

**Call title: FP7-HEALTH-2013-SMEs-FOR-INNOVATION**

**Call identifier: FP7-HEALTH-2013-INNOVATION-2**

**Proposal submission and evaluation:** two-stage procedure.

**Date of publication:** 10 July 2012

**Deadline for stage 1 proposals:** 25 September 2012 at 17:00:00 (Brussels local time)<sup>1</sup>

**Indicative budget:** EUR 140 million from the 2013 budget<sup>2</sup>

*The budget for this call is indicative. The final budget awarded to actions implemented through calls for proposals may vary:*

*The total budget of the call may vary by up to 10% of the total value of the indicated budget for each call; and*

*Any repartition of the call budget may also vary by up to 10% of the total value of the indicated budget for the call.*

**For description of the topics of the calls, please refer to section II 'Content of calls'**

**Table 1: Indicative budget lines**

<b>ACTIVITY/AREA</b>	<b>Indicative budget (EUR million)</b>
0. HORIZONTAL TOPICS FOR COLLABORATIVE PROJECTS RELEVANT FOR THE WHOLE OF THEME HEALTH	95
2. TRANSLATING RESEARCH FOR HUMAN HEALTH	
2.3. TRANSLATIONAL RESEARCH IN MAJOR INFECTIOUS DISEASES: TO CONFRONT MAJOR THREATS TO PUBLIC HEALTH	
2.3.1 ANTI-MICROBIAL DRUG RESISTANCE	45

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<sup>1</sup> The Director-General responsible for this call may delay this deadline by up to two months.

<sup>2</sup> Under the condition that the draft budget for 2013 is adopted without modifications by the budgetary authority.

**Table 2: Topics called:**

Activity/Area	Topics called	Funding Schemes
0. HORIZONTAL TOPICS FOR COLLABORATIVE PROJECTS RELEVANT FOR THE WHOLE OF THEME HEALTH		
0.1	HEALTH.2013.0-1: Boosting the translation of health research projects' results into innovative applications for health.  <i>One or more proposals may be selected.</i>	<i>Collaborative Project (small or medium-scale focused research project).</i>
2.3. TRANSLATIONAL RESEARCH IN MAJOR INFECTIOUS DISEASES: TO CONFRONT MAJOR THREATS TO PUBLIC HEALTH		
2.3.1 Anti-microbial drug resistance		
2.3.1	HEALTH.2013.2.3.1-1: Drugs and vaccines for infections that have developed or are at risk of developing significant anti-microbial resistance.  <i>One or more proposals may be selected.</i>	<i>Collaborative Project (small or medium-scale focused research project).</i>

**Conditions for FP7-HEALTH-2013-INNOVATION-2:**

It is important to note that once the basic criteria for eligibility are met – such as the minimum number of participants 3 and maximum 5 or the budget ceiling of EUR 6 million for the requested EU contribution or the maximum project duration of 3 years – within these limits it is up to the applicants to propose a number of partners, a duration of the project or the financial contribution requested from the EU. The budget should also be in line with the needs of the consortia, within the maximum EU contribution, but not necessarily at its maximum.

The quality, feasibility, implementation and impact of the proposed work as well as the match between the expertise of the consortium and the project goals are subject to the evaluation carried out by independent experts.

Eligibility criteria for each proposal are checked by Commission staff before the evaluation begins. Proposals which do not fulfil these criteria will not be included in the evaluation. However, a proposal can be declared ineligible at any time of the process.

**Specific requirements to be considered under the evaluation:**

- Specific innovation initiative designed to encourage strong SME efforts towards the translation of research results into innovative applications for health.
- Leading role of SMEs in the project.
- Developing a short business plan as part of the proposal clearly describing the valorisation of the technology(ies) when presenting a full proposal at stage 2.
- Expected outcomes of clear interest and potential benefit to SMEs.

### Eligibility criteria (stage 1 and stage 2):

The general eligibility criteria are set out in Annex 2 to this work programme, and in the guide for applicants for this call. Please note that the completeness criterion also includes that part B of the proposal shall be readable, accessible and printable.

**Table 3:** Minimum number of participating legal entities for the funding scheme used in this call, in line with the Rules for Participation.

<b>Funding scheme</b>	<b>Minimum conditions</b>
Collaborative Project	At least 3 independent legal entities, each of which is established in a EU Member State (MS) or Associated Country (AC), and no 2 of which are established in the same MS or AC

The eligibility criteria apply to both first and second stage proposals. At stage 1, only information provided in part A of the proposal will be used to determine whether the proposal is eligible with respect to overall budget threshold (budget ceilings for requested EU contribution per project), while part B will be used to check the number of eligible participants. At stage 2, part A will be used alone to determine these eligibility criteria.

