SEVENTH FRAMEWORK PROGRAMME

GUIDE FOR APPLICANTS

General part

Research for the benefit of specific groups (in particular SMEs)

FP7-SME-2013
Activity 2.1: Research for SMEs
- Call 6 -
Activity 2.2: Research for SME-AGs
- Call 5 -

This part of the guide should be read in conjunction with the call-specific annexes, published as a separate document.

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/page/home/ (select tab "FP7 calls")

July 2012

About this Guide

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

The main part of this Guide (sections 1 to 5) is common to all such calls. Information specific to this call is found in the annexes. As a departure from previous years, these parts are published in separate documents.

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

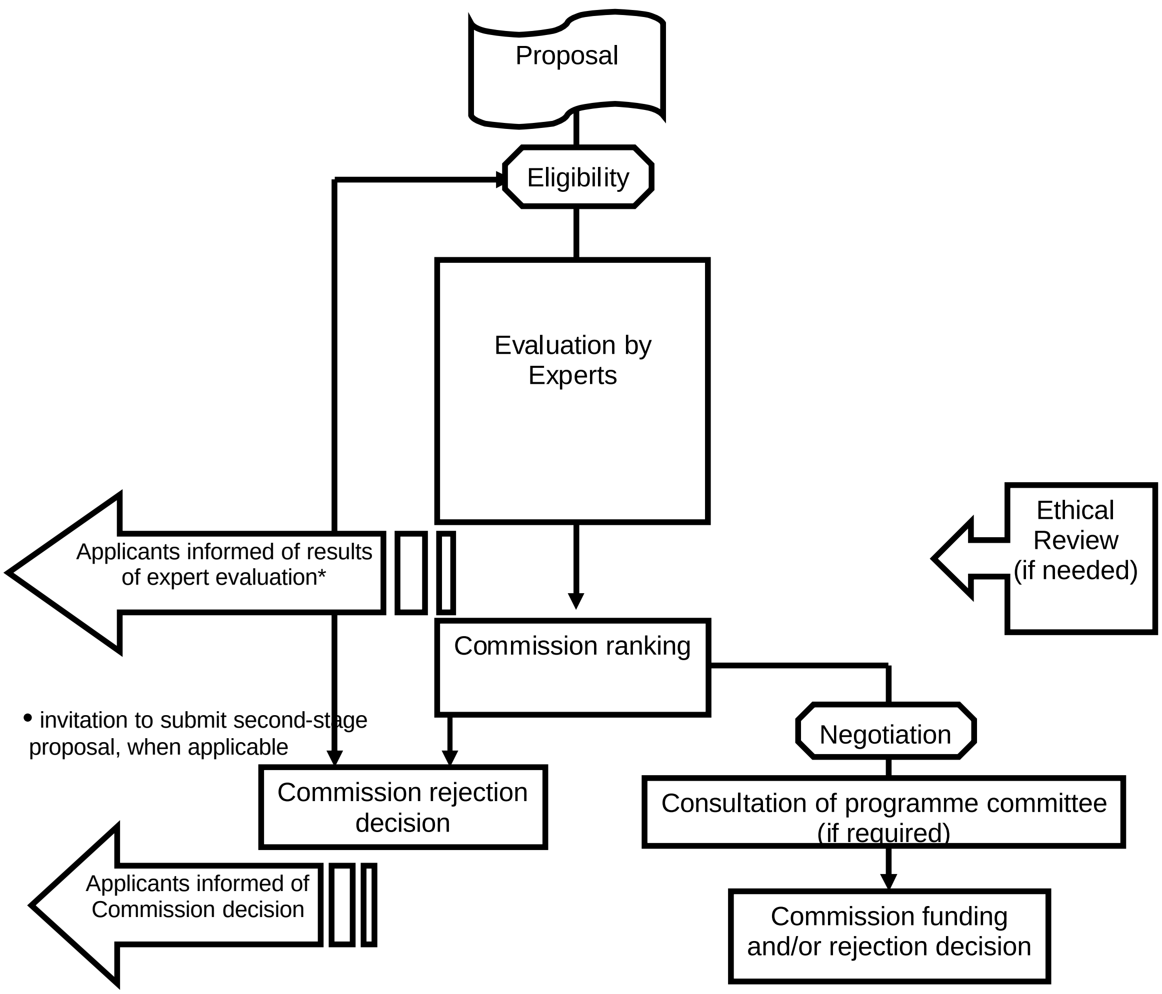
Contents

1. Getting started

Funding decisions in the Seventh Framework Programme (FP7) are made on the basis of **proposals** submitted following **calls** published by the Commission or one of its agencies. Proposals describe planned research activities, information on who will carry them out, and how much they will cost. They must be submitted using a special web-based service before a strictly-enforced **deadline**. The Research Executive Agency (REA) evaluates all eligible proposals in order to identify those whose quality is sufficiently high for possible funding. The basis for this **evaluation** is a peer-review carried out by independent experts.

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

The sequence of steps is summarised in this flow chart:



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

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

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

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

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

2. About the funding scheme: Research for the benefit of specific groups (in particular SMEs)

2.1 General

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

This Guide covers the **Research for the benefit of specific groups (in particular SMEs)** funding scheme, and a description is given in this section.

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

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 Research for the benefit of specific groups (in particular SMEs)

Purpose

The funding scheme **"Research for the benefit of specific groups (in particular SMEs)"** supports research and technological development projects where the bulk of the research is carried out by RTD performers for the benefit of specific groups, in particular Small and Medium sized Enterprises (SMEs) - in small groups or in associations.Research for SMEs and for SME associations, aims to solve problems common to SMEs..

Specific Programmes concerned

