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FENCO-ERA

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Promotion of an Integrated European and National R&D Initiative for Fossil Energy Technologies
towards Zero Emission Power Plants

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Model of co-operation for use in piloting transnational research

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1. Background

The overall aim of the Fossil Energy Coalition (FENCO)-ERA NET initiative is to network and coordinate the national and regional R&D activities in the field of fossil energy conversion and carbon capture and storage (CCS) technologies in the Member States and Associated States in order to provide the basis for and set up a durable network for the development and promotion of zero emission power plants in Europe. Therefore, it is intended to:

- implement and improve continuously a platform for information exchange on fossil fuel R&D activities at national and regional level,
- establish a common knowledge base for the development of a European policy towards zero emission power plants,
- strengthen the European R&D and demonstration infrastructure on clean fossil fuel power generation through joint programming, management, personnel exchange and targeted integration activities,
- support the Lisbon strategy of the European Commission process by enhancing the competitiveness of European power plant sector.

2. Introduction

This deliverable will provide an outline of the co-operation model for use in joint research, technological and development activities in order to assure an effective and efficient networking, co-operation and integration of the national and regional programmes. The design aspects as well as the procedure for the implementation and management of this joint research activity will be presented. The input for the proposed model regarding the best procedures that should be adopted so as to facilitate the opening up of national/regional programmes and harmonisation on legal aspects, selection criteria, evaluation methods, financial support and monitoring methods is based on:

- The barriers identified and analysed for initiating, managing and evaluating joint RD&D activities concerning legal and institutional restrictions to co-operation, the format and timescales of calls and, running of projects.
- The steps adopted by other ERA-NETs for the design, launch and management of a joint call and the lessons learned
- The answers gathered in the FENCO-ERA database concerning the different rules and procedures that are currently followed by the participating national funding agencies.

- The outcome of the discussion groups at the 3rd FENCO-ERA workshop “Procedure and Theme Finding Laboratory” held in Vienna (16-17 April 2007). This workshop aimed to define the level of cooperation, to identify options concerning the structure and potential topics acting as early movers for collaborative fossil fuel R&D projects as well as to achieve an agreement about the overall procedure for the first common call. The workshop was attended by the members of the ExCo of the FENCO-ERA.Net project as well as by members of the Mirror Group (Governmental Group) of the European Technology Platform on Zero Emission Fossil Fuel Power Plant (ZEP TP) ensuring that the results can find broad political support towards a joint call. The starting point for the discussions held during this workshop was the Working Documents **WD 4.1.: “Joint call on development of communication and public acceptance strategies concerning CCS technologies”** and **WD 4.2.: “Memo on Model of Cooperation (Annex 1)**.

3. Overview of cooperation models – Barriers and enablers

Collaboration between national programmes can be developed by adopting a wide range of different models and procedures. The level of coordination and integration increases as more joint activities are undertaken by the partners. Based on the implementation of a collaborative project at national or common level concerning i.e. the call for proposals, the evaluation, and the funding modalities the following models for cooperation are distinguished in ERA-NET’s with increasing level in the intensity of cooperation (BONUS Publications Nr.2; The joint Baltic Sea research programme-best practice, possibilities and barriers; ERA-Net Maritime Technologies, D2.1 Analysis of barriers):

3.1. Joint call, national evaluation and funding

The partners agree on overall common research themes from their national programmes and launch a joint call for trans-national projects open to researchers from the partner countries. The evaluation of the submitted proposals is conducted at national level. Each national funding agency makes the final funding decision and funds its national applicants according to the existing national regulations.

Barriers:

- Agreement on common research priorities
- Synchronization of calls and project lifetime in terms of time-schedules
- Earmarking of funds due to different national budget cycles

Enablers:

- Assessment of the cooperation’s added value by the national decision makers
- Evidence of tangible benefits from previous collaborative activities
- No great modification of legal regulations

3.2. Joint call and evaluation, national funding

The partners agree on an overall research theme. Together they launch a joint call for a common research programme. An evaluation committee then evaluates the incoming proposals according to agreed

evaluation criteria. Each funding organisation will then make the final funding decision and fund its national applicants.

Barriers:

- Timing and duration of R&D projects vary amongst agencies
- Research priorities differ amongst agencies
- Variable procedures on launching a call, evaluating proposals, etc. amongst agencies
- Differences in funding abilities of the partner countries
- Lack of flexibility for budget allocation in some funding agencies
- Lack of control concerning the evaluation procedure by the funding agencies
- Composition and funding of common evaluation committee
- Differences in ownership of funding process
- Earmarking of funds

Enablers:

- Strategic, long term benefits of technical cooperation by acquiring access to expertise and facilities not available at national level
- Identification of other countries with programmes addressing common priority areas of mutual interest
- Development of a common procedure for the call with a simple approach based on scientific excellence and increase of synergies at European level
- Agreement on evaluation procedure, criteria, funding rules and management procedures amongst agencies
- The agreed procedure allows the co-ownership of the funding agencies

3.3. Joint call, evaluation and funding

In this model the partners agree on an overall research theme. The partners launch a common call and the applications are evaluated through a joint evaluation procedure. The funds for research are put in a common pot, and the highest ranked proposals are funded. Thus, the partners make the final funding decision jointly. This is a model where rating, ranking and financing stays in the same forum.

Barriers:

- The legal constitution for public funding of the research programme explicitly forbids the transfer of funds to non-residents
- National policy for science and innovation is based on improving national scientific and technological capacity to address national priorities
- Source of funding does not allow use of funds for transnational activities
- Not existing legal- and regulatory framework (e.g. contracts with foreign partners)
- Funds allocated by a country to a programme would not only benefit its own researchers (no juste retour mechanism)
- Reluctance and limited experience to set up financial mechanisms and joint management procedures

- Lack of control of funding decision and national budget

Enablers:

- Financial encouragement at government level
- Recognition of the relevance of trans-national cooperation for national research capacity building
- Establishment of a procedure based on mutual interest amongst agencies in order to overcome restrictions and allow allocation of funding to foreign researchers
- Agreement and harmonisation on funding rules and management procedures amongst agencies
- Adoption of specific programme calls relevant to scientific expertise of each agency and establishment of coordination interface where appropriate

4. Structure of the FENCO-ERA 1st Joint Call

Firstly, the workshop participants highlighted the value in additional European collaboration and expressed the following benefits and opportunities of supporting a joint call:

- Increased research capacity and potentially higher quality results than a country could achieve unilaterally. The quality of results will be improved because the overall cost is shared and the breadth and depth of knowledge is greater. Consequently, the impact of public investment in R&D on national priorities increases.
- Minimisation of duplication via the exploitation of complementary strengths in national and regional programmes and information exchange between programme managers in areas of common interest such as the climate change mitigation technologies.
- Less bureaucratic and time consuming procedures compared to EU RTD Framework calls through the synchronisation and harmonisation of procedures and practices across joint calls and programmes.
- Access to research funds in areas not well covered by international funding schemes, often in areas of interest to only a small group of countries or in technical areas not prioritised by the Framework Programmes resulting in more consistent projects better suited to national needs and priorities.
- Exchange and mutual learning amongst national and regional programme owners and managers concerning the design and implementation of research programmes rendering them more consistent with each other.
- Greater degree of flexibility to participating countries by launching calls and programmes with variable geometry allowing a building up of experience through the intensification of cooperation.

