

**Fuel Cells and Hydrogen Joint Undertaking (FCH JU)**

**GUIDE FOR APPLICANTS**

**COLLABORATIVE PROJECT COORDINATION AND SUPPORT ACTIONS**

***Further copies of this Guide, together with all information related to calls for***

***proposals, can be d***[***ownloaded from the follo***](http://cordis.europa.eu/)***wing web-sites:***

***CORD***[***IS http://cordis.europa.eu/ and***](http://ec.europa.eu/research/fch)

***FCH JU*** [***http://ec.europa.eu/research/fch***](http://ec.europa.eu/research/fch)

***Version 2***

*Adopted by the FCH JU Governing Board on 15 May 2009*

**About this Guide**

This is version number 2 of the Guide for Applicants for calls using single stage submission procedures issued by the Fuel Cells and Hydrogen Joint Undertaking (FCH JU). *If it is revised during the course of FCH JU, the new Guide will be given a different version number and the changes will be indicated in this box.*

This Guide is common to all such calls.

This version contains a number of clarifications and amendments, the most

important of which are:

- Additional guidance on reimbursement of direct eligible costs (annex 1)

According to Article 16 of the FCH JU Regulation1 the Commission shall be responsible for the establishment and initial operation of the FCH JU. Therefore, the first Call for proposals will be managed by Commission officials and the infrastructure to be used for submission of proposals will be the one of the Commission.

*Please note: This Guide is based on the rules and conditions contained in the FCH JU documents (in particular the Rules for submission of proposals, and the related evaluation, selection and award procedures and the Annual Implementation Plan including the call fiche), all of which can be consulted via the websites of CORDIS and of the FCH JU, when available. The Guide does not in itself have legal value, and thus does not supersede those documents.*

1 Council Regulation No 521/2008 of 30 May 2008 setting up the Fuel Cells and Hydrogen Joint Undertaking

1

**FCH JU Guide for Applicants**

*Version 2 – 15 May 2009*

**Contents**

1. [**GETTING STARTED 4**](#bookmark0)
2. **ABOUT THE FUNDING SCHEMES 6**
3. [General 6](#bookmark2)
4. [Collaborative projects 6](#bookmark3)
5. Coordination and Support Actions 8

**3. HOW TO APPLY 10**

1. [Turning your idea into an effective proposal 10](#bookmark5)
2. Proposal submission 13

[**4. CHECK LIST 17**](#bookmark6)

1. [Preparing your proposal 17](#bookmark8)
2. [Final checks before submission 18](#bookmark9)

4.3 Following submission 18

[**5. WHAT HAPPENS NEXT 19**](#bookmark10)

[**GLOSSARY 21**](#bookmark11)

**ANNEX 1 27**

[Instructions for completing "Part A" of the proposal 27](#bookmark12)

[**ANNEX 2 34**](#bookmark13)

[Instructions for drafting "Part B" of the proposal 34](#bookmark14)

2

**FCH JU**

**Guide for Applicants**

*Version 2 – 15 May 2009*

**1. Getting started**

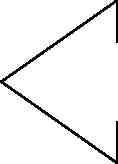
The "Fuel Cells and Hydrogen Joint Undertaking" publishes calls for proposals based on topics stemming from its Annual Implementation Plan.

Applications for financial support under the FCH JU are made in the form of proposals submitted to the FCH JU in response to calls for proposals, which set out details of planned work, budget and participants.

Applications must be submitted using a special web-based service before a strictly-enforced **deadline**. The FCH JU evaluates all eligible proposals in order to identify those of best quality for possible funding. The FCH JU shall appoint independent experts (hereafter "experts") to assist with the evaluation of proposals.

The FCH JU enters into a negotiation with the coordinators of proposals that successfully pass the evaluation stage, and for which there is budget available. If negotiations are successfully concluded, the project is selected and a grant agreement providing for a FCH JU financial contribution is established with the applicants.

The various steps involved in the proposal, submission, evaluation and selection procedures are summarised in the following diagram:



Applicants informed of results of expert evaluation



|  |  |
| --- | --- |
| Panel review | With hearing  (optional) |

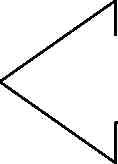
FCH JU ranking

**(** Negotiation **)**

Evaluation

Ethical Review

Security Scrutiny



Applicants informed of FCH JU decision

FCH JU rejection decision

FCH JU funding and/or rejection decision

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 Annual Implementation Plan and the call fiche. These provide a detailed description of the objectives and topics, which are open for proposals, and will describe the wider context of research activities in this area. The Annual Implementation Plan is revised each year, so make sure you refer to the latest version before preparing your proposal.

4

**FCH JU Guide for Applicants**

*Version 2 – 15 May 2009*

This Guide and the Annual Implementation Plan including the call fiche are essential reading. However, you may also wish to consult other reference and background documents, in particular those relating to negotiation and the grant agreements, which are available on the Commission’s [CORDIS website (*http://*](http://ec.europa.eu/research/fch)[*cordis.europa.eu/)*](http://cordis.europa.eu/)and the FCH JU website ([*http://ec.europa.eu/research/fch*](http://ec.europa.eu/research/fch)*)*.

5

**FCH JU Guide for Applicants**

*Version 2 – 15 May 2009*

**2. About the funding schemes**

***2.1 General***

A number of funding schemes are available to implement projects in the FCH JU, but only certain ones may be available for the topics covered by a call. These are indicated in the call fiche and the Annual Implementation Plan.

This Guide covers all available funding schemes, and a description of each of them is given in this section.

Please note that special conditions may apply on a call-by-call basis. These will always be set out in the Annual Implementation Plan, including the call fiche.

***2.2 Collaborative projects***

***Purpose***

Collaborative projects are objective driven research projects aiming at developing new knowledge, new technology, products, and that may include scientific coordination, demonstration activities or sharing of common resources for research in order to improve European competitiveness or to address major societal needs. As such, they may also be targeted to special groups, such as SMEs and other smaller actors.

