GUIDE FOR APPLICANTS

Marie Curie Actions
People

Marie Curie Industry-Academia Partnerships and Pathways

Call identifier FP7-PEOPLE-2009-IAPP
Closure Date: 27 July 2009 at 17:00 (Brussels local time)

Further copies of this Guide, together with all information related to this call for proposals, can be downloaded from the following web-site: http://cordis.europa.eu/

Edition: April 2009

Foreword

This is version number 1 of the Guide for Applicants for the call:

FP7-PEOPLE-2009-IAPP

The main changes made since the 2008 call Guide are:

- The nationality rule, that excluded researchers from participating in training and transfer of knowledge actions in their country of nationality, has been removed in the 2009 People Work Programme, leaving as the sole eligibility concept trans-national mobility. These changes have been reflected in this Guide.
- From a financial point of view, the 2009 People Work Programme has adapted the salary rates to the EU average inflation, and updated the country specific correction factors. These changes have been reflected in this Guide.
- In the 2009 People Work Programme the structure of the Community contribution has been simplified – category F – organisation of international conferences, workshops and events – has been merged with the category E budget – training and transfer of knowledge. These changes have been reflected in this Guide.
- The use of Participant Identification Code (PIC) in electronic proposal preparation and submission has been explained in this Guide.
- A glossary has been added, including e.g. clarification on the role of LEAR, URF, and PIC.
- The section on the specific IAPP requirements has been expanded in order to give greater guidance to potential applicants and minimize ambiguity (exchange of staff between commercial and non-commercial sectors only; eligibility of staff members for secondment; need to indicate small equipment for SMEs in the proposal).
- Recalibration of the 0-5 evaluation scores has been included, based on experience of FP6 and in line with other FP7 Programmes.
- Information on ethical issues in Annex 4 has been updated and rearranged.
- Example of the IAPP budget calculation has been moved to Annex 6.
- The Research Executive Agency has been mentioned for the follow-up of this call.

About this Guide

This Guide explains the principles of
Marie Curie Industry-Academia Partnerships and Pathways (IAPP)
to be funded under the EU's Seventh Framework Programme.

Similar documents are available for the other
Marie Curie Actions namely:

Marie Curie Initial Training Networks (ITN)
Marie Curie Intra-European Fellowships for Career Development (IEF)
Marie Curie European Re-integration Grants (ERG)
Marie Curie Co-funding of Regional, National, and International Programmes (COFUND)
Marie Curie International Outgoing Fellowships for Career Development (IOF)
Marie Curie International Incoming Fellowships (IIF)
Marie Curie International Re-integration Grants (IRG)
Marie Curie Awards (AWARDS)
Marie Curie International Research Staff Exchange Scheme (IRSES)

The structure required for a proposal, and the rules which will govern its evaluation, vary according to the type of action and may also vary from call to call. It is therefore important to ensure that you are using the right guide.

Please check that this is the right guide for you by consulting the Work programme, the call text and the description of the Marie Curie Action in section 2.

Please note: This Guide is based on the rules and conditions contained in the legal documents relating to FP7 (in particular the Seventh Framework Programme, Specific Programmes, Rules for Participation, and the Work programmes), all of which can be consulted via the CORDIS web-site. The Guide does not in itself have legal value, and thus does not supersede those documents.

IMPORTANT: *After the Research Executive Agency (REA) becomes fully operational, the implementation of the evaluation and subsequent follow-up of this call will be undertaken by the REA. At the time of publication of this Guide, this date is foreseen to be 16 June 2009 but is subject to revision.*

Contents

THE ESSENTIALS

What are Marie Curie Industry-Academia Partnerships and Pathways (IAPP)?

IAPPs are partnerships between non-commercial and commercial organisations active in research (including universities, large and small enterprises, manufacturing industries), based on a common research project and aiming to increase skills exchange between the two sectors.

Who can apply?

Proposals must include as a minimum one organisation from each sector. These organisations must be established in at least two different Member States or Associated Countries. More organisations from either sector can then be added. There is no pre-defined maximum number of participants.

Which research topics are supported?

There are no pre-defined priority areas. Research fields are chosen freely by the applicants and all domains of research and technological development addressed under the EC Treaty are eligible for funding (except areas of research covered by the EURATOM Treaty).

How does it work?

Proposals are submitted, evaluated against a series of predetermined criteria by international peer review and selected for funding, typically for 4 years.

Who can be appointed in an IAPP?

Research staff and technical & managerial staff of all levels of experience are eligible for secondments within the IAPP scheme. Furthermore experienced researchers are eligible for new recruitment by the IAPP partners.
For the mobility and nationality rules, please refer to the section 2.4 of this guide.
Available positions will be published by the partnership, notably on EURAXESS: http://ec.europa.eu/euraxess/index_en.cfm Applicants should contact the partnership directly.

What does the funding cover?

Support will be provided for:

- Exchange of know-how and experience through inter-sector secondments of research staff of the participants;
- Research and Networking activities;

optionally:

- Recruitment of experienced researchers from outside the partnership, for involvement in transfer of knowledge and/or training of researchers;
- For SMEs only: research equipment on a duly justified basis.

How to apply?

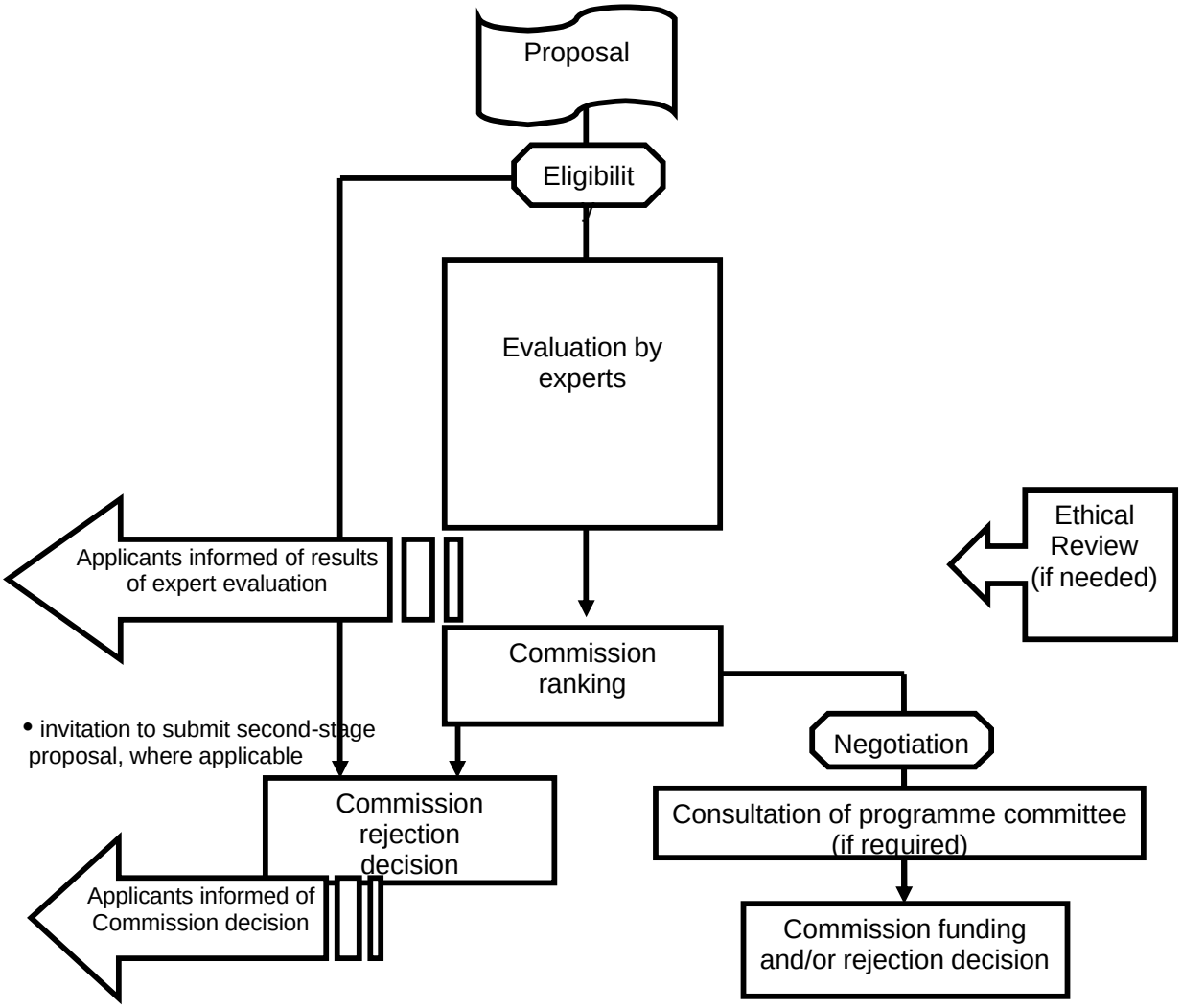
This Guide contains the essential information for you to prepare and submit a proposal within the **Marie Curie Industry-Academia Partnerships and Pathways** scheme. You should also consult the relevant legal documents (listed in the Annex 1 of this document) in order to better understand the evaluation process, rules of participation, contractual and financial issues, etc. Proposals are submitted electronically via the Commission's Electronic Proposal Submission Service (EPSS). Detailed instructions are available in this Guide.

1. Getting started

Funding decisions in the Seventh Framework Programme (FP7) are made on the basis of **proposals** submitted following **calls** published by the Commission. Proposals describe planned research, training or transfer of knowledge activities, information on who will carry them out, and how much they will cost. They must be submitted using a special web-based service before a strictly-enforced **deadline**. The Commission evaluates all 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 independent experts.

The Commission then **negotiates** with some or all of those whose proposals have successfully passed the evaluation stage, depending on the budget available. If negotiations are successfully concluded, **grant agreements** providing for an EU financial contribution are established with the participants.

The sequence of steps is summarised in this flow chart:



This **Guide for Applicants** contains the essential information to guide you through the mechanics of preparing and submitting a proposal.

You must also refer to the **"People" Work programme**. This provides a detailed description of the Marie Curie Actions, their objectives and scope, the eligibility criteria, the Community contribution

and the evaluation criteria. Work programmes are revised each year, so make sure you refer to the latest version before preparing your proposal.

> *Please check that this is the right guide for you by consulting the Work programme, the **call fiche**, and the description of the Marie Curie Action in the next section.*

This Guide and the Work programme are essential reading. However, you may also wish to consult other reference and background documents, particularly those relating to negotiation and the grant agreements, which are available on the Commission's CORDIS web site (see annex 1 to this guide).

2. About the Marie Curie Industry-Academia Partnerships and Pathways scheme

2.1. General aspects

Purpose

This action has been created on the basis of past experiences from the Marie Curie Host Fellowships for the Transfer of Knowledge, in particular the Industry-Academia Partnership Scheme (TOK-IAP).

The aim of the Marie Curie Industry-Academia Partnerships and Pathways Scheme (IAPP) is to foster co-operation between non-commercial research organisations and commercial entities based on joint research projects or programmes. These partnerships aim to stimulate long-term collaboration between the sectors and address the perceived or real barriers which inhibit movement of researchers between the public and private research domains.

The commercial enterprises taking part may be of all sizes: both large and small. Given their relatively weak participation in the past, the Commission is keen to encourage SMEs to apply, although the inclusion of an SME in the proposal is not conceived as an advantage in itself.

Size

A project under this scheme is realised by a strategic partnership of at least one participant from academia/the non-commercial sector and at least one participant from the commercial sector coming from at least 2 different member states and/or associated countries. There is no pre-defined maximum number of participants. Under similar schemes in the past the most common number of participants was 2-3. Largest projects ranged from 5 to 7 participants.

Duration

The duration of the programme to be supported will normally be 4 years from the start date of the grant agreement.

Research topic

All Marie Curie actions have **a bottom-up approach**, i.e. research fields are chosen freely by the applicants. All domains of research and technological development addressed under the EC Treaty are eligible for funding (except areas of research covered by the EURATOM Treaty).

All research carried out must respect fundamental ethical principles, and the requirements set out in the text of the People Specific Programme. (See also Section 3.1 of this Guide).

The Concept of Panels

For organisational reasons, proposals will be classified under eight major areas of research (known as ‘panels’): Chemistry (CHE); Social and Human Sciences (SOC); Economic Sciences (ECO), Information science and Engineering (ENG); Environmental and Geo-Sciences (ENV); Life Sciences (LIF); Mathematics (MAT), and Physics (PHY). The applicant chooses the panel to which the proposal will be associated at the proposal stage (using the field ‘Scientific Panel’ on the

A1 proposal submission form) and this should be considered as the core discipline. Additional keywords are used to define the other disciplines that may be involved. The choice of panel and keywords will guide the Commission in the selection of experts for proposal evaluation. Note that there is no predefined budget allocation among the panels in the call for proposals. As a general rule the budget will be distributed over the panels based on the proportion of eligible proposals received in each panel.
To help you select the most relevant panel for your proposal a breakdown of each research area into a number of sub-disciplines is provided in Annex 3 of this document.

2.2. Which organisations can take part?

Two factors are important for determining whether a consortium fulfils the minimum conditions for taking part in the Marie Curie IAPP action: 1) the types of organisations involved (requirement for both non-commercial and commercial sector), and 2) the countries in which the organisations are located (at least 2 Member States or Associated Countries).

2.2.1 Types of organisations

The scheme aims at encouraging the cross-sectoral transfer of knowledge between non-commercial and commercial organisations active in research with the possibility to have more than one partner in both sectors.

Each IAPP project must involve **at least one university/research centre in the non-commercial sector and at least one entity from the commercial sector**.

Commercial sector partners must be organisations operating on a commercial basis, i.e. companies gaining the majority of their revenue through competitive means with exposure to commercial markets, including incubators, start-ups and spin-offs, venture capital companies, etc. They may range in size from the smallest micro-companies with a research capability to very large multinational enterprises.

Examples of non-commercial and commercial sector organisations are given below. Note that the list is non-exhaustive:

Non-commercial

- National organisations (e.g. universities, public non-commercial research centres etc.);
- Non-profit or charitable organisations (e.g. NGOs, trusts, etc.);
- International European interest organisations (e.g. CERN, EMBL, etc.);
- The Joint Research Centre of the European Commission;
- Other international organisations (e.g. WHO, UNESCO, etc.: funding subject to certain conditions – see below).

Definitions for some of the above categories are provided in the Rules for Participation for FP7.

Commercial

- Commercial enterprises
  (those of small and medium size/SMEs, spin offs, start ups are particularly encouraged);
- National organisations (if operating on a commercial basis).

An IAPP project can be **coordinated by a partner from either of the two sectors** (commercial or non-commercial).

A commercial sector partner willing to be the coordinator of the project is invited to check its financial viability at: ftp://ftp.cordis.europa.eu/pub/fp7/docs/financial-viability-checktool-v3.xls.
For information on the rules on the legal and financial viability of beneficiaries, you may check the "Rules to ensure consistent verification of the existence and legal status of participants, as well as their operational and financial capacities": ftp://ftp.cordis.europa.eu/pub/fp7/docs/rules-verif_en.pdf

2.2.2 Location of organisations

To be eligible for support the IAPP consortium must satisfy the basic requirement for its composition not only in terms of the representation of the two sectors but also in terms of the representation of certain country groups.

