GUIDE FOR APPLICANTS
Information and Communication Technologies – ICT

Collaborative Projects
Small and medium-scale focused research projects (STREP)

FP7-ICT-2011-C
FET-Open Scheme

Further copies of this Guide, together with all information related to this Call for Proposals, can be downloaded from the following web-site (URI):
http://cordis.europa.eu/
About this Guide

This is version number V1.2 of the FP7 ICT Guide for Applicants for the FET-Open scheme, based on the Guide for Applicants version number 7 for calls, using continuous and two-stage submission procedures.

- The main part of this Guide (Sections 1-5) is common to all such calls. If it is revised during the course of FP7, the new Guide will be given a different version number and the changes will be indicated in this box.

- Information specific to this call is found in the annexes. Annex 3 “Instructions for completing Part A of the proposal” has been modified to include the details of the lump sum funding method for ICPC participants.

Please note: This Guide is based on the rules and conditions contained in the legal documents relating to FP7 (in particular the Seventh Framework Programme, Specific Programmes, Rules for Participation, and the Work programmes), all of which can be consulted via the CORDIS website. The Guide does not in itself have legal value, and thus does not supersede those documents.
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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. 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. Please note that project proposals addressing the objective ICT-2011.9.4, “International cooperation on FET research”, must be submitted directly as full Proposal, as they are evaluated in one step only.
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 Guide. Not only are there different Guides for different calls, there are different Guides for other funding schemes within the same call.

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

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

This Guide and the work programme are essential reading. However, you may also wish to consult other reference and background documents, particular those relating to negotiation and the grant agreements, which will be made available on the Commission’s CORDIS web site (see Annex 1 of this guide) and on the Participant Portal, whose URI is [http://ec.europa.eu/research/participants/portal](http://ec.europa.eu/research/participants/portal).

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

### 2. About the funding scheme: Collaborative projects (STREP)

#### 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 text.

This Guide covers the collaborative projects “Small and medium-scale focused research projects” (STREP), and a description is given in this section.

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

Note: Your proposal will be evaluated according to the funding scheme which you select. The Commission services will not re-examine or re-assign it on your behalf.

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\(^1\) In addition to the main domains of the “Cooperation” programme, the term “theme” is used in this guide to refer, as appropriate, to the parts of FP7 in “Capacities”.
2.2. **Collaborative projects STREP**

2.2.1. **Purpose**

Small and medium-scale focused research projects (STREP) are objective-driven research projects, which aim at generating new knowledge, including new technology, and that may include scientific coordination, demonstration activities or sharing common resources for research in order to improve European competitiveness, or to address major societal needs. They have clearly defined scientific and technological objectives directed at obtaining specific results, which could be applicable in terms of development or improvement of products, processes, services or policy.

STREP target a specific research objective in a sharply focused approach. They have a fixed overall work plan where the principal deliverables are not expected to change during the lifetime of the project.

2.2.2. **SICAs**

STREP may also be used to support a special form of international co-operation projects, the so-called Specific International Cooperation Actions (SICA) with ICPC countries in areas of mutual interest and dedicated to cooperation on topics selected on the basis of their scientific and technological competences and needs. These SICA have specific rules for participation.

2.2.3. **Size and resources**

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 of this Guide). The entities must be independent of each other.

For the SICA projects there must be at least four independent legal entities of which at least two must be established in different Member States or Associated countries and at least two must be established in different ICPC countries in the target regions defined in the objective for the project.

A higher number of participants may be specified on a call-by-call basis: check the call fiche.

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 theme to research theme and from topic to topic.

During FP6 the number of participants in STREP for the IST FET-Open scheme varied from 4 to 7 participants and the EC contribution varied between 1 and 2 M€, with an average around 1.8 M€.¹

2.2.4. **Indicative average duration**

STREP are expected to last typically two to three years. However, there is no formal minimum or maximum duration.

2.2.5. **Activities**

The activities to be carried out in the context of a STREP 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.

¹ Does not apply to project proposals submitted to Objective ICT-2011.9.4.
2.2.6. Financial Regime

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. Participants in International Cooperation Partner Countries (see Annex 1 to the work programme) may opt for a lump sum.

If so provided in the call text, 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 URI: [http://cordis.europa.eu/fp7/find-doc_en.html](http://cordis.europa.eu/fp7/find-doc_en.html)

2.2.7. Specific Characteristics

- The description of work (Annex 1 to the grant agreement) is normally fixed for the duration of the project.
- The composition of the consortium is normally fixed for the duration of the project.

3. How to apply

3.1. Turning your idea into an effective proposal

3.1.1. 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.

3.1.2. 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 the Annex 2 of this Guide, and the work programme, to check the **eligibility criteria** and any other special conditions that apply.

Refer also in those documents to the **evaluation criteria** against which your proposal will be assessed. Keep these in mind as you develop your proposal.

3.1.3. 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 schemes (See Section 2), and may also vary from call to call. See the call text for the conditions applicable to this call.

*The EU Member States are:*
The Associated Countries are:

Albania, Bosnia and Herzegovina, Croatia, Faroe Islands, FYR Macedonia, Iceland, Israel, Liechtenstein, Montenegro, Norway, Serbia, Switzerland and Turkey

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

The following may receive EU funding in an FP7 project:

- Any legal entity established in a Member State or an Associated country (including the European Commission’s Joint Research Centre), or created under Community law (e.g. a European Economic Interest Grouping),
- Any international European interest organisation (see Glossary),
- Any legal entity established in an FP7 International Cooperation Partner Country (ICPC). The list of ICPC can be found on the CORDIS web-site, and is given in Annex 1 to the work programme.
- Any other legal entity, under the conditions indicated below:

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

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

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

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

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 she/he must be appointed by the top management of the entity. The LEAR 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.

3.1.4. Cooperation with other countries

The Commission attaches great importance to international cooperation in research, and FP7 has been designed to ensure that such activities can be integrated across the programme. In addition to the opportunities mentioned above, which are generally applicable, calls may include:
Topics of mutual interest defined in the work programmes where international cooperation is particularly encouraged.

Specific international cooperation actions (SICA), also on topics of mutual interest. Here special minimum conditions apply.

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


3.1.5. National Contact Points

A network of National Contact Points (NCP) 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 (See Annex 1 to this Guide).

Please note that the Commission will give the NCP statistics and information on the outcome of the call (in particular, details of participants, but not proposal abstracts or funding details) and the outcome of the evaluation for each proposal. This information is supplied to support the NCP in their service role, and is given under strict conditions of confidentiality.

3.1.6. 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 questions related to research ethics issues.
- A dedicated help desk has been set up to deal with technical questions related to the Electronic Proposal Submission Service (EPSS).
- A further help desk providing assistance on intellectual property matters.
- Other services, including partner search facilities.

3.1.7. 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 proposal would be of assistance to the experts. An English translation of the abstract may be included in Part B of the proposal.

3.1.8. 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 using the Electronic Proposal Submission Service (EPSS) described in Section 3.2.2, Page 12.

**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 cov-
ers, among other things, the nature of the proposed work, the participants and their roles in the proposed pro-
ject, and the impacts that might be expected to arise from the proposed work.

For two-stage calls different templates might exist for the 1st and the 2nd stage proposals. When submitting a
proposal please make sure you use the appropriate template.

Only black and white copies are used for evaluation and you are strongly recommended, therefore, not to use
colour in your document. Do not insert hypertext links, only the text of your Part B will be read, not any doc-
uments linked to it.

Part B of the proposal is uploaded by the applicant into the Electronic Proposal Submission Service.

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 should keep your proposal within these limits. Information given on excess pages may1 be disregarded. Please note that the length of Part B of a project short proposal is an eligibility criteria.

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.

This call operates a continuous submission procedure. It is open for an extended peri-
od. Short proposals may be submitted at any time from the opening of the call until the
final closure date and are evaluated as they come in. If the short proposal is success-
ful, the proposers are invited to submit a full proposal by a specified cut-off date. This
cut-off date is determined by the submission date of the short proposal, as indicated in
the call text. Full proposals will be evaluated in batches after fixed cut-off dates.

3.1.9. 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 pro-
posals 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 re-
search will not prevent Community funding of subsequent steps involving human embryonic stem cells.

3.1.10. Risk-Sharing Finance Facility (RSFF)

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

1 The Commission does not impose upon itself the duty to edit proposals for length, but reserves the right to instruct the evaluators
to disregard excess pages.
2 Research relating to cancer treatment of the gonads can be financed.
The EIB will implement RSFF in close collaboration with all major EU national and regional banks within Member States and Associated Countries to FP7, which are providing support to the development of European companies. Financing through the RSFF can be sought either in addition to, or instead of FP7 grants.

For additional information on RSFF see:

- [http://ec.europa.eu/invest-in-research/funding/funding02_en.htm](http://ec.europa.eu/invest-in-research/funding/funding02_en.htm)

### 3.2. Proposal submission

#### 3.2.1. Two-stage and Continuous submission

In this call a two-stage continuous submission process is used. Proposals for STREP have to be submitted in two stages: first a short, strictly anonymous, proposal of maximum five pages is submitted describing the key objectives and motivation for the proposed work. Short proposals may be submitted at any time from the opening of the call until the final closure date (normally 12-03-2013). They are evaluated anonymously as they come in with the help of remote evaluators. Section 8.2 on Page 29 provides a list of eligibility criteria to be considered for STREP proposals.

If the short proposal is successful, the proposers are invited to submit a full proposal by a specified cut-off date. This cut-off date is determined by the submission date of the short proposal, as indicated in the call text.

The evaluation of full proposals is not anonymous and is carried out through a combination of remote evaluation and panels of experts that convene in Brussels. The objectives of the full proposal must be consistent and in accordance with the successful short proposal, extending it by providing full details about the approach, the specific work plan etc.

Further detail of the evaluation procedures applied is given in Annex 2 of this Guide.

#### 3.2.2. About the EPSS

Proposals must be submitted electronically, using the Commission’s Electronic Proposal Submission Service (EPSS). Proposals arriving at the Commission by any other means are regarded as “not submitted”, and will not be evaluated.\(^1\)

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 will be found in the “EPSS preparation and submission guide”, available from the EPSS entry page (click on “EPSS user guide”). The most important points are explained below.

