RESEARCH AND INNOVATION

Research Fund for Coal and Steel

Information Package
Volume I

Proposal preparation and submission

2014

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1 INTRODUCTION

The Research Programme of the Research Fund for Coal and Steel (RFCS) is a financial instrument of the European Union intended to support research and innovation in the coal and steel sectors.

The Programme is complementary to other European financial instruments for research and innovation, such as Horizon 2020, but it remains outside those programmes. The European Commission encourages however complementarity and synergies between the different research programmes and supports the exchange of information between projects financed under different instruments.

The adoption of the Research Programme of the Research Fund for Coal and Steel is encompassed in Council Decision 2008/376/EC[1] (see **Annex I**). The Council Decision is referred to in the following document as the *RFCS Legal Basis*.

The programme is managed by the European Commission, more particularly Directorate-General for Research and Innovation, Directorate D – Key Enabling Technologies, with the assistance of:

- The Coal and Steel Committee (COSCO)

- The Coal Advisory Group (CAG) and the Steel Advisory Group (SAG)

- The Coal and Steel Technical Groups (TG).

According to Art. 25 of the RFCS Legal Basis, the detailed rules for participation in the RFCS programme are laid out in this Information Package, which is written in accordance to the Financial Regulation[2] applicable to the general budget and its Rules of Application,[3] and the RFCS Legal Basis.

The Information Package is composed of two volumes:

- **Volume I** is addressed to all applicants and includes information on the preparation and submission of proposals to the RFCS programme,

[1] Council Decision 2008/376/EC of 29 April 2008 (OJ L 130, 20.05.2008)
[2] Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002, OJ L298, 26.10.2012, p.1.
[3] Commission Delegated Regulation (EU) No 1268/2012 of 29 October 2012 on the rules of application of the Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council on the financial rules applicable to the general budget of the Union, OJ L 362, 31.12.2012, p.1.

- **Volume II** is specifically addressed to applicants of proposals recommended for funding following the evaluation and provides instructions on Grant Agreement preparation.

Both volumes are published electronically on the RFCS website on CORDIS (http://cordis.europa.eu/coal-steel-rtd/), specifically in the sections dedicated to the submission of proposals and to the preparation of the Grant Agreement, and on the Participant Portal for submission of proposals, as explained in Chapter 3.

The 2014 edition of Volume I is published on the occasion of the opening of proposals submission. The 2014 edition of Volume II will be published at a later stage of the proposals selection process.

2 PROGRAMME IMPLEMENTATION

2.1 RESEARCH OBJECTIVES OF THE RFCS

Proposals submitted to the RFCS programme should relate either

- to the production and/or processing of **iron** and/or **steel** or to their properties, manufacture and/or utilisation of steel products, or
- to the production, preparation, conversion or utilisation of **coal**.

To this purpose, the definitions of "coal" and "steel" given under Art. 3 of the RFCS Legal Basis apply.

More specifically, proposals must address at least one of the RFCS Research Objectives (see Articles 4 to 10 of the RFCS Legal Basis available in Annex I to this Information Package):

Coal 1	Improving the Competitive position of European Union Coal.
Coal 2	Health and Safety in Mines.
Coal 3	Efficient Protection of the Environment and improvement of the use of coal as a clean energy source.
Coal 4	Management of External Dependence on Energy Supply.

Steel 1	New and improved Steel making and finishing techniques.
Steel 2	RTD and the utilization of steel.
Steel 3	Conservation of resources and improvement of working conditions.

Within the above-mentioned objectives, the Research Programme of the Research Fund for Coal and Steel provides for a bottom-up approach, thus leaving applicants free to submit a project of any size in any relevant area, on the condition that it is in line with the terms set down in this Information Package.

The European Commission encourages the submission of highly effective, well-co-ordinated and coherent projects, rather than a multitude of small

projects addressing the same scientific/technical objectives in a specific field. Therefore, dispersion into many individual proposals should be avoided and synergies for larger projects should be sought when research, pilot or demonstration proposals are being prepared.

2.2 ELIGIBLE ACTIVITIES

Applications can be submitted for the following Activities: Research Projects, Pilot and Demonstration Projects, Accompanying Measures (see Articles 14 to 17 of the RFCS Legal Basis). These types of Activities are summarized in the table and explained in the following sections.

Type of Activity	Description	EU co-financing	Duration	Consortium
Research projects	Investigative or experimental work	≤60%	No specific requirement (typical duration is 36 or 42 months)	No specific requirement (typical consortium size is between 4 and 10 partners with wide geographical representation)
Pilot & Demonstration projects	Construction and/or operation of an installation at pilot or demonstration scale	≤50%		
Accompanying measures	Dissemination and valorisation of knowledge gained	≤ 60%	No specific requirement (typical duration is 18 months)	

RESEARCH PROJECTS

Research projects are intended to cover investigative or experimental work with the aim of acquiring further knowledge to facilitate the attainment of specific practical objectives such as the creation or development of new products, production processes or services.

The proposals should demonstrate the ability to solve specific scientific or technical problems, as well as demonstrate the economic and/or scientific technological impact of the results.

The preliminary investigation on the state-of-the-art and literature review should not be part of the project, but should be completed prior to submission and described in the proposal.

The maximum total financial contribution of the European Union for Research projects is up to of 60 % of the eligible costs.

PILOT AND DEMONSTRATION PROJECTS

Pilot and Demonstration projects are aiming to bridge the gap between Research and Innovation. Innovation can be considered as the technological implementation of new products or processes within the relevant industrial sector, or of significant improvements to products or processes, based on previous research results. The innovation is technologically implemented if it is introduced on the market (product innovation) or used within a production process (process innovation).

In detail:

Pilot projects aim at the construction, operation and development of an installation or a significant part of an installation on an appropriate scale and using suitably large components with a view to examining the potential for putting theoretical or laboratory results into practice and/or increasing the reliability of the technical and economic data needed to progress to demonstration stage, and in certain cases to industrial and/or commercial stage.

Demonstration projects aim at the construction and/or operation of an industrial-scale installation or a significant part of an industrial-scale installation with the aim of bringing together all the technical and economic data in order to proceed with the industrial and/or commercial exploitation of the technology at minimum risk.

The preliminary investigation on the state-of-the-art and literature review should not be part of the project, but should be completed prior to submission and described in the proposal.

No significant research efforts should be included in Pilot and Demonstration projects, as they should focus on the construction and validation of a ready-designed unit.

The maximum total financial contribution of the European Union for Pilot and Demonstration projects is up to 50 % of the eligible costs.

ACCOMPANYING MEASURES

Accompanying measures shall relate to the promotion of the use of knowledge gained or to the organisation of dedicated workshops or conferences in connection with projects or priorities of the Research Programme.

This activity includes the valorisation of research results having a direct impact in one of the following areas and excluding any kind of research activity:

- contribution to the assessment or enhancement of European or international technical regulations and standards[4];
- valorisation of results that have a direct and immediate potential application at industrial level. The improvement of product quality and environmental and safety standards in and around the workplace are of particular importance;
- exploitation of new or alternative market possibilities of products and processes related to the coal or steel sector.

The maximum total financial contribution of the European Union for Accompanying Measures is up to of 60 % of the eligible costs.

2.3 WHO CAN PARTICIPATE

Any undertaking, public body, research organisation or higher and secondary education establishment, or other legal entity, including natural persons, established within the territory of a *member state* may participate in the Research Programme and apply for financial assistance, provided that they intend to carry out an RTD activity or can substantially contribute to such an activity.

Any undertaking, public body, research organisation or higher and secondary education establishment, or other legal entity, including natural persons, in *candidate countries* are entitled to participate *without receiving any financial contribution* under the Research Programme, unless otherwise provided under the relevant European Agreements and their additional Protocols, and in the decisions of the various Association Councils.

Any undertaking, public body, research organisation or higher and secondary education establishment, or other legal entity, including natural persons, from *third countries* are entitled to participate to individual projects without receiving any financial contribution under the Research Programme, provided that such participation is in the interest of the European Union.

[4] To know more about European Standardisation and the standards making process please visit the website of the CEN (European Committee for Standardisation) and CENELEC (European Committee for Electrotechnical Standardisation) bodies at http://www.cencenelec.eu/Pages/default.aspx.

2.4 ELIGIBLE COSTS

Eligible costs of the project must be actual (not commercial nor budgeted) and incurred by the beneficiary during the duration of the project (with the exception of costs incurred in relation to certificates on the financial statements).
Such costs must be used for the sole purpose of achieving the objectives of the project and its expected results, in a manner consistent with the principles of economy, efficiency and effectiveness.

Value added tax (VAT) is eligible only in particular cases mentioned in Financial Regulation 2012, art 126(3) (c).

Eligible costs shall be broken down into the following four categories:
- equipment
- staff
- operating costs
- indirect costs.

EQUIPMENT

The costs of purchasing or hiring equipment which are directly related to the execution of the project shall be chargeable as direct costs. The eligible costs for leasing of equipment shall not exceed any eligible costs for its purchase.

Eligible costs for equipment shall be calculated according to the following formula:

$$A/B \times C \times D$$

where:

A the period (in months) during which the equipment will be used for the project;

B 60 months (standard depreciation time);

C purchase cost of the equipment;

D fraction of use of the equipment in the project ($0<D\leq1$, $D=1$ if the equipment is used 100% for the project).

STAFF COSTS

Only the costs of the actual hours worked by the persons directly carrying out work under the project may be charged. Such persons must:
- be directly hired by the beneficiary in accordance with its national legislation,
- work under the sole technical supervision and responsibility of the latter, and
- be remunerated in accordance with the normal practices of the beneficiary.

Staff members shall belong to one of the following categories: researchers, engineers, technicians, manual workers. Additional staff costs such as

scholarships shall require the Commission's prior approval.
No administrative staff can be accounted as eligible costs.

For each staff member, staff costs shall be calculated according to the following formula:

$$WH \times S/PT$$

where:

WH working hours

S gross annual salary [€/year] (salary costs should be reflected in the payroll account and should be the total yearly gross remuneration plus the employer's portion of social charges, e.g. holiday pay, pension contributions, health insurance and social security payments).

PT annual productive time [hours/year]. This should represent the total workable hours based on the contract of employment less, if applicable, a provision for non-chargeable time (maximum 15 days/year, e.g. for sickness, training, detachments) according to the actual situation of the contractor.

No overtime should be charged to Commission projects, and the time charged for each researcher shall not exceed the productive time.

As an indication, typical productive time per full time employee is around 1600 hours/year.

OPERATING COSTS

Operating costs directly related to the implementation of the project shall be limited to the cost of:
raw materials; consumables; energy; transportation of raw materials, consumables, equipment, products, feedstock or fuel; the maintenance, repair, alteration and transformation of existing equipment; IT and other specific services; the rental of equipment; analysis and tests; dedicated workshop organisation; certificate on financial statements and bank guarantee; protection of knowledge; assistance from third parties.

INDIRECT COSTS

All other expenses, such as overhead costs, which may arise in connection with the project and which are not specifically identified in the preceding categories including travel and subsistence costs, shall be covered by a flat rate amounting to 35% of the eligible staff costs.

2.5 SUBCONTRACTS FOR RESEARCH ASSISTANCE

A subcontract for research assistance is a specific type of subcontract meaning a contractual arrangement between a beneficiary and a third party for the performance of part of the research activities in the project which cannot be carried out by the beneficiary itself.

Where it is necessary for the beneficiaries to conclude a subcontract for research assistance for certain elements of the work to be carried out, the following conditions must be fulfilled:

- The subcontract may only cover the execution of a limited part of the project; the cumulative amount of subcontracts for research assistance for each beneficiary cannot exceed 40% of its total estimated eligible costs (this limit does not apply when subcontractors are affiliates[5] of the subcontracting organisation);
- Subcontractors for research assistance cannot enter into further subcontracts for research assistance;
- No subcontract for research assistance shall be concluded with a beneficiary in the project;
- The final draft of the subcontract for research assistance must be submitted to the Commission for approval before its signature;
- The start date of the subcontract cannot precede the date of its signature;
- The subcontract for research assistance shall conform to the rules contained in the model subcontract for research assistance provided on the website of the RFCS on Cordis;
- The cost incurred by subcontractors for research assistance shall meet the conditions identified in Section 2.4.

Subcontracts not involving research activities (e.g. supply of materials or services), should not require the prior approval of the Commission and are not subject to the rules above.

[5] Affiliated entity means any legal entity that is under the direct or indirect control of a beneficiary, or under the same direct or indirect control as the beneficiary, control taking any of the following forms:
(a) the direct or indirect holding of more than 50% of the nominal value of the issued share capital in the legal entity concerned, or of a majority of the voting rights of the shareholders or associates of that entity;
(b) the direct or indirect holding, in fact or in law, of decision-making powers in the legal entity concerned.

2.6 PROJECT DURATION

Although the RFCS Legal Basis does not impose any specific project duration, most research, pilot and demonstration projects run for 36 or 42 months. When deciding about the project duration, applicants should consider the following:

- The proposed scheduling must be credible and should be in line with the work to be carried out; unrealistic project duration is considered as a weakness during the evaluation of the proposal.
- Possible delays occurring during the execution of the work should be taken into account; a too tight project scheduling may compromise the ability of the consortium to effectively recover from difficult situations.
- Applicants must be aware already at this stage that, once the Grant Agreement is signed, project extensions will be granted only in very exceptional circumstances. However, in any case the consortium can still apply for a temporary suspension of the project, until the negative events affecting the execution of the project have been fully overcome. Applicants are recommended to make themselves familiar already at this stage with the rules concerning extension and suspension of projects (refer to the General Provisions to the Grant Agreement and to the Guidelines for Amendments published on the RFCS website, these documents can be accessed from http://cordis.europa.eu/coal-steel-rtd/docsga_en.html).

Recommended start date of the projects is the 1st of July of the calendar year following the year of the submission of the proposal, as this allows a best match between the reporting periods given in the Grant Agreement and the periodic review exercise carried out by the Technical Groups during the project life. A different start date can be proposed and discussed with the Commission on a case-by-case basis; however, in principle projects should not have a starting date preceding the date of signature of the Grant Agreement.

3 PROPOSAL PREPARATION AND SUBMISSION

The submission of project proposals to the RFCS Programme is made in the frame of an open call with annual deadline in September. This annual cut-off date is unique for all types of actions (research projects, pilot and demonstration projects, accompanying measures).

