Fiche for the conditions applicable to this Call.

EU Member States

The EU Member States are:

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

Associated Countries (AC)

The Associated Countries are:



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

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

Security sensitive proposals

The European GNSS Programme Security Instruction restricts the participants to EU Member States, Norway and Switzerland.

In the event of requested access to classified information provided by the ESA GalileoSat programme, the GalileoSat Programme Security Instruction restricts the participants to Austria, Belgium, Denmark, Finland, France, Germany, Ireland, Italy, Luxembourg, The Netherlands, Portugal, Spain, Sweden, and the United Kingdom.

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 5.
- 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, on behalf of the GSA, has to verify the existence and legal status of all participants. This verification is made only once for each organisation at the time of its first participation in FP7. The details of all validated organisations are stored in the internal Commission database, accessible for restricted users from the Participant Portal. These organisations are allocated a unique code, the so-called **Participant Identification Code (PIC)**. In any further participation in other proposals, the organisations already validated use the PIC for their identification with the GSA and/or the Commission.*



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

International cooperation

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

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

Please check the work programme, including the Call Fiche, or the description of topics to see if these possibilities apply to this Call.

More detailed practical advice on cooperation with "Third Country Participants" in FP7 can be found here: ftp://ftp.cordis.europa.eu/pub/fp7/docs/guideline-third-country-participants_en.pdf

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 heritable¹;
- research activities intended to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.

As regards human embryonic stem cell research, the Commission will maintain the practice of the Sixth Framework Programme, which excludes from EU financial support research activities destroying human embryos, including for the procurement of stem cells. The

¹ Research relating to cancer treatment of the gonads can be financed.



exclusion of funding of this step of research will not prevent EU funding of subsequent steps involving human embryonic stem cells.

For additional information on the Ethics Review procedure see:

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

Risk-Sharing Finance Facility (RSFF)

This innovative debt-based facility, designed by the European Commission and the European Investment Bank creates an additional capacity of up to EUR 10 billion for financing higher risk research, technological development, demonstration and innovation activities. The EIB 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

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 GSA 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 of 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 Electronic Proposal Submission Service (EPSS) described below.

A maximum length may be specified for the different sections of Part B or for Part B as a whole (see annex 4 to this Guide). You must keep your proposal within these limits.



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

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

Proposal language

Proposals are to be submitted exclusively in English.

3.2 Proposal submission

About the EPSS

Proposals must be submitted electronically, using the Commission's **Electronic Proposal Submission Service (EPSS)**. Proposals arriving at the GSA by any other means are regarded as 'not submitted', and will not be evaluated².

However, for security sensitive proposals, classified material cannot be submitted via EPSS. Submission of such additional classified material shall follow the specific procedure described in annex 6.

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

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

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

The most important points are explained below.

Use of the system by the proposal Coordinator

As a Coordinator you can:

² In exceptional cases, when a proposal Coordinator has absolutely no means of accessing the EPSS, and when it is impossible to arrange for another member of the 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 GSA 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.



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

Use of the system by the other participants

Other participants can:

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

Participant Identification Codes (PICs)

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

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

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

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

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

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

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



Further details on the appointment of LEARs and the use of PICs can be found in the FAQs of the Participant Portal: <https://ec.europa.eu/research/participants/portal> and on Cordis: http://cordis.europa.eu/fp7/pp_en.html.

Submitting the proposal

Only the coordinator is authorised to submit the proposal.

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

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

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

After reading the information page that then appears, it is possible to submit the proposal using the button marked "*Press this button to submit the proposal*".

The EPSS then performs an automatic validation of the proposal. A list of any problems ("validation error message") such as missing data, viruses, wrong file format or excessive file size will then appear on the screen. **Submission is blocked until these problems are corrected.** Once corrected, the Coordinator must then repeat the above steps to achieve submission.

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

The Coordinator may continue to modify the proposal and submit revised versions overwriting the previous one right up until the deadline. The sequence above must be repeated each time.

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

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

You are advised to clean your document before converting to PDF (e.g. accept any track changes). Check that your conversion software successfully converts all pages and the original document (e.g. there is no problem with page limits).

Please note that the GSA prints out proposals 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.



About the deadline

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

The EPSS will be closed for this Call at the Call deadline. After this moment, access to the EPSS for this Call will be impossible.

Do not wait until the last moment before submitting your proposal! Make sure you foresee sufficient time, a lot more is involved than just uploading a document.

Call deadlines are absolutely firm and are strictly enforced.

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

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

Submission is deemed to occur at the moment when the proposal Coordinator completes the submission sequence described above. It is not the point at which you start the upload. If you wait until too near to the close of the Call to start uploading your proposal, there is a serious risk that you will not be able to submit in time.

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

*The submission of a proposal requires some knowledge of the EPSS system, a detailed knowledge of the contents of the proposal and the authority to make last-minute decisions on behalf of the 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 EPSS service due to breakdown of the Commission server during the last 24 hours of this Call, the deadline will be extended by a further 24 hours. This will be notified by 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 CORDIS and on the Participant Portal as well as on the website of the EPSS.

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



Correcting or revising your proposal

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

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

Ancillary material

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

However, for security sensitive proposals, as classified material cannot be submitted via EPSS, submission of such additional classified material shall follow the specific procedure described in annex 6.

Withdrawing a proposal

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

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

If you wish to withdraw a proposal after the deadline, please contact the EPSS help desk.

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 GSA/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 GSA and the Commission services to take the necessary precautionary measures to ensure a sound financial management³.

EWS registrations are not publicly disclosed. However, registrations will be transferred to the Central Exclusion Database (CED) if they relate to entities that have been excluded from EU funding because they are insolvent or have been convicted of a serious professional misconduct or criminal offense detrimental to EU financial interests. The data in CED is 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.

³ 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.



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 texts⁴.

More information on the EWS and CED, can be found here:
http://ec.europa.eu/budget/sound_fin_mgt/ews_en.htm

⁴ 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

Of importance for the Consortium in general, but in particular for the Coordinator:

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 description of topics).
- **Are you applying for the right funding scheme?** Check that your proposed work falls within the scope of this Call, and that you have applied for one of the eligible funding schemes (see the description of topics). If there is a choice, have you opted for the one that best suits your needs? Check the Part A and Part B formats shown in annexes 3 and 4 to this Guide⁵
- **Is your proposal eligible?** The eligibility criteria are given in the description of topics and in 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 GSA 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 proposed work raise ethics 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 ethics issues. Proposals may be rejected on ethical grounds if such issues are not dealt with satisfactorily.
- **Does your proposal follow the required structure?** Proposals should be precise and concise, and must follow exactly the proposal structure described in this document (annex 4 to this Guide), which is designed to correspond to the evaluation criteria which will be applied. This structure varies for different funding schemes. Omitting requested information will almost certainly lead to lower scores and possible rejection.
- **Have you maximised your chances?** 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

⁵ 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 EPSS Helpdesk.



for your draft to be evaluated by experienced colleagues; use their advice to improve it before submission.

- **Is your proposal security sensitive ?** You need to submit additionally a compliance matrix to the core requirements of the Security Aspects Letter provided in annex 6.
- **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.

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?
- **Check once more the eligibility criteria mentioned in the Call documents (work programme, Call Fiche, description of topic)! This includes any budget limits.** Remember – the information given in part A is considered definitive.
- **Is your Part B in portable document format (PDF)**, including no material in other formats?
- **Is the filename made up of the letters A to Z, and numbers 0 to 9?** You must avoid special characters and spaces.
- **Have you printed out your Part B**, to check that it really is the file you intend to submit, and that it is complete, printable and readable? After the Call deadline it will not be possible to replace your Part B file.
- **Double check that you respect the font size (11 point) and the page limitations for the different chapters!**
- **Is your Part B file within the size limit of 10 Mbytes?**
- **Have you virus-checked your computer?** The EPSS will automatically block the submission of any file containing a virus.
- **Have you made yourself familiar with the EPSS in good time?**
- **Have you allowed time to submit a first version of your proposal well in advance of the deadline** (at least several days before), and then to continue to improve it with regular resubmissions?
- **Have you completed the submission process for your latest version?**

4.3 Following submission

- Information submitted to the EPSS remains encrypted until the deadline and can only be viewed by the applicant.
- It is recommended that you check that all your material has been successfully uploaded **and** submitted.
- You can revise and resubmit your proposal up to Call deadline.



