



GUIDE FOR APPLICANTS

All funding schemes

***Euratom Programme
for Nuclear Research and Training Activities***

Call Identifier: FP7-Fission-2011

Further copies of this Guide, together with all information related to this call for proposals, can be downloaded via the CORDIS websites:

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

About this Guide

This is version 6 (dated 01/07/2010) of the FP7 Euratom Guide for Applicants. This version of the guide is applicable to all funding schemes open in the FP7-Fission-2011 call for proposals.

Changes relative to version 5:

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

- Revised guidance on ethics (annex 4, and elsewhere)
- Clearer guidance on page limits (annex 4)

If it is revised further 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 the 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 Programme, Rules for Participation, and the Work programmes), all of which can be consulted via the CORDIS and Participant Portal web-sites. The Guide does not in itself have legal value, and thus does not supersede those documents.

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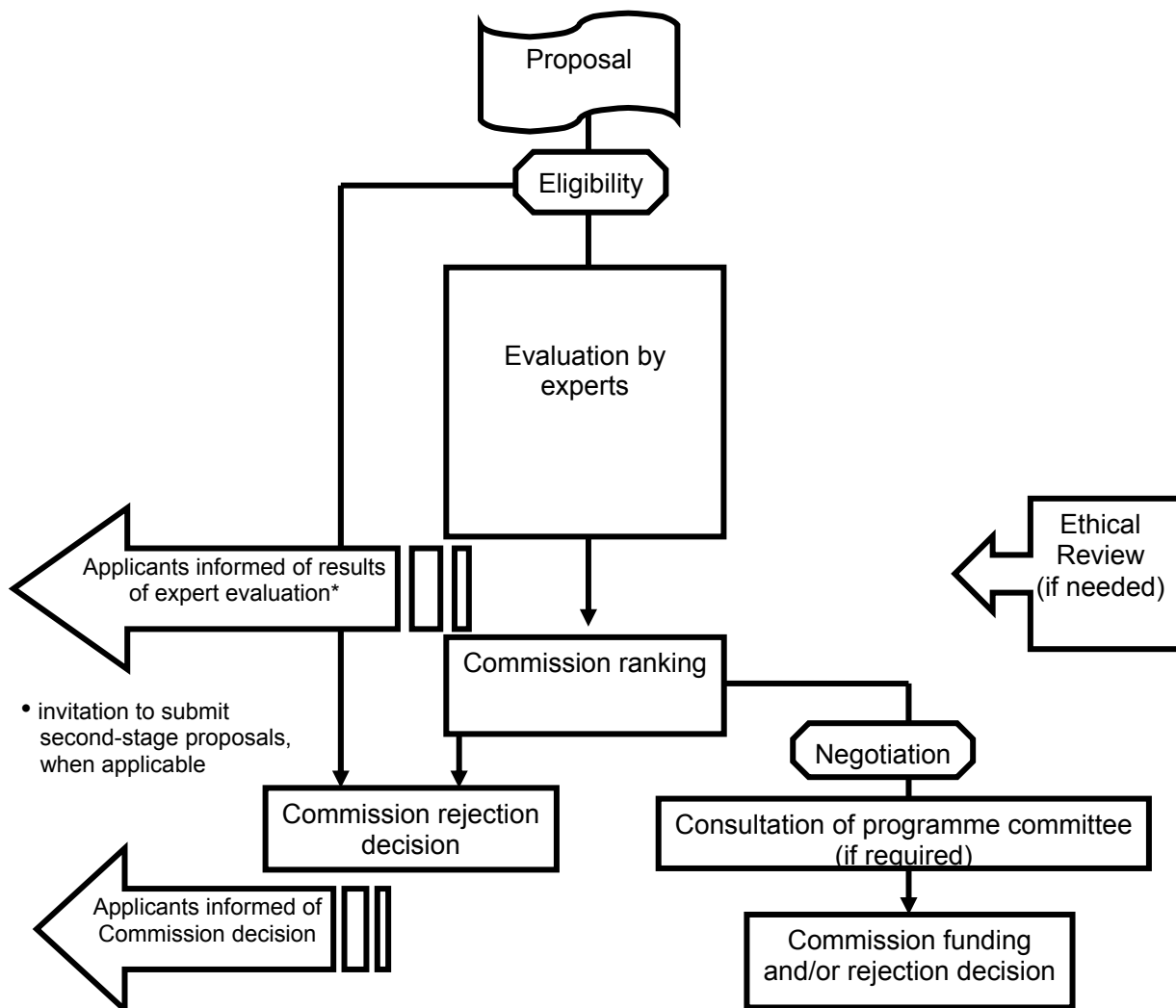
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1. Getting started

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 an EU financial contribution are established with the participants.

The sequence of steps is summarised in this flow chart:



This **Guide for Applicants** contains the essential information to guide you through the mechanics of preparing and submitting a proposal. It is important that you have the correct document! Verify the Call Identifier on the front page of this Guide.

You must also refer to the **work programme** 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 and the **call fiche** (both posted on the CORDIS and Participant Portal websites).*

This Guide and the work programme are essential reading. However, you may also wish to consult other reference and background documents, particular those relating to negotiation and the grant agreements, which are made available on the Commission's CORDIS web site (see annex 1 to this guide) and on the Participant Portal: <http://ec.europa.eu/research/participants/portal>

2. About the funding schemes

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 following funding schemes

- **Collaborative projects (CP):**
 - Large-scale integrating (CP-IP)
 - Small/medium-scale focused (CP-FP)
- **Networks of Excellence (NoE)**
- **Coordination and Support Actions:**
 - Coordinating (CSA-CA)
 - Supporting (CSA-SA)

applicable to the specific Call FP7-Fission-2011; information contained in this Guide applies to all the funding schemes. However, where applicable, specific information for a given funding scheme is clearly identified.

Where the call topic allows a choice of schemes, you should consult the description of the corresponding funding scheme appropriate for your proposal (see sections 2.2-2.4).

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

Applicants must ensure that the EC contribution requested for each funding scheme is within the bounds as indicated in the Call fiche and copied here:

Funding Scheme	Generic limits of EC contribution (EUR million)
Collaborative Projects (CP): <ul style="list-style-type: none"> • Large-scale integrating • Small or medium-scale focused 	> 3 but ≤ 6 ≤ 3
Networks of Excellence (NOE)	≤ 6
Coordination (CA) and Support Actions (SA)	≤ 1

Table 1: Generic limits of EC contribution to various funding schemes defining eligibility criteria for proposals

These limits are eligibility criteria for a proposal. Proposals that do not conform to the threshold and maximum limits above will be rejected at the eligibility stage and will not be evaluated further. **Other limits may be indicated in the Work Programme or the call fiche for specific topics, in which case they would override the generic limits indicated above.**

2.2 Collaborative projects (CP): (a) Large-scale (CP-IP) or (b) small/medium scale (CP-FP)

Purpose

Collaborative projects are objective-driven research projects aiming at developing new knowledge, new technology, products, and that may include scientific coordination, demonstration activities or sharing of common resources for research in order to improve European competitiveness or to address major societal needs.

A distinction between large-scale integrated projects and small/medium-scale focused research projects is made along the following lines:

(A) Large-scale integrating projects:

- Set of defined, integrated, differentiated activities and covering a range of aspects, which can stand alone or can be used in combination.
- Tackling multiple issues directed to achieve specific deliverables.
- Large degree of autonomy of consortia both at work programme and partnership level.
- Updating and/or re-formulation of the work plan when appropriate.
- Appropriate level of project management.
- Innovation aspects covering protection, exploitation, dissemination of knowledge where appropriate.
- Socio-economic studies to evaluate the knowledge impact, where appropriate.
- Comprehensive training package contributing to the retention of competences and know-how in the sector in general.

(B) Small or medium-scale focused research projects:

- Targeted to specific objectives.
- Clear focus and approach at project level.
- Overall work plan clearly fixed for the whole project life.
- Major deliverables planned in detail.
- No changes expected in work plan and deliverables.
- Appropriate level project management.
- Management of the knowledge produced (protection, exploitation, dissemination).
- Targeted training package.

CP-IP and CP-FP are also distinguished by the resources that are allocated to them (see Table 1 in Section 2.1). See also section A4.1 in Annex 4 to this Guide.

Participation

There must be at least three "legal entities" established in different EU Member States or Associated countries (see section 3.1). The entities must be independent of each other.

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

"Target audience": Research institutes, universities, industry including SMEs, (possibly) potential end-users.

Size and resources

The size, scope and internal organisation of collaborative projects should be compatible with overall objective and manageability of the whole endeavour and can vary from research area to research area and from topic to topic.

A call may distinguish between different forms of collaborative projects (large-scale integrating projects and small or medium-scale focused research projects for achieving a defined objective) based on limits to the requested EC financial contribution. Any such limits are indicated in the call fiche, and will be applied as eligibility criteria (see also Table 1 in Section 2.1).

Indicative average duration

Collaborative projects are expected to last typically two to five years. However, there is no formal minimum or maximum duration.

Activities

The activities to be carried out in the context of a collaborative project should include:

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

and/or

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

and

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

Form of Reimbursement

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

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

If so provided in the call fiche, it is possible to claim subsistence and accommodation costs (related to travel as part of the implementation of a project) on the basis of flat rates. These rates, which do not cover travel costs, are in the form of a daily allowance for every country. The use of these rates is optional, but you may wish to use them when calculating your proposal budget. The rates themselves,

and the detailed rules for their use, are given at this address: http://cordis.europa.eu/fp7/find-doc_en.html

Specific Characteristics

- The description of work (annex 1 to the grant agreement) is normally fixed. If needed a yearly update will be provided for in the grant agreement.
- Enlargement of partnership within the initial budget is possible.

