



# **Call for Proposals:**

**CLEAN SKY  
RESEARCH and TECHNOLOGY DEVELOPMENT PROJECTS  
(CS-RTD Projects):**

**Rules for Participation and  
Rules for Submission of Proposals  
and the related Evaluation, Selection  
and Award procedures**

Call Identifier

**SP1-JTI-CLEAN SKY-2009-1**

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# 1 Getting started

## 1.1 About this document

This document details the different phases of a Call for Proposals for Clean Sky Research, Technological Development and Demonstration (RTD) projects.

## 1.2 Introduction to the Clean Sky Joint Technology Initiative

The Lisbon Agenda underscores the need to set-up favourable conditions for investments in knowledge and innovation in Europe with a view to boosting competitiveness, growth and jobs in the European Union.

In 2006, the European Parliament and the Council called for the establishment of long term public private partnerships in the form of **Joint Technology Initiatives (JTI)**, including funding from the European Community's **Seventh Framework Programme (FP7)**.

On the 20<sup>th</sup> of December 2007, the Council adopted the Regulation setting up the **Clean Sky Joint Undertaking** (hereafter "CSJU") to accelerate the development of clean air technologies for air transport in the European Union. This initiative will run until the 31<sup>st</sup> of December 2017. During this period, **new technologies will be researched, developed, integrated and demonstrated at system level.**

In order to cover a wide part of the air transport system, the Clean Sky JTI is arranged around the six following **Integrated Technology Demonstrators (ITDs)**:

- Smart Fixed Wing Aircraft,
- Green Regional Aircraft,
- Green Rotorcraft,
- Systems for Green Operation,
- Sustainable and Green Engines,
- Eco-Design.

In order to quantify the performance of the different ITDs, a Technology Evaluator will be developed.



Figure 1: Clean Sky six Integrated Technology Demonstrators and the Technology Evaluator

Each of the six Integrated Technology Demonstrators is led by two **ITD Leaders** with major contributions being made by **Associates** selected to participate in one or several ITDs. Each ITD is governed by the **ITD Steering Committee**, which is a body of the CSJU, where both Leaders and Associates are represented. The Technology Evaluator also has a Steering Committee.

The CSJU **Members**, committed for the full duration of the Joint Undertaking are:

- The European Community, represented by the Commission,
- The Integrated Technology Demonstrators (ITD) Leaders,
- The Associates.

The National States Representative Group, composed of representatives from Member States and FP7 Associated Countries plays an advisory role to the CSJU.

The Clean Sky Joint Undertaking is managed on a daily basis by the **CSJU Staff** headed by its **Executive Director**. The Executive Director reports to a Governing Board composed of the European Community, represented by the Commission, the ITD Leaders and one Associate per ITD. The CSJU Staff also includes **Project Officers** in charge of supporting the different ITDs. The Project Officers are placed under the authority of the **Coordinating Project Officer**.

In order to answer the needs of the CSJU in terms of **Research, Technological Development and Demonstration (RTD) activities**, the CSJU organises **Calls for Proposals**. A proposal may involve one or more **participants**. When a **proposal** is successful and the CSJU decides to fund it, a **Grant Agreement** is signed where the participants are identified as **beneficiaries** to the Grant Agreement. Such beneficiaries, selected via Call for Proposals, are referred to as **Partners** in the following.

Overall, the European Community (EC) will contribute to the Clean Sky JTI up to M€ 800. Indicative shares of the ITD Leaders, Associates and Partners are given in Figure 2. Note that the ITD Leaders and the Associates match the European Community's contribution to the activities with an in-kind contribution, constituting at least 50% of the total budget for operations.

General information on the Clean Sky Joint Undertaking can be found at: [www.cleansky.eu](http://www.cleansky.eu).

More details on the setting-up of the Joint Undertaking are described in the Council Regulation No 71/2008 of 20 December 2007 published in the Official Journal of the European Union (OJ L 30 of 4.2.2008, p. 1–20).

### **1.3 Call for Proposals: How does it work?**

As a general approach, the Clean Sky Joint Undertaking follows broadly the rules of the European Community's 7<sup>th</sup> Framework Programme (FP7).

However, in a certain number of cases, the FP7 rules are adapted or modified in order to better serve the goals of the Joint Undertaking.

Funding decisions in Clean Sky are made on the basis of **Proposals** submitted following a **Call for Proposals** published on the Clean Sky Joint Undertaking web site at [www.cleansky.eu](http://www.cleansky.eu). The calls are published to support activities meeting the needs of the ITDs and in most cases, the RTD work will serve for one of the demonstrators. Every year, the **Annual Implementation Plan** will identify the planned Calls for Proposals. A publishable summary of the Annual Implementation Plan will be made available on the Clean Sky web site. The full documentation of the Call for Proposals will be published later at the appropriate time. Additional calls not foreseen initially may be launched. These will be indicated in the updated Annual Implementation Plan.

The Calls for Proposals contains research **Topic(s)** prepared by a Clean Sky Joint Undertaking ITD Member and specify a maximum total budget per Topic.

Proposals must describe planned research and technology development activities and information on who will carry them out. They must be submitted according to the procedure defined in the Call Text before a strictly-enforced **deadline**.

The CSJU Staff organizes the evaluation of eligible proposals in order to identify those whose quality is sufficiently high for possible funding. The basis for this **evaluation** is a peer-review carried out by Internal ITD Experts from the ITD publishing the call and External Experts. The selection is performed on a competitive basis while ensuring excellence, transparency and equal treatment of all proposals.

The CSJU Staff then **negotiates** with those whose proposals have successfully passed the evaluation stage. If negotiations are successfully concluded, **Grant Agreements** are established with the participants.

Sections 2 and 3 of this document contain the essential information to guide applicants through the mechanics of preparing and submitting a proposal. The evaluation procedure of eligible proposals is described in sections 4 and 5 while the negotiation phase is explained in section 6. Before drafting, make sure that you have the correct documentation. You must also refer to the **Call Text** which provides a detailed description of the objectives and Topics that are open for proposals, and will describe the wider context of research activities in this area. Section 3.8 provides a list of documents generally applicable.

## 2 Clean Sky – Research and Technology Development Projects

### 2.1 Purpose

Clean Sky **Research and Technology Development Projects** (referred to as CS-RTD project in the following) are objective driven research projects aiming at developing new knowledge, new technology and solutions. In many instances, the projects will bring a contribution to one of the demonstrators developed in one of the ITDs. Therefore, the Call Text may specify some time limits and impose some boundary conditions to be respected. The Call Text may contain several Topics of CS-RTD projects. A proposal must fully answer one Topic. **Only one proposal will be selected for each Topic.** Each applicant may submit several proposals fully covering several Topics.

### 2.2 Who can participate and who can receive funding?

#### **Participation:**

The participation in a proposal requires the existence of a **legal entity**. A legal entity can be a so-called "natural person" (e.g. Mrs Smith) or a "legal person" (e.g. National Institute for Research). A proposal may involve one or several participant(s). Contributions from third parties such as subcontractors do not constitute participation. Examples of potential participants are research institutes, universities, industry, including SMEs<sup>1</sup>, and end-users.

Any legal entity irrespective of the country in which it is established may participate in a CS-RTD project.

#### **Eligibility for funding:**

In the frame of a CSJU-RTD project, only legal entities established in a **Member State** or in a **country associated to the Seventh Framework Programme** are eligible to receive CSJU funding.

The **EU Member States** are:

Austria, Belgium, Bulgaria, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, United Kingdom.

The **FP7 Associated Countries** are:

Albania, Bosnia Herzegovina, Croatia, FYR Macedonia, Iceland, Israel, Liechtenstein, Montenegro, Norway, Serbia, Switzerland and Turkey. Other countries may become associated during the course of FP7. The latest update will be posted on the CORDIS web site <http://cordis.europa.eu/fp7/>

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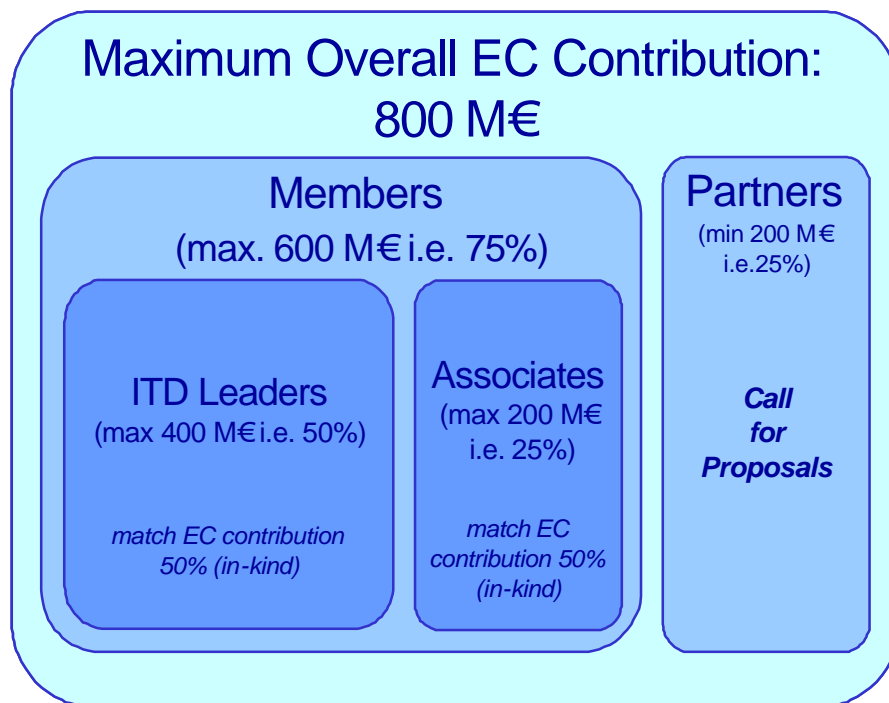
<sup>1</sup> 'SMEs' mean micro, small and medium-sized enterprises within the meaning of Recommendation 2003/361/EC in the version of 6 May 2003.

An ITD Member or any of its Affiliated entities cannot participate in a Call for Proposals from its ITD but can participate in a Call for Proposals from another ITD provided the ITD Member or the Affiliated entity was not involved in the writing of the Call for Proposals specification.

An Affiliate entity of an ITD Member means a legal entity that is under the direct or indirect control of the Member, or under the same direct or indirect control as the Member, or is directly or indirectly controlling the Member, 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.

As indicated in Figure 2, the share of the overall EC contribution (up to 800 M€) cannot exceed 50% for ITD leaders and 25% for Associates (including their participation resulting from a Call for Proposals). This will be enforced within each ITD over the full duration of the Joint Undertaking. As a result, the percentage of EC funding dedicated to Call for Proposals will be at least 25%.



**Figure 2: Shares of the Clean Sky ITD Leaders, Associates and Partners.**

A Partner (i.e. an entity that has already signed a Partner Grant Agreement with the CSJU after having answered successfully a Call for Proposals) can apply to a Call for Proposals of the ITD it already participates in provided it, or any of its Affiliated entities (as defined above) was not involved in the writing of the Call for Proposals specification. A Partner can also participate in the Call for Proposals of another ITD.



