



Implementation of a Joint Call of Programme Owners and Programme Managers from EU Member States, Countries Associated to EU's Horizon 2020 Programme and Russia

Terms of Reference – ERA.Net RUS Plus Call 2017

Joint Call on Innovation

12 September 2017

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List of Abbreviations

AC	Associated Countries
CP	Contact Point
EU	European Union
FP	Funding Party
GFP	Group of Funding Parties
IA	Implementation Agreement
IC	Innovation Council
JC	Joint Call
JCS	Joint Call Secretariat
MS	Member States
RTD	Research, Technology and Development
ToR	Terms of Reference

Important hints before you start preparing your project:

- **Study these ToR carefully to avoid problems with eligibility of your project!**
- **In particular read in detail the Annex 1 on National Funding rules, which apply to you and your project partners (starting on page 19).**
- **Contact your National Contact Point before preparing and submitting the proposal to ensure eligibility of the project!**
Please note the financial standing of the SME partners is a crucial issue that will be assessed according to the national rules before the signing of the contract. The failure to match the national requirements may lead to declaring the partner ineligible and thus to its exclusion from the competition. To avoid this, please check the national funding rules carefully before applying and contact your local NCP for further clarifications, if needed.

1. Background Information

ERA-NET PLUS Actions comprise the joint implementation of a transnational call from the preparation and the publication of the call to the evaluation, selection and funding of proposals as well as the project monitoring and follow-up between national or regional programmes. They require programme owners from different EU Member States (MS) and/or Associated Countries (AC) to the EU Framework Programme for Research and Innovation to implement a **Joint Call** focussing on, e.g., projects in applied research with a clear focus on innovative products or services. The financial commitments from the participating national or regional research programmes are the basis of the joint call.

Building on a successful first Joint Call in the **ERA.Net RUS Plus** project, implemented in 2014-15 and on the mutual interest of programme owners and programme managers in the Russian Federation, EU Member States and Associated Countries, a **Group of Funding Parties (GFP)** has been established for the implementation of a second ERA.Net RUS Plus call in 2017.

A **Steering Committee** comprising representatives from each Funding Party (FP) will be responsible for defining the principles of the Joint Call on Innovation as well as for the steering, decision making and monitoring of its implementation. The members of the Steering Committee will be nominated directly by their FPs – one member per FP. The Steering Committee will oversee the preparation and implementation of the Joint Call. An important right is the nomination of experts for the **Innovation Council (IC)**, the scientific advisory body responsible for the evaluation process of the proposals to be submitted.

The members of the GFP will be supported by a **Core Consortium** led by its **Coordinator**. The Core Consortium will facilitate the preparation process of the Joint Call and assist the operational management of its implementation. Members of the Core Consortium are:

1. DLR Project Management Agency, European and International Cooperation (DLR, Germany) (Coordinator).
2. Russian Foundation for Assistance to Small Innovative Enterprises (FASIE, Russia).
3. Centre for Social Innovation (ZSI, Austria).
4. Higher School of Economics (HSE, Russia).

DLR acts as coordinator for the ERA.Net RUS PLUS and also for the call 2017. The role of the coordinator is to manage administrative, financial and communication issues related to the ERA.Net RUS Plus project and the call 2017. The Core Consortium will provide administrative services to support the whole call process. This includes the preparation and the launch of the competitive call for proposals for collaborative innovation projects, the selection of projects, and the monitoring of the funded projects. The projects have to be jointly selected by the GFP to be followed by the monitoring of national contract negotiations with the beneficiaries and the proceeding funding period of the collaborative projects. Partners ZSI and HSE will take care of monitoring and impact assessment of the call. Details of the implementation of the Joint Call on

Innovation have been agreed upon by all GFP members in an **Implementation Agreement (IA)** with these **Terms of Reference (ToR)** being an integral part thereof.

The GFP will be assisted by the **Joint Call Secretariat (JCS)** assumed by two of the Core Consortium partners (DLR and FASIE). The mandate of the JCS is defined by the GFP and the Steering Committee through the Implementation Agreement (IA). The GFP will launch the Joint Call on Innovation on 20.07.2017, and will be closed strictly on 17.09.2017. The call will follow a one-step submission and evaluation procedure.

With this Joint Call on Innovation interested project consortia including partners from the participating countries will be invited to submit Innovation projects.

Programme Owners

The following **programme owners** have signed the Implementation Agreement for the Joint Call for Innovation projects in their capacity of Programme Owners. They have thus confirmed their participation as Funding Parties, and their readiness to pledge financial contributions for funding the projects selected through the call:

1. Austrian Research Promotion Agency, FFG (Austria)
2. Federal Ministry of Education and Research, BMBF (Germany)
3. General Secretariat for Research and Technology, GSRT (Greece)
4. Executive Agency for Higher Education, Research, Development and Innovation Funding, UEFISCDI (Romania)
5. Foundation for Assistance to Small Innovative Enterprises, FASIE (Russia)
6. Scientific and Technological Research Council of Turkey, TÜBİTAK (Turkey)

2. Joint Call

2.1 Call Topics and Scope

This Joint Call on Innovation covers **Innovation Projects**. With respect to scientific or technological disciplines and topics, the overall call is thematically open. For thematic restrictions of individual funding organisations, please check the national rules in Annex 1.

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. Within the TRL classification (technology readiness level) projects with TRL 4-7 are targeted (for some project partners, lower TRL are possible, please check the national rules). 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 also address applied research and technology development implemented by **small-sized innovative research performing enterprises** in Russia in partnership with universities and/or non-university **public or private research performing institutions/companies** from EU MS/AC.

Innovation Projects can be funded in research areas thematically assigned to innovative technologies of high utilization and with a high market potential and of particular importance for the EU MS/AC as well as for Russia.

The goal of the call is to create long-term collaboration in the fields of research and innovation between EU MS/AC and Russia and to pave the way for potential joint market exploitation. Innovative research collaboration of a high standard between teams from EU MS/AC and Russia will be supported through open competition.

2.2 Call Budget and Call Modalities

The indicative financial contribution to the call budget by each of the Funding Parties is presented in the following table:

Funding Party	Indicative contribution ¹ (EUR)
1. Austrian Research Promotion Agency, FFG (Austria)	600,000
2. Federal Ministry of Education and Research, BMBF (Germany)	1,200,000
3. General Secretariat for Research and Technology, GSRT (Greece)	700,000
4. Executive Agency for Higher Education, Research, Development and Innovation Funding, UEFISCDI (Romania)	250,000
5. Russian Foundation for Assistance to Small Innovative Enterprises, FASIE (Russia)	2,000,000
6. Scientific and Technological Research Council of Turkey, TÜBİTAK (Turkey)	300,000

The Joint Call on Innovation will be implemented through a **coordinated funding scheme** whereby each FP will fund its own teams within a multilateral project, also known as a **virtual common pot**. This is done with the view to harmonise the funding contributions in order to fund as many projects as possible selected through a peer-review process.