2.3 Networks of Excellence (NoE)

Purpose

The Networks of Excellence funding scheme is designed for research institutions willing to combine and functionally integrate in a durable way a substantial part of their activities and capacities in a given field, with a view to creating in this field a European 'virtual centre of research'.

They will do so through the implementation of a "Joint Programme of Activities" based on the integrated and complementary use of resources from entire research units, departments, laboratories or large teams. This Joint Programme of Activities would represent a significant part of the total of their activities. This goes far beyond the kind of cooperation associated with single projects, in terms of the range of objectives, number of researchers, and volume of activities, depth and duration of the cooperation. The implementation of this Joint Programme of Activities will require a formal commitment from the organisations integrating part of their resources and their activities.

Specific Programmes concerned

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

Participation

There must be at least three "legal entities" established in different EU Member States or Associated countries (the countries concerned are listed in section 3). The entities must be independent of each other.

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

"Target audience": Research institutes and organisations, universities.

Size and resources

As experience acquired with Networks of Excellence clearly confirmed, a real integration of activities at the scale envisaged is driven mainly by a relatively small number of dedicated partners, though it might be extended to larger partnerships. Although applicants are free to determine how many partners should participate in their Network of Excellence once the minimum conditions have been satisfied, they should carefully consider the optimum number to realistically allow for profound and durable integration in the respective network. As an indication, a Network of between three to seven participants is often appropriate. However, larger Networks may sometimes be required, according to the characteristics of the research area concerned.

Proposals for Networks of Excellence should be presented by research managers at the higher level of responsibility which is necessary for decisions in terms of staff, equipment and research policy to be taken, which are necessary to implement the Joint Programme of Activities.

Indicative average duration

A Network of Excellence must be supported long enough for its Joint Programme of Activities to be significantly advanced, in the perspective of a long lasting integration. Support, in many cases, may therefore be needed up to five years and, in exceptional duly justified cases, more.

The Joint Programme of Activities (JPA)

The Joint Programme of Activities should consist of a coherent set of activities that the participants undertake jointly. It should entail for its implementation the combination and complementary use of the resources from the entire research units, departments, laboratories or large teams involved in the scheme such as mutual access to infrastructure, equipment, material, data and knowledge¹; exchanges of researchers, managers and technicians; redesign of the research portfolios and the research priorities, and reallocation of the resources in a way allowing to increase the number and the quality of the results produced, while optimizing the use of the participants' capacities.

In addition to common research activities, and closely linked with them, the Joint Programme of Activities could and will include, where appropriate, management, training, dissemination and communication activities. Part of the management activities should be the development of concepts to sustain, beyond the duration of the funding period, those components of the Network that serve to structure the ERA.

Form of Reimbursement

The grant would be allocated according to the following principles:

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 Joint Programme of Activities). In some cases the reimbursement of indirect costs is based on a flat rate.

The Community financial contribution will be paid according to an assessment of the progressive implementation of the Joint Programme of Activities.

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

If so provided in the call fiche, it is possible to claim subsistence and accommodation costs (related to travel as part of the implementation of a project) on the basis of flat rates. These rates, which do not cover travel costs, are in the form of a daily allowance for every country. The use of these rates is optional, but you may wish to use them when calculating your proposal budget. The rates themselves, and the detailed rules for their use, are given at this address: http://cordis.europa.eu/fp7/find-doc_en.html

Specific Characteristics

- The Description of Work (annex 1 to the grant agreement) will be updated on a yearly basis.
- Enlargement of partnership within the initial budget is possible.

¹ in accordance with the Intellectual Property Rights, use and dissemination of the grant agreement

2.4 Coordination and support actions: Coordinating (CSA-CA) and Supporting (CSA-SA)

Please note that research, technological development or demonstration activities cannot be supported within these schemes.

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.

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 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).

Indicative average duration

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

Activities

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

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

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

monitoring and assessment; conferences; seminars; 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 transnational access; preparatory work such as 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. International Cooperation Partner Countries (see annex 1 to the work programme) may opt for a lump sum.

If so provided in the call fiche, it is possible to claim subsistence and accommodation costs (related to travel as part of the implementation of a project) on the basis of flat rates. These rates, which do not cover travel costs, are in the form of a daily allowance for every country. The use of these rates is optional, but you may wish to use them when calculating your proposal budget. The rates themselves, and the detailed rules for their use, are given at this address: http://cordis.europa.eu/fp7/find-doc_en.html

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.**

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

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

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

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 to this Guide).

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

Other sources of help

Annex 1 to this guide gives references to these further sources of help for this 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 dedicated Help Desk has been set up to deal with questions related to research ethics issues.
- A further help desk providing assistance on intellectual property matters.
- Any other guidance documents or background information relating specifically to this call.
- The date and contact address for any **'information day'** that the Commission may be organising for this call.
- Other services, including partner search facilities, provided via the CORDIS website.

Who can participate?

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

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

However, there are certain minimum conditions that have to be met relating to participation from the EU and Associated countries. These conditions vary between funding scheme (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.

An Associated country to the Euratom Seventh Framework Programme is: Switzerland.

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 under this call:

- 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).

Participants established in third countries, as well as other international organisations, may also be granted a financial contribution provided that at least one of the following conditions is satisfied:

1. provision is made to that effect in the Specific Programme or the Work Programme;
2. the participation is essential for carrying out the action;
3. 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.

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

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

International cooperation

The Commission attaches great importance to international cooperation in research, and the Commission will take every effort to ensure that within Euratom FP7 "fission" activities this is facilitated and encouraged to the extent possible.

Ethical principles

Please remember that research activities in FP7 should respect fundamental ethical principles, including those reflected in the Charter of Fundamental Rights of the European Union. Ethical principles include the need to ensure the freedom of research and the need to protect the physical and moral integrity of individuals and the welfare of animals. For this reason, the European

Commission carries out an ethical review of proposals when appropriate. The following fields of research shall not be financed under this Framework Programme:

- research activity aiming at human cloning for reproductive purposes;
- research activity intended to modify the genetic heritage of human beings which could make such changes heritable²;
- 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.

For additional information on the Ethics Review procedure see:

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

Presenting your proposal

A proposal has two parts:

Part A will contain the administrative information about the proposal and the participants. The information requested includes a brief description of the work, contact details and characteristics of the participants, and information related to the funding requested (see annex 3 to this Guide). This information will be encoded in a structured database for further computer processing to produce, for example, statistics, and evaluation reports. This information will also support the experts and 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 to this Guide). You should follow this structure when presenting the scientific and technical content of your proposal. The template is designed to highlight those aspects that will be assessed against the **evaluation criteria**. It covers, among other things, the nature of the proposed work, the participants and their roles in the proposed project, and the impacts that might be expected to arise from the proposed work. Only black and white copies are used for evaluation and you are strongly recommended, therefore, not to use colour in your document.

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

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

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

² Research relating to cancer treatment of the gonads can be financed.

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

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 evaluated³.

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

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

Full instructions are found in the "EPSS preparation and submission guide" available from the CORDIS site.

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.

Participant Identification Codes (PICs)

³ 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. Only if a derogation is granted, a proposal on paper may be submitted by mail, courier or hand delivery. The delivery address will be given in the derogation letter.

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

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

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

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

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

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

Self-registration in the Unique Registration Facility for receiving a temporary PIC is quick and simple, see <http://ec.europa.eu/research/participants/urf> (use the button "Register").

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

If your organisation has not yet appointed a LEAR, the necessary documents and instructions can be found here: http://cordis.europa.eu/fp7/pp-lear_en.html.

Submitting the proposal

Only the coordinator is authorised to submit the proposal.

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

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

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

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

The EPSS then performs an automatic validation of the proposal. A list of any problems ("validation error message") such as missing data, viruses, wrong file format or excessive file size will then

appear on the screen. **Submission is blocked until these problems are corrected.** Once corrected, the coordinator must then repeat the above steps to achieve submission.

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

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

If the submission sequence described above is not followed, the 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. Irrespective of any page limits specified in annex 4 to 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 to the Part B file. You should only use alphanumeric characters. Special characters and spaces must be avoided.

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

Please note that the Commission prints out proposals on plain A4 paper. The printable zone on the print engine is bounded by 1.5 cm right, left, top bottom. No scaling is applied to make the page "fit" the window. Printing is done at 300 dots per inch.

About the deadline

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

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

Do not wait until the last moment before submitting your proposal!

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

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

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

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

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

Please note that the Commission will not extend deadlines for system failures that are not its own responsibility. In all circumstances, you should aim to submit your proposal well before the deadline in order to leave enough 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 before the deadline by submitting a revised version with an empty Part B section, with the following words entered in the abstract field of form A:

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

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

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

To protect the EU's financial interests, the Commission uses an internal information tool, the Early Warning System (EWS) to flag identified risks related to beneficiaries of centrally managed contracts and grants. Through systematic registration of financial and other risks the EWS enables the Commission services to take the necessary precautionary measures to ensure a sound financial management⁴.

⁴ The EWS covers situations such as significantly overdue recovery orders, judicial proceedings pending for serious administrative errors/fraud, findings of serious administrative errors/fraud, legal situations which exclude the beneficiary from funding.

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

The work programme informs you that the details of your organisation (or those of a person who has powers of representation, decision-making or control over it) may be registered in the EWS and the CED and be shared with public authorities as described in the relevant legal texts⁵.

