



**Preparatory Action:  
European Fellowship Scheme for Researchers  
at Risk**

Call for proposals

PPPA-RI-2023-FELLOWSHIPS-RR

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## EUROPEAN RESEARCH EXECUTIVE AGENCY (REA)

REA.A – Marie Skłodowska-Curie Actions & Support to Experts  
A.4 – MSCA and Citizens, COFUND and Support Activities

### CALL FOR PROPOSALS

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## 1. INTRODUCTION – BACKGROUND

The European Commission adopted, on 20 March 2023, the 2023 Annual Work Programme for the Pilot Projects and Preparatory Actions (AWP PPPA) in the area of Sport, Culture, Research and Innovation,<sup>1</sup> which includes a Preparatory Action (PA) European Fellowship Scheme for Researchers at Risk. Its aim is to develop a suitable structure for a fellowship scheme for researchers at risk. The PA will contribute to the EU priorities under the European Research Areas (ERA) on fundamental values and academic freedom, notably but not restricted to the work under the ERA Policy Agenda Action 6 on academic freedom.

## 2. OBJECTIVES AND DESCRIPTION OF THE ACTION

This action will pilot a European Fellowship Scheme to support Researchers at Risk by **establishing, testing and validating procedures for the selection of researchers** (assessing their risk and awarding them the fellowship) and for **matching researchers with host institutions in the EU**. The action will contribute to enhancing support for researchers at risk to continue their work in a safe environment, whether academic or non-academic.

### **Fellowship scheme for researchers at risk**

To validate the established procedures, the PA will award fellowships to researchers at risk in two tracks, with around 15 fellowships in each track:

- Track 1: Urgent placements for non-EU researchers at risk (outside the refugee process) who are facing threats in their country of residence or have recently fled their country of residence due to such threats, and have neither refugee nor subsidiary protection status.
- Track 2: Non-EU refugee researchers and follow-up placements for at-risk candidates outside the refugee process – i.e. researchers with recognised refugee or subsidiary protection status; or researchers outside the refugee process holding or applying for temporary permits/visas

The evaluation and selection procedures of researchers will follow a set of criteria for the assessment and validation of researchers' risk (type, level, authenticity, etc.), background, research and work portfolio (quality and excellence), asylum/refugee status, and any other relevant assessment criteria. The evaluation and selection criteria will be an important part of the proposal developed by the applying consortium and they should be based on the consortium's prior experience in evaluation and vetting procedures for at risk researchers. Experience of comparable national and international programmes should be considered.

Researchers may come from all domains of research and innovation. Their proposals must be in line with the objectives and principles of scientific excellence, skills and career development, inter-sectoral mobility, equal opportunities and inclusiveness, attractive working conditions, work/life balance, while fostering open science, innovation and entrepreneurship.

Applicant researchers can be either doctoral candidates (enrolled in a doctoral programme leading to the award of a doctoral degree) or postdoctoral researchers (in possession of a doctoral degree).

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<sup>1</sup> Commission implementing decision C(2023) 1704

### **The beneficiary and third parties hosting researchers at risk**

The beneficiary of this Preparatory Action will report to the European Research Executive Agency and will be responsible for the implementation of the fellowship scheme:

- its overall management,
- establishing, testing and validating the procedures and criteria for the evaluation and selection of researchers at risk,
- the implementation of the proposed scheme to match selected researchers with potential hosts, in cases when researchers have not yet identified a potential host organisation.

Eligible third parties that will host researchers are principally academic or non-academic research organisations established in an EU Member State. Other organisations, including those established in non-EU countries can host researchers for short-term secondments.

### **Expected results**

At the level of **project**, the expected results include:

- Establishing, testing and validation of the proposed selection and matchmaking procedures through a small-scale fellowship scheme.
- The award of (around) 30 fellowships for researchers at risk,
- Ensuring the follow-up and overall sound management of the project.