The funding of projects 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. Each FP may adjust a project's budget if deemed necessary.

In case a project partner cannot receive funding from its national funding organisation in a selected project, this specific project will not be retained for funding, unless: (1) this partner agrees to fund its total share on its own budget and the consortium includes at least three more partners eligible and funded by their respective FP, or: (2) the remaining project consortium is ready and capable to take over the activities of this partner and includes at least three more partners eligible and funded by their respective FP. However, there must be at least one Russian partner in each consortium funded by a Russian FP.

A partner participating on its own budget **cannot** be the coordinator of the project.

2.3 Eligible Applicants and Project Consortium

Applicants must be eligible for funding by their respective national FP. They can represent:

- Research and higher education entities
- Research performing small and medium enterprises
- Other entities eligible for funding according to respective national legislation.

Details can be found in the **National Rules of Funding Parties** (Annex I).

¹ The indicative financial contribution of each of the Funding Parties listed has been confirmed by written statements.

A **project consortium** must comprise at least 3 **project partners eligible for funding from at least 2 different countries, of which at least 1 team eligible for funding from Russia**. Each project partner will be represented by a team leader. One of the team leaders must be designated as “Coordinator”.

Applicants who are non-eligible for funding from one of the Funding Parties can join any eligible consortium submitting a proposal in the context of this call, and participate in the project at their own expense. However, this is only valid for cases where the applicant non-eligible for funding does not act as coordinator of the project.

2.4 Duration

The duration of a project needs to be realistically aligned with the activities to be implemented by the project consortium.

The minimum duration of a project is 24 months, and should not exceed 36 months. Projects can be planned with different duration for the partners taking into account national regulations (Annex I, between 24 and 36 months). The duration of a project is to be determined at the proposal stage.

3. Eligibility of Proposals

In order to be eligible, proposals must:

- Be in the scope and in the thematic focus of the call (as described in Section 2 and in Annex 1)
- Meet the consortium composition requirements (as specified in Section 2)
- Be submitted by at least 3 applicants from 2 different countries (of which at least 1 from Russia) which are eligible to receive funding from their national members of the GFP (as specified in Section 2)
- Comply with the allowed duration (as specified in Section 2)
- Comply with the funding requirements (as specified 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 only
- Be submitted through the on-line submission system PT-OUTLINE
- Meet the submission deadline (as specified in Section 5.)

Only proposals meeting all eligibility criteria will be processed by the Joint Call Secretariat. Non-eligible proposals will be rejected.

The Joint Call Secretariat will ask the FP to check and confirm the eligibility of applicants participating in a project consortium according to their national regulations.

With this respect, **“National Rules of all Funding Parties”** are available in **Annex I, and must be read and observed carefully!**

Contact Points: In order to ensure a smooth implementation of the JC, each FP has appointed one or more contact person(s) acting as a Contact Point (CP) for the call. **Applicants are strongly advised to contact their Contact Point in due time before the proposal submission in order to check their eligibility at national level.**

Contact details are listed on <http://eranet-rus.eu/en/201.php#innovation>.

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 the national regulations of their respective Funding Party (Annex I).

- **Labour Costs**

Participating individual partners may claim for labour costs according to the internal rules of their respective institution, and observing the regulations as defined by their responsible national Funding Party (see Annex 1).

- **Operational Costs**

Travel, Subsistence and event costs

- National and international travel at the most economic fare available, in accordance with national regulations.
- 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 participant's organisation, respecting regulations as defined by their responsible national Funding Party.

Equipment

- Any participating partner may purchase equipment respecting national procurement rules and procedures.
- All equipment costs financed by the grant must be related to equipment, which was 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 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

5.1 Submission process

5.1.1 General Information

The process of submitting, evaluating and selecting projects will be done in a **one-step procedure**; applicants are invited to submit a **proposal**.

All proposals must be written **in English only**.

5.1.2 Structure of proposal

GENERAL INFORMATION

Proposal Details

- Title and acronym: Give the title and acronym of your project.
- Keywords: Identify the keywords selected from the keyword list.
- Free words: Supply additional free words to further specify your scientific subject.
- Duration: Minimum 24 months, up to 36 months.
- Total cost: Estimated overall budget of the project (in EUR).
- Participation of any research team of this proposal in any other proposal in this joint call.

Summary

Summarise the project objectives, provide a short description of the research and innovation activities, of the expected results or innovative potentials, and of the market and economic impact as well as societal impact.

TEAM INFORMATION

- 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, list a maximum of five references of relevant, recent scientific publications and patents which best show the capability of the research team to perform the work proposed. Indicate for each of them 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.

BREAKDOWN OF COSTS

- For each team, give the cost breakdown and a brief justification for all allowable costs.
- For each team, give the requested funds as well as own costs and total costs.

PROJECT DESCRIPTION

Provide an overall description of the research project. Give a detailed justification of the objectives of the project against the state-of-the-art in the scientific area of the project.

1. Scientific, research and innovation objectives

- Describe as precisely as possible the research and innovation objectives of the project. Whenever possible, quantify the objectives in terms of measurable outcomes.
- Give an overall description and the general approach and methodology chosen to achieve the objectives. Highlight the particular advantages of the methodology chosen.
- Explain the relevance and importance of the research and innovation project proposed, in terms of concrete applications (scientific, technological and innovative) and in terms of economic and societal impact.
- 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.
- Explain the gain in competitiveness and the added value resulting from the cooperation between the partners of the consortium.

2. Background and state-of-the-art in this field

- Give the scientific and technological basis for your project and describe the state-of-the-art concerning the specific R&D topics of your project.

3. Novelty of the project

- Identify important gaps to be filled in the current knowledge/know-how.
- Explain the novel character of the research and innovation proposed. Show how the objectives of the project aim at significant advances in the state-of-the-art through extending the current knowledge and/or filling the gaps identified.
- Has a novelty search already been performed or is this search planned? If relevant, specify the institution with which the novelty search has been performed and indicate the result.

4. Impact of the project, innovation potential, exploitation

- Give the expected results of your project, which have potential applications for further advances in technological products, services or methods; quantify the expected project results.
- Discuss and if available give references concerning market and economic needs.
- Describe the expected impact of the research project results in terms of market, economical and societal needs of Russia and the EU.
- If relevant, describe potential legal aspects as well as ethical implications of the research project results for society.
- Give an opinion whether some of the project results are patentable.
- **Sketch out a result exploitation plan which explains:**
 - how the deliverables of the project (computer codes, technologies, prototypes or pilot plants, etc.) will be exploited through a technology implementation plan.
 - how intellectual property, including foreground knowledge, patents, copyrights, license agreements and any other arrangements will be managed.

