FP7/ICT: Rules and proposal making

Warsaw, 26-27 September 2012

Overview

Part 1 – Rules of the game

- *Participation Principles*

- *Funding schemes*

- *Funding of costs (direct, indirect)*

- *Basic Principles for Calls*

Who can participate

- *Any undertaking, university or research centre or other legal entity, whether established in a **Member State** (MS) or **Associated Country** (AC)* or third country*

*presently: Albania, Bosnia and Herzegovina, Croatia, Faroe Islands, FYR Macedonia, Iceland, Israel, Liechtenstein, Moldova, Montenegro, Norway, Serbia, Switzerland, Turkey. List given in Guide for applicants

Minimum consortia

- *Three independent legal entities from three different EU Member States or Associated countries**
  ACs presently: Albania, Bosnia and Herzegovina, Croatia, Faroe Islands, FYR Macedonia, Iceland, Israel, Liechtenstein, Moldova, Montenegro, Norway, Serbia, Switzerland, Turkey

- *EEIGs composed of members that meet the criteria above fulfil also the minimum requirement*

- *JRC (Joint Research Centre) - is deemed to be established in another MS or AC*

- *International organisations and participants from third countries can participate only if in addition to minimum consortium requirement*

* Except support actions

Who can get funding

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

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however

- *International organisations*
- *Legal entities established in 3rd countries other than ICPC-INCO*

only exceptionally if provided for in SP or WP or essential for carrying out action; or if provision for funding is provided for in a bilateral agreement between Community and that country

Funding schemes

2 funding schemes in WP 2013 – 5 "instruments"

- *Collaborative Projects (CP)*

  Small or medium scale focused research actions ("STREP")

  Large Scale Integrating Projects ("IP")

  > ~1152 m€
  > ~78% of 2013 budget

- *Coordination and Support Actions (CSA)*

  Coordination actions ("CA")
  Support Actions ("SSA")

  > ~92 m€
  > ~6% of 2013 budget

- *+ Combination*

  CP & CSA Actions (CP-CSA)

  > 240 m€
  > ~16% of 2013 budget

ICT Workprogramme shows budget pre-allocation to instruments

Integrating Projects (IPs)

Ambitious objective driven research with a 'programme approach'

Activities in an Integrating Project may cover

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

Some figures:
typically 36-60 months
7-36 participants – avg 15
4-19 m€ funding – avg 8.3

An Integrating Project comprises

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

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Focused projects (STREPs)

- *Targeting a specific objective in a clearly defined project approach*
- *Fixed overall work plan with stable deliverables that do not change over the life-time of the project*
- *Can contain two types of activity:*
  - **research and technological development activity** e.g. to generate new knowledge, to improve competitiveness, to address major societal needs
  - **demonstration activity** to prove the viability of new technologies, but which cannot be commercialized directly (e. g. testing of product like prototypes)

  as well as

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

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Coordination actions

Designed to

- *promote and support the ad hoc networking and co-ordination of research and innovation activities at national, regional and European level over a fixed period for a specific purpose (includes ERANET and ERANET+)*

- *by establishing in a coherent way coordinated initiatives of a range of research and innovation operators, in order to achieve improved cooperation of the European research*

(Coordination actions do not conduct S&T research !)

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Support actions

Designed to

- **underpin the implementation of the programme**
- **complement the other FP7 funding schemes,**
- **help in preparations for future Community research and technological development policy activities and**
- **stimulate, encourage and facilitate the participation of SMEs, civil society organisations, small research teams, newly developed and remote research centres, as well as setting up research clusters across Europe**
- **Cover one off events or single purpose activities**

(Support actions do not conduct S&T research !)

Combination of CP and CSA (CP-CSA)

Designed to

- **Combine collaborative research project with Coordination and support action;**
- **Used in WP2013 for Implementation of Pre-Commercial- Procurement (PCP) actions as well as FET Flagships and Future Internet.**

Funding of costs
(eligible cost, direct and indirect cost)

European Commission

Reimbursement of eligible costs

*All participants report direct and indirect (overhead) **eligible** costs*

Eligible costs

- *Actual*
- *Incurred during the project*
- *Determined according to usual accounting and management principles/practices*
- *Used solely to achieve project objectives*
- *Consistent with principles of economy, efficiency and effectiveness*
- *Recorded in accounts (or the accounts of third parties)*

Direct costs IP, STREP

- **Research and technological development activities**: – **50%** *funding*
  except for:
  Non-profit public bodies, secondary and higher education establishments, research organisations and SMEs

  – 75% *funding*

- **Demonstration activities - 50%** *funding*

- **Other activities (***e.g. consortium management, dissemination)*
  - 100% *funding*