More information on the EWS and CED, can be found here:

http://ec.europa.eu/budget/sound_fin_mgt/ews_en.htm

⁵ The basis of registrations in EWS and CED is laid out in:
- the Commission Decision of 16.12.2008 on the Early Warning System (EWS) for the use of authorising officers of the Commission and the executive agencies (OJ, L 344, 20.12.2008, p. 125), and
- the Commission Regulation of 17.12.2008 on the Central Exclusion Database – CED (OJ L 344, 20.12.2008, p. 12).

4. Check list

This check list is useful to the consortium in general, but it is, in particular, important for the coordinator:

4.1 *Preparing your proposal*

- **Does your planned work fit with the call for proposals?** Check that your proposed work does indeed address the topics open in this call. (See the current version of the work programme).
- **Are you applying for the right funding scheme?** Check that your proposed work falls within the scope of this call, and that you have applied for one of the eligible funding schemes (see the work programme). If there is a choice, have you opted for the one that best suits your needs? Check the Part A and part B formats shown in annexes 3 and 4 to this Guide⁶
- **Is your proposal eligible?** The eligibility criteria are given in the work programme. See also annex 2 to this Guide. In particular, make sure that you satisfy the minimum requirements for the makeup of your consortium. Have any additional eligibility criteria been set for this call? Check that you comply with any budgetary limits that may have been fixed, in the Work programme, on the requested EU contribution. Any proposal not meeting the eligibility requirements will be considered ineligible and will not be evaluated.
- **Is your proposal complete?** Proposals must comprise a Part A, containing the administrative information including participant and project cost details on standard forms; and a Part B containing the scientific and technical description of your proposal as described in this Guide. A proposal that does not contain both parts will be considered ineligible and will not be evaluated.
- **Does your proposed work raise ethics issues?** Clearly indicate any potential ethical, safety or regulatory aspects of the proposed research and the way these will be dealt with prior and during the implementation of the proposed project. A preliminary ethics control will take place during the scientific evaluation and, if needed, an ethics screening and/or review will take place for those proposals raising ethics issues. Proposals may be rejected on ethical grounds if such issues are not dealt with satisfactorily.
- **Does your proposal follow the required structure?** Proposals should be precise and concise, and must follow exactly the proposal structure described in this document (annex 4 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 to this Guide. Arrange for your draft to be evaluated by experienced colleagues; use their advice to improve it before submission.
- **Do you need further advice and support?** You are strongly advised to inform your National Contact Point of your intention to submit a proposal (see address in annex 1 to this Guide). Remember the Enquiry service listed in annex 1.

⁶ If you have in error registered for the wrong call or funding scheme, discard that registration (usernames and passwords) and register again before the call deadline. If, after the close of the call, you discover that you have submitted your proposal to the wrong call, notify the EPSS Helpdesk.

4.2 Final checks before submission

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

4.3 Following submission

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

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

The 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 to this Guide).

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

If **hearings** are planned in this call (see annex 1 to this Guide), you will receive an invitation if your proposal has passed all thresholds and is highly rated. In this case, you will be asked by the evaluation panel to provide further details on the proposal. The letter of invitation will specify the date and time and the particular arrangements. It may also list a number of specific questions concerning the proposal, which you should be prepared to respond to at the hearing. The letter will explain how to reply if you cannot attend in person.

Soon after the completion of the evaluation, the results will be finalised and all co-ordinators will receive a letter containing **initial information** on the results of the evaluation, 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.

If you have not received the "initial information letter" by the date referred to in annex 1 to this Guide, please contact the Commission via the FP7 enquiry service.

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

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

Based on the results of the evaluation by experts, the 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 of the proposals to be funded.

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

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

Negotiations between the applicants and the 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 your proposal if one was carried out. Where relevant, security aspects shall also be considered.

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

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

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

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

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

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

Glossary

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

A

Acknowledgement of receipt

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

Applicant

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

Associated countries

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

C

Call fiche

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

Call for proposals (or "call")

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

Consensus meeting

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

Consortium

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

Continuous submission

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

Coordinator

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

CORDIS service

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

Cut-off date

An intermediate date in the context of a call operating a *continuous submission procedure*. Proposals are evaluated in batches after each *cut-off date*.

D**Deadline**

For a particular *call*, the moment after which proposals cannot be submitted to the 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.

Direct costs

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

E**Early Warning System (EWS)**

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

Electronic Proposal Submission Service (EPSS)

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

Electronic Proposal Submission Service (EPSS) Helpdesk

A telephone / email service to assist applicants who have difficulty in submitting their proposal via the Electronic Proposal Submission System: tel: +32 2 233 37 60 email support@epss-fp7.org

Eligibility Committee

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

Eligibility criteria

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

Ethical issues table

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

Evaluation criteria

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

Evaluation Summary Report (ESR)

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

F

FP7 enquiry service

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

Funding scheme

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

G

Grant Agreement (GA)

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

H

Hearing

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

I

Indirect costs

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

Individual evaluation

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

Information Days

Open events organised by the 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 to the work programme. Organisations from these countries can participate and receive funding in FP7, providing that certain minimum conditions are met.

International European Interest Organisation

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

J

Joint Research Centre (JRC)

The Commission's own research institutes.

L

LEAR (Legal Entity Authorised Representative)

The LEAR is a person nominated in each legal entity participating in FP7. This person is the contact for the Commission related to all questions on legal status. He/she has access to the online database of legal entities with a possibility to view the data stored on his/her entity and to initiate updates and corrections to these data. The LEAR receives a Participant Identification Code (PIC) from the Commission (see below), and distributes this number within his/her organisation.

Lump sum

Lump sums do not require the submission of financial justifications (statements), as they are "fixed". ICPC participants when participating in an FP7 grant agreement (GA) have got the option between being reimbursed on the basis of eligible costs or on the basis of lump-sums. This option can be made (and changed) up to the moment of the signature of the GA. Once made, it will apply during the whole duration of the GA without the possibility of changing it. ICPC participants may opt for a lump sum in a given project and for reimbursement of costs in another. Whatever the final option chosen, the maximum EC contribution for the project will remain.

M

Milestones

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

N

National Contact Points (NCP)

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

Negotiation

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

Non-profit

A legal entity is qualified as "*non-profit*" when considered as such by national or international law.

P

Part A

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

Part B

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

Part B template

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

Participants

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

Participant Identification Code (PIC)

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

Participant Portal

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

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

Public body

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

R

Redress procedure

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

Research organisation

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

Reserve list

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

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**

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

Specific flat rate (60%)

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

Specific International Cooperation Actions (SICA)

In some calls on topics of mutual interest, special conditions apply to promote research collaborations between European organisations and those based in the International Cooperation Partner Countries (ICPC). This usually entails a minimum of two participants from EU or Associated countries, and two from ICPC.

T**Thresholds**

For a proposal to be considered for funding, the evaluation scores for individual criteria must exceed certain thresholds. There is also an overall threshold for the sum of the scores.

Two-stage submission

Some calls require proposals to be submitted in two stages. In this case, applicants initially present their idea in a brief outline proposal. This is evaluated against evaluation criteria, or sub-criteria for this stage set out in the call. Applicants successful in the first stage will be invited to submit a full proposal at the second stage, which will be evaluated against criteria for this second stage set out in the call. The first stage criteria, as set out in the work programme, are usually a limited set of those applying at the second stage.

Two-step evaluation

An evaluation procedure in which a proposal is evaluated first on a limited number of evaluation criteria (usually, just one), and only those proposals which achieve the threshold on this are subject to a full evaluation on the remaining criteria.

U**Unique Registration Facility (URF)**

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

W**Weightings**

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

Work Package

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

Work Programme

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

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 (All funding schemes)
- Annex 4** Instructions for drafting "Part B" of the proposal

A4.1 SCIENTIFIC AND/OR TECHNICAL QUALITY

A4.1.1 Collaborative Projects (CP)

A4.1.2 Networks of Excellence (NOE)

A4.1.3 Coordination and Support Actions (Coordinating) (CA)

A4.1.4 Coordination and Support Actions (Supporting) (SA)

A4.2 IMPLEMENTATION

A4.3 IMPACT

A4.4 ETHICS ISSUES

A4.5 Consideration of gender aspects

Annex 1: Timetable and specific information for this call

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

Publication of call	20 August 2010
Deadline for submission of proposals	07 April 2011 – 17.00 Brussels local time
Evaluation of proposals	April – May 2011
Evaluation Summary Reports sent to proposal coordinators ("initial information letter")	June 2011
Invitation letter to successful coordinators to launch grant agreement negotiations with Commission services	July 2011
Letter to unsuccessful applicants	From September 2011
Signature of first grant agreements	From November 2011

No hearings are planned during the evaluation process.

- **Additional information relating to funding schemes used in this call**

Within collaborative projects, a distinction is made between **small/medium-scale focused research projects (CP-FP)** on the one hand and **large-scale integrating projects (CP-IP)** on the other, the latter requiring an enhanced level of ambition, project structuring and related management activities. Applicants should therefore refer to the appropriate list (see section 2.2 of this Guide) for an indication of the issues to be addressed in their proposals. Furthermore, they should indicate the appropriate choice of project category when filling in Form A.

Applicants must ensure that the EC contribution requested for each funding scheme is within the bounds as indicated in the Call Fiche (see also generic limits in section 2.1 of this guide).