5. Project management and team information

- Describe how the overall coordination, communication and monitoring of the project will be implemented. Provide a project organisation chart. Indicate the decision schemes foreseen in the project (decision boards, coordination meetings).
- If appropriate set up a detailed diagram (Gantt-Chart) showing the work plan of the project: the time schedule of the tasks and mark their interrelations; 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.
- Describe how ethical considerations connected to the project will be addressed.
- Explain the 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 other R&D institutions or companies (if relevant).

5.2. How to use the online submission system “PT-Outline”

5.2.1 Registration in the On-line Submission System

In order to submit a proposal, the project coordinator should access the online submission system through the link:

https://secure.pt-dlr.de/ptoutline/RUS_INNO2017

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 notification

When accessing the on-line submission system for the first time, the project coordinator will be requested 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.

5.2.2 Access to the online submission system

The coordinator can share the password with his/her partners so that 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. For the project, only one joint electronic proposal should be prepared within the system and submitted.

Proposal submission just before the deadline should be avoided. High internet traffic during the last days before the submission deadline of the call may cause difficulties to access the portal. Inability to submit a proposal due to overload of the PT-Outline system should not be considered as a reason for later submission or submission via email etc.

5.2.3 Acknowledgement of receipt and registration number

After the final submission of the proposal, the project coordinator will automatically receive an email containing an acknowledgement of receipt with the proposal’s registration number.

Submission Deadline

The deadline for submission of a proposal will be ~~19.09.2017~~ **NEW DEADLINE: 10.10.2017, 15:00 (CEST) equivalent to 16:00 Moscow time.**

All proposals must be submitted by the project coordinators before the submission deadline. Access to the on-line submission system will be automatically closed after the deadline, and no proposal submission will then be possible any more. It is thus the sole responsibility of the project coordinator to ensure that the proposal is submitted before the deadline.

6. Evaluation and Selection of Proposals

Proposals submitted under the ERA.Net RUS Plus call 2017 - Joint Call on Innovation will be evaluated as follows:

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 will be treated alike, irrespective of where they originate or the identity of the applicants.
- **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 evaluation of proposals will be done as follows.

Each proposal will be evaluated by external experts selected from a dedicated pool of evaluators. The experts will assess anonymously the merits of the submitted proposals.

An **Innovation Council (IC)** consisting of high level scientific/innovation experts will be appointed by the GFP for all issues related to the evaluation procedure, especially to ensure the quality of the outcome of the external peer review. Each FP has been invited to nominate two experts for the IC, each of them with competences relevant to the topic and scope of the call.

6.2.1 Innovation Council

The Innovation Council (IC) will consist of about 9 experts, depending on the number of Funding Parties (FP) participating. Each FP will be represented in the IC by at least one expert.

From the group of potential IC-experts suggested by the FPs, the Joint Call Secretariat (JCS) will pre-select the experts for the IC according to the following rationale:

- Each Funding Party will be represented by at least 1 nominated expert²;

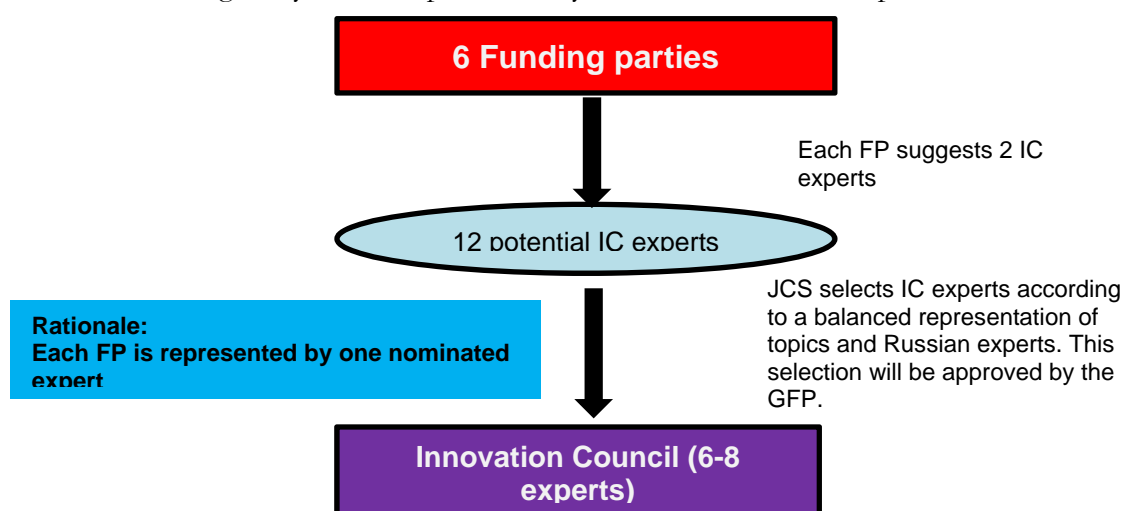


Fig. 1: Constitution of the Innovation Council

² A targeted extension of the IC, e.g. on the basis of representation in topics might be envisaged and decided upon by the GFP at a later stage after the proposals had been submitted.

The JCS will present the list of nominated IC experts to the Steering Committee and to the GFP for their final approval based on the described rationale for the selection. However, some flexibility should be allowed if necessary.

6.2.2 Tasks of the Innovation Council

The JCS will invite the Steering Committee, the GFP and the Innovation Council in due time to propose new peer-reviewers, and invite the IC members to review and give their opinion on the list of peer-reviewers registered in the PT-EXPERTDATABASE.

The IC members will be involved in the peer-review procedure.

6.2.2.1 National Eligibility Check

The “national eligibility check” is performed by each of the FPs (see section 6.3.1).

6.2.2.2 Evaluation of proposals

The JCS will allocate each proposal to at least three external reviewers from the PT-EXPERTDATABASE according to matching key words. The IC will check the matching of proposals to external reviewers, if deemed necessary. The JCS moderates and manages the evaluation process with the approved external reviewers and puts together a preliminary ranking list for projects based on their scores and written evaluations.

An IC meeting will be held to discuss the ranking list for the projects eligible for funding.

Each IC member will act as a key-reader for several proposals. The IC will jointly decide on unclear cases due to discrepancies between evaluation results and will present their joint decision (ranking list, including reserve list) to the FPs. The final decision on the selected projects eligible for funding will be taken by the GFP.

6.2.3. Appointment of Evaluators

The evaluators for the peer-review process will be selected from a pool of evaluators (PT-EXPERTDATABASE) on the basis of their competence, irrespective of their nationality, age and affiliation. The FPs are highly encouraged to review the national experts chosen from the PT-EXPERTDATABASE 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.

Link to PT-EXPERTDATABASE:

<https://secure.pt-dlr.de/evalinco/?callReference=ERA-NET-RUS-Plus>

In general, evaluators need to have skills and appropriate knowledge relevant to the 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:

1. Management or evaluation of Innovation/S&T projects.
2. International cooperation in science and technology; development of human resources.
3. Transfer of results of research and technological development projects.
4. Innovator, performing innovation activities.

