**SEVENTH FRAMEWORK
PROGRAMME**

GUIDE FOR APPLICANTS

Theme 4: ICT and Theme 10: SECURITY Joint Call

SUPPORT ACTIONS (SA)

Call identifier FP7-ICT-SEC-2007-1

Further copies of this Guide, together with all information related to this call for proposals, can be downloaded from the following web-site:
http://cordis.europa.eu/fp7/calls/

30 July 2007

About this Guide

This is version number 2 of the FP7 Guide for Applicants for calls using single-stage submission procedures.

- The main part of this Guide (sections 1 to 5) is common to all such calls. However, it has been slightly modified to take into account the specificities of the joint call between the ICT theme and the Security theme.

- Information specific to this call is found in the annexes. *Annex 3 "Instructions for completing Part A of the proposals" has been modified to include the details of the lump sum funding method for ICPC participants, and to specify the maximum rate of reimbursement for indirect eligible costs.*

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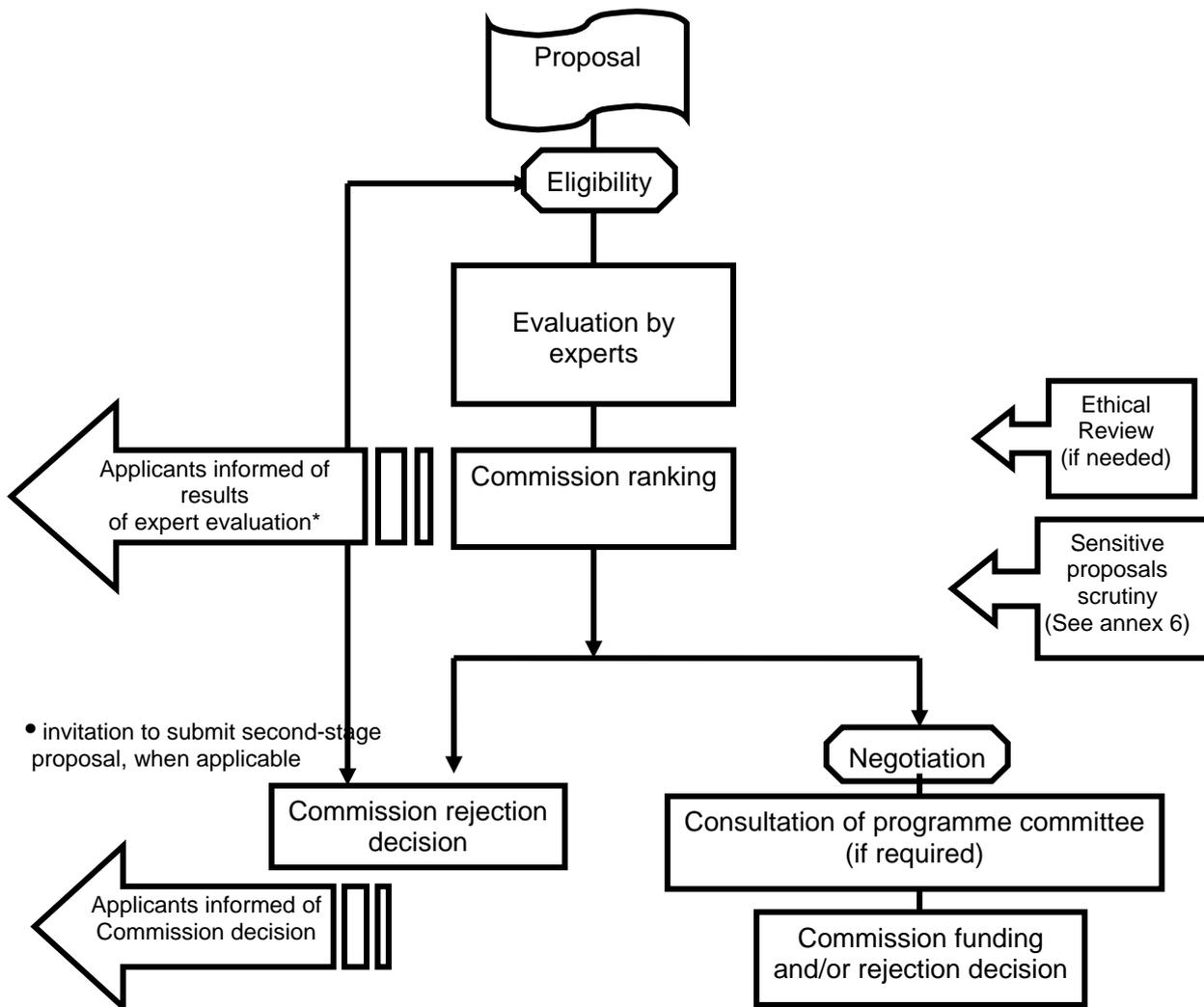
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1. Getting started

Funding decisions in the Seventh Framework Programme (FP7) are made on the basis of **proposals** submitted following **calls** published by the Commission. Proposals describe planned research activities, information on who will carry them out, and how much they will cost. They must be submitted using a special web-based service before a strictly-enforced **deadline**. The Commission evaluates all eligible proposals in order to identify those whose quality is sufficiently high for possible funding. The basis for this **evaluation** is a peer-review carried out by independent experts.

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

The sequence of steps is summarised in this flow chart:

Proposal

Eligibility

Evaluation by experts

Commission ranking

Applicants informed of results of expert evaluation*

Ethical Review (if needed)

Sensitive proposals scrutiny (See annex 6)

• invitation to submit second-stage proposal, when applicable

Commission rejection decision

Negotiation

Consultation of programme committee (if required)

Applicants informed of Commission decision

Commission 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. It is important that you have the correct Guide! Not only are

there different Guides for different calls, there may also be different Guides for other funding schemes within the same call.

You must also refer to the **work programmes** covering the two themes[1] of FP7 (the ICT Theme and the Security Theme) related to this call. They 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. Work programmes are revised each year, so make sure you refer to the latest version before preparing your proposal.

> *Please check that this is the right guide for you by consulting the work programme, the **call fiche**, and the description of the funding scheme in the next section.*

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

2. About the funding scheme: Coordination and support actions

2.1 General

A number of funding schemes are available to implement projects in FP7, but only certain ones may be available for the topics covered by this call. These are indicated in the call fiche.

This Guide covers the **Coordination and support actions (support actions)** funding scheme, a description of which is given in this section.

However, where the call allows a choice of scheme, you are advised to first consult the summary table below to make sure that you have selected the one that most closely matches your own plans[2].

Please note that special conditions may apply on a call-by-call basis. These will always be set out in the work programme.

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[1] In addition to the main domains of the "Cooperation" programme, the term "theme" is used in this guide to refer, as appropriate, to the parts of FP7 in "Capacities".

[2] The funding scheme "Research to support specific groups", and the Marie Curie actions, are not included here.

Funding Scheme	Purpose	Specific Programmes concerned	Participation	Size & Resources	Indicative Average Duration	Activities	Form of Reimbursement	Specific Characteristics
Collaborative Projects (CP)	Developing new knowledge, new technology, products, including scientific coordination. Demonstration activities or common resources for research.	"Cooperation" "Capacities"	Minimum conditions At least three legal entities established in different EU Member States or Associated countries. The entities must be independent of each other "Target audience" Research institutes Universities Industry, including SMEs (Possibly) Potential end-users	The number of participants and volume of resources should be compatible with overall objective and manageability of the whole endeavour. A distinction between different forms of collaborative project, based on budgetary thresholds, may be made on a call-by-call basis: Projects can range from small or medium-scale focused research actions to large-scale integrating projects for achieving a defined objective. Any such limits will be applied as an eligibility criteria and will be specified in the call text.	24-60 months	Research Demonstration Management of the consortium Other activities such as dissemination, training.	Based on eligible costs or other forms of grants as specified in the work programme[3]	**Flexibility** 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** Possible

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[3] International Cooperation Partner Countries (see annex 1 of the work programme) may opt for a lump sum

Funding Scheme	Purpose	Specific Programmes concerned	Participation	Size & Resources	Indicative Average Duration	Activities	Form of Reimbursement	Specific Characteristics
Network of Excellence (NoE)	Durable integration of the participants' research activities/capacities with a view to creating a "European virtual centre of research in a dedicate field.	"Cooperation" "Capacities"	<u>Minimum conditions</u> At least three legal entities established in different EU Member States or Associated countries. The entities must be independent of each other <u>"Target audience"</u> Research institutes Universities	Once the minimum conditions have been satisfied, a range between three and seven participants would seem to be optimal for a NoE.	48-60 months	<u>Joint programme of activities (JPA)</u>: Combination and complementary use of resources of the participants such as mutual access to infrastructure, equipment, material, data and knowledge[4]; exchanges of researchers, managers and technicians; redesign of the research portfolios and the research priorities, and reallocation of the resources in a way allowing to increase the number and the quality of the results produced, while optimizing the use of the participants' capacities. Management of the consortium Where appropriate, training, dissemination and communication activities.	Based on eligible costs or other forms of grants as specified in the work programme[5]	**Flexibility** Yearly update of the work plan **Enlargement of partnership(within the initial budget)** Possible

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4 in accordance with the Intellectual Property Rights, use and dissemination of the grant agreement

5 International Cooperation Partner Countries (see annex 1 of the work programme) may opt for a lump sum

Funding Scheme	Purpose	Specific Programmes concerned	Participation	Size & Resources	Indicative Average Duration	Activities	Form of Reimbursement	Specific Characteristics
Coordination and Support Actions[6] (CSA)	**No funding of research, development or demonstration activities.** ***Coordination actions*** Consistent set of activities focussing on coordination of research activities and policies ***Support actions*** Normally focused on one specific activity and often one specific event	"Cooperation", "People", "Ideas" and "Capacities"	<u>Minimum conditions</u> ***Coordination actions*** *for coordination of research activities* At least three legal entities established in different EU Member States or Associated countries. The entities must be independent of each other. ***Other Coordination and Support actions*** At least one legal entity <u>"Target audience"</u> Research organisations; Universities; Industry including SME; Research programme managers and owners (ERA-NET and Research Infrastructure actions)	The size, scope and internal organisation of coordination actions and support actions can vary from research theme to research theme and from topic to topic	Few months - 48 months	***Coordination actions*** Such as: Networking, coordination and dissemination activities ***Support actions*** Such as: Conferences, seminars, workshops, working groups, studies, fact finding, monitoring, strategy development, awards and competitions, working or expert groups, operational support and dissemination, information and communication activities Management of the consortium	Based on eligible costs or other forms of grants as specified in the work programme[7]	NA

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[6] CSA may also be awarded to beneficiaries named in the work programme. In these cases other indicative conditions may apply.