At the level of **individual researchers**, the following outcomes are expected *inter alia*:

- New research and transferable skills and competences, leading to improved employability and career prospects within and outside academia.
- New knowledge allowing the conversion of ideas into products and services, where relevant.
- Enhanced networking and communication capacities with scientific peers, as well as with the general public that will increase and broaden the research and innovation impact.
- Building long-lasting collaborative links with EU counterparts.

## **3. ADMISSIBILITY CONDITIONS**

### **Admissibility**

Applications must be submitted before the **call deadline**.

Applications must be submitted **electronically** via the Funding & Tenders Portal Electronic Submission System (accessible via the topic page in the [Search Funding & Tenders](#) section).

Paper submissions are NOT accepted.

Applications must be submitted using the forms provided inside the Electronic Submission System (not the documents available on the topic page — they are for information purpose only).

The structure and presentation of the proposal must correspond to the instructions given in the templates.

Applications must be **complete** and contain all parts and mandatory annexes and supporting documents (*see section 8 of this call*).

Applications must be readable, accessible and printable.

Applications must include a **plan for the exploitation and dissemination of results including communication activities**.

If the expected exploitation of the results entails developing, creating, manufacturing and marketing a product or process, or creating and providing a service, the plan must include a strategy for such exploitation. If the plan provides for exploitation of the results primarily in non-EU countries, the legal entities must explain how that exploitation is still to be considered in the EU's interest.

### **Page limits**

In addition to the above admissibility conditions, page limits will apply to parts of applications. The page limits and sections subject to limits will be clearly shown in the application templates in the Funding & Tenders Portal electronic submission system.

The page limit of the application is **30 pages** (excluding annexes).

If an application exceeds the limits, there will be an automatic warning and invitation to re-submit a version that conforms. After the call deadline, excess pages will be automatically made invisible, and will not be taken into consideration by the evaluators.

## **4. ELIGIBILITY CONDITIONS**

### **Entities eligible to participate**

To be eligible, consortia must meet the following criteria:

- Consist of a minimum of three organisations (e.g. higher education institutions, research organisations, civil society organisation/non-governmental organisations) from three different EU Member States
- Have demonstrable experience in managing international fellowship programmes
- All members of the consortia have a registered legal office in one of the EU Member States.
- Have demonstrable experience in managing international projects
- Have demonstrable experience in the field(s) relevant to this call for proposals – support for researchers at risk, migration, human rights, academic freedom (at national, EU or international level), higher education/research, international cooperation.

Beneficiaries and affiliated entities must register in the [Participant Register](#) before submitting their application in order to get a Participant Identification Code (PIC) and be validated by the Central Validation Service before grant agreement signature. For the validation, they will be requested to upload the necessary documents showing legal status and origin during grant preparation.

*Specific cases:*

**Affiliated entities** — are entities with a legal or capital link to a beneficiary which participate in the action with similar rights and obligations to the beneficiaries, but which do not sign the grant agreement and therefore do not become beneficiaries themselves,

**Associated partners** — are entities which participate in the action, but without the right to charge costs or claim contributions. They contribute to the implementation of the action, but do not sign the grant agreement. Only associated partners established in EU Member States are eligible to participate.

For more information, see [Rules for Legal Entity Validation, LEAR Appointment and Financial Capacity Assessment](#).

### **Entities eligible for financial support to third parties**

To become a beneficiary of financial support to third parties, legal entities must be eligible for funding.

To be eligible for funding, applicants must be established in one of the Member States of the European Union.

International research organisations are deemed to be established in a Member State other than the ones in which the other legal entities participating in the action are established.

### **Eligible activities**

Eligible activities are those described in the call conditions and 2023 Annual Work Programme for Pilot Projects and Preparatory Actions of DG EAC.

