



# GUIDE FOR APPLICANTS

**COORDINATION AND SUPPORT ACTION  
(COORDINATING)**

***Annexes, specific to call:***

***FP7-SEC-2012-1***

*This part of the guide contains the annexes for the specific call and funding scheme shown above. It should be read in conjunction with the common part of the guide, published as a separate document, which contains the general information for applying to FP7 under this funding scheme.*

## Annex 1:

### *Timetable and specific information for this call*

The **work programme** provides the essential information for submitting a proposal to this call. It describes the content of the topics to be addressed, and details on how it will be implemented. The work programme is available on the CORDIS and Participant Portal call pages. The part giving the basic data on implementation (deadline, budget, additional conditions etc) is also posted as a separate document ("call fiche"). You must consult these documents.

- **Indicative timetable for this call**

Publication of call	<i>20 July 2011</i>
Deadline for submission of proposals	<i>23 November 2011, 17:00 CET</i>
Evaluation of proposals	<i>December 2011 to February 2012</i>
If applicable, Invitation letter to coordinators highly rated proposals to appear before the evaluation panel together with member of the consortium (hearings) <sup>1</sup>	<i>6-10 February 2012</i>
If applicable, Hearings	<i>13-17 February 2012</i>
Evaluation Summary Reports sent to proposal coordinators ("initial information letter")	<i>March 2012</i>
Security Scrutiny <sup>2</sup>	<i>May 2012</i>
Invitation letter to successful coordinators to launch grant agreement negotiations with the Commission or REA	<i>From June 2012</i>
Letter to unsuccessful applicants	<i>From June 2012</i>
Signature of first grant agreements	<i>From November 2012</i>

- **Indicative budget for the FP7-SEC-2012-1 call: 241.7 M€**

- **Further information and help**

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

<sup>1</sup> Applicable to the topics 1.5-1, 2.2-2, 2.2-3, 3.4-6, 3.5-1, 4.1-1, 4.2-2, 4.4-3 and 5.3-4 for Demonstration projects and Integration projects

<sup>2</sup> See Annex 5

## Call information

CORDIS call page and work programme	<a href="http://cordis.europa.eu/fp7/dc/index.cfm">http://cordis.europa.eu/fp7/dc/index.cfm</a>
Participant Portal	<a href="http://ec.europa.eu/research/participants/portal/">http://ec.europa.eu/research/participants/portal/</a> <i>(select tab "FP7 calls")</i>
Information Days related to this call	08 September 2011 <a href="http://ec.europa.eu/research/rea/index.cfm?pg=events">http://ec.europa.eu/research/rea/index.cfm?pg=events</a>
Other background documents	<a href="http://ec.europa.eu/enterprise/policies/security/">http://ec.europa.eu/enterprise/policies/security/</a> <a href="http://cordis.europa.eu/fp7/security/home_en.html">http://cordis.europa.eu/fp7/security/home_en.html</a> <a href="http://ec.europa.eu/research/rea/index.cfm?pg=fo_sec">http://ec.europa.eu/research/rea/index.cfm?pg=fo_sec</a>

## General sources of help:

The Commission's FP7 Enquiry service	<a href="http://ec.europa.eu/research/enquiries">http://ec.europa.eu/research/enquiries</a>
National Contact Points	<a href="http://cordis.europa.eu/fp7/ncp.htm">http://cordis.europa.eu/fp7/ncp.htm</a>
National Contact Points in third countries	<a href="http://cordis.europa.eu/fp7/third-countries_en.html">http://cordis.europa.eu/fp7/third-countries_en.html</a>

## Call-specific help:

Please send call-specific questions (up to two weeks before the Call deadline) to

REA Security Research helpdesk	REA-SECURITY-PROJECTS@ec.europa.eu
DG ENTR Security research helpdesk	ENTR-SECURITY-RESEARCH@ec.europa.eu

## Specialised and technical assistance:

eFP7 Service Desk	<a href="http://ec.europa.eu/research/participants/portal/page/contactus">http://ec.europa.eu/research/participants/portal/page/contactus</a>
CORDIS help desk	<a href="http://cordis.europa.eu/guidance/helpdesk/home_en.html">http://cordis.europa.eu/guidance/helpdesk/home_en.html</a>
EPSS Help desk	<a href="mailto:support@epss-fp7.org">support@epss-fp7.org</a>
IPR help desk	<a href="http://www.ipr-helpdesk.org">http://www.ipr-helpdesk.org</a>
Ethics help desk	<a href="http://cordis.europa.eu/fp7/get-support_en.html">http://cordis.europa.eu/fp7/get-support_en.html</a>

You may also wish to consult the following documents that can be found at

[http://cordis.europa.eu/fp7/find-doc\\_en.html](http://cordis.europa.eu/fp7/find-doc_en.html)

## FP7 Legal basis and other documents generally applicable

- Decision on the Framework Programme
- Rules for Participation
- Specific Programmes
- Work Programmes

## Legal documents for implementation

- Rules for submission, evaluation, selection, award
- Standard model grant agreement
- Rules on verification of existence, legal status, operational and financial capacity

## Guidance documents

- Guidance Notes on Audit Certification Guide for beneficiaries Guide to Financial Issues
- Guide to IPR
- Checklist for the Consortium Agreement
- Negotiation Guidance Notes and Templates for Description of Work

## 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

## Ethics Review

- Ethics check list
- Supporting documents
- Vademecum on Notification Requirements.

## Annex 2:

### *Evaluation criteria and procedures to be applied for this call*

#### 1. General

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

REA staff ensure that the process is fair, and in line with the principles contained in the Commission's rules<sup>3</sup>.

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 declaration of confidentiality and absence of conflict of interest 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 REA 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 REA 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 REA, 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 REA staff before the evaluation begins. Proposals which do not fulfil these criteria will not be included in the evaluation.

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

- It is received by the REA 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). To satisfy this condition, part B of the proposal must be readable, accessible and printable.
- 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 work programme
- Proposals containing any classified information shall be declared ineligible.

The REA establishes a list of experts capable of evaluating the proposals that have been received. The list is drawn up to ensure:

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<sup>3</sup> Rules for submission of proposals, and the related evaluation, selection and award procedures (posted on CORDIS).

- 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 REA also takes account of their abilities to appreciate the industrial and/or societal as well as innovation dimension of the proposed work. Experts must also have the appropriate language skills required for the proposals to be evaluated.

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

### **3. Evaluation of proposals**

At the beginning of the evaluation, experts will be briefed by REA 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 as well as the innovation dimension).

Each proposal will first be assessed independently by at least three experts.

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

***Evaluation criteria applicable to  
Coordination and support actions (Coordinating)***

S/T QUALITY	IMPLEMENTATION	IMPACT
<p><b>“Scientific and/or technological excellence (relevant to the topics addressed by the call)”</b></p>	<p><b>“Quality and efficiency of the implementation and the management”</b></p>	<p><b>“Potential impact through the development, dissemination and use of project results”</b></p>
<ul style="list-style-type: none"> <li>• Soundness of concept, and quality of objectives</li> <li>• Contribution to the co-ordination of high quality research</li> <li>• Quality and effectiveness of the co-ordination mechanisms, and associated work plan</li> </ul>	<ul style="list-style-type: none"> <li>• Appropriateness of the management structure and procedures</li> <li>• Quality and relevant experience of the individual participants</li> <li>• Quality of the consortium as a whole (including complementarity, balance)</li> <li>• Appropriateness of the allocation and justification of the resources to be committed (staff, equipment ...)</li> </ul>	<ul style="list-style-type: none"> <li>• Contribution, at the European [and/or international] level, to the expected impacts listed in the work programme under the relevant topic/activity</li> <li>• Appropriateness of measures for spreading excellence, exploiting results, and disseminating knowledge, through engagement with stakeholders, and the public at large.</li> </ul>

Where topics have been specifically highlighted in the work programme as being research areas which are particularly well suited for international cooperation, the inclusion of a relevant third country partner or partners could add to the scientific and/or technological excellence of the project and/or lead to an increased impact of the research to be undertaken.

These aspects will be considered specifically during the evaluation of all topics concerned by International Cooperation. For further information see the topics concerned.

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 relevance 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 partially relevant 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.