#### 3.2.3. Use of the system by the proposal coordinator

As a coordinator you can:

- Register as interested in submitting a proposal to a particular call.

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\(^1\) In exceptional cases, when a proposal coordinator 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 may telephone the enquiry service if web access is not possible: 00 800 6 7 8 9 10 11 from Europe; or 32 2 299 96 96 from anywhere in the world. A postal or e-mail address will then be given to you. Such a request, which must clearly explain the circumstances of the case, must be received by the Commission no later than one month before the call deadline. The Commission will reply within five working days of receipt. If a derogation is granted, a proposal on paper may be submitted by mail, courier or hand delivery. The delivery address will be given in the derogation letter.
● 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.

3.2.4. 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.

3.2.5. Use of Participant Identification Codes (PIC)

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 3.1.3, Page 8). The names of LEAR 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 PIC – 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 LEAR and the use of PIC can be found in the FAQ of the Participant Portal (URI: https://ec.europa.eu/research/participants/portal) and on Cordis (URI: 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 at http://cordis.europa.eu/fp7/pp-lear_en.html.
3.2.6. 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, the coordinator must expressly submit it by pressing 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 may appear on the screen. If this happens, the 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).

For full proposals only (2nd stage of submission), 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.

When successfully submitted, the coordinator sees a message that indicates that the proposal has been received. This automatic message is not the official acknowledgement of receipt (See Section 5, Page 18). The coordinator may continue to modify the full proposal and submit revised versions overwriting the previous one right up until the cut-off date. The sequence above must be repeated each time.

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 all track changes, delete notes).

Check that your conversion software has successfully converted all pages of your original document (e.g. there is no problem with page limits).

Check that your conversion software has not cut down landscape pages to fit them into portrait format. Check that captions and labels have not been lost from your diagrams.

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

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

The EPSS will be closed for this call at the final 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.**

For full proposals only (2nd stage of submission), please note that you may submit successive drafts of your full proposal through the EPSS. Each successive submission overwrites the previous version. It is a good idea to submit a draft well before the cut-off date.

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 before a cut-off date, 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, on the Participant Portal and 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 have time to solve any problems.

3.2.8. Correcting or revising your proposal

Errors discovered in full proposals submitted to the EPSS can be rectified by simply submitting a corrected version. So long as the cut-off date or final call deadline has not yet passed, the new submission will overwrite the old one.

Once the cut-off date or final call deadline has passed, however, the Commission can accept no further additions, corrections or re-submissions.
The last version of your full proposal received before the cut-off date or final call deadline is the one which will be taken into consideration. No later version can be substituted, no earlier version can be recovered.

3.2.9. Ancillary material

Only a single PDF file comprising the complete Part B can be uploaded. Unless specified in the call, any hyper-links 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.

3.2.10. Withdrawing a proposal

You may withdraw a proposal before the cut-off date or final call deadline by submitting a revised version with an empty Part B section, with the following words entered in the abstract field of form A1:

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

If you wish to withdraw a proposal after the cut-off date or final call deadline, please contact the EPSS Helpdesk.

3.2.11. 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 management.

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 offence detrimental to EU financial interests. The data in CED are available to all public authorities implementing EU funds, i.e. European institutions, national agencies or authorities in Member States, and, subject to conditions for personal data protection, to third countries and international organisations.

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

More information on the EWS and CED can be found at the following URI: http://ec.europa.eu/budget/sound_fin_mgt/ews_en.htm.

4. Check list

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 call and funding scheme? Check that you have applied for the right call and one of the eligible funding schemes (see the work programme).
● **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 special eligibility criteria been set for this call? Check that you comply with any budgetary limits that may have been fixed on the requested EU contribution. Any proposal not meeting the eligibility requirements will be considered ineligible and will not be evaluated.

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

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

● **Does your proposal follow the required structure?** Proposals should be precise and concise, and must follow exactly the proposal structure described in this document (see Annex 4 to this Guide), which is designed to correspond to the evaluation criteria which will be applied. 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 to this Guide.

### 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?

● Is your Part B in Portable Document Format (PDF), including no material in other formats?

● Is your Part B file name made up of the letters A to Z, and numbers 0 to 9 without special characters or 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 cut-off date or the call deadline it will not be possible to replace your Part B file of your full proposal.**

● Have you respected the font size (11 point) and the page limitations for the different sections?

● Is your Part B file within the size limit of 10 Mbytes?

● Have you virus-checked your computer? The EPSS will automatically block the submission of any file containing a virus.

### 4.3. Importance of the cut-off dates

● Have you made yourself familiar with the EPSS in good time?
● Have you allowed time to submit a draft version of your full proposal well in advance of the cut-off date or call deadline (at least several days before), and then to continue to improve it with regular re-submissions?

● Have you completed the EPSS submission process for the latest version of your full proposal?

4.4. **Following submission**

● Information submitted to the EPSS remains encrypted on the Commission server until the cut-off dates for the full proposals, but it can still be viewed by the applicant.

● It is highly recommended that after uploading and submitting your final version, you then review what you have uploaded.

● You can revise and resubmit your full proposal up to cut-off date or call deadline.

5. **What happens next**

Shortly after the effective submission of your proposal 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 as “person in charge” on the A2 form of participant number 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 cut-off date or the call deadline, you should contact the FP7 Enquiry Service without further delay (see Annex 1 of this Guide). However, first please check that you are the person named in the proposal as contact person for partner number 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 deadline 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 of this Guide).

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

If your **short** proposal achieves at least the threshold scores applied to the evaluation criteria used in this first stage, you will be invited to prepare and submit a **full** proposal before a specified date. This **full** proposal, if eligible, will then be submitted to evaluation by independent experts.

Soon after the completion of the evaluation, the results will be finalised and all coordinators 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 the proposal.

In case your **short** proposal passes all thresholds, the ESR of the **short** proposal might include some recommendations of the independent experts that you might want to address in your **full** proposal. Should you receive an ESR following the submission of your **full** proposal, even if the experts viewed your full 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 its final list of full proposals for possible funding, taking account of the available budget.

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

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 refer to any recommendations which the experts may have made concerning modifications to the work presented in the proposal, as well as any recommendations arising from an ethical review of the proposal if one was carried out. The negotiations will also deal with gender equality actions, and, if applicable to the project, with gender aspects in the conduct of the planned work, as well as the relevant principles contained in the European Charter for researchers and the Code of Conduct for their recruitment. Where relevant, security aspects shall also be considered.

A description of the negotiation process is provided in the “FP7 Negotiation guidance notes” (available on CORDIS). Members of the proposal consortium may be invited to Brussels or Luxembourg to facilitate the negotiation.

For participants in negotiated proposals 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 any grant agreement can be signed. For these participants, the procedure of registration and validation is triggered by a self-registration using 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). Further details can be found in Section 3.2 of this Guide, on Page 12, on the Participant Portal http://ec.europa.eu/research/participants/urf and on Cordis http://cordis.europa.eu/fp7/pp_en.html.

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. She/he has access to the online database of legal entities with a possibility to view the data stored on her/his entity and to initiate updates and corrections to these data. The LEAR receives a Participant Identification Code (PIC) from the URF (See Page 26), and distributes this number within her/his organisation.

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.
6. 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 cut-off date or deadline of the call that a proposal has been successfully submitted (but not that it is necessarily eligible). Contact the FP7 Enquiry service urgently if you do not receive such an acknowledgement within a few days of the cut-off date or close of the call.

**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 text**

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 Portals 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 discussion**

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. She or he 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. Full proposals are evaluated in batches after each cut-off date.

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.

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 3760 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 cut-off date or deadline of the call, minimum participation, completeness and scope. However, additional eligibility criteria may apply to certain calls, and applicants should check the work programme, and Annex 2 of 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 projects.

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 transmitted 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

The letter sent by the Commission to applicants shortly after the evaluation by experts, which includes the 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.

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. She/he has access to the online database of legal entities with a possibility to view the data stored on her/his 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 her/his 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 have the choice between being reimbursed on the basis of eligible costs or on the basis of lump-sums. This choice can be made up to the moment of the signature of the grant agreement (whatever the final option chosen, the maximum EC contribution for the project remains unchanged). Once made, it will apply during the whole duration of the agreement 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.

Milestones

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

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). Possession of a PIC will enable organisations to take advantage of the Unique Registration Facility (see Page 26), and to identify themselves in all transactions related to FP7 proposals and grants. An online tool to search for existing PIC and the related organisations is available at the URI 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 life cycle, 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.

Redress procedure
The initial information letter will indicate an address if an applicant wishes to submit a request for redress, if she or he 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.

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 SME. 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.
Thresholds

For a proposal to be considered for funding, the evaluation scores for individual criteria must exceed certain thresholds.

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.

Unique Registration Facility (URF)

A system that will allow organisations who intend to submit on several occasions to register their details once and for all, obviating the need to provide the same information with each submission. The Web interface of the URF is found at the URI 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.

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.
7. Annex 1: Timetable and specific information for this call

7.1. Timetable

The *ICT 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 and Participant Portal call pages. You must consult this document.

- **Indicative timetable for Call FP7-ICT-2011-C**

<table>
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<th>Event</th>
<th>Timeline</th>
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<tr>
<td>Publication of call</td>
<td>20\textsuperscript{th} July 2010</td>
</tr>
<tr>
<td>Deadline for submission of proposals</td>
<td>12\textsuperscript{th} March 2013 at 17:00 Brussels time</td>
</tr>
<tr>
<td>Evaluation Summary Reports sent to proposal coordinators</td>
<td>Within 3 months of proposal reception (short STREP) or cut-off date (full STREP)</td>
</tr>
<tr>
<td>Evaluation of proposals</td>
<td>Starting on 4\textsuperscript{th} August 2010</td>
</tr>
<tr>
<td>Signature of first grant agreements</td>
<td>August 2011 – September 2011</td>
</tr>
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</table>

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<th>Short STREP proposals end date submission period</th>
<th>full STREP and CSA cut-off date (at 17:00 Brussels time)</th>
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<td>11-09-2012</td>
<td>12-03-2013</td>
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7.2. 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.

