

Information Society Technologies (IST)



Programme Procedures and Information

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DG INFSO

IST programme

Basics



- ⇒ A flexible and integrated IST programme
 - yearly updated WP, regular Calls
 - cross-programme actions, clusters, co-ordination
- ⇒ *Common procedures in FP5* when appropriate
 - Application Rules, Evaluation manual
- ⇒ FP5-wide electronic submission
 - Protocol, digital signature via Certification Service
- ⇒ Cost simplification
 - e.g. flat rate overhead
- ⇒ Take-up funding
 - specific categories of eligible cost

FP 5

Documentation Principles



- ⇒ Simplification of information for proposers
- ⇒ Internal harmonisation across FP5 programmes (where possible)
- ⇒ Modular approach (allows customised web publishing)

Content of Information Package



CALL Text OJ
(exp: Feb, Jun, Sep
2000)

Guide for Proposers

Workprogramme 2000

Evaluation Manual
General FP 5
IST specific Annex

Evaluators' Guidelines

How to make a proposal

Step 1



- ⇒ Check that your idea is covered by the **WORK-PROGRAMME**
- ⇒ Identify the **ACTION LINE** which covers your idea
- ⇒ Check in the **ROADMAP** in the Work-programme when the action line is open for call for proposals
- ⇒ Check in the Action line description which **TYPE OF ACTION** is called for.
- ⇒ Check in the **CALL TEXT** that the action line is actually called for, and the **DEADLINE**
- ⇒ Contact Commission **CONTACT** Person for action line to check that your idea really is in the scope of the call
- ⇒ Identify consortium Partners using **CORDIS** or **IDEAL-IST**
- ⇒ Check that the consortium is eligible for the type of action (Guide for Proposers, PART 1, Section III)

How to make a proposal

Step 2



- ⇒ Identify the relevant PART 2 of the Guide for Proposers for the type of action you submit for
- ⇒ Follow the instructions for PART B & C for the proposals in PART 2
- ⇒ Use GUIDELINES FOR EVALUATORS to check your proposal against the Evaluation Criteria
- ⇒ Download PROTOCOL from CORDIS
- ⇒ Fill in the Proposal submission forms (PART A of Your Proposal) from Protocol
- ⇒ Pack the three parts A, B and C together and SUBMIT the proposal either Electronically or on Paper (See Guide for Proposers, PART 2 or Protocol for instructions)

SUBMIT BEFORE DEADLINE

IST Guide to Proposers



Guide to Proposers has 2 parts: * **NOTE: Changed from year 99**

Part 1: Common sections

- | | |
|-------------------------------|--------------------------|
| 1. FP5 - general presentation | - FP5 common |
| 2. IST programme presentation | - IST Programme specific |
| 3. Rules of participation | - FP5 common |

IST Guide to Proposers: PART 2: Six versions (yes 6!)



ACTION TYPE	TITLE	PART
RTD, Demonstration, and combined RTD/Demonstration projects	Fixed deadline proposals - for RTD	2A
Take-up (assessment, best practice trials)	Fixed deadline proposals - for Take-up Actions	2B
Accompanying Measures, Concerted Actions and Thematic Networks	Fixed deadline proposals - for Support Measures OR	2C
	Continuous Submission Scheme - for Support Measures	2E
FET Open Actions (short and full proposals)	Continuous Submission Scheme - for FET Open	2D
Grants (conferences, seminars, exhibitions and workshops)	Applications for Grants	2F

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Who can participate



- ⇒ Normally (RTD):
 - At least 2 EU partners or 1 EU + 1 Associated State
- ⇒ Under normal funding conditions/obligations
 - EU (+JRC) and associated countries
- ⇒ Self financing - conform with Community interests
 - Non-associated European and Mediterranean partner countries
 - Countries with S&T agreement
 - International organisations
- ⇒ Self financing - conform with Community interest & substantial added value for programme
 - Other countries
- ⇒ Accompanying Measures and most Take-UP:
 - One Contractor (EU or Associated State) possible