The innovation dimension of a proposal will be evaluated under the evaluation criterion 'impact'.<sup>4</sup>

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 - | <i>The proposal fails to address the criterion under examination or cannot be judged due to missing or incomplete information</i>    |
| 1 - | <i>Poor. The criterion is addressed in an inadequate manner, or there are serious inherent weaknesses.</i>                           |
| 2 - | <i>Fair. While the proposal broadly addresses the criterion, there are significant weaknesses.</i>                                   |
| 3 - | <i>Good. The proposal addresses the criterion well, although improvements would be necessary.</i>                                    |
| 4 - | <i>Very good. The proposal addresses the criterion very well, although certain improvements are still possible.</i>                  |
| 5 - | <i>Excellent. The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor.</i> |

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.

Conflicts of interest: Under the terms of the appointment letter, experts must declare beforehand any known conflicts of interest, and must immediately inform a REA staff member if one becomes

<sup>4</sup> See Annex 4

apparent during the course of the evaluation. The REA 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 REA to ensure this. Under no circumstance may an expert attempt to contact an applicant on his own account, either during the evaluation or afterwards.

#### 4. Individual evaluation

This part of the evaluation will be carried out on the premises of the experts concerned ("remotely").

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 raises research ethics issues or if it requires further scrutiny with regard to security considerations.<sup>5</sup>

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 REA 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.

#### 5. 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 REA or 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

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<sup>5</sup> See Annex 5

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 and security.

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 REA or the Commission moderator may ask up to three additional experts to examine the proposal.

Ethics issues<sup>6</sup>: If one or more experts have noted that there are ethics issues touched on by the proposal, the relevant box on the consensus report (CR) should be ticked.

### Outcome of consensus

The outcome of the consensus step is the consensus report. This will be signed/approved (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 REA 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 REA or 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.

## **6. Panel review**

This is the final step involving the independent experts. It allows them to formulate their recommendations to the REA 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 scores.

The panel comprises experts involved at the consensus step and potentially new experts. Several panels may be organised to cover the different activities, topics, funding schemes of this call.

The tasks of the panel will also include:

- hearings with the applicants of those proposals that have passed thresholds
- 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 issues of proposals.

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<sup>6</sup> See Annex 6  
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The panel is chaired by the REA. The REA will ensure fair and equal treatment of the proposals in the panel discussions. A panel rapporteur will be appointed to draft the panel's advice.

The panel will recommend two ranked lists of proposals, following the scoring systems indicated above. One ranked list will be drawn up for topics to be implemented through Integration Projects and Demonstration Projects and the second for the other topics as indicated in the implementation section of the work programme.

#### Priority order for proposals with the same score

If necessary, the panel will determine a priority order for proposals which have been awarded the same score within a ranked list. Whether or not such a prioritisation is carried out will depend on the available budget or other conditions set out in the call fiche. The following approach will be applied successively for every group of *ex aequo* proposals requiring prioritisation, starting with the highest scored group, and continuing in descending order:

(i) Proposals that address topics not otherwise covered by more highly-rated proposals, will be considered to have the highest priority.

(ii) These proposals will themselves be prioritised according to the scores they have been awarded for the criterion *scientific and/or technological excellence*. When these scores are equal, priority will be based on scores for the criterion *impact*. If necessary, any further prioritisation will be based on other appropriate characteristics like complementarity of the research, benefit of the civil European security, security of the citizens, coverage of the topics, standardisation, participation of end-users, public engagement, participation of SMEs, international co-operation, or other aspects mentioned in the Work Programme.

(iii) The method described in (ii) will then be applied to the remaining *ex aequos* in the group.

The outcome of the panel meeting is a report recording, principally:

- An evaluation summary report (ESR) for each proposal, including, where relevant, a report of any ethics 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.
- 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 deliberations of the panel;
- A record of the hearings, if applicable

Since the same panel has considered proposals submitted to various parts of a call (for example different funding schemes, or different topics that have been allocated distinct indicative budgets in the work programme), the report may contain multiple lists accordingly.

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

## **7. Ethics Review of project proposals<sup>7</sup>**

An ethics review of above-threshold proposals may be organised by the REA together with the Commission. The Ethics Review is carried out by independent experts with a special expertise on

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<sup>7</sup> See Annex 6  
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ethics. Reviewing research projects on ethical grounds at the EU level is a legal requirement under FP7. The Review evaluates several aspects of the design and methodology of the proposed research such as intervention on humans, animal welfare, data protection issues, terms of participation of children, vulnerable populations and dual use.

The Ethics Panel drafts an Ethics Review Report that summarises its opinion on the ethical soundness of the project proposal under consideration. The requirements put forward by the Panel are taken into account in any subsequent negotiations on the grant agreement, and may lead to obligatory provisions in the conduct of the research.

The Ethics Review process is described in detail in the Rules for submission, evaluation, selection and award procedures<sup>8</sup>

## 8. Scrutiny of sensitive proposals<sup>9</sup>

The outcome of the evaluation of proposals will be two ranked lists. The Commission informs the relevant Programme Committee of the outcome of the evaluation. A "short-list" containing proposals to be negotiated to cover the available budget plus a "reserve-list" is established by the Commission.

Any RTD action on such a short-list or reserve list will undergo a scrutiny procedure. This will be performed by an ad-hoc committee, the "**Security Scrutiny Committee**", of representatives of the competent national security authorities. This process should reach a common position between the concerned national representatives and provide recommendation. Further details are presented in Section 3 from Annex 5.

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8 COMMISSION DECISION of 28 February 2011 amending Decision C(2008) 4617 related to the rules for proposals submission, evaluation, selection and award procedures for indirect actions under the Seventh Framework Programme of the European Community for research, technological development and demonstration activities (2007-2013) and under the Seventh Framework Programme of the European Atomic Energy Community (Euratom) for nuclear research and training activities (2007-2011)

<sup>9</sup> See Section 6 from Annex 4 and Annex 5

## Annex 3:

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

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

In Part A you will be asked for certain administrative details that will be used in the evaluation and further processing of your proposal. Part A forms an integral part of your proposal. Details of the work you intend to carry out will be described in Part B (annex 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 sections A1 and A3.
- The participants already identified at the time of proposal submission (including the coordinator) each fill in their respective section A2.
- Subcontractors should not fill in section A2 and should not be listed separately in section A3.
- The estimated budget planned for any future participants (not yet identified at the time of the proposal) is not shown separately in form A3 but should be added to the coordinator's budget. Their role, profile and tasks are described in Part B of the proposal.

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

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

**Note:**

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

## Coordination and support actions (Coordinating)

### Section A1: Summary

<b>Proposal Acronym</b>	<p>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).</p> <p>The same acronym should appear on each page of Part B of your proposal.</p>
<b>Proposal Title</b>	<p>The title should be <u>no longer than 200 characters</u> and should be understandable to the non-specialist in your field.</p>
<b>Duration in months</b>	<p>Insert the estimated duration of the project in full months.</p>
<b>Call (part) identifier</b>	<p>Pre-filled.</p> <p>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 call page. A call identifier looks like this: <i>FP7-SEC-2012-1</i></p>
<b>Topic code(s) most relevant to your proposal</b>	<p>Please refer to the topic codes /objectives listed in the work programme call fiche.</p> <p>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.</p> <p>The choice of the first topic 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.</p> <p>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.</p> <p>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.</p>
<b>Free Keywords</b>	<p>Please enter a number of keywords that you consider sufficient to characterise the scope of your proposal.</p> <p>There is <u>a limit of 100 characters</u>.</p>
<b>Abstract</b>	<p>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. <b>If the proposal is written in a language other than English, please include an English version of the proposal abstract in Part B.</b></p> <p>There is <u>a limit of 2000 characters</u>.</p>
<b>Similar proposals or signed contracts</b>	<p>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.</p>

