



Implementation of a Single Joint Call of Programme Owners and Programme Managers from EU Member States, Countries Associated to the 7th EU RTD Framework Programme and Russia

Terms of Reference - Single Joint Call

Innovation

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CONTENT

List of Abbreviations	2
1. Background Information	3
2. Single Joint Call	4
3. Eligibility of Proposals	6
4. Allowable Project Costs	7
5. Submission of Proposals	8
6. Evaluation and Selection of Proposals	12
7. Decision Making by the Group of Funding Parties	19
8. Project Contracts and Project Monitoring	20
Annex I: National Rules of Funding Parties	22

List of Abbreviations

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

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) or Associated Countries (AC) to the EU Framework Programme on Research and Innovation to implement a **Single Joint Call** focussing on 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. In addition, the European Commission grants a top-up to the national contributions for the funded projects.

Building on the successful forerunner FP7 **ERA.NET RUS** project (02/2009 to 01/2014) 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.

A **Steering Committee** comprising representatives from each Funding Party will be responsible for defining the principles of the Single Joint Call on Innovation as well as for the steering, decision making and monitoring of its implementation. The members of the Steering Committee are to be nominated directly by their Funding Parties – one member per Funding Party. The Steering Committee will oversee the preparation and implementation of the Single 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 Single Joint Call and assist the operational management of its implementation. The Core Consortium members will be responsible for the Work Packages of ERA.Net RUS PLUS and the underlying tasks. Members of the Core Consortium are:

1. Project Management Agency c/o German Aerospace Center, European and International Cooperation, PT-DLR, Germany (Coordinator)
2. National Centre for Scientific Research, CNRS, France
3. Russian Foundation for Assistance to Small Innovative Enterprises, FASIE, Russia
4. Russian Foundation for Basic Research, RFBR Russia
5. Centre for Social Innovation, ZSI, Austria
6. Higher School of Economics, HSE, Russia

PT-DLR acts as coordinator for the ERA.Net RUS PLUS. The role of the coordinator is to manage administrative, financial and communication issues related to the project. Furthermore, the coordinator will act as interface to receive and distribute the financial contribution of the European Union to the partners. The members of the Core Consortium will provide various services for the Group of Funding Parties. To facilitate ERA.Net RUS PLUS with competences in the field of monitoring and impact assessment, ZSI and HSE will be included as members of the Core Consortium, but they will not act as Funding Parties in the call. The Core Consortium will provide administrative services for supporting the whole process starting with preparing and launching a competitive call for proposals for collaborative innovation projects and lasting till the final selection of projects to be jointly selected by the Group of Funding Parties to be followed by the monitoring of national contract negotiations with the beneficiaries and the proceeding funding period of the collaborative projects. Details of the implementation of the Single 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 a **Joint Call Secretariat (JCS)** assumed by three of the Core Consortium partners (PT-DLR, FASIE, RFBR). The mandate of the Joint Call Secretariat is defined by the GFP and the Steering Committee through the Implementation Agreement (IA) and the **Terms of Reference - Joint Call Secretariat**.

The Group of Funding Parties will launch the first step of the Single Joint Call on Innovation on 31.03.2014 to be closed strictly on 28.05.2014. The call will follow a two-step submission and evaluation procedure. In a first stage, applicants will be asked to submit pre-proposals. Depending on the results of the evaluation of pre-proposals, successful applicants will be invited to submit a full proposal in a second stage.

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

Programme Owners & Managers

The following **programme owners and managers** have signed an Implementation Agreement for the Single Joint Call on Innovation in their capacity of Programme Owners/Managers, thus confirming 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. AiF Projekt GmbH, AiF (Germany)
3. Federal Ministry of Education and Research, BMBF (Germany)
4. General Secretariat for Research and Technology, GSRT (Greece)
5. Israeli Industry Center for Research and Development, MOITAL (Israel)
6. National Centre for Research and Development, NCBR (Poland)
7. Executive Agency for Higher Education, Research, Development and Innovation Funding, UEFISCDI (Romania)
8. Foundation for Assistance to Small Innovative Enterprises, FASIE (Russia)
9. Scientific and Technological Research Council of Turkey, TÜBİTAK (Turkey)

2. Single Joint Call

2.1 Call Topics and Scope

The Single Joint Call on Innovation covers **Innovation Projects** (“SJC/IP”). With respect to scientific or technological disciplines this topic is thematically open.

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 also address applied research and technology development implemented by **small sized innovative research performing enterprises** in Russia in partnership with universities or and 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 research collaboration in the fields of research and innovation between EU MS/AC and Russia and to pave the way to 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 **total indicative financial contribution** of the GFP members – confirmed by written statements – to the Single Joint Call on Innovation will be approximately

EUR 15.750.000

The national financial contributions of the GFP will be topped-up by the European Union (EU topping-up). Up to 3.5 million EUR will be provided by the EU for both joint calls.

