GUIDE FOR APPLICANTS

SEVENTH FRAMEWORK PROGRAMME

COORDINATION AND SUPPORT ACTION (SUPPORTING)

Grant to beneficiary named in the work programme

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

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

July 2012

About this Guide

This FP7 Guide for Applicants is only for use in the case of **beneficiaries named in the work programme**. It is based on the model (version 4) for calls using single-stage submission procedures, but has been substantially modified, taking into account the circumstances of such actions.

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

Contents

1. Getting started

Funding decisions in the Seventh Framework Programme (FP7) are generally made on the basis of **proposals** submitted following **calls** published by the Commission or one of its agencies. Nevertheless, the rules of FP7 do allow for grants to be made to beneficiaries named in the work programme, without calls for proposals. This still requires a proposal to be submitted by the applicants, which is then evaluated.

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 cut-off-date. The Commission/aAency evaluates all eligible proposals in order to identify those whose quality is sufficiently high for possible funding. The **evaluation** will be carried out by a committee made up of Commission agents (hereafter called evaluators).

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

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!

The […] work programme identifies the following beneficiary [beneficiaries][1]:

Grant to an Identified Beneficiary	
Legal Entity	
Description of topic	
Funding scheme	
Objectives expected to be fulfilled	
Commission budget to be allocated	
Evaluation Criteria	

[1] In accordance with Article 14 (a) of Regulation (EC) No 1906/2006 of 18 December 2006 laying down the rules for the participation of undertakings, research centres and universities in actions under the Seventh Framework Programme and for the dissemination of research results (2007-2013)

Maximum rate of co-financing	

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

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

2.1 General

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

Please note that special conditions may apply on an action-by-action basis. These will always be set out in the work programme.

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

2.2 Coordination and support actions[2]

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

Purpose

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

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

In this specific case, the Support action covers only activities related to supporting the […]

Specific Programmes concerned

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

Participation

For this action participation is restricted to the beneficiary [beneficiaries] identified in the […] work programme.

The beneficiary [beneficiaries] identified is [are] the following: […]

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

Size and resources

The size and the resources can be identified in the […] work programme.

Indicative average duration

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

Activities

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

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

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

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

Form of Reimbursement

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

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

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 participant[s] and the Commission/Agency. The co-ordinator is generally responsible for the overall planning of the proposal and for building up the consortium that will do the work.

Focusing your planned work

The work you set out in your proposal must correspond to the topic(s), and associated **funding scheme(s),** indicated in the […] work programme. **Proposals that fail to do so will be regarded as ineligible.**

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

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

National Contact Points

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

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

Other sources of help

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

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

- Other services provided via the CORDIS web-site: http://cordis.europa.eu/home_en.html (select tap "Partners").

Who can participate?

For this action participation is restricted to the beneficiary [beneficiaries] identified in the […] work programme.

The identified beneficiary [beneficiaries] is [are] the following: […]

Principles of Ethics

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

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

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

- research activity aiming at human cloning for reproductive purposes;
- research activity intended to modify the genetic heritage of human beings which could make such changes heritable[3];
- research activities intended to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.

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

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

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

Presenting your proposal

A proposal has two parts:

Part A will contain the administrative information about the proposal and the participant[s]. The information requested includes a brief description of the work, contact details and characteristics of the participant[s], 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

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

produce, for example, statistics, and evaluation reports. This information will also support the experts and Commission/Agency staff during the evaluation process.

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

Part B is a "template", or list of headings, rather than an administrative form (see annex 4 to this Guide). You should follow this structure when presenting the scientific and technical content of your proposal. The template is designed to highlight those aspects that will be assessed against the **evaluation criteria**. It covers, among other things, the nature of the proposed work, the participant[s] and its [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 Submission Services of the Commission and as 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. Evaluators will be instructed to disregard any excess pages.*
>
> *Even where no page limits are given, or where limits are only recommended, it is in your interest to keep your text concise since over-long proposals are rarely viewed in a positive light by the evaluating experts*

Proposal language

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

3.2 Proposal submission

About the Electronic Submission Services of the Commission

Proposals must be submitted electronically, using the Commission's Electronic Submission Services which are to be found on the Participant Portal. Proposals arriving at the Commission/Agency by any other means are regarded as 'not submitted', and will not be evaluated[4]. All the data that the proposal coordinator uploads is securely stored on a server to which the proposal coordinator and the other participants in the proposal have access until after the call deadline.

The Electronic Submission Services can be accessed from the relevant call page on the Participant Portal.

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

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

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

Obtaining a mandatory Participant Identification Code (PIC):

Before starting the process of submitting the proposal, **each participant in your proposal must be identified with a Participant Identification Code (PIC). Failure to do so will block the submission of your proposal!** The Participant Identification Code (PIC) is a unique 9 digit number that helps the Commission/Agency identify a participant organisation. It is used in all grant-related interactions between the organisation and the Commission/Agency. The use of PICs will lead to more efficient processing of your proposal.

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

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

If a PIC is not yet available for an organisation, it can be obtained by registering the organisation in the Participant Portal under the 'Register' sub-tab of the 'My Organisations' tab (http://ec.europa.eu/research/participants/portal/page/myorganisations). After filling in the data for the entity, a PIC number is given, which can then be used in the Electronic Submission Services. You are encouraged to proceed well before the call deadline to avoid potential last minute troubles.

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

If, after entering your PIC, the data which appears for your organisation is incorrect, you should contact the LEAR of your organisation to correct it through the Participant Portal. You can also change yourself the data prefilled from the PIC in your A forms, but these changes will remain local to the Electronic Submission Services for this proposal only. The original data,,which is stored in the Commission's database, will always re-appear whenever the PIC is used, until the new data is validated.

Get started

As a first step, the coordinator starts creating the proposal by accessing the system from the call page. Access to the Electronic Submission Service is granted after logging in to the Participant Portal from the relevant call's page.

Proposal coordinator's actions:

Step one: getting a European Commission Authentication Service (ECAS) user ID..

Getting a personal user ID with the **European Commission Authentication Service** (**ECAS**) is mandatory in order to login to the Participant Portal and to be able to use the different functions of the Portal, including the proposal submission. This will allow editing the proposal data in the electronic proposal submission system, completing the information requested or – for coordinators - submitting the proposal. The system will request a login by every partner. The same user ID will be used for all later interactions with the Commission/Agency in the field of Research. Further details on the ID are available under: https://webgate.ec.europa.eu/cas/eim/external/help.cgi.

Step two: choosing a funding scheme

For each call, a list of available funding schemes or objectives as activity codes will be presented by the Electronic Submission Services. The proposal coordinator must choose the appropriate one for the proposal. Refer to the call fiche and work programme for the various conditions applicable to each funding scheme.