The following conditions must be fulfilled:

- projects must publish their open calls widely and adhere to EU standards of transparency, equal treatment, conflict of interest and confidentiality;
- all calls for third parties and all calls that are implemented by third parties must be published on the beneficiaries' websites;
- the calls must remain open for at least two months;
- if submission deadlines are changed, this must be announced immediately and registered applicants must be informed of the change;
- projects must publish the outcome of the calls without delay, including a description of third party projects, the date of the award, duration, and the legal name and country;
- the calls must have a clear European dimension.

Further conditions may be stipulated in the specific conditions for the topic.

Supported researchers must focus exclusively on civil applications and must not:

- aim at human cloning for reproductive purposes.
- intend to modify the genetic heritage of human beings which could make such changes heritable (except for research relating to cancer treatment of the gonads, which may be financed).
- intend to create human embryos solely for the purpose of research, or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.

Projects must comply with EU policy interests and priorities (environment, social, security, industrial policy, etc.).

### **Ethics**



The supported researchers must comply with ethical principles (including the highest standards of research integrity) and applicable EU, international and national law. The consortium should detail how it intends to evaluate research ethics as part of its application.

### **Gender Equality Plans and gender mainstreaming**

The applying organisations are strongly encouraged to have a gender equality plan and/or gender-related consideration in their organisational practice (e.g. gender balance in leadership and decision-making, recruitment, career progression). They are also encouraged to consider the gender dimension in the selection of the hosted researchers.

### **Financial support to third parties**

Since the specific call conditions allow for financial support to third parties, the applicants must clearly describe how they plan to evaluate any proposals by third parties (i.e. host organisations) applying for funding and how the calls will be managed, the objectives and the expected results, following the elements listed in the application template.

## **5. AVAILABLE BUDGET**

Indicative budget for this action is 6 000 000 EUR. This amount may be increased, should there be additional resources provided for by the budgetary authority.

Number of projects expected to be funded: 1

## **6. FINANCIAL AND OPERATIONAL CAPACITY AND EXCLUSION**

### **Financial capacity**

Applicants must have **stable and sufficient resources** to successfully implement the project and contribute their share. Organisations participating in several EU-funded projects must have sufficient capacity to implement all these projects.

The financial capacity check will be done on the basis of the documents uploaded in the [Participant Register](#) during the grant preparation stage (e.g. profit and loss account and balance sheet, business plan, audit report produced by an approved external auditor, certifying the accounts for the last closed financial year, etc.). The analysis will be based on neutral financial indicators, but will also take into account other aspects, such as dependency on EU funding and deficit and revenue in previous years.

If needed, it may also be done for the other applicants, including affiliated entities. If the financial capacity is structurally guaranteed by another legal entity, the financial capacity of that legal entity will be verified.

If the granting authority considers that the financial capacity is not satisfactory, they may require:

- further information;
- an enhanced financial responsibility regime, i.e. joint and several responsibility of affiliated entities (see Section 10 below); and
- prefinancing paid in instalments;

or

- propose no prefinancing;
- request that the applicant concerned is replaced or, if needed, reject the entire proposal.

For more information, see [Rules on Legal Entity Validation, LEAR Appointment and Financial Capacity Assessment](#).

### **Operational capacity**

Applicants must have the **know-how, qualifications and resources** to successfully implement their tasks in the project and contribute their share (including, when appropriate, sufficient experience in EU/transnational projects of comparable size).

This assessment of operational capacity will be carried out during the evaluation of the award criterion ‘Quality and efficiency of the implementation’. It will be based on the competence and experience of the applicants and their project teams, including their operational resources (human, technical and other) or, exceptionally, the measures proposed to obtain the necessary competence and experience by the time the tasks are implemented.

If the evaluation of this award criterion leads to a score above the applicable threshold, then the applicants are considered to have sufficient operational capacity.

For this assessment, applicants will be required to provide the following information in the application form:

- description of the consortium participants; and
- for each participant:
  - up to five most relevant publications, widely-used datasets, software, goods, services, or any other achievements relevant to the call content;
  - up to five most relevant previous projects or activities, connected to the subject of this proposal; and
  - description of any significant infrastructure and/or any major items of technical equipment, relevant to the proposed work.