Related information as regards the indicative financial contribution to the call budget by each of the Funding Parties can be found in the following table:

Funding Party	Indicative contribution¹ (EUR)
1. Austrian Research Promotion Agency, FFG (Austria)	1.500.000
2. Federal Ministry of Education and Research, BMBF (Germany)	500.000
3. AiF Projekt GmbH (Germany) ²	Up to 10.000.000
4. General Secretariat for Research and Technology, GRST (Greece)	300.000
5. Israeli Industry Center for Research and Development, MOITAL (Israel)	350.000
6. National Centre for Research and Development, NCBR (Poland)	800.000
7. Executive Agency for Higher Education, Research, Development and Innovation Funding, UEFISCDI (Romania)	400.000
8. Russian Foundation for Assistance to Small Innovative Enterprises, FASIE (Russia)	1.500.000
9. Scientific and Technological Research Council of Turkey, TÜBİTAK (Turkey)	400.000
Total	15.750.000

The Single Joint Call on Innovation will be implemented through a **coordinated funding scheme** whereby each Funding Party will fund its own teams within a multilateral project also known as a **virtual common pot**, with a view to harmonize 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 Funding Party 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: (2) the remaining project consortium is ready and capable to take over the activities of this partner and consists of at least three partners

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

² Projects will be financed within the running program ZIM by the German Federal Ministry for Economic Affairs and Energy (BMWi) if all rules and regulations of the program are fulfilled and budget is available.

funded by their respective Funding Party. However, there must be at least one Russian partner in each consortium funded by a Russian Funding Party.

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

2.3 Eligible Applicants and Project Consortium

Applicants must be eligible for funding by their respective national Funding Party. 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).

A **project consortium** must comprise project partners eligible for funding from at least three different countries, of which at least one 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 could join any eligible consortium submitting a proposal in the context of this call, however, on their own expenses. This is only valid for cases where the ineligible applicant 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 30 months. A project can be extended up to 30 months only on the condition that all Funding Parties involved in said project allow it (Annex I).

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.

3. Eligibility of Proposals

Proposals must:

- Be in the scope and in the thematic focus of the call (as described in Section 2)
- Meet the consortium composition requirements (as specified in Section 2)
- Be submitted by at least 3 applicants from 3 different countries (of which at least one from Russia) which are eligible to receive funding from their national members of the Group of Funding Parties (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 are processed by the Joint Call Secretariat. Non-eligible proposals will be rejected.

The Joint Call Secretariat will ask the Funding Parties 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**.

Contact Points: In order to ensure a smooth implementation of the SJC, each Funding Party appoints a contact person acting as a Contact Point (CP). Applicants are strongly advised to contact their Contact Point in due time before proposal submission in order to check their eligibility on national level.

Contact details are listed on <http://www.eranet-rus.eu>.

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 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 respected institution, respecting regulations 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 participant’s organization, respecting regulations as defined by the responsible national Programme Owner.

Equipment

- Any participating partner may purchase equipment respecting national procurement rules and procedures.
- All equipment costs financed by the grant must be relevant to equipment 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 **2-step procedure**.

In a first step, applicants will submit a short **pre-proposal** (section 5.1.2). In a second step, successful applicants will be invited to submit a **full proposal** (section 5.1.3).

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

5.1.2 Structure of pre-proposal

SECTION A. GENERAL INFORMATION

A1. Proposal Details

- **Title and acronym:** Give the title and acronym of your project.
- **Keywords:** Identify the keywords selected from a keyword list (in PT-Outline).
- **Free words:** Supply additional free words to further specify your scientific subject.
- **Duration:** Minimum 24 months, up to 30 months.
- **Total cost:** Estimated overall budget of the project (in EUR).

A2. Summary (max. 2000 Characters)

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

For each team, the following information should be given:

- Legal Name
- Organisation Short Name
- Description of Organisation
- Team Leader and address
- List of publications (maximum 5 publications per partner)

SECTION C. ESTIMATED FUNDING REQUESTED BY PARTICIPANTS

For each team, give the estimated and overall costs for the total duration of the project. In case of several Funding Parties per country, indicate the chosen Funding Party.

SECTION D. OBJECTIVES

- Background and state of the art in the field (recommended length 0,5 page)

- Scientific-technological objectives (recommended length 1 page)
- Added value of the proposed consortium and its complementary innovation potential (recommended length 1 page)
 - Market and economic impact
 - Societal impact

5.1.3 **Structure of full proposal**

SECTION A. GENERAL INFORMATION

A1. 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.
- Starting date: Summer 2015 (expected).
- Duration: Minimum 24 months, up to 30 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.

A2. Summary (max. 1 page)

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

A3. Background and Research Objectives (max. 3 pages)

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

- Describe as precisely as possible the scientific and research 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 novel character of the research 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.
- Explain the relevance and importance of the research 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.

A4. Project Description (max. 10 pages)

Give an overall description of the research 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 (maximum 5 publications per partner).
- Give references concerning market and economic needs.

SECTION B. TEAM INFORMATION (max. 1 page 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. 2 pages)

- 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 (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.