***Participation***

There must be at least three "legal entities" established in different EU Member States or Associated countries (the countries concerned are listed in section 3). The entities must be independent of each other. At least one legal entity must be a member of the Industry Grouping or the Research Grouping.

A higher number of participants may be specified on a call-by-call basis. (See the call fiche and the Annual Implementation Plan).

“Target audience”: Research institutes, Universities, Industry, including SMEs.

***Size and resources***

The size, scope and internal organisation of collaborative projects should be compatible with overall objective and manageability of the whole endeavour and can vary from topic to topic.

A call may distinguish between different forms of collaborative project (projects can range from small or medium-scale focused research actions to large-scale integrating projects for achieving a defined objective) based on limits to the requested FCH JU financial contribution. Any such limits are indicated in the call fiche and the Annual Implementation Plan, and may be applied as eligibility criteria.

6

**FCH JU Guide for Applicants**

*Version 2 – 15 May 2009*

***Indicative average duration***

Collaborative projects are expected to last typically two to five years. However, there is no formal minimum or maximum duration.

***Activities***

The activities to be carried out in the context of a collaborative project should include:

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

and/or

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

and

* management activities, over and above the technical management of individual work packages, linking together all the project components and maintaining communications with the FCH JU.
* any other activities such as:

- activities directly related to the project’s objectives (as identified in the relevant Annual Implementation Plan and call for proposals) and likely to have a potential impact on the outcome of the project (e.g. debates and initiatives on issues such as ethics, gender, socio-economic, etc.);

* activities to disseminate research results and to prepare for their take-up and use, including knowledge management and, activities directly related to the protection of foreground;
* training of researchers and key staff, including research managers and industrial executives (in particular for SMEs) and any potential users of the knowledge generated by the project. The training should aim to improve the professional development of the personnel concerned.

***Form of Reimbursement***

Reimbursement will be based on eligible costs (based on maximum rates of reimbursement specified in the grant agreement for different types of activities within the project). In some cases the reimbursement of indirect costs is based on a flat rate.

The Annual Implementation Plan and the call fiche shall specify if other forms of reimbursement are to be used in the actions concerned. International Cooperation Partner Countries may opt for a lump sum.

***Specific Characteristics***

* The description of work (annex 1 to the grant agreement) is normally fixed. If needed a yearly update will be provided for in the grant agreement.
* Enlargement of partnership within the initial budget is possible.

7

**FCH JU Guide for Applicants**

*Version 2 – 15 May 2009*

***2.3 Coordination and Support Actions***

**Research, technological development or demonstration activities cannot be supported within this scheme.**

**Purpose**

This funding scheme allows for two different types of actions to be financed:

* “C*o-ordination (or networking) actions”* aimed at coordinating research activities and policies.
* *“Support actions"* aimed at contributing to the Annual Implementation Plan and the preparation of future Community research and technological development policy or the development of synergies with other policies, or to stimulate, encourage and facilitate the participation of SMEs, civil society organisations and their networks, small research teams and newly developed or remote research centres in the activities of the fuel cells and hydrogen areas, or for setting up of research-intensive clusters across the EU regions. Support actions normally focus on one specific activity and often one specific event.

**Participation**

For Coordination (or networking) actions whose purpose is to coordinate research activities: There must be at least three ‘legal entities’ established in different EU Member States or Associated countries (the countries concerned are listed in section 3). The entities must be independent of each other. At least one legal entity must be a member of the Industry Grouping or the Research Grouping.

For other coordination actions and support actions, the minimum condition shall be the participation of one legal entity.

A higher number of participants may be specified on a call-by-call basis (See the call fiche and the Annual Implementation Plan).

"Target audience": Research organisations; universities; industry including SMEs research programme managers and owners.

***Size and resources***

The size, scope and internal organisation of coordination actions and support actions can vary from topic to topic.

***Indicative average duration***

Coordination actions are expected to have duration of typically two to four years, while support actions are expected to have a shorter duration from some months to two to four years. However, there will be no formal minimum or maximum duration.

***Activities***

Coordination (or networking) actions may cover activities such as:

8

**FCH JU Guide for Applicants**

*Version 2 – 15 May 2009*

the organisation of events – including conferences, meetings, workshops or seminars, related studies, exchanges of personnel, exchange and dissemination of good practices, and, if necessary, the definition, organisation and management of joint or common initiatives, together with management of the action.

Support actions may cover activities, depending on their nature such as:

monitoring and assessment; conferences; seminars; workshops; working or expert groups or individual expert appointment letters; studies; fact finding; monitoring; strategy development; high level scientific awards and competitions; operational support; data access and dissemination, information and communication activities; management activities; specific services activities related to research infrastructures, such as for example transnational access; preparatory technical work, including feasibility studies for the development of new infrastructures; contribution to the construction of new infrastructures; cooperation with other European research schemes; or a combination of these.

***Form of Reimbursement***

Reimbursement will be based on eligible costs (based on maximum rates of reimbursement specified in the grant agreement for different types of activities within the project). In some cases the reimbursement of indirect costs is based on a flat rate.

The Annual Implementation Plan and the call fiche shall specify if other forms of reimbursement are to be used in the actions concerned. International Cooperation Partner Countries may opt for a lump sum.

9

**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 FCH JU. The co-ordinator is generally responsible for the overall planning of the proposal and for building up the consortium that will do the work. In general, the co-ordinator will be a member of either the Industry Grouping or the Research Grouping1.

**Focusing your planned work**

The work you set out in your proposal must correspond to one or more of the topics, and associated **funding scheme**(s), indicated in the call for proposals. **Proposals that fail to do so will be regarded as ineligible.**

*Multidisciplinary proposals addressing several topics may be submitted, provided that the ‘centre of gravity’ lies in a topic or topics open in the call in question.*

Refer to the Annual Implementation Plan and the call fiche, to check all the **eligibility criteria** and any other additional conditions that apply.