- The **requested EU contribution** per project shall depend on the needs of the project and shall not exceed a maximum of EUR 6 000 000.
- The proposed **project duration** indicated in the proposal may not exceed 3 years.
- **The number of participants is restricted** from 3 to 5 entities<sup>3</sup>, where **SME or SME joint venture participation is restricted** to entities established in EU Member States and Associated Countries.

### In addition only at stage 2:

- **Participating SME(s) or SMEs joint venture** need to be 1) at least 51% owned and controlled by one or more individuals who are citizens of one of the EU Member States or Associated Countries or permanent residents in one of those countries, or 2) at least 51% owned and controlled by another business concern that is itself at least 51% owned and controlled by individuals who are citizens of, or permanent residents in those countries.
- The **estimated EU contribution going to SME(s) or SME joint venture shall be 50% or more** of the total estimated EU contribution to the project as a whole. The SME status and the financial viability will be assessed at the end of the negotiation, before signature of the grant agreement.
- The **financial viability of all partners** in selected projects needs to fulfil the Commission requirements. *The SME status and the financial viability will be checked definitively at the end of any negotiation.*

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<sup>3</sup> For minimum conditions please refer to table 3

Applicants invited to present a full proposal for stage 2 are requested to submit within the proposal a short business plan, clearly describing the valorisation of the technology. The short business plan is part of the proposal content within its page limitations given in the guide for applicants and the electronic Submission Services template.

**Evaluation procedure for stage 1 and 2:**

- The evaluation criteria and scoring scheme are set out in annex 2 to the work programme and the guide for applicants.
- A two-stage submission and evaluation procedure will be used.

**Additional information regarding evaluation criteria and procedures for stage 1 and 2:**

- For proposals failing to achieve a threshold for a criterion, the evaluation of the proposal will be stopped at the first criterion failing a threshold. Therefore for such proposals the ESR (evaluation summary report) will not contain marks and comments for the remaining criteria. Successful proposals will need to pass the minimum thresholds.
- In line with the objectives of each topic, additional evaluation criteria may be indicated in the work programme under the respective topic in section II.

**Proposal ranking:** The priority lists will be prepared by the panels of external experts, per indicative budget line as set out in table 1 of this call fiche.

**Stage 1 proposals**

- *Stage 1 proposals shall be submitted by the deadline mentioned above.*
- *Stage 1 proposals shall follow the instructions set out in the guide for applicants and in the proposal part B template available through electronic Submission Services of the Commission. Proposals will need to describe the overall scientific and technological content and clearly identify the milestones and deliverables to be reached (intended results), the intended use of the results and the expected impact (scientific, economic, social, environmental, etc.) and as set out in section II under each topic with a total maximum of 6 pages (excluding the cover page and the required tables). The maximum page limits of each section will need to be respected. No annexes are allowed to the proposal i.e. applicants have to strictly follow the template for part B and may not create more sections or annexes within this document. The Commission will instruct the independent external experts (evaluators of proposals) to disregard any pages in excess of these limits. A minimum font size of 11 is required. The page size is A4, and all margins (top, bottom, left, right) should be at least 15 mm (not including any footers or headers).*
- *Stage 1 proposals will be evaluated remotely by independent external experts, including a remote consensus.*
- *Stage 1 proposals will be evaluated on the basis of the following two criteria: **Scientific/technological quality and Impact**. For each criterion, marks from 0 to 5 will be given, with the possibility of half-point scores. For proposals failing to achieve a threshold for a criterion, the evaluation of the proposal will be stopped at the first criterion failing a threshold. Therefore for such proposals the ESR (evaluation summary*

report) will not contain marks and comments for the remaining criteria. Proposals will need to pass the minimum thresholds as follows:

**Table 4: Thresholds for evaluation criteria for first stage**

<b>Criterion</b>	<b>Minimum threshold</b>
<b>S/T quality</b>	<b>4/5</b>
<b>Impact</b>	<b>4/5</b>
<b>Overall threshold</b>	<b>8/10</b>

- *All Proposals passing all thresholds will be retained at stage 1. Successful proposals will not receive an ESR<sup>4</sup>.*
- *Coordinators of proposals retained at stage 1 (proposals passing the evaluation thresholds) will be invited to submit a complete proposal (stage 2 proposal) that will then be evaluated against the entire set of evaluation criteria. In line with the objectives of each topic, additional eligibility criteria may be indicated in the work programme.*

#### **Stage 2 proposals**

- *The deadline for submission for stage 2 proposals will be specified in the invitation to submit. The **indicative deadline** for stage 2 proposals is in December 2012.*
- *Stage 2 proposals shall respect the maximum of 20 pages (excluding the cover page and the required tables) and shall follow the instructions set out in the guide for applicants and in the proposal part B template available through electronic Submission Services of the Commission. **The maximum page limits of each section will need to be respected. No annexes are allowed to the proposal i.e. applicants have to strictly follow the template for part B and may not create more sections or annexes within this document.** Proposals will need to describe the overall scientific and technological content and clearly identify the milestones and deliverables. A proper statistical section for clinical trials or experimental design will need to be provided where appropriate. In the section implementation the capacity to carry out the work and the leading role of the SMEs need to be described. In the section expected impact the intended results (scientific, economic,*

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<sup>4</sup> See annex C of the "Rules for submission of proposals, and the related evaluation, selection and award procedures"; COMMISSION DECISION of 28 February 2011

social, environmental, etc. and as set out in section II under each topic) are to be described.