## **2.3 Size and resources, duration**

The size, scope and internal organisation of CS-RTD projects should be compatible with overall objective and manageability of the CSJU endeavour.

Limits in terms of the maximum total budget are indicated in the Call Text. Any such limits will be applied as one of the eligibility criteria. **Proposals that clearly fail to respect such limits will be regarded as ineligible.**

Since the output of CS-RTD projects will, in many instances, be required in a certain time frame in order to perform the final demonstration, the Call for Proposals may specify a time frame which must be respected.

## **2.4 Type of Activities**

The activities to be carried out in the context of a CS-RTD project may include:

- **research and technological development** activities, reflecting the core activities of the project, aimed at a significant advance beyond the established state-of-the-art, including scientific coordination,

and/or

- **demonstration activities**, designed to prove the viability of new technologies that offer a potential economic advantage, but which cannot be commercialised directly (e.g. testing of product-like prototypes),

and

- any **other activities** such as:
  - management activities, over and above the technical management of individual work packages, linking together all the project components and maintaining communications with the CSJU,
  - activities directly related to the project's objectives and likely to have a potential impact on the outcome of the project,
  - activities to disseminate research results and to prepare for their take-up and use, including knowledge management and, activities directly related to the protection of foreground,
  - training of researchers and key staff, including research managers and industrial executives (in particular for SMEs) and any potential users of the knowledge generated by the project. The training should aim to improve the professional development of the personnel concerned and be necessary to carry out the projects work.

All these activities should be described in the proposal.

## **2.5 Ethical principles**

Please remember that research activities in the CSJU should respect fundamental ethical principles of the 7<sup>th</sup> Framework Programme, including those reflected in the Charter of Fundamental Rights of the European Union. These principles include the need to ensure the freedom of research and the need to protect the physical and moral integrity of individuals and the welfare of animals. An ethical review of proposals may be organized by the CSJU Staff if appropriate.

## 2.6 Costs eligible for reimbursement

Grants will be based on the reimbursement of eligible costs under the conditions set out in the relevant CSJU Grant Agreement for Partners. Subject to confirmation in the CSJU Grant Agreement for Partners, please find below the summary of the main provisions in this respect.

**Eligible Costs** incurred for the implementation of the project shall meet the following conditions:

- they must be actual;
- they must be incurred by the beneficiary;
- they must be incurred during the duration of the project, with the exception of costs incurred in relation to final reports and reports corresponding to the last period as well as certificates on the financial statements when requested at the last period and final reviews if applicable, which may be incurred during the period of up to 60 days after the end of the project or the date of termination whichever is earlier.
- they must be determined in accordance with the usual accounting and management principles and practices of the beneficiary. The accounting procedures used in the recording of costs and receipts shall respect the accounting rules of the State in which the beneficiary is established. The beneficiary's internal accounting and auditing procedures must permit direct reconciliation of the costs and receipts declared in respect of the project with the corresponding financial statements and supporting documents;
- they 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;
- they must be recorded in the accounts of the beneficiary; in the case of any contribution from third parties, they must be recorded in the accounts of the third parties;

Partners may choose to declare average personnel costs if based on a certified methodology previously approved by the European Commission, .

Costs incurred by third parties in relation to resources they make available free of charge to a beneficiary, can be declared by the beneficiary provided they meet the conditions established in the previous paragraphs.

The following **non-eligible costs** may not be charged to the project:

- identifiable indirect taxes including value added tax,
- duties,
- interest owed,
- provisions for possible future losses or charges,
- exchange losses, cost related to return on capital,
- costs declared or incurred, or reimbursed in respect of another Community or JU project,
- debt and debt service charges, excessive or reckless expenditure.

**Direct costs** are all those eligible costs which can be attributed directly to the project and are identified by the beneficiary as such, in accordance with its accounting principles and its usual internal rules.

With regard to personnel 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.

Costs related to parental leave for persons who are directly carrying out the project are eligible costs, in proportion to the time dedicated to the project, provided that they are mandatory under national law.

**Indirect costs** are all those eligible costs which cannot be identified by the beneficiary as being directly attributed to the project but which can be identified and justified by its accounting system

as being incurred in direct relationship with the eligible direct costs attributed to the project. They may not include any eligible direct costs.

Indirect costs shall represent a fair apportionment of the overall overheads of the organisation. They may be identified according to one of the following methods:

- Based on **actual indirect costs** for those beneficiaries which have an analytical accounting system to identify their indirect costs as indicated above.

For this purpose, a participant is allowed to use a **simplified method** of calculation of its full indirect eligible costs at the level of its legal entity if this is in accordance with its usual accounting and management principles and practices. Use of such a method is only acceptable where the lack of analytical accounting or the legal requirement to use a form of cash-based accounting prevents detailed cost allocation. The simplified approach must be based on actual costs derived from the financial accounts of the last closed accounting year.

- A beneficiary may opt for a **flat rate of 20%** of its total direct eligible costs, excluding its direct eligible costs for subcontracting and the costs of resources made available by third parties which are not used on the premises of the beneficiary.

All departments, faculties or institutes which are part of the same legal entity should use the same system of cost calculation.

## ***2.7 Upper reimbursement limits***

For **research and technological development activities**, the JU financial contribution may reach a maximum of 50% of the total eligible costs of the beneficiaries.

However, for beneficiaries that are non-profit public bodies, secondary and higher education establishments, research organisations and SMEs, the rate may reach a maximum of 75% of the total eligible costs. If these beneficiaries change their status during the life of the project, this reimbursement rate shall be applicable up to the moment they lose their status.

For **demonstration activities**, the CSJU financial contribution may reach a maximum of 50% of the total eligible costs, irrespective of the beneficiaries' status.

3. For **other activities, including management activities**, training, coordination, networking and dissemination (including publications), the CSJU contribution may reach a maximum of 50% of the total eligible costs. However, for beneficiaries that are non-profit public bodies, secondary and higher education establishments, research organisations and SMEs, the rate may reach a maximum of 75% of the total eligible costs. If these beneficiaries change their status during the life of the project, this reimbursement rate shall be applicable up to the moment they lose their status.

In order to have initial financial resources to carry out the work, a prefinancing may be provided by the CSJU.

Where an ITD Member or one of its Affiliated entities (as defined under Section 2.2), is selected as a Partner, the funding conditions are those applicable to him as a Member.

## ***2.8 Subcontracting within a proposal / a project***

At the stage of the proposal, a subcontractor is defined as a third party which may enter into an agreement on business conditions with one or more participants, in the view of carrying out part of

the work of the proposal. Where it is proposed to subcontract certain elements of the work to be carried out, the following conditions must be fulfilled:

- proposed subcontracts may only cover the execution of a limited part of the proposal;
- recourse to the award of subcontracts must be duly justified in the proposal having regard to the nature of the project and what is necessary for its implementation;
- the proposal should indicate the tasks to be subcontracted and an estimation of the costs;

At the stage of the project (i.e. a successful proposal concluded with a Grant agreement), a subcontractor is a third party which has entered into an agreement on business conditions with one or more Partners. The subcontractor works without the direct supervision of the Partner and without a relationship of subordination with this Partner. The Partner remains bound by its obligations to the CSJU and to the other Partners in the project and retains sole responsibility for carrying out the work. In particular, the Partner should pay attention that its obligations in terms of intellectual property rights are fulfilled with respect to the CSJU.

Any subcontract, the costs of which are to be claimed as an eligible cost, must be awarded according to the principles of best value for money (best price-quality ratio), transparency and equal treatment. Subcontracts concluded on the basis of framework contracts between a Partner and a subcontractor in accordance with the Partner's usual management principles may also be accepted.

Partners may use external support services for assistance with minor tasks that do not represent per se project tasks. The subcontracting for these minor tasks does not need to be described in the proposal; however, all other requirements apply.

## 3 Submission: How to apply

### 3.1 *Turning your idea into an effective proposal*

#### The proposal Coordinator

The **proposal Coordinator** is the legal entity responsible for the overall planning of the work and for managing the Grant Agreement. In the case where a single participant is involved in a proposal, the proposal Coordinator is obviously that participant. Where a consortium of participants is involved in the proposal, the proposal Coordinator represents the consortium and is the single point of contact with the CSJU.

#### Focusing your planned work

The work you set out in your proposal must correspond to one of the Topics indicated in the Call Text. The Topic must be fully addressed. Unlike in FP7, there is no possibility to address partially several Topics. **Proposals that clearly fail to do so will be regarded as ineligible.**

Please also make sure your proposal satisfies the other eligibility criteria set-out in subsection 3.5.

Only one proposal will be selected per Topic.

Refer also to the **evaluation criteria** against which your proposal will be assessed. These are given in subsection 4.6. Keep these in mind as you develop your proposal.

#### Presenting your proposal

A proposal has two parts:

**Part A** will contain the administrative information about the proposal and the participant(s). The information requested includes a brief description of the work, contact details and characteristics of the participant(s), and information related to the funding requested. This information will also support the experts and CSJU Staff during the evaluation process.

**Part B** is a "template", or list of headings, rather than an administrative form (see sub section 3.10 to this document). You should follow this structure when presenting the scientific and technical content of your proposal. The template is designed to highlight those aspects that will be assessed against the **evaluation criteria** set out in subsection 4.6. It covers, among other things, the nature of the proposed work, the participant(s) and their role(s) in the proposed project, and the impacts that might be expected to arise from the proposed work. Only black and white copies are used for evaluation and you are strongly recommended, therefore, not to use colour in your document.

Instructions to fill in part A and part B are provided in subsection 3.9 and 3.10.

Proposals that clearly fail to contain both complete Part A and Part B will be regarded as ineligible, and will not be evaluated.

#### Proposal language

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

## **3.2 Proposal submission and exchange of information**

The Clean Sky web site [www.cleansky.eu](http://www.cleansky.eu) is the front end for all information and documentation relevant to the call and associated submission procedures. An entry to the relevant resources (e.g. Cordis, EPSS) is also provided.

Proposals must be submitted electronically, according to the procedure indicated in the Call Text and respecting the forms and conditions set out in section 3.10. Only the proposal Coordinator is authorised to submit the proposal. The electronic submission tool EPSS will guarantee the proper and safe submission of the documents. Proposals arriving by any other means are regarded as 'not submitted', and will not be evaluated.

The preparation and uploading of all the proposal data, and the applicants' agreement to the conditions of use of the system and of the evaluation must take place prior to the attempt to submit the proposal.

The EPSS will carry out a number of basic verification checks, including that of completeness of the proposal, internal data consistency, absence of virus infection and conformity to the file types and size limitations which are specified. Only upon completion of these checks, which do not replace the formal eligibility checks described in subsection 3.5, will the EPSS allow the applicant to submit. Submission is deemed to occur at the moment when the proposal Coordinator initiates the final submission process, namely the applicant shall press the button "**SUBMIT NOW**", as indicated by the EPSS, and not at any point prior to this.

