GUIDE FOR APPLICANTS

Information and Communication Technologies
ICT

Funding scheme: Collaborative projects
Small and medium-scale focused research projects (STREPs)

FP7-ICT-2007-2

Further copies of this Guide, together with all information related to this Call for Proposals, can be downloaded via http://cordis.europa.eu/fp7/ict/participating/home_en.html

About this Guide

This is version number 2 of the FP7 ICT Guide for Applicants for calls using single-stage submission procedures.

- The main part of this Guide (Sections 1-5) is common to all the ICT single-stage 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. In comparison to version 1 of this Guide, 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 web-site. The Guide does not in itself have legal value, and thus does not supersede those documents.

Contents

1. Getting started

Funding decisions in the Seventh Framework Programme (FP7) are made on the basis of **proposals**. Proposals describe planned research activities, information on who will carry them out, and how much they will cost. The Commission evaluates all eligible proposals in order to identify those whose quality is sufficiently high for possible funding. 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.

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 may also be 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 fiche**, 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).

2. About the funding scheme

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 Small and medium-scale focused research projects (STREPs), and a description of these is given later in this section.

However, where the call allows a choice of scheme, you are advised to first consult the summary tables below to make sure that you have selected the one that most closely matches your own plans. Please note that special conditions may apply on a call-by-call basis. These will always be set out in the work programme.

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

[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".

Funding Scheme	Purpose	"Target " audience	Activities covered by EU contribution	Form of reimbursement	Average duration	Flexibility	Enlargement of partnership within the initial budget	Specific characteristics
Large-scale integrating project (IP)	Projects aiming at developing new knowledge, new technology, products, demonstration activities or common resources for research.	Industry, including SMEs Research institutes Universities (Possibly) Potential end-users	Research Demonstration Training Innovation linked activities Management of the consortium	Based on eligible cost , unless other forms are foreseen in the work programme [2]	36-60 months	The description of work (annex 1 to the grant agreement) is normally fixed. If needed an update will be provided for in the grant agreement.	Possible	The number of participants and volume of resources should be compatible with overall objective and manageability of the whole endeavour. In FP6, IPs typically had 10-20 participants and total EC contribution of 4-25 M€

Funding Scheme	Purpose	"Target " audience	Activities covered by EU contribution	Form of reimbursement	Average duration	Flexibility	Enlargement of partnership within the initial budget	Specific characteristics
Small and medium-scale focused research project (STREPs)	Projects aiming at developing new knowledge, new technology, products, demonstration activities or common resources for research.	Industry, including SMEs Research institutes Universities (Possibly) Potential end-users	Research Demonstration Management of the consortium	Based on eligible cost , unless other forms are foreseen in the work programme [3]	18-36 months	The description of work (annex 1 to the grant agreement) is normally fixed.	NA	The number of participants and volume of resources should be compatible with overall objective and manageability of the whole endeavour. In FP6, STREPs typically had 6-15 participants and total EC contribution of 1-4 M€

[2] International Cooperation Partner Countries (see annex 1 of the work programme) may opt for a lump sum
[3] International Cooperation Partner Countries (see annex 1 of the work programme) may opt for a lump sum

Funding Scheme	Purpose	"Target " audience	Activities covered by EU contribution	Form of reimbursement	Indicative average duration	Flexibility	Enlargement of partnership within the initial budget	Specific characteristics
Network of Excellence (NoE)	Durable integration of the participants' research activities/capacities	Research institutes Universities Mainly <u>indirectly:</u> Industry <u>(possibly</u> through steering committees, governing boards, scientific committees)	<u>Joint programme of activities (JPA)</u>: Integrating activities Joint research programme Spreading of excellence Management of the consortium	Based on eligible cost or lump sum (as specified in the work programme[4])	48-60 months	The description of work (annex 1 to the grant agreement) is normally fixed. If needed an update will be provided for in the grant agreement.	Possible	The number of participants and volume of resources to be integrated should be compatible with: a) the overall objective of a meaningful durable integration of the research capacities of the participants and b) the manageability of the whole endeavour. In FP6, NoEs typically had 6-12 participants and total EC contribution of 4-10 M€

[4] International Cooperation Partner Countries (see annex 1 of the work programme) may opt for a lump sum

Funding Scheme	Purpose	"Target " audience	Activities covered by EU contribution	Form of reimbursement	Average duration	Flexibility	Enlargement of partnership within the initial budget	Specific characteristics
Coordination action (CA)	Coordination of research activities and policies	Research organisations Universities Industry including SME	Networking, coordination and dissemination activities Management of the consortium	Based on eligible cost unless other forms are foreseen in the work programme [5]	Between 18 and 36 months	The description of work (annex 1 to the grant agreement) is normally fixed.	NA	No funding of research, development or demonstration In FP6, CAs typically had 13-26 participants and total EC contribution of 0.5-2 M€

Funding Scheme	Purpose	"Target " audience	Activities covered by EU contribution	Form of reimbursement	Average duration	Flexibility	Enlargement of partnership within the initial budget	Specific characteristics
Support Action (SA)	Support to research activities and policies	Research organisations Universities Industry including SME	Conferences, seminars, workshops, working groups, studies, fact finding, monitoring, strategy development, awards and competitions, working or expert groups, operational support and dissemination, information and communication activities Management of the consortium	Based on eligible cost unless other forms are foreseen in the work programme [6]	Between 9 and 30 months	The description of work (annex 1 to the grant agreement) is normally fixed.	NA	No funding of research, development or demonstration Normally focused on one specific activity and often one specific event. Possibility of one single participant In FP6, SAs typically had 1-15 participants and total EC contribution of 0.03-3 M€

[5] International Cooperation Partner Countries (see annex 1 of the work programme) may opt for a lump sum
[6] International Cooperation Partner Countries (see annex 1 of the work programme) may opt for a lump sum

2.2 Small and medium-scale focused research projects (STREPs)

Purpose

Small and medium-scale focused research projects (STREPs) are objective-driven research projects, which aim at generating new knowledge, including new technology, or 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.

STREPs 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.

SICAs

STREPs may also be used to support a special form of international co-operation projects, the so-called Specific International Cooperation Actions (SICAs) 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 SICAs have specific rules for participation.

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 can vary from research theme to research theme and from topic to topic. During FP6 the number of participants in STREPs for the IST priority varied from 6 to 15 participants and the EC contribution varied between 1 and 4 M€, with an average around the 2 M€.

Duration

STREPs are expected to last typically eighteen months to three years. However, there is no formal minimum or maximum duration.

Activities

The activities to be carried out in the context of a STREP can 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
- 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)

- management activities, over and above the technical management of individual work packages, linking together all the project components and maintaining communications with the Commission

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.

3. How to apply

3.1. Turning your idea into an effective proposal

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.

> *A small number of calls offer a 'pre-proposal check' service, where you may send in a very short outline of your proposed work, and the Commission staff advise you whether or not it appears to fall within the scope of the call. If offered, details of this service are given in annex 1 of this Guide.*

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 fiche for the conditions applicable to this call.

