Part II

Proposal preparation, special focus on 3th Country possibilities and barriers

Minsk, June 2009 By Bent Egebart, Bent@whyse.dk

Communicate and Interact!

Whyse

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Whyse

Agenda

+ Intro focussing on Third Country participation

+ Proposal Part A

+ Proposal Part B (**Exercise**)

+ PIC/LEAR & Electronic submisson

+ Evaluation (**Exercise**)

+ Consortium Agreement (CA) & IPR

+ Contract negotiation (**Exercise**)

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Communicate and Interact!

Whyse

Ask yourself (you have to do it sooner or later anyhow)

✓ Do you clearly understand the pro's and con's of involvement in FP7?

✓ Are you willing to co-operate internationally?

✓ Does your capabilities match the Call requirements?

✓ Do you have resources to invest in time and money?

✓ Do you have a supportive team and organisation?

✓ Are there any favourable external research conditions to exploit?

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Refresh: Eligible countries

While FP7 participants can in principle be based anywhere, there are different categories of country which may have varying eligibility for different specific and work programmes:

- MEMBER STATES - The EU-27;

- ASSOCIATED COUNTRIES – with science and technology cooperation agreements that involved contributing to the framework programme budget;

- CANDIDATE COUNTRIES – currently recognised as candidates for future accession;

- THIRD COUNTRIES - the participation of organisations or individuals established in countries that are not Member States, candidates or associated should also be justified in terms of the enhanced contribution to the objectives of FP7.

FP7 and 3th counntries

Organisations or individuals from countries outside of the EU and Associated States can participate in FP7:

- In the Capacities programme - in international activities promoting strategic cooperation
- In the People programme – as beneficiaries of training and career development activities
- In the Ideas programme – as participants in European-led research teams
- In the Cooperation programme - as partners in projects

The capacities programme

A strategic planning programme focusing on three main areas

Bi-regional coordination of S&T Cooperation "INCO-NET":
- Establish a dialogue, promote participation in FP7

Bi-lateral S&T cooperation partnerships "BILAT"
- Strengthen partnership with countries which have an S&T cooperation agreement

Coordination of national policies and activities "ERA-NET"
- Increase the cooperation and coordination of national research programmes
  http://cordis.europa.eu/fp7/capacities/home_en.html

The people programme

A human-resources programme with several actions open to third country nationals

Initial training of researchers
- Initial Training Networks

Industry-Academia Partnerships and Pathways

The International dimension
- International fellowships
- Support to research diasporas

http://cordis.europa.eu/fp7/people/home_en.html

The ideas programme

A "frontier" research programme managed by the European Research Council

Offers the possibility for the European research teams to involve third country researchers on the basis of their scientific excellence

http://cordis.europa.eu/fp7/ideas/home_en.html

The Cooperation programme

A research programme in ten Themes
- Health
- Food, Agriculture and Biotechnology
- Information and Communication Technologies
- Nanosciences, Nanotechnologies, Materials and new Production Technologies
- Energy
- Environment (including climate change)
- Transport (including Aeronautics)
- Socio-economic sciences and Humanities
- Security
- Space

http://cordis.europa.eu/fp7/cooperation/home_en.html

Cooperation projects
- minimum consortia

- Three independent legal entities from three different EU Member States or Associated countries (presently: Croatia, Iceland, Israel, Liechtenstein, Norway, Serbia, Switzerland, Turkey*)

- Provided this minimum has been achieved, **any number of additional participants from other countries can be included**,

- For Support actions (SAs) there are no restrictions; proposals may be presented by even a single organisation from any country

*list regularly updated at http://cordis.europa.eu/inco/agreements_fp7_en.html

Cooperation projects - Funding

- Third country participants on the list of <u>International Cooperation Partner Countries</u> (ICPCs) are funded by the Commission

- Normally they are funded on exactly the same basis (percentages of eligible costs) as participants from an EU Member State – nationality plays no role in the calculation of payments

- Alternatively - and unlike Member State participants - they may opt for a lump-sum payment

ICPCs

The International Cooperation Partner Countries are defined as the countries that are classified as low or middle-income third countries. The ICPC countries are listed in Annex 1 to the Workprogramme. In short, they are:

- all the countries in the rest of Europe

- the developing countries overseas

Opportunities for 3th cy's

Specific International Cooperation Actions (SICAs)

- These are international research actions explicitly identified in a theme's Workprogramme, e.g. in ICT

They have a special minimum consortium requirement of 4 participants independent of each other, 2 in the EU or Associated states and 2 in the target region

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Support actions

Support action proposals can be presented by a single organisation from a third country

But remember:

- SA projects are focused activities to support the work of the EC staff in running the framework programme. They are not a third world aid programme

- As for all other instruments, for SAs we clearly define in the Workprogramme what actions we want. Proposals for activities not included in the Workprogramme are rejected without evaluation, as "out-of-scope"

- Support actions do not conduct S&T research. A research project disguised as a Support action will be recognised and rejected without evaluation

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Overview of a FP7 proposal

Part A

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/
- Educational establishment
- Proposer identification code PIC

A3
- More cost detail (direct/indirect costs distinguished)

Don´t delay the process

Make sure you have all the needed information ready!

(like you organisation's legal name, organisation type etc.)

Often is filling out the part A's last minutes work, but since it is essential, do it as the first thing.

We'll come back to some important issues later

Part B

This is the real application!

Beware, this rtf/doc file have to be converted to pdf before uploading to the electronic proposal system.

If you do not know how to do it, make sure to quickly learn it.

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Part B, Content 1

* Partners

* Abstract

* Concept and objectives

* Progress beyond the state-of-the-art

* S/T methodology and associated work-plan
  - work-packages list
  - deliverables list
  - work-packages description (one for each wp)
  - staff effort
  - Milestones list

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Part B, Content 1+

* Partners   Areas where you can make an important contribution

* Abstract

* Concept and objectives

* Progress beyond the state-of-the-art

* S/T methodology and associated work-plan
  - work-packages list
  - deliverables list
  - work-packages description (one for each wp)
  - staff effort
  - Milestones list

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Part B, Content 2

Areas where you can make an important contribution

✤ Implementation
- Management
- Individual participants
- Consortium as a whole

✤ Impact
- Expected impacts listed in the work programme
- Dissemination
- Exploitation
- Management of IPR

✤ Ethical Issues

What is the project about?

Formulate the content of the proposal in a clear way

Don´t force the evaluators to guess

Have the objective been read of a peer, who have nothing to do with the proposal itself.

There are plenty of space to bring in the domains buzzwords

Beyond the state of the art?

Probably the most important part of the whole application

Do not spend all the time in the current state of the art.

Create an understanding of current situation and that you know it - well, so you clearly can describe it.

Now spend some time telling why and how this proposal goes beyond the current position

You are "just" one partner out of 5-8, but contribute to this issue

Work-packages

All work packages will be carefully evaluated

You could be the leader of one of them

When you describe it, make sure others that you really understand what is being done, how corporation takes place, how measurable the outcome are.

Each partner involved in the wp must have a good reason to be involved, and a good background to perform

Role of each participant

Roles

Skill(s) A

Skill(s) B

Skill(s) C

User(s)

Integrator(s)

Academia(s)
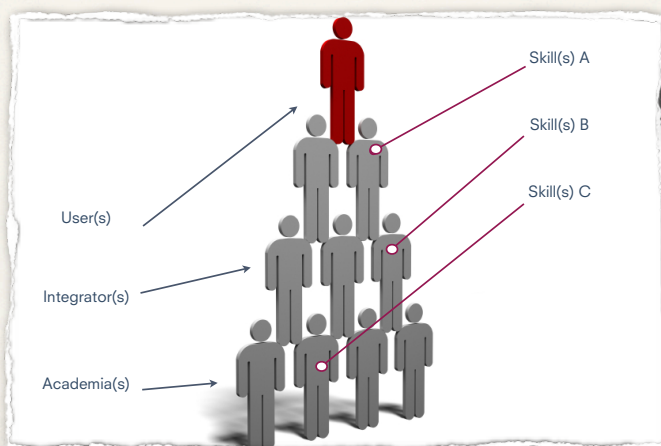
Supplementary - Complementary

Budget

Appropriateness of the allocated and justification of the resources to be committed (budget, staff, equipment)

Appropriate (suitable or proper in the circumstances)

Allocated (distribute (resources or duties) for a particular purpose)

Justification (show or prove to be right or reasonable)

Management

How is the project controlled, as a whole and down to each work packages and even down to a deliverable within a work packages?