- *Proposal page limits: Applicants shall ensure that proposals conform to the page limits and layout given in the Guide for Applicants, and in the proposal part B template available through the electronic Submission Services of the Commission. **No annexes are allowed.***
- *The Commission will instruct the experts to disregard any pages exceeding these limits.*
- *The minimum font size allowed is 11 points. The page size is A4, and all margins (top, bottom, and left, right) should be at least 15 mm (not including any footers or headers).*
- *Stage 2 proposals are evaluated on the basis of the following three criteria: **Scientific/technological quality and Implementation and Impact.***
- *For each criterion, marks from 0 to 5 will be given, with the possibility of half-point scores. For proposals failing to achieve a threshold for a criterion, the evaluation of the proposal will be stopped at the first criterion failing a threshold. Therefore for such proposals the ESR (evaluation summary report) will not contain marks and comments for the remaining criteria. Proposals will need to pass the minimum thresholds as follows:*

**Table 5: Thresholds for evaluation criteria for second stage**

<b>Criterion</b>	<b>Minimum threshold</b>
<b>S/T quality</b>	<b>4/5</b>
<b>Implementation</b>	<b>3/5</b>
<b>Impact</b>	<b>4/5</b>
<b>Overall threshold</b>	<b>12/15</b>

*The following aspects will be considered for proposals submitted to this call under the evaluation criterion relating to 'implementation':*

- ➔ *Proposals are expected to have 50 % of the requested EU contribution going to SMEs or SME joint ventures from EU Member States or Associated Countries. Applicants and evaluators should note that only proposals which fulfil these conditions will be eventually selected. The SME status and the financial viability will be checked definitively at the end of any negotiation.*
- ➔ *The leading role of SMEs or SME joint ventures with R&D capacities: the coordinator does not need to be an SME, but the participating SMEs should have a decision making power in the project management (e.g. veto rights), and the output should be for the benefit of them.*
- ➔ *Within the limits of a maximum requested EU contribution of EUR 6 000 000, any amount requested from EU is possible; including very small amounts but the adequacy of resources/budget will be strictly scrutinized during the stage 2 evaluations.*

➔ *At stage 2 evaluators will also consider whether the participants will have the capacity to carry out the proposed short business plan.*

**Proposal ranking at stage 2:**

- *Proposals will be ranked per indicative budget line.*
- *There may be topics for which no proposals are of sufficient quality to be selected for funding.*
- *The Commission ranked lists of proposals to be retained for negotiation will be based on the priority list established by the panel of independent external experts taking into account the budget available for each budget line (as indicated in this call for proposals).*

*For each budget line, a number of proposals below the indicative budget cut-off line on the Commission ranked list may be kept on a reserve list to allow for eventualities such as the failure of negotiations on grant agreements, the withdrawal of proposals, budget savings agreed upon during negotiation, or the availability of additional budget from other sources.*

**Indicative timetable for Stage 1 and 2:** The stage 1 evaluation should be finalised by end of October 2012. The deadline for stage 2 proposals is expected to be mid December 2012. The evaluation of the stage 2 is expected to take place in January 2013. Overall evaluation results: estimated to be available within 2 months after the closure date for stage 2 proposals. It is expected that grant agreement negotiations for short-listed proposals would begin in February 2013.

**Consortium agreements:** Participants are required to conclude a consortium agreement. Even if an SME is not the coordinator, the protection of interests of the participating SMEs shall be guaranteed through appropriate governance mechanisms (e.g. veto right) within the consortium agreement.

**Forms of grant and maximum reimbursement rates** for projects funded through the Cooperation work programme are given in Annex 3.

**Flat rates to cover subsistence costs:** In accordance with Annex 3 to this work programme, this call provides for the possibility to use flat rates to cover subsistence costs incurred by beneficiaries during travel carried out within grants for indirect actions. For further information, see the relevant Guides for Applicants for this call. The applicable flat rates are available on the Participant Portal at: [https://ec.europa.eu/research/participants/portal/page/fp7\\_documents](https://ec.europa.eu/research/participants/portal/page/fp7_documents) under 'Guidance documents for FP7/Financial issues/Flat rates for daily allowances'.

**Dissemination:** Grant agreements of projects financed under this call for proposals will include the special clause 39 on the "Open Access Pilot in FP7". Under this clause, beneficiaries are required to make their best efforts to ensure free access to peer-reviewed articles resulting from projects via an institutional or subject-based repository.