> *The EU Member States are:*
>
> *Austria, Belgium, Bulgaria, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, United Kingdom.*

> *The Associated Countries are:*

a) Iceland, Liechtenstein, and Norway

b) Switzerland, Israel (subject to satisfactory conclusion of bilateral S/T agreements)

c) Turkey, Croatia, Serbia and FYR of Macedonia

d) Montenegro (Subject to entry into force of protocol 8 to Stabilisation and Association Agreement, and subsequent decisions. To be expected from 1 January 2008)

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 of the work programme.

In the case of an organisation other than these, 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.

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. (Usually a minimum of two European and two ICPC).

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

National Contact Points

A network of National Contact Points (NCPs) has been established to provide advice and support to organisations which are preparing proposals. You are highly recommended to get in touch with your NCP at an early stage. (see annex 1 of this Guide).

Please note that the Commission will give the NCPs 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 NCPs in their service role, and is given under strict conditions of confidentiality.

Other sources of help

Annex 1 of this Guide gives references to these further sources of help for this call. In particular:

- The Commission's general enquiry service on any aspect of FP7. Questions can be sent to a single e-mail address and will be directed to the most appropriate department for reply.

- A dedicated help desk has been set up to deal with technical questions related to the Electronic Proposal Submission Service (EPSS).

- A further help desk providing assistance on intellectual property matters.

- Other services, including partner search facilities

Proposal language

Proposals may be prepared in any official language of the European Union. If your proposal is not in English, a translation of the full proposal would be of assistance to the experts. An English translation of the abstract must be included in Part B of the proposal.

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 of this Guide). This information will be encoded in a structured database for further computer processing to produce, for example, statistics and evaluation reports. This information will also support the experts and Commission staff during the evaluation process.

The information in Part A is entered through a set of on-line forms.

Part B is a "template", or list of headings, rather than an administrative form (see Annex 4 of this Guide). You should follow this structure when presenting the scientific and technical content of your proposal. The template is designed to highlight those aspects that will be assessed against the **evaluation criteria**. It covers, among other things, the nature of the proposed work, the participants and their roles in the proposed project, and the impacts that might be expected to arise from the proposed work.

Only black and white copies of Part B 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 documents linked to it.

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

> *A maximum length may be specified for the different sections of Part B, or for Part B as a whole (see annex 4 of this Guide). You must keep your proposal within these limits. 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.*

> *A small number of calls operate a **continuous submission procedure**. These calls are open for an extended period, during which proposals will be evaluated in batches after fixed cut-off dates. The call fiche will show whether intermediate cut-off dates apply to his call.*

Ethics
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. These principles include the need to ensure the freedom of research and the need to protect the physical and moral integrity of individuals and the welfare of animals. For this reason the European Commission carries out an ethical review of proposals when appropriate.

The following fields of research shall not be financed under this Framework Programme:

- research activity aiming at human cloning for reproductive purposes;
- research activity intended to modify the genetic heritage of human beings which could make such changes heritable[7];
- research activities intended to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.

As regards human embryonic stem cell research, the Commission will maintain the practice of the Sixth Framework Programme, which excludes from Community financial support research activities destroying human embryos, including for the procurement of stem cells. The exclusion of funding of this step of research will not prevent Community funding of subsequent steps involving human embryonic stem cells.

3.2. Proposal submission

About the EPSS
Proposals must be submitted electronically, using the Commission's **Electronic Proposal Submission Service (EPSS**). Proposals arriving at the Commission by any other means are regarded as 'not submitted', and will not be evaluated[8].

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. Full instructions will be found in the "EPSS preparation and submission guide". The most important points are explained below.

Use of the system by the proposal coordinator
As a coordinator you can :

- set up (and modify) your consortium by adding/removing participants
- complete all Part A forms (administrative data)
- 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.

[7] Research relating to cancer treatment of the gonads can be financed.

[8] 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 of this Guide), 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 for the submission of your proposal. 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.

Use of the system by the other participants
Other participants can:

- complete their own sections A2 (participant details) and A3.1 (budget)
- 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.

Submitting the proposal using EPSS
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 "SUBMIT" button.** Only the coordinator is authorised to submit the proposal.

On submission, the EPSS performs an automatic validation of the proposal. An automatic message is sent to the coordinator if the system detects any apparent problems. This automatic validation does not replace the more detailed eligibility check later carried out by the Commission.

Irrespective of any page limits specified in annex 4 of this Guide, there is an overall limit of 10 Mbyte to the size of proposal file Part B.

If successfully submitted, the coordinator receives a message that indicates that the proposal has been received. The coordinator may continue to modify the proposal and submit revised versions overwriting the previous one (by pressing the "SUBMIT button" each time!) right up until the deadline.

If the 'SUBMIT' button is never pressed, the Commission considers that no proposal has been submitted.

For the proposal Part B you must use exclusively PDF ("portable document format", compatible with Adobe version 3 or higher, with embedded fonts). Other file formats will not be accepted by the system.

About the deadline
Call deadlines are absolutely firm and are strictly enforced.

The EPSS will be closed for this call at the call deadline. After this moment, access to the EPSS for this call will be impossible. Do not wait until the last moment before submitting your proposal!

Please note that you may submit successive drafts of your proposal through the EPSS. Each successive submission overwrites the previous version. It is a good idea to **submit a draft well before the deadline**.

> *Leaving your first submission attempt to the last few minutes of the call will give you no time to overcome even the smallest technical difficulties, proposal verification problems or communications delays which may arise. Such events are never accepted as extenuating circumstances; your proposal will be regarded as not having been submitted.*

> *Submission is deemed to occur at the moment when the proposal coordinator presses the "submit" button. It is not the point at which you start the upload. If you wait until too near to the close of the call to start uploading your proposal, there is a serious risk that you will not be able to submit in time.*

> *If you have registered and submitted your proposal in error to another call which closes after this call, the Commission will not be aware of it until it is discovered*

> *among the downloaded proposals for the later call. It will therefore be classified as ineligible because of late arrival.*

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

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

Correcting or revising your proposal

Errors discovered in proposals submitted to the EPSS can be rectified by simply submitting a corrected version. So long as the call has not yet closed, the new submission will overwrite the old one.

Once the deadline has passed, however, the Commission can accept no further additions, corrections or re-submissions. The last eligible version of your proposal received before the deadline is the one which will be evaluated, and no later material can be submitted.

Ancillary material

Only a single PDF file comprising the complete Part B can be uploaded. Unless specified in the call, any hyperlinks to other documents, embedded material, and any other documents (company brochures, supporting documentation, reports, audio, video, multimedia etc.) sent electronically or by post, will be disregarded.

Withdrawing a proposal

You may withdraw a proposal 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".

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 funding scheme?** Check that your proposed work falls within the scope of this call, and that you have applied for one of the eligible funding schemes (see the work programme. If there is a choice, have you opted for the one that best suits your needs? (See section 2 of this Guide).