- **Further information and help**

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

Call information:

CORDIS call page and work programme:
Participant Portal

<http://cordis.europa.eu/fp7/dc/index.cfm>
<http://ec.europa.eu/research/participants/portal/>
(select tab "FP7 calls")

Information days, where applicable, are published on CORDIS at:

http://cordis.europa.eu/fp7/euratom-fission/news-events_en.html

General sources of help:

The Commission's FP7 Enquiry service
National Contact Points
National Contact Points in third countries

<http://ec.europa.eu/research/enquiries>
http://cordis.europa.eu/fp7/ncp_en.html
http://cordis.europa.eu/fp7/third-countries_en.html

Specialised and technical assistance:

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

You may also wish to consult the following documents that can be found at

http://cordis.europa.eu/fp7/find-doc_en.html:

Legal documents generally applicable

- Decision on the Euratom Framework Programme
- Euratom Rules for Participation
- Euratom Specific Programme (indirect actions)

Legal documents for implementation

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

Guidance documents

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

Other supporting information

- Brochure "The FP7 in Brief"
- European Charter for researchers and the Code of Conduct for their recruitment

Ethics Review

- Ethics check list
- Supporting documents

Annex 2: Evaluation criteria and procedures to be applied for this call

1. General

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

Commission staff ensures that the process is fair, and in line with the principles contained in the Commission's rules⁷.

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 no-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 is 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.

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). To satisfy this condition, part B of the proposal must be readable, accessible and printable.
- The content of the proposal relates to the topic(s) and funding scheme(s), including any special conditions set out in the relevant parts of the work programme
- The EC contribution requested for each funding scheme is within the bounds as indicated in the Call Fiche (see also generic limits in section 2.1 of this guide)

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:

⁷ Rules on Proposal Submission, Evaluation, Selection and Award Procedures to be posted on CORDIS

- 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 any possible conflicts of interest.

3. Evaluation of proposals

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.

Each proposal will first be assessed independently by at least three (five for NoE) experts.

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

Evaluation criteria				
		S&T QUALITY Scientific and/or technological excellence (relevant to the topics addressed by the call)	IMPLEMENTATION Quality and efficiency of the implementation and the management	IMPACT The potential impact through the development, dissemination and use of project results
All funding schemes		Soundness of concept, and quality of objectives	Appropriateness of the management structure and procedures Quality and relevant experience of the individual participants	Contribution, at the European [and/or international level], to the expected impacts listed in the work programme under relevant topic/activity
Collaborative projects		Progress beyond the state-of-the-art Quality and effectiveness of the S/T methodology and associated work plan	Quality of the consortium as a whole (including complementarity, balance) Appropriateness of the allocation and justification of the resources to be committed (staff, equipment ...)	Appropriateness of measures for the dissemination and/or exploitation of project results, and management of intellectual property.
Networks of Excellence		Contribution to long-term integration of high quality S/T research Quality and effectiveness of the joint programme of activities and associated work plan	Quality of the consortium as a whole (including ability to tackle fragmentation of the research field, and commitment towards a deep and durable integration) Adequacy of resources for successfully carrying out the joint programme of activities	Appropriateness of measures for spreading excellence, exploiting results, and disseminating knowledge, through engagement with stakeholders and the public at large.
Co-ordination & support actions	CA	Contribution to the co-ordination of high quality research Quality and effectiveness of the co-ordination mechanisms, and associated work plan	Quality of the consortium as a whole (including complementarity, balance) [for SA: only if relevant] Appropriateness of the allocation and justification of the resources to be committed (staff, equipment ...)	Appropriateness of measures for spreading excellence, exploiting results, and dissemination knowledge, through engagement with stakeholders, and the public at large.
	SA	Quality and effectiveness of the support action mechanisms, and associated work plan		

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 be raised 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 these criteria. Proposals that are clearly not relevant to a call ("out of scope") will be rejected on eligibility grounds.

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

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

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

No weightings will be applied.

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

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

Conflicts of interest: Under the terms of the appointment letter, experts must declare beforehand any known 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.

4. Individual evaluation

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

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

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

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

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

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

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

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

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

5. Consensus meeting

Once all the experts to whom a proposal has been assigned have completed their 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.

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.

Ethics issues: If one or more experts have noted that there are ethics issues touched on by the proposal, the relevant box on the consensus report (CR) should be ticked and an Ethics Issues Report (EIR) should be completed stating the nature and type of ethics issues involved. Exceptionally for this issue, no consensus is required.

Outcome of consensus: The outcome of the consensus step is the consensus report. This will be signed (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.

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

A panel comprises experts involved at the consensus step and/or new experts. One or more panels may be set up to cover the whole call and/or groups of topics of this call.

The tasks of a 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.

A panel is chaired by the Commission. The Commission will ensure fair and equal treatment of the proposals in a panel's discussions. A panel *rapporteur* may be appointed to draft the panel's advice.

A ranked list will be drawn up for every indicative budget as shown in the call fiche. The panel can deal with one or more ranked lists for the proposals under evaluation, following the scoring systems indicated above.

Priority order for proposals with the same score: If necessary, the panel will determine a priority order for proposals which have been awarded the same score within a ranked list. Whether or not such a prioritisation is carried out will depend on the available budget or other conditions set out in the call fiche. The following approach will be applied successively for every group of *ex aequo* proposals requiring prioritisation, starting with the highest scored group, and continuing in descending order:

(i) Proposals that address topics not otherwise covered by more highly-rated proposals, will be considered to have the highest priority.

(ii) These proposals will themselves be prioritised according to the scores they have been awarded for the criterion *scientific and/or technological excellence*. When these scores are equal, priority will be based on scores for the criterion *impact*. If necessary, any further prioritisation will be based on other appropriate characteristics, to be decided by the panel, related to the contribution of the proposal to the European Research Area and/or general objectives mentioned in the work programme (e.g. presence of SMEs, international co-operation, public engagement).

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

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

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

A panel report is signed by at least three panel experts, including the panel *rapporteur*, and the chairperson.

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

- Maximum one proposal funded per topic – where mentioned in the work programme (occasionally a higher maximum number of proposals per topic may be specified, or where a topic allows more than one funding scheme, a maximum number of proposals to be funded using a specific scheme may be specified).

7. Ethics Review of project proposals

An ethics review of above-threshold proposals may be organised by the Commission. The Ethics Review is carried out by independent experts with a special expertise on ethics. Reviewing research projects on ethical grounds at the EU level is a legal requirement under FP7. The Review evaluates aspects of the design and methodology of the proposed research such as intervention on humans, use of animals, data protection issues, terms of participation of children and vulnerable population groups.

The Panel drafts an Ethics Review Report that summarises its opinion on the ethical soundness of the project proposal under consideration. The requirements put forward by the Panel are taken into account in any subsequent negotiations on the grant agreement, and may lead to obligatory provisions in the conduct of the research.

Annex 3: Instructions for completing "Part A" of the proposal

The information contained in this annex is applicable to the following funding schemes:

<ul style="list-style-type: none"> • Collaborative Projects (CP): <ul style="list-style-type: none"> ○ Large-scale Integrating (CP-IP) ○ Small or medium-scale focused (CP-FP)
<ul style="list-style-type: none"> • Networks of Excellence (NoE)
<ul style="list-style-type: none"> • Coordination and Support Actions <ul style="list-style-type: none"> ○ Coordinating (CSA-CA) ○ Supporting (CSA-SA)

For some items such as (i) Method of calculating indirect costs, (ii) Type of activity, and (iii) Requested EC contribution, special provisions may be applicable for a given funding scheme (see the relevant text below).

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

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

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

Please note:

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

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

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

Note:

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

Section A1: General Information	
Proposal Acronym	<p>The short title or acronym will be used to identify your proposal efficiently in this call. It should be of <u>no more than 20 characters</u> (use standard alphabet and numbers only; no symbols or special characters please).</p> <p>The same acronym should appear on each page of Part B of your proposal.</p>
Project Type	<p>Collaborative Projects(CP): Large-scale Integrating (CP-IP) or Small/Medium-scale focused (CP-FP) (please refer to the work programme) Networks of Excellence (NoE) Coordination and Support Actions: (i) Coordinating (CSA-CA) or Supporting (CSA-SA)</p>
Proposal Title	<p>The title should be <u>no longer than 200 characters</u> and should be understandable to the non-specialist in your field.</p>
Duration in months	<p>Insert the estimated duration of the project in full months.</p>
Call (part) identifier	<p>[pre-filled] The call identifier is the reference number given in the call or part of the call you are addressing, as indicated in the publication of the call in the Official Journal of the European Union, and on the call page. A call identifier looks like this: <i>FP7-Fission-2011</i></p>
Topic code(s) most relevant to your proposal	<p>Please refer to the topic codes listed in the work programme call fiche.</p> <p>All activities and topics of FP7 have been assigned unique codes, which are used in the processing of data on proposals and subsequent contracts. The codes are organised hierarchically.</p> <p>The choice of the first topic code will be limited in the drop-down menu to one of the topics open in this call. Select the code corresponding to the topic most relevant to your proposal.</p> <p>The choice for the second code is also limited to topics open in the call in question. Enter a second code if your proposal also addresses another of these. Select 'none' if this is not the case.</p> <p>Select a third code if your proposal is also relevant to another theme. This time, the available codes will simply correspond to broad themes. Select 'none' if this is not the case.</p>
Free Keywords	<p>Please enter a number of keywords that you consider sufficient to characterise the scope of your proposal.</p> <p>There is <u>a limit of 100 characters</u>.</p>
Abstract	<p>The abstract should, at a glance, provide the reader with a clear understanding of the objectives of the proposal, how they will be achieved, and their relevance to the Work Programme. This summary will be used as the short description of the proposal in the evaluation process and in communications to the programme management committees and other interested parties. It must therefore be short and precise and should not contain confidential information. Please use plain typed text, avoiding formulae and other special characters. If the proposal is written in a language other than English, please include an English version of the proposal abstract in Part B.</p> <p>There is <u>a limit of 2000 characters</u>.</p>
Similar proposals or signed contracts	<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>