The funding scheme "Research for the benefit of specific groups (in particular SMEs)" may be used:

§ In the related work programmes of "Capacities" for actions for the benefit of SMEs;

Participation

A participant means a legal entity contributing to the project and having rights and obligations with regard to the EU under the terms of the grant agreement. There must be at least three "legal entities" established in different EU Member States or Associated countries (the countries concerned are listed in section 3). The entities must be independent of each other.

In particular, projects funded from the Work Programme "Research for the benefit of SMEs" under the funding scheme "Research for the benefit of specific groups (in particular SMEs)" require different **participant categories** with a respective minimum number of participants and role in the projects:

§ **Research for SMEs:** 3 participants must be Participant Type 'SMEs' (SMEP); they must be independent from each other and established in three different Member States or

§ Associated countries and 2 participants must be Participant Type 'RTD performers' (RTDP) and they must be independent of each other and from any other type of participant. If there are any 'Other enterprises and end-users' (OTHER), they must be independent of any other participant.

§ **Research for SME associations:** 3 participants must be Participant Type 'SME associations/groupings' (SME-AG) that are independent from each other and are established in three different Member States or Associated countries. Alternatively, there may be 1 'European SME association/grouping' established in a MS or AC. This association/grouping must be made up of a minimum of 3 independent legal entities established in 3 MS or AC). 2 Participants must be Participant Type 'RTD performers' (RTDP), independent of each other and from any other type of participant and there need to be at least 2 SMEs, independent of any other participant, participating as 'Other enterprises and end-users' (OTHER) and established in 2 MS or AC.

Other participants, e.g. 'Other enterprises and end-users' may participate by making a particular contribution to the project and in solving specific problems or needs of the SMEs or the SME associations, though not in a dominant role.
The relevant Work Programme specifies additional requirements for each participant category concerning the eligible entities and their role in the project.
International European Interest Organisations (IEIO) and the JRC may participate as RTD performers or other participants under the same conditions as legal entities from Member States.
The projects will be open to the participation of entities from non-associated third countries, with special provisions for possible EU financial support for entities belonging to certain groups of countries.