After analysing the identified legal, administrative barriers and the associated enablers of each model, FENCO-ERA partners agreed on a version between model 1 and 2 for the FENCO-ERA 1st Joint Call in order to facilitate a harmonious and synergistic development of the FENCO-ERA 1st Joint Call and facilitating thus, the participation of a significant number of partners. Agreeing on a common procedure

allows the co-ownership of the participating funding agencies. This model has the following characteristics:

- **Common call**
- **National and common eligibility criteria**
- **Common scientific/technical evaluation and national evaluation based on agreed evaluation criteria**
- **National funding**

The outline of the FENCO-ERA 1st Joint Call, as the most integrated level of cooperation which can be currently achieved, is illustrated in Figure 1 and comprises the following steps:

- The announcement and dissemination activities will be performed collaboratively within a short and limited time period.
- The coordination and management of the overall Joint Call procedure will be undertaken by the Call Steering Committee (CSC), which consists of the FENCO-ERA Management Board (MB) and representatives of all National Funding Agencies (NFAs) participating in this Joint Call. In addition, a Call Secretariat (CS) will be established in order to provide administrative support to the CSC in the FENCO-ERA Joint Call activities.
- The composition and the role of the FENCO-ERA CSC and CS will be defined in the Memorandum of Understanding (MoU) signed between the participating NFAs before the publication of this Joint Call.
- 1st stage proposals from the FENCO-ERA Joint Call will be assessed by the FENCO-ERA CSC with respect to their scientific/technical content.
- Eligible proposals will be submitted to the national funding agencies for in-depth evaluation considering also the individual merits of the project elements, the roles of the national project partners and the suitability for national funding.
- A review meeting of FENCO-ERA CSC members with representatives from the national funding agencies (as appropriate) will finally rank the 1st stage-proposals.
- The FENCO-ERA 2nd stage proposals shall be evaluated both by the FENCO-ERA CSC and national procedures according to agreed evaluation criteria.
- The NFAs will carry out their own evaluations based on the FENCO-ERA 2nd stage proposals and the respective national/regional funding application forms.
- Based on the final ranking list of the 2nd stage-proposals as agreed at the evaluation panel meeting, the CSC will recommend the funding of projects to the NFAs.
- The funding of projects will be done through a ‘distributed pot’ whereby each country/ region funds its own national/regional participants.
- The administration of projects will be accomplished at both national and FENCO-ERA level.
- FENCO-ERA Joint Calls are based on a specific MoU between the NFAs relevant to each call.

Further procedural details of this 1st FENCO-ERA Joint Call are included in the “Guide for 1st and 2nd Stage Proposal Application” (Annex 2).

5. Defining the thematic topics addressed the FENCO-ERA 1st Joint call

There is no research issue that could fit all national priorities. However, common research priorities with high potential have been identified by the participants as topics for the 1st FENCO-ERA Joint Call. From the funding institutions’ point of view the selection criteria for these common priority areas of mutual interest were based on:

- 1) **Complementarity** with the research topics addressed by the forthcoming EC FP7 calls in order to avoid overlapping of the thematic fields selected for the FENCO-ERA 1st Joint Call and align them with the R&D priorities defined in the Strategic Research Agenda of the European Technology Platform for Zero Emission Fossil Fuel Power Plants (ZEP) and the current activities and aims of the Task Force Groups.
- 2) **Simplicity** by focusing on science-oriented research themes where IP rights, scientific competitiveness and prospects for commercialisation are eliminated in order to facilitate this collaborative scheme. Generally, the scope for collaborative approaches is more wide and straight for information dissemination, knowledge transfer, labelling issues and pre-competitive research, than for technologies ready for market.
- 3) **Appropriateness** and **commonality** of selected research themes in terms of interests and objectives for the involved funding bodies so as to facilitate their commitment for funding as well as to assure a focused and successful collaboration. However, the barrier related to the existing insularity of national programme design is counteracted by the fact that a sustainable and secure energy supply is addressed as a high priority in most national policies for science and innovation.

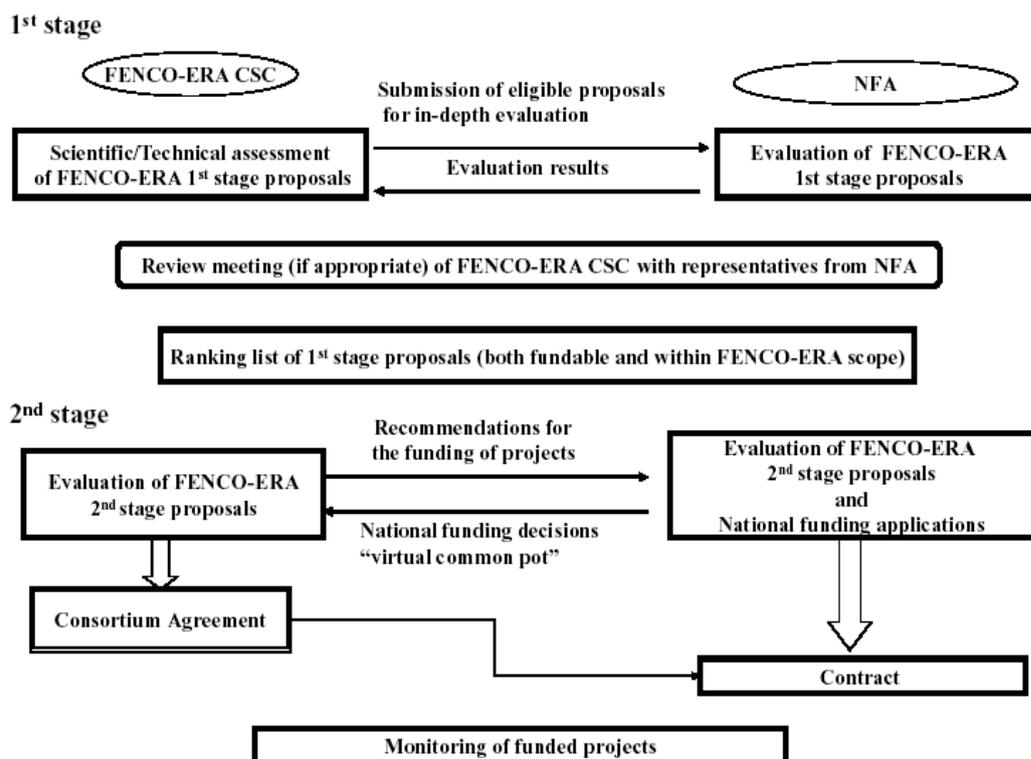


Fig.1: Schematic of the FENCO-ERA Joint Call Process

Within the various thematic fields associated with CCS technologies the 1st FENCO-ERA Joint Call will fund collaborative R&D projects related to:

- **Economic modelling and a strategy for roll out of CCS**
 - This topic is dedicated to examine the current state-of-the-art analysis of CCS technologies, to further develop economic modelling and to explore the economic potential of full deployment of CCS technologies within the portfolio of climate change mitigation options. It is further dedicated to analyse the economic potential of CCS under a wide range of socio-economic conditions, fossil fuel price developments and energy scenarios.

- **Public acceptance and development of public communication and outreach on CCS**

The public perceptions of CCS have been recognized as a vital factor which may support or possibly even accelerate the large-scale deployment of this option. This call therefore focuses on the development of communication with the public based on scientific considerations. Public debate will need to focus on the environmental and energy supply aspects as well as the feasibility of managing (i.e. foreseeing, prevent, minimising) risks associated with transport and geological storage of CO₂.

This topic is focused on building stepping stones for public communication and outreach on CCS

- Analysis and prioritisation of the concerns and issues of the public affecting CCS deployment.
- Identification of topical areas that need to be communicated in order to raise public awareness
- Development of communication channels and tools for different target groups

6. Funding model and eligibility criteria

Preparations of the trans-national RD&D programs face diverse barriers how to agree upon the costs and contributions. In the majority of the programmes the eligibility rules explicitly limit participation to national applicants. The TAFTIE report on “Collaboration models between National Research and Technological Development Programmes” proposes the following financial models which can be utilised in collaborations between national programmes:

a) Centralised Common Pot

This model requires a central organisation with a legal basis. Funds are gathered by means of taxes, fees, etc. according to, for example, participants GNP (Gross National Product) or RTDI (Research and Technological Development and Innovation) investment. The responsibility of the financial control of the coordinated call is a shared common responsibility. The financial control of the projects and of the programme is carried out by one of the participating countries or by an independent third party. The basic idea is that the national funding is not earmarked to national purposes but collected to common pot and allocated to best European projects.

aa) without guaranteed “fair return” (“juste retour”) where there is no adjustment to ensure a guaranteed return to participating countries.

ab) with adjustment (ex-ante or ex-post) of return.

b) Decentralised common pot with mutual follow-up of separate national financing based on a real commitment of funding through a formal agreement between the national funding agencies. Each national funding agency must earmark an agreed amount of funding for the common purpose.

c) Simultaneous national funding

National authorities handle applications and make decisions according to agreed procedures and time schedules. This model is a non-formal procedure which can be implemented when national funding agencies have strongly similar interests in specific research areas.

d) Preferential access funding, in which applications offering the desired transnational collaboration get some financial preference, is not suited for collaboration between national programmes. Preferential access financing can be utilised temporarily to activate transnational RTDI collaborations between projects.