[7] International Cooperation Partner Countries (see annex 1 of the work programme) may opt for a lump sum

2.2 Support actions

Purpose

The purpose of Support actions (SAs) is tot contribute to the implementation of the Framework Programmes 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 thematic areas of the Cooperation programme, or for setting up of research-intensive clusters across the EU regions.

Specific Programmes concerned

This Funding Scheme is to be used for the implementation of the actions under the Specific Programmes "Cooperation", "Capacities", "People" and, Ideas".

Indicative size, average duration and resources

SAs may be carried out by a single participant, which can be based in any member state, associated country or a third country. Therefore there are no restrictions on the size of the consortium.

SAs are expected to last typically nine to thirty months. However, there is no formal minimum or maximum duration.

For the ICT Theme: during FP6 the number of participants in SAs for the IST priority varied from 1 to 15 participants and the EC contribution varied between 0.03 and 3 M€, with an average around the 0.5 M€.

For support actions in Security research, the experience shows that they are typically of an average total cost of 0.5 M€ and an average duration of 0.5 – 3 years

> *For this call, the average size of SAs is expected to be around 0.5* **M€ and the average duration 0.5 – 3 years.**

Activities

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

monitoring and assessment; conferences; seminars; studies; expert groups or individual expert appointment letters; 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 trans-national 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.

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

<u>Form of Reimbursement</u>

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 work programmes shall specify if other forms of reimbursement are to be used in the actions concerned.

3. How to apply

3.1. Turning your idea into an effective proposal

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 this call for proposals. Proposals that fail to do so will be regarded as ineligible.

> *Proposers should indicate in which of the two specific foci (i.e., focus of the ICT Theme or of the Security Theme) of the joint call their proposal best fits. Proposals addressing several topics of the joint call may be submitted, provided that their 'centre of gravity' lies in a topic or topics open in the call in question. However, applicants should carefully choose where the 'centre of gravity' of their proposal is found in the joint Call: within the focus of the ICT theme or within the focus of the Security theme, as this will have further consequences after the evaluation stage (see hereinafter). Evaluators may propose to move a proposal from one theme to the other theme if they consider that a proposal would fit better there and that this would be to the benefit of the proposers (see annex 2 for more details).*

> *Attention of the applicants is drawn on the fact that:*
> *if the main topic of your proposal lies or is found to be in a topic defined by the ICT theme, the proposal will be subject to the standard rules of the ICT programme committee; if the main topic of your proposal lies or is found to be in a topic defined by the Security theme, the proposal will be subject to standard rules of the Security programme committee.*

Refer to the annex 2 of this Guide, and the work programmes of the ICT and the Security Themes, to check all the **eligibility criteria** and any other special conditions that apply.

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

> **There is no 'pre-proposal check' service for this call.**

National Contact Points

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

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

Other sources of help

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

- The Commission's general **enquiry service** on any aspect of FP7. Questions can be sent to a single e-mail address and will be directed to the most appropriate department for reply.

- A dedicated help desk has been set up to deal with technical questions related to the **Electronic Proposal Submission Service** (EPSS). See section 3.2 below.

- A further help desk providing assistance on intellectual property matters.

- Any other guidance documents or background information relating specifically to this call.

- The date and contact address for any '**information day'** that the Commission may be organising for this call.

- Other services, including partner search facilities, provided via the CORDIS web site.

- You may also need to contact your national Designated Security Authority if your proposal is security sensitive[8].

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).*

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 scheme (see section 2), and may vary from call to call. See the call fiche for the conditions applicable to this 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:*
>
> *a) Iceland, Liechtenstein, and Norway*
>
> *b) Switzerland, Israel (subject to satisfactory conclusion of bilateral S/T agreements)*
>
> *c) Turkey, Croatia, Serbia and FYR of Macedonia*

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[8] See annex 6

d) Montenegro (Subject to entry into force of protocol 8 to Stabilisation and Association Agreement, and subsequent decisions. To be expected from 1 January 2008)

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

The following may receive EU funding in an FP7 project:

* Any legal entity established in a Member State or an Associated country (including the European Commission's Joint Research Centre) or created under Community law (e.g. a European Economic Interest Grouping),

* Any international European interest organisation (see glossary).

* Any legal entity established in an FP7 International Cooperation Partner Country (ICPC). The list of ICPC can be found on the CORDIS web-site, and is given in annex 1 of the related work programme.

In the case of a participating international organisation, other than an international European interest organisation, or a legal entity established in a non-EU country other than an associated country or ICPC, a Community financial contribution may be granted provided that at least one of the following conditions is satisfied:

(a) Provision is made to that effect in the specific programmes or in the relevant work programmes of the ICT and the Security themes,

(b) It is essential for carrying out the indirect action,

(c) Such funding is provided for in a bilateral scientific and technological agreement or any other arrangement between the Community and the country in which the legal entity is established.

International cooperation

The Commission attaches great importance to international cooperation in research, and FP7 has been designed to ensure that such activities can be integrated across the programme. In addition to the opportunities mentioned above, which are generally applicable, calls may include:

* Topics of mutual interest defined in the work programmes where international cooperation is particularly encouraged.

* Specific international cooperation actions (SICA), also on topics of mutual interest. Here special minimum conditions apply. (Usually a minimum of two European and two ICPC).

For this call:

Out of the Security theme's budget for this call (20 M€), an indicative 1 M€ is available for international co-operation.

International co-operation is also strongly encouraged by the ICT theme, although no specific budget has been allocated.

Ethical principles

Please remember that research activities in FP7 should respect fundamental ethical principles, including those reflected in the Charter of Fundamental Rights of the European Union. These principles include the need to ensure the freedom of research and the need to protect the physical and moral integrity of individuals and the welfare of animals. For this reason, the European Commission carries out an ethical review of proposals when appropriate. The following fields of research shall not be financed under this Framework Programme:

- research activity aiming at human cloning for reproductive purposes;
- research activity intended to modify the genetic heritage of human beings which could make such changes heritable[9];
- research activities intended to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.

As regards human embryonic stem cell research, the Commission will maintain the practice of the Sixth Framework Programme, which excludes from Community financial support research activities destroying human embryos, including for the procurement of stem cells. The exclusion of funding of this step of research will not prevent Community funding of subsequent steps involving human embryonic stem cells.

Risk sharing finance facility

The Risk-Sharing Finance Facility (RSFF) is a new mechanism to foster private sector investment in research.

The aim of RSFF is to increase the capacity of the European Investment Bank (EIB) and its financial partners to manage risk. This should allow a larger volume of EIB lending for a certain level of risk, and the financing of riskier European RTD actions (including research infrastructures) than would be possible without such Community support.

This new form of financing involves loans or guarantees that could enable the EIB (and its financial partners) to make loans for riskier RTD activities. It may be sought either in addition to FP7 grants or instead of FP7 grants.

More information can be found at the web address given in annex 1 of this Guide.

Presenting your proposal

A proposal has two parts:

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

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

Part B is a "template", or list of headings, rather than an administrative form (see annex 4 of this Guide). You should follow this structure when presenting the scientific and technical content of your proposal. The template is designed to highlight those aspects that will be assessed against the **evaluation criteria**. It covers, among other things, the nature of the proposed work, the

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

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. Do not insert hypertext links, only the text of your Part B will be read, not any documents linked to it.

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

> *A maximum length may be specified for the different sections of Part B or for Part B as a whole (see annex 4 of this Guide). You <u>must</u> keep your proposal within these limits. 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.*

> *A small number of calls operate a continuous submission procedure. These calls are open for an extended period, during which proposals will be evaluated in batches after fixed cut-off dates. The call fiche will show whether intermediate cut-off dates apply to his call.*

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 must be included in Part B of the proposal.

3.2. Proposal submission

About the EPSS

Proposals must be submitted electronically using the Commission's **Electronic Proposal Submission Service (EPSS)** Proposals arriving at the Commission by any other means are regarded as 'not submitted', and will not be evaluated[10].
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 will be found in the "EPSS preparation and submission guide". This is available from the CORDIS site.

The most important points are explained below.

Use of the system by the proposal coordinator

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

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 forms (administrative data)
- 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) and A3.1 (budget)
- 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.