The CSJU has no access to the proposal until the call deadline has passed.

If more than one copy of the same proposal is received, only the most recent eligible version is evaluated.

Proposals are archived under secure conditions at all times. After completion of the evaluation and any subsequent negotiation, all copies are destroyed other than those required for archiving and/or auditing purposes.

### **Withdrawing a proposal**

If you wish to withdraw a proposal after the deadline, please contact the person in charge at the CSJU. His contact details are indicated in the Call Text.

### **About the deadline**

Proposals must be submitted on or before the deadline specified in the Call Text.

Do not wait until the last moment before submitting your proposal.

Calls deadlines are absolutely firm and are strictly enforced. **Proposals that fail to respect the deadline will be regarded as ineligible.**

### **Indicative calendar, contact person**

An indicative calendar for the evaluation of the proposals is provided in the Call Text. In the frame of Call for Proposals for CS-RTD projects, there is a unique person of contact at the CSJU. The

contact details of this person are provided in the Call Text. **Proposers must not contact any other person in this context.**

### **3.3 Check List**

Of importance for the participant(s) in general, but in particular for the proposal Coordinator:

- **Does your planned work fit with the Call for Proposals?** Check that your proposed work is relevant to the targeted Topic. **Proposals that clearly fail to do so will be regarded as ineligible.**
- **Is your proposal complete?** Proposals must comprise a Part A, containing the administrative information including participant(s) and project cost details and a Part B containing the scientific and technical description of your proposal as described in this document. **A proposal that does not contain both complete parts will be considered ineligible** and will not be evaluated.
- **Does your proposed work raise ethical issues?** Clearly indicate any potential ethical, safety or regulatory aspects of the proposed research and the way they will be dealt with in your proposed project. An ethical check will take place during the evaluation and an ethical review will take place for proposals dealing with sensitive issues. Proposals may be rejected on ethical grounds if such issues are not dealt with satisfactorily.
- **Does your proposal follow the required structure?** Proposals should be precise and concise, and must follow exactly the proposal structure described in this document (subsection 3.10 to this document), which is designed to correspond to the evaluation criteria which will be applied. Omitting requested information will almost certainly lead to lower scores and possible rejection.
- **Have you maximised your chances?** There will be strong competition. Therefore, edit your proposal tightly, strengthen or eliminate weak points. Put yourself in the place of an expert evaluator; refer to the evaluation criteria given in section 4.6. Arrange for your draft to be evaluated by experienced colleagues; use their advice to improve it before submission.
- **Is your proposal eligible?** Any proposal not meeting the eligibility requirements will be considered ineligible and will not be evaluated. The eligibility criteria are provided in section 3.5. **Proposals that clearly fail any of the criteria will be regarded as ineligible.**

### **3.4 Reception by the CSJU**

The date and time of receipt of the last version of submitted proposals are recorded. After the call closure, an acknowledgement of receipt is sent to the proposal Coordinator by e-mail containing:

- Proposal title, acronym and unique proposal identifier (proposal number);
- Call identifier and Topic to which the proposal was addressed;
- Date and time of receipt (which is set to the time of the call deadline for proposals submitted electronically).

There is normally no further contact between the CSJU and applicants regarding the proposal until after completion of the evaluation. The CSJU may, however, contact an applicant (usually through the coordinator) in order to clarify matters such as eligibility (see section 3.5).

The sending of an acknowledgement of receipt does not imply that a proposal has been accepted as eligible for evaluation. If you have not received an acknowledgement of receipt within 12 working days after the call deadline, you should contact the person in charge at the CSJU.

### **3.5 Eligibility**

Proposals must fulfil all of the eligibility criteria if they are to be retained for evaluation. These criteria are rigorously applied. A proposal will only be considered eligible if it meets all of the following conditions:

- the proposal was submitted before the deadline,
- the proposal is in scope with the Topic and addresses fully this Topic; a proposal will only be deemed ineligible on grounds of 'scope' in clear-cut cases.
- the proposal total budget does not exceed the maximum Topic total budget specified in the Call Text,
- the proposal contains both part A and part B and both parts are complete.

Additional eligibility criteria may be specified in the Call Text.

If it becomes clear before, during or after the evaluation phase that one or more of the eligibility criteria have not been fulfilled, the proposal is declared ineligible by the CSJU, and is withdrawn from any further examination. Where there is a doubt on the eligibility of a proposal, the CSJU reserves the right to proceed with the evaluation, pending a final decision on eligibility. The fact that a proposal is evaluated in such circumstances does not constitute proof of its eligibility.

The CSJU Staff will check prior to the start of the negotiation, in addition to the initial eligibility check, **the existence and legal status of partners**, including their situation regarding Articles 81(1), 82 and 83a(2)(a) of the CSJU Financial Rules, and their compliance with the criteria set out in section 2.2, **as well as their operational and financial capacity** to carry out the work.

### **3.6 Eligibility review committee**

If the question of eligibility is not clear-cut and a more comprehensive review of the case is deemed necessary, the Call Coordinator (i.e. the person who coordinates the Call for the CSJU) may convene an internal eligibility review committee. The committee's role is to ensure a coherent legal interpretation of such cases and equal treatment of applicants.



This committee, chaired by the Call Coordinator, is composed of CSJU Staff having the requisite expertise in legal matters, scientific and technological content, and/or information systems and the relevant Topic Manager(s) (i.e. the person from the ITD who drafted the Topic, see subsection 4.1). It examines the proposal and, if necessary, the circumstances surrounding its submission; and provides specialist advice to support the decision on whether to allow a proposal to be evaluated, or on whether or not to reject it on eligibility grounds. The committee may decide to contact the applicant in order to clarify a particular issue.

### **3.7 What Happens Next**

All eligible proposals will be evaluated according to the six pre-determined evaluation criteria set out in subsection 4.6, which are:

- C1: Technical excellence,
- C2: Innovative character,
- C3: Compliance with the Call for Proposals specification and timetable (relevance),
- C4: Adequacy and quality of respondent's resources, management and implementation capabilities and track record,
- C5: Appropriateness and efficient allocation of the resources to be committed (budget, staff, equipment),
- C6: Contribution to European competitiveness.

The evaluation procedures are described in detail in sections 4 and 5 of this document.

Evaluation Summary Reports and result notification letters will then be sent to all applicants. This letter will mark the beginning of a **negotiation** phase. The letter will also give the relevant contact details and the steps to follow if the applicant considers that there has been a shortcoming in the conduct of the evaluation process ("redress procedure").

Negotiations between the applicants and the CSJU aim to conclude a **Grant Agreement** which provides for funding of the proposed work within a predetermined budget envelope. They cover both the scientific/technological, and the administrative and financial aspects of the project. They will also refer to any recommendations which the experts may have made concerning modifications to the work presented in the proposal, as well as any recommendations arising from an ethical review of your proposal if one was carried out. Where relevant, security aspects shall also be considered.

The negotiations will also deal with gender aspects in the conduct of the planned work, as well as the relevant principles contained in the European Charter for researchers and the Code of Conduct for their recruitment.

After the signature of the Grant agreement, the applicants and the relevant ITD Member(s) also aim to conclude an **Implementation Agreement** (see section 6.3).

Proposer(s) may be invited to Brussels to facilitate the negotiation.

### **3.8 Legal basis and documents generally applicable**

- Call Text,
- Model Grant Agreement for Partners,
- Model Implementation Agreement,
- ITD Consortium Agreement if applicable,
- Publishable version of the Annual Implementation Plan,
- Clean Sky Financial Rules,
- Council Regulation (EC) No 71/2008 of 20 December 2007 setting-up the Clean Sky Joint Undertaking.

Additional contractual documents may be provided during the negotiation phase.

### **3.9 Instructions for completing "Part A" of the proposal**

As explained in subsection 3.2, proposals must be submitted electronically, using the Electronic Proposal Submission System (EPSS). The appropriate link is provided on the Clean Sky web site ([www.cleansky.eu](http://www.cleansky.eu)).

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

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

Please note:

- The coordinator fills in sections A1 and A3.
- The participants already identified at the time of proposal submission (including the coordinator) each fill in their respective section A2.
- Subcontractors shall not fill in section A2 and should not be listed separately in section A3.
- The estimated budget planned for any future participants (not yet identified at the time of the proposal) is not shown separately in form A3 but should be added to the coordinator's budget. Their role, profile and tasks are described in Part B of the proposal.

Check that your budget figures are correctly entered in Part A. Make sure that:

- Numbers are always rounded to the nearest whole number
- All costs are given in Euros. Do not express your costs in thousands of Euros ("KEUROS") etc. This can affect decisions on the eligibility of your proposal.
- You have inserted zeros ("0") if there are no costs, or if no funding is requested. Do not leave blanks.
- Costs do not include value added tax.

**Note:**

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

## Section A1: Summary

<b>Proposal Acronym</b>	<p>The short title or acronym will be used to identify your proposal efficiently in this call. It should be of <u>no more than 20 characters</u> (use standard alphabet and numbers only; no symbols or special characters please).</p> <p>The same acronym should appear on each page of Part B of your proposal.</p>
<b>Collaborative Projects</b>	<p>The type of Project is 'CS-RTD'</p>
<b>Proposal Title</b>	<p>The title should be <u>no longer than 200 characters</u> and should be understandable to the non-specialist in your field.</p>
<b>Duration in months</b>	<p>Insert the estimated duration of the project in full months.</p>
<b>Call (part) identifier</b>	<p>[pre-filled]</p> <p>The call identifier is the reference number given to the call.</p>
<b>Topic code(s) relevant to your proposal</b>	<p>Please refer to the topic code listed in the Call Text. Only one Topic allowed.</p>
<b>Free Keywords</b>	<p>Please enter a number of keywords that you consider sufficient to characterise the scope of your proposal.</p> <p>There is <u>a limit of 100 characters</u>.</p>

<p><b>Abstract</b></p>	<p>The abstract should, at a glance, provide the reader with a clear understanding of the objectives of the proposal, how they will be achieved, and their relevance to the Call Text. This summary will be used as the short description of the proposal in the evaluation process. It must therefore be short and precise and should not contain confidential information. Please use plain typed text, avoiding formulae and other special characters. <b>If the proposal is written in a language other than English, please include an English version of the proposal abstract in Part B.</b></p> <p>There is <u>a limit of 2000 characters</u>.</p>
<p><b>Similar proposals or signed grant agreements</b></p>	<p>A 'similar' proposal or signed grant agreement is one that differs from the current one in minor ways, and in which some of the present consortium members are involved (please indicate the call reference and the proposal / grant agreement number)</p>

