

Pilot Joint Calls of S&T Programme Owners from EU Member States, countries associated to the 7th EU RTD Framework Programme and Russia

Innovation Projects

Terms of Reference



Supported by:

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1. Background Information

Building on mutual interest of Programme Owners in the Russian Federation, EU Member States (EU MS) and countries associated to the EU RTD Framework Programme (AC) to implement coordinated joint pilot activities towards a multilateral funding scheme including **Collaborative S&T Projects and Innovation Projects**, two “**Groups of Funding Parties**” have been established.

These Groups of Funding Parties will be supported in this process by the consortium of the ERA-Net RUS Project, which is funded by the European Commission through a Coordination and Support Activity under the 7th EU RTD Framework Programme. The ERA.Net RUS consortium comprises 18 prominent partners, 14 from EU MS/AC and 4 from Russia. The consortium will facilitate the preparation process of joint funding activities and assist the operational management of their implementation.

As concerns **Innovation Projects**, the relevant Group of Funding Parties (“**GFP/IP**”) will launch a **Pilot Joint Call for Innovation Projects (“PJC/IP”)** on **15 February 2011** to be closed on **15th April 2011**. With this Call, interested project consortia including partners from the respective countries will be invited to submit **Proposals** for collaborative innovation projects.

The Members of the GFP/IP are responsible for defining the principles of the Call as well as for the steering, decision making and monitoring of its implementation. They will provide respective funds and administrative services for supporting national beneficiaries in innovation projects to be jointly selected. Details of the implementation of the Call have been agreed upon by all members of the GFP/IP in an Implementation Agreement with these Terms of Reference being an integral part thereof.

The following Programme Owners have signed the **Implementation Agreement for the Innovation Projects (“IA/IP”)**, thus confirming their participation in the GFP/IP and their readiness to pledge financial contributions for funding the projects selected through the PJC/IP:

- Federal Ministry of Education and Research (BMBF), Germany
- Foundation for Assistance to Small Innovative Enterprises, (FASIE), Russia
- Office of the Chief Scientist in the Ministry for Industry, Trade and Labour, (MOITAL), Israel
- General Secretariat for Research and Technology (GSRT), Greece
- Scientific and Technological Research Council of Turkey (TÜBİTAK), Turkey
- University of Geneva (Swiss Leading House for Swiss-Russian S&T Cooperation) acting on behalf of the Swiss State Secretariat for Education and Research, Switzerland

Members of the GFP/IP will be assisted by a **Joint Call Secretariat (JCS)** located at one of the consortium partners. The Mandate of the Joint Call Secretariat is defined by the Funding Parties through the Implementation Agreement for the Innovation projects and its annex “Terms of Reference for the Joint Call Secretariat”.

The PJC/IP will be implemented through a **coordinated funding scheme** whereby each funding party will fund its own teams within a multilateral project (“**Virtual Common Pot**”), with a

view to harmonize the funding contributions in order to guarantee the funding of as many as possible of the projects selected through a peer review process. **The indicative total financial contribution** of the GFP/IP to the PJC/IP will be of **€ 2.980.000**.

The financial contributions of each Member of the GFP/IP will be topped-up by a share of INTAS' funds on a pro-rata basis. Each Programme Owner will receive a share corresponding to the ratio between its financial contributions to the PJC/IP (as determined by the final result of the call) and the total financial contributions of all Programme Owners (as determined by the final result of the call).

2. Innovation Projects

Scope of the instrument

By Innovation Projects are meant joint R&D projects designed to lead to innovative products, services or processes of significant economic and/or societal value.

Compared to the rather advanced cooperation between the EU MS/AC and Russia in the field of basic research, the cooperation in the field of innovation still bears a lot of potential to be exploited.

Against this background this joint activity shall address applied research and technology development implemented by *small sized innovative enterprises* in Russia in partnership with universities or non-university public or private institutions/companies from EU-MS/AC.

The goal of the PJC/IP is to create long-term research collaboration in the field of innovation between EU MS/AC and Russia. Innovative research collaboration of a high standard between teams from EU Member States and/or Associated Countries and Russia will be supported through open competition.

Thematic Focus

EU-Russia collaborative innovation projects can be funded in the research areas, which are thematically assigned to innovative technologies of high utilization potential and of particular importance for the EU MS/AC as well as for Russia.

Eligible Applicants and Consortia

Applicants must be eligible for funding by their respective national Funding Party. They can be higher education and research institutions or companies engaged in innovation.

Eligible consortia must comprise a minimum of at least three partners from three different countries, of which at least one small Russian innovative company and at least one company from the EU MS/AC. At least two partners must necessarily come from the countries represented by the Funding Parties of the Call. Once the minimum requirements are met, partners from countries not participating in the call can join on their own funds.

Duration

The duration of a project must be **up to 24 months**.

Funding

Funding will depend on each respective funding party. Related information can be found in the following table.