Submitting the proposal using EPSS

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 the coordinator must expressly submit it by pressing the "SUBMIT" button.** Only the coordinator is authorised to submit the proposal.

On submission, the EPSS performs an automatic validation of the proposal. An automatic message is sent to the coordinator if the system detects any apparent problems. This automatic validation does not replace the more detailed eligibility check later carried out by the Commission.

Irrespective of any page limits specified in annex 4 of this Guide, there is an overall limit of 10 Mbyte to the size of proposal file (Part B). There are also restrictions to the name you give the part B file. You should only use alphanumeric characters. Special characters and spaces must be avoided.

If successfully submitted, the coordinator receives a message that indicates that the proposal has been received. The coordinator may continue to modify the proposal and submit revised versions overwriting the previous one (by pressing the "SUBMIT button" each time!) right up until the deadline.

If the 'SUBMIT' button is never pressed, the Commission considers that no proposal has been submitted.

For the proposal Part B you must use exclusively PDF ("portable document format", compatible with Adobe version 3 or higher, with embedded fonts). Other file formats will not be accepted by the system.

About the deadline

Proposals must be submitted on or before the deadline specified in the Call fiche. **Call deadlines are absolutely firm and are strictly enforced.**

The EPSS will be closed for this call at the call deadline. After this moment, access to the EPSS for this call will be impossible. Do not wait until the last moment before submitting your proposal!

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 presses the "submit" button. It is not the point at which you start the upload. If you wait until too near to the close of the call to start uploading your proposal, there is a serious risk that you will not be able to submit in time.

If you have registered and submitted your proposal in error to another call which closes after this call, the Commission will not be aware of it until it is discovered among the downloaded proposals for the later call. It will therefore be classified as ineligible because of late arrival.

The submission of a proposal requires some knowledge of the EPSS system, a detailed knowledge of the contents of the proposal and the authority to make last-minute decisions on behalf of the consortium if problems arise. **You are advised not to delegate the job of submitting your proposal!**

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

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

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

Correcting or revising your proposal

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

Once the deadline has passed, however, the Commission can accept no further additions, corrections or re-submissions. The last 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.

Withdrawing a proposal

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

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

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 this call. (See the current version of the work programme).

- **Are you applying for the right funding scheme?** Check that your proposed work falls within the scope of this call, and that you have applied for one of the eligible funding schemes (see the work programme). If there is a choice, have you opted for the one that best suits your needs? (See section 2). Check the part A and part B formats shown in annexes 3 and 4 of this Guide[11].

- **Is your proposal eligible?** The eligibility criteria are given in the work programme. See also annex 2 of this Guide. In particular, make sure that you satisfy the minimum requirements for the makeup of your consortium. Have any special eligibility criteria been set for this call? Check that you comply with any budgetary limits that may have been fixed on the requested EU 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 4 of this Guide), which is designed to correspond to the evaluation criteria which will be applied. This structure varies for different funding schemes. Omitting requested information will almost certainly lead to lower scores and possible rejection.

- **Have you maximised your chances?** There will be strong competition. Therefore, edit your proposal tightly, strengthen or eliminate weak points. Put yourself in the place of an expert evaluator; refer to the evaluation criteria given in annex 2 of this Guide. Arrange for your draft to be evaluated by experienced colleagues; use their advice to improve it before submission.

- **Is your proposal security sensitive?** You need to prepare a first version of the Security Aspects Letter (SAL)[12]

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

[12] See annex 6

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

4.2. Final checks before submission

- **Do you have the authorisation** 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.

4.3. The deadline: very important!

- **Have you taken the responsibility to submit your proposal?**

- **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 pressed 'SUBMIT' after your final version?**

5. What happens next

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

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

> *If you have not received an acknowledgement of receipt within 12 working days after the call deadline (or cut-off date, in the case of a continuously open call), you should contact the FP7 Enquiry Service without further delay (see annex 1 of this Guide).*

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

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

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

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

The Commission also informs the relevant **programme committees** of the ICT Theme and the Security Theme, consisting respectively of delegates representing the governments of the Member States and Associated countries. The ICT Programme Committee will have the discretion of proposals selected under the budget of the ICT-Theme. It will also be informed of the proposals that will be selected under the budget of the Security Theme. Similarly the Programme Committee of the Security theme will have the discretion of proposals selected under the budget of the Security Theme and will be informed on the ICT selection. If your proposal is considered as security sensitive, it will be scrutinised by your security national delegates to ensure that necessary security provisions[13] are properly addressed.

Based on the results of the evaluation by experts, the Commission draws up the final list of proposals for possible funding, taking account of the available budget. Two final lists will be drawn, one for the proposals for possible funding under the budget of the ICT theme and another one for the proposals for possible funding under the budget of the Security theme. For each of these lists, the Commission must also take account of the strategic objectives of the respective programmes, as well as their overall balance and the fact that necessary security provisions are properly addressed[14].

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

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[13] See Annex 6

[14] See Annex 6

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.

Negotiations between the applicants and the Commission aim to conclude a grant agreement which provides for EU funding of the proposed work. They cover both the scientific/technological, and the administrative and financial aspects of the project. The officials conducting these negotiations on behalf of the Commission will be working within a predetermined budget envelope. They will also refer to any recommendations which the experts may have made concerning modifications to the work presented in the proposal as well as any recommendations arising from the security sensitivity scrutiny[15] and the ethical review of the proposal if one was carried out.

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.

A description of the negotiation process will be provided in the "**FP7 Guidelines for negotiation**" (to be made available on CORDIS). Members of the proposal consortium may be invited to Brussels or Luxembourg to facilitate the negotiation.

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[15] See annex 6

Glossary

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

A

acknowledgement of receipt :

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

asscociated countries

Non-EU countries who have agreed, negotiated and paid to participate in the 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.

applicant

The term used generally in this guide for a person or entity applying to the Framework programme. The term 'participant' is used in the more limited sense of a member of a proposal or project consortium

C

call for proposals (or "call")

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

call fiche

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

classified information
The term 'EU classified information' (EUCI) means any information and material, an unauthorised disclosure of which could cause varying degrees of prejudice to EU interests, or to one or more of its Member States, whether such information originates within the EU or is received from Member States, third States or international organisations.

consortium

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

Continuous submission

Some calls are open for an extended period, during which proposals may be submitted at any moment. In these cases, proposals are evaluated in batches after fixed *cut-off dates.*

Consensus discussion

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

Co-ordinator

The member of the consortium who acts as the point of contact with the Commission.

CORDIS service

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

Cut-off date

An intermediate date in the context of a call operating a *continuous submission procedure*. Proposals are evaluated in batches after each cut-off date.

D

deadline

For a particular *call*, the moment after which proposals will not be received by the Commission, and when the *Electronic Proposal Submission Service* closes for that call. Deadlines are strictly enforced.

Deliverable

A deliverable represents a verifiable output of the project. Normally, each 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.

Designated Security Authority (DSA)

An authority responsible to the National Security Authority (NSA) of an EU Member State which is responsible for communicating to industry or other entities the national policy in all matters of industrial security and for providing direction and assistance in its implementation. The function of DSA may be carried out by the NSA;

E

Electronic Proposal Submission Service (EPSS)

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

eligibility criteria

The minimum conditions which a proposal must fulfil if it is to be evaluated. The eligibility criteria are generally the same for all proposals throughout FP7, and relate to submission before the *deadline, minimum participation,* completeness and scope. However, specific eligibility criteria may apply to certain calls, and applicants should check the work programme.

Enquiry service

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

evaluation criteria

The criteria against which eligible proposals are assessed by independent experts. The evaluation criteria are generally the same for all proposals throughout FP7, and relate to S/T quality, impact and implementation. Relevance is also considered. However, specific evaluation criteria may apply to certain calls, and applicants should check the work programme, and annex 2 to this guide.

Evaluation Summary Report

The assessment of a particular proposal following the evaluation by independent experts. It normally contains both comments and scores for each criterion.

F

funding scheme

The type of support that can be given to a project within a call. The funding schemes have different objectives, and are implemented through different grant agreement conditions.

G

grant agreement

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

H

hearing

Applicants whose proposals have been favourably evaluated are sometimes invited to Brussels to answer any specific questions raised by the experts.

I

Individual assessment

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

Information Days

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

initial information letter

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

International Cooperation Partner Countries (ICPC)

A list of low-income, lower-middle income and upper-middle-income countries, given in annex 1 of the work programme. Organisations from these countries can participate and receive funding in FP7, providing that certain minimum conditions are met.

International organisations of European interest

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

J

Joint Research Centre (JRC)

The Commission's own research laboratories.

M

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

N

National Contact Points (NCP)

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

National Security Authority (NSA)

The Government Authority of an EU Member State with ultimate responsibility for the protection of EU classified information within that Member State.

negotiation

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

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

participants

The members of a consortium in a proposal or project.

programme committee

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

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

R

reserve list

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

Risk-Sharing Finance Facility (RSFF)

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

RTD

Research and technological development.

S

Security sensitive project

A security sensitive project is a project that will need to handle classified information or exchange sensitive material subject to transfer or export licensing or addressing a topic subject to specific national or international legal restrictions (as for example some biological research requiring a high level security experimental environment).

SME

Small and medium sized enterprise.

Specific international cooperation actions (SICA)

In some calls on topics of mutual interest, special conditions apply to promote research collaborations between European organisations and those based in the International Cooperation Partner Countries (ICPC). This usually entails a minimum of two participants from EU or Associated countries, and two from ICPC.