- **Is your proposal eligible?** The eligibility criteria are given in the work programme. See also annex 2 of 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 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 of 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.

- **Does your proposed work raise ethical issues?** Clearly indicate any potential ethical, safety or regulatory aspects of the proposed research and the way they will be dealt with in your proposed project. An ethical check will take place during the evaluation and an ethical review will take place for proposals dealing with sensitive issues. Proposals may be rejected on ethical grounds if such issues are not dealt with satisfactorily.

- **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 of 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 of this Guide). Remember also the Enquiry service listed in annex 1 of this Guide.

4.2. Final checks before submission

- **Do you have the authorisation** of all the members of the consortium to submit this proposal on their behalf?
- **Are you using the correct Part A forms and Part B format** as given in this document?[9]
- **Is your Part B in portable document format (PDF),** including no material in other formats?

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

- **Have you printed out your Part B**, to check that it really is the file you intend to submit, and that it is complete, printable and readable? After the call deadline it will not be possible to replace your Part B file
- **Is your Part B file within the size limit of 10 Mbytes?**
- **Have you virus-checked your computer?** The attempted submission of files containing a virus is automatically blocked.

4.3. The deadline: very important!

- **Have you, as coordinator, taken the responsibility to submit your proposal?**
- **Have you made yourself familiar with the EPSS in good time?**
- **Have you allowed time to submit a first version of your proposal well in advance of the deadline** (at least several days before), and then to continue to improve it with regular resubmissions?
- **Have you pressed 'SUBMIT' after your final version?**

5. What happens next

Shortly after the call deadline (or batch date in the case of continuously open calls), 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 no. 1. Please note that the brief electronic message given by the EPSS system after each submission is not the official Acknowledgement of receipt.

The sending of an acknowledgement of receipt does not imply that a proposal has been accepted as eligible for evaluation.

> *If you have not received an Acknowledgement of receipt within 12 working days after the call deadline (or cut-off date, in the case of a continuously open call), you should contact the FP7 Enquiry Service without further delay (see annex 1 of this Guide).*

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 **hearings** are planned in this call (see annex 2 of this Guide), you will receive an invitation if your proposal is highly rated in the initial stages of the evaluation. In this case, you will be asked by the evaluation panel to provide further details on the proposal. The letter of invitation will specify the date and time and the particular arrangements. It may also list a number of specific questions concerning the proposal, which you should be prepared to respond to at the hearing. The letter will explain how to reply if you cannot attend in person.

Soon after the completion of the evaluation, the results will be finalised and all 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 their proposal. However, even if the experts viewed your proposal favourably, the Commission cannot at this stage indicate if there is a possibility of EU funding.

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.

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

Based on the results of the evaluation by experts, the Commission draws up the final list of proposals for possible funding, taking account of the available budget.

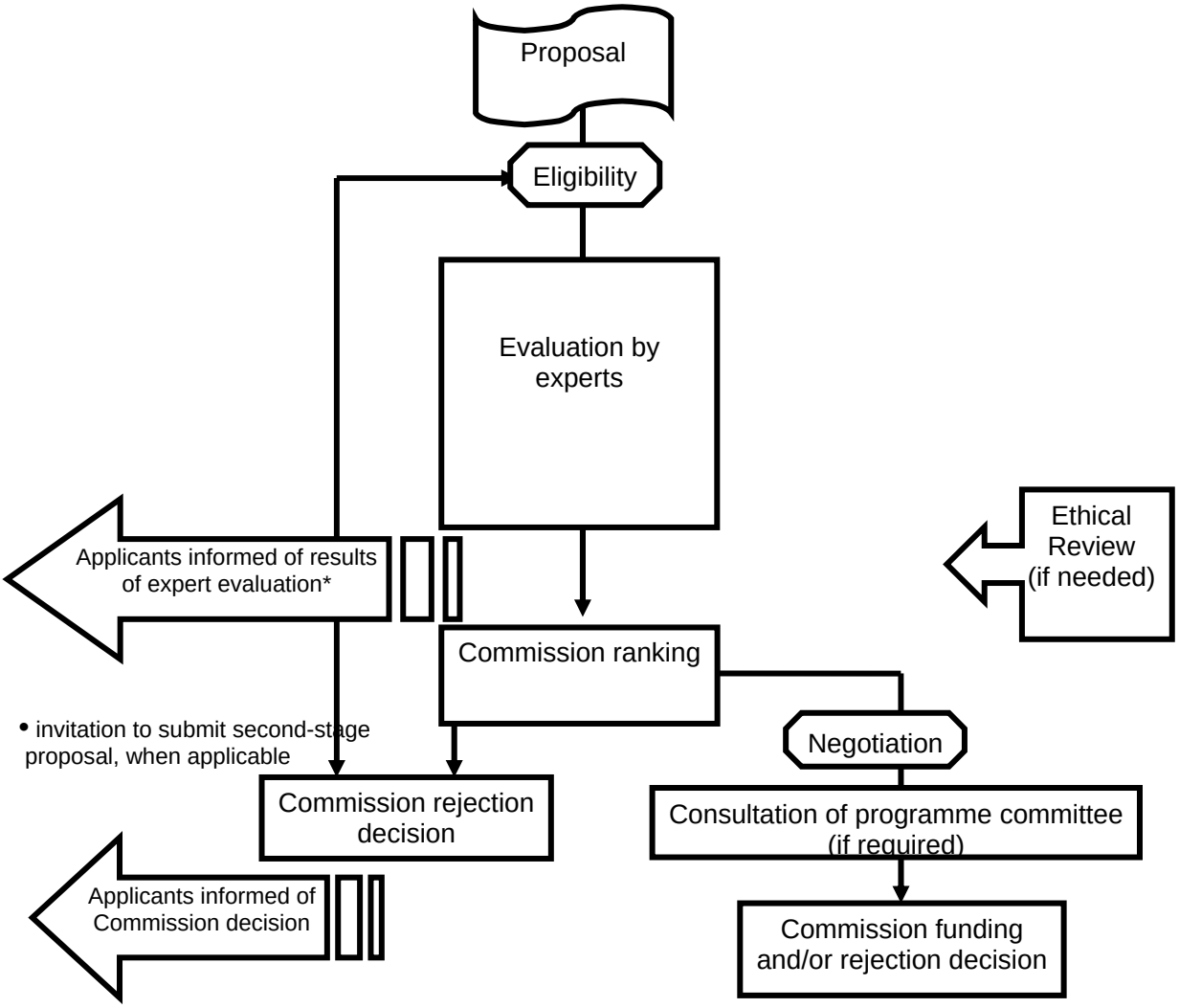
Official letters are then sent to the applicants. If all has gone well, this letter will mark the beginning of a **negotiation** phase. Due to budget constraints, it is also possible that your proposal will be placed on a reserve list. In this case, negotiations will only begin if funds become available. 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.