Indirect costs IP, STREP

Any participant

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

  or
- **Flat-rate of 20% of direct costs excluding subcontracts**

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

- **Flat-rate of 60% of direct costs excluding subcontracts**

Coordination and Support actions

Direct costs   *100%*

Indirect costs   *+7%*

(excluding subcontracts)

Basic principles for Calls

- *Proposals can <u>only</u> be submitted in response to publicly-announced calls for proposals*
- *All proposals are presented by multinational consortia*
- *Proposals are evaluated by independent experts*
- *All proposal coordinators receive an Evaluation Summary Report*
- *Funding follows successful evaluation, selection and negotiation of grant agreement*

Overview

- **_Part 2 – How to submit a proposal_**

- _Upcoming Calls for proposals_
- _Submission and Selection_
- _From Evaluation to Negotiation_
- _Advice to Proposers_
- _Getting Help_

| Submission |
| Eligible? |
| Evaluation |
| Selection |
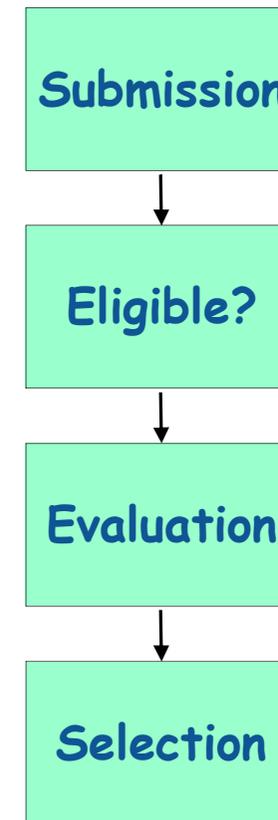
Open and upcoming Calls for proposals

FP7/ICT Calls open in 2012

FET Open

Continuous open up to 29 January 2013 (FP7-ICT-2013-X)

PPP call 2012: Future Internet

Open 18 May 2012 - Close 24 October 2012

ICT Call 10 and SME Initiative on Analytics

Open 10 July 2012 - Close 15 January 2013

PPP call 2013: Factories of the Future, Green Cars, Smartcities

Open 10 July 2012 - Close 4 December 2012

ICT EU-Brazil

Open 12 September 2012 - Close 12 December 2012

ICT Call 11

Open 18 September 2012 - Close 16 April 2013

ICT EU-Japan

Open 2 October 2012 - Close 29 November 2012

FP7/ICT calls in 2013

PPP call 2012: Future Internet

Open 16 May 2013 - Close 10 December 2013

CIP ICT/PSP calls in 2013

ICT/PSP call 7

Open January 2013 – Close May/June 2013 (tbc)

Submission and selection

Electronic Submission

- *Proposal Coordinator access the Electronic Submission services from the Participant Portal using his/her ECAS identification*
- *All partners need to obtain their Partner Identification Code (PIC)*
- *The consortium constructs the proposal, then submits it before the deadline*
- *Submission failure rate = $\pm$ 1%*

  Only reason for failure; waiting till the last minute
  - → Technical problems
  - → Panic-induced errors
  - → Too late starting upload, run out of time

  Submit early, submit often!
  If in trouble, call the FP7 helpdesk !

How to register for an ECAS account

ECAS account needed to access IT tools in PP

- Access the register link (available on the Participant Portal below the "Login" button).

- Fill in the registration form using your individual professional address and you will receive a confirmation by e-mail.

ECAS credentials are personal and strictly confidential

Participant Identification Code

- *Participants need to use a PIC to identify themselves in the Electronic Proposal Submission system. On entering the PIC, parts of the proposal forms will be filled in automatically*

- *The process for assigning a PIC is triggered by a self-registration of an organisation at the at the FP7 participant portal (under the "my organisations" tab): http://ec.europa.eu/research/participants/portal/page/myorganisations*

- *On this website you will also find a search tool for checking if your organisation is already registered (and thus already has a PIC). You can also search for a PIC from the submission service.*

A PIC is compulsory for each partner!
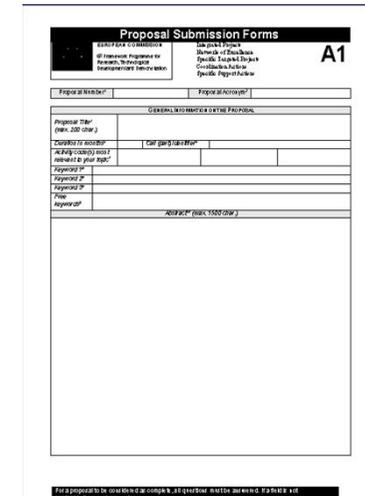
Proposal Part A (online)

A1

- **Title, acronym, objective etc.**
- **free keywords**
- **2000 character short summary**
- **previous/current submission (in FP7)**