7.2.1. Call information

<table>
<thead>
<tr>
<th>Source</th>
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<tr>
<td>Participant Portal</td>
<td><a href="http://ec.europa.eu/research/participants/portal/">http://ec.europa.eu/research/participants/portal/</a> (select the tab “FP7 calls”)</td>
</tr>
</tbody>
</table>

7.2.2. General sources of help

<table>
<thead>
<tr>
<th>Source</th>
<th>Link</th>
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<tbody>
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<td>FP7 Research enquiries service</td>
<td><a href="http://ec.europa.eu/research/enquiries">http://ec.europa.eu/research/enquiries</a></td>
</tr>
</tbody>
</table>
7.2.3. FP7/ICT Support projects

| Idealist partner search project | http://www.ideal-ist.net |
| IPR Help Desk | http://www.ipr-helpdesk.org/index.html |

7.2.4. Legal documents generally applicable

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


7.2.5. Contractual information

- Consortium agreement checklist
- Guidelines for negotiation
- Financial guidelines
- Model Grant agreement


7.3. Pre-proposal check

The Commission offers a facility to allow an applicant to check on the appropriateness of their proposed action and the eligibility of the proposal consortium. Simply contact the coordinator of the FET-Open scheme (see [http://cordis.europa.eu/fp7/ict/fet-open/home_en.html](http://cordis.europa.eu/fp7/ict/fet-open/home_en.html)).

The advice given by the Commission is strictly informal and non-binding. The advice provided through the pre-proposal check does not in any way engage the Commission with respect to acceptance or rejection of the proposal when it is formally submitted at a later stage. The evaluators who later evaluate your proposal will not be informed of the results of the pre-proposal check, nor even that a pre-proposal check was carried out. The pre-proposal service is not intended to assist with the identification of possible partners for your consortium.

This pre-proposal assessment service is entirely optional. Any proposal can always be submitted directly to the call without a pre-proposal check.
8. Annex 2: Evaluation criteria and procedures to be applied to STREP proposals for this call

8.1. General

All eligible proposals are evaluated by independent experts.

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

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

In addition, one or more independent experts will be appointed by the Commission to observe the evaluation process from the point of view of its working and execution. The role of the observers 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.

8.2. 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 text or before the specified cut-off date in the case of a full proposal.
- It involves at least the minimum number of participants given in the call text.
- It is complete (i.e. both the requested administrative forms and the proposal description are present).
- The content of the proposal relates to the topics and funding schemes, including any special conditions, set out in the relevant parts of the work programme.
- A STREP proposal (2nd stage) can only be submitted upon invitation following the successful evaluation of the corresponding 1st stage STREP proposal.
- Part B of the short STREP proposal must be strictly anonymous, which means that there must be neither name of the organisations involved in the consortium nor any other information that could identify the applicants. Furthermore, strictly no bibliographic references are allowed in the proposal.
- Part B of the short STREP proposal must not exceed 5 pages excluding the title page.

Proposal in which the Part B PDF file has been password protected or for which printing has been disabled will be considered as failing the eligibility conditions under the third bullet point.

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

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

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

- An appropriate balance between academic and industrial expertise and users;
- A reasonable gender balance;

1 Rules for submission of proposals, and the related evaluation, selection and award procedures (posted on CORDIS).
● A reasonable distribution of geographical origins;
● Regular rotation of experts

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

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

8.3. The stages of evaluation

STREP proposals in the FET-Open scheme are submitted in a two stage procedure: first a short anonymous proposal is submitted and if this short proposal is successful, applicants are invited to submit a full proposal. Section 8.2 on Page 29 provides a list of eligibility criteria to be considered for STREP proposals.

Conflicts of interest: Under the terms of their 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.

8.3.1. Short proposals

Before beginning of the evaluation, experts will be briefed on the evaluation procedure, the experts’ responsibilities, the issues involved in the particular area/objective, and other relevant material, including the integration of the international cooperation dimension.

Each proposal will first be assessed by at least three experts.

The short proposal will be evaluated against the following pre-determined evaluation criteria:

| Evaluation criteria applicable to Collaborative project proposals (short STREP) |
|--------------------------------------------------|-----------------|------------------|
| **S/T QUALITY** | **IMPLEMENTATION** | **IMPACT** |
| “Scientific and/or technological excellence” (relevant to the topics addressed by the call) | “Quality and efficiency of the implementation and the management” | “Potential impact through the development, dissemination and use of project results” |
| ● Clarity of targeted breakthrough and its relevance towards a long-term vision. | Not applicable to short STREP. | Not applicable to short STREP. |
| ● Novelty and foundational character. | | |
| ● Plausibility of the S/T approach. | | |
| **Threshold: 4/5** | | |
| NO OVERALL THRESHOLD | | |

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

The **relevance** of a proposal will be considered in relation to the topics 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 topics of the call, or if only part of the proposal addresses the topics, this condition will be reflected in the scoring of the first criterion. Proposals that are clearly not relevant to a call (“out of scope”) will be rejected on eligibility grounds.

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

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

<table>
<thead>
<tr>
<th>Score</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>The proposal fails to address the criterion under examination or cannot be judged due to missing or incomplete information.</td>
</tr>
<tr>
<td>1</td>
<td>Poor</td>
</tr>
<tr>
<td>2</td>
<td>Fair</td>
</tr>
<tr>
<td>3</td>
<td>Good</td>
</tr>
<tr>
<td>4</td>
<td>Very good</td>
</tr>
<tr>
<td>5</td>
<td>Excellent</td>
</tr>
</tbody>
</table>

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

**8.3.1.1. Remote individual evaluation of short proposals**

**Short** proposals will be evaluated on the premises of the experts concerned (“remotely”). The remote evaluators will be sent the **anonymous** Part B of the proposal.

Each proposal will first be assessed independently by three or more experts, chosen by the Commission from the pool of experts taking part in this evaluation. 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. The opinion expressed for each of the evaluation criteria should be factual and justify the assessment. The scores should be in line with the comment. Recommendations for improvements to be considered in the preparation of the **full** proposal can be given, if the **short** proposal is successful.

The experts will also indicate whether, in their view, the proposal deals with sensitive **ethical issues**. The comments on the potential ethical issues raised might serve as a guideline to the applicants on ethical issues that might need attention in the **full** proposal.

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1 Section 8.2 on Page 29 provides a list of eligibility criteria to be considered for STREP proposals.
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 general 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.

### 8.3.1.2. Synthesis of remote evaluator report – Consensus finding

Once all the experts to whom a proposal has been assigned have completed their IER, the evaluation progresses to a consensus assessment, representing their common views. This entails a consensus meeting or an electronic forum 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 will prepare a draft *Consensus Report* (CR) which will be sent to the evaluators for comments and signature. 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 and ethics if necessary.

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.

**Outcome of consensus:** The outcome of the consensus step is the *Consensus Report* (CR). 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 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.

**Ethical issues (above threshold proposals):** If one or more experts have noted that there are ethical issues touched on by the proposal, the relevant box on the consensus report (CR) will be ticked stating the nature of the ethical issues.

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 in FP7, the moderator may give the experts the previous evaluation summary report following 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.

### 8.3.1.3. Evaluation results

Based on the above, the Commission services will prepare the *Evaluation Summary Report* (ESR) and send them out to each proposal co-ordinator giving the results of the evaluation of their proposal. All proposals that passed all thresholds will be invited to submit a full proposal by a specific cut-off date determined by the submission date of the short proposal (see Call text or Workprogramme).

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1 Exceptionally for this issue, no consensus is required.
Unsuccessful proposers will receive formal notification of a Commission decision not to retain their proposal at a later stage (such decisions will be batched every 3 to 4 months).

8.3.2. Full proposals

Proposals that are received by a given cut-off date are evaluated at a session that is normally organised within a month of that cut-off date. In a first step the individual evaluations are carried out remotely so that top-level expertise can be accessed in the very broad scientific and technical areas covered by FET-Open. In the second step, evaluators in Brussels draft a synthesis of the individual evaluations, discuss the syntheses and scores and compare the proposals in a series of panel meetings.

At the beginning the evaluation, experts will be briefed on the evaluation procedure, the experts’ responsibilities, the issues involved in the particular area/objective, and other relevant material, including the integration of the international cooperation dimension.

Each proposal will first be assessed independently by at least three experts.

The proposal will be evaluated against the following pre-determined evaluation criteria:

<table>
<thead>
<tr>
<th><strong>Evaluation criteria applicable to</strong></th>
<th><strong>Collaborative project proposals (full STREP)</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>S/T QUALITY</strong></td>
<td><strong>IMPLEMENTATION</strong></td>
</tr>
<tr>
<td>“scientific and/or technological</td>
<td>“Quality and efficiency of the</td>
</tr>
<tr>
<td>excellence” (relevant to the topics</td>
<td>implementation and the management”</td>
</tr>
<tr>
<td>addressed by the call)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>● Clarity of targeted breakthrough and its</td>
</tr>
<tr>
<td></td>
<td>relevance towards a long-term vision.</td>
</tr>
<tr>
<td></td>
<td>● Novelty and foundational character.</td>
</tr>
<tr>
<td></td>
<td>● Specific contribution to progress in science</td>
</tr>
<tr>
<td></td>
<td>and technology.</td>
</tr>
<tr>
<td></td>
<td>● Quality and effectiveness of the S/T</td>
</tr>
<tr>
<td></td>
<td>methodology.</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>Threshold: 4/5</td>
<td>Threshold: 3/5</td>
</tr>
<tr>
<td>Weight: 50%</td>
<td>Weight: 20%</td>
</tr>
</tbody>
</table>

**NO OVERALL THRESHOLD**

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

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

Each criterion will be scored out of 5. Half marks can be given. The scores indicate the following with respect to the criterion under examination:

<table>
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</table>

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

**8.3.2.1. Remote individual evaluation of full proposals**

Each proposal will first be assessed independently by three or more experts, chosen by the Commission from the pool of experts taking part in this evaluation. 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. The opinion expressed for each of the evaluation criteria should be factual and justify the assessment. The scores should be in line with the comment. Recommendations for improvements to be discussed as part of a possible negotiation phase will be given, if needed.