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

Summary of the evaluation and selection process

The sequence of steps in the evaluation and selection procedure is summarised in the following flow chart:



Risk sharing finance facility

The Risk-Sharing Finance Facility (RSFF) is a new mechanism to foster private sector investment in research. The aim of RSFF is to increase the capacity of the European Investment Bank (EIB) and its financial partners to manage risk. This should allow a larger volume of EIB lending for a certain level of risk, and the financing of riskier European RTD actions than would be possible without such Community support.

This new form of financing involves loans or guarantees that could enable the EIB (and its financial partners) to make loans for high-risk RTD activities. It may be sought either in addition to FP7 grants or instead of FP7 grants.

More information can be found at the web address given in annex 1 of this Guide

Glossary[10]

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 electronically after the deadline 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.

associated countries

> Non-EU countries which have agreed, negotiated and paid to participate in the 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.

applicant

> The term used generally in this guide for a person or entity applying to the Framework programme. The term 'participant' is used in the more limited sense of a member of a proposal or project consortium

C

call fiche

> The part of the work programme giving the basic data for a call for proposals (e.g. topics covered, budget, deadline etc). It is posted as a separate document on the CORDIS web page 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 web-site.

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.

[10] These definitions are provisional, pending Commission decisions on the Rules on submission of proposals and on the Model grant agreement, expected in the first quarter of 2007

consensus discussion

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

coordinator

The member of the consortium who 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.

cut-off date

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

D

deadline

For a particular call, the moment after which proposals will not be received by 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.

E

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 a specific site.

eligibility criteria

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

enquiry service

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

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, specific 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. It normally contains both comments and scores for each evaluation criterion.

F

funding scheme

The type of support that can be given to a project within a call. The funding schemes have different objectives, and are implemented through different grant agreement conditions.

G

grant agreement

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

H

hearing

Applicants whose proposals have been favourably evaluated are sometimes invited to Brussels to answer any specific questions raised by the experts.

I

individual assessment

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

Information Days

Open events organised by the Commission to explain the characteristics of specific calls, and often as well, a chance for potential applicants to meet and discuss proposal ideas and collaborations.

initial information letter

A letter sent by the Commission to applicants shortly after the evaluation by experts, giving a report from the experts on the proposal in question (the Evaluation Summary report).

International Cooperation Partner Countries (ICPC)

See list included in Workprogramme

international organisations of European interest

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

J

Joint Research Centre (JRC)

The Commission's own research laboratories.

M

milestone

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 pre-requisite for the next phase of work.

N

National Contact Points (NCP)

Persons officially 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.

P

Part A

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

Part B

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

participants

The members of a consortium in a proposal or project.

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

R

reserve list

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

Risk-Sharing Finance Facility (RSFF)

A new mechanism to foster private sector investment in research, by increasing the capacity of the EIB and its financial partners to provide loans for European RTD projects.

RTD

Research and technological development.

S

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.

SME

Small or medium sized enterprise.

T

thresholds

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

two-stage submission

Some calls require proposals to be submitted in two stages. In this case, applicants initially present their idea in a brief outline proposal. This is evaluated against a limited number of evaluation criteria, or sub-criteria. Applicants successful in the first stage will be invited to submit a full proposal at the second stage, which will be evaluated against a broader range of criteria.

W

weightings

The scores for certain evaluation criteria may be multiplied by a weighting factor before the total score is calculated. Generally, weightings are set to 1; 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 that sets out the research objectives and topics to be addressed. It also contains information that is set out further in this guide, including the schedule and details of the calls for proposals, indicative budgets, and the evaluation procedure.

Annexes

Annex 1 Timetable and specific information for this call
Annex 2 Evaluation criteria and procedure
Annex 3 Instructions for completing Part A of the proposal
Annex 4 Instructions for drafting Part B of the proposal
Annex 5 Ethical Guidelines for undertaking ICT research in FP7
Annex 6 Pre-proposal check form (Photonic components and subsystems)

Annex 1: Timetable and specific information for this call

- 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 call page. You must consult this document.

- **Indicative timetable for ICT Call 2**

Publication of call	*12th June 2007*
Deadline for submission of proposals	*9th October 2007* *17h00 Brussels time*
Evaluation of proposals	*Commencing early November 2007*[11]
Evaluation Summary Reports sent to all proposal coordinators	*Mid-December 2007*
Invitation letter to successful applicants to launch negotiations with Commission services	*Late December 2007*
Letters to unsuccessful applicants	*From January 2008*
Signature of first grant agreements	*March 2008*

- **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.

General sources of help

National Contact Points	http://cordis.europa.eu/fp7/ncp_en.html
FP7 Enquiry service	http://ec.europa.eu/research/enquiries
ICT Information desk	email ict@ec.europa.eu tel: +32 2 296 8596 fax: +32 2 296 8388
EPSS Help desk	tel: +32 2 233 3760 email support@epss-fp7.org
CORDIS FP7 service	http://cordis.europa.eu/fp7/participate_en.html
Risk sharing financing facility (European Investment Bank)	http://www.eib.org/rsff

FP7/ICT Support projects

Idealist partner search project	http://www.ideal-ist.net/
Finance Helpdesk	http://www.finance-helpdesk.org

[11] Remote reading of proposals in Photonic components and Subsystems commences mid-October

IPR helpdesk http://www.ipr-helpdesk.org/index.html

Legal documents generally applicable
Decision on the Framework Programme
Rules for Participation
Specific Programmes
Rules for proposal submission, evaluation selection and award

Contractual information
Consortium agreement checklist
Negotiation guidance notes
Financial guidelines
Model Grant agreement

All the above[12] at http://cordis.europa.eu/fp7/

- **Pre-proposal check- Objective ICT-2007.3.5 Photonic components and subsystems**

For the objective "Photonic components and subsystems" in this call the Commission offers a facility to allow a proposer to check on the appropriateness of their proposed action and the eligibility of the proposal consortium.

A form to request this check on your proposal is supplied as annex 6 of this Guide. This may be submitted at any time up to three weeks before the close of call.

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.

Although this pre-proposal assessment service is entirely optional it is highly recommended to use this facility. Any proposal can always be submitted directly to the call without a pre-proposal check.

[12] Some of these documents are in course of preparation and will be made available as soon as possible

Annex 2: Evaluation criteria and procedures to be applied to STREP proposals in this call

1. General

All eligible proposals will be evaluated by independent experts.

- Commission staff ensure that the process is fair, and in line with the principles contained in the Commission's rules[13].

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

In addition, an independent expert or 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 observer(s) 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(s) will not express views on the proposals under examination or the experts' opinions on the proposals.

2. Before the evaluation

On receipt by the Commission, proposals are registered and acknowledged and their contents entered into a database to support the evaluation process. Eligibility criteria for each proposal are also checked by Commission staff before the evaluation begins. Proposals which do not fulfil these criteria will not be included in the evaluation.