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

**Other sources of help**

The Annual Implementation Plan and the call fiche give references to these further sources of help. In particular:

* 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.
* Any other guidance documents or background information relating specifically to a call.
* The date and contact address for any ‘**information day’** that the FCH JU may be organising for a call.
* Other services, including partner search facilities, provided via the websites of CORDIS and FCH JU, when available.

**Who can participate?**

In principle, a legal entity may participate in a proposal no matter where it is established.

*A legal entity can be a so-called "natural person" (e.g. Mme Dupont) or a "legal person" (e.g. National Institute for Research).*

1 Council Regulation No 521/2008 of 30 May 2008 setting up the Fuel Cells and Hydrogen Joint Undertaking

10

**FCH JU Guide for Applicants**

*Version 2 – 15 May 2009*

However, there are certain minimum conditions that have to be met relating to participation from the EU and Associated countries. These conditions vary between funding schemes and may vary from call to call. See the call fiche and the Annual Implementation Plan for the conditions applicable to the call.

*The EU Member States are:*

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

*The Associated Countries are:*

*Albania, Bosnia and Herzegovina, Croatia, FYR Macedonia, Iceland, Israel, Liechtenstein, Montenegro, Norway, Serbia, Switzerland and Turkey*

*Other countries may become associated during the course of FP7. The latest news will be posted on the CORDIS web site.*

1. The following shall be eligible for FCH JU funding1:

1. legal entities established in a Member State or an Associated country;
2. international organisations, which have legal personality under international public law, as well as any specialised agencies set up by such organisations;

(c) legal entities from third countries, provided that the Governing Board considers their  
participation to be of particular benefit to the project.

**International cooperation**

The FCH JU, like the Commission attaches great importance to international cooperation in research. Please check the Annual Implementation Plan, including the call fiche, to see if International Cooperation activities apply to the call. Please note that legal entities from third countries shall be elegible for funding provided that the Governing Board considers their participation to be of particular benefit to the project.

**Ethical principles**

Please remember that research activities in the FCH JU, just like 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. For this reason, the FCH JU carries out an ethical review of proposals when appropriate.

**Risk-Sharing Finance Facility (RSFF)**

This innovative debt-based facility, designed by the European Commission and the European Investment Bank creates an additional capacity of up to EUR 10 billion for financing higher risk

1 Council Regulation No 521/2008 of 30 May 2008 setting up the Fuel Cells and Hydrogen Joint Undertaking

11

**FCH JU Guide for Applicants**

*Version 2 – 15 May 2009*

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 FCH JU 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>

**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 1 to 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 FCH JU 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 2 to 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 may be specified for the different sections of Part B, or for Part B as a whole (see annex 2 to this Guide). You must keep your proposal within these limits. Experts will be instructed to disregard any excess pages.*

*Even where no page limits are given, or where limits are only recommended, it is in your interest to keep your text concise since over-long proposals are rarely viewed in a positive light by the evaluating experts.*

**Proposal language**

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

12

**FCH JU Guide for Applicants**

*Version 2 – 15 May 2009*

***3.2. Proposal submission***

**About the EPSS**

Proposals must be submitted electronically, using the Commission's **Electronic Proposal Submission Service (EPSS**). Proposals arriving by any other means are regarded as ‘not submitted’, and will not be evaluated.

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.

**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 that 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.](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.

13

**FCH JU Guide for Applicants**

*Version 2 – 15 May 2009*

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 FCH JU 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 2 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 FCH JU 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 deadline specified in the Call fiche. It is your responsibility to ensure the timely submission of your proposal.

The EPSS will be closed for a 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.***

14

**FCH JU Guide for Applicants**

*Version 2 – 15 May 2009*

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 FCH JU 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 a 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, on the web site of the EPSS and on the FCH JU website.

Such a failure is a rare and exceptional event; therefore do not assume that there will be an extension to a 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.

Please note that the FCH JU 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 FCH JU can accept no further additions, corrections or re-submissions. The last eligible 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.

15

**FCH JU Guide for Applicants**

*Version 2 – 15 May 2009*

**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 FCH JU".*

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

16

**FCH JU Guide for Applicants**

*Version 2 – 15 May 2009*

**4. Check list**

Of importance for the consortium in general, but in particular for the coordinator:

***4.1. Preparing your proposal***

* **Does your planned work fit with the call for proposals?** Check that your proposed work does indeed address the topics open in the call. (See the current version of the Annual Implementation Plan and the call fiche).
* **Are you applying for the right funding scheme?** Check that your proposed work falls within the scope of the call, and that you have applied for one of the eligible funding schemes (see the Annual Implementation Plan and the call fiche). If there is a choice, have you opted for the one that best suits your needs? Check the Part A and Part B formats shown in annexes 1 and 2 to this Guide1
* **Is your proposal eligible?** The eligibility criteria are given in the Annual Implementation Plan and the call fiche. In particular, make sure that you satisfy the minimum requirements for the make-up of your consortium. Have any additional eligibility criteria been set for this call? Check that you comply with any budgetary limits that may have been fixed on the requested FCH JU contribution. 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.
* **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 2 to this Guide), which is designed to correspond to the evaluation criteria, which will be applied. Omitting requested information will almost certainly lead to lower scores and possible rejection.
* **Have you maximised your chances?** There will be strong competition. Therefore, edit your proposal tightly, strengthen or eliminate weak points. Put yourself in the place of an expert evaluator; refer to the evaluation criteria. Arrange for your draft to be evaluated by experienced colleagues; use their advice to improve it before submission.

1 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.

17

**FCH JU Guide for Applicants**

*Version 2 – 15 May 2009*

***4.2. Final checks before submission***

* **Do you have the agreement** of all the members of the consortium to submit this proposal on their behalf?
* **Is your Part B in portable document format (PDF),** including no material in other formats?
* **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 been uploaded **and** submitted.
* You can revise and resubmit your proposal up to call deadline.