5. What happens next

Shortly after the Call deadline, the GSA 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 on the A2 form for participant no. 1. Please note that the brief electronic message given by the EPSS system after each submission is not the official acknowledgement of receipt.

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

If you have not received an acknowledgement of receipt within 12 working days after the Call deadline (or cut-off date, in the case of a continuously open Call), you should contact the FP7 Enquiry Service (see annex 1 to this Guide). However, first please check that you are the person named in the proposal as contact person for partner no. 1, check the email address which you gave for yourself, and check the junk mail box of your email system for the first few days following the close of Call for any mail originating from FP7AoR@ess-fp7.org.

The GSA will check that your **proposal** meets the **eligibility criteria** that apply to this Call and funding scheme (see the description of topics and annex 2 of 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. Even if the experts viewed your proposal favourably, the GSA cannot at this stage indicate if there is a possibility of EU funding.

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 GSA also informs the relevant **programme committee**, consisting of delegates representing the governments of the Member States and Associated countries. If your proposal is considered as security sensitive, it will be scrutinised by the GSA to ensure that necessary security provisions are properly addressed.



Based on the results of the evaluation by experts, the GSA draws up the final list of proposals for possible funding, taking account of the available budget. The GSA 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 and when funds become available. In other cases, the letter will explain the reasons why the proposal cannot be funded on this occasion.

A description of the negotiation process will be provided in the **Negotiation Guidance Notes** available on CORDIS.

Negotiations between the applicants and the GSA 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 GSA will be working within a predetermined budget envelope. They will also refer to any recommendations which the experts may have made concerning modifications to the work presented in the proposal, as well as any recommendations arising from an ethics review of your proposal if one was carried out. Where relevant, security aspects shall also be considered (see annex 6).

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.

Members of the proposal Consortium may be invited to GSA premises to facilitate the negotiation.

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

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

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



European GNSS Supervisory Authority

Applicants are reminded that the GSA, as well as the European Commission, 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 GSA and/or 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.



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 e-mail shortly after the deadline that a proposal has been successfully submitted (but not that it is necessarily eligible). Contact the *helpdesk* urgently if you do not receive such an acknowledgement.

Applicant

The term used generally in this guide for a person or entity applying to a Call for Proposals. The term 'participant' is used in the more limited sense of a member of a proposal or project Consortium (see below).

Associated Countries

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

Call for Proposals (or "Call")

An announcement, usually in the *Official Journal*, inviting proposals for research activities in a certain theme. Full information on the Call can be found on the *CORDIS* and *Participant Portal* websites.

Classified information

The term 'EU classified information' (EUCI) means any information and material, an unauthorised disclosure of which could cause varying degrees of prejudice to EU interests or to one or more of its Member States, whether such information originates within the EU or is received from Member States, third States or international organisations.

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 GSA.

CORDIS Service

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

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 GSA, and when the *Electronic Proposal Submission Service* closes for that Call. Deadlines are strictly enforced.

Deliverable

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

Description of topics

The description of topics contains the details of the topics addressed in the Calls for Proposals, including for instance the schedule, indicative budgets, or the evaluation procedure.

Designated Security Authority (DSA)

The security authority designated by the National Security Authority (NSA) of a participating State to be responsible for the coordination and implementation of national, ESA and EU industrial security aspects of the European GNSS programmes. The function of DSA may be carried out by the NSA.

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.

Electronic Proposal Submission Service (EPSS)

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

Electronic Proposal Submission Service (EPSS) Helpdesk



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

Eligibility Review Committee

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

Eligibility Criteria

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

Ethics issues table

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

Evaluation Criteria

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

Evaluation Summary Report (ESR)

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

F

Facility Security Clearance (FSC)

An administrative determination by the DSA/NSA of the country where the facility is located that, from a security point of view, a facility can afford adequate security protection to information classified CONFIDENTIEL UE or equivalent or above and its personnel who require access to classified information have been appropriately security cleared and briefed on the relevant security requirements necessary to access and protect classified information.

FP7 enquiry service

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

Funding Scheme

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

G

Grant Agreement (GA)

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



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 submitted 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 GSA 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

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

International Cooperation Partner Countries (ICPC)

A list of low-income, lower-middle income and upper-middle-income countries, provided in annex 5. Organisations from these countries can participate and receive funding in FP7, providing that certain minimum conditions are met.

International European Interest Organisation

International organisation, 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 point for the GSA 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 (GA) have got the option between being reimbursed on the basis of eligible costs or on the basis of lump sums. This option can be made (and changed) up to the moment of the signature of the GA. Once made, it will apply during the whole duration of the GA 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. Whatever the final option chosen, the maximum GSA contribution for the project will remain.

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).

National Security Authority (NSA)

The Authority of an EU or ESA Member State which is responsible for the maintenance of standards for the security of national, EU or ESA classified information, at home or abroad.

Negotiation

The process of establishing a grant agreement between the GSA 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 EPSS.

Part B

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

Part B template

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

Participants

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



Participant Identification Code (PIC)

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

Participant Portal

The single entry point for interaction with the Research Directorates-General of the European Commission. It hosts a full range of services that facilitate the monitoring and the management of proposals and projects throughout their lifecycle, including Calls for Proposals, and access to the Electronic Proposal Submission Service.

Personnel Security Clearance (PSC)

A determination that an individual is eligible to have access to information classified CONFIDENTIAL and above.

Programme Committee

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

Programme Security Instruction (PSI)

a compilation of security regulations and procedures, based upon the appropriate security rules and regulations, which are applied to a specific project or programme in order to standardise security procedures. The PSI also constitutes an annex to a main agreement, and may be revised throughout the project lifecycle. It is complemented by a Security Classification Guide that is attached to it.

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 Redress Committee does not itself evaluate the proposal. It is possible that the Redress 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 may only be financed if funds become available following the negotiation of projects 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

Security Aspects Letter (SAL)

A set of special contractual conditions which forms an integral part of a classified agreement involving access to or generation of classified information, that identifies the security requirements or those elements of the agreement requiring security protection.

Security Classification Guide (SCG)

An annex to the Programme Security Instruction that identifies the classification level of information in the frame of a classified programme.

Security sensitive project

A security sensitive project is a project that will need to handle classified information or exchange sensitive material subject to transfer or export licensing or addressing a topic subject to specific national or international legal restrictions.

SME

'SMEs' are micro, small and medium-sized enterprises. SMEs are defined in Recommendation 2003/361/EC of 6 May 2003. The new European SME definition (Commission Recommendation 2003/361/EC) is the legal basis for determining whether an organisation is a SME or not. The new European definition of a SME came into force on 1 January 2005 raising the financial ceiling above which a company is no longer classified as SME. To qualify as an SME, a company has to meet four requirements: 1. be an organisation or enterprise engaged in economic activity; 2. have fewer than 250 employees, calculated as annual working units (AWU); 3. have an annual turnover of €50 million or less, or have a balance sheet not exceeding €43 million; and 4. be autonomous in terms of managerial independence and the ownership of its equity. This requirement entails several conditions. Full details of the EU definition can be found at: http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/index_en.htm

Specific flat rate (60%)

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

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.

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.