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.

two-stage submission

Some calls require proposals to be submitted in two stages. In this case, applicants initially present their idea in a brief outline proposal. This is evaluated against a limited number of evaluation criteria, or sub-criteria. Applicants successful in the first stage will be invited to submit a full proposal at the second stage, which will be evaluated against a broader range of criteria.

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 annex 2 to this guide.

Work package

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

Work Programme

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

Annexes

Annex 1　　Timetable and specific information for this call
Annex 2　　Evaluation criteria and procedure
Annex 3　　Instructions for completing "part A" of the proposal
Annex 4　　Instructions for drafting part B of the proposal
Annex 5　　Ethical Guidelines for undertaking ICT and Security research in
　　　　　　FP7
Annex 6　　Security sensitive proposals

Annex 1 Timetable and specific information for this call

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

- **Indicative timetable for this call**

Publication of call	*30 August 2007*
Deadline for submission of proposals	*29 November 2007 – 17.00 (Brussels time)*
Evaluation of proposals	*January 2008*
Evaluation Summary Reports sent to proposal coordinators ("initial information letter")	*End January to Mid-February 2008*
Invitation letter to successful coordinators to launch grant agreement negotiations with Commission services	*Mid-February 2008 for non sensitive projects* *Mid-April 2008 for sensitive projects*
Letter to unsuccessful applicants	*From Mid-February 2008*
Signature of first grant agreements	*From May 2008*

- **Information on 2008 budget**
  All the budget of this call text (indicative amount of 40 m€, of which 20 m€ is to be provided by the ICT Theme and 20m€ by the Security Theme) is to come from the 2008 budget foreseen for this call.

- **Further information and help**

The CORDIS call page contains links to other sources that you may find useful in preparing and submitting your proposal. Direct links are also given where applicable.

Call information
CORDIS call page and work programme   http://cordis.europa.eu/fp7/calls/
Evaluation forms

General sources of help:
The Commission's FP7 Enquiry service   http://ec.europa.eu/research/enquiries

National Contact Points   http://cordis.europa.eu/fp7/ncp_en.html

Specialised and technical assistance:

CORDIS help desk   http://cordis.europa.eu/guidance/helpdesk/home_en.html
CORDIS FP7 service   http://cordis.europa.eu/fp7/participate_en.html

ANNEX 1

Risk sharing financing facility (European Investment Bank)	http://www.eib.org/rsff
EPSS Help desk	Tel +32 2 233 37 60 e-mail: support@epss-fp7.org
IPR helpdesk	http://www.ipr-helpdesk.org
ICT Information Desk	email: ict@ec.europa.eu Tel: +32 2 296 8596 Fax: +32 296 8388
Security Information Desk	e-mail: entr-security-research@ec.europa.eu

Legal documents generally applicable
Decision on the Framework Programme
Rules for Participation
Specific Programmes
Rules for proposal submission, evaluation selection and award

Contractual information
Consortium agreement checklist
Guidelines for negotiation
Financial guidelines
Grant Agreement Forms
Model Grant agreements

All the above[16] at   http://cordis.europa.eu/fp7/

Other supporting information
Brochure "The FP7 in Brief"
European Charter for researchers and the Code of Conduct for their recruitment
International cooperation
Risk Sharing Financing Facility and the European Investment Bank

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[16] Some of these documents are in course of preparation and will be made available as soon as possible

ANNEX 1

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

1. General

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

Commission staff ensure that the process is fair, and in line with the principles contained in the Commission's rules[17].

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

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

2. Before the evaluation

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

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

- It is received by the Commission before the deadline given in the call fiche

- It involves at least the minimum number of participants given in the call fiche

- It is complete (i.e. both the requested administrative forms and the proposal description are present)

- The content of the proposal relates to the topic(s) and funding scheme(s), including any special conditions set out in the relevant parts of the two work programmes of the ICT and the Security Themes

- It does not contain any classified information

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

ANNEX 2

The joint call will allow the submission of proposals targeting either one specific focus (ICT or Security Theme) or proposals cross-cutting among the two foci. It will permit to jointly evaluate all the submitted proposals.

For this, the Commission establishes a list of experts capable of evaluating the proposals that have been received. The list of experts will be established in close cooperation between the two themes involved in this joint evaluation. The list is drawn up to ensure:

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

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

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

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

The experts will be grouped into two separate evaluation panels, one for each of the two foci: one for the ICT theme and one for the Security theme. However, the evaluation of some proposals that are cross-cutting among the two foci may require the involvement of some experts coming from both panels.

Commission staff allocates proposals to individual experts, taking account of the fields of expertise of the experts, and avoiding conflicts of interest.

3. Individual evaluation of proposals

The evaluation by experts will be carried out in Brussels.

Each evaluation panel will be responsible for ranking the proposals that were assigned to each focus and for recommending the selection and funding of the best proposals by following the procedures that are set out in this Guide.

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

Each proposal will first be assessed independently by at least three experts, chosen by the Commission from the pool of experts taking part in this evaluation.

The proposal will be evaluated against pre-determined evaluation criteria.

ANNEX 2

Evaluation criteria applicable to Support actions focusing on the joint call of the ICT and the Security Themes		
S/T QUALITY "Scientific and/or technological excellence (relevant to the topics addressed by the call)"	**IMPLEMENTATION** "Quality and efficiency of the implementation and the management"	**IMPACT** "Potential impact through the development, dissemination and use of project results"
• Soundness of concept and quality of objectives • Quality and effectiveness of the support mechanisms and associated work plan	• Appropriateness and efficiency of the management structure and procedures • Quality and relevant experience of the individual participants • Quality of the consortium as a whole (including complementarity, balance) [only if relevant] • Appropriateness of the allocation and justification of the resources to be committed (budget, staff, equipment)	• Contribution, at the European and/or international level to the expected impacts listed in the work programme under the relevant topic/activity • Appropriateness of measures for spreading excellence, exploiting results and disseminating knowledge through engagement with stakeholders and the public at large

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

The <u>relevance</u> of a proposal will be considered in relation to the topic(s) of the work programme open in a given call, and to the objectives of a call. These aspects will be integrated in the application of the criterion "S/T quality", and the first sub-criterion under "Impact" respectively. When a proposal is <u>partially relevant</u> because it only marginally addresses the topic(s) of the call, or if only part of the proposal addresses the topic(s), this condition will be reflected in the scoring of the first criterion. Proposals that are clearly not relevant to a call ("out of scope") will be rejected on eligibility grounds.

Each criterion will be scored out of 5. Half marks can be given.

The scores indicate the following with respect to the criterion under examination:

0 -	*The proposal fails to address the criterion under examination or cannot be judged due to missing or incomplete information*
1 -	*Very poor. The criterion is addressed in a cursory and unsatisfactory manner.*
2 -	*Poor. There are serious inherent weaknesses in relation to the criterion in question.*
3 -	*Fair. While the proposal broadly addresses the criterion, there are significant weaknesses that would need correcting.*

ANNEX 2

> *4 -*   *Good. The proposal addresses the criterion well, although certain improvements are possible.*
>
> *5 -*   *Excellent. The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor.*

No weightings will be applied

Thresholds will be applied to the scores. The threshold for individual criteria will be 3. The overall threshold, applying to the sum of the three individual scores, will be 10.

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

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

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

At this first step the experts are acting individually; they do not discuss the proposal with each other, nor with any third party. The experts record their individual opinions in an Individual Evaluation Report (IER), giving scores and also comments against the evaluation criteria.

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

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

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

The experts will also indicate whether, in their view, the proposal deals with sensitive ethical issues or if it requires further scrutiny with regard to security sensitivity considerations.

The experts will also assess whether a proposal best fits to the theme chosen by the applicants or whether, in their view, the proposal should be moved between the ICT theme and the Security theme. Proposals could then be moved, in a transparent manner, from one specific focus to the other, if the experts consider that a proposal would fit better there and that this would be to the benefit of the applicants.

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

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

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

ANNEX 2

4. Consensus meeting

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

This entails a consensus meeting to discuss the scores awarded and to prepare comments. The consensus discussion is moderated by a representative of the Commission. The role of the moderator is to seek to arrive at a consensus between the individual views of experts without any prejudice for or against particular proposals or the organisations involved, and to ensure a confidential, fair and equitable evaluation of each proposal according to the required evaluation criteria.

The moderator for the group may designate an expert to be responsible for drafting the consensus report ("rapporteur"). The experts attempt to agree on a consensus score for each of the criteria that have been evaluated and suitable comments to justify the scores. Comments should be suitable for feedback to the proposal coordinator. Scores and comments are set out in a consensus report. They also come to a common view on the questions of scope, ethics and security sensitivity.

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

Outcome of consensus: The outcome of the consensus step is the **consensus report (CR)**. This will be signed (either on paper, or electronically) by all experts, or as a minimum, by the rapporteur and the moderator. The moderator is responsible for ensuring that the consensus report reflects the consensus reached, expressed in scores and comments. In the case that it is impossible to reach a consensus, the report sets out the majority view of the experts but also records any dissenting views.

The CR will be signed by the Commission moderator and one member of the consensus group (normally, the proposal rapporteur).

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

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

The signing of the consensus report completes the consensus step.

Evaluation of a resubmitted proposal

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

ANNEX 2

5. Panel review

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

The main task of the panel is to examine and compare the consensus reports in a given area, to check on the consistency of the marks applied during the consensus discussions and, where necessary, propose a new set of consensus scores.

