



# **GUIDE FOR APPLICANTS**

**CAPACITIES-Research Infrastructures**

*ERA-NET Implemented as a*

**COORDINATION AND SUPPORT ACTION  
(Coordination)**

***FP7-INFRASTRUCTURES-2007-1***

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

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

## About this Guide

This is version number 1 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. If it is revised during the course of FP7, the new Guide will be given a different version number and the changes will be indicated in this box.

Information specific to this call is found in the annexes.

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

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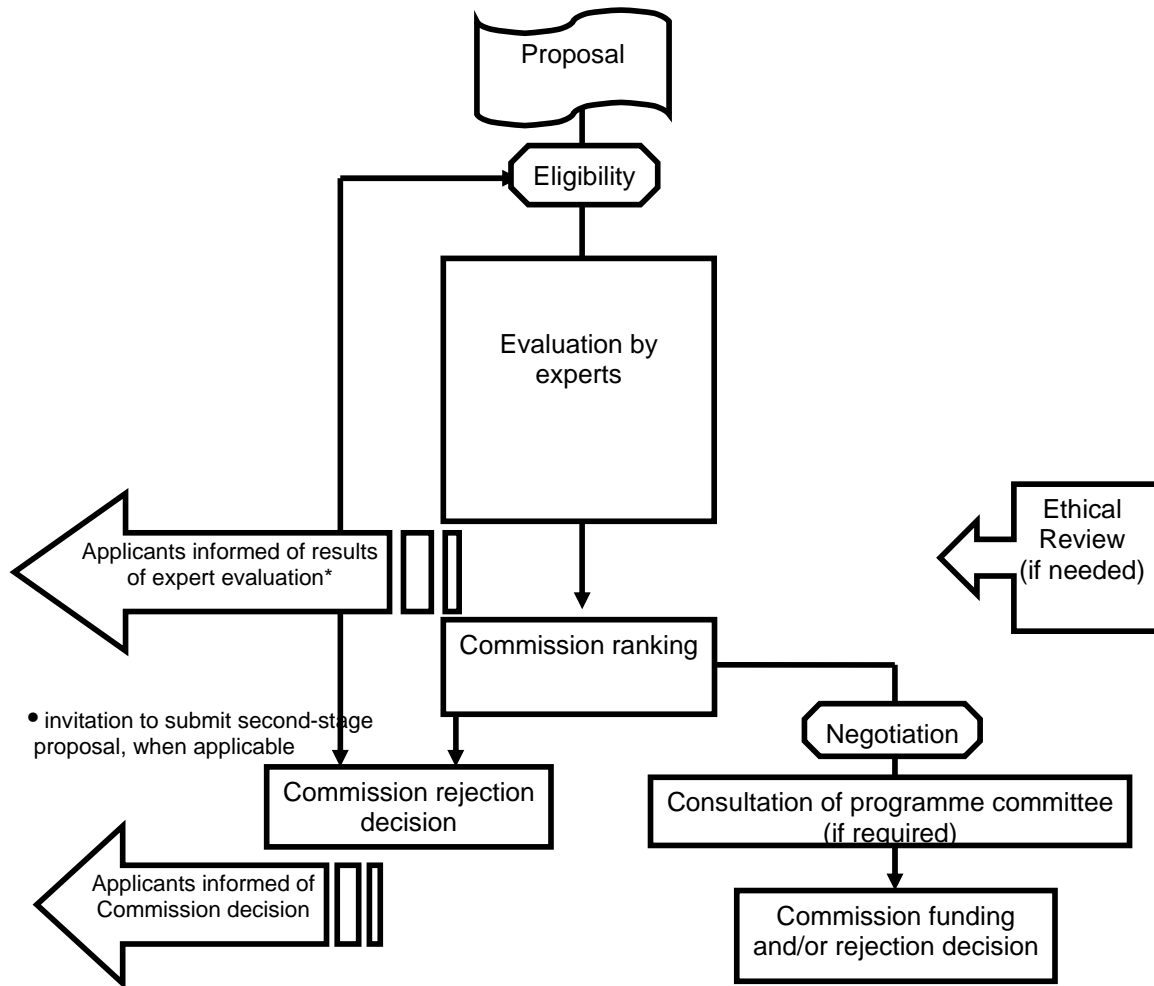
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# 1. Getting started

Funding decisions in the Seventh Framework Programme (FP7) are made on the basis of **proposals** submitted following **calls** published by the Commission. 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 Commission evaluates all eligible proposals in order to identify those whose quality is sufficiently high for possible funding. The basis for this **evaluation** is a peer-review carried out by independent experts.

The Commission then **negotiates** with some or all of those whose proposals have successfully passed the evaluation stage, depending on the budget available. If negotiations are successfully concluded, **grant agreements** providing for a Community 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<sup>1</sup> 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 CORDIS), 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 will be made available on the Commission's CORDIS web site (see annex 1 of this guide).

## **2. About the funding scheme: *Coordination and support action (Coordination)***

### **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 **Coordination and support action (Coordination)** 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.

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<sup>1</sup> 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".

Funding Scheme	Purpose	Specific Programmes concerned	Participation	Size & Resources	Indicative Average Duration	Activities	Form of Reimbursement	Specific Characteristics
<p><b>Coordination and Support Actions<sup>1</sup> (CSA)</b></p>	<p><b>No funding of research, development or demonstration activities.</b></p> <p><b><u>Coordination actions</u></b>                      Consistent set of activities focussing on coordination of research activities and policies</p> <p><b><u>Support actions</u></b>                      Normally focused on one specific activity and often one specific event</p>	<p>“Cooperation”, “People”, “Ideas” and “Capacities”</p>	<p><u>Minimum conditions</u></p> <p><b><u>Coordination actions for coordination of research activities</u></b>                      At least three legal entities established in different EU Member States or Associated countries. The entities must be independent of each other.</p> <p><b><u>Other Coordination and Support actions</u></b>                      At least one legal entity</p> <p><u>“Target audience”</u>                      Research organisations, Universities                      Industry including SME                      Research programme managers and owners (ERA-NET and Research Infrastructure actions)</p>	<p>The size, scope and internal organisation of coordination actions and support actions can vary from research theme to research theme and from topic to topic</p>	<p>Few months - 48 months</p>	<p><b><u>Coordination actions</u></b>                      Such as:                      Networking, coordination and dissemination activities</p> <p><b><u>Support actions</u></b>                      Such as:                      Conferences, seminars, workshops, working groups, studies, fact finding, monitoring, strategy development, awards and competitions, working or expert groups, operational support and dissemination, information and communication activities                      Management of the consortium</p>	<p>Based on eligible costs or other forms of grants as specified in the work programme<sup>2</sup></p>	<p>NA</p>

<sup>1</sup> CSA may also be awarded to beneficiaries named in the work programme. In these cases other indicative conditions may apply.