Although the obvious advantages of adopting a centralised common pot financing model (real common pot) concerning the high level of cooperation as well as the fact that the best projects can be funded until the pot runs out, this method is mainly suitable for collaboration activities in basic research and continuous

schemes and not so appropriate for time-limited RD&D projects. A real common pot causes fewer problems when addressing a very relevant but new or less investigated topic. On the other hand, TAFTIE points to a decentralised common pot financing method, which appears to be well suited for industry-related strategic research, technological development and innovation time-limited collaborative RD&D actions.

After a discussion on different financial models used in collaboration schemes FENCO-ERA partners agree that the implementation of a real common pot is currently hindered by different funding and administration cultures, especially in terms of cross-border money transfers. In addition, the partners have expressed the concern of losing financial control and not being able to regain funds put into the programme when using a common pot. As another barrier was considered the “juste retour” to the country according to which, funds allocated by a country to a programme should benefit only its own researchers in order to ensure national benefits (“juste retour” funding mechanism).

Thus, the participants have suggested that the funding decision needs to be made at national levels and that funding national contributions, by implementing a **virtual common pot** (a model closed to decentralized common pots or simultaneous funding models), is probably the most feasible option. Virtual common pots are recommended for topics where much research is undertaken and for internationalising the research community. In this way, each organisation can use its own internal structures and procedures. Virtual common pots mean that the participating funding organizations earmark the amount for a common call, and once the commonly evaluated projects are chosen the funding organizations choose projects they want to fund according to their national funding policies. Before the common calls the funding agencies earmark the amounts they participate in the virtual common pot. Therefore, it is required to agree on the common rules and practices on the call, evaluation and the management of the projects. To conclude, as national funding rules apply, eligible costs will be determined by the rules of each NFA (National Funding Agency). Subcontracting can be included and will be handled under the national rules of the eligible participant.

The participants have also suggested that the duration of the funded projects should not exceed 3 years. It should be pointed out that the length of the joint R&D projects affects the funding regime since some partners can decide on funding for several years ahead while others allocate a budget on an annual basis. Therefore, the participating partners should preliminary earmark funds for several years in advance in order to overcome potential risks caused by a lack of budgetary flexibility.

In order to minimize the coordination problems and keep bureaucracy at an acceptable level, the organisational setup for collaboration should be kept as simple as possible. Therefore, the FENCO-ERA partners have decided that eligible consortia shall consist of a minimum of three partners receiving funding from at least three of the FENCO-ERA partner countries in order to minimize difficulties and delays. Additional research partners outside the FENCO-ERA partnership may participate in the consortium, bringing their own funds and demonstrating true added value to the partnership. It is worth noting that the

TAFTIE report (2005) concludes that collaborative actions should thus be built up from bi- or tri-lateral consortia in order to assure smooth negotiations over shared collaboration procedures.

Universities, research organisations and industrial/private partners are potential eligible consortium members although partner eligibility is subject to the rules of individual NFAs. It is well known that collaboration between national programmes becomes easier for implementation by selecting science-oriented topics. The research fields addressed by this Joint Call seem to be more open to cooperate and share knowledge with the industrial sector than applied research programmes where IP rights, scientific competitiveness and prospects for commercialisation could inhibit. In addition, the selected decentralised common pot funding regime is suitable for such collaborative schemes.

7. Timetables

The preparation of ERA-NETs seems to face considerable barriers with regard to timing. First, they need to agree on the suitable timing for launch a joint call in line with the national schedules. Second, the preparations of the national application forms among the participating countries may cause lag time. Third, the evaluation procedure of the proposals at national level is often dependent on the varied evaluation practices that may require considerable time.

The FENCO-ERA partners pointed out the importance of agreement between the NFA concerning the formulation and organisation of the call and agreed on the following time schedule for the time span between publication of the common call and start of the funded research projects so as to achieve as much as possible synchronisation of national policies and processes.

	Date
Call pre-announcement	1st March 2008
Publication of call	1st April 2008
Deadline submission of 1 st stage proposals	13th June 2008
Invitation for submission of 2 nd stage proposal	15th July 2008
Deadline for 2 nd stage proposals and national applications forms	1st October 2008
CSC recommendations for funding	
Funding decisions by the involved National Agencies	15th November 2008
Start of selected projects	1st January 2009

8. Application and evaluation procedure for FENCO-ERA 1st Joint Call

Although a one-stage application and evaluation procedure tend to be cheaper to administer and faster to conclude the FENCO-ERA participants expressed the opinion that a two stage process would be most appropriate to the FENCO-ERA 1st Joint Call in order to minimize the work load, time and efforts on the applicants and the NFA as well as to facilitate a consistent and efficient processing of proposals.

The 1st stage proposals intend to show the suitability for national funding, the quality of the research plan within the scientific scope of the call as well as the added value of the proposed collaborative approach

while the 2nd stage enable the most promising projects to submit a full research plan including a detailed budget breakdown.

This joint call will comprise a national as well as a common evaluation procedure based on common evaluation criteria. With the aim to avoid changes to the partners' administrative routines resulting from the formulation and organisation of a common evaluation procedure the participants agreed that the most appropriate way is the common evaluation to be carried out by the CSC concerning the scientific excellence of the FENCO-ERA 1st stage proposals. Then, the suitability for national funding will be checked by the respective NFAs.

At the second stage an evaluation of both FENCO-ERA 2nd stage proposals and national applications forms will be conducted at national level using their internal routines but based on joint agreed criteria. The aim is to cope with the potential barrier related to the lack of control of evaluation procedure by the NFAs.

In parallel, the CSC will assess the FENCO-ERA 2nd stage proposals according to the common criteria; rank the eligible proposals and makes recommendations to the NFAs. Each funding organisation makes the final funding decision and each partner funds its national partners.

The steps of the application and consequently, evaluation process including the common evaluation criteria, the FENCO-ERA proposals required to be filled by the applicants at each stage of the 1st FENCO-ERA Joint Call are described in the **“Guide for 1st and 2nd Stage Proposal Application”** (Annex 2).

9. Contractual requirements

9.1. Funding contracts

As a virtual common pot financing will be applied in FENCO-ERA 1st Joint Call funding contracts are settled directly between the project partners and their NFAs in line with the established national routines. Although such contracts vary according to the national rules but often cover the grant, loan or subsidy and all the reporting requirements no potential barriers appear for a synchronization of contract practices.

Each project partner will be responsible to provide the required financial and scientific reporting to their NFA according to national rules in order to obtain and maintain funding during the lifetime of the project.

9.2. Consortium Agreement

Since the topics covered by the FENCO-ERA 1st Joint Call are not so much affected by barriers related to competitiveness issues, the existence of a consortium agreement as a pre-condition for transferring the first funding instalments will be subject to the requirements of the relevant NFAs (see National Annexes).

9.3. Memorandum of Understanding

The Joint management model has been adopted for this collaboration framework as the most appropriate for time-limited collaborative actions between national (and regional) RDTI activities. Within this model the participating partners decide procedures to operate together without any predetermined formal

management structure. Thus, before the publication of the FENCO-ERA Joint Call the participating NFAs will be committed concerning the budget of the call by the signature of a Memorandum of Understanding (MoU), which serves also as a reaching agreement on the goals of the Joint Call, the procedures for applying for funding, evaluating proposals, making funding decisions as well as coordinating, monitoring and following up call and projects progress.