18

**FCH JU Guide for Applicants**

*Version 2 – 15 May 2009*

**5. What happens next**

Shortly after the call deadline, the FCH JU 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, you should contact the FCH JU. 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 FCH JU.*

The FCH JU will check that your **proposal** meets the **eligibility criteria** that apply to the call and funding scheme (see the Annual Implementation Plan and the call fiche).

All eligible proposals will be evaluated by independent experts. The evaluation criteria and procedure are described in the Annual Implementation Plan and the call fiche.

If **hearings** are planned in the call, you will receive an invitation if your proposal is highly rated. In this case, you will be asked by the evaluation panel to provide further details on the proposal. The letter of invitation will specify the date and time and the particular arrangements. It may also list a number of specific questions concerning the proposal, which you should be prepared to respond to at the hearing. The letter will explain how to reply if you cannot attend in person.

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 the proposal. Even if the experts viewed your proposal favourably, the FCH JU cannot at this stage indicate if there is a possibility of funding.

*If you have not received the "initial information letter" by the date referred to in the Annual Implementation Plan and the call fiche, please contact the FCH JU.*

Based on the results of the evaluation by experts, the FCH JU draws up the final list of proposals for possible funding, taking account of the available budget. The FCH JU must also take account of the strategic objectives of the Annual Implementation Plan, as well as the overall balance of the proposals to be funded.

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.

19

**FCH JU Guide for Applicants**

*Version 2 – 15 May 2009*

Negotiations between the applicants and the FCH JU aim to conclude a grant agreement, which provides for FCH JU funding of the proposed work. They cover both the scientific/technological, and the administrative and financial aspects of the project. The FCH JU staff members conducting these negotiations on behalf of the FCH JU 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 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 registr[ation and validation is triggered by a self-reg](http://ec.europa.eu/research/participants/urf)istration 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).

20

**FCH JU Guide for Applicants**

*Version 2 – 15 May 2009*

**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 any Community act.

**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 *JCH JU* urgently if you do not receive such an acknowledgement.

**Annual Implementation Plan**

A formal document of the FCH JU for the implementation of a specific plan, that sets out the research objectives and topics to be addressed. It also contains information such as the schedule and details of the calls for proposals, indicative budgets, and the evaluation procedure.

**Applicant**

The term used generally in this guide 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 Annual Implementation Plan 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 and on the FCH JU website.

**Call for proposals (or "call")**

An announcement, usually in the Official Journal of the European Union, inviting proposals for research activities under the FCH JU. Full information on the call can be found on the CORDIS and the FCH JU web­sites.

**Consensus meeting**

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

**Consortium**

Most *funding schemes* require proposals from a number of participants (usually at least three) who agree to work together in a consortium.

21

**FCH JU Guide for Applicants**

*Version 2 – 15 May 2009*

**Coordinator**

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

**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 FCH JU, 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 workpackage 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)**

A web-based service, which must be used to submit proposals to the FCH JU. 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 difficu[lty in submitting their](mailto:support@epss-fp7.org) proposal via the Electronic Proposal Submission System: tel: +32 2 233 3760, email [support@epss-fp7.org](mailto:support@epss-fp7.org)

**Eligibility Review Committee**

An internal FCH JU ad hoc 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. The eligibility criteria are generally the same for all proposals throughout the FCH JU Annual Implementation Plans and the call fiches, and relate to submission before the *deadline, minimum participation, completeness and scope.* However, additional eligibility criteria may apply to certain calls, and applicants should check the Annual Implementation Plan and the call fiche.

**Ethical issues table**

Research activities supported by the FCH JU 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

22

**FCH JU Guide for Applicants**

*Version 2 – 15 May 2009*

**Evaluation criteria and sub criteria**

The criteria and sub criteria against which eligible proposals are assessed by independent experts. The evaluation criteria and sub criteria are generally the same for all proposals throughout the FCH JU Annual Implementation Plans and the call fiches, and relate to S/T quality, impact and implementation. Relevance is also considered. However, additional evaluation criteria and sub criteria may apply to certain calls, and applicants should check the Annual Implementation Plan and the call fiche.

**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**

**Funding scheme**

The mechanisms for the FCH JU funding of research projects. The funding schemes have different objectives, and are implemented through grant agreements.

**G**

**Grant Agreement (GA)**

The legal instrument that provides for FCH JU funding of successful proposals.

**H**

**Hearing**

Applicants whose proposals have been evaluated are sometimes invited to provide explanations and clarifications to any specific questions raised by the experts. These questions are submitted to the applicants in advance.

**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 FCH JU to explain the characteristics of specific calls, and often as well, a chance for potential applicants to meet and discuss proposal ideas and collaborations.

23

**FCH JU Guide for Applicants**

*Version 2 – 15 May 2009*

**Initial information letter**

A letter sent by the FCH JU 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)**

A list of low-income, lower-middle income and upper-middle-income countries, given in annex 1 to the FP7 specific programme. Organisations from these countries can participate and receive funding from the FCH JU, providing that FCH JU Governing Board considers their participation to be of particular benefit to the project.

**International European Interest Organisation**

International organisations, 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.

**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.

**Lump sum**

Lump sums do not require the submission of financial justifications (statements), as they are "fixed".

**M**

**Milestones**

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

**N**

**Negotiation**

The process of establishing a grant agreement between the FCH JU 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.

24

**FCH JU Guide for Applicants**

*Version 2 – 15 May 2009*

**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 2 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 FCH JU.

**Participant Indentification 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.

**Proposal**

A description of the planned research activities, information on who will carry them out, how much they will cost, and how much funding is requested

**Public body**

Public body means any legal entity established as such by national law, and international organisations.