Definition of country groups

For the purposes of the Marie Curie Industry-Academia Partnerships and Pathways scheme four categories of countries can be distinguished:

- EU Member States (MS)
- Associated Countries (AC)
- International Cooperation Partner Countries (ICPC)
- Other (non-AC, non-ICPC) Third countries (OTC)

EU Member States

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

Associated Countries (AC)

> *The Associated Countries are:*
>
> *Croatia, FYR Macedonia, Iceland, Israel, Liechtenstein, Norway, Serbia, Switzerland, Turkey, Albania, Montenegro, Bosnia and Herzegovina.*
>
> *Other countries may become associated during the course of FP7. The latest news will be posted on the CORDIS web site.*

International Cooperation Partner Countries (ICPC)

> *The ICPC are a series of low-income, lower-middle income and upper-middle-income countries. Organisations from these countries can participate and receive funding in FP7, providing that certain minimum conditions are met.*
> *The list of ICPC is given in annex 1 to the Work Programme and is reproduced for convenience on the next page.*
> *Up-to-date information on the status of individual countries relative to the 7th Framework Programme for RTD is available at: http://cordis.europa.eu/fp7/who_en.html#countries*

Other (non-AC, non-ICPC) Third countries (OTC)

> *This group comprises countries that are not part of any of the three previous country groups mentioned above, such as the United States, Canada, Japan, Australia, Singapore etc.*

International Cooperation Partner Countries (ICPC)

ACP

African

Angola
Benin
Botswana
Burkina-Faso
Burundi
Cameroon
Cape Verde
Central African Republic
Chad
Comoros
Congo (Republic)
Congo (Democratic Rep.)
Côte d'Ivoire
Djibouti
Equatorial Guinea
Eritrea
Ethiopia
Gabon
Gambia
Ghana
Guinea
Guinea-Bissau
Kenya
Lesotho
Liberia
Madagascar
Malawi
Mali
Mauritania
Mauritius
Mozambique
Namibia
Niger
Nigeria
Rwanda
Sao Tome and Principe
Senegal
Seychelles
Sierra Leone
Somalia
South Africa[1]
Sudan
Swaziland
Tanzania
Togo
Uganda
Zambia
Zimbabwe

Caribbean

Barbados
Belize
Cuba
Dominica
Dominican Rep.
Grenada
Guyana
Haiti
Jamaica
Saint Kitts & Nevis
Saint Lucia
Saint Vincent and Grenadines
Suriname
Trinidad and Tobago

Pacific

Cook Islands
Timor Leste
Fiji
Kiribati
Marshall Islands
Micronesia, Federal States of
Nauru
Niue
Palau
Papua New Guinea
Samoa
Solomon Islands
Tonga
Tuvalu
Vanuatu

Asia

Afghanistan
Bangladesh
Bhutan
Burma/Myanmar
Cambodia
China[1]
Democratic People's Republic of Korea
India[1]
Indonesia
Iran
Iraq
Lao People's Democratic Rep.
Malaysia
Maldives
Mongolia
Nepal
Oman
Pakistan
Philippines
Sri Lanka
Thailand
Vietnam
Yemen

Eastern Europe & Central Asia (EECA)

Armenia[2]
Azerbaijan[2]
Belarus[2]
Georgia[2]
Kazakhstan
Kyrgyz Republic
Moldova[2]
Russia[1]
Tajikistan
Turkmenistan
Ukraine[1, 2]
Uzbekistan

Latin America

Argentina[1]
Bolivia
Brazil[1]
Chile[1]
Colombia
Costa Rica
Ecuador
El Salvador
Guatemala
Honduras
Mexico[1]
Nicaragua
Panama
Paraguay
Peru
Uruguay
Venezuela

Mediterranean Partner Countries (MPC)

Algeria[2]
Egypt[1, 2]
Jordan[2]
Lebanon[2]
Libya[2]
Morocco[1,2]
Palestinian-administered areas[2]
Syrian Arab Rep. [2]
Tunisia[1, 2]

Western Balkan Countries (WBC)

Bosnia-Herzegovina[*]
Kosovo[**]

1. Signed an agreement with the EC covering Science & Technology.

2. These countries are also part of the European Neighbourhood Policy (ENP).

* As from 1 January 2009 Bosnia-Herzegovina is associated to FP7

** As defined by UNSC resolution 1244 of 10 June 1999.

IAPP partnerships can be composed of two or more participants but each proposal must include organisations **from at least two different Member States or Associated Countries**.

> *Example 1:*
> *An IAPP composed of a mid-sized commercial sector company engaged in pharmaceutical research from Bulgaria (MS) and a university institute from Israel (AC) is eligible. Similarly an IAPP composed of 2 Associated Countries, such as an SME in Norway with a non-commercial sector institute in Turkey would be eligible.*
>
> *Example 2:*
> *An IAPP composed of three non-commercial sector research centres (2 universities and a Max Planck Institute) established in Italy (MS), Norway (AC), and Germany (MS), together with 2 companies in France (MS) and Turkey (AC) is eligible*

2.2.3 Rules for funding of IAPP partners

EU Member States, Associated Countries and International European Interest Organisations

The basic rule of at least two different MS or AC must be fulfilled in all consortia. Organisations active in research located in EU Member States (MS) or Associated Countries (AC) which have signed up for participation in FP7, as well as in International European Interest Organisations (IEIO) are eligible for funding according to this definition of minimum numbers of participants.
It should be noted that when determining whether the minimum conditions for participation in an IAPP are fulfilled, the participation of an IEIO or of the Commission's Joint Research Centre (JRC) will be counted as a MS or AC other than those represented by the other participants in the consortium.

> Example: *the JRC will be eligible to participate in an IAPP together with a commercial company established in Italy (MS). Although the JRC is physically located in Italy, it will not count as an Italian participant and thus the minimum requirement for the participation of at least 1 non-commercial and 1 commercial organisation established in 2 different MS/AC is fulfilled.*

International Cooperation Partner Countries (ICPC)

Other than the Member States or Associated Countries, there is the possibility for institutional participation also from other countries. Legal entities established in an FP7 International Cooperation Partner Country (ICPC) are eligible for funding above the minimum number of Member States and Associated Countries in an IAPP, i.e. their participation must be in addition to the basic rule of at least two different MS or AC.

> Example: *In preparing an IAPP application, a UK company (MS) wants to team up with a South African University (ICPC). For eligibility a second Member State or Associated Country partner must be found first to make an eligible consortium and only afterwards can the ICPC partner be added. A consortium of the UK company (MS), an Icelandic university (AC) plus the South African university (ICPC) would be eligible. Being established in an ICPC country the South African partner would be fully funded according to the Marie Curie rules.*

Other Third Countries and International Organisations (OTC)

A Community financial contribution may be granted to international organisations (other than IEIOs) and to legal entities established in an OTC country, if such funding is foreseen in a **bilateral scientific and technological agreement or any other arrangement** between the Community and the country of the legal entity.

If this is not the case then the proposal needs to present strong arguments in order for the participant to be funded. It must be demonstrated that the financing is **essential** to achieve the objectives of the training programme. **OTC countries** such as the USA, Canada, Australia, Japan, Singapore etc. **and international organisations would normally be expected to fund their own participation in the partnership**.

The budget in the IAPP action is calculated on the basis of *incoming* researchers, i.e. the researchers recruited and/or *received* in secondment by each host organisation. Thus only researchers hosted in *funded* partners contribute towards the IAPP budget total. Since OTC organisations are normally not funded, the incoming researchers hosted in these organisations would not have an associated EC budget. In practice this means that OTC institutions could second researchers to partners in Members States and Associated Countries and these researchers would be paid (according to the Marie Curie rules) from the budget allocated to the MS/AC hosting organisations. However, researchers being hosted at OTC partners would have to be paid for with OTC funding (according to the Marie Curie rules), as would their associated research costs.

> Example: *An IAPP consortium is composed of an Italian engineering company (MS), a Spanish university (MS) and an American SME (OTC) without funding. The project aims to exchange staff between Spain and the US, and between Spain and Italy. The proposal is eligible in terms of numbers of participants and representation of the two sectors.*
> *In terms of funding all researchers hosted in Italy and Spain would be fully funded, regardless of their origin. However, the US company would have to fund the Spanish university staff it hosts. Thus, while no direct funding is provided to the US company it will benefit from the scientific interaction and transfer-of-knowledge and could be invited to take part in partnership events, paid for from the EC budget of the hosting partner(s).*

Multinational companies

For multinational companies with research premises within and outside Europe the location of the research institute (legal entity) which would take part in the project would determine the eligibility and funding possibilities. For example the Belgian subsidiary of an American multinational company could apply within a consortium and be funded on the same terms as any other MS/AC/ICPC participant. If the same multinational applies with one of its research sites based in the USA, this participation must be over and above the minimum number of MS/AC participants. Since the USA is an OTC country, funding would not normally be anticipated.

Risk-Sharing Finance Facility (RSFF)

This innovative debt-based facility, designed by the European Commission and the European Investment Bank (EIB) creates an additional capacity of up to EUR 10 billion for financing higher risk research, technological development, demonstration and innovation activities.

The EIB will implement RSFF in close collaboration with all major EU national and regional banks within Member States and Associated Countries to FP7, which are providing support to the development of European companies.

Financing through the RSFF can be sought either in addition to, or instead of FP7 grants.

For additional information on RSFF see:

http://www.eib.org/products/loans/special/rsff/index

http://ec.europa.eu/invest-in-research/funding/funding02_en.htm

2.2.4 Overview

The possible set-up of an IAPP is summarized in the table below.

Country of participants
Minimum: 2 different countries: MS/AC Additional participants: from anywhere in the world (MS, AC, ICPC, OTC*) *However, OTC participants can only be funded if funding is foreseen in a special agreement between the country and the EU, or in very exceptional cases if funding is essential for the project
Type of participants
Minimum: 1 from each sector: 1 Commercial + 1 Non-commercial

2.3. Typical Activities of an IAPP

The participants propose a joint research project as the common basis for their collaboration. All participants will sign the grant agreement with the EC and one of the participants will act as the co-ordinator.

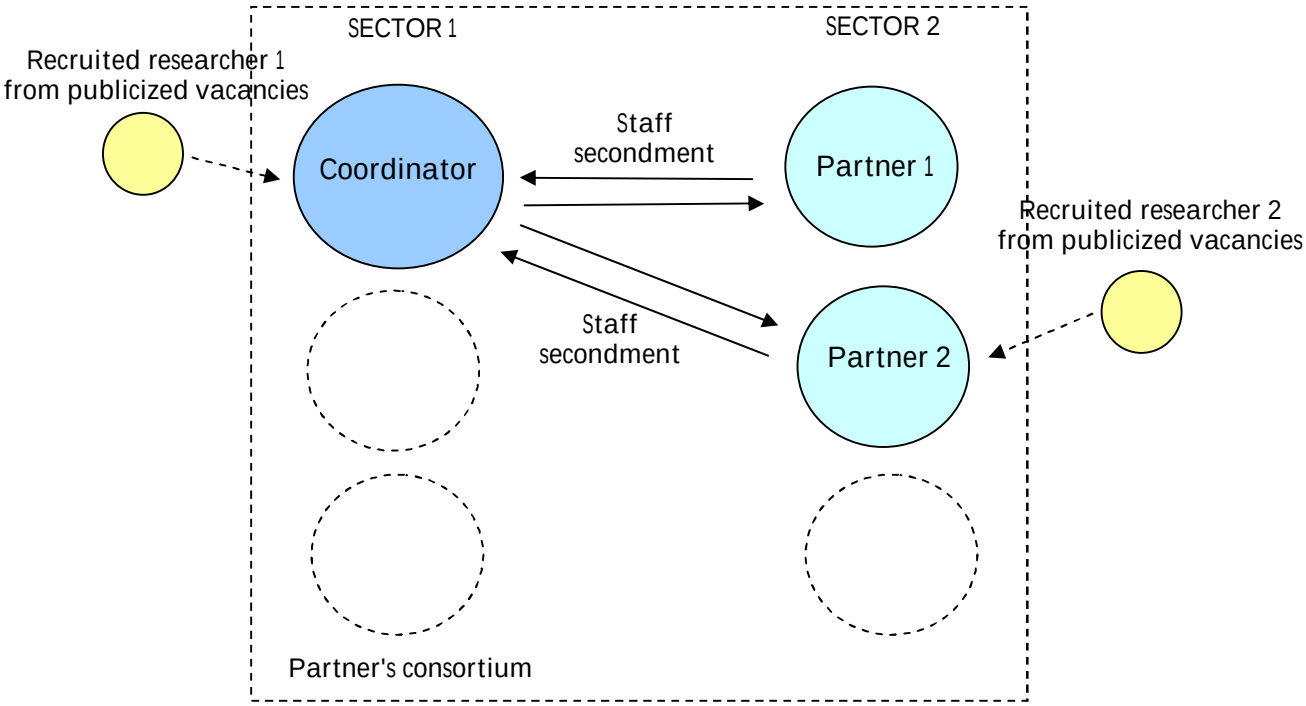
Participants from either sector may co-ordinate the project provided they are located in a Member State or Associated Country.

The joint research project should be designed to exploit complementary expertise of the participants and to create synergies between them. In addition to advancing research knowledge in a particular area, the IAPP projects are also expected to create additional benefits for the participants in terms of transfer of knowledge. These research and transfer of knowledge goals are mutually overlapping and complementary. In each consortium, staff **secondment is compulsory while new recruitment is optional** and must be justified.

In theory, each secondment would be expected to benefit either: the secondee who would acquire new knowledge and bring it back to the sending organisation; or the host organisation who would acquire new knowledge from the secondee. In practice the two types of benefit overlap to a considerable extent and it is most likely that both secondee and the two organisations involved

would benefit mutually from the interaction. The aims of recruitment would be to bring new knowledge into the host organisation in order to benefit both local staff development and the IAPP research project.

Research and Transfer of Knowledge activities



2.3.1 Secondment

All projects are expected to implement staff exchange. The exchange of know-how via secondments of existing staff is normally expected to be **in both directions** i.e. one or more researchers seconded from the commercial to the non-commercial participant and one or more researchers from the non-commercial participant seconded to the commercial participant, although there is no expectation that the secondments between partners must be symmetrical as in one-for-one exchange. A consortium could make a good case for having more secondment months from one sector (a large university department for example) to the other sector (a small company, where researchers are relatively few). Moreover, projects with secondments in only one direction are **not excluded** where there is a clear mutual benefit for both sectors, and where the consortium duly justifies this one-way exchange.

> ***NB:***
> ***All staff exchanges must be between the non-commercial and commercial sectors***

Mobility within one country

In partnerships established between more than two partners, a limited level of inter-sectoral mobility may be allowed between two participants in the same country (up to a maximum of 30% of the researcher months delivered in the project).

Example: *The electrical engineering department of an Irish university teams up with an Israeli optical systems company, and a small Irish software manufacturer. The common project involves optimising software design in medical imaging systems.*
The university partner plans to organise placements for several PhD candidates in the Israeli company, and exchange postdoctoral fellows for varying periods with both the Irish and Israeli company. The project involves 80 fellow months for secondments. In addition, the partnership requests support in their proposal for recruitments, a 2-year postdoctoral position at each of the three participants (72 fellow months)*. In total the project thus involves 152 fellow months. Therefore the maximum number of months which could be foreseen for exchange between the 2 Irish partners is 45 months (30% of the total). These 45 months could be spread over the duration of the grant agreement.*

The mobility and travel allowances are not paid to the researcher seconded between partners within one country.

Duration

Staff members of the participants can be seconded for periods between 2 months and 2 years and then reintegrated into the sending organisation. There is a certain level of flexibility to split secondment periods into smaller, manageable visits, if desired by the consortium, as long as the total period of the split stays is between 2 and 24 months, over the lifetime of the grant agreement. The sending host will be required to commit itself to **reintegrate its seconded staff members for at least 12 months** after the last foreseen secondment period for each individual concerned. In this way, the sending institution benefits from the new skills and knowledge acquired by the seconded researcher.

2.3.2 Research and Networking activities

The research and transfer of knowledge activities of the partnership will be based around a common project, and facilitated by secondments of staff between the two sectors and via the option of recruitment of experienced researchers. The partnership will establish and/or strengthen the collaboration between the participants, as well as between itself and its wider scientific community. Community funding will also be provided for networking activities.

Networking activities could include:

- Organisation of partnership meetings;
- Visits between participants for the purpose of exchanging knowledge;
- Attendance at international conferences and workshops for the representation and dissemination of the IAPP;
- Electronic networking via the active use of Internet WebPages, Email and video conferencing;
- Collaboration with other IAPPs in similar or complementary fields is also encouraged for exchange of “best practice”, and transfer of knowledge.

2.3.3 Recruitment

Besides the secondment of existing staff, the participants in IAPP also have the possibility to reinforce their research/training potential by recruiting new researchers from outside the partnership for involvement in transfer of knowledge and/or training of researchers. As a rule these recruitments should be transnational (see the specific mobility conditions detailed in section 2.4.2). The recruits are expected to be experienced or even senior researchers who could participate in

the activities of the host organisation in several ways: research, training of local staff members through courses, demonstrations etc.

As a rule, secondment should be the primary vector for the intersectoral dialogue. Therefore the requested number of researcher months for newly recruited researchers should not exceed the number of months foreseen for secondment.

In the example above of the Israeli and Irish companies teaming up with an Irish university, a total of 80 fellow months were foreseen for secondments. The partnership requests support in their proposal for recruitments, a 2-year postdoctoral position at each of the three participants. Crucially, the 72 months of new recruitment within the consortium is less than the total number of researcher months for secondments.

While these 3 new recruits would each be employed by a different participant in the project, each researcher would be expected to work on the joint project and therefore have significant interaction with each other and all partners in the consortium, travelling between sites as necessary for the project. This normal, ongoing research collaboration should not be confused with and do not substitute for the staff secondments foreseen by the partners.

Duration

Researchers from outside the partnership can be recruited for a minimum period of 12 months and a maximum of 24 months.

2.3.4 Management and Recruitment

The consortium will distribute responsibilities among its teams and co-ordinate its activities to ensure that co-operation and communication are as open and efficient as possible, with appropriate involvement of recruited fellows (for organisation of meetings and identification of training needs for example).

The consortium will be responsible for the selection and appointment of its eligible researchers. An important aspect of the Commission's policy towards researchers is to improve their working and living conditions while being mobile thereby opening up new perspectives for research careers within Europe. The Marie Curie Actions should act as a catalyst in this respect. The host organisations will therefore be required to meet certain conditions when appointing researchers and the recruitment procedure should be in line with the principles set out in the European Charter for Researchers and in the Code of Conduct for the Recruitment of Researchers. These documents may be downloaded from: http://ec.europa.eu/euraxess/index_en.cfm

2.4. Eligible researchers

The eligibility criteria for researchers in an IAPP vary according to the type of appointment (secondment or recruitment).

Overall they relate to:

- Qualifications and level of experience of the researcher
- Mobility requirements

There are **no nationality restrictions** regarding either the seconded staff or the recruited researchers.

Each researcher must simultaneously fulfil all the relevant requirements. The exact conditions for each type of activity (i.e. secondment or recruitment) are detailed in the following.