10. Monitoring procedure

Project monitoring will be conducted by each of the NFA of the project partners according to the rules of the call, the national requirements and the individual contracts between applicants and NFAs. The NFAs will receive the technical and financial reports to evaluate the national participation and verify the appropriate use of funds. In addition, the CSC will monitor the progress achieved within the FENCO-ERA project's life based on reports provided by the project co-ordinators at the end of the collaborative projects.

11. Conclusions

Collaboration between national programmes can be implemented by using different models and procedures. The most viable ones are guided by values and practices adopted by the participants. Legal and institutional rules can be barriers to cooperation and opening, but these barriers can be overcome if there is a strong and real intention to co-operate.

The most prevalent barriers are those linked with building a strong scientific and technology capacity to address national priorities and legal restrictions on the transfer of programme funds to non-residents. The enablers to these barriers would be a shared cost (each partner funds its national partners), common call and the recognition that international cooperation represents a benefit to national capacity building.

From discussions within FENCO-ERA partners it appears that the most feasible funding scheme for implementation in the FENCO-ERA 1st Joint Call is a virtual common pot that keeps much of the control at the national level while each country continues to apply its own mechanisms and contracts to fund selected partners.

In particular, the co-operation model adopted by the FENCO-ERA partners provides the following advantages:

- National recognition of the added value of collaborative research: establishment of critical research masses in key areas, and less unintended duplication and fragmentation.
- Ability to allocate funds for collaborative approaches on priority areas of mutual interest.
- Flexibility on the implementation of the joint activities based on the virtual common pot with different levels of intensity.
- Opportunity for the partners to be engaged in the mutual learning processes that may lead to the harmonization of the national practices without the enforcement of national partners.

On the other hand, this model has a disadvantage for effective trans-national cooperation due to the risk that a high research quality project may be dropped for financial reasons due to the lack of homogenous funding to all partners. Another barrier seems also to be the synchronisation of the national cycles.

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Work Package 4

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1. Introduction

Public acceptance is widely considered as a major barrier to the commercial deployment of carbon capture and storage (CCS) technologies. Understanding of public concerns over global warming and knowledge on CCS technologies, as a climate change mitigation option, is crucial as a base for decision makers developing communication strategies with the public and deciding what information and policies would make CCS more acceptable.

This thematic topic for the launch of a joint call seems to be an excellent example to test the principle of joint collaboration and identify barriers and enablers of how national priorities can successfully be coordinated through multinational activities. There are no technological constraints, the prospects for commercial competition are eliminated and the research costs appear limited compared to other R&D activities in the field of CCS. Therefore, a probable project on social issues towards CCS provides a wide scope for collaboration associated with great flexibility to different types of countries independently to their national level of R&D investment. Furthermore, increasing public awareness and gaining public acceptance as a common political priority to adopt CCS will likely stimulate and facilitate national political commitment so as to encourage transnational co-operation and mutual opening in the short term at least.

2. Drivers for a joint call on communication and public acceptance strategies

The potential public perceptions of carbon capture and storage (CCS) have been recognized as a vital factor which may support or possibly even accelerate the large-scale deployment of this option. Up to now, a number of survey studies have been conducted on public attitudes towards climate issues as well as CCS technologies aimed at assessing levels of awareness and knowledge. The results generated indicate that the public is not well informed on the potential of CCS as climate change abatement option.

However, at this early stage where national administrations appear probably reluctant to mutual opening of programmes there are a number of factors acting as enablers to encourage an initial common call on the topic of public communication, such as:

- CCS is a strategic technology option including economical aspects as well as societal. Thus, environmental dimensions and political regulations are required so as to promote the adoption of CCS in each national mitigation portfolio. Frequently, policymakers in the government design and develop public communication activities as it can also be observed by the answers gathered in the questionnaire. Therefore, it seems easier to assure a political commitment through the perceived benefits such as information sharing and higher quality results due to greater breadth and depth of knowledge. Moreover, due to the complexity of decision-making processes survey data can provide information for policymakers and thus facilitate the way to address climate change at national level.

- This research field related to social issues seems to be more open to multinational cooperation than applied research programmes where IP rights, scientific competitiveness and prospects for commercialisation could inhibit. Generally, the scope for collaborative approaches is more wide and straight for information dissemination, knowledge transfer, labelling issues and pre-competitive research, than for technologies ready for market deployment. In addition, the lack of competition issues induces low coordination needs encouraging this joint activity as an initial experience but without excluding an agreed research strategy. According to WP3-Strategic Activities: *It will be easier to facilitate collaboration when commercial competitiveness is less of an issue. This suggests that R&D, particularly in subject areas such as communication, market and regulatory policy, and safety and environment impacts of storage will be fruitful areas for an ERA. In comparison there will be greater problems in agreeing collaboration for advanced power generation and CO₂ capture technologies or full-scale demonstrations of CO₂ capture.*
- Research costs are relatively low compared to the public funds required to support other R&D activities regarding CCS technologies. Thus, the relatively low national budget allocation will enable a wide range of member's states to be engaged in this common public communication and outreach programme. The development of educational material, the use of websites for communication, the conduction of surveys, focus group studies as well as the organisation of workshops with stakeholders are some of the elements commonly used. Nevertheless, it is essential to assure an open decision-making process with suitable mechanisms for introducing public comments and concerns so as to effectively increase the acceptance of the CCS technology.
- The barrier related to the existing insularity of national programme design is counteracted by the fact that a sustainable and secure energy supply is addressed as a key priority in most national policies for science and innovation. Thus, research on public attitudes towards energy-related issues is considered as a critical point. Moreover, this common action promotes the alignment and coordination of national programmes.
- The lifetime of a transnational project in the field of societal drivers and barriers concerning the acceptability public acceptance and development of communication strategy is rather lower compared to R&D projects addressing the rest areas of the CCS chain. Consequently, this will enable FENCO-ERA project - from the first effort for coordination- to identify potential social aspects that could probably affect the establishment of the European Fossil Energy Research Area.

To conclude, an effective climate change mitigation policy portfolio including CCS requires a transparent and comprehensive public communication to assure its political feasibility and a risk management strategy for its commercial deployment. It is essential to provide information in an open and transparent way and engage stakeholders in constructive dialogue. Exploring and understanding the public perceptions and concerns over CCS can define what information and processes should be communicated to ensure the public acceptance. Recently, a number of studies carried out give representative samples on public opinions

in a variety of EU countries. However, there are few studies available that compare differences between countries including CCS. In general, there has been relatively little shared activity across Member States to date, even though many of the challenges are shared. Therefore, there is a considerable need both for an increased level of research as well as for greater coordination.

Understanding of the social perception of CCS options with reliable research methodologies capable of providing answers to policy with the aim to develop an interactive communication strategy at an EU level will be the first step for the further implementation of the Action Plan to gain public support as defined by the SRA of the ZEP Technology Platform.



Project no.
ERAC-CT-2005- 016210

Project acronym
FENCO-ERA

Project title
Promotion of an Integrated European and National R&D Initiative for Fossil Energy Technologies
towards Zero Emission Power Plants

Instrument: Coordination Action

Thematic Priority: ERA-NET: Energy Technology

Work Package 4:

Working Document: Memo on Model of Cooperation

Organisation name for this working document: CERTH / ISFTA, Greece

Start date of project: 01/06/2005

Duration: 66 months

Project co-funded by the European Commission within the Sixth Framework Programme (2002-2006)		
Dissemination Level		
PU	Public	X
PP	Restricted to other programme participants (including the Commission Services)	
RE	Restricted to a group specified by the consortium (including the Commission Services)	
CO	Confidential, only for members of the consortium (including the Commission Services)	

1. Aim

The aim of this draft paper is to provide an outline of the model of co-operation for use in joint research activities addressing questions that need to be answered related to administrative aspects, evaluation method, and funding model as well as monitoring rules. In particular, the input for the proposed model is based on:

- The barriers identified for initiating, managing and evaluating joint RD&D collaboration activities concerning legal and institutional restrictions to co-operation, the format and timescales of calls and, running of projects.
- The steps adopted by other ERA-NETs for the launch of a joint call.
- The answers gathered in the FENCO-ERA Database concerning the different national practices followed among the funding organizations.