Name of Funding Party	Overall contribution
Federal Ministry of Education and Research (BMBF), Germany	500.000 €
Foundation for Assistance to Small Innovative Enterprises, (FASIE), Russia	1.500.000 €
Office of the Chief Scientist in the Ministry for Industry, Trade and Labour, (MOITAL), Israel	350.000 €
General Secretariat for Research and Technology (GSRT), Greece	300.000 €
Scientific and Technological Research Council of Turkey (TÜBİTAK), Turkey	100.000 €
University of Geneva (Swiss Leading House for Swiss-Russian S&T Cooperation) acting on behalf of the Swiss State Secretariat for Education and Research, Switzerland	230.000 €*

The funding of an **Innovation Project** will depend on the nature and duration of the proposed activities and must be justified in terms of the resources needed to achieve the objectives of the project. The funding requested should therefore be realistically adjusted to the actual needs of the project, taking into account any other funds available.

In case a project partner cannot receive its funding from its national funding organisation in a selected project, this specific project will not be retained for funding unless the project partner agrees to fund its total share on its own budget.

3. Eligibility of Proposals

Proposals must:

- Be in the scope of the call as described in Section 2
- Meet the consortium composition requirements as specified in Section 2
- Be submitted by project partners which are eligible to receive funding from their national members of the Group of Funding Parties
- Comply with the allowed duration as specified
- Comply with the funding requirements as specified in Section 2
- Comply with the terms of the submission procedure as specified in Section 5
- Be complete according to the rules described in these Terms of Reference
- Be submitted in the English language

* All grants for 2012 are subject to the budgetary approval by the Swiss Parliament in 2011.

- Meet the submission deadline as specified in Section 1.

The Joint Call Secretariat checks that Proposals meet the eligibility criteria as set out above.

Only Proposals meeting all above eligibility criteria will be processed by the Joint Call Secretariat

Once a Proposal meets the eligibility criteria, the Joint Call Secretariat will ask the GFP/IP to check and confirm the eligibility of applicants participating in a project consortium according to their national regulation.

With this respect, national regulation of the Funding Parties will be available in **Annex a**.

Project proposal applicants are strongly advised to contact their National Contact Point (NCPs) in due time before submission, to check their national eligibility. The list of NCPs is provided at <http://www.eranet-rus.eu/en/177.php> and in the Guide for Applicants.

Non eligible Proposals will be rejected.

4. Allowable Project Costs

Allowable project costs are grouped in categories as described below. They might differ for individual partners in a given project consortium depending on national regulation of their respective Funding Party.

With this respect, national regulation of the Funding Parties will be available in **Annex a**.

Allowable costs

- Labour costs (as defined by the partner institution) of the research staff and other personnel;
- services of third parties in the field of R&D (subcontracts);
- services of third parties in the field of market assessment; legal advice and IPR support;
- project-related consumables and small-scale research equipment;
- overhead costs
- other relevant costs.

Nature of costs

If not specified differently by individual Funding Parties in **Annex a** the following nature of cost is agreed upon:

Labour Costs

Participating institutions may claim for labour costs according to the regulation as defined by the responsible national Programme Owner.

Operational Costs

Travel and Subsistence

- National and international travel at the most economic fare available.
- Visa and social security or other insurance costs relating to the travel period.
- Accommodation and other subsistence costs according to the internal rules of the participating institution, respecting regulation as defined by the responsible national Programme Owner.

Equipment

- Any participating institution may purchase equipment respecting national regulation pertaining government procurement.
- All equipment financed by the grant must be purchased or manufactured after the commencement date of the project contract
- Costs for infrastructure, operation, transportation, etc. required for the project.

Consumables

- Costs of materials or goods, including those required for repair or maintenance of equipment.

Other costs

- Costs for publication, dissemination and patenting, administrative costs, etc. which cannot be classified under the previous cost items but are required for the project implementation.
- Management, organisational and subcontracting costs required to run the project.

5. Submission of Proposals

Proposals will be submitted, evaluated and decided upon by the Group of Founding Parties according to the procedures described in sections 5-7 of these Terms of Reference.

Only submissions through the on-line submission system “PT-Outline” will be accepted. Proposals sent by post, e-mail, telex or facsimile will be rejected without notice.

5.1. How to use the On-line Submission System

5.1.1 Registration in the On-line Submission System

In order to submit a proposal the Project Coordinator should access the on-line submission system through PT-Outline [<http://www.pt-it.de/ptoutline/application/inno>].

When accessing the submission system for the first time the Project Coordinator will be asked to enter her/his e-mail address. In return s/he will receive by e-mail a **user ID** and a **password**. Her/his account will be activated after receiving the password.

5.1.2 Access to the Submission System

By using the **password** all partners in the consortium are able to execute their own part of the project proposal submission and to replace the proposal partly or fully with an updated version.

!!! Submission just before the deadline should be avoided. High Internet traffic during the last days before the submission deadline of the Call may make the access difficult.