## Section A2/ Participants

<p><b>Participant number</b></p>	<p>The number allocated by the consortium to the participant for this proposal. The <b>co-ordinator</b> of a proposal is always <b>number one</b>.</p>
<p><b>Participant Identification Code</b></p>	<p>The Participant Identification Code (PIC) enables organisations to take advantage of the Unique Registration Facility (URF). Organisations who have received a PIC from the URF should use it when submitting proposals. By entering a PIC, parts of section A2 will be filled in automatically (<a href="http://ec.europa.eu/research/participants/urf">http://ec.europa.eu/research/participants/urf</a>).</p>
<p><b>Legal name</b></p>	<p><b>For Public Law Body</b>, it is the name under which your organisation is registered in the Resolution text, Law, Decree/Decision establishing the Public Entity, or in any other document established at the constitution of the Public Law Body;</p> <p><b>For Private Law Body</b>, it is the name under which your organisation is registered in the national Official Journal (or equivalent) or in the national company register.</p> <p><b>For a natural person</b>, it is for e.g. Mr Adam JOHNSON, Mrs Anna KUZARA, and Ms Alicia DUPONT.</p>
<p><b>Organisation Short Name</b></p>	<p>Choose an abbreviation of your Organisation Legal Name, only for use in this proposal and in all relating documents.</p> <p>This short name should not be more than <u>20 characters</u> exclusive of special characters (./;...), for e.g. CNRS and not C.N.R.S. It should be preferably the one as commonly used, for e.g. IBM and not Int.Bus.Mac.</p>
<p><b>Legal address</b></p>	<p>For Public and Private Law Bodies, it is the address of the entity's Head Office.</p> <p>For Individuals it is the Official Address.</p> <p>If your address is specified by an indicator of location other than a street name and number, please insert this instead under the "street name" field and "N/A" under the "number" field.</p>

<p><b>Non-profit organisation</b></p>	<p>Non-profit organisation is a legal entity qualified as such when it is recognised by national or, international law.</p>
<p><b>Public body</b></p>	<p>Public body means any legal entity established as such by national law, and international organisations.</p>
<p><b>Research organisation</b></p>	<p>Research organisation means a legal entity established as a non-profit organisation which carries out research or technological development as one of its main objectives.</p>
<p><b>NACE code</b></p>	<p><b>NACE</b> means "<u>Nomenclature des Activités économiques dans la Communauté Européenne</u>".</p> <p>Please select <b>one</b> activity from the list that <b>best</b> describes your professional and economic ventures. If you are involved in more than one economic activity, please select the <b>one</b> activity that is <b>most</b> relevant in the context of your contribution to the proposed project. For more information on the methodology, structure and full content of NACE (rev. 1.1) classification please consult EUROSTAT at:</p> <p><a href="http://ec.europa.eu/eurostat/ramon/nomenclatures/index.cfm?TargetUrl=LST_CLS_DLD&amp;StrNom=NACE_1_1&amp;StrLanguageCode=EN&amp;StrLayoutCode=HIERARCHIC">http://ec.europa.eu/eurostat/ramon/nomenclatures/index.cfm?TargetUrl=LST_CLS_DLD&amp;StrNom=NACE_1_1&amp;StrLanguageCode=EN&amp;StrLayoutCode=HIERARCHIC</a> .</p>
<p><b>Small and Medium-Sized Enterprises (SMEs)</b></p>	<p>SMEs are micro, small and medium-sized enterprises within the meaning of Recommendation 2003/361/EC in the version of 6 May 2003. The full definition and a guidance booklet can be found at <a href="http://ec.europa.eu/enterprise/enterprise_policy/sme_definition/index_en.htm">http://ec.europa.eu/enterprise/enterprise_policy/sme_definition/index_en.htm</a></p> <p>To find out if your organisation corresponds to the definition of an SME you can use the on-line tool at <a href="http://ec.europa.eu/research/sme-techweb/index_en.cfm">http://ec.europa.eu/research/sme-techweb/index_en.cfm</a></p>
<p><b>Affiliate entity</b></p>	<p>Your entity is considered as an Affiliate entity if it fulfils the following conditions:</p> <p>A legal entity that is under the direct or indirect control of a Member, or under the same direct or indirect control as the Member, or is directly or indirectly controlling the Member, control taking any of the following forms:</p> <p>(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;</p> <p>(b) the direct or indirect holding, in fact or in law, of decision-making powers in the legal entity concerned.</p>

<p><b>Contact point</b></p>	<p>It is the main scientist or team leader in charge of the proposal for the participant. For participant number 1 (the coordinator), this will be the person the Commission will contact concerning this proposal (e.g. for additional information, invitation to hearings, sending of evaluation results, convocation to negotiations).</p>
<p><b>Title</b></p>	<p>Please choose one of the following: Prof., Dr., Mr., Mrs, Ms.</p>
<p><b>Sex</b></p>	<p>This information is required for statistical and mailing purposes. Indicate F or M as appropriate.</p>
<p><b>Phone and fax numbers</b></p>	<p>Please insert the full numbers including country and city/area code. Example +32-2-2991111.</p>



## Section A3/Budget

<p><b>Indirect Costs</b></p>	<p>Indirect costs are all those eligible costs which cannot be identified by the beneficiary as being directly attributed to the project but which can be identified and justified by its accounting system as being incurred in direct relationship with the eligible direct costs attributed to the project. They may not include any eligible direct costs.</p>
<p><b>Method of calculating indirect costs</b></p>	<p><b>Summary description (as displayed on EPSS)</b></p> <p>Indirect costs shall represent a fair apportionment of the overall overheads of the organisation. They may be identified according to one of the following methods:</p> <p>a) Based on actual indirect costs for those beneficiaries which have an analytical accounting system to identify their indirect costs as indicated above.</p> <p>For this purpose, a beneficiary is allowed to use a simplified method of calculation of its full indirect eligible costs at the level of its legal entity if this is in accordance with its usual accounting and management principles and practices. Use of such a method is only acceptable where the lack of analytical accounting or the legal requirement to use a form of cash-based accounting prevents detailed cost allocation. The simplified approach must be based on actual costs derived from the financial accounts of the last closed accounting year.</p> <p>b) A beneficiary may opt for a flat rate of 20% of its total direct eligible costs, excluding its direct eligible costs for subcontracting and the costs of resources made available by third parties which are not used on the premises of the beneficiary.</p> <p><b>For Further guidance</b> see subsection 2.6</p>
<p><b>Type of Activity</b></p>	<ul style="list-style-type: none"> <li>• <b>RTD activities</b></li> <li>• <b>Demonstration activities</b></li> <li>• <b>Other activities</b> (including <b>Management activities</b>)</li> </ul> <p>More details are provided in subsection 2.4.</p>
<p><b>Personnel costs</b></p>	<p>Personnel costs are only the costs of the actual hours worked by the persons directly carrying out work under the project and shall reflect the total remuneration: salaries plus social security charges (holiday pay, pension contribution, health insurance, etc.) and other statutory costs included in the remuneration. Such persons must:</p> <ul style="list-style-type: none"> <li>– be directly hired by the participant in accordance with its national legislation,</li> <li>– be working under the sole technical supervision and responsibility of the latter, and</li> <li>– be remunerated in accordance with the normal practices of the participant.</li> </ul> <p>Notwithstanding point a), beneficiaries may opt to declare average personnel costs if based on a certified methodology approved by the Joint Assessment Committee of the Commission (JAC), empowered by the JU to decide on the acceptability of the cost methodology certificates submitted, and if the methodology for average personnel costs is consistent with the management principles and usual accounting practices of the beneficiary. The decision on the acceptability of the certificate on the methodology will be taken on the basis of the criteria and procedures applied in FP7, including the FP7 model Grant Agreement, the ex-ante implementation rules on</p>

	average personnel costs, and the Commission "Guidance notes for beneficiaries and auditors on Audit certification".
<b>Sub-contracting</b>	Costs for subcontracting should be indicated here. Note that subcontracting is bound to the conditions set-pout in subsection 2.8
<b>Other direct costs</b>	Means direct costs not covered by the above mentioned categories of costs.
<b>Total Budget</b>	<p><i>Note: The "total budget" <b>is not</b> the requested CSJU contribution.</i></p> <p>A sum of all the eligible costs, under the respective types of activity.</p>
<b>Requested JU contribution</b>	<p>The requested CSJU contribution shall be determined by applying the upper funding limits indicated below, per activity and per participant to the costs accepted by the CSJU.</p> <p><b>Maximum reimbursement rates of eligible costs</b></p> <ul style="list-style-type: none"> <li>• <b>Research and technological development = 50% or 75%*</b></li> <li>• <b>Demonstration activities = 50%</b></li> <li>• <b>Other activities (including management) = 50% or 75% *</b></li> </ul> <p>(*) For participants that are non profit public bodies, secondary and higher education establishments, research organisations and SMEs.</p> <p>More details are provided in subsection 2.4</p>
<b>Total Receipts</b>	<p><i>Note: The term "receipts" <b>is not</b> the requested CSJU contribution.</i></p> <p>Receipts of the project may arise from:</p> <p>a) Financial transfers or contributions in kind free of charge to the participant from third parties:</p> <ol style="list-style-type: none"> <li>i. shall be considered a receipt of the project if they have been contributed by the third party specifically to be used on the project.</li> <li>ii. shall <u>not</u> be considered a receipt of the project if their use is at the management discretion of the</li> </ol>

	<p>participant.</p> <p>b) Income generated by the project:</p> <ul style="list-style-type: none"><li>i. shall be considered receipts for the participant when generated by actions undertaken in carrying out the project and from the sale of assets purchased under the grant agreement up to the value of the cost initially charged to the project by the participant;</li><li>ii. shall <u>not</u> be considered a receipt for the participant when generated from the use of foreground resulting from the project.</li></ul> <p>The CSJU financial contribution may not have the purpose or effect of producing a profit for the participants. For this reason, the total requested CSJU funding plus receipts cannot exceed the total eligible costs.</p>
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### **3.10 Instructions for drafting "Part B" of the CS-RTD proposal**

This section provides a template to help you structure your proposal. It will help you present important aspects of your planned work in a way that will enable the experts to make an effective assessment against the evaluation criteria. Although all sections of the template must be addressed in the proposal, the amount of information provided should be proportionate to the value and complexity of the proposal.

The minimum font size allowed is 11 points. All margins (top, bottom, left, right) should be at least 15 mm (not including any footers or headers).

A maximum length may be specified in the Call Text for the different sections of Part B, or for Part B as a whole. In this case, you must keep your proposal within these limits. Even where no page limits are given, or where limits are only recommended, it is in your interest to keep your text concise since over-long proposals are rarely viewed in a positive light by the evaluating experts. The CSJU Staff may instruct the experts to disregard pages in excess of the maximum length specified in the Call Text. .

You must use exclusively **PDF** ("portable document format", compatible with Adobe version 3 or higher, with embedded fonts). Other file formats will not be accepted by the system. There is an overall limit of 10 Mbyte to the size of proposal file Part B. There are also restrictions to the name you give to the Part B file. You should only use alphanumeric characters. Special characters and spaces must be avoided.