<sup>2</sup> International Cooperation Partner Countries (see annex 1 of the work programme) may opt for a lump sum

## 2.2 Coordination and support actions

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

### **Purpose**

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

- “*Co-ordination (or networking) actions*” aimed at coordinating research activities and policies.
- “*Support actions*” aimed at contributing to the implementation of the Framework Programmes and the preparation of future Community research and technological development policy or the development of synergies with other policies, or to stimulate, encourage and facilitate the participation of SMEs, civil society organisations and their networks, small research teams and newly developed or remote research centres in the activities of the thematic areas of the Cooperation programme, or for setting up of research-intensive clusters across the EU regions.

### **Specific Programmes concerned**

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

### **Participation**

For Coordination (or networking) actions whose purpose is to coordinate research activities: 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.

For other coordination actions and support actions, the minimum condition shall be the participation of one legal entity.

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

### **Size and resources**

The size, scope and internal organisation of coordination actions and support actions can vary from research theme to research theme and from topic to topic.

### **Indicative average duration**

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

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**Activities**

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

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

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

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

**Form of Reimbursement**

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

The work programmes shall specify if other forms of reimbursement are to be used in the actions concerned.



## 3. How to apply

### 3.1. Turning your idea into an effective proposal

#### The coordinator

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

#### Focusing your planned work

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

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

#### National Contact Points

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

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

#### Other sources of help

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

- The Commission's general **enquiry service** on any aspect of FP7. Questions can be sent to a single e-mail address and will be directed to the most appropriate department for reply.
- A dedicated help desk has been set up to deal with technical questions related to the **Electronic Proposal Submission Service (EPSS)**. See section 3.2 below.
- A further help desk providing assistance on intellectual property matters.
- Any other guidance documents or background information relating specifically to this call.

- Other services, including partner search facilities, provided via the CORDIS web site.

### **Who can participate?**

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

■ *A legal entity can be a so-called "natural person" (eg. Mme Dupont) or a "legal person" (eg. 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 (see section 2), 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.*

*(\*from 1 January 2007)*

■ *The Associated Countries are:*

*a) Iceland, Liechtenstein, and Norway (subject to amendment procedure of EEA agreement)*

*b) Switzerland, Israel (subject to satisfactory conclusion of bilateral S/T agreements)*

*c) Turkey, Croatia, and Serbia (subject to satisfactory completion of the decision-making procedure associating these countries via a Memorandum of Understanding)*

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

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 Community law (e.g. a European Economic Interest Grouping),
- Any international European interest organisation (see glossary).
- Any legal entity established in an FP7 International Cooperation Partner Country (ICPC). The list of ICPC can be found on the CORDIS web-site, and is given in annex 1 of the related work programme.

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 Community 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 Community and the country in which the legal entity is established.

### **International cooperation**

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

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

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

### **Ethical principles**

Please remember that research activities in FP7 should respect fundamental ethical principles, including those reflected in the Charter of Fundamental Rights of the European Union. These principles include the need to ensure the freedom of research and the need to protect the physical and moral integrity of individuals and the welfare of animals. For this reason, the European Commission carries out an ethical review of proposals when appropriate. The following fields of research shall not be financed under this Framework Programme:

- research activity aiming at human cloning for reproductive purposes;
- research activity intended to modify the genetic heritage of human beings which could make such changes heritable<sup>1</sup>;
- research activities intended to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.

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

### **Risk sharing finance facility**

The Risk-Sharing Finance Facility (RSFF) is a new mechanism to foster private sector investment in research.

The aim of RSFF is to increase the capacity of the European Investment Bank (EIB) and its financial partners to manage risk. This should allow a larger volume of EIB lending for a certain level of risk, and the financing of riskier European RTD actions (including research infrastructures) than would be possible without such Community support.

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<sup>1</sup> Research relating to cancer treatment of the gonads can be financed.

This new form of financing involves loans or guarantees that could enable the EIB (and its financial partners) to make loans for riskier RTD activities. It may be sought either in addition to FP7 grants or instead of FP7 grants.

More information can be found at the web address given in annex 1 of this Guide.

### **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 of this Guide). This information will be encoded in a structured database for further computer processing to produce, for example, statistics, and evaluation reports. This information will also support the experts and Commission staff during the evaluation process.

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

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

Part B of the proposal is uploaded by the applicant into the Electronic Proposal Submission Service (EPSS) described below.

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

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

### **Proposal language**

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

## 3.2. Proposal submission

**Please note that as part of the start-up of FP7, the Electronic Proposal Submission Service (EPSS) is expected to become available at least four weeks before the call deadline. Further information will be given on the CORDIS site.**

### About the EPSS

Proposals must be submitted electronically, using the Commission's **Electronic Proposal Submission Service (EPSS)**. Proposals arriving at the Commission by any other means are regarded as 'not submitted', and will not be evaluated<sup>1</sup>.

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

You can access the EPSS from the call page on CORDIS.

Full instructions will be found in the "EPSS preparation and submission guide". This will be available from the CORDIS site early in 2007.

The most important points are explained below.

### Use of the system by the proposal coordinator

As a coordinator you can:

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

### Use of the system by the other participants

Other participants can:

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

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

## **Submitting the proposal**

Completing the Part A forms in the EPSS and uploading a Part B does **not** yet mean that your proposal is submitted. **Once there is a consolidated version of the proposal the coordinator must expressly submit it by pressing the “SUBMIT” button.** Only the coordinator is authorised to submit the proposal.

On submission, the EPSS performs an automatic validation of the proposal. An automatic message is sent to the coordinator if the system detects any apparent problems. This automatic validation does not replace the more detailed eligibility check later carried out by the Commission.

Irrespective of any page limits specified in annex 4 of this Guide, there is an overall limit of 10 Mbyte to the size of proposal file (Part B). There are also restrictions to the name you give the part B file. You should only use alphanumeric characters. Special characters and spaces must be avoided.

If successfully submitted, the coordinator receives a message that indicates that the proposal has been received. The coordinator may continue to modify the proposal and submit revised versions overwriting the previous one (by pressing the “SUBMIT button” each time!) right up until the deadline.

If the 'SUBMIT' button is never pressed, the Commission considers that no proposal has been submitted.

For the proposal Part B you must use exclusively PDF (“portable document format”, compatible with Adobe version 3 or higher, with embedded fonts). Other file formats will not be accepted by the system.

## **About the deadline**

Proposals must be submitted on or before the deadline specified in the Call fiche.

The EPSS will be closed for this call at the call deadline. After this moment, access to the EPSS for this call will be impossible. Do not wait until the last moment before submitting your proposal!

Call deadlines are absolutely firm and are strictly enforced.