<u>“Target audience”:</u> Research institutes, Universities, Industry, including SMEs, (Possibly) Potential end-users

Size and resources and duration

The budget, the duration of the projects and the size of the consortium should provide the necessary resources to achieve the objectives. The relevant Work Programme may include recommendations for the total budget, the duration of the projects and/or the number of participants.

Activities

The activities to be carried out in the context of a "Research for the benefit of SMEs" project consist of up to 4 different types of activities of which research and /or demonstration activities are compulsory. The types of activities are:

Research and technological development activities form the core of the project and the RTD performers should perform the bulk of these. SMEs should focus on initial specifications, and on testing and validation of project results and the preparatory stages for further use. Knowledge management and IPR protection should support the SMEs in protecting and using the research results to their best advantage, leading to a clear economic impact.

- Demonstration activities, designed to prove the viability of new technologies that offer a potential economic advantage, but which cannot be commercialised directly (e.g. testing of product-like prototypes). Demonstration activities are an important step of a project on its way towards commercialization and should therefore typically be a distinct element of a project.

- Management activities, over and above the technical management of individual work packages, linking together all the project components and maintaining communications with the REA.

- any Other activities such as:

  - activities directly related to the project's objectives (as identified in the relevant work programme or call for proposals) and likely to have a potential impact on the outcome of the project (e.g. debates and initiatives on issues such as ethics, gender, socio-economics, etc.);
  - activities to disseminate research results and to prepare for their take-up and use, including knowledge management and, activities directly related to the protection of foreground;
  - training of researchers and key staff, including research managers and industrial executives (in particular for SMEs) and any potential users of the knowledge generated by the project. The training should aim to improve the professional development of the personnel concerned.

Co-ordination tasks may not be subcontracted. The organisation acting as coordinator must have the necessary capacity and competence to ensure effectively the coordination tasks. The co-ordinator of a 'Research for SMEs' project should preferably be one of the SME participants. This role may be entrusted by the SMEs in duly justified cases to an RTD performer or an organisation specialised in professional project management. The latter will participate in the project under the category 'Other enterprises and end-users' in support to the SMEs.

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. It shall not exceed the maximum EC contribution determined by the rules for participation.

The Work Programme specifies if other forms of reimbursement are to be used in the actions concerned. International Cooperation Partner Countries (see annex 1 to the work programme) may opt for a lump sum.

For actions under the funding scheme "Research for the benefit of specific groups (in particular SMEs)" the EU financial contribution is limited to 110% of the remuneration of the research and technological development activities and demonstration activities outsourced to the RTD performers.
In accordance with the key outsourcing principle, full ownership of the entire foreground belongs to the specific group benefiting from that action and the RTD performers are remunerated accordingly.
However, the beneficiaries (SMEs or SME associations) may agree on other conditions with the RTD performers. It is, for example, conceivable that the beneficiaries do not require property rights on foreground but that their interest is fully satisfied by a (non)-exclusive license. In such a situation, the RTD performer could retain ownership of the IPR and certain use rights to exploit and get a return on its own investment. This in turn will affect the level of remuneration paid by the beneficiaries for the research services delivered.

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 themselves 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

<u>The coordinator</u>

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

Co-ordination tasks may not be subcontracted. The organisation acting as coordinator must have the necessary capacity and competence to ensure the coordination tasks effectively. The co-ordinator of a 'Research for SMEs' project should preferably be one of the SME participants. This role may be entrusted by the SMEs in duly justified cases to a RTD performer or an organisation specialised in professional project management. The latter will participate in the project under the category 'Other enterprises and end-users' in support to the SMEs.

<u>Focusing your planned work</u>

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

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

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

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

<u>National Contact Points</u>

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 REA -through 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.

<u>Other sources of help</u>

Annex 1 to this guide gives references to these further sources of help for this call. 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 call.

- The date and contact address for any '**information day'** that the REA may be organising for this call.

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

Who can participate?