Evaluators must also have the appropriate language skills required for the proposals to be evaluated. In case an evaluator finds his/her competences to be irrelevant to the project he/she has been selected to evaluate, he/she must inform the JCS so that the project is allocated to another evaluator.

For each proposal, three independent evaluators of which at least one from Russia and one from an EU-MS/AC, are to be selected by the JCS from a pool of possible evaluators (with a view to achieve maximum competence for the evaluation).

6.2.4. Conflict of Interest and Confidentiality

The Consortium 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 and the IC take 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 will commit themselves to inform the Joint Call Secretariat whenever a conflict of interest arises in the course of their duties. When so informed, the JCS takes all necessary actions to remove the conflict of interest.

The evaluators are committed to maintain confidentiality of the information contained within the proposals they evaluate and of the evaluation process and its outcome. The JCS and the GFP, represented by the Steering Committee, are committed to maintain the anonymity of the evaluators. The members of the JCS and the IC, as well as the experts evaluating the proposals, will sign a confidentiality agreement.

6.3. Evaluation and Selection Procedure

6.3.1. Eligibility Check

Pre-Eligibility Check: The JCS carries out a “Pre-Eligibility Check” of submitted proposals and ensures that they meet all general formal eligibility criteria as set out above.

National Eligibility Check: Each Funding Party thoroughly verifies and confirms in a “National Eligibility Check” whether proposals from the applicants from their respective country meet the national eligibility criteria as stated in **Annex I**. This includes financial parameters like funding limits.

6.3.2 Evaluation of proposals

The evaluation of the **proposals** is performed on-line, using the **on-line submission and evaluation system PT-Outline**. Each proposal will normally be evaluated by three peer-reviewers. 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 JCS will allocate the proposals to three potential external reviewers from the PT-Expertdatabase according to matching keywords. The IC will check the matching of proposals to external reviewers and will propose alternative experts from the PT-Expertdatabase, if deemed necessary.

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

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. The evaluator also checks the compliance of the proposal with the thematic focus of the call.

6.3.2.1 Evaluation criteria

The set of criteria includes the following:

- I. Scientific and/or technological merit
- II. Potential impact
- III. Quality of the consortium
- IV. Quality of the project management
- V. Quality of the presentation of the proposal.

Evaluation scores will be awarded for each of these five criteria, and not for the sub-criteria. The sub-criteria are issues which experts should consider in the assessment of that criterion. For criteria I and III-V the threshold is 3 points out of 5 per criterion. For criterion II, the threshold is 2 points out of 5 (scoring table in section 6.3.4).

The evaluation of the proposals should address the following five criteria:

- I. Scientific and/or technological merit (threshold: 3/5)**
 - Sound concept, quality of objectives
 - Progress beyond the state-of-the-art
 - Quality and effectiveness of the scientific and technological methodology and associated work plan
- II. Potential impact (threshold: 2/5)**
 - Impact of the project towards relevant societal challenges
 - Meeting market and economical needs and significant exploitation potential
 - Appropriateness of measures for the dissemination and/or exploitation of transnational project results, and management of intellectual property
 - Impact on international innovation cooperation (1 point for consortia comprising at least 3 countries. Maximum for consortia with 2 countries in criterion II is hence 4 points).
- III. Quality of the consortium (threshold: 3/5)**
 - Complementarity of qualifications and relevant experience of the coordinator and the individual participants/participating research teams
 - Fair distribution of efforts
- IV. Quality and efficiency of the implementation and the management (threshold: 3/5)**
 - Appropriateness of the management structure and procedures
 - Appropriate allocation and justification of the resources to be committed (budget, staff, equipment)
- V. Quality of the presentation (threshold: 3/5)**
 - Clarity and comprehensiveness of the proposal
 - Compliance with the structure requirements

The total score of a proposal is the weighted average of the individual scores given to each criterion, rated from 0 to 5. The table below summarizes the scores and the weight coefficients per criterion, for the evaluation of the proposals:

	Criteria	Score	Weight
I.	Scientific and/or technological merit	0-5	30%
II.	Potential impact	0-5	40%
III.	Quality of the consortium	0-5	15%
IV.	Quality of the project management	0-5	10%
V.	Quality of the presentation	0-5	5%
	TOTAL	0-5	100%

6.3.2.2 Rebuttal step

Applicants will be provided with a report of the expert evaluation (without disclosing experts' identities) via PT-Outline. Applicants will be given about one week to respond to the evaluators' comments via PT-Outline. In this 'rebuttal' they can provide additional information, point out misconceptions and differences in the comments of the evaluators. The rebuttal will be limited to text form with a given character limit. The proposal itself cannot be changed in this rebuttal step. The JCS may introduce a cut-off after the expert evaluation and invite to the rebuttal step only applicants who still have a possibility for getting funded. Evaluation reports will be provided to unsuccessful applicants below the cut off later, until the end of the project selection process. The JCS does not enter in any kind of discussions on the evaluation results and evaluators' comments provided.

6.3.2.3 Ranking list and decision procedure

Based on the external evaluations, the JCS will prepare a preliminary ranking list (including a reserve 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 establish the ranking. The average score will be rounded to the second decimal.

The IC will hold a meeting for the review of the proposals. The IC will discuss critical cases (e.g. proposals that received contradictory evaluations), also taking into account applicants' comments of the rebuttal phase before the final decision is made, and will prioritize between proposals that have attained almost the same average score in order to ensure a fair ranking. The IC will present a list of proposals recommended for funding together with their tentative budgets, including a reserve list to the GFP. Additionally, all external evaluation reports will be made available to the GFP without reference to the peer reviewers.

The GFP decides on the final list of projects to be funded and on a reserve list of projects eligible for funding. Given specific internal regulations, some FPs will confirm their commitment only after approval of the minutes of the GFP meeting by their dedicated decision bodies.

The final outcome of the evaluation of proposals, including the detailed scores per criteria and the corresponding remarks made by the evaluators and the IC, will be made available to the project coordinators after the final funding decision of the GFP has been taken.

6.3.4 Scoring and ranking of Innovation projects

The total score of a proposal is the weighted average of the individual scores given to each criterion, rated from 0 to 5. Half marks can be given (for example 3.5).

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

Proposals with similar scores will be grouped in categories according to the following table:

Score range	Category
5.00 – 4.80	A
4.79 – 4.60	B
4.59 – 4.20	C
4.19 – 4.00	D
3.99 – 0.00	E

Within each category, the actual ranking of all proposals will not be taken into account and the proposals will be considered on equal foot, so as to facilitate the funding decision by the Funding Parties.

7. Decision Making by the Group of Funding Parties

The members of the GFP will consensually take the final decision on the proposals, based on the recommendations of the IC. A concluding GFP meeting will be convened and supported by the JCS and the Core Consortium.