The cut-off date for 2014 is:

Monday, September 15, 2014

at 17:00:00 (Brussels local time)

For practical reasons, submission of proposals is only possible during a limited time frame, which goes from beginning of July until the above-mentioned cut-off date.

Proposals may be prepared in any official language of the European Union. However, it is advisable to provide the proposal in English, as this will facilitate its evaluation. In any event, a translation of the summary of the proposal into English is mandatory.

The submission will only be accepted in electronic form and according to the instructions given in this Information Package. No paper submissions will be accepted, nor proposals submitted by e-mail, on CD-ROM or in any other form.

3.1 THE PARTICIPANT PORTAL

The project proposals for the RFCS programme have to be prepared and submitted electronically through the Participant Portal, which is the common platform centralising the EU research funding opportunities offered by the European Commission:

http://ec.europa.eu/research/participants/portal/desktop/en/home.html

Although most features on the Participant Portal are intended for the Horizon 2020 framework programme, this portal also hosts other programmes including the RFCS research programme.

The Participant Portal offers to applicants the possibility to create and edit a proposal for any open call, to monitor the status of submitted proposals and to enrol as an expert for the evaluation of proposals.

3.2 THE 6 SUBMISSION STEPS

The submission process consists of 6 steps as shown in the following table.

		Description	Responsible
Step 1	LOGIN	Access to the Participant Portal	Project Coordinator
Step 2	FUNDING SCHEME	Selection of Funding Programme, Topic and Type of Action	Project Coordinator
Step 3	CREATE DRAFT	Creation of a new draft proposal	Project Coordinator
Step 4	PARTIES	Selection of partners	Project Coordinator
Step 5	EDIT PROPOSAL	Preparation of the technical content, of the administrative information and of the budgetary aspects of the proposal.	All partners
Step 6	SUBMIT	Final submission of the proposal	Project Coordinator

Before starting the submission, applicants are recommended to become familiar with all documents, guidelines and forms made available on the page of the Participant Portal dedicated to the RFCS call.

In addition, a general user manual on the Submission System is also available:

http://ec.europa.eu/research/participants/data/support/sep_usermanual.pdf

http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/applying-for-funding/submit-proposals_en.htm

Although mainly intended for submission of proposals under the Horizon2020 programme, this manual provides an exhaustive overview and a step-by-step guide of the submission process, which applies for the most part also to the submission of proposals to the RFCS programme.

3.3 STEP 1 – LOGIN TO THE PARTICIPANT PORTAL

The Participant Portal can be accessed from the link:

https://ec.europa.eu/research/participants/portal/desktop/en/home.html

On the Participant Portal, each person intending to create, edit and submit a proposal has to log in by using a European Commission Authentication Service (ECAS) account. The ECAS account is intended to allow users to access a wide range of Commission information systems, using a single username and password. To register for the first time on ECAS, please follow the link:

https://webgate.ec.europa.eu/cas/eim/external/register.cgi

Note that the ECAS codes are unique per person (per e-mail address). An error message will be displayed in case you are trying to register with an e-mail address already registered in the system.

You may already have an ECAS account if you have used in the past electronic services of the European Commission. If this is the case, please avoid a new registration and use your existing ECAS credentials to log in.

The ECAS account is different from the PIC (Participant Identification Code, which relates to an organisation, see Section 3.5). Typically, the PIC code is unique for the whole organisation, while the ECAS ID is personal.

Every time you log in with your ECAS account, please also make sure to select the correct domain (it should be **External** for people not working in any European institution).

Once the user is logged in, the following options exist:

- If the user intends to create a new proposal to be submitted to the RFCS programme, he can do so by following the indications given in detail in Steps 2 to 6;
- If the user has been invited to participate in an existing proposal, he/she can view the proposal concerned in the My Proposal(s) page and edit only specific parts (Step 5).

3.4 STEP 2 – FUNDING SCHEME

The Steps 2 and 3 are only relevant for the person creating a draft proposal for the first time.

The dedicated page of the call for the RFCS programme can be accessed from the panel of the "Funding Opportunities" on the Participant Portal (see the "*Other EU Programmes 2014-2020*" box), and then clicking on the specific call RFCS-2014.

On the page of the RFCS call, the relevant Topic (Coal or Steel) has to be selected:

- RFCS-01-2014 Coal
- RFCS-02-2014 Steel

This gives access to the page of the Topic, where the following panels are available:

- Topic description (objectives, scope, expected impact)
- Topic conditions and documents (Information Package, templates, etc.)
- Submission service

On the Submission Service panel, and upon selection of the **Type of Action** (Research, Pilot & Demonstration or Accompanying Measure), the user will have direct access to the system for **Submission and Evaluation of Proposals** (SEP), which is the electronic environment that allows completing the different parts of the proposal; The SEP system may also be referred to as the Participant Portal Submission Service.

3.5 STEP 3 – CREATE DRAFT

On the "Create Draft" panel of the electronic submission system, the person creating the proposal for the first time will be asked to:

1) **Identify his/her organisation,** which will be referred to in the following as the Coordinating Organisation. This is done by giving the Participant Identification Code (PIC) of the organisation.

   The PIC is a code for identifying the participants at any stage of the different processes of the programmes managed by the DG Research and Innovation. Therefore, every organisation that intends to become participant in a RFCS proposal must request the PIC code, temporary or validated.

   An organisation that has recently submitted a proposal to the RFCS, FP7 or Horizon 2020 programme should already have a PIC. To check whether an organisation is already registered, the following search facility can be used (a search box is also available at this step):

   http://ec.europa.eu/research/participants/portal/desktop/en/organisations/register.html

   If the organisation does not have a PIC, then the "Register Organisation" link on the same page will direct the user to the registration process.

   If you encounter problems during the registration, please contact the IT Help Desk through the dedicated link on the Participant Portal.

2) **Identify his/her role** in the proposal.

If the person creating the proposal identifies himself/herself as the 'Main Contact' for the coordinating organisation, then he/she becomes the primary contact person for the Commission services and will be referred to in this Information Package as the Project Coordinator of the entire proposal.

If the person creating the proposal identifies himself/herself as "Other Contact Person", he/she will be asked to identify a different Main Contact Person at Step 4, who will become the Project Coordinator. This information is mandatory for the successful submission of the proposal.

3) **Identify the proposal**. Information that needs to be entered at this stage is the proposal acronym (max 20 characters) and a short summary (max 2000 characters).

By clicking on the "*Next*" button, a disclaimer appears which requires the user to accept the terms and conditions of usage of the submission system, followed by the confirmation that the proposal has been successfully created. An automatic email is sent by the system to the person creating the proposal, giving a direct link to the "My Proposals" page on the EC Participants Portal. This link should be used for all future accesses to the draft proposal.

3.6 STEP 4 – PARTIES

The list of organisations (having a PIC), contact persons and access right can be managed at Step 4.

Access can be given to as many contact persons of the selected organisations as wished. The identification is based upon the e-mail address of the person; if a given email address is already linked to another contact person, a warning will be displayed and the operation fails. For every organisation, the presence of a main contact person is mandatory.

When selecting the access rights for contact persons, the following has to be considered:

- The main contact person and other contact persons of the coordinating organisation with full access rights have the same level of rights: they can manage the list of participants and contacts, edit any part of the administrative forms of the proposal, upload any attachments (e.g. technical annex), and submit the proposal.
- The main contact person and other contact persons of other participants with full access rights can view/download the information but can only edit the part of the administrative forms which concern their organisation.
- Contact persons with read-only rights can only view/download the information.

To add a new participant organisation, click on the "Add Partner" button and use the Search function to obtain the PIC of the new organisation (the system allows to retrieve the PIC of any registered organisation using its full or partial name or VAT number).

Important. Every time modifications are made at Step 4, these need to be saved by:

- *clicking on the "Save changes" button at the bottom of the page,*
- *open and save the Administrative Forms (Part A, accessible by clicking on "edit forms" at Step 5, see Section 3.7).*

Once the modifications are saved, an automatic e-mail is sent to the new individuals added to the proposal, inviting them to access and to contribute to the draft proposal via the Participant Portal. Here, all proposals in which the person is involved will be listed under the My Proposal(s) link.

The invited parties need to have an ECAS account to view and modify the proposal online (Forms A2 and A3 for the relevant organisation). If not already registered in ECAS, they can do so at the time of first access to the system by clicking on the "*Not registered yet*" link.

If an invited person does not receive the invitation email, he/she can be re-invited by the main contact person by clicking on the envelope icon.

3.7 STEP 5 – EDIT PROPOSAL

The table below gives a summary of all RFCS submission forms required at Step 5, followed by an explanation of the individual forms.

	Forms		Sub-forms		Applies to	Format	Responsible
Part A	1	Proposal general information			all proposals	Single on-line form	Project Coordinator
	2	Administrative data of participating organisations	One set of administrative data per participant				Each participant for his/her own organisation or Project Coordinator on behalf of participants
	3	Budget for the proposal					
Part B	B1	Proposal Description				To be uploaded as single pdf file (max 15 pages, max 10 MB) Template available on SEP (Step 5)	Project Coordinator
	B2	Technical Annex	B2-1	Project objectives		To be uploaded as single pdf file including B2-1,2,3 (no page limit, max 20 MB) Template available on SEP (Step 5)	
			B2-2	Work packages description			
			B2-3	Bar chart			
	B3	Information on resubmited proposals			only re-submitted proposals	To be uploaded as single pdf file (max 2 pages, max 10 MB) Template available on SEP (Step 5)	
	B4	Copy of the last Evaluation Summary Report			only re-submitted proposals	Upload as single pdf file (max 10 MB)	
	B5	Budget details for each participant	B5-1	Proposal costs summary (one form for the whole proposal)	all proposals	To be uploaded as single pdf file including all B5-1,2,3,4,5,6,7 in the proposal (max 10 MB) Templates available on SEP (Step 5)	
			B5-2	Equipment and staff costs of participants (one form for each participant)			
			B5-3	Operating costs of participants (one form for each participant)			
			B5-4	Subcontracting costs and total costs of participants (one form for each participant)			
			B5-5	Profile/information of subcontractors (one form for each subcontractor)	only proposals with subcontracts for research assistance (one set B5-5,6,7 required for each subcontractor)		
			B5-6	Equipment and staff costs of subcontractors (one form for each subcontractor)			
			B5-7	Operating and total costs of subcontractors (one form for each subcontractor)			

Part A (Administrative Forms)

The Administrative Forms (referred to in the following as Part A) appears as a single pdf file with editable fields, to be filled online. These forms can be accessed by clicking on the "*edit forms*" button and are composed of three different sections (a template is shown in Annex VI to this Information Package):

Section 1 The first section (*Proposal General Information*) of Part A provides an overview of the proposal and is initially partly filled by the system with the information given by the Project Coordinator at Step 3 and 4. The Project Coordinator must enter at this stage the full title of the proposal, its duration (in months), starting date, abstract, research objective (refer to Annex III to this Information Package for explanation of codes used in the dropdown list), technical group (refer to Annex II to this Information Package for details on the scopes of the different technical groups of the RFCS programme) and identification of resubmitted proposals. This part is concluded by specific declarations to be made by the Project Coordinator.

Section 2 The second section (Administrative data of participating organisations) of Part A has to be filled in with additional information and contact details of all participants. This part can be filled in either by each participant for his/her own organisation or by the Project Coordinator on behalf of the participants.[6]

Section 3 The third section (*Budget for the proposal*) of Part A has to be filled in by the Project Coordinator and should include an overview of the costs foreseen by each participant per cost category (staff costs, indirect costs, equipment, operating costs, subcontracts).

Important notice:

- **the form B5-1 is provided as a tool to prepare the budget table to be declared in Section 3 of Part A,** therefore it is recommended to fill in Form B5-1 first and then copy the information in Section 3 of Part A.
- **in case of inconsistencies between the data provided in Section 3 of Part A and Form B5-1 only the figures of Section 3 of part A will be considered and the ones from Form B5-1 will be disregarded.**

The following commands appear at the top of each page of Part A.

Table of contents. This link brings back to the Table of Contents on the first page of the proposal; additionally a *'Go To'* drop down menu is available to quickly jump to any section of the Part A form.

Validate Form. At any stage of the proposal preparation process, the "*Validate form*" feature checks if mandatory information is still missing. The check will be performed over the entire Part A regardless of the page from which the validation has been launched, and will redirect the user to a page with a list of warnings (validation results). The presence of some of the warnings will not block the submission of the proposal, but may affect the

[6] In principle, each participant will be able to modify all editable fields of Form A, but only modifications relevant to its own organisation will be retained after clicking on "*Save and Close*" at the bottom of the page.

eligibility of the proposal and/or the outcome of the evaluation due to missing information.

Save and Close: every time Part A is modified, the modifications must be saved by clicking on "*Save and close*" otherwise they will be lost. This will also close the editable pdf interface. The action saves the entire Part A regardless of the page from which the "Save and close" has been launched.

Part B

Part B is the core part of the proposal as it includes the description of the state-of-the-art, the work plan, the budgetary aspects, and any other element that the applicants may consider useful in view of the evaluation of their proposal.

Applicants are recommended to give the highest consideration to this part. In case the proposal is successful at the evaluation and the consortium is invited to sign a Grant Agreement with the Commission, most of the information provided in Part B will become contractual obligations. No possibility will be given during the preparation of the Grant Agreement to modify substantial elements of the proposal, such as the planned work, the deliverables, the composition of the consortium, the nature and extent of the claimed costs, etc. (except for obvious clerical errors and other minor shortcomings identified by the evaluators; a change in the consortium may exceptionally be accepted in duly justified cases, or in case of a partner failing in regard to legal and financial viability. In this case the consortium has to propose a solution, either to attribute the tasks to other members of the consortium or to replace the participant with a new organisation).

Therefore the proposal will be evaluated as submitted and, if important information is missing or not convincing, or shortcomings are found, this will result in a low scoring of the proposal; instructions will be given to the evaluators to do so rather than give recommendations to improve it during the preparation of the Grant Agreement. Applicants are advised to become familiar already at this stage with the RFCS evaluation criteria given for each Activity type in Annex IV to this Information Package and the evaluation process explained in Section 4.