## Section A2/ Participants

<b>Participant number</b>	The number allocated by the consortium to the participant for this proposal. The <b>co-ordinator</b> of a proposal is always <b>number one</b> .
<b>Participant Identification Code</b>	The Participant Identification Code (PIC) enables organisations to take advantage of the Participant Portal. Organisations who have received a PIC from the REA or the Commission are encouraged to use it when submitting proposals. By entering a PIC, parts of section A2 will be filled in automatically. An online tool to search for existing PICs and the related organisations is available at <a href="http://ec.europa.eu/research/participants/portal">http://ec.europa.eu/research/participants/portal</a> . Organisations not yet having a PIC are strongly encouraged to self-register (at <a href="http://ec.europa.eu/research/participants/portal">http://ec.europa.eu/research/participants/portal</a> ) before submitting the proposal and insert in section A2 the temporary PIC received at the end of the self-registration.
<b>Legal name</b>	<p><b>For Public Law Body</b>, 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;</p> <p><b>For Private Law Body</b>, it is the name under which your organisation is registered in the national Official Journal (or equivalent) or in the national company register.</p> <p><b>For a natural person</b>, it is e.g. Mr Adam JOHNSON, Mrs Anna KUZARA, and Ms Alicia DUPONT.</p>
<b>Organisation Short Name</b>	<p>Choose an abbreviation of your Organisation Legal Name, only for use in this proposal and in all relating documents.</p> <p>This short name should not be more <u>than 20 characters</u> exclusive of special characters (./;...), e.g. CNRS and not C.N.R.S. It should be preferably the one commonly used, e.g. IBM and not Int.Bus.Mac.</p>
<b>Legal address</b>	<p>For Public and Private Law Bodies, it is the address of the entity's Head Office.</p> <p>For Individuals it is the Official Address.</p> <p>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.</p>
<b>Non-profit organisation</b>	Non-profit organisation is a legal entity qualified as such when it is recognised by national or, international law.
<b>Public body</b>	Public body means any legal entity established as such by national law, and international organisations.
<b>Research organisation</b>	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.
<b>NACE code</b>	<p><b>NACE</b> means "<u>Nomenclature des Activités économiques dans la Communauté Européenne</u>".</p> <p>Please select <b>one</b> activity from the list that <b>best</b> describes your professional and economic ventures. If you are involved in more than one economic activity, please select the <b>one</b> activity that is <b>most</b> 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: <a href="http://ec.europa.eu/eurostat/ramon/nomenclatures/index.cfm?TargetUrl=LST_CLS_DLD&amp;StrNom=NACE_1_1&amp;StrLanguageCode=EN&amp;StrLayoutCode=HIERARCHIC">http://ec.europa.eu/eurostat/ramon/nomenclatures/index.cfm?TargetUrl=LST_CLS_DLD&amp;StrNom=NACE_1_1&amp;StrLanguageCode=EN&amp;StrLayoutCode=HIERARCHIC</a></p>
<b>Small and Medium-Sized Enterprises (SMEs)</b>	<p>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 <a href="http://ec.europa.eu/enterprise/enterprise_policy/sme_definition/index_en.htm">http://ec.europa.eu/enterprise/enterprise_policy/sme_definition/index_en.htm</a></p> <p>To find out if your organisation corresponds to the definition of an SME you can use the on-line tool at <a href="http://ec.europa.eu/research/sme-techweb/index_en.cfm">http://ec.europa.eu/research/sme-techweb/index_en.cfm</a></p>

**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:

- i. 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) A, directly or indirectly, holds in fact or in law the decision-making powers in B.

(1) 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, 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 REA or 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.

**Sex**

This information is required for statistical and mailing purposes. Indicate F or M as appropriate.

**Phone and fax numbers**

Please insert the full numbers including country and city/area code. Example +32-2-2991111.

**Section A3/Budget****Indirect Costs**

Indirect costs are all those eligible costs which cannot be identified by the participant as being directly attributed to the project but which can be identified and justified by its accounting system as being incurred in direct relationship with the eligible direct costs attributed to the project. They may not include any eligible direct costs.

**Method of calculating indirect costs****Summary description (as displayed on EPSS)**

- Participants who have an analytical accounting system that can identify and group their indirect costs in accordance with the eligibility criteria (e.g. exclude non-eligible costs) must report their **actual indirect costs** (or choose the 20% flat rate option referred to below).
- For the purpose of calculating the actual indirect costs, a participant is allowed to use a **simplified method** of calculation of its full indirect eligible costs.
- Optionally, participants may opt for a **flat rate** for indirect costs of **20%** of the direct costs (minus subcontracting and third party costs not incurred on the premises of the participant).
- A specific **flat rate of 60%** of the direct costs is allowed for **non-profit public bodies, secondary and higher education establishments, research organisations and SMEs** which are unable to identify with certainty their real indirect costs for the project.

For **Coordination and Support actions**, whichever method is used, 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.

**Further guidance**

In FP7 all departments, faculties or institutes which are part of the same legal entity must use the same system of cost calculation (unless a special clause providing for a derogation for a particular department/institute is included in the grant agreement). Under FP7, there are no cost reporting models.

1. Participants which have an analytical accounting system that can identify and group their indirect costs (pool of costs) in accordance with the eligibility criteria (e.g. exclude non-eligible costs) must report their **actual indirect costs** (or choose the 20% flat rate option under 2. below). This method is the same as the "full cost" model used in previous Framework Programmes.

For the purpose of calculating the actual indirect costs, a participant is allowed to use a **simplified method** of calculation of its full indirect eligible costs. The simplified method is a way of declaring indirect costs which applies to organisations which do not aggregate their indirect costs at a detailed level (centre, department), but can aggregate their indirect costs **at the level of the legal entity**.

The simplified method can be used if the organisation does not have an accounting system with a detailed cost allocation. The method has to be in accordance with their usual accounting and management principles and practices; it does not involve necessarily the introduction of a new method just for FP7 purposes. Participants are allowed to use it, provided this simplified approach is based on actual costs derived from the financial accounts of the last closed accounting year.

There is no "standard model"; each legal entity will use its own system. The minimum requirements for it to be considered a simplified method for FP7 purposes are the following:

- the system must allow the participant to identify and remove its direct ineligible costs (VAT, etc.);
- it must at least allow for the allocation of the overheads at the level of the legal entity to the individual projects by using a fair "driver" (e.g. total productive hours);
- the system applied and the costs declared according to it should follow the normal accounting principles and practices of the participant. Therefore, if the system used by a participant is more "refined" than the "minimum" requirements mentioned here, it is that system which should be used when declaring costs.

*Example: if a participant's accounting system distinguishes between different overhead rates according to the type of activity (research, teaching...), then the overheads declared in an FP7 grant agreement should follow this practice and refer only to the concerned activities (research, demonstration...)*

The simplified method does not require previous registration or certification by the Commission.

2. Optionally, participants may opt to declare their actual direct costs plus a **flat rate** for indirect costs of 20% of the direct costs (minus subcontracting and third party costs not incurred on the premises of the participant). This flat rate is open to any participant whatever the accounting system it uses. Accordingly, when this option is chosen, there is no need for certification of the indirect costs, only of the direct ones.

3. Also, a **specific flat rate** is foreseen for certain types of organisations.

The use of this flat rate is subject to three cumulative conditions :

(i) Status of the organisation

The flat rate is reserved to:

- non-profit public bodies
- secondary and higher education establishments

- research organisations
- SMEs

(ii) Accounting system of the organisation

The flat rate is provided for organisations which are unable to identify with certainty their real indirect costs for the project. How will it be proved that an organisation is unable to identify with certainty their real indirect costs for the project? The participant (for example, an SME) does not have to change its accounting system or its usual accounting principles. If its accounting system can identify overall overheads but does not allocate them to project costs, then the participant can use this flat rate if the other conditions are fulfilled.

*Example:*

*A University, which in FP6 has used the "additional cost" basis because its accounting system did not allow for the share of their direct and indirect costs to the project to be distinguished may under FP7:*