In preparation of the concluding meeting of the GFP, the ranking lists prepared by the IC will be presented to the Funding Parties. The Core Consortium will ask the Funding Parties to check the eligibility of requested funds and return an estimated national budget for each project based on their own national regulations.

Within each category (A-E), decisions will take into account the indicative budgets of the Funding Parties. For those **cases in which the national financial contributions are exhausted**, the respective Funding Parties should follow the following steps to bridge the gaps due to the lack of funds:

- The respective Funding Parties will explore a budget increase;
- If a budget increase is not possible, the respective Funding Parties will consider financial cuts within the budgets requested in the proposals.

As a last resort, the participation of some project partners in the projects in question on their own resources will be considered, if the constitution of the consortia allows it.

The minutes of the final GFP meeting will be prepared by the JCS or one of the partners of the Core Consortium and finally adopted by the Consortium. **When adopted, the minutes of the final GFP meeting – including the final funding list – are binding for the members of the Consortium.**

Before the Funding Decision is considered ‘final’, the reserve list needs to be handled at national level by respective FPs in order to verify the options for additional projects to be implemented. This procedure will be closed 4 weeks after the decision taking meeting of the GFP. The JCS will coordinate this process. The final list of projects to be funded will be approved by written procedure by all FPs.

On behalf of the GFP, the JCS will inform the applicants by standard letter about the result of the evaluation process and successful applicants about the next steps in order to start the projects.

8. Project Contracts and Project Monitoring

Following the final decision taken by the Group of Funding Parties, for each project approved for funding, **two contracts** will be executed in parallel:

- An **Umbrella Agreement** to be negotiated and signed on the one hand by the Joint Call Secretariat represented by DLR, and on the other hand by the coordinator of each project consortium.
- A **National Contract** to be negotiated and signed between each participating partner in a consortium and its corresponding Funding Party.

Overall consistency between all contracts/agreements will be ensured by the Funding Parties.

- The **Umbrella Agreement** 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** including 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 Agreement will set out the reporting duties of the coordinating institution on behalf of the consortium as a whole.
- The **Umbrella Agreement** will include (as annexes) the proposal, an overview of the funding budgets for all partners, guidelines for reporting to the JCS and the Terms of Reference.

National Contracts will regulate the transfer of funds to national beneficiaries based on national regulations. They will establish the legal ground for project funding at national level according to the rules and regulations of the respective Funding Party.

Overall monitoring of the projects

The Joint Call Secretariat (JCS) will be responsible for the overall monitoring of the projects building on standardised intermediate and final reports to be submitted by the project consortia (via the project coordinator) according to the terms of the 'Umbrella Agreement'. The reports will be available for further use by the Funding Parties.

The overall monitoring includes the following items:

- Synchronisation of national grant agreements by the JCS: FPs start in parallel individual contracting procedures between the Funding Party and the respective beneficiary for each individual ERA.Net RUS Plus project according to the national regulation. The JCS tries ensuring a synchronized starting date of all projects.
- Follow-up of signing a Consortium Agreement (CA) including provisions on the fair management of Intellectual Property Rights (IPR) to be signed between all partners of a project consortium within three months after project start. If necessary, consortia are to be reminded of this contractual obligation including corrective measures at project level in consultation with the Funding Parties involved.
- When asked to by the JCS, the project coordinator compiles information on the progress of an individual project from all project consortium partners and submits a short standardized report on the start phase of the projects (funding contracts etc.) and an intermediate / final report on the scientific progress of the project. The report will be analysed and forwarded by the JCS to all Funding Parties involved. In case of deviations the JCS will arrange a consultation and decision taking on possible corrective measures by all Funding Parties involved.

According to the regulation of the umbrella agreement, any change concerning a project (i.e. changes of consortium partners, substantial deviations from the work programme, premature end of the project or any other issues that might have significant impact on the implementation of the project) has to be reported by the project coordinator to the JCS. The JCS will inform all Funding Parties accordingly and arrange a consultation and decision taking on possible corrective measures by all Funding Parties.

Annex I: National Rules of Funding Parties

Country: AUSTRIA

Funding Institution: Austrian Research Promotion Agency (FFG)

The following topic is supported by FFG: Innovation

FFG will support Innovation Projects relating to the research areas Energy, Mobility, ICT and Production, for example:

1. Energy efficiency and renewable energy
2. Mobility of goods and persons, vehicle technologies, transport infrastructure,
3. ICT (information gathering and processing, communication technologies)
4. Production: including smart production technologies and systems, material science, as well as information and communication technologies, mechatronics, physics, nanotechnology, logistics, environmental technology, raw materials research, biobased industry and other disciplines and topics in the context of smart production.

Who can apply?

The following legal entities are eligible for funding:

- enterprises
- non-profit research institutions
- universities
- associations

Entities that are part of the Austrian federal administration are excluded from funding.

Details can be obtained from the “Leitfaden für Kooperative F&E Projekte Transnationale Ausschreibungen” Version 2.3 from the FFG website at

http://www.ffg.at/sites/default/files/dok/il_kooperativfueprojekte_v23_transnational.pdf

What types of costs are eligible for funding?

The national rules on eligible costs for Austrian participants are available from the FFG at:

<https://www.ffg.at/recht-finanzen/kostenleitfaden/version-2>

Additional national eligibility criteria for the proposal beyond the general criteria in the Terms of Reference of the joint call (Section 3: Eligibility of Proposals)

Austria requires the following eligibility criteria for Austrian participants:

- submission of a complete proposal by the Coordinator to “PT- Outline” system of DLR
- timely submission of a national proposal to eCall system of FFG, containing the workpackages and costs of the Austrian partner(s). Registration at the eCall system of the FFG at <https://ecall.ffg.at>
 - please consult the tutorial at <https://ecall.ffg.at/Cockpit/Help.aspx>

- for companies, commercial register number and the balance sheets of the last two years

The financial viability and business soundness is verified by means of an internal check - companies that are in danger of insolvency cannot be funded

Upper funding limits for eligible costs

Research Category	Small Enterprises	Medium Enterprises	Large Enterprises	Research Organisations
Experimental Development	60%	50%	35%	60%

With regard to the size of the enterprise, the respective SME definition according to EU competition law applies

https://www.ffg.at/recht-finanzen/rechtliches_service_KMU

National Contact Point

Austrian Research Promotion Agency (FFG)

Mr. Johannes Scheer

E-mail: johannes.scheer@ffg.at

Phone: +43 5 77 55-5070

Country: GERMANY

Funding institution: Federal Ministry of Education and Research (BMBF)

The following topic is supported by BMBF: Innovation

Please check with the national contact point whether your topic is falling under BMBF competence.

The German partner can be funded for activities that correspond to lower TRL than the general TRL range for the project (4-7).

Who can apply?

Research proposals may be submitted by German:

- SMEs
- Research institutions
- Universities

Research institutions that receive basic funding from the Federal Government and the Länder can only be granted funds to cover extra expenditure in addition to their basic financing.