Part B consists of a set of pdf files (the so-called Forms B) that have to be uploaded by the Project Coordinator and should follow the given format. Templates of these forms are available for download from the SEP submission platform (under "*download templates*") and are also attached to this Information Package (see Annex VI). These templates are MS Word and Excel documents and must be converted to pdf before uploading (the SEP system will not accept files with extension different from *pdf*).

Mandatory forms:

- For every proposal, a minimum of 3 pdf files must be uploaded: Forms B1, B2 and B5. When submitting the proposal, an error message is displayed if any of these files is missing and the submission will not be allowed.

- If the proposal is re-submitted this year after it has not been retained for funding by the RFCS in a previous evaluation, two additional files become mandatory: Forms B3 and B4.

Also note that there are page limitations for Form B1 (max. 15 pages) and B3 (max 2 pages). When validating the proposal, the submission system will generate an automatic warning when the page count exceeds the maximum, but this will not prevent the submission. In order for the proposal to be eligible, it is therefore the responsibility of the applicants to ensure that the said limits are respected.

Form B1

Form B1 (Proposal Description, mandatory form) should contain:

- Comprehensive references to previous relevant studies, including past ECSC and RFCS projects. This state-of-the-art should be comprehensively described, as it constitutes the basis of the proposed work. Any mention of information that is not yet part of the public domain (i.e. reference to previous projects whose final report is not yet published) should allow the reader to reach an exhaustive understanding of the relevant findings.
- A clear indication of the proposal's added value in light of the current international state-of-the-art for related work.
- A description of the project, with indication of its main aspects, the global approach of the research and a brief overview of the work plan, as well as any other element that the applicants consider useful for a proper evaluation of the proposal (to this goal it is recommended to become familiar with the evaluation criteria in Annex IV to this Information Package). The description should be concise and structured in order to facilitate an easy understanding of all the main aspects and issues at stake.

Required format for Form B1:

- the given template should be used (file B1_Proposal_Description.doc available in SEP under "*download templates*", STEP 5); the form is also shown in Annex VI to this Information Package.
- it has to be uploaded to SEP as single pdf file, max file size is 10 MB;
- the document must not exceed 15 pages; the minimum font size allowed is 11 points. When validating the proposal, the submission system will generate an automatic warning when the page count exceeds the maximum, but this will not prevent the submission. In order for the proposal to be eligible, it is therefore the responsibility of the applicants to ensure that the said limit is respected.

Form B2

Form B2 (Technical Annex, mandatory form) describes the work plan for the execution of the proposed project. If the proposal is retained for funding, it will become an Annex to the Grant Agreement and will define the contractual technical obligations of the participants. It includes the following parts:

- Form B2-1 should explain the objectives of the whole project, in max 1 page;
- Form B2-2: for each work package, it should explain the objectives, the activities to be carried out in order to achieve these objectives, as well as the responsibilities and overall commitment (in terms of man hours) of the participants. The responsibility for each deliverable should be also clearly identified, as well as the interdependencies of tasks and work packages.
- Form B2-3 (bar chart): should indicate the scheduling for each task in each work package and the commitment (in terms of man hours) of each participant.

Required format for B2:

- the given template should be used (file B2_Technical_Annex.doc available in SEP under "*download templates*", STEP 5); the form is also shown in Annex VI to this Information Package. The information provided should strictly follow the format given, without attaching any additional documents in whatever form (e.g. additional annexes, appendices, supporting letters etc.).
- Forms B2-1, B2-2 and B2-3 should be bundled consecutively into one single pdf file to be uploaded to SEP as Form B2; max file size is 20 MB;
- there is no page limit for Form B2; the minimum font size allowed is 11 points

Forms B3

Information on resubmitted proposals (mandatory only for resubmitted proposals).

A proposal that has been already submitted to the RFCS programme in previous years and was not retained for funding may be resubmitted on condition that the following two additional documents are included: Forms B3 and B4.

Form B3 should explicitly summarise any changes made against the previous submission.

Required format for B3:

- the given template should be used (file B3_Resubmission_Details.doc available in SEP under "*download templates*", STEP 5), the form is shown in Annex VI to this Information Package.

- it has to be uploaded to SEP as a single pdf file; max file size is 10 MB;
- it must not exceed 2 pages; the minimum font size allowed is 11 points. When validating the proposal, the submission system will generate an automatic warning when the page count exceeds the maximum, but this will not prevent the submission. In order for the proposal to be eligible, it is therefore the responsibility of the applicants to ensure that the said limit is respected.

Form B4 Most recent Evaluation Summary Report (mandatory only for resubmitted proposals).

This corresponds to the Evaluation Summary Report (ESR) that the applicants have received from the European Commission following the most recent evaluation of the proposal by the RFCS programme. The Project Coordinator is requested to upload exactly the same pdf file received from the European Commission (see also Annex VI to this Information Package for a blank example).

There is no page limit for this form.

It has to be uploaded to SEP as a single pdf file; max file size is 10 MB.

Forms B5 Budget details for each participant . This includes the following sub-forms:

- B5-1: proposal costs overview. Only one form B5-1 is to be filled in for the whole proposal. It should provide an overview of the total costs per category and per participant consistently with what is reported in the individual Forms B5-2 to B5-7. To avoid mistakes in the calculation of the totals, applicants are encouraged to use automatic formula to link the costs in B5-1 to costs in B5-2 to B5-7, rather than updating B5-1 manually.

  Important notice:

  - the form B5-1 is provided as a tool to prepare the budget table to be declared in Section 3 of Part A, therefore it is recommended to fill in Form B5-1 first and then copy the information in Section 3 of Part A.

  - in case of inconsistencies between the data provided in Section 3 of Part A and Form B5-1 only the figures of Section 3 of part A will be considered and the ones from Form B5-1 will be disregarded.

- B5-2: Equipment and staff costs of participants (one form for each participant)

- B5-3: Operating costs of participants (one form for each participant)
- B5-4: Subcontracting costs and total costs of participants (one form for each participant)
- B5-5: Profile/information of subcontractors (one form for each subcontractor)
- B5-6: Equipment and staff costs of subcontractors (one form for each subcontractor)
- B5-7: Operating and total costs of subcontractors (one form for each subcontractor)

Footnotes are given in the individual forms to guide applicants.

The template provided on the Participant Portal is a MS Excel file with a single set of Forms B5-1 to B5-7.

Required format for Forms B5:

- the given template should be used (file B5_Detailed_Budget.xls available in SEP under "*download templates*", STEP 5); the forms are also shown in Annex VI to this Information Package.
- Forms B5 have to be uploaded to SEP as single pdf file having B5-1 as first page, followed by a set of forms B5-2 to B5-7 for each participant. The same order of participants as in Part A should be used. For participants without subcontracts for research assistance, only one set B5-2 to B5-4 is needed. For participants with subcontracts for research assistance, one set of forms B5-5 to B5-7 is needed for each subcontract.
- maximum file size is 10 MB
- there is no page limit for this form.

3.8 STEP 6 – SUBMIT

The Project Coordinator (or other contact persons of the coordinating organisation with full access rights to the proposal) is responsible for the submission of the proposal.

Prior to the submission, the Project Coordinator is recommended to perform a Validation of the proposal (by clicking on "*Validate*" on the Edit Proposal's Forms screen) in order to know if any important information is missing in Part A, if the mandatory documents B1, B2 and B5 have been uploaded and whether the maximum allowable page number has been respected.

The SEP system is not programmed to check whether re-submitted proposals have actually uploaded the required B3 and B4 files, or whether proposals with

subcontracts include the necessary B5 forms. It is therefore always the responsibility of the Project Coordinator to make sure that the necessary forms are uploaded according to the instructions given in the previous Section ("Step 5 – Edit Proposal").

When validating the proposal, the submission system will generate an automatic warning when the page count for documents with limited page number (B1 and B3) exceeds the maximum. However, this will not prevent the submission of the proposal and, in order for the proposal to be eligible, it is again the responsibility of the Project Coordinator to ensure that the said limit is respected.

Once the "Validation" check does not reveal any residual problems, the proposal can be submitted by clicking on "*Submit*" appearing on the lower right corner of the Edit Proposal's Forms screen. Note that this action will directly submit the proposal to the RFCS programme.

The proposal can be submitted at any time prior to the cut-off date, which is September 15, 2014 at 17:00:00 (Brussels local time). By accessing the "My Proposals" page on the Participant Portal, a submitted proposal can be withdrawn by the Project Coordinator, or it can be re-opened, modified and re-submitted as long as this is done before the given cut-off date.

Note that any subsequent submission will overwrite the preceding one and that the Commission will only see and evaluate the last **submitted** (i.e., not last saved) version of the proposal available on the system at the expiration of the deadline (cut-off date for 2014). Participants are advised to submit an early version of the proposal and subsequently update it so that there is always a submitted version on SEP.

After the deadline, proposals will remain accessible in read-only mode and for download only until the end of 2014. It is therefore recommended to save and/or print a version of the electronic proposal to keep a permanent record of what has been submitted.

WARNING: the process of generating a single pdf of the full proposal may take from a few seconds to several hours depending upon system load, and may be **deactivated** on the day of the deadline. The download of each separate part of the proposal will remain available from Step 5 (Edit proposal).

4 SELECTION OF SUCCESSFUL PROPOSALS

Submitted proposals are evaluated by the Commission services with the assistance of independent external experts.

The participants are advised to print the latest submitted version of the proposal prior to the deadline in order to see exactly what will be received by the Commission services.

Note that the proposals may be evaluated on paper after being printed in black and white. Therefore applicants are recommended to ensure that black and white print-outs of the proposal convey the intended information.

4.1 CONDITIONS FOR ADMISSIBILITY AND ELIGIBILITY

Proposals submitted to the RFCS programme will be evaluated only if they are considered admissible and eligible.

To be considered **admissible**, a proposal must be:

1.1 Submitted before the deadline in the electronic submission system accessible from the Participant Portal of the European Commission; proposals submitted via any other mean (e-mail, ordinary mail, hand-delivery, etc.) will not be evaluated;

1.2 Readable, accessible and printable.

To be considered **eligible**, a proposal must comply with all the following criteria.

2.1 The proposal must address at least one of the research objectives of the RFCS programme for the relevant topic, namely Articles 4 to 7 of the RFCS Legal Basis for proposals in the topic "Coal" and Articles 8 to 10 for proposals in the topic "Steel" (see Annex I to this Information Package).

2.2 The proposal must include the following forms (see Section 3.3):

Form *B1* – Description of the proposal
From *B2* – Technical Annex
Form *B5* – Information on the budget

2.3 If the proposal has been already submitted in the past to the RFCS programme, the following additional forms are also mandatory (see Section 3.3):

Form *B3* – Information on the resubmitted proposal
Form *B4* – Copy of the last evaluation summary report

2.4 The following forms must not exceed the maximum allowable number of pages, i.e.:

Form *B1* maximum 15 pages
Form *B3* maximum 2 pages (only applies to resubmitted proposals)

2.5 The content of Forms B must be relevant to what is asked in each specific form.

A check on the admissibility and eligibility of the proposals will be performed after the deadline for submissions and before the proposals are evaluated. Applicants of inadmissible and ineligible proposals will be informed in due time about the decision not to consider such proposals for evaluation.

A proposal may be deemed ineligible also at a later stage of the submission and evaluation process, should evidence arise of non-compliance with the eligibility criteria given above.

4.2 EVALUATION

Each proposal is evaluated by a panel composed of a minimum of three experts under the supervision of Commission's staff. The detailed evaluation criteria are defined separately for Research, Pilot and Demonstration projects (5 criteria) and for Accompanying Measures (4 criteria).

The evaluation Criteria for Research, Pilot and Demonstration projects are:

1. Scientific and technical approach
2. Innovative content
3. Consistency of resources and quality of partnership
4. Industrial interest and scientific/technical prospects
5. Added value for the European Union and contribution to EU policies

The evaluation criteria for Accompanying Measures are:

1. Contribution to the objectives of the RFCS programme
2. Scientific, technical and socio-economic prospects
3. Added value for the European Union and contribution to EU policies
4. Information on budget and resources

Complete evaluation forms are given in Annex IV to this Information Package.

The panel of experts will evaluate the proposal by granting, for each single criterion, between 0 and 5 points according to the following definitions:

0 The proposal fails to address the criterion or cannot be assessed due to missing or incomplete information.

1 ***Poor***. The criterion is inadequately addressed, or there are serious inherent weaknesses.

2 ***Fair***. The proposal broadly addresses the criterion, but there are significant weaknesses.

3 ***Good***. The proposal addresses the criterion well, but a number of shortcomings are present.

4 ***Very Good***. The proposal addresses the criterion very well, but a small number of shortcomings are present.

5 ***Excellent*.** The proposal successfully addresses all relevant aspects of the criterion. Any shortcomings are minor.

1 additional bonus point will be granted to research, pilot and demonstration proposals if they address at least one of the annual priorities in the relevant topic (see Annex V to this Information Package). The additional priority bonus point is not granted to accompanying measures.

Important: the proposals will be evaluated as submitted and, if important information is missing or not convincing, or shortcomings are found, this will result in a low scoring of the proposal and possibly in its rejection; instructions will be given to the evaluators to do so rather than give recommendations to improve such aspects during the preparation of the Grant Agreement.

Thresholds

The following thresholds apply during the evaluation of proposals.

For research, pilot and demonstration projects, proposals obtaining less than 3 points in criterion 1 or in criterion 2 will not pass the evaluation and, therefore, will not be recommended for funding.

For accompanying measures, proposals obtaining less than 15 total points will not pass the evaluation and, therefore, will not be recommended for funding.

Ranking lists

Following the evaluation phase, proposals under the same Topic (Coal/Steel) will be ranked in two main lists:

- Proposals passing all thresholds and recommended for funding

- Proposals not passing one of the relevant thresholds and not recommended for funding.

In each list, proposals will be ranked according to the final total score obtained during the evaluation (this includes the additional priority bonus point, if granted).

For the purpose of ranking together accompanying measure proposals with research, pilot and demonstration project proposals, the final total score of accompanying measure will be multiplied by the following scaling factor:

$$(Total\ Score) \times (25/20)$$

In case of proposals with equal total score in one of the lists, the following rules apply.