Additional supporting documents may be requested if they are needed to confirm the operational capacity of any applicant.

Public bodies, Member State organisations and international organisations are exempted from the operational capacity check.

### **Exclusion**

Applicants that are subject to **EU administrative sanctions** (i.e. exclusion)<sup>2</sup> or are in one of the following **exclusion situations**<sup>3</sup> that bar them from receiving EU grants can NOT participate:

- bankruptcy, winding up, affairs administered by the courts, arrangement with creditors, suspended business activities or other similar procedures (including procedures for persons with unlimited liability for the applicant’s debts);

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<sup>2</sup> See Article 136 EU Financial Regulation [2018/1046](#).

<sup>3</sup> See Articles 136 and 141 EU Financial Regulation [2018/1046](#).

- they are in breach of social security or tax obligations (including if done by persons with unlimited liability for the applicant's debts);
- they are guilty of grave professional misconduct (including if done by persons having powers of representation, decision-making or control, beneficial owners or persons who are essential for the award/implementation of the grant);
- they are guilty of fraud, corruption, having links to a criminal organisation, money laundering, terrorism-related crimes (including terrorism financing), child labour or human trafficking (including if done by persons having powers of representation, decision-making or control, beneficial owners or persons who are essential for the award/implementation of the grant);
- they have shown significant deficiencies in complying with their main obligations under an EU procurement contract, grant agreement, prize, expert contract, or similar (including if done by persons having powers of representation, decision-making or control, beneficial owners or persons who are essential for the award/implementation of the grant);
- they are guilty of irregularities within the meaning of Article 1(2) of Regulation No [2988/95](#)<sup>4</sup> (including if done by persons having powers of representation, decision-making or control, beneficial owners or persons who are essential for the award/implementation of the grant); or
- they have created under a different jurisdiction an entity with the intent to circumvent fiscal, social or other legal obligations in the country of origin or created another entity with this purpose (including if done by persons having powers of representation, decision-making or control, beneficial owners or persons who are essential for the award/implementation of the grant).

Applicants will also be refused if they have<sup>5</sup>:

- misrepresented the information required as a condition for participating in the procedure or have failed to supply that information; or
- were previously involved in the preparation of documents used in the award procedure where this entails a breach of the principle of equality of treatment, including distortion of competition, that cannot be remedied otherwise

## 7. AWARD CRITERIA

- Proposals will be evaluated by the evaluation committee on the basis of the award criteria 'excellence', 'impact' and 'quality and efficiency of the implementation'
- Specific attention will be paid to the soundness of the proposed methodology for the selection and award procedures, in particular: assessing and ranking the scope and severity of risk, balancing the gravity of risk and the excellence of the applicant researcher's profiles, considering the different legal statuses of researchers in the two tracks (within/outside refugee, asylum or similar protection status), teaching/research experience and language proficiency. Review procedures should be included in the proposed methodology.
- Evaluation scores will be awarded for each of these criteria, and not for the different aspects listed in the table below. Each criterion will be scored out of 5 in steps of 0.5.

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<sup>4</sup> Council Regulation (EC, Euratom) No 2988/95 of 18 December 1995 on the protection of the European Communities financial interests, (OJ L 312, 23.12.1995, p. 1).

<sup>5</sup> See Article 141 EU Financial Regulation [2018/1046](#).

The threshold for individual criteria will be 3. The overall threshold, applying to the sum of the three individual scores, will be 10.5.

- Proposals that pass the individual threshold AND the overall threshold will be considered for funding, within the limits of the available call budget. Other proposals will be rejected.