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

#### **Cover Page**

Proposal full title:

Proposal acronym: Topic addressed:

Name of the coordinating person:

List of participant(s):

<b>Participant no.</b>	<b>Participant organisation name</b>	<b>Country</b>
1 (Coordinator)		
2		
3		

#### **Table of Contents**

## **Proposal**

### **1. Scientific and Technical quality**

#### **1.1 Progress beyond the State of the Art**

Describe the state of the art and demonstrate the innovative character of the proposal

***This section will be used to assess evaluation criteria:  
C2: Innovative Character***

#### **1.2 Scientific and Technology methodology and work plan:**

A detailed work plan should be presented, broken down into work packages (WPs)  
Please present your plans as follows:

1.2.1) Describe the overall strategy of the work plan.

1.2.2) Show the timing of the different WPs and their components (Gantt chart or similar timetable)

1.2.3) Provide a detailed work description broken down into work packages:

- § Work package list (please use table 1);
- § Deliverables list (please use table 2);
- § Milestones List (please use table 3);
- § Description of each work package (please use table 4);
- § Summary effort table (please use table 5)

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

1.2.5) Describe any significant risks, and associated contingency plans.

#### **Note:**

The number of work packages used must be appropriate to the complexity of the work and the overall value of the proposed project. The planning should be sufficiently detailed to justify the proposed effort and allow progress monitoring by the CSJU.

***This section will be used to assess evaluation criteria:***

***C1: Technical excellence***

***C3: Compliance with the Call for Proposals specification and timetable (relevance),***

**Table 1: Work package list**

Work package No <sup>1</sup>	Work package title	Type of activity <sup>2</sup>	Lead participant No <sup>3</sup>	Lead participant short name	Person-months <sup>4</sup>	Start month <sup>5</sup>	End month <sup>5</sup>
		TOTAL					

**Table 2: Deliverables List**

Del. no. <sup>6</sup>	Deliverable name	WP no.	Nature <sup>7</sup>	Delivery date <sup>8</sup>

<sup>1</sup> Work package number: WP 1 – WP n.

<sup>2</sup> Please indicate one activity per work package:

RTD = Research and technological development (DEM = Demonstration; MGT = Management of the consortium; OTHER = Other specific activities, if applicable in this call including any activities to prepare for the dissemination and/or exploitation of project results, and coordination activities)

<sup>3</sup> Number of the participant leading the work in this work package.

<sup>4</sup> The total number of person-months allocated to each work package.

<sup>5</sup> Measured in months from the project start date (month 1).

<sup>6</sup> Deliverable numbers in order of delivery dates. Please use the numbering convention <WP number>.<number of deliverable within that WP>. For example, deliverable 4.2 would be the second deliverable from work package 4.

<sup>7</sup> Please indicate the nature of the deliverable using one of the following codes:

**R** = Report, **P** = Prototype, **D** = Demonstrator, **O** = Other

<sup>8</sup> Measured in months from the project start date (month 1).

**Table 3: Milestones List**

Milestones are control points where decisions are needed with regard to the next stage of the project. For example, a milestone may occur when a major result has been achieved, if its successful attainment is required for the next phase of work. Another example would be a point when the consortium must decide which of several technologies to adopt for further development.

Milestone number	Milestone name	Work package(s) involved	Expected date <sup>1</sup>	Means of verification <sup>2</sup>

**Table 4: Work package description**

**For each work package:**

<b>Work package number</b>		<b>Start date or starting event:</b>						
<b>Work package title</b>								
<b>Activity Type<sup>3</sup></b>								
<b>Participant number</b>								
<b>Participant short name</b>								
<b>Person-months per participant:</b>								

**Objectives**

**Description of work** (possibly broken down into tasks), and role of participants

**Deliverables** (brief description and month of delivery)

<sup>1</sup> Measured in months from the project start date (month 1).

<sup>2</sup> Show how you will confirm that the milestone has been attained. Refer to indicators if appropriate. For example: a laboratory prototype completed and running flawlessly; software released and validated by a user group; field survey complete and data quality validated.

<sup>3</sup> Please indicate one activity per work package:

RTD = Research and technological development; DEM = Demonstration; MGT = Management of the consortium; OTHER = Other specific activities, if applicable (including any activities to prepare for the dissemination and/or exploitation of project results, and coordination activities).

**Table 5: Summary of staff effort**

A summary of the staff effort is useful for the evaluators. Please indicate in the table the number of person months over the whole duration of the planned work, for each work package, for each participant. Identify the work-package leader for each WP by showing the relevant person-month figure in bold.

<b>Participant no./short name</b>	<b>WP1</b>	<b>WP2</b>	<b>WP3</b>	<b>...</b>	<b>Total person months</b>
Part.1 short name					
...					
...					
...					
Total					

## **2. Implementation**

### **2.1 Management structure and procedures**

Describe the organisational structure and decision-making mechanisms of the project. Show how they would match to the complexity and scale of the project.

### **2.2 Participant(s)**

For each participant in the proposed project, provide a brief description of the legal entity, the main tasks they have been attributed and the previous experience relevant to those tasks. Provide also a short profile of the staff members who will be undertaking the work (~1 page per participant).

If appropriate describe the industrial/commercial involvement to ensure exploitation of the results, and how the opportunity of involving SMEs has been addressed.

**i) Subcontracting:** If any part of the work is to be subcontracted by the participant responsible for it, describe the work involved and explain why a subcontract approach has been chosen for it.

**ii) Additional partners:** If there are as-yet-unidentified participants in the project, the expected competences, the role of the potential participants and their integration into the running project should be described.

### **2.3 Resources to be committed**

Describe how the totality of the necessary resources will be mobilised, including any resources that will complement the Grant. Show how the resources will be integrated in a coherent way, and show how the overall financial plan for the project is adequate.

In addition to the costs indicated in Part A of the proposal, and the staff effort shown in table 5 above, please indicate any other major costs (e.g. equipment).



Please ensure that the figures stated in part B are consistent with those in Part A.

*This section will be used to assess the evaluation criteria:*

**C4: Adequacy and quality of respondent's resources, management and implementation capabilities and track record**

**C5: Appropriateness and efficient allocation of the resources to be committed (budget, staff, equipment)**

### 3. Impact

#### 3.1 Expected impacts

Describe how your project will contribute to the expected impacts in relation to the Topic in question. Mention the steps that will be needed to bring about these impacts. Mention any assumptions and external factors that may determine whether the impacts will be achieved.

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

Describe the measures you propose for the dissemination and/or exploitation of project results, and the management of knowledge and intellectual property rights.

*This section will be used to assess the evaluation criteria:*

**C6: Contribution to European Competitiveness**

### 4. Ethical Issues

Describe any ethical issues that may arise in the proposal if applicable.

The following table can be used as guidance.

#### **ETHICAL ISSUES TABLE**

	YES	PAGE
<b>Informed Consent</b>		
• Does the proposal involve children?		
• Does the proposal involve patients or persons not able to give consent?		
• Does the proposal involve adult healthy volunteers?		
• Does the proposal involve Human data collection?		
<b>Privacy</b>		
• Does the proposal involve processing of genetic information or personal data (eg. health, sexual lifestyle, ethnicity, political opinion, religious or philosophical conviction)		
• Does the proposal involve tracking the location or observation of people?		

<b>Research on Animals</b>		
• Does the proposal involve research on animals?		
<b>Research Involving Developing Countries</b>		
• Use of local resources (genetic, animal, plant etc)		
• Impact on a local community		
<b>Dual Use and potential for terrorist abuse</b>		
• Research having direct military application		
• Research having the potential for terrorist abuse		
<b>I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL</b>		

## 5. Consideration of gender aspects

You may give an indication of the sort of actions that would be undertaken during the course of the project to promote gender equality in your project, or in your field of research. (These will not be evaluated, but will be discussed during negotiations should your proposal be successful).

These could include actions related to the project consortium (e.g. improving the gender balance in the project consortium, measures to help reconcile work and private life, awareness raising within the consortium) or, where appropriate, actions aimed at a wider public (e.g. events organised in schools or universities).

## 4 Evaluation of Proposals

### 4.1 Drafting of a Call for Proposals

In order to carry out their work, in particular in the frame of the technology demonstrators, ITD Members open to Call for Proposals dedicated research work. The Call text will describe this work through Topics.

The concerned Member(s) prepare a specification of each Topic for a CS-RTD project that contains:

- the scope of work (some confidential information may be released only at a later date to the successful applicants),
- the timing,
- the maximum total budget,
- the proposed **Topic Manager**, a representative of the concerned Member (see section 5.3).

The specification is subject to approval of the ITD Steering Committee.

ITDs regularly inform the CSJU Staff, which compiles the needs of the different ITDs. When appropriate, the CSJU Director opens a Call for Proposals and nominates a **Call Coordinator** (normally the Coordinating Project Officer) and the **CSJU Staff** member (normally the Project Officer(s) in charge of the relevant ITD(s)) who will be involved in the evaluation process. A Call for Proposals can be composed of one or several Topics for CS-RTD Projects from one or several ITDs. The Topic Manager(s) prepare(s) the detailed specification of the Topic(s). The CSJU Staff member prepares the Call Text, which includes the different Topics and the relevant information for this Call (such as, for example, indicative timetable, evaluation thresholds, weighting, etc.). The CSJU Staff makes sure that the funding available for the Call will be sufficient to cover the sum of the maximum total budget for all Topics in such a way that for each Topic, a proposal can be awarded a Grant.

The Call Text and the relevant documentation are published on the Clean Sky web site.

The Topic Manager signs an appointment letter, including a declaration of confidentiality and absence of conflict of interest before beginning their work. Confidentiality rules must be adhered to at all times, during the drafting of the Topic(s) and the Call Text, before, during and after the evaluation.

### 4.2 Evaluation: Experts

The evaluation of proposals is carried out on behalf of the CSJU by a panel of experts comprising internal experts from the ITD responsible for the Call ("**Internal ITD Experts**") and an equal number of **External Experts** in an **open and transparent competitive procedure**. Each proposal will be evaluated by at least two Internal ITD Experts and at least two External Experts.

Internal ITD Experts and External Experts must equally observe and fulfil the conditions set out in sections 4.3 and 4.4. The only differences existing between Internal ITD Experts and External Experts are:

- External Experts perform evaluations on a personal basis, not as representatives of their employer, their country or any other entity. They are entitled to a lump sum for their work and to the reimbursement of their expenses.
- Internal ITD Experts are representing the Members of the ITD who proposed the Topic. They are not entitled to a lump sum for their work although their expenses will be reimbursed.

Experts are required to have skills and knowledge appropriate to the areas of activity in which they are asked to assist. They must also have a high level of professional experience in the public or private sector in one or more of the following areas or activities: research in the relevant scientific and technological fields; administration, management or evaluation of projects; use of the results of research and technological development projects; technology transfer and innovation; development of human resources. Experts may be citizens of countries other than the Member States or countries associated to the Framework Programmes.

### **4.3 Appointment of Experts**

For a given topic, Internal ITD experts are proposed by the Topic Manager and External Experts are proposed by the CSJU Staff member from the FP7 experts database.