Associated states



EEA:

Iceland, Liechtenstein, Norway

EU candidate member states:

Bulgaria, Cyprus, Czech Rep, Estonia, Hungary, Latvia
Lithuania, Poland, Romania, Slovakia, Slovenia

Other:

Israel

Not yet (15.02.2000) ratified:

Switzerland (in force 2001)

RTD Proposal: Submission Forms



Three parts:

A. Administrative, budgetary information

- (Forms A0-A4)

B. Scientific/technical content

- Relates to 1st block evaluation criteria
- Anonymous.

C. EU added value, contribution to community policies, dissemination, exploitation and management

- Relates to the 2 to 5th evaluation block
- Non anonymous

Submission



- ⇒ Preparation of Part A of proposals by coordinator using PROTOCOL software tool available on CORDIS
 - Electronic communication of administrative and financial data between partners possible

- ⇒ **THEN Full Proposal (parts A, B and C)**
 - Submitted electronically (digital certificate) OR
 - Submitted by print out on paper.
 - Paper forms from guides allowed, but not recommended (difficult to use OCR)

Ensure that the proposal is sent before the deadline!

FP 5 Evaluation manual



Defines General Eligibility and Evaluation Criteria, Operating procedures and Reporting

Five Blocks of evaluation criteria:

- Scientific/Technological Quality and Innovation
- Community added value and contribution to EU policies
- Contribution to Community social objectives
- Economic development and S&T prospects
- Resources, Partnership and management

Scores on a scale from 0 to 5

IST Annex to Evaluation Manual



- ⇒ Defines the application of the general evaluation rules for the IST programme.
- ⇒ Explains how the general Evaluation criteria will be applied in the IST context for the different types of actions and adds criteria defined in the IST decision.
 - Appropriate Industrial involvement in industry related projects
- ⇒ Defines thresholds for specific criteria and relative weighting of evaluation criteria blocks

Evaluation in IST



Anonymity for “Scientific & Technological Quality” (RTD and FET Open only!)

Relevant Questions related to eligibility

- Within scope of WP and Call
- Respect of ethical principles
- Appropriate industrial participation
- At least two non-affiliated partners from different Member States (or MS + AS)
- Format requirements

⇒ **May lead to exclusion from further evaluation**

Evaluation in IST

Example for R&D projects



Criteria

Weight ⁽¹⁾

Threshold ⁽²⁾

Scientific/Technological Quality and innovation

≥ 3

Community Added Value and contribution to EU policy

≥ 2

Contribution to Comm. Social objectives 1

Economic Dev; S&T prospects (range of applications, exploitation, strategic impact, dissemination)

≥ 3

Resources, Partnership, Management

≥ 2 Yves ROGER European Commission DG INFSO IST programme



1) Weight on a scale of 10 (sum 10)

2) Threshold with respect to score 0-5

Evaluation in IST

1. Individual evaluation by at least 3 experts

First criterion 1 (anonymous for RTD and FET Open), then criteria 2-5

2. Consensus between 3 experts on draft summary

Scores for 5 criteria + comments

3. Discussion in panel for ranking and overall mark to proposals

4. Final ranking and recommendations

Decisions documented in Evaluation report

Contracts



Main types of Contracts (with “derived” versions each):

- Shared cost RTD (Research, Demonstration, Combined R&D)
- Coordination (Concerted Actions, Thematic Networks)
- Accompanying Measures (Take-up)
- Fellowships (Marie Curie)
- SME Awards / Cooperative Research

Cost Reimbursement Contract for RTD Projects



MAIN NOVELTIES (compared to FP4)

- Principal and assistant contractors
- Tasks of the coordinator reinforced
- Split of scientific coordination and financial/administrative coordination possible in exceptional cases
- Introduction of penalties
- Percentage of Community funding specified in a table
- Periodic reports and cost statements cover the same period
- Applicable law - law of competent authorising officer (i.e. Belgian or Luxembourg law)
- Deadline for amendment requests