Annex 1:

Timetable and specific information for this Call

- The **descriptions of topics** provide the essential information for submitting a proposal to this Call. They describe the content of the topics to be addressed, and details on how they will be implemented. The descriptions of topics are available on the CORDIS and 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.
- **Indicative timetable for this Call**

Publication of Call	<i>20 July 2010</i>
Deadline for submission of proposals	<i>16 December 2010, 17:00 PM</i>
Evaluation of proposals	<i>January/February 2011</i>
Evaluation Summary Reports sent to proposal Coordinators ("initial information letter")	<i>February 2011</i>
Invitation letter to successful Coordinators to launch grant agreement negotiations with the GSA	<i>April/May 2011</i>
Letter to unsuccessful applicants	<i>From June 2011</i>
Signature of first grant agreement	<i>From June 2011</i>

- **Further information and help**

The CORDIS 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

CORDIS call page

<http://cordis.europa.eu/fp7/dc/index.cfm>

Participant Portal

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

GSA contact point

GSA-FP7-Call-1@gsa.europa.eu

An Information Day related to this Call is planned to take place on 22 September 2010 at EC building Charlemagne Conference Centre, Rue de la Loi n° 170 in B-1000 Brussels. You will find more information on this Information Day on the GSA website <http://gsa.europa.eu>



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

Specialised and technical assistance:

CORDIS Helpdesk	http://cordis.europa.eu/guidance/helpdesk/home_en.html
EPSS Helpdesk	support@epss-fp7.org
IPR Helpdesk	http://www.ipr-helpdesk.org
Ethics Helpdesk	http://cordis.europa.eu/fp7/get-support_en.html

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

FP7 Legal basis documents generally applicable

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

Legal documents for implementation

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

Guidance documents

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

Other supporting information

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

Ethics Review

- Ethics check list
- Supporting documents



Annex 2:

Evaluation criteria and procedures to be applied for this Call

1. General

The evaluation of proposals is carried out by the GSA with the assistance of independent experts.

GSA and Commission staff ensures that the process is fair, and in line with the principles contained in the Commission's rules⁶.

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

In addition, an independent expert will be appointed by the Commission to observe the evaluation process from the point of view of its working and execution. The role of the observer is to give independent advice to the GSA 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 will not express views on the proposals under examination or the experts' opinions on the proposals.

2. Before the evaluation

On receipt by the GSA, 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 GSA 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 GSA before the deadline stated in the Call Fiche.
- It involves at least the minimum number of participants stated in the Call Fiche.
- It is complete (i.e. both the requested administrative forms and the proposal description are present).
- The content of the proposal relates to the topic(s) and funding scheme(s), including any special conditions set out in the relevant parts of the description of topics. To satisfy this condition, part B of the proposal must be readable, accessible and printable.
- Any other additional eligibility criteria: please refer in particular to annex 6 where specific criteria are of application for security sensitive proposals.

⁶ Rules for submission of proposals, and the related evaluation, selection and award procedures (posted on CORDIS).



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

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

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

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

In constituting the lists of experts, the GSA 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.

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

3. Evaluation of proposals

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

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

The proposal will be evaluated against pre-determined evaluation criteria.



Evaluation criteria applicable to Collaborative Projects		
S/T QUALITY “Scientific and/or technological excellence (relevant to the topics addressed by the Call)”	IMPLEMENTATION “Quality and efficiency of the implementation and the management”	IMPACT “Potential impact through the development, dissemination and use of project results”
<ul style="list-style-type: none"> • Soundness of concept, and quality of objectives • Progress beyond the state-of-the-art • Quality and effectiveness of the S/T methodology and associated work plan 	<ul style="list-style-type: none"> • 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) • Appropriateness of the allocation and justification of the resources to be committed (budget, staff, equipment, ...) • Where applicable, appropriate addressing of necessary security provisions 	<ul style="list-style-type: none"> • Contribution, at the European [and/or international] level, to the expected impacts listed in the description of topics under the relevant topic/activity • Appropriateness of measures for the dissemination and/or exploitation of project results, and management of intellectual property, taking into account where applicable the specificities of the security environment

In some cases, more information on the interpretation of these sub-criteria for a specific topic can be found in the detailed descriptions of topics.

Where a description of topic specifically highlights a research area which is particularly well suited for international cooperation, the inclusion of a relevant third country partner or partners could add to the scientific and/or technological excellence of the project and/or lead to an increased impact of the research to be undertaken.

These aspects will be considered specifically during the evaluation of all topics concerned by International Cooperation. For further information see the descriptions of topics concerned.

Evaluation scores will be awarded for each of the three criteria, and not for the sub-criteria. The 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.



The relevance of a proposal will be considered in relation to the topic(s) of the description of topics 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 - | <i>The proposal fails to address the criterion under examination or cannot be judged due to missing or incomplete information</i> |
| 1 - | <i>Poor. The criterion is addressed in an inadequate manner, or there are serious inherent weaknesses.</i> |
| 2 - | <i>Fair. While the proposal broadly addresses the criterion, there are significant weaknesses.</i> |
| 3 - | <i>Good. The proposal addresses the criterion well, although improvements would be necessary.</i> |
| 4 - | <i>Very good. The proposal addresses the criterion very well, although certain improvements are still possible.</i> |
| 5 - | <i>Excellent. The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor.</i> |

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 reports that will be used by the experts in this Call will be made available on CORDIS and on the Participant Portal.

Conflicts of interest: Under the terms of the appointment letter, experts must declare beforehand any known conflict of interest, and must immediately inform a GSA staff member if one becomes apparent during the course of the evaluation. The GSA 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 provided by the GSA 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.

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 provided, if considered relevant.

The experts will also indicate whether, in their view, the proposal raises research ethics issues or if it requires further scrutiny with regard to security sensitivity considerations.

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 completely out of scope of the Call during the course of the individual evaluation, and therefore not relevant. If an expert suspects that this may be the case, a GSA staff member will be informed immediately, and the views of the other experts will be sought.

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

5. Consensus meeting

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

This entails a consensus meeting to discuss the scores awarded and to prepare comments.

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

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

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 GSA may ask up to three additional experts to examine the proposal.

Ethics issues: If one or more experts have noted that there are ethics issues touched on by the proposal, the relevant box on the consensus report (CR) should be ticked and an Ethics Issues



Report (EIR) should be completed stating the nature and type of ethics issues involved. Exceptionally for this issue, no consensus is required.

Outcome of consensus

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

The GSA 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 GSA, the moderator gives the experts the previous evaluation summary report (see below) at 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 GSA having had an overview of the results of the consensus step.

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

The panel comprises experts involved at the consensus step. Several panels will cover the different topics and funding schemes of this Call.

In this Call, all the experts for a particular topic will examine all the proposals submitted for this topic, and will therefore carry out their final review at the same time as they prepare the consensus reports. These same experts are thus considered to constitute the panel.

The tasks of the panel will also include:

- reviewing cases where a minority view was recorded in the consensus report;
- recommending a priority order for proposals with the same consensus score;
- making recommendations on possible clustering or combination of proposals;
- making recommendations on the security sensitivity of some projects.

The panel is chaired by the GSA or by an expert appointed by the GSA. The GSA will ensure fair and equal treatment of the proposals in the panel discussions. The chairperson will also act as rapporteur.



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.

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 *scientific and/or technological excellence*. When these scores are equal, priority will be based on scores for the criterion *impact*. If necessary, any further prioritisation will be based on other appropriate characteristics, to be decided by the panel, related to the contribution of the proposal to the European Research Area and/or general objectives mentioned in the work programme (e.g. presence of SMEs, international co-operation, public engagement) and/or the descriptions of topics.
- (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 ethics issue raised and any security consideration;
- A list of proposals passing all thresholds, along with a final score for each proposal passing the thresholds and the panel recommendations for priority order;
- A list of evaluated proposals having failed one or more thresholds;
- A list of any proposals having been found ineligible during the evaluation by experts;
- A summary of any deliberations of the panel.

Since a panel can consider proposals submitted to various parts of a Call (for example different funding schemes, or different topics), the report may contain multiple lists accordingly.

The panel report is signed by at least three panel experts, including the panel rapporteur and the moderator.

7. Ethics Review of project proposals

An ethics review of above-threshold proposals may be organised by the GSA. 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.