What types of costs are eligible for funding?

For details, please check the BMBF national call announcement, which is the only official version in Germany. It might be published later than the multilateral call.

I Direct costs

a. Costs of personnel

Grants towards the costs of scientific staff, technical staff 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 laptops, notebooks or equipment which is regularly used by the applicants).

c. Consumables and supplies

Any consumables necessary for the project implementation may be considered as direct costs. Consumables are only eligible costs 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 organization of events or printing services etc.

e. Other costs

Events: With regard to 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 EUR/person shall be applied.

Travel and subsistence allowance for German staff: The subsistence allowance per full day (including accommodation, meals) in the context of a business trip abroad should be applied as a lump sum. Travel costs are eligible (economy class). Please check www.internationales-buero.de/de/foerderung.php for current rates. Lump sums can be reduced or cancelled when accommodation or meals are financed through a third party. Contributions to health insurance and other types of insurance are covered by this lump sum and is payable by the beneficiaries themselves. Arrival and departure days are treated as half days.

Costs for filing and obtaining patents

1. 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.

2. In exceptional cases only: Rules for small and medium-sized enterprises (SME)

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.

Universities (public/non-public) and university hospitals (regardless of their legal status) can apply for a lump sum of 20% (Projektpauschale) of the requested funding for research projects.

Additional national eligibility criteria for the proposal beyond the general criteria in the Terms of Reference of the Single Joint Call

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

The grants for SME are calculated on the basis of the total project-related costs eligible for funding. As a rule, up to 50% of these costs can be covered by government grants, depending on how close the project is to application. The BMBF policy requires an own contribution towards the eligible costs incurred - as a rule at least 50%.

The European Commission's Community Framework for State Aid for Research and Development must be taken into account when calculating the respective funding ratio. This Community Framework allows a differentiated bonus arrangement for collaborative projects involving applicants in the new German Länder and for small and medium-sized enterprises (SMEs), which may result in a higher rate of funding.

A lump-sum of 20% (Projektpauschale) of the requested funding for research projects for the benefit of universities and university hospitals is already included in the funding.

Upper funding limit

Upper funding limits for eligible costs 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.

Upper funding limit: **150.000 EUR/project** incl. lump sum of 20% (Projektpauschale). The upper funding limit applies to the German participation in a project. If there are several German partners, the funding budget needs to be split up.

The minimum duration of a project is 24 months, and should not exceed 36 months. German applicants whose proposals have been evaluated positively will be invited to submit a formal application for funding on which a decision will be taken after a final evaluation.

To draft formal applications for funding, applicants must use BMBF's electronic application system "easy".

Further information relevant to NATIONAL applicants

Contact Point

German Aerospace Center (DLR), Project Management Agency
European and International Cooperation
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Ms. Andrea Kröll

Administrative and financial issues (e.g. eligible costs, funding rates, overhead)
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Country: GREECE

Funding institution: General Secretariat for Research & Technology (GSRT)

The following topic is supported by GSRT: Innovation

Specifically, all topics within RIS3 (<https://www.espa.gr/en/pages/staticRIS3.aspx>) can be funded, i.e.

- 1) Agrofood
- 2) Life sciences & Health – Medicine
- 3) ICT
- 4) Energy
- 5) Environment & sustainable growth – climate change
- 6) Transports & Logistics
- 7) Materials – Constructions
- 8) Culture – Tourism – Cultural & Creative Industries

Who can apply?

In Greece, only Private sector legal entities (including SMEs) in individual terms or in collaboration with Higher Education Establishments or Public Research Centres are eligible for funding.

Proposals with no Private sector legal entities (including SMEs) participation are not eligible for funding.

What types of funding are eligible for Greek researchers?

Aid for research and development projects (COMMISSION REGULATION (EU) No 651/2014 article 25)

1. The aided part of the research and development project shall completely fall within one or more of the following categories:

- (a) industrial research;
- (b) experimental development;

2. The eligible costs of research and development projects shall be allocated to a specific category of research and development and shall be the following:

- (a) personnel costs: researchers, technicians and other supporting staff to the extent employed on the project;
- (b) costs of instruments and equipment to the extent and for the period used for the project. Where such instruments and equipment are not used for their full life for the project, only the depreciation costs corresponding to the life of the project, as calculated on the basis of generally accepted accounting principles are considered as eligible.

(c) Costs for of buildings and land, to the extent and for the duration period used for the project. With regard to buildings, only the depreciation costs corresponding to the life of the project, as calculated on the basis of generally accepted accounting principles are considered as eligible. For land, costs of commercial transfer or actually incurred capital costs are eligible.

(d) costs of contractual research, knowledge and patents bought or licensed from outside sources at arm's length conditions, as well as costs of consultancy and equivalent services used exclusively for the project;

(e) additional overheads and other operating expenses, including costs of materials, supplies and similar products, incurred directly as a result of the project;

3. The aid intensity for each beneficiary:

(a) 50 % of the eligible costs for industrial research;

(b) 25 % of the eligible costs for experimental development;

(Note that for Public Research Institutes and Universities the aid intensity can reach 100% in accordance to the article 2.1.1 of the «Framework for State aid for research and development and innovation» (2014/C 198/01)).

4. The aid intensities for industrial research and experimental development may be increased up to a maximum aid intensity of 80 % of the eligible costs as follows:

(a) by 10 percentage points for medium-sized enterprises and by 20 percentage points for small enterprises;

(b) by 15 percentage points if one of the following conditions is fulfilled:

(i) the project involves effective collaboration:

— between undertakings among which at least one is an SME, or is carried out in at least two Member States, or in a Member State and in a Contracting Party of the EEA Agreement, and no single undertaking bears more than 70 % of the eligible costs, or — between an undertaking and one or more research and knowledge-dissemination organisations, where the latter bear at least 10 % of the eligible costs and have the right to publish their own research results;

(ii) the results of the project are widely disseminated through conferences, publication, open access repositories, or free or open source software.

Further information regarding the categorization of aid intensity and the eligibility of costs is available at the national guide published at GSRT website.

For more information please contact the NCP.

Eligible costs as Indirect costs

Up to 5% of the total budget. (Indirect costs are eligible only for Public Research Institutes and Universities.)

Upper funding limits for the eligible costs

Upper limit of the total public funding will be 100.000 € per project (including indirect costs). The maximum state aid intensity will be calculated according to the provisions of the European state aid rules and regulations in force (type of research activity, size of the participating enterprise, collaborative research).

Duration of the projects

- The duration of a funded project is 24-36 months.
- An extension of duration can be accepted without increasing the scientific or the financial part of the project.

National phase: A national call will be announced for the submission of the approved proposals at national level after the selection of the projects at European level.

