

Proposals and projects in FP7

Full presentation

Place: Date

1. The Rules of the Programme

FP7 basic principles

- Proposals can only be submitted in response to publicly-announced calls for proposals
<http://cordis.europa.eu/fp7/ict>
- All proposals* are presented by multinational consortia of organisations/individuals
- Proposals are evaluated by independent experts
- All proposal coordinators receive an Evaluation Summary Report
- Funding follows successful evaluation, selection and negotiation of grant agreement

* except certain Support actions

Minimum consortia

- Three independent legal entities from three different Member States or Associated countries (CR, TU; CH, IC, IS, LI, NO)
- EEIGs composed of members that meet the criteria above can participate
- International (intergovernmental) organisations can participate
- Participants from third countries if in addition to minima
- Collaborative projects for specific cooperation actions (SICA) dedicated to international cooperation partner countries (ICPC): minimum 4 participants of which 2 in different MS or AC and 2 in different ICPC countries unless otherwise specified
- Support actions; no restrictions

Community funding

Eligibility for Funding:

- Legal entities from MS and AC or created under Community law (and the JRC)
- International European interest organisations
- Legal entities established in international cooperation partner countries (ICPC-INCO)

and

- Legal entities established in 3rd countries other than ICPC-INCO, if provided for in SP or WP; or if essential for carrying out action; or if provision for funding is provided for in a bilateral agreement between Community and that country

Reimbursement of eligible costs

Cost reporting models eliminated; all participants report **direct** and **indirect** (overhead) 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

Direct costs IP, STREP, NoE

- **Research and technological development activities:**
 - **50%** funding 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

Direct costs CA, SA

- **Coordination and support actions – 100%**

Indirect costs IP, STREP, NoE

Any participant

- **Actual** indirect costs (participants may use a simplified method of calculation)
or
- **Flat-rate** of direct eligible costs excluding subcontracts (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)

Indirect costs CA, SA

Flat rate of indirect costs: 7%

Guarantee mechanism and RSFF

- Commission will establish and operate a **Participant guarantee fund**

Contribution to guarantee fund of max. 5% of the EC contribution by each participant, to be returned at the end of the project

Guarantee fund replaces all other forms of financial guarantees

- **Risk Sharing Finance Facility.** The Community may award a grant to the European Investment Bank to cover risk of **loans** [or guarantees] in support of research objectives set out under FP7

The EIB shall provide these loans [or guarantees] in a fair, transparent, impartial and equal way

Proposals and projects in FP7

2. The Funding schemes

Funding schemes

- 3 funding schemes – 5 “instruments”

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”)

- ICT Workprogramme shows budget pre-allocation to instruments

***include SICA – Specific International Co-operation Actions**

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

Integrating Projects (IPs)

Experience of IPs in FP6

- Purpose: Ambitious objective driven research with a 'programme approach'
- Target audience: Industry (incl. SMEs), research institutions. Universities – and in some cases potential end-users
- Typical duration: 36-60 months
- Optimum consortium: 10-20 participants
- Total EU contribution: €4-25m (average around €10m)
- Flexibility in implementation:
 - Update of workplan
 - Possibility for competitive calls for enlargement of consortium

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

Contain 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 commercialised directly (e. g. testing of product like prototypes)

as well as

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

Focused projects (STREPs)

Experience of STREPs in FP6

- Purpose: Objective driven research more limited in scope than an IP
- Target audience: Industry incl. SMEs, research institutes, universities
- Typical duration: 18-36 months
- Optimum consortium: 6-15 participants
- Total EU contribution: €1-4 m (average around €2m)
- Fixed workplan and fixed partnership for duration

Networks of excellence

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

The 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
- where appropriate, innovation-related activities

Consortium management activities

Networks of excellence

Experience of NoEs in FP6

- Purpose: Durable integration of participants' research activities
- Target audience: research institutions, universities, mainly indirectly: industry – through governing boards etc
- Typical duration: 48-60 months
(but indefinite integration!)
- Optimum consortium: 6-12 participants
- Total EU contribution: €4-10m (average around €5m)
- Flexibility in implementation:
 - Update of workplan
 - Possibility to add participants through competitive calls