Step three: creating a draft proposal

Once the coordinating organisation is identified with its PIC number, the coordinator fills in the pre-registration data for the proposal: acronym, short summary, activity code, and at the next step, the list of participants. These details can be used by the Commission/Agency services in order to plan the evaluation. In general, the following details are requested:

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

Step four: adding other participants to the proposal

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

- *Add other participants to the proposal*.
  - The coordinator adds the partners using the nine-digit identifier, the PIC number. A search function is provided to help the coordinator finding the PIC number of the partners.
  - Once the coordinator has added the entities to the consortium, the coordinator has to insert the contact persons' details for each participant. The main identifier is the e-mail address of a person.
  - Once the coordinator saves this page, an automatic invitation is sent to all contacts' e-mail address. The invited persons can access the proposal after logging in to the Participant Portal - with the ECAS account linked to the given e-mail address - under the 'My Proposals' tab.
- *Delete a participant*.
- *Reorder the participants*. The order of the participants in the administrative forms will be adjusted.

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

Step five: forms, files and submission

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

- Fill in the administrative forms, part A of the proposal (see Annex 3 of this Guide)

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

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

For the proposal Part B you must use exclusively PDF ("portable document format", compatible with Adobe version 3 or higher, with embedded fonts). Other file formats will not be accepted by the system. Irrespective of any page limits specified in annex 4 to this Guide, there is an overall limit of 10 Mbytes to the size of proposal file Part B. It is advised to limit the size of the proposal to 2 Mbytes.

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

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

Completing the Part A forms in the Electronic Submission Services and uploading a Part B does not yet mean that the proposal is submitted. Once there is a consolidated version of the proposal, the "SUBMIT" button must be pressed. **Only the coordinator is authorised to submit the proposal**.

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

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

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

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

Step six: proposal status page

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

In Step six you can:

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

Use of the system by the other participants

In order to access the proposals, all contacts need to have an ECAS ID that is necessary for the login of the Participant Portal.
Those contacts, who have been invited by the coordinator, can access the proposal via the 'My Proposals' tab after login.

In the proposal submission system, participants can

- complete their own entity's administrative details and budget forms (A2 and A3.1);
- 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.

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 Electronic Submission Services of the Commission will be closed for this call at the call deadline. Please note that the deadline established in the call refers to the sharp time, no extra seconds allowed (for example, call deadline at 17.00 means at 17.00.00). After this moment, the proposal can no longer be modified. It is however visible in a read-only version.

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

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

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

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

> *If you have submitted your proposal in error to another call which closes after this call, the Commission/agency 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 Electronic Submission Services, 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 Electronic Submission Services due to breakdown of the Commission server during the last 24 hours of this call, the deadline will be extended by a further 24 hours. This will be notified by e-mail to all proposal coordinators who had registered for this call by the time of the original deadline, and also by a notice on the Call pages on the Participant Portal. Such a failure is a rare and exceptional event; therefore do not assume that there will be an extension to this call. If you have difficulty in submitting your proposal, you should not assume that it is because of a problem with the Commission servers, as this is rarely the case. Contact the Electronic Submission Services help desk if in doubt (see the address given in annex 1 of this Guide).

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

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

Correcting or revising your proposal

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

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

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

Ancillary material

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

Withdrawing a proposal

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

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

A withdrawn proposal will not be subsequently considered by the Commission.

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

To protect the EU's financial interests, the Commission/Agency uses an internal information tool, the Early Warning System (EWS) to flag identified risks related to beneficiaries of centrally managed contracts and grants. Through systematic registration of financial and other risks the EWS enables the Commission services to take the necessary precautionary measures to ensure sound financial management[5].

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

The work programme informs you that the details of your organisation (or those of a person who has powers of representation, decision-making or control over it) may be registered in the EWS and the CED and be shared with public authorities as described in the relevant legal texts[6].

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

[5] The EWS covers situations such as significantly overdue recovery orders, judicial proceedings pending for serious administrative errors/fraud, findings of serious administrative errors/fraud, legal situations which exclude the beneficiary from funding.

[6] The basis of registrations in EWS and CED is laid out in: - the Commission Decision of 16.12.2008 on the Early Warning System (EWS) for the use of authorising officers of the Commission and the executive agencies (OJ, L 344, 20.12.2008, p. 125), and- the Commission Regulation of 17.12.2008 on the Central Exclusion Database – CED (OJ L 344, 20.12.2008, p. 12).

Data protection

Proposals are archived under secure conditions at all times. The data contained in the proposal are treated in accordance with Regulation 45/2001 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data[7]. After completion of the evaluation and at any subsequent negotiation, all copies are destroyed other than those required for archiving and/or auditing purposes.

[7] (OJ L 8, 12.1.2001).

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 action?** Check that your proposed work does indeed address the topics open in this action. (See the current version of the work programme).

- **Are you applying for the right funding scheme?** Check that your proposed work falls within the scope of this action, and that you have applied for the eligible funding schemes (see the work programme). Check the Part A and Part B formats shown in annexes 3 and 4 to this Guide[8]

- **Is your proposal eligible?** The eligibility criteria are given in the work programme. See also annex 2 to this Guide. In particular, make sure that you satisfy the minimum requirements for the makeup of your consortium. Have any additional eligibility criteria been set for this action? Check that you comply with any budgetary limits that may have been fixed on the requested EU contribution. Any proposal not meeting the eligibility requirements will be considered ineligible and will not be evaluated.

- **Is your proposal complete?** Proposals must comprise a Part A, containing the administrative information including participant and project cost details on standard forms; and a Part B containing the scientific and technical description of your proposal as described in this Guide. A proposal that does not contain both parts will be considered ineligible and will not be evaluated.
- **Does your 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 particular 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?** Edit your proposal tightly, strengthen or eliminate weak points. Put yourself in the place of an evaluator; refer to the evaluation criteria given in annex 2 to this Guide. Arrange for your draft to be evaluated by experienced colleagues; use their advice to improve it before submission.

- **Do you need further advice and support?** You are strongly advised to inform your National Contact Point of your intention to submit a proposal (see address in annex 1 to this Guide). Remember the Enquiry service listed in annex 1.

[8] If you have in error registered for the wrong call or funding scheme, discard that registration (usernames and passwords) and register again before the cut-off-date. If, after the close of the action, you discover that you have submitted your proposal to the wrong call, notify the Electronic Submission Services Helpdesk.

4.2 Final checks before submission

- **Do you have the agreement** of all the members of the consortium to submit this proposal on their behalf?