**R**

**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.

25

**FCH JU Guide for Applicants**

*Version 2 – 15 May 2009*

**S**

**SME**

‘SMEs’ are micro, small and medium-sized enterprises as 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 ea](http://ec.europa.eu/research/participants/urf)ch 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**

**Weightings**

The scores for certain evaluation criteria may be multiplied by a weighting factor before the total score is calculated. Generally, weightings are set to one; but there may be exceptions and applicants should check the details in the Annual Implementation Plan and the call fiche.

**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.

26

**Annex 1**

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

Proposals in a 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 2).

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

Please note:

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

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

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

**Note:**

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

ANNEX 1 27

**FCH JU**

**Guide for Applicants**

*Version 2 – 15 May 2009*

**COLLABORATIVE PROJECTS AND COORDINATION AND SUPPORT ACTIONS**

|  |  |
| --- | --- |
| **Section A1: Summary** | |
| **Proposal Acronym** | The short title or acronym will be used to identify your proposal efficiently in a 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. |
| **Collaborative Projects only** | For each type of Collaborative Projects, please refer to the Annual Implementation Plan and the call fiche. |
| **Proposal Title** | The title should be no longer than 200 characters and should be understandable to the non-specialist in your field. |
| **Duration in months** | Insert the estimated duration of the project in full months. |
| **Call identifier** | 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, on the CORDIS call page and the FCH JU website. A call identifier looks like this: *FCH JU-2008-1* |
| **Topic code(s)**  **most relevant**  **to your**  **proposal** | Please refer to the topic codes /objectives listed in the Annual Implementation Plan and call fiche.  All activities and topics in the Annual Implementation Plan and call fiche have been assigned unique codes, which are used in the processing of data on proposals and subsequent contracts. The codes are organised hierarchically.  The choice of the first topic code will be limited in the drop-down menu to one of the topics open in the call. Select the code corresponding to the topic most relevant to your proposal.  The choice for the second code is also limited to topics open in the call in question. Enter a second code if your proposal also addresses another of these. Select ‘none’ if this is not the case.  Select a third code if your proposal is also relevant to another theme. This time, the available codes will simply correspond to broad themes. Select ‘none’ if this is not the case. |
| **Free Keywords** | Please enter a number of keywords that you consider sufficient to characterise the scope of your proposal. There is a limit of 100 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 Annual Implementation Plan. This summary will be used as the short description of the proposal in the evaluation process and in communications to 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 include an English version of the proposal abstract in Part B.**  There is a limit of 2000 characters. |
| **Similar**  **proposals or**  **signed**  **contracts** | 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. |

ANNEX 1

28

**FCH JU**

**Guide for Applicants**

*Version 2 – 15 May 2009*

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| --- | --- |
| **Section A2/ Participants** | |
| **Participant number** | The number allocated by the consortium to the participant for this proposal. The **co-ordinator** of a proposal is always **number one**. |
| **Participant**  **Identification**  **Code** | The Participant Identification Code (PIC) enables 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. By entering a PIC, parts of section A2 will be filled in automatically. |
| **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 Individuals 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. |
| **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](http://ec.europa.eu/eurostat/ramon/nomenclatures/index.cfm?TargetUrl=LST_CLS_DLD&StrNom=NACE_1_1&StrLanguageCode=EN&StrLayoutCode=HIERARCHIC) |
| [CLS DLD&St](http://ec.europa.eu/eurostat/ramon/nomenclatures/index.cfm?TargetUrl=LST_CLS_DLD&StrNom=NACE_1_1&StrLanguageCode=EN&StrLayoutCode=HIERARCHIC)rNom=NACE 1 1&StrLanguageCode=EN&StrLayoutCode= |
| HIERARCHIC . |
| **Small and**  **Medium-Sized**  **Enterprises** | 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](http://ec.europa.eu/enterprise/enterprise_policy/sme_definition/index_en.htm) at <http://ec.europa.eu/enterprise/enterprise_policy/sme_definition/index_en.htm> |
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ANNEX 1

29

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| **FCH JU** | **Guide for Applicants**  *Version 2 – 15 May 2009* |
| **(SMEs)** | [To find out if your organisation corresponds to the definiti](http://ec.europa.eu/research/sme-techweb/index_en.cfm)on 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**); or  - A legal entity directly or indirectly controls another legal entity (**CLS)**; or  - 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 mentioned, 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 FCH JU 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 F or M as appropriate. |
| **Phone and fax numbers** | Please insert the full numbers including country and city/area code. Example +32-2-2991111. |
| **Section A3/Budget** | |
| **Indirect Costs** | Indirect costs 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. They may not include any eligible direct costs. |
| **Method of**  **calculating**  **maximum**  **reimbursement**  **rate for direct**  **costs** | FCH JU upper funding limits of direct costs will be based on a maximum percentage of actual eligible direct costs, depending on the type of participant, funding scheme and type of activity. |

ANNEX 1

30

**FCH JU**

**Guide for Applicants**

*Version 2 – 15 May 2009*

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| **Type of organisation** | **Type of Activity** | | |
| RTD | Demonstration | Other |
| Industry (other than SME) | CP: max. 50% CSA: max. 100% | CP: max. 50% CSA: max. 100% | CP: max. 100% CSA: max. 100% |
| SME | CP: max. 75% CSA: max. 100% | CP: max. 50% CSA: max. 100% | CP: max. 100% CSA: max. 100% |
| Non-profit public-bodies, universities & higher education establishments, non­profit Research organisations | CP: max. 75% CSA: max. 100% | CP: max. 50% CSA: max. 100% | CP: max. 100% CSA: max. 100% |

Funding schemes: CP: Collaborative project

CSA: Coordination and Support Action

**Method of**

**reimbursing**

**indirect costs**

The reimbursement of indirect costs will be:

1. Either a maximum of 20% of the direct eligible costs, excluding its direct eligible costs for subcontracting and the costs of resources made available by third parties which are not used on the premises of the beneficiaries.
2. Or a flat rate of 20% of the direct eligible costs, excluding its direct eligible costs for subcontracting and the costs of resources made available by third parties which are not used on the premises of the beneficiaries.