Coordination actions

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 actions

Coordination activities include

- 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
- Consortium management activities

Coordination actions

Experience of CAs in FP6

- Purpose: Co-ordination of research activities
- Target Audience: Research institutions, universities, industry incl. SMEs
- Typical duration: 18-36 months
- Optimum consortium: 13-26 participants
- Total EU contribution: €0.5-2m (average around €1m)
- Fixed overall workplan and partnership for the duration

Support actions

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

Support activities include

- 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

Support actions

Experience of SSAs in FP6

- Purpose: Support to programme implementation, preparation of future actions, dissemination of results
- Target audience: Research organisations, universities, industry incl. SMEs
- Typical duration: 9-30 months
- Optimum consortium: 1-15 participants
- Total EU contribution: €0.03-3m (average around €0.5m)
- Fixed overall workplan and partnership for the duration

Funding schemes in ICT

The Commission never “changes instruments”.

A proposal submitted to us as an IP is evaluated using the IP evaluation criteria, and is ranked against the other IP proposals submitted in the call

So be sure you are using the right instrument for your project idea !

Proposals and projects in FP7

3. Submission and selection

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
- Model grant agreement



Electronic Submission

EPSS - Electronic Proposal Submission System

- Online preparation only
- Improved validation checks before submission is accepted
- FP6 Submission 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 !

Eligibility checks

- Date and time of receipt of proposal on or before deadline
 - Firm deadlines - except for Continuously open calls
- 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)
- In scope of the call

Proposal Part A (online)

A1

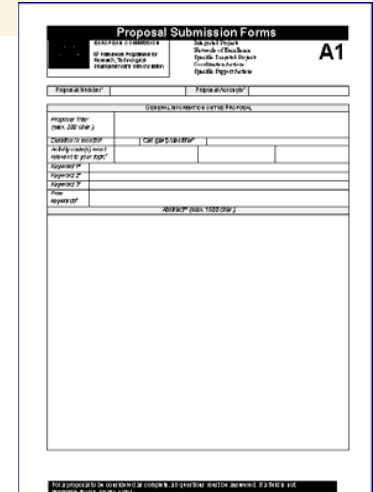
- Title, acronym, objective etc.
- free keywords
- 2000 character proposal abstract
- previous/current submission (in FP7)

A2

- Legal address/administrator address/R&D address
- Clear identification as SME/Public body/Research centre/ Educ. establishment
- Proposer identification code PIC (later calls)

A3

- More cost detail (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 'Proposer Information', 'Project Information', and 'Financial Information'. The form is designed for online submission and includes various fields for text and numerical data.

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

Part B templates are already available from your
National Contact Point (NCP) !

Ethical issues

New annex “ICT-Ethics” in the Guide for Applicants.

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

Does your proposal show...?

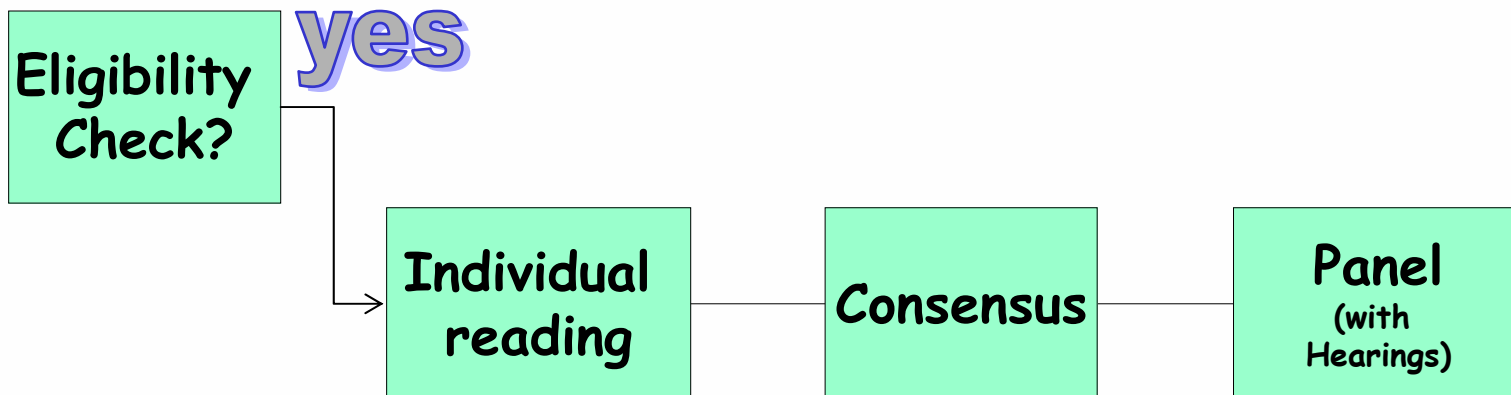
- that you fully understand the ethical issues involved in your planned action
- that you have adequate plans to deal with them
- that there are clear lines of responsibility
- that you will review and report on these issues on a regular basis