- In case of two research, pilot and/or demonstration proposals with equal total score, these will be ranked according to a predefined cascade order of the five following evaluation criteria:

  Cascade mechanism for research, pilot and demonstration proposals:

  (1) *Industrial interest and scientific/technical prospects*

  (2) *Scientific and technical approach*

  (3) *Innovative content*

  (4) *Added value for the European Union and contribution to EU policies*

  (5) *Consistency of resources and quality of partnership*

- In case of two proposals for Accompanying Measures with equal total score, these will be ranked according to a predefined cascade order of the four following evaluation criteria:

  Cascade mechanism for accompanying measure proposals:

  (1) *Scientific, technical and socio-economic prospects*

  (2) *Contribution to the objectives of the RFCS Programme*

  (3) *Added value for the European Union and contribution to EU policies*

  (4) *Information on budget and resources*

- In case of a proposal for accompanying measure with equal total score as a proposal for research, pilot or demonstration project, priority will be given to the latter, i.e. the proposal for research, pilot or demonstration project will be ranked higher than the proposal for accompanying measure.
- In case the cascade mechanisms are not able to rank two proposals with the same scores under each criteria, the proposal with the highest budget allocated to SMEs will be ranked first

Evaluation Summary Report

At the end of the evaluation process, an Evaluation Summary Report (ESR) is produced by the Commission, with indication and justification of scores for each criterion. The ESR will be communicated to applicants in due time and in any case before the 15th of March 2015.

Selection of proposals to be funded

Proposals passing all thresholds and appearing in the first ranking list will be considered for funding in 2015. Starting from the top of ranking list, funding will be granted until the annual budget for 2015 is fully assigned. Therefore, only applicants of the best-ranked proposals will be invited to sign a Grant Agreement with the Commission. The remaining proposals will not receive funding in 2015, despite having passed all thresholds. Applicants will have the possibility to resubmit these proposals for evaluation in 2015, if they wish to do so.

If a consortium is invited to sign a Grant Agreement with the Commission, most of the information provided in Part B of the proposal becomes contractual obligations. No possibility will be given during the preparation of the Grant Agreement to modify substantial elements of the proposal, such as the planned work, the deliverables, the composition of the consortium, the nature and extent of the claimed costs, etc. (except for obvious clerical errors and other minor shortcomings identified by the evaluators; a change in the consortium may exceptionally be accepted in duly justified cases, or in case of a partner failing in regard to legal and financial viability. In this case the consortium has to propose a solution, either to attribute the tasks to other members of the consortium or to replace the participant with a new organisation).

Note also that the Model Grant Agreement adopted for proposals recommended for funding in 2015 will differ from the current one (available on the RFCS website). More information and the full text of the new model GA will be included in the 2014 edition of the Information Package volume II.

In addition, financial and legal validation of the applicants will be carried out during the Grant Agreement preparation phase.

Similarly, the Commission reserves the possibility to ask for additional supporting documents in order to assess whether applicants have the operational resources and capacity to implement the action.

4.3 PROPOSAL FOLLOW UP

The following table gives an overview of the time line of the different stages following the submission of the proposals.

Important notice for successful proposals: a Grant Agreement with the consortium can only be signed by the Commission services once the final ranking list is discussed by the relevant Advisory Group, endorsed by the Coal and Steel Committee (COSCO) of member states representatives and the relevant Commission Implementing decision is adopted.

Information on how to proceed during the Grant Agreement preparation phase will be given in the Volume II of this Information Package, which will be published on the RFCS website in the second half of 2014 (http://cordis.europa.eu/coal-steel-rtd/home_en.html).

Proposal Submission Deadline	**Monday, 15 September 2014 at 17:00:00 (Brussels local time)**
Evaluation Sessions	October to December 2014
Notification of the evaluation results to all applicants	Before 15 March 2015
Grant Agreement signature for projects retained for funding	Before 15 June 2015
Projects with signed Grant Agreements: Payment of first pre-financing	June to July 2015
Target start date of projects	1st July 2015

5 INFORMATION AND ASSISTANCE

5.1 HELPDESKS

For general information concerning the RFCS programme please contact our helpdesk:

rtd-steel-coal@ec.europa.eu

or check our website:

http://cordis.europa.eu/coal-steel-rtd/

For specific technical and financial issues, please refer to the relevant Scientific Project Officer or Financial Officer; contact details are available on the page:

http://cordis.europa.eu/coal-steel-rtd/contact_en.html

Contact the Participant Portal IT helpdesk for general IT issues and questions such as forgotten passwords, access rights and roles, guidance on the steps for submission of proposals, etc:

http://ec.europa.eu/research/participants/api/contact/index.html

5.2 SUPPORTING DOCUMENTS

When preparing the proposals, applicants may also wish to refer to the following supporting documents:

- the full list of projects (completed and on-going) funded by the RFCS programme (http://cordis.europa.eu/coal-steel-rtd/synopsis_en.html). For completed projects, the link to the final report published on EU Bookshop is also given.
- a selection of RFCS success stories (http://cordis.europa.eu/coal-steel-rtd/stories_en.html).

The published reports of finalised RFCS projects are available from the EU bookshop, which is the portal of the Publications Office of the European Union:

http://bookshop.europa.eu

Digital copies can be downloaded free of charge. To order printed copies, please refer to the following link:

http://publications.europa.eu/howto/index_en.htm

5.3 CONFIDENTIALITY AND PERSONAL DATA PROTECTION

- Proposals, as well as any related information, data, and documents will be treated confidentially.
- The Commission staff will ensure that the process of handling and evaluating proposals is carried out in a confidential manner.
- Experts evaluators are bound by an obligation of confidentiality.
- Proposals will be archived under secure conditions.
- Personal data will be processed under Regulation No 45/2001 and according to the 'notifications of the processing operations' to the Data Protection Officer (DPO) of the Commission (publicly accessible in the DPO register)

ANNEXES

ANNEX I: RFCS LEGAL BASIS

20.5.2008 EN Official Journal of the European Union L 130/7

II

(Acts adopted under the EC Treaty/Euratom Treaty whose publication is not obligatory)

DECISIONS

COUNCIL

COUNCIL DECISION

of 29 April 2008

on the adoption of the Research Programme of the Research Fund for Coal and Steel and on the multiannual technical guidelines for this programme

(2008/376/EC)

THE COUNCIL OF THE EUROPEAN UNION,

Having regard to the Treaty establishing the European Community,

Having regard to the Protocol, annexed to the Treaty establishing the European Community, on the financial consequences of the expiry of the ECSC Treaty and on the Research Fund for Coal and Steel,

Having regard to Council Decision 2003/76/EC of 1 February 2003 establishing the measures necessary for the implementation of the Protocol, annexed to the Treaty establishing the European Community, on the financial consequences of the expiry of the ECSC Treaty and on the Research Fund for Coal and Steel [1], and in particular Article 4(3) thereof,

Having regard to the proposal from the Commission,

Having regard to the opinion of the European Parliament [2],

Whereas:

(1) The revenue from investments of the net worth of the assets of the European Coal and Steel Community (ECSC) in liquidation and, on completion of the liquidation, the assets of the Research Fund for Coal and Steel, are being assigned to the Research Fund for Coal and Steel, which is intended exclusively to fund research projects outside the Community framework programme for research, technological development and demonstration activities in the sectors related to the coal and steel industry.

(2) The Research Fund for Coal and Steel is to be managed by the Commission in accordance with principles similar to those governing the former ECSC coal and steel technical research programmes and on the basis of multiannual technical guidelines which should constitute an extension of those ECSC programmes, providing a high concentration of research activities and ensuring that they supplement those of the Community framework programme for research, technological development and demonstration activities.

(3) The Seventh Framework Programme of the European Community for research, technological development and demonstration activities (2007-2013) set out in Decision No 1982/2006/EC of the European Parliament and of the Council of 18 December 2006 [3] (hereinafter referred to as 'the Seventh Framework Programme') provides an incentive to review Council Decision 2003/78/EC of 1 February 2003 laying down the multiannual technical guidelines for the research programme of the Research Fund for Coal and Steel [4] in order to ensure that the Research Fund for Coal and Steel complements the Seventh Framework Programme in the sectors related to the coal and steel industry.

(4) Research and technical development constitute a very important means of supporting Community energy objectives with regard to the supply of Community coal and its competitive and environmentally friendly conversion and utilisation. Moreover, the growing international dimension of the coal market and the global scale of the problems confronting it means that the

[1] OJ L 29, 5.2.2003, p. 22.
[2] Opinion of 10 April 2008 (not yet published in the Official Journal).
[3] OJ L 412, 30.12.2006, p. 1.
[4] OJ L 29, 5.2.2003, p. 28.

Community has to take a leading role in meeting challenges relating to modern techniques, mine safety and environmental protection at worldwide level by ensuring the transfer of know-how required for further technological progress, improved working conditions (health and safety) and enhanced environmental protection.

(5) With the general aim of increasing competitiveness and contributing to sustainable development, the main emphasis of research and technological development is on the development of new or improved technologies to guarantee the economic, clean and safe production of steel and steel products characterised by steadily increasing performance, suitability to use, customer satisfaction, prolonged service life, easy recovery and recycling.

(6) The order in which the research objectives for coal and steel are presented in this Decision should not represent a priority as between those objectives.

(7) In the framework of the management activities of the Research Fund for Coal and Steel, the Commission should be assisted by advisory groups and technical groups representing a wide range of interests of industries and other stakeholders.

(8) The recent enlargement incorporating new Member States requires modification of the multiannual technical guidelines laid down in Decision 2003/78/EC, notably as regards the composition of the advisory groups and the definition of coal.

(9) In accordance with Statement No 4 of the Decision of the Representatives of the Governments of the Member States meeting within the Council 2002/234/ECSC of 27 February 2002 ([1]), the Commission has re-examined the definition of steel and come to the conclusion that it is not necessary to change that definition. Indeed, steel castings, forgings and powder metallurgy products are topics already covered by the Seventh Framework Programme.

(10) The general approach for revising the Decision 2003/78/EC should be to keep intact the procedures that were considered by the assisting groups as effective, together with a limited but necessary number of modifications and administrative simplifications in order to ensure complementarity with the Seventh Framework Programme.

(11) Those modifications include the deletion of some accompanying measures as already foreseen in the Seventh Framework Programme. It is also necessary to align the periodicity of the revision and the experts' nominations concerning the Research Programme of the Research Fund for Coal and Steel on those used in the Seventh Framework Programme.

([1]) OJ L 79, 22.3.2002, p. 42.

(12) The rules on the composition of the advisory groups should be revised, notably as regards the representation of interested Member States and gender balance according to Commission Decision 2000/407/EC of 19 June 2000 relating to gender balance within the committees and expert groups established by it ([2]).

(13) The Commission should be given the opportunity to launch dedicated calls in the framework of the research objectives defined in this Decision.

(14) The maximum total financial contribution from the Research Fund for Coal and Steel for pilot and demonstration projects should be increased to 50 % of the eligible costs.

(15) The eligible costs approach should be kept together with a better definition of the cost categories and a revised percentage for the calculation of the overheads.

(16) The Commission has reassessed the multiannual technical guidelines laid down in Decision 2003/78/EC and found that in view of the changes required it is appropriate to replace that Decision.

(17) In order to ensure the necessary continuity with Decision 2003/78/EC, this Decision should apply from 16 September 2007. Applicants submitting proposals between 16 September 2007 and the date this Decision takes effect should be invited to resubmit their proposals in accordance with this Decision, which should enable them to benefit from the more favourable conditions provided by this Decision, notably as regards the financial contribution to pilot and demonstration projects.

(18) The measures necessary for the implementation of this Decision should be adopted in accordance with Council Decision 1999/468/EC of 28 June 1999 laying down the procedures for the exercise of implementing powers conferred on the Commission ([3]),

HAS ADOPTED THIS DECISION:

CHAPTER I

GENERAL PROVISIONS

Article 1

Subject matter

This Decision provides for the adoption of the Research Programme of the Research Fund for Coal and Steel and lays down the multiannual technical guidelines for the implementation of that programme.

([2]) OJ L 154, 27.6.2000, p. 34.

([3]) OJ L 184, 17.7.1999, p. 23. Decision as last amended by Decision 2006/512/EC (OJ L 200, 22.7.2006, p. 11).

CHAPTER II

RESEARCH PROGRAMME OF THE RESEARCH FUND FOR COAL AND STEEL

SECTION 1

Adoption of the Research Programme

Article 2

Adoption

The Research Programme for the Research Fund for Coal and Steel (hereinafter referred to as 'the Research Programme') is hereby adopted.

The Research Programme shall support the competitiveness of the Community sectors related to the coal and steel industry. The Research Programme shall be consistent with the scientific, technological and political objectives of the Community, and shall complement the activities carried out in the Member States and within the existing Community research programmes, in particular the framework programme for research, technological development and demonstration activities (hereinafter referred to as 'the Research Framework Programme').

Coordination, complementarity and synergy between these programmes shall be encouraged, as shall the exchange of information between projects financed under the Research Programme and those that are financed under the Research Framework Programme.

The Research Programme shall support research activities aimed at the objectives defined for coal in Section 3 and for steel in Section 4.

SECTION 2

Definitions of coal and steel

Article 3

Definitions

For the purposes of this Decision, the following definitions shall apply:

1. coal shall mean any of the following:

   (a) hard coal, including the high and medium-ranking 'A' coals (sub-bituminous coals) as defined in the international codification system of coal of the UN Economic Commission for Europe;

   (b) hard coal briquette;

   (c) coke and semi-coke derived from hard coal;

   (d) lignite, including the low-ranking 'C' coals (or ortho-lignites) and the low-ranking 'B' coals (or meta-lignites) as defined in the above codification;

   (e) lignite briquettes;

   (f) coke and semi-coke derived from lignite;

   (g) oil shales;

2. steel shall mean any of the following:

   (a) raw materials for iron and steel production, such as iron-ore, sponge iron and ferrous scrap;

   (b) pig iron (including hot metal) and ferro-alloys;

   (c) crude and semi-finished products of iron, ordinary steel or special steel (including products for reuse and re-rolling), such as liquid steel cast by continuous casting or otherwise, and semi-finished products such as blooms, billets, bars, slabs and strips;

   (d) hot-finished products of iron, ordinary steel or special steel (coated or uncoated products, excluding steel castings, forgings and powder metallurgy products), such as rails, sheet piling, structural shapes, bars, wire rods, plates and universal plates, strips and sheets, and tube rounds and squares;

   (e) end products of iron, ordinary steel or special steel (coated or uncoated), such as cold-rolled strips and sheets and electrical sheets;

   (f) products of the first-stage processing of steel that can enhance the competitive position of the above iron and steel products, such as tubular products, drawn and polished products, cold-rolled and cold-formed products.