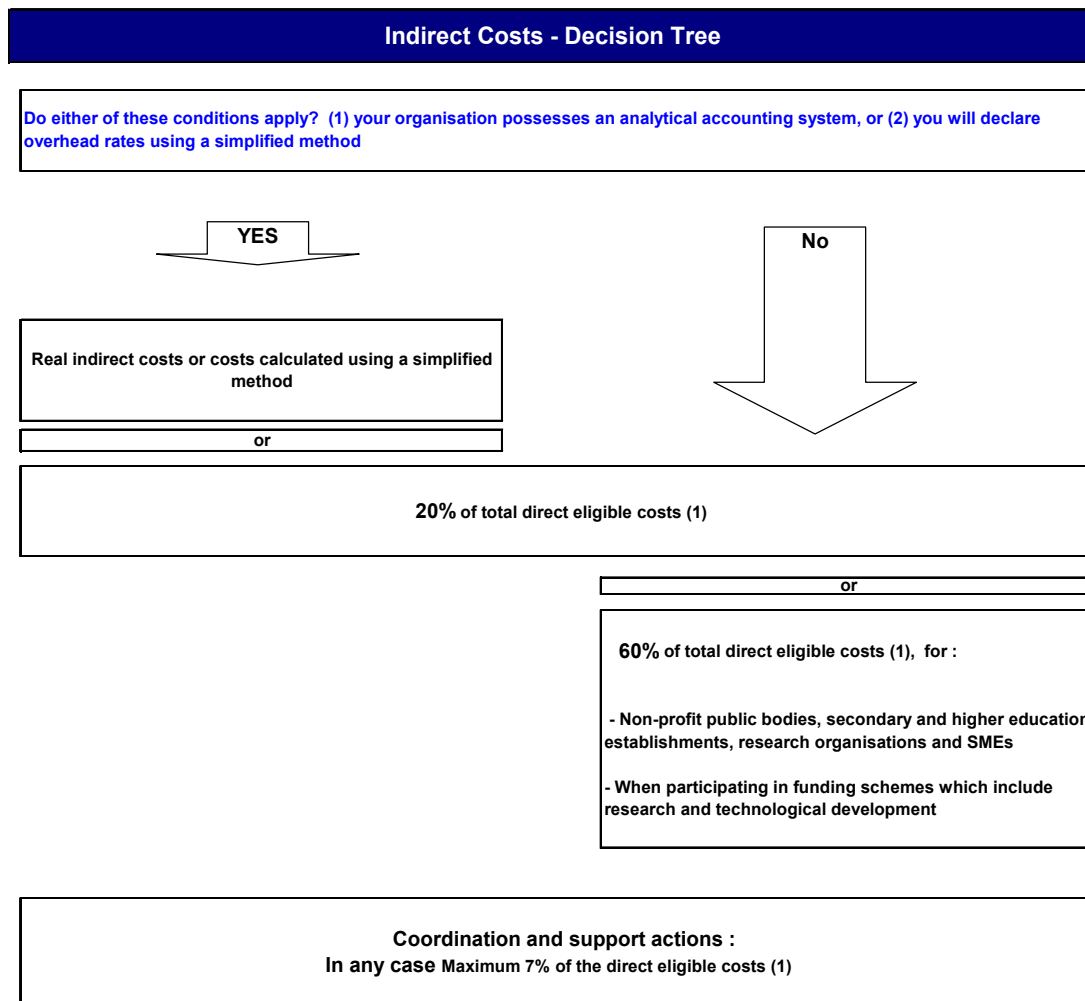
- *either opt for the 60% flat rate, or*
- *introduce a cost accounting system "simplified method" by which a basic allocation per project of the overhead costs of the legal entity will be established, or*
- *introduce a full analytical accounting system.*

Following this, an organisation which used the "full cost" model under the Sixth Framework Programme is presumed to be in a situation to be able to identify the real indirect costs and allocate them to the projects. Accordingly, this organisation would not in principle be able to opt for the 60% flat rate for FP7.

An organisation which can identify the real indirect costs but does not have a system to allocate these indirect costs can opt for this 60% flat rate. The choice of this specific flat rate lies within the responsibility of the participant. If a subsequent audit shows that the above-mentioned cumulative conditions are not fulfilled, all projects where this participant is involved might be reviewed.

(iii) Type of funding scheme

The flat rate is reserved to funding schemes which include research and technological development and demonstration activities: Network of Excellence and Collaborative projects (including research for the benefit of specific groups – in particular SMEs). The basis for the calculation of the flat rate excludes the costs for subcontracting and the costs of resources made available by third parties which are not used on the premises of the participant because in these two cases, the indirect costs are not incurred by the participant but by the subcontractor or the third party. When a participant opts for the specific flat rate of 60 % for its first participation under FP7 it can opt afterwards for the actual indirect costs system for subsequent participations. This change does not affect previous grant agreement. After this change, this organisation cannot opt again for a flat rate system (either 60% or 20% flat rate).



(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

**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 to the work programmes.

**Lump sum funding method**

Legal entities established in an ICPC may opt for lump sums. In that case the contribution 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 EU contribution is calculated by applying the normal upper funding limits shown under "requested EU 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](http://cordis.europa.eu/fp7/find-doc_en.html) or on the Participant Portal <http://ec.europa.eu/research/participants/portal/page/home>

**Type of Activity**

- **Coordination activities** may cover activities such as the organisation of events - including conferences, meetings, workshops or seminars -, related studies, exchanges of personnel, exchange and dissemination of good practices, and, if necessary, the definition, organisation and management of joint or common initiatives, together with management of the action.
- **Other activities** means any specific activities not covered by the above mentioned activity such as training, coordination, networking and dissemination (including publications). These activities should be specified in the proposal Part B.
- **Management activities** are part of the other activities. They include the maintenance of the consortium agreement, if it is obligatory, the overall legal, ethical, financial and administrative management including for each of the participants obtaining the certificates on the financial statements or on the methodology, the implementation of competitive calls by the consortium for the participation of new participants and, any other management activities foreseen in the proposal except coordination of research and technological development activities.

**Personnel costs**

Participants may opt to declare average personnel costs if these fulfil the four acceptability criteria defined by the Commission in its Decision of 24th January 2011 on the three simplification measures for FP7 ([ftp://ftp.cordis.europa.eu/pub/fp7/docs/c-2011-174-final\\_en.pdf](ftp://ftp.cordis.europa.eu/pub/fp7/docs/c-2011-174-final_en.pdf)). Detailed explanation can be found in the FP7 Guide to Financial Issues ([ftp://ftp.cordis.europa.eu/pub/fp7/docs/financialguide\\_en.pdf](ftp://ftp.cordis.europa.eu/pub/fp7/docs/financialguide_en.pdf)).

For the particular case of personnel costs to be claimed by SME owners and natural persons not receiving a salary, the Commission has set up a mandatory flat rate system. Detailed information on this flat-rate system can be found in the FP7 Guide to Financial Issues ([ftp://ftp.cordis.europa.eu/pub/fp7/docs/financialguide\\_en.pdf](ftp://ftp.cordis.europa.eu/pub/fp7/docs/financialguide_en.pdf)).

**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.

If applicable, actual direct costs and real overhead costs of third parties that make available to the proposal resources otherwise unavailable within the consortium, can also be included under the category of subcontracting costs (provided that these costs are not related to proposal's core tasks).

**Other direct costs**

Means direct costs not covered by the above mentioned categories of costs.

**Total Budget** *Note: The "total budget" **is not** the requested EU contribution.*

A sum of all the eligible costs, under the respective types of activity.

**Requested EU contribution**

The requested EU contribution shall be determined by applying the upper funding limits indicated below, per activity and per participant to the costs accepted by the REA, or to the flat rates or lump sums.

**Maximum reimbursement rates of eligible costs**

- **Coordination activities = 100%**
- **Other activities (including management) = 100%**

(\*) For participants that are non profit public bodies, secondary and higher education establishments, research organisations and SMEs.

*Note: "Receipts" are not the requested EU contribution.*

**Total Receipts**

Receipts of the project may arise from:

- b) Financial transfers or contributions in kind free of charge to the participant from third parties:
  - ii. shall be considered a receipt of the project if they have been contributed by the third party specifically to be used on the project.
  - iii. shall not be considered a receipt of the project if their use is at the management discretion of the participant.
- c) Income generated by the project:
  - i. shall be considered receipts for the participant when generated by actions undertaken in carrying out the project and from the sale of assets purchased under the grant agreement up to the value of the cost initially charged to the project by the participant;
  - ii. shall not be considered a receipt for the participant when generated from the use of foreground resulting from the project.

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

## Annex 4:

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

#### Coordination and support actions (Coordinating)

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 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.

**IMPORTANT: Page limits:** remember to keep to the page limits where these are specified.

The minimum font size allowed is 11 points. The page size is A4, and all margins (top, bottom, left, right) should be at least 15 mm (not including any footers or headers).

Please remember that it is up to you to verify that you conform to page limits. There is no automatic check in the system!

Ensure that the font type chosen leads to clearly readable text (eg. Arial or Times New Roman).

As an indication, such a layout should lead to a maximum of between 5000 and 6000 possible characters per page (including spaces).

The REA 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 experts.

**SUMMARY OF MANDATORY PAGE LIMITS**  
*(conforming to font and margin sizes mentioned above).*

<b>Section</b>		<b>Maximum pages</b>
1: Scientific and/or technical quality, relevant to the topics addressed by the call		20 pages for whole section*,
1.1	Concept and objectives	No specific limit
1.2	Contribution to the co-ordination of high quality research	No specific limit
1.3	Quality and effectiveness of the co-ordination mechanisms, and associated work plan	2 pages for each work package description in section 1.3 (d)
2.1	Management structure and procedures	5 pages
2.2	Individual participants	1 page per participant
2.3	Consortium as a whole	No specific limit
2.4	Resources to be committed	10 pages
3.	Impact	10 pages for whole section
4.	Ethics Issues	No limit
5.	Consideration of gender aspects	1 page
6.	Security sensitivity proposals	No limit

\* This limit does not include the Gantt chart under 1.3 ii), the tables 1.3a- e under 1.3 iii), and the Pert diagram under 1.3 iv).