The CSJU Staff member can oppose, based on sound arguments, to the expert selected by the Topic Manager and vice-versa.

On the basis of the proposed experts, the CSJU Call Coordinator is responsible to draw up the overall list of experts for all the Topics of the Call (including, if necessary, a reserve list). The lists are drawn up primarily using the selection criteria:

- A high level of expertise;
- An appropriate range of competencies.

Providing the above conditions can be satisfied, other criteria are also taken into consideration:

- An appropriate balance between academic and industrial expertise and users;
- A reasonable gender balance;
- A reasonable distribution of geographical origins,
- Regular rotation of experts, as resources allow.

In constituting the lists of experts, the Call Coordinator also takes account, as necessary, of their abilities to appreciate the industrial and/or societal dimension, and policy relevance, of the topics covered by the Call. Experts must also have the appropriate language skills required for the proposals to be evaluated. In cases where experts will have to deal with classified information, the appropriate security clearance shall be required before appointment. The Call Coordinator will also ensure an efficient and economic use of the capacity of expertise of the group. For example, duplication of expertise combined with small work loads will be avoided.

In case the Call Coordinator estimates that some of the above conditions and eventual additional criteria are not fulfilled, the CSJU Staff member and the Topic Manager(s) may be asked to propose others experts. In this case, guidelines will be provided in order to match the specific conditions and eventual criteria.

The names of the experts assigned to individual proposals are not made public.

Once a year, the CSJU publishes the list of experts who participated in evaluations.

#### **4.4 Terms of appointment, Code of Conduct and Conflict of Interest.**

All experts have to provide their contact details by registering in the FP7 experts database; these will be used for correspondence. The CV of External Experts will be available from the FP7 experts database while Internal ITD Experts will send their CV to the Call Coordinator.

The CSJU shall conclude an 'appointment letter' with each expert, based on the model given in section 9.

The appointment letter binds the expert to a code of conduct, establishes the essential provisions regarding confidentiality, and, specifies in particular, the description of work, the conditions of payment, and reimbursement of expenses when applicable.

##### Conflict of interests:

When appointing experts, the CSJU staff must take all necessary steps to ensure that they are not faced with a conflict of interest in relation to the proposals on which they are required to give an opinion. To this end, experts are required to sign a declaration that no such conflict of interest exists (see section 9) at the time of their appointment and that they undertake to inform the CSJU Staff if one should arise in the course of their duties. When so informed, the CSJU Staff takes all necessary actions to remove the conflict of interest. In addition, all experts are required to confirm that they have no conflict of interest for each proposal that they are asked to examine at the moment of the evaluation.

The declaration makes a distinction between 'disqualifying' and 'potential' conflicts of interest. When a disqualifying conflict of interest is reported by the expert or established by the CSJU Staff member on the basis of any available source of information, the expert shall not evaluate the proposal concerned .

Experts who are employed by one of the applicant organisations in a proposal are normally considered as facing a 'disqualifying' conflict of interest.

When a potential conflict of interest is reported by the expert or brought to the attention of the CSJU Staff by any means, the CSJU Staff will consider the circumstances of the case and will decide, on the basis of the objective elements of information at its disposal, on the existence of an effective conflict of interest. If such an effective conflict is established, the expert will be excluded in the same manner as for a disqualifying conflict. In other cases, depending on the specific circumstances of the case and taking due account of the associated risks, the CSJU Staff may decide to allow the expert to evaluate. The expert must sign a declaration confirming that they will act in an impartial manner.

If a hitherto unsuspected conflict becomes apparent during the course of the evaluation, the expert must announce the fact immediately to the CSJU staff. If the conflict is found to be a disqualifying one, the expert must abstain from further evaluation involving the proposal concerned. Any comments and scores made earlier by that expert will be discounted. If necessary, the expert will be replaced.

If an expert knowingly conceals a disqualifying or potential conflict of interest, and this is discovered during the evaluation, the expert will be immediately excluded, and the sanctions indicated in the appointment letter will apply. Any consensus group in which he or she has participated will be declared null and void, and the proposal(s) concerned will be re-evaluated.

When an expert is excluded from the evaluation of a Topic, another expert from the panel will be designated by the CSJU Staff member in such a way that the conditions set-out in section 4.2 are satisfied.

#### Code of Conduct:

Experts are expected to be impartial and objective, and to behave throughout in a professional manner.

They sign an appointment letter, including a declaration of confidentiality and absence of conflict of interest before beginning their work. Confidentiality rules must be adhered to at all times, before, during and after the evaluation.

#### Confidentiality:

The appointment letter also requires experts to maintain strict confidentiality with respect to the whole evaluation process. Under no circumstance may an expert attempt to contact an applicant on his own account, either during the evaluation or afterwards.

The CSJU Staff ensures that the process is fair and in line with the principles contained in the rules. Experts will report any irregularity to the CSJU Staff member. The relevant Topic Manager(s) will also be informed.

### **4.5 Independent Observer**

With a view to ensuring a high degree of transparency, the Call Coordinator may appoint External Experts to act as observers (hereafter "observers") of the evaluation process from the point of view of its working and execution. Their role is to give independent advice to the CSJU on the conduct and fairness of all phases of the evaluation sessions, on ways in which the expert evaluators apply the evaluation criteria, and on ways in which the procedures could be improved. As such, they shall verify that the procedures set out or referred to in this document are adhered to, and report their findings and recommendations to the CSJU. They are also encouraged to enter into informal discussions with the CSJU Staff member(s) involved in the evaluation sessions and to suggest to the CSJU any possible improvements that could be put into practice immediately. However, in the framework of their work, they should not express views on the proposals under evaluation or the experts' opinions on the proposals.

To this end, it is not necessary that the observers have expertise in the area of the proposals being evaluated. Indeed, it is considered advantageous to avoid having observers with too intimate a knowledge of the particular scientific and technological area in order to avoid conflicts between their opinions on the outcome of the evaluations and the functioning of the sessions. In any case, they will not express views on the proposals under examination or the experts' opinions on the proposals.

The observers are invited to be present from the beginning of the evaluation sessions when the experts are briefed.

Observers are required to respect the same obligations as the experts with regard to confidentiality and avoidance of conflicts of interest, and they sign the same declaration to that effect (see section 9). They are not permitted to divulge details of the proposals, the experts assigned to examining the proposals, nor the discussions in the evaluation panels. The observers have to respect a code of conduct annexed to their letter of appointment.

Observer(s) will be used where Calls are of a significant financial scale individually or where groups of Calls, which are being evaluated during the same time period, are cumulatively of significant scale. Where a Call is of a smaller financial scale and is being evaluated separately, an

observer may still be appointed but is not mandatory. The Call Coordinator, on the basis of standard common practice in the operation of Calls across the ITDs, will decide whether or not an observer is required.

## **4.6 Evaluation Criteria**

The proposal will be evaluated against six pre-determined evaluation criteria:

- C1: Technical excellence,
- C2: Innovative character,
- C3: Compliance with the Call for Proposals specification and timetable (relevance),
- C4: Adequacy and quality of respondent's resources, management and implementation capabilities and track record,
- C5: Appropriateness and efficient allocation of the resources to be committed (budget, staff, equipment),
- C6: Contribution to European competitiveness.

## **4.7 Proposal Scoring**

The scores indicate the following with respect to the criterion under examination:

- 0 - The proposal fails to address the criterion under examination or cannot be judged due to missing or incomplete information
- 1 - Poor. The criterion is addressed in an inadequate manner, or there are serious inherent weaknesses.
- 2 - Fair. While the proposal broadly addresses the criterion, there are significant weaknesses.
- 3 - Good. The proposal addresses the criterion well, although improvements would be necessary.
- 4 - Very good. The proposal addresses the criterion very well, although certain improvements are still possible.
- 5 - Excellent. The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor.

## **4.8 Thresholds and weighting**

Each criterion will be scored out of 5. Half marks can be given. All factors will have equal weight.

### Thresholds:

Thresholds are set for some or all of the criteria, such that any proposal failing to achieve the threshold scores will be rejected. In addition, an overall threshold may also be set. The thresholds to be applied to each criterion as well as any overall threshold are set out in the Call text. Thresholds may vary from one Topic to another.

If the proposal fails to achieve a threshold for a criterion, the evaluation of the proposal may be stopped.

## **4.9 Detailed description of Proposal evaluation**

### **Briefing of the experts**

The CSJU Staff member is responsible for the briefing of experts before evaluation sessions. The briefing of the experts covers the evaluation processes and procedures, the experts' responsibilities as well as the evaluation criteria to be applied, the content and expected impacts of the research topics under consideration and other relevant material. The Topic Manager will brief the experts on the technical goals of the call and the technical context against which the proposals have to be evaluated.

Close contact is maintained by the CSJU Staff member and the Topic Manager with the individual experts to assist them on any query.

### **Individual Evaluation**

Each proposal will be evaluated by at least two Internal ITD Experts and at least two External Experts.

At this first step the experts are acting individually; they do not discuss the proposal with each other, nor with any third party. The experts record their individual opinions in an **Individual Evaluation Report** (IER), giving scores and also comments against the evaluation criteria. The comments must be consistent with any scores awarded and serve as input to any consensus discussion and related consensus report. Concise but explicit justifications will be given for each score. Recommendations for improvements to be discussed as part of a possible negotiation phase will be given, if needed.

Experts also indicate if the proposal:

- Falls entirely out of the scope of the Call for Proposals;
- Deals with sensitive ethical issues;
- Requires further scrutiny with regard to security considerations (see section 8).

The expert's individual evaluation report shall not subsequently be changed. In signing the individual evaluation report, each expert confirms that he/she has no conflict of interest with respect to the evaluation of that particular proposal.

If an expert suspects that a proposal is found to be out of scope of the Call during the course of the individual evaluation, the CSJU Staff member and the Topic Manager will be informed immediately, and the views of the other experts will be sought. If the consensus view is that the main part of the proposal is not relevant to the Topic, the proposal will be deemed ineligible and will be withdrawn from the evaluation.

### **Consensus**

Once all the experts to whom a proposal has been assigned have completed their IER, the evaluation progresses to a consensus assessment, representing their common views.

For each Topic, the consensus team is composed of the experts, the Topic Manager and the CSJU Staff member. Neither the CSJU Staff member nor the Topic Manager award scores.

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



the required evaluation criteria. The Topic Manager provides additional technical information when appropriate. The moderator may designate an expert to be responsible for drafting the consensus report ("rapporteur").

The experts attempt to agree on a consensus score for each of the criteria that have been evaluated and suitable comments to justify the scores. Comments should be suitable for feedback to the proposal Coordinator. Scores and comments are set out in a consensus report. In the case a consensus on the scores is not possible to achieve, the CSJU Staff member, assisted by the Topic Manager, will arbitrate to a decision. If this occurs then the event will be recorded in the consensus report and the criteria used will be described.