5.1.3 Acknowledgement of receipt and registration number

After final submission of the Proposal, the Project Coordinator will automatically receive by e-mail an acknowledgement of receipt with the Proposal's registration number.

5.1.4 Deadline

All Proposals must be finally submitted by the Project Coordinators before the deadline as specified in Section 1.

Access to the On-line Submission System will be closed after the deadline.

All members of the GFP/IP will be provided access to the on-line submission system.

5.2. *Structure of the Proposal*

SECTION A. GENERAL INFORMATION

A1. Proposal Details

- Title. Give the title of your project (less than 200 characters).
- Keywords: Identify the keywords selected from the keyword list (see Annex: List of Keywords).
- Free words: Supply additional free words to further specify your scientific subject.
- Intended starting date: not earlier than 1 September 2011.
- Duration: up to 24 months.
- Total cost: estimated overall budget of the project (max as described in General Information).
- Participation of any research team of this Proposal in any other Proposal in this Call.

A2. Summary (max. 1 page)

Summarise the objectives, give a short description of the research activities and of the expected innovative potential of the project.

A3. Background and R&D Objectives (max. 3 pages)

Give a detailed justification of the objectives of the project against the state-of-the art in the technological area of the project:

- Describe as precisely as possible the objectives of the project. Whenever possible, quantify the objectives in terms of measurable outcomes.
- Give the scientific and technological basis for your project and describe the present state-of-the-art concerning the specific R&D topics of your project. Identify important gaps to be filled in the current knowledge/know-how.
- Explain the relevance and importance of the R&D programme proposed, in terms of concrete innovative applications and in terms of their economic and societal impact.
- Has a novelty search already been performed or is this search planned? If relevant, specify

- Explain the gain in competitiveness and the added value resulting from the cooperation between the partners of the consortium.
- If relevant, highlight the multidisciplinary character of the project, whereby the activities in the project will tend to draw on a range of scientific disciplines and explain how this interdisciplinarity is going to be exploited.
- If the proposal is part of a larger national or international project, explain its precise role and how it fits into this wider context.

A4. Project Description (max. 10 pages)

Give an overall description of the project and justify the methodology chosen to reach the objectives.

- Give an overall description and the general approach and methodology chosen to achieve the objectives. Highlight the particular advantages of the methodology chosen; quantify the expected project results.
- Explain where there is a potential for synergy effects between different tasks of the project and how this is going to be exploited.
- Explain which part of the R&D activities will be subcontracted to R&D institutions or companies (if relevant).
- Give references of relevant scientific publications.

SECTION B. TEAM INFORMATION (max. 1p. per partner)

- Identify the participating teams and the institutions to which they belong
- Identify the Project Coordinator and the team leaders.

For each team, the following information should be given:

- Team Details:
 - Give the total number of team members. The size of each team should be limited to those people actually needed for performing the tasks.
 - Describe the background and particular expertise of the team against the tasks to be performed. Describe how the teams complement each other in the performance of the project.
 - If relevant, a maximum of five references of relevant, recent scientific publications, patents which best show the capability of the research team to perform the work proposed. Indicate for each the name of the authors, the title of the article, the journal or other publication, the date and place of issue. If a publication exists on a website, give its address.
 - Describe the relevant instrumentation and infrastructure available in view of the tasks assigned to the team.
- Contact details of the Project Coordinator and each team leader.

SECTION C. PROJECT MANAGEMENT (max. 2p.)

- Describe how the overall coordination, monitoring of the project will be implemented. Provide if possible a project organisation chart. Indicate the decision schemes foreseen in the project (decision boards, coordination meetings).
- If appropriate set up a detailed diagram giving the time schedule of the tasks and mark their interrelations; add milestones where important goals will be reached and/or decisions on further approach will have to be made; indicate a critical path marking those events which directly influence the overall time schedule in case of delays.
- Explain how information flow and communication will be enhanced within the project (e.g. collaboration and task meetings, exchange of scientists).
- Risk management: Indicate where there are risks of not achieving the objectives and fall-back positions, if applicable.

SECTION D. BREAKDOWN OF COSTS

- For each team, give the cost breakdown and a brief justification for all allowable costs.

SECTION E EXPLOITATION OF RESULTS FOR INNOVATION PROJECTS (max. 1p)

- Give the expected results of your project, which have potential applications for further advances in technological products, systems or methods.
- Give an opinion whether some of the project results are patentable;
- Sketch out a result exploitation plan which explains;
 - i. How the deliverables of the project (computer codes, technologies, prototypes or pilot plants, etc.) will be exploited through a technology implementation plan;
 - ii. How intellectual property, including foreground knowledge, patents, copyrights, license agreements and any other arrangements will be managed.

6. Evaluation and Selection of Proposals for further processing

Proposals for Innovation Projects will be evaluated as described below.

6.1. *Fundamental principles*

The fundamental principles governing the evaluation of project proposals are:

- **Transparency.** The process for reaching funding decisions will be clearly described and available to any interested party.
- **Equality of treatment.** All proposals shall be treated alike, irrespective of where they originate or the identity of the proposers.
- **Ethical considerations.** Any proposal that contravenes fundamental ethical principles may be excluded from being evaluated and selected at any time.