SECTION 3

Research objectives for coal

Article 4

Improving the competitive position of Community coal

1. Research projects shall aim to reduce the total costs of mining production, improve the quality of the products and reduce the costs of using coal. Research projects shall encompass the entire coal production chain as follows:

(a) modern techniques for surveying deposits;

(b) integrated mine planning;

(c) highly efficient, largely automated excavation and new and existing mining technologies corresponding to the geological characteristics of European hard coal deposits;

(d) appropriate support technologies;

(e) transport systems;

(f) power supply services, communication and information, transmission, monitoring and process control systems;

(g) coal preparation techniques, oriented to the needs of the consumer markets;

(h) coal conversion;

(i) coal combustion.

2. Research projects shall also aim to achieve scientific and technological progress with a view to gaining a better understanding of the behaviour and control of deposits in relation to rock pressure, gas emissions, the risk of explosion, ventilation and all other factors affecting mining operations. Research projects with these objectives shall present the prospect of results applicable in the short or medium term to a substantial part of Community production.

3. Preference shall be given to projects that promote at least one of the following:

(a) integration of individual techniques in systems and methods and the development of integrated mining methods;

(b) substantial reduction of production costs;

(c) benefits in terms of mine safety and the environment.

Article 5

Health and safety in mines

Issues concerning mine safety, including gas control, ventilation and air-conditioning with a view to improving underground working conditions and occupational health and safety as well as environmental issues shall also be taken into account in the projects covering the activities referred to in Article 4(1)(a) to (f).

Article 6

Efficient protection of the environment and improvement of the use of coal as a clean energy source

1. Research projects shall seek to minimise the impact of mining operations and the use of coal in the Community on the atmosphere, water and the surface within the framework of an integrated management strategy with respect to pollution. As the Community coal industry is undergoing constant restructuring, the research shall also be geared towards minimising the environmental impact of underground mines destined for closure.

2. Preference shall be given to projects that envisage one or more of the following:

(a) a reduction in emissions from coal utilisation, including capture and storage of CO_2;

(b) a reduction in greenhouse gas emissions, in particular methane, from coal deposits;

(c) the return to the mine of mining waste, fly ash and desulphurisation products, accompanied, where relevant, by other forms of waste;

(d) the refurbishment of waste heaps and the industrial use of residues from coal production and consumption;

(e) the protection of water tables and the purification of mine drainage water;

(f) a reduction in the environmental impact of installations which mainly use Community coal and lignite;

(g) the protection of surface installations against the effects of subsidence in the short and long term.

Article 7

Management of external dependence on energy supply

Research projects shall relate to the prospects for long-term energy supply and concern the upgrading, in economic, energy-related and environmental terms, of coal deposits which cannot be extracted economically by conventional mining techniques. Projects may include studies, the definition of strategies, fundamental and applied research and the testing of innovative techniques which offer prospects for the upgrading of Community coal resources.

Preference shall be given to projects integrating complementary techniques such as the adsorption of methane or carbon dioxide, coal bed methane extraction and underground coal gasification.

SECTION 4

Research objectives for steel

Article 8

New and improved steelmaking and finishing techniques

Research and technological development (RTD) shall aim to improve steel production processes with a view to enhancing product quality and increasing productivity. Reducing emissions, energy consumption and the environmental impact as well as enhancing the use of raw materials and the conservation of resources shall form an integral part of the improvements sought. Research projects shall address one or more of the following areas:

(a) new and improved iron-ore reduction processes;

(b) ironmaking processes and operations;

(c) electric arc furnace processes;

(d) steelmaking processes;

(e) secondary metallurgy techniques;

(f) continuous casting and near net shape-casting techniques with and without direct rolling;

(g) rolling, finishing and coating techniques;

(h) hot- and cold-rolling techniques, pickling and finishing processes;

(i) process instrumentation, control and automation;

(j) maintenance and reliability of production lines.

Article 9

RTD and the utilisation of steel

RTD shall be undertaken in respect of the utilisation of steel to meet the future requirements of steel users and to create new market opportunities. Research projects shall address one or more of the following areas:

(a) new steel grades for demanding applications;

(b) steel properties addressing mechanical properties at low and high temperatures such as strength and toughness, fatigue, wear, creep, corrosion and resistance against fracture;

(c) prolonging service life, in particular by improving the resistance of steels and steel structures to heat and corrosion;

(d) steel-containing composites and sandwich structures;

(e) predictive simulation models on microstructures and mechanical properties;

(f) structural safety and design methods, in particular with regard to resistance to fire and earthquakes;

(g) technologies relating to the forming, welding and joining of steel and other materials;

(h) standardisation of testing and evaluation methods.

Article 10

Conservation of resources and improvement of working conditions

In both steel production and steel utilisation, the conservation of resources, the preservation of the ecosystem and safety issues shall form an integral part of the RTD work. Research projects shall address one or more of the following areas:

(a) techniques for recycling obsolete steel from various sources and classification of steel scrap;

(b) steel grades and design of assembled structures to facilitate the easy recovery of steel scrap and its reconversion into usable steels;

(c) control and protection of the environment in and around the workplace;

(d) restoration of steelworks sites;

(e) improvement of working conditions and quality of life in the workplace;

(f) ergonomic methods;

(g) occupational health and safety;

(h) reduction of exposure to occupational emissions.

CHAPTER III

MULTIANNUAL TECHNICAL GUIDELINES

SECTION 1

Participation

Article 11

Member States

Any undertaking, public body, research organisation or higher or secondary education establishment, or other legal entity, including natural persons, established within the territory of a Member State may participate in the Research Programme and apply for financial assistance, provided that they intend to carry out an RTD activity or can substantially contribute to such an activity.

Article 12

Candidate countries

Any undertaking, public body, research organisation or higher or secondary education establishment, or other legal entity, including natural persons, in candidate countries shall be entitled to participate without receiving any financial contribution under the Research Programme, unless otherwise provided under the relevant European Agreements and their additional Protocols, and in the decisions of the various Association Councils.

Article 13

Third countries

Any undertaking, public body, research organisation or higher or secondary education establishment, or other legal entity, including natural persons, from third countries shall be entitled to participate on the basis of individual projects without receiving any financial contribution under the Research Programme, provided that such participation is in the Community's interest.

SECTION 2

Eligible activities

Article 14

Research projects

A research project shall be intended to cover investigative or experimental work with the aim of acquiring further knowledge to facilitate the attainment of specific practical objectives such as the creation or development of products, production processes or services.

Article 15

Pilot projects

A pilot project shall be characterised by the construction, operation and development of an installation or a significant part of an installation on an appropriate scale and using suitably large components with a view to examining the potential for putting theoretical or laboratory results into practice and/or increasing the reliability of the technical and economic data needed to progress to the demonstration stage, and in certain cases to the industrial and/or commercial stage.

Article 16

Demonstration projects

A demonstration project shall be characterised by the construction and/or operation of an industrial-scale installation or a significant part of an industrial-scale installation with the aim of bringing together all the technical and economic data in order to proceed with the industrial and/or commercial exploitation of the technology at minimum risk.

Article 17

Accompanying measures

Accompanying measures shall relate to the promotion of the use of knowledge gained or to the organisation of dedicated workshops or conferences in connection with projects or priorities of the Research Programme.

Article 18

Support and preparatory actions

Support and preparatory actions shall be those appropriate to the sound and effective management of the Research Programme, such as the evaluation and selection of proposals as referred to in Articles 27 and 28, the periodic monitoring and assessment referred to in Article 38, studies, the clustering or the networking of related projects funded under the Research Programme.

The Commission may, where it deems appropriate, appoint independent and highly qualified experts to assist with support and preparatory actions.

SECTION 3

Management of the research programme

Article 19

Management

The Research Programme shall be managed by the Commission. It shall be assisted by the Coal and Steel Committee, the Coal and Steel Advisory Groups and the Coal and Steel Technical Groups.

Article 20

Establishment of the Coal and Steel Advisory Groups

The Coal and Steel Advisory Groups (hereinafter referred to as 'the Advisory Groups') shall be independent technical advisory groups.

Article 21

Tasks of the Advisory Groups

For the coal- and steel-related RTD aspects respectively, each Advisory Group shall advise the Commission on the following:

(a) the overall development of the Research Programme, the information package as referred to in Article 25(3) and future guidelines;

(b) the consistency and the possible duplication with other RTD programmes at Community and national level;

(c) the setting-out of the guiding principles for monitoring RTD projects;

(d) the work being undertaken on specific projects;

(e) the research objectives of the Research Programme listed in Sections 3 and 4 of Chapter II;

(f) the annual priority objectives listed in the information package and, where appropriate the priority objectives for dedicated calls as referred to in Article 25(2);

(g) the preparation of a manual for evaluating and selecting RTD actions, as referred to in Articles 27 and 28;

(h) the evaluation of proposals for RTD actions and the priority to be given to those proposals, having regard to the funds available;

(i) the number, competence and composition of the Technical Groups referred to in Article 24;

(j) the drawing-up of dedicated calls for proposals as referred to in Article 25(2);

(k) other measures when requested to do so by the Commission.

Article 22

Composition of the Advisory Groups

1. Each Advisory Group shall be composed in accordance with the tables set out in the Annex. Members of the Advisory Groups shall be appointed by the Commission to serve in a personal capacity for a period of 42 months. Appointments may be withdrawn.

2. The Commission shall consider proposals for appointments received in the following ways:

(a) by the Member States;

(b) by the entities referred to in the tables in the Annex;

(c) in response to a call for applications for inclusion on a reserve list.

3. The Commission shall ensure, within each Advisory Group, a balanced range of expertise and the broadest possible geographical representation.

4. Members of the Advisory Groups shall be active in the field concerned and be aware of the industrial priorities. In addition, the Commission, when appointing members, shall seek to achieve a gender balance.

Article 23

Meetings of the Advisory Groups

The meetings of the Advisory Groups shall be organised and chaired by the Commission, which shall also provide the secretariat.

If necessary, the Chairman may request members to vote. Every member shall have the right to one vote. The Chairman may invite visiting experts or observers to take part in meetings where appropriate. The visiting experts and the observers shall have no voting rights.

If necessary, such as to provide advice on matters of relevance for both the coal and steel sectors, the Advisory Groups shall convene in joint meetings.

Article 24

Establishment and tasks of the Coal and Steel Technical Groups

The Coal and Steel Technical Groups (hereinafter referred to as 'the Technical Groups') shall advise the Commission on the monitoring of research and pilot or demonstration projects and, where necessary, in the definition of the priority objectives of the Research Programme.

Members of the Technical Groups shall be appointed by the Commission and shall come from the sectors related to the coal and steel industry, research organisations or user industries where they shall have responsibility for research strategy, management or production. In addition, the Commission, when appointing members, shall seek to achieve a gender balance.

Meetings of the Technical Groups shall, whenever possible, be held at venues chosen in such a way that project monitoring and results assessment are best ensured.

SECTION 4

Implementation of the research programme

Article 25

Call for proposals

1. An open and continuous call for proposals is hereby launched. Unless otherwise specified, 15 September of each year shall be the cut-off date for the submission of proposals for evaluation.

2. Where the Commission, in accordance with Article 41(d) and (e), decides to modify the cut-off date referred to in paragraph 1 of this Article for the submission of proposals, or to launch dedicated calls for proposals, it shall publish that information in the *Official Journal of the European Union*.

Dedicated calls shall indicate the dates and modalities for the submission, including whether it shall take place in one or two steps, and for the evaluation of the proposals, the priorities, the type of eligible projects as referred to in Articles 14 to 18, where necessary, and the envisaged funding.

3. The Commission shall establish an information package setting-out the detailed rules for participation, the methods of managing proposals and projects, application forms, rules for the submission of proposals, model grant agreements, eligible costs, the maximum financial contribution allowable, methods of payment and the annual priority objectives of the Research Programme.

The Commission shall make the information package public on the Community Research and Development Information Service (CORDIS) or corresponding website.

Applications shall be submitted to the Commission in accordance with the rules laid down in the information package, of which a paper copy can be obtained from the Commission on request.

Article 26

Content of proposals

The proposals shall relate to the research objectives laid down in Sections 3 and 4 of Chapter II and, where applicable, to the priority objectives listed in the information package in accordance with Article 25(3) or to the priority objectives defined for the dedicated calls for proposals referred to in Article 25(2).

Each proposal shall include a detailed description of the proposed project and contain full information on objectives, partnerships, including the precise role of each partner, management structure, anticipated results, expected applications and an assessment of anticipated industrial, economic, social and environmental benefits.

The proposed total cost and its breakdown shall be realistic and effective, and the project shall be expected to produce a favourable cost/benefit ratio.

Article 27

Evaluation of proposals

The Commission shall ensure a confidential, fair and equitable evaluation of proposals.

The Commission shall establish and publish a manual for the evaluation and selection of RTD actions.

Article 28

Selection of proposals and monitoring of projects

1. The Commission shall register the proposals received and shall verify their eligibility.

2. The Commission shall evaluate the proposals with the assistance of independent experts.

3. The Commission shall draw up a list of the proposals adopted in order of merit. The ranking list shall be discussed by the relevant Advisory Group.

4. The Commission shall decide on the choice of projects and the allocation of funds. Where the estimated amount of the Community contribution under the Research Programme is equal to or more than EUR 0,6 million Article 41(a) shall apply.

5. The Commission shall, with the assistance of the Technical Groups referred to in Article 24, monitor research projects and activities.

Article 29

Grant agreements

Projects based on selected proposals and measures and actions as specified under Articles 14 to 18 shall form the subject of a grant agreement. Grant agreements shall be based on relevant model grant agreements drawn up by the Commission, taking account, as appropriate, of the nature of the activities concerned.

Grant agreements shall define the financial contribution allocated under the Research Programme on the basis of the eligible costs, as well as the rules concerning cost reporting, the closure of accounts and certificates on financial statements. In addition, they shall provide for provisions on access rights and dissemination and use of knowledge.