For this call a proposal will only be considered eligible if it meets all of the following conditions:

- It is received by the Commission before the deadline given in the call fiche
- It involves at least the minimum number of participants given in the call fiche
- It is complete (i.e. both the requested administrative forms and the proposal description are present)
- 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

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;
- A reasonable distribution of geographical origins;
- Regular rotation of experts

[13] Rules on submission of proposals, and the related, evaluation, selection and award procedures [to be published]

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.

3. Evaluation of proposals

At the beginning of the evaluation, experts will be briefed by Commission staff, covering the evaluation procedure, the experts' responsibilities, the issues involved in the particular area/objective, and other relevant material.

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

Evaluation criteria applicable to **Collaborative project proposals (IP or STREP)**		
S/T QUALITY **"Scientific and/or technological excellence (relevant to the topics addressed by the call)"**	**IMPLEMENTATION** **"Quality and efficiency of the implementation and the management"**	**IMPACT** **"Potential impact through the development, dissemination and use of project results"**
• 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	• 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)	• 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.

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 topic(s) of the call, or if only part of the proposal addresses the topic(s), this condition will be reflected in the scoring of the 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:

0 -	*The proposal fails to address the criterion under examination or cannot be judged due to missing or incomplete information*
1 -	***Very poor**. The criterion is addressed in a cursory and unsatisfactory manner.*
2 -	***Poor**. There are serious inherent weaknesses in relation to the criterion in question.*
3 -	***Fair**. While the proposal broadly addresses the criterion, there are significant weaknesses that would need correcting.*
4 -	***Good**. The proposal addresses the criterion well, although certain improvements are possible.*
5 -	***Excellent**. The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor.*

No weightings will be applied.

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

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

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**.**

4. Individual evaluation

The first stage (individual evaluation) will be carried out in Brussels for all objectives except "Photonic components and subsystems". For this objective the first stage will be carried out on the premises of the experts concerned ("remotely").

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. 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 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.

5. Consensus meeting

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 to discuss the scores awarded and to prepare comments.

The consensus discussion is moderated by a representative of the Commission. The role of the moderator is to seek to arrive at a consensus between the individual views of experts without any prejudice for or against particular proposals or the organisations involved, and to ensure a confidential, fair and equitable evaluation of each proposal according to the required evaluation criteria.

The moderator for the group may designate an expert to be responsible for drafting the consensus report ("rapporteur"). The experts attempt to agree on a consensus score for each of the criteria that have been evaluated and suitable comments to justify the scores. Comments should be suitable for feedback to the proposal coordinator. Scores and comments are set out in a consensus report. They also come to a common view on the questions of scope 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 the case that it is impossible to reach a consensus, the report sets out the majority view of the experts but also records any dissenting views.

Ethical issues (above threshold proposals): If one[14] 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).

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.

[14] Exceptionally for this issue, no consensus is required.

Evaluation of a resubmitted proposal: In the case of proposals that have been submitted previously to the Commission in FP7, the moderator gives the experts the previous evaluation summary report (see below) at the consensus stage. If necessary, the experts will be required to provide a clear justification for their scores and comments should these differ markedly from those awarded to the earlier proposal.

6. Panel review

This is the final step involving the independent experts. It allows them to formulate their recommendations to the Commission having had an overview of the results of the consensus step.

The 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 consensus 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
- 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.

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.

A further special ethical review of selected above-threshold proposals will be organised by the Commission when necessary.

Annex 3: Instructions for completing Part A of the proposal

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

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

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

Please note:

- The coordinator fills in the section A1 and section A3.
- The participants (including the coordinator) each fill in section A2.
- Subcontractors are not required to fill in section A2 and should not be listed separately in section A3.

When you complete part A, please make sure that:

- *Numbers are always rounded to the nearest whole number*
- *All costs are given in Euros **(not thousands of Euros),** and must exclude value added tax.*

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

STREPs in the ICT Theme do not include a cost category "Other".

Dissemination activities (normally foreseen in a STREP project) may be classified under "RTD" or "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.

SMALL AND MEDIUM-SCALE FOCUSED RESEARCH PROJECTS

Section A1: Summary	
Proposal Acronym	The short title or acronym will be used to identify your proposal efficiently in this call. It should be of no more than 20 characters (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.
Collaborative Projects	For each type of Collaborative Projects, please refer to the work programme.
Proposal Title	The title should be no longer than 200 characters and should be understandable to the non-specialist in your field.
Duration in months	Insert the estimated duration of the project in full months.
Call (part) identifier	[pre-filled] The call identifier is the reference number given in the call or part of the call you are addressing, as indicated in the publication of the call in the Official Journal of the European Union, and on the CORDIS call page. A call identifier looks like this: *FP7COOP-FOOD-???*
Topic code(s) most relevant to your proposal	Please refer to the topic codes/objectives in the work programme call fiche. 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.
Free Keywords	Please enter a number of keywords that you consider sufficient to characterise the scope of your proposal. There is a limit of 100 characters.
Abstract	The abstract should, at a glance, provide the reader with a clear understanding of the objectives of the proposal, how they will be achieved, and their relevance to the Work Programme. This summary will be used as the short description of the proposal in the evaluation process and in communications to the programme management committees and other interested parties. It must therefore be short and precise and should not contain confidential information. Please use plain typed text, avoiding formulae and other special characters. **If the proposal is written in a language other than English, please include an English version of the proposal abstract in part B.** There is a limit of 2000 characters.
Similar proposals or signed contracts	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.

Section A2/ Participants

Participant number	The number allocated by the consortium to the participant for this proposal. The **co-ordinator** of a proposal is always **number one**.
Participant Identify Code	Not applicable to the first call.
Legal name	**For Public Law Body,** it is the name under which your organisation is registered in the Resolution text, Law, Decree/Decision establishing the Public Entity, or in any other document established at the constitution of the Public Law Body; **For Private Law Body,** it is the name under which your organisation is registered in the national Official Journal (or equivalent) or in the national company register. **For a natural person**, it is for e.g. Mr Adam JOHNSON, Mrs Anna KUZARA, and Ms Alicia DUPONT.
Organisation Short Name	Choose an abbreviation of your Organisation Legal Name, only for use in this proposal and in all relating documents. This short name should not be more than 20 characters 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.
Legal address	For Public and Private Law Bodies, it is the address of the entity's Head Office. For Natural persons 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.
Non-profit organisation	Non-profit organisation is a legal entity qualified as such when it is recognised by national or, international law.
Public body	Public body means any legal entity established as such by national law, and international organisations.
Research organisation	Research organisation means a legal entity established as a non-profit organisation which carries out research or technological development as one of its main objectives.
NACE code	**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: http://ec.europa.eu/eurostat/ramon/nomenclatures/index.cfm?TargetUrl=LST_CLS_DLD&StrNom=NACE_1_1&StrLanguageCode=EN&StrLayoutCode=HIERARCHIC .
Small and Medium-Sized	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