A2

- **Legal address/administrator address/R&D address**
- **Clear identification as SME/Public body/Research centre/ Educ. establishment**
- **Proposer identification code PIC**

A3

- **Cost detail (direct/indirect costs distinguished)**

Proposal Part B (pdf format only)

Part B format directly linked to evaluation criteria

Summary

- ***S&T quality (bullet points = sections)***

- ***Implementation (idem)***

- ***Impact (idem)***

Ethics

Section lengths given

From Evaluation to Negotiation

Eligibility checks

- *Date and time of receipt of proposal on or before deadline*

    Firm deadlines - except for continuously open call FET Open

- *Minimum number of eligible, mutually-independent partners*

    As set out in work programme/call fiche

- *Completeness of proposal*

    Presence of all requested administrative forms (Part A) and the content description (Part B)

- *In scope of the call*

Evaluation Process

- *Individual readings by three or more experts (may be remote)*

- *Experts meet in "consensus groups" on individual proposal*

- *All experts in Panel meeting*

- *Evaluation Summary Report (ESR)*

Evaluation process - overview

Eligibility Check?

yes

Individual Reading → Consensus → Panel (with Hearings)
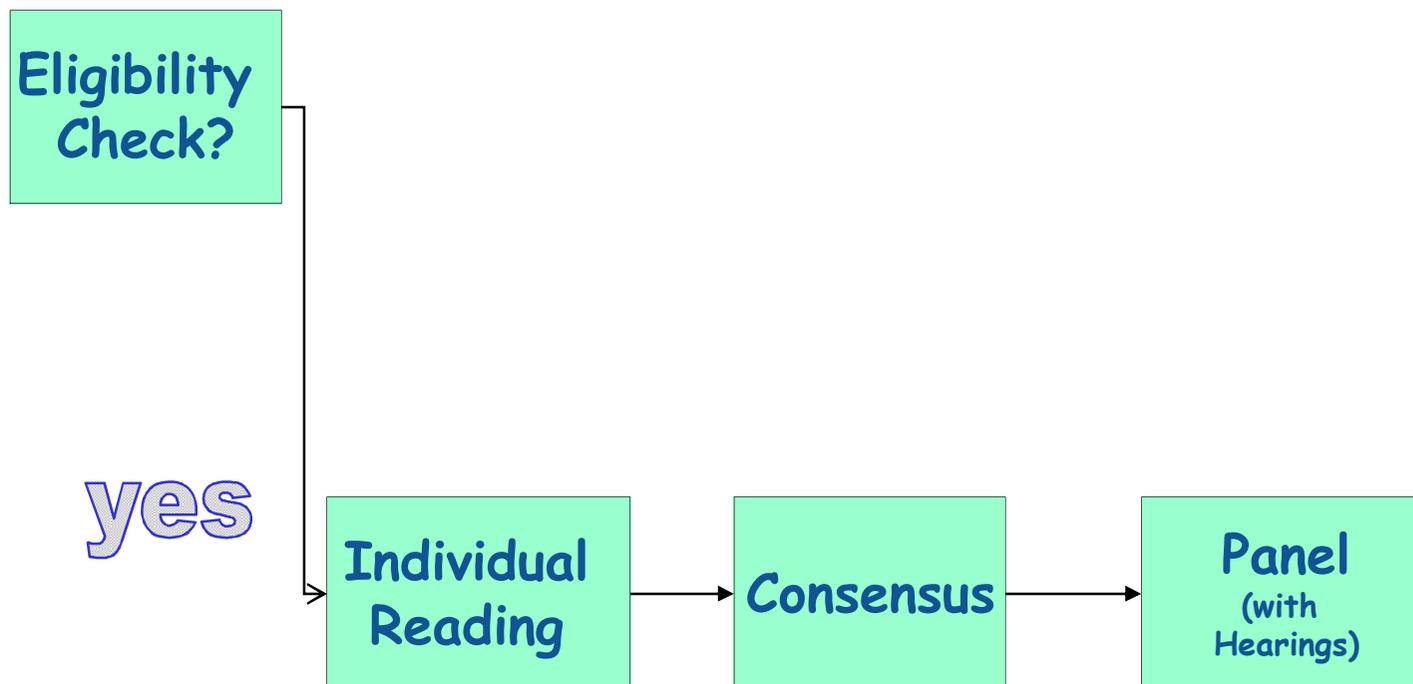
Evaluation by independent experts

1. Scientific and technical quality

Threshold 3/5

2. Implementation

Threshold 3/5

3. Impact

Threshold 3/5

Total = Overall score

Threshold 10/15

Between 40-50% of proposals pass all the thresholds

(FET Proactive evaluations involve different thresholds and a weighting scheme)