- **Check once more the eligibility criteria mentioned in the call documents (work programme and call fiche)! This includes any budget limits.** Remember – the information given in part A is considered definitive.
- **Is your Part B in portable document format (PDF),** including no material in other formats?
- **Is the filename made up of the letters A to Z, and numbers 0 to 9?** You should avoid special characters and spaces.
- **Have you printed out your Part B PDF file**, 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 Electronic Submission Services of the Commission will automatically block the submission of any file containing a virus.
- **Have you made yourself familiar with the Electronic Submission Services of the Commission in good time?**

- **Have you allowed time to check your proposal well in advance of the cut-off-date** (at least several days before), and then to continue to improve it? **Have you pressed "SUBMIT" after your final version?**

4.3 Following submission

- Information submitted to the Electronic Submission Services of the Commission remains encrypted until the deadline and can only be viewed by the applicant.

- **It is strongly recommended that you check that all your material has been successfully uploaded and submitted, that you have submitted the correct Part B file and that it is readable and printable.**
- You can revise and resubmit your proposal at any time up to the call deadline.

5. What happens next

Shortly after the cut-off-date, the Commission/Agency 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 Electronic Submission Services of the Commission 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 cut-off date, 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 cut-off-date for any mail originating from FP7Aor@ess-fp7.org.*

The Commission/Agency will check that your **proposal** meets the **eligibility criteria** that apply to this action and funding scheme (see the work programme and annex 2 to this Guide).

All eligible proposals will be evaluated by Commission agents (evaluators). The evaluation criteria and procedure are described in annex 2 to this Guide.

Soon after the completion of the evaluation, the results will be finalised and the co-ordinator will receive a letter containing **initial information** on the results of the evaluation, including the Evaluation Summary Report giving the opinion of the evaluators on the proposal.

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

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

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

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

The negotiations will also deal with 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 Brussels to facilitate the negotiation.

For new participants joining the consortia during the grant agreement negotiations and not yet having a Participant Identification Code (PIC), i.e. not yet being registered and validated in the Commission's database, their existence as legal entities and their legal status will have to be validated before a grant agreement can be signed. For these participants, the procedure of registration and validation is triggered by a self-registration in the web interface of the Participant Portal available athttp://ec.europa.eu/research/participants/portal. This self-registration will lead to a request by the Commission/Agency 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/Agency related to all questions on legal status. He/she has access to the online database of legal entities with a possibility to view the data stored on his/her entity and to initiate updates and corrections to these data. After the validation of the entity has been finalised, the contact person/authorized representative named in the Participant Portal receives the PIC number. Once the LEAR is validated, he/she manages the modifications of the entity-related information in the Participant Portal and distributes the PIC number within his/her organisation.

Further details can be found in section 3.2., on the Participant Portal http://ec.europa.eu/research/participants/portal/home.

Applicants are reminded that the Commission's Research DGs and agencies have adopted in October 2009 an FP7 audit strategy aimed at detecting and correcting errors in cost claims submitted in projects on the basis of professional auditing standards.

The 7th Framework Programme (FP7) is characterised by a substantial increase in the budget allocated to EU-funded research activities, and it is aimed, *inter alia,* at increasing the attractiveness of our programmes for the best scientists in the world, the most innovative enterprises and in particular the smaller ones. Considering these elements as a priority, the said Ex-post Audit Strategy has been developed in order to ensure an appropriate level of financial control over the expenditure of the EU research budget, while minimising the administrative burden on beneficiaries as much as possible.

While it is expected that the number of audits and participants audited in FP7 will not differ significantly from FP6, the Commission services in the field of Research will assure appropriate mutual exchange of information within the relevant internal departments in order to fully coordinate any communication and exchange with beneficiaries.

More information on audits[9] can be found on the Participant Portal in the appropriate section (http://ec.europa.eu/research/participants/portal/page/fp7_documentation).

[9] Such as " How to avoid common errors identified in cost claims "

Glossary

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

A

Acknowledgement of receipt :

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

Applicant

The term used generally in this guide for a person or entity applying to a call for proposals. The term 'participant' is used in the more limited sense of a member of a proposal or project consortium (see 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 Participant Portal web-site devoted to a particular call.

Call for proposals (or "call")

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

Consensus meeting

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

Consortium

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

Continuous submission

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

Coordinator

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

CORDIS service

CORDIS, the Community Research and Development Information Service, is the European Commission's web portal for dissemination of information on EU funded research projects and their outcomes as well as their exploitation.

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, and when the Electronic Submission Services of the Commission closes for that call. Deadlines are strictly enforced.

Deliverable

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

Direct costs

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

E

Early Warning System (EWS)

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

Electronic Submission Services

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

Electronic Submission Services Helpdesk

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

Eligibility Review Committee

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

Eligibility criteria

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

Ethics issues table

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

Evaluation criteria

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

Evaluation Summary Report (ESR)

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

F

FP7 enquiry service

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

Funding scheme

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

G

Grant Agreement (GA)

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

I

Indirect costs

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

Individual evaluation

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

Initial information letter

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

International Cooperation Partner Countries (ICPC)

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

International European Interest Organisation

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

J

Joint Research Centre (JRC)

The Commission's own research institutes.

L

LEAR (Legal Entity Authorised Representative)

The LEAR is a person nominated in each legal entity participating in FP7. This person is the contact for the Commission/Agency 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/Agency (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 EU 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).

Negotiation

The process of establishing a grant agreement between the Commission/Agency 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 Electronic Submission Services to be found on the Participant Portal web-site.

Part B

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

Part B template

A document in PDF format supplied by the Electronic Submission Services, 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 Indentification 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/page/myorganisations

Participant Portal

The single entry point for interaction with the Research Directorates-General and agencies 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 Submission Services of the Commission.

Programme committee

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

Proposal

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

Public body

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

R

Redress procedure

The initial information letter will indicate an address if an applicant wishes to submit a request for redress, if he or she believes that there have been shortcomings in the handling of the proposal in question, and that these shortcomings would jeopardise the outcome of the evaluation process. An internal evaluation review committee ("redress committee") will examine all such complaints. This committee does not itself evaluate the proposal. It is possible that the committee will recommend a re-evaluation of all or part of the proposal.

Research organisation

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

Reserve list

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

RTD

Research and Technological Development.

S

SME

'SMEs' are micro, small and medium-sized enterprises. SMEs are defined in Recommendation 2003/361/EC of 6 May 2003.

Specific flat rate for indirect costs (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.

