

# How to participate in FP 7

*Jornada Espacio 7ºPM-Space Foundations*  
*CDTI, 16 Mayo 2007*

# Overview

## Content:

- Funding schemes/instruments in FP7
- Collaborative projects – **CP**
- Networks of Excellence – **NoE**
- Coordination and support actions – **CSA**
  - Coordination or Networking actions (CA)
  - Support actions (SA)

# Funding schemes

## 3 funding schemes

- Collaborative Projects (CP)
  - Small or medium scale focused research actions ("STREP")
  - Large Scale Integrating Projects ("IP")
- Networks of Excellence (NoE)
- Coordination and Support Actions (CSA)
  - Coordinating or networking actions ("CA")
  - Support Actions ("SSA")

# Collaborative projects

Research aiming at developing new knowledge, new technology, products, demonstration activities or common resources for research

# CP - Integrating Projects (IPs)

**Activities** in an **Integrating Project** may cover

- research and technology development activities
- demonstration activities
- technology transfer or take-up activities
- training activities
- dissemination activities
- knowledge management and exploitation
- consortium management activities
- other activities

An Integrating Project comprises

- a coherent set of activities
- and an appropriate management structure

# CP – Focused projects (STREPs)

Targeting a specific objective in a clearly defined project approach

Fixed overall work plan with stable deliverables that do not change over the life-time of the project

Two types of **activity** or combination of the two:

- A **research and technological development activity** designed to generate new knowledge to improve competitiveness and/or address major societal needs /or
- A **demonstration activity** designed to prove the viability of new technologies offering potential economic advantages but which can not be commercialized directly (e. g. testing of product like prototypes)

as well as

- o **Project management activities** (including innovation related activities like protection of knowledge dissemination and exploitation)

# Networks of excellence (NoEs)

- NoEs are an instrument to **overcome the fragmentation** of the European research landscape in a given area and remove the barriers to integration
- Their purpose is to reach a **durable restructuring** and integration of efforts and institutions or parts of institutions
- The success of an NoE is not measured in terms of scientific results
  - .....but by the extent to which the social fabric for researchers and research institutions in a field has changed due to the project,
  - ....and the extent to which the existing capacities become more competitive as a result of this change

# Networks of excellence (NoEs)

**The Joint Programme of Activities (JPA) contains a range of “additional to normal business” activities:**

## **Integrating activities**

- coordinated programming of the partners’ activities
- sharing of research platforms/tools/facilities
- joint management of the knowledge portfolio
- staff mobility and exchanges
- relocation of staff, teams, equipment
- reinforced electronic communication systems

## **Activities to support the network’s goals**

- Development of new research tools and platforms for common use
- Generating new knowledge to fill gaps in or extend the collective knowledge portfolio

## **Activities to spread excellence**

- training researchers and other key staff
- dissemination and communication activities
- networking activities to help transfer knowledge to outside of the network
- where appropriate, promoting the exploitation of the results generated within the network
- where appropriate, innovation-related activities

## **Management activities**



# Coordination or Networking actions (CAs)

Designed to promote and support the **ad hoc networking** and co-ordination of research and innovation activities at national, regional and European level **over a fixed period for a specific purpose**

- by establishing in a coherent way coordinated initiatives of a range of research and innovation operators, in order to achieve improved cooperation of the European research

May combine the following two types of activities

- Co-ordination activities
- Consortium management activities

*(Coordination actions **do not conduct S&T research** !)*

# Coordination or Networking actions (CAs)

Each Coordination Action shall propose a work plan, incorporating all or some of the following types of mid/long term **collaborative activities**:

- Organisation of events (conferences, meetings);
- Performance of studies, analysis;
- Exchanges of personnel;
- Exchange and dissemination of good practice;
- Setting up of common information systems
- Setting up of expert groups;
- Definition, organisation, management of joint or common initiatives
- Management of the action

# Support actions (SAs)

Designed to

- **underpin** the implementation of the programme
- **complement** the other FP7 funding schemes,
- help in preparations for future Community research and technological development policy activities and
- stimulate, encourage and facilitate the participation of SMEs, civil society organisations, small research teams, newly developed and remote research centres, as well as setting up research clusters across Europe
- Cover **one off events or single purpose activities**

May combine the following two types of activities

- Support activities
- Consortium management activities
- (Support actions **do not conduct S&T research !**)



# Support actions

Each Support Action shall have a work plan, which may consist of one or more (as appropriate on a case by case basis) of the following **support activities**:

- Conferences, seminars, working groups and expert groups;
- Studies, analysis;
- Fact findings and monitoring;
- Preparatory technical work, including feasibility studies
- Development of research or innovation strategies;
- High level scientific awards and competitions;
- Operational support, data access and dissemination, information and communication activities.