6.2. Peer-Review Procedure

The selection of the proposals for funding is based on an *international, independent peer-review procedure*.

First, a dedicated *pool of evaluators* appointed by the GFP/IP, consisting of external independent experts, assesses anonymously the merits of the submitted proposals.

Second, a *Scientific and Innovation Council* will be appointed by the GFP/IP, consisting of high level scientific experts. Each Funding Party is invited to nominate two experts in different thematic fields addressed by the Call. The JCS will select one expert per Funding Party ensuring the balance between different thematic fields and gender balance. The proposal by the JCS will be consolidated by the Group of Funding Parties.

The Scientific and Innovation Council will consolidate the results of the evaluation and make recommendations to the GFP/IP in terms of a short list of Proposals proposed for funding. The Scientific and Innovation Council will in particular consider proposals that have received an abnormally broad span of scores from the evaluators. The Scientific and Innovation Council will also prioritize between proposals having received the same score, giving priority to the scientific merit.

The final funding decision rests with the Group of Funding Parties.

6.2.1. Appointment of Evaluators

The evaluators of the pool of evaluators are selected on the basis of their competence, irrespective of their nationality, age and affiliation.

In general, evaluators need to have skills and knowledge appropriate to the relevant scientific and technological fields in which they are asked to assist. All evaluators must also have a proven experience in one or more of the following areas or activities:

- management or evaluation of Innovation Projects;
- international cooperation in science and technology; development of human resources;
- use of the results of research and technological development projects;
- technology transfer and innovation.

Evaluators must also have the appropriate language skills required for the proposals to be evaluated.

For each Proposal, three independent evaluators, of which at least one from Russia and one from an EU-MS/AC are selected by the Joint Call Secretariat from the pool of evaluators (Eval-Inco), with a view to achieve maximum competence for the evaluation.

Funding Parties are encouraged to review the national experts chosen from the Eval-Inco database and to invite additional evaluators to register in the database. Keywords and free words specified in the proposal help selecting the most suitable evaluators in the field of the Proposal.

6.2.2. Conflict of Interest and Confidentiality

The GFP/IP relies on the integrity of evaluators to base their opinion with strict impartiality exclusively on the basis of the information given in the proposal and against the established evaluation criteria.

When choosing an evaluator, the Joint Call Secretariat takes all reasonable steps to ensure that s/he is not faced with a conflict of interest in relation to the proposals, which s/he is requested to assess. The evaluators commit themselves to inform the Joint Call Secretariat whenever a conflict of interest arises in the course of their duties. When so informed, the Joint Call Secretariat takes all necessary actions to remove the conflict of interest.

The evaluators are committed to maintain the confidentiality of the information contained within the proposals they evaluate and of the evaluation process and its outcome.

The Joint Call Secretariat is committed to maintain the anonymousness of the evaluators.

6.3 Evaluation and Selection Procedure

6.3.1. Eligibility Check

The Joint Call Secretariat checks that Proposals meet the eligibility criteria as set out in section 3. All Proposals that meet the eligibility criteria undergo the evaluation and selection procedure as described below.

Once a Proposal meets basic eligibility criteria, the Joint Call Secretariat will ask the GFP/IP to check and confirm the eligibility at the level of partner institutions participating in a project consortium according to their national regulation.

Proposals that meet all eligibility criteria undergo the evaluation and selection procedure as described below.

6.3.2. Evaluation Procedure

The evaluation is performed on-line, using the on-line submission and evaluation system **PT-Outline**. Each evaluator receives access to the proposal and submits on-line the results of her/his evaluation. The access to Proposals is protected by user names and passwords.

The evaluators are not informed on the other experts evaluating the same proposal. Each evaluator therefore assesses each Proposal independently without exchanging views with the other evaluators.

The evaluation procedure consists of a number of steps as indicated below.

- **Step 1: Individual evaluation of Proposals**

Each evaluator fills in an individual evaluation form whereby s/he gives a score to each evaluation item, resulting in an overall score for the Proposal.

- **Step 2: Ranking List**

From the total scores x_i given by each evaluator the **average score** $\langle x_i \rangle$ of each Proposal is calculated and retained to prepare a **preliminary ranking list**.

- **Step 3: Scientific and Innovation Council**

The preliminary ranking list prepared by the Joint Call Secretariat is reviewed by the Scientific and Innovation Council. **Guidelines for the Scientific and Innovation Council will be provided.**

Based on this preliminary ranking list, the Scientific and Innovation Council prepares a final list of all Proposals recommended for funding together with their tentative budgets. The Scientific and Innovation Council reports to the GFP/IP which makes the decision on the final list of projects to be funded and on a reserve list of projects eligible for funding. Given specific regulation,

some Funding Parties will confirm their commitment only after approval of the minutes of the GFP/IP meeting by their decision making bodies.