U

Unique Registration Facility (URF)

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

W

Weightings

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

Work Package

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

Work Programme

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

Annex 1:

Timetable and specific information for this call

The **work programme** provides the essential information for submitting a proposal to this call. It describes the content of the topics to be addressed, and details on how it will be implemented. The work programme is available on the Participant Portal call page. 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	*Day-Month-Year*
Deadline for submission of proposals	*Day-Month-Year, hours: minutes, seconds*
Evaluation of proposals	*Week - Month-Year*
[If applicable, Invitation letter to coordinators highly rated proposals to appear before the evaluation panel together with member of the consortium (hearings)]	[Week- Month-Year]
[If applicable, Hearings] [optional]	[Week- Month-Year]
Evaluation Summary Reports sent to proposal coordinators ("initial information letter")	*Week- Month-Year*
Invitation letter to successful coordinators to launch grant agreement negotiations with Commission services	*Week- Month-Year*
Letter to unsuccessful applicants	From *Week-Month-Year*
Signature of first grant agreements	From *Month-Year*

- **Further information and help**

The Participant Portal call page contains links to other sources that you may find useful in preparing and submitting your proposal. Direct links are also given where applicable.

[A ‘pre-proposal check’ service is offered with this call. You may submit a very short outline of your proposed work, and the Commission staff will advise you whether or not it appears to fall within the scope of the call. Further details are given in annex 2 to this Guide.]

Call information

Participant Portal http://ec.europa.eu/research/participants/portal/

(select tab "FP7 calls")

Self-Evaluation forms

[Information Days related to this call] *Date + address for more info*.
[Other background docs]

General sources of help:

The Commission's FP7 Enquiry service	http://ec.europa.eu/research/enquiries
National Contact Points	http://cordis.europa.eu/fp7/ncp.htm
National Contact Points in third countries	http://cordis.europa.eu/fp7/third-countries_en.html

[Contact person *(optional)*:

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

Specialised and technical assistance:

eFP7 Service Desk http://ec.europa.eu/research/participants/portal/page/contactus

Electronic Submission Services help desk
http://ec.europa.eu/research/participants/portal/page/contactus
E-mail: DIGIT-EFP7-SEP-SUPPORT@ec.europa.eu

IPR help desk http://www.ipr-helpdesk.org

Ethics help desk http://cordis.europa.eu/fp7/get-support_en.html

When relevant)
European Committee for Standardisation (CEN-CENELEC)
http://cordis.europa.eu/fp7/get-support_en.html
Standardisation help desk http://cencenelec.eu/research / research@cencenelec.eu

Guidance documents in regard to how to integrate Standardisation in FP7 projects:

http://www.cencenelec.eu/research/fp7projects/Pages/default.aspx

http://www.nmpteam.com/library/

http://ec.europa.eu/research/industrial_technologies/standardisation_en.html

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

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

Open Access (when relevant)

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

Annex 2:

Evaluation criteria and procedures to be applied for this call

1. General

The evaluation of proposals is carried out by the Commission/Agency with the assistance of independent experts.

Commission/Agency staff ensure that the process is fair, and in line with the principles contained in the Commission's rules[10].

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/Agency to observe the evaluation process from the point of view of its working and execution. The role of the observer is to give independent advice to the Commission/Agency 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 Commission/Agency, proposals are registered and acknowledged and their contents entered into a database to support the evaluation process. Eligibility criteria for each proposal are also checked by Commission/Agency staff before the evaluation begins. Proposals which do not fulfil these criteria will not be included in the evaluation.

For this call a proposal will only be considered eligible if it meets all of the following conditions:

- It is received by the Commission/Agency via the Electronic Submission Services before the deadline given in the call fiche
- It involves at least the minimum number of participants given in the call fiche
- It is complete (i.e. both the requested administrative forms and the proposal description are present). To satisfy this condition, part B of the proposal must be readable, accessible and printable.
- The content of the proposal relates to the topic(s) and funding scheme(s), including any special conditions set out in the relevant parts of the work programme
- [any additional eligibility criteria *specified in the work programme*]

[10] Rules for proposals submission, evaluation, selection and award procedures (posted on the Participant Portal).

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

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

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

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

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

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

Commission/Agency staff allocate 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 Commission/Agency staff, covering the evaluation procedure, the experts' responsibilities, the issues involved in the particular area/objective, and other relevant material (including the integration of the international cooperation dimension as well as the innovation dimension).

Each proposal will first be assessed independently by at least [three][for NoE:s five] experts.

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

Evaluation criteria applicable to **Coordination and support actions (Supporting)**		
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”**
• Soundness of concept, and quality of objectives • Quality and effectiveness of the support action mechanisms, and associated work plan	• 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) [only if relevant] • Appropriateness of the allocation and justification of the resources to be committed (staff, equipment …)	• Contribution, at the European [and/or international] level, to the expected impacts listed in the work programme under the relevant topic/activity • Appropriateness of measures for spreading excellence, exploiting results, and disseminating knowledge, through engagement with stakeholders, and the public at large.

{Where relevant to the call, and when the work programme includes a similar statement}

[Where topics have been specifically highlighted in the work programme as being research areas which are 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 topics concerned.]

[Any other aspects to be considered in the application of the evaluation criteria, if mentioned in the work programme]

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

The innovation dimension of a proposal will be evaluated under the criterion "impact".

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

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

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

[No weightings will be applied][The scores for the different criteria will be weighted as follows:….].

[No thresholds will be applied to the scores]

[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 the Participant Portal.

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

Confidentiality: The appointment letter also requires experts to maintain strict confidentiality with respect to the whole evaluation process. They must follow any instruction given by the Commission/Agency 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.]

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

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

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

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

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

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

[SECURITY THEME ONLY: or if it requires further scrutiny with regard to security 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 Commission/Agency 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 [in the form of an electronic forum] to discuss the scores awarded and to prepare comments.

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

The moderator for the group may designate an expert to draft the consensus report ("rapporteur"). The experts attempt to agree on a consensus score for each criterion and on 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.

[SECURITYTHEME ONLY: and security]

OPTION FOR HEARINGS
[The consensus group will also suggest questions to be asked during the hearing. (See below)]

If during the consensus discussion it is found to be impossible to bring all the experts to a common point of view on any particular aspect of the proposal, the Commission/Agency 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) will be ticked and an Ethics Issues Report (EIR) will be produced 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 Commission/Agency will take the necessary steps to assure the quality of the Consensus Reports, with particular attention given to clarity, consistency, and appropriate level of detail. If important changes are necessary, the reports will be referred back to the experts concerned.

The signing of the Consensus Report completes the consensus step.

Evaluation of a resubmitted proposal

In the case of proposals that have been submitted previously to the Commission/Agency, 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 Commission/Agency 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, [new experts], [a mixture of the two]. [One panel will cover the whole call][[Several panels will cover the different [activities], [topics], [funding schemes] of this call]

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

[The tasks of the panel will also include]:

- [hearings with the applicants of those proposals that have passed thresholds (see below)];
- [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].