Here are some issues, outside the projects objectives, which also needs specific care:

✳ Decision making process

✳ IPR management

✳ Structure and procedures

Dissemination & Exploitation

✦ spread or disperse (something, esp. information) widely & make full use of and derive benefit from (a resource)

B3.1 & B3.2 Dissemination and/or Exploitation of project results and management of IPR

Describe the measures you propose for the dissemination and/or exploitation of project results, and the management of knowledge, of intellectual property, and of other innovation related activities arising from the project.

This section should include the description of plans for the dissemination and/or exploitation of the results for the consortium as a whole and for the individual participants in concrete terms, for example by describing the dissemination and/or exploitation strategies, the user groups to be involved and how they will be involved, the tools and/or means to be used to disseminate the results and the strategic impact of the proposed project in terms of improvement of competitiveness or creation of market opportunities for the participants.

Exploitation is a vital part of this section. Emphasise the usefulness and range of applications, which might arise from the project. Explain the partners' capability to exploit the results of the project and detail how you foresee doing this in a credible way. Refer to the draft Consortium Agreement with respect to exploitation rights within the consortium. This is particularly important. Be specific and quantify things such as accessible market etc.

Dissemination

✦ Dissemination means the action(s) taken to make publicly known the results of the project.

Some of the actions could usually be:

- articles in journals
- monographs
- lectures and talks at conferences
- mass-media (radio, TV, newspapers)
- brochures, leaflets, etc
- website
- organisation of workshops, seminars

Corporation, sure?

Expected impact

❖ B3.1 Expected impacts listed in the work program

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

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Expected impact

Expected impact

- Strengthened competitiveness of European businesses in all sectors of the economy through more automated processes, new classes of applications, and more generic and open architectures, and through the support to standards as well as dynamic and composite business models for the delivery of customisable high added value products or services.

- European leadership in the supply of integrated business solutions exploiting the fast development of RFIDs and smart tags and taking advantage of fusion between the real world and the virtual web-based world.

Funding schemes

a), b): IP, STREP; c): CSA

Indicative budget distribution[10]

- IP/STREP: EUR 35 million; the objective is to support at least 2 IPs

- CSA: EUR 2 million

Call

ICT call 5

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Financial issues

	Non-profit public bodies, secondary and higher education establishments, research organisations and SMEs	All other organisations
Research and technological development activities	75%	50%[70]
Demonstration activities	50%	50%
Coordination and support actions	100%	100%
Management, audit certificates and other activities[71]	100%	100%

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Soundness

- The whole set-up should give the following remarks from the evaluators "**of course this is the way to do it**"

- No peculiar action or special undocumented need for expensive equipment

- Transparent, all actions have to be link and inter-link in a straightforward way.

- No question like "why is this partner in this work packages?" must appear in the mind of the evaluators
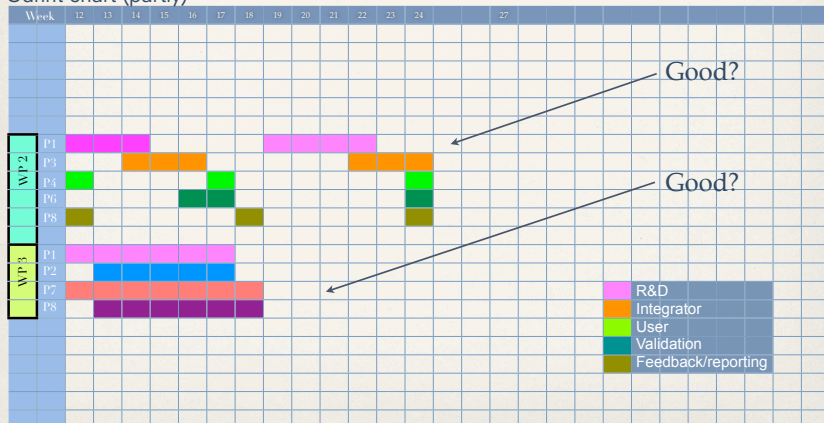
Skills and roles

- Be very careful about redundant partners (= skills already exist in another partner)

- Most project needs participants roles like user, integrator, developer, researcher. Make sure this is clearly described.