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

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

*Submission is deemed to occur at the moment when the proposal coordinator presses the "submit" button. It is not the point at which you start the upload. If you wait until too near to the close of the call to start uploading your proposal, there is a serious risk that you will not be able to submit in time.*

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

*The submission of a proposal requires some knowledge of the EPSS system, a detailed knowledge of the contents of the proposal and the authority to make last-minute decisions on behalf of the consortium if problems arise. **You are advised not to delegate the job of submitting your proposal!***

In the unlikely event of a failure of the EPSS service due to breakdown of the Commission server during the last 24 hours of this call, the deadline will be extended by a further 24 hours. This will be notified by e-mail to all proposal coordinators who had registered for this call by the time of the original deadline, and also by a notice on the Call page on CORDIS and on the web site of the EPSS.

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

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

### **Correcting or revising your proposal**

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

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

### **Ancillary material**

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

### **Withdrawing a proposal**

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

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

## 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? (See section 2). Check the part A and part B formats shown in annexes 3 and 4 of this Guide<sup>1</sup>
- **Is your proposal eligible?** The eligibility criteria are given in the work programme. See also annex 2 of this Guide. In particular, make sure that you satisfy the minimum requirements for the makeup of your consortium. Have any special 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 they will be dealt with in your proposed project. An ethical check will take place during the evaluation and an ethical review will take place for proposals dealing with sensitive 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 of 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 of this Guide. Arrange for your draft to be evaluated by experienced colleagues; use their advice to improve it before submission.

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<sup>1</sup> If you have in error registered for the wrong call or funding scheme, discard that registration (usernames and passwords) and re-register and re-submit correctly. If there is no time to do this, notify the EPSS Helpdesk.



- **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 of this Guide). Remember the Enquiry service listed in annex 1.

## 4.2. Final checks before submission

- **Do you have the authorisation** of all the members of the consortium to submit this proposal on their behalf?
- **Is your Part B in portable document format (PDF)**, including no material in other formats?
- **Is 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**, to check that it really is the file you intend to submit, and that it is complete, printable and readable? After the call deadline it will not be possible to replace your Part B file
- **Is your Part B file within the size limit of 10 Mbytes?**
- **Have you virus-checked your computer?** The EPSS will automatically block the submission of any file containing a virus.

## 4.3. The deadline: very important!

- **Have you taken the responsibility to submit your proposal?**
- **Have you made yourself familiar with the EPSS in good time?**
- **Have you allowed time to submit a first version of your proposal well in advance of the deadline** (at least several days before), and then to continue to improve it with regular resubmissions?
- **Have you pressed 'SUBMIT' after your final version?**

## 5. What happens next

Shortly after the call deadline, the Commission will send an **acknowledgement of receipt** to the e-mail address of the proposal coordinator given in the submitted proposal. This is assumed to be the individual named on the A2 form for participant no. 1. Please note that the brief electronic message given by the EPSS system after each submission is not the official Acknowledgement of Receipt.

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

*If you have not received an acknowledgement of receipt within 12 working days after the call deadline (or cut-off date, in the case of a continuously open call), you should contact the FP7 Enquiry Service without further delay (see annex 1 of this Guide).*

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

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

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, including the Evaluation Summary Report giving the opinion of the experts on their proposal. Even if the experts viewed your proposal favourably, the Commission cannot at this stage indicate if there is a possibility of EU funding.

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

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

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

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 "**FP7 Guidelines for negotiation** (to be made available on CORDIS).

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

The negotiations will also deal with gender equality actions, and, if applicable to the project, with gender aspects in the conduct of the planned work, as well as the relevant principles contained in the European Charter for researchers and the Code of Conduct for their recruitment.

Members of the proposal consortium may be invited to Brussels or Luxembourg to facilitate the negotiation.

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# 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 electronically 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.

### **associated countries**

Non-EU countries who have agreed, negotiated and paid to participate in the 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.

### **applicant**

The term used generally in this guide for a person or entity applying to the Framework programme. The term 'participant' is used in the more limited sense of a member of a proposal or project consortium

## C

### **call for proposals (or "call")**

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

### **call fiche**

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

### **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*.

### **Consensus discussion**

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

### **Co-ordinator**

The member of the consortium who acts as the point of contact with the Commission.

### **CORDIS service**

A web service providing access to all the documentation related to FP7, and access to the *electronic proposal submission service*.

**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 will not be received by the Commission, and when the *Electronic Proposal Submission Service* closes for that call. Deadlines are strictly enforced.

**Deliverable**

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

**E****Electronic Proposal Submission Service (EPSS)**

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

**eligibility criteria**

The minimum conditions which a proposal must fulfil if it is to be evaluated. 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, specific eligibility criteria may apply to certain calls, and applicants should check the work programme.

**Enquiry service**

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

**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, specific evaluation criteria may apply to certain calls, and applicants should check the work programme, and annex 2 to this guide.

**Evaluation Summary Report**

The assessment of a particular proposal following the evaluation by independent experts. It normally contains both comments and scores for each criterion.

**F****funding scheme**

The type of support that can be given to a project within a call. The funding schemes have different objectives, and are implemented through different grant agreement conditions.

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## **G**

### **grant agreement**

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

## **H**

### **hearing**

Applicants whose proposals have been favourably evaluated are sometimes invited to Brussels to answer any specific questions raised by the experts.

## **I**

### **Individual assessment**

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

### **Information Days**

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

### **initial information letter**

A letter sent by the Commission 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 of the work programme. Organisations from these countries can participate and receive funding in FP7, providing that certain minimum conditions are met.

### **International organisations of European interest**

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

## **J**

### **Joint Research Centre (JRC)**

The Commission's own research laboratories.

## **M**

Milestones are control points where decisions are needed with regard to the next stage of the project.

## **N**

### **National Contact Points (NCP)**

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Persons officially nominated by the national authorities to provide tailored information and advice on each theme of FP7, in the national language(s).

**negotiation**

The process of establishing a grant agreement between the Commission and an applicant whose proposal has been favourably evaluated, and when funds are available.

**P****Part A**

The part of a proposal dealing with administrative data. This part is completed using the web-based EPSS.

**Part B**

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

**participants**

The members of a consortium in a proposal or project.

**programme committee**

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

**proposal**

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

**R****reserve list**

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

**Risk-Sharing Finance Facility (RSFF)**

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

**RTD**

Research and technological development.

**S****SME**

Small and medium sized enterprise.

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**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.