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

{To be modified if other provisions stipulated in 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).

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

OPTION FOR HEARINGS

[Hearings with applicants

Hearings with applicants may be organised as part of the panel deliberations.

Invitations will be sent to the co-ordinators of all those proposals having consensus scores [above the individual and overall thresholds][above the individual thresholds].

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

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

OPTION In this call, "hearings" will be though [written questions and answers][video or telephone–conference], and so applicants will not be invited to Brussels.

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

[…other specific arrangements…]

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

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

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

[Since the same panel has considered proposals submitted to various parts of a call (for example different funding schemes, or different topics that have been allocated distinct indicative budgets in the work programme), the report may contain multiple lists accordingly]

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

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

- [Maximum one proposal per topic]
- *{any other rules in the work programme}*

7. Ethics Review of project proposals

An Ethics Review of above-threshold proposals may be organised by the Commission/Agency. 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 Ethics Review assess several aspects of the design and methodology of the proposed research such as intervention on humans, animal welfare, data protection issues, terms of participation of children, vulnerable populations and dual use.

The experts draft 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.

The Ethics Review process is described in detail in the Rules for submission, evaluation, selection and award procedures[11].

[11] Commission Decision (2011/161/EU, Euratom) of 28 February 2011

amending Decision C(2008) 4617 related to the rules for proposals submission, evaluation, selection and award procedures for indirect actions under the Seventh Framework Programme of the European Community for research, technological development and demonstration activities (2007-2013) and under the Seventh Framework Programme of the European Atomic Energy Community (Euratom) for nuclear research and training activities (2007-2011)

(Text with EEA relevance)

(2011/161/EU, Euratom)

Annex 3:

Instructions for completing "Part A" of the proposal

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

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

Section A1 gives a snapshot of your proposal, section A2 concerns you and your organisation, while section A3 deals with money 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 should 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 via the Electronic Submission Services may differ slightly from these below.

Coordination and support actions (Supporting)

Section A1: Summary	
Proposal Acronym	The short title or acronym will be used to identify your proposal efficiently in this call. It should be of <u>no more than 20 characters</u> (use standard alphabet and numbers only; no symbols or special characters please). The same acronym should appear on each page of Part B of your proposal.
Proposal Title	The title should be <u>no longer than 200 characters</u> (with spaces) and should be understandable to the non-specialist in your field.
Duration in months	Insert the estimated duration of the project in full months.
Call (part) identifier	[pre-filled] The call identifier is the reference number given in the call or part of the call you are addressing, as indicated in the publication of the call in the Official Journal of the European Union, and on the call page. A call identifier looks like this: *FP7-KBBE-2008-1*
Topic code(s) most relevant to your proposal	Please refer to the topic codes /objectives listed in the work programme call fiche. All activities and topics of FP7 have been assigned unique codes, which are used in the processing of data on proposals and subsequent contracts. The codes are organised hierarchically. The choice of the first topic code will be limited in the drop-down menu to one of the topics open in this call. Select the code corresponding to the topic most relevant to your proposal. The choice for the second code is also limited to topics open in the call in question. Enter a second code if your proposal also addresses another of these. Select 'none' if this is not the case. Select a third code if your proposal is also relevant to another theme. This time, the available codes will simply correspond to broad themes. Select 'none' if this is not the case.
Free Keywords	Please enter a number of keywords that you consider sufficient to characterise the scope of your proposal. There is <u>a limit of 100 characters</u>.
Abstract	The abstract should, at a glance, provide the reader with a clear understanding of the objectives of the proposal, how they will be achieved, and their relevance to the Work Programme. This summary will be used as the short description of the proposal in the evaluation process and in communications to the programme management committees and other interested parties. It must therefore be short and precise and should not contain confidential information. Please use plain typed text, avoiding formulae and other special characters. **If the proposal is written in a language other than English, please include an English version of the proposal abstract in Part B.** There is <u>a limit of 2000 characters</u> <u>(with spaces)</u>. Exceeding this limit may block the submission of your proposal.
Similar proposals or signed contracts	A 'similar' proposal or contract is one that differs from the current one in minor ways, and in which some of the present consortium members are involved.

Section A2/ Participants

Participant number	The number allocated by the consortium to the participant for this proposal. The **co-ordinator** of a proposal is always **number one**.
Participant 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 must 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 must self-register (at http://ec.europa.eu/research/participants/portal) before submitting the proposal so that the coordinator could insert in the 'Parties' screen the PIC received at the end of the self-registration. Failure to do so will block the submission of your proposal.**
Legal name	**For Public Law Body,** it is the name under which your organisation is registered in the Resolution text, Law, Decree/Decision establishing the Public Entity, or in any other document established at the constitution of the Public Law Body; **For Private Law Body,** it is the name under which your organisation is registered in the national Official Journal (or equivalent) or in the national company register. **For a natural person**, it is e.g. Mr Adam JOHNSON, Mrs Anna KUZARA, and Ms Alicia DUPONT.
Organisation Short Name	Choose an abbreviation of your Organisation Legal Name, only for use in this proposal and in all relating documents. This short name should not be more than 20 characters exclusive of special characters (./;…), e.g. CNRS and not C.N.R.S. It should be preferably the one commonly used, e.g. IBM and not Int.Bus.Mac.
Legal address	For Public and Private Law Bodies, it is the address of the entity's Head Office. For Individuals it is the Official Address. If your address is specified by an indicator of location other than a street name and number, please insert this instead under the "street name" field and "N/A" under the "number" field.
Non-profit organisation	Non-profit organisation is a legal entity qualified as such when it is recognised by national or, international law.
Public body	Public body means any legal entity established as such by national law, and international organisations.
Research organisation	Research organisation means a legal entity established as a non-profit organisation which carries out research or technological development as one of its main objectives.
NACE code	**NACE** means " Nomenclature des Activités économiques dans la Communauté Européenne". Please select **one** activity from the list that **best** describes your professional and economic ventures. If you are involved in more than one economic activity, please select the **one** activity that is **most** relevant in the context of your contribution to the proposed project. For more information on the methodology, structure and full content of NACE (rev. 1.1) classification please consult EUROSTAT at: http://ec.europa.eu/eurostat/ramon/nomenclatures/index.cfm?TargetUrl=LST_CLS_DLD&StrNom=NACE_1_1&StrLanguageCode=EN&StrLayoutCode=HIERARCHIC
Small and Medium-Sized Enterprises (SMEs)	SMEs are micro, small and medium-sized enterprises within the meaning of Commission Recommendation 2003/361/EC in the version of 6 May 2003. The full definition and a guidance booklet can be found at http://ec.europa.eu/enterprise/enterprise_policy/sme_definition/index_en.htm To find out if your organisation corresponds to the definition of an SME you can use the on -line tool at http://ec.europa.eu/research/sme-techweb/index_en.cfm