SECTION D. BREAKDOWN OF COSTS

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

SECTION E. IMPACT OF THE PROJECTS (max. 2 pages)

INNOVATION POTENTIAL: EXPLOITATION OF RESULTS

- Give the expected results of your project, which have potential applications for further advances in technological products, services or methods.
- 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.

5.2. How to use the On-line Submission System “PT-Outline”

5.2.1 Registration in the On-line Submission System

In order to submit a pre-proposal or a full proposal, the project coordinator should access the on-line submission system through the link:

https://secure.pt-dlr.de/ptoutline/RUS_INNO2014.

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.

When accessing the on-line submission system 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 On-line 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.

Proposal 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. 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.

All members of the Consortium will be provided access to the on-line submission system.

5.2.3 Acknowledgement of receipt and registration number

After final submission of the proposal, the project coordinator will automatically receive an acknowledgement of receipt with the proposal's registration number by e-mail.

Submission Deadline

The deadline for submission of a pre-proposal will be 28.05.2014, 17:00 (CET) equivalent to 19:00 Moscow time.

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

The **deadline for the submission of full proposals** will be announced to those Consortia with successful pre-proposals.

6. Evaluation and Selection of Proposals

Proposals submitted under the Single 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 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 evaluation of proposals will be done in a 2-step procedure.

In a **first step**, pre-proposals will be evaluated by external expert reviewers leading to a set of selected projects. Successful applicants will be invited to submit full proposals. In a **second step**, a dedicated pool of evaluators consisting of external expert reviewers will assess anonymously the merits of the submitted full proposals.

An **Innovation Council (IC)** consisting of high level scientific experts will be appointed by the Group of Funding Parties for all issues related to the evaluation procedure, especially to ensure the quality of the outcome from the external peer review. Each Funding Party is invited to nominate two experts, 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 to 12 experts, depending on the number of

Funding Parties (FP) participating. Each FP will be represented in the IC by 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 1 nominated expert³;
- A fair representation of Russian experts will be ensured.

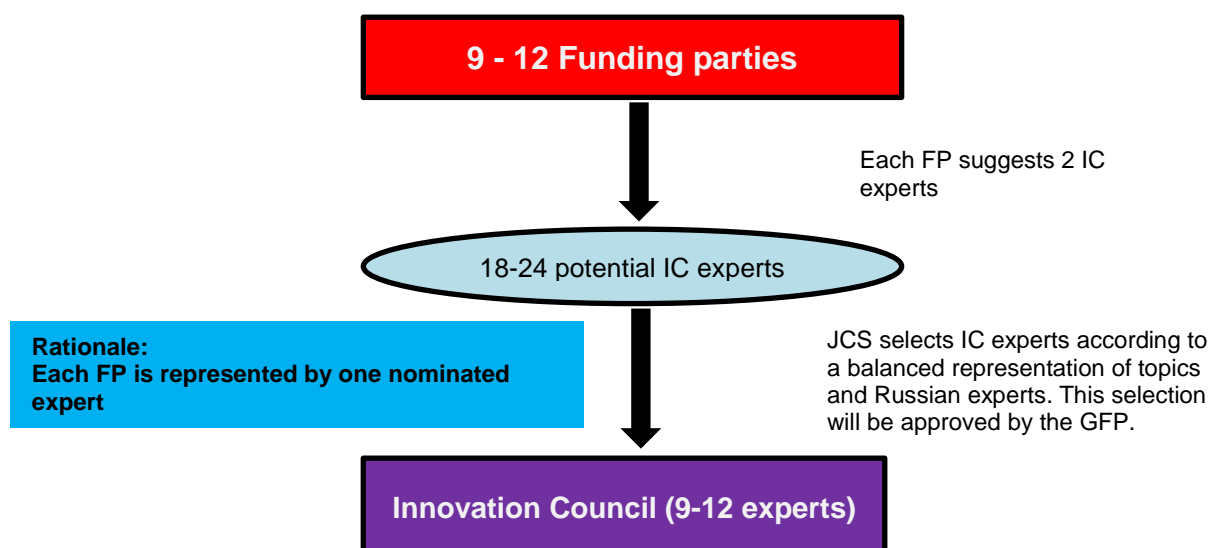


Fig. 1: Constitution of the Innovation Council

The JCS will present the list of nominated IC experts to the Steering Committee and to the GFP for their final approval based as closely as possible 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 EVAL-INCO database. Once necessary due to a lack of expertise or availability of suitable experts given the call timetable, new reviewers will be invited to register in the EVAL-INCO database based on proposals of the IC experts.

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

6.2.2.1 National Eligibility Check

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

6.2.2.2 Evaluation of pre-proposals

The JCS will in a first step allocate the submitted pre-proposals to three potential external reviewers from the EVAL-INCO database according to matching key-words. The members of the IC will check the matching of pre-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.

³ A targeted extension of the IC, e.g. on the basis of representation in sub-topics might be envisaged and decided upon by the GFP at a later stage after the proposals had been submitted.