The final outcome of the evaluation, including the overall score and key remarks made by the evaluators and the Scientific and Innovation Council will be made available to the coordinators of the Proposals after the evaluation and selection procedure has been completed.

6.4. Evaluation Criteria

The evaluators are requested to assess Proposals against a set of criteria, each of which may be awarded a maximum of 5 points per criterion according to the following scale:

5: EXCELLENT The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor.
4: GOOD The proposal addresses the criterion well, although certain improvements are possible.
3: FAIR While the proposal broadly addresses the criterion, there are significant weaknesses that would need correcting.
2: POOR There are serious inherent weaknesses in relation to the criterion in question.
1: VERY POOR The criterion is addressed in a cursory and unsatisfactory manner.
0: NOT RELEVANT The proposal fails to address the criterion under examination or cannot be judged due to missing or incomplete information.

6.4.1 Rating criteria

The set of criteria for innovative projects includes the scientific and technological merit of the project, the potential economic and societal impact of the results, the quality of the consortium, the quality of the project management and the quality of the presentation of the proposal.

The following criteria are to be applied:

(I) Scientific and Technological Merit of the project (35%), including:

How clearly are the scientific and technological objectives described?

How well described is the relevance and importance of the proposed R&D from a scientific, economic and/or societal point of view?

How novel and promising is the proposed research?

How can the research objectives be realistically achieved in the time frame proposed against the current state-of-the-art?

How clearly explained is the research programme? Is it well focussed on the research objectives?

How appropriate are the applied methodologies to reach the research objectives?

(II) Economic and Societal Impact of the Results (35%), including:

Will the project result in applications for developing new, or improving existing technological products, systems, methods or innovative services of high economical and/or societal significance?

Does the Proposal adequately plan to exploit the innovation potential through a technology implementation plan including demonstration, prototype or pilot plants, etc; to manage intellectual property, including patenting, copyrights, license agreements, etc?

Are possible users of the innovations already identified and appropriate to implement its economic and/or societal impact?

(III) Quality of the consortium (15%), including:

Does the qualification of the teams meet the requirements of the tasks?

Do all the teams make a significant contribution to the project?

Is the size of the teams justified by the tasks they assume?

Does the consortium provide the technical resources including research infrastructures needed for carrying out the tasks?

Does the cooperation between the teams bring a significant added value and potential gain of competitiveness?

(IV) Quality of the project management (10%), including:

Is the Project Coordinator qualified to manage efficiently the resources and competences brought in the consortium in view of achieving the objectives of the project?

How appropriate is the requested funding and its proposed allocation to each team?

Are the divisions of tasks and resources appropriate for reaching the objectives?

How appropriate and realistic is the proposed workflow and time schedule? Does the proposal foresee adequate monitoring & control mechanisms and fall-back options?

Is the use of information and communication tools adequately foreseen (e.g. meetings, data exchange, and joint working periods)?

Is the decision making scheme appropriate to fulfil the needs of international collaboration?

(V) Quality of the presentation of the Proposal (5%)

7. Decision Making by the Group of Funding Parties

The members of the GFP/IP will take the final decision on the Proposals on a consensus basis,

building on the recommendations of the Scientific and Innovation Council. A concluding meeting of the GFP/IP will be convened and supported by the JCS.

In preparation of the concluding meeting of the GFP/IP, the ranking list prepared by the Scientific and Innovation Council will be presented to the Funding Parties, which will check the eligibility of requested funds and return an estimated national budget for each project based on their own national regulation.

The minutes of the meeting will be prepared by the JCS and finally adopted by the GFP/IP. When adopted, the minutes are binding for the members of the GFP/IP.

The JCS will inform the applicants about the results of the evaluation process and successful applicants about the next steps.

8. Project Contracts and Project Monitoring

Following the final decision taken by the GFP/IP, the JCS and the GFP will present all necessary documents to the Funding Parties in order to start in parallel contract negotiations with national members of those consortia whose Proposal has been selected for funding. If needed, additional information based on national regulation will be requested.

For each Innovation Project approved for funding, two contracts will be executed in parallel:

- an **Umbrella Project Contract** to be signed on the one hand by the Joint Call Secretariat on behalf of the GFP/IP and on the other hand by the coordinator of the project consortium.
- a **National Contract/Grant Agreement** to be signed between each participating institution in a consortium and its corresponding Funding Party in case these organisations are two separate legal entities.

Overall consistency between all contracts/agreements will be ensured by the Members of GFP/IP.

- The **Umbrella Project Contract** will regulate horizontal issues of relevance for the whole project consortium in order to ensure the quality of international cooperation. It will set forth general terms and conditions of cooperation in the project including the signing of a **Consortium Agreement** and an agreement on the fair management of Intellectual Property Rights (IPR - background and foreground). As a rule, knowledge created in a project shall be owned by the participants generating it. The Umbrella project Contract will set out the reporting duties of the Coordinating institution on behalf of the consortium as a whole.