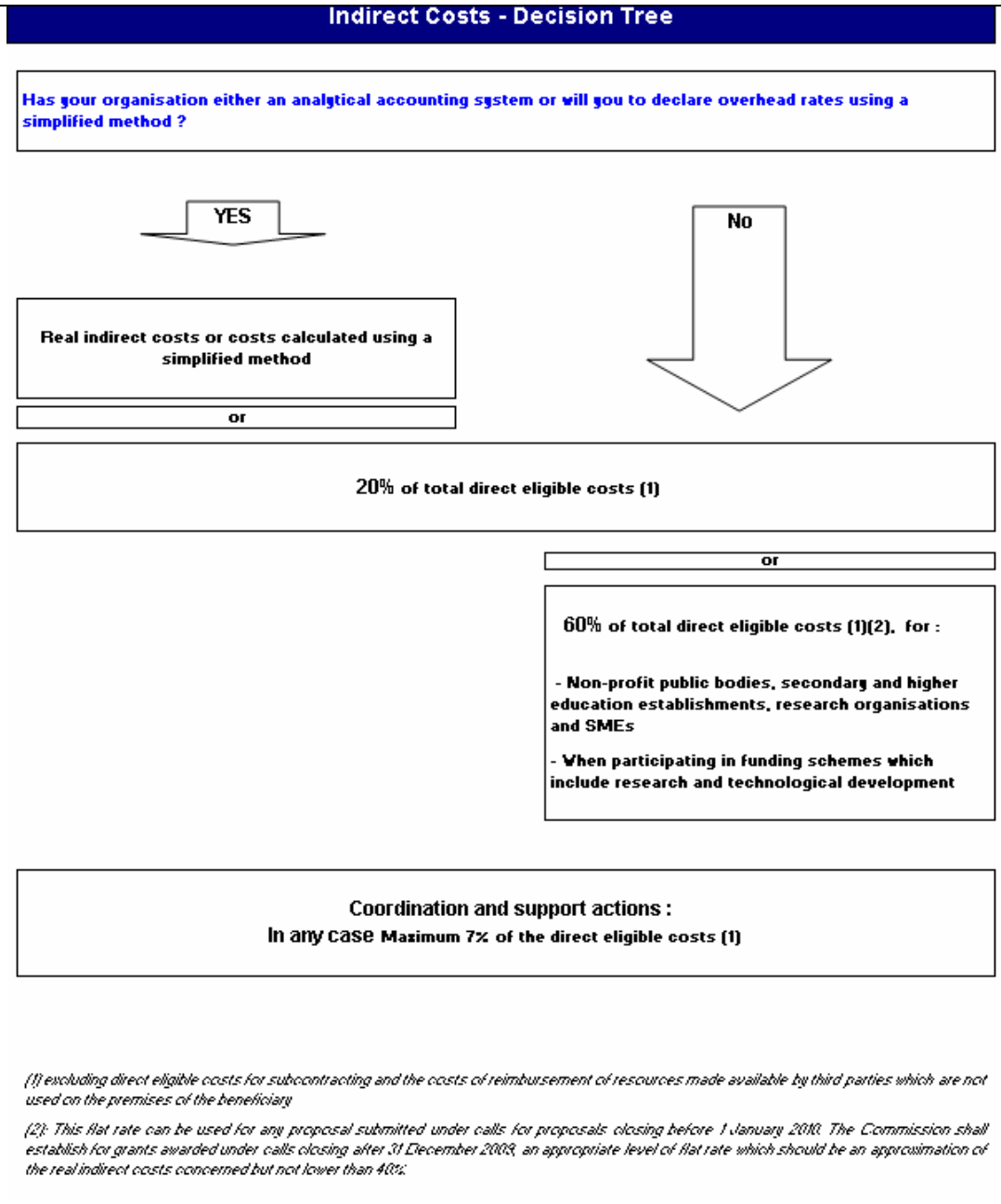
Enterprises (SMEs)	An enterprise is considered as an SME, taking into account its partner enterprises and/or linked enterprises (please see the above mentioned recommendation for an explanation of these notions and their impact on the definition), if it: • employs fewer than 250 persons; • has an annual turnover not exceeding EUR 50 million, and/or an annual balance sheet total not exceeding EUR 43 million. The headcount corresponds to the number of **annual work units** (AWU), i.e. the number of persons who worked full-time within the enterprise in question or on its behalf during the entire reference year under consideration. The work of persons who have not worked the full year, the work of those who have worked part-time, regardless of duration, and the work of seasonal workers are counted as fractions of AWU. The staff consists of: (a) employees; (b) persons working for the enterprise being subordinated to it and deemed to be employees under national law; (c) owner-managers; (d) partners engaging in a regular activity in the enterprise and benefiting from financial advantages from the enterprise. ATTENTION: Apprentices or students engaged in vocational training with an apprenticeship or vocational training contract can not be included as staff. The duration of maternity or parental leaves is also not counted**.** The data to apply to the **financial amounts** (e.g. **turnover** and **balance sheet**), as well as to the headcount of staff, are those relating to the latest approved accounting period and calculated on an annual basis. They are taken into account from the date of closure of the accounts. The amount selected for the turnover is calculated excluding value added tax (VAT) and other indirect taxes. In the case of **newly-established enterprises** whose accounts have not yet been approved, the data to apply is to be derived from a *bona fide* estimate made in the course of the financial year. These organisations must insert "N/A" for the two questions relating to the duration and the closing date of their last approved accounting period.
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**); or – A legal entity directly or indirectly controls another legal entity (**CLS)**; or – A legal entity is directly or indirectly controlled by another legal entity **(CLB)**. ***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, or – 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

Method of calculating indirect costs	Indirect costs shall represent a fair apportionment of the overall overheads of the organisation. They may be identified according to one of the following methods: • **Real indirect costs**: A participant may use a simplified method of calculation of its full indirect eligible cost at the level of its legal entity if it is in accordance with its usual accounting and management principles and practices. Use of such a method is only acceptable where the lack of analytical accounting or the legal requirement to use a form of cash-based accounting prevents detailed cost allocation. The simplified approach must be based on actual costs derived from the financial accounts of the period in question. • A participant may opt for **a flat-rate of 20%** of its total direct eligible costs, excluding its 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. • Non-profit public bodies, secondary and higher education establishments, and research organisations and SMEs, which are unable to identify with certainty their real indirect costs for the project, when participating in funding schemes which include research and technological development and demonstration activities may opt for **a flat-rate of 60%** of the total direct eligible costs[15] excluding 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. If these participants change their status during the life of the project, this flat rate shall be applicable up to the moment they lose their status. The participant shall apply the method chosen in all grant agreements under the Seventh Framework Programme.

[15] The rate established in this indent will apply for grants awarded under calls for proposals closing before 1 January 2010. The Commission shall establish, for grants awarded under calls closing after 31 December 2009, an appropriate level of flat rate which should be an approximation of the real indirect costs concerned but not lower than 40%, at that moment a special clause will be adopted and inserted in subsequent grant-agreements.