WP/Partner/Role/Resources

Gannt chart (partly)

PIC (Participant Identification Code)

Thank you for registering with the European Commission using the Unique Registration Facility.

Your PIC number is: 994197815

You will receive a confirmation of your registration shortly.

In this stage you can upload documents up to 10 Mega from the main page (press on the link below). You will not be able to download documents.

For all participating organisations in FP7

● The organisations that already have signed an FP7 grant agreement have already been assigned a PIC.

● Obtain a PIC by registering in the Unique Registration Facility (URF) which is hosted in the Participant Portal. The PIC can then be used for proposal submission.

● http://cordis.europa.eu/fp7/pp-pic_en.html

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LEAR (Legal Entity Appointed Representative)

A legal signatory of each legal entity must appoint one person

(the so-called LEAR – Legal Entity Appointed Representative)

for being the correspondent towards the Commission on all issues

related to the legal status of the entity.

http://cordis.europa.eu/fp7/pp-lear_en.html

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LEAR (Appointment form)

Appointment of the Legal Entity Appointed Representative

[Please note that the document was not translated. Therefore it is only available in English]

Subject: **PIC:**
             Legal entity:

To the attention of the LEAR Management Team, European Commission (RTD-T5),

I, Mr/Mrs «………………………», in my function as «………………………» and thereby authorised to represent my organisation legally, am pleased to inform you that we have appointed to represent our legal entity as Legal Entity Appointed Representative or LEAR:
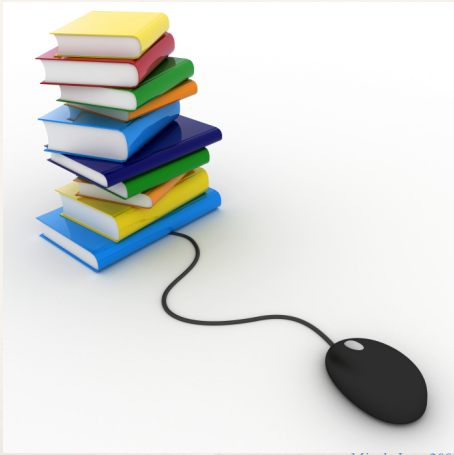
    LEAR first name:
    LEAR last name:
    LEAR title:
    Postal address:
    Email:
    Telephone:
    Fax

The LEAR accepts taking his responsibilities in conformity with the description of role and tasks described in annex.

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Electronic submission

EPSS (1)

Main reason for failure; waiting till the last minute
- Technical problems
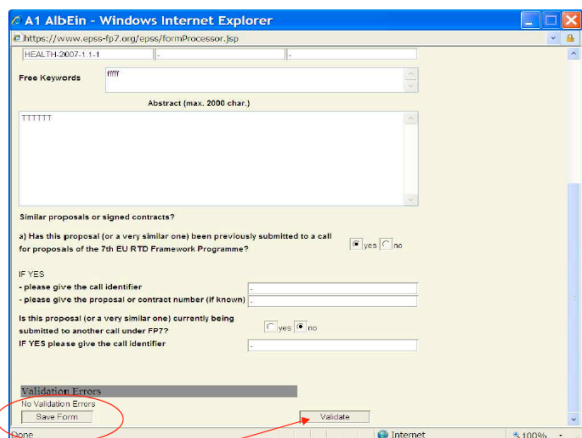- Panic-induced errors
- Too late starting upload, run out of time

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

EPSS (2)

Part A 1 -the important abstract

EPSS (3)