2. Introduction to joint activities and joint call procedures

To present the complete joint action/call practice in a comprehensible structure a division in two phases is applicable, on the one hand the description of the design aspects and on the other hand the management and implementation of the procedure.

2.1. Design Aspects

The preparation of joint activities/calls includes the definition of:

- Call objective (e.g. support research, or co-operations between companies, especially SMEs, or creation of new products, ...)
- Actors eligible for funding (e.g. Universities, SMEs, Research organisations, Industry).
- Expected project type (e.g. generic call, or specific thematic area, or with commercial goal, ...)
- Minimum requirements for participants (e.g. Minimum number partners from different countries required in the projects to be funded out of the joint call)

In parallel a selection procedure including the form of call and the proposal evaluation procedure should be adopted. Each country has its specific practices and routines how the Program calls are defined and organized, in more specifically, what is the form of the calls and the form of response to call; and the evaluation of proposals and informing applicants of decision. Thus, common elements like proposal application form, application language, application guidelines, etc. should be agreed.

Before the common call activities start, the funding agencies earmark the amounts they participate in the virtual common pot, which is the funding model mostly employed up to now, excluding NORFACE and the BONUS ERA Nets. Therefore, it is important to agree on the common rules and practices the evaluation and the management of the projects.

2.2. Implementation Issues

The execution of the defined process aspects beforehand covers the more administrative aspects of the joint call procedure. A detailed plan and time schedule of the call from announcement till the selection of proposals to be funded has to be issued covering:

- call structure, proposal submission, application guidelines and forms
- announcement procedure
- evaluation and selection procedure
- contracts between project partners (consortium agreement, non-disclosure agreement, handling of IPR, ...)
- Monitoring elements and composition of follow-up committees (e.g. by national agency, or co-ordinated monitoring)

3. Design Aspects for FENCO-ERA Joint activities

3.1. Call Structure

Within the themes of the Call collaborative research projects should be established by consortia of partners, demonstrating evidence of added value as exclusively enabled by international collaboration. In other words, the projects will deliver results over and above the impact of non collaborative projects funded by individual countries. Structurally, the call would be divided into two Sub Calls, such as:

<i>Sub-Call A for Basic Research</i>	<i>Sub-Call B for Applied Research & Experimental Development</i>
<p>Open for: Researchers/research groups from academic institutions and research institutes within the participating countries.</p> <p>Projects may be supported by companies, but companies may not receive public funds, subject to the national eligibility criteria.</p>	<p>Open for: Companies and research organisations, subject to the national eligibility criteria.</p>
<p>Consortium: A consortium should at least include three public partners from three financially contributing FENCO-ERA countries.</p>	<p>Consortium: A consortium should include at least three partners from three countries, at least one from industry. Participation of two or more private partners from different countries will be favoured.</p>
Funding modalities: According to national terms	Funding modalities: According to national terms.
Duration of projects: up to 3 years	Duration of projects: up to 3 years
The Sub Calls are also open for additional research partners from other non FENCO-ERA countries – bringing their own funds and demonstrating true added value to the partnership.	

3.2. Funding model

From a realistic perspective, virtual pots are relatively easy for participating programme owners and managers to implement, since they involve no significant changes to internal structures and procedures,

whereas common pots can require major adaptations and present real difficulties to some administrations, especially in terms of cross-border money transfers (ERA-NET Review 2006, The Report of the Expert Review Group, December 2006). Thus, Applicants should refer to the annexes of their national funding organisations for guidance on all details of eligibility and funding availability. All funding decisions arising from the FENCO-ERA joint call for Proposals would be in line with the regulations of the European State Aid Rules.

4. Implementation issues

4.1. Calls for proposal (Timetables)

	Month
Publication of joint call	0
Deadline pre-proposals	1
Pre-proposals selection	2
Deadline full-proposals	5
Full-proposals selection	7
Funding decisions	8
Start of selected projects	10

The preparation of ERA-NETs seems to face considerable barriers with regard to timing. The ERA-NET partners seem to have three major difficulties related to timescales. First, they need to agree on the timing for joint calls in line with the national schedules. Second, the preparations of the proposals among the participants from many countries may require extra time.

For example, in the ERASME the joint call closed 6 months after announcement and it was experienced that it takes time for the partners to finalize their consortium agreements after receiving the funding decision.

4.2. Proposal Submission and evaluation procedure

The application process would be two-phased. This procedure was chosen to minimize the paper work of the applicants as well as to facilitate a consistent and efficient processing of proposals

❖ Pre-Proposals evaluation

The pre-proposal should briefly provide a scientific/technological overview, describing the economic impact, the responsibilities of the project partners and the division of the collaborative project into subprojects. It should also contain a preliminary work plan and a cost plan.

Pre-proposals could be submitted in electronic form to the FENCO-ERA Call Secretariat following a “Guidelines for Pre-Proposal Application”. The application forms and the guidelines would be available at FENCO-ERA website. The decision on selection of applications for invitation to full proposal will be communicated within one month from submission. Guidelines for the full proposal will be sent with the invitation to submit after the pre-proposal selection process. Selection of pre-proposals will be according to the following criteria:

- *Suitability for national funding (limitations with regard to the kind of research that the different funding organisations can support)*
- *Relevance to the scope and objectives of Sub Call A and Sub Call B*
- *Added value of the transnational collaboration*
- *Feasibility of the project*
- *Scientific innovation*
- *Adequateness of used resources and finance requested*
- *Industrial relevance (for Subcall B)*
- *Expertise of the consortium*

A short assessment of the pre-proposals, resulting in either invitation to submit a full proposal or rejection is proposed to be carried out by an Evaluation Panel composed of scientific nominees by the respective funding agencies. Final agreement on the composition of the Programme Board will be defined by the FENCO-ERA ExCo.

❖ **Full Proposal Evaluation**

Following the evaluation of the First-Step Proposals, priority listed applicants will be invited to submit an electronically a Second-Step Proposal to FENCO-ERA Secretariat within three months. The applications forms and guidelines for the completion will be available at FENCO-ERA website. In addition, applicants should take note of individual National Annexes and contact their National Call Coordinators for any queries related to these Annexes.

Full proposals will then be sent out for external peer review by a panel of internationally recognized experts from the fields of the call themes, nominated/suggested by the Evaluation Panel, regarding the following criteria:

<p>Technological/Scientific Innovation</p> <ul style="list-style-type: none"> • Technical approach and feasibility of the project • Innovation potential • Benefit for the consortium • State of intellectual property - patents 	<p>Social and Economic perspective</p> <ul style="list-style-type: none"> • Potential for commercial exploitation • Business strategy of the project - strengths and weaknesses • Trans-national added value • Social and environmental benefits
<p>Consortium and Project Management</p> <ul style="list-style-type: none"> • Quality of consortium - complementarities • Scientific excellence and experience of the consortium • Project management capacity • Consortium agreement plan • Dissemination/IPR 	<p>Resources</p> <ul style="list-style-type: none"> • Human Resources • Financial capability of the consortium and financial commitment of the partners

Assessors are required to sign confidentiality agreements and to declare any potential conflicts of interest. Evaluation by a joint international panel can allow identifying projects whose added value is higher than the sum of national added value (Summary report of Workshop: Networking the ERA through Joint Calls, Brussels 2006).

Based on the peer review assessment the Evaluation panel will group the full proposals. This grouped list will then be considered by panels per each Sub Call concerning financial and strategic criteria, leading to the final ranking list.