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

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

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

> *The EU Member States are:*
>
> *Austria, Belgium, Bulgaria, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, United Kingdom.*
>
> *The Associated Countries are:*
>
> *Albania, Bosnia and Herzegovina, Croatia, Faroe Islands, FYR Macedonia, Iceland, Israel, Liechtenstein, Montenegro, Norway, Serbia, Switzerland Turkey and Moldova.*
>
> *Other countries may become associated during the course of FP7. The latest news will be posted on CORDIS and on the Participant Portal web sites.*

The following may receive EU funding in an FP7 project:

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

- Any International European Interest Organisation (see glossary).

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

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

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

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

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

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

> *Before the signature of a grant agreement, the REA has to verify the existence and legal status of all participants. This verification is made only once for each organisation at the time of its first participation in FP7. The details of all validated organisations are stored in an internal Commission database. These organisations are allocated a unique code, the so-called **Participant Identification Code (PIC)**. In any further participation in other proposals, the organisations already validated use the PIC for their identification with the Commission.*

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

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

The Charter, established by Commission Recommendation of 11 March 2005[2], covers a set of general principles and requirements specifying the roles, responsibilities and entitlements of researchers, employers and/or funders of researchers. According to Article II.3 (m) of the Model Grant Agreement, beneficiaries of a grant agreement will be requested to take into consideration these general principles in particular those concerning the working conditions, the transparency of recruitment processes, and the career development of the researchers recruited for the project, while recognising the voluntary nature of that Recommendation.

International cooperation

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

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

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

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

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

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 REA together with 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 for 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 REA together with 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

Risk-Sharing Finance Facility (RSFF)

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

The EIB implements RSFF in close collaboration with all major EU national and regional banks within Member States and Associated Countries to FP7, which are providing support to the development of

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

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

For additional information on RSFF see:

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

Presenting your proposal

A proposal has two parts:

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

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

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

Part B of the proposal is uploaded by the applicant into the 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. Experts will be instructed to disregard any excess pages.*
>
> *Even where no page limits are given, or where limits are only recommended, it is in your interest to keep your text concise since over-long proposals are rarely viewed in a positive light by the evaluating experts.*
>
> *A small number of calls operate a **continuous submission procedure**. These calls are open for an extended period, during which proposals will be evaluated in batches after fixed cut-off dates. The call fiche will show whether intermediate cut-off dates apply to his call.*

Proposal language

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

3.2 Proposal submission

About the 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.

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.*

[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.

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 *<u>all</u>* *the pages of your original document (e.g. there is no problem with page limits).*

Check that your conversion software has not cut down landscape 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).

<u>Step six: proposal status page</u>

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

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.

[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).

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

- **Are you applying for the right funding scheme?** Check that your proposed work falls within the scope of this call, and that you have applied for one of the eligible funding schemes (see the work programme). If there is a choice, have you opted for the one that best suits your needs? Check the Part A and Part B formats shown in annexes 3 and 4 to this 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 call? Check that you comply with any budgetary limits that may have been fixed on the requested EU contribution. Any proposal not meeting the eligibility requirements will be considered ineligible and will not be evaluated.

- **Is your proposal complete?** Proposals must comprise a Part A, containing the administrative information including participant and project cost details on standard forms; and a Part B containing the scientific and technical description of your proposal as described in this Guide. A proposal that does not contain both parts will be considered ineligible and will not be evaluated.

- **Does your proposed work raise ethical issues?** Clearly indicate any potential ethical, safety or regulatory aspects of the proposed research and the way these will be dealt with prior and during the implementation of the proposed project. A preliminary ethics control will take place during the scientific evaluation and, if needed,. an ethics screening and/or review will take place for those proposals raising particular ethical issues.. Proposals may be rejected on ethical grounds if such issues are not dealt with satisfactorily.

- **Does your proposal follow the required structure?** Proposals should be precise and concise, and must follow exactly the proposal structure described in this document (annex 4 to this Guide), which is designed to correspond to the evaluation criteria which will be applied. This structure varies for different funding schemes. Omitting requested information will almost certainly lead to lower scores and possible rejection.