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Selection of proposals

The total call budget is pre-divided by objective, then within objective by instrument (see Workprogramme)

- *Within each budget segment, all above-threshold proposals are listed in descending order of overall score*
- *We select proposals for grant agreement negotiation starting from the top of the list, until the budget segment is exhausted*

Between 15-20% of proposals are selected for negotiations

Negotiation of proposals

The selected proposers are invited to grant agreement negotiations

They are informed in advance of the available funding for the project, and of any technical changes required by the evaluators

They are subject to legal and financial* verification

ftp://ftp.cordis.europa.eu/pub/fp7/docs/rules-verif_en.pdf

They sign a consortium agreement among themselves

(*if Project coordinator or Commission funding in excess of €500K)

Advice to proposers

Key information for proposers

- *Relevant Workprogramme*
- *Guides for Applicants*
  (including the Guidance notes for evaluators*)*
- *Evaluation forms with notes*
- *FAQs*
- *Electronic Proposal Submission User manual*
- *Model grant agreement*

Pre-proposal checks

- *Pre-proposal check (see Annexes 1 and 6 of the Guides for applicants), giving feedback from Commission on the eligibility of your consortium, and whether your idea is in scope of the call*

- *Deadline for asking for pre-proposal check normally 3 weeks before deadline for call (but do it earlier!)*

- *"Contact person" coordinates also provided (informal discussion)*

FP7 Research enquiries service

Use the service* to check any financial or legal elements you are uncertain about…..

…….And do it before you prepare your proposal, not afterwards

*address in the Guide for applicants

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Self-evaluation

Use the Instructions* and Forms** we prepare for our evaluators

1. Give the instructions and your draft proposal to experienced colleagues

2. Then re-write your proposal following their recommendations

*appendix in the Guide for Applicants
** available on the ICT Call page on Cordis

Submission

Submit your proposal on time !

Familiarise yourself with the Electronic Proposal Submission Service

Submit early, submit often

Don't make last minute changes

And if in trouble, call the helpdesk!

+32 2 29 92222

When writing your proposal….

Divide your effort over the evaluation criteria

Many proposers concentrate on the scientific element, but lose marks on project planning or impact description

Think of the finishing touches which signal quality work:

- **clear language**

- **well-organised contents, following the Part B structure**

- **useful and understandable diagrams**

- **no typos, no inconsistencies and obvious paste-ins, no numbers which don't add up, no missing pages …**

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When writing your proposal….

Make it easy for the evaluators to give you high marks. Don't make it hard for them!

- *Make sure you submit the <u>latest</u>, <u>complete</u> version of your proposal (Don't make last minute changes!)*

- *Don't write too little; cover what is requested*

- *Don't write too much*

- *Don't leave them to figure out why it's good, tell them why it's good*

- *Leave nothing to the imagination*

Planning the work

Make sure your Project Workplan reflects the promises you made in the rest of your proposal

For example:

- *S&T quality implies an adequate and well-organised research effort*

- *Good project management implies clear Workpackage leadership*

- *Strong Impact implies an important dissemination effort*

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Success factors

- *Preserve your credibility: select <u>one</u> proposal and make it a winner*
- *Show both innovation and exploitation potential*
- *Critical mass of participation rather than a long list of organisations with limited involvement*
- *Key individuals, expertise and achievements rather than long list of previous projects*
- *Make the proposal compelling for a busy reader (the first 5-10 pages are key!)*

Reasons for failure

RTD content

- **narrow scope**
- **little or no EU dimension**
- **lack of focus, aims too general**
- **lack of innovation, current state of art missing**

Planning

- **links missing between objectives and work plan**
- **milestones missing or too general**
- **risk factors not addressed, no contingency plans**
- **no monitorable indicators, no metrics**

Management

- **consortium not balanced, gaps in the skills mix**
- **lack of integration between partners**
- **vague management structure**
- **weak or narrow dissemination plans**
- **ill-defined exploitation prospects**

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Getting help with your proposal

The ICT theme supports

- *Information days and briefings in Brussels and elsewhere*

- *Partner search facilities (http://www.ideal-ist.net/)*

- *A supporting website of advice, information and documentation (http://cordis.europa.eu/fp7/ict/)*

- *A Helpdesk for proposers' questions, reachable by email or phone (and a Helpdesk for electronic proposal submission)*

- *A list of contact persons for the objectives in each call*

And a network of National Contact Points in Europe and beyond:

http://cordis.europa.eu/fp7/ncp_en.html

Experts

Appropriately qualified individuals may apply to work as experts in FP7 evaluations

- *Application via FP7 participant portal (under the "Experts" tab): http://ec.europa.eu/research/participants/portal/page/experts*

- *Selection per call to ensure broad ranging and expert group; avoiding conflicts of interest*