The Umbrella Project Contract will include as annexes the Proposal, the Consortium Agreement and the Agreement on the IPR/Exploitation of the project results.

- **National Contracts/Grant Agreements** will regulate the transfer of funds to national beneficiaries based on national regulation. They will establish the legal ground for project funding at national level according to the regulation of the respective Funding Party.

The management of INTAS funds will be handled at national level through the National Project Contracts as well. In case INTAS funds cannot be handled at national level the Joint Call Secretariat will administer these funds by means of separate contracts with beneficiaries in the respec-

tive countries.

The Joint Call Secretariat will be responsible for the overall monitoring of the projects building on annual reports as well as a final report to be submitted by the project consortia according to the terms of the Umbrella Contract. Those reports will be available for information and further use by the Funding Parties. The JCS will analyse the reports and will prepare a concluding report for the GFP/IP.

The outcome will contribute to the overall evaluation of the ERA-NET RUS Pilot Joint Calls.

Annex of National Eligibility and Funding Rules

Country: Germany

Funding Institution: International Bureau (IB) of the Federal Ministry for Education and Research in Germany (BMBF)

Who can apply?

Research proposals may be submitted by German research institutions and universities and companies based in Germany with preference on small and medium-sized enterprises (SMEs). Research institutions that receive joint basic funding from the Federal Government and the Länder can only be granted project funds to cover extra expenditure in addition to their basic financing.

What types of costs are eligible for funding?

I Eligible costs as direct costs

a. Costs of personnel

Grants towards the costs of scientific staff, administrators and/or student assistants, required in connection with the proposed project can be provided.

b. Costs of durable equipment

Funding for equipment can be provided. However, this only includes equipment that does not form part of an institution's basic equipment (i.e. no PCs or equipment which is regularly used by the applicants).

c. Consumables and supplies

Any consumables necessary for the implementation of the project may be considered as direct eligible costs. Consumables are only eligible costs under the project if bought after the start date of the project. Consumables belonging to the basic facilities of an applicant are not eligible.

d. Subcontracting

The general rule should be that applicants shall implement the project and shall have the necessary resources to that end. However, it should be accepted that as an exception certain parts that are not "core" parts of the project may be subcontracted. Examples for minor services to be subcontracted are rent of locations, translation costs, costs for technical equipment in the context of the organisation of events or printing services etc.

e. Other costs:

Events

With regard to the organization of workshops in Germany, grants can be provided towards expenses such as the preparation of the workshop, personal costs, catering and rental of the venue. For food and beverage per lunch/dinner a maximum amount of 30€ per person shall be applied.

Travel

As a general rule, travel costs (economy class) to Russia, Greece, Israel and Turkey are eligible, provided the booking is implemented through the travel agency that is mandated by the International Bureau.

Subsistence allowance

The subsistence allowance per day (full day) in €including accommodation costs and meals in the context of the business trips should be applied as a lump sum given in the table below. The day of arrival and the day of departure are treated each as a half day.

Russia Moscow, St. Petersburg	Russia Other	Greece Israel Turkey
107 €	94 €	94 €

Measures for the joint marketing of SME expertise

To improve the promotion of German activities in the partner countries, grants can be provided towards the costs incurred in presenting German SMEs in connection with project-related cooperation (e.g. participation in trade fairs and conferences in the partner countries, road shows, creating a website, etc).

Costs for filing and obtaining patents

- Rules for institutions of higher education

Necessary expenses for patent applications (patent lawyers and patent office fees) that are needed to fulfil the funding objectives can be covered, provided that the expenses are incurred during the funding period and that they have not already been or are expected to be covered by other public funding providers.

- Rules for small and medium-sized companies

Necessary expenses incurred by SMEs (according to the applicable European Commission definition) for patent applications (patent lawyers and patent office fees) that are considered necessary for fulfilling the funding objectives can be covered, provided that the expenses are incurred during the funding period and that they have not already been or are expected to be covered by other public funding providers.

II Indirect Costs: Overheads

Overhead costs are eligible depending on the type of institution as well as on the respective accounting system.

Additional National Eligibility Criteria for the proposal beyond the general criteria in the ToR of the PJC (Section 4)

Grants for commercial companies are calculated on the basis of the total project-related costs eligible for funding, up to 50% (60% for SMEs) of which can, as a rule, be covered by government grants, depending on how near the project is to application. The BMBF's policy requires an appropriate own contribution towards the eligible costs incurred - as a rule at least 50% (40% for SMEs).

Grants for universities, research and science institutions and similar establishments will be calculated on the basis of the eligible project-related expenditure (grants for Helmholtz centres and the Fraunhofer Gesellschaft (FhG) will be calculated on the basis of the project-related costs eligible for funding), up to 100% of which can be covered in individual cases.

Upper funding limits for the eligible costs

Upper funding limits for the eligible costs in projects depend on whether the activities to be funded are economic or non-economic activities. In case of non-economic activities the upper funding limit should be 100% of the eligible costs.