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

Signature of the 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 general 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.

**8.3.2.2. Synthesis of remote evaluator report**

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

The synthesis of the IER reports will be carried out by evaluators convened to an evaluation session in Brussels. The evaluation sessions will be organised in a number of parallel thematic panels. Each evaluator will be assigned a number of proposals for which he is the proposal rapporteur. The rapporteur will typically not
be chosen from among the remote evaluators employed to assess a particular proposal. The rapporteur will be given the full proposal under evaluation and the remote evaluators’ reports (IER forms).

On the basis of this material the rapporteur will produce a draft Consensus Report form (CR) where scores, conclusions and recommendations are recorded. While the rapporteur must base their scores and comments on the remote evaluators’ reports, they are given the flexibility to exercise judgement and make critical synthesis of the information available. Scores should not be obtained by simple averaging scores from remote evaluators’ reports but by a judicious synthesis. In case of strongly diverging remote evaluator reports the rapporteur should justify the scores chosen. The rapporteur may also request that an additional expert acts as an individual evaluator.

8.3.2.3. **Panel meetings**

According to the number and topic of proposals received, the evaluation session is organised in parallel thematic panels each of which is composed of the proposal rapporteurs. A panel rapporteur is assigned whose main tasks are to report at the consolidation panel meeting and to provide input to the panel report.

Before panel meetings evaluators familiarise themselves with all proposals to be discussed. For this they are provided with the abstracts (form A1) of all the proposals. They may also access the proposals themselves as well as the individual evaluator reports (IER forms).

Proposal rapporteurs will be expected to briefly present each proposal to the panel and to justify the scores given. The panel will review the scores and opinions given by the rapporteurs in view of finalising the CR. This serves both to bring together the weight of the whole panel’s experience and expertise for the evaluation of all proposals, and also to ensure that the same standard of scoring is applied to each.

All proposals passing all thresholds will then be ordered according to scores.

**Ethical issues (above threshold proposals):** If one or more experts have noted that there are ethical issues touched on by the proposal, and the proposal is considered to be above threshold, the relevant box on the consensus report (CR) will be ticked and an Ethical Issues Report (EIR) completed, stating the nature of the ethical issues. The EIR will be signed by the Commission moderator and one member of the consensus group (normally, the proposal rapporteur).

Each proposal rapporteur completes the Consensus meeting minute form (CMM) as a record of the panel discussion on a particular proposal. CMM contains justifications for the choices made, any dissenting views from panel members, as well as salient points to be taken into account in a possible contract negotiations.

Forms CR, CMM and EIR (if used) are signed as a minimum by the proposal rapporteur and the Commission Moderator.

The panel 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 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 in FP7, the moderator may give 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.
8.3.2.4. **Consolidation Panel meeting**

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 panel comprises experts involved at the consensus step with the experts who reviewed the other proposals in the area.

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

The tasks of the panel will also include:

- Resolving cases where a minority view was recorded in the consensus report,
- Recommending a priority order for proposals with the same score and
- Making recommendations on possible clustering or combination of proposals.

The panel is chaired by the Commission. The Commission will ensure fair and equal treatment of the proposals in the panel discussions. A panel rapporteur will be appointed to draft the panel’s advice. A ranked list will be drawn up for every indicative budget as shown in the call text. The panel can deal with one or more ranked lists for the proposals under evaluation, following the scoring systems indicated above.

8.3.2.5. **Priority order for proposals with the same score**

As part of the evaluation by independent experts, a panel review will recommend one or more ranked lists for the proposals under evaluation, following the scoring systems indicated above. A ranked list will be drawn up for every indicative budget shown in the call text.

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 text. 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:

1. Proposals will be prioritised according to the scores they have been awarded for the criterion “Scientific and/or Technological excellence”.
2. When these scores are equal, priority will be based on scores for the criterion “Impact”.
3. 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.

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

- An *Evaluation Summary Report* (ESR) for each proposal, including, where relevant, a report of any ethical issues raised;
- 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;
- A summary of the deliberations of the panel.

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

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

A copy of the Evaluation Summary Report will be sent to each proposal coordinator.
8.3.2.6. Ethical 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 populations 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.

For additional information on the Ethics Review procedure see the URI http://ec.europa.eu/research/science-society/index.cfm?fuseaction=public.topic&id=73

Proposals in this call must be submitted electronically, using the Commission’s Electronic Proposal Submission System (EPSS). The procedure is summarised in Section 3, Page 8 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 4A/4B).

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

Please note:

- The coordinator fills in the 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, if any, do not fill in a Section A2 and are not listed separately in Section A3. They are described in Part B.

When you complete Section A3, please make sure that:

- Numbers are always rounded to the nearest whole number.
- You have inserted zeros (“0”) where there are no costs, or funding figures. **Leaving cells empty will block the submission of your proposal.**
- All costs are given in Euros, not in thousands of Euros.
- Costs do not include Value Added Tax.

**STREPs in the ICT Theme do not include a cost category “Other”.**

**Dissemination activities (normally foreseen in a STREP project) may be classified under “Management”.**

**Activities such as IPR protection or the preparation of an exploitation plan may be classified under “Management”.**

**Activities such as training, coordination or the commercial exploitation of results should not be included in a STREP project.**

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

#### Section A1: Summary

<table>
<thead>
<tr>
<th><strong>Proposal Acronym</strong></th>
<th>The short title or acronym will be used to identify your proposal efficiently in this call. It should be of <strong>no more than 20 characters</strong> (use standard alphabet and numbers only; no symbols or special characters please). The same acronym should appear on each page of Part B of your proposal.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Collaborative Projects</strong></td>
<td>For each type of Collaborative Projects, please refer to the work programme.</td>
</tr>
<tr>
<td><strong>Proposal Title</strong></td>
<td>The title should be <strong>no longer than 200 characters</strong> and should be understandable to the non-specialist in your field.</td>
</tr>
<tr>
<td><strong>Duration in months</strong></td>
<td>Insert the estimated duration of the project in full months.</td>
</tr>
<tr>
<td><strong>Call (part) identifier</strong></td>
<td>The call identifier is the reference number given in the call or part of the call you are addressing, as indicated in the publication of the call in the Official Journal of the European Union, and on the CORDIS call page or Participant Portal web page. The call identifier should be: FP7-ICT-2011-C. The call identifier is pre-filled in the forms from the EPSS. If you do not have the identifier FP7-ICT-2011-C in the context of a FET-Open proposal submission, you have registered for a wrong call. Discard the registration and register again.</td>
</tr>
<tr>
<td><strong>Topic code(s) most relevant to your proposal</strong></td>
<td>Please refer to the topic codes /objectives listed in the work programme call text. All activities and topics of FP7 have been assigned unique codes, which are used in the processing of data on proposals and subsequent contracts. The codes are organised hierarchically. The choice of the first topic code will be limited in the drop-down menu to one of the topics open in this call. Select the code corresponding to the topic most relevant to your proposal. The choice for the second code is also limited to topics open in the call in question. Enter a second code if your proposal also addresses another of these. Select ‘none’ if this is not the case. Select a third code if your proposal is also relevant to another theme. This time, the available codes will simply correspond to broad themes. Select ‘none’ if this is not the case.</td>
</tr>
<tr>
<td><strong>Free Keywords</strong></td>
<td>Please enter a number of keywords that you consider sufficient to characterise the scope of your proposal. There is a <strong>limit of 100 characters</strong>.</td>
</tr>
<tr>
<td><strong>Abstract</strong></td>
<td>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. <strong>If the proposal is written in a language other than English, please include an English version of the proposal abstract in Part B.</strong> There is a <strong>limit of 2000 characters</strong>. Exceeding this limit may block the submission of your proposal.</td>
</tr>
<tr>
<td>Similar proposals or signed contracts</td>
<td>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.</td>
</tr>
</tbody>
</table>
### Section A2/ Participants

<table>
<thead>
<tr>
<th>Participant number</th>
<th>The number allocated by the consortium to the participant for this proposal. The <em>coordinator</em> of a proposal is always <em>number one</em>.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Participant Identify Code</strong></td>
<td>The Participant Identification Code (PIC) enables organisations to take advantage of the Unique Registration Facility. 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 <a href="http://ec.europa.eu/research/participants/urf">http://ec.europa.eu/research/participants/urf</a>. Organisations not yet having a PIC are strongly encouraged to self-register (at <a href="http://ec.europa.eu/research/participants/urf">http://ec.europa.eu/research/participants/urf</a>) before submitting the proposal and insert in Section A2 the temporary PIC received at the end of the self-registration.</td>
</tr>
<tr>
<td><strong>Legal name</strong></td>
<td><strong>For Public Law Body</strong>, 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; <strong>For Private Law Body</strong>, it is the name under which your organisation is registered in the national Official Journal (or equivalent) or in the national company register. <strong>For a natural person</strong>, it is for e.g. Mr Adam JOHNSON, Mrs Anna KUZARA, and Ms Alicia DUPONT.</td>
</tr>
<tr>
<td><strong>Organisation Short Name</strong></td>
<td>Choose an abbreviation of your Organisation Legal Name, only for use in this proposal and in all relating documents. This short name should <strong>not be more than 20 characters</strong> 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.</td>
</tr>
<tr>
<td><strong>Legal address</strong></td>
<td>For Public and Private Law Bodies, it is the address of the entity’s Head Office. For Individuals it is the Official Address. If your address is specified by an indicator of location other than a street name and number, please insert this instead under the “street name” field and “N/A” under the “number” field.</td>
</tr>
<tr>
<td><strong>Non-profit organisation</strong></td>
<td>Non-profit organisation is a legal entity qualified as such when it is recognised by national or, international law.</td>
</tr>
<tr>
<td><strong>Public body</strong></td>
<td>Public body means any legal entity established as such by national law, and international organisations.</td>
</tr>
<tr>
<td><strong>Research organisation</strong></td>
<td>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.</td>
</tr>
<tr>
<td><strong>NACE code</strong></td>
<td>NACE means “Nomenclature des Activités économiques dans la Communauté Européenne”. Please select one activity from the list that best describes your professional and economic ventures. If you are involved in more than one economic activity, please select the one activity that is most relevant in the context of your contribution to the proposed project. For more information on the methodology, structure and full content of NACE (rev. 1.1) classification please consult EUROSTAT at: <a href="http://ec.europa.eu/eurostat/ramon/nomenclatures/index.cfm?TargetUrl=LST_CLS_DLD&amp;StrNom=NACE_1_1&amp;StrLanguageCode=EN&amp;StrLayoutCode=HIERARCHIC">http://ec.europa.eu/eurostat/ramon/nomenclatures/index.cfm?TargetUrl=LST_CLS_DLD&amp;StrNom=NACE_1_1&amp;StrLanguageCode=EN&amp;StrLayoutCode=HIERARCHIC</a></td>
</tr>
</tbody>
</table>
# Section A2/ Participants

## Small and Medium-Sized Enterprises (SMEs)

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](http://ec.europa.eu/enterprise/enterprise_policy/sme_definition/index_en.htm).