Dependencies with (an)other participant(s)	Conditions for dependency and independence are stipulated in Article 6 of the FP7 Rules for Participation. Two participants (legal entities) are dependent on each other where there is a controlling relationship between them: – A legal entity is under the same direct or indirect control as another legal entity (**SG**); or – A legal entity directly or indirectly controls another legal entity (**CLS)**; or – A legal entity is directly or indirectly controlled by another legal entity **(CLB)**. ***Control:*** Legal entity A controls legal entity B if: – A, directly or indirectly, holds more than 50% of the nominal value of the issued share capital or a majority of the voting rights of the shareholders or associates of B, or – A, directly or indirectly, holds in fact or in law the decision-making powers in B. The following relationships between legal entities shall not in themselves be deemed to constitute controlling relationships: (a) the same public investment corporation, institutional investor or venture-capital company has a direct or indirect holding of more than 50 % of the nominal value of the issued share capital or a majority of voting rights of the shareholders or associates; (b) the legal entities concerned are owned or supervised by the same public body.
Character of dependence	According to the explanation above, please insert the appropriate abbreviation according to the list below to characterise the relation between your organisation and the other participant(s) you are related with: • **SG**: Same group: if your organisation and the other participant are controlled by the same third party; • **CLS**: Controls: if your organisation controls the other participant; • **CLB**: Controlled by: if your organisation is controlled by the other participant.
Contact point	It is the main scientist or team leader in charge of the proposal for the participant. For participant number 1 (the coordinator), this will be the person the Commission/Agency will contact concerning this proposal (e.g. for additional information, invitation to hearings, sending of evaluation results, convocation to negotiations).
Title	Please choose one of the following: Prof., Dr., Mr., Mrs, Ms.
Sex	This information is required for statistical and mailing purposes. Indicate F or M as appropriate.
Phone and fax numbers	Please insert the full numbers including country and city/area code. Example +32-2-2991111.
Section A3/Budget	
Indirect Costs	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.

Method of calculating indirect costs	**Summary description** • Participants who have an analytical accounting system that can identify and group their indirect costs in accordance with the eligibility criteria (e.g. exclude non-eligible costs) must report their **actual indirect costs** (or choose the 20% flat rate option referred to below). • For the purpose of calculating the actual indirect costs, a participant is allowed to use a **simplified method** of calculation of its full indirect eligible costs. • Optionally, participants may opt for a **flat rate** for indirect costs of **20%** of the direct costs (minus subcontracting and third party costs not incurred on the premises of the participant. • A specific **flat rate of 60%** of the direct costs is allowed for **non-profit public bodies, secondary and higher education establishments, research organisations and SMEs** which are unable to identify with certainty their real indirect costs for the project. For **Coordination and Support actions**, whichever method is used, the reimbursement of indirect eligible costs may not exceed 7% of the direct eligible costs, excluding the direct eligible costs for subcontracting and the costs of reimbursement of resources made available by third parties which are not used on the premises of the participant. **Further guidance** In FP7 all departments, faculties or institutes which are part of the same legal entity must use the same system of cost calculation (unless a special clause providing for a derogation for a particular department/institute is included in the grant agreement). Under FP7, there are no cost reporting models. 1. Participants which have an analytical accounting system that can identify and group their indirect costs (pool of costs) in accordance with the eligibility criteria (e.g. exclude non-eligible costs) must report their **actual indirect costs (**or choose the 20% flat rate option under 2. below). This method is the same as the "full cost" model used in previous Framework Programmes. For the purpose of calculating the actual indirect costs, a participant is allowed to use a **simplified method** of calculation of its full indirect eligible costs. The simplified method is a way of declaring indirect costs which applies to organisations which do not aggregate their indirect costs at a detailed level (centre, department), but can aggregate their indirect costs **at the level of the legal entity**. The simplified method can be used if the organisation does not have an accounting system with a detailed cost allocation. The method has to be in accordance with their usual accounting and management principles and practices; it does not involve necessarily the introduction of a new method just for FP7 purposes. Participants are allowed to use it, provided this simplified approach is based on actual costs derived from the financial accounts of the last closed accounting year. There is no "standard model"; each legal entity will use its own system. The minimum requirements for it to be considered a simplified method for FP7 purposes are the following: - the system must allow the participant to identify and remove its direct ineligible costs (VAT, etc.); - it must at least allow for the allocation of the overheads at the level of the legal entity to the individual projects by using a fair "driver" (e.g. total productive hours); - the system applied and the costs declared according to it should follow the normal accounting principles and practices of the participant. Therefore, if the system used by a participant is more "refined" than the "minimum" requirements mentioned here, it is that system which should be used when declaring costs. *Example: if a participant's accounting system distinguishes between different overheads rates according to the type of activity (research, teaching...), then the overheads declared in an FP7* grant agreement *should follow this practice and refer only to the concerned activities (research, demonstration...)* The simplified method does not require previous registration or certification by the Commission. 2. Optionally, participants may opt to declare their actual direct costs plus a **flat rate** for indirect costs of 20% of the direct costs (minus subcontracting and third party costs not incurred on the premises of the participant). This flat rate is open to any participant whatever the accounting system it uses. Accordingly, when this option is chosen, there is no need for certification of the indirect costs, only of the direct ones. 3. Also, a **specific flat rate** is allowed for certain types of organisations. The use of this flat rate is subject to three cumulative conditions : (i) Status of the organisation The flat rate is reserved for: - non-profit public bodies - secondary and higher education establishments