A first IC meeting will take place to discuss the ranking list for the pre-proposals eligible for the second submission step.

Each IC member will act as a key-reader for several pre-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 FPs will take the final decision on the selected pre-proposals eligible for submitting a full proposal.

6.2.2.3 Evaluation of full proposals

The JCS will allocate the full proposals to three potential external reviewers from the EVAL-INCO database according to matching key words. The IC will check the matching of proposals to external reviewers, if deemed necessary.

A second IC meeting will be gathered to discuss the ranking list for the projects eligible for funding.

The IC will present its joint recommendation (ranking list, including reserve list) to the FPs. The final decision on the selected projects eligible for funding rests with the Group of Funding Parties.

6.2.3. Appointment of Evaluators

The evaluators for the peer-review process are selected from a pool of evaluators (**EVAL-INCO database**) on the basis of their competence, irrespective of their nationality, age and affiliation. Funding Parties are highly 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.

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:

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. Framework of 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 pre-proposal and each full 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 (EVAL-INCO database), with a view to achieve maximum competence for the evaluation. The IC will check the relevance of the allocation of proposals to external evaluators by the JCS and eventually reconsider the proposal by nominating an appropriate expert from the EVAL-INCO database.

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 the confidentiality of the information contained within the proposals they evaluate and of the evaluation process and its outcome. The Joint Call Secretariat and the Group of Funding Parties, represented by the Steering Committee, are committed to maintain the anonymity of the evaluators. The members of the Joint Call Secretariat and the Innovation Council, 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 pre-proposals and ensures that they meet all general formal eligibility criteria as set out above.

National Eligibility Check: The JCS will ask the members of the Consortium to thoroughly check and confirm the eligibility of applicants participating in a project consortium according to their national regulations (**Annex I**). This includes financial parameters like funding limits. Each corresponding Funding Party thoroughly verifies and confirms in a “National Eligibility Check” whether Pre-Proposals from applicants from the respective country meet the national eligibility criteria as stated in Annex I.

6.3.2 Evaluation of pre-proposals – Step 1

The JCS will in a first step allocate the pre-proposals to three potential external reviewers from the EVAL-INCO database according to matching key words. The IC will check the matching of pre-proposals to external reviewers and propose alternative experts from the EVAL-INCO database, if deemed necessary.

The evaluation of these pre-proposals 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 other evaluators.

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 presentation of the pre-proposal.

Evaluation scores will be awarded for each of these three 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 to II the threshold is 3 points out 5 per criterion (scoring table in section 6.3.4).

The evaluation should address the following three criteria:

- I. Scientific and/or technological merit (threshold: 3/5)**
 - Sound concept, quality of objectives
 - Innovativeness of the project idea
 - Progress beyond the state-of-the-art

- Quality and effectiveness of the scientific and technological methodology
- Qualification and relevant experience of the coordinator and the individual participants/participating research teams

II. Potential impact (threshold: 3/5)

- Contribution to the development of the research field in question
- Sustainability of the project results
- Impact of the project toward solving significant regional problems
- Exploitation potential of project results meeting market needs

III. Quality of the presentation

- Clarity and comprehensiveness of the pre-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 pre-proposals:

	Criteria	Score	Weight
I.	Scientific and/or technological merit	0-5	40%
II.	Potential impact	0-5	50%
III.	Quality of the presentation	0-5	10%
	TOTAL	0-5	100%

6.3.2.3. Ranking lists and decision procedure

The JCS moderates and manages the evaluation process with the approved external reviewers and establishes a **preliminary ranking list of pre-proposals**, including reserve list on the basis of their scores and written evaluations.

The IC will hold a first meeting to discuss and consolidate the ranking list. Each IC member will review several pre-proposals. The IC will discuss critical cases (e.g. pre-proposals that received contradictory evaluations) and may prioritize between pre-proposals that have attained the same grading in order to ensure a coherent ranking. The number of pre-proposals to be selected will depend on the total available call budget, considering a final success rate for full proposals of approximately 1:3.

The IC will jointly decide and will present their joint recommendation to the GFP.

The GFP will take the final decision on the selected pre-proposals. Applicants with a successful pre-proposal will be invited to submit a full proposal.

A standard evaluation report will be sent to the applicants by the JCS, including the final overall score and key remarks.

6.3.3. Evaluation of full proposals - Step 2

The evaluation of the **full-proposals** is performed on-line, using the **on-line submission and evaluation system PT-Outline**. Each proposal will 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 full-proposals to three potential external reviewers from the EVAL-

INCO database according to matching key words. The IC will check the matching of proposals to external reviewers and will propose alternative experts from the EVAL-INCO database, 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.

6.3.3.1 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 full 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 to V the threshold is 3 points out 5 per criterion (scoring table in section 6.3.4).

The evaluation of the full 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: 3/5)**
 - 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
- 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 full 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 pre-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%

6.3.3.3. 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 full proposal is calculated and retained to establish the ranking. The average score will be rounded to the second decimal.