**W****weightings**

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

**Work package**

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

**Work Programme**

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



## Annexes

- Annex 1 Timetable and specific information for this call
- Annex 2 Evaluation criteria and procedure
- Annex 3 Instructions for completing "part A" of the proposal
- Annex 4 Instructions for drafting part B of the proposal

## Annex 1:

### Timetable and specific information for this call

- The **Research Infrastructures part of the Capacities work programme** provides the essential information for submitting a proposal to this call. It describes the content of the topics to be addressed, and details on how it will be implemented. The work programme is available on the CORDIS call page. The part giving the basic data on implementation (deadline, budget, special conditions, etc) is also posted as a separate document ("call fiche"). You must consult these documents.
- **Indicative timetable for Research Infrastructures Call 1**

Publication of call	<i>22<sup>nd</sup> December 2006</i>
Deadline for submission of proposals	<i>2<sup>nd</sup> May 2007</i> <i>17h00 Brussels time</i>
Evaluation of proposals	<i>Commencing end May 2007</i>
Evaluation Summary Reports sent to proposal coordinators	<i>Early July 2007</i>
Invitation letter to successful coordinators to launch grant agreement negotiations with Commission services	<i>End July 2007</i>
Letter to unsuccessful applicants	<i>From end July 2007</i>
Signature of first grant agreements	<i>November-December 2007</i>

- **Information on 2007 ERA-NET call and related budget**

1.3 Support to policy development and programme implementation		
INFRA-2007-3.1: ERA-NET supporting cooperation for research infrastructures in all S&T fields	Coordination and support actions (CSA)	8
INFRA-2007-3.5: Trans-national cooperation among NCPs		2
INFRA-2007-3.6: Support to ensure the continuity of FP6 actions		4

- **Further information and help**

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

#### Call information

CORDIS call fiche and work programme <http://cordis.europa.eu/fp7/calls>

ERA-NET background document <http://cordis.europa.eu/coordination/era-net.htm>

**General sources of help**

The Commission's FP7 Enquiry service <http://ec.europa.eu/research/enquiries>  
National Contact Points [http://cordis.europa.eu/fp7/ncp\\_en.html](http://cordis.europa.eu/fp7/ncp_en.html)

**Specialised and technical assistance:**

CORDIS Help Desk [http://cordis.europa.eu/guidance/helpdesk/home\\_en.html](http://cordis.europa.eu/guidance/helpdesk/home_en.html)  
EPSS Help desk [support@epss-fp7.org](mailto:support@epss-fp7.org)  
IPR helpdesk <http://www.ipr-helpdesk.org/index.html>

**Legal documents generally applicable**

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

**Handbook for beneficiaries**

Including for example:

- Model grant agreements
- Rules for legal and financial viability checking
- Guide on financial issues
- Guide to intellectual property rights
- Consortium agreement checklist
- Reporting guidelines

**Other supporting information**

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

All the above<sup>1</sup> at <http://cordis.europa.eu/fp7/>

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<sup>1</sup> Some of these documents are in course of preparation and will be made available as soon as possible.

## Annex 2:

# Evaluation criteria and procedures to be applied for this call

### 1. General

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

Commission staff ensure that the process is fair, and in line with the principles contained in the Commission's rules<sup>1</sup>.

Experts perform evaluations on a personal basis, not as representatives of their employer, their country or any other entity. They are expected to be independent, impartial and objective, and to behave throughout in a professional manner. They sign an appointment letter, including a confidentiality and conflict of interest declaration before beginning their work. Confidentiality rules must be adhered to at all times, before, during and after the evaluation.

In addition, an independent expert will be appointed by the Commission to observe the evaluation process from the point of view of its working and execution. The role of the observer is to give independent advice to the Commission on the conduct and fairness of the evaluation sessions, on the way in which the experts apply the evaluation criteria, and on ways in which the procedures could be improved. The observer will not express views on the proposals under examination or the experts' opinions on the proposals.

### 2. Before the evaluation

On receipt by the Commission, proposals are registered and acknowledged and their contents entered into a database to support the evaluation process. Eligibility criteria for each proposal are also checked by Commission staff before the evaluation begins. Proposals which do not fulfil these criteria will not be included in the evaluation.

#### **Eligibility criteria**

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

- It is received by the Commission before the deadline given in the call fiche.
- It involves at least the minimum number of participants given in the call fiche.
- It is complete (i.e. both the requested administrative forms and the proposal description are present)
- The content of the proposal relates to the topic(s) and funding scheme(s), including any special conditions, set out in those parts of the relevant work programme

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<sup>1</sup> Rules on Proposal Submission, Evaluation, Selection and Award Procedures (to be posted on CORDIS)

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

### **Additional eligibility criteria specific for ERA-NET actions**

In case of ERA-NET actions, participants must be:

- Programme owners: typically national ministries/regional authorities responsible for defining, financing or managing research programmes carried out at national or regional level.
- Programme 'managers' (such as research councils or funding agencies) or other national or regional organisations that *implement* research programmes under the supervision of the programme owners.

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

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

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

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

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

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

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

### **3. Individual evaluation of proposals**

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

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

Each proposal will first be assessed independently by at least three experts, chosen by the Commission from the pool of experts taking part in this evaluation.

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

<b>Evaluation criteria applicable to Coordination and support actions (Coordination)</b>		
<b>S/T QUALITY</b>	<b>IMPLEMENTATION</b>	<b>IMPACT</b>
<p>“Scientific and/or technological excellence (relevant to the topics addressed by the call)”</p> <ul style="list-style-type: none"> <li>• Soundness of concept, and quality of objectives</li> <li>• Contribution to the co-ordination of high quality research</li> <li>• Quality and effectiveness of the co-ordination mechanisms, and associated work plan</li> </ul> <p>Addition criteria specific for ERA-NET and ERA-NET Plus actions:</p> <ul style="list-style-type: none"> <li>• The management should be supported by a suitable governance structure involving the participating organisations at an appropriate level</li> </ul>	<p>“Quality and efficiency of the implementation and the management”</p> <ul style="list-style-type: none"> <li>• Appropriateness of the management structure and procedures</li> <li>• Quality and relevant experience of the individual participants</li> <li>• Quality of the consortium as a whole (including complementarity, balance)</li> <li>• Appropriateness of the allocation and justification of the resources to be committed (budget, staff, equipment)</li> </ul> <p>Addition criteria specific for ERA-NET and ERA-NET Plus actions:</p> <ul style="list-style-type: none"> <li>• In reference to the applicable work programme, does the proposed ERA-NET / ERA-NET Plus action pool the necessary resources between national programmes and the Community and does it represent <u>the most appropriate type of public funding for this pre-defined area?</u></li> </ul>	<p>“Potential impact through the development, dissemination and use of project results”</p> <ul style="list-style-type: none"> <li>• Contribution, at the European [and/or international] level, to the expected impacts listed in the work programme under the relevant topic/activity</li> <li>• Appropriateness of measures for spreading excellence, exploiting results, and disseminating knowledge, through engagement with stakeholders, and the public at large.</li> </ul> <p>Addition criteria specific for ERA-NET and ERA-NET Plus actions:</p> <ul style="list-style-type: none"> <li>• The participants should be the key actors within their national or regional research systems.</li> <li>• The ERA-NET activities should lay the foundations for a durable cooperation between the partners involved.</li> <li>• Is there a clearly identified and agreed European added value through a variable geometry approach?</li> </ul>

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

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

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

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

- |     |   |
|-----|---|
| 0 - | <i>The proposal <b>fails</b> to address the criterion under examination or cannot be judged due to missing or incomplete information</i>    |
| 1 - | <i><b>Very poor.</b> The criterion is addressed in a cursory and unsatisfactory manner.</i>   |
| 2 - | <i><b>Poor.</b> There are serious inherent weaknesses in relation to the criterion in question.</i>   |
| 3 - | <i><b>Fair.</b> While the proposal broadly addresses the criterion, there are significant weaknesses that would need correcting.</i>        |
| 4 - | <i><b>Good.</b> The proposal addresses the criterion well, although certain improvements are possible.</i>                                  |
| 5 - | <i><b>Excellent.</b> The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor.</i> |

No weightings will be applied.