Section A2: Participants	
Participant number	The number allocated by the consortium to the participant for this proposal. The co-ordinator of a proposal is always number one .
Participant Identification Code	The Participant Identification Code (PIC) will enable organisations to take advantage of the Participant Portal. Organisations who have received a PIC from the Commission are encouraged to use it when submitting proposals. By entering a PIC, parts of section A2 will be filled in automatically. An online tool to search for existing PICs and the related organisations is available at http://ec.europa.eu/research/participants/portal . Organisations not yet having a PIC are strongly encouraged to self-register (at http://ec.europa.eu/research/participants/portal) before submitting the proposal and insert in section A2 the temporary PIC received at the end of the self-registration.
Legal name	<p>For Public Law Body, it is the name under which your organisation is registered in the Resolution text, Law, Decree/Decision establishing the Public Entity, or in any other document established at the constitution of the Public Law Body;</p> <p>For Private Law Body, it is the name under which your organisation is registered in the national Official Journal (or equivalent) or in the national company register.</p> <p>For a natural person, it is for e.g. Mr Adam JOHNSON, Mrs Anna KUZARA, and Ms Alicia DUPONT.</p>
Organisation Short Name	<p>Choose an abbreviation of your Organisation Legal Name, only for use in this proposal and in all relating documents.</p> <p>This short name should not be more <u>than 20 characters</u> exclusive of special characters (./;...), for e.g. CNRS and not C.N.R.S. It should be preferably the one as commonly used, for e.g. IBM and not Int.Bus.Mac.</p>
Legal address	<p>For Public and Private Law Bodies, it is the address of the entity's Head Office.</p> <p>For Individuals it is the Official Address.</p> <p>If your address is specified by an indicator of location other than a street name and number, please insert this instead under the "street name" field and "N/A" under the "number" field.</p>
Non-profit organisation	Non-profit organisation is a legal entity qualified as such when it is recognised by national or, international law.
Public body	Public body means any legal entity established as such by national law, and international organisations.
Research organisation	Research organisation means a legal entity established as a non-profit organisation which carries out research or technological development as one of its main objectives.
NACE code	<p>NACE means "<u>Nomenclature des Activités économiques dans la Communauté Européenne</u>".</p> <p>Please select one activity from the list that best describes your professional and economic ventures. If you are involved in more than one economic activity, please select the one activity that is most relevant in the context of your contribution to the proposed project. For more information on the methodology, structure and full content of NACE (rev. 1.1) classification please consult EUROSTAT at:</p> <p>http://ec.europa.eu/eurostat/ramon/nomenclatures/index.cfm?TargetUrl=LST_CLS_DLD&StrNom=NACE_1_1&StrLanguageCode=EN&StrLayoutCode=HIERARCHIC .</p>

<p>Small and Medium-Sized Enterprises (SMEs)</p>	<p>SMEs are micro, small and medium-sized enterprises within the meaning of Recommendation 2003/361/EC in the version of 6 May 2003. The full definition and a guidance booklet can be found at http://ec.europa.eu/enterprise/enterprise_policy/sme_definition/index_en.htm</p> <p>To find out if your organisation corresponds to the definition of an SME you can use the on-line tool at http://ec.europa.eu/research/sme-techweb/index_en.cfm</p>
<p>Dependencies with (an) other participant(s)</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"> – A legal entity is under the same direct or indirect control as another legal entity (SG); or – A legal entity directly or indirectly controls another legal entity (CLS); or – A legal entity is directly or indirectly controlled by another legal entity (CLB). <p>Control: Legal entity A controls legal entity B if:</p> <ul style="list-style-type: none"> – A, directly or indirectly, holds more than 50% of the nominal value of the issued share capital or a majority of the voting rights of the shareholders or associates of B, or – A, directly or indirectly, holds in fact or in law the decision-making powers in B. <p>The following relationships between legal entities shall not in themselves be deemed to constitute controlling relationships:</p> <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>Character of dependence</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"> • SG: Same group: if your organisation and the other participant are controlled by the same third party; • CLS: Controls: if your organisation controls the other participant; • CLB: Controlled by: if your organisation is controlled by the other participant.
<p>Contact point</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>Title</p>	<p>Please choose one of the following: Prof., Dr., Mr., Mrs, Ms.</p>
<p>Sex</p>	<p>This information is required for statistical and mailing purposes. Indicate F or M as appropriate.</p>
<p>Phone and fax numbers</p>	<p>Please insert the full numbers including country and city/area code. Example +32-2-2991111.</p>
<p>Section A3: Budget</p>	
<p>Indirect Costs</p>	<p>Indirect costs are all those eligible costs which cannot be identified by the participant as being directly attributed to the project but which can be identified and justified by its accounting system as being incurred in direct relationship with the eligible direct costs attributed to the project. They may not include any eligible direct costs.</p>