(1) excluding direct eligible costs for subcontracting and the costs of reimbursement of resources made available by third parties which are not used on the premises of the beneficiary

(2): This flat rate can be used for any proposal submitted under calls for proposals closing before 1 January 2010. The Commission shall establish for grants awarded under calls closing after 31 December 2009, an appropriate level of flat rate which should be an approximation of the real indirect costs concerned but not lower than 40%.

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	For a legal entity established in an ICPC, if the lump sum option is chosen, the contribution in a project is based on the amounts shown below, multiplied by the total number of person-years for the project requested by the ICPC legal entity. • 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 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. More information on ICPC lump sums can be found in the section II.18 of the "Guide to financial issues" http://cordis.europa.eu/fp7/find-doc_en.html

Type of Activity	• **RTD activities** means activities directly aimed at creating new knowledge, new technology, and products including scientific coordination. • **Demonstration activities** means 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). • **Management activities** include the maintenance of the consortium agreement, if it is obligatory**,** the overall legal, ethical, financial and administrative management including for each of the participants obtaining the certificates on the financial statements or on the methodology, the implementation of competitive calls by the consortium for the participation of new participants and, any other management activities foreseen in the proposal except coordination of research and technological development activities.
Personnel costs	Personnel costs are only the costs of the actual hours worked by the persons directly carrying out work under the project. Such persons must: – be directly hired by the beneficiary in accordance with its national legislation, – be work 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.
Sub-contracting	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 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.
Other direct costs	Means direct costs not covered by the above mentioned categories of costs.

Indirect Costs	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.
Requested EC contribution	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%** • **Management activities = 100%** • **Other activities = 100%** (*) For participants that are non profit public bodies, secondary and higher education establishments, research organisations and SMEs.
Total Receipts	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 <u>not</u> be considered a receipt of the project if their use is at the management discretion of the beneficiary. 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 <u>not</u> be considered a receipt for the participant when generated from the use of foreground resulting from the project.

Annex 4: Instructions for drafting part B of the 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[16] to help you structure your proposal. It will help you present important aspects of your planned work in a way that will enable the experts to make an effective assessment against the evaluation criteria (see 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. The Commission may instruct the experts to disregard any excess pages. Even where no page limits are given, or where limits are only recommended, it is in your interest to keep your text concise since over-long proposals are rarely viewed in a positive light by the evaluating experts.

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:

Participant no. *	Participant organisation name	Part. short name	Country
1 (Coordinator)			
2			
3			

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

Table of Contents

[16] An electronic version of this template is provided to you by the EPSS

Proposal

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

1.1 Concept and objectives

Explain the concept of your project. What are the main ideas that led you to propose this work?
Describe in detail the S&T objectives. Show how they relate to the topics addressed by the call, which you should explicitly identify. The objectives should be those achievable within the project, not through subsequent development. They should be stated in a measurable and verifiable form, including through the milestones that will be indicated under section 1.3 below.

1.2 Progress beyond the state-of-the-art

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

1.3 S/T methodology and associated work plan

A detailed work plan should be presented, broken down into work packages[17] (WPs) which should follow the logical phases of the implementation of the project, and include consortium management and assessment of progress and results. (Please note that your overall approach to management will be described later, in section 2).

Please present your plans as follows:

i) Describe the overall strategy of the work plan.
ii) Show the timing of the different WPs and their components (Gantt chart or similar).
iii) Provide a detailed work description broken down into work packages:
- Work package list (please use table 1.3a);
- Deliverables list (please use table 1.3b);
- Description of each work package (please use table 1.3c)
- Summary effort table (1.3d)
- List of milestones (please use table 1.3e)

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

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.

Any significant risks should be identified, and contingency plans described

(Recommended length for the whole of Section 1 – twenty pages, not including the tables)

[17] 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.

Table 1.3 a: Template - Work package list

Work package list

Work package No[18]	Work package title	Type of activity[19]	Lead partic no.[20]	Lead partic. short name	Person-months [21]	Start month[22]	End month[5]
	TOTAL						

18 Workpackage number: WP 1 – WP n.

19 Please indicate <u>one</u> activity per work package:
RTD = Research and technological development; DEM = Demonstration; MGT = Management of the consortium

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

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

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

Table 1.3 b: Template - Deliverables List

List of Deliverables

Del. no. [23]	**Deliverable name**	**WP no.**	**Nature**[24]	**Dissemination level** [25]	**Delivery date**[26] **(proj. month)**

[23] 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.

[24] Please indicate the nature of the deliverable using one of the following codes:
R = Report, **P** = Prototype, **D** = Demonstrator, **O** = Other

[25] 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).

[26] Measured in months from the project start date (month 1).

Table 1.3 c: Template - Work package description

Work package description

Work package number		**Start date or starting event:**					
Work package title							
Activity type[27]							
Participant number							
Participant short name							
Person-months per participant							

Objectives

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

Deliverables (brief description) and month of delivery

[27] Please indicate <u>one</u> activity per work package:
RTD = Research and technological development; DEM = Demonstration; MGT = Management of the consortium

Table 1.3d Summary of staff effort

A summary of the staff effort is useful for the evaluators. Please indicate in the table number of person months over the whole duration of the planned work, for each work package by each participant.

Identify the work-package leader for each WP by showing the relevant person-month figure in bold.

Partic. no.	Partic. short name	WP1	WP2	WP3	…	Total person months
1						
2						
3						
etc						
Total						

Table 1.3e Template - 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 required for the next phase of work. Another example would be a point when the consortium must decide which of several technologies to adopt for further development.

Milestone number	**Milestone name**	**Work package(s) involved**	**Expected date** [28]	**Means of verification**[29]

[28] Measured in months from the project start date (month 1).

[29] Show how both the participants and the Commission can check that the milestone has been attained. Refer to indicators if appropriate.

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 complexity and scale of the project.

2.2 Individual participants

For each participant in the proposed project, provide a brief description of the organisation, the main tasks they have been attributed, and the previous experience relevant to those tasks. Provide also a short profile of the staff members who will be undertaking the work.
(Maximum length for Section 2.2: one page per participant)

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.
If appropriate describe the industrial/commercial involvement to ensure exploitation of the results.

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 a 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[30], explain in terms of the project's objectives why such funding would be essential.

2.4 Resources to be committed

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

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.
(Recommended length for Section 2.4 – two pages)

[30] See CORDIS web-site, and annex 1 of the work programme.

Section 3. Impact

3.1 Expected impacts listed in the work programme

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

3.2 Dissemination and/or exploitation of project results, and management of intellectual property

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.

(Recommended 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. 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.

If your proposed project, however ethically carried out, produces an end result whose exploitation raises ethical issues then this also should be covered here.

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. Answering 'YES' to some of these boxes does not automatically lead to an ethical review[31]. It enables the independent experts to decide if an ethical review is required. If you are sure that none of the issues apply to your proposal, simply tick the YES box in the last row.

Notes:
For further information on ethical issues relevant to ICT, see annex 5 of this Guide

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.