Article 30

Financial contribution

1. The Research Programme shall be based on cost-sharing RTD grant agreements. The total financial contribution including any other additional public funding shall conform to the applicable rules on State aid.

2. Public contracts shall be used for the supply of movable or immovable assets, the execution of works or the provision of services which are necessary for the implementation of the support and preparatory actions.

3. Without prejudice to paragraph 1 of this Article, the maximum total financial contribution, expressed as a percentage of the eligible costs defined in Articles 31 to 35, shall be:

(a) for research projects up to 60 %;

(b) for pilot and demonstration projects up to 50 %;

(c) for accompanying measures, support and preparatory actions up to 100 %.

Article 31

Eligible costs

1. The eligible costs shall consist of the following:

(a) equipment costs;

(b) staff costs;

(c) operating costs;

(d) indirect costs.

2. The eligible costs shall cover only actual costs incurred for the execution of the project under the terms of the grant agreement. Beneficiaries, associated beneficiaries and sub-beneficiaries shall not be entitled to claim any budgeted or commercial rates.

Article 32

Equipment costs

The costs of purchasing or hiring equipment which are directly related to the execution of the project shall be chargeable as direct costs. The eligible costs for the leasing of equipment shall not exceed any eligible costs for its purchase.

Article 33

Staff costs

The costs of actual hours devoted exclusively to the project by scientific, postgraduate or technical staff and the staff costs of manual workers directly employed by the beneficiary shall be chargeable. Any additional staff costs, such as scholarships, shall require the Commission's prior written approval. All working hours charged must be recorded and certified.

Article 34

Operating costs

Operating costs directly related to the execution of the project shall be limited solely to the cost of:

(a) raw materials;

(b) consumables;

(c) energy;

(d) transportation of raw materials, consumables, equipment, products, feedstock or fuel;

(e) the maintenance, repair, alteration or transformation of existing equipment;

(f) IT and other specific services;

(g) the rental of equipment;

(h) analysis and tests;

(i) dedicated workshop organisation;

(j) certificate on financial statements and bank guarantee;

(k) protection of knowledge;

(l) assistance from third parties.

Article 35

Indirect costs

All other expenses, such as overhead costs or overheads, which may arise in connection with the project and which are not specifically identified in the preceding categories including travel and subsistence costs, shall be covered by a flat rate amounting to 35 % of the eligible staff costs as referred to in Article 33.

SECTION 5

Evaluation and monitoring of the research activities

Article 36

Technical reports

For research, pilot and demonstration projects referred to in Articles 14, 15 and 16 periodical reports shall be drawn up by the beneficiary or beneficiaries. Such reports shall be used to describe the technical progress made.

On completion of the work, a final report comprising an assessment of exploitation and impact shall be provided by the beneficiary or beneficiaries. That report shall be published by the Commission in full or in summarised form depending on the strategic relevance of the project and following consultation, if necessary, of the relevant Advisory Group.

The Commission may require the beneficiary or beneficiaries to provide final reports on the accompanying measures referred to in Article 17 as well as on the support and preparatory actions referred to in Article 18 and may decide to have them published.

Article 37

Annual review

The Commission shall conduct an annual review of activities under the Research Programme and the progress of the RTD work. The report containing the review shall be forwarded to the Coal and Steel Committee.

The Commission may appoint independent experts and highly qualified experts to assist with this annual review.

Article 38

Monitoring and assessment of the Research Programme

1. The Commission shall carry out a monitoring exercise of the Research Programme, including an assessment of the expected benefits. A report on that exercise shall be issued by the end of 2013, and thereafter every seven years. These reports shall be made public on the Community Research and Development Information Service (CORDIS) or corresponding website.

2. The Commission shall assess the Research Programme on completion of the projects financed during every period of seven years. The benefits of the RTD to society and to the relevant sectors shall also be assessed. The assessment report shall be published.

3. In carrying out the monitoring and assessment referred to in paragraphs 1 and 2, the Commission shall be assisted by panels of highly qualified experts appointed by the Commission.

Article 39

Appointment of independent and highly qualified experts

For the appointment of independent and highly qualified experts referred to in Article 18, Article 28(2) and Article 38, the provisions set out in Articles 14 and 17 of the Regulation (EC) No 1906/2006 [1], shall apply by analogy.

CHAPTER IV

FINAL PROVISIONS

Article 40

Review of the multiannual technical guidelines

The multiannual technical guidelines laid down in Chapter III shall be reviewed every seven years, first period ending on 31 December 2014. To this end, and at the latest in the first six months of the last year of each seven-year period, the Commission shall reassess the operation and the effectiveness of the multiannual technical guidelines and, where appropriate, propose any amendment.

If it sees fit, the Commission may carry out such reassessment and shall submit proposals for any appropriate amendments to the Council before the expiry of the seven-year period.

Article 41

Implementing measures

The Commission shall, in accordance with the procedure referred to in Article 42(2), adopt the following implementing measures:

(a) the approval of the funding actions where the estimated amount of the Community contribution under the Research Programme is equal to or more than EUR 0,6 million;

(b) the drawing-up of terms of reference for the monitoring and assessment of the Research Programme referred to in Article 38;

(c) amendments to Sections 3 and 4 of Chapter II;

(d) changes to the cut-off date referred to in Article 25;

(e) the drawing-up of dedicated calls for proposals.

Article 42

Committee

1. The Commission shall be assisted by the Coal and Steel Committee.

2. Where reference is made to this paragraph, Articles 4 and 7 of Decision 1999/468/EC shall apply.

The period laid down in Article 4(3) of that Decision shall be set at two months.

Article 43

Repeal and transitional measures

Decision 2003/78/EC shall be repealed. However, Decision 2003/78/EC shall continue to apply until 31 December 2008 to the financing of actions resulting from proposals submitted by 15 September 2007.

Article 44

Applicability

This Decision shall take effect on the day following its publication in the *Official Journal of the European Union*.

It shall apply from 16 September 2007.

Article 45

Addressees

This Decision is addressed to the Member States.

Done at Luxembourg, 29 April 2008.

For the Council
The President
D. RUPEL

[1] Regulation (EC) No 1906/2006 of the European Parliament and of the Council of 18 December 2006 laying down the rules for the participation of undertakings, research centres and universities in actions under the Seventh Framework Programme and for the dissemination of research results (2007-2013) (OJ L 391, 30.12.2006, p. 1).

ANNEX

The composition of the Coal Advisory Group referred to in Article 22:

Members	Maximum total
a) From coal producers/national federations or related research centres	8
b) From organisations representing coal producers at European level	2
c) From coal users or related research centres	8
d) From organisations representing coal users at European level	2
e) From organisations representing workers	2
f) From organisations representing equipment suppliers	2
	24

Members must have a wide background knowledge and individual expertise in one or more of the following areas: coalmining and utilisation, environment and social issues, including safety aspects.

The composition of the Steel Advisory Group referred to in Article 22:

Members	Maximum total
a) From steel industries/national federations or related research centres	21
b) From ornganisation representing producers at European level	2
c) From ornganisations representing workers	2
d) From organisations representing downstream processing industries or steel users	5
	30

Members must have a wide background knowledge and individual expertise in one or more of the following areas: raw materials; iron-making; steelmaking; continuous casting; hot- and/or cold-rolling; steel-finishing and/or surface treatment; development of steel grades and/or products; steel applications and properties; environmental and social issues, including safety aspects.

ANNEX II: SCOPE OF THE TECHNICAL GROUPS

Proposals submitted to the RFCS call should indicate the targeted Technical Group which will be monitoring the project in case of successful signature of the Grant Agreement with the Commission. The selected Technical Group should be in line with the subject of the proposal; if this is not the case, the Commission reserves the right to re-assign the proposal to a Technical Group different from the one indicated by the applicants. The applicants will be informed in due time about this re-assignment.

In the following, a full description of the scopes of the 12 RFCS Technical Groups (3 for coal, 9 for steel) is given.

TGC 1

Coal mining operation, mine infrastructure and management, unconventional use of coal deposits

- Modern techniques for surveying deposits
- Integrated mine planning
- Highly efficient, largely automated excavation and mining technologies corresponding to the geological characteristics of EU hard coal deposits
- Appropriate support technologies
- Transport systems
- Power supply services, communication and information, transmission, monitoring and process control system
- Health and safety in mines, gas control, ventilation and air conditioning, occupational health safety
- Reduction of greenhouse emissions from coal deposits
- Return to the mine of mining waste, fly ash, desulphurization, other forms of waste
- Refurbishment of waste heaps and the industrial use of residues from coal production and consumption
- Protection of water tables and the purification of mine drainage water
- Protection of surface installation against the effects of subsidence in the short and long term CO2 geological storage
- Upgrading coal deposits; coal bed methane, enhanced coal bed methane, underground gasification, others.

TGC 2

Coal preparation, conversion and upgrading

- Coal beneficiation
- Cokemaking
- Coal-derived carbon materials
- Coal gasification (hydrogen, syngas, synthetic natural gas etc.), including chemical and process aspects of underground coal gasification
- Coal liquefaction
- Environmental issues associated with coal upgrading processes

TGC 3

Coal combustion, clean and efficient coal technologies, CO_2 capture

- Clean and efficient coal combustion
- Integration of the coal chain, from mining to the final product (electricity, heat, hydrogen, coke)
- Carbon management strategy
- Reduction of the environmental impact of installations using EU coal, lignite and oil shale
- Reduction in emissions from coal utilization
- Clean and efficient coal technologies
- CO_2 capture
- Co-combustion of coal with solid waste or biomass
- Zero emissions and high efficient power generation
- CHP from coal
- Coal contribution to global energy security

TGS 1

Ore agglomeration and Ironmaking

- Ore agglomeration, sintering and pelletising processes
- New and improved iron-ore reduction processes (including DRI & C-free reduction)
- Ironmaking processes and operations including slag treatment

- Standardisation of testing and evaluation methods
- Maintenance and reliability of production lines
- Reduction of emissions, energy consumption and improvement of the environmental impact
- Instrumentation, modelling and control of processes

TGS 2

Steelmaking processes

- Electric arc furnace processes
- Physico-chemical metallurgy of liquid steel and slag
- Recycling of steel scrap
- Secondary metallurgy techniques
- Standardisation of testing and evaluation methods
- Maintenance and reliability of production lines
- Reduction of emissions, energy consumption and improvement of the environmental impact
- Instrumentation, modelling and control of processes

TGS 3

Casting

- Continuous casting and near net shape casting techniques with or without direct rolling for flat and long products
- Chemistry and physics of solidification
- Ingot casting
- Maintenance and reliability of production lines
- Reduction of emissions, energy consumption and improvement of the environmental impact
- Standardisation of testing and evaluation methods
- Instrumentation, modelling and control of processes

TGS 4

Hot and cold rolling processes

- Reheating furnaces
- Hot and cold rolling
- Thermal treatments
- Standardisation of testing and evaluation methods
- Maintenance and reliability of production lines
- Reduction of emissions, energy consumption and improvement of the environmental impact
- Instrumentation, modelling and control of processes

TGS 5

Finishing and coating

- Heat treatment technology
- Chemical treatments, finishing and coating techniques including new technologies
- Coating development, including new coatings
- Surface characteristics
- Corrosion properties
- Standardisation of testing and evaluation methods
- Maintenance and reliability of production lines
- Reduction of emissions, energy consumption and improvement of the environmental impact
- Instrumentation, modelling and control of processes

TGS 6

Physical metallurgy and design of new generic steel grades

- Precipitation, re-crystallisation, microstructure & texture and ageing
- Predictive simulation models on microstructures & mechanical properties
- Development of steel with improved properties at low and high temperatures such as strength and toughness, fatigue, wear, creep and resistance against fracture
- Magnetic properties
- New steel grades for demanding applications
- Standardisation of testing and evaluation methods

TGS 7

Steel products and applications for automobiles, packaging and home appliances

- Technologies relating to the forming, cutting, welding and joining of steel and other materials
- Design of assembled structures to facilitate the easy recovery of steel scrap and its re-conversion into usable steels and techniques for recycling
- Steel-containing composites and sandwich structures
- Prolonging service life of steel products
- Standardisation of testing and evaluation methods

TGS 8

Steel products and applications for building, construction and industry

- Structural safety and design methods, in particular with regard to resistance to fire and earthquakes
- Technologies relating to the forming, cutting, welding and joining of steel and other materials
- Design of assembled structures to facilitate the easy recovery of steel scrap and its re-conversion into usable steels and techniques for recycling
- Prolonging service life of steel products
- Standardisation of testing and evaluation methods

TGS 9
Factory-wide control, social and environmental issues

- Instrumentation, control and automation including artificial intelligence and information technologies
- Analytical techniques
- Working conditions and quality of life at the work place
- Energy, water and material flow management
- Ergonomic methods
- Occupational health and safety
- Reduction of exposure to occupational emissions

- Standardisation of testing and evaluation methods
- New processes for sustainable steel production
- Recovery and valorisation by-products
- Techniques for classification and preparation of steel scrap
- Control and protection of the environment in and around the workplace
- Restoration of steelwork sites
- Recovery of spent liquors
- Water treatment
- Life cycle assessment and sustainable products

ANNEX III: RESEARCH OBJECTIVES

When filling Form A, applicants are asked to indicate which research objectives are addressed by the proposal. The options available in the dropdown list are numbered according to the order in which the individual objectives appear in the RFCS Legal Basis, namely:

Coal 1 Improving the Competitive position of European Union Coal.

Coal 2 Health and Safety in Mines.

Coal 3 Efficient Protection of the Environment and improvement of the use of coal as a clean energy source.

Coal 4 Management of External Dependence on Energy Supply.

Steel 1 New and improved Steel making and finishing techniques.

Steel 2 RTD and the utilization of steel.

Steel 3 Conservation of resources and improvement of working conditions.

Please refer to the RFCS Legal Basis (see **Annex I**, Articles 4 to 10) for a more detailed description of the research objectives.

Also note that only proposals addressing at least one of the abovementioned research objectives are eligible for funding under the RFCS programme.

ANNEX IV: EVALUATION FORMS

RESEARCH, PILOT AND DEMONSTRATION PROPOSALS

The following evaluation criteria apply to proposals for Research, Pilot and Demonstration projects.

Proposals are only evaluated on the basis of the information provided by the applicants.