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

Examples of the evaluation forms and reports that will be used by the experts in this call will be made available on CORDIS.

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

Confidentiality: The appointment letter also requires experts to maintain strict confidentiality with respect to the whole evaluation process. They must follow any instruction given by the Commission to ensure this. Under no circumstance may an expert attempt to contact an applicant on his own account, either during the evaluation or afterwards.

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

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

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

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

The experts will also indicate whether, in their view, the proposal deals with sensitive ethical issues,

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

Scope of the call: It is possible that a proposal is found to be completely out of scope of the call during the course of the individual evaluation, and therefore not relevant. If an expert suspects that this may be the case, a Commission staff member will be informed immediately, and the views of the other experts will be sought.

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

#### **4. Consensus meeting**

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

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

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

The moderator for the group may designate an expert to be responsible for drafting the consensus report ("rapporteur"). The experts attempt to agree on a consensus score for each of the criteria that have been evaluated and suitable comments to justify the scores. Comments should be suitable for feedback to the proposal coordinator. Scores and comments are set out in a consensus report. They also come to a common view on the questions of scope, ethics.

If during the consensus discussion it is found to be impossible to bring all the experts to a common point of view on any particular aspect of the proposal, the Commission may ask up to three additional experts to examine the proposal.

Ethical issues (above threshold proposals): If one or more experts have noted that there are ethical issues touched on by the proposal, and the proposal is considered to be above threshold, the relevant box on the consensus report (CR) will be ticked and an Ethical Issues Report (EIR)



completed, stating the nature of the ethical issues. Exceptionally for this issue, no consensus is required.

The EIR will be signed by the Commission moderator and one member of the consensus group (normally, the proposal rapporteur).

### Outcome of consensus

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

The Commission will take the necessary steps to assure the quality of the consensus reports, with particular attention given to clarity, consistency, and appropriate level of detail. If important changes are necessary, the reports will be referred back to the experts concerned.

The signing of the consensus report completes the consensus step.

### Evaluation of a resubmitted proposal

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

## **5. Panel review**

This is the final step involving the independent experts. It allows them to formulate their recommendations to the Commission having had an overview of the results of the consensus step.

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

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

The tasks of the panel will also include:

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

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

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

- An evaluation summary report (ESR) for each proposal, including, where relevant, a report of any ethical issues raised and any security considerations;

- 
- A list of proposals passing all thresholds, along with a final score for each proposal passing the thresholds and the panel recommendations for priority order.
  - A list of evaluated proposals having failed one or more thresholds;
  - A list of any proposals having been found ineligible during the evaluation by experts;
  - A summary of any deliberations of the panel;

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

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

A further special ethical review of above-threshold proposals may be organised by the Commission.

## Annex 3

### Instructions for completing "part A" of the proposal

**Please note that as part of the start-up of FP7, the Electronic Proposal Submission Service is expected to become available at least four weeks before the call deadline. Further information will be given on the CORDIS site.**

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

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

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

Please note:

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

When you complete part A, please make sure that:

- *Numbers are always rounded to the nearest whole number*
- *All costs are given in Euros (not thousands of Euros), and must exclude value added tax.*

**Note:**

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

## Coordination and support actions (Coordinating)

<b>Section A1: Summary</b>	
<b>Proposal Acronym</b>	<p>The short title or acronym will be used to identify your proposal efficiently in this call. It should be of <u>no more than 20 characters</u> (use standard alphabet and numbers only; no symbols or special characters please).</p> <p>The same acronym should appear on each page of part B of your proposal.</p>
<b>Proposal Title</b>	<p>The title should be <u>no longer than 200 characters</u> and should be understandable to the non-specialist in your field.</p>
<b>Duration in months</b>	<p>Insert the estimated duration of the project in full months.</p>
<b>Call (part) identifier</b>	<p>[pre-filled] The call identifier is the reference number given in the call or part of the call you are addressing, as indicated in the publication of the call in the Official Journal of the European Union, and on the CORDIS call page. A call identifier looks like this: <i>FP7COOP-FOOD-???</i></p>
<b>Activity code(s) most relevant to your topic</b>	<p>All activities and topics of FP7 have been assigned unique codes, which are used in the processing of data on proposals and subsequent contracts. The codes are organised hierarchically.</p> <p>The choice of the first activity code will be limited in the drop-down menu to one of the topics open in this call. Select the code corresponding to the topic most relevant to your proposal.</p> <p>The choice for the second code is also limited to topics open in the call in question. Enter a second code if your proposal also addresses another of these. Select 'none' if this is not the case.</p> <p>Select a third code if your proposal is also relevant to another theme. This time, the available codes will simply correspond to broad themes. Select 'none' if this is not the case.</p>
<b>Free Keywords</b>	<p>Please enter a number of keywords that you consider sufficient to characterise the scope of your proposal.</p> <p>There is <u>a limit of 100 characters</u>.</p>
<b>Abstract</b>	<p>The abstract should, at a glance, provide the reader with a clear understanding of the objectives of the proposal, how they will be achieved, and their relevance to the Work Programme. This summary will be used as the short description of the proposal in the evaluation process and in communications to the programme management committees and other interested parties. It must therefore be short and precise and should not contain confidential information. Please use plain typed text, avoiding formulae and other special characters. <b>If the proposal is written in a language other than English, please include an English version of the proposal abstract in part B.</b></p> <p>There is <u>a limit of 2000 characters</u>.</p>
<b>Similar proposals or signed contracts</b>	<p>A 'similar' proposal or contract is one that differs from the current one in minor ways, and in which some of the present consortium members are involved.</p>