To find out if your organisation corresponds to the definition of an SME you can use the on-line tool at [http://ec.europa.eu/research/sme-techweb/index_en.cfm](http://ec.europa.eu/research/sme-techweb/index_en.cfm).

## Dependencies with (an) other participant(s)

Two participants (legal entities) are dependent on each other where there is a controlling relationship between them:

- A legal entity is under the same direct or indirect control as another legal entity (*SG*);
- A legal entity directly or indirectly controls another legal entity (*CLS*);
- A legal entity is directly or indirectly controlled by another legal entity (*CLB*).

**Control:** Legal entity A controls legal entity B if:

- A, directly or indirectly, holds more than 50% of the nominal value of the issued share capital or a majority of the voting rights of the shareholders or associates of B,
- A, directly or indirectly, holds in fact or in law the decision-making powers in B.

The following relationships between legal entities shall not in themselves be deemed to constitute controlling relationships:

(a) the same public investment corporation, institutional investor or venture-capital company has a direct or indirect holding of more than 50% of the nominal value of the issued share capital or a majority of voting rights of the shareholders or associates;

(b) the legal entities concerned are owned or supervised by the same public body.

## Character of dependence

According to the explanation above 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:

- **SG:** Same group: if your organisation and the other participant are controlled by the same third party;
- **CLS:** Controls: if your organisation controls the other participant;
- **CLB:** Controlled by: if your organisation is controlled by the other participant.

## Contact point

It is the main scientist or team leader in charge of the proposal for the participant. For participant number 1 (the coordinator), this will be the person the Commission will contact concerning this proposal (e.g. for additional information, invitation to hearings, sending of evaluation results, convocation to negotiations).

## Title

Please choose one of the following: Prof., Dr., Mr., Mrs., Ms.

## Sex

This information is required for statistical and mailing purposes. Indicate F or M as appropriate.

## Phone and fax numbers

Please insert the full numbers including country and city/area code. Example +32-2-2991111.
**Section A3/Budget**

<table>
<thead>
<tr>
<th>Indirect Costs</th>
<th>Summary description (as displayed on EPSS)</th>
</tr>
</thead>
<tbody>
<tr>
<td>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.</td>
<td>• 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 <strong>actual indirect costs</strong> (or choose the 20% flat rate option referred to below).</td>
</tr>
<tr>
<td></td>
<td>• For the purpose of calculating the actual indirect costs, a participant is allowed to use a <strong>simplified method</strong> of calculation of its full indirect eligible costs.</td>
</tr>
<tr>
<td></td>
<td>• Optionally, participants may opt for a <strong>flat rate</strong> for indirect costs of 20% of the direct costs (minus subcontracting and third party costs not incurred on the premises of the participant).</td>
</tr>
<tr>
<td></td>
<td>• A specific <strong>flat rate of 60%</strong> of the direct costs is foreseen for <strong>non-profit public bodies, secondary and higher education establishments, research organisations and SMEs</strong> which are unable to identify with certainty their real indirect costs for the project.</td>
</tr>
<tr>
<td></td>
<td>• For Coordination and Support actions, whichever method is used, the reimbursement of indirect eligible costs may not exceed 7% of the direct eligible costs, excluding the direct eligible costs for subcontracting and the costs of reimbursement of resources made available by third parties which are not used on the premises of the participant.</td>
</tr>
</tbody>
</table>

**Further guidance**

In FP7 all departments, faculties or institutes which are part of the same legal entity must use the same system of cost calculation (unless a special clause foreseeing a derogation for a particular department/institute is included in the grant agreement). Under FP7, there are no cost reporting models.

1. Participants which have an analytical accounting system that can identify and group their indirect costs (pool of costs) in accordance with the eligibility criteria (e.g. exclude non-eligible costs) must report their **actual indirect costs** (or choose the 20% flat rate option under 2. below). This method is the same as the “full cost” model used in previous Framework Programmes.

For the purpose of calculating the actual indirect costs, a participant is allowed to use a **simplified method** of calculation of its full indirect eligible costs. The simplified method is a way of declaring indirect costs which applies to organisations which do not aggregate their indirect costs at a detailed level (centre, department), but can aggregate their indirect costs **at the level of the legal entity**.

The simplified method can be used if the organisation does not have an accounting system with a detailed cost allocation. The method has to be in accordance with their usual accounting and management principles and practices; it does not involve necessarily the introduction of a new method just for FP7 purposes. Participants are allowed to use it, provided this simplified approach is based on actual costs derived from the financial accounts of the last closed accounting year.

There is no “standard model”; each legal entity will use its own system. The minimum requirements for it to be considered a simplified method for FP7 purposes are the following:

- the system must allow the participant to identify and remove its direct ineligible...
Section A3/Budget

- costs (VAT, etc.);
- it must at least allow for the allocation of the overheads at the level of the legal entity to the individual projects by using a fair “driver” (e.g. total productive hours);
- the system applied and the costs declared according to it should follow the normal accounting principles and practices of the participant. Therefore, if the system used by a participant is more “refined” than the “minimum” requirements mentioned here, it is that system which should be used when declaring costs.

Example: if a participant's accounting system distinguishes between different overheads rates according to the type of activity (research, teaching...), then the overheads declared in an FP7 grant agreement should follow this practice and refer only to the concerned activities (research, demonstration...)

The simplified method does not require previous registration or certification by the Commission.

2. Optionally, participants may opt to declare their actual direct costs plus a flat rate for indirect costs of 20% of the direct costs (minus subcontracting and third party costs not incurred on the premises of the participant). This flat rate is open to any participant whatever the accounting system it uses. Accordingly, when this option is chosen, there is no need for certification of the indirect costs, only of the direct ones.

3. Also, a specific flat rate is foreseen for certain types of organisations. The use of this flat rate is subject to three cumulative conditions:

(i) Status of the organisation

The flat rate is reserved to:
- non-profit public bodies
- secondary and higher education establishments
- research organisations
- SMEs

(ii) Accounting system of the organisation

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.

Example: A University, which in FP6 has used the “additional cost” basis because its accounting system did not allow for the share of their direct and indirect costs to the project to be distinguished may under FP7:
- either opt for the 60% flat rate, or
- introduce a cost accounting system "simplified method" by which a basic allocation per project of the overhead costs of the legal entity will be established, or

Following this, an organisation which used the “full cost” model under the Sixth Framework Programme is presumed to be in a situation to be able to identify the real indirect costs and allocate them to the projects. Accordingly, this organisation would not in principle be able to opt for the 60% flat rate for FP7.

An organisation which can identify the real indirect costs but does not have a system to allocate these indirect costs can opt for this 60% flat rate. The choice of this specific flat
rate lies within the responsibility of the participant. If a subsequent audit shows that the above-mentioned cumulative conditions are not fulfilled, all projects where this participant is involved might be reviewed.

(iii) Type of funding scheme

The flat rate is reserved to funding schemes which include research and technological development and demonstration activities: Network of Excellence and Collaborative projects (including research for the benefit of specific groups – in particular SMEs). The basis for the calculation of the flat rate excludes the costs for subcontracting and the costs of resources made available by third parties which are not used on the premises of the participant because in these two cases, the indirect costs are not incurred by the participant but by the subcontractor or the third party. When a participant opts for the specific flat rate of 60\% for its first participation under FP7 it can opt afterwards for the actual indirect costs system for subsequent participations. This change does not affect previous grant agreement. After this change, this organisation cannot opt again for a flat rate system (either 60\% or 20\% flat rate).

<table>
<thead>
<tr>
<th>Indirect Costs - Decision Tree</th>
</tr>
</thead>
<tbody>
<tr>
<td>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.</td>
</tr>
<tr>
<td><strong>YES</strong></td>
</tr>
<tr>
<td>Real indirect costs or costs calculated using a simplified method</td>
</tr>
<tr>
<td><strong>or</strong></td>
</tr>
<tr>
<td>20% of total direct eligible costs (1)</td>
</tr>
<tr>
<td><strong>or</strong></td>
</tr>
<tr>
<td>60% of total direct eligible costs (2), for:</td>
</tr>
<tr>
<td>- Non-profit public bodies, secondary and higher education establishments, research organisations and SMEs</td>
</tr>
<tr>
<td>- When participating in funding schemes which include research and technological development</td>
</tr>
</tbody>
</table>

Coordination and support actions:
In any case Maximum 7\% of the direct eligible costs (1)

Method of calculating indirect costs

International Cooperation Partner Country (ICPC)
International Cooperation Partner Country means a third country which the Commission classifies as a low-income, lower-middle income or upper-middle-income country and which is identified as such in Annex I of the work programmes.