SA proposals may be presented by a consortium or a single organisation, from any country or countries

# Overview

## Content:

- Reimbursement of eligible costs
- Indirect costs
- Maximum funding rates

# Reimbursement of eligible costs

Co-financing, no profit.

Cost reporting models eliminated

- Participants charge direct and indirect eligible costs

**Eligible costs**

- Actual;
- Incurred during the project;
- Determined according to usual accounting and management principles/practices;
- Used solely to achieve project objectives;
- Consistent with principles of economy, efficiency and effectiveness;
- Recorded in accounts (or the accounts of third parties);
- Exclusive of non-eligible costs
- **Average personnel costs** may be used if consistent with above and do not differ significantly from actual

# Indirect costs

## All participants:

- Actual indirect costs (participants may use a simplified method of calculation) or
- Flat-rate of direct eligible costs excluding subcontracts and reimbursement of third parties' costs (to be established by the Commission) – currently **20%**

## **Non-profit public bodies, secondary and higher education establishments, research organisations and SMEs unable to identify real indirect costs:**

- Flat-rate of **60%** of total direct eligible costs (until end 2009)
- Flat rate of minimum 40%, to be established by the Commission (as of 2010)

**For Coordination and Support action:** Flat rate of 7% for indirect costs

# Maximum funding rates

- **Research and technological development activities:**
  - 50% of eligible costs except for:
    - Public bodies (non-profit): – 75%
    - Secondary and higher education establishments: – 75%
    - Research organisations (non-profit): – 75%
    - Small and Medium sized Enterprises - SMEs: – 75%
- **Demonstration activities:** – 50% of eligible costs
- **Other activities:** – 100% including e.g. consortium management

## Coordination and Support actions – 100%

- Flat rate indirect costs: 7%



# Payment modalities

- **One pre-financing** (usually 160% of the average funding per period) at entry into force (for whole duration)
- **Interim payments based on financial statements**
- **Retention of 10%**
- **Final payment**

# Certification (1)

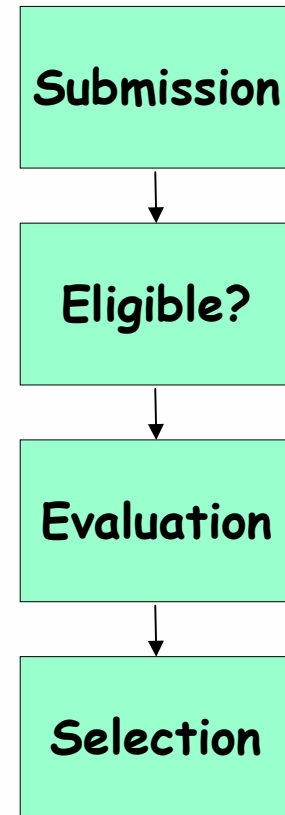
- **Certificates on financial statements (CFS)**
  - EC contribution for a beneficiary  $< 375.000\text{€}$  = no CFS (not even at the end)
  - EC contribution for a beneficiary  $\geq 375.000\text{€}$  = CFS has to be submitted:
    - CFS every time  $\geq 375.000\text{€}$  (unless project  $\leq 2$  yrs: at the end)
    - If certificate on methodology: no interim CFS but simplified one at the end
- **Certificate on methodology (NEW)**
  - Aims at certifying the methodology of calculating (average) **personnel costs** and **overheads**

# Certification (2)

- **Certificate on the methodology**
  - on a voluntary basis, must be accepted by EC, valid throughout FP7
  - particularly aimed at legal entities with multiple participation
  - waives the obligation of certificates for interim periods and simplified certificate for final payment
  - main advantages: less certificates, consistent quality, legal certainty

# Overview

- Information for proposers
- Submission of proposal
- Eligibility check
- Evaluation
- Evaluation Criteria
- Selection
- Writing your proposal



# Information for proposers

- Workprogramme 2007-2008
- Guide for Applicants  
now including the *Guidance notes for evaluators* and  
the *Background note* on the funding scheme
- Evaluation forms with notes
- EPSS manual [cordis.europa.eu/fp7/calls/](http://cordis.europa.eu/fp7/calls/)
- Model grant agreement
- Rules on submission of proposals,  
and the related evaluation,  
selection and award procedures



# Electronic Submission

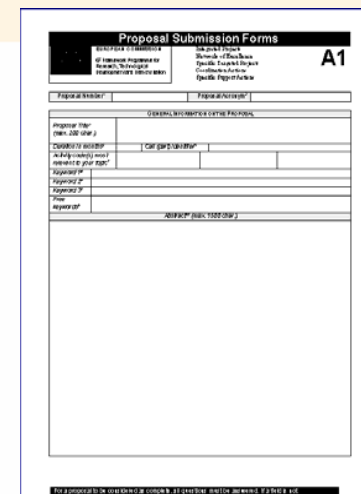
## EPSS - Electronic Proposal Submission System