8. Scrutiny of sensitive proposals

Where applicable, proposals shall be scrutinised by the GSA to verify that all security aspects are properly addressed.

This process could result in one of the following recommendations:

- No opposition is given and the project can be negotiated;
- Recommendations for the negotiation are given and the negotiation will be subject to conditions;
- The project should not be financed because the participants do not have the appropriate authorisation of the competent national authorities regarding Facility Security Clearance and/or Personnel Security Clearance to handle properly the classified information. In that case, the proposal will be rejected and the GSA shall update the Evaluation Summary Report accordingly to explain the reasons of rejection.



Annex 3:

Instructions for completing "Part A" of the proposal

Proposals in this Call must be submitted electronically, using the Commission's Electronic Proposal Submission System (EPSS). 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).

Section A1 gives a snapshot of your proposal, section A2 concerns you and your organisation, while section A3 deals with financial matters.

Please note:

- The Coordinator fills in sections A1 and A3.
- The participants already identified at the time of proposal submission (including the Coordinator) each fill in their respective section A2.
- Subcontractors shall not fill in section A2 and should not be listed separately in section A3.
- 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 should be added to the Coordinator's budget. Their role, profile and tasks are described in Part B of the proposal.

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

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

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



COLLABORATIVE PROJECTS

Section A1: Summary	
Proposal Acronym	<p>The short title or acronym will be used to identify your proposal efficiently in this Call. It should be of <u>no more than 20 characters</u> (use standard alphabet and numbers only; no symbols or special characters please).</p> <p>The same acronym should appear on each page of Part B of your proposal.</p>
Collaborative Projects	<p>For each type of Collaborative Projects, please refer to the description of topics.</p>
Proposal Title	<p>The title should be <u>no longer than 200 characters</u> and should be understandable to the non-specialist in your field.</p>
Classification level of the activities	<p>Please insert the expected maximum classification level (UNCLASSIFIED, RESTREINT UE, CONFIDENTIEL UE or SECRET UE - see details in Annex 6) of the activities to be carried out or the documentation to be handled (note that classification level of the activities may be different from the one of the deliverables) during execution of the project.</p>
Duration in months	<p>Insert the estimated duration of the project in full months.</p>
Call (part) identifier	<p>[pre-filled] The Call identifier is the reference number given in the Call or part of the Call you are addressing, as indicated in the Call Fiche, the publication of the Call in the Official Journal of the European Union, and on the CORDIS call page. A Call identifier looks like this: <i>FP7-GALILEO-20XX-GSA-X</i>.</p>
Topic code(s) most relevant to your proposal	<p>Please refer to the topic codes /objectives listed in the work programme Call Fiche.</p> <p>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.</p> <p>The choice of the first topic code will be limited in the drop-down menu to one of the topics open in this Call. Select the code corresponding to the topic most relevant to your proposal.</p> <p>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.</p> <p>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.</p>
Free Keywords	<p>Please enter a number of keywords that you consider sufficient to characterise the scope of your proposal.</p> <p>There is <u>a limit of 100 characters</u>.</p>
Abstract	<p>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 description of topics. 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.</p> <p>There is <u>a limit of 2000 characters</u>.</p>
Similar proposals or	<p>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.</p>



European GNSS Supervisory Authority

signed contracts	
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Section A2/ Participants	
Participant number	The number allocated by the Consortium to the participant for this proposal. The Coordinator of a proposal is always number one.
Participant Identification 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/portal) before submitting the proposal and insert in section A2 the temporary PIC received at the end of the self-registration.
Legal name	<p>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;</p> <p>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.</p> <p>For a natural person, it is for e.g. Mr Adam JOHNSON, Mrs Anna KUZARA, and Ms Alicia DUPONT.</p>
Organisation Short Name	<p>Choose an abbreviation of your Organisation Legal Name, only for use in this proposal and in all relating documents.</p> <p>This short name should not be more <u>than 20 characters</u> 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.</p>
Legal address	<p>For Public and Private Law Bodies, it is the address of the entity's Head Office.</p> <p>For individuals it is the Official Address.</p> <p>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.</p>
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	<p>NACE means "<u>N</u>omenclature des <u>A</u>ctivités économiques dans la <u>C</u>ommunauté <u>E</u>uropéenne".</p> <p>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:</p> <p>http://ec.europa.eu/eurostat/ramon/nomenclatures/index.cfm?TargetUrl=LST_CLS_DLD&StrNom=NACE_1_1&StrLanguageCode=EN&StrLayoutCode=HIERARCHIC .</p>



Small and Medium-Sized Enterprises (SMEs)	<p>SMEs are micro, small and medium-sized enterprises within the meaning of Recommendation 2003/361/EC in the version of 6 May 2003. The full definition and a guidance booklet can be found at http://ec.europa.eu/enterprise/enterprise_policy/sme_definition/index_en.htm</p> <p>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</p>
Dependencies with (an) other participant(s)	<p>Two participants (legal entities) are dependent on each other where there is a controlling relationship between them:</p> <ul style="list-style-type: none"> - 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). <p>Control: Legal entity A controls legal entity B if:</p> <ul style="list-style-type: none"> - 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. <p>The following relationships between legal entities shall not in themselves be deemed to constitute controlling relationships:</p> <ul style="list-style-type: none"> (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	<p>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:</p> <ul style="list-style-type: none"> • 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	<p>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 GSA will contact concerning the proposal (e.g. for additional information, invitation to hearings, sending of evaluation results, convocation to negotiations).</p>
Title	<p>Please choose one of the following: Prof., Dr., Mr., Mrs, Ms.</p>
Sex	<p>This information is required for statistical and mailing purposes. Indicate F or M as appropriate.</p>
Phone and fax numbers	<p>Please insert the full numbers including country and city/area code. Example +32-2-2991111.</p>

Section A3/Budget



<p>Indirect Costs</p>	<p>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.</p>
<p>Method of calculating indirect costs</p>	<p>Summary description (as displayed on EPSS)</p> <ul style="list-style-type: none"> • 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 foreseen 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. <p>Further guidance</p> <p>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.</p> <p>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..</p> <p>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.</p> <p>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.</p> <p>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:</p> <ul style="list-style-type: none"> - 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. <p><i>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...)</i></p> <p>The simplified method does not require previous registration or certification by the Commission.</p> <p>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.</p> <p>3. Also, a specific flat rate is foreseen for certain types of organisations.</p> <p>The use of this flat rate is subject to three cumulative conditions :</p>



<p>(i) Status of the organisation</p> <p>The flat rate is reserved to:</p> <ul style="list-style-type: none">- non-profit public bodies- secondary and higher education establishments- research organisations- SMEs <p>(ii) Accounting system of the organisation</p> <p>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.</p> <p><i>Example:</i> 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:</p> <ul style="list-style-type: none">- either opt for the 60% flat rate, 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. <p>Following this, an organisation which used the "full cost" model under the Sixth Framework Programme 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.</p> <p>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.</p> <p>(iii) Type of funding scheme</p> <p>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).</p>



	<p style="text-align: center;">Indirect Costs - Decision Tree</p> <p>Do either of these conditions apply? (1) your organisation possesses an analytical accounting system, or (2) you will declare overhead rates using a simplified method</p> <div style="display: flex; justify-content: space-around; align-items: center;"> <div style="text-align: center;"> <p>YES</p> <p>↓</p> <div style="border: 1px solid black; padding: 5px; width: 150px; margin: 0 auto;">Real indirect costs or costs calculated using a simplified method</div> <div style="border: 1px solid black; padding: 2px; width: 100px; margin: 5px auto; text-align: center;">or</div> <div style="border: 1px solid black; padding: 5px; width: 600px; margin: 0 auto; text-align: center;">20% of total direct eligible costs (1)</div> <div style="border: 1px solid black; padding: 2px; width: 100px; margin: 5px auto; text-align: center;">or</div> <div style="border: 1px solid black; padding: 5px; width: 300px; margin: 0 auto;"> <p style="text-align: center;">60% of total direct eligible costs (1), for :</p> <ul style="list-style-type: none"> - Non-profit public bodies, secondary and higher education establishments, research organisations and SMEs - When participating in funding schemes which include research and technological development </div> </div> <div style="text-align: center;"> <p>No</p> <p>↓</p> <div style="border: 1px solid black; padding: 5px; width: 600px; margin: 0 auto; text-align: center;"> <p style="text-align: center;">Coordination and support actions : In any case Maximum 7% of the direct eligible costs (1)</p> </div> </div> </div> <p><i>(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.</i></p>
<p>International Cooperation Partner Country (ICPC)</p>	<p>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 5.</p>
<p>Lump sum funding method</p>	<p>See Annex 5. 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.</p> <ul style="list-style-type: none"> • 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 <p>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.</p> <p>More information on ICPC lump sums can be found in the section II.18 of the "Guide to financial issues" http://cordis.europa.eu/fp7/find-doc_en.html</p>