The concept of research experience in the Marie Curie Actions

Under the Marie Curie Mobility Actions, the different career pathways of researchers are taken into account by the adoption of definitions that attach more importance to their research experience than to their age.

Two main categories of researchers are distinguished: **early-stage researchers and experienced researchers:**

Definition:

> ***Early-stage researchers*** *are defined as those in the first four years (full-time equivalent) of their research careers, starting at the date of obtaining a degree which would formally entitle them to embark on a doctorate, either in the country in which the degree was obtained or in the country of the host institution to which the early stage researchers are seconded, irrespective of whether or not a doctorate is envisaged.*

Definition:

> ***Experienced researchers*** *must, at the time of recruitment, (i) be in possession of a doctoral degree, independently of the time taken to acquire it or (ii) have at least four years of full-time equivalent research experience, including the period of research training, after obtaining the degree which formally allowed them to embark on a doctorate in the country in which the degree was obtained or in the country of the host institution to which they are seconded or recruited (irrespective of whether or not a doctorate was envisaged).*

The clock starts ticking once a researcher, having obtained a diploma that gives access to doctoral studies in the country in which the diploma was obtained or in the host country, starts working in research. In the event that a researcher has taken a break from their research career for whatever reason (e.g. working outside research, family reasons, etc.), then the clock is stopped and only starts again once they resume their research career. By definition an early stage researcher does not have a PhD.

The actual level of experience for a researcher is **determined at the time of secondment to a partner in the project or his/her recruitment.**

> Example A: *Early-stage researcher*
> *A researcher has been working full time in research for 3 years since obtaining a degree that gives access to doctoral studies and does not have a doctoral degree. (S)he is considered an early-stage researcher*

Example B: *Early-stage researcher*
A medical doctor graduated 6 years ago. The researcher does not have a PhD and has been working in research since graduation only for a full-time equivalent of 2 years. (S)he is also considered an early-stage researcher.

Example C: *Experienced researcher*
Three years after obtaining an undergraduate degree, a researcher obtained his PhD in 2005. The researcher has not been working in research ever since and has a total full time research experience of only 3 years but because of his PhD he is considered an experienced researcher.

Example D *Experienced researcher*
A medical doctor graduated 6 years ago and has been working full time since graduation in research. The researcher does not have a PhD but is considered an experienced researcher by virtue of his/her 4+ years of full time research experience.

The level of salary of each researcher will be determined according to the table in section 2.5.1 of this document. Please note that for experienced researchers there are two brackets depending on the full-time research experience (4-10 years; >10 years).

2.4.1 Secondment

Qualifications and level of research experience

Exchange of research staff can be for **early-stage researchers or experienced researchers** (see definition on the previous page).
To be eligible for secondment, **staff members of a participant must have been active (work, studies, etc.) continuously for at least one year** (full-time equivalent) at the sending institution – immediately prior to secondment. The idea behind this rule is that to be an effective vector of cooperation between the participating organisations active in research, the seconded researcher must know the sending institution sufficiently well to understand the "bigger picture" i.e. the reasons why the sending institution wants to collaborate with the other sector.

Example:
A Spanish university social sciences department wants to send a second-year postgraduate researcher to their industry partner (a census company) to learn a state of the art technique. The postgraduate researcher is eligible because she has been working at the university contractor for more than a year at the time of the secondment (i.e. her first day at work in the hosting organisation). The type of contractual relationship she normally has (fellowship, studentship, employment contract) with the university is not important, only the fact that the University was her place of work for at least 12 months prior to secondment. At the end of the secondment, the Spanish university will have to reintegrate her for at least one year and pay her salary from a budget other than the IAPP grant.

Note in addition that in duly justified cases **exchange of staff can also include technical and research managerial staff.** Such staff will be paid according to their level of professional experience and are eligible if they are involved in research activities.

Example: *A technical staff member of an industrial participant of an IAPP joined the company 15 months previously and is actively involved in the technical*

aspects of the applied research project (running and ensuring accurate calibration of specialist equipment). She is not a researcher per se but the academic partner would greatly benefit from her experience in learning how to run the technical equipment and therefore 2 short secondments to the academic partner are foreseen in the proposal. She can be seconded to the academic partner within the IAPP project and would be assimilated as an early stage researcher, or one of the two levels of experienced researcher, depending on her level of professional experience.

Mobility requirement

As a general rule, trans-national mobility is a requisite for the exchange of staff. **Researchers must not have resided or carried out their main activity (work, studies, etc.) in the country of the receiving host organisation for more than 12 months in the last 3 years** immediately prior to the date of selection by the host institution.

Example A: *Researchers complying with the mobility rules:*
1) A Danish national who has resided for 10 months in Hungary in the year previous to the application is eligible for secondment in Hungary
2) A Greek national who studied for 24 months in U.K. in 2004-2006 is eligible for secondment in U.K. in 2010

Example B: *Researcher not complying with the mobility rules:*
A Polish national who studied in Sweden for 7 months in 2008 and worked there for 6 months in 2009 is not eligible for secondment in Sweden in 2010

However, in the context of a collaboration established between more than 2 participants, a limited level of inter-sector mobility may be allowed between 2 participants in the same MS/AC, up to a maximum of 30% of the total researcher months in the project (see example in section 2.3.1).
Staff exchanges within the same country involving an IEIO, an international organisation other than an IEIO, or the JRC do not count towards the 30% limit.

2.4.2 Recruitment

Qualifications and level of research experience

Newly recruited staff from outside the partnership must be **experienced researchers**.

Example:
The Portuguese university department in an IAPP partnership has 2 vacancies for newly recruited staff. They want to hire an Italian postdoc' and a Norwegian postgraduate. The Italian is eligible because she has 12 years of research experience but the Norwegian has only 3 years of full time research experience and no PhD and so is not eligible to be newly recruited in an IAPP.

Mobility requirement

Trans-national mobility

To ensure the European character of an IAPP project, researchers to be newly recruited are required to undertake trans-national mobility when taking up their appointment. **Researchers must not have resided or carried out their main activity in the host country for more than 12 months in the last 3 years** immediately prior to the date of selection by the host institution.

This also applies to nationals of countries outside the EU and Associated Countries, who can be freely recruited within IAPP projects as long as the transnational mobility rule is respected.

> *Example: A Japanese postdoctoral researcher currently working in Japan applies for a vacant position with the Hungarian industrial partner of an IAPP. The researcher has not lived in the host country (Hungary) for more than 12 of the last 36 months – therefore she is eligible to be recruited.*
>
> *Example: A Ukrainian postdoctoral researcher has been carrying out research in Poland for the last 2 years. She would be eligible to be appointed to an IAPP partner as long as it is not located in Poland.*

Recruitment by IEIOs (International European Interest Organisations) or other International Organisations

In the case of International European Interest Organisations (e.g. CERN, EMBL, ESO etc.) or other International Organisations and the JRC, the mobility rules described above do not apply since these organisations cannot be associated with any one country. However the appointed researcher must not have spent in the same appointing organisation more than 12 months in the 3 years immediately prior to the appointment:

> *Example: An IAPP consortium consists of the European Molecular Biology Laboratory (EMBL) collaborating with a small biotechnology company in Austria. A German postdoctoral researcher who has lived and studied in Germany (outside EMBL) for the past 4 years is eligible to be recruited in the team of the EMBL partner because EMBL is an International European Interest Organisation.*

2.4.3 Conditions of appointment

Host organisations will be expected to provide reasonable assistance to the researchers in all administrative procedures required by the relevant authorities both for recruitments and secondments, such as visas and work permits.

Equal opportunities – the host organisations must demonstrate their commitment to ensuring that recruitment is based on merit and that there is no overt or covert discrimination based on race, sex, sexual orientation, religion or belief, disability or age in the selection procedures.

Split Stays

Secondments may be split in several stays not exceeding 24 months in total and not going beyond the project duration. The periods can be spread throughout the duration of the project but in all cases they must add up to the minimum of 2 months required for secondments under this action.

The splits must be justified (i.e. for family reasons of the researcher) or be considered beneficial for the transfer of knowledge activities. The possibility must be clearly addressed in the proposal and integrated in the work plan.

New recruitments should typically be full-time and a minimum of 12 months long. Only in exceptional circumstances would split stays or part time working be considered.

Part-time work

In principle, researchers must work full-time on the project. Exceptionally, part-time work and the corresponding extension of the secondment duration can be accepted (i.e. for family reasons) if this does not interfere with the execution of the project, and it remains within the limit of the EC contribution and the overall grant agreement length.

2.5. Financial regime

The financial support for Marie Curie Industry-Academia Partnerships and Pathways is calculated on the basis of eligible activities and takes the form of grants covering up to 100% of the budget for these eligible activities, according to fixed amounts for certain types of costs, as explained in further sections.

The information given in the part A of the proposal (form A4) serves as a basis for the Commission to estimate the budget of your project. Thus data should be carefully filled in and consistent with the information given in the part B of the proposal.

2.5.1 What types of expenses are covered?

According to the Work programme, the eligible expenses that can be charged to the IAPP grant agreement may be broadly divided into:

- Eligible expenses for the activities carried out by the researchers or seconded staff members.
- Eligible expenses for the activities carried out by the host organisations.

(See also Work programme, Annex 3, Table 3.4)

Expenses for the activities carried out by the researchers

Category A: Monthly living and mobility allowances

Living allowance

This refers to the basic amount to be paid to the researcher in monthly instalments according to the table reproduced below. This amount includes all compulsory charges both for the employer and the employee, such as social security contributions or direct taxes.

This amount is then adjusted, applying a correction factor for the cost of living according to the country in which the researcher will be seconded/recruited. **The correction factors are indicated in Table 3.3 in Annex 3 of the Work Programme.**

For each eligible researcher, the host organisation can opt between seconding/recruiting him/her under an employment contract with full social security coverage (including all compulsory deductions under national legislation in the context of the project), or a fixed-amount fellowship with minimum social security.

As a general rule researchers shall be appointed under an employment contract except in adequately documented cases (such as for short stays or where the researcher continues to receive their usual salary from the home organisation) or where national regulation would prohibit this possibility. When an employment contract cannot be provided, the researcher shall be seconded/recruited under a status equivalent to a fixed amount fellowship, provided that it is compatible with the national legislation and that adequate social security is provided (but not necessarily paid from the fellowship).

As a general principle the choice of appointment type should be made in accordance with the best interests of the researchers. The European Charter for Researchers and the Code of Conduct for the recruitment of researchers offer a reference framework for the employment of researchers.

In all cases, the hosts must ensure that the researcher is covered under the social security scheme which is applied to employees in the country of the beneficiary host organisation, or under a social security scheme providing an adequate protection in terms of level and scope; provided that the social security scheme covers the researcher at any place of the implementation of the knowledge sharing and inter sector mobility activities.

The basis for calculating the monthly living allowance of the seconded/recruited researchers is given in the following table:

Type	**Researcher Categories**	**A.Employment contract (€/year)**	**B. Fixed-amount fellowship (€/year)**
Secondment	Early stage researchers	35 300	17 650
	Experienced researchers (4-10 years)	54 300	27 150
	Experienced researchers (>10 years)	81 400	40 700
Recruitment	Experienced researchers (4-10 years)	54 300	27 150
	Experienced researchers (>10 years)	81 400	40 700

Important notice: A. Living allowance
*NOTE: The living allowance is a **gross Community contribution** to the salary costs of the fellow. Consequently, the net salary results from deducting all compulsory social security contributions as well as direct taxes both for the employer and the employee (e.g. income tax) from the gross amounts. The host organisation may pay a **top-up** to the eligible researchers in order to complement this contribution.*

Mobility allowance

This is a monthly payment of a fixed amount to cover expenses of the researcher related to his/her mobility (e.g. relocation, family expenses etc.). As for the living allowance, a correction factor for the cost of living of the country in which the researcher will be seconded/recruited is applied (see Table 3.3 in Annex 3 of the Work Programme). There are two reference amounts depending on the family situation of the researcher *at the time of the secondment/recruitment*:

- €800/month: Researcher with family obligations (marriage or relationship with equivalent status to a marriage recognised by the national legislation of the country of the host organisation or of the nationality of the researcher, and/or dependant children who are actually being maintained by the researcher).
- €500/month: Researcher without family obligations

> ***Important notice: Mobility allowance***
> *NOTE: It is the status of being married/equivalent relationship or having dependant children that determines the entitlement to the full mobility allowance. There is no obligation for the family to travel with the seconded/recruited researcher.*

Category B: Travel allowance (yearly)

This refers to an allowance upon taking up employment/secondment and yearly thereafter. Only one travel allowance shall be paid per period of 12 months, independently of possible interruptions or stays with different hosting institutions. The allowance is a fixed-amount based upon the direct distance between *the location of origin* of the researcher and the location of the host institution.

Definition:

> **Location of origin:** *means the place where the researcher was residing or carrying out his/her main activity at the time of secondment/recruitment unless (s)he has resided or carried out his/her main activity for less than 12 months in this location immediately prior to this date. In the latter case, the location of origin is the capital city of the country of his/her nationality. In case of a researcher holding more than one nationality, the location of origin is the capital city of the country where the researcher was residing for the longest period during the last 5 years prior to date of secondment/recruitment.*

Each IAPP researcher, undertaking trans-national mobility, is entitled to at least one travel allowance. Researchers undertaking trans-national mobility for more than 12 months are entitled to 2 travel allowances.

> ***Important notice: A. Mobility and B. Travel allowance***
> *NOTE: The mobility and travel allowances are not paid in those cases where there is mobility of the researcher within one country.*

Category C: Career exploratory allowance (single payment)

This allowance of one single payment of €2000/fellow is paid **only for newly recruited researchers**, and is intended to enable each researcher to help develop their career by e.g. attending job interviews, additional courses, job fairs, etc.

> ***Important notice: Allowances A, B & C***
> *Please note that social* ***security contributions and taxation of the different allowances vary from country to country and depends on national legislation****. The travel and mobility allowances have been conceived as separate flat rate amounts and where national taxation allows, it is the intention that these amounts should not be subject to personal taxation or employers deductions. In order to obtain an estimation of the actual net allowances for the researchers, it is recommended to consult the host institution and/or the relevant National Contact Point (see Annex 1).*

Expenses for the activities carried out by the host organisations

Within this group of expenses there are two basic components: (a) categories E and I contain the expenses related to the IAPP project; (b) categories G and H relate essentially to the management and other administrative costs of the project.

Category E: Contribution to the research/ /transfer of knowledge programme expenses:

This is a contribution of a fixed amount of €1200 per researcher month that goes to the host organisation for the execution of the project (publication of vacant positions, internal training actions), participation of eligible researchers in research and transfer of knowledge activities (research costs, participation in meetings and conference attendance, etc), organisation of conferences, workshops and events (invitation of keynote speakers, publications, rental of premises) and contribution to the expenses related to the co-ordination between participants (partnership meetings, detachment of staff, etc).

Category G: Management activities

This refers to a *maximum of 3 % of the total Community contribution* that will be paid towards the management of the project. This will also cover the cost of audit certification, when it is mandatory. It will be based upon actual expenses (e.g. towards the salary of a person dedicated to assist with the management of the project, or a contract with an external independent auditor for audit certification). In the case of public or international organisations, this certification may be provided by a competent public official.

Category H: Contribution to overheads

This refers to a flat rate payment of 10% of the direct costs, excluding costs for subcontracting.

Category I: Small equipment (for SMEs only)

Participating SMEs can charge small equipment expenses to the project up to a maximum of 10% of the total contribution to the SME participant, provided that they are

- duly justified for the project
- based on real costs
- with prior agreement by the Commission.

The maximum amount of the grant will be fixed in the grant agreement during the negotiation, provided that the need of the equipment purchase was indicated in the original proposal.

2.5.2 How to estimate the EC contribution?

It is an intrinsic feature of host-driven actions that the expenses related with the appointment of researchers cannot be accurately determined in advance. This is because some allowances to be paid depend upon the personal circumstances of the researcher (e.g. level of experience, place of origin, family status etc) which may be known for seconded researchers but will not be known for new recruitments.

As explained in section 2.2.3, the budget for each partner in the IAPP action is calculated on the basis of the *incoming* researchers, i.e. the researchers recruited and/or *received* in secondment by the organisation. This is because the allowances of the researchers have to be adjusted by the correction coefficients of the country in which their activities will take place.

Note however that there is some administrative flexibility in terms of who actually pays the researchers (either the sending or the receiving organisation). For example the consortium could agree that a researcher seconded from organisation A to organisation B remains on the payroll of the sending organisation A, in order to provide continuity of pension contributions. This will be part of the negotiation with the Commission and should be detailed in the consortium agreement.

Together with the costing you provide in section B2.4 of the proposal, the information you give in the proposal form A4 will serve as a basis for the Commission to estimate the budget of your project.

During the negotiations the Community contribution will be determined more accurately taking into account the anticipated conditions of appointment (e.g. fixed-amount fellowship or employment contract) and recommendations, if any, from the expert evaluators.

The example given in the Annex 6 aims to help understand the way the Commission will estimate your budget.

3. How to apply

3.1. Turning your idea into an effective proposal

The coordinator

For a given proposal, the coordinator acts as the single point of contact between the participants and the Commission. The co-ordinator is generally responsible for the overall planning of the proposal and for building up the consortium that will do the work.