Lump sum funding method
Legal entities established in an ICPC may opt for lump sums. In that case the contribution is based on the amounts shown below, multiplied by the total number of person-years for the project requested by the ICPC legal entity.
### Section A3/Budget

<table>
<thead>
<tr>
<th>Type of Activity</th>
<th>Personnel costs</th>
<th>Sub-contracting</th>
</tr>
</thead>
</table>
| ● 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 | 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:  
● 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  
● be remunerated in accordance with the normal practices of the participant. 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. | A subcontractor is a third party which has entered into an agreement on business conditions with one or more participants, in order to carry out part of the work of the project without the direct supervision of the participant and without a relationship of subordination. Where it is necessary for the participants to subcontract certain elements of the work to be carried out, the following conditions must be fulfilled:  
● subcontracts may only cover the execution of a limited part of the project;  
● recourse to the award of subcontracts must be duly justified in Part B of the proposal having regard to the nature of the project and what is necessary for its implementation;  
● recourse to the award of subcontract by a participant may not affect the rights and obligations of the participants regarding background and foreground;  
● Part B of the proposal must indicate the task to be subcontracted and an estimation of the costs; Any subcontract, the costs of which are to be claimed as an eligible cost, must be awarded according to the principles of best value for money (best price-quality ratio), transparency and equal treatment. Framework contracts between a participant and a subcontractor, entered into prior to the beginning of the project that are according to the parti- |

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.

## Section A3/Budget

| **Requested EC contribution** |  
| Participant’s usual management principles may also be accepted. 
Participants may use external support services for assistance with minor tasks that do not represent per se project tasks as identified in Part B of the proposal. 
If applicable, actual direct costs and real overhead costs of third parties that make available to the proposal resources otherwise unavailable within the consortium, can also be included under the category of subcontracting costs, provided that these costs are not related to proposal’s core tasks.  
|  
| **Total Budget** |  
| Means direct costs not covered by the above mentioned categories of costs.  
| Note: The term “Total Budget” does not mean your requested EC contribution. 
A sum of all the eligible costs, under the respective types of activity.  
|  
| **Total Receipts** |  
| 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.  
**Maximum reimbursement rates of eligible costs**  
- Research and technological development = 50% or 75%*  
- Demonstration activities = 50%  
- Other activities (including management) = 100%  
|  
| Note: The term “Receipts” does not mean your requested EC contribution.  
Receipts of the project may arise from:  
a) Financial transfers or contributions in kind free of charge to the participant from third parties:  
i. shall be considered a receipt of the project if they have been contributed by the third party specifically to be used on the project.  
ii. shall not be considered a receipt of the project if their use is at the management discretion of the participant.  
b) Income generated by the project:  
i. shall be considered receipts for the participant when generated by actions undertaken in carrying out the project and from the sale of assets purchased under the grant agreement up to the value of the cost initially charged to the project by the participant;  
ii. shall not be considered a receipt for the participant when generated from the use of foreground resulting from the project.  
The 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. |
10. Annex 4A: Instructions for drafting Part B of the proposal (FET Open short proposal)

Small or medium-scale focused research projects (STREPs)

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

This annex provides a template to help you structure your proposal. An electronic version of this template can be obtained via the EPSS. It will help you present important aspects of your planned work in a way that will enable the experts to make an effective assessment against the evaluation criteria (see Annex 2 of this Guide). In accordance with the Work Programme 2011-2012, FET Open short proposals have only one section dealing with the scientific and technological criteria. The sub-sections (1.1, 1.2 etc.) correspond to the sub-criteria (bullet points).

Please keep to the maximum of 5 page length excluding a title page. The length of Part B of a project short proposal is part of the eligibility criteria. The minimum font size allowed is 11 points. All margins (top, bottom, left and right) should be at least 15mm (not including any footers or headers).

- Part B of the proposal will be evaluated according to the criteria specified for short STREP proposals.
- Part B of short STREP proposals must be strictly anonymous, which means that there must be neither name of the organisations involved in the consortium nor any other information that could identify the applicants. Furthermore, strictly no bibliographic references are allowed in the proposal.
- Part B of short STREP proposals must not exceed the size limit of 5 pages, excluding the title page.

Please remember to put the proposal’s short name (acronym) and the date at the top of every page.

Cover Page

- Proposal full title
- Proposal acronym
- Type of funding scheme: In this case – Small or medium-scale focused research project (STREP), short proposal
- Work programme topics addressed; if more than one, indicate their order of importance to the project
- Proposal abstract; copied from Part A, if not in English, include an English translation

Proposal

Section 1: Scientific and/or technical quality, relevant to the topics addressed by the call

“FET-Open targets foundational breakthroughs that open the way towards radically new forms and uses of information and information technologies. It flexibly accommodates the exploration of new and alternative ideas, concepts or paradigms that, because of their radical, fragile or high-risk nature, may not be supported elsewhere in the ICT Workprogramme. Research under FET-Open is aimed at achieving a first proof-of-concept and at developing its supporting scientific foundation. The novelty of this research comes from new ideas rather than from the refinement of current ICT approaches”
1.1 **Targeted breakthrough and its relevance towards a long-term vision**

Describe the breakthrough(s) that you are targeting to achieve. What is the long-term vision (scientific, technological, societal, other) that motivates this breakthrough? Explain how this breakthrough is an essential step towards the achievement of your long-term vision, in particular in terms of new forms and uses of information and information technologies. Describe the concrete objectives that you would consider to constitute the proof-of-concept of such a breakthrough. The objectives should be those that you consider achievable within the project, in spite of the inherent risks.

1.2 **Novelty and foundational character**

What is the novelty of your proposal? In what way do you challenge current thinking or assumptions? Novelty should come from new ideas, not from the incremental refinement of existing approaches. It can also come from new and unexpected combinations of insights from various disciplines. What is the scientific foundation that you aim to develop?

1.3 **S/T methodology**

Provide an outline of the scientific and technological approach or methodology by which you will attempt to reach your objectives. Provide evidence that you are aware of the level and nature of the risks of failure, and that you have a good idea on how to address these risks. What would constitute success? What would you learn from an eventual failure? Where relevant, show how your approach is well-adapted to the multi-disciplinary nature of the novel idea or approach that you are proposing.

*Maximum length for Section 1 – five pages*
11. Annex 4B: Instructions for drafting Part B of the proposal (FET-Open full proposal)

**Small or medium-scale focused research projects (STREPs)**

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

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

Please keep to maximum page lengths where these are specified. Information given on excess pages may be disregarded. The minimum font size allowed is 11 points. All margins (top, bottom, left and right) should be at least 15mm (not including any footers or headers).

Even where no page limits are given, 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.

- The objectives of the full proposal must be consistent and in accordance with the previously submitted short proposal.
- Part B should not exceed the size limit of 50-60 pages in total (including tables, references, etc).
- Part B for Open full proposals is not anonymous.
- Part B of the proposal will be evaluated according to the criteria specified for full STREP proposals.
- Please remember to indicate in the front page to which short proposal the full proposal refers to. At the top of every page indicate the proposal’s short name (acronym), the date and the proposal number.

**Cover Page**

- Proposal full title
- Proposal acronym
- Type of funding scheme: In this case – Small or medium-scale focused research project (STREP)
- Work programme topics addressed ; if more than one, indicate their order of importance to the project
- Name of the coordinating person
- List of participants:

<table>
<thead>
<tr>
<th>Participant no. *</th>
<th>Participant organisation name</th>
<th>Participant short name</th>
<th>Country</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 (Coordinator)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td></td>
<td></td>
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</tbody>
</table>
Proposal

Section 1: Scientific and/or technical quality, relevant to the topics addressed by the call

“FET-Open targets foundational breakthroughs that open the way towards radically new forms and uses of information and information technologies. It flexibly accommodates the exploration of new and alternative ideas, concepts or paradigms that, because of their radical, fragile or high-risk nature, may not be supported elsewhere in the ICT Workprogramme. Research under FET-Open is aimed at achieving a first proof-of-concept and at developing its supporting scientific foundation. The novelty of this research comes from new ideas rather than from the refinement of current ICT approaches”

1.1 Targeted breakthrough and long-term vision

Describe the breakthrough(s) that you are targeting to achieve. What is the long-term vision (scientific, technological, societal, other) that motivates this breakthrough? Explain how this breakthrough is an essential step towards the achievement of your long-term vision, in particular in terms of new forms and uses of information and information technologies. Describe the concrete objectives that you consider to constitute the proof-of-concept of such a breakthrough. The objectives should be those that you consider achievable within the project, in spite of the inherent risks.

1.2 Novelty and foundational character

Describe the state-of-the-art in the area(s) concerned, and the advance that the proposed project would bring about. Clearly describe the novelty of your proposal. In what way do you challenge current thinking or assumptions? Novelty should come from new ideas, not from the incremental refinement of existing approaches. It can also come from new and unexpected combinations of insights from various disciplines. What is the scientific foundation that you aim to develop and what are the specific contributions to science and technology that your project will make (including in case of failure)?

1.3 S/T methodology

Provide a detailed description of the scientific and technological approach or methodology by which you will attempt to reach your objectives. Demonstrate that you are aware of the level and nature of the risks of failure, and that you have a good idea on how to address these risks. Describe a progression of crucial milestones and decision points for your project, and their expected timing. What would constitute success? What would you learn from an eventual failure? Where relevant, show how your approach takes into account the difficulties inherent to the multi-disciplinary nature of the idea or approach that you are proposing.

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

---

1 Note that, whereas the scientific and technological methodology is evaluated under the criteria ‘S/T quality’, the quality of the actual workplan is evaluated under FET-Open under the criteria ‘Implementation’.

2 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.
Present your plans as follows:

i) Describe the overall strategy of the work plan

*Maximum length – one page*

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

iii) Provide a detailed work description broken down into work packages:

1. Work package list (please use Table 1.3a);
2. Deliverables list (please use Table 1.3b);
3. List of milestones (please use Table 1.3c);
4. Description of each work package (please use Table 1.3d);
5. Summary effort table (please use Table 1.3e)

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

v) Describe any significant risks, and associated contingency plans

Notes: 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.