Table 1 – award criteria and allocated weighting per criterion

Excellence (30%)	Impact (40%)	Quality of implementation (30%)
Clarity and pertinence of the project’s objectives	Credibility of the expected outcomes and impacts specified in the Annual Work Programme for PPPA, and the likely scale and significance of the contribution from the project	Quality and effectiveness of the work plan, assessment of risks, and appropriateness of the effort assigned to work packages, and the resources overall
Quality of the proposed coordination and support measures, including soundness of the methodology	Suitability and quality of the measures to maximise expected outcomes and impacts, as set out in the dissemination and exploitation plan, including communication activities	Capacity and role of each participant, and the extent to which the consortium as a whole brings together the necessary expertise

## 8. DOCUMENTS

### Submission

All proposals must be submitted **electronically** via the Funders & Tenders Portal electronic submission system (accessible via the topic page in the [Search Funding & Tenders](#) section). Paper submissions are NOT accepted.

Proposals must be **complete** and contain all parts and mandatory annexes and supporting documents, e.g. plan for the exploitation and dissemination of the results including communication activities, etc.

The applications must be submitted in English.

The application form has two parts:

- **Part A** (to be filled in directly online) contains administrative information about the applicant organisations (future coordinator and beneficiaries and affiliated entities), the summarised budget for the proposal and call-specific questions;
- **Part B** (to be downloaded from the Portal submission system, completed and then assembled and uploaded as a PDF in the system) contains the technical description of the project.

Annexes and supporting documents must be uploaded as PDF files. Proposals should stay as close as possible to the award criteria (see Section 7 above).

When submitting the proposal, the coordinator must confirm that they have the mandate to act for all applicants. Moreover, they must confirm that the information in the application is correct and complete and that all participants comply with the conditions for receiving EU funding (especially eligibility, financial and operational capacity, exclusion, etc.). Before signing the grant, each participant must confirm this again by signing a declaration of honour. Proposals not complying with these requirements will be rejected.

Applicants may be asked at a later stage for further documents (for legal entity validation, financial capacity check, bank account validation, etc.).

## 9. PROCEDURE

### **Evaluation procedure and ranking**

This call is subject to a **single-stage submission** procedure. The evaluation procedure may be organised in one (standard) or several steps.

All proposals will be checked for formal requirements (admissibility and eligibility) and then evaluated by an evaluation committee composed of independent external experts and representatives of EU institutions for operational capacity and award criteria (see Sections 7 and 8 above) and then ranked according to their quality score.

When the total scores of two or more proposals are equal (*ex aequo*), the priority order will be established as follows:

1) The proposals will be prioritised according to the Impact criterion score. When these scores are equal, priority will be based on the Excellence criterion score.

2) If a distinction still cannot be made, the panel may decide to further prioritise by considering other factors such as participation of the non-academic sector (including involvement of SMEs), synergies with other similar projects or programmes, gender and other diversity aspects proposed activities, geographical diversity, international cooperation or favourable working/secondment conditions. These factors will be documented in the panel report.

At the end of the evaluation, all applicants will be informed of the result in an evaluation result letter. The successful proposal will be invited to the next stage, ‘grant preparation’; the other proposals will be rejected.

No commitment to provide funding — Invitation to the grant preparation stage does NOT constitute a formal commitment to funding. Various legal checks are still needed before the grant can be awarded, such as legal entity validation, financial capacity, exclusion check, etc.

Budget flexibility — the budgets set out in the call is indicative. Unless otherwise stated, final budget may change following evaluation. The final figures may change by up to 20% compared to the total budget indicated in each individual budget item in the proposal. Changes within these limits will not be considered substantial within the meaning of Article 110(5) of Regulation (EU, Euratom) No 2018/1046.

### **Evaluation review procedure**

If the consortium believes that the evaluation procedure was flawed, the coordinator can submit a **complaint** (following the deadlines and procedures also set out in the evaluation result letter).

Only the procedural aspects of an evaluation may be the subject of a request for an evaluation review. The evaluation of the merits of a proposal will not be the subject of an evaluation review.