Part A 2 and A3 pr. participant
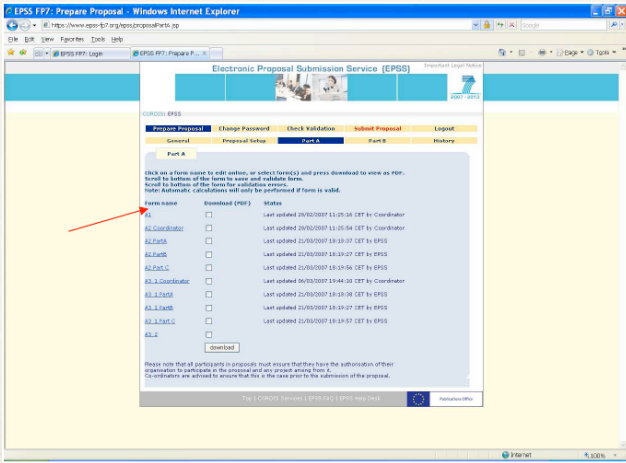
EPSS (4)

Part B (as pdf-file have to be uploaded from here)
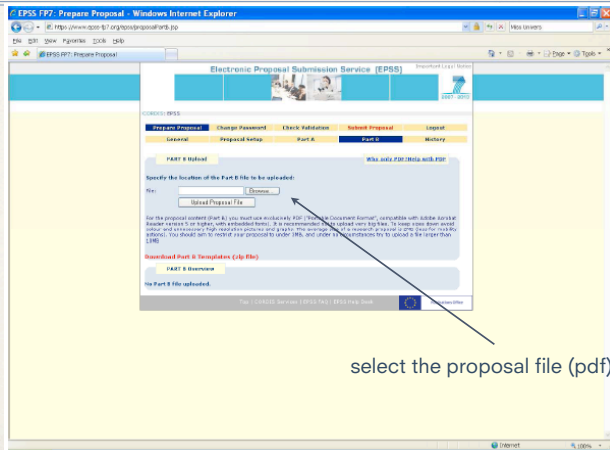
select the proposal file (pdf)

Evaluation process
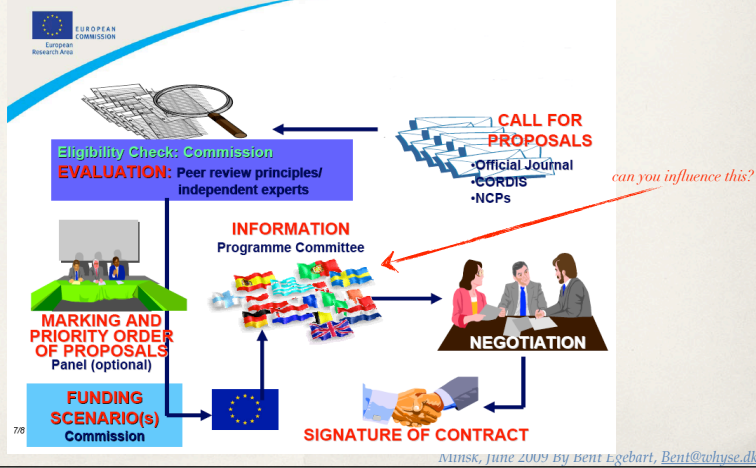
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Evaluation form(s)
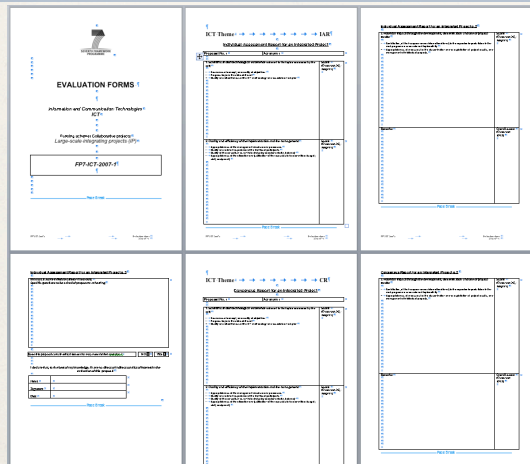
each project type have it's own form

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Evaluation form (ip)

1. Scientific and/or technological excellence (relevant to the topics addressed by the call)	Score: (Threshold 3/5; Weight 1)
• Soundness of concept, and quality of objectives • Progress beyond the state-of-the-art • Quality and effectiveness of the S/T methodology and associated work plan	