Partnership



Coordinator-contractor

- signs contract; liaison to Programme

Principal Contractor

- signs contract - jointly and severally liable

Assistant Contractor (in R&D + demo)

- signs contract - restricted liability and rights

Member (in Thematic Network, Take-Up only)

- signs membership agreement with Coordinator - in networks and Take-up measures

Subcontractor

- Rights to contractor - competitive prices

Models of Funding - RTD



1 **Full cost, actual overhead** (funded at 50 %)

2 **Full cost, flat overhead rate** (funded at 50 %).
Under this model overheads are fixed at 80 %
of the labour cost claimed.

3 **Additional costs** (funded at 100 %). This model
is limited to those organisations whose accounting
system is based on disbursements and not on costs
(universities, governmental organisations, etc.)

Eligible Cost categories RTD/AM



- **Personnel**
- **Durable equipment**
- **Consumables**
- **Travel and Subsistence**
- **Computing**
- **Subcontracting**
- **IPR protection**
- **Other specific costs**
- **Overheads**
- **Coordination costs**



Models of Funding Other Actions



Accompanying Measures (NOT Take-Up):

- All participants calculate overhead as percentage of personnel costs, max. 80%

Take-Up Actions

- Only certain eligible cost categories allowed for each action. Overhead not allowed. See: Guide for Proposers, Part 2 B

Take up measure	Cost categories									
	Personnel	Durable equipment	Consumables	Travel and Subsistence	Computing	Subcontracting	IPR protection	Other costs	Overheads	Coordination
Assessment	100%	0%	100%	100%	0%	100%	0%	100%	0%	100%
Best Practice	100%	50%	50%	50%	*50%	50%	0%	100%	0%	100%
Trials	100%	50%	50%	50%	*50%	50%	0%	100%	0%	100%

Models of Funding Other Actions



Concerted Actions/Thematic Networks:

- All participants use Additional Cost Model, i. e. 20% Overhead on all costs except subcontracting. Permanent staff can be used if time records are kept.
- **Personnel,**
- **Travel and Subsistence,**
- **Computing,**
- **Subcontracting,**
- **Other specific costs,**
- **Overheads.**

Intellectual Property Rights(IPR)



- **EU Funding 50% or less:**

IPR belongs to the contractors

- **EU Funding between 50% and 100%:**

IPR negotiated between Commission and contractors

- **EU Funding 100% of total eligible cost**

IPR belongs to the Commission as general rule

Financial Viability



- ⇒ Check on legal existence and financial viability of partners
will be done by EC before contract signature
- ⇒ Takes all other participations in FP into account
- ⇒ Results may lead to reduction of participation or exclusion
- ⇒ If reasonable, proper solutions with partners to be found