If one or more experts have noted that there are ethical issues touched on by the proposal, the relevant box on the **Consensus Report** (CR) will be ticked and an Ethical Issues Report (EIR) completed, stating the nature of the ethical issues. Exceptionally for this issue, no consensus is required.

The outcome of the consensus step is the consensus report, signed by the moderator and all the experts, or as a minimum, by the moderator and the "rapporteur" and indicating the name of the Topic Manager. The moderator is responsible for ensuring that the consensus report reflects the consensus reached, expressed in scores and comments. In the case that it is impossible to reach a consensus, the report sets out the majority view of the experts but also records any dissenting views from any particular expert(s).

The CSJU Staff member will take the necessary steps to assure the quality of the consensus reports, with particular attention given to clarity, consistency, appropriate level of detail. If important changes are necessary, the reports will be referred back to the experts concerned. The signing of the consensus report completes the consensus step.

### **Evaluation of a resubmitted proposal**

In the case of proposals that have been submitted previously to the CSJU, the moderator gives the experts the previous evaluation summary report (see below) at the consensus stage, if the previous evaluation took place under comparable conditions (e.g. broadly similar Topics and criteria). If necessary, the experts will be required to provide a clear justification for their scores and comments should these differ markedly from those awarded to the earlier proposal.

### **Proposed ranking per Topic**

Once a consensus is found on all the proposals submitted for a given Topic, the experts of the consensus team, chaired by the CSJU Staff member assisted by the Topic Manager, examine and compare the consensus reports of the different proposals submitted for this Topic that are above all thresholds in the view of establishing a ranked list. For this purpose, they discuss the merits of the different proposals and check on the consistency of the marks applied during the consensus discussions and, where necessary, propose a new set of marks with coherent comments.

The experts finally agree on a ranked list to be proposed to the CSJU. The outcome of this phase is recorded in a report and the prioritisation of proposal having the same score explained as well the criteria used for the prioritisation.

, The experts may make recommendations on possible clustering or combination of proposals. In particular for the proposals who are in good position to be awarded a Grant, the experts can also formulate recommendations that will aim for a more efficient implementation of the proposed work, for example by modifying details of the methodology, or by removing superfluous work packages. The experts will indicate the likely impact in effort and equipment, and may indicate the impact on

budget, of any such changes. The experts may also suggest a reduction in effort and/or budget without a change in content, if the reasons for such a reduction are well founded.

As a result of this phase, an **Evaluation Summary Report (ESR)** is established for each proposal. It will differ from the Consensus Report only for the cases where a new set of marks and comments were applied or when additional recommendations were made.

For each Topic, the outcome of this ranking phase is the Topic evaluation report which comprises:

- An Evaluation Summary Report for each proposal, including comments and scores. Where relevant, any ethical issues and any security considerations are reported;
- A list of proposals passing all thresholds, along with a final score for each proposal passing the thresholds and the panel recommendations for priority order;
- A list of evaluated proposals having failed one or more thresholds;
- A list of any proposals having been found ineligible during the evaluation;
- A summary of any other recommendations of the experts.

The Topic evaluation report is signed by the experts, including the "rapporteur" (if an expert was so appointed), and the chairperson.

A further special ethical review of above-threshold proposals may be organised by the CSJU.

#### ***4.10 Feedback to applicants***

The CSJU sends electronically a letter ("initial information letter"), together with the ESR, to the coordinator of each evaluated proposal. The letter and ESR may also be sent by paper. The aim is to give the applicants a prompt indication of how their proposals fared in the evaluation by experts. However, at this stage, the CSJU cannot make a commitment as regards possible selection and funding.

The Call Text will indicate the expected date for the dispatch of these letters.

The CSJU will not change the ESRs, except if necessary to improve readability or, exceptionally, to remove any factual errors or inappropriate comments that may have escaped earlier proof-reading. The scores will never be changed. The comments recorded in the ESR must give sufficient and clear reasons for the scores and, if appropriate, any recommendations for modifications to the proposal should the proposal be retained for negotiation. In exceptional cases, possibilities for clustering or combination with other proposals may be indicated.

For those proposals rejected after failing an evaluation threshold, the comments contained in the ESR may only be complete for those criteria examined up to the point when the threshold was failed.

Coordinators of proposals found to be ineligible will be informed of the grounds for such a decision. Coordinators of proposals rejected because of security considerations will be informed of the grounds for such a decision.

# 5 Finalisation of the Evaluation Results

## 5.1 CSJU ranked list

At this stage, the CSJU Staff compiles in the Evaluation Report all the ranked lists obtained for each Topic, classified per ITD.

The ITD Steering Committee, as a body of the CSJU, receives the Evaluation Report and decides on the selection of proposals following the ranked list(s).

In this respect, the exercise of the veto right of the ITD Leaders as set out in Article 8.5 of the Clean Sky Statutes (Annex I of Regulation No 71/2008) must be duly justified and may not be used to modify the ranked list. The exercise of the veto right by ITD Leader results in the cancellation of the Topic and its re-launch.

A suggested CSJU financial contribution is determined for each of these proposals, based on the comments of the experts, and on the CSJU own analyses.

The final CSJU ranked list and negotiation mandates are established. In the view of providing an opinion, the National States Representative Group is informed about the outcome of the Call for Proposals.

## 5.2 Rejection decisions

The CSJU formally decides to reject those proposals found to be ineligible (whether before, or during the course of the evaluation) or failing any individual or overall thresholds. The CSJU may reject proposals on ethical grounds following an ethical review (see section 7), or on security grounds following the procedure described in section 8.

After a rejection decision, proposal Coordinators of rejected proposals are informed in writing of the CSJU decision. The letter informing them also includes an explanation of the reasons for rejection.

The CSJU will not reject proposals that are the subject of an ongoing redress procedure (see subsection 6.4 ).

## 5.3 Summary of the roles of the Call Coordinator, the CSJU Staff member, and the Topic Manager

### **The Call Coordinator:**

- makes sure the evaluation is carried out according to the present document,
- if necessary, may convene an internal eligibility review committee,
- if necessary ensures that the security aspects related to security sensitive RTD Actions are addressed,
- if necessary, organises the ethical review,
- presents the negotiation results to the CSJU Director and the ITD Steering Committee(s).

### **The CSJU Staff member:**

- proposes the External Experts from the FP7 database,
- acts as a moderator during the consensus meeting,

- negotiates, assisted by the Topic Manager, with the successful applicants following the ranked list,
- ensures that correct procedures are applied consistently in all Calls for Proposals and that all proposals are treated fairly and equally throughout the whole evaluation process.

**The Topic Manager:**

- prepares the detailed specification of the Topic(s),
- proposes the Internal ITD Experts for the same Topic(s),
- assists the CSJU Staff member during the consensus meeting in providing additional technical elements when needed,
- assist the CSJU Staff member during the negotiations for aspects related to the technical implementation of the project.

## 6 Negotiation Phase

Once a proposal has been selected and prior to the start of negotiations the CSJU Staff verifies the existence and legal status of applicants, as well as their operational and financial capacities to carry out the work.

### **6.1 Negotiation of proposals**

The coordinator of the proposal that has been selected is invited to begin negotiations. If this takes place before the CSJU ranked list and negotiation mandates have been finalised, the invitation will make clear that negotiations may have to be terminated, or the negotiation mandate modified.

The CSJU Staff member, assisted by the Topic Manager, lead the negotiation process.

In addition to any points raised in the ESR, the applicants may receive requests for further administrative, legal, technical and financial information necessary for the preparation of a grant agreement.

The CSJU Staff member may request changes, possibly including modifications to the budget, in line with the negotiation mandate mentioned above (see subsection 5.1). The CSJU Staff member will justify all requested changes.

The CSJU and the ITD Member(s) may disclose confidential details to the top-ranked applicant under a confidentiality agreement in order to finalise the Grant Agreement for Partners. Such information may not be used to cancel negotiations.

Grants may not be awarded to potential participants who are, at the time of a grant award procedure, in one of the situations referred to in articles 81(1) and 82 and 83a(2)(a) of the Clean Sky Financial Rules (relating, for example, to bankruptcy, convictions, grave professional misconduct, social security obligations, other illegal activities, administrative penalty imposed in case of previous serious breach of contract or misrepresentation, conflicts of interest, misrepresentation).

Any proposal that contravenes fundamental ethical principles or which does not fulfil the conditions set out in the work programme or in the call for proposals shall not be selected.

In no circumstances shall the same costs be financed twice by the Community budget, which means, for example, that an expenditure co-financed by the CSJU shall not receive assistance from the Structural Funds. It shall also comply with all applicable state aid rules.

Changes to the managerial and scientific aspects would cover, in particular, revisions to the proposed work as established in the negotiation mandate described in subsection 5.1. The legal aspects would cover, in particular, the verification of the existence and legal status of the participants, review of any special clauses in the grant agreement, or conditions required for the project, and other aspects relating to the development of the final grant agreement (including date of start of project, timing of reports and other legal requirements). The financial aspects would cover the establishment of the CSJU contribution, up to a set maximum, the amount of the pre-financing, the estimated breakdown of budget and CSJU financial contribution per activity and per participant, and the assessment of the financial capacity of the co-ordinator and any other participants, if needed or required.

Any arrangements for merging projects are also dealt with in this phase, and ethical issues or security considerations (see section 8) are clarified and addressed, if necessary.

If it proves impossible to reach agreement with a coordinator, acting on behalf of the consortium, within a reasonable deadline that the CSJU may impose on any matter covered during the negotiation stage, negotiations may be terminated and the proposal rejected by CSJU decision.

The CSJU may terminate negotiations if the coordinator proposes to modify the project in terms of its objectives, scientific and technological content, consortium composition or other aspects, to the extent that it becomes significantly different from the proposal that was evaluated, or in a manner that is not in line with the negotiation mandate.

If the conditions indicated above are not satisfied or an agreement cannot be reached the negotiation for the proposal stop. A new negotiation process is initiated with the next applicant in the ranking list for the same Topic.

The results of the negotiations are communicated to the ITD Steering Committee.

## **6.2 Award of Grant**

If negotiations are successful (that is, once the details of the grant agreement have been finalised with the applicants and all the necessary checks carried out), the CSJU Staff completes its internal financial and legal procedures. A grant is awarded, covered by a formal Grant Agreement between CSJU, the proposal Coordinator and the other participants, if any.

## **6.3 Implementation Agreement**

The selected Partner and the relevant Members of the ITD shall make arrangements to implement their respective grant agreements. For transparency reasons and to facilitate negotiations, the Topic Manager shall publish at the launch of the call a proposal for such an arrangement in the form of an **Implementation Agreement**. This published proposal is the Topic Manager's starting point for negotiations of this Implementation Agreement. Partners may propose changes but the relevant Members are bound by their proposed offer.

In addition, the Topic Manager may also propose the following choice to the Partner. Either to enter into the Implementation Agreement described above or to accede to the ITD Members Consortium Agreement (in which case the latter shall be published as well at the launch of the call). If the two options are proposed by the Topic Manager, the relevant Members are bound by the choice of the Partner.