For more information please contact the NCP

National Contact Point:

General Secretariat for Research & Technology (GSRT)

International S&T Cooperation Directorate – Bilateral Relations Division

Dr. Petros Sampatakos

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Country: ROMANIA

Funding Institution: Executive Agency for Higher Education, Research, Development and Innovation Funding (UEFISCDI)

The following topics are supported by UEFISCDI: Innovation projects

1. Energy, environment and climate change
2. Eco-nanotechnologies and smart materials
3. Health
4. New and emerging technologies

Who can apply?

Eligible entities for funding are universities, public institutions, R&D national institutions, joint-stock companies, SME's and Large companies, NGOs (associations, foundations, etc.), others

What types of costs are eligible for funding?

For the research activities, industrial research and experimental development, according to HG 134/2011, types of expenses are eligible, as follow:

- a. Staff costs;
- b. Logistics expenses
 - Capital expenditure;
 - Expenditure on stocks - supplies and inventory items;
 - Expenditure on services performed by third parties cannot exceed 25 % of the funding from the public budget. The subcontracted parts should not be core/substantial parts of the project work;
- c. Travel expenses;
- d. Overhead (indirect costs) is calculated as a percentage of direct costs: staff costs, logistics costs (excluding capital costs) and travel expenses. Indirect costs will not exceed 20 % of direct costs, excluding the cost for subcontracting.

Additional national eligibility criteria for the proposal beyond the general criteria in the Terms of Reference of the single joint call (Section 3: Eligibility of Proposals)

1. Research organisations as defined in the Community Framework for State Aid for Research and Development and Innovation (2006/C 323.01) can apply for funding as Project Promoters and partners;
2. Enterprises (SMEs and large companies) as defined in the Community Framework for State Aid for Research and Development and Innovation (2006/C 323.01) can participate as Project Promoters and partners;
3. The Principal Investigator(PI) is employed full time in the Romanian project partner, with a permanent position, or with a fixed term contract covering at least the duration of the project, or has the agreement of the PP for his or her employment at least for the duration of the contract;
4. Receipt of proposal before the deadline date and time established in the call;

5. Minimum conditions (such as number of participants, eligible beneficiaries), as referred to in the call for proposals;
6. Completeness of the proposal, i.e. the presence of all requested administrative forms and the proposal description (the completeness of the information contained in the proposal will be for the experts to evaluate; the eligibility check applies only to the presence of the appropriate parts of the proposal);
7. Scope of the call: the content of the proposal must relate to the topics and funding scheme set out in the call. A proposal will only be deemed ineligible on grounds of “scope” in clear-cut cases;
8. It is forbidden to submit a proposal which seeks to fund activities which had already obtained funding from other sources;

Project duration

- The duration of a project is from 24 months to maximum 36 months
- The duration of a project is to be determined at the proposal stage. An extension of duration cannot be decided upon once the project is started

Upper funding limits for eligible costs?

Maximum 250 000 € over 3 years if the Romanian team is co ordinator of international project;

Maximum 200 000 € over 3 years if the Romanian team is partner in the international project

More information you can find at the link: <https://uefiscdi.ro/pachet-de-informatii-suprogramul-3-2-orizont-2020>

National Contact Point

Funding Institution: Executive Agency for Higher Education, Research, Development and Innovation Funding (UEFISCDI)

Name of contact persons:

- Domnica Cotet
 - Phone: +40 21 302 38 80
 - E-mail: domnica.cotet@uefiscdi.ro

Country: RUSSIAN FEDERATION

Funding Institution: Foundation for Assistance to Small Innovative Enterprises (FASIE)

The following call topic of the single joint call is supported by FASIE: Innovation

Technically and financially feasible R&D projects are eligible, which have an impact to increase R&D activities in the company

Who can apply?

Only small companies according to the Russian law can apply- (Federal Law №209, Article 4): up to 100 personnel, up to 800M Rubles turnover and less than 49% participation of public, foreign and large companies. Special exception is made for „Skolkovo” residents.

Universities, research organizations and other public bodies can participate as subcontractors (with not more than 30% share received as a grant from FASIE being subcontracted). This is very important, as a lot of the projects are academia and/or university-driven. FASIE requires the project to have an industrial and economic agenda. The company performing R&D has to be real, it must have turnover, a proven track record of work, IP registered in its name, employees working permanently at this company and the company has to have a potential for international cooperation.

What types of costs are eligible for funding?

- a. Costs of personnel **up to 70%**
- b. Special equipment **up to 10%**
- c. Materials 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**

All other costs, not related directly to R&D (patenting, commercialization, marketing, etc, must be covered by co-financing)

Additional national eligibility criteria for the proposal beyond the general criteria in the Terms of Reference of the joint call (Section 3: Eligibility of Proposals)

A company which has an “open” contract with FASIE when applying for a new one is not eligible;

Companies which have received funding from FASIE previously will have to provide additional materials showing the effectiveness of the funded projects;

The project must add benefit to the national economy and demonstrate added value from the international cooperation;

Only Limited Liability Companies can apply (the Ministry of Economic Development) excluded joint stock companies from the list of “small companies” in August 2016. This issue is pending, it is possible that this will change, but at the moment de-facto only LLC can apply for funding;

Upper funding limits for eligible costs?

Maximum amount per Russian part of the project- 15 million Rubles (~230 k EUR). SME must co-finance 50% of the amount requested from FASIE (i.e. 115k € (7.5 M Rubles)

Any other information relevant to the joint call

The project should demonstrate high commercialization potential. When preparing the business-plan, the applicants should lay out the commercialization scheme, where FASIE requires to set out the figures for the main economic indicators: turnover, new working places and IP. Ideally, the revenues of the company (related to the specific product/technology being created within the project) should be 2-3-4 times more than the cost of the project during the 7 years after the start of the project (2 years of the project + 5 years afterwards). At least one IP should be protected at the end of the project.

Duration of the project is 18 months (3 periods) or 24 months (4 periods).

National Contact Point

FASIE

Ms. Olga Levchenko

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Country: **TURKEY**

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

In the frame of this call, the applicants from Turkey can apply to one of the following support programmes of TÜBİTAK:

- ARDEB 1001 Research Projects Programme (The Support Programme for Scientific and Technological Research Projects), **or**
- TEYDEB 1509 International Industrial R&D Funding Programme

Proposals that are more academic research oriented are advised to apply for the ARDEB 1001 Research Projects Programme.

Proposals that are more commercial research oriented are advised to apply for the TEYDEB 1509 International Industrial R&D Funding Programme.

Who can apply?

A) Eligible applicants for the ARDEB 1001 Research Projects Programme:

Applicants may be from universities (public and private), R&D institutes, public and private corporations.

Project personnel requirements:

- Principal Investigator, Researchers and Advisers:
- University personnel should have a PhD degree.
- Those working in a public institution or a private corporation should have an undergraduate diploma.
- The Principal Investigator should be the permanent staff of the organization making the project proposal.
- The principal investigator and the researchers (except for the foreign researchers) should be residing in Turkey. Foreigners may take part in projects as principal investigators/researchers provided that they are employed in an entity within the boundaries of Turkey.