case by case

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Planning and Operations



**PLANNING
CYCLE**

**IMPLEMENTATION
CYCLE**

Framework programme
Specific programmes

Work programme
Call for proposals
Project Selection
Launch

Project operations

- specification
- development
- prototype evaluation

Project reviews

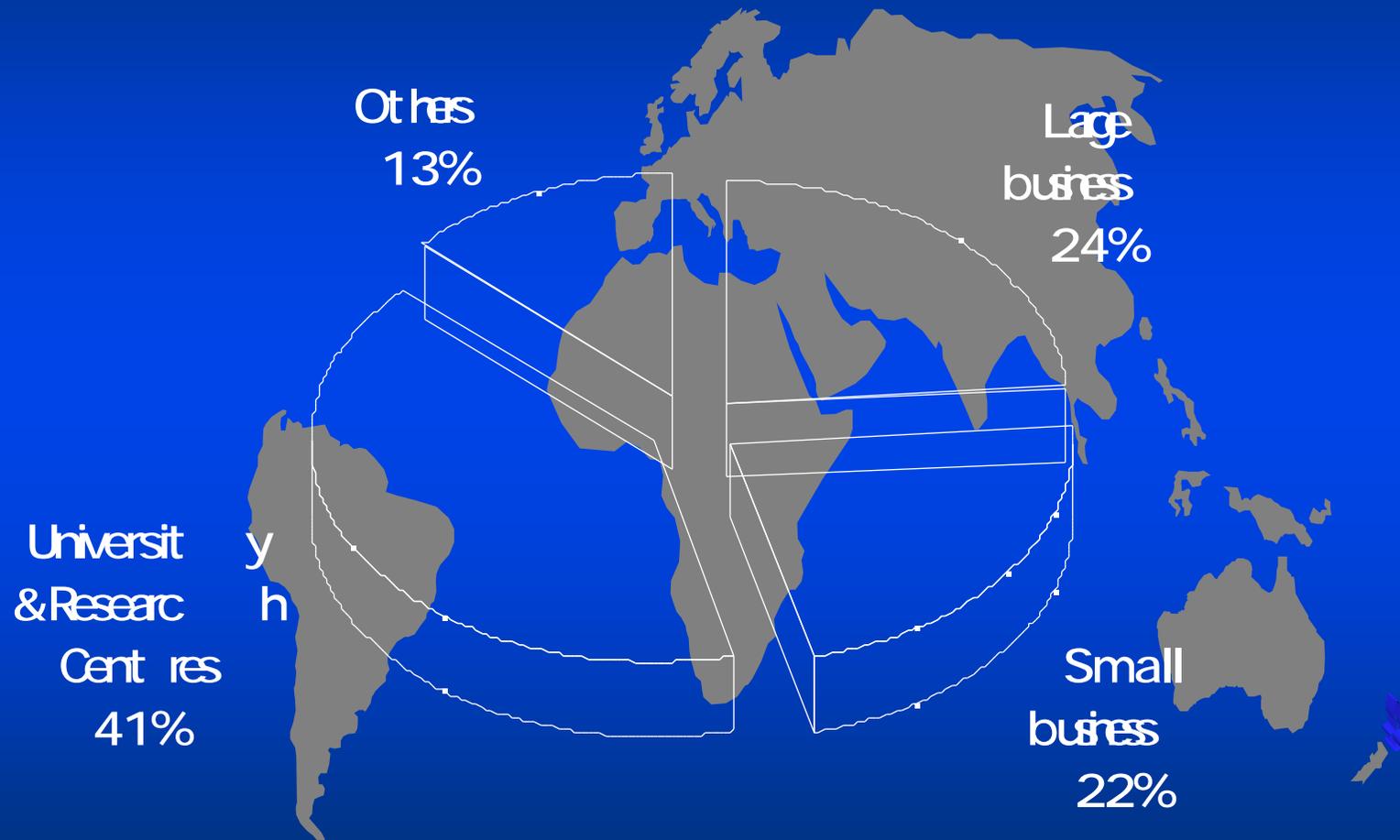
- management
- technology
- costs

Results of the first call



- **Budget for the first call: 800 MEUROS**
- **Opened: 19 March 1999** **Closed: 16 June 1999**
- **Input: 2341 proposals**
- **Evaluation done by 600 experts**
- **418 retained for negociation**

First call – who participated



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Acceptance Rates: Overall

A grey silhouette of a world map is centered in the background of the slide, showing the continents of North America, South America, Europe, Africa, Asia, and Australia.

	<u>Call 1</u>	<u>Call 2</u>	<u>Call 1+2</u>
Proposals	21.0%	22.0%	21.3%
Funding	17.0%	18.2%	17.3%

For further information...



IST helpdesk

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E-Mail: ist@cec.be

<http://www.cordis.lu/ist>

Official Journal

Guide to Future Calls

Work Programme

Introduction for Proposers

Specific Guides for Proposers

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