A request for an evaluation review must relate to a specific proposal and must be submitted within 30 days after the beneficiary accesses the evaluation results. The maximum size limit of the request is 5 000 characters. Notifications of evaluation results which have not been

opened in the Funding & Tenders Portal within 10 days after sending are considered to have been accessed and that deadlines will be counted from the date of opening/access (see also [Funding & Tenders Portal Terms and Conditions](#)).

An evaluation review committee will provide an opinion on the procedural aspects of the evaluation. The evaluation review committee may recommend a re-evaluation of the proposal, to be carried out by evaluators who were not involved in the previous evaluation, or a confirmation of the initial evaluation.

**Indicative timetable for evaluation and for signature of the grant agreement**

The timing for the opening of the call, evaluation and grant preparation is as follows:

Table 2 – indicative timeline of the call

	<b>Steps</b>	<b>Indicative date</b>
(a)	Call opening	28 June 2023
(b)	Deadline for submitting applications	07 September 2023
(c)	Evaluation period	September -October 2023
(d)	Informing applicants	November 2023
(e)	Signature of the grant agreement	December 2023

**10. LEGAL AND FINANCIAL SET-UP OF THE GRANT AGREEMENTS**

During the grant preparation stage, the consortium will be asked to prepare the grant agreement, together with the responsible project officer. This grant agreement will set out the framework for the grant and its terms and conditions, particularly concerning deliverables, reporting and payments. The applicable model with the complete text of the provisions is available on the topic page, together with the other call documentation.

**Starting date & project duration**

The project starting date and duration will be fixed in the grant agreement. Normally, the starting date will be after the grant has been signed. A starting date before the date the grant is signed (retroactive) can be granted exceptionally for duly justified reasons, if agreed with the granting authority.<sup>6</sup>

The project duration will be up to 36 months with the possibility of extension for up to 18 months.

**Milestones and deliverables**

The milestones and deliverables for each project are reflected in Annex 1 of the grant agreement. The standard deliverables will be set out in the specific call conditions.

**Form of grant, funding rate and maximum grant amount**

The grant will fund the piloting - development and management - of a fellowship scheme for researchers at risk, including the award of around 30 fellowships of up to 2 years.

The grant will be awarded to a consortium of organisations (beneficiaries) responsible for the management of the fellowship scheme. The beneficiary of this Preparatory Action, i.e. the

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<sup>6</sup> See Article 193 EU Financial Regulation [2018/1046](#).

consortium selected through this call for proposals, will report to the European Research Executive Agency and be responsible for the implementation of the fellowship scheme: its overall management, establishing, testing and validating the selection and evaluation procedures and guidelines for researchers at risk, and the implementation of the proposed matchmaking scheme to link selected researchers with potential hosts.

This Preparatory Action will be based on cascade funding. The beneficiary of the Preparatory Action will provide financial support to third parties in the form of unit contributions to fund individual fellowships on the basis of the rates indicated in Table 3.

Eligible third parties that will recruit researchers include any academic or non-academic research organisations established in an EU Member State. Organisations established in non-EU countries can host researchers for short-term secondments.

The invitation and the conditions for third parties to apply for funding will be published on the beneficiaries' websites. The beneficiaries will ensure the calls and their evaluation adhere to EU standards with respect to transparency, equal treatment, conflict of interest and confidentiality.

Eligible organisations that will host researchers should be guided by the general principles and requirements reflected in The European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers.

The duration of each individual fellowship is to be determined by the beneficiaries in agreement with the recruiting organisations, with a maximum duration of 2 years.

The grant parameters (maximum grant amount, funding rate, total eligible costs, etc.) will be fixed in the grant agreement.

The project budget is provided in EUR. The amount of the grant awarded may be lower than the amount requested.

The costs will be reimbursed at the funding rate fixed in the specific call conditions and in the grant agreement.