<p>Type of Activity</p>	<ul style="list-style-type: none"> • RTD activities means activities directly aimed at creating new knowledge, new technology, and products including scientific coordination. • Demonstration activities means activities designed to prove the viability of new technologies that offer a potential economic advantage, but which cannot be commercialised directly (e.g. testing of product like prototypes). • Other activities means any specific activities not covered by the above mentioned types of activity such as training, coordination, networking and dissemination (including publications). These activities should be specified in the proposal Part B. • Management activities are part of the other activities. They 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.
<p>Personnel costs</p>	<p>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:</p> <ul style="list-style-type: none"> – 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. <p>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.</p>
<p>Sub-contracting</p>	<p>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.</p> <p>Where it is necessary for the participants to subcontract certain elements of the work to be carried out, the following conditions must be fulfilled:</p> <ul style="list-style-type: none"> - 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; <p>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.</p> <p>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.</p> <p>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).</p>



Other direct costs	Means direct costs not covered by the above mentioned categories of costs.												
Total Budget	<p><i>Note: The "total budget" is not the requested EC contribution.</i></p> <p>A sum of all the eligible costs, under the respective types of activity.</p>												
Requested EC contribution	<p>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 GSA, or to the flat rates or lump sums.</p> <p>Maximum reimbursement rates of eligible costs</p> <table border="1" data-bbox="376 669 1457 1050"> <thead> <tr> <th data-bbox="376 669 818 835"></th> <th data-bbox="818 669 1161 835">Non-profit public bodies, secondary and higher education establishments, research organisations and SMEs</th> <th data-bbox="1161 669 1457 835">All other organisations</th> </tr> </thead> <tbody> <tr> <td data-bbox="376 835 818 907">Research and technological development activities</td> <td data-bbox="818 835 1161 907">60%</td> <td data-bbox="1161 835 1457 907">40%</td> </tr> <tr> <td data-bbox="376 907 818 978">Demonstration activities</td> <td data-bbox="818 907 1161 978">50%</td> <td data-bbox="1161 907 1457 978">40%</td> </tr> <tr> <td data-bbox="376 978 818 1050">Management, audit certificates and other activities</td> <td data-bbox="818 978 1161 1050">100%</td> <td data-bbox="1161 978 1457 1050">80%</td> </tr> </tbody> </table>		Non-profit public bodies, secondary and higher education establishments, research organisations and SMEs	All other organisations	Research and technological development activities	60%	40%	Demonstration activities	50%	40%	Management, audit certificates and other activities	100%	80%
	Non-profit public bodies, secondary and higher education establishments, research organisations and SMEs	All other organisations											
Research and technological development activities	60%	40%											
Demonstration activities	50%	40%											
Management, audit certificates and other activities	100%	80%											
Total Receipts	<p><i>Note: The term "receipts" is not the requested EC contribution.</i></p> <p>Receipts of the project may arise from:</p> <ul style="list-style-type: none"> a) Financial transfers or contributions in kind free of charge to the participant from third parties: <ul style="list-style-type: none"> 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 <u>not</u> be considered a receipt of the project if their use is at the management discretion of the participant. b) Income generated by the project: <ul style="list-style-type: none"> 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 <u>not</u> be considered a receipt for the participant when generated from the use of foreground resulting from the project. <p>The GSA financial contribution may not have the purpose or effect of producing a profit for the participants. For this reason, the total requested GSA funding plus receipts cannot exceed the total eligible costs.</p>												



Annex 4:

Instructions for drafting "Part B" of the proposal

Collaborative Project

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.

IMPORTANT: Page limits: remember to keep to maximum page limits where these are specified, either here or in the description of topics.

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).

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

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

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

The GSA will instruct the experts to disregard any excess pages.

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

IMPORTANT: additional instructions for drafting part B of the proposal can be found in the descriptions of topics.

Cover Page

Proposal full title:

Proposal acronym:

DECLARATION: This proposal concerns/does not concern a security sensitive project. The expected maximum classification level of the activities to be carried out or the documentation to be handled during execution of the project is (UNCLASSIFIED, RESTREINT UE, CONFIDENTIEL UE or SECRET UE - see details in Annex 6. Note that the classification level of the activities may be different from the one of the deliverables).

(Please note that no classified information is allowed in any proposal submitted electronically through the EPSS system under the Call. Submission of additional classified material shall follow the specific procedure described in annex 6 (do not forget to affix the appropriate classification level centred at the top and bottom of every page of the additional material).



Type of funding scheme:

Collaborative Project

If a distinction is made in the Call, please state which type of Collaborative Project your proposal relates to: (i) Small or medium-scale focused research project; (ii) Large-scale integrating project; (iii) Project targeted to special groups such as SMEs and other smaller actors.

Call topic addressed:

Name of the coordinating person:

List of participants:

Participant no. *	Participant organisation name	Complete address	Phone	Fax	Website
1 (Coordinator)					
2					
3					

* Please use the same participant numbering as that used in section A2 of the administrative forms

Table of Contents

Proposal

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

1.1 Objectives

Describe in detail the S/T objectives. Show how they relate to the topic addressed by the Call, which you should explicitly identify. 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 1.3 below.

A table of compliance to the requirements of the description of topics would be appreciated.

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 S/T methodology and associated work plan

A detailed work plan should be presented, broken down into work packages¹ (WPs) which should follow the logical phases of the implementation of the project, and include

¹ 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.



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:

- i) Describe the overall strategy of the work plan.
- ii) Show the overall project planning with 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 Breakdown Structure and/or work packages list (please use table 1.3a);
 - § Deliverables list (please use table 1.3b);
 - § List of milestones (please use table 1.3c);
 - § Description of each work package (please use table 1.3d);
 - § Summary effort table (please use table 1.3e);
 - § List of meetings and travel plan (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.

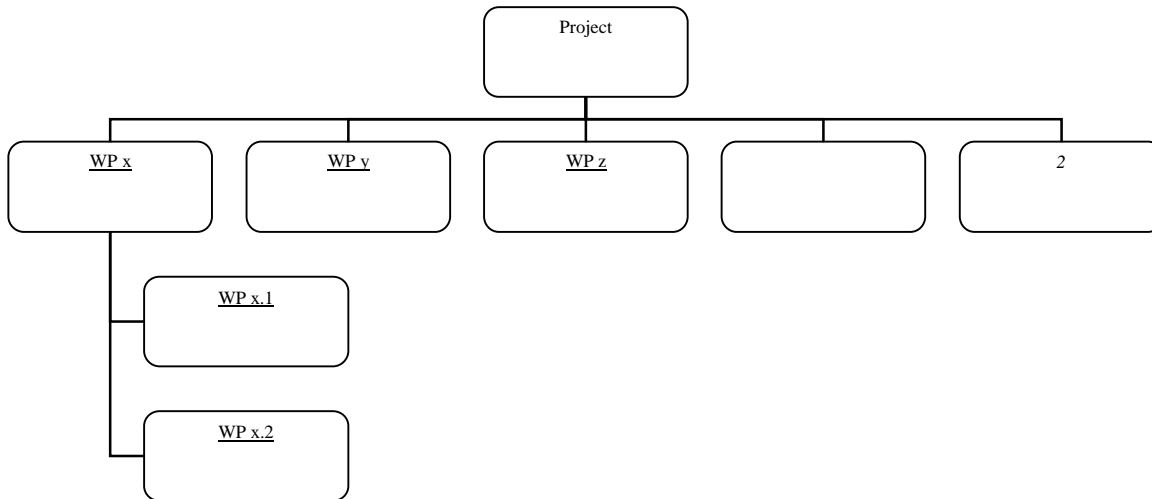
Note:

- 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 GSA.