As already mentioned above, two different panels will be organised, one for the proposals within the scope of the specific focus of the ICT Theme and one for those within the scope of the specific focus of the Security Theme.

The tasks of the two panels will also include:
- reviewing cases where a minority view was recorded in the consensus report
- recommending a priority order for proposals with the same consensus score
- making recommendations on possible clustering or combination of proposals
- making recommendations on the security sensitivity of some projects.

The panels are chaired by the Commission. The Commission will ensure fair and equal treatment of the proposals in the panel discussions. For each panel, a panel rapporteur may be appointed to draft the panel's advice.

Hearings with applicants: There are no hearings foreseen for this call.

The outcome of each of the two panel meetings is a report recording, principally:

- An evaluation summary report (ESR) for each proposal, including, where relevant, a report of any ethical issues raised and any security considerations
- A list of proposals passing all thresholds, along with a final score for each proposal passing the thresholds and the panel recommendations for priority order with a flag for security sensitivity if necessary
- A list of evaluated proposals having failed one or more thresholds
- A list of any proposals having been found ineligible during the evaluation by experts
- A summary of any the deliberations of the panel.

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

A further special ethical review of above-threshold proposals may be organised by the Commission.

6. Scrutiny of sensitive proposals

If a sensitive proposal is submitted to the ICT theme or the Security theme[18], the Commission will inform the relevant Programme Committee (ICT or Security) on this and on the outcome of the evaluation. For each of the two themes, a ranked "selection list" will contain proposals to cover the available budget plus reserve, with all sensitive proposals flagged. The Programme Committee of each Theme will also be informed of the ranked "selection list" and security sensitive-flagged proposals of the other Theme.

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[18] see Annex 6

ANNEX 2

Committee members[19] or Committee observers of associated countries may identify additional proposals in the selection list that are potentially sensitive and could flag them to be scrutinised following the procedure described below.

Any proposal on the selection list, which is flagged as sensitive will be scrutinised by Committee members (or their national designated security authority representative) having access to the sensitive information from the States of the relevant participants: the concerned Committee members and/or Committee observers of associated countries will be requested to verify that all security aspects are properly addressed.

This process should reach an agreement between the concerned Committee members and/or Committee observers of associated countries (or their representatives) and could result in one of the following recommendations:

- No opposition is given and the project can be negotiated

- Recommendations for the negotiation are given and the negotiation will be subject to such recommendations

- The project should not be financed because the participants do not have the appropriate authorisation of the competent national authorities or abilities to handle properly the classified information, transfer and export licences. In that case, the proposal will be rejected and the Commission will update the Evaluation Summary Report accordingly explaining the reasons of rejection.

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[19] For that purpose, access in the Commission's premises to proposals which are on the selection list and to their evaluation will be provided.

ANNEX 2

Annex 3 Instructions for completing "part A" of the proposal

> **Please note that for this joint call, the Electronic Proposal Submission Service is expected to become available at least four weeks before the call deadline. Further information will be given on the CORDIS site.**

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

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

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 the section A1 and section A3.

- The participants (including the coordinator) each fill in section A2.

- Subcontractors are not required to fill in section A2 and should not be listed separately in section A3.

When you complete part A, please make sure that:

- *Numbers are always rounded to the nearest whole number*

- *All costs are given in Euros (not thousands of Euros), and must exclude value added tax.*

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

SUPPORT ACTIONS

<table>
<tr><td colspan="2"><h2>Section A1: Summary</h2></td></tr>
<tr>
<td>Proposal Acronym</td>
<td>The short title or acronym will be used to identify your proposal efficiently in this call. It should be of <u>no more than 20 characters</u> (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.</td>
</tr>
<tr>
<td>Support action</td>
<td>For this call: Support actions are expected to have an average total cost of 0.5 M€ and an average duration of 0.5 – 3 years</td>
</tr>
<tr>
<td>Proposal Title</td>
<td>The title should be <u>no longer than 200 characters</u> and should be understandable to the non-specialist in your field.</td>
</tr>
<tr>
<td>Duration in months</td>
<td>Insert the estimated duration of the project in full months.</td>
</tr>
<tr>
<td>Call (part) identifier</td>
<td>[pre-filled]
The call identifier is the reference number given in the call or part of the call you are addressing, as indicated in the publication of the call in the Official Journal of the European Union, and on the CORDIS call page. A call identifier looks like this: FP7COOP-FOOD-???</td>
</tr>
<tr>
<td>Activity code(s) most relevant to your topic</td>
<td>All activities and topics of FP7 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 activity code will be limited in the drop-down menu to one of the topics open in this 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.</td>
</tr>
<tr>
<td>Free Keywords</td>
<td>Please enter a number of keywords that you consider sufficient to characterise the scope of your proposal.

There is <u>a limit of 100 characters</u>.</td>
</tr>
<tr>
<td>Abstract</td>
<td>The abstract should, at a glance, provide the reader with a clear understanding of the objectives of the proposal, how they will be achieved, and their relevance to the Work Programme. This summary will be used as the short description of the proposal in the evaluation process and in communications to the programme management committees and other interested parties. It must therefore be short and precise and should not contain confidential information. Please use plain typed text, avoiding formulae and other special characters. If the proposal is written in a language other than English, please include an English version of the proposal abstract in part B.

There is <u>a limit of 2000 characters</u>.</td>
</tr>
<tr>
<td>Similar proposals or signed contracts</td>
<td>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.</td>
</tr>
</table>

ANNEX 3

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 Identify Code	If applicable.
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 <u>than 20 characters</u> exclusive of special characters (./;…), for e.g. CNRS and not C.N.R.S. It should be preferably the one as commonly used, for e.g. IBM and not Int.Bus.Mac.
Legal address	For Public and Private Law Bodies, it is the address of the entity's Head Office. For natural persons it is the Official Address. If your address is specified by an indicator of location other than a street name and number, please insert this instead under the "street name" field and "N/A" under the "number" field.
Non-profit organisation	Non-profit organisation is a legal entity qualified as such when it is recognised by national or, international law.
Public body	Public body means any legal entity established as such by national law, and international organisations.
Research organisation	Research organisation means a legal entity established as a non-profit organisation which carries out research or technological development as one of its main objectives.
NACE code	**NACE** means "<u> </u>Nomenclature des <u>A</u>ctivités économiques dans la <u>C</u>ommunauté <u>E</u>uropéenne". Please select **one** activity from the list that **best** describes your professional and economic ventures. If you are involved in more than one economic activity, please select the **one** activity that is **most** relevant in the context of your contribution to the proposed project. For more information on the methodology, structure and full content of NACE (rev. 1.1) classification please consult EUROSTAT at: http://ec.europa.eu/eurostat/ramon/nomenclatures/index.cfm?TargetUrl=LST_CLS_DLD&StrNom=NACE_1_1&StrLanguageCode=EN&StrLayoutCode=HIERARCHIC .
Small and	SMEs are micro, small and medium-sized enterprises within the meaning of Recommendation 2003/361/EC in the version of 6 May 2003. The full definition and a guidance booklet can be found at http://ec.europa.eu/enterprise/enterprise_policy/sme_definition/index_en.htm

ANNEX 3

Medium-Sized Enterprises (SMEs)	An enterprise is considered as an SME, taking into account its partner enterprises and/or linked enterprises (please see the above mentioned recommendation for an explanation of these notions and their impact on the definition), if it: • employs fewer than 250 persons; • has an annual turnover not exceeding EUR 50 million, and/or an annual balance sheet total not exceeding EUR 43 million. The headcount corresponds to the number of **annual work units** (AWU), i.e. the number of persons who worked full-time within the enterprise in question or on its behalf during the entire reference year under consideration. The work of persons who have not worked the full year, the work of those who have worked part-time, regardless of duration, and the work of seasonal workers are counted as fractions of AWU. The staff consists of: (a) employees; (b) persons working for the enterprise being subordinated to it and deemed to be employees under national law; (c) owner-managers; (d) partners engaging in a regular activity in the enterprise and benefiting from financial advantages from the enterprise. ATTENTION: Apprentices or students engaged in vocational training with an apprenticeship or vocational training contract can not be included as staff. The duration of maternity or parental leaves is also not counted*.* The data to apply to the **financial amounts** (e.g. **turnover** and **balance sheet**), as well as to the headcount of staff, are those relating to the latest approved accounting period and calculated on an annual basis. They are taken into account from the date of closure of the accounts. The amount selected for the turnover is calculated excluding value added tax (VAT) and other indirect taxes. In the case of **newly-established enterprises** whose accounts have not yet been approved, the data to apply is to be derived from a *bona fide* estimate made in the course of the financial year. These organisations must insert "N/A" for the two questions relating to the duration and the closing date of their last approved accounting period.
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 Commission will contact concerning this proposal (e.g. for additional information, invitation to hearings, sending of evaluation results, convocation to negotiations).
Title	Please choose one of the following: Prof., Dr., Mr., Mrs, Ms.