The IC will hold a second meeting for the review of the full proposals. The IC will discuss critical cases (e.g. full proposals that received contradictory evaluations) and will prioritize between full 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. 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 Funding Parties 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 full 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 – 4.30	C
4.29 – 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 Core Consortium, 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, 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.

In case the above mentioned steps do not lead to a solution, other Funding Parties will be asked to check whether 'left-over' EC top-up funds can be allocated to the proposals in question – only in the case of Funding Parties not being able to allocate the full top-up funds.

Should this not be possible, the respective Funding Parties would be entitled to receive extra funds from the reserve. The maximum amount to be received will represent a 'reasonable' relation to the national funding provided.

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 Funding Parties 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 PT-DLR and FASIE on behalf of the Group of Funding Parties 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 full 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 standardized intermediate and final reports to be submitted by the project consortia (via the project coordinator) according to the terms of the 'Umbrella Contract'. The reports will be available for further use by the Funding Parties.

The overall monitoring includes the following items:

- Synchronization of national grant agreements by the Joint Call Secretariat (JCS): Funding Parties 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.
- The project coordinator compiles information on the progress of an individual project from all project consortium partners and sends a short standardized report mainly on the scientific progress of the project until the month 12 and 24 (Intermediate Reports). The report should not exceed 5 pages including tables, graphs and figures. In particular, the short report should clearly state whether the work program of the project had been implemented according to the terms of the project proposal or if any deviations have occurred. The report will be analyzed 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.
- At the end of a project the project coordinator has to present a standard 'Final Report' which is also mandatory in case the project will be terminated prematurely. The final report should not exceed 10 pages including tables, graphs and figures and a publishable abstract of the project results. A template for the reports will be provided by the JCS. The report will be analyzed 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 program, 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 Kooperative F&E Projekte” Version 1.5 from the FFG website at

<http://www.ffg.at/Kooperatives-FuE-Projekt>

https://www.ffg.at/sites/default/files/dok/il_kooperativefueprojekte_v15.pdf

What types of costs are eligible for funding?

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

www.ffg.at/kostenleitfaden (“Kostenleitfaden für Vorhaben mit EU-Kofinanzierung” in the most recent version) and from the “Leitfaden Kooperative F&E Projekte” Version 1.5 from the FFG at: https://www.ffg.at/sites/default/files/dok/il_kooperativefueprojekte_v15.pdf

In addition to the general rules for this call, chapters 1.4.1 and 1.7 of the “Leitfaden Kooperative F&E Projekte” apply.

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)

Austria requires the following eligibility criteria for Austrian participants:

- timely submission as specified in the relevant call for proposals

- submission of a complete proposal
- for companies, commercial register number and the balance sheets of the last three years
- financial viability and business soundness is verified by means of an internal check - companies that are in danger of insolvency cannot be funded
- Austrian partners are not allowed to be the project coordinator
- Additionally required for the second stage (full proposal):
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>
- upload of a complete Form C in the FFG eCall within the submission deadline of the second stage.

The minimum duration of a project is 24 months and should not exceed 30 months. A project can be extended up to 30 months only on the condition that all Funding Parties involved in said project allow it.

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.

Upper funding limits for eligible costs?

Research Categories	Small Enterprises	Medium Enterprises	Large Enterprises	Research Organisations
Industrial Research	80%	70%	55%	80%
Experimental Development	60%	50%	35%	60%

With regard to the size of the enterprise, the respective SME definition according to EU competition law applies as amended (definition of small and medium-sized enterprises according to Recommendation 2003/361/EC of the Commission of 6 May 2003, (OJ L 124 of 20.5.2003, pp 36-41)

http://ec.europa.eu/enterprise/enterprise_policy/sme_definition/index_en.htm

Any other information relevant to the single joint call

-

National Contact Point

Austrian Research Promotion Agency (FFG)

Mr. Johannes Scheer

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Phone:+43 5 77 55-5070

Country: GERMANY

Funding Institution: AiF Projekt GmbH on behalf of the German Federal Ministry for Economic Affairs and Energy (BMWi)

The following topic is supported by AiF: Innovation

Who can apply?

SMEs according to the EU definition and public or private non profit research organisations as partners of eligible German companies.

Projects with German research organisations and without a German SME can not be funded within this scheme. The German partners in such a constellation can apply for funding from the budget of BMBF. See Annex 1 of BMBF for further details regarding this funding option.

What types of costs are eligible for funding?

Labour costs (defined by real fundable R&D activities in Person Moths in the work plan and real wages of the personnel excluding employers' share of social insurance and general labour costs)

Contracts to third parties (up to 25 % of own labour costs)

Lump sum for all other costs (up to 75 % of own labour costs)

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)

In the second stage, applicants whose draft proposals have been evaluated positively will be invited to submit - in coordination with the designated project coordinator - a formal application (ZIM) for funding on which a decision will be taken after a final evaluation.

Further information is available on www.zim-bmwi.de/kooperationsprojekte.