A researcher should have a contribution of at least 10% of the project workload.

An adviser is allowed if the project requires special expertise on a specific subject. The number of advisers in a project is limited to the number of specific subjects in the project. The role of adviser in the project should be explained in detail in the project proposal.

Who Cannot Be A Principal Investigator?

University presidents and vice presidents, surgeons general, general secretaries, general managers or department heads in governmental agencies are not allowed to be principal investigators in the case that they occupy such positions at the time of application; similarly, the members of the executive committee and advisory board of TÜBİTAK research grant groups cannot be principal investigators in projects in the case that they occupy such positions at the time of application, however, they can take part in projects as researchers in a maximum of two projects.

B) Eligible applicants for the TEYDEB 1509 International Industrial R&D Funding Programme:

TÜBİTAK's 1509-International Industrial R&D Projects Funding Program funds innovative R&D projects of private companies in Turkey that participate in international joint programs. All SMEs or large enterprises established in Turkey can apply to the program. Academic institutions and other R&D

institutes (including non-for-profit research institutes recognized by TÜBİTAK) must participate the projects as subcontractors of SMEs or large enterprises and are covered under the partner's budget. SMEs can receive funds as 75% of all eligible R&D costs and large companies receive funds as 60 % of all eligible R&D costs. Companies may demand a certain amount of pre-payment to cover the expenditures to be made.

□ **What types of funding are eligible for Turkish researchers?**

1. Eligible direct costs

1.A. Eligible direct costs for ARDEB 1001 Research Projects Programme

The annual budget limit for research projects is 360,000 TL (approx. 90,000 Euros). This includes the scholarship payments; however it excludes payments to the PI, Co-PI's and overhead costs. The total funding will not exceed 100 % of the eligible costs.

Eligible types of funding under this programme are limited to personnel costs (scholarships), travel & subsistence, equipment and materials. Please see below for a detailed description of each item. Projects that involve building infrastructure are not funded.

1.A.1. Research material and small-scale research equipment

There is no applicable limit to material and equipment purchase as long as the overall project budget is in conformity with the rules laid down above in "*Art. 1.1. Eligible direct costs for ARDEB 1001 Research Projects Programme*".

1.A.2. Personnel costs

Personnel costs include only the scholarships. The scholarships for master/phd students and post-doc researchers are as follows:

If the scholar is not employed for a certain fee:

B.Sc./B.A. Students: 500 TL/month

M.Sc./M.A. Students: 1500 TL/month

PhD Student/Researchers: 1800 TL/month

Post-doc Researchers: 2.250 TL/month

If the scholar is employed:

M.Sc./M.A. Students: 400 TL/month

PhD Student/Researchers: 500 TL/month

Total monthly budget for scholarships (personnel costs) should not exceed 4,800 TL.

1.A.3. Travel costs

Travels in business class are not accepted.

1.A.4. Living expenses

For the travel of Turkish researchers, the amount of the allowances varies according to the destination country and the conditions of the personnel, which is described in the Travel Expense Law No.6245. Please check TUBITAK website for the daily allowances for the Turkish researchers:

http://www.tubitak.gov.tr/tubitak_content_files/seyahat/6245Kanunu.doc

1.A.5. Expenses for the organisation of small scientific events

The costs pertaining to organization of small scientific events shall be covered in accordance with the following rules:

In addition to the budget allocated for the participation in domestic/international scientific events, the maximum allowed budget for travel expenses of scientific events (scientific visit, networking etc.) in Turkey or abroad is limited to 15.000 TL/year.

As for the events in the form of meeting and workshops aiming at disseminating the results of the project outputs, the maximum budget is limited with 10.000 TL/year.

1.B. Eligible direct costs for TEYDEB 1509 International Industrial R&D Funding Programme

For this call, the maximum funding per project that will be funded by the TEYDEB 1509 Programme is expected to be between 100.000 – 150.000 Euros (total for two years) to be shared between participating Turkish partners.

1.B.1. Personnel Costs

Personnel expenses are eligible direct costs

1.B.2. Travel Costs

Travel expenses are eligible direct costs. Eligible travel costs incurred in the frame of the projects funded in this programme can be international or intercity travels by plane, train, bus and ship in economy class.

1.B.3. Equipment Costs

Tools, equipment, software and technical documents are also eligible direct costs.

1.B.4. Consultantship & Service Procurement Costs

- Acquisition of consultancy or other services related to the project from domestic institutions or from abroad.
- Costs of R&D services contracted to universities in Turkey, R&D units of TÜBİTAK, and private R&D institutions.

1.B.5. Consumables Costs

Supplies and materials are eligible direct costs.

2. Eligible indirect costs

Only eligible indirect costs are the costs pertaining to the checking and validation of periodic expenses of funded projects by a chartered accountant.

□ Is additional/parallel application requested to the funding organisation?

The Turkish applicants are requested to apply to TÜBİTAK ARDEB 1001 or TEYDEB 1509 programmes simultaneously with the application that is being made to the ERA.Net RUS PLUS Joint Call Secretariat.

The applications made simultaneously to the TÜBİTAK ARDEB 1001 Research Projects Programme will be checked only in terms of eligibility and budgetary regulations. The scientific merit of the projects will only be evaluated by the independent peer-reviewers in the frame of the ERA.Net RUS PLUS project.

The applicants of the Innovation Call are –in all cases- requested to consult TUBITAK Contact Point with regard to eligibility rules of TEYDEB 1509 project proposals. This is a mandatory step before proceeding with submitting the project proposals to ERA.Net RUS PLUS Consortium.

The duration of a project is 24 months-36 months.

The duration of a project is to be determined at the proposal stage. An extension of duration will not be allowed once the project is started.

The deadline for applying to the TÜBİTAK programmes is same with the deadline of submission of joint proposals to the ERA.Net RUS PLUS Central Call Secretariat.

PLEASE CHECK TUBITAK WEBSITE AND CONSULT TUBITAK PERSONNEL FOR THE PROGRAMME CONDITIONS!

Contact Person from the International Cooperation Department:

Mr. Ragıp Bayrambeyli

Scientific Programmes Expert

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E-mail: eranetrusplus@tubitak.gov.tr

For ARDEB 1001 Research Projects Programme:

<http://www.tubitak.gov.tr/tr/destekler/akademik/ulusal-destek-programlari/icerik-1001-bilimsel-ve-teknolojik-arastirma-projelerini-destekleme-pr>

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For TEYDEB 1509 International Industrial R&D Funding Programme:

<http://tubitak.gov.tr/tr/destekler/sanayi/uluslararası-ortakli-destek-programlari/icerik-1509-tubitak-uluslararası-sanayi-ar-ge-projeleri-destekleme-programi>

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