The panels will consist of representatives from the funding organizations responsible for the selected projects and members from the Evaluation Panel for continuity of scientific aspects of the proposals.

The final ranked list will be formally approved by the FENCO-ERA ExCo. The national funding organisations will make the final decisions regarding the funding of the research teams from their country. At the end of this process the decision will be communicated to the project's leader. The applicants are informed either directly by the ERA-NET office or the national funding organization.

4.3. Contracts

The national FENCO-ERA partners (national funding organizations) would sign a contract with the organization that they finance. In addition, a Consortium Agreement between the project partners will be required to be signed before the start of the project in order to set the basic principles concerning:

- *Rights and duties of the Participants over the research projects, exploitation of results, access rights on Knowledge or Pre-existing Know-how and rules for publication and Dissemination*
- *Organisation of the management of the project*
- *The description and performance of tasks by the Participants*
- *Intellectual Property Rights protection*

However such an agreement is additional to the participants' obligations to the national funding organisations related to “IPR Conditions” or national funding rules.

4.4. Monitoring procedure

The co-ordinator of the consortium has to provide at both national and FENCO-ERA level a short annual report outlining the progress of the project and the milestones/deliverables obtained as well as a final report comprising:

- Technical progress including results obtained during the execution of the project
- Costs statement

Additionally, the follow up of the projects is conducted by each of the national agencies of the project partners according to the national regulations. The funding organisations will receive the follow-up reports to evaluate the national participation and verify the appropriate use of funds.

The funding organisations that directly support the project should be in a position to control the use of the money allocated to the national participants. The reports generated by the transnational projects will also be sent to FENCO-ERA ExCo in order to obtain a more global view of the project.

At FENCO-ERA level the follow-up committees would be principally composed of experts from the participating countries. However it should be considered whether experts with industrial background should be included in this committee in particular in Subcall B which supports public-private partnership.

These follow-up committees could be nominated by the individual funding organisations, based on the level of scientific expertise, with validation by the FENCO-ERA ExCo.

Annex 2



Project no.
ERAC-CT-2005- 016210

Project acronym
FENCO-ERA

Project title
Promotion of an Integrated European and National R&D Initiative for Fossil Energy Technologies
towards Zero Emission Power Plants

Instrument: Coordination Action

Thematic Priority: ERA-NET: Energy Technology

FENCO-ERA 1st Joint Call for Proposals

Guide for 1st and 2nd Stage Proposal Application

1st April 2008

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1. Introduction

The overall aim of “Fossil Energy Coalition”- FENCO-ERA is to network the national R&D activities in the field of fossil energy conversion and carbon capture and storage (CCS) technologies in order to construct a durable European Research Area Network (ERA-NET). Therefore, it is intended to implement and improve continuously a platform for information exchange on fossil fuel R&D activities at national and regional level and to establish a common knowledge base. This common knowledge base will enable overlaps and gaps to be identified and a strategy to be developed with a long-term vision including joint programming, management, personnel exchange and targeted integration activities.

Medium-term steps towards this objective will be the organisation of joint and trans-national activities. This Joint Call for Proposals for research projects published on 1st April 2008 is the first of these activities. The purpose of this document is to provide applicants with the required guidance through the application process for a FENCO-ERA grant.

2. Structure of the Joint Call

The aim of this Joint Call is to enable fossil fuel CCS related R&D activities to be carried out by partners funded by their respective National Funding Agencies (NFAs). The execution of this joint action will provide input for the creation of a framework capable of supporting the establishment of future trans-national activities between national/regional programmes for the development and promotion of zero emission power plants in Europe. Figure 1 shows the schematic process of the Joint Call:

- The announcement and dissemination activities will be performed collaboratively.
- The coordination and management of the overall Joint Call procedure will be undertaken by the Call Steering Committee (CSC), which consists of the FENCO-ERA Management Board (MB) and representatives of all National Funding Agencies (NFAs) participating in this Joint Call.
- In addition, the Call Secretariat (CS) will provide the administrative support to the CSC in the FENCO-ERA Joint Call activities.
- The composition and the role of the FENCO-ERA CSC and CS will be defined in the Memorandum of Understanding (MoU) signed between the participating NFAs before the publication of this Joint Call.
- 1st stage proposals from the FENCO-ERA Joint Call will be assessed by the FENCO-ERA CSC with respect to their scientific/technical content.
- Eligible proposals will be submitted to the national funding agencies for in-depth evaluation according to agreed evaluation criteria.
- A review meeting of FENCO-ERA CSC members with representatives from the national funding agencies (as appropriate) will finally rank the 1st stage-proposals.

- FENCO-ERA Call Secretariat will provide applicants with feedback on their 1st stage proposals evaluation.
- The FENCO-ERA 2nd stage proposals shall be evaluated both by the FENCO-ERA CSC and national procedures according to agreed evaluation criteria.
- The NFAs will carry out their own evaluations based on the FENCO-ERA 2nd stage proposals and the respective national/regional funding application forms.
- Based on the final ranking list of the 2nd stage-proposals as agreed at the evaluation panel meeting, the CSC will recommend the funding of projects to the NFAs.
- Each NFA will make the final funding decision for its national researchers. Thus, the NFAs apply their own well-established funding rules to their national/regional applicants.
- The Call Secretariat will communicate the funding decision to the project coordinator.
- The progress of each individual contract will be monitored by the respective NFAs in conjunction with the FENCO-ERA CSC.
- The administrative and financial reporting of projects is carried out according to the procedures of the respective NFAs. In addition, the project coordinator will submit a scientific report at the end of the projects to the FENCO-ERA CSC.

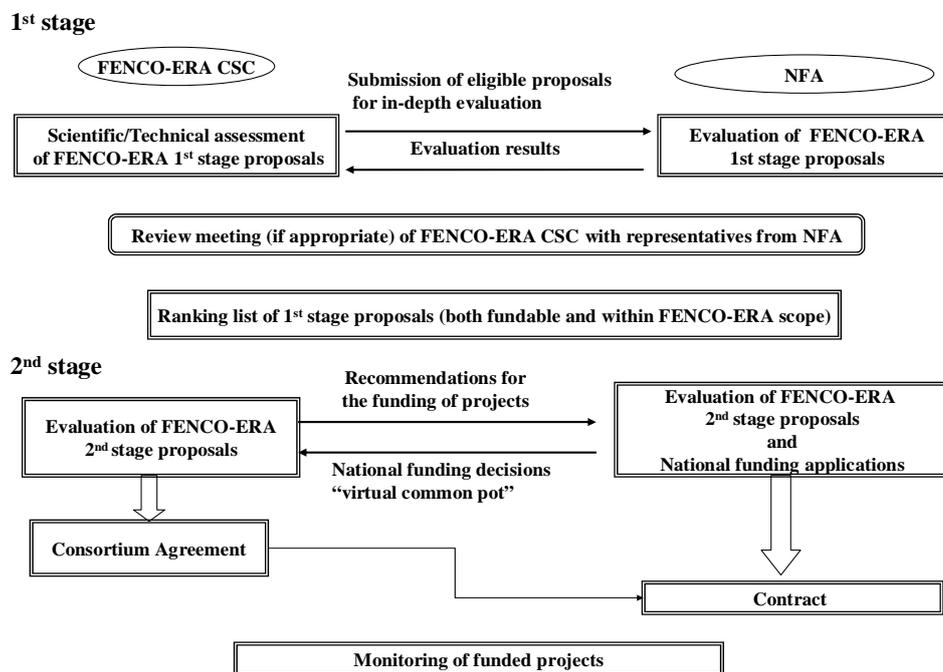


Fig.1: Schematic of the FENCO-ERA Joint Call Process

FENCO-ERA Joint Calls are based on a specific MoU between the NFAs relevant to each call. Within this call the NFAs will have earmarked their funding based on a virtual common pot and agreed on common rules and practices on the call format and evaluation as well as criteria applied in the eligibility

check and evaluation process. The testing of the call process will facilitate the future development of good practice for the coordination of national and regional fossil fuel R&D programmes within the ERA.