The project has to be balanced, which means that each partner contributes a necessary non redundant technical subproject which contains significant technical risks.

Generally at least 50 % of the overall work in the project (according to the work plans) has to be performed by the companies.

To avoid unilateral dominance in the project no single partner may contribute more than 50 % of the overall work in the project.

Projects funded within ZIM can last up to 30 months.

Upper funding limits for eligible costs?

For a company fundable costs are limited to 350.000 €, funding rates vary between 40 and 55 % depending on size and place of business of the company and composition of consortium.

For a research organisation funding is limited to 175.000 €, the funding rate is either 90 or 100 %.

Any other information relevant to the single joint call

Contact AiF Projekt GmbH as soon as possible and see www.zim-bmwi.de for further information.

National Contact Point

- AiF Projekt GmbH
- Felix Richter
- +49 30 48163 493
- f.richter@aif-projekt-gmbh.de

Country: GERMANY

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

The following topic is supported by BMBF: Innovation

Who can apply?

Research proposals may be submitted by German (based in Germany):

- Research institutions
- Universities
- SMEs

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.

German applicants will receive their funding from the **Federal Ministry of Education and Research (BMBF)** or the **AiF Projekt GmbH of the Federal Ministry for Economic Affairs and Energy (BMWi)**. In principle, German applicants in projects with German SME participation will be funded through the AiF Projekt GmbH but not the BMBF. The BMBF supports German applicants in projects with German participation of universities and/or research institutions only. Projects with German participation of universities, research institutions and SME will be exclusively funded through the AiF Projekt GmbH via the **‘The Central Innovation Program SME’** (Zentrales Innovationsprogramm Mittelstand – ZIM).

For further information on the ‘The Central Innovation Program SME’ (Zentrales Innovationsprogramm Mittelstand – ZIM) please see: <http://www.zim-bmwi.de/kooperationsprojekte>

For AiF related information, please refer also to the section on the AiF Projekt GmbH.

Contact Person:

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AiF Projekt GmbH
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What types of costs are eligible for funding?

I 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 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: The subsistence allowance per full day (including accommodation, meals) in the context of a business trip should be applied as a lump sum. Travel costs are eligible (economy class). Travel lump sums/per full day: 94 EUR. 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 an additional lump sum of 20% (Projektpauschale) of the requested funding for research projects under the condition that the indicative overall financial plan includes cost categories such as personnel, awarding contracts, rents, computational costs and/or investments.

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.

In exceptional cases, in which SME are also funded the grants for SME are calculated on the basis of the total project-related costs eligible for funding, up to 50% of which can, as a rule, be covered by government grants, depending on how near 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: **100.000 EUR/project** (NOT per each partner in a given project)

The minimum duration of a project is 24 months, and should not exceed 30 months. A project can be extended up to 30 months only on the condition that all Funding Parties involved in said project allow it.

Applicants whose full proposals have been evaluated positively will be invited to submit - in coordination with the designated project coordinator - 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 the BMBF's electronic application system "easy".

Further information relevant to NATIONAL applicants

Contact Point

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Administrative issues

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Country: GREECE

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

The following topic is supported by GSRT: Innovation

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.

What types of funding are eligible for Greek researchers?

I Eligible costs as direct costs

a. Other costs:

Events

In general all costs directly related to the preparation and the implementation of events like workshops, conferences etc. are eligible. Costs for the events should be requested by the partner in the hosting country.

Travel

Here, lump sums are taken as a basis for budget calculation. Nevertheless the final calculation will be done on the basis of invoices. A general lump sum of up to 1000 € (economy class & return ticket) for each travel to another **ERA-NET RUS PLUS project_country** will be applied. In addition also domestic travel costs should be eligible up to an amount of 300 € (economy class & return ticket) per travel.

Subsistence allowance

The general subsistence allowance including accommodation costs etc. in the context of the business trips should be 300 € per day (full day). The day of arrival is treated as a full day and the day of departure is treated as a full day only if there is a scheduled meeting in the same day. If not, the subsistence allowance won't be reimbursed.

b. Costs of durable equipment

If such instruments and equipment are not used for their full life for the research project, only the depreciation costs corresponding to the life of the research project, as calculated on the basis of good accounting practice, are considered as eligible. The amount of use (percentage used and time) must be auditable. The costs of durable equipment for a Greek participant are limited to 20% (up to 20.000 €) of the overall contribution of GSRT to the respective project.

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.

d. Costs of personnel

Personnel costs are costs for scientific and administrative personnel as well other supporting staff (temporary employees etc.) to the extent as they are employed on the research project. In order to avoid double funding, only the cost for additional personnel should be granted.

The maximum monthly wage for a young researcher working in a project up to 24 months shall be

1200 €. Young researchers are persons, up to 35 years old, who are in the process of getting a doctoral degree/or are in a possession of a doctoral degree.