German applicants in joint research consortia can receive up to €100,000 of funding per project.

National CONTACT Point:

International Bureau of the Federal Ministry of Education and Research at the Project Management Agency c/o German Aerospace Center (DLR)

For scientific issues
Mrs. Maria Josten
E-mail: maria.josten@dlr.de
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Template for Annex of National Eligibility and Funding Rules

Country: GREECE

Funding Institution: General Secretariat for Research & Technology (GSRT) of the Ministry of Education, Lifelong Learning and Religious Affairs.

Who can apply:

Universities, research centres, public/private SMEs and enterprises, sections of the public sector. The enterprises should have at least one (1) annual financial report and have published at least one (1) balance.

What types of costs are eligible for funding:

I Eligible costs as direct costs

- a. Costs of personnel
- b. Costs of durable equipment
- c. Consumables and supplies
- d. Fees for third parties
- e. Travel & Subsistence allowance
- f. Expenses required for the future use of the research project results

II Additional Costs: up to 5% of the total budget.

Upper funding limits for the eligible costs:

There is no upper limit per type of eligible cost. However the upper limits for the national public funding to private enterprises depend on the size of the enterprise and the type of the research performed (fundamental / basic research, industrial /applied research, experimental development), in accordance to the European State Rules.

Additional National Eligibility Criteria for the proposal beyond the general criteria in the ToR of the PJC (section 3 Eligibility of proposals)

National eligibility criteria are further specified and defined in detail in the respective “Guide for applicants” about “European S&T Cooperation – Action for funding Greek organizations participating successfully in the Joint Calls for Proposals of European ERA-NETs”

National Contact Point:

General Secretariat for Research & Technology (GSRT)
Mrs. Maria Gialouri
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Annex of National Eligibility and Funding Rules

Country: Israel

Funding Institution: Office of Chief Scientist (OCS), Ministry of Industry, Trade and Labor- <http://www.tamas.gov.il/CmsTamat/Rsrc/MadaanEnglish/MadaanEnglish.html>

Who can apply? Organizations registered in Israel. The eligible organizations include and are limited to small and medium sized enterprises, and large enterprises. Academic and research institutes are not eligible

What types of costs are eligible for funding?

I Eligible costs as direct costs

- a. Costs of personnel (up to 25,000 NIS per month)
- b. Costs of durable equipment (depreciation of 3 years)
- c. Consumables and supplies
- d. Subcontracting
- e. Other costs:

Events- Ineligible

Travel -up to 20,000 NIS per year

Subsistence allowance- Ineligible

II Indirect Costs: Overheads - 20% on the salary cost

Additional National Eligibility Criteria for the proposal beyond the general criteria in the ToR of the PJC (section 3 Eligibility of proposals)

For each collaborative project consortia with Israeli partners, there must be at least 1 Israeli enterprise partner with proven capability to exploit the project results in its business.

Upper funding limits for the eligible costs

National Contact Point:

ISERD- Israel-Europe R&D Directorate for the EU FP
Mr. Aviv Zeevi
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Annex of National Eligibility and Funding Rules

Country: RUSSIA

Funding Institution: FOUNDATION FOR ASSISTANCE TO SMALL INNOVATIVE ENTERPRISES

Who can apply? Small enterprises established in Russia as juridical entities, laws applicable 209 and 217 State Laws. Absolute requirements: personnel up to 100, turnover for previous year (balance sheet) maximum 400 million Roubles excluding VAT, foreign participation in share capital the company- up to 25%, state/public participation up to 25% (with the exceptions applicable in accordance with 217 State Law).

What types of costs are eligible for funding?

I Eligible costs as direct costs

- a. Costs of personnel **up to 30%**
- b. Costs of durable equipment **up to 30%**
- c. Consumables and supplies **up to 30%**
- d. Subcontracting **up to 30%**
- e. Other costs: **up to 10%**

Events NOT ELIGIBLE

Travel NOT ELIGIBLE

Subsistence allowance NOT ELIGIBLE

II Indirect Costs: Overheads

Additional National Eligibility Criteria for the proposal beyond the general criteria in the ToR of the PJC (section 3 Eligibility of proposals)

Upper funding limits for the eligible costs: UP TO 100.000 EUR PER PROJECT

National Contact Point:

FOUNDATION FOR ASSISTANCE TO SMALL INNOVATIVE ENTERPRISES (FASIE)
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Annex of National Eligibility and Funding Rules

Country: Switzerland

Funding Institution: State Secretariat for Education and Research (SER), represented by University of Geneva – Swiss Leading House for S&T Cooperation Program with Russia

Who can apply?

Research proposals may be submitted by Swiss citizens or permanent residents of Switzerland based in a Swiss public University/Institute of Technology/University of applied sciences or research institution.

Proposers eligible for funding in Switzerland are: Swiss federal institutes of technology, cantonal universities of higher education, federal and cantonal research institutions, Swiss universities of applied sciences, other research institutions eligible for receiving federal funding.