Such grants may NOT produce a profit. If there is a profit (i.e. surplus of revenues + EU grant over costs), it will be deducted from the final grant amount.

Moreover, the final grant amount may be reduced in case of non-compliance (e.g. improper implementation, breach of obligations, etc.).

The maximum funding rate for this action is 100%. The unit cost contributions for the third parties in this action are as follows:

Table 3 – unit contributions for recruited researchers and hosting institutions

Contributions for recruited researchers per person month				Institutional unit contributions per person month for	
Salary cost contribution	Mobility contribution	Family cost contribution	Special Needs Allowance <sup>7</sup> (if applicable)	Research Training and networking	Management and indirect contribution

<sup>7</sup> The special needs allowance contributes to the additional costs for the acquisition of special needs items and services for researchers with disabilities, whose long-term physical, mental, intellectual or sensory impairments<sup>111</sup> are certified by a competent national authority, and of such nature that their participation in the

			n (if applicable)		contribution	
Doctoral Fellow	EUR 3400	EUR 600	EUR 660	Requested unit <sup>8</sup> x (1/number of months)	EUR 1000	EUR 650
Postdoctoral Fellow	EUR 5080					

### **Budget categories and cost eligibility rules**

The budget categories and cost eligibility rules are fixed in the grant agreement (see Data Sheet, point 3 and Article 6).

Budget categories:

- actual costs (i.e. costs which are real and not estimated or budgeted) for:
- personnel costs;
- subcontracting costs;
- purchase costs; and
- costs of providing financial support to third parties

### **Reporting and payment arrangements**

The reporting and payment arrangements are fixed in the grant agreement (*Data Sheet, point 4 and Articles 21 and 22*).

After the grant has been signed, the consortium will receive a prefinancing payment to start working on the project (normally 50% of the total grant amount);

If a prefinancing guarantee is required, it will be fixed in the Grant Agreement (Data Sheet, point 4). The amount will be set during grant preparation and it will normally be equal or lower than the prefinancing for the grant. The guarantee will be released at the end of the grant, in accordance with the conditions laid down in the Grant Agreement.

Payments will be automatically lowered if one of the consortium members has outstanding debts towards the EU (granting authority or other EU bodies). Such debts will be offset by the granting authority, in line with the conditions set out in the grant agreement (*see Article 22*).

There will be one or several interim payments linked to a periodic report, depending on the duration of the project.

At the end of the project, the consortium will be invited to submit a report on the basis of which the final grant amount will be calculated. If the total of earlier payments is higher than the final grant amount, the beneficiaries concerned (or the coordinator) will be asked to pay back the difference (recovery).

### **Certificates**

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action may not be possible without them (e.g. assistance by third persons, adaptation of work environment, additional travel/transportation costs). These special needs items or services must not have been funded from another source (e.g. social security or health insurance).

<sup>8</sup> The pre-defined categories are as follows: EUR 3 000, EUR 4 500, EUR 6 000, EUR 9 500, EUR 13 000, EUR 18 500, EUR 27 500, EUR 35 500, EUR 47 500 and EUR 60 000.



Depending on the size of the grant amount and on the type of beneficiaries, beneficiaries may be required to submit a certificate on the financial statements. The thresholds for this certificate are fixed in the grant agreement.

### **Liability regime for recoveries**

The liability regime for recoveries is that of individual financial responsibility. Each beneficiary is liable only for their own debt (and those of its affiliated entities, if any) (*Data Sheet point 4.4 and Article 22*).

