



FP7 Rules for Participation: Participation and Funding

European Commission
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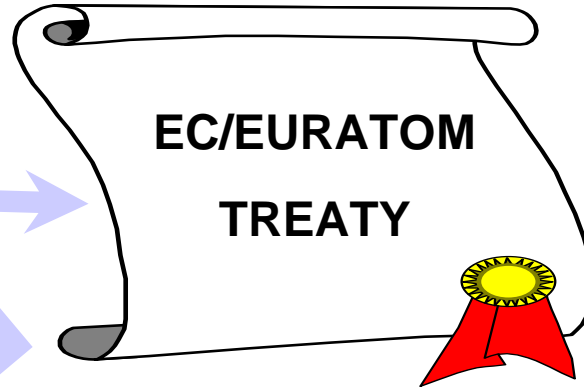




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Legal Framework



**INTERNATIONAL
AGREEMENTS**

**EC/EURATOM
TREATY**

**RULES FOR
PARTICIPATION
(EC/Euratom)**

**FRAMEWORK
PROGRAMMES
(EC/Euratom)**

SPECIFIC PROGRAMMES

**WORK PROGRAMMES
&
Calls for proposals**

Other relevant
EC Regulations
**FINANCIAL
REGULATION/
Implementing Rules**

**Grant
agreement**

Rules on
evaluation and
selection
procedures

Rules on
financial
capacity

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- Adoption of FP7 EC Rules for participation and dissemination of results on 18.12.2006 by European Parliament and Council
- Adoption of FP7 Euratom Rules on 19.12.2006 by the Council
- FP7 Euratom Rules follow same principles as FP7 EC Rules, however adapted to specificities of the Euratom Treaty and content of FP7 Euratom (nuclear energy research – fission and fusion)



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The Rules for Participation foresee that the Commission has to complete some aspects through three other decisions:

- ***Rules*** to govern the **submission, evaluation and selection of proposals and award of grants, as well as redress procedures** for participants
- ***Rules*** to govern the **assessment of the legal and financial viability** of participants
- ***A model grant agreement***



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Main principles

Two main principles have been kept in mind for the FP7 rules for participation:

- continuity of the principles and procedures established in FP6
- right balance between simplification, facilitating the participation of legal entities and protecting the Community's financial interest



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How to participate?

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SEVENTH FRAMEWORK
PROGRAMME



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Calls for proposals

- As a general rule the Commission has to publish calls for proposals for indirect actions in accordance with the specific requirements laid down in the relevant specific programme and work programmes
- The first FP7 calls have been published on the 22nd December 2006
- Calls for proposals shall have clear objectives so as to ensure that the participants do not respond needlessly



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Who can participate?

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Who can participate?

- Any undertaking, university or research centre or other legal entity, whether established in a Member State (MS) or Associated Country (Ac) or third country
- JRC (Joint Research Centre) - is deemed to be established in another MS or Ac
- International organisations and participants from third countries can participate only if in addition to minima



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Conditions for participation

- **Minimum condition for participation**, as a general rule at least 3 independent participants from 3 different Member States (MS) or Associated countries (Ac)
- **Additional conditions** can be established by the work programme or specific programme (number or type of participant, place of establishment)
- **Specific conditions** may also apply for:
 - **Frontier research actions** (in SP “Ideas”), at least 1 legal entity established in a MS or Ac
 - **Collaborative projects addressing the participation of International Cooperation Partner Countries (ICPC)** – minimum is 4 participants, 2 of which from MS or Ac and another 2 from ICPC countries unless otherwise foreseen in work programme



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Some important definitions

- **Public body** means any legal entity established as such by national law, and international organisations.
- **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.
- **Higher and secondary education establishments** = Term used by Financial Regulation / Implementing Rules, includes universities, schools for applied sciences and similar.
- **SMEs** mean micro, small and medium-sized enterprises within the meaning of Recommendation 2003/361/EC in the version of 6 May 2003 (OJ L 124, 20.5.2003, p. 36).
- **International cooperation partner countries** (= FP6 INCO countries) – will be identified as such in the work programmes, based on three categories according to income per capita (low-income, lower-middle-income, or upper-middle-income).



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Implementation

- Participants implement the indirect action jointly and severally towards the Community and carry out work of a defaulting partner unless the Commission relieves them of that obligation
- But: no more financial collective responsibility \neq FP6
- Instead: establishment of a participant Guarantee Fund to cover risks



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Who can receive funding?

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Eligibility for funding

- Legal entities from MS and Ac or created under Community law (and JRC)
- International European interest organisations
- Legal entities established in international cooperation partner countries (ICPC), and
- International organisations and legal entities from third countries other than Ac or ICPC may receive funding only if:
 - **provided for in SP or WP; or**
 - **the EC financial contribution is essential for carrying out the action; or**
 - **provision for funding is provided for in a bilateral agreement between Community and the third country**



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General principles

Forms of grants

- **Reimbursement of eligible costs is the preferred method**, particularly at the beginning of FP7
- Flat rates: a percentage for indirect costs or scales of unit costs
- Lump sum amounts, in particular as option for participants from ICPC
- Combination possible (will be used for ERANET-PLUS)

Principle of co-financing and no profit



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Upper funding limits I

- **Research and technological development activities:** up to **50%** of eligible costs **or** up to **75%** for:
 - Research organisations (non-profit)
 - Public bodies: up to Secondary and higher education establishments
 - SMEs:
 - Security related research for highly reliable capabilities with impact on security of European citizens and targeted to a limited number of public users
- **Demonstration activities:** up to **50%**
- **Other activities** (including e.g. Management): up to 100%



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Upper funding limits II

Actions that will be reimbursed up to **100%**:

- Frontier research actions
- Coordination and support actions
- Training and career development of researchers actions



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Simplified method and flat rate for indirect costs

- A participant may use a simplified method to calculate its indirect costs if this is in accordance with its usual management and accounting principles.
- Why this new approach?
 - The Council wished to introduce a way to facilitate the transition from the Additional Cost model (abolished) towards the declaration of actual indirect costs.
 - EP added the 60% flat rate for indirect costs for specific entities (as universities, research organisations, SMEs), being unable to identify their indirect costs.



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Information

- EU research: <http://ec.europa.eu/research/>
- Seventh Framework Programme:
http://ec.europa.eu/research/future/index_en.cfm
- Information on research programmes and projects:
<http://cordis.europa.eu/>
- RTD info magazine:
<http://ec.europa.eu/research/rtdinfo/>
- Information requests:
research@ec.europa.eu



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Thank you very much for your attention

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