	- research organisations - SMEs (ii) Accounting system of the organisation The flat rate is provided for organisations which are unable to identify with certainty their real indirect costs for the project. How will it be proved that an organisation is unable to identify with certainty their real indirect costs for the project? The participant (for example, an SME) does not have to change its accounting system or its usual accounting principles. If its accounting system can identify overall overheads but does not allocate them to project costs, then the participant can use this flat rate if the other conditions are fulfilled. *Example:* *A University, which in FP6 has used the "additional cost" basis because its accounting system did not allow for the share of their direct and indirect costs to the project to be distinguished may under FP7:* *- either opt for the 60% flat rate, or* *- introduce a cost accounting system "simplified method" by which a basic allocation per project of the overhead costs of the legal entity will be established, or* *- introduce a full analytical accounting system.* Following this, an organisation which used the "full cost" model under the Sixth Framework Programme is presumed to be in a situation to be able to identify the real indirect costs and allocate them to the projects. Accordingly, this organisation would not in principle be able to opt for the 60% flat rate for FP7. An organisation which can identify the real indirect costs but does not have a system to allocate these indirect costs can opt for this 60% flat rate. The choice of this specific flat rate lies within the responsibility of the participant. If a subsequent audit shows that the above-mentioned cumulative conditions are not fulfilled, all projects where this participant is involved might be reviewed. (iii) Type of funding scheme The flat rate is reserved to funding schemes which include research and technological development and demonstration activities: Network of Excellence and Collaborative projects (including research for the benefit of specific groups – in particular SMEs). The basis for the calculation of the flat rate excludes the costs for subcontracting and the costs of resources made available by third parties which are not used on the premises of the participant because in these two cases, the indirect costs are not incurred by the participant but by the subcontractor or the third party. When a participant opts for the specific flat rate of 60 % for its first participation under FP7 it can opt afterwards for the actual indirect costs system for subsequent participations. This change does not affect previous grant agreement. After this change, this organisation cannot opt again for a flat rate system (either 60% or 20% flat rate).

	Indirect Costs - Decision Tree **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** **YES** **No** **Real indirect costs or costs calculated using a simplified method** **or** **20% of total direct eligible costs (1)** **or** **60% of total direct eligible costs (1), for :** **- Non-profit public bodies, secondary and higher education establishments, research organisations and SMEs** **- When participating in funding schemes which include research and technological development** **Coordination and support actions :** **In any case Maximum 7% of the direct eligible costs (1)** *(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*
International Cooperation Partner Country (ICPC)	International Cooperation Partner Country means a third country which the Commission classifies as a low-income, lower-middle income or upper-middle-income country and which is identified as such in Annex I to the work programmes.
Lump sum funding method	Legal entities established in an ICPC may opt for lump sums. In that case the contribution is based on the amounts shown below, multiplied by the total number of person-years for the project requested by the ICPC legal entity. • Low-income ICPC: 8,000 Euro/researcher/year • Lower middle income ICPC: 9,800 Euro/researcher/year • Upper middle income ICPC 20,700 Euro/researcher/year The maximum EC contribution is calculated by applying the normal upper funding limits shown under "requested EC contribution". This amount is all inclusive, covering support towards both the direct and the indirect costs. More information on ICPC lump sums can be found in section II.18 of the "Guide to financial issues" on the Participant Portal http://ec.europa.eu/research/participants/portal/page/home

Type of Activity	• **Support activities** may cover activities**,** depending on their nature such as: monitoring and assessment; conferences; seminars; studies; high level scientific awards and competitions; operational support; data access and dissemination, information and communication activities; specific services activities related to research infrastructures, such as for example transnational access; preparatory technical work, including feasibility studies for the development of new infrastructures; contribution to the construction of new infrastructures; cooperation with other European research schemes; or a combination of these. • **RTD and innovation 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.
Personnel costs	Participants may opt to declare average personnel costs if these fulfil the four acceptability criteria defined by the Commission in its Decision of 24th January 2011 on the three simplification measures for FP7 (http://ec.europa.eu/research/participants/portal/page/fp7_documentation).. Detailed explanation can be fund in the FP7 Guide to Financial Issues (http://ec.europa.eu/research/participants/portal/ShowDoc/Extensions+Repository/General+Documentation/Guidance+documents+for+FP7/Financial+issues/financialguide_en.pdf). For the particular case of personnel costs to be claimed by SME owners and natural persons not receiving a salary, the Commission has set up a mandatory flat rate system. Detailed information on this flat-rate system can be fund in the FP7 Guide to Financial Issues
Sub-contracting	A subcontractor is a third party which has entered into an agreement on business conditions with one or more participants, in order to carry out part of the work of the project without the direct supervision of the participant and without a relationship of subordination. Where it is necessary for the participants to subcontract certain elements of the work to be carried out, the following conditions must be fulfilled: - subcontracts may only cover the execution of a limited part of the project; - recourse to the award of subcontracts must be duly justified in Part B of the proposal having regard to the nature of the project and what is necessary for its implementation; - recourse to the award of subcontract by a participant may not affect the rights and obligations of the participants regarding background and foreground; - - Part B of the proposal must indicate the task to be subcontracted and an estimation of the costs; Any subcontract, the costs of which are to be claimed as an eligible cost, must be awarded according to the principles of best value for money (best price-quality ratio), transparency and equal treatment. Framework contracts between a participant and a subcontractor, entered into prior to the beginning of the project that are according to the participant's usual management principles may also be accepted. Participants may use external support services for assistance with minor tasks that do not represent per se project tasks as identified in Part B of the proposal. If applicable, actual direct costs and real overhead costs of third parties that make available to the proposal resources otherwise unavailable within the consortium, can also be included under the category of subcontracting costs (provided that these costs are not related to proposal's core tasks).
Other direct costs	Means direct costs not covered by the above mentioned categories of costs.

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

Annex 4:

Instructions for drafting "Part B" of the proposal

Coordination and support actions (Supporting)

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 the page limits where these are specified. **Please remember that it is up to you to verify that you conform to these limits. There is no automatic check in the system. No annexes are allowed outside the page limits. Neither as additional document nor as annex within "part B".**

The minimum font size allowed is 11 points. The page size is A4, and all margins (top, bottom, left, right) should be at least 15 mm (not including any footers or headers).

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

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

The Commission/Agency 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.

SUMMARY OF MANDATORY PAGE LIMITS
(conforming to font and margin sizes mentioned above).

Section	Maximum pages
1: Scientific and/or technical quality, relevant to the topics addressed by the call	20 pages for whole section*,
1.1 Concept and objectives	No specific limit
1.2 Quality and effectiveness of the support mechanism, and associated work plan	1 page for section 1.2 (i) ("Overall strategy") [OPTION: 2 pages for each work package description in section 1.2 (d)]
2.1 Management structure and procedures	5 pages
2.2 Individual participants	1 page per participant
2.3 Consortium as a whole	No specific limit
2.4 Resources to be committed	2 pages

3.	Impact	10 pages for whole section
4.	Ethics Issues	No limit

***** *This limit does not include the Gantt chart under 1.3 ii), the tables 1.3a- e, and the Pert diagram under 1.3 iv).*

Cover Page

Proposal full title:
Proposal acronym:
Type of funding scheme: Coordination and support actions (Supporting)

Work programme topics addressed:
(if more than one, indicate their order of importance to the project)

Name of the coordinating person:

List of participants:

Participant no. *	**Participant organisation name**	**Country**
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 Concept and objectives

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

Describe in detail the S&T objectives. Show how they relate to the topics addressed by the call, 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.