Since this wage is for a full month, the maximum wage for a half month etc. is calculated on a pro-rata basis.

e. Subcontracting

The general rule should be that applicants shall implement the projects 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. Subcontracting should only be eligible when it deals with support services like rent of locations, translation costs, costs for technical equipment in the context of the organisation of events or printing services etc. and should not exceed the 20% of the total budget.

f. Eligible costs as Indirect costs

Up to 5% of the total budget.

g. Upper funding limits for the eligible costs

Upper limit of the total public funding will be 100.000 € per project. 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).

h. Duration of the projects

- The duration of a funded project is 24 months.
- This duration can be extended to 30 months only on the condition that *all* Funding Parties involved in said project allow it.
- An extension of duration can be accepted without increasing the scientific or the financial part of the project.

In any case there might be changes according to the national regulation in force on the day of the contracts' signature.

National Contact Point:

General Secretariat for Research & Technology (GSRT)

International S&T Cooperation Directorate – Bilateral Relations Division

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E-mail: pafe@gsrt.gr

Country: ISRAEL

Funding Institution: Israel-Europe R&D Directorate for the EU FP (ISERD), on behalf of the Ministry of Industry, Trade and Labor (MOITAL)

The national funding authority is the Office of Chief Scientist (OCS) of the Ministry of Industry, Trade and Labor:

<http://www.moit.gov.il/CmsTamat/Rsrc/MadaanEnglish/MadaanEnglish.html>

The national programme management agency is the Israel-Europe R&D Directorate for the EU FP (ISERD):

<http://www.iserd.org.il>

Israeli project partners are administered under the OCS participation to the Joint Program.

The following topic is supported by ISERD-MOITAL:

Innovation

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.

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 internationally.

Financial stability and a proven co-funding ability are required.

What types of costs are eligible for funding?

The range of eligible costs comprises personnel, other project costs (e.g. travel, materials, meetings), subcontract (to be specified) and indirect costs (synonym to overhead costs). For any other type of costs, please contact the indicated contact person up front.

The total funding for an Israeli partner will be in the range of 20% to 50% of the eligible costs.

Funding rules and other documents of the OCS funding can be retrieved:

<http://www.moit.gov.il/CmsTamat/Rsrc/MadaanEnglish/MadaanEnglish.html>

The law, including funding levels:

<http://www.moital.gov.il/NR/exeres/9F263279-B1F7-4E42-828A-4B84160F7684.htm>

General terms and conditions for enterprises:

<http://www.moital.gov.il/NR/exeres/C4A8C9EC-7BDF-431D-AEC5-5CBB57D839FC.htm>

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)

The minimum duration of a project is 24 months and should not exceed 30 months.

Upper funding limits for eligible costs?

No.

National Contact Point

Israel-Europe R&D Directorate for the EU FP (ISERD)

Mr Uzi Bar-Sadeh

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Country: **POLAND**

Funding Institution: **National Centre for Research and Development**

The following topics are supported by NCBR:

Innovation projects

Who can apply?

1. Research entities,
2. Enterprises (micro, small, medium, large),
3. Scientific consortia (research entities and enterprises).

What types of costs are eligible for funding?

1. **Personnel costs (W)** - researchers, technicians and other supporting staff to the extent employed on the research project;
2. **Costs of instruments, equipment (A) and intangible assets** (such as patents, certificates etc.) to the extent and for the period used for the research project; if they are not used for their full life for the research project, only the depreciation costs corresponding to the life of the research project, as calculated on the basis of good accounting practice, shall be considered eligible;
3. **Purchase of land and real estate (G)** to the extent and for the period used for the research project; if such instruments and equipment are not used for their full life for the research project, only the depreciation costs corresponding to the life of the research project, as calculated on the basis of good accounting practice, shall be considered eligible;
4. **Costs of subcontracting (E)**, i.e. costs based on agreements with third parties to perform a portion of the project without a direct supervision of the project participant and without a relationship of subordination the subcontracting can be obtained from consortium partner only in justified case, this need will be verified by a national experts panel;
Costs of subcontracting cannot exceed 70% of all eligible costs of the project.
5. **Other costs (Op)** - including costs of support services, materials, supplies and similar products incurred directly as a result of the research activity;
6. **Overheads (O)** - incurred indirectly as a result of the research project; Overheads must be calculated according to the formula:
$$O = (W+A+G+Op) \times \text{up to } 25\%^*$$

* percentage from 0% to 25% estimated by the Applicant himself (the same percentage for every task in the project)

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)

None.

Upper funding limits for eligible costs?