Option 1 is mandatory for industrial legal entities, except for those whose accounting system does not allow distinguishing direct from indirect costs. Under this option, beneficiaries shall declare their actual indirect costs under eligible costs.

In the case of Coordination and Support Actions, the reimbursement of indirect eligible costs for every beneficiary may reach a maximum of 7% of the direct eligible costs, excluding its direct eligible costs for subcontracting and the costs of resources made available by third parties which are not used on the premises of the beneficiary.

These provisions are further developed in the FCH JU Grant Agreement.

**International**

**Cooperation**

**Partner**

**Country (ICPC)**

International Cooperation Partner Country means a third country which the Commission and the FCH JU classify as a low-income, lower-middle income or upper-middle-income country and which is identified as such in Annex I to the FP7 specific programme.

**Type of Activity**

**RTD activities** means activities directly aimed at creating new knowledge, new technology, and products including scientific coordination.

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

**Coordination (or networking) actions** may cover activities such as the organisation of events – including conferences, meetings, workshops or seminars, related studies, exchanges of personnel, exchange and dissemination of good practices, and, if necessary, the definition, organisation and management of joint or common initiatives, together with management of the action.

**Support activities** may cover activities, depending on their nature such as: monitoring and assessment; conferences; seminars; workshops; working or expert groups or individual experts appointment letters; studies; fact finding; monitoring; strategy development; high level scientific awards and competitions; operational support; data access and dissemination, information and communication activities; specific services activities related to research infrastructures, such as for example transnational access; preparatory technical work, including feasibility studies for the development of new infrastructures; contribution to the construction of new infrastructures; cooperation with other European research schemes; or a combination of these.

**Other activities** mean any specific activities not covered by the above mentioned types of activity such as training. These activities should be specified in the proposal Part B.

ANNEX 1

31

**FCH JU**

**Guide for Applicants**

*Version 2 – 15 May 2009*

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|  | • **Management activities** are part of the other activities. They include the maintenance of the consortium agreement, if it is obligatory**,** the overall legal, ethical, financial and administrative management including for each of the participants obtaining the certificates on the financial statements or on the methodology, the implementation of competitive calls by the consortium for the participation of new participants and, any other management activities foreseen in the proposal except coordination of research and technological development activities. |
| **Personnel costs** | Personnel costs are only the costs of the actual hours worked by the persons directly carrying out work under the project and shall reflect the total remuneration: salaries plus social security charges (holiday pay, pension contribution, health insurance, etc.) and other statutory costs included in the remuneration. Such persons must:  – be directly hired by the participant in accordance with its national legislation,  – be working under the sole technical supervision and responsibility of the latter, and  – be remunerated in accordance with the normal practices of the participant. |
| **Sub­contracting** | A subcontractor is a third party which has entered into an agreement on business conditions with one or more participants, in order to carry out part of the work of the project without the direct supervision of the participant and without a relationship of subordination.  Where it is necessary for the participants to subcontract certain elements of the work to be carried out, the following conditions must be fulfilled:  - subcontracts may only cover the execution of a limited part of the project;  - recourse to the award of subcontracts must be duly justified in Part B of the proposal having regard to the nature of the project and what is necessary for its implementation;  - recourse to the award of subcontract by a participant may not affect the rights and obligations of the participants regarding background and foreground;  -  - Part B of the proposal must indicate the task to be subcontracted and an estimation of the costs;  Any subcontract, the costs of which are to be claimed as an eligible cost, must be awarded according to the principles of best value for money (best price-quality ratio), transparency and equal treatment. Framework contracts between a participant and a subcontractor, entered into prior to the beginning of the project that are according to the participant's usual management principles may also be accepted.  Participants may use external support services for assistance with minor tasks that do not represent per se project tasks as identified in Part B of the proposal. |
| **Other direct costs** | Means direct costs not covered by the above mentioned categories of costs. |
| **Total Budget** | *Note: The "total budget"* ***is not*** *the requested FCH JU contribution.*  A sum of all the eligible costs, under the respective types of activity. |
| **FCH JU**  **financial**  **contribution** | The FCH JU financial contribution for grants to the beneficiaries participating in the activities shall be based on the reimbursement of a percentage of eligible direct costs and on the form of a maximum reimbursement or a flat-rate for the reimbursement of indirect costs.  The call for proposals shall specify the forms of grants to be used in the actions concerned.  The FCH JU contribution shall be determined by applying the upper funding limits for the reimbursement of direct eligible costs and the maximum reimbursement rate or flat rate for indirect costs.  However, as indicated in Article 15(3) of the statutes of the FCH JU,  *"in case lower levels of funding will be necessary to comply with the matching principles referred to in Article 12(3)* (the industry contribution shall at least match the Community's contribution), *the decreases shall be fair and balanced proportionally with the above mentioned upper funding limits of the Rules of Participation of the Seventh Framework Programme for all categories of participants in each individual project."*  Experience from the FCH JU 2008 Call for proposals showed that these decreases might be substantial, depending on the type of activity (Research, Demonstration, Other) and type of participant (SME, university, etc) of |

ANNEX 1

32

**FCH JU**

**Guide for Applicants**

*Version 2 – 15 May 2009*

the proposals retained for negotiation, as well as on the related matching funds provided by industrial participants in these proposals.

The decreases will be estimated per call for proposals, after evaluation and before signing the Grant Agreement.

These provisions are further developed in the FCH JU Grant Agreement.