- **Have you maximised your chances?** There will be strong competition. Therefore, edit your proposal tightly, strengthen or eliminate weak points. Put yourself in the place of an expert evaluator; refer to the evaluation criteria given in annex 2 to this Guide. Arrange 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 call deadline. If, after the close of the call, 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 document (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? <u>After the call deadline it will not be possible to replace your Part B file.</u>

- **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 submit a first version of your proposal well in advance of the deadline** (at least several days before), and then to continue to improve it with regular resubmissions?

- **Have you completed the submission process for your latest version?**

4.3 Following submission

- Information submitted to the 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 call deadline, the REA 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 call deadline (or cut-off date, in the case of a continuously open call), you should contact the FP7 Enquiry Service (see annex 1 to this Guide). However, first please check that you are the person named in the proposal as contact person for partner no. 1, check the email address which you gave for yourself, and check the junk mail box of your email system for the first few days following the close of call for any mail originating from FP7Aor@ess-fp7.org.*

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

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

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

Soon after the completion of the evaluation, the results will be finalised and all co-ordinators will receive a letter containing **initial information** on the results of the evaluation. Even if the experts viewed your proposal favourably, the REA cannot at this stage indicate if there is a possibility of EU funding.

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

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

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

Based on the results of the evaluation by experts, the REA draws up the final list of proposals for possible funding, taking account of the available budget.

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

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

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

The negotiations will also deal with 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 or Luxembourg 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 Participant Portal at http://ec.europa.eu/research/participants/portal/page/home. This self-registration will lead to a request by the Commission to the organisation to provide supporting documents and to nominate a Legal Entity Authorised Representative (LEAR).

The LEAR is a person nominated in each legal entity participating in FP7. This person is the contact for the REA 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 URF 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/page/home

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

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

C

Call fiche

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

Call for proposals (or "call")

An announcement isusually published 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 REA.

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 to the REA, 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 workpackage will produce one or more deliverables during its lifetime. Deliverables are often written reports but can also take another form, for example the completion of a prototype etc.

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

E

Early Warning System (EWS)
An internal information tool of the REA to flag identified financial risks related to beneficiaries.

Electronic Submission Services
A web-based service which must be used to submit proposals to the REA. 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 Community funding of research projects. The funding schemes have different objectives, and are implemented through grant agreements.

G

Grant Agreement (GA)
The legal instrument that provides for REA funding of successful proposals.

H

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

I

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

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

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

Initial information letter
A letter sent by the REA 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 REA 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 REA (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 EC 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 REA 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 Electronic Submission Services 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 Community.

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/home/myorganisations

Participant Portal

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

Programme committee
A group of official national representatives who assist the REA 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

REA – Research Executive Agency
The Research Executive Agency (REA) is a funding body created by the European Commission to foster excellence in research and innovation. It manages large parts of the Seventh Framework Programme for Research, Technological Development and Demonstration Activities (FP7), the main EU funding package to respond to Europe's needs in terms of jobs and competitiveness in the global knowledge economy.
http://ec.europa.eu/research/rea/

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.

Risk-Sharing Finance Facility (RSFF)
A novel mechanism to foster private sector investment in research, by increasing the capacity of the EIB and its financial partners to provide loans for European RTD projects.

RTD
Research and Technological Development.

S

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

Specific flat rate (60%)
A 60% flat rate of the total direct costs applicable under certain conditions to non-profit public bodies, secondary and higher education establishments, research organisations and SMEs. This rate is 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 allows organisations who intend to submit on several occasions to register their details once and for all, obviating the need to provide the same information with each submission. The Web interface of the URF is found at http://ec.europa.eu/research/participants/urf. On this website you will also find a search tool to check if your organisation is already registered or not.

W

Weightings

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

Work Package

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

Work Programme

A formal document of the REA 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.