<b>Section A2/ Participants</b>	
<b>Participant number</b>	The number allocated by the consortium to the participant for this proposal. The <b>co-ordinator</b> of a proposal is always <b>number one</b> .
<b>Participant Identify Code</b>	Not applicable to the first call.
<b>Legal name</b>	<p><b>For Public Law Body</b>, it is the name under which your organisation is registered in the Resolution text, Law, Decree/Decision establishing the Public Entity, or in any other document established at the constitution of the Public Law Body;</p> <p><b>For Private Law Body</b>, it is the name under which your organisation is registered in the national Official Journal (or equivalent) or in the national company register.</p> <p><b>For a natural person</b>, it is for e.g. Mr Adam JOHNSON, Mrs Anna KUZARA, and Ms Alicia DUPONT.</p>
<b>Organisation Short Name</b>	<p>Choose an abbreviation of your Organisation Legal Name, only for use in this proposal and in all relating documents.</p> <p>This short name should not be more <u>than 20 characters</u> exclusive of special characters (/,...), for e.g. CNRS and not C.N.R.S. It should be preferably the one as commonly used, for e.g. IBM and not Int.Bus.Mac.</p>
<b>Legal address</b>	<p>For Public and Private Law Bodies, it is the address of the entity's Head Office.</p> <p>For natural persons it is the Official Address.</p> <p>If your address is specified by an indicator of location other than a street name and number, please insert this instead under the "street name" field and "N/A" under the "number" field.</p>
<b>Non-profit organisation</b>	Non-profit organisation is a legal entity qualified as such when it is recognised by national or, international law.
<b>Public body</b>	Public body means any legal entity established as such by national law, and international organisations.
<b>Research organisation</b>	Research organisation means a legal entity established as a non-profit organisation which carries out research or technological development as one of its main objectives.
<b>NACE code</b>	<p><b>NACE</b> means "<u>Nomenclature des Activités économiques dans la Communauté Européenne</u>".</p> <p>Please select <b>one</b> activity from the list that <b>best</b> describes your professional and economic ventures. If you are involved in more than one economic activity, please select the <b>one</b> activity that is <b>most</b> relevant in the context of your contribution to the proposed project. For more information on the methodology, structure and full content of NACE (rev. 1.1) classification please consult EUROSTAT at:</p> <p><a href="http://ec.europa.eu/eurostat/ramon/nomenclatures/index.cfm?TargetUrl=LST_CLS_DLD&amp;StrNom=NACE_1_1&amp;StrLanguageCode=EN&amp;StrLayoutCode=HIERARCHIC">http://ec.europa.eu/eurostat/ramon/nomenclatures/index.cfm?TargetUrl=LST_CLS_DLD&amp;StrNom=NACE_1_1&amp;StrLanguageCode=EN&amp;StrLayoutCode=HIERARCHIC</a> .</p>
<b>Small and Medium-Sized</b>	SMEs are micro, small and medium-sized enterprises within the meaning of Recommendation 2003/361/EC in the version of 6 May 2003. The full definition and a guidance booklet can be found at <a href="http://ec.europa.eu/enterprise/enterprise_policy/sme_definition/index_en.htm">http://ec.europa.eu/enterprise/enterprise_policy/sme_definition/index_en.htm</a>

<p><b>Enterprises (SMEs)</b></p>	<p>An enterprise is considered as an SME, taking into account its partner enterprises and/or linked enterprises (please see the above mentioned recommendation for an explanation of these notions and their impact on the definition), if it:</p> <ul style="list-style-type: none"> <li>• employs fewer than 250 persons;</li> <li>• has an annual turnover not exceeding EUR 50 million, and/or an annual balance sheet total not exceeding EUR 43 million.</li> </ul> <p>The headcount corresponds to the number of <b>annual work units (AWU)</b>, i.e. the number of persons who worked full-time within the enterprise in question or on its behalf during the entire reference year under consideration. The work of persons who have not worked the full year, the work of those who have worked part-time, regardless of duration, and the work of seasonal workers are counted as fractions of AWU. The staff consists of:</p> <p>(a) employees;</p> <p>(b) persons working for the enterprise being subordinated to it and deemed to be employees under national law;</p> <p>(c) owner-managers;</p> <p>(d) partners engaging in a regular activity in the enterprise and benefiting from financial advantages from the enterprise.</p> <p><u>ATTENTION:</u> Apprentices or students engaged in vocational training with an apprenticeship or vocational training contract can not be included as staff. The duration of maternity or parental leaves is also not counted.</p> <p>The data to apply to the <b>financial amounts</b> (e.g. <b>turnover</b> and <b>balance sheet</b>), as well as to the headcount of staff, are those relating to the latest approved accounting period and calculated on an annual basis. They are taken into account from the date of closure of the accounts. The amount selected for the turnover is calculated excluding value added tax (VAT) and other indirect taxes.</p> <p>In the case of <b>newly-established enterprises</b> whose accounts have not yet been approved, the data to apply is to be derived from a <i>bona fide</i> estimate made in the course of the financial year. These organisations must insert "N/A" for the two questions relating to the duration and the closing date of their last approved accounting period.</p>
<p><b>Dependencies with (an) other participant(s)</b></p>	<p>Two participants (legal entities) are dependent on each other where there is a controlling relationship between them:</p> <ul style="list-style-type: none"> <li>– A legal entity is under the same direct or indirect control as another legal entity (<b>SG</b>);</li> <li>or</li> <li>– A legal entity directly or indirectly controls another legal entity (<b>CLS</b>);</li> <li>or</li> <li>– A legal entity is directly or indirectly controlled by another legal entity (<b>CLB</b>).</li> </ul> <p><u>Control:</u> Legal entity A controls legal entity B if:</p> <ul style="list-style-type: none"> <li>– A, directly or indirectly, holds more than 50% of the nominal value of the issued share capital or a majority of the voting rights of the shareholders or associates of B,</li> <li>or</li> <li>– A, directly or indirectly, holds in fact or in law the decision-making powers in B.</li> </ul> <p>The following relationships between legal entities shall not in themselves be deemed to constitute controlling relationships:</p> <p>(a) the same public investment corporation, institutional investor or venture-capital company has a direct or indirect holding of more than 50 % of the nominal value of the issued share capital or a majority of voting rights of the shareholders or associates;</p> <p>(b) the legal entities concerned are owned or supervised by the same public body.</p>
<p><b>Character of dependence</b></p>	<p>According to the explanation above mentioned, please insert the appropriate abbreviation according to the list below to characterise the relation between your organisation and the other participant(s) you are related with:</p> <ul style="list-style-type: none"> <li>• <b>SG:</b> Same group: if your organisation and the other participant are controlled by the same third party;</li> <li>• <b>CLS:</b> Controls: if your organisation controls the other participant;</li> <li>• <b>CLB:</b> Controlled by: if your organisation is controlled by the other participant.</li> </ul>
<p><b>Contact point</b></p>	<p>It is the main scientist or team leader in charge of the proposal for the participant. For participant number 1 (the coordinator), this will be the person the Commission will contact concerning this proposal (e.g. for additional information, invitation to hearings, sending of evaluation results, convocation to negotiations).</p>
<p><b>Title</b></p>	<p>Please choose one of the following: Prof., Dr., Mr., Mrs, Ms.</p>

