Proposals, Rules and Projects in FP7

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FP7 basic principles

- Proposals can only be submitted in response to publicly-announced calls for proposals http://cordis.europa.eu/fp7/ict
- All proposals* are presented by multinational consortia of organisations/individuals
- Proposals are evaluated by independent experts
- All proposal coordinators receive an Evaluation Summary Report
- Funding follows successful evaluation, selection and negotiation of grant agreement

* except certain Support actions

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Proposals and projects in FP7

1. The Funding schemes

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Funding schemes

Why do I have to know this?

It determines the

- purpose of the project
- type of activities involved
- funding rate

The call may give further restrictions:

- size of the consortium
- Total EC contribution

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Funding schemes

- 3 funding schemes – 5 "instruments"
  - Collaborative Projects (CP)*
    - Small or medium scale focused research actions ("STREP")
    - Large Scale Integrated Projects ("IP")
  - Networks of Excellence (NoE)
  - Coordination and Support Actions (CSA)
    - Coordinating or networking actions ("CA")
    - Support Actions ("SSA")
- ICT Workprogramme shows budget pre-allocation to instruments

***include SICA – Specific International Co-operation Actions**

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Integrated Projects (IPs)

Activities in an Integrated Project may cover

- research and technology development activities
- demonstration activities
- technology transfer or take-up activities
- training activities
- dissemination activities
- knowledge management and exploitation
- consortium management activities
- other activities

An Integrated Project comprises

- a coherent set of activities
- and an appropriate management structure

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Integrated Projects (IPs)

Experience of IPs in FP7

- Purpose: Ambitious objective driven research with a 'programme approach'
- Target audience: Industry (incl. SMEs), research institutions. Universities – and in some cases potential end-users
- Typical duration: 36-60 months
- Optimum consortium: 10-20 participants
- Total EU contribution: €4-25m (average around €8m)

- Flexibility in implementation:

  Update of workplan

  Possibility for competitive calls for enlargement of consortium

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Focused projects (STREPs)

Targeting a specific objective in a clearly defined project approach

Fixed overall work plan with stable deliverables that do not change over the life-time of the project

Contain two types of activity or combination of the two:

- A **research and technological development activity** designed to generate new knowledge to improve competitiveness and/or address major societal needs /or
- A **demonstration activity** designed to prove the viability of new technologies offering potential economic advantages but which can not be commercialised directly (e. g. testing of product like prototypes)

as well as

- **Consortium management activities** (including innovation related activities like protection of knowledge dissemination and exploitation

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Focused projects (STREPs)

Experience of STREPs in FP7

- Purpose: Objective driven research more limited in scope than an IP
- Target audience: Industry incl. SMEs, research institutes, universities

- Typical duration: 18-36 months
- Optimum consortium: 6-15 participants
- Total EU contribution: €1-4 m (average around €2.4m)

- Fixed workplan and fixed partnership for duration

Networks of excellence (NoE)

NoEs are an instrument to overcome the fragmentation of the European research landscape in a given area and remove the barriers to integration

Their purpose is to reach a durable restructuring and integration of efforts and institutions or parts of institutions

The success of an NoE is not measured in terms of scientific results

- …..but by the extent to which the social fabric for researchers and research institutions in a field has changed due to the project,
- ….and the extent to which the existing capacities become more competitive as a result of this change

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Networks of excellence

The JPA contains a range of "additional to normal business" activities:

Integrating activities

- coordinated programming of the partners' activities
- sharing of research platforms/tools/facilities
- joint management of the knowledge portfolio
- staff mobility and exchanges
- relocation of staff, teams, equipment
- reinforced electronic communication systems

Activities to support the network's goals

- Development of new research tools and platforms for common use
- Generating new knowledge to fill gaps in or extend the collective knowledge portfolio

Activities to spread excellence

- training researchers and other key staff
- dissemination and communication activities
- networking activities to help transfer knowledge to outside of the network
- where appropriate, promoting the exploitation of the results generated
- where appropriate, innovation-related activities

Consortium management activities

Networks of excellence

Experience of NoEs in FP7

- Purpose: Durable integration of participants' research activities
- Target audience: research institutions, universities, mainly indirectly: industry – trough governing boards etc

- Typical duration: 48-60 months
  (but indefinite integration!)
- Optimum consortium: 6-12 participants
- Total EU contribution: €4-10m (average around €5m)

- Flexibility in implementation:
  Update of workplan
  Possibility to add participants through competitive calls

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CA - Coordination or Networking actions

- Supports the **ad hoc networking** and **co-ordination** of research and innovation activities for a **fixed period** for a **specific purpose**.

- Each Coordination Action shall propose a work plan, incorporating all or some of the following types of mid/long term collaborative activities:

  - Organisation of events (conferences, meetings);
  - Performance of studies, analysis;
  - Exchanges of personnel;
  - Exchange and dissemination of good practice;
  - Setting up of common information systems
  - Setting up of expert groups;
  - Definition, organisation, management of joint or common initiatives
  - Management of the action

No S&T research!

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Coordination actions

Experience of CAs in FP7

- Purpose: Co-ordination of research activities
- Target Audience: Research institutions, universities, industry incl. SMEs

- Typical duration: 18-36 months
- Optimum consortium: 13-40 participants
- Total EU contribution: €0.5-2m (average around €1m)

- Fixed overall workplan and partnership for the duration

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SA - Support actions

- Supported activities are described in the work plan consisting of one or more of the following activities:
  - Conferences, seminars, working groups and expert groups;
  - Studies, analysis;
  - Fact findings and monitoring;
  - Preparatory technical work, including feasibility studies
  - Development of research or innovation strategies;
  - High level scientific awards and competitions;
  - Operational support, data access and dissemination, information and communication activities.

- SA proposals may be presented by a consortium or a single organisation, from any country or countries – any exceptions can be found in the call

No S&T research!

Support actions

Experience of SSAs in FP7

- Purpose: Support to programme implementation, preparation of future actions, dissemination of results
- Target audience: Research organisations, universities, industry incl. SMEs

- Typical duration: 2-30 months
- Optimum consortium: 1-20 participants
- Total EU contribution: €0.03-2m (average around €0.5m)

- Fixed overall workplan and partnership for the duration

Funding schemes in ICT

The Commission never “changes instruments”.
A proposal submitted to us as an IP is evaluated using the IP evaluation criteria, and is ranked against the other IP proposals submitted in the call

So be sure you are using the right instrument for your project idea !

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Proposals and projects in FP7

2. The Rules of the game - FP7

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Minimum consortia

- Three independent legal entities from three different EU Member States or Associated countries (presently: Albania (AL), Croatia (HR), Iceland (IS), Israel (IL), Liechtenstein (LI), FYR of Macedonia (MK), Montenegro (ME), Norway (NO), Serbia (SR), Switzerland (CH), Turkey (TR)
  Bosnia-Herzegovina (BA)*, Faeroe Islands (FO)* *under negotiation
- EEIGs composed of members that meet the criteria above can participate
- International (intergovernmental) organisations can participate
- Participants from third countries if in addition to minima
- Collaborative projects for specific cooperation actions (SICA) dedicated to international cooperation partner countries (ICPC): minimum 4 participants of which 2 in different MS or AC and 2 in different ICPC countries unless otherwise specified
- Support actions; no restrictions

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Community funding

Eligibility for Funding:

- Legal entities from MS and AC or created under Community law (and the JRC)
- International European interest organisations
- Legal entities established in international cooperation partner countries (ICPC-INCO)

and

- Legal entities established in 3rd countries other than ICPC-INCO, if provided for in SP or WP; or if essential for carrying out action; or if provision for funding is provided for in a bilateral agreement between Community and that country

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Reimbursement of eligible costs

Cost reporting models eliminated; all participants report **direct** and **indirect** (overhead) eligible costs

Eligible costs

- Actual
- Incurred during the project
- Determined according to usual accounting and management principles/practices
- Used solely to achieve project objectives
- Consistent with principles of economy, efficiency and effectiveness
- Recorded in accounts (or the accounts of third parties)
- Exclusive of non-eligible costs
- Average personnel costs may be used if consistent with above and do not differ significantly from actual

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Direct and Indirect costs IP, STREP, NoE

- **Research and technological development activities**:
  – **50%** funding of eligible costs except for:
  - Public bodies (non-profit): – **75%**
  - Secondary and higher education establishments: – **75%**
  - Research organisations (non-profit): – **75%**
  - Small and Medium sized Enterprises - SMEs: **– 75%**

- **Demonstration activities**: – **50%** of eligible costs

- **Other activities**: – **100%** including e.g. consortium management

- Direct costs CA, SA

- **Coordination and support actions – 100%**

Indirect costs CA, SA

- **Flat rate of indirect costs: 7%**

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Calculation of Indirect costs

Any participant

- **Actual** indirect costs (participants may use a simplified method of calculation)

  or
- **Flat-rate** of direct eligible costs excluding subcontracts (to be established by the Commission – currently 20%)

Non-profit public bodies, secondary and higher education establishments, research organisations and SMEs unable to identify real indirect costs

- Flat-rate of 60% of total direct eligible costs (until end 2009)
- Flat rate of minimum 40%, to be established by the Commission (as of 2010)

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Guarantee mechanism and RSFF

- Commission will establish and operate a **Participant guarantee fund**
  - Contribution to guarantee fund of max. 5% of the EC contribution by each participant, to be returned at the end of the project
  - Guarantee fund replaces all other forms of financial guarantees

- **Risk Sharing Finance Facility**. The Community may award a grant to the European Investment Bank to cover risk of **loans** [or guarantees] in support of research objectives set out under FP7
  - The EIB shall provide these loans [or guarantees] in a fair, transparent, impartial and equal way

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Guarantee mechanism

Replaces financial collective responsibility and financial guarantees

- Commission establishes and operates a participant **guarantee fund**
- At the start of the project an additional advance payment of **5% of the EC contribution** is transferred for each participant into the guarantee fund, to be returned at the end of the project
- If interests generated not sufficient to cover sums due to EC, retention of max. 1% of EC contribution (except for public bodies, higher and secondary education establishments, legal entities guaranteed by a MS/Ac)

➔ Ex-ante financial viability checks **limited to coordinators and participants requesting > EUR 500.000** (unless exceptional circumstances)

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Payment example

3 year project receiving 3.000.000 € in EC contribution:

Advance payment:	1.600.000 €[1)]
Guarantee fund contribution:	-150.000 €[2)]
Advance to consortium:	1.450.000 €
Cost claimed after year 1, 2 and 3:	1m€
Payment year 1 to consortium:	1.000.000 €
Payment year 2 to consortium:	100.000 €[3)]
Final Payment to consortium:	300.000 €
+ Reimbursement from Guarantee F	150.000 €
Total Final payment:	450.000 €

1) 160% of average contribution pr. Period=year
2) 5% of total EC contribution
3) Up to retention rate = 10% of total EC contribution (2.7m€)

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