*Maximum length for the whole of Section 1 – twenty pages. This limit does not include the Gantt chart, Pert diagram or tables 1.3a to 1.3e.*
Table 1.3a: Template – Work package list

**Work package list**

<table>
<thead>
<tr>
<th>Work package No(^1)</th>
<th>Work package title</th>
<th>Type of activity(^2)</th>
<th>Lead partic. short name</th>
<th>Person-months(^4)</th>
<th>Start month(^5)</th>
<th>End month(^6)</th>
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</tbody>
</table>

**TOTAL**

---

1. Workpackage number: WP 1 – WP n.
2. Please indicate one activity per work package:
   - RTD = Research and technological development; DEM = Demonstration; MGT = Management of the consortium
3. Number of the participant leading the work in this work package.
4. The total number of person-months allocated to each work package.
5. Measured in months from the project start date (month 1).
6. Measured in months from the project start date (month 1).
### Table 1.3b: Template – Deliverables List

**List of Deliverables**

<table>
<thead>
<tr>
<th>Del. no.</th>
<th>Deliverable name</th>
<th>WP no.</th>
<th>Nature</th>
<th>Dissemination level</th>
<th>Delivery date (proj. month)</th>
</tr>
</thead>
</table>

1. 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.

2. Please indicate the nature of the deliverable using one of the following codes:
   - R = Report
   - P = Prototype
   - D = Demonstrator
   - O = Other

3. 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)

4. Measured in months from the project start date (month 1).
Table 1.3c: Template – List of milestones

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 a requirement 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.

<table>
<thead>
<tr>
<th>Milestone number</th>
<th>Milestone name</th>
<th>Work package(s) involved</th>
<th>Expected date (^1)</th>
<th>Means of verification (^2)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>2</td>
<td></td>
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</tbody>
</table>

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

\(^2\) Show how you will confirm that the milestone has been attained. Refer to indicators if appropriate. For examples: a laboratory prototype completed and running flawlessly, software released and validated by a user group, field survey complete and data quality validated.
Table 1.3d: Template – Work package description

**Work package description**

<table>
<thead>
<tr>
<th>Work package number</th>
<th>Start date or starting event:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Work package title</td>
<td></td>
</tr>
<tr>
<td>Activity type¹</td>
<td></td>
</tr>
<tr>
<td>Participant number</td>
<td></td>
</tr>
<tr>
<td>Participant short name</td>
<td></td>
</tr>
<tr>
<td>Person-months per participant</td>
<td></td>
</tr>
</tbody>
</table>

**Objectives**

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

**Deliverables** (brief description) and month of delivery

¹ Please indicate one activity per work package:
RTD = Research and technological development; DEM = Demonstration; MGT = Management of the consortium.
Table 1.3e: Summary of effort

**Summary effort**

A summary of the 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.

<table>
<thead>
<tr>
<th>Partic. no.</th>
<th>Partic. short name</th>
<th>WP1</th>
<th>WP2</th>
<th>WP3</th>
<th>…</th>
<th>Total person months</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td>2</td>
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<td>Total</td>
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<td></td>
<td></td>
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</tr>
</tbody>
</table>
Section 2: Implementation

2.1 Management structure and procedures

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

Maximum length for Section 2.1: five pages.

2.2 Individual participants

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

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

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

2.3 Consortium as a whole

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

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

ii) Other countries: If one or more of the participants requesting EU funding is based outside of the EU Member states, Associated countries and the list of International Cooperation Partner Countries, explain in terms of the project’s objectives why such funding would be essential.

No maximum length for Section 2.3 – depends on the size and complexity of the consortium

2.4 Resources to be committed

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

In addition to the costs indicated on form A3 of the proposal, and the effort shown in Section 1.3 above, please identify any other major costs (e.g. equipment). Ensure that the figures stated in Part B are consistent with these.

Maximum length for Section 2.4: two pages.

---

1 EEIG: European Economic Interest Grouping.
2 See CORDIS web-site, the Participant Portal and Annex 1 of the work programme.
Section 3: Impact

“Contribution to the scientific foundations of future information and communication technologies that may be radically different from present day ICT. It may, for example, open new avenues for science and technology, or lead to a paradigm shift in the way technologies are conceived or applied. FET-Open research is not required to have direct short-term technological or societal impact but it will take concrete steps towards achieving its long-term vision, supported by a critical exploration of the potential implications for the environment and for society.”

“All FET-Open activities should contribute to securing and strengthening the future potential for high-risk / high-impact visionary research. To achieve this, FET-Open is expected to generate new collaborations involving a broad range of disciplines, the established scientists as well as the talented young ones, and a diversity of actors in research, including small and independent research organisations and high-tech SMEs, whenever relevant in terms of the activities proposed. International collaboration should exploit synergies in the global science and technology scene, to increase impact and to raise the level of excellence world-wide.”

3.1 Transformational impact on science, technology and/or society

If successful, what would be the transformative impact of your project? What difference will it make, especially in terms of long-lasting changes on science, technology, society or theories? Mention the steps that will be needed after the project to bring about these impacts. Explain why this contribution requires a European (rather than a national or local) approach. Indicate how account is taken of other national or international research activities. Mention any assumptions and external factors that may determine whether the impacts will be achieved.

3.2 Contribution at the European level towards the expected impacts listed in the work programme

Explain how your project contributes to securing and strengthening the future potential for high-risk / high-impact visionary research, through its results or through the organisation of the work and collaborations within your consortium. Will you generate new diverse collaborations, or impact on current practice in this kind of research? Where relevant, highlight how international collaboration exploits synergies in the global science and technology scene, increases impact and raises the level of excellence world-wide.

3.3 Dissemination and/or use of project results

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 the URI. http://ec.europa.eu/research/science-society/science-communication/index_en.htm

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 3: ten pages
Section 4: Ethical Issues

Describe any ethical 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).

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 identity of the data is protected. Data protection issues require authorisation 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. State what happens to the animals after the research experiments. The use of animals requires permits and/or authorisations from the competent national 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 necessity to use hESC in order to achieve the scientific objectives set forth in the proposal.
- whether the applicants have taken into account the legislation, regulations, ethical rules and/or codes of conduct in place in the country(ies) where the research using hESC is to take place, including the procedures for obtaining informed consent;
- the source of the hESC;
- the measures taken to protect personal data, including genetic data, and privacy;
- the nature of financial inducements, if any.

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

Include the Ethical issues table below. If you indicate YES to any issue, please identify the pages in the proposal where this ethical issue is described. 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 and complexity of the ethical issues involved

Notes:

1. For further information on ethical issues relevant to ICT, see Annex 5 of this Guide

2. Only in exceptional cases will additional information be sought for clarification, which means that any ethical review will be performed solely on the basis of the information available in the proposal.
3. A dedicated website that aims to provide clear, helpful information on ethical issues is now available at the URI http://cordis.europa.eu/fp7/ethics_en.html. The site includes guidance documents on privacy and data protection, developing countries, informed consent procedures, etc.
**ETHICAL ISSUES TABLE**

<table>
<thead>
<tr>
<th></th>
<th>YES</th>
<th>PAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Informed Consent</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>● Does the proposal involve children?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>● Does the proposal involve patients or persons not able to give consent?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>● Does the proposal involve adult healthy volunteers?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>● Does the proposal involve Human Genetic Material?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>● Does the proposal involve Human biological samples?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>● Does the proposal involve Human data collection?</td>
<td></td>
<td></td>
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<tr>
<td><strong>Research on Human embryo/foetus</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>● Does the proposal involve Human Embryos?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>● Does the proposal involve Human Foetal Tissue / Cells?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>● Does the proposal involve Human Embryonic Stem Cells?</td>
<td></td>
<td></td>
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<tr>
<td><strong>Privacy</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>● Does the proposal involve processing of genetic information or personal data (e.g. health, sexual lifestyle, ethnicity, political opinion, religious or philosophical conviction)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>● Does the proposal involve tracking the location or observation of people?</td>
<td></td>
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</tr>
<tr>
<td><strong>Research on Animals</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>● Does the proposal involve research on animals?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>● Are those animals transgenic small laboratory animals?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>● Are those animals transgenic farm animals?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>● Are those animals cloned farm animals?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>● Are those animals non-human primates?</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Research Involving Developing Countries</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>● Use of local resources (genetic, animal, plant etc)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>● Impact on local community</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Dual Use</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>● Research having direct military application</td>
<td></td>
<td></td>
</tr>
<tr>
<td>● Research having the potential for terrorist abuse</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>ICT Implants</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>● Does the proposal involve clinical trials of ICT implants?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL
12. Annex 5: Ethical Guidelines for undertaking ICT research in FP7

12.1. Introduction

In recent years there has been an increase in the importance of ethical issues related to ICT research and technological developments.

The decision of the European Parliament and the Council concerning FP7\(^1\) states that research activities supported by the Framework Programme should respect fundamental ethical principles, including those reflected in the Charter of Fundamental Rights of the European Union\(^2\) and take into account opinions of the European Group on Ethics in Science and New Technologies (EGE)\(^3\).

Article 15 of the FP7 draft rules of participation\(^4\) states that any proposal which contravenes fundamental ethical principles or which does not fulfil the conditions set out in the specific programme, the work programme or in the call for proposals shall not be selected and may be excluded from the evaluation, selection and award procedures at any time.

Applications for EU-funded research activities may, if appropriate, include specific tasks or a specific work package that explicitly addresses ethical concerns (in terms of the research, its conduct and outcomes) and outlines how ethical issues raised by the proposed research will be handled.

The purpose of this guidance is to assist proposers in identifying potential ethical issues arising from the proposed ICT research.

12.2. Conduct of ICT Research

All research areas within ICT of FP7 may raise ethical issues of varying seriousness. Some proposals will be more sensitive than others. It is likely that new, sensitive applications will come to the fore during the term of FP7.

12.2.1. A responsible approach

It is likely that most of the principles of the Charter of Fundamental Rights of the European Union\(^5\) will be relevant to the approach adopted by ICT researchers. These principles cover dignity, freedom, equality, solidarity, citizens’ rights and justice. Proposals must comply with Article 8 of the European Human Rights Convention\(^6\). In particular, given the pervasive and ubiquitous nature of ICT and the many opportunities it offers, researchers should consider the sensitive implications of their proposals for privacy and autonomy\(^7\). However, researchers should recognise that new dangers associated with the process of ICT research can exist. They should carry out a prior assessment of risk and identification of precautionary actions proportional to the potential risk/harm\(^8\).