3. Call announcement

3.1 Objectives and thematic topics

The **principal objective** of FENCO-ERA is to produce a synergistic approach across Europe to carbon abatement and the management of fossil fuels as their clean use is being increasingly recognised as an important step towards a sustainable energy future. Therefore, the scope of the FENCO-ERA embraces both efficiency improvement and CCS technologies.

In the current state of CCS technologies, the regulatory framework and public acceptance are, next to economic feasibility, two of the most crucial challenges for their deployment. On the other hand, the economic attractiveness of CCS technologies is dependent on both project costs of storage and costs associated with a country's policy and regulatory environment. Understanding how these two elements interact within a national economy will be important for countries to classify the CCS technologies within the framework of an overall national climate change mitigation strategy. Within this context, the 1st FENCO-ERA Joint Call aims at supporting collaborative R&D projects related to:

- **Economic modelling and a strategy for roll out of CCS**
- **Public acceptance and development of public communication and outreach on CCS.**

Further general objectives of the call are to support the Strategic Research Agenda of the European Technology Platform for Zero Emission Fossil Fuel Power Plant. To provide a first experience of joint collaboration amongst NFAs, and improve the understanding of possible barriers and enablers of how national priorities can successfully be co-ordinated through trans-national activities in the longer term. To set up communication mechanisms suitable to enable the development of trans-national research and knowledge transfer projects. To progress towards better alignment of national research policies at the European level in order to overcome the fragmentation of R&D efforts in the ERA.

Focus of the respective national thematic programme must be taken into account so that proposals aim to fulfil both the overall call objectives and the needs of the national funding agencies. Thus, the applicants should contact their respective NFAs to obtain a detailed overview about the priorities of their national R&D programmes.

3.2. Funding rules

In this FENCO-ERA Joint Call funding of project partners is allocated according to the existing funding rules of the involved NFAs. Thus, each project partner should apply nationally for funding. Before submitting a proposal all project partners seeking funds should contact their NFAs concerning the level of funding availability. Information about the specific funding rules and limits as well as applicable topics

will be provided by the contact persons from the participating NFAs or by the respective **National Annexes**. Each project partner will be responsible for the preparation and submission of all the forms required by their NFA so as to obtain funding in line with national regulations.

3.3. FENCO-ERA eligibility criteria

Proposals should fulfil the following requirements in order to be eligible for funding:

➤ Consortium Requirements

Eligible consortia shall consist of a minimum of three partners receiving funding from at least three of the FENCO-ERA partner countries. Only those national/regional agencies with available funding will be participating in this Call. Universities, research organisations and industrial/private partners are potentially eligible consortium members. However, partner eligibility is subject to the rules of individual NFAs. Additional research partners outside the FENCO-ERA partnership may participate in the consortium, bringing their own funds and demonstrating true added value to the partnership.

➤ Eligibility of Costs

As national funding rules apply, eligible costs will be determined by the rules of each NFA. Subcontracting can be included and will be handled under the national rules of the eligible participant.

➤ Compliance with Procedures

Only proposals that fully comply with the procedures described in the “Guide for 1st and 2nd stage proposal application” shall be eligible for consideration for funding.

3.4. Project duration

The duration of the funded projects is limited to 1 year.

3.5. Timetable

	Date (months)
Call pre-announcement	1st March 2008
Publication of call	1st April 2008
Deadline submission of 1 st stage proposals	13th June 2008 (17:00 CET)
Invitation for submission of 2 nd stage proposal	15th July 2008
Deadline for 2 nd stage proposals and national applications forms	1st October 2008 (17:00 CET)
CSC recommendations for funding	
Funding decisions by the involved National Agencies	15th November 2008
Start of selected projects	1st January 2009

4. Application Process

The FENCO-ERA 1st Joint Call follows a two step application process, with 1st stage project proposals followed by 2nd stage proposals in line with national application forms submitted to each of the involved NFAs. This helps to reduce oversubscription and ensures a reasonable success rate for 2nd stage proposals.

The 1st stage proposals intend to show the suitability for national funding, the quality of the research plan within the scientific scope of the call as well as the added value of the proposed collaborative approach while the 2nd stage enable the most promising projects to submit a full research plan. The application process consists of the following steps:

- Before submitting a proposal, all project partners must contact their respective NFA in order to check the eligibility of the topic.

A joint 1st stage proposal has to be submitted to the FENCO-ERA Call Secretariat by the coordinator of the consortium through an online application form available on the FENCO-ERA website: www.fenco-era.net.

- The Call Secretariat will check the formal eligibility (number of partners, completeness of application forms, and other formal criteria) of the proposed projects. A project is eligible if the 1st stage proposal fulfils the defined eligibility criteria applied to this call (section 3.3.). Only eligible proposals will be subject to further stages of evaluation.
- The results of the formal eligibility check are communicated to the FENCO-ERA CSC.
- The FENCO-ERA CSC performs an assessment of the quality of the 1st stage proposals with regard to the scientific/technical content. The eligible proposals are then forwarded for in-depth evaluation to the relevant NFAs.
- The NFAs will further make their own evaluation based on common evaluation criteria considering also the individual merits of the project elements, the roles of the national project partners and the suitability for national funding.
- Depending on the evaluation results received from the NFAs the FENCO-ERA CSC recommends/does not recommend the submission of 2nd stage proposals.
- The results of the 1st stage evaluation will be communicated to the project coordinator through the FENCO-ERA Call Secretariat by e-mail.
- At the 2nd stage, each consortium partner seeking funding submits the appropriate national funding application form(s) to their NFAs including the FENCO-ERA 2nd stage proposal form which is available on the FENCO-ERA website: www.fenco-era.net.
- In parallel, the project coordinator submits electronically the FENCO-ERA 2nd stage proposal form to the FENCO-ERA Call Secretariat.
- After a formal eligibility check by the FENCO-ERA Call Secretariat, an evaluation of submitted 2nd stage proposals will be carried out simultaneously by the respective National Funding Agencies and the FENCO-ERA CSC based on common criteria.
- The final decisions on what projects to support will be made by the funding bodies taking into account the recommendations received from the FENCO-ERA CSC.

4.1. 1st stage proposal forms

The FENCO-ERA 1st stage proposal (FENCO-ERA 1st Joint Call for Proposals - 1st and 2nd Stage Application Form) consists of the following items:

Part I. Project description

- a. Project title
- b. Project Acronym
- c. Keywords
- d. Topics
- e. Project timescales
- f. Budget (total project cost, requested costs and own contribution)
- g. Abstract (same as Part IV), provide a short and precise description of the content and objectives of the project, how they will be achieved, including what is innovative in this project.

Part II. Administrative details of the consortium

This electronically generated fact sheet contains details of the participating organisations. In addition, a brief CV of the project coordinator including information on current position, research interests and expertise as well as the names of the contact persons for the rest of applicants are required. The project coordinator will be the primary point of contact between the consortium and FENCO-ERA, through the Call Secretariat.

Part III. Resources

An estimate of total project costs (in €) should be given per partner in a transparent way, including the number of person months involved in the project. An indication of total requested funding, total own resources and any total third party contribution (if any) should also be presented.

Part IV. Technical addendum

Apart from the abstract, which provides a scientific/technological overview of the joint project, the expected results and objectives achievable within the project should also be described in this part. Further, the scientific contribution of each project partner and how the joint project will increase synergies (European added value) should be highlighted.

4.2. 2nd stage proposal forms

The FENCO-ERA 2nd stage proposal (FENCO-ERA 1st Joint Call for Proposals - 1st and 2nd Stage Application Form) should provide information concerning the work plan, the appropriate references to the state of art on the proposals topic, the scientific, economic, societal and/or environmental impacts as well as an overview of total and requested costs (in €) in different cost categories (including subcontracting). Applicants should also clearly describe probable links of the proposed research activity to related national

and/or international collaborative projects and the organisational structure and decision-making procedures of the project. Finally, applicants should explain how the consortium plans to deal with the dissemination, publication and protection of results generated in the project and provide a brief CV of key persons involved.