**Cover Page**

Proposal full title:

Proposal acronym:

Type of funding scheme: Coordination and support actions (Coordinating)

Work programme topics addressed:

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

Name of the coordinating person:

List of participants:

<b>Participant no. *</b>	<b>Participant organisation name</b>	<b>Country</b>
1 (Coordinator)		
2		
3		

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

**Table of Contents**

## **Proposal**

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

#### **1.1 Concept and objectives**

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

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

#### **1.2 Contribution to the co-ordination of high quality research**

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

#### **1.3 Quality and effectiveness of the co-ordination mechanisms, and associated work plan**

A detailed work plan should be presented, broken down into work packages<sup>10</sup> (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 (*maximum length: 1 page*).
- ii) Show the timing of the different WPs and their components (Gantt chart or similar).
- iii) Provide a detailed work description broken down into work packages:
  - Work package list (please use table 1.3a);
  - Deliverables list (please use table 1.3b);
  - List of milestones (please use table 1.3c);
  - Description of each work package, and summary (please use table 1.3d);
  - Summary effort table (please use table 1.3e)
- iv) Provide a graphical presentation of the components showing their interdependencies (Pert diagram or similar)
- v) Describe any significant risks, and associated contingency plans.

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<sup>10</sup> 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.

Note:

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

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

**Table 1.3 a: Work package list**

Work package No <sup>1</sup>	Work package title	Type of activity <sup>2</sup>	Lead participant No <sup>3</sup>	Lead participant short name	Person-months <sup>4</sup>	Start month <sup>5</sup>	End month
		TOTAL					

<sup>1</sup> Workpackage number: WP 1 – WP n.

<sup>2</sup> Please indicate one activity per work package:

COORD = Coordination activities); MGT = Management of the consortium; OTHER = Other specific activities, if applicable.

<sup>3</sup> Number of the participant leading the work in this work package.

<sup>4</sup> The total number of person-months allocated to each work package.

<sup>5</sup> Measured in months from the project start date (month 1).

**Table 1.3 b: Deliverables List**

Del. no. <sup>6</sup>	Deliverable name	WP no.	Nature <sup>7</sup>	Dissemination level <sup>8</sup>	Delivery date <sup>9</sup>

<sup>6</sup> 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.

<sup>7</sup> Please indicate the nature of the deliverable using one of the following codes:

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

<sup>8</sup> Please indicate the dissemination level using one of the following codes:

**PU** = Public

**PP** = Restricted to other programme participants (including the Commission and/or REA Services).

**RE** = Restricted to a group specified by the consortium (including the Commission and/or REA Services).

**CO** = Confidential, only for members of the consortium (including the Commission and/or REA Services).

**CL restricted** = Classified as "EU Restricted" (see Annex 5)

**CL confidential** = Classified as "EU Confidential" (see Annex 5)

**CL secret** = Classified as "EU Secret" (see Annex 5)

<sup>9</sup> Measured in months from the project start date (month 1).

**Table 1.3 c: List of milestones**

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

<b>Milestone number</b>	<b>Milestone name</b>	<b>Work package(s) involved</b>	<b>Expected date</b> <sup>20</sup>	<b>Means of verification</b> <sup>21</sup>
-------------------------	-----------------------	---------------------------------	------------------------------------	--

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<sup>20</sup> Measured in months from the project start date (month 1).

<sup>21</sup> 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.

**Table 1.3 d: Work package description****For each work package:**

<b>Work package number</b>		<b>Start date or starting event:</b>					
<b>Work package title</b>							
<b>Activity Type<sup>22</sup></b>							
<b>Participant number</b>							
<b>Participant short name</b>							
<b>Person-months per participant:</b>							

<b>Objectives</b>
-------------------

<b>Description of work</b> (possibly broken down into tasks), and role of participants
--

<b>Deliverables</b> (brief description and month of delivery)
---

<sup>22</sup> Please indicate one activity per work package:

COORD = Coordination activities); MGT = Management of the consortium; OTHER = Other specific activities, if applicable.

**Table 1.3 e: Summary of staff effort**

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

<b>Participant no./short name</b>	<b>WP1</b>	<b>WP2</b>	<b>WP3</b>	<b>...</b>	<b>Total person months</b>
Part.1 short name					
...					
...					
...					
Total					

## 2. Implementation

### 2.1 Management structure and procedures

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

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

### 2.2 Individual participants

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

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

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

### 2.3 Consortium as a whole

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

**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<sup>23</sup>, explain in terms of the project's objectives why such funding would be essential.

*(No maximum length applies to this section)*

### 2.4 Resources to be committed

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

---

<sup>23</sup> See CORDIS web-site, and annex 1 of the work programme.

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

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

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

### **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.

When appropriate (relevant for the topic):

With regard to the innovation dimension, describe the potential areas and markets of application of the project results and the potential advantages of the resulting technologies/ solutions compared to those that are available today.

#### **3.2 Dissemination and/or exploitation of project results, and management of intellectual property**

Describe the measures you propose for the dissemination and/or exploitation of project results, and how these will increase the impact of the project. In designing these measures, you should take into account a variety of communication means and target groups as appropriate (e.g. policy-makers, interest groups, media and the public at large).

For more information on communication guidance, see [http://ec.europa.eu/research/science-society/science-communication/index\\_en.htm](http://ec.europa.eu/research/science-society/science-communication/index_en.htm).

When appropriate (relevant for the topic):

With regard to the innovation dimension, describe the measures you propose to increase the likelihood of market uptake of project results, such as: verification, testing, and prototyping; supporting the development of technical standards; identifying and collaborating with potential users; identifying potential partners and sources of finance for commercialisation.

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

#### 4. Ethics Issues<sup>24</sup>

Describe any ethics issues that may arise in the project. In particular, you should explain the benefit and burden of their experiments and the effects it may have on the research subjects. All countries where research will be undertaken should be identified. You should be aware of the legal framework that is applicable and the possible specific conditions that are relevant in each country (EU and non-EU countries alike). It is strongly advised that when drafting the research proposal, the local ethics committee and/or relevant competent authorities (Data Protection, Clinical Trials etc) should be contacted for information and, when applicable, guidance. You may also address specific questions to the FP7 Ethics Help Desk (see page 2 in this Annex).

**Informed consent:** When describing issues relating to informed consent, it will be necessary to illustrate an appropriate level of ethical sensitivity, and consider issues of insurance, incidental findings and the consequences of leaving the study.

**Clinical Trials:** Approvals from national competent authorities are required.

**Data protection issues:** Avoid the unnecessary collection and use of personal data. Identify the source of the data, describing whether it is collected as part of the research or is previously collected data being used. Consider issues of informed consent for any data being used. Describe how personal identify of the data is protected. Data protection issues require authorization from the national data protection authorities.

**Use of animals:** Where animals are used in research the application of the 3Rs (Replace, Reduce, Refine) must be convincingly addressed. Numbers of animals should be specified. Describe what happens to the animals after the research experiments. The use of animals requires permits and/or authorizations from the national competent authorities.

**Dual use:** Consideration of the implications of potential misuse of research and solutions.

**Human embryonic stem cells:** Research proposals that will involve human embryonic stem cells (hESC) will have to address all the following specific points:

- the necessity to use hESC in order to achieve the scientific objectives set forth in the proposal;
- whether the applicants have taken into account the legislation, regulations, ethical rules and/or codes of conduct in place in the country(ies) where the research using hESC is to take place, including the procedures for obtaining informed consent;
- the source of the hESC;
- the measures taken to protect personal data, including genetic data, and privacy;
- the nature of financial inducements, if any.

Include the Ethics issues table below. If you indicate YES to any issue, please identify the pages in the proposal where this ethics issue is described. Answering 'YES' to some of these boxes does not automatically lead to an ethics review. It basically enables the independent experts to decide if an ethics review is required. If you are sure that none of the issues apply to your proposal, simply tick the YES box in the last row.

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

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<sup>24</sup> See Annex 6

## Notes:

Only in exceptional cases will additional information be sought for clarification, which means that any ethics review will be performed solely on the basis of the information available in the proposal.

Projects raising specific ethics issues such as research intervention on human beings<sup>25</sup>; research on human embryos and human embryonic stem cells and non-human primates are automatically submitted for ethics review.

To ensure compliance with ethical principles, the Commission Services will undertake ethics audits of selected projects at its discretion.