<b>Sex</b>	This information is required for statistical and mailing purposes. Indicate F or M as appropriate.
<b>Phone and fax numbers</b>	Please insert the full numbers including country and city/area code. Example +32-2-2991111.
<b>Section A3/Budget</b>	
<b>International Cooperation Partner Country (ICPC)</b>	International Cooperation Partner Country means a third country which the Commission classifies as a low-income, lower-middle income or upper-middle-income country and which is identified as such in Annex I of the work programmes.
<b>Lump sum funding method</b>	For International Cooperation Partner Country, the lump sum calculation method will be subject to a specific Commission's decision, published early in 2007.
<b>Type of Activity</b>	<ul style="list-style-type: none"> <li>• <b>Coordination activities</b> may cover activities such as the organisation of events - including conferences, meetings, workshops or seminars -, related studies, exchanges of personnel, exchange and dissemination of good practices, and, if necessary, the definition, organisation and management of joint or common initiatives, together with management of the action.</li> <li>• <b>Management activities</b> include the maintenance of the consortium agreement, if it is obligatory, the overall legal, ethical, financial and administrative management including for each of the participants obtaining the certificates on the financial statements or on the methodology, the implementation of competitive calls by the consortium for the participation of new participants and, any other management activities foreseen in the proposal.</li> <li>• <b>Other activities</b> means any specific activities not covered by the above mentioned types of activity, which may include management activities including certificates on the financial statements and certifications of the methodology, training, coordination, networking and dissemination (including publications). These activities should be specified in the proposal Part B.</li> </ul>
<b>Personnel costs</b>	<p>Personnel costs are only the costs of the actual hours worked by the persons directly carrying out work under the project. Such persons must:</p> <ul style="list-style-type: none"> <li>– be directly hired by the beneficiary in accordance with its national legislation,</li> <li>– be work under the sole technical supervision and responsibility of the latter, and</li> <li>– be remunerated in accordance with the normal practices of the participant.</li> </ul> <p>Participants may opt to declare average personnel costs if certified in accordance with a methodology approved by the Commission and consistent with the management principles and usual accounting practices of the participant. Average personnel costs charged by a participant having provided a certification on the methodology are deemed not to significantly differ from actual personnel costs.</p>
<b>Sub-contracting</b>	<p>A subcontractor is a third party which has entered into an agreement on business conditions with one or more participants, in order to carry out part of the work of the project without the direct supervision of the participant and without a relationship of subordination.</p> <p>Where it is necessary for the participants to subcontract certain elements of the work to be carried out, the following conditions must be fulfilled:</p> <ul style="list-style-type: none"> <li>- subcontracts may only cover the execution of a limited part of the project;</li> <li>- recourse to the award of subcontracts must be duly justified in Part B of the proposal having regard to the nature of the project and what is necessary for its implementation;</li> <li>- recourse to the award of subcontract by a participant may not affect the rights and obligations of the participants regarding background and foreground;</li> </ul>

	<p>- Part B of the proposal must indicate the task to be subcontracted and an estimation of the costs;</p> <p>Any subcontract, the costs of which are to be claimed as an eligible cost, must be awarded according to the principles of best value for money (best price-quality ratio), transparency and equal treatment. Framework contracts between a participant and a subcontractor, entered into prior to the beginning of the project that are according to the participant's usual management principles may also be accepted.</p> <p>Participants may use external support services for assistance with minor tasks that do not represent per se project tasks as identified in Part B of the proposal.</p>
<b>Other direct costs</b>	Means direct costs not covered by the above mentioned categories of costs.
<b>Maximum reimbursable indirect Costs</b>	<p>Indirect costs are all those eligible costs which cannot be identified by the participant as being directly attributed to the project but which can be identified and justified by its accounting system as being incurred in direct relationship with the eligible direct costs attributed to the project. They may not include any eligible direct costs.</p> <p>For coordination action and support actions, the reimbursement of indirect eligible costs may not exceed a certain maximum percentage of the direct eligible costs, excluding the direct eligible costs for subcontracting and the costs of reimbursement of resources made available by third parties which are not used on the premises of the participant. This maximum percentage is still to be determined and will be specified in the on-line submission page</p>
<b>Requested EC contribution</b>	<p>The requested EC contribution shall be determined by applying the upper funding limits indicated below, per activity and per participant to the costs accepted by the Commission, or to the flat rates or lump sums.</p> <p><b>Maximum reimbursement rates of eligible costs</b></p> <ul style="list-style-type: none"> <li>• <b>Coordination activities = 100%</b></li> <li>• <b>Management activities = 100%</b></li> <li>• <b>Other activities = 100%</b></li> </ul>
<b>Total Receipts</b>	<p>Receipts of the project may arise from:</p> <p>a) Financial transfers or contributions in kind free of charge to the participant from third parties:</p> <ol style="list-style-type: none"> <li>i. shall be considered a receipt of the project if they have been contributed by the third party specifically to be used on the project.</li> <li>ii. shall <u>not</u> be considered a receipt of the project if their use is at the management discretion of the beneficiary.</li> </ol> <p>b) Income generated by the project:</p> <ol style="list-style-type: none"> <li>i. shall be considered receipts for the participant when generated by actions undertaken in carrying out the project and from the sale of assets purchased under the grant agreement up to the value of the cost initially charged to the project by the participant;</li> <li>ii. shall <u>not</u> be considered a receipt for the participant when generated from the use of foreground resulting from the project.</li> </ol>



## Annex 4

### Instructions for drafting part B of the proposal

#### Coordination and support actions (Coordination)

A description of this funding scheme is given in section 2 of this Guide for Applicants. Please examine this carefully before preparing your proposal.

This annex provides a template to help you structure your proposal. It will help you present important aspects of your planned work in a way that will enable the experts to make an effective assessment against the evaluation criteria (see annex 2). Sections 1, 2 and 3 each correspond to an evaluation criterion. The sub-sections (1.1, 1.2 etc.) correspond to the sub-criteria.

Remember, please keep to maximum page lengths where these are specified. The Commission may instruct the experts to disregard any excess pages. Even where no page limits are given, or where limits are only recommended, it is in your interest to keep your text concise since over-long proposals are rarely viewed in a positive light by experts.

#### Cover Page

Proposal full title:

Proposal acronym:

Type of funding scheme: Coordination and support actions (Coordination)

Work programme topics addressed: INFRA-2007-3.1: ERA-NET

Name of the coordinating person:

List of participants:

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

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

#### Table of Contents

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**Proposal****1: Scientific and/or technical quality, relevant to the topics addressed by the call****1.1 Concept and objectives**

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

Describe in detail the S&T objectives. Show how they relate to the topics addressed by the call. The objectives should be those achievable within the project, not through subsequent development. They should be stated in a measurable and verifiable form, including through the milestones that will be indicated under section 1.3 below.

**1.2 Contribution to the co-ordination of high quality research**

Indicate how the area addressed by your project will benefit from the co-ordination (including networking) that you propose.

**1.3 Quality and effectiveness of the co-ordination mechanisms, and associated work plan**

A detailed work plan should be presented, broken down into work packages<sup>9</sup> (WPs) which should follow the logical phases of the implementation of the project, and include consortium management and assessment of progress and results. (Please note that your overall approach to management will be described later, in section 2).