<p>Method of calculating indirect costs</p>	<p>Summary description (as displayed on EPSS)</p> <ul style="list-style-type: none"> • Participants who have an analytical accounting system that can identify and group their indirect costs in accordance with the eligibility criteria (e.g. exclude non-eligible costs) must report their actual indirect costs (or choose the 20% flat rate option referred to below). • For the purpose of calculating the actual indirect costs, a participant is allowed to use a simplified method of calculation of its full indirect eligible costs. • Optionally, participants may opt for a flat rate for indirect costs of 20% of the direct costs (minus subcontracting and third party costs not incurred on the premises of the participant). • A specific flat rate of 60% of the direct costs is foreseen for non-profit public bodies, secondary and higher education establishments, research organisations and SMEs which are unable to identify with certainty their real indirect costs for the project when participating in funding schemes which include research and technological development and/or demonstration activities (i.e. CP or NoE). • For the funding scheme: Coordination and Support Actions: (i) Coordinating (CSA-CA) or Supporting (CSA-SA), whichever method is used, the reimbursement of indirect eligible costs may not exceed 7% of the direct eligible costs, excluding the direct eligible costs for subcontracting and the costs of reimbursement of resources made available by third parties which are not used on the premises of the participant. <p>Further guidance</p> <p>In FP7 all departments, faculties or institutes which are part of the same legal entity must use the same system of cost calculation (unless a special clause foreseeing a derogation for a particular department/institute is included in the grant agreement). Under FP7, there are no cost reporting models.</p> <p>1. Participants which have an analytical accounting system that can identify and group their indirect costs (pool of costs) in accordance with the eligibility criteria (e.g. exclude non-eligible costs) must report their actual indirect costs (or choose the 20% flat rate option under 2. below). This method is the same as the "full cost" model used in previous Framework Programmes.</p> <p>For the purpose of calculating the actual indirect costs, a participant is allowed to use a simplified method of calculation of its full indirect eligible costs. The simplified method is a way of declaring indirect costs which applies to organisations which do not aggregate their indirect costs at a detailed level (centre, department), but can aggregate their indirect costs at the level of the legal entity.</p> <p>The simplified method can be used if the organisation does not have an accounting system with a detailed cost allocation. The method has to be in accordance with their usual accounting and management principles and practices; it does not involve necessarily the introduction of a new method just for FP7 purposes. Participants are allowed to use it, provided this simplified approach is based on actual costs derived from the financial accounts of the last closed accounting year.</p> <p>There is no "standard model"; each legal entity will use its own system. The minimum requirements for it to be considered a simplified method for FP7 purposes are the following:</p> <ul style="list-style-type: none"> - the system must allow the participant to identify and remove its direct ineligible costs (VAT, etc.); - it must at least allow for the allocation of the overheads at the level of the legal entity to the individual projects by using a fair "driver" (e.g. total productive hours); - the system applied and the costs declared according to it should follow the normal accounting principles and practices of the participant. Therefore, if the system used by a participant is more "refined" than the "minimum" requirements mentioned here, it is that system which should be used when declaring costs. <p><i>Example: if a participant's accounting system distinguishes between different overheads rates according to the type of activity (research, teaching...), then the overheads declared in an FP7 grant agreement should follow this practice and refer only to the concerned activities (research, demonstration...)</i></p> <p>The simplified method does not require previous registration or certification by the Commission.</p> <p>2. Optionally, participants may opt to declare their actual direct costs plus a flat rate for indirect costs of 20% of the direct costs (minus subcontracting and third party costs not incurred on the premises of the participant). This flat rate is open to any participant whatever the accounting system it uses. Accordingly, when this option is chosen, there is no need for certification of the indirect costs, only of the direct ones.</p> <p>3. Also, a specific flat rate of 60% is foreseen for certain types of organisations. The use of this flat rate is subject to three cumulative conditions :</p> <p>(i) Status of the organisation</p> <p>The flat rate is reserved to:</p> <ul style="list-style-type: none"> - non-profit public bodies - secondary and higher education establishments
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	<p>- research organisations - SMEs</p> <p>If these participants change their status during the life of the project, <i>"this flat rate shall be applicable up to the moment they lose their status"</i>. Therefore, from that moment on, they will not be able to use the 60% flat rate in subsequent financial statements. From then on, the indirect costs will have to be declared either on the basis of actual costs or using the 20% flat rate choice for indirect costs.</p> <p>(ii) Accounting system of the organisation</p> <p>The flat rate is foreseen for the organisations which are unable to identify with certainty their real indirect costs for the project. How will it be proved that an organisation is unable to identify with certainty their real indirect costs for the project? The participant (for example, an SME) does not have to change its accounting system or its usual accounting principles. If its accounting system can identify overall overheads but does not allocate them to project costs, then the participant can use this flat rate if the other conditions are fulfilled.</p> <p><i>Example:</i> A University, which in FP6 has used the "additional cost" basis because its accounting system did not allow for the share of their direct and indirect costs to the project to be distinguished may under FP7:</p> <ul style="list-style-type: none"> - either opt for the 60% flat rate, or - introduce a cost accounting system "simplified method" by which a basic allocation per project of the overhead costs of the legal entity will be established, or - introduce a full analytical accounting system. <p>Following this, an organisation which used the "full cost" model under the Sixth Framework Programme is presumed to be in a situation to be able to identify the real indirect costs and allocate them to the projects. Accordingly, this organisation would not in principle be able to opt for the 60% flat rate for FP7.</p> <p>An organisation which can identify the real indirect costs but does not have a system to allocate these indirect costs can opt for this 60% flat rate. The choice of this specific flat rate lies within the responsibility of the participant. If a subsequent audit shows that the above-mentioned cumulative conditions are not fulfilled, all projects where this participant is involved might be reviewed.</p> <p>(iii) Type of funding scheme</p> <p>The flat rate is reserved to funding schemes which include research and technological development and demonstration activities: Network of Excellence and Collaborative projects (including research for the benefit of specific groups – in particular SMEs). The basis for the calculation of the flat rate excludes the costs for subcontracting and the costs of resources made available by third parties which are not used on the premises of the participant because in these two cases, the indirect costs are not incurred by the participant but by the subcontractor or the third party. When a participant opts for the specific flat rate of 60 % for its first participation under FP7 it can opt afterwards for the actual indirect costs system for subsequent participations. This change does not affect previous grant agreement. After this change, this organisation cannot opt again for a flat rate system (either 60% or 20% flat rate).</p>
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	<div style="text-align: center; background-color: #000080; color: white; padding: 5px; border: 1px solid black;">Indirect Costs - Decision Tree</div> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p>Do either of these conditions apply? (1) your organisation possesses an analytical accounting system, or (2) you will declare overhead rates using a simplified method</p> </div> <div style="margin-top: 20px;"> <div style="display: flex; justify-content: space-around; align-items: center;"> <div style="text-align: center;"> <p>YES</p> <p>↓</p> <div style="border: 1px solid black; padding: 5px; width: 150px; margin: 10px auto;"> <p>Real indirect costs or costs calculated using a simplified method</p> </div> <div style="border: 1px solid black; padding: 2px; width: 100px; margin: 5px auto; text-align: center;">or</div> <div style="border: 1px solid black; padding: 5px; width: 150px; margin: 10px auto; text-align: center;"> <p>20% of total direct eligible costs (1)</p> </div> </div> <div style="text-align: center;"> <p>No</p> <p>↓</p> <div style="border: 1px solid black; padding: 2px; width: 100px; margin: 5px auto; text-align: center;">or</div> <div style="border: 1px solid black; padding: 5px; width: 150px; margin: 10px auto;"> <p>60% of total direct eligible costs (1), for :</p> <ul style="list-style-type: none"> - Non-profit public bodies, secondary and higher education establishments, research organisations and SMEs - When participating in funding schemes which include research and technological development </div> </div> </div> </div> <div style="border: 1px solid black; padding: 5px; margin-top: 20px; text-align: center;"> <p>Coordination and support actions : In any case Maximum 7% of the direct eligible costs (1)</p> </div> <p style="font-size: small; margin-top: 20px;">(1) excluding direct eligible costs for subcontracting and the costs of reimbursement of resources made available by third parties which are not used on the premises of the beneficiary</p>
<p>International Cooperation Partner Country (ICPC)</p>	<p>International Cooperation Partner Country means a third country which the Commission classifies as a low-income, lower-middle income or upper-middle-income country and which is identified as such in the work programme.</p>
<p>Lump sum funding method</p>	<p>Legal entities established in an ICPC may opt for lump sums. In that case the contribution is based on the amounts shown below, multiplied by the total number of person-years for the project requested by the ICPC legal entity.</p> <ul style="list-style-type: none"> Low-income ICPC: 8,000 Euro/researcher/year Lower middle income ICPC: 9,800 Euro/researcher/year Upper middle income ICPC 20,700 Euro/researcher/year <p>The maximum EC contribution is calculated by applying the normal upper funding limits shown under "requested EC contribution". This amount is all inclusive, covering support towards both the direct and the indirect costs.</p> <p>More information on ICPC lump sums can be found in the section II.18 of the "Guide to financial issues" http://cordis.europa.eu/fp7/find-doc_en.html</p>

<p>Type of Activity</p>	<ul style="list-style-type: none"> • <u>Collaborative Projects (CP) (i) Large Scale (CP-IP) and (ii) Small/Medium Scale (CP-FP):</u> <ul style="list-style-type: none"> • RTD activities mean activities directly aimed at creating new knowledge, new technology, and products including scientific coordination. • Demonstration activities mean activities designed to prove the viability of new technologies that offer a potential economic advantage, but which cannot be commercialised directly (e.g. testing of product like prototypes). • Other activities mean any specific activities not covered by the above mentioned types of activity such as training, coordination, networking and dissemination (including publications). These activities should be specified in the proposal Part B. • Management activities are part of the other activities. They include the maintenance of the consortium agreement, if it is obligatory, the overall legal, ethical, financial and administrative management including for each of the participants obtaining the certificates on the financial statements or on the methodology, the implementation of competitive calls by the consortium for the participation of new participants and, any other management activities foreseen in the proposal except coordination of research and technological development activities. • <u>Networks of Excellence (NoE)</u> <ul style="list-style-type: none"> • RTD activities mean activities directly aimed at creating new knowledge, new technology, and products including scientific coordination. • Other activities mean any specific activities not covered by the above mentioned types of activity such as training, coordination, networking and dissemination (including publications). These activities should be specified in the proposal Part B. • Management activities are part of the other activities. They include the maintenance of the consortium agreement, if it is obligatory, the overall legal, ethical, financial and administrative management including for each of the participants obtaining the certificates on the financial statements or on the methodology, the implementation of competitive calls by the consortium for the participation of new participants and, any other management activities foreseen in the proposal except coordination of research and technological development activities. • <u>Coordination and Support Actions: Coordinating (CSA-CA) or Supporting (CSA-SA)</u> <p>CSA-CA:</p> <ul style="list-style-type: none"> • Coordination activities 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. <p>CSA-SA:</p> <ul style="list-style-type: none"> • Support activities may cover activities, depending on their nature such as: monitoring and assessment; conferences; seminars; studies; high level scientific awards and competitions; operational support; data access and dissemination, information and communication activities; specific services activities related to research infrastructures, such as for example transnational access; preparatory technical work, including feasibility studies for the development of new infrastructures; contribution to the construction of new infrastructures; cooperation with other European research schemes; or a combination of these. <p>Common to CSA-CA and CSA-SA:</p> <ul style="list-style-type: none"> • Other activities mean any specific activities not covered by the above mentioned types of activity such as training, coordination, networking and dissemination (including publications). These activities should be specified in the proposal Part B. • Management activities are part of the other activities. They include the maintenance of the consortium agreement, if it is obligatory, the overall legal, ethical, financial and administrative management including for each of the participants obtaining the certificates on the financial statements or on the methodology, the implementation of competitive calls by the consortium for the participation of new participants and, any other management activities foreseen in the proposal except coordination of research and technological development activities.
<p>Personnel costs</p>	<p>Personnel costs are only the costs of the actual hours worked by the persons directly carrying out work under the project and shall reflect the total remuneration: salaries plus social security charges (holiday pay, pension contribution, health insurance, etc.) and other statutory costs included in the remuneration. Such persons must:</p> <ul style="list-style-type: none"> - be directly hired by the participant in accordance with its national legislation, - be working under the sole technical supervision and responsibility of the latter, and