Focusing your planned work

Refer to the description of the Marie Curie Action in section 2 of this Guide and the Work programme to check the **eligibility criteria** and any other special conditions that apply.

Refer also to the **evaluation criteria** against which your proposal will be assessed. These are given in annex 2. Keep these in mind as you develop your proposal.

National Contact Points

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

Please note that the Commission will give the NCPs statistics and information on the outcome of the call and the outcome of the evaluation for each proposal. This information is supplied to support the NCPs in their service role, and is given under strict conditions of confidentiality.

Other sources of help

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

- The Commission's general **enquiry service** on any aspect of FP7. Questions can be sent to a single e-mail address and will be directed to the most appropriate department for reply.
- A dedicated help desk has been set up to deal with technical questions related to the **Electronic Proposal Submission Service** (EPSS). See section 3.2 below.
- A further help desk providing assistance on intellectual property matters.
- Any other guidance documents or background information relating specifically to this call.
- The date and contact address for any '**information day'** that the Commission may be organising for this call.
- Other services, including partner search facilities, provided via the CORDIS web site.

Ethical principles

Please remember that research activities in FP7 should respect fundamental ethical principles, including those reflected in the Charter of Fundamental Rights of the European Union. These

principles include the need to ensure the freedom of research and the need to protect the physical and moral integrity of individuals and the welfare of animals. For this reason, the European Commission carries out an ethical review of proposals when appropriate. The following fields of research shall not be financed under this Framework Programme:

- research activity aiming at human cloning for reproductive purposes;
- research activity intended to modify the genetic heritage of human beings which could make such changes heritable[1];
- research activities intended to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.

Concerning human embryonic stem cell research, the Commission will maintain the practice of the Sixth Framework Programme, which excludes from Community financial support research activities destroying human embryos, including for the procurement of stem cells. The exclusion of funding of this step of research will not prevent Community funding of subsequent steps involving human embryonic stem cells. For more details on ethics, please refer to section **B6** at the end of this document.

Presenting your proposal

A proposal has **two parts**:

Part A will contain the administrative information about the proposal and the participants. The information requested includes a brief description of the work, contact details and characteristics of the participants, and information related to the funding requested (see annex 3 of this Guide). This information will be encoded in a structured database for further computer processing to produce, for example, statistics, and evaluation reports. This information will also support the experts and Commission staff during the evaluation process.

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

Part B is a "template", or list of headings, rather than an administrative form (see annex 4 of this Guide). You should follow this structure when presenting the scientific and technical content of your proposal. The template is designed to highlight those aspects that will be assessed against the **evaluation criteria**. It covers, among other things, the nature of the proposed work, the participants and their roles in the proposed project, and the impacts that might be expected to arise from the proposed work. Only black and white copies are used for evaluation and you are strongly recommended, therefore, not to use colour in your document.

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

> *A **maximum length** is specified for Part B as a whole (see annex 4 of this Guide). You should keep your proposal within these limits.*

It is extremely important that the data filled out in the part A (A4 form) are consistent with the description of the work, explained in the part B.

Proposal language

The working language of the expert evaluators is English and it is recommended that proposals are prepared in English. However, proposals may be prepared in any official language of the European

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

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 A (Form A1) of the proposal.

3.2. Proposal submission

About the EPSS

Proposals must be submitted electronically, using the Commission's **Electronic Proposal Submission Service (EPSS**) Proposals arriving at the Commission by any other means are regarded as 'not submitted', and will not be evaluated[2].
All the data that you upload is securely stored on a server to which only you and the other participants in the proposal have access until the deadline. This data is encrypted until the close of the call.

You can access the EPSS from the call page on CORDIS.

Full instructions are found in the "EPSS preparation and submission guide", available from the EPSS entry page (click on "EPSS user guide").

The most important points are explained below.

Use of the system by the proposal coordinator

As a coordinator you can:

- register as interested in submitting a proposal to a particular call
- set up (and modify) your consortium by adding/removing participants
- complete all of Part A of the proposal, pertaining to the proposal in general, and to your own administrative details
- download the document template for writing Part B of the proposal, and when it is completed, upload the finished Part B
- submit the complete proposal Part A and Part B.

Use of the system by the other participants

Other participants can:

- complete their own sections A2 (participant details)
- download the document template for writing Part B of the proposal, in order to assist the coordinator in preparing it (however, only the coordinator can upload the finished version)
- view the whole proposal

[2] In exceptional cases, when a proposal co-ordinator has absolutely no means of accessing the EPSS, and when it is impossible to arrange for another member of the consortium to do so, an applicant may request permission from the Commission to submit on paper. A request should be sent via the FP7 enquiry service (see annex 1), indicating in the subject line "Paper submission request". (You can telephone the enquiry service if web access is not possible: 00 800 6 7 8 9 10 11 from Europe; or 32 2 299 96 96 from anywhere in the world. A postal or e-mail address will then be given to you). Such a request, which must clearly explain the circumstances of the case, must be received by the Commission no later than one month before the call deadline. The Commission will reply within five working days of receipt. If a derogation is granted, a proposal on paper may be submitted by mail, courier or hand delivery. The delivery address will be given in the derogation letter.

Use of Participant Identification Codes (PICs)

Participants possessing a Participant Identification Code (PIC) can use this number to identify themselves in the Electronic Proposal Submission system. On entering the PIC, parts of the A forms will be filled in automatically. Please note hat in the cases where a PIC is not available it will always be possible to submit a proposal by entering the organisation details manually. However, the use of PICs will lead to more efficient handling of the proposal.

The process for assigning a PIC is triggered by a self-registration of an organisation at the following website: http://ec.europa.eu/research/participants/urf. On this website you will also find a search tool for checking if your organisation is already registered (and has thus a PIC).

Submitting the proposal

Only the coordinator is authorised to submit the proposal.

Completing the Part A forms in the EPSS and uploading a Part B does **not** yet mean that your proposal is submitted. Once there is a consolidated version of the proposal, you must press the button "SUBMIT NOW".

(If you don't see the button "SUBMIT NOW", first select the "SUBMIT" tag at the top of the screen).

Please note that "SUBMIT NOW" starts the final steps for submission; it does not in itself cause the proposal to be submitted.

After reading the information page that then appears, it is possible to submit the proposal using the button marked "*Press this button to submit the proposal*".

The EPSS then performs an automatic validation of the proposal. A list of any problems ("validation error message") such as missing data, viruses, wrong file format or excessive file size will then appear on the screen. **Submission is blocked until these problems are corrected.** Once corrected, the coordinator must then repeat the above steps to achieve submission.

If successfully submitted, the coordinator receives a message that indicates that the proposal has been received. This automatic message is not the official acknowledgement of receipt (see Section 5).

The coordinator may continue to modify the proposal and submit revised versions overwriting the previous one right up until the deadline. The sequence above must be repeated each time.

If the submission sequence described above is not followed, the Commission considers that no proposal has been submitted.

For the proposal Part B you must use exclusively PDF ("portable document format", compatible with Adobe version 3 or higher, with embedded fonts). Other file formats will not be accepted by the system. Irrespective of any page limits specified in annex 4 to this Guide, there is an overall limit of 10Mbyte 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.

> *You are advised to clean your document before converting to PDF (e.g. accept any track changes). Check that your conversion software successfully converts all pages and the original document (e.g. there is no problem with page limits).*
>
> *Please note that the Commission prints out proposals on plain A4 paper. The printable zone on the print engine is bounded by 1.5 cm right, left, top bottom. No scaling is applied to make the page "fit" the window. Printing is done at 300 dots per inch.*

About the deadline

Proposals must be submitted on or before the time and date of the deadline specified in the Call fiche. It is your responsibility to ensure the timely submission of your proposal.

The EPSS will be closed for this call at the call deadline. After this moment, access to the EPSS for this call will be impossible.

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

Call deadlines are absolutely firm and are strictly enforced.

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

> *Leaving your first submission attempt to the last few minutes of the call will give you no time to overcome even the smallest technical difficulties, proposal verification problems or communications delays which may arise. Such events are never accepted as extenuating circumstances; your proposal will be regarded as not having been submitted.*
>
> *Submission is deemed to occur at the moment when the proposal coordinator completes the submission sequence described above. It is not the point at which you start the upload. If you wait until too near to the close of the call to start uploading your proposal, there is a serious risk that you will not be able to submit in time.*
>
> *If you have registered and submitted your proposal in error to another call which closes after this call, the Commission will not be aware of it until it is discovered among the downloaded proposals for the later call. It will therefore be classified as ineligible because of late arrival.*
>
> *The submission of a proposal requires some knowledge of the EPSS system, a detailed knowledge of the contents of the proposal and the authority to make last-minute decisions on behalf of the consortium if problems arise.* ***You are advised not to delegate the job of submitting your proposal!***

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

Such a failure is a rare and exceptional event; therefore do not assume that there will be an extension to this call. If you have difficulty in submitting your proposal, you should not assume that it is because of a problem with the Commission server, since this is rarely the case. Contact the EPSS help desk if in doubt (see the address given in annex 1 of this Guide).

Please note that the Commission will not extend deadlines for system failures that are not its own responsibility. In all circumstances, you should aim to submit your proposal well before the deadline to have time to solve any problems.

Correcting or revising your proposal

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

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

Ancillary material

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

Withdrawing a proposal

You may withdraw a proposal before the deadline by submitting a revised version with an empty part B section, with the following words entered in the abstract field of form A:

"The applicants wish to withdraw this proposal. It should not be evaluated by the Commission".

If you wish to withdraw a proposal after the deadline, please contact the EPSS help desk.

4. Checklist

4.1. Preparing your proposal

- **Are you applying for the right action?** Check that your proposed work falls within the scope of this call, and that you have applied for the right action[3] (see the "People" Work programme).

- **Is your proposal eligible?** The eligibility criteria are given in the Work programme. See also section 2 of this Guide. Any proposal not meeting the eligibility requirements will be considered ineligible and will not be evaluated.

- **Is your proposal complete?** Proposals must comprise a Part A, containing the administrative information including participant and project cost details on standard forms; and a Part B containing the scientific and technical description of your proposal as described in this Guide. A proposal that does not contain both parts will be considered ineligible and will not be evaluated.

- **Does your 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? For more details on ethics, please refer to section **B6** at the end of this document.

- **Does your proposal follow the required structure?** Proposals should be precise and concise, and must follow exactly the proposal structure described in this document (annex 4 of this Guide), which is designed to correspond to the evaluation criteria which will be applied. This structure varies for different actions. 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 annex 2 of this Guide. Arrange for your draft to be evaluated by experienced colleagues; use their advice to improve it before submission.

- **Do you need further advice and support?** You are strongly advised to inform your National Contact Point of your intention to submit a proposal (see address in annex 1 of this Guide). Remember the Enquiry service listed in annex 1.

4.2. Final checks before submission

- **Do you have the agreement** of each partner in the project to submit this proposal on their behalf?
- **Is your Part B in portable document format (PDF),** including no material in other formats?

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

- **Is the filename made up of the letters A to Z, and numbers 0 to 9?** You should avoid special characters and spaces.
- **Have you printed out your Part B**, to check that it really is the file you intend to submit, and that it is complete, printable and readable? After the call deadline it will not be possible to replace your Part B file
- **Is your Part B file within the size limit of 10 Mbytes?**
- **Have you virus-checked your computer?** The EPSS will automatically block the submission of any file containing a virus.
- **Have you made yourself familiar with the EPSS in good time?**
- **Have you allowed time to submit a first version of your proposal well in advance of the deadline** (at least several days before), and then to continue to improve it with regular resubmissions?
- **Have you completed the submission process for your latest version?**

4.3 Following submission

- Information submitted to the EPSS remains encrypted until the deadline and can only be viewed by the applicant.
- It is recommended that you check that all your material has been successfully uploaded **and** submitted.
- You can revise and resubmit your proposal up to call deadline.

5. What happens next

Shortly after the call deadline (or cut-off date, in the case of continuously open calls), the Commission will send an **acknowledgement of receipt** to the e-mail address of the proposal coordinator given in the submitted proposal. This is assumed to be the individual named on the A2 form for participant no. 1. Please note that the brief electronic message given by the EPSS system after each submission is not the official Acknowledgement of Receipt.

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

> *If you have not received an acknowledgement of receipt within 12 working days after the call deadline (or cut-off date, in the case of a continuously open call), you should contact the FP7 Enquiry Service (see annex 1 to this Guide). However, first please check that you are the person named in the proposal as contact person for partner no. 1, check the email address which you gave for yourself, and check the junk mail box of your email system for the first few days following the close of call for any mail originating from FP7Aor@ess-fp7.org.*

The Commission will check that your **proposal** meets the **eligibility criteria** that apply to this call and funding scheme (see the Work programme and section 2 of this Guide).

All eligible proposals will be evaluated by independent experts. The evaluation criteria and procedure are described in annex 2 of this Guide.

Soon after the completion of the evaluation, the results will be finalised and all co-ordinators will receive a letter containing **initial information** on the results of the evaluation, including the Evaluation Summary Report giving the opinion of the experts on their proposal. Even if the experts viewed your proposal favourably, the Commission cannot at this stage indicate if there is a possibility of EU funding.

> *If you have not received the "initial information letter" by the date referred to in annex I to this Guide, please contact the Commission via the FP7 enquiry service.*

The letter will also give the relevant contact details and the steps to follow if you consider that there has been a shortcoming in the conduct of the evaluation process ("redress procedure").

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

Based on the results of the evaluation by experts, the Commission draws up the final list of proposals for possible funding, taking account of the available budget. The Commission must also take account of the strategic objectives of the programme, .as well as their overall balance.

Official letters are then sent to the applicants. If all has gone well, this letter will mark the beginning of a **negotiation** phase. Due to budget constraints, it is also possible that your proposal will be placed on a reserve list. In this case, negotiations will only begin if funds become available. In other cases, the letter will explain the reasons why the proposal cannot be funded on this occasion.

A description of the negotiation process will be provided in the **Negotiation Guidance Notes** available on CORDIS.

Negotiations between the applicants and the Commission aim to conclude a grant agreement which provides for EU funding of the proposed work. They cover both the scientific/technological,

and the administrative and financial aspects of the project. The officials conducting these negotiations on behalf of the Commission will be working within a predetermined budget envelope. They will 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 equality actions, and, if applicable to the project, with gender aspects in the conduct of the planned work, as well as the relevant principles contained in the European Charter for researchers and the Code of Conduct for their recruitment.

Members of the proposal consortium may be invited to Brussels or Luxembourg to facilitate the negotiation.

For participants not yet having a Participant Identification Code (PIC), i.e. not yet being registered and validated in the Commission's Unique Registration Facility (URF) their existence as legal entities and their legal status will have to be validated before a grant agreement can be signed. For these participants, the procedure of registration and validation is triggered by a self-registration in the web interface of the URF available at http://ec.europa.eu/research/participants/urf. This self-registration will lead to a request by the Commission to the organisation to provide supporting documents and to nominate a Legal Entity Authorised Representative (LEAR).

6. Glossary

The following explanations are provided for clarity and easy-reference. They have no legal authority, and do not replace any official definitions set out in the Council decisions.

A

Acknowledgement of receipt:

Applicants are informed by email shortly after the deadline that a proposal has been successfully submitted (but not that it is necessarily eligible). Contact the *help desk* urgently if you do not receive such an acknowledgement.

Applicant

The term used generally for a person or entity applying to a call for proposals. The term 'participant' is used in the more limited sense of a member of a proposal or project consortium (see below).

Associated countries

Non-EU countries which are party to an international agreement with the Community, under the terms or on the basis of which it makes a financial contribution to all or part of the Seventh Framework
Programme. In the context of proposal consortia, organisations from these countries are treated on the same footing as those in the EU. The list of associated countries is given in the body of this guide

C

Call fiche

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

Call for proposals (or "call")

An announcement, usually in the Official Journal, inviting proposals for research activities in a certain theme. Full information on the call can be found on the CORDIS web-site.

Consensus meeting

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

Coordinator

The coordinator leads and represents the applicants. He or she acts as the point of contact with the Commission.

CORDIS service

A web service providing access to all the documentation related to FP7, and access to the *electronic proposal submission service*.

D

Deadline

For a particular *call*, the moment after which proposals cannot be submitted to the Commission, and when the *Electronic Proposal Submission Service* closes for that call. Deadlines are strictly enforced.

Deliverable

A deliverable represents a verifiable output of the project. Normally, each work package will produce one or more deliverables during its lifetime. Deliverables are often written reports but can also take another form, for example the completion of a prototype etc.

Direct costs

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

E

Electronic Proposal Submission Service (EPSS)

EPSS is a web-based service which must be used to submit proposals to the Commission. Access is given through the *CORDIS* web-site, or via a specific site.

Electronic Proposal Submission Service (EPSS) Helpdesk

A telephone / email service to assist applicants who have difficulty in submitting their proposal via the Electronic Proposal Submission System: tel: +32 2 233 3760 email support@epss-fp7.org

Eligibility Review Committee

An internal committee which examines in detail cases of proposals whose eligibility for inclusion in an evaluation is in question

Eligibility criteria

The minimum conditions which a proposal must fulfil if it is to be retained for evaluation.

Ethical issues table

Research activities supported by the Framework Programme should respect fundamental ethical principles. The main issues which might arise in a project are summarised in tabular form in a checklist included in the proposal

Evaluation criteria

The criteria against which eligible proposals are assessed by independent experts.