Maximum length for the whole of Section 1: Twenty pages. This limit does not include the Gantt chart under 1.3 ii), the tables 1.3a-f, and the Pert diagram under 1.3 iv).



Table 1.3 a: Work Breakdown Structure and/or work packages list



Work package No ¹	Work package title	Type of activity ²	Lead participant No ³	Lead partic. short name	Person-months ⁴	Start month ⁵	End month ⁵
	TOTAL						

¹ Work package number: WP 1 - WP n.

² Please indicate one activity per work package: RTD = Research and technological development (including scientific/technical coordination activities); DEM = Demonstration; MGT = Management of the Consortium; OTHER = Other specific activities, if applicable in this Call including any activities of training, dissemination, networking, promotion and/or exploitation of project results, and coordination activities.

³ Number of the participant leading the work in this work package.

⁴ The total number of person-months allocated to each work package.

⁵ Measured in months from the project start date (T₀+...).



Table 1.3 b: Deliverables List

Del. no. ¹	Deliverable title	version	WP no.	Nature ²	Dissemination level ³	Delivery date ⁴

1 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.

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

3 Please indicate the dissemination level using one of the following codes:
PU = Public
PP = Restricted to other programme participants (including the GSA).
RE = Restricted to a group specified by the Consortium (including the GSA).
CO = Confidential, only for members of the Consortium (including the GSA).
CL R-UE = Classified with the mention of the classification level restricted "RESTEINT UE" (see annex 6).
CL C-UE = Classified with the mention of the classification level confidential "CONFIDENTIEL UE" (see annex 6).
CL S-UE = Classified with the mention of the classification level secret "SECRET UE" (see annex 6).

4 Measured in months from the project start date (T₀+...).



Table 1.3c: List of milestones

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

Milestone name	Work package(s) involved	Expected date ¹	Means of verification²

¹ Measured in months from the project start date (T₀+...).

² 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 1.3d: Work package description

For each work package:

Work package title								WP nr	
								Start date/event	
								End date/event	
Activity Type¹									
Participant number									
Participant short name									
Effort per participant (expressed in person-months)									

Objectives

Inputs

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

Outputs and Deliverables (brief description and month of delivery)

¹ Please indicate one activity per work package: RTD = Research and technological development (including scientific/technical coordination activities); DEM = Demonstration; MGT = Management of the Consortium; OTHER = Other specific activities, if applicable (including any activities of training, dissemination, networking, promotion and/or exploitation of project results, and coordination activities).



Table 1.3e: Summary of staff effort

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

Participant nr.	Participant short name	WP1	WP2	WP3	...	Total person-months
1						
2						
3						
etc						
Total						



Table 1.3f List of meetings and travel plan

Meeting description	Location	Participants from the Consortium	Nature ¹	Expected date ² and duration

¹ Please indicate the nature of the meeting: kick-off meeting, progress meeting, technical coordination meeting, mid-term review meeting, external meeting (participation to seminar, workshop, international gathering, ...), final review meeting, etc.
² Measured in months from the project start date (T₀+...).



2. Implementation

2.1 Management structure and procedures

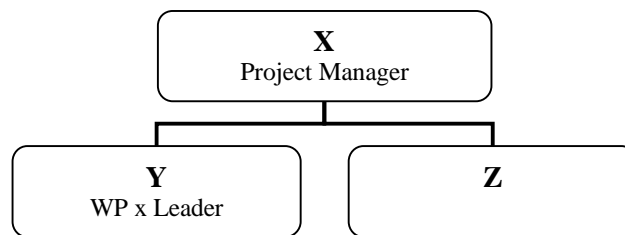
Describe the organisational structure, decision-making and coordination mechanisms of the project. Show how they are matched to the complexity and scale of the project.

Describe also any potential interfaces identified with other past and on-going projects relating to the scope of the project.

(Maximum length for Section 2.1: five pages)

2.2 Individual participants

For each participant in the proposed project, provide a brief description of the background, know-how and expertise relevant to the project. Provide also a short profile of the key personnel who will be undertaking the work, highlighting its relevant experience. Describe the project team responsibilities.



Responsibility	Name of key personnel	WP involvement	Effort allocation (in %)

(Maximum length for Section 2.2: one page per participant and ½ per key personnel). 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, 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 for the main tasks they have been attributed. Describe the role of the participants and the rationale for the composition of the Consortium through a matrix of competences. 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, and 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 one or more of the participants requesting EU funding is based in a country that is outside the EU, and is not an Associated Country, and is not on the list of International Cooperation Partner Countries¹, 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. **However, these as-yet-unidentified participants will not be counted in the minimum number of participants condition regarding the eligibility of the proposal.**

(No maximum length applies to this section)

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.

In addition to the costs indicated in Part A3 of the proposal, and the staff effort shown in section 1.3 above, please indicate any other major costs (e.g. equipment).

Please ensure that the figures stated in part B are consistent with those in Part A.

(Maximum length for Section 2.4 – two pages)

2.5 Appropriate addressing of necessary security provisions (where applicable)

Describe if your proposal is security sensitive or not. If it is security sensitive, describe why, which are the participants concerned by the sensitivity, what are the measures foreseen to cope with it and describe also your experience in managing security sensitive projects if relevant.

Append to your proposal a compliance matrix to the core requirements of the Security Aspects Letter (SAL) provided in annex 6.

¹ See Annex 5.



(Maximum length for Section 2.5 – no limit)

3. Impact

3.1 Expected impacts listed in the description of topics

Describe how your project will contribute towards the expected impacts listed in the description of topics in relation to the topic 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 (taking into account where applicable the specificities of the security environment)

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).

Describe also your plans for the management of knowledge (intellectual property) acquired in the course of the project. Please provide a list of background intellectual property rights applicable to the project.

(Maximum length for the whole of Section 3 – ten pages)

4. Ethics Issues

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

The following special issues should be taken into account:

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

Clinical Trials: approvals from national competent authorities are required.

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



happens to the animals after the research experiments. The use of animals requires permits and/or authorisations from the national competent authorities.

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

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

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

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



Note: only in exceptional cases will additional information be sought for clarification, which means that any ethics review will be performed solely on the basis of the information available in the proposal. Projects raising specific ethics issues such as research intervention on human beings¹; research on human embryos and human embryonic stem cells and non-human primates are automatically submitted for ethics review.

To ensure compliance with ethical principles, the Commission Services will undertake ethics audit(s) of selected projects at its discretion.
A dedicated website that aims to provide clear, helpful information on ethics issues is now available at: http://cordis.europa.eu/fp7/ethics_en.html
The site includes guidance documents on privacy and data protection, developing countries, informed consent procedures, etc.

¹ Such as research and clinical trials, involving invasive techniques on persons (e.g. taking of tissue samples, examinations of the brain).



ETHICS ISSUES TABLE

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

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

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

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

Research on Animals ¹		YES	Page
	Does the proposed research involve research on animals?		
	Are those animals transgenic small laboratory animals?		
	Are those animals transgenic farm animals?		
*	Are those animals non-human primates?		
	Are those animals cloned farm animals?		