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ANNEX 3

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

Method of calculating indirect costs	Indirect costs shall represent a fair apportionment of the overall overheads of the organisation. They may be identified according to one of the following methods: • **Real indirect costs**: A participant may use a simplified method of calculation of its full indirect eligible cost at the level of its legal entity if it is in accordance with its usual accounting and management principles and practices. Use of such a method is only acceptable where the lack of analytical accounting or the legal requirement to use a form of cash-based accounting prevents detailed cost allocation. The simplified approach must be based on actual costs derived from the financial accounts of the period in question. • A participant may opt for **a flat-rate of 20%** of its total direct eligible costs, excluding its direct eligible costs for subcontracting and the costs of reimbursement of resources made available by third parties which are not used on the premises of the participant. • Non-profit public bodies, secondary and higher education establishments, and research organisations and SMEs, which are unable to identify with certainty their real indirect costs for the project, when participating in funding schemes which include research and technological development and demonstration activities may opt for **a flat-rate of 60%** of the total direct eligible costs[20] excluding costs for subcontracting and the costs of reimbursement of resources made available by third parties which are not used on the premises of the participant. If these participants change their status during the life of the project, this flat rate shall be applicable up to the moment they lose their status. The participant shall apply the method chosen in all grant agreements under the Seventh Framework Programme.

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[20] The rate established in this indent will apply for grants awarded under calls for proposals closing before 1 January 2010. The Commission shall establish, for grants awarded under calls closing after 31 December 2009, an appropriate level of flat rate which should be an approximation of the real indirect costs concerned but not lower than 40%, at that moment a special clause will be adopted and inserted in subsequent grant-agreements.

ANNEX 3

Indirect Costs - Decision Tree

Has your organisation an analytical accounting system, or will you declare overhead rates using a simplified method ?

YES   **No**

Real indirect costs or costs calculated using a simplified method

or

20% of total direct eligible costs (1)

or

60% of total direct eligible costs (1)(2), for :

- Non-profit public bodies, secondary and higher education establishments, research organisations and SMEs

- When participating in funding schemes which include research and technological development

Coordination and support actions :
In any case Maximum percentage **(to be determined)** of the direct eligible costs (1)

(1) excluding direct eligible costs for subcontracting and the costs of reimbursement of resources made available by third parties which are not used on the premises of the beneficiary

(2): This flat rate can be used for any proposal submitted under calls for proposals closing before 1 January 2010. The Commission shall establish for grants awarded under calls closing after 31 December 2009, an appropriate level of flat rate which shoul

International Cooperation Partner Country (ICPC)	International Cooperation Partner Country means a third country which the Commission classifies as a low-income, lower-middle income or upper-middle-income country and which is identified as such in Annex I of the work programmes.
Lump sum funding method	For a legal entity established in an ICPC, if the lump sum option is chosen, the contribution in a project is based on the amounts shown below, multiplied by the total number of person-years for the project requested by the ICPC legal entity. • low-income ICPC: 8,000 Euro/researcher/year • lower middle income ICPC 9,800 Euro/researcher/year • upper middle income ICPC 20,700 Euro/researcher/year The maximum EC contribution is calculated by applying the normal upper funding limits shown under "requested EC contribution". This amount is all inclusive, covering support towards both the direct and the indirect costs. More information on ICPC lump sums can be found in the section II.18 of the "Guide to financial issues" **http://cordis.europa.eu/fp7/find-doc_en.html**

ANNEX 3

Type of Activity	• **Support** activities may cover activities, depending on their nature such as: monitoring and assessment; conferences; seminars; studies; expert groups or individual expert appointment letters; 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 trans-national 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. • **Management activities** 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.
Personnel costs	Personnel costs are only the costs of the actual hours worked by the persons directly carrying out work under the project. Such persons must: – be directly hired by the beneficiary in accordance with its national legislation, – be work under the sole technical supervision and responsibility of the latter, and – be remunerated in accordance with the normal practices of the participant. Participants may opt to declare average personnel costs if certified in accordance with a methodology approved by the Commission and consistent with their management principles and usual accounting practices of the participant. Average personnel costs charged by a participant having provided a certification on the methodology are deemed not to significantly differ from actual personnel costs.
Sub-contracting	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.

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ANNEX 3

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. For coordination action and support actions, the reimbursement of indirect eligible costs may not exceed 7% of the direct eligible costs, excluding the direct eligible costs for subcontracting and the costs of reimbursement of resources made available by third parties which are not used on the premises of the participant.
Requested EC contribution	The requested EC contribution shall be determined by applying the upper funding limits indicated below, per activity and per participant to the costs accepted by the Commission, or to the flat rates or lump sums. **Maximum reimbursement rates of eligible costs** • **Support activities = 100%** • **Management activities = 100%** • **Other activities = 100%**

Total Receipts	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 <u>not</u> be considered a receipt of the project if their use is at the management discretion of the beneficiary.
	
	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 <u>not</u> be considered a receipt for the participant when generated from the use of foreground resulting from the project.

ANNEX 3

Annex 4 Instructions for drafting part B of the proposal

<u>Support Actions</u>

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

This annex provides a template[21] 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 (see annex 2). Sections 1, 2 and 3 each correspond to an evaluation criterion. The sub-sections (1.1, 1.2 etc.) correspond to the sub-criteria (bullet points).

Please keep to maximum page lengths where these are specified. The Commission may 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 the evaluating experts.

<u>Cover Page</u>

Theme 4: ICT and Theme 10: Security
Joint Call FP7-ICT-SEC-2007-1

DECLARATION: This proposal concerns/does not concern[22] a security sensitive project

Proposal full title:
Proposal acronym:
Type of funding scheme: Support action (SA)
Work programme 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

<u>Table of Contents</u>

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[21] An electronic version of this template is provided to you by the EPSS
[22] Use appropriate formulation – see annex 6

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. Identify and indicate where the main focus or centre of gravity of the proposal is lying (i.e., in the ICT Theme or in the Security Theme). 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   Quality and effectiveness of the support mechanisms, and associated work plan

A detailed work plan should be presented, broken down into work packages[23] (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).

Please present your plans as follows:

i)   Describe the overall strategy of the work plan
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);
  ▪ Description of each work package, and summary (please use table 1.3c)
  ▪ Summary effort table (please use table 1.3d)
  ▪ List of milestones (please use table 1.3e)
iv)   Provide a graphical presentation of the components showing their interdependencies (Pert diagram or similar)

Notes:

- 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 Commission.

- Any significant risks should be identified, and contingency plans described.

(Maximum length for the whole of Section 1 – 20 pages, plus the tables)

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[23] 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 4

Table 1.3 a: Work package list

Work package No[24]	Work package title	Type of activity[25]	Lead participant No[26]	Lead participant short name	Person-months[27]	Start month[28]	End month[28]
	TOTAL						

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[24]   Workpackage number: WP 1 – WP n.

[25]   Please indicate <u>one</u> activity per work package:

        SUPP = Support activities; MGT = Management of the consortium.

[26]   Number of the participant leading the work in this work package.

[27]   The total number of person-months allocated to each work package.

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

ANNEX 4

Table 1.3 b: Deliverables List

Del. no. [29]	Deliverable name	WP no.	Nature[30]	Dissemination level [31]	Delivery date[32] (project month)

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[29]   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.

[30]   Please indicate the nature of the deliverable using one of the following codes:

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

[31]   Please indicate the dissemination level using one of the following codes:

PU = Public

PP = Restricted to other programme participants (including the Commission Services).

RE = Restricted to a group specified by the consortium (including the Commission Services).

CO = Confidential, only for members of the consortium (including the Commission Services).

CL restricted = Classified with the mention of the classification level restricted "Restreint UE" (see annex 6)

CL confidential = Classified with the mention of the classification level confidential "Confidentiel UE" (see annex 6)

CL secret = Classified with the mention of the classification level secret "Secret UE" (see annex 6)

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

ANNEX 4

Table 1.3 c: Work package description

For each work package:

Work package number		Start date or starting event:					
Work package title							
Activity Type[33]							
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)

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[33]   Please indicate <u>one</u> activity per work package:

   SUPP = Support activities; MGT = Management of the consortium.

ANNEX 4

Table 1.3d   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 4

Table 1.3e 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 [34]	Means of verification[35]

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

[35] 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.

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ANNEX 4

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 2.1: 5 pages)

2.2   Individual participants

For each participant in the proposed project, provide a brief description of the organisation, 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 2.2: one page per participant)

2.3   Consortium as a whole

[If your project involves only a single participant do not complete this section: Insert "Not applicable"]
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 complementarity 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/(public) user involvement to ensure exploitation of the results,

If appropriate, describe 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 EU 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 Countries[36], explain in terms of the project's objectives why such funding would be essential.

2.4   Resources to be committed

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).

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

(Maximum length for Section 2.4 – two pages)

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[36] See CORDIS web-site, and annex 1 of the work programme.

ANNEX 4

3.   Impact

3.1   Expected impacts listed in the work programme

Describe how your project will contribute towards the expected impacts listed in the work programme 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   Spreading excellence, exploiting results, disseminating knowledge

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 project. In particular, you should explain the benefit and burden of the experiments and the effects it may have on the research subject. 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[37]. 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.

Notes:

−   For further information on ethical issues relevant to this joint Call, see annex 5 of this Guide.
−   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.

(No recommended length for Section 4: Depends on the number of such issues involved)

To ensure compliance with ethical principles, the Commission Services will undertake ethics audit(s) of selected projects at its discretion.
A web site is being prepared aiming to provide clear, helpful information on ethical issues.