Evaluation Summary Report (ESR)

The assessment of a particular proposal following the evaluation by independent experts is provided in an Evaluation Summary Report. It normally contains both comments and scores for each criterion.

F

Fixed amounts (Flat rate)

Categories of expenses fixed by applying a percentage indicated in advance or by the application of a standard scale-of-unit cost (where rates are fixed according to certain terms and conditions across the board for all users).

FP7 enquiry service

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

G

Grant Agreement (GA)

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

I

Indirect costs

Indirect costs, (sometimes called overheads), are all those eligible costs which cannot be identified by the participant as being directly attributed to the project, but which can be identified and justified by its accounting system as being incurred in direct relationship with the eligible direct costs attributed to the project.

Individual evaluation

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

Information Days

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

Initial information letter

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

International Cooperation Partner Countries (ICPC)
Low-income, lower-middle income and upper-middle-income countries, given in annex 1 to the work programme. Organisations from these countries can participate and receive funding in FP7, providing that certain minimum conditions are met.

International European Interest Organisation

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

International Organisation

International organisation means an intergovernmental organisation, other than the Community, which has legal personality under international public law, as well as any specialised agency set up by such an international organisation.

J

Joint Research Centre (JRC)

The Commission's own research institutes.

L

LEAR (Legal Entity Authorised Representative)

The LEAR is a person nominated in each legal entity participating in FP7. This person is the contact for the Commission related to all questions on legal status. He/she has access to the online database of legal entities with a possibility to view the data stored on his/her entity and to initiate updates and corrections to these data. The LEAR receives a Participant Identification Code (PIC) from the Commission (see below), and distributes this number within his/her organisation.

M

Milestones

Control points where decisions are needed with regard to the next stage of the project.

N

National Contact Points (NCP)

Official representatives nominated by the national authorities to provide tailored information and advice on each theme of FP7, in the national language(s).

Negotiation

The process of establishing a grant agreement between the Commission and an applicant whose proposal has been favourably evaluated, and when funds are available.

Non-profit

A legal entity is qualified as "*non-profit*" when considered as such by national or international law.

P

Part A

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

Part B

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

Part B template

A document in PDF format supplied by the EPSS, consisting of a template of all chapter headings, forms and tables required to prepare a proposal Part B. The template format is given in Annex 4 to this Guide.

Participants

The members of a consortium in a proposal or project. These are legal entities, and have rights and obligations with regard to the Community.

Participant Identification Code (PIC)

Organisations participating in FP7 will progressively be assigned Participant Identification Codes (PIC). The PIC is a unique 9-digit number for each organisation. Possession of a PIC will enable organisations to take advantage of the Unique Registration Facility (see below), and to identify themselves in all transactions related to FP7 proposals and grants.

Programme committee

A group of official national representatives who assist the Commission in implementing the Framework Programme.

Proposal

A description of the planned research and transfer of knowledge activities, and the information on who will carry them out.

R

Redress procedure

The initial information letter will indicate an address if an applicant wishes to submit a request for redress, if he or she believes that there have been shortcomings in the handling of the proposal in question, and that these shortcomings would jeopardise the outcome of the evaluation process. An internal evaluation review committee ("redress committee") will examine all such complaints. This committee does not itself evaluate the proposal. It is possible that the committee will recommend a re-evaluation of all or part of the proposal.

Research organisation

A legal entity established as a *non-profit* organisation which carries out research or technological development as one of its main objectives.

Reserve list

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

Risk-Sharing Finance Facility (RSFF)

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

RTD

Research and Technological Development.

S

SME

'SMEs' are micro, small and medium-sized enterprises. SMEs are defined in Recommendation 2003/361/EC of 6 May 2003.

T

Thresholds

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

U

Unique Registration Facility (URF)

A system that will allow organisations to register their details and status once and for all, obviating the need to provide the same information with each submission. The Web interface of the URF is found at http://ec.europa.eu/research/participants/urf. On this website you will also find a search tool to check if your organisation is already registered or not.

W

Work Package

A work package is a major sub-division of the proposed project with a verifiable end-point – normally a deliverable or a milestone in the overall project.

Work Programme

A formal document of the Commission for the implementation of a specific programme, that sets out the research objectives and topics to be addressed. It also contains information that is set out further in this Guide, including the schedule and details of the calls for proposals, indicative budgets, and the evaluation procedure.

Annexes

Annex 1 - Timetable and specific information for this call

- The **"People" Work programme** provides the essential information for submitting a proposal to this call. It describes the content of the topics to be addressed, and details on how it will be implemented. The Work programme is available on the CORDIS call page. The part giving the basic data on implementation (deadline, budget, deadlines, special conditions etc) is also posted as a separate document ("call fiche"). You must consult these documents.

- **Indicative timetable for this call**

Publication of call	*24 April 2009*
Deadline for submission of proposals	*27 July 2009, 17:00 (Brussels local time)*
Evaluation of proposals	*October 2009*
Evaluation Summary Reports sent to proposal coordinators ("initial information letter")	*November 2009*
Invitation letter to successful coordinators to launch grant agreement negotiations with Commission services	*December 2009*
Letter to unsuccessful applicants	From *December 2009*
Signature of first grant agreements	From *February 2010*

- **Further information and help**

The CORDIS call page: http://cordis.europa.eu/fp7/calls contains links to other sources that you may find useful in preparing and submitting your proposal. Direct links are also given where applicable.

Call information
CORDIS call page and Work programme http://cordis.europa.eu/fp7/dc/index.cfm

ftp://ftp.cordis.europa.eu/pub/fp7/docs/wp/people/m_wp_200901_en.pdf

Marie Curie pages:
http://ec.europa.eu/research/mariecurieactions/
http://cordis.europa.eu/fp7/mariecurieactions/iapp_en.html
http://ec.europa.eu/research/sme-techweb/pdf/smes_mcurie_en.pdf

General sources of help:
The Commission's FP7 Enquiry service http://ec.europa.eu/research/enquiries
National Contact Points http://cordis.europa.eu/fp7/ncp_en.html

Specialised and technical assistance:
CORDIS Help desk http://cordis.europa.eu/guidance/helpdesk/home_en.html
EPSS Help desk support@epss-fp7.org
IPR Help desk http://www.ipr-helpdesk.org

Legal documents generally applicable (see http://cordis.europa.eu/fp7/find-doc_en.html **for Find a Document – on Fp7 - service)**

Decision on the Framework Programme:
Decision No 1982/2006/EC of the European Parliament and of the Council of 18 December 2006 concerning the Seventh Framework Programme of the European Community for research, technological development and demonstration activities (2007-2013), available in all Community languages

Rules for Participation:
Regulation (EC) No 1906/2006 *of* the European Parliament and *of* the Council *of* 18 December 2006 laying down the *rules* for the *participation of* undertakings, research centres and universities in actions under the Seventh Framework Programme and for the dissemination *of* research results (2007-2013)), available at.http://ec.europa.eu/research/fp7/documents_en.html#Rules)

Specific Programmes at http://cordis.europa.eu/fp7/home_en.html

Rules for proposal submission, evaluation selection and award at
http://cordis.europa.eu/fp7/participate_en.html

Brochure "**The FP7 in Brief**" can be downloaded from the Europa web site at
http://ec.europa.eu/research/fp7/pdf/fp7-inbrief_en.pdf

The **European Charter for Researchers** and the **Code of Conduct** for their recruitment can be downloaded from
http://ec.europa.eu/euraxess/index_en.cfm

International cooperation on CORDIS at:
http://cordis.europa.eu/inco/

Annex 2 – Evaluation criteria and procedures to be applied for this call

1. General

The evaluation of proposals is carried out by the Commission with the assistance of independent experts.

Commission staff ensures that the process is fair, and in line with the principles contained in the Commission's rules[1].

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

In order to help with the management of the evaluation, the Commission may also appoint independent experts as chairs and vice-chairs.

In addition, independent experts will be appointed by the Commission to observe the evaluation process from the point of view of its working and execution. The role of the observers is to give independent advice to the Commission on the conduct and fairness of the evaluation sessions, on the way in which the experts apply the evaluation criteria, and on ways in which the procedures could be improved. The observers will not express views on the proposals under examination or the experts' opinions on the proposals.

Conflicts of interest: under the terms of the appointment letter, all experts must declare beforehand any known conflicts of interest, and must immediately inform the responsible Commission staff member if one becomes apparent during the course of the evaluation. The Commission will take whatever action is necessary to remove any conflict.

Confidentiality: the appointment letter also requires experts to maintain strict confidentiality with respect to the whole evaluation process. They must follow any instruction given by the Commission to ensure this. Under no circumstance may an expert attempt to contact an applicant on his own account, either during the evaluation or afterwards**.**

Proposals are submitted in a single stage and evaluated in one step by the experts against all evaluation criteria.

2. Before the evaluation

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

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

- It is received by the Commission before the deadline given in the call text
- It involves at least the minimum number of participants given in the call text

[1] Rules on Proposal Submission, Evaluation, Selection and Award Procedures (to be posted on CORDIS)

- It is complete (i.e. both the requested administrative forms and the proposal description are present)
- The content of the proposal relates to the topic(s) and funding scheme(s), including any special conditions set out in the relevant parts of the Work programme

The Commission establishes a list of experts capable of evaluating the proposals that have been received. The list is drawn up to ensure:

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

Provided that the above conditions can be satisfied, other factors are also taken into consideration:

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

In constituting the lists of experts, the Commission also takes account of their abilities to appreciate the industrial and/or societal dimension of the proposed work. Experts must also have the appropriate language skills required for the proposals to be evaluated.

Commission staff, eventually assisted by the chairs and vice-chairs, allocates proposals to individual experts, taking account of the fields of expertise of the experts, and avoiding conflicts of interest.

The evaluation session comprises three phases: the individual evaluation of the proposals, the consensus meeting and the panel review.

3. Individual evaluation of proposals

This phase will be carried out on the premises of the experts concerned ("remotely").

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

Each proposal will be assessed independently by at least three experts, chosen by the Commission from the pool of experts taking part in this evaluation. One of these experts will be designated to be the proposal "rapporteur", who will take up additional responsibilities at the end of this phase and in the following phases of the evaluation session.

The proposal will be evaluated against pre-determined evaluation criteria, applying weighting factors and thresholds. The evaluation criteria are reproduced on the following page.

Evaluation Criteria for Marie Curie Industry-Academia Partnerships and Pathways

S&T Quality	Transfer-of-knowledge	Implementation	Impact
S&T objectives of the research programme, including in terms of intersectorial issues.	**Quality of the transfer of knowledge programme. Consistency with the research programme.**	**Capacities (expertise/ human resources/ facilities/ infrastructures) to achieve the research and exchange of know-how and experience. Fit between capacity of host and size of support requested.**	**Provision to develop new intersectorial and lasting collaboration**
Scientific quality of the joint collaborative research programme..	**Importance of the transfer of knowledge in terms of intersectoriality.**	**Adequate exploitation of complementarities and synergies among partners in terms of transfer of knowledge.**	**Strategy for the dissemination and facilitation of sharing of knowledge and culture between the participants and external researchers (including international conferences, workshops, training events).**
Appropriateness of research methodology	**Adequacy of the role of researchers exchanged and recruited from outside the partnership with respect to the transfer of knowledge programme.**	**Appropriateness of management plans (recruitment strategy, IPR strategy, demarcation of responsibilities, rules for decision making, etc…).**	**Extent to which SMEs contribute to the project.**
Originality and innovative aspect of the research programme. **Knowledge of the state-of-the-art.**		**How essential is non-ICPC Third Country participation, if any, to the objectives of the research training programme.**	**In case of SMEs participation: Adequacy of the available infrastructures for the performance of the project. In case extra equipment is requested, necessity and justification in the context of the partnership.**

Evaluation scores will be awarded for each of the four criteria, and not for the sub-criteria. The sub-criteria are issues which the experts should consider in the assessment of that criterion. They also act as reminders of issues to raise later during the discussions of the proposal.

Each criterion will be scored out of 5. Scores will be awarded with a resolution of one decimal place.

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.*

The threshold and weightings for the different criteria are summarized in the table below.

Evaluation Criteria	Threshold	Weighting (%)
S&T Quality	**3**	**25**
Transfer of Knowledge	**3**	**20**
Implementation	**3**	**25**
Impact	**N/A**	**30**

In addition to the thresholds applied to the individual criteria, an overall threshold of 70% will be applied to the total score.

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

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 Assessment Report (IAR), giving scores and also comments against the evaluation criteria.

When scoring proposals, experts must *only* apply the above evaluation criteria.

Experts will assess and mark the proposal exactly as it is described and presented. They do not make any assumptions or interpretations about the project in addition to what is in the proposal.

Concise but explicit justifications will be given for each score. If needed, recommendations for improvements to be discussed as part of a possible negotiation phase will be given.

The experts will also indicate whether, in their view, the proposal deals with sensitive ethical issues. (See Section B6

Signature of the IAR also entails a declaration that the expert has no conflict of interest in evaluating the particular proposal.

Scope of the call: It is possible that a proposal is found to be completely out of scope of the call during the course of the individual evaluation, and therefore not relevant. If an expert suspects that this may be the case, a Commission staff member will be informed immediately, and the views of the other experts will be sought.

If the consensus view is that the main part of the proposal is not relevant to the call, the proposal will be withdrawn from the evaluation, and the proposal will be deemed ineligible.

4. Consensus meeting

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

This entails a consensus meeting to discuss the scores awarded and to prepare comments.

The consensus discussion is moderated by the rapporteur assigned to the proposal and can be attended by a Commission official, and/or the chairs/vice-chairs. The role of the rapporteur 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 rapporteur is responsible for drafting the consensus report.

The experts attempt to agree on a consensus score for each of the criteria that have been evaluated and suitable comments to justify the scores. Comments should be suitable for feedback to the proposal coordinator. Scores and comments are set out in a consensus report. They also come to a common view on the questions of scope, ethics.

If during the consensus discussion it is found to be impossible to bring all the experts to a common point of view on any particular aspect of the proposal, the Commission may ask up to three additional experts to examine the proposal.

Evaluation of a resubmitted proposal

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

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

The EIR will be signed by the Commission official or one of the chairs/vice-chairs, and one member of the consensus group (normally, the proposal rapporteur).

Outcome of the consensus meeting

The outcome of the consensus step is the consensus report. This will be signed (either on paper, or electronically) by all experts, or as a minimum, by the rapporteur, and by the Commission official or the chairs/vice-chair persons. 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.

The Commission will take the necessary steps to assure the quality of the consensus reports, with particular attention given to clarity, consistency, and appropriate level of detail. If important changes are necessary, the reports will be referred back to the experts concerned.

The signing of the consensus report completes the consensus step.

5. Panel review

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

The panel comprises at least the rapporteurs of the various proposal(s), the Panel Chair and Vice-Chair(s) and Commission officials. Several panels can be established to cover the main scientific areas of the subject of the proposals.
The main task of the panel is to examine and compare the consensus reports in a given area, to check on the consistency of the marks applied during the consensus discussions and, where necessary, propose a new set of consensus scores.

The tasks of the panel will also include:

- reviewing cases where a minority view was recorded in the consensus report
- recommending a priority order for proposals with the same consensus score;
- making recommendations on possible clustering or combination of proposals.

The panel is moderated by the Commission representative or by the chair person appointed by the Commission. The Commission will ensure fair and equal treatment of the proposals in the panel discussions. A panel rapporteur will be appointed to draft the panel's advice.

The outcome of the panel meeting is a report recording, principally:

- An evaluation summary report (ESR) for each proposal, including, where relevant, a report of any ethical issues raised and any security considerations;
- 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 by experts;
- A summary of any deliberations of the panel;

The panel report is signed by at least three panel members, including the panel rapporteur and the panel chairperson.

Subsequently, a special ethical review of above-threshold proposals may be organised by the Commission.

Annex 3 - Instructions for completing "Part A" of the proposal

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

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

This section provides guidance on how to complete the administrative forms (A1, A2 and A4) for an IAPP proposal. Form A1 gives a snapshot of your proposal, form A2 concerns the Host organisation(s), and form A4 details your request for funding in terms of researcher-months.

How to complete the forms (A1, A2 & A4)

The co-ordinator fills in one form A1 and one form A4 with details for each participant (one per line). The participant numbers correspond to those defined in the A2 forms. (Participant number one always corresponds to the co-ordinator of the consortium).

The participants (including the co-ordinator) fill in one A2 form each.