**Total Receipts**

*Note: The term "receipts"* ***is not*** *the requested FCH JU contribution.*

Receipts of the project may arise from:

a) Financial transfers or contributions in kind free of charge to the participant from third parties:

i. shall be considered a receipt of the project if they have been contributed by the third party specifically to be used on the project.

ii. shall not be considered a receipt of the project if their use is at the management discretion of the participant.

b) Income generated by the project:

i. shall be considered receipts for the participant when generated by actions undertaken in carrying out the project and from the sale of assets purchased under the grant agreement up to the value of the cost initially charged to the project by the participant;

ii. shall not be considered a receipt for the participant when generated from the use of foreground resulting from the project.

The FCH JU financial contribution may not have the purpose or effect of producing a profit for the participants. For this reason, the total requested FCH JU funding plus receipts cannot exceed the total eligible costs.

ANNEX 1

33

**FCH JU Guide for Applicants**

*Version 2 – 15 May 2009*

**Annex 2**

***Instructions for drafting "Part B" of the proposal***

**Collaborative Project and Coordination and Support Action**

A description of these funding schemes is given in section 2 of this Guide for Applicants. Please examine this carefully before preparing your proposal.

This annex provides a template to help you structure your proposal. It will help you present important aspects of your planned work in a way that will enable the experts to make an effective assessment against the evaluation criteria. Sections 1, 2 and 3 each correspond to an evaluation criterion. The sub-sections (1.1, 1.2 etc.) correspond to the sub-criteria.

Page limits: remember to keep to maximum page lengths where these are specified.

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).

The FCH JU will instruct the experts to disregard any excess pages.

Even where no page limits are given, or where limits are only recommended, it is in your interest to keep your text concise since over-long proposals are rarely viewed in a positive light by experts.

**Cover Page**

Proposal full title: Proposal acronym: Type of funding scheme:

Collaborative Project or Coordination and Support Action

If a distinction is made in the call, please state which types of collaborative project your proposal relates to: (i) Small or medium-scale focused research project; (ii). Large-scale integrating project; (iii) Project targeted to special groups such as SMEs and other smaller actors

Annual Implementation Plan topics addressed:

(if more than one, indicate their order of importance to the project)

Name of the coordinating person:

List of participants:

|  |  |  |
| --- | --- | --- |
| **Participant no. \*** | **Participant organisation name** | **Country** |
| 1 (Coordinator) |  |  |
| 2 |  |  |
| 3 |  |  |

*\* Please use the same participant numbering as that used in section A2 of the administrative forms*

**Table of Contents**

ANNEX 2 34

**FCH JU Guide for Applicants**

*Version 2 – 15 May 2009*

**Proposal**

**1: Scientific and/or technical quality, relevant to the topics addressed by the call**

**1.1 Concept and objectives**

Explain the concept of your project. What are the main ideas that led you to propose this work?

Describe in detail the S&T objectives. Show how they relate to the topics addressed by the call, which you should explicitly identify. The objectives should be those achievable within the project, not through subsequent development. They should be stated in a measurable and verifiable form, including through the milestones that will be indicated under section 1.3 below.

**1.2 Progress beyond the state-of-the-art *(for Collaborative Projects only)***

Describe the state-of-the-art in the area concerned, and the advance that the proposed project would bring about. If applicable, refer to the results of any patent search you might have carried out.

OR

**Contribution to the co-ordination of high quality research *(for Coordination Actions only)***

Indicate how the area addressed by your project will benefit from the co-ordination (including networking) that you propose.

OR

**Not Applicable *(for Supporting Actions only)***

**1.3 S/T methodology and associated work plan *(for Collaborative Projects only)***

OR

**Quality and effectiveness of the Coordination/Support Actions mechanisms and associated work plan *(for Coordination and Support Actions only)***

A detailed work plan should be presented, broken down into work packages1 (WPs), which should follow the logical phases of the implementation of the project, and include consortium management and assessment of progress and results. (Please note that your overall approach to management will be described later, in section 2).

1 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.

ANNEX 2 35

**FCH JU Guide for Applicants**

*Version 2 – 15 May 2009*

Please present your plans as follows:

i) Describe the overall strategy of the work plan *(maximum length: 1 page).*

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

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

* Work package list (please use table 1.3a);
* Deliverables list (please use table 1.3b);
* List of milestones (please use table 1.3c);

**■** Description of each work package (please use table 1.3d);

**■** Summary effort table (please use table 1.3e)

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

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

Note:

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

*Maximum length for the whole of Section 1: Twenty pages. This limit does not include the Gantt chart under 1.3 ii), the tables 1.3a- e, and the Pert diagram under 1.3 iv).*

ANNEX 2

36

**FCH JU**

**Guide for Applicants**

*Version 2 – 15 May 2009*

**Table 1.3 a: Work package list**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Work package**  **No1** | **Work package title** | **Type of**  **activity2** | **Lead participant**  **No3** | **Lead**  **participant**  **short**  **name** | **Person-months4** | **Start**  **month5** | **End**  **month5** |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  | TOTAL | | |  |  |  |

Work package number: WP 1 – WP n. Please indicate one activity per work package:

RTD = Research and technological development; DEM = Demonstration; COO = Coordination activities; SUPP = Support activities; MGT = Management of the consortium; OTHER = Other specific activities, if applicable in this call. According to the description of the funding scheme given previously.

3

4

5

Number of the participant leading the work in this work package. The total number of person-months allocated to each work package. Measured in months from the project start date (month 1).

ANNEX 2

37

**FCH JU**

**Guide for Applicants**

*Version 2 – 15 May 2009*

**Table 1.3 b:**

**Deliverables List**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Del. no. 1** | **Deliverable name** | **WP no.** | **Nature2** | **Dissemination**  **level3** | **Delivery**  **date4** |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

Deliverable numbers in order of delivery dates. Please use the numbering convention <WP number>.<number

of deliverable within that WP>. For example, deliverable 4.2 would be the second deliverable from work

package 4.