Other issues

- Subcontracting – “core” activities cannot be subcontracted
- Justification and integration of any third country participation
- Ethical issues

Evaluation process

- On-site evaluation
- Independent experts
- One step evaluation



Collaborative projects

1. Scientific and technical quality

- Soundness of concept, and quality of objectives
- Progress beyond the state-of-the-art
- Quality and effectiveness of the S & T methodology and associated workplan

1. Scientific and technical quality

- Soundness of concept, and quality of objectives
- Contribution to long term integration of high quality S/T research
- Quality and effectiveness of the joint programme of activities and associated workplan

1. Scientific and technical quality

- Soundness of concept, and quality of objectives
- Contribution to the coordination of high quality research Coordination actions only
- Quality and effectiveness of the coordination/support action mechanisms and associated workplan

Collaborative projects

2. Implementation

- Appropriateness of the management structures and procedures
- Quality and relevant experience of the individual participants
- Quality of the consortium as a whole (including complementarity, balance)
- Appropriate allocation and justification of the resources to be committed (budget, staff, equipment)

2. Implementation

- Appropriateness of the management structures and procedures
- Quality and relevant experience of the individual participants
- **Quality of the consortium as a whole**
(including ability to tackle fragmentation of the research field and commitment towards a deep and durable institutional integration)
- **Adequacy of resources for successfully carrying out the joint programme of activities**

2. Implementation

- Appropriateness of the management structures and procedures
- Quality and relevant experience of the individual participants
- Quality of the consortium as a whole (including complementarity, balance) for Support actions, apply only if relevant
- Appropriateness of the allocation and justification of the resources to be committed (budget, staff, equipment)

Collaborative projects

3. Impact

- Contribution at the European or international level to the expected impacts listed in the workprogramme under the relevant activity
- Appropriateness of measures for the dissemination and/or exploitation of project results, and management of intellectual property

3. Impact

- Contribution at the European or international level to the expected impacts listed in the workprogramme under the relevant activity
- Appropriateness of measures for spreading excellence, exploiting results and disseminating knowledge through engagement with stakeholders and the public at large

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- Contribution at the European or international level to the expected impacts listed in the workprogramme under the relevant activity
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Evaluation criteria scoring

- Scale of 1-5 (and 0)
- Criterion threshold 3/5
- Overall threshold 10/15

When writing your proposal....

Divide your effort over the evaluation criteria

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

Think of the finishing touches which signal quality work to a busy evaluator:

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

When writing your proposal....

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

Timetable of ICT Call 1

- Deadline for submission of proposals:
17h00 8th May 2007
- Evaluation of proposals: *Commencing early June*
- Invitation letter to Hearings: *Weeks commencing 11th or 18th June*
- Hearings: *Week commencing 25th June*
- Evaluation Summary Reports: *Mid-July*
- Invitation to negotiations : *Early August*
- Signature of first grant agreements : *October-November*

Getting help with your proposal

The ICT theme supports

- Information days and briefings in Brussels and elsewhere
- Partner search facilities (<http://www.ideal-ist.net/>)
- A supporting website of advice, information and documentation (<http://cordis.europa.eu/fp7/ict/>)
- A Helpdesk for proposers' questions, reachable by email or phone (and a Helpdesk for electronic proposal submission)
- A list of contact persons for the objectives in each call

And a network of National Contact Points in Europe and beyond:

http://cordis.europa.eu/fp7/ncp_en.html