All funding granted to the Beneficiaries by the NCBR is awarded based on following national regulations:

1. The Act of 30 April 2010 on the Principles of Financing Science, published in Journal of Laws No. 96 item 615, 2010;
2. The Act of 30 April 2010 on the National Centre for Research and Development, published in Journal of Laws No. 96 item 616, 2010;
3. The Regulation of the Minister of Science and Higher Education of 28 October 2010 on criteria

and rules on granting state aid and “de minimis” aid by the National Centre for Research and Development, published in Journal of Laws item 1415, 2013, which is in line with the Commission Regulation (EC) No 800/2008 of 6 August 2008 declaring certain categories of aid compatible with the common market in application of Articles 87 and 88 of the Treaty (General block exemption Regulation)

Types of research funded including **the maximum state aid intensity** for enterprises according to the abovementioned Regulation:

Type of Applicant	Typ of research funded	
	Industrial research (basic level 50%)	Development works (basic level 25%)
Research entity	100%	100%
Micro/Small enterprise	50+20+15 (max 80%)	25+20+15 (max 60%)
Medium enterprise	50+10+15 (max 75%)	25+10+15 (max 50%)
Large enterprise	50+15 (max 65%)	25+15 (max 40%)

Upper limit of the total public funding for eligible costs is estimated on 200.000 € per project.

Any other information relevant to the single joint call:

1. Duration of projects:

The duration of the project is 24 months, however NCBR allows for the extension to up to 30 months on the condition that *all* Funding Parties involved in said project agree on it.

The duration of the project is to be determined at the proposal stage. An extension of duration cannot be decided upon once the project is started.

2. National phase of the applying procedure:

After international evaluation of full proposals and establishing the ranking list, Polish Participants from consortia recommended for funding will be invited to submit National Application Form (NAF).

All eligible entities, invited to submit NAF are obliged to use the rate of exchange of the European Central Bank dated on the day of opening of the call.

NAFs will be then examined by the interdisciplinary panel of experts for international projects for the appropriateness of funding requested. Based on recommendations of the panel, the Director of NCBR issues a funding decision/rejection decision.

Please note, that NCBR allows one team (international consortium) to submit more than one application.

All detailed information about financial rules and national procedure is available on the NCBR’s homepage: <http://www.ncbr.gov.pl/programy-miedzynarodowe/era-net/eranet-rus-plus/>

National Contact Point

- National Centre for Research & Development
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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. ICT
2. Energy
3. Environment
4. Health
5. Agriculture and food safety
6. Biotechnology
7. Materials, processes and innovative products
8. Security and Space
9. Social and humanities

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 fundamental 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 15 % 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 minimum duration of a project is 24 months and should not exceed 30 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.

National Contact Point

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

Name of contact persons:

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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 with an impact to increase in the R&D company activities are eligible.

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 juridical 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?

- a. Costs of personnel **up to 40%**
- 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**

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 single joint call (Section 3: Eligibility of Proposals)

- The project must add benefit to the national economy and demonstrate added value from the international cooperation;
- Ideally, the project should result in acquiring a patent and demonstrate commercialization potential;
- The company applying for financing should undergo the internal procedure of signing a contract with FASIE. Normally, it takes about 2 months after a positive decision is taken to actual start of funding;
- There is no legal limitation to the size and financial status of the company; however, preference will be given to the already established companies having proven record.
- The duration of the projects funded by FASIE should not exceed 24 months and be less than 18 months

Upper funding limits for eligible costs?

A total of maximum 50% of R&D costs can be funded,

Maximum amount per Russian part of the project- 6 million Roubles (~150 k EUR)

Any other information relevant to the single joint call

-

National Contact Point

FASIE

Ms. Olga Levchenko

Phone: +7 495 231 38 51

E-mail: levchenko@fasie.ru

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:

Only capital firms from the private sector can apply. For large firms 60% of the project expenditures, for SMEs 75% of project expenditures that is deemed eligible in the monitoring phase are granted to the beneficiary. Under the programme 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 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 120,000 TL (approx. 40.000 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. For the below described eligible direct cost items, there is no upper limit or percentage share of the total budget.

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

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

1.B.2. Personnel Costs

Personnel expenses are eligible direct costs. The details can be seen in the implementation principles belonging to programme.

1.B.3. 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.4. Living Expenses

Living expenses (subsistence, allowance etc.) are not eligible.

1.B.5. Expenses for the organization of small scientific events

Organization of small scientific events is not an eligible cost.

1.B.6. Other eligible direct costs

Other eligible direct costs include the following:

- 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.

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 TÜBİTAK 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 minimum duration of a project is 24 months and should not exceed 30 months. A project can be extended up to 30 months only on the condition that all Funding Parties involved in said project allow it

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 TUBİTAK WEBSITE AND CONSULT TUBİTAK PERSONNEL FOR THE PROGRAMME CONDITIONS!

Contact Person from the International Cooperation Department:

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Scientific Programmes Expert

Phone: + 90 312 4685300 (1986 ext.)

For ARDEB 1001 Research Projects Programme: http://www.tubitak.gov.tr/sites/default/files/esaslar_v-14-vers.11_0.pdf

Contact Person for ARDEB 1001 Research Projects Programme:

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For TEYDEB 1509 International Industrial R&D Funding Programme:

<http://tubitak.gov.tr/tr/destekler/sanayi/uluslararasi-ortakli-destek-programlari/1509/icerik-yonetmelik-ve-esaslar>

Contact Person for TEYDEB 1509 International Industrial R&D Funding Programme:

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