Important notice for the evaluators:
- For each criterion, record clearly strong and weak points of the proposal;
- The reading of the evaluation criteria must take into account the nature of the proposal (Research or Pilot&Demonstration);
- There is a threshold for criteria 1 and 2: proposals failing to reach a minimum score of 3 points on each of these criteria will not be funded;
- Failure to provide a realistic estimate of the budget and resources deemed necessary to carry out the planned activities should result in low scoring of the proposal under criterion 3.

1. Scientific and technical approach

1.1 Does the proposal address the scientific and technological issues of the RFCS Programme objectives (see Articles 4 – 10 of Council Decision 2008/376/EC)?

1.2 To what extent do the applicants demonstrate their knowledge of the international state-of-the-art of related work? Do they provide adequate documentary evidence, including results of relevant RTD projects?

1.3 Are the proposed methods and techniques clearly described and well explained? Is the overall approach suitable for achieving the project objectives?

1.4 Is the feasibility of the proposed work convincingly addressed?

2. Innovative content

2.1 Please summarise the innovative aspects of the proposal. Are the innovative aspects clearly described in the proposal?

2.2 Does the proposal have an appropriate level of innovative value / originality? Does the proposal indicate how the intended results could lead to progress (either incremental or breakthrough) beyond the state-of-the-art in the coal or steel sector, through either

- the development of new or improved products, processes or technologies?
- a significant progress in the existing knowledge or technologies?
- a significant contribution to putting into practice research results in an innovative way?

2.3 Please assess the scope of the expected findings. Do they offer the perspective of a wider and general use or are they limited to a specific application and/or product?

3. Consistency of resources and quality of the partnership

3.1 Are the Work packages adequately and clearly described and well defined? Is the interaction of the partners and tasks and their interdependencies clearly defined?

3.2 Is the quality and relevant experience of the individual participants appropriate to achieve the expected results? To what extent are the profiles and the skills of the partners complementary and is the consortium as a whole well balanced?

3.3 Is the project scheduling realistic and adequate? Are the scheduled tasks responding to the set objectives?

3.4 To what extent are the manpower and the technical and financial resources appropriate for the tasks described in the different Work Packages?

4. Industrial interest and scientific/technical prospects

4.1 What are the industrial benefits for the related sector? Are the main project deliverables in terms of industrial interest or scientific/technical prospect for the industrial sector and its strategic relevance clearly identified?

4.2 Are issues on the use and/or implementation of the results addressed and credible? Are modelling, simulation and/or field testing activities included and are they appropriate in view of the industrial exploitation of the findings?

4.3 Does the proposal include relevant industrial participation?

5. Added value for the European Union and contribution to EU Policies

5.1 Is there a clear need and clear benefit to carry out the project at European level instead of at national or private level?

5.2 Will the expected results be transferable throughout the European coal or steel industry?

If applicable,

- are aspects of dissemination and/or standardisation convincingly addressed?
- is the need to organise a workshop within the proposed research work clearly identified?

5.3 If appropriate: Will the expected project results have a positive impact on occupational health and safety in and around the workplace and the working environment?

5.4 Does this proposal address other policies and actions (such as policies related to sustainable and inclusive growth; preservation of natural resources; environmental or societal issues; etc.)?

Annual Priorities

Which of the current priorities listed in Annex V of the 2014 RFCS Information Package (Volume I) is addressed in the proposal?

ACCOMPANYING MEASURES

The following evaluation criteria apply to proposals for Accompanying Measures.

Proposals are only evaluated on the basis of the information provided by the applicants.

Important notice for the evaluators:
- For each criterion, record clearly strong and weak points of the proposal;
- There is a threshold on the total score: proposals failing to reach a minimum total score of 15 points will not be funded.
- Failure to provide a realistic estimate of the budget and resources deemed necessary to carry out the planned activities should result in low scoring of the proposal under criterion 4.

1. Contribution to the objectives of the RFCS Programme

1.1 How pertinent and adequate is the proposal with respect to the role of the accompanying measures and the programme objectives?

1.2 Do the applicants indicate quantitative objectives? Are they credible?

2. Scientific, technical and socio-economic prospects

2.1 Does the proposal have a clear dissemination value, i.e. does the intended project disseminate new information and effectively address an appropriate audience in the field concerned?

2.2 Does the proposal demonstrate a positive effect on the European *coal* or *steel* industry?

3. Added value for the European Union and contribution to EU policies

3.1 Does the proposal demonstrate a strategic importance to the European coal or steel industry?

3.2 Does the proposal support European Policies, e.g. in the field of the European Research Area, standardisation, environment, employment etc...?

4. Information on budget and resources

4.2 Do the applicants demonstrate all the professional qualifications to carry out the work in terms of expertise, commitment and available resources?

4.2 Is the estimated cost realistic?

ANNEX V: ANNUAL PRIORITIES OF THE RFCS PROGRAMME

Clearly indicate in your proposal which of the following annual priorities, if any, your proposal addresses. Be aware that:

- The priorities from 1.1 to 1.7 only apply to proposals submitted under the topic "coal"; the priorities from 2.1 to 2.9 only apply to proposals submitted under the topic "steel".
- Meeting an annual priority is not mandatory (while it is mandatory to meet a research objective).
- Special attention should be paid to the logical expressions involving the operators AND and OR. These are used in the priorities with the following meaning:

  x AND *y* — both elements *x* and *y* must be addressed in the proposal for the logical expression to be true

  x OR *y* — at least one element *x* or *y* must be addressed in the proposal for the logical expression to be true

2014 COAL PRIORITIES

1.1 Management of environmental risks during OR after mine closure

1.2 Prevention AND mitigation measures for major accident hazards in coal mines like rock bursts, gas explosion, fire

1.3 Increasing the efficiency of mine production by utilising Information and Communication Technologies (ICT) for improved process optimisation

1.4 Improved monitoring of coke oven conditions

1.5 Upgrading of coal-derived liquids

1.6 Technological improvements targeting load flexibility AND environmental performance of coal fired power plants

1.7 Pilot projects validation of emerging AND innovating technologies leading to efficiency improvements AND CO2 capture

2014 STEEL PRIORITIES

2.1 Improved energy efficiency in high temperature processes by recovery of waste heat without drawback on environmental impact compared to present best available technologies

2.2 Integration of process monitoring (online/offline) AND control AND technical management of steel production using mathematical methods for a multi-criteria optimisation of steel production with respect to at least two of the following aspects: productivity, resource efficiency, product quality

2.3 New OR improved resource efficient processes to transform low quality primary raw materials OR secondary raw materials (e.g. slag, dust, scale, sludge, low quality scrap) into valuable products

2.4 Solutions directly aiming at minimizing the ecological footprint of the Steel Works with respect to one of the following issues: air, water, soil, biodiversity, CO2 emissions

2.5 Measurement AND on-line control of mechanical properties, through either new measurement techniques OR improved physical models

2.6 Development of new steel grades with improved technological property combinations (e.g. strength, formability, toughness, etc.) enabling more efficient steel applications (e.g. weight reduction, energy absorption, thermal shock resistance, wear, ...)

2.7 Development of steel solutions for transport OR sustainable construction (focusing on energy efficiency AND carbon neutralisation) OR energy applications (including renewables) with improved life cycle assessment (LCA) results

2.8 Safety of steel infrastructures (e.g. tubes, pipes, pipelines, vessels, fittings, structural elements) for cost-efficient fluid storage AND transportation in the energy sector

2.9 Improvement of working conditions in steel production through innovative solutions by use of both modelling AND monitoring activities linked to health OR safety aspects risk management

ANNEX VI: SUBMISSION FORMS

Research Fund for Coal and Steel

Call:

Topic:

Type of action:

Proposal number:

Proposal acronym:

Table of contents

Section	*Title*	*Action*
1	General information	
2	Participants & contacts	
3	Budget	

How to fill in the forms

The administrative forms must be filled in for each proposal using the templates available in the submission system. Some data fields in the administrative forms are pre-filled based on the previous steps in the submission wizard.

1 - General information

Topic

Type of action

Call identifier

Acronym

Proposal title* *Max 200 characters (with spaces). Must be understandable for non-specialists in your field.*

Note that for technical reasons, the following characters are not accepted in the Proposal Title and will be removed: < > " &

Duration in months *Estimated duration of the project in full months.*

Free keywords *Enter any words you think give extra detail of the scope of your proposal (max 200 characters with spaces).*

Research objectives

Starting date

Technical group

Abstract

Remaining characters 2000

Has this proposal (or a very similar one) been submitted in response to a call for proposals under the 7th Framework Programme, Horizon 2020, previous RFCS or any other EU programme(s)? ◉ Yes ○ No

Please give the proposal reference or contract number.	

Proposal ID	*Acronym*	*Go to*

Declarations

1) The coordinator declares to have the explicit consent of all applicants on their participation and on the content of this proposal.	☐
2) The information contained in this proposal is correct and complete.	☐
3) This proposal complies with ethical principles (including the highest standards of research integrity — as set out, for instance, in the European Code of Conduct for Research Integrity — and including, in particular, avoiding fabrication, falsification, plagiarism or other research misconduct).	☐

4) The coordinator hereby declares that each applicant has confirmed:

they are fully eligible in accordance with the criteria set out in the specific call for proposals, and	☐
they have the financial and operational capacity to carry out the proposed action.	☐

The coordinator is only responsible for the correctness of the information relating to his/her own organisation. Each applicant remains responsible for the correctness of the information related to him and declared above. Where the proposal to be retained for EU funding, the coordinator and each beneficiary applicant will be required to present a formal declaration in this respect.

According to Article 131 of the Financial Regulation of 25 October 2012 on the financial rules applicable to the general budget of the Union (Official Journal L 298 of 26.10.2012, p. 1) and Article 145 of its Rules of Application (Official Journal L 362, 31.12.2012, p.1) applicants found guilty of misrepresentation may be subject to administrative and financial penalties under certain conditions.

Personal data protection

Your reply to the grant application will involve the recording and processing of personal data (such as your name, address and CV), which will be processed pursuant to Regulation (EC) No 45/2001 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data. Unless indicated otherwise, your replies to the questions in this form and any personal data requested are required to assess your grant application in accordance with the specifications of the call for proposals and will be processed solely for that purpose. Details concerning the processing of your personal data are available on the privacy statement. Applicants may lodge a complaint about the processing of their personal data with the European Data Protection Supervisor at any time.

Your personal data may be registered in the Early Warning System (EWS) only or both in the EWS and Central Exclusion Database (CED) by the Accounting Officer of the Commission, should you be in one of the situations mentioned in:
-the Commission Decision 2008/969 of 16.12.2008 on the Early Warning System (for more information see the Privacy Statement), or
-the Commission Regulation 2008/1302 of 17.12.2008 on the Central Exclusion Database (for more information see the Privacy Statement) .

2 - Administrative data of participating organisations

PIC ***Legal name***

Short name:

Address of the organisation

Street

Town

Postcode

Country

Webpage

Legal Status of your organisation

Research and Innovation legal statuses

Public body ..... no
Non-profit ..... no
International organisation ..... no
International organisation of European interest ..... no
Secondary or Higher education establishment ..... no
Research organisation ..... no
Small and Medium-sized Enterprises (SMEs) ..... no

Legal person ..... no

Nace code

Department(s) carrying out the proposed work

Department 1

Department name

Street — Please enter street name and number.

☐ Same as organisation address

Town

Postcode

Country

Dependencies with other proposal participants

Character of dependence	Participant	

Proposal ID	*Acronym*	*Go to*

Person in charge of the proposal

The name and e-mail of contact persons are read-only in the administrative form, only additional details can be edited here. To give access rights and basic contact details of contact persons, please go back to Step 4 of the submission wizard and save the changes.

Title | Sex ○ Male ○ Female

First name | Last name

E-Mail

Position in org. *Please indicate the position of the Contact Point above in the organisation.*

Department *Please indicate the department of the Contact Point above in the organisati*

Street ☐ Same as organisation address

Town | Post code

Country

Website

Phone *+xxx xxxxxxxxx* | Phone 2 *+xxx xxxxxxxxx* | Fax *+xxx xxxxxxxxx*

Proposal ID *Acronym* *Go to*

3 - Budget for the proposal

Participant	Country	(A) Staff costs /€	(B) Other costs /€		(C) Subcontracting costs /€	(D) Overheads /€ (=0,35 x A)	(E) Total estimated eligible costs/€ (=A+B+C+D)	(F) Funding rate (%)	(G) Max. grant / € (=E*F)	(H) Requested grant / €
			(B1) Equipment /€	(B2) Operating costs /€						
		0	0	0	0	0	0	60	0	0
Total		0	0	0	0	0	0		0	0

Proposal ID	*Acronym*	*Go to*

Validation result

Section	Description
	The form has not yet been validated, click "Validate Form" to do so!

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B1. PROPOSAL DESCRIPTION (MAXIMUM 15 PAGES)

Important notice: Please respect the document format given hereafter. Do not insert additional pages or any annexes as this section **must not exceed, under any circumstances, a maximum of 15 pages**.

The minimum font size allowed is 11 points.

Proposal summary (maximum 100 words)

Reference, title, date of actual or expected completion of all previous EC, ECSC or RFCS projects and list of international state of the art of major relevance to the objectives of the proposal (this list must be prioritised), and explain their relevance to the proposed work.

(insert text here…)

Explain in a concise manner to what extent your proposal brings added value to what has already been achieved to date at both European and worldwide level.

(insert text here…)

Please detail the content of your proposal, highlighting important aspects of your planned work in a way that will enable the experts to make an effective assessment against the evaluation criteria (see Information Package, vol. I).

(insert text here…)

Research & Innovation
Research Fund for Coal and Steel

TECHNICAL ANNEX

Project acronym:	
Project title:	
Grant Agreement N°:	*(will be attributed by the Commission)*

B2-1 *PROJECT OBJECTIVES*

State the project objectives in a concise manner **(½ to 1 page maximum).**

B2-2 WORK PACKAGE DESCRIPTION	WP No	

Work package Title		Number of man hours
WP Leader (full name & acronym)		
Beneficiary (s) (full name & acronym)		
Total		

1 – Objectives

(Objectives clearly stated in a concise manner using bullet points (½ page)).

2 - Work programme and distribution of tasks with indication of participating beneficiaries

(Specify the beneficiary's responsibilities within each task).