A dedicated website that aims to provide clear, helpful information on ethics issues is now available at: [http://cordis.europa.eu/fp7/ethics\\_en.html](http://cordis.europa.eu/fp7/ethics_en.html)

Additional information (reference documents, EU and International legislation etc) can be found in the EUROPA research site:

<http://ec.europa.eu/research/science-society/index.cfm?fuseaction=public.topic&id=1289&lang=1>

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<sup>25</sup> Such as research and clinical trials involving invasive techniques on persons (e.g. taking of tissue samples, examinations of the brain).

**ETHICS ISSUES TABLE****Areas Excluded From Funding Under FP7 (Art. 6)**

- (i) Research activity aiming at human cloning for reproductive purposes;
- (ii) Research activity intended to modify the genetic heritage of human beings which could make such changes heritable (Research relating to cancer treatment of the gonads can be financed);
- (iii) 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;

All FP7 funded research must comply with the relevant national, EU and international ethics-related rules and professional codes of conduct.

Where necessary, the beneficiary(ies) shall provide the responsible Commission services with a written confirmation that (a) favourable opinion(s) of the relevant ethics committee(s) has (have) been received and, if applicable, the regulatory approval(s) of the competent national or local authority(ies) in the country in which the research is to be carried out, before beginning any Commission approved research requiring such opinions or approvals.

In addition to ethics committees, national competent authorities on issues such as Data protection, Clinical trials, Animal welfare, Human tissue and cells, have been established in all EU Member States.

**Guidance notes on informed consent, dual use, animal welfare, data protection and cooperation with non-EU countries are available at : [http://cordis.europa.eu/fp7/ethics\\_en.html#ethics\\_sd](http://cordis.europa.eu/fp7/ethics_en.html#ethics_sd)**

<b>Research on Human Embryo/ Foetus</b>		<b>YES</b>	<b>Page</b>
	Does the proposed research involve human Embryos?		
	Does the proposed research involve human Foetal Tissues/ Cells?		
	Does the proposed research involve human Embryonic Stem Cells (hESCs)?		
	Does the proposed research on human Embryonic Stem Cells involve cells in culture?		
	Does the proposed research on Human Embryonic Stem Cells involve the derivation of cells from Embryos?		
	I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL		

<b>Research on Humans</b>		<b>YES</b>	<b>Page</b>
	Does the proposed research involve children?		
	Does the proposed research involve patients?		
	Does the proposed research involve persons not able to give consent?		

	Does the proposed research involve adult healthy volunteers?		
	Does the proposed research involve Human genetic material?		
	Does the proposed research involve Human biological samples?		
	Does the proposed research involve Human data collection?		
	I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL		

<b>Privacy</b>		<b>YES</b>	<b>Page</b>
	Does the proposed research involve processing of genetic information or personal data (e.g. health, sexual lifestyle, ethnicity, political opinion, religious or philosophical conviction)?		
	Does the proposed research involve tracking the location or observation of people?		
	I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL		

<b>Research on Animals<sup>26</sup></b>		<b>YES</b>	<b>Page</b>
	Does the proposed research involve research on animals?		
	Are those animals transgenic small laboratory animals?		
	Are those animals transgenic farm animals?		
	Are those animals non-human primates?		
	Are those animals cloned farm animals?		
	I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL		

<b>Research Involving non-EU Countries (ICPC Countries<sup>27</sup>)</b>		<b>YES</b>	<b>Page</b>
	Is any material used in the research (e.g. personal data, animal and/or human tissue samples, genetic material, live animals, etc) :		
	a) Collected and processed in any of the ICPC countries?		
	b) Exported to any other country (including ICPC and EU Member States)?		
	I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL		

<b>Dual Use<sup>28</sup></b>		<b>YES</b>	<b>Page</b>
	Research having direct military use		
	Research having the potential for terrorist abuse		
	I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL		

<sup>26</sup> The type of animals involved in the research that fall under the scope of the Commission's Ethical Scrutiny procedures are defined in the [Council Directive 86/609/EEC](#) of 24 November 1986 on the approximation of laws, regulations and administrative provisions of the Member States regarding the protection of animals used for experimental and other scientific purposes Official Journal L 358 , 18/12/1986 p. 0001 - 0028

<sup>27</sup> In accordance with Article 12(1) of the Rules for Participation in FP7, 'International Cooperation Partner Country (ICPC) means a third country which the Commission classifies as a low-income (L), lower-middle-income (LM) or upper-middle-income (UM) country. Countries associated to the Seventh EC Framework Programme do not qualify as ICP Countries and therefore do not appear in this list.

<sup>28</sup> Dual-use items' must mean items, including software and technology, which can be used for both civil and military purposes (Ref: Article 3, Council Regulation (EC) No 428/2009 of 5 May 2009 setting up a Community regime for the control of exports, transfer, brokering and transit of dual-use items

## 5. Consideration of gender aspects

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

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

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

## 6. Security sensitivity Issues

Special procedures will apply to security-related research, due to the sensitive nature of the subjects addressed, and the particular capability gaps that need to be addressed to protect Europe's citizens. RTD actions may be classified<sup>29</sup> if they are considered as sensitive.

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 below.

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

In addition, a proposal may also be considered as sensitive, independently of any security classification, if it plans to exchange material subject to transfer or export licensing. If export licences (or intra EU licences) are required for carrying out the planned work, applicants must clarify the requirement to have such export or transfer licences and must provide a copy of export or transfer licences (or of the requests)

For further information on security sensitive issues relevant to this Call, see Annex 5.

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<sup>29</sup> As defined in the Commission decision n°2001/844/EC (OJ, L 317, 3.12.2001) amending its internal rules of procedure regarding provisions of security and its successive amendments. See the Rules for submission of proposals, and the related evaluation, selection and award procedures.

## 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 in Appendix to this SAL for the grant agreement.

### General

- The performance of the grant agreement will involve information classified "EU restricted", "EU confidential" or "EU secret" (see Annex 5).
- A Facility Security Clearance is [or is not] required.
- Persons who need to access EU classified information (EUCI) must have an EU personal security clearance and be briefed as to their responsibility for security<sup>30</sup>.
- The beneficiaries concerned shall take all measures prescribed by the National Security Authority/Designated Security Authority (NSA/DSA) for safeguarding EUCI.
- The beneficiaries concerned shall appoint a Facility Security Officer (FSO).
- The beneficiaries concerned, through the FSO, shall maintain a continuing relationship with their NSA/DSA.
- The beneficiaries concerned shall maintain a record of their 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 "EU restricted", "EU confidential" or "EU secret" or its equivalent national classification.
- Information generated by the beneficiaries concerned will require EU classification and marking.
- The beneficiaries concerned 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.
- The beneficiaries concerned 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 beneficiaries concerned must undertake not to use information other than for the specific purpose of the grant agreement.
- Handling and storage instructions for information classified "EU restricted", "EU confidential" or "EU secret" (see Annex 5).

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<sup>30</sup> Commission decision n°2001/844/EC, ECSC, Euratom of 29 November 2001 amending its internal rules of procedure (OJ, L 317, 3.12.2001), Section 19.1

**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*

<b>Production of classified <u>Background</u></b>				
<b>Subject</b>	<b>Classification level</b>	<b>Beneficiaries involved in production or wanting to access</b>		<b>Comments including purpose of the access and planned use</b>
		<b>Responsibility</b>	<b>Date of production</b>	
number and name of the reports	proposed Classification level	entity name only		
		owner		
		entity name only		
		reader		
		...		
		...		

<b>Production of classified <u>Foreground</u></b>				
<b>Subject</b>	<b>Classification level</b>	<b>Beneficiaries involved in production or wanting to access</b>		<b>Comments including purpose of the access and planned use</b>
		<b>Responsibility</b>	<b>Date of production</b>	
number and name of the deliverable	proposed Classification level	entity name only		
		owner		
		entity name only		
		contributor		
		entity name only		
		reader		
		...		

## Annex 5

### *Security sensitive proposals*

#### 1. Introduction

Security sensitive proposals are required to follow special procedures.

RTD actions may be classified<sup>1</sup> if they are considered as sensitive.

These procedures are described below. They will apply to all RTD actions under the theme 'Security' in the Specific Programme 'Co-operation'. They apply to other themes if so specified in the relevant call, or when the subjects addressed are considered as sensitive.

#### 2. Identification of potential classified RTD Actions

A security-sensitive RTD action is an action that may need to handle classified information.

A "security considerations" *flag* will be associated with a proposal:

- when the proposer him/herself declares his/her proposal as sensitive;
- if the expert evaluators, the Commission, or members of the relevant "Programme Committee", detect or suspect any of the following conditions:
  - Classified information is, or may be, used as background information
  - Some foreground is planned to be classified

A "security considerations" flag will be associated to all proposals under this call.