## **6.4 Assistance, enquiries and redress**

### **Assistance and enquiries**

The Call Text will explain how applicants can seek assistance or information on any matter related to a call for proposals and subsequent procedures. A dedicated help desk will be provided for issues related to the EPSS.

Further, the "initial information letter" referred to under subsection 4.10 will indicate an address for any questions concerning the results of a particular evaluation.

### **Redress**

The redress procedure shall uphold the principles of transparency and equal treatment. Redress shall apply in the context of evaluation only.

The initial information letter will provide an address to be used if the coordinator believes there have been shortcomings in the handling of his or her proposal, and that these shortcomings have jeopardised the outcome of the evaluation process. The letter will specify a deadline for the receipt of any such complaints, which will be two weeks from the date of dispatch of the CSJU letter. The coordinator should provide the name and identifier of the call, the number (if any), name and acronym of the proposal, and a full description of the alleged shortcomings. The method for submitting the complaint shall be described in the letter.

Under the responsibility of the CSJU Director, an internal evaluation review committee ("redress committee") will then be convened to examine those cases that have been submitted by coordinators, before the deadline mentioned above, using the method described in the initial information letter. Complaints that do not meet these conditions, or do not deal with the evaluation or eligibility checking of a specific proposal, will not be considered.

To be considered eligible for the redress procedure, a complaint must be:

- Received before the deadline specified in the initial information letter
- Submitted using the method described in the initial information letter and include a description of the grounds for complaint
- Sent by the contact person representing the applicant or the coordinating organisation, if applicable
- Related to the evaluation process or the eligibility check of a particular proposal.

The committee can only consider complaints that relate to shortcomings in the handling of a proposal evaluation. It will not discuss or call into question the judgement of appropriately qualified experts, and it will not evaluate a proposal itself. The only information upon which applicants can base a complaint is that which is contained in the ESR, possibly with reference, as the case may be, to the conditions of the call for proposals.

The committee's role is to ensure a coherent legal interpretation of such requests and equal treatment of applicants. It provides specialist opinions on the implementation of the evaluation process on the basis of all the available information related to the proposal and its evaluation. It works independently. **The committee itself does not re-evaluate the proposal.** If the committee considers that there has been a failing in the eligibility checking or evaluation process that is likely to have jeopardised the decision whether or not to fund the proposal, it may suggest a further evaluation of all or part of the proposal by experts according to the principles set-out in section 4.

The committee is composed of CSJU Staff members having the requisite expertise in legal and procedural matters, scientific and technological content, and/or information systems, varying according to the cases it is asked to consider. It is chaired by a representative of the CSJU other than the one responsible for the call. The Call Coordinator (or other designated person that was involved in the call) is a member of the committee.

If the committee is required to consider eligibility issues, it may seek the advice of (or co-opt members from) the eligibility review committee mentioned in section 3.6.

An initial reply will be sent to complainants no later than two weeks of the deadline for redress requests, mentioned above. This initial reply will indicate when a definitive reply will be provided. In case a definitive response cannot be given at that stage, this reply will indicate when a definitive response will be provided.

In the light of its review, the redress committee prepares its conclusions on each case considered, stating the evidence consulted and reasons for its decision. The committee will recommend a course of action to the CSJU Executive Director. He may in turn make comments, in which case the committee must decide whether to revise its conclusion. It is expected that the committee reaches its conclusions by consensus of all committee members.

Three types of outcome can be envisaged:

1. Inadequate evidence to support the complaint,
2. Evidence to support the complain but no further action recommended
3. Evidence to support the complaint, with a follow-up recommended.

If the Executive Director agrees with the advice of the Committee, the reply is sent by the Executive Director to the complainant in the form of a standard letter explaining the follow-up; with the committee's report appended.

However, should the recommended follow-up consist in a re-evaluation, the Executive Director must refer the matter to the Governing Board. The Governing Board examines the conclusion of the redress committee and authorises or not the re-evaluation.

In any case, if the Executive Director disagrees with the opinion of the committee, the Executive Director must refer the matter to the Governing Board who decides of the outcome.

In cases where the matter is referred to the Governing Board, the complainant receives the report of the committee together with the decision of the Governing Board.



# 7 Ethical Review Procedures

## Introduction

The evaluation procedure includes a check of ethical issues raised by the proposals. An ethical review of proposals involving sensitive ethical issues may take place after the evaluation and before any selection decision by the CSJU.

The objective of this ethical review is to make sure that the CSJU does not support research which would be contrary to fundamental ethical principles

In the frame of the Clean Sky Joint Undertaking, the use of human embryonic stem cells (hESC) is excluded.

## Proposals

Where appropriate and/or required by the Call, proposals include a section which:

- Describes the potential ethical aspects of the proposed research regarding its objectives; the methodology and the possible implications of the results;
- Justifies the design of the research project;
- Explains how the ethical requirements set out in the description of work will be fulfilled;
- Indicates how the proposal meets the national legal and ethical requirements of the country where the research is performed;
- Indicates the timing for approval by any relevant authority at national level.

To this end, applicants are invited to fulfil the "Ethical issues table" included in this document (subsection 3.10)

## Evaluation

In the first instance the experts make a check of any ethical issues raised by a proposal with reference to the "Ethical issues table" on research ethical issues completed by the applicant. The experts identify those proposals which may require special attention due to the importance of the ethical issues raised and/or the inadequacy of the way the ethical issues are addressed in the proposal. The Evaluation Summary Report (ESR) should include any comments of the experts concerning ethical issues raised by the proposal. If any ethical issue is raised by the proposal or identified during the evaluation, an Ethical Issues Report (EIR) should be produced by the experts at this stage alongside the ESR.

Where appropriate, the experts examining the proposal at this stage may include experts specialised in ethical issues.

## Submission to the Ethical Review (ER) panel

The CSJU may decide to submit any of the proposals proposed for funding to a specific ethical review panel, taking account of any EIR (see above), and of any other screening operation that may be undertaken by experts. Projects raising the specific ethical issues of research intervention on human beings; research on human embryos and human embryonic stem cells and non-human primates are automatically submitted for ethical review.

## Composition of the Ethical Review (ER) panel

The ER panel is composed of experts from different disciplines such as law, sociology, psychology, philosophy and ethics, medicine, molecular biology, veterinary science with a reasonable balance of scientific and non-scientific members. The panels are transnational.

Representatives of civil society may be invited.

The experts are bound to the CSJU requirements concerning conflicts of interest and confidentiality as defined in subsection 4.4 and section 9.

**Review phase**

The experts individually read the proposals, and then meet as an ethical review panel to discuss and arrive at a consensus. The panel produces an Ethical Review report. The Ethical Review report includes the list of the different ethical issues, an account of the way the issues are handled by the applicants and the recommendations of the ER panel. The report is signed by the experts of the ER panel.

In case no consensus can be reached, the report reflects the opinion of the majority of the ER panel.

**Ethical Review report**

The applicants are informed of the outcome of the ethical review through the Ethical Review report. This is sent without the signatures of the experts.

The Ethical Review report may indicate the need to organise a follow up review at a later stage of the project.

In its decision to fund a project the CSJU takes into account the results of the ethical review. This may entail changes in annex 1 of the project grant agreement following negotiation, or in extreme cases, termination of negotiations.

# 8 Handling Security Sensitive RTD Actions

## Introduction

Special procedures will apply to security-related research, due to the sensitive nature of the subjects addressed, and the particular capability gaps that need to be addressed to protect Europe's citizens. RTD actions will be classified if they are considered as sensitive.

## Identification of potential classified RTD Actions

A security-sensitive RTD action is an action that may need to handle classified information.

A "security considerations" flag will be associated with a proposal:

- when the applicant declares a proposal as sensitive;
- if the expert evaluators or the CSJU Staff Representatives detect or suspect any of the following conditions:
  - Classified information is, or may be, used as background information
  - Some foreground is planned to be classified

Whenever a "security considerations" flag is associated with a proposal, the circumstances of the planned work will be further scrutinised according to the procedure described below.

In general proposals must identify – if needed - the background required for carrying the RTD action and the classified foreground that will be produced by the action. In the case of a proposal involving classified information (background and/or foreground), a Security Aspect Letter (SAL) and its annexed Security Classification Guide (SCG) must be part of the proposal.

The SCG will cover:

- The level of classification of background and foreground;
- Which participant will have access to what information;

In addition, the following documents will be requested:

- A copy of the Facility Security Clearances (FSC) (or the FSC requests). The validity of the FSC will be checked by the CSJU through the appropriate formal channel with the National Security Authorities (NSAs) involved;
  - Formal written authorization by the relevant security authorities to use the classified background;
- The SAL and the SCG, accompanied by supporting documents, will also be examined in the scrutiny procedure described below.

## Scrutiny of potential classified RTD Actions

Any RTD action which has the flag "security considerations", will undergo a scrutiny procedure before entering negotiation. This will be performed by an ad-hoc committee, the "Security Scrutiny Committee", of representatives of the competent national security authorities, supported if appropriate by representatives of the relevant programme committee, in a configuration representing the countries of the proposal participants. This committee is chaired by a representative of the CSJU.

This Committee will verify if all security aspects are properly taken into account by the applicants. Proposals will be scrutinised by Committee members from the same countries as the proposal participants.

This process should reach a common position between the concerned national representatives resulting in one of the following recommendations:

- Classification is not required: negotiation of the RTD action can be start (though some recommendations for negotiations may be issued, if relevant);

– Classification is required: specific recommendations for the negotiation are given and the negotiation will be subject to certain conditions to be met in the Grant Agreement. The RTD action will become a Classified RTD Action and will be classified at the level of the highest classification of the information used/produced by the RTD action as indicated in the SAL and its annexed SCG.

– The proposal is too sensitive to be financed because the participants do not have the appropriate experience, skills or permissions to handle properly the classified information. In that case, the proposal may be rejected. If so, the CSJU will explain the reasons of rejection.

Based on this common position, the CSJU will determine the level of classification. As a result, the CSJU, together with all the relevant National Security Authorities (NSAs), will then verify, during negotiation and implementation of grants, that all the necessary procedures and actions are put in place in order to guarantee that classified information is dealt with in the appropriate way.

### **Export & Transfer Licences**

In addition, a proposal may also be considered as sensitive, independently of any security classification, if it plans to exchange material subject to transfer or export licensing. If export licences (or intra EU licences) are required for carrying the planned work, applicants must clarify the requirement to have such export or transfer licences and must provide a copy of export or transfer licences (or of the requests);

### **International cooperation**

Security concerns can not be invoked as a reason for the rejection of proposals for non-classified RTD actions that entail the participation of entities from a third country. The only exceptions to this will occur if:

- The Topic was described in the work programme as not open to international cooperation: in that case any proposal containing international cooperation will be declared as ineligible;
- The "security considerations" flag has been raised, in which case the proposal will be scrutinised according to the procedure described above.

**9 Appointment letters for Internal ITD Experts,  
External Experts and Independent Observers**