- Online preparation only!
- Improved validation checks before submission is accepted
- FP6 Failure rate =  $\pm 1\%$
- Main reason for failure - waiting till the last minute
  - Technical problems
  - Panic-induced errors
  - Too late starting upload, run out of time

*Submit early, submit often!*  
*If in trouble, call the helpdesk !*

# Proposal Part A (online)

- **A1**
  - Title, acronym, objective etc.
  - free keywords
  - 2000 character proposal abstract
  - previous/current submission (in FP7)
- **A2 (per participant)**
  - Legal address/administrator address/R&D address
  - Clear identification as SME/Public body/Research centre/ Educ. establishment
  - Proposer identification code PIC (later calls)
- **A3 (A3.1, A3.2)**
  - More cost details (direct/indirect costs distinguished)

The image shows a screenshot of the 'Proposal Submission Form A1'. The form is titled 'Proposal Submission Form' and 'A1'. It contains several sections for data entry, including 'Project title', 'Keywords', 'Abstract', and 'Previous/current submission'. The form is designed for online submission and includes a large text area for the abstract.

# Proposal Part B (pdf format only)

- Part B format directly linked to evaluation criteria
  - Summary
  - S&T quality (bullet points = sections)
  - Implementation (*idem*)
  - Impact (*idem*)
  - Ethics
- Section lengths recommended



# Eligibility checks

- Date and time of receipt of proposal on or before deadline
  - Firm deadlines
- Minimum number of eligible, independent partners
  - As set out in work programme/call
- Completeness of proposal
  - Presence of all requested administrative forms (Part A) and the content description (Part B)
- Scope
  - Proposal needs to be in scope of the topics or funding schemes as set out in the workprogramme

# Evaluation criteria

## 1. Scientific and technical quality

- Soundness of concept, and quality of objectives (ALL)
- Progress beyond the state-of-the-art (CP)
- Contribution to long term integration of high quality S/T research (NoE)
- Contribution to the coordination of high quality research (CSA)
- Quality and effectiveness of the S & T methodology and associated workplan (CP)
- Quality and effectiveness of the joint programme of activities and associated workplan (NoE)
- Quality and effectiveness of the coordination/support action mechanisms and associated workplan (CSA)

# Evaluation criteria

## 2. Implementation

- Appropriateness of the management structures and procedures (ALL)
- Quality and relevant experience of the individual participants (ALL)
- Quality of the consortium as a whole\*
  - (including complementarity, balance) (CP)
  - (including ability to tackle fragmentation of the research field and commitment towards a deep and durable institutional integration) (NoE)
- Appropriate allocation and justification of the resources to be committed (budget, staff, equipment) (CP and CSA)
- Adequacy of resources for successfully carrying out the joint programme of activities (NoE)

\*for Support actions, only if relevant

# Evaluation criteria

## 3. Impact

- Contribution at the European or international level to the expected impacts listed in the workprogramme under the relevant activity (ALL)
- Appropriateness of measures for the dissemination and/or exploitation of project results, and management of intellectual property (CP)
- Appropriateness of measures for spreading excellence, exploiting results and disseminating knowledge through engagement with stakeholders and the public at large (NoE and CSA)

# Evaluation criteria scoring

- Scale of 1-5 (and 0)
- No weighting
- Criterion threshold 3/5
- Overall threshold 10/15

# Ethical issues

- Post-evaluation review for any selected proposals which have ethical issues, *based on the contents of the original proposal*

## Does your proposal show...?

- that you fully understand the ethical issues involved in your planned action
- that you have adequate plans to deal with them
- that there are clear lines of responsibility
- that you will review and report on these issues on a regular basis



# Selection

- Marking and Priority order of proposals by experts
  - ▶ You will receive an evaluation summary report (ESR) with your evaluation result
- Commission Decision on selected proposals for funding
  - ▶ As successful proposal – the Commission will invite you for negotiations
  - ▶ After successful negotiation - you will sign the grant agreement and start the project



# When writing your proposal....1

## Divide your effort over the evaluation criteria

- Many proposers concentrate on the scientific element, but lose marks on project implementation or impact description

## Think of the finishing touches which signal quality work:

- clear language
- well-organized contents, following the Part B structure
- useful and understandable diagrams
- no typos, no inconsistencies, no obvious paste-ins, no numbers which don't add up, no missing pages ...



# When writing your proposal....2

Make it *easy* for the evaluators to give you high marks. Don't make it hard for them!

- Make sure you submit the latest, complete version of your proposal
- Don't write too little; cover what is requested
- Don't write too much
- Don't leave them to figure out why it's good, tell them why it's good
- Leave nothing to the imagination