Research consortiums with a Swiss research institution should also include a Russian research institute that closely collaborates with the Russian SME applying for funding. 30% of the funds received by the Russian SME from FASIE should be redirected to this collaborating research institute.

Swiss SMEs are eligible to be part of a research consortium, but are not eligible for funding. Swiss SMEs are however highly encouraged to participate to Innovation projects in the framework of the present call.

What types of costs are eligible for funding?

I Eligible costs as direct costs

a. Costs of personnel

Grants towards the costs of scientific staff, and/or student assistants, required in connection with the proposed project can be provided.

b. Costs of durable equipment

Costs of durable equipment are NOT covered.

c. Consumables and supplies

Any consumables necessary for the implementation of the project may be considered as direct eligible costs. Consumables are only eligible costs under the project if bought after the start date of the project. Consumables belonging to the basic facilities of an applicant are not eligible.

d. Subcontracting

The general rule should be that applicants shall implement the project and shall have the necessary resources to that end. However, it should be accepted that as an exception certain parts that are not "core" parts of the project may be subcontracted. Examples for minor services to be subcontracted are rent of locations, translation costs, costs for technical equipment in the context of the organisation of events or printing services etc.

e. Other costs:

Travel and Events

It is agreed that the sending party pays for travel and accommodation.

Funding can be provided for the organization of workshops and for scientific visits in the partner country.

The funding rules are the following:

Living allowances for short-term visits (up to two weeks):

Faculty members: 125 € per diem

Students: 95 € per diem

Living allowances for long-term visits (more than two weeks):

Faculty members: 2480 € per month

Students: 1940 € per month

Travel costs for Swiss scientists travelling abroad (price of the plane ticket).

II Indirect Costs: Overheads

Overhead costs are NOT eligible.

Additional National Eligibility Criteria for the proposal beyond the general criteria in the ToR of the PJC (Section 4)

Grants for universities, research and science institutions will be calculated on the basis of the eligible project-related expenditure up to 100% of which can be covered.

Measures for the joint marketing of SME expertise

To improve the promotion of Swiss activities in the partner countries, it could be considered to provide limited funding to cover the costs incurred in presenting Swiss SMEs in connection with project-related cooperation (e.g. participation in trade fairs and conferences in the partner countries, road shows, creating a website, etc).

Costs for filing and obtaining patents: rules for institutions of higher education

Necessary expenses for patent applications (patent lawyers and patent office fees) that are needed to fulfill the funding objectives can be covered, provided that the expenses are incurred during the funding period and that they have not already been or are expected to be covered by other public funding providers.

Upper funding limits for the eligible costs

For Innovation projects the upper funding limit is of 100% of the eligible costs.

Swiss applicants in joint research consortia can receive up to €100,000 of funding per project.

National CONTACT Point:

University of Geneva - Swiss Leading House for Swiss-Russian scientific cooperation

SWISS National Contact Person

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Annex of National Eligibility and Funding Rules

Country: Turkey

Funding Institution: The Scientific and Technological Research Council of Turkey (TÜBİTAK)

Funding Programme: 1509-TÜBİTAK International Industrial R&D Funding Program

Who can apply?

Only capital firms from the private sector can apply.

What types of costs are eligible for funding?

I Eligible costs as direct costs

- Personnel and travel expenses
- Tools, equipment, software and technical document
- Acquisition of consultancy from university and private experts
- Acquisition of services from other private industry
- Supplies and materials

Additional National Eligibility Criteria for the proposal beyond the general criteria in the ToR of the PJC (section 3 Eligibility of proposals)

The applicant firms have to apply simultaneously to TÜBİTAK with their project proposal in order to be evaluated in terms of budgetary regulations. The scientific merit of the projects will be evaluated within the ERA.NET-RUS project by independent peer-reviewers.

Upper funding limits for the eligible costs

There is no specified upper project budget limit. 60% (for large firms) – 75% (for SME's) of project expenditures deemed eligible in the monitoring phase are granted to the beneficiary. Under the program, a certain fraction of eligible expenditures deemed appropriate by TUBITAK is paid to the beneficiary firm, after these expenditures for project activities are made and paid for by the beneficiary firm. Beneficiary firm may demand a certain amount of pre-payment to cover expenditures to be made.

**IMPORTANT NOTE:
ADDITIONAL CONDITIONS APPLY!**

**FOR FULLY DETAILED TERMS AND CONDITIONS FOR FUNDING PLEASE SEE THE
1509 PROGRAMME REGULATIONS AT:**

<http://www.tubitak.gov.tr/sid/698/pid/478/cid/10573/index.htm>

AND

http://www.tubitak.gov.tr/tubitak_content_files//TEYDEB/1509/basvuru/1509_Uygulama_Esaslari.pdf

National Contact Point:

The Scientific and Technological Research Council of Turkey (TÜBİTAK)

İlter HALİLOĞLU

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