¹ The type of animals involved in the research that fall under the scope of the Commission's Ethical Scrutiny procedures are defined in the Council Directive 86/609/EEC of 24 November 1986 on the approximation of laws, regulations and administrative provisions of the Member States regarding the protection of animals used for experimental and other scientific purposes Official Journal L 358 , 18/12/1986 p. 0001 - 0028



	I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL	
--	--	--

Research Involving ICP Countries ¹		YES	Page
	Is the proposed research (or parts of it) going to take place in one or more of the ICP Countries?		
	Is any material used in the research (e.g. personal data, animal and/or human tissue samples, genetic material, live animals, etc):		
	a) Collected in any of the ICP countries?		
	b) Exported to any other country (including ICPC and EU Member States)?		
	I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL		

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

5. Consideration of gender aspects

You may give an indication of the sort of actions that would be undertaken during the course of the project to promote gender equality in your project, or in your field of research (these will not be evaluated, but will be discussed during negotiations should your proposal be successful).

These could include actions related to the project Consortium (e.g. improving the gender balance in the project Consortium, measures to help reconcile work and private life, awareness raising within the Consortium) or, where appropriate, actions aimed at a wider public (e.g. events organised in schools or universities).

(Maximum length for section 5 – one page)

¹ In accordance with Article 12(1) of the Rules for Participation in FP7, ‘International Cooperation Partner Country (ICPC) means a third country which the Commission classifies as a low-income (L), lower-middle-income (LM) or upper-middle-income (UM) country. The list of countries is given in annex 5. Countries associated to the Seventh EC Framework Programme do not qualify as ICP Countries and therefore do not appear in this list.



Annex 5

List of ICPC and lump sum funding method for ICPC

The lump sum contribution for participants from International Cooperation Partner Countries (ICPC) is:

Economy of the ICPC	Contribution (€/researcher/year)
Low-income	8.000
Lower middle income	9.800
Upper middle income	20.700

Table 1: Lump sum contribution per country income group

The upper funding limits to be applied for the different funding schemes are as follows:

Funding Scheme	Non-profit public bodies, secondary and higher education establishments, research organisations and SMEs	All other organisations
Collaborative Project	60%	40%
Coordination and Support Action	100%	100%

Table 2: Upper funding limits per funding scheme and type of legal entity

For a legal entity established in an ICPC, if the lump sum option is chosen, the contribution in a project is based on the amounts in Table 1 multiplied by the total number of person-years for the project requested by the ICPC legal entity. The maximum EC contribution is calculated by applying the upper funding limits in Table 2 to the resulting amount.

This amount is all inclusive, covering support towards both the direct and the indirect costs. Data from the World Bank (July 2006) have been used to determine the ICPC income groups and are enclosed for all ICPC.



Economy	Income group
Afghanistan	Low income
Albania	Lower middle income
Algeria	Lower middle income
American Samoa	Upper middle income
Angola	Lower middle income
Argentina	Upper middle income
Armenia	Lower middle income
Azerbaijan	Lower middle income
Bangladesh	Low income
Barbados	Upper middle income
Belarus	Lower middle income
Belize	Upper middle income
Benin	Low income
Bhutan	Low income
Bolivia	Lower middle income
Bosnia and Herzegovina	Lower middle income
Botswana	Upper middle income
Brazil	Lower middle income
Burkina Faso	Low income
Burundi	Low income
Cambodia	Low income
Cameroon	Lower middle income
Cape Verde	Lower middle income
Central African Republic	Low income
Chad	Low income
Chile	Upper middle income
China	Lower middle income
Colombia	Lower middle income
Comoros	Low income
Congo, Dem. Rep.	Low income
Congo, Rep.	Lower middle income
Cook Islands	Upper middle income
Costa Rica	Upper middle income
Côte d'Ivoire	Low income
Cuba	Lower middle income
Djibouti	Lower middle income
Dominica	Upper middle income
Dominican Republic	Lower middle income
Ecuador	Lower middle income
Marshall Islands	Lower middle income
Mauritania	Low income
Mauritius	Upper middle income

Economy	Income group
Egypt, Arab Rep.	Lower middle income
El Salvador	Lower middle income
Equatorial Guinea	Upper middle income
Eritrea	Low income
Ethiopia	Low income
Fiji	Lower middle income
Gabon	Upper middle income
Gambia, The	Low income
Georgia	Lower middle income
Ghana	Low income
Grenada	Upper middle income
Guatemala	Lower middle income
Guinea	Low income
Guinea-Bissau	Low income
Guyana	Lower middle income
Haiti	Low income
Honduras	Lower middle income
India	Low income
Indonesia	Lower middle income
Iran, Islamic Rep.	Lower middle income
Iraq	Lower middle income
Jamaica	Lower middle income
Jordan	Lower middle income
Kazakhstan	Lower middle income
Kenya	Low income
Kiribati	Lower middle income
Korea, Dem. Rep.	Low income
Kyrgyz Republic	Low income
Lao PDR	Low income
Lebanon	Upper middle income
Lesotho	Lower middle income
Liberia	Low income
Libya	Upper middle income
Macedonia, FYR	Lower middle income
Madagascar	Low income
Malawi	Low income
Malaysia	Upper middle income
Maldives	Lower middle income
Mali	Low income
Sierra Leone	Low income
Solomon Islands	Low income
Somalia	Low income



Economy	Income group	Economy	Income group
Mexico	Upper middle income	South Africa	Upper middle income
Micronesia, Fed. Sts.	Lower middle income	Sri Lanka	Lower middle income
Niue	Upper middle income	St. Kitts and Nevis	Upper middle income
Moldova	Lower middle income	St. Lucia	Upper middle income
Mongolia	Low income	St. Vincent & Grenadines	Upper middle income
Morocco	Lower middle income	Sudan	Low income
Mozambique	Low income	Suriname	Lower middle income
Myanmar	Low income	Swaziland	Lower middle income
Namibia	Lower middle income	Syrian Arab Republic	Lower middle income
Nauru	Upper middle income	Tajikistan	Low income
Nepal	Low income	Tanzania	Low income
Nicaragua	Lower middle income	Thailand	Lower middle income
Niger	Low income	Timor-Leste	Low income
Nigeria	Low income	Togo	Low income
Northern Mariana Islands	Upper middle income	Tonga	Lower middle income
Oman	Upper middle income	Trinidad and Tobago	Upper middle income
Pakistan	Low income	Tunisia	Lower middle income
Palau	Upper middle income	Turkmenistan	Lower middle income
Panama	Upper middle income	Tuvalu	Lower middle income
Papua New Guinea	Low income	Uganda	Low income
Paraguay	Lower middle income	Ukraine	Lower middle income
Peru	Lower middle income	Uruguay	Upper middle income
Philippines	Lower middle income	Uzbekistan	Low income
Russian Federation	Upper middle income	Vanuatu	Lower middle income
Rwanda	Low income	Venezuela, RB	Upper middle income
Samoa	Lower middle income	Vietnam	Low income
São Tomé and Príncipe	Low income	West Bank and Gaza	Lower middle income
Senegal	Low income	Yemen, Rep.	Low income
Serbia and Montenegro	Lower middle income	Zambia	Low income
Seychelles	Upper middle income	Zimbabwe	Low income

Table 2: List of ICPC economies



Annex 6

Security sensitive proposals

1. Introduction

A sensitive proposal is a proposal for a project that will potentially need to handle classified information or exchange sensitive material subject to transfer or export licensing or addressing a topic subject to specific national or international legal restrictions.

Projects proposed under some of the topics of this Call are potentially sensitive. The classification of information and the application of strict rules on confidentiality are essential to the success of research activities under such topics. Therefore, a specific scrutiny procedure has been set up to verify that all security procedures are well taken into account.

If your proposal is sensitive, it must be flagged on the cover page of the part B of the proposal and the applicants must show that all legal obligations are planned. These proposals will be subject to a particular scrutiny by the GSA.