Whenever a "security considerations" flag is associated with a proposal, the circumstances of the planned work will be further scrutinised according to the procedure described in section C below. All proposals must identify - if needed - the classified background required for carrying the RTD action and the classified foreground that will be produced by the action.

In the case of a proposal involving classified information (background and/or foreground), a Security Aspects Letter (SAL)<sup>2</sup> and its annexed Security Classification Guide (SCG)<sup>3</sup> must be part of the proposal.

The SCG will cover:

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<sup>1</sup> As defined in the Commission decision n°2001/844/EC, ECSC, Euratom of 29 November 2001 amending its internal rules of procedure (OJ, L 317, 3.12.2001).

<sup>2</sup> 'Security Aspects Letter (SAL)': "a set of special contractual conditions, issued by the contracting authority, which forms an integral part of a classified contract involving access to or generation of EU classified information, and that identifies the security requirements or those elements of the classified contract requiring security protection", as defined in section 27 of Commission Decision 2001/844/EC, ECSC, Euratom.

<sup>3</sup> 'Security Classification Guide (SCG)': "a document which describes the elements of a programme, contract or grant agreement which are classified, specifying the applicable security classification levels. The SCG may be expanded throughout the life of the programme, contract or grant agreement, and the elements of information may be re-classified or downgraded. The SCG must be part of the SAL", as defined in section 27 of Commission Decision 2001/844/EC, ECSC, Euratom.

- The level of classification of background and foreground;
- Which participant will have access to what information;

In addition, the following documents are required as part of the proposal:

- A copy of the Facility Security Clearances (FSC) (or the FSC requests). The validity of the FSC will be checked by the European Commission's Security Directorate through the appropriate formal channel with the National Security Authorities (NSAs) involved;
- Formal written authorization by the relevant security authorities to use the classified background;

The SAL and the SCG, accompanied by supporting documents, will also be examined in the scrutiny procedure described below.

### 3. Scrutiny of potential classified RTD Actions

The outcome of the evaluation of proposals will be one (or more) ranked list(s). The Commission informs the relevant Programme Committee of the outcome of the evaluation. A "short-list" containing proposals to be negotiated to cover the available budget plus a "reserve-list" is established by the Commission.

Any proposal on such short-list(s) for this call, will undergo a scrutiny procedure. This will be performed by an ad-hoc committee, the "**Security Scrutiny Committee**", of representatives of the competent national security authorities, supported if appropriate by representatives of the FP7 Security theme programme committee, in a configuration representing the countries of the proposal participants. This committee is chaired by a representative of the Commission.

This Committee will verify if all security aspects are properly taken into account by the applicants. Proposals will be scrutinized by Committee members from the same countries as the proposal participants.

This process should reach a common position between the concerned national representatives resulting in one of the following recommendations:

- Classification is not required: negotiation of the RTD action can start (though some recommendations for negotiations may be issued, if relevant).
- Classification is required: specific recommendations for the negotiation are given and the negotiation will be subject to certain conditions to be met in the Grant Agreement. The RTD action will become a **Classified RTD Action**<sup>1</sup> and will be EU-classified at the level of the highest classification of the information used/produced by the RTD action as indicated in the SAL and its annexed SCG.
- The proposal is too sensitive to be financed because the participants do not have the appropriate experience, skills or permissions to handle properly the classified information. In that case, the proposal may be rejected. If so, the Commission will explain the reasons for rejection.

Based on this common position, the Commission will determine the level of classification. As a result of such a decision, the Commission, together with all the relevant National Security Authorities (NSAs), will then verify, during negotiation and implementation of grants, that all the

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<sup>1</sup> Treatment of confidential data is governed by all the relevant community legislation, including the Institutions' internal rules such as the Commission decision n°2001/844/EC, ECSC, Euratom of 29 November 2001 amending its internal rules of procedure (OJ, L 317, 3.12.2001).

necessary procedures and actions are put in place in order to guarantee that classified information is dealt with in the appropriate way.

#### **4. Export & Transfer Licences**

In addition, a proposal may also be considered as sensitive, independently of any security classification, if it is planned to exchange material subject to transfer or export licensing. If export licences (or intra EU licences) are required for carrying out the planned work, applicants must clarify the requirement to have such export or transfer licences and must provide a copy of export or transfer licences (or of the requests);

#### **5. International cooperation**

Security concerns can not be invoked as a reason for the rejection of proposals for non-classified RTD actions that involve the participation of entities from a third country<sup>1</sup>. The only exceptions to this will occur if:

- The topic was described in the work programme as not open to international cooperation: in that case any proposal containing international cooperation will be declared as ineligible;
- The "security considerations" flag has been raised, in which case the proposal will be scrutinised according to the procedure described above.

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<sup>1</sup> "Third country" means any country that is neither an EU Member State nor a country associated to FP7.

## Annex 6

### *Ethical guidelines for undertaking Security research in FP7*

#### 1. Introduction

All research activities in FP7 should respect fundamental ethics principles and human rights, including those reflected in the Charter of Fundamental Rights of the European Union<sup>1</sup>. 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.

Ethics is central to scientific integrity, honesty and clarity. It is considered essential by the European Commission and the REA in the research activities that they fund or carry out. This means that in any proposal submitted to the 7th Framework programme, ethics issues must be identified and addressed. For this reason, the REA and/or the European Commission may carry out an ethics review when appropriate.

Considering ethics issues from the concept stage of a proposal enhances the quality of research. Applicants must take time to consider the risk/benefit balance of each work package, consider the impact of the research, not only in terms of scientific advancement, but also in terms of the protection of human dignity and the protection of fundamental rights. They must also consider elements such as the ethical and social impact of the research and whether there is proportionality between the objectives and the means.

The principles are described below, and more detail can be found at [http://cordis.europa.eu/fp7/ethics\\_en.html](http://cordis.europa.eu/fp7/ethics_en.html).

All proposals must provide information on ethics and privacy and include an **Ethics Issues Table** in Part B, even if the proposers believe that there are no ethics and/or privacy issues, or that they have been properly addressed in proposal.

Before completing the Ethics Section, the applicant should be aware of the legal requirements related to ethics (such as data protection, hESCs, animal protection, etc) that have to be met in the country where the research will take place.

For further information: <ftp://ftp.cordis.europa.eu/pub/fp7/docs/research.animals.doc>

#### 2. Ethical issues covered

Any ethics issues that may arise must be described in the proposal. In particular, the proposers should explain the benefit and burden of the experiments and the effects these may have on the research subject.

All countries where research will be undertaken should be identified.

The participants should be aware of the legal framework that is applicable and the possible specific conditions that are relevant in each country (EU and non-EU countries alike).

The following special issues should be taken into account.

##### 2.1 Privacy and Data Protection issues

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<sup>1</sup> Charter of Fundamental Rights of the European Union, 2000/C 364/01. See also [http://www.europarl.europa.eu/charter/default\\_en.htm](http://www.europarl.europa.eu/charter/default_en.htm)

In Security research there are two aspects that should be considered when assessing the privacy and data protection: 1) the protection of privacy and of personal data of the subjects involved in the research and 2) the privacy impact of a technology under development and its subsequent use.

### 2.1.1 Legal aspects

The right to privacy is well regulated in national and international law. In many European countries it is a fundamental right protected by the respective constitutions.

The Lisbon Treaty contains a reference to fundamental rights in Article 6 of the Treaty of the European Union.

At the international level there are a number of rules that acknowledge the right to privacy as being fundamental (the Convention for the Protection of Human Rights and Fundamental Freedoms (ECHR) and the Convention for the Protection of Individuals with regard to Automatic Processing of Personal Data).

With regard to data protection management a number of methods, organisational structures and management systems are established. A number of certificates are already available to certify compliance with good practice information security management models and privacy or data protection legislation. While some information security certificates are standardised at an international level, (ISO standards and CC), privacy seals and data protection audit schemes can be applied on a national or even regional level only. However, despite the various differences across the EU, the application of Directive 95/46/EC (Data Protection Directive) guarantees a uniform approach towards these issues. For a detailed picture of the relevant legal framework, see: [http://ec.europa.eu/justice\\_home/fsj/privacy/law/index\\_en.htm](http://ec.europa.eu/justice_home/fsj/privacy/law/index_en.htm).