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[37] Projects raising specific ethical issues such as research intervention on human beings; research on human embryos and human embryonic stem cells and non-human primates are automatically submitted for ethical review

ANNEX 4

ETHICAL ISSUES TABLE

	YES	PAGE
Informed Consent		
• Does the proposal involve children?		
• Does the proposal involve patients or persons not able to give consent?		
• Does the proposal involve adult healthy volunteers?		
• Does the proposal involve Human Genetic Material?		
• Does the proposal involve Human biological samples?		
• Does the proposal involve Human data collection?		
Research on Human embryo/foetus		
• Does the proposal involve Human Embryos?		
• Does the proposal involve Human Foetal Tissue / Cells?		
• Does the proposal involve Human Embryonic Stem Cells?		
Privacy		
• Does the proposal involve processing of genetic information or personal data (eg. health, sexual lifestyle, ethnicity, political opinion, religious or philosophical conviction)		
• Does the proposal involve tracking the location or observation of people?		
Research on Animals		
• Does the proposal involve research on animals?		
• Are those animals transgenic small laboratory animals?		
• Are those animals transgenic farm animals?		
• Are those animals cloning farm animals?		
• Are those animals non-human primates?		
Research Involving Developing Countries		
• Use of local resources (genetic, animal, plant etc)		
• Benefit to local community (capacity building ie access to healthcare, education etc)		
Dual Use		
• Research having potential military / terrorist application		
I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL		

ANNEX 4

5. Security sensitivity Issues

Describe if your proposal is security sensitive or not.

If it is security sensitive, describe why, which are the participants concerned by the sensitivity, what are the measures foreseen to cope with it and annex to your proposal a first version of the Security Aspects Letter (SAL) using the template provided here after.

Describe also your experience in managing security sensitive projects if relevant.

For further information on security sensitive issues relevant to this joint Call, see annex 6 of this Guide.

Security Aspects Letter (SAL)
TEMPLATE

The following security requirements shall be complied with for handling and storage of the elements and parts of the grant agreement that are mentioned in the Security Classification Guide at Appendix to this SAL for the grant agreement for performing … (to be completed).

General

- The performance of the grant agreement will involve information classified "CL restricted", "CL confidential" or "CL secret" UE (see Annex 6).

- A Facility Security Clearance is [or is not] required.

- Persons who need to access EU classified information must have an EU personal security clearance and be briefed as to their responsibility for security[38].

- The concerned beneficiaries shall take all measures prescribed by the National Security Authority/Designated Security Authority (NSA/DSA) for safeguarding EUCI.

- The concerned beneficiaries shall appoint a Facility Security Officer (FSO).

- The concerned beneficiaries, through the FSO, shall maintain a continuing relationship with his NSA/DSA.

- The concerned beneficiaries shall maintain a record of his employees taking part in the project and who have been cleared for access to EUCI.

- EU classified information for the purpose of these instructions is to be understood as information classified and marked "CL restricted", "CL confidential" or "CL secret" UE or its equivalent national classification.

- Information generated by the concerned beneficiaries will require EU classification and marking.

- The concerned beneficiaries must obtain the approval of the Contracting Authority before beginning negotiations with a view to subcontract.

- The Commission Security Directorate may - in co-ordination with the responsible NSA/DSA - conduct inspections at concerned beneficiaries' facilities to verify the implementation of the security requirements for the handling of EUCI.

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[38] Commission Decision 2001/844/EC, Rules on Security Section 19.1

- The concerned beneficiaries shall report all cases of unauthorised disclosure or loss of EUCI to the responsible NSA/DSA, the Commission Security Directorate and the Contracting Authority.

- All EUCI provided or generated under this grant agreement shall continue to be protected in the event of termination of the grant agreement.

- The concerned beneficiaries shall undertake not to utilise, other than for the specific purpose of the grant agreement Nr … [to be completed].

- Handling and storage instructions for information classified "CL restricted", "CL confidential" or "CL secret" UE (see Annex 6).

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Annex to the Security Aspects Letter (SAL)
Security Classification Guide (SCG) TEMPLATE

This template should be filled in for all sensitive projects and will be part of the grant agreement

Use of classified Background						
Subject	**Classification level**	**Owner** *(Name+ country)*	**Beneficiaries wanting to access**			**Comments including purpose of the access and planned use**
			Name *(+country)*	**Clearance**	**Date of access**	

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Production of classified Foreground						
Subject	**Classification level**	**Owner** *(Name+ country)*	**Beneficiaries involved in production or wanting to access**			**Comments including purpose of the access and planned use**
			Name *(+country)*	**Clearance**	**Date of production**	

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Exchange of <u>sensitive material</u> subject to export or transfer licence						
Subject	**Type of material**	**Owner** *(Name+ country)*	**Beneficiaries requiring access to sensitive material**			**Comments including purpose of the export or transfer**
			Name *(+country)*	**Licence ref**	**Date of transfer**	

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Topic submitted to legal restrictions						
Subject	**Restrictions description**	**Ref to national or international legislation**	**Beneficiaries subject to restrictions**			**Comments**
			Name *(+country)*	**Action taken**	**Date of action**	

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6.   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 6 – one page)

ANNEX 4

Annex 5 Ethical Guidelines for undertaking ICT and Security research in FP7

1. Introduction

In recent years there has been an increase in the importance of ethical issues related to ICT or Security research and technological developments.

The decision of the European Parliament and the Council concerning FP7[39] states that research activities supported by the Framework Programme should respect fundamental ethical principles, including those reflected in the Charter of Fundamental Rights of the European Union[40] and take into account opinions of the European Group on Ethics in Science and New Technologies (EGE)[41].

Article 15 of the FP7 draft rules of participation[42] states that any proposal which contravenes fundamental ethical principles or which does not fulfil the conditions set out in the specific programme, the workprogamme or in the call for proposals shall not be selected and may be excluded from the evaluation, selection and award procedures at any time.

Applications for EU-funded research activities may, if appropriate, include specific tasks or a specific work package that explicitly addresses ethical concerns (in terms of the research, its conduct and outcomes) and outlines how ethical issues raised by the proposed research will be handled.

The purpose of this guidance is to assist proposers in identifying potential ethical issues arising from the proposed ICT or Security research.

2. Conduct of ICT or Security Research

All research areas within ICT or Security of FP7 may raise ethical issues of varying seriousness. Some proposals will be more sensitive than others. It is likely that new, sensitive applications will come to the fore during the term of FP7.

2.1 A responsible approach

It is likely that most of the principles of the Charter of Fundamental Rights of the European Union[43] will be relevant to the approach adopted by ICT or Security researchers. These principles cover dignity, freedom, equality, solidarity, citizens' rights and justice. Proposals must comply with Article 8 of the European Human Rights Convention[44]. In particular, given the pervasive and ubiquitous nature of ICT and the many opportunities it offers, researchers should consider the sensitive implications of their proposals for privacy and autonomy[45]. However, researchers should recognise that new dangers associated with the process of ICT or Security research can exist. They should

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[39]   Decision 1982/2006/EC: Official Journal L412 of 18/12/06

[40]   http://www.europarl.europa.eu/charter/default_en.htm

[41]   The EGE is an independent, multidisciplinary body, appointed by the Commission to examine ethical questions arising from science and new technologies and on this basis to issue Opinions - http://ec.europa.eu/european_group_ethics/index_en.htm

[42]   Official Journal L391 of 30/12/06

[43]   The Charter of Fundamental Rights of the European Union - http://www.europarl.europa.eu/charter/pdf/text_en.pdf

[44]   http://conventions.coe.int/treaty/en/Treaties/Html/005.htm

[45]   Opinion 10 of EGE - The Ethical Aspects of the 5th Framework Programme , http://ec.europa.eu/european_group_ethics/docs/opinion10_en.pdf

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carry out a prior assessment of risk and identification of precautionary actions proportional to the potential risk/harm.[46]

Researchers have a duty to alert public authorities to the ethical and practical implications of the ICT or Security research outcomes, as and when particular issues become apparent within the research process.

Researchers should comply with national legislation, European Union legislation, respect international conventions and declarations and take into account the Opinions of the European Group on Ethics. However, consideration of ethical issues goes beyond simple compliance with current regulations and laws.

2.2   Privacy and informed consent

The right to privacy and data protection is a fundamental right[47] and therefore applicable to ICT and Security research.

Researchers must be aware that volunteers[48] have the right to remain anonymous[49]. Researchers must comply with Data Protection legislation[50] in the Member State where the research will be carried out regarding ICT or Security research data that relates to volunteers.

Informed consent is required whenever ICT or Security research involves volunteers in interviews, behavioural observation, invasive and non-invasive experimentation, and accessing personal data records. The purpose of informed consent is to empower the individual to make a voluntary informed decision about whether or not to participate in the research based on knowledge of the purpose, procedures and outcomes of the research.

Before consent is sought, information must be given specifying the alternatives, risks, and benefits for those involved in a way they understand. When such information has been given, free and informed consent must be obtained. Depending on the nature of the research, different consent procedures may be used. Special consideration must be given when volunteers have reduced autonomy or are vulnerable.

The majority of European citizens view personal privacy as an important issue. Research, for example, on RFID[51] and ICT for healthcare[52], is likely to raise privacy issues. Therefore, researchers must ensure that the manner in which research outcomes are reported does not contravene the right to privacy and data protection. Furthermore, researchers must carefully evaluate and report the personal privacy implications of the intended use or potential use of the research outcomes. Wherever possible, they must ensure that research outcomes do not contravene these fundamental rights.