1.2 Quality and effectiveness of the support mechanisms, and associated work plan

A detailed work plan should be presented, broken down into work packages[12] (WPs) which should follow the logical phases of the implementation of the project, and include consortium management and assessment of progress and results. (Please note that your overall approach to management will be described later, in section 2).

Please present your plans as follows:

i) Describe the overall strategy of the work plan *(maximum length: 1 page).*

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

iii) Provide a detailed work description broken down into work packages:
- Work package list (please use table 1.2a);
- Deliverables list (please use table 1.2b);
- List of milestones (please use table 1.2c);
- Description of each work package, and summary (please use table 1.2d);
- Summary effort table (please use table 1.2e)

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

v) Describe any significant risks, and associated contingency plans.

If relevant to the S/T content of your proposed work, a description of how gender issues will be analysed and taken into consideration[13].

<u>Note:</u>

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

[12] 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.

[13] See http://genderedinnovations.stanford.edu/index.html

Maximum length for the whole of Section 1: Twenty pages. This limit does not include the Gantt chart under 1.2 ii), the tables 1.2a- e, and the Pert diagram under 1.2 iv).

Table 1.2 a: Work package list

Work package No[14]	Work package title	Type of activity[15]	Lead participant No[16]	Lead participant short name	Person-months[17]	Start month[18]	End month
		TOTAL					

[14] Workpackage number: WP 1 – WP n.

[15] Please indicate one activity per work package: SUPP = Support activities; MGT = Management of the consortium; OTHER = Other specific activities, if applicable.

[16] Number of the participant leading the work in this work package.
[17] The total number of person-months allocated to each work package.
[18] Measured in months from the project start date (month 1).

Table 1.2 b: Deliverables List

Del. no. [19]	**Deliverable name**	**WP no.**	**Nature**[20]	**Dissemi-nation level** [21]	**Delivery date**[22]

19 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.

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

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

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

Table 1.2 c: 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 number	Milestone name	Work package(s) involved	Expected date [23]	Means of verification[24]

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

[24] 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 1.2 d: Work package description

For each work package:

Work package number		**Start date or starting event:**					
Work package title							
Activity Type[25]							
Participant number							
Participant short name							
Person-months per participant:							

Objectives

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

Deliverables (brief description and month of delivery)

[25] Please indicate <u>one</u> activity per work package:
SUPP = Support activities); MGT = Management of the consortium; OTHER = Other specific activities, if applicable.

Table 1.2 e: Summary of staff effort

A summary of the staff effort is useful for the evaluators. Please indicate in the 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 no./short name	**WP1**	**WP2**	**WP3**	**…**	**Total person months**
Part.1 short name					
…					
…					
…					
Total					

2. Implementation

2.1 Management structure and procedures

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

(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 legal entity, the main tasks they have been attributed, and the previous experience relevant to those tasks. Provide also a short profile of the staff members who will be undertaking the work.

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

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

2.3 Consortium as a whole (only if relevant)

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

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 Countries[26], explain in terms of the project's objectives why such funding would be essential.

(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.

[26] See Participant Portal web-site, and annex 1 of the work programme.

(Maximum length for Section 2.4 – two pages)

3. Impact

3.1 Expected impacts listed in the work programme

Describe how your project will contribute towards the expected impacts listed in the work programme in relation to the topic or topics in question. Mention the steps that will be needed to bring about these impacts. Explain why this contribution requires a European (rather than a national or local) approach. Indicate how account is taken of other national or international research activities. Mention any assumptions and external factors that may determine whether the impacts will be achieved.

When appropriate (relevant for the topic):

With regard to the innovation dimension, describe the potential areas and markets of application of the project results and the potential advantages of the resulting technologies/ solutions compared to those that are available today.

3.2 Spreading excellence, exploiting results, disseminating knowledge

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

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

When appropriate (relevant for the topic):

With regard to the innovation dimension, describe the measures you propose to increase the likelihood of market uptake of project results, such as: verification, testing, and prototyping; supporting the development of technical standards; identifing and collaborating with potential users; identifying potential partners and sources of finance for commercialisation.

(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, you should explain the benefit and burden of their experiments and the effects it may have on the research subjects. 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). It is strongly advised that when drafting the research proposal, the local ethics committee or/and relevant competent authorities (Data Protection, Clinical Trials etc) should be contacted for information and, when applicable, guidance. You may also address specific questions to the FP7 Ethics Help Desk (see page 2 in this Annex).

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 hESC lines to be used in the project were derived from embryos
    - of which the donor('s)(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 the 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, namely that no pressure was put on the donor(s) at any stage, that no financial inducement was offered to donation for research at any stage and that the infertility treatment and research activities were kept appropriately separate

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

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

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

Projects raising specific ethics issues such as research intervention on human beings[27]; 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
Additional information (reference documents, EU and International legislation etc) can be found in the EUROPA research site:
http://ec.europa.eu/research/science-society/index.cfm?fuseaction=public.topic&id=1289&lang=1

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

ETHICS ISSUES TABLE

Areas Excluded From Funding Under FP7 *(Art. 6)*

(i) Research activity aiming at human cloning for reproductive purposes;

(ii) Research activity intended to modify the genetic heritage of human beings which could make such changes heritable (Research relating to cancer treatment of the gonads can be financed);

(iii) 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;

All FP7 funded research shall comply with the relevant national, EU and international ethics-related rules and professional codes of conduct. Where necessary, the beneficiary(ies) shall provide the responsible Commission services with a written confirmation that it has received (a) favourable opinion(s) of the relevant ethics committee(s) and, if applicable, the regulatory approval(s) of the competent national or local authority(ies) in the country in which the research is to be carried out, before beginning any Commission approved research requiring such opinions or approvals. The copy of the official approval from the relevant national or local ethics committees must also be provided to the responsible Commission services.

Guidance notes on informed consent, dual use, animal welfare, data protection and cooperation with non-EU countries are available at : http://cordis.europa.eu/fp7/ethics_en.html#ethics_sd

For real time updated information on Animal welfare also see: http://ec.europa.eu/environment/chemicals/lab_animals/home_en.htm
For real time updated information on Data Protection also see: http://ec.europa.eu/justice/data-protection/index_en.htm

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

	Research Involving non-EU Countries (ICPC Countries[28])	YES	Page
	Is the proposed research (or parts of it) going to take place in one or more of the ICPC 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 and processed in any of the ICPC 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		

[28] 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. Countries associated to the Seventh EC Framework Programme do not qualify as ICP Countries and therefore do not appear in this list.