



ERA-MIN

NETWORK ON THE INDUSTRIAL HANDLING
OF RAW MATERIALS FOR EUROPEAN INDUSTRIES

The 2nd ERA-MIN Joint Call

Sustainable Supply of Raw Materials in Europe

2014

GUIDELINES FOR THE APPLICANTS

UPDATED VERSION 3-04-2014

CORRECTED 8-04-2014 (PAGE 5)

IMPORTANT!

PARTS OF THIS DOCUMENT MAY BE FURTHER AMMENDED TO INCLUDE UPDATES REGARDING THE PARTICIPATION OF OTHER FUNDING AGENCIES. THE UPDATES WILL BE ADEQUATELY MARKED IN THE TEXT, FOR RAPID IDENTIFICATION.

PLEASE CHECK REGULARLY (WEEKLY IS ADVISED) THE WEBSITE WWW.ERA-MIN-EU.ORG

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1. APPLICATION AND FUNDING PROCEDURE

For the second ERA-MIN Joint Call, the Call Funding Partners agreed to employ a single-step submission procedure, which means that only one, full proposal will be required for submission.

The common application form (Form A) can be downloaded from the ERA-MIN website and is also provided as annex to the present Guidelines.

The proposals must be submitted by the coordinator of the transnational proposal, **only** in electronic form, using the Electronic Submission System (ESS) available via the ERA-MIN website www.era-min-eu.org. The ESS will be available shortly after the Call publication. Detailed guidelines for the use of the ESS will be placed on the ERA-MIN website at the time of the ESS activation.

The deadline for the submission of full proposals is:

June 17th 2014 at 17.00 CEST¹
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The deadline is strictly enforced. Any submission after the deadline has passed will be declared ineligible and will not be further evaluated.

A full proposal must contain:

- General administrative details for each applicant and publishable project summary (according to Form A of the present Guidelines – *Common application form*);
- General budget information (according to Form A of the present Guidelines – *Common application form*);
- The Project description, with all the mandatory sections in the template completed;
- (only) the following annexes, as applicable:
 - CVs/profiles of the key personnel (max. two pages per each profile and max. three profiles per partner);
 - For the applicants eligible for funding from ERA-MIN Call Funding Partners: Statement of commitment for each applicant (Form B), confirming they have contacted their corresponding Call Funding Partner and they are fully aware of the national rules applicable to them;
 - Applicants not requesting funding from ERA-MIN Call Funding Partners or coming from countries without allocated funding under the present Call have to prove their own funding via official declaration, in English (Form C) or with enclosed authorized translation corresponding to the Form C, signed by the head of the respective applicant organization.

The Common application form (Form A) is appended to the present Guidelines and is also provided separate on the Joint Call webpage on the ERA-MIN website. The General administrative information and the general budget information will be completed directly on the ESS, and the rest (Project description and annexes) will be converted into a PDF, uploaded and submitted via the ESS.

When completing the proposal forms, applicants are advised to follow the instructions below:

- a. Access the Electronic Submission System (ESS) via the link provided on the ERA-MIN website;
- b. Coordinators: register as a coordinator and invite partners on the ESS; Partners: upon invitation from coordinators, log in as partners in order to access the electronic proposal;

¹ 17.00 CEST/Central European Summer Time

- c. Fill in the tables *General and administrative information* and check that all fields are correctly completed;
- d. Select one or more Sub-topic areas listed in *Section 4* of the Call text;
- e. Fill in the publishable summary. The publishable summary (max. 2.000 characters including breaks) should provide a brief overview of the current state of the art, of project goals and their expected contribution to the selected sub-topic area(s);
- f. The project description must not exceed **22 pages** including figures and tables, but excluding the mandatory annexes, according to the template provided in the *Form A – Common application form*;
- g. Make sure that the entries of individual partners and the information in the *Project description* are consistent with the overall project data *General Administrative information* entered on the ESS;
- h. When filling in the proposal application form, keep in mind that the project description should allow evaluators to address all the evaluation criteria properly (see *Annex II to the Call Text – Evaluation criteria and scoring*);
- i. Fill in the tables in the *General budget information* on ESS;
- j. The *Project description* part of the proposal form will be completed and the following annexes will be added: CVs of the key personnel; Form B (Statement of commitment) or Form C (Declaration of own funding), as applicable;
- k. The final document (Project description, CVs of the key personnel and Form B or Form C) will be converted into a single PDF with a maximum size of **10 MB** and uploaded onto ESS;
- l. Make sure you will be submitting before the deadline. In order to avoid any delays during the submission process, caused by possible system overload during the last days before the deadline (**17th June 2014, at 17.00 CEST**), applicants are advised to start the process of electronic application at least three weeks in advance, and update their proposal until the final submission. After the deadline has passed, the system will block any attempt to submit.

Eligible costs will be handled according to national rules and may include:

- scientific and technical staff expenses;
- travel costs;
- equipment and subcontracting (duly justified, subcontracting the core work of the project is not allowed);
- Indirect costs (overheads) and VAT shall be handled according to national rules.

The applicants are strongly advised to read the National eligibility criteria and funding rates applicable in the Call Funding Countries (*Annex I to the Call text*) and to contact their respective Contact Points prior to submitting the application - see "*Contact Point List*" section in the Call text.

2. ELIGIBILITY CRITERIA (MANDATORY) AND ERA-MIN RECOMMENDