



# Rules and Regulations for participation in the ICT Programme

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EIRC Workshop Bangalore January 31 – February 1, 2008



# Questions

1. Who can participate?
2. When can you participate?
3. What can be funded?
4. Legal Framework



# 1. Who can participate?

Any company, University, Research Centre or Organization in:

- Member States (MS): the EU-27
- Associated Countries (AC): Iceland, Liechtenstein, Norway, Israel, Switzerland, FYROM, Serbia, Montenegro
- Candidate Countries: Croatia, Turkey,
- Third Countries: International Cooperation Partner Countries (ICPC)

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## Participation – General Case

Minimum Research Consortium:

3 Independent Partners from

3 different

- Member States
- Associated Countries



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See list in Guide for applicants

## Participation – Additional Paid Partners from:

- International Organisations
- International Cooperation Partner Countries ICPC-INCO
- International Organisations or partners from third countries if
  - A 'provision' in SP or WP
  - Essential for Action
  - Bilateral agreement



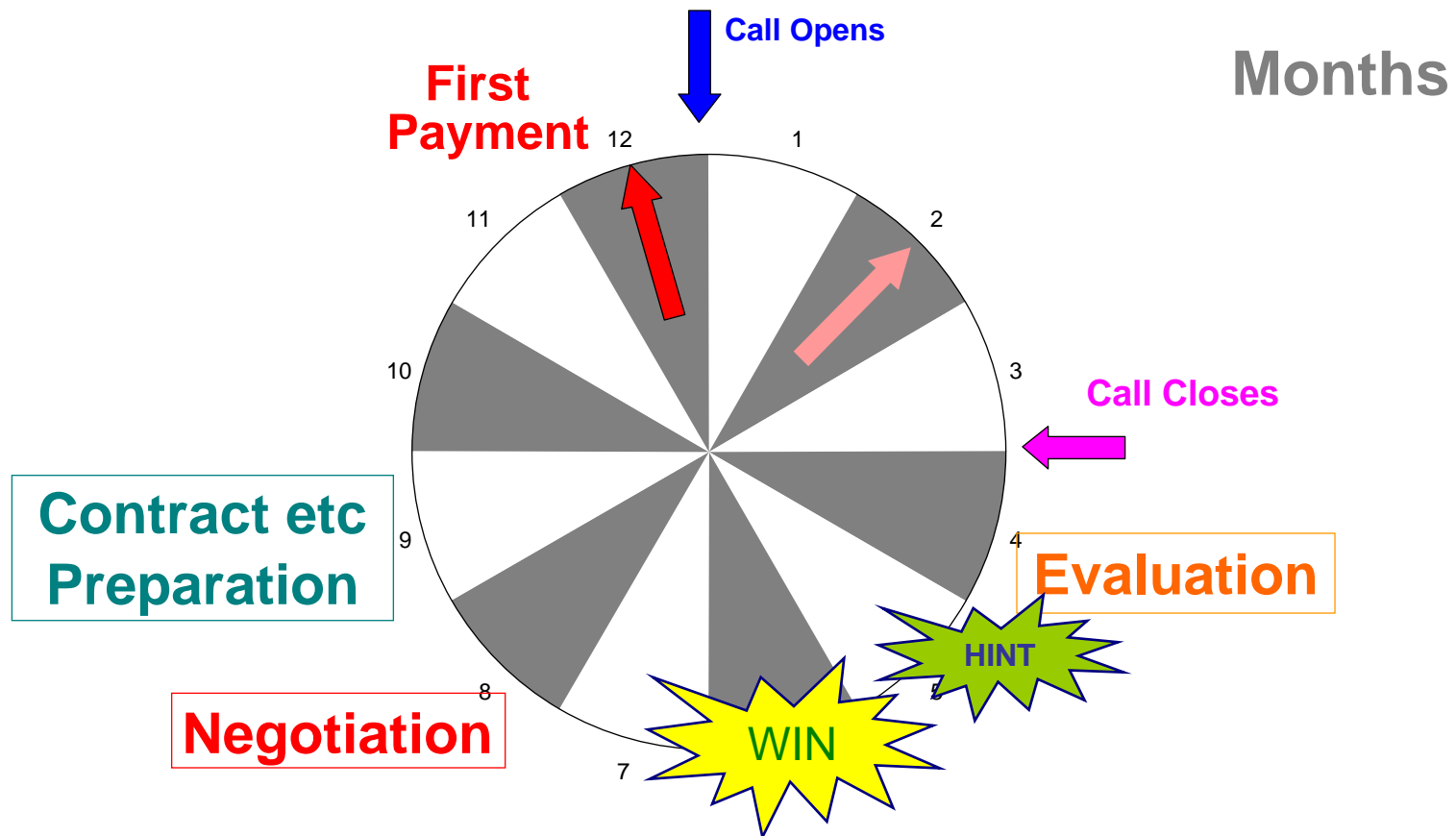
**They ALL have to bring EXCELLENCE and their own money if they are from a rich country**



## 2. When and how can you participate?

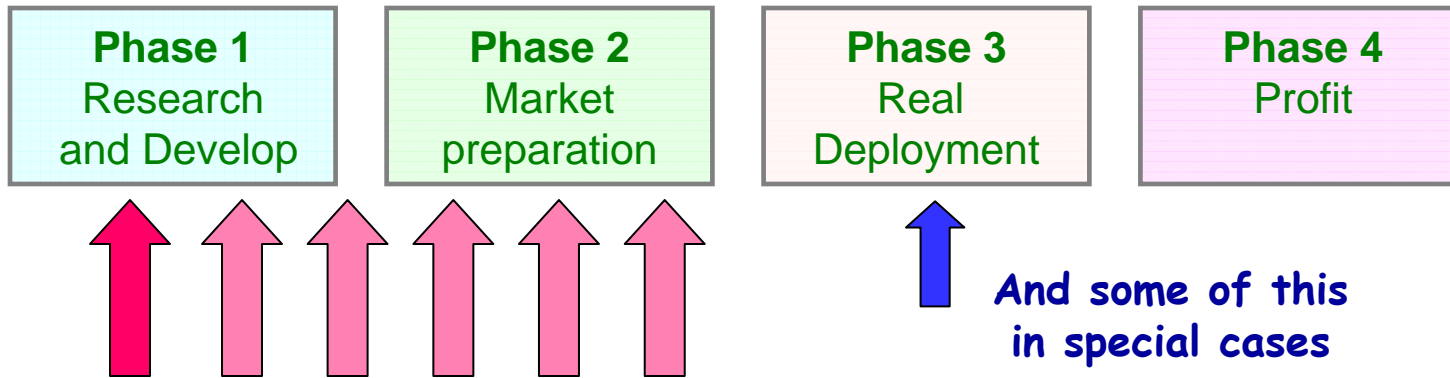
- Depends on the calls for proposals
- Submission and evaluation procedures
- Selection and award criteria are set out in the Work and Specific Programmes
- Evaluation Criteria

# Which is the procedure and timing to initiate an project in FP7?



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### 3. What can be funded?



- **Research**

- Innovation in its application
- User dimension
- Training
- Dissemination
- .....







# How much money you can get from the European Commission?

## Maximum funding rates

- Research and technological activities: 50%  
**But: 75%** for Public bodies, Secondary and Higher education, Research organization (no-profit), SMEs
- Demonstration activities: 50%
- Other activities (training, dissemination, etc): 100%
- Coordination and support actions: 100%
- Management activities: 100%



# Reimbursements from the European Commission

## Form of Grants

- Reimbursement of eligible costs
- Flat rate: a % for indirect costs or scales of unit costs
- Lump sum for specific calls/projects (ICPC, NoE)
- Combination possible

## Principle of co-financing, no profit



## The costs that can be claimed

Eligible cost must be:

- Actual
- Incurred during the project
- Determined according the usual accounting and management principles

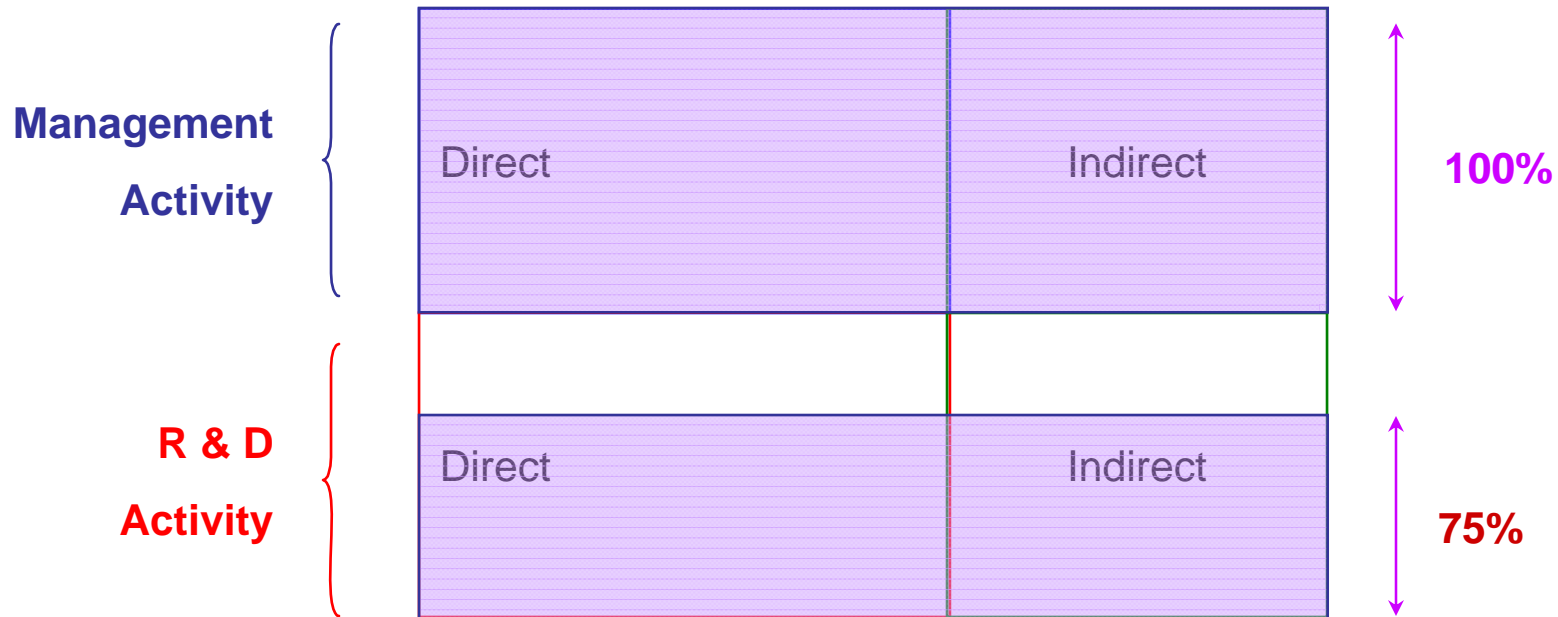
## Which categories of costs?

Main eligible direct costs:

- *Personnel costs (including tax and social contributions)*
- *Travel*
- *Equipment*
- *Consumables*
- *Other relevant costs*
- *Subcontract*

# Costs for an RTD Project Partner

Commission Grant to an SME  
or ACADEMIC Participant\*



\*Or Research Centre (not for profit)

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# If your accounting system is “Unable to identify with certainty the real indirect costs for the project”

## Any Participant

<b>Management Activity</b>		Direct	Indirect
		Direct	Indirect
<b>R &amp; D Activity</b>		Direct	Indirect
		Direct	Indirect

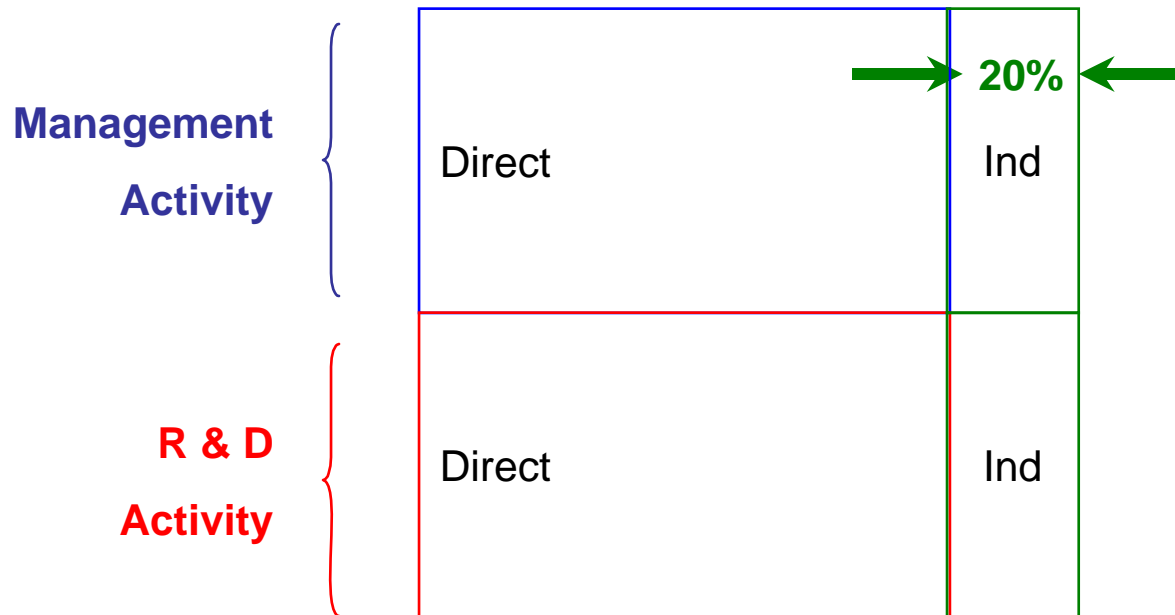
Expressing the Indirect as a fraction of total Direct Costs –

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clearly this could alternatively be expressed as a fraction of personnel costs

If your accounting system is  
 “Unable to identify with certainty their real indirect costs  
 for the project”

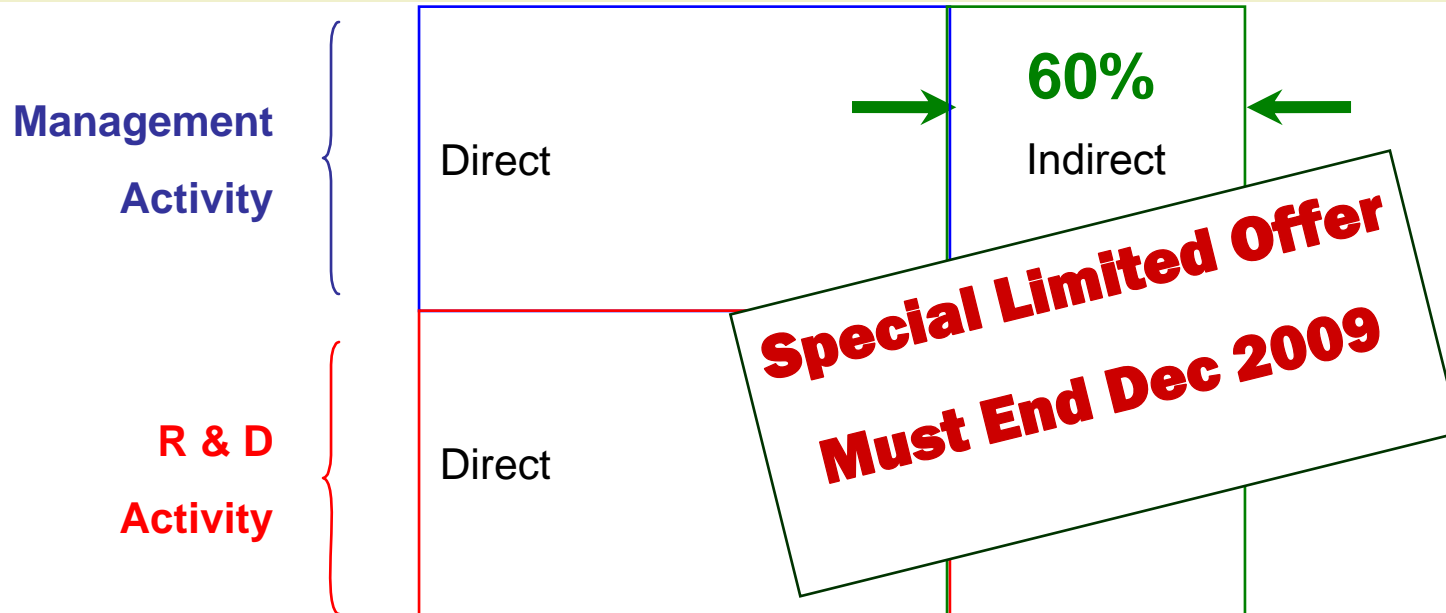
Any Participant



Expressing the Indirect as a fraction of total Direct Costs –  
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 Excluding Sub-Contracting

# If your accounting system is “Unable to identify with certainty their real indirect costs for the project”

SME, Public not for profit Academic or, Research Centre

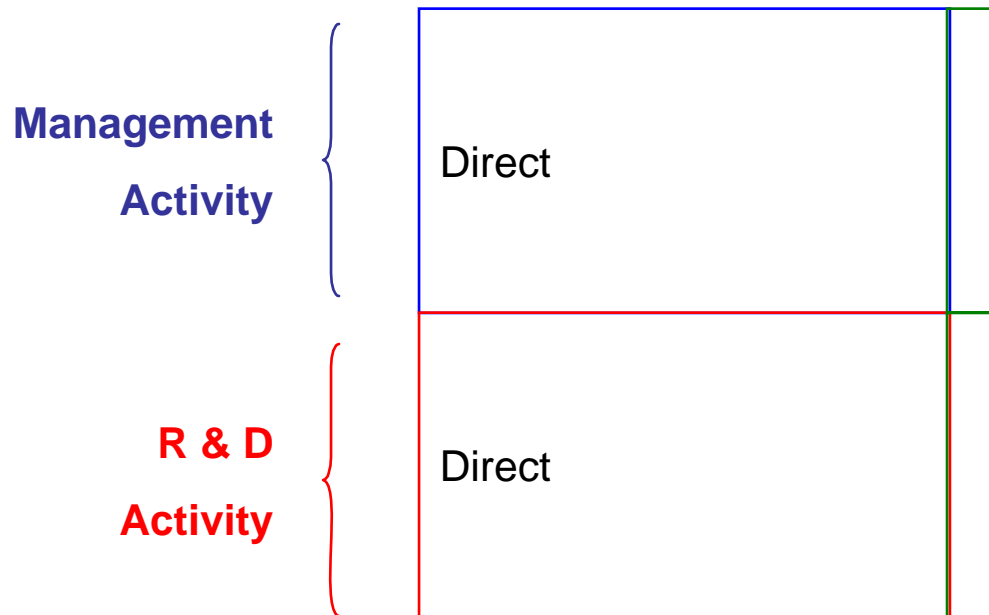


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# In Coordination and Support **Everyone** suffers

7%  
→ ←



Expressing the Indirect as a fraction of total Direct Costs –  
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Excluding Sub-Contracting



## External controls

- Certification of costs is usually required (audit certificate)
- Mandatory when EC Contribution claimed exceeds € 375.000
- Not required when EC contribution claimed is less than € 25.000



## Lump sum for ICPC organizations - 1

ICPC beneficiaries participating in an FP7 project have two options to be reimbursed

- on the basis of eligible costs (see previous slides)
- on the basis of lump-sums.

This option can be made (and changed) up to the moment of the signature of the contract.

ICPC beneficiaries may opt for a lump sum in a given project(s) and for reimbursement of costs in another(s).

## Lump sum for ICPC organizations - 2

Depending on the country, the lump sum contribution for participants from ICPC is defined like this:

Economy of the ICPC	Contribution (EUR/researcher/year)
low-income	<b>8,000</b>
lower middle income	<b>9,800</b>
upper middle income	<b>20,700</b>

- Specific parameters have been established by EC
- India is included in low-income

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## Lump sum for ICPC organizations - 3

- For a legal entity established in an ICPC, if the lump sum option is chosen, the contribution in a project is based on the amounts in Table 1
- These amounts must be multiplied by the total number of person-years for the project requested by the ICPC legal entity.
- When the person is not working full-time on the project, these amounts must be reduced to take into account the portion of his/her working time devoted to the project.
- The maximum EC contribution is calculated by applying the upper funding limits in Table 2 to the resulting amount.
- This amount is all inclusive, covering support towards both the direct and the indirect costs. In other words, the lump sum is deemed to cover all costs of a participant from an ICPC country, including the costs of personnel and travel, and also, among others, equipment, consumables, subcontracts and indirect costs.

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## Lump sum for ICPC organizations - 4



The reports submitted by the ICPC beneficiary will include

- the financial Form C
- the number of actual hours worked by the researchers on the project.
- the beneficiary will keep a record of the time (e.g. timesheets) worked by the researchers on the project The Commission services
- the other entities authorised by the ECGA may carry out audits on the premises of the beneficiary to verify its compliance with this requirement
- the beneficiaries are paid on the basis of lump-sums, **there is no requirement to submit certificates on financial statements**, even if the EC contribution is above the threshold of EUR 375,000.

## 4. Legal Framework

1. Rules for participation
  - The Work-programme
  - Guides for Applicants
  - Call text
  - Evaluation manual
2. Model Grant Agreement
3. Consortium Agreement





# 1. Rules for Participation

- Definitions
- Minimum conditions for participations
- Procedures
  - Calls for proposals
  - Evaluation
  - Implementation and Grant Agreements
- Consortia requirements
- Community financial contribution
- Dissemination, use and access rights

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## 2. Model Grant Agreement

EC decision based upon Rules for Participation.

This agreement establishes the rights and obligations of all Participants

Contractual obligations between EC and consortium

And its annexes:

- General conditions (administrative and financial issues)
- Form A
- Form B
- Form C



### 3. Consortium Agreement

- Obligatory unless exempted by call for proposals
- Agreement between partners (no Commission included)
- Internal organization
- Distribution of Community financial contribution
- Rules on Intellectual Property Rights
- Disputes and penalties



# Electronic submission

## EPSS

*[Electronic Proposal Submission System]*



## Online preparation only!

- Improved validation checks before submission is accepted
- FP6 Failure rate =  $\pm 1\%$
- Main reason for failure - waiting till the last minute
- Submit early, submit often!

# Evaluation criteria



FP6-2003-0T-2  
IST-2002-2.3.2.2 - Optical, opto-electronic, photonic functional components

**Evaluation Summary Report**

Proposal: 004680  
Program: FP6  
Action: ACCESS  
Call: FP6-2003-0T-2  
Instrument: IST-specific Targeted Research Projects  
Duration: 36 months  
Activity: IST-2002-2.3.2.2 - Optical, opto-electronic, photonic functional components

**ACCESS**  
Addressing Cost with Chemically-Doped Polymer Solutions

Proposals submitted by:

N°	Proposer name	Country	Total cost (€)	%	Grant requested (€)	%
1	Université de Dunkerque Ecole Supérieure d'Informatique	France	452,418	9.67	452,418	17.68
2	Technical Research Centre of Finland	Finland	510,000	10.90	295,000	9.91
3	Imago AB	Sweden	499,681	10.90	254,641	9.90
4	DeLagardère	France	664,700	14.21	332,138	11.74
5	KULCE S.A.	France	651,950	11.94	329,400	12.82
6	IPAG-Innovative Processing AG	Germany	455,500	9.74	227,800	8.85
7	Sonesta S.A.	Portugal	395,330	8.55	141,678	5.50
8	CENTRE NATIONAL DE LA RECHERCHE SCIENTIFIQUE - IPRM	France	443,751	9.82	226,890	8.80
9	MOULOPTIC	France	496,500	10.62	238,000	9.29
10	ASTEC OPTAL	Belgium	166,000	3.55	166,000	6.43
<b>Total</b>			<b>4,678,898</b>	<b>100%</b>	<b>2,479,806</b>	<b>100%</b>

**Abstract:**  
ACCESS aims at the development of new photonic component design and integration technologies based on Low Temperature Co-fired Ceramic (LTCC) matrix carriers and hybrid-integration of photonic devices. ACCESS technology will enable the development of highly integrated, multifunctional photonic components optimised for low-cost, high-volume mass production.  
ACCESS will establish a cooperation of leading organisations from research and industry (large companies and innovative SMEs) in Europe in order to explore the possibilities of LTCC carrier technology and associated hybrid materials and polymer devices, and their potential to facilitate production of components at low cost: ceramic polymer and hybrid materials. ACCESS will develop the required material, integration and packaging technology and validate it through

Criterion	Weighting	Score
1. Relevance (Threshold 2.0, Weight 1)	100%	15
2. Potential Impact (Threshold 2.0, Weight 1)	100%	1
3. EU involvement (Threshold 4.0, Weight 1)	100%	1
4. Quality of the consortium (Threshold 2.0, Weight 1)	100%	1
5. Quality of the management (Threshold 2.0, Weight 1)	100%	1
6. Excellence of the consortium (Threshold 2.0, Weight 1)	100%	1
Final Summary (Threshold 2.0)		TOTAL



# Principles guiding proposal evaluation

- Quality
- Transparency
- Equality of treatment
- Impartiality
- Ethical considerations

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## Before the Evaluation - Eligibility criteria

Eligibility criteria checked by Commission staff before the evaluation.

Proposal will only be considered eligible if it meets all of the following conditions:

- It is received by the Commission **before the deadline;**
- It involves at least **the minimum number of participants;**
- **It is complete** (i.e. requested administrative forms and the proposal description)
- The **content of the proposal relates to the topic(s) and funding scheme(s);**
- **It respect all the procedures established in the WP and guidelines;**
- **Where a maximum number of pages has been indicated for a section of the proposal, or for the proposal as a whole, the experts will be instructed to disregard any excess pages.**



# Elegibility checks



- Date and time of receipt of proposal on or before deadline
  - Firm deadlines
  - Except for Continuously Open Calls
- Minimum number of eligible, independent partners
  - As set out in work programme/call
- Completeness of proposal
  - Presence of all requested administrative forms (Part A) and the content description (Part B)
- “Out of scope”
- Others (eg. budget limits)



## Evaluation – The criteria

- Adapted to each funding scheme and each thematic area
- Specified in the specific programme/work programme (Annex 2)
- Divided into three main criteria:
  - S&T Quality (relevant to the topics addressed by the call)
    - *quality of the objectives*
    - *progress beyond the state of the art*
    - *work plan*
  - Implementation
    - *individual participants and consortium as a whole*
    - *allocation of resources (budget, staff, equipment)*
  - Impact
    - *Contribution to expected impacts listed in work programme*
    - *Plans for dissemination/exploitation*