Researchers have a duty to alert public authorities to the ethical and practical implications of the ICT research outcomes, as and when particular issues become apparent within the research process\(^9\).

Researchers should comply with national legislation, European Union legislation, respect international conventions and declarations and take into account the Opinions of the European Group on Ethics. However, consideration of ethical issues goes beyond simple compliance with current regulations and laws.

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\(^1\) Decision 1982/2006/EC: Official Journal L412 of 18/12/06
\(^2\) http://www.europarl.europa.eu/charter/default_en.htm
\(^3\) The EGE is an independent, multidisciplinary body, appointed by the Commission to examine ethical questions arising from science and new technologies and on this basis to issue Opinions – http://ec.europa.eu/european_group_ethics/index_en.htm
\(^4\) Official Journal L391 of 30/12/06
\(^6\) http://conventions.coe.int/treaty/en/Treaties/Html/005.htm
\(^7\) Opinion 10 of EGE - The Ethical Aspects of the 5th Framework Programme, http://ec.europa.eu/european_group_ethics/docs/opinion10_en.pdf
\(^8\) http://conventions.coe.int/treaty/en/Treaties/Html/005.htm
12.2.2. Privacy and informed consent

The right to privacy and data protection is a fundamental right\(^1\) and therefore applicable to ICT research.

Researchers must be aware that volunteers\(^2\) have the right to remain anonymous\(^3\). Researchers must comply with Data Protection legislation\(^4\) in the Member State where the research will be carried out regarding ICT research data that relates to volunteers.

Informed consent is required whenever ICT research involves volunteers in interviews, behavioural observation, invasive and non-invasive experimentation, and accessing personal data records. The purpose of informed consent is to empower the individual to make a voluntary informed decision about whether or not to participate in the research based on knowledge of the purpose, procedures and outcomes of the research.

Before consent is sought, information must be given specifying the alternatives, risks, and benefits for those involved in a way they understand. When such information has been given, free and informed consent must be obtained. Depending on the nature of the research, different consent procedures may be used. Special consideration must be given when volunteers have reduced autonomy or are vulnerable\(^5\).

The majority of European citizens view personal privacy as an important issue. Research, for example, on RFID\(^6\) and ICT for healthcare\(^7\), is likely to raise privacy issues. Therefore, researchers must ensure that the manner in which research outcomes are reported does not contravene the right to privacy and data protection. Furthermore, researchers must carefully evaluate and report the personal privacy implications of the intended use or potential use of the research outcomes. Wherever possible, they must ensure that research outcomes do not contravene these fundamental rights.

12.2.3. Use of animals in ICT research

In accordance with the Amsterdam protocol on animal protection and welfare, animal experiments must be replaced with alternatives wherever possible. Suffering by animals must be avoided or kept to a minimum. This particularly applies to animal experiments involving species which are closest to human beings\(^8\). Thus ICT research involving animals should conform to the ethical principles of replacement, reduction, refinement and minimisation of suffering\(^9\).

Proposers must carefully justify animal experiments in cross-science proposals for non-medical objectives. Furthermore, they should identify the scientific areas which would benefit from knowledge gained through animal experiments. Proposers must be aware that Member States may have differing and possibly conflicting interpretations of animal welfare in research, and the research must meet regulations in the country in which it will be carried out.

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\(^2\) “Volunteers” is used to describe all those who are the subjects of research observations, experiments, tests etc.


\(^7\) Opinion 10 of EGE – The Ethical Aspects of the 5th Framework Programme [http://ec.europa.eu/european_group_ethics/docs/opinion10_en.pdf](http://ec.europa.eu/european_group_ethics/docs/opinion10_en.pdf)


12.3. Specific guidance in some currently sensitive areas

12.3.1. ICT implants\(^1\) and wearable computing

- ICT implants should only be developed if the objective cannot be achieved by less-invasive methods such as wearable computing devices and RFID tags.
- To the extent that an individual, via an ICT implant or wearable computing device, becomes part of an ICT network, the operation of this whole network will need to respect privacy and data protection requirements.
- ICT implants in healthcare are, in general, acceptable when the objective is saving lives, restoring health, or improving the quality of life. They should be treated in the same way as drugs and medical devices\(^2\).
- ICT implants to enhance human capabilities should only be developed: to bring individuals into the “normal” range for the population, if they so wish and give their informed consent; or to improve health prospects such as enhancing the immune system. Their use should be based on need, rather than economic resources or social position.
- ICT implants or wearable computing devices must not: allow individuals to be located on a permanent and/or occasional basis, without the individual’s prior knowledge and consent; allow information to be changed remotely without the individual’s prior knowledge and consent; be used to support any kind of discrimination; be used to manipulate mental functions or change personal identity, memory, self-perception, perception of others; be used to enhance capabilities in order to dominate others, or enable remote control over the will of other people.
- ICT implants should not be developed to influence future generations, either biologically or culturally.
- ICT implants should be developed to be removed easily.

12.3.2. eHealth\(^3\) and genetics

Personal health data must be treated as ‘sensitive personal data’\(^4\). ICT researchers using it have a duty of confidentiality equivalent to the professional duty of medical secrecy. Therefore:

- The use of personal health data in ICT research for the purposes from which society as a whole benefits must be justified in the context of the personal rights.
- The security of ICT in healthcare is an ethical imperative to ensure the respect for human rights and freedoms of the individual, in particular the confidentiality of data and the reliability of ICT systems used in medical care.
- Proposers should be particularly aware when ICT is linked to sensitive medical areas such as the use of genetic material\(^5\).
- Proposers should access established general medical and genetics ethical guidance when formulating their proposals.

12.3.3. ICT and Bio/Nano-electronics

ICT-bio/nano-electronics has a strong potential for misuse. Consequently, proposers should pay particular attention to the guidelines in Section 2 in this area\(^6\).

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Researchers involved in ICT-bio/nano-electronics research proposals should be aware that certain applications, e.g. miniaturised sensors, may have specific implications for the protection of privacy and personal data\(^1\).

ICT-bio/nano-electronics research may overlap with other scientific disciplines such as biology. In these situations proposers should draw upon the ethical guidance of that discipline.

13. Annex 6: Completion of Proposal Parts A and B for Objective ICT-2011.9.4

Proposals for the Objective ICT-2011.9.4 “International Cooperation in FET research” concern the extension of the consortium of existing ICT IP or STREP projects with complementary research activities in which collaboration with non-EU research partners brings significant added value.

The research content is expected to focus on new activities that expand the research challenges and reinforce the impact of the ongoing project. The outcome of that research is expected to be made freely and openly available for the benefit of the research community.

Funding can be requested by the partners from the ongoing FET project and by the new non-EU research participants to cover the coordination and joint research activities necessary to complement the ongoing project. Proposals must be presented by the coordinator of the ongoing project.

Proposals for the Objective ICT-2011.9.4 are continuously receivable until March 12th, 2013. A one-step submission and evaluation process is applied.

Proposers in objective ICT-2011.9.4 should prepare their proposal according to the following special instructions:

- The proposal should be presented as an IP or a STREP proposal, corresponding to the existing project to which it is an extension.
- The proposal must be submitted at least 18 months before the end of the existing project to which it is an extension.
- The proposal title and acronym should consist of the existing project title and acronym, with the suffix “– INCO_extension”.
- The coordinator of the proposal must be the coordinator of the existing project.
- The participants in your proposal for ICT 2011.9.4 are the new partners and also any existing partners who are involved in the new activities which are brought about by the extension. The normal minimum proposal requirement of three partners from the Member States/Associated Countries does not apply in this objective.
- Normally the new activities brought about by the entry of the new partners should be completed at the same time as or before the end of the existing project. If in exceptional circumstances this is not possible, it would be necessary to request an extension of the duration of the existing project (by a reasonably short period) to allow conclusion of the activities.

The evaluation will be based entirely on the work included in the proposal for the new activities under objective ICT-2011.9.4; the already-agreed work of the existing project will not be evaluated again.

Part A

- The proposal A1 form should describe the new activities only.
- Only complete A2 forms for the coordinator and the new or existing partners involved in the new activities. No A2 forms are required for the other partners.
- The A3 form should only cover the new activities.

Part B

The Proposal Part B should be prepared as follows:

Cover page, Proposal abstract and Table of Contents

Follow the standard instructions, describing the new extension

Proposal

Section 1: Scientific and/or technical quality

1 The new participating organisations cannot be located in EU member States or in Associated Countries.
Complete Section 1.1 “Targeted breakthrough and long-term vision”
Describe the existing project.

Maximum length one page

If the extension brings in new objectives, add a description of these new objectives.

Maximum length one page

Complete Section 1.2 “Novelty and foundational character”
Describe the existing project.

Maximum length one page

If the extension will further advance the state of the art, add a description of the further advance.

Maximum length one page

Complete Section 1.3 “S/T methodology”
Describe the new extension. Depending on the nature of the new activities, you may propose completely new workpackages, extensions of existing workpackages or a mixture of both. In describing the overall strategy of the extension you should show how the new activities fit into and add value to the work plan of the existing project.

Section 2: Implementation

Complete Section 2.1 “Management structure and procedures”
Explain how the existing management structure or procedures will be adapted to accommodate the new partners and activities.

Maximum length two pages

Section 2.2 “Individual participants”
Describe the new participants only.

Section 2.3 “Consortium as a whole”
Follow the standard instructions, describing the now-expanded consortium as a whole and show the added-value of the new participants.

Complete Section 2.4 “Resources to be committed”
Describe only the additional resources to be committed in the extension

Maximum length two pages

Section 3: Impact
Follow the standard instructions, describing the new extension.

Maximum length five pages
Section 4: Ethical issues

Follow the standard instructions, describing the new extension

*No maximum length, depends on the number of issues involved*