[31] Projects raising specific ethical issues such as research intervention on human beings; research on human embryos and human embryonic stem cells and non-human primates are automatically submitted for ethical review

ETHICAL ISSUES TABLE

	YES	PAGE
Informed Consent		
• Does the proposal involve children?		
• Does the proposal involve patients or persons not able to give consent?		
• Does the proposal involve adult healthy volunteers?		
• Does the proposal involve Human Genetic Material?		
• Does the proposal involve Human biological samples?		
• Does the proposal involve Human data collection?		
Research on Human embryo/foetus		
• Does the proposal involve Human Embryos?		
• Does the proposal involve Human Foetal Tissue / Cells?		
• Does the proposal involve Human Embryonic Stem Cells?		
Privacy		
• Does the proposal involve processing of genetic information or personal data (eg. health, sexual lifestyle, ethnicity, political opinion, religious or philosophical conviction)		
• Does the proposal involve tracking the location or observation of people?		
Research on Animals		
• Does the proposal involve research on animals?		
• Are those animals transgenic small laboratory animals?		
• Are those animals transgenic farm animals?		
• Are those animals cloned farm animals?		
• Are those animals non-human primates?		
Research Involving Developing Countries		
• Use of local resources (genetic, animal, plant etc)		
• Benefit to local community (capacity building i.e. access to healthcare, education etc)		
Dual Use		
• Research having direct military application		
• Research having the potential for terrorist abuse		
ICT Implants		
• Does the proposal involve clinical trials of ICT implants?		
I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL		

Annex 5: Ethical Guidelines for undertaking ICT research in FP7

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[32] 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[33] and take into account opinions of the European Group on Ethics in Science and New Technologies (EGE)[34].

Article 15 of the FP7 draft rules of participation[35] states that any proposal which contravenes fundamental ethical principles or which does not fulfil the conditions set out in the specific programme, the workprogamme 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.

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.

2.1 A responsible approach

It is likely that most of the principles of the Charter of Fundamental Rights of the European Union[36] 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[37]. 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.[38] 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.[39]

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.[7]

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.

[32] Decision 1982/2006/EC: Official Journal L412 of 18/12/06
[33] http://www.europarl.europa.eu/charter/default_en.htm
[34] 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
[35] Official Journal L391 of 30/12/06
[36] The Charter of Fundamental Rights of the European Union - http://www.europarl.europa.eu/charter/pdf/text_en.pdf
[37] http://conventions.coe.int/treaty/en/Treaties/Html/005.htm
[38] Opinion 10 of EGE - The Ethical Aspects of the 5th Framework Programme , http://ec.europa.eu/european_group_ethics/docs/opinion10_en.pdf
[39] Opinion 20 of EGE – Ethical Aspects of ICT Implants in the Human Body - http://ec.europa.eu/european_group_ethics/docs/avis20_en.pdf

2.2 Privacy and informed consent

The right to privacy and data protection is a fundamental right[40] and therefore applicable to ICT research.

Researchers must be aware that volunteers[41] have the right to remain anonymous[42]. Researchers must comply with Data Protection legislation[43] 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[3].

The majority of European citizens view personal privacy as an important issue. Research, for example, on RFID[44] and ICT for healthcare[45], 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.

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[46]. Thus ICT research involving animals should conform to the ethical principles of replacement, reduction, refinement and minimisation of suffering[3].

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.

3 Specific guidance in some currently sensitive areas

3.1 ICT implants[47] 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.

[40] The Charter of Fundamental Rights of the European Union - http://www.europarl.europa.eu/charter/pdf/text_en.pdf
[41] "Volunteers" is used to describe all those who are the subjects of research observations, experiments, tests etc.
[42] Opinion 10 of EGE - The Ethical Aspects of the 5th Framework Programme , http://ec.europa.eu/european_group_ethics/docs/opinion10_en.pdf
[43] National legislation transposing Directive 95/46/EC - http://ec.europa.eu/justice_home/fsj/privacy/docs/95-46-ce/dir1995-46_part1_en.pdf
[44] RFID Technology - Results of the Public Consultation on Article 29 Working Document 105 on Data Protection Issues Related to RFID Technology Adopted on 28 September 2005 http://europa.eu.int/comm/justice_home/fsj/privacy/workinggroup/consultations/rfid_en.htm
[45] Opinion 13 of EGE - Ethical Issues of Healthcare in The Information Society.- http://ec.europa.eu/european_group_ethics/docs/avis13_en.pdf
[46] Council Directive on Protection of Animals used for Experimental and other Scientific Purposes http://europa.eu.int/comm/food/fs/aw/aw_legislation/scientific/86-609-eec_en.pdf
[47] Opinion 20 of EGE – Ethical Aspects of ICT Implants in the Human Body - http://ec.europa.eu/european_group_ethics/docs/avis20_en.pdf

- 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.[48]
- 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.

3.2 eHealth[49] and genetics

Personal health data must be treated as 'sensitive personal data'[50.] 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[1].
- Proposers should access established general medical and genetics ethical guidance when formulating their proposals.

3.3 ICT and Bio/Nano-electronics

ICT-bio/nano-electronics has a strong potential for mis-use. Consequently, proposers should pay particular attention to the guidelines in Section 2 in this area[51].

- 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[4].
- 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.

[48] Such research is partly covered by Council Directive 90/385/EEC relating to active implantable medical devices- http://europa.eu.int/eur-lex/en/consleg/pdf/1990/en_1990L0385_do_001.pdf

[49] Opinion 13 of EGE - Ethical Issues of Healthcare in The Information Society.- http://ec.europa.eu/european_group_ethics/docs/avis13_en.pdf

[50] Directive 95/46/EC - http://ec.europa.eu/justice_home/fsj/privacy/docs/95-46-ce/dir1995-46_part1_en.pdf

[51] COM (2004) 338 final - http://ec.europa.eu/prelex/rech_simple.cfm?CL=en

Annex 6: Pre-proposal check form

Objective ICT-2007.3.5 Photonic Components & Subsystems

Email to infso-PhotonicsPreProposal@ec.europa.eu
This form may be submitted at any time up to three weeks before the close of call.

First Name _____ Surname _____ Gender M / F

Organisation name _____

Country _____

Reply Fax _____	**Reply Fax (alternative)** _____
E-mail _____	**Telephone number** _____

Proposal acronym					
Proposal full name					
Objective addressed: a) Core photonic components and subsystems b) Application-specific photonic components and subsystems c) Underlying technologies d) Complementary measures, e) Support measures. *(as named in the call fiche)*					
Instrument type *(please indicate one only)*	IP (a-d)	STREP(a-d)	NoE (d only)	CA (e only)	SA (e only)
Approximate total cost *(optional information)*	€				

Proposal objectives	

Proposal acronym -

List of Participants (proposal coordinator first)	
Name of organisation	Country

Name :_____Date:_____

The Commission services will reply by fax or electronic mail giving a brief assessment of this pre-proposal. The assessment does not constitute in any respect a pre-evaluation of a proposal in terms of scientific and technical quality. 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 regard to acceptance or rejection of the proposal when it is formally submit