3 - Interrelation with other work packages (please give WP No)

(Briefly describe the interrelation with the other WPs).

4 - Deliverables and milestones

(Define the deliverables and milestones, give the foreseen date of production and assign them to a responsible partner).

B2-3 PROGRAMME BAR CHART (TASK, PARTNER, DELIVERABLES, MILESTONES)
Please use dark colours for better readability

Work package	*Work package title*	*Deliverables*	Hours on project/ Beneficiary					1st year				2nd year				3rd year			
			1	2	3	…	…	I	II	III	IV	I	II	III	IV	I	II	III	IV
WP 1																			
Task **1.1**																			
Task **1.2**																			
WP 2																			
Task **2.1**																			
Task **2.2**																			
WP 3																			
Task **3.1**																			
Task **3.2**																			
WP 4																			
Task **4.1**																			
Task **4.2**																			
WP 5																			
Task **5.1**																			
Task **5.2**																			
Total Hours on project																			

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B3. RESUBMISSION DETAILS (MAXIMUM 2 PAGES)

Important notice: Please respect the document format given hereafter. Do not insert additional pages or any annexes as this section **must not exceed, under any circumstances, a maximum of 2 pages.**

The evaluation summary report of the last submission to the RFCS must be uploaded separately as Annex B4.

The minimum font size allowed is 11 points.

Description of main changes made:

(insert text here…)

EUROPEAN COMMISSION - Research Fund for Coal And Steel
OPEN CALL RFCS - RTD - 2012
Deadline : 18/09/2012

PROPOSAL NUMBER :

Objective : 3

GENERAL PROPOSAL INFORMATION

Proposal Title:

Acronym:

Technical Group:

Project duration (months):

Partner Summary

Part n°	Organisation Name	Ctry code	Activity	Type	Budget (€)	Funding Requested (€)
1			CO			
2			P			
3			P			
4			P			
5			P			
6			P			
7			P			
8			P			

Total Project Budget (1):	**€**
Funding Requested (1):	**€**

Panel: A

Abstract

Warning:
This form is shown here just as an example and is not a template to fill in.
The document that has to be uploaded as Form B4 is the pdf sent by the Commission services
to the applicants as Evaluation Summary Report following the most recent evaluation of the
proposal submitted to the RFCS programme.

Evaluation Summary Report

Scientific and technical approach	**Final mark:** /5

Comments:

Innovative content	**Final mark:** /5

Comments:

PROPOSAL NUMBER :

Consistency of resources and quality of partnership	Final mark: /5

Comments:

Industrial interest and scientific/technical prospects	Final mark: /5

Comments:

Added value and for the EU and contribution to EU Policies	Final mark: 4,00 /5

Comments:

Priority bonus	Final mark: /1

Overall remarks	Total marks: /26

Comments:

Warning:
This form is shown here just as an example and is not a template to fill in.
The document that has to be uploaded as Form B4 is the pdf sent by the Commission services
to the applicants as Evaluation Summary Report following the most recent evaluation of the
proposal submitted to the RFCS programme.

PROPOSAL NUMBER :

Objective :

Recommended for Funding

Warning:
This form is shown here just as an example and is not a template to fill in.
The document that has to be uploaded as Form B4 is the pdf sent by the Commission services
to the applicants as Evaluation Summary Report following the most recent evaluation of the
proposal submitted to the RFCS programme.

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Project acronym: _____ **B5-1**

notes:

Use EUR currency in all B5 forms

For each cost category, the total is rounded to the closest integer

Feel free to re-size cells and tables in all B5 forms in order to accommodate the information

Please respect the order of beneficiaries as they appear in the Administrative forms of the proposal

The table B5-1 is provided as a tool to fill-in the budget table in section 3 of the Administrative Forms of the proposal; Only one B5-1 should be uploaded the for the whole consortium

COST SUMMARY IN EURO

Beneficiary No.	Beneficiary Role	Beneficiary Country	Beneficiary short name or acronym	Staff costs (A)	Equimpent (B1)	Operating costs (B2)	Subcontracting (C)	Overheads (D)	Total estimated eligble costs (E)	Funding rate (F) (%) Res./Acc. = 60 Pilot/Demo = 50	Maximum grant (G)	Requested grant (H) should be ≤ (G)
1	CO							0	0		0	0
2	BEN							0	0		0	0
3	BEN							0	0		0	0
4	BEN							0	0		0	0
5	BEN							0	0		0	0
6	BEN							0	0		0	0
7	BEN							0	0		0	0
8	BEN							0	0		0	0
….	….							0	0		0	0
								0	0		0	0
								0	0		0	0
								0	0		0	0
								0	0		0	0
								0	0		0	0
TOTAL									0		0	0

Research & Innovation
Research Fund for Coal and Steel

B5-2

Requested for each beneficiary of the proposal					
Beneficiary No.			Legal name		

Equipment

Description[1]	Date of purchase	Utilisation period (months)[2] [A]	Depreciation period (months)[3] [B]	Cost of purchase[4] [C]	% allocation to the project[5] [D]	Amount charged to the project [(A/B)xCxD]
			60			0
			60			0
			60			0
			60			0
			60			0
			60			0
			60			0
Total I					EUR	**0**

Staff

Staff categories[6]	No. of man hours	Hourly rate	Staff costs
Senior engineer / Senior researcher			0
Engineer / Researcher			0
Junior engineer / Junior researcher			0
Technician			0
Manual worker			0
			0
Total man hours	0		
Total II			EUR **0**
Overheads (35% of Total II) - Total III			EUR **0**

[1] PCs and other equipment used for administrative tasks are not eligible costs

[2] This is the period (in months) during which the equipment is used for the project after its delivery

[3] Standard depreciation period is 60 months under current RFCS rules; other depreciation periods are possible under well justified circumstances only for pilot&demonstration projects and require the activation of a dedicated special clause in the Grant Agreement

[4] Cost of purchase in EUR and excluding VAT, except duly justified cases laid in Financial Regulations 2012, art 126(3) (c) .

[5] For example, if the equipment is used for 6 months and in that time the equipment is used for a total of 300 hours for the project, but for no other purposes, then the allocation is 100%. However, if during the same period the equipment is used for 300 hours for the project and is also used for 100 hours for purposes other than the research project, then the allocation is 75%

[6] Use the given staff categories to classify staff members employed in the project; for each category, add more lines if staff members have different hourly rates

B5-3

Requested for each beneficiary of the proposal			
Beneficiary No.		Legal name	

Operating costs		
Category	**Description**[1]	**EUR**[2,3]
Raw materials		
Consumables		
Energy		
Transportation of raw materials, consumables, equipment, products, feedstock or fuel		
Maintenance, repair, alteration of existing equipment		
IT and other specific services		
Rental of equipment[4]		
Analysis and tests		
Dedicated workshop organisation		
Certificate on financial statements and bank guarantee		
Protection of knowledge		
Total IV		0

[1] For each category, give a detailed description, and in case of lump sums exceeding 10000€ a breakdown of costs; if necessary, extend the table.

[2] All costs must exclude VAT, except duly justified cases laid in Financial Regulations 2012, art 126(3) (c) .

[3] If the items under Operating Costs are used also for other activities outside this project, the amount charged to the project shall be reduced proportionally

[4] The total cost for renting equipment shall not exceed the allowable costs for its purchase

Research & Innovation
Research Fund for Coal and Steel

B5-4

Requested for each beneficiary of the proposal				
Beneficiary No.			Legal name	

Subcontracting for research assistance		
Name of Subcontractor[1]	Work description[2,3]	Amount[4]
1.		
2.		
3.		
Total V[5]		0

Total Costs (Euro)	
Total VI (I + II + III + IV + V)	0

Revenue	
Contribution requested from the European Union[6]	
Own resources	
Other resources (indicate origin and amount in Euro):	
…	
…	
…	
Total revenue[7]	0

[1] Third parties outside the EU are excluded

[2] Subcontracted work should include research assistance as covered by Art. II.7.2 of the RFCS Grant Agreement; other subcontracts not involving research activities should be listed under Operating Costs

[3] Include a clear description of the activities to be subcontracted, with indication of Tasks and Work Packages of the Technical Annex

[4] Amounts should match to the totals in Form B5-7 for each subcontractor

[5] Cumulative total for subcontracts with non-affiliated companies cannot exceed 40% of Total VI

[6] Max 60% of Total VI for Research projects and Accompanying measures; max 50% of Total VI for Pilot&Demonstration projects.

[7] If this total is higher than Total VI, the contribution requested from the European Union should be reduced accordingly

Research & Innovation
Research Fund for Coal and Steel

B5-5

Requested for each subcontractor for research assistance
SUBCONTRACTOR INFORMATION

Legal information on the Subcontractor							
Subcontractor to beneficiary No.							
Subcontractor legal name							
Subcontractor short name or Acronym							
Legal form (fully written)[1]					Legal form abbreviation[2]		
Legal Registration No[3]					VAT No.		
Place of Registration							
Activity type[4]		SME	Yes	Entity type[5]		Affiliate of the beneficiary[6]	Yes
			No				No
Legal address of the Subcontractor							
PO Box							
Street Name and Number							
Post Code					Cedex		
Town/City					Country name		
Internet homepage							
Address of the main Institute/ Department/ Laboratory carrying out the work							
Institute/Department/Laboratory Name							
PO Box							
Street Name and Number							
Post Code					Cedex		
Town/City					Country name		
Internet homepage							

[1] Indicate the official form under which the entity exists: for a registered company, it must correspond to the certificate of incorporation. Otherwise, please refer to the Legal Statute.

2 The list of the legal entity types per country is available on-line from:
ftp://ftp.cordis.europa.eu/pub/coal-steel-rtd/docs/11-annex_xi_list_of_legalform_2008.xls

[3] If applicable, please provide the organisation's legal national registration number or code found in, e.g. the Chambers of Commerce register or the Business register.

[4] Use one of the following codes
RES: Research (i. e., organisation only or mainly established for research purposes).
HES: Higher Education (i. e., organisation only or mainly established for higher education/training, e.g. universities, and colleges).
IND: Industry (i.e., industrial organisation private and public, both manufacturing and industrial services – such as industrial software, design, control, repair, and maintenance). In addition, please specify if your organisation is a SME. A SME is a company which has less than 250 employees and either an annual turnover not bigger than € 40 million or annual balance-sheet total not bigger than € 27 million/year and not owned as to 25% or more by one enterprise or jointly by several enterprises.
OTH: Others.

[5] Use one of the following codes:
GOV: Governmental (local, regional or national public or governmental organisations, e. g. libraries, hospitals, and schools).
INO: International Organisation (intergovernmental organisation, other than the European Union, which has legal personality under international public law, as well as any specialised agency set up by such an international organisation).
PUC: Public Commercial Organisation (i. e. commercial organisation established and owned by a public authority).
PRC: Private Commercial Organisation including Consultant (i. e. any commercial organisation owned by individuals either directly or by shares).
EEIG: European Economic Interest Group.
PNP: Private Organisation, Non Profit (i. e. any privately owned non-profit organisation).

[6] Affiliated entity means any legal entity that is under the direct or indirect control of a beneficiary, or under the same direct or indirect control as the beneficiary, control taking any of the following forms:
(a) the direct or indirect holding of more than 50% of the nominal value of the issued share capital in the legal entity concerned, or of a majority of the voting rights of the shareholders or associates of that entity;
(b) the direct or indirect holding, in fact or in law, of decision-making powers in the legal entity concerned.

European Commission
Research & Innovation
Research Fund for Coal and Steel

B5-6

Requested for each subcontractor for research assistance
SUBCONTRACTOR INFORMATION

Subcontractor to beneficiary No.		Legal name	

Equipment						
Description[1]	Date of purchase	Utilisation period (months)[2] [A]	Depreciation period (months)[3] [B]	Cost of purchase[4] [C]	% allocation to the project[5] [D]	Amount charged to the project [(A/B)xCxD]
			60			0
			60			0
			60			0
			60			0
			60			0
			60			0
			60			0
Total A				EUR		**0**

Staff			
Staff categories[6]	No. of man hours	Hourly rate	Staff costs
Senior engineer / Senior researcher			0
Engineer / Researcher			0
Junior engineer / Junior researcher			0
Technician			0
Manual worker			0
			0
Total manhours	0		
Total B			**0**
Overheads (35% of Total B) - Total C			**0**

[1] PCs and other equipment used for administrative tasks are not eligible costs

[2] This is the period (in months) during which the equipment is used for the project after its delivery

[3] Standard depreciation period is 60 months under current RFCS rules; other depreciation periods are possible under well justified circumstances only for pilot&demonstration projects and require the activation of a dedicated special clause in the Grant Agreement

[4] Cost of purchase in EUR and excluding VAT, except duly justified cases laid in Financial Regulations 2012, art 126(3) (c) .

[5] For example, if the equipment is used for 6 months and in that time the equipment is used for a total of 300 hours for the project, but for no other purposes, then the allocation is 100%. However, if during the same period the equipment is used for 300 hours for the project and is also used for 100 hours for purposes other than the research project, then the allocation is 75%

[6] Use the given staff categories to classify staff members employed in the project; for each category, add more lines if staff members have different hourly rates

B5-7

Requested for each subcontractor for research assistance
SUBCONTRACTOR INFORMATION

Subcontractor to beneficiary No.		Legal name	

Operating costs		
Category	**Description**[1]	**EUR**[2,3]
Raw materials		
Consumables		
Energy		
Transportation of raw materials, consumables, equipment, products, feedstock or fuel		
Maintenance, repair, alteration of existing equipment		
IT and other specific services		
Rental of equipment[4]		
Analysis and tests		
Dedicated workshop organisation		
Certificate on financial statements and bank guarantee		
Protection of knowledge		
Total D		0

Total subcontracted Costs (Euro)	
Total = (A + B + C + D)[5]	0

[1] For each category, give a detailed description, and in case of lump sums exceeding 10000€ a breakdown of costs; if necessary, extend the table.

[2] All costs must exclude VAT, except duly justified cases laid in Financial Regulations 2012, art 126(3) (c) .

[3] If the items under Operating Costs are used also for other activities outside this project, the amount charged to the project shall be reduced proportionally

[4] The total cost for renting equipment shall not exceed the allowable costs for its purchase

[5] Total for this subcontract is to be reported in Form B5-4 of the beneficiary concerned