### 2.1.2 Data affected by privacy issues

The following data are covered by the privacy issues:

- Health related records (e.g. patient records, hospital information records, biological traits and genetic material);
- Genetic information
- Criminal records or legal justice investigations and proceedings;
- State related records, e.g. tax filings;
- Circulation/travel records such as visas;
- Residence or various geographic recordings, e.g. GPS localization recordings
- Bank records, financial transactions records;
- Ethnic, religious, dietary or sexual life style identification records;
- Individual (or collective) day-to-day behaviour studies;
- Data privacy/sharing data while protecting identifiable information
- Visual data

### ***The protection of privacy and of personal data of the subjects involved in the research***

#### **a) Subjects involved**

When subjects are involved in research, the following should be respected:

1. Avoid the unnecessary collection and use of personal data.
2. Identify the source of the data, describing whether it is collected as part of the research or previously collected data.
3. Describe how personal identification of the data is protected. Data protection issues require authorization from the national data protection authorities.

4. Consider issues of informed consent for any data being used and describe the procedures to ensure the informed consent confidentiality. Informed consent should have clearly limited duration, and the purpose to which data will be collected clearly specified
5. Encode, or make anonymous, banked biomaterial, ensure security for storage and handling and make sure it is lawfully processed
6. Check for accuracy, and security. Check for data transferred abroad unprotected.

For further information: <ftp://ftp.cordis.europa.eu/pub/fp7/docs/privacy.doc>

#### **b) Processing data**

When processing data the following aspects should be considered:

1. Data storage
2. Data structure & circulation trends
3. Risk management & legal compliance

#### **Data storage**

Data storage must be secured so as for the data not to become accessible to unwanted third parties and to be protected against disaster and risk.

#### **Data structure & circulation trends**

Data is supposed to be circulated between and modified by different users within a multi-actor research project, which raises issues of potential malevolent usage.

The potential misuse of data can be prevented by:

- Rendering data access difficult to, or unusable by, unwanted (malevolent) third parties;
- Becoming aware of all data circulation trends (cross border circulation, circulation within the project);
- Providing a data-protected/secure legal and technical environment in compliance with the [ISO/IEC 27001:2005](http://www.iso.org/iso/catalogue_detail?csnumber=42103) standards<sup>1</sup>.

#### **Risk management & legal compliance**

Actions should be taken within the project to ensure that those handling subjects identifiable or sensitive information are made fully aware of their responsibilities and obligations to respect.

The vast majority of the EU members and associated countries have implemented regulations concerning data protection issues.

The full text of these rules can be found in the following web-address:

[http://ec.europa.eu/justice\\_home/fsj/privacy/](http://ec.europa.eu/justice_home/fsj/privacy/) and  
<http://www.privacyconference2009.org/privacyconf2009/home/index-iden-idimp.html>

For detailed information: <ftp://ftp.cordis.europa.eu/pub/fp7/docs/privacy.doc>

#### **The privacy impact of a technology under development and its subsequent use**

Privacy compliance is not only a matter of the technical design of the future technology. The legal basis regulating and permitting technology use as well as the specific use of the technology by the end user (e.g. law enforcement authorities) also impact the privacy relevance of putting security technologies to use.

For consortia intending to develop a new security technology this means they not only have to focus on the technical features of their subject of research. It is also essential to design the technology in a way that allows subsequent use to be legally compliant with the applicable national/European/international legislation.

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<sup>1</sup> [http://www.iso.org/iso/catalogue\\_detail?csnumber=42103](http://www.iso.org/iso/catalogue_detail?csnumber=42103)

The proposers should present how and whether the general concept of the new technology as well as specific features might infringe the privacy principles.

The proposal must indicate what kind of data is going to be collected and processed with the new security technology. If the technology allows for the collection and processing of intimate data, the proposal should discuss which safeguards are implemented to assure that this kind of data is not collected and processed.

The proposal needs to address the social impact and aspects of the research applying for funding. Since there are security solutions for the investigational powers of many law enforcement authorities the proposal will have to indicate not only how it differs from existing security technologies, but it must also discuss how the security technology aims to foster security and how the expected security gain relates to the identified privacy risk.

### ***Informed Consent***

Detailed information is necessary regarding the selection of the participants in the studies and validation and how will informed consent be collected from such participants.

#### **a) When is informed consent needed?**

The informed consent is needed when the research involves the following:

- Healthy volunteers
- Patients
- Children
- Vulnerable populations
- Human genetic material
- Human biological samples
- Human data collection.

#### **b) How to prepare inform consent?**

When describing issues relating to informed consent, it will be necessary to illustrate an appropriate level of ethical sensitivity and consider issues of insurance, incidental findings and the consequences of leaving the study.

The potential participant must be given sufficient information in order to be able to make a choice of whether or not to participate that is based on an understanding of the risks and alternatives in an environment, which is free from any coercion. This information must be written in a way that will be understandable to the people who are to be approached as participants; their decision should be based on free will. The decision of the potential participant on the consent issue must be evidenced. The participant needs to agree that her/his data will be used for a specific research scope and is aware of the meaning of such use;

***The most convenient way to show this is to produce a draft information sheet and attach the informed consent protocol to the application.***

If applicants wish to include either children or adults who are judged not to have legal competence to consent for themselves in order to participate in research projects, they must prove (1) that the inclusion of such participants is necessary, and (2) that the people who are legally responsible for them have sufficient information that allows them to make the informed consent choice on their behalf and in their best interests.

#### **c) How to deal with informed consent in practice?**

When dealing with informed consent, the applicants should ensure that:

- it is understood.
- it excludes vulnerable people, prisoners, mentally impaired people, severely-injured patients, very young children, but avoid lost opportunities for these people.

- address the fact that people rarely recall what they have agreed to when signing an informed consent form.

For further information: [ftp://ftp.cordis.europa.eu/pub/fp7/docs/informed-consent\\_en.pdf](ftp://ftp.cordis.europa.eu/pub/fp7/docs/informed-consent_en.pdf)

## 2.2 Dual Use

Dual use is a term often used to refer to technology which can be employed for both peaceful and military aims, usually in regard to the proliferation of nuclear weapons.

### *How to deal with potential ethical issues in dual use?*

Regarding implications for the use of and misuse of the research and products, the following measures and strategies should be applied:

- The consortium should show awareness of potential ethical risks to participants and society as a whole from inappropriate dissemination of their results
- Appropriate measures to deal with dangerous or restricted materials should be detailed, where applicable (and will be dealt with also in the security scrutiny, where appropriate classification will be proposed)
- An appropriate strategy to deal with issues of informed consent and risk management for participants and for society where classified information, materials or techniques are concerned should be demonstrated
- The applicants have to consider the legal obligations of private data controllers using the product. Applicants therefore need to anticipate if the data they plan to collect could be used in a different context than the one contained in the original protocol thus approaching such data as extremely sensitive. Any use of security technology involving the collection or processing of personal data falls under the Data Protection Directive or its national implementation legislation.

Please check the [Council Regulation \(EC\) No. 428/2009 of 5 May 2009](#)

A review of current legislation on dual use can be found at: <https://www.grip-publications.eu/bdq/g1038.html>

## 2.3 Other Ethical Issues

Consideration should be made to ethical issues related to:

- Research Involving Developing Countries  
[ftp://ftp.cordis.europa.eu/pub/fp7/docs/developing-countries\\_en.pdf](ftp://ftp.cordis.europa.eu/pub/fp7/docs/developing-countries_en.pdf)
- Human Embryonic Stem Cells  
<ftp://ftp.cordis.europa.eu/pub/fp7/docs/human.embryos.doc>
- Research on Animals

### 3. Procedure for Ethics Review

The Ethics Review Procedure follows the evaluation of the scientific content and aims at safeguarding that all proposals in the main and reserve lists on the basis of their scientific merit and raise ethical issues comply with the FP7 ethical standards. It includes two steps:

#### ***Ethics screening***

It aims at:

- a) identifying proposals that fall under EU and Euratom law (data protection, clinical trials, animal welfare etc.) and require an approval and/or a positive opinion at the national level.
- b) identifying proposals that in addition to national approvals, require an Ethics Review by the Commission due to the nature of ethical issues raised.

Proposals that belong to category b) are sent to the Ethics Review Sector of DG Research and Innovation for Ethics Review. The Commission/REA may also decide to submit proposals that fall under category a) that raise new or challenging ethical questions to an Ethics Review.

#### ***Ethics review***

Taking into account the Ethics Screening Report, the Commission/REA submit proposals to an Ethics Review Panel. In addition to the four mandatory categories (human embryos, human embryonic stem cells, non-human primates and intervention on humans), particular attention is paid to research involving children, research undertaken in developing countries, and security-related research.

A report outlining the views of the reviewers is communicated to the applicant(s).

**Proposals can be rejected for funding on ethical grounds.**