2

Please indicate the nature of the deliverable using one of the following codes:

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

3

Please indicate the dissemination level using one of the following codes:

**PU** = Public

**PP** = Restricted to other programme participants (including the FCH JU Services).

**RE** = Restricted to a group specified by the consortium (including the FCH JU Services).

**CO** = Confidential, only for members of the consortium (including the FCH JU Services).

4

Measured in months from the project start date (month 1).

38

ANNEX 2

**FCH JU**

**Guide for Applicants**

*Version 2 – 15 May 2009*

**Table 1.3 c List of milestones**

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

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Milestone number** | **Milestone name** | **Work package(s) involved** | **Expected date 1** | **Means of**  **verification2** |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

1 Measured in months from the project start date (month 1).

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

ANNEX 2

39

**FCH JU**

**Guide for Applicants**

*Version 2 – 15 May 2009*

**Table 1.3 d: Work package description**

**For each work package:**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Work package number** | **Start date or starting event:** | | | | | | |
| **Work package title** |  | | | | | | |
| **Activity Type1** |  | | | | | | |
| **Participant number** |  |  |  |  |  |  |  |
| **Participant short name** |  |  |  |  |  |  |  |
| **Person-months per participant:** |  |  |  |  |  |  |  |

**Objectives**

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

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

1 Please indicate one activity per work package:

RTD = Research and technological development; DEM = Demonstration; COO = Coordination activities; SUPP =

Support Activities; MGT = Management of the consortium; OTHER = Other specific activities, if applicable.

ANNEX 2

40

**FCH JU**

**Guide for Applicants**

*Version 2 – 15 May 2009*

**Table 1.3 e Summary of staff effort**

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

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Participant**  **no./short**  **name** | **WP1** | **WP2** | **WP3** | **…** | **Total person months** |
| Part.1 short name |  |  |  |  |  |
| … |  |  |  |  |  |
| … |  |  |  |  |  |
| … |  |  |  |  |  |
| Total |  |  |  |  |  |

ANNEX 2

41

**FCH JU Guide for Applicants**

*Version 2 – 15 May 2009*

**2. Implementation**

**2.1 Management structure and procedures**

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

*(Maximum length for Section 2.1: five pages)*

**2.2 Individual participants**

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

*(Maximum length for Section 2.2: one page per participant. However, where two or more departments within an organisation have quite distinct roles within the proposal, one page per department is acceptable.*

*The maximum length applying to a legal entity composed of several members, each of which is a separate legal entity, is one page per member, provided that the members have quite distinct roles within the proposal.)*

**2.3 Consortium as a whole**

Describe how the participants collectively constitute a consortium capable of achieving the project objectives, and how they are suited and are committed to the tasks assigned to them. Show the complementarities between participants. Explain how the composition of the consortium is well-balanced in relation to the objectives of the project.

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

**i) Sub-contracting:** If any part of the work is to be sub-contracted by the participant responsible for it, describe the work involved and explain why a sub-contract approach has been chosen for it.

**ii) Other countries:** If one or more of the participants requesting FCH JU funding is based in a country that is outside the EU, and is not an Associated Country, and is not on the list of International Cooperation Partner Countries1, explain in terms of the project’s objectives why such funding would be essential.

**iii) Additional partners:** If there are as-yet-unidentified participants in the project, the expected competences, the role of the potential participants and their integration into the running project should be described. **However, these as-yet-unidentified participants will not be counted in the minimum number of participants' condition regarding the eligibility of the proposal.**

*(No maximum length applies to this section)*

1 See CORDIS web-site, and annex 1 of the FP7 specific programme.  
ANNEX 2 42

**FCH JU Guide for Applicants**

*Version 2 – 15 May 2009*

**2.4 Resources to be committed**

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

In addition to the costs indicated in Part A3 of the proposal, and the staff effort shown in section 1.3 above, please indicate any other major costs (e.g. equipment).

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

*(Maximum length for Section 2.4 – two pages)*

**3. Impact**

**3.1 Expected impacts listed in the Annual Implementation Plan**

Describe how your project will contribute towards the expected impacts listed in the Annual Implementation Plan in relation to the topic or topics in question. Mention the steps that will be needed to bring about these impacts. Explain why this contribution requires a European (rather than a national or local) approach. Indicate how account is taken of other national or international research activities. Mention any assumptions and external factors that may determine whether the impacts will be achieved.

**3.2 Dissemination and/or exploitation of project results, and management of intellectual  
property *(for Collaborative Projects only)***

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

OR

**Spreading excellence, exploiting results and disseminating knowledge *(for Coordination and Support Actions only)***

Outline how you intend to achieve these benefits through engagement with stakeholders outside the network, and the public at large.

*(Maximum length for the whole of Section 3 – ten pages)*

**4. 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 it 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 leaving the study.

ANNEX 2 43

**FCH JU Guide for Applicants**

*Version 2 – 15 May 2009*

**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 identify 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

o 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.

o that result from medically-assisted *in vitro* fertilisation designed to induce pregnancy, and were no longer to be used for that purpose.

o 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;

o 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 ethical review. It enables the independent experts to decide if an ethical 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 4: Depends on the number of such issues involved)*

ANNEX 2 44

**FCH JU Guide for Applicants**

*Version 2 – 15 May 2009*

Note:

Only in exceptional cases will additional information be sought for clarification, which means that

any ethical review will be performed solely on the basis of the information available in the proposal.

To ensure compliance with ethical principles, the FCH JU 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>

ANNEX 2 45

**FCH JU**

**Guide for Applicants**

*Version 2 – 15 May 2009*

**ETHICAL ISSUES TABLE**

(Note: Research involving activities marked with an asterisk \* in the left column in the table below will be referred automatically to Ethical 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** | 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 |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **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 |  |  |

ANNEX 2

46

**FCH JU Guide for Applicants**

*Version 2 – 15 May 2009*

**5. Consideration of gender aspects**

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

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

*(Maximum length for section 5 – one page)*

ANNEX 2 47