2. Quality and efficiency of the implementation and the management	Score: (Threshold 3/5; Weight 1)
• Appropriateness of the management structure and procedures • Quality and relevant experience of the individual participants • Quality of the consortium as a whole (including complementarity, balance) • Appropriateness of the allocation and justification of the resources to be committed (budget, staff, equipment)	

3. Potential impact through the development, dissemination and use of project results	Score: (Threshold 3/5; Weight 1)
• Contribution, at the European and/or international level, to the expected impacts listed in the work programme under relevant topic/activity • Appropriateness of measures for the dissemination and/or exploitation of project results, and management of intellectual property.	

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Funding schemes (Project types)

1. Collaborative projects
Support for research projects carried out by consortia with participants from different countries, aiming at developing new knowledge, new technology, products, demonstration activities or common resources for research. The size, scope and internal organisation of projects can vary from field to field and from topic to topic. Projects can range from small or medium-scale focused research actions to large scale integrating projects for achieving a defined objective. Projects should also target special groups such as SMEs and other smaller actors.

2. Networks of Excellence
Support for a Joint Programme of Activities implemented by a number of research organisations integrating their activities in a given field, carried out by research teams in the framework of longer term cooperation. The implementation of this Joint Programme of Activities will require a formal commitment of the organisations integrating part of their resources and their activities.

3. Coordination and support actions
Support for activities aimed at coordinating or supporting research activities and policies (networking, exchanges, trans-national access to research infrastructures, studies, conferences, etc.). These actions may also be implemented by means other than calls for

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"Help" the evaluator (why not?)

You know how the evaluation form look!

Make sure to clearly address each point in the form

Make sure that you statement easily can be copied into the evaluation report

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When writing

Divide your effort over the evaluation criteria

• Many proposers concentrate on the scientific element, but loose marks on project implementation or impact description

Think of the finishing touches which signal quality work:

• clear language
• well-organised 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 …

"Help" the evaluator (why not?)

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

- 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

* by cut and paste into the form

Consortium Agreement

all participants in an indirect action shall conclude an agreement, hereinafter 'the consortium agreement',
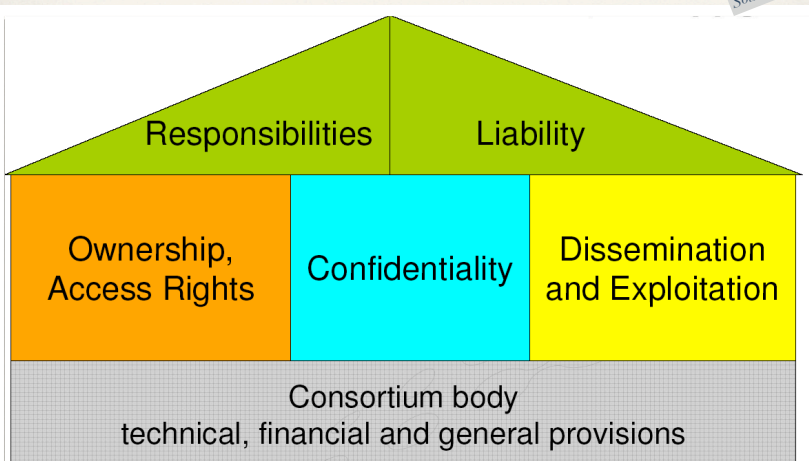
- ✤ CA is a treaty between the project partners.

- ✤ Commission is not a party of the CA.

- ✤ CA should in principle be negotiated and signed before starting the project.

- ✤ Provisions of a CA should not affect the beneficiaries' obligations to the EC and/or to each other arising from the Rules for participation (RfP) and the Grant Agreement.

Important provisions of CA

Source: Desca

Responsibilities | Liability

Ownership, Access Rights | Confidentiality | Dissemination and Exploitation

Consortium body
technical, financial and general provisions

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IPR

- Help Desk (http://www.ipr-helpdesk.org/)

- **Foreground**
  means the results, including information, materials and knowledge, generated in a given project, whether or not they can be protected (short).