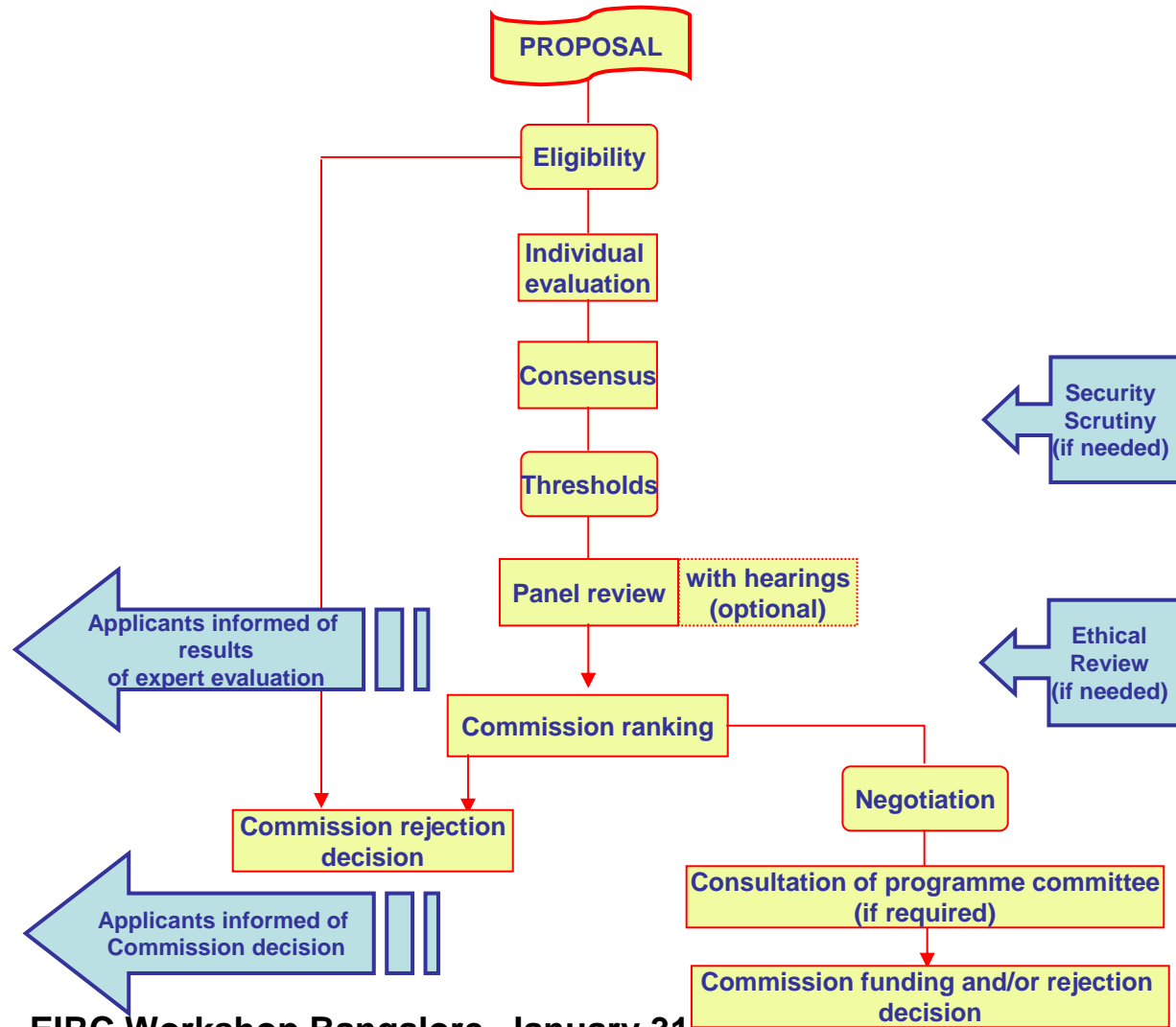


# Evaluation – The criteria



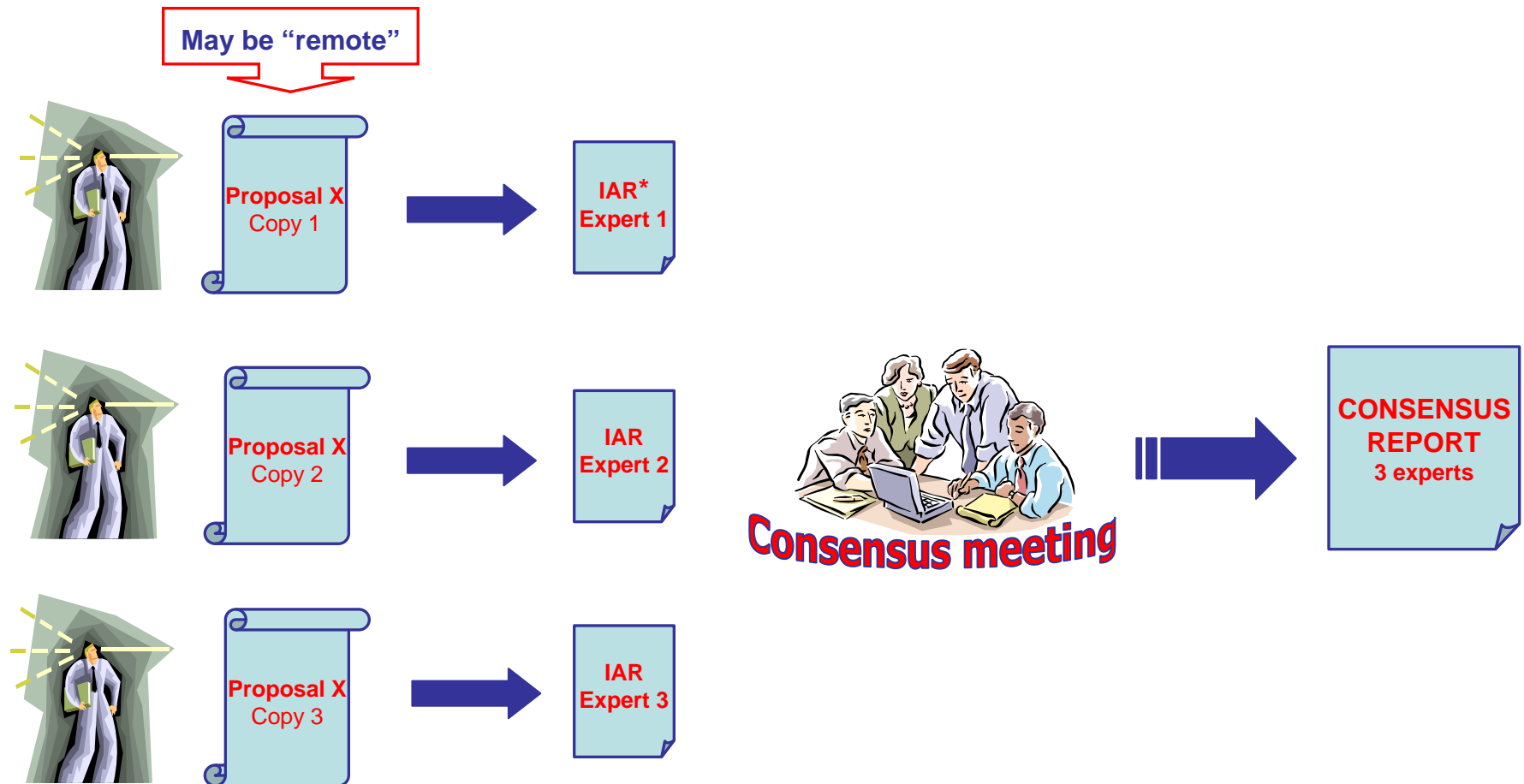
- Three criteria:
- Criteria generally marked out of 5
- Criterion threshold 3/5
- Overall threshold 10/15
- **ATTENTION:  $3 + 3 + 3 = 10$**

# Selection procedure



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# From Individual assessment to Consensus



\*IAR= Individual assessment report



# Tips



- Write your proposal in **English**
- Know the **Work Programme**
- **Speak to the EC**: it is the best source of information and early feedback
- Constantly **communicate** with your partners
- Draw a **realistic structured** plan of action
- Stress **scientific impact** and methodology
- Plan a structured and efficient **management**
- **Be realistic in your budget!**



Do  not!



- **DO NOT** Write imprecise or incomplete abstracts *often what evaluators base their opinion on*
- **DO NOT** Write lengthy and complex texts  
*be clear and concise*
- **DO NOT** Forget to check your partners' contributions *consistency!*
- **DO NOT** Forget to specify your objectives, results and milestones *clear, quantitative and qualitative*
- **DO NOT** Have inadequate management



THANK - YOU

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