Subcontractors are not required to fill in the A2 form and are not listed separately in the A4 form. **Note, however, that each subcontractor should be identified in the proposal narrative (Part B).**

When you complete part A, please make sure that n*umbers are always rounded to the nearest whole number.*

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

Section A1 – Information on the Proposal	
Proposal number	[pre-filled]
Proposal Acronym	The short title or acronym will be used to identify your proposal efficiently in this call. It should be of no more than 20 characters (use standard alphabet and numbers only; no symbols or special characters please). The same acronym should appear on each page of part B of your proposal.
Proposal Title	The title should be no longer than 200 characters and should be understandable to the non-specialist in your field.
Marie Curie Action code	This field will be pre-filled with the code corresponding to the action of the call: Industry-Academia Partnerships and Pathways (**IAPP**)
Scientific Panel	Please choose a code from the list below indicating the main scientific area of relevance to your proposal. This information will help the Commission in the organisation of the evaluation of proposals. Chemistry **CHE** Social and Human Sciences **SOC** Economic Sciences **ECO** Information science and Engineering **ENG** Environment and geosciences **ENV** Life sciences **LIF** Mathematics **MAT** Physics **PHY** To help you select the most relevant panel code please refer also the breakdown of each scientific area into a number of sub-disciplines at the end of this section
Total Duration in months	Insert the estimated duration of the project in full months (preferably 48).
Call identifier	[pre-filled] The call identifier is the reference number given in the call or part of the call you are addressing, as indicated in the publication of the call in the Official Journal of the European Union, and on the CORDIS call page. A call identifier looks like this: *FP7-PEOPLE-200X-XXX*
Keywords	Please enter a number of keywords that you consider sufficient to characterise the scope of your proposal choosing from the available list and/or adding free keywords. There is a limit of 200 characters.
Abstract	The abstract should, at a glance, provide the reader with a clear understanding of the objectives of the proposal, how they will be achieved, and their relevance to the Work programme. This summary will be used as the short description of the proposal in the evaluation process and in communications to the programme management committees and other interested parties. It must therefore be short and precise and should not contain confidential information. Please use plain typed text, avoiding formulae and other special characters. **If the proposal is written in a language other than English, please write the proposal abstract in English.** There is a limit of 2000 characters.
Similar proposals	A 'similar' proposal or contract is one that differs from the current one in minor ways, and in which some of the present consortium members are involved.
Ethical Issues in Part B	Please choose YES or NO on the following basis: In the Part B Proposal Description you are asked to describe any ethical issues that may arise in your proposal and to fill in the table "RESEARCH ETHICAL ISSUES". If your proposal involves any of the sensitive ethical issues detailed in the table, please choose YES in this field. If not, choose 'NO'. This information will be used by the Commission to flag proposals with potential ethical issues that need further follow-up (but not necessarily a formal ethical review).

Scientific Panels - Sub-disciplines

To help you in selecting the most relevant panel code please find below a breakdown of each scientific area:

CHEMISTRY (CHE)

- Biological, Pharmaceutical and Medicinal Chemistry
- Environmental Chemistry
- Homogeneous and Heterogeneous Catalysis
- Instrumental Techniques, Analysis, Sensors
- Molecular Aspects of New Materials, Macromolecules, Supramolecular Structures, Nanochemistry
- New Synthesis, Combinatorial Chemistry
- Reaction Mechanisms and Dynamics
- Surface Science and Colloids
- Theoretical and Computational chemistry
- Other Chemistry

SOCIAL & HUMAN SCIENCES (SOC)

- Education and Training
- Law (European or Comparative National)
- Linguistics (applied to: Education, Industrial Efficiency or Social Cohesion)
- Media and Mass Communication
- Political Sciences (European or Comparative National)
- Psychology (Social, Industrial, Labour, or Education)
- Sociology
- Other Social and Human Sciences

ECONOMIC SCIENCES (ECO)

- Financial Sciences
- Industrial Economics (incl. Technology & Innovation)
- International Economics
- Labour Economics
- Macroeconomics
- Management of Enterprises (incl. Marketing)
- Microeconomics
- Natural Resources & Environmental Economics
- Public Sector Economics
- Quantitative Methods
- Research Management
- Social Economics
- Urban & Regional Economics (incl. Transport Economics)
- Other Economic Sciences

ENGINEERING & INFORMATION SCIENCE (ENG)

- Automation, Computer Hardware, Robotics
- Bioengineering
- Chemical Engineering
- Civil Engineering
- Computer Graphics, Human Computer Interaction, Multimedia
- Electrical Engineering
- Electronics
- Information Systems, Software Development and Databases
- Knowledge Engineering and Artificial Intelligence
- Materials Engineering
- Mechanical Engineering
- Parallel and Distributed Computing, Computer Architecture
- Signals, Speech and Image Processing
- Systems, Control, Modelling & Neural Networks
- Telecommunications
- Transport Engineering
- Other Engineering and Information Science

ENVIRONMENT & GEOSCIENCES (ENV)

- Agriculture, Agroindustry and Forestry
- Biodiversity and Conservation
- Climatology, Climate Change, Meteorology and Atmospheric Processes
- Ecology and Evolution (incl. Population Biology)
- Environmental Engineering and Geotechnics
- Fisheries and Aquaculture
- Geochemistry and Mineral Sciences
- Geophysics, Tectonics, Seismology, Volcanology
- Marine Sciences
- Natural Resources Exploration and Exploitation
- Physical Geography, Earth Observation and Remote Sensing
- Pollution, Waste Disposal and Ecotoxicology
- Soil and Water Processes
- Stratigraphy, Sedimentary Processes and Palaeontology
- Other Environment and Geosciences

LIFE SCIENCES (LIF)

- Bioenergetics
- Biological Membranes
- Biomedicine, Public Health & Epidemiology
- Cancer Research
- Cell Biology
- Computational Biology and Bioinformatics
- Developmental Biology
- Enzymology
- Genetic Engineering
- Genomics and General Genetics
- Immunology
- Macromolecular Structures and Molecular Biophysics
- Medical Pathology
- Metabolic Regulation and Signal Transduction
- Metabolism of Cellular Macromolecules
- Microbiology and Parasitology
- Neurosciences (incl.Psychiatry and Clinical Psychology)
- Pharmacology and Toxicology
- Physiology
- Virology
- Other Life Sciences

MATHEMATICS (MAT)

- Algebra and Number Theory
- Algorithms and Complexity
- Analysis and Partial Differential Equations
- Applied Mathematics and Mathematical Physics
- Discrete Mathematics and Computational Mathematics
- Geometry and Topology
- Logic and Semantics
- Statistics and Probability
- Other Mathematics

PHYSICS (PHY)

- Astronomy, Astrophysics and Cosmology
- Atomic and Molecular Physics
- Biophysics and Medical Physics
- Condensed Matter- Electronic Structures, Electrical and Magnetic Properties
- Condensed Matter- Mechanical and Thermal Properties
- Condensed Matter- Optical and Dielectric Properties
- Elementary Particles and Fields
- Fluids and Gases
- Non Linear Dynamics and Chaos Theory
- Nuclear Physics
- Optics and Electromagnetism
- Physical Chemistry, Soft Matter and Polymer Physics
- Physics of Superconductors
- Plasmas and Electric Discharges
- Statistical Physics and Thermodynamics
- Surface Physics
- Other Physics

Section A2 – Information on the Host organisations:	
Participant number	The number allocated to the participant for this proposal. In proposals with only one participant, the single participant is always number one. In proposals that have several participants, the co-ordinator of a proposal is always number one.
Participant Identification Code	The Participant Identification Code (PIC) will enable organisations to take advantage of the Unique Registration Facility. Organisations who have received a PIC from the Commission are encouraged to use it when submitting proposals.
Legal name	**For Public Law Body,** it is the name under which your organisation is registered in the Resolution text, Law, Decree/Decision establishing the Public Entity, or in any other document established at the constitution of the Public Law Body; **For Private Law Body,** it is the name under which your organisation is registered in the national Official Journal (or equivalent) or in the national company register. **For a natural person**, it is for e.g. Mr Adam JOHNSON, Mrs Anna KUZARA, and Ms Alicia DUPONT
Organisation Short Name	Choose an abbreviation of your Organisation Legal Name, only for use in this proposal and in all relating documents. This short name should not be more than 20 characters exclusive of special characters (./;…), for e.g. CNRS and not C.N.R.S. It should be preferably the one as commonly used, for e.g. IBM and not Int.Bus.Mac.
Legal address	For Public and Private Law Bodies, it is the address of the entity's Head Office. For Natural Persons it is the Official Address. If your address is specified by an indicator of location other than a street name and number, please insert this instead under the "street name" field and "N/A" under the "number" field.
Non-profit organisation	Non-profit organisation is a legal entity qualified as such when it is recognised by national or, international law.
Public body	Public body means any legal entity established as such by national law and international organisations.
Research organisation	**Research organisation means a legal entity established as a non-profit organisation which carries out research or technological development as one of its main objectives.**
Higher or secondary education establishment	A secondary and higher education establishment means organisations only or mainly established for higher education/training (e. g. universities, colleges etc.).
International organisation	"international organisation" means an intergovernmental organisation, other than the European Community, which has legal personality under international public law, as well as any specialised agency set up by such an international organisation;
International European Interest organisation	"international European interest organisation" means an international organisation, the majority of whose members are Member States or Associated countries, and whose principal objective is to promote scientific and technological cooperation in Europe;
Joint Research Centre of the European Commission	The European Commission's research laboratories
Entity composed of one or more legal entities	European Economic Interest Groups, Joint Research Units (Unités Mixtes de Recherche), Enterprise Groupings. Decision DL/2003/3188 27.11.2003

Commercial Enterprise	Organisations operating on a commercial basis, i.e. companies gaining the majority of their revenue through competitive means with exposure to commercial markets, including incubators, start-ups and spin-offs, venture capital companies, etc.
NACE code	**NACE** means " Nomenclature des Activités économiques dans la Communauté Européenne". Please select **one** activity from the list that **best** describes your professional and economic ventures. If you are involved in more than one economic activity, please select the **one** activity that is **most** relevant in the context of your contribution to the proposed project. For more information on the methodology, structure and full content of NACE (rev. 1.1) classification please consult EUROSTAT at: http://ec.europa.eu/eurostat/ramon/nomenclatures/index.cfm?TargetUrl=LST_CLS_DLD&StrNom=NACE_1_1&StrLanguageCode=EN&StrLayoutCode=HIERARCHIC .
Small and Medium-Sized Enterprises (SMEs)	SMEs are micro, small and medium sized enterprises within the meaning of Recommendation 2003/361/EC in the version of 6 May 2003. The full definition and a guidance booklet can be found at http://ec.europa.eu/enterprise/enterprise_policy/sme_definition/index_en.htm To find out if your organisation corresponds to the definition of an SME you can use the on-line tool at http://ec.europa.eu/research/sme-techweb/index_en.cfm
Dependencies with (an) other participant(s)	Two participants (legal entities) are dependent on each other where there is a controlling relationship between them: – A legal entity is under the same direct or indirect control as another legal entity (**SG**); – A legal entity directly or indirectly controls another legal entity (**CLS)**; – A legal entity is directly or indirectly controlled by another legal entity **(CLB)**. ***Control:*** Legal entity A controls legal entity B if: – A, directly or indirectly, holds more than 50% of the nominal value of the issued share capital or a majority of the voting rights of the shareholders or associates of B, or – A, directly or indirectly, holds in fact or in law the decision-making powers in B. The following relationships between legal entities shall not in themselves be deemed to constitute controlling relationships: (a) the same public investment corporation, institutional investor or venture-capital company has a direct or indirect holding of more than 50 % of the nominal value of the issued share capital or a majority of voting rights of the shareholders or associates; (b) the legal entities concerned are owned or supervised by the same public body.
Character of dependence	According to the explanation above, please insert the appropriate abbreviation according to the list below to characterise the relation between your organisation and the other participant(s) you are related with: • **SG**: Same group: if your organisation and the other participant are controlled by the same third party; • **CLS**: Controls: if your organisation controls the other participant; • **CLB**: Controlled by: if your organisation is controlled by the other participant.
Contact point	It is the main scientist or team leader in charge of the proposal for the participant. For participant number 1 (the coordinator), this will be the person the Commission will contact concerning this proposal (e.g. for additional information, invitation to hearings, sending of evaluation results, convocation to negotiations).
Title	Please choose one of the following: Prof., Dr., Mr., Mrs, Ms.
Sex	This information is required for statistical and mailing purposes. Indicate Female or Male as appropriate.
Phone and fax numbers	Please insert the full numbers including country and city/area code. Example +32-2-2991111.

Section A4 – Requested Fellows (IAPP):	
NOTE	***IMPORTANT NOTICE:*** As explained in section 2.5.2, the budget for each partner in the IAPP action is calculated on the basis of the *incoming researchers*, i.e. the researchers recruited and/or received in secondment by the organisation. **Secondments should therefore be recorded in the A4 form in the line of the participant that will *receive* the seconded researchers** *and not in the line of the sending institution. This enables the Commission to accurately calculate the project budget.* However, there is administrative flexibility in terms of who actually pays the researchers (either the sending or the receiving organisation) and this will be part of the negotiation with the Commission and should be detailed in the consortium agreement.
Early-Stage Researchers	*Early-stage researchers* means researchers who have at the time of the selection for secondment no more than 4 years (full-time equivalent) research experience since obtaining the degree which formally allows them to embark on doctoral studies, either in the country in which the degree was obtained or in the country of the receiving host organisation (irrespective of whether or not a doctorate is envisaged). **Note: Researchers with less than 4 years of research experience but already in the possession of a doctoral degree fall into the category of Experienced Researchers (4-10 years)** Early-stage researchers are only eligible for secondment within the IAPP scheme.
Experienced Researchers (4-10 years)	*Experienced Researchers (4-10 years)* means researchers who have, at the time of recruitment/selection for secondment (i) a doctoral degree, or (ii) a full-time equivalent research experience of 4-10 years since obtaining the degree which formally allowed them to embark on doctoral studies, either in the country in which the degree was obtained or in the country of the (recruiting/receiving) host organisation (irrespective of whether or not a doctorate was envisaged). Experienced Researchers (4-10 years) are eligible for secondment or new recruitment in the IAPP scheme
Experienced Researchers (> 10 years)	*Experienced Researchers (>10 years)* means researchers who have, at the time of recruitment/selection for secondment more than 10 years' full-time equivalent research experience since obtaining the degree which formally allowed them to embark on doctoral studies, either in the country in which the degree was obtained or in the country of the (recruiting/receiving) host organisation (irrespective of whether or not a doctorate was envisaged). Experienced Researchers (4-10 years) are eligible for secondment or new recruitment in the IAPP scheme.

Proposal Submission Forms

EUROPEAN COMMISSION

7th Framework Programme on Research, Technological Development and Demonstration

Marie Curie Actions
Industry-Academia Partnerships and Pathways (IAPP)

A1

Proposal Number		*Proposal Acronym*	

GENERAL INFORMATION ON THE PROPOSAL			
Proposal Title			
Marie Curie action-code		*Scientific Panel*	
Total duration in months		*Call identifier*	
Keywords (up to 200 characters)			

Abstract (up to 2000 characters)

Has a similar proposal been submitted to a Marie Curie Action under this or previous RTD Framework Programmes? **YES/NO**	
If yes:	
Programme name(s) and year	*Proposal number(s)*

Does this proposal include any of the sensitive ethical issues detailed in the Research Ethical Issues table of Part B? **YES/NO**	

Proposal Submission Forms

EUROPEAN COMMISSION

7th Framework Programme on Research, Technological Development and Demonstration

Marie Curie Actions
Industry-Academia Partnerships and Pathways (IAPP)

A2

Proposal Nr		*Proposal Acronym*		*Participant Nr*	

INFORMATION ON ORGANISATIONS

If your organisation has already registered for FP7, enter your Participant Identity Code	*[PIC or 'none']*
Organisation legal name	
Organisation short name	

Administrative data

Legal address			
Street name		Number	
Town			
Postal Code / Cedex			
Country			
Internet homepage (optional)			

Status of your organisation

Certain types of organisations benefit from special conditions under the FP7 participation rules. The Commission also collects data for statistical purposes.
The guidance notes will help you complete this section.
Please 'tick' the relevant box(es) if your organisation falls into one or more of the following categories.

Non-profit organisation q
Public body q
Research organisation q
Higher or secondary education establishment q
International organisation q
International European Interest organisation q
Joint Research Centre of the European Commission q
Entities composed of one or more legal entities [European Economic Interest Group/ Joint Research unit (Unité mixte de recherché) / Enterprise groupings] q
Commercial Enterprise q
Main area of activity (NACE code): [dropdown list]

1. Is your number of employees smaller than 250? *(full time equivalent)*	**[yes/no]**
2. Is your annual turnover smaller than € 50 million?	**[yes/no]**
3. Is your annual balance sheet total smaller than € 43 million?	**[yes/no]**
4. Are you an autonomous legal entity?	**[yes/no]**
You are **not an SME** if your answer to question 1 is "NO" and/or your answer to both questions 2 and 3 is "NO". In all other cases, you might conform to the Commission's definition of an SME. **Please check** the additional conditions given in annex X.	
Following this check, do you conform to the Commission's definition of an SME	**[yes/no]**

-

Dependencies with (an)other participant(s)

Are there **dependencies** between your organisation and (an)other participant(s) in this proposal? ***(Yes or No)***					
If Yes:					
Participant Number		Organisation Short Name		Character of dependence	
Participant Number		Organisation Short Name		Character of dependence	
Participant Number		Organisation Short Name		Character of dependence	

Contact points

Person in charge (For the coordinator (participant number 1) this person is the one who the Commission will contact in the first instance)			
Family name		First name(s)	
Title		Sex (Female – F / Male – M)	
Position in the organisation			
Department/Faculty/Institute/Laboratory name/ …			
Is the address different from the legal address?			***YES/NO***
Street name		Number	
Town			
Postal Code / Cedex			
Country			
Phone 1		Phone 2	
E-mail		Fax	

Proposal Submission Forms

EUROPEAN COMMISSION

7th Framework Programme on Research, Technological Development and Demonstration

Marie Curie Actions
Industry-Academia Partnerships and Pathways (IAPP)

A4

Proposal Number		*Proposal Acronym*	

REQUESTED FELLOWS

Participant number	***Seconded researchers received***						***Newly recruited researchers***			
	Early-Stage Researchers (0-4 years)		***Experienced Researchers (4-10 years)***		***Experienced Researchers (>10 years)***		***Experienced Researchers (4-10 years)***		***Experienced Researchers (>10 years)***	
	Fellow Months	***Number of researchers***	***Fellow Months***	***Number of researchers***	***Fellow Months***	***Number of researchers***	***Fellow Months***	***Number of researchers***	***Fellow Months***	***Number of researchers***
1										
Total										

Page …/…

Annex 4 - Instructions for drafting "part B" of the proposal

Instructions for preparing proposal Part B for Marie Curie Industry-Academia Partnerships and Pathways

A description of the action is given in section 2 of this Guide for Applicants. Please examine it carefully before preparing your proposal.

This annex provides guidelines for drafting Part B of the proposal.
It will help you present important aspects of your planned work in a way that will enable the experts to make an effective assessment against the evaluation criteria (see annex 2).

General information

Part B of the proposal contains the details of the proposed research and transfer of knowledge programmes along with the practical arrangements foreseen to implement them and their impact. They will be used by the independent experts to undertake their assessment. We would therefore advise you to address each of the evaluation criteria as outlined in the following sections. Please note that "Explanatory notes" in the following only serve to illustrate the evaluation criteria without being exhaustive. To draft your proposal you should also consult the current version of the People Work Programme.

For practical reasons, you are invited to structure your proposal according to the headings indicated in the table of contents.

Please note that there will be a single evaluation following a single proposal submission. The template for the submission can be downloaded from the EPSS.

In order to ensure comparability between proposals the **maximum length** of part B is **30** A4 pages (excluding table of contents as well as start and end pages).

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).

Ensure that the font type chosen leads to clearly readable text (eg. Arial or Times New Roman).

Please make sure that

- you use the right template to prepare your proposal;
- you respect the maximum number of pages; Part B of your proposal carries the proposal acronym as a header to each page and that all pages are numbered in a single series on the footer of the page to prevent errors during handling. It is recommended that the numbering format “Part B - Page X of Y” is used;
- your proposal is complete, including the set of Forms requested for **PART A** as well as a free text **PART B**. Incomplete proposals are not eligible and will not be evaluated.

STARTPAGE

PEOPLE
MARIE CURIE ACTIONS

Marie Curie Industry-Academia Partnerships and Pathways (IAPP)
Call: FP7-PEOPLE-2009-IAPP

PART B

"PROPOSAL ACRONYM"

Table of Contents

To draft PART B applicants should take into account the following structure. If required for an adequate description of their project, applicants may wish to add further headings.

PART B

Practical Information:

- *PART B of Proposals shall be limited to **30** A4 pages (excluding table of contents, start and end pages).*
- *Proposals are evaluated against **four criteria**, these being "**S&T Quality**" (25%), "**Transfer of knowledge**" (20%), **"Implementation"** (25%) and **"Impact"** (30%). The weight of each of the criteria is shown in the brackets.*
- *Make sure that the **free text** used to describe the proposed project takes into account the issues covered by the 4 evaluation criteria.*
- *In addition, applicants are requested to provide information on ethical aspects (where relevant) and information on participation in previous projects under the Marie Curie actions.*

B.1 LIST OF PARTICIPANTS

Please provide an overview of the partnership composition by providing details of the participants country, legal entity, the department carrying out the work and the person-in-charge of the project.

Participant number	Country	Legal Entity	Department	Person-in-charge
-				
-				
-				
-				
-				
-				
-				

B.2 S&T QUALITY (25%)

In assessing the proposal, experts will be asked to review this criterion on the following basis (see People Work programme Annex 2, table 3.1).

- S&T objectives of the research programme, including in terms of intersectorial issues.
- Scientific quality of the joint collaborative research programme.
- Appropriateness of research methodology.
- Originality and innovative aspects of the research programme. Knowledge of the state-of-the-art.

Explanatory note:
Provide a detailed description of the research objectives and of the research project/programme to be implemented by the partnership, highlighting planned research collaborations.

The scientific part of the proposal should allow experts to assess the quality of the proposed research, including interdisciplinarity (if applicable) and intersectorial aspects.

Explain the key elements of the research methodology that will be followed, taking into consideration ethical and other relevant issues, where appropriate.

Describe the current state of the art and the objectives of the research project/programme. Explain how the synergies/complementarities between the partners will be exploited to advance research in the chosen field. Show how each partner's respective expertise and competence make them particularly suited for their allocated tasks.

B. 3 TRANSFER OF KNOWLEDGE (20%)

In assessing the proposal, experts will be asked to review this criterion on the following basis (see People Work programme Annex 2, table 3.1).

- Quality of the transfer of knowledge programme. Consistency with the research programme.
- Importance of the transfer of knowledge in terms of intersectoral issues.
- Adequacy of the role of researchers exchanged and recruited from outside the partnership with respect to the transfer of knowledge programme.

Explanatory note:

Outline the need for knowledge transfer for the host organisations through the secondment of their own staff and the recruitment of researchers from outside the partnership. Demonstrate how the knowledge transfer will significantly increase the research quality and overall RTD capability and competitiveness of the partners.

Detail the distinct special measures that will be taken to transfer knowledge between the host institutions. The measures should emphasise the scientific and technical transfer and also any broader training (e.g. communication, ethics, language training, and managerial skills) designed to benefit the personnel of the participating institutions. Provide details of the in-built return mechanisms that will ensure efficient transfer of knowledge back into the organisation of origin of the seconded staff.

Describe the relative roles of secondments and any envisaged recruitment. Indicate in person-months the overall total of researchers to be seconded and the total of *de novo* recruitment.

Indicate the foreseen length of each secondment/recruitment (for example using a Gantt chart). Pay attention to all eligibility rules for secondment and recruitment (described in section 2 of the Guide for Applicants).

Explain the chosen mixture of researchers in terms of their experience: early stage; experienced (break down into 4-10 years, and more than 10 years); and technical/managerial staff.

B.4 IMPLEMENTATION (25%)

In assessing the proposal, experts will be asked to review this criterion on the following basis (see People Work programme Annex 2, table 3.1).

- Capacities (expertise / human resources/ facilities / infrastructures) to achieve the research and exchange of know-how and experience. Fit between capacity of host and size of support requested
- Adequate exploitation of complementarities and synergies among partners in terms of transfer of knowledge.
- Appropriateness of management plans (recruitment strategy, IPR strategy, demarcation of responsibilities, rules for decision making, etc).
- How essential is non-ICPC Third Country participation, if any, to the objectives of the research training programme.

Explanatory note:

Describe the infrastructure that each partner organisation will provide in order to host seconded and recruited fellows.

For each partner organisation, present the human resource availability and experience. For the staff who will work on the project, indicate their foreseen involvement in terms of percentage of full time work. Demonstrate that the partnership has the appropriate mix of researchers with necessary skills and experience to carry out the project.

Relate the infrastructure and human resource capacity of each organisation to the proposed work plan and schedule of secondments and recruitments.

Describe in practical terms, how the participant teams complement one another and how possible synergies will be exploited to benefit the transfer of knowledge programme. Highlight the involvement of participants from different sectors (commercial, non-commercial) and provide details on the nature of the collaborations.

Provide an overview of the work plan showing task distribution, milestones, foreseen deliverables and schedule. The schedule should be in terms of number of months elapsed from the start of the joint collaboration programme. Indicate how these tasks are linked to the objectives of the research programme.

Describe, using charts if appropriate, the organisation and management structure and the techniques to be used to co-ordinate the activities. Detail demarcation of responsibilities, rules for decision making process, communication strategy, the methods for monitoring and reporting progress, and other managerial techniques. Comment on the gender balance of the management structure.

Describe the IPR strategy of the consortium, providing details as necessary of issues such as ownership, transfer, protection, use & dissemination. (Further information on IPR issues can be found at http://www.ipr-helpdesk.org).

Describe the competitive, international recruitment strategy explaining how vacancies for experienced researchers will be published by the host organisation. If any difficulties are

anticipated in recruiting experienced researchers, please outline the measures foreseen to overcome these difficulties. Include information on promotion of equal opportunities and foreseen conditions of employment.

The coordinator should demonstrate the necessary scientific and organisational competence to manage the proposed scale of the project. In this context, relevant project management experience within the partnership should be described (such as previous and current involvement in projects under the Marie Curie Actions or other internationally-funded projects for example).

If one or more of the partners is based in an OTC country, special care must be taken in the proposal to explain why the involvement of this team is essential for the consortium since only in exceptional cases will these organisations receive Community funding.

B.5 IMPACT (30%)

In assessing the proposal, experts will be asked to review this criterion on the following basis (see People Work programme Annex 2, table 3.1).

- Provision to develop new intersectorial and lasting collaboration
- Strategy for the dissemination and facilitation of sharing of knowledge and culture between the participants and external researchers (including international conferences, workshops, training events).
- Extent to which SMEs contribute to the project.
- In case of SME participation: adequacy of the available infrastructures for the performance of the project. In case extra equipment is requested, necessity and justification in the context of the partnership.

Explanatory note:

This section should allow experts to assess the immediate and longer term benefits of the proposed collaboration. It should outline how the project/programme will foster existing and/or create new collaborations.

Outline the practical steps the partnership would take to ensure effective dissemination of the results of the collaboration, both during the project duration and after completion of the grant agreement. When applicable, describe the industrial or commercial routes envisaged for the exploitation of the results by the commercial sector participants.

If funding is sought for participation of external researchers in transfer of knowledge and dissemination events, justify why this is beneficial for the project.

Outline the role of any SME participants, taking care to demonstrate that they possess sufficient resources necessary for their proposed participation in the project. In case extra equipment is requested, due justification should be provided. Clearly identify the costs for equipment that will be charged to the budget by participating SMEs (if applicable).

B.6 ETHICAL ISSUES

Describe any ethical issues that may arise in the proposal. In particular, you should explain the benefit and burden of the experiments and the effects these may have on the research subject. The following special issues should be taken into account:

Informed consent: When describing issues relating to informed consent, it will be necessary to illustrate an appropriate level of ethical sensitivity, and consider issues of insurance, incidental findings and the consequences of individuals leaving the study prematurely.

Data protection issues: Avoid the unnecessary collection and use of personal data. Identify the source of the data, describing whether it is collected as part of the research or is previously collected data being used. Consider issues of informed consent for any data being used. Describe how personal identity of the data is protected.

Use of animals: Where animals are used in research the application of the 3Rs (Replace, Reduce, Refine) must be convincingly addressed. Numbers of animals should be specified. Describe what happens to the animals after the research experiments.

Human embryonic stem cells: Research proposals that will involve human embryonic stem cells (hESC) will have to address all the following specific points:

- the applicants should demonstrate that the project serves important research aims to advance scientific knowledge in basic research or to increase medical knowledge for the development of diagnostic, preventive or therapeutic methods to be applied to humans;
- the necessity to use hESC in order to achieve the scientific objectives set forth in the proposal. In particular, applicants must document that appropriate validated alternatives (in particular, stem cells from other sources or origins) are not suitable and/or available to achieve the expected goals of the proposal. This latter provision does not apply to research comparing hESC with other human stem cells;
- the applicants should take into account the legislation, regulations, ethical rules and/or codes of conduct in place in the country(ies) where the research using hESC is to take place, including the procedures for obtaining informed consent;
- the applicants should ensure that for all hESC lines to be used in the project were derived from embryo's
    - of which the donor(s)' express, written and informed consent was provided freely, in accordance with national legislation prior to the procurement of the cells.
    - that result from medically-assisted *in vitro* fertilisation designed to induce pregnancy, and were no longer to be used for that purpose.
    - of which the measures to protect personal data and privacy of donor(s), including genetic data, are in place during the procurement and for any use thereafter. Researchers must accordingly present all data in such a way as to ensure donor anonymity;
    - of which the conditions of donation are adequate, and namely that no pressure was put on the donor(s) at any stage, that no financial inducement was offered to donation for research at any stage and that the infertility treatment and research activities were kept appropriately separate;

Identify the countries where research will be undertaken and which ethical committees and regulatory organisations will need to be approached during the life of the project.

Include the Ethical issues table below. If you indicate YES to any issue, please identify the pages in the proposal where this ethical issue is described. Answering 'YES' to some of these boxes does not automatically lead to an ethics review. It enables the independent experts to decide if an ethics review is required. If you are sure that none of the issues apply to your proposal, simply tick the YES box in the last row.

(No maximum length for Section B.6: Depends on the number of such issues involved)

Notes:

Any ethics review will be performed solely on the basis of the information available in the proposal. Only in exceptional cases will additional information be sought for clarification. Projects raising specific ethical issues such as research intervention on human beings[1]; research on human embryos and human embryonic stem cells and non-human primates are automatically submitted for ethics review.

To ensure compliance with ethical principles, the Commission Services will undertake ethics audit(s) of selected projects at its discretion.
A dedicated website that aims to provide clear, helpful information on ethical issues is now available at: http://cordis.europa.eu/fp7/ethics_en.html

ETHICAL ISSUES TABLE

(Note: Research involving activities marked with an asterisk * in the left column in the table below will be referred automatically to Ethics Review)

	Research on Human Embryo/ Foetus	YES	Page
*	Does the proposed research involve human Embryos?		
*	Does the proposed research involve human Foetal Tissues/ Cells?		
*	Does the proposed research involve human Embryonic Stem Cells (hESCs)?		
*	Does the proposed research on human Embryonic Stem Cells involve cells in culture?		
*	Does the proposed research on Human Embryonic Stem Cells involve the derivation of cells from Embryos?		
	I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL		

	Research on Humans	YES	Page
*	Does the proposed research involve children?		
*	Does the proposed research involve patients?		
*	Does the proposed research involve persons not able to give consent?		
*	Does the proposed research involve adult healthy volunteers?		
	Does the proposed research involve Human genetic material?		
	Does the proposed research involve Human biological samples?		
	Does the proposed research involve Human data collection?		
	I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL		

[1] Such as research and clinical trials involving invasive techniques on persons (e.g. taking of tissue samples, examinations of the brain).

	Privacy	YES	Page
	Does the proposed research involve processing of genetic information or personal data (e.g. health, sexual lifestyle, ethnicity, political opinion, religious or philosophical conviction)?		
	Does the proposed research involve tracking the location or observation of people?		
	I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL		

	Research on Animals	YES	Page
	Does the proposed research involve research on animals?		
	Are those animals transgenic small laboratory animals?		
	Are those animals transgenic farm animals?		
*	Are those animals non-human primates?		
	Are those animals cloned farm animals?		
	I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL		

	Research Involving Developing Countries	YES	Page
	Does the proposed research involve the use of local resources (genetic, animal, plant, etc)?		
	Is the proposed research of benefit to local communities (e.g. capacity building, access to healthcare, education, etc)?		
	I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL		

	Dual Use	YES	Page
	Research having direct military use		
	Research having the potential for terrorist abuse		
	I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL		

ENDPAGE

PEOPLE
MARIE CURIE ACTIONS

Marie Curie Industry-Academia Partnerships and Pathways (IAPP)
Call: FP7-PEOPLE-2009-IAPP

PART B

“PROPOSAL ACRONYM”

Further Information on Ethical Issues in Research

Ethics is central to scientific integrity, honesty and clarity of science. It is considered essential by the European Commission in the research activities that it funds or carries out itself. This means that in any proposal submitted to the 7th Framework programme, ethics issues must be identified and addressed. Proposals that pose ethics concerns will be flagged. Considering **ethics issues** from the concept stage of a proposal enhances the quality of research. Applicants should take time to consider the benefit/burden balance of each work package; consider the impact of the research, not only in terms of scientific advancement, but also in terms of human dignity and social and cultural impact; consider elements such as the ethics and social impact of the research and whether there is a balance between the objectives and the means.

Major Changes from FP6 to FP7

• The Ethics Review will be carried out **on the proposal as it is submitted**.
• No additional information will be requested at Ethics Review.
• **Drafts** of Information Sheet and Consent Form have to be submitted.
• No need to submit copies of legislation.

Take Home Message:
GET IT RIGHT FIRST TIME!
Identify and contact the ethics expert in your organisation now!

Main Ethics Issues that MUST be addressed

• Informed consent
• Human embryonic stem cells
• Privacy and data protection
• Use of human biological samples and data
• Research on animals
• Research in developing countries
• Dual use

Areas excluded from funding

1. Research activity aiming at human cloning for reproductive purposes.
2. Research activity intended to modify the genetic heritage of human beings which could make such changes heritable (Research related to cancer treatment of the gonads can be financed).
3. Research activities intended to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.

Elements for a good approach

• The content of the Ethics part of the proposal should reflect that the issue was thought of thoroughly.
• Address possible ethics issues, even if to justify that they are not applicable, give justification.
• Justify the choice of animals, estimate the numbers.
• Take into account data, data transfer, banks, collecting samples, future clinical trials.
• Specifically include: Insurance of participants, Conflict of interest, Incidental findings.
• Foresee Ethics Responsibility at the level of Work-Package Leadership.
• Include an Ethics Standing Committee or at least a periodic monitoring for ethics.
• Include a flowchart of the Ethics review process within the partnership.
• Include an appropriate periodic report on ethics.
• Include a Work Package on Ethics (if relevant).

Ethics Reviews in Practice

All proposals submitted to the European Commission for funding are evaluated by a panel of independent experts on the basis of the criteria detailed in Annex 2 of the Guide for Applicants. The independent experts will also detect proposals raising Ethics issues and recommend Ethics Review.

Ethics review and the reviewers

Ethics review aims to prevent Community funding being used for research activities that contravene fundamental rights.
• Reviewers are selected on the basis of their expertise.
• Reviewers must first register online on CORDIS.
• Reviewers have a wide range of skills. They include doctors, biologists and clinicians, ethicists, lawyers.
• Gender balance is promoted.
• Reviewers come from the European Union and other countries.
Every proposal gets a report outlining the views of the reviewers. No marks are given.

Ethics review is automatic if a proposal includes:
• interventions on human beings;
• the use of human embryonic stem cells (hESC); and/or
• the use of non-human primates.
Ethics Review may be necessary if the proposal is flagged by the scientific expert as raising specific ethics issues.

Informed Consent

When is it needed?
• When children are involved
• Healthy volunteers
• Human genetic material
• Human biological samples
• Human data collection

What must be in a Consent form?

• A statement that this is a research project.
• The purpose of the research, the duration, procedures to be used and identification of any experimental procedure.
• A description of the foreseen risks and benefits to be included.
• A statement describing the extent to which confidentiality of records identifying the subject will be maintained.
• A disclosure of any alternative procedures that might be beneficial.
• For research involving more than minimal risk, an explanation as to whether there are any treatments or compensation if injury occurs and if so what they consist of or where further information can be obtained.
• Identify the contact person for answers to questions about the research and research subject's rights, and whom to contact in the event of injury to the subject.
• A statement that participation is voluntary, withdrawal from the research can be undertaken at any time without loss of benefits which the subject is otherwise entitled to.

How to deal with informed consent in practice?

Ensure that:
• it is understood. Explain how you check the critical part of the process;
• it excludes vulnerable persons, prisoners, mentally impaired persons, severely-injured patients, very young children, but avoid lost opportunities for these persons. The framework should guarantee their participation (notion of surrogate legal/ therapeutic representative);
• you address the fact that people rarely recall what they have agreed upon when signing an informed consent form.

Human Embryonic Stem Cell Research (hESC)

Each proposal using hESC is assessed by at least two independent ethics reviews: one in the country where the research is carried out and one at the EU level. No system in the world offers a higher guarantee regarding the respect of fundamental ethics principles.
When involving the use of hESC in their research project, researchers should take into account and specify:
• if it does not destroy embryos (including to procure stem cells);
• if the consortium has taken into account the legislation, regulations, ethics rules and/or codes of conduct in place in the countries where the research using the hESC will take place, including the procedures for obtaining informed consent;
• the source of the hESC;
• the protection of personal data (genetic data and privacy);
• the nature of financial inducements, if any;
• positive opinion from a Committee constituted by Member States representatives;
• approval of the relevant national or local ethics committee prior to the start of the research activities.

Privacy and data protection

Privacy problems exist wherever uniquely identifiable data relating to a person is collected or stored, in digital form or otherwise. Improper disclosure control can be the root cause for privacy issues.

Data affected by privacy issues
• Health Information
• Financial and Genetic information
• Criminal justice
• Location information
The main challenge in data privacy is to share data while protecting identifiable information

How to address Data protection and Privacy?
• Describe the procedures for informed consent confidentiality.
• Informed consent for duration and limited purposes.
• Code or anonymise banked biomaterial, security for storage and handling and make sure it is lawfully processed.
Eight principles of good practice - Data must be:
? Fairly and lawfully processed
? Processed for limited purposes
? Adequate, relevant and not excessive
? Accurate
? Not kept longer than necessary
? Processed in accordance with the data subject's rights
? Secure
? Not transferred to countries without adequate protection

Research on Animals

• Explain and justify your choices of species and give an estimate of numbers of animals you will use.
• Make a detailed and convincing explanation for the application of the 3Rs: **Reduction, Replacement, Refinement.**
• Describe and justify humane end points and pain suffering.
• Check for alternatives.

Double Standards

The issues at stake when conducting research in Developing Countries are linked with applying the same criteria to other cultures. This implies that you take into account the wide disparities in health systems and access to health care, the burden of disease, the level of literacy and the scientific and ethics infrastructures.

Dual use

Dual use is a term used to refer to technology which can be used for both peaceful and military aims.
Ethical issues of dual use might arise in cases where:-
Classified information, materials or techniques are used in research
Dangerous or restricted materials e.g. explosives are used in research
The specific results of the research could present a danger to participants, or to society as a whole, if they were improperly disseminated

Common problems related to ethics in research:

? Lack of consistency
? Failure to describe insurance cover
? No information on handling incidental findings
? No information on any incentives used (financial inducements, etc.)
? Issues related to children: failure to describe if child obtains a real and direct benefit. If child is not directly benefited, a minimum risk and minimum burden must be illustrated
? Research on animals: failure to describe (i) numbers used; (ii) humane end points; (iii) if non animal alternatives were sought
? Developing Countries: failure to describe why it is necessary to include the developing countries and whether any benefits will reach these countries
? Conflict of Interest: independence is central to obtaining informed consent. A treating doctor should not be involved in counselling a patient on the benefits of his / her research

FOR MORE INFORMATION
• Ethics Review: http://cordis.europa.eu/fp7/ethics_en.html
• Research on Animals:
http://www.nc3rs.org.uk/category.asp?catID=3
http://www.vet.uu.nl/nca/links/databases_of_3r_models
• Experts' registration: https://cordis.europa.eu/emmfp7/

Annex 5 – Example for IAPP budget estimation

EXAMPLE

Participant 1*: A university laboratory of solid state physics and magnetism in Szczecin, Poland runs an IAPP project with* ***Participant 2:*** *an SME in Israel.*
Within the framework of this partnership the following activities are foreseen:

Secondments:

- ***A.*** *4 staff members of the Polish laboratory (single, experienced researchers with 4-10 years of research experience) plan to visit the Israeli SME for 3 months each to transfer their knowledge. This should be recorded in the A4 form of the proposal as 12 secondment months for the* ***hosting*** *participant (Participant 2 - Israel) - see overleaf.*
- ***B.*** *4 staff members of the Israeli SME (married, experienced researchers with >10 years research experience) plan to visit the Polish laboratory for 2 months each in order to acquire knowledge and transfer it back to Israel****.*** *This should be recorded in the A4 form as 8 secondment months for the* ***hosting*** *participant (Participant 1 - Poland).*
- ***C.*** *Also, the Polish laboratory will send 2 postgraduates (single, early-stage researchers) for a summer placement to the Israeli SME for 2 months each. This should be recorded in the A4 form as 4 secondment months for the* ***hosting*** *participant (Participant 2- Israel).*
- ***D.*** *A project engineer of the Israeli SME will be seconded to the Polish laboratory to be trained how to build and operate an experimental setup, and to transfer that knowledge back to the company. She is married and qualifies to be paid as an experienced researcher with 4-10 years of research experience. Over the course of the project, she will spend 12 months in Poland, which should be recorded in the A4 form as secondment months for the* ***hosting*** *participant (Participant 1 – Poland).*

Recruitments:

- ***E.*** *Additionally both the Polish University and the Israeli SME plan to hire a postdoc (experienced researchers (4-10), 1 single and 1 married) for 1 year each. This should be recorded in the A4 form as 12 recruitment months per* ***hosting*** *participant (Participant 1 – Poland and Participant 2 - Israel).*

Small equipment:

The Israeli SME proposes to buy a flow cryostat with a temperature controller unit, i.e. a relatively small piece of durable equipment that is however necessary and part of the experimental setup that will be extensively used to carry out the work proposed in the project.

The requested number of researchers and researcher months would be summarized as follows in the application form A4:

Participant number	Secondments						Newly recruited researchers			
	Early-Stage Researchers (0-4 years)		Experienced Researchers (4-10 years)		Experienced Researchers (>10 years)		Experienced Researchers (4-10 years)		Experienced Researchers (>10 years)	
	Fellow Months	Number of researchers	Fellow Months	Number of researchers	Fellow Months	Number of researchers	Fellow Months	Number of researchers	Fellow Months	Number of researchers
1 (PL)	*0*	*0*	*12*	*1*	*8*	*4*	*12*	*1*	*0*	*0*
2 (IL)	*4*	*2*	*12*	*4*	*0*	*0*	*12*	*1*	*0*	*0*
Total	*4*	*2*	*24*	*5*	*8*	*4*	*24*	*2*	*0*	*0*

Budget estimation

For the calculation of the maximum EC contribution, a distinction is made between the *direct costs* (these are the costs listed in section 2.5.1 in the cost categories A to G, and for the SME in category I) and the *indirect costs* (the contribution to the overheads - category H).

Expenses for the benefit of the Researchers

Category A:

- **Living allowances:**

In this example we assume that employment contracts[1] will be used both for the recruitments and the secondments except for the 2 postgraduates to be sent to the SME for a 2 month summer placement who will receive fixed-amount fellowships to cover additional expenses, as these short visits do not interrupt their normal funding.

The monthly salary-level for each of the researchers is determined according to the table given in section 2.5.1 as follows:

Researchers A, D and E: 4 experienced researchers (4-10 years) going from Participant 1 (Poland) to Participant 2 (Israel) for 3 months each, 1 technical staff member qualified to be paid as an experienced researcher going from Participant 2 (Israel) to Participant 1 (Poland) and 2 post-docs recruited by the participants for 1 year each:

- Monthly salary (Employment contract): 54300€/12

Researchers B: 4 experienced researchers (> 10 years) going from Participant 2 (Israel) to Participant 1 (Poland) for 2 months each:

[1] The national legislation of the host country will determine the choice of fixed-amount fellowships or employment contracts, regardless of their length. This will be carefully followed in the negotiation process.

- Monthly salary (Employment contract): 81400€/12

Researchers C: 2 early-stage postgraduates (from Participant 1 (Poland) to Participant 2 (Israel) for a 2 months summer placement:

- Monthly salary (Fixed-amount fellowship): 17650€/12

- **Mobility allowances:**

Researchers A and C are single and have no children (entitled to 500€/month)

Researchers B and D have family obligations (entitled to 800€/month).

Researchers E: Of the 2 post-docs to be recruited we assume one to be single and without children (entitled to 500€/month) and one to have family obligations (entitled to 800€/month).

Category B:

- **Travel allowances:**

The calculation of travel allowances for the staff exchange can be accurate since their destination is known. For the recruitments the calculation must be based on an assumption.

Researchers A, B, C and D: For these researchers the distance falls within the 2500-5000 km bracket with a rate of 1500€.
Researchers E: For the 2 post-docs to be recruited we assume a rate of 750 € which corresponds to the 1000-1500 km range.

Category C:

- **Career exploratory allowances:**

Researchers A, B, C and D are all going for secondments and are therefore not eligible for this type of allowance

Researchers E: Both of these researchers are eligible for the career exploratory allowance (single payment of 2000€)

Calculation of budget categories A, B, & C:

Participant 1 (Poland):

Researchers	Living Allowance (A1)	Mobility allowance (A2)	Sub-Total (A1)+(A2) * correction coefficient[1]	Travel Allowance (B)	Career exploratory allowance (C)	TOTAL
SECONDMENTS						
Researchers B: 4 SME researchers for 2 months to University in Poland	4*2*(81400€/12)= **54 266.67€**	4*2*800€= **6 400€**	(54 266.67+ 6 400)*0.716= **43 437.34€**	4*1500€= **6000€**	**-**	**49 437.34€**
Technical Staff D:	12*(54 300€/12)=	12*800€= **9600€**	(54 300+9600)*0.716	1*1500€= **1500€**	**-**	**47**

1 SME engineer for 12 months to University in Poland	**54 300€**		= **45 752.40€**			**252.40 €**
RECRUITMENTS						
Researcher E: 1 Postdoc recruited by University in Poland	1*12*(54 300€/12)= **54 300€**	1*12*800€= **9 600€**	(54300+9600)*0.716= **45 752.40€**	1*750€= **750€**	1*2000€= **2 000€**	**48 502.40€**
SUB TOTAL $C_{researchers}$	**162 866.67€**	**25 600€**	**134 942.14€**	**8 250€**	**2 000€**	**145 192.14€**

[1] Correction coefficient for Poland: 0.716 (see Table 3.3 in Annex 3 of the People Work programme)

Participant 2 (Israel) – researcher allowances:

Researchers	**Living Allowance (A1)**	**Mobility allowance (A2)**	**Sub-Total (A1)+(A2) * correction coefficient[1]**	**Travel Allowance (B)**	**Career exploratory allowance (C)**	**TOTAL**
SECONDMENTS						
Researchers A: 4 University researchers for 3 months to SME in Israel	4*3*(54300€/12)= **54 300€**	4*3*500€= **6 000€**	(54 300 + 6 000)*1.095= **66 028.50€**	4*1500€= **6000€**	**-**	**72 028.50€**
Researchers C: 2 University postgrads sent to SME in Israel	2*2*(17650€/12)= **5 883.33€**	2*2*500€= **2 000€**	(5 883.33 + 2 000)*1.095= **8 632.25€**	2*1500€= **3 000€**	**-**	**11 632.25€**
RECRUITMENTS						
Researcher E: 1 Postdoc recruited by SME in Israel	1*12*(54300€/12)= **54300€**	1*12*500€= **6 000€**	(54300 + 6 000)*1.095= **66 028.50€**	1*750€= **750€**	1*2000€= **2 000€**	**68 778.50€**
SUB TOTAL $C_{researchers}$	**114 483.33€**	**14 000€**	**140 689.25€**	**9750€**	**2 000€**	**152 439.25€**

[1] Correction coefficient for Israel: 1.095 (see Table 3.3 in Annex 3 of the People Work programme)

Expenses for the benefit of the Host institutions

Category E:

- **Contribution to research/transfer of knowledge expenses:**

The contribution to research/transfer of knowledge expenses is based on a fixed amount of 1200€/month per researcher month. For participants 1 and 2 in this example the contribution to these expenses will amount to:

Host	**E. Contribution to research/ transfer of knowledge expenses**	**TOTAL**
Participant 1 (Poland)	32*1200€	**38 400€**
Participant 2 (Israel)	28*1200€	**33 600€**
TOTAL C_{host}		**72 000€**

In summary the estimated budget for the two participants for categories A to E would be:

Host	**Categories A to E**
Participant 1 (Poland)	**183 592.14€**
Participant 2 (Israel)	**186 039.25€**
SUB TOTAL	**369 631.39€**

To arrive at the total indicative EC contribution the management cost (max 3% of the EC contribution), the contribution to small equipment for SMEs (max 10% of EC contribution to the SME), and the overheads (10% of the direct costs) must be added to the amounts of this table.

Category G:

- **Management activities:**

The total Community contribution for each partner is the basis for the calculation of the 3% management costs. In the initial budget estimation this maximum contribution can be calculated as 3.413% of the costs listed in categories A to E for Participant 1, and 3.413% of the costs listed in categories A to E *plus category I* costs for Participant 2, as the latter asks for maximum funding of durable equipment at 10% of its total Community contribution.

Host	**G. Management**
Participant 1 (Poland)	183 592.14 * 3.413% = **6 266€**
Participant 2 (Israel)	(186 039.25 + 23 868.84) ***** 3.413% = **7 164.16€**
SUB TOTAL	**13 430.16€**

Category I:

• **Small equipment for SMEs:**

The contribution under this heading corresponds to a maximum of 10% of the budget allocated to the SME partner. This maximum contribution can be calculated as 12.83% of the costs listed in categories A to E.

Host	**I. Contribution to small equipment expenses**	**TOTAL**
Participant 2 (Israel)	186 039.25*12.83%€	**23 868.84€**

Category H:

• **Contribution to the overheads**

the contribution to overheads can be determined as a flat rate of 10% of the direct costs. :

Categories A + B + C +E + I
Participant 1: 183 592.14€
Participant 2: 197 961€
*10.34%
:

Host	**H Overheads**
Participant 1 (Poland)	183 592.14 * 10.34% = **18 983.43€**
Participant 2 (Israel)	209 908.09 * 10.34% = **21 704.50€**
SUB TOTAL	**40 687.93€**

The overall estimated EC contribution is summarised below:

	PARTICIPANT 1 (PL) TOTAL (€)	**PARTICIPANT 2 (IL)** TOTAL (€)
A. Living and Mobility allowance	134 942.14 €	140 689.25 €
B. Travel allowance	8 250 €	9 750 €
C. Career Exploratory allowance	2 000 €	2 000 €
E. Contribution to the research / transfer of knowledge programme expenses	38 400 €	33 600 €
G. Management activities	6 266 €	7 164.16 €

H. Overheads	18 983.43 €	21704.50 €
I. SME equipment	0 €	23 868.84 €
ESTIMATED CONTRIBUTION TO THE PARTNER	**208 841.57€**	**238 776.75€**

The total estimated EC contribution to this project thus adds up to **447 618.32€.**