Provisions concerning project implementation

- Proper implementation of the action (*Article 11*).
- Conflict of interest (*Article 12*).
- Confidentiality and security (EU classified information) (*Article 13 and Annex 5*).
- Ethics (research integrity) and values (gender mainstreaming) (*Article 14 and Annex 5*).
- Data protection (*Article 15*).
- Intellectual Property Rights (IPR), background and results, access rights and rights of use (*Article 16 and Annex 5*). In addition to the standard provisions, the following specific provisions in the model grant agreement will apply to all grants awarded under this work programme:

**Additional exploitation obligations in case of a public emergency:** If requested by the granting authority, beneficiaries must grant non-exclusive licences to their results – for a limited period of time specified in the request and on fair and reasonable conditions – to legal entities that need the results to address the public emergency. These legal entities must commit to rapidly and broadly exploiting the resulting products and services on fair and reasonable conditions. This provision will apply up to 4 years after the end of the action.

**Additional information obligation relating to standards:** Unless stated otherwise in the specific call conditions, beneficiaries must, up to 4 years after the end of the action, inform the granting authority if the results could reasonably be expected to contribute to European or international standards.

**Granting authority right to object to transfers or licensing:** The granting authority may, up to 4 years after the end of the action, object to a transfer of ownership or to the exclusive licensing of results, as set out in the specific provision of Annex 5

**Communication, dissemination, open science and visibility** (*Article 17 and Annex 5*).

In addition to the standard provisions, the following specific provisions in the model grant agreement will apply to all grants awarded under this work programme:

**Open science - additional practices, validation of scientific publications:** Beneficiaries must provide (digital or physical) access to data or other results needed to validate the conclusions of scientific publications, to the extent that their legitimate interests or constraints are safeguarded (and unless they already provided the (open) access at publication).

**Open science - additional practices, public emergency:** In case of a public emergency, if requested by the granting authority, beneficiaries must immediately deposit any research output in a repository and provide open access to it under a CC BY licence, a public domain dedication (CC 0) or equivalent.

As an exception, if providing open access would be against the beneficiaries' legitimate interests, the beneficiaries must grant non-exclusive licences, on fair and reasonable conditions, to legal entities that need the research output to address the public emergency. These legal entities must commit to rapidly and broadly exploiting the resulting products and services on fair and reasonable conditions. This exception is limited to 4 years after the end of the action.

- Specific rules for carrying out the action (*Article 18 and Annex 5*).

Other provisions may be set out in the specific call conditions.

#### **Non-compliance and breach of contract**

The grant agreement (Chapter 5) provides for the measures that may be taken in case of breach of contract (and other violations of law).

For more information, see the [AGA — Annotated Grant Agreement](#).

## **11. PUBLICITY**

### **By the beneficiaries**

Beneficiaries must clearly acknowledge the European Union's contribution in all publications or in conjunction with activities for which the grant is used.

In this respect, beneficiaries are required to give prominence to the name and emblem of the European Commission on all their publications, posters, programmes and other products realised under the financed project.

To do this they must use the text, the emblem and the disclaimer available at [https://ec.europa.eu/info/resources-partners/european-commission-visual-identity\\_en](https://ec.europa.eu/info/resources-partners/european-commission-visual-identity_en).

If this requirement is not fully complied with, the beneficiary's grant may be reduced in accordance with the provisions of the grant agreement.

### **By the Commission**

With the exception of scholarships paid to natural persons and other direct support paid to natural persons in most need, all information relating to grants awarded in the course of a financial year shall be published on an internet site of the European Union institutions no later than the 30 June of the year following the financial year in which the grants were awarded.

The Commission will publish the following information:

- name of the beneficiary;

- address of the beneficiary as defined on NUTS 2 level<sup>9</sup>
- subject of the grant;
- amount awarded.

Upon a reasoned and duly substantiated request by the beneficiary, the publication shall be waived if such disclosure risks threatening the rights and freedoms of individuals concerned as protected by the Charter of Fundamental Rights of the European Union or harm the commercial interests of the beneficiaries.

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<sup>9</sup> Commission Regulation (EC) No 105/2007 of 1 February 2007 amending the annexes to Regulation (EC) No 1059/2003 of the European Parliament and of the Council on the establishment of a common classification of territorial units for statistics (NUTS), OJ L39, 10.2.2007, p.1.