	<p>- be remunerated in accordance with the normal practices of the participant.</p> <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>
Sub-contracting	<p>A subcontractor is a third party which has entered into an agreement on business conditions with one or more participants, in order to carry out part of the work of the project without the direct supervision of the participant and without a relationship of subordination.</p> <p>Where it is necessary for the participants to subcontract certain elements of the work to be carried out, the following conditions must be fulfilled:</p> <ul style="list-style-type: none"> - subcontracts may only cover the execution of a limited part of the project; - recourse to the award of subcontracts must be duly justified in Part B of the proposal having regard to the nature of the project and what is necessary for its implementation; - recourse to the award of subcontract by a participant may not affect the rights and obligations of the participants regarding background and foreground; - Part B of the proposal must indicate the task to be subcontracted and an estimation of the costs; <p>Any subcontract, the costs of which are to be claimed as an eligible cost, must be awarded according to the principles of best value for money (best price-quality ratio), transparency and equal treatment. Framework contracts between a participant and a subcontractor, entered into prior to the beginning of the project that are according to the participant's usual management principles may also be accepted.</p> <p>Participants may use external support services for assistance with minor tasks that do not represent per se project tasks as identified in Part B of the proposal.</p> <p>If applicable, actual direct costs and real overhead costs of third parties that make available to the proposal resources otherwise unavailable within the consortium, can also be included under the category of subcontracting costs (provided that these costs are not related to proposal's core tasks).</p>
Other direct costs	Direct costs not covered by the above mentioned categories of costs.
Total Budget	<p><i>Note: The "total budget" is not the requested EC contribution.</i></p> <p>A sum of all the eligible costs under the respective types of activity.</p>
Requested EC contribution	<p>The requested EC contribution shall be determined by applying the upper funding limits indicated below, per activity and per participant to the costs accepted by the Commission, or to the flat rates or lump sums.</p> <p>Maximum reimbursement rates of eligible costs are:</p> <ul style="list-style-type: none"> • <u>Collaborative Projects (CP): (i) Large scale (CP-IP) and (ii) Small/Medium Scale (CP-FP)</u> <ul style="list-style-type: none"> ○ Research and technological development = 50% or 75%* ○ Demonstration activities = 50% ○ Other activities (including management) = 100% • <u>Networks of Excellence (NoE)</u> <ul style="list-style-type: none"> ○ Research and technological development = 50% or 75%* ○ Other activities (including management) = 100% • <u>Coordination and Support Actions: Coordinating (CSA-CA) or Supporting (CSA-SA):</u> <ul style="list-style-type: none"> ○ Coordination activities = 100% ○ Other activities (including management) = 100% <p>(*) For participants that are secondary and higher education establishments or SMEs.</p>
Total Receipts	<p><i>Note: The term "receipts" is not the requested EC contribution.</i></p> <p>Receipts of the project may arise from:</p>

	<p>a) Financial transfers or contributions in kind free of charge to the participant from third parties:</p> <ul style="list-style-type: none">i. shall be considered a receipt of the project if they have been contributed by the third party specifically to be used on the project.ii. shall <u>not</u> be considered a receipt of the project if their use is at the management discretion of the participant. <p>b) Income generated by the project:</p> <ul style="list-style-type: none">i. shall be considered receipts for the participant when generated by actions undertaken in carrying out the project and from the sale of assets purchased under the grant agreement up to the value of the cost initially charged to the project by the participant;ii. shall <u>not</u> be considered a receipt for the participant when generated from the use of foreground resulting from the project. <p>The Community financial contribution may not have the purpose or effect of producing a profit for the participants. For this reason, the total requested EC funding plus receipts cannot exceed the total eligible costs.</p>
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Annex 4: Instructions for drafting "Part B" of the proposal

A description of the funding schemes is given in section 2. 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 Tables in annex 2 to this Guide). In these tables, Columns 1, 2 and 3 each correspond to an evaluation criterion along with sub-criteria for different funding schemes.

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

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

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

IMPORTANT: Page limits: remember to keep to the page limits where these are specified.

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

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

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

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

Section	Maximum pages
1. Scientific and/or technical quality	20 pages for whole section*
Concept and objectives	No specific limit
Progress beyond the state-of-the-art / Long-term integration / Contribution to high-quality research	No specific limit
S/T methodology and associated work plan / Joint programme of Activities / Quality & effectiveness of co-ordination / support mechanisms	1 page for section "Overall strategy" + optionally 2 pages for each work package description in table 4.1d
2. Implementation:	
Management structure and procedures	5 pages
Individual participants	1 page per participant
Consortium as a whole	No specific limit
Resources to be committed	2 pages
3. Impact	10 pages for whole section
4. Ethics Issues	No limit
5. Consideration of gender aspects	1 page

* This limit does not include the Gantt chart, the tables 4.1a-e, or the Pert diagram

Cover Page

- Proposal full title
- Proposal acronym
- Type of funding scheme

Choose one appropriate funding scheme from the list below:

<ul style="list-style-type: none"> • Collaborative Projects (CP): <ul style="list-style-type: none"> ○ Large-scale integrating (CP-IP) or ○ Small or medium-scale focused (CP-FP)
<ul style="list-style-type: none"> • Networks of Excellence (NoE)
<ul style="list-style-type: none"> • Coordination and Support Actions <ul style="list-style-type: none"> ○ Coordinating (CSA-CA) or ○ Supporting (CSA-SA)

- Work programme topics addressed

If more than one, indicate their order of importance to the project.

- Name of the coordinating person
- List of participants

Please use the table below. If necessary, you can add more rows:

Participant no. *	Participant organisation name	Country
1. (Coordinator)		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		

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

Table of Contents**Proposal**

Please read the instructions below for the funding scheme chosen by you for the proposal and prepare Part B accordingly.

All funding schemes are required to include descriptions under the titles of sections A4.1, A4.2 and A4.3 for which instructions are given below. Tables A4.1a → A4.1e can be used by all funding schemes.

(Maximum length for the whole of Section A4.1 of all funding schemes: 20 pages, this limit does not include the tables and diagrams. Other page limits are given in the instructions of the respective sections.)

A4.1 SCIENTIFIC AND/OR TECHNICAL QUALITY

(relevant to the topics addressed by the call)

A4.1.1 Collaborative Projects (CP): (A) Large-scale Integrating (CP-IP) or (B) Small/medium-scale Focused (CP-FP)

A qualitative distinction between large-scale integrated projects and small/medium-scale focused research projects is made along the following lines:

(A) Large-scale integrating projects:

- Set of defined, integrated, differentiated activities and covering a range of aspects, which can stand alone or can be used in combination.
- Tackling multiple issues directed to achieve specific deliverables.
- Large degree of autonomy of consortia both at work programme and partnership level.
- Updating and/or re-formulation of the work plan when appropriate.
- Appropriate level of project management.
- Innovation aspects covering protection, exploitation, dissemination of knowledge where appropriate.
- Socio-economic studies to evaluate the knowledge impact, where appropriate.
- Comprehensive training package contributing to the retention of competences and know-how in the sector in general.

(B) Small or medium-scale focused research projects:

- Targeted to specific objectives.
- Clear focus and approach at project level.
- Overall work plan clearly fixed for the whole project life.
- Major deliverables planned in detail.
- No changes expected in work plan and deliverables.
- Appropriate level project management.
- Management of the knowledge produced (protection, exploitation, dissemination).
- Targeted training package.

Concept and objectives

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

Describe in detail the S&T objectives. Show how they relate to the topics addressed by the call, which you should explicitly identify. The objectives should be those achievable within the project, not through subsequent development. They should be stated in a measurable and verifiable form, including through the milestones that will be indicated under 'S/T methodology and associated work plan' below.

Progress beyond the state-of-the-art

Describe the state-of-the-art in the area concerned, and the advance that the proposed project would bring about. If applicable, refer to the results of any patent search you might have carried out.

S/T methodology and associated work plan

A detailed work plan should be presented, broken down into work packages⁸ (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 4.2).

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 A4.1a);
 - Deliverables list (please use table A4.1b);
 - List of milestones (please use table A4.1c);
 - Description of each work package (please use table A4.1d);
 - Summary effort table (please use table A4.1e)

(Tables A4.1a to A4.1e are given at the end of section A4.1.4)

- iv) Provide a graphical presentation of the components showing their interdependencies (Pert diagram or similar)
- v) Describe any significant risks, and associated contingency plans.

Note:

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

⁸ A work package is a major sub-division of the proposed project with a verifiable end-point - normally a deliverable or an important milestone in the overall project.

A4.1.2 Networks of Excellence (NoE)

Concept and objectives

Explain the overall concept of your proposal, and in particular the key contributions that it offers to more rationally organise and structure European research in the area addressed. Explain how the Network would build on existing European excellence in your research area, and how it will foster and further promote this excellence.

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

Long-term integration

Indicate how the research domain addressed by your network will benefit from long term integration of the participants' activities and capacities, how the implementation of the Joint Programme of Activities will contribute to the creation of a "virtual centre of excellence", and how the Joint Programme of Activities entails for its implementation the combination and complementary use of a significant volume of resources from the partners.

The Joint Programme of Activities (JPA)

The Joint Programme of Activities comprises all activities carried out jointly by the participants. It should entail, for example, mutual access to infrastructure, equipment, material, data and knowledge; exchanges of researchers, managers and technicians; redesign of the research portfolios and the research priorities, and reallocation of the resources. It can also include joint training schemes and joint research projects. The JPA should be designed in a way that increases the number and the quality of the results produced, while optimising the use of the participants' capacities.

A detailed work plan should be presented, broken down into work packages⁹ (WPs) which should include consortium management and assessment of progress and results. (Please note that your overall approach to management will be described later, in section 4.2).

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 A4.1a);
 - Deliverables list (please use table A4.1b);
 - List of milestones (please use table A4.1c);
 - Description of each work package (please use table A4.1d);
 - Summary effort table (please use table A4.1e)

(Tables A4.1a to A4.1e are given at the end of section A4.1.4)

⁹ A work package is a major sub-division of the proposed project with a verifiable end-point - normally a deliverable or an important milestone in the overall project.

- iv) Provide a graphical presentation of the components showing their interdependencies (Pert diagram or similar)
- v) Describe any significant risks, and associated contingency plans.

Note:

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

A4.1.3 Coordination and Support Actions (Coordinating) (CSA-CA)

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 'Quality and effectiveness of the co-ordination mechanisms' below.

Contribution to the coordination of high quality research

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

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

A detailed work plan should be presented, broken down into work packages¹⁰ (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 4.2).