- **Background**
  is information and knowledge (including inventions, databases, etc.) held by the participants prior to their accession to the EC grant agreement (short).

- **Access rights** means licences and user rights to foreground or background owned by another participant in the project.

- **Access rights to foreground and background** - It should be noted that under the EC grant agreement access to another participant's foreground or background is only to be granted if the requesting participant needs that access

in order to carry out the project or to use its own foreground.

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Projects		Access rights to *background*	Access rights to *foreground*
For implementing the project	General	Yes, if a participant needs them for carrying out its own work under the project (Article 49.1-2 RfP ; Article II.33.1-2 of ECGA)	
		Royalty-free, unless otherwise agreed before acceding to the grant agreement (Article 49.2 RfP ; Article II.33.2 of ECGA)	Royalty-free (Article 49.1 RfP ; Article II.33.1 of ECGA)
	FRAs	Royalty-free (Article 51.1 RfP)	
	ABSGs	Access to the background of RTD Performers is always royalty-free (Article 49.2 RfP, last sentence)	
For use purposes (exploitation + further research)	General	Yes, if a participant needs them for using its own foreground (Article 50.1-2 RfP ; Article II.34.1-2 of ECGA)	
		Either royalty-free, or on fair and reasonable conditions to be agreed (Article 50.1-2 RfP ; Article II.34.1-2 of ECGA)	
	FRAs	For further R&D : royalty-free For other use purposes (exploitation) : Royalty-free, unless otherwise agreed in the grant agreement (Article 51.1 RfP)	
	ABSGs	RTD Performers shall grant access on a royalty-free basis, or on fair and reasonable conditions to be agreed prior to signing of the grant agreement (Article 50.6 RfP)	ARs may be granted to RTD Performers on fair and reasonable conditions for further R&D purposes (see Article 50.5 RfP)

General = all collaborative projects
FRAs = Frontier research actions
ABSGs = Actions for the benefit of specific groups (
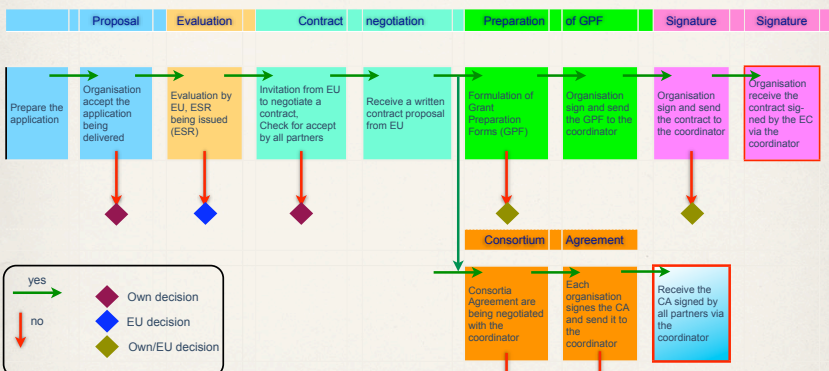
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Contracts negotiation

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Acronyms/definitions

- "Rules for Participation"2 ("RfP")

- "EC model Grant Agreement"3 ("ECGA").

- Intellectual Property Rights (IPR)

- A "**participant**"7 is a legal entity taking part in an indirect action (i.e. a specific FP7 project undertaken by one or more participants) and having the rights and obligations defined by the EC Grant Agreement entered into with the European Commission (on behalf of the European Community). For the sake of simplicity, hereafter the word "participant(s)" will be used to indicate those participating in a given project.

- A "**consortium**" is the term used to describe all of the participants in the same project.

- The term "**third party**" is used to describe a legal entity which does not participate in the same project8, even though such third party may participate in another FP7 project.

- Only a "**legal entity**" as defined in the Rules for Participation9 (e.g. company, university, research centre, individual) can become a participant in a FP7 project. A department (or faculty, university institute etc.) which does not have legal status cannot.

- The "**coordinator**" has a very specific role amongst the participants in a given project. It has to "monitor the compliance by participants [beneficiaries] with their obligations under this grant *agreement*" (Article II. 2.3.e of ECGA), which includes the participants' obligations regarding IPR, dissemination and use issues.

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