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[46] Opinion 20 of EGE – Ethical Aspects of ICT Implants in the Human Body -
http://ec.europa.eu/european_group_ethics/docs/avis20_en.pdf

[47] The Charter of Fundamental Rights of the European Union - http://www.europarl.europa.eu/charter/pdf/text_en.pdf

[48] "Volunteers" is used to describe all those who are the subjects of research observations, experiments, tests etc.

[49] Opinion 10 of EGE - The Ethical Aspects of the 5th Framework Programme,
http://ec.europa.eu/european_group_ethics/docs/opinion10_en.pdf

[50] National legislation transposing Directive 95/46/EC - http://ec.europa.eu/justice_home/fsj/privacy/docs/95-46-ce/dir1995-46_part1_en.pdf

[51] RFID Technology - Results of the Public Consultation on Article 29 Working Document 105 on Data Protection Issues Related to RFID Technology Adopted on 28 September 2005
http://europa.eu.int/comm/justice_home/fsj/privacy/workinggroup/consultations/rfid_en.htm

[52] Opinion 13 of EGE - Ethical Issues of Healthcare in the Information Society.
http://ec.europa.eu/european_group_ethics/docs/avis13_en.pdf

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2.3   Use of animals in ICT or Security research

In accordance with the Amsterdam protocol on animal protection and welfare, animal experiments must be replaced with alternatives wherever possible. Suffering by animals must be avoided or kept to a minimum. This particularly applies to animal experiments involving species which are closest to human beings[53]. Thus ICT or Security research involving animals should conform to the ethical principles of replacement, reduction, refinement and minimisation of suffering.

Proposers must carefully justify animal experiments in cross-science proposals for non-medical objectives. Furthermore, they should identify the scientific areas which would benefit from knowledge gained through animal experiments. Proposers must be aware that Member States may have differing and possibly conflicting interpretations of animal welfare in research, and the research must meet regulations in the country in which it will be carried out.

3. Specific guidance in some currently sensitive areas

3.1   ICT implants[54] and wearable computing

- ICT implants should only be developed if the objective cannot be achieved by less-invasive methods such as wearable computing devices and RFID tags.
- To the extent that an individual, via an ICT implant or wearable computing device, becomes part of an ICT network, the operation of this whole network will need to respect privacy and data protection requirements.
- ICT implants in healthcare are, in general, acceptable when the objective is saving lives, restoring health, or improving the quality of life. They should be treated in the same way as drugs and medical devices.[55]
- ICT implants to enhance human capabilities should only be developed: to bring individuals into the "normal" range for the population, if they so wish and give their informed consent; or to improve health prospects such as enhancing the immune system. Their use should be based on need, rather than economic resources or social position.
- ICT implants or wearable computing devices must not: allow individuals to be located on a permanent and/or occasional basis, without the individual's prior knowledge and consent; allow information to be changed remotely without the individual's prior knowledge and consent; be used to support any kind of discrimination; be used to manipulate mental functions or change personal identity, memory, self-perception, perception of others; be used to enhance capabilities in order to dominate others, or enable remote control over the will of other people.
- ICT implants should not be developed to influence future generations, either biologically or culturally.
- ICT implants should be developed to be removed easily.

3.2   eHealth[56] and genetics

Personal health data must be treated as 'sensitive personal data'[57]. ICT researchers using it have a duty of confidentiality equivalent to the professional duty of medical secrecy. Therefore:

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[53]   Council Directive on Protection of Animals used for Experimental and other Scientific Purposes http://europa.eu.int/comm/food/fs/aw/aw_legislation/scientific/86-609-eec_en.pdf

[54] Opinion 20 of EGE – Ethical Aspects of ICT Implants in the Human Body - http://ec.europa.eu/european_group_ethics/docs/avis20_en.pdf

[55] Such research is partly covered by Council Directive 90/385/EEC relating to active implantable medical devices- http://europa.eu.int/eurlex/en/consleg/pdf/1990/en_1990L0385_do_001.pdf

[56] Opinion 13 of EGE - Ethical Issues of Healthcare in The Information Society. http://ec.europa.eu/european_group_ethics/docs/avis13_en.pdf

[57] Directive 95/46/EC - http://ec.europa.eu/justice_home/fsj/privacy/docs/95-46-ce/dir1995-46_part1_en.pdf

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- The use of personal health data in ICT research for the purposes from which society as a whole benefits must be justified in the context of the personal rights.
- The security of ICT in healthcare is an ethical imperative to ensure the respect for human rights and freedoms of the individual, in particular the confidentiality of data and the reliability of ICT systems used in medical care.
- Proposers should be particularly aware when ICT is linked to sensitive medical areas such as the use of genetic material.
- Proposers should access established general medical and genetics ethical guidance when formulating their proposals.

3.3   ICT and Bio/Nano-electronics

ICT-bio/nano-electronics has a strong potential for misuse. Consequently, proposers should pay particular attention to the guidelines in Section 2 in this area[58].

1. Researchers involved in ICT-bio/nano-electronics research proposals should be aware that certain applications, e.g. miniaturised sensors, may have specific implications for the protection of privacy and personal data.
2. ICT-bio/nano-electronics research may overlap with other scientific disciplines such as biology. In these situations proposers should draw upon the ethical guidance of that discipline.

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[58] COM (2004) 338 final - http://ec.europa.eu/prelex/rech_simple.cfm?CL=en

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Annex 6 Security sensitive proposals

1. Introduction

A **sensitive proposal** is a proposal for a project that will potentially need to handle classified information or exchange sensitive material subject to transfer or export licensing or addressing a topic subject to specific national or international legal restrictions (as for example some biological research requiring a high level security experimental environment).

Projects proposed with a main topic lying either in the focus of the ICT Theme or in that of the Security theme are potentially sensitive. Therefore, a specific scrutiny procedure has been set up to verify that all security procedures are well taken into account.

If your proposal is sensitive, it must be flagged on the cover page of the part B of the proposal and the proposers must show that all legal obligations are planned. These proposals will be subject to a particular scrutiny by competent national authorities.

2. Classified information

Any information or material, an unauthorised disclosure of which could cause varying degrees of prejudice to EU interests, or to one or more of its Member States, must be classified. The EU-classification has to be used for that purpose in the frame of this call.

There are 4 levels of classification[59]:

EU TOP SECRET: This classification shall be applied only to information and material the unauthorised disclosure of which could cause exceptionally grave prejudice to the essential interests of the European Union or of one or more of its Member States.
There will be no EU TOP SECRET classified information in FP7 action.

SECRET UE: This classification shall be applied only to information and material the unauthorised disclosure of which could seriously harm the essential interests of the European Union or of one or more of its Member States.
CONFIDENTIEL UE: This classification shall be applied to information and material the unauthorised disclosure of which could harm the essential interests of the European Union or of one or more of its Member States.
RESTREINT UE: This classification shall be applied to information and material the unauthorised disclosure of which could be disadvantageous to the interests of the European Union or of one or more of its Member States.

3. Proposal

No 'Classified information' is allowed in the proposal[60]. However, non classified proposals could lead to projects involving the use or production of 'Classified information'.

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[59] Commission Decision 2001/844/EC, ECSC, Euratom published in OJ L 317 of 3.12.2001 amended by Commission Decision 2006/548/EC, Euratom published in OJ L 215 p.38 of 5.8.2006

[60] It could be allowed later if it is explicitly stated in the Work programme. If so, a dedicated procedure will be provided.

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For sensitive proposals, the proposer is requested to identify the background required for carrying the project and the foreground that will be produced by the project. For the proposals of sensitive projects, a first version of the Security Aspect Letter (SAL) must be part of the proposal and cover

- The level of classification of background and foreground: for each piece of information, the participants needing access should be specified

- The requirement to have export or transfer licences

- A statement on the clearances (or clearances requests)

- A copy of export or transfer licences (or requests)

- The compliance to specific national or international legal restrictions

The SAL accompanied by supporting documents will allow the Committee members and/or Committee observers of associated countries or their representatives to verify if all necessary security measures are properly planned.

A definitive version of the SAL will be part of the Grant agreement.

4. Evaluation by independent experts: specific scrutiny procedure

Proposals for this call should not contain itself classified information. Nevertheless, if a project were to be selected project results or background information are potentially sensitive. For this reason a specific procedure of scrutiny has been set-up for proposals under this call.

During the evaluation by independent experts, special attention will be given to the security aspects. Any proposal considered as sensitive will be flagged by the Commission or by the evaluators to be scrutinised by National Authorities even if the proposer has not declared his/her proposal as being sensitive and included a first version of the SAL.

5. Scrutiny of sensitive proposals

For both the Programme Committees of the ICT Theme and the Security Theme, the Committee members[61] or Committee observers of associated countries[61] or their representatives may identify additional proposals of proposals in their area of competence that are potentially sensitive and could flag them to be scrutinised following the procedure described below.

Any project on the selection list, which is flagged as sensitive will be scrutinised by relevant Committee members (or their national security authority representative) – here to be called the National Security Experts - from the States of the participants: the National Security Experts will be requested to verify if all security aspects are properly addressed.

This process should reach an agreement between the National Security Experts and could result in one of the following recommendations:

- No opposition is given and the project can be negotiated

- Recommendations for the negotiation are given and the negotiation will be subject to conditions

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[61] For that purpose, access in the Commission's premises to proposals which are on the selection list and to their evaluation will be provided.

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- The project should not be financed because the participants have not the appropriate experience, abilities to handle properly the classified information, transfer and export licences. In that case, the proposal will be rejected and the Commission will update the Evaluation Summary Report accordingly to explain the reasons of rejection.

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