Please present your plans as follows:

- i) Describe the overall strategy of the work plan.
- ii) Show the timing of the different WPs and their components (Gantt chart or similar).
- iii) Provide a detailed work description broken down into work packages:
  - Work package list (please use table 1.3a);
  - Deliverables list (please use table 1.3b);
  - Description of each work package, and summary (please use table 1.3c)
  - Summary effort table (please use table 1.3d)
  - List of milestones (please use table 1.3e)
- iv) Provide a graphical presentation of the components showing their interdependencies (Pert diagram or similar)

**Note:**

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<sup>9</sup> 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.

- The number of work packages used must be appropriate to the complexity of the work and the overall value of the proposed project. The planning should be sufficiently detailed to justify the proposed effort and allow progress monitoring by the Commission.
- Any significant risks should be identified, and contingency plans described.

*(Maximum length for the whole of Section 1 – 20 pages, plus the tables)*



**Table 1.3 b: Deliverables List**

<b>Del. no.</b> <small>15</small>	<b>Deliverable name</b>	<b>WP no.</b>	<b>Nature</b> <sup>16</sup>	<b>Dissemination level</b> <small>17</small>	<b>Delivery date</b> <sup>18</sup>

<sup>15</sup> Deliverable numbers in order of delivery dates. Please use the numbering convention <WP number>.<number of deliverable within that WP>. For example, deliverable 4.2 would be the second deliverable from work package 4.

<sup>16</sup> Please indicate the nature of the deliverable using one of the following codes:

**R** = Report, **P** = Prototype, **D** = Demonstrator, **O** = Other

<sup>17</sup> Please indicate the dissemination level using one of the following codes:

**PU** = Public

**PP** = Restricted to other programme participants (including the Commission Services).

**RE** = Restricted to a group specified by the consortium (including the Commission Services).

**CO** = Confidential, only for members of the consortium (including the Commission Services).

<sup>18</sup> Measured in months from the project start date (month 1).

**Table 1.3 c: Work package description**

**For each work package:**

<b>Work package number</b>		<b>Start date or starting event:</b>	
<b>Work package title</b>			
<b>Activity Type<sup>19</sup></b>			
<b>Participant number</b>			
<b>Person-months per participant:</b>			

<b>Objectives</b>
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<b>Description of work</b> (possibly broken down into tasks), and role of participants
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<b>Deliverables</b> (brief description and month of delivery)
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<sup>19</sup> Please indicate one activity per work package:

COORD = coordination activities; MGT = Management of the consortium; OTHER = Other specific activities, if applicable.

**Table 1.3d Summary of staff effort**

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

<b>Participant no./short name</b>	<b>WP1</b>	<b>WP2</b>	<b>WP3</b>	<b>...</b>	<b>Total person months</b>
Part.1 short name					
...					
...					
...					
Total					

**Table 1.3e List of milestones**

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

<b>Milestone number</b>	<b>Milestone name</b>	<b>Work package(s) involved</b>	<b>Expected date<sup>20</sup></b>	<b>Means of verification<sup>21</sup></b>

<sup>20</sup> Measured in months from the project start date (month 1).

<sup>21</sup> Show how you will confirm that the milestone has been attained. Refer to indicators if appropriate. For example: a laboratory prototype completed and running flawlessly; software released and validated by a user group; field survey complete and data quality validated.



## 2. Implementation

### 2.1 Management structure and procedures

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

*(Maximum length for 2.1: 5 pages)*

### 2.2 Individual participants

For each participant in the proposed project, provide a brief description of the organisation, the main tasks they have been attributed, and the previous experience relevant to those tasks. Provide also a short profile of the staff members who will be undertaking the work.

*(Maximum length for 2.2: one page per participant)*

### 2.3 Consortium as a whole

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

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

**ii) Other countries:** If one or more of the participants requesting EU funding is based in a country that is outside the EU, and is not an Associated country, and is not on the list of International Cooperation Partner Countries<sup>22</sup>, explain in terms of the project's objectives why such funding would be essential.

### 2.4 Resources to be committed

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

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

*(Maximum length for Section 2.4 – two pages)*

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<sup>22</sup> See CORDIS web-site, and annex 1 of the work programme.

### 3. Impact

#### 3.1 Expected impacts listed in the work programme

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

#### 3.2 Spreading excellence, exploiting results, disseminating knowledge

Outline how you intend to achieve these benefits through engagement with stakeholders outside the network, and the public at large.

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

### 4. Ethical Issues

Describe any ethical issues that may arise in their proposal. In particular, you should explain the benefit and burden of their experiments and the effects it may have on the research subject.

The following special issues should be taken into account:

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

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

**Use of animals:** Where animals are used in research the application of the 3Rs (Replace, Reduce, Refine) must be convincingly addressed. Numbers of animals should be specified. Describe what happens to the animals after the research experiments.

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

- the necessity to use hESC in order to achieve the scientific objectives set forth in the proposal.
- whether the applicants have taken into account the legislation, regulations, ethical rules and/or codes of conduct in place in the country(ies) where the research using hESC is to take place, including the procedures for obtaining informed consent;

- 
- the source of the hESC
  - the measures taken to protect personal data, including genetic data, and privacy;
  - the nature of financial inducements, if any.

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

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

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

Notes:

Only in exceptional cases will additional information be sought for clarification, which means that any ethical review will be performed solely on the basis of the information available in the proposal. Projects raising specific ethical issues such as research intervention on human beings<sup>23</sup>; research on human embryos and human embryonic stem cells and non-human primates are automatically submitted for ethical review.

<p>To ensure compliance with ethical principles, the Commission Services will undertake ethics audit(s) of selected projects at its discretion. A web site is being prepared aiming to provide clear, helpful information on ethical issues.</p>
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<sup>23</sup> Such as clinical trials, and research involving invasive techniques on persons (e.g. taking of tissue samples, examinations of the brain).

**ETHICAL ISSUES TABLE**

	YES	PAGE
<b>Informed Consent</b>		
• Does the proposal involve children?		
• Does the proposal involve patients or persons not able to give consent?		
• Does the proposal involve adult healthy volunteers?		
• Does the proposal involve Human Genetic Material?		
• Does the proposal involve Human biological samples?		
• Does the proposal involve Human data collection?		
<b>Research on Human embryo/foetus</b>		
• Does the proposal involve Human Embryos?		
• Does the proposal involve Human Foetal Tissue / Cells?		
• Does the proposal involve Human Embryonic Stem Cells?		
<b>Privacy</b>		
• Does the proposal involve processing of genetic information or personal data (eg. health, sexual lifestyle, ethnicity, political opinion, religious or philosophical conviction)		
• Does the proposal involve tracking the location or observation of people?		
<b>Research on Animals</b>		
• Does the proposal involve research on animals?		
• Are those animals transgenic small laboratory animals?		
• Are those animals transgenic farm animals?		
• Are those animals cloning farm animals?		
• Are those animals non-human primates?		
<b>Research Involving Developing Countries</b>		
• Use of local resources (genetic, animal, plant etc)		
• Benefit to local community (capacity building ie access to healthcare, education etc)		
<b>Dual Use</b>		
• Research having potential military / terrorist application		
<b>I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL</b>		