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 A4.1a);
 - Deliverables list (please use table A4.1b);
 - List of milestones (please use table A4.1c);
 - Description of each work package (please use table A4.1d)
 - Summary effort table (please use table A4.1e)

(Tables A4.1a to A4.1e are given at the end of section A4.1.4)

- (iv) Provide a graphical presentation of the components showing their interdependencies (Pert diagram or similar)
- (v) Describe any significant risks, and associated contingency plans

Note:

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

¹⁰ 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.

A4.1.4 Coordination and Support Actions (Supporting) (CSA-SA)

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 'Quality and effectiveness of the support action mechanisms' below.

Contribution to the coordination of high quality research

Indicate how the area addressed by the coordination project will benefit from the co-ordination (including networking) that you propose (*not necessary in case of Support Actions, unless relevant*)

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

A detailed work plan should be presented, broken down into work packages¹¹ (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 4.2).

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 A4.1a);
 - Deliverables list (please use table A4.1b);
 - List of milestones (please use table A4.1c)
 - Description of each work package (please use table A4.1d)
 - Summary effort table (please use table A4.1e)

(Tables A4.1a to A4.1e are given at the end of this section)

- (iv) Provide a graphical presentation of the components showing their interdependencies (Pert diagram or similar)
- (v) Describe any significant risks, and associated contingency plans

Note:

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

¹¹ 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 following Tables can be used by all funding schemes

Table A4.1 a: Work package list

Work package No ¹²	Work package title	Type of activity ¹³	Lead participant No ¹⁴	Person-months ¹⁵	Start month ¹⁶	End month
	TOTAL					

¹² Workpackage number: WP 1 – WP n.

¹³ Please indicate one activity per work package:

RTD = Research and technological development (Collaborative Projects and Networks of Excellence only, includes coordination of research); DEM = Demonstration (Collaborative Projects only); MGT = Management of the consortium; COORD = Coordination activities (CSA-CA only); SUPP = Support activities (CSA-SA only); OTHER = Other specific activities (including training), if applicable, including any activities to prepare for the dissemination and/or exploitation of project results.

¹⁴ Number of the participant leading the work in this work package.

¹⁵ The total number of person-months allocated to each work package.

¹⁶ Measured in months from the project start date (T₀ = month 1).

Table A4.1 b: Deliverables List

Del. no.¹⁷	Deliverable name	WP no.	Nature¹⁸	Dissemination level¹⁹	Delivery date²⁰

¹⁷ 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.

¹⁸ Please indicate the nature of the deliverable using one of the following codes:

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

¹⁹ 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).

²⁰ Measured in months from the project start date (T_0 = month 1).

Table A4.1 c: List of milestones

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

Milestone number	Milestone name	Work package(s) involved	Expected date ²¹	Means of verification²²

²¹ Measured in months from the project start date (month 1).

²² Show how you will confirm that the milestone has been attained. Refer to indicators if appropriate. For example: a laboratory prototype completed and running flawlessly; software released and validated by a user group; field survey complete and data quality validated.

Table A4.1 d: Work package description

For each work package:

Work package number		Start date or starting event					
Work package title							
Activity Type²³							
Participant number							
Participant short name							
Person-months per participant:							

Objectives

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

Deliverables (*brief description and month of delivery*)

²³Please indicate one activity per work package:

RTD = Research and technological development (including any activities to prepare for the dissemination and/or exploitation of project results, and coordination activities – only possible for Collaborative projects and Networks of Excellence); DEM = Demonstration (only possible for Collaborative projects); MGT = Management of the consortium; COORD = Coordination activities (for Coordination Actions); SUPP = Support activities (for Support Actions); OTHER = Other specific activities (including training), if applicable.

Table A4.1 e: Summary of staff effort

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

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

Instructions in Section A4.2 are applicable to all funding schemes

A4.2 IMPLEMENTATION

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.

In the case of a Network of Excellence, explain how the annual performance of this NoE will be monitored with respect to a) progress in integration; and b) continued excellence. Show how the outcome of the annual review will translate into dynamic planning of NoE activities and budget allocations.

(Maximum length for Section A4.2 (i): Five pages)

Individual participants

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

(Maximum length for Section A4.2 (ii): one page per participant. However, where two or more departments within an organisation have quite distinct roles within the proposal, one page per department is acceptable.)

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

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.

For collaborative projects, if appropriate, describe the industrial/commercial involvement to ensure exploitation of the results. For Networks of Excellence, demonstrate that the participants have made a mutual commitment towards a deep and durable integration continuing beyond the period of Community financial support (for example, by attaching letters of commitment from the executive bodies of the organisations).

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, explain in terms of the project's objectives why such funding would be essential or can be otherwise justified.

iii) Additional partners: If there are as-yet-unidentified participants in the project, the expected competences, the role of the potential participants and their integration into the running project should be described. **However, these as-yet-unidentified participants**

will not be counted in the minimum number of participants condition regarding the eligibility of the proposal.

(No maximum length applies to this section)

Resources to be committed

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

In addition to the costs indicated in Part A3 of the proposal, and the staff effort shown in section A4.1.3e above, please indicate any other major costs (e.g. equipment).

(Maximum length for Section A4.2 (iv) – two pages)

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

Instructions in Section A4.3 are applicable to all funding schemes except where indicated

A4.3 IMPACT

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.

In the case of a Network of Excellence, pay particular attention to the two major impact aspects characteristic for an NoE: durable integration and excellence of the research. Mention the steps that will be needed to bring about these impacts.

Spreading excellence, exploiting results, disseminating knowledge, and management of intellectual property

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

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

If appropriate, outline how you intend to engage with relevant stakeholders outside the network, how to recruit next generation researchers into the thematic area (e.g. through appropriate training measures), how to link up with any other relevant consortia and industry users, and how to use the media and the internet to engage the public at large etc.

If relevant (CP, NoE) describe also your plans for the management of knowledge (intellectual property) acquired in the course of the project.

(Maximum length for the whole of Section A4.3 – ten pages)

A4.4 ETHICS ISSUES

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

The following special issues should be taken into account:

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

Clinical Trials: Approvals from national competent authorities are required.

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

Use of animals: Where animals are used in research the application of the 3Rs (Replace, Reduce, Refine) must be convincingly addressed. Numbers of animals should be specified. Describe what happens to the animals after the research experiments. The use of animals requires permits and/or authorizations from the national competent authorities.

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

- the applicants should demonstrate that the project serves important research aims to advance scientific knowledge in basic research or to increase medical knowledge for the development of diagnostic, preventive or therapeutic methods to be applied to humans.
- the necessity to use hESC in order to achieve the scientific objectives set forth in the proposal. In particular, applicants must document that appropriate validated alternatives (in particular, stem cells from other sources or origins) are not suitable and/or available to achieve the expected goals of the proposal. This latter provision does not apply to research comparing hESC with other human stem cells.
- the applicants should take into account the legislation, regulations, ethics rules and/or codes of conduct in place in the country(ies) where the research using hESC is to take place, including the procedures for obtaining informed consent.
- the applicants should ensure that for all hESC lines to be used in the project were derived from embryo's
 - of which the donor(s)' express, written and informed consent was provided freely, in accordance with national legislation prior to the procurement of the cells;
 - that result from medically-assisted *in vitro* fertilisation designed to induce pregnancy, and were no longer to be used for that purpose;

- of which the measures to protect personal data and privacy of donor(s), including genetic data, are in place during the procurement and for any use thereafter. Researchers must accordingly present all data in such a way as to ensure donor anonymity;
- of which the conditions of donation are adequate, and namely that no pressure was put on the donor(s) at any stage, that no financial inducement was offered to donation for research at any stage and that the infertility treatment and research activities were kept appropriately separate

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

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

Note:

Only in exceptional cases will additional information be sought for clarification, which means that any ethics review will be performed solely on the basis of the information available in the proposal. Projects raising specific ethics issues such as research intervention on human beings²⁴; research on human embryos and human embryonic stem cells and non-human primates are automatically submitted for ethics review.

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

²⁴ Such as research and clinical trials involving invasive techniques on persons (e.g. taking of tissue samples, examinations of the brain).

ETHICS ISSUES TABLE

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

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

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

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

Research on Animals²⁵		YES	Page
	Does the proposed research involve research on animals?		
	Are those animals transgenic small laboratory animals?		
	Are those animals transgenic farm animals?		
*	Are those animals non-human primates?		
	Are those animals cloned farm animals?		
	I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL		

²⁵ The type of animals involved in the research that fall under the scope of the Commission's Ethical Scrutiny procedures are defined in the Council Directive 86/609/EEC of 24 November 1986 on the approximation of laws, regulations and administrative provisions of the Member States regarding the protection of animals used for experimental and other scientific purposes Official Journal L 358 , 18/12/1986 p. 0001 - 0028

Research Involving ICP Countries²⁶		YES	Page
	Is the proposed research (or parts of it) going to take place in one or more of the ICP Countries?		
	Is any material used in the research (e.g. personal data, animal and/or human tissue samples, genetic material, live animals, etc):		
	a) Collected in any of the ICP countries?		
	b) Exported to any other country (including ICPC and EU Member States)?		
	I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL		

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

²⁶ In accordance with Article 12(1) of the Rules for Participation in FP7, 'International Cooperation Partner Country (ICPC) means a third country which the Commission classifies as a low-income (L), lower-middle-income (LM) or upper-middle-income (UM) country. The list of countries is given in annex 1 of the work programme. Countries associated to the Seventh EC Framework Programme do not qualify as ICP Countries and therefore do not appear in this list [not of relevance for Euratom Framework Programme].

A4.5 Consideration of gender aspects

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

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

(Maximum length for section A4.5 – one page)