In particular, the detailed work plan should contain:

- The overall strategy
- The timing of the different work packages (WPs) and their components (Gantt chart)
- A work description broken down into WPs, including a consortium management structure
- List of deliverables and milestones
- Detailed description of each WP
- A graphical presentation of the components showing their interdependencies (Pert diagram)

4.3. How to apply?

- All FENCO-ERA applications should be written in English and strictly follow the application guidelines.
- The Call Notice, National Annexes, Application Forms and other call documents are published on the FENCO-ERA website (<http://www.fenco-era.net>) and through a link in the websites of the partners.
- All FENCO-ERA proposal forms should be submitted by the project coordinator to the FENCO-ERA Call Secretariat via a secured electronic submission system provided by the FENCO-ERA.
- Please check the FENCO-ERA website (<http://www.fenco-era.net>) for instructions regarding the electronic submission procedure.
- The Call Secretariat will issue a final receipt of application to the project coordinator within 5 working days after the submission deadline by e-mail.
- Guidance on the completion of the application forms is provided in the respective templates.
- The Call Secretariat will undertake the administration duties of the call procedure under strict confidentiality.
- For further assistance and to download the application forms please contact the FENCO-ERA Call Secretariat (coordination@FENCO-ERA.net).
- All applicants are recommended to contact their NFAs for further information on the national funding application procedures.

5. Evaluation procedure and criteria

5.1. Evaluation of 1st stage proposals

In the first phase of the evaluation the role of the CSC is to provide the relevant National Funding Agencies with an assessment of the quality of the 1st stage proposals with regard to the scientific/technical content. The quality of an outline proposal is to be measured against the following evaluation criteria:

Evaluation Criteria	Points
<i>Suitability for national funding</i>	<i>(Y/N)</i>
<i>Project compatibility with the thematic topics of the call and significance of contribution to the call research area</i>	<i>1 - 5</i>
<i>Technological/Scientific Innovation</i> <i>(Technical approach and feasibility of the project, innovation potential, benefit for the consortium, state of intellectual property – patents)</i>	<i>1 – 5</i>
<i>Social and Economic perspective</i> <i>(Potential for commercial exploitation, business strategy of the project - strengths and weaknesses, trans-national added value, social and environmental benefits)</i>	<i>1 - 5</i>
<i>Consortium and Project Management</i> <i>(Quality of consortium – complementarities, scientific excellence and experience of the consortium, project management capacity, consortium agreement plan, dissemination/IPR)</i>	<i>1 - 5</i>
<i>Resources</i> <i>(Human resources, financial capability of the consortium and financial commitment of the partners)</i>	<i>1 - 5</i>

Guidance notes that explain more fully the meaning of these criteria are provided in FENCO-ERA Common Evaluation Form.

1st step: The members of the CSC will independently conduct a formal check of the 1st stage proposals.

Result: Submission of eligible proposals for in-depth evaluation to the national funding agencies.

2nd step: At this stage, the NFAs will evaluate these 1st stage proposals based on common evaluation criteria. In addition, the evaluation procedure at national level aims to confirm that both the roles of the national partners and the proposed joint project meet the NFAs priorities and the suitability for national funding.

Result: FENCO-ERA common evaluation Form using the specific scale for sub-criteria (5=Excellent, 4=Very good, 3=Good, 2=Fair, 1=Poor).

3rd step: FENCO-ERA CSC receives the evaluation results from the respective NFAs. A review meeting of FENCO-ERA CSC members with representatives from the NFAs (as appropriate) will produce the priority list of the 1st stage proposals.

Result: Invitation to submit a 2nd stage proposal or rejection, including a reserve list. The Call Secretariat will communicate this in writing to the consortium co-ordinator.

5.2. Evaluation of 2nd stage proposals

- Applicants who pass the 1st stage evaluation will be invited to submit a 2nd stage proposal providing a more detailed description of the WPs as well as a budget breakdown.
- The FENCO-ERA 2nd proposals will be submitted to the Call Secretariat.
- In parallel, the project's partners will send the national funding applications to the respective NFAs together with the FENCO-ERA 2nd stage proposal. Each project coordinator is responsible that each NFA has received the final version of the 2nd stage proposal.
- After a formal eligibility check by the Call Secretariat the CSC will receive the eligible 2nd stage proposals. The evaluation of both FENCO-ERA 2nd stage proposals and national applications will be carried out according to the following criteria:

Evaluation Criteria	Points
<i>Project compatibility with the thematic topics of the call and significance of contribution to the call research area</i>	1 - 5
<i>Technological/Scientific Innovation (Technical approach and feasibility of the project, innovation potential, benefit for the consortium, state of intellectual property – patents)</i>	1 – 5
<i>Social and Economic perspective (Potential for commercial exploitation, business strategy of the project - strengths and weaknesses, trans-national added value, social and environmental benefits)</i>	1 - 5
<i>Consortium and Project Management (Quality of consortium – complementarities, scientific excellence and experience of the consortium, project management capacity, consortium agreement plan, dissemination/IPR)</i>	1 - 5
<i>Resources (Human resources, financial capability of the consortium and financial commitment of the partners)</i>	1 - 5

1st step: Each 2nd stage proposal is evaluated independently by at least two members of the CSC, who fill in individual FENCO-ERA Common Evaluation Forms giving marks and providing comments to accompany each of their marks. The same scale for sub-criteria (5=Excellent, 4=Very good, 3=Good, 2=Fair, 1=Poor) will also be used at this stage.

The Call Secretariat will provide all individual evaluation statements to the CSC members before an evaluation panel meeting.

2nd step: At the meeting the CSC will prepare one joint evaluation statement for each proposal (FENCO-ERA Common Evaluation Form) (Annex 1), based on the discussions and the individual evaluations.

Based on the final ranking list in priority order of the 2nd stage proposals, the CSC will give recommendations to the NFAs.

3rd step: The participating NFAs will decide on the final national funding of the research teams from their country based on the recommendations of the FENCO-ERA CSC.

Based on the feedback from the NFAs, the CSC will settle a definitive list of 2nd stage-proposals: Approved for funding, Reserve list, or Reject. At the end of this process the Call Secretariat will communicate the decision to the project coordinator.

The above procedure aims to confirm that both the objectives of FENCO-ERA as well as the research priorities of the participating NFAs are fulfilled.

6. Funding

6.1. Contracts

Funding contracts are settled directly between the project partners and their NFAs in line with the established national rules. Each project partner will be responsible for the necessary reporting to their NFA according to national rules in order to obtain and maintain funding during the lifetime of the project.

6.2. Consortium Agreement

Subject to the requirements of the relevant NFAs (see National Annexes), a consortium agreement may be a pre-condition for transferring the first funding instalments. In such a case, the purpose of the consortium agreement is to set the basic principles concerning:

- Rights and duties of the participants over the research projects, exploitation of results, access rights on knowledge or pre-existing know-how and rules for publication and dissemination
- The internal organisation and management of the consortium
- The description and performance of tasks by the participants
- Intellectual property rights arrangements
- Settlement of disputes
- Legal provisions

7. Project Monitoring

All reporting will be in English. The same report is to be delivered to the NFA and the CSC (through the Call Secretariat). The reporting period is every 6 months with due dates of 30th June and 31st December.

Project monitoring will be conducted by each of the NFA of the project partners according to the rules of the call, the national requirements and the individual contracts between applicants and NFAs. The NFAs will receive the technical and financial reports to evaluate the national participation and verify the appropriate use of funds.

In addition, the CSC will monitor the progress achieved within the FENCO-ERA project's life based on a scientific report provided by the project coordinators at the end of the funded projects. A form for progress reports will be available on the FENCO-ERA website at that time (<http://www.fenco-era.net>).