The **Galileo Stand-alone Security Classification Guide**, the **European GNSS Programme Security Instruction** and in case classified information produced by the GalileoSat programme should be required the **GalileoSat Programme Security Instruction**, both issued by the GNSS Security Board, and any other specific access policy that could be established by the European Commission later on shall be of application to sensitive proposals containing classified information and/or requiring the input of classified documents. Applicants can request access to these documents (until 15 calendar days prior to the deadline for submission) through their Local Security Officer (LSO) at GSA-FP7-Call-1@gsa.europa.eu. Any such request will lead to the preliminary establishment of a non-disclosure agreement after consultation of the appropriate NSA/DSA.

2. Classified information

Any information or material, an unauthorised disclosure of which could cause varying degrees of prejudice to EU interests, or to one or more of its Member States, must be classified. The EU-classification has to be used for that purpose in the frame of this Call.

There are 4 levels of classification¹:

EU TOP SECRET: This classification shall be applied only to information and material the unauthorised disclosure of which could cause exceptionally grave prejudice to the essential interests of the European Union or of one or more of its Member States. **THERE SHALL BE NO EU TOP SECRET CLASSIFIED INFORMATION IN FP7 ACTIONS.**

SECRET UE: This classification shall be applied only to information and material the unauthorised disclosure of which could seriously harm the essential interests of the European Union or of one or more of its Member States.

¹ Commission Decision 2001/844/EC, ECSC, Euratom published in OJ L 317 of 3.12.2001 as last amended by Commission Decision 2006/548/EC, Euratom published in OJ L 215 p.38 of 5.8.2006



CONFIDENTIEL UE: This classification shall be applied to information and material the unauthorised disclosure of which could harm the essential interests of the European Union or of one or more of its Member States.

RESTREINT UE: This classification shall be applied to information and material the unauthorised disclosure of which could be disadvantageous to the interests of the European Union or of one or more of its Member States.

3. Proposal

No classified information is allowed in any proposal submitted electronically through the EPSS system under the Call.

However, and if applicable, the applicants may wish to submit additional classified material to their proposal, in which case, their Local Security Officer should dispatch such material, after consultation of their appropriate NSA/DSA, in accordance with the rules defined in the European GNSS PSI, and before the due deadline for the Call to:

European GNSS Supervisory Authority
Local Security Officer (FP7-GALILEO-2011-GSA-1)
Rue de la Loi, 56
B-1049 Brussels (Belgium)

Also, proposals could require the input of classified information. Classified input documents shall be delivered by the GSA, upon request, only to proposals selected for funding, once the award decision is taken by the GSA and provided the conclusion of a non-disclosure agreement with the GSA. Such request shall be issued from the Local Security Officer (LSO) of the applicants, with the indication of the name and address of the applicant and the name of the LSO, as well as the formal proof of the LSO appointment in this position.

For proposals of sensitive projects, you need to submit additionally a compliance matrix to the core requirements of the Security Aspects Letter (SAL) as part of your proposal (see point 5 hereafter). This compliance matrix will allow the GSA to verify if all necessary security measures are properly adhered to. A definitive version of the SAL will be part of the Grant Agreement that will define among other the mechanism for the exchange of classified information.

4. Scrutiny of sensitive proposals

As projects proposed under some of the topics of this Call are potentially sensitive, a specific procedure of scrutiny has been set up. During the eligibility review, as well as during the evaluation by independent experts, a special attention will be given to the security aspects, in particular to the capacity of the applicants to handle classified information. Any proposal considered as sensitive shall be scrutinised by the GSA and/or by the evaluators to verify that all security aspects are properly addressed even if the applicant has not declared his/her proposal as being sensitive.

This process could result in one of the following recommendations:

- No opposition is given and the project can be negotiated;
- Recommendations for the negotiation are given and the negotiation will be subject to conditions;
- The project should not be financed because the applicant would not be in a situation to receive the appropriate authorisation of the competent national authorities regarding Facility



Security Clearance and/or Personnel Security Clearance to handle properly the classified information. In that case, the proposal will be rejected and the GSA shall update the Evaluation Summary Report accordingly to explain the reasons of rejection.

5. Compliance matrix to the core requirements of the Security Aspects Letter

The Security Aspects Letter (SAL) shall define the security-related contractual conditions issued by the GSA. These conditions shall form an integral part of the Grant Agreement under which classified information shall be accessed or generated. The SAL shall identify those elements that require protection and shall define the essential security requirements. The SAL shall apply to any participant involved in the proposal and shall demonstrate the applicants' experience and ability to comply with the applicable security instructions. A specific Security Classification Guide (SCG) appended to the SAL shall describe the classified elements of the proposal and specify the applicable security classification levels.

For proposals of sensitive projects, the applicants are requested to submit additionally a compliance matrix to the core requirements of the Security Aspects Letter (SAL) indicated below as part of their proposal. This compliance matrix shall require when necessary the provision of supporting data or information relating to the necessary security measures for the exchange of classified information.

Within this compliance matrix, the applicants shall:

- identify the overall classification level of the proposal, detailing the classification levels of the required input documentation, of the required background and of the expected foreground for the project. The applicants shall describe any other specific elements to be used and/or to be produced under the proposal which should be classified and specify the applicable security classification levels required.

Please note that a Security Classification Guide shall be appended to the SAL that describes the specific elements which are classified and their applicable security classification levels. This Security Classification Guide shall also be a part of each classified sub-contract if any.

- confirm that each participant and sub-contractor (if any) are registered in a EU Member State, Norway or Switzerland. Each participant and sub-contractor (if any) for whom an access to the classified information provided by the ESA GalileoSat programme is required must further be Member States participants of the GalileoSat PSI;
- describe the security organisation of each participant and sub-contractor (if any) involved in the proposal, for the management of classified information up to the identified classification level, including EU and ESA classified information. This description should contain also the following details for each participant involved: country, company name, address, Local Security Officer (LSO) contact details, Project Leader contact details;
- confirm that participants' personnel as well as sub-contractors' personnel with a need to handle EU, ESA or national classified information up to the identified classification level are nationals of a EU Member State, Norway or Switzerland, and hold a valid and appropriate Personal Security Clearance for that purpose. When access to the classified information provided by the ESA GalileoSat programme is required, participants' personnel as well as



sub-contractors' personnel must further be nationals of Member States participants of the GalileoSat PSI;

- confirm that all participants that need an access to classified information hold an appropriate national Facility Security Clearance. The Facility Security Clearance is granted by the NSA/DSA of the Member State in which the facility is located to confirm that such facility can afford and guarantee adequate security protection of EU or national classified information to the appropriate classification level as requested by the grant agreement;
- confirm the participants' and sub-contractors' (if any) acceptance to comply with the procedures for handling and protecting classified information or material provided to them or generated by the project in accordance with the applicable Galileo Stand alone Security Classification Guide, the European GNSS PSI, any other specific access policy to relevant classified documentation developed by the European Commission, or, provided they are no less stringent, in accordance with national regulations.

Among other, classified information released to the participants shall not be used for purposes other than those defined by the classified grant agreement and shall not be disclosed to any third party without the prior written consent of the originator and of the GSA. Further to that, the participants shall not transmit any classified information or material to a sub-contractor without the prior written consent of the originator. That consent shall be sought through the GSA. The ultimate responsibility for protecting classified information within industrial or other entities shall rest with the management of those entities.

- confirm the participants' acceptance to report any security incidents to the GSA, as well as any change to or withdrawal of a Facility Security Clearance, as well as any failure identified by the NSA/DSA in which the participants are registered to observe the applicable security provisions. In such event, the GSA shall have the right to terminate the grant agreement.
- confirm the participants' acceptance that changes to the security requirements emerging after the entry into force of the agreement shall result in amending accordingly the agreement or terminating the agreement if for instance the participants cannot comply with the necessary increased security requirements.
- confirm the participants' acceptance that the NSA/DSA of the participants in which the participants are registered shall be informed by the participants and by the GSA of the award of a classified agreement. In the event the classified agreement is terminated, the participants and the GSA shall notify this termination to the NSA/DSA of the participants in which the participants are registered.
- confirm the participants' and sub-contractors' (if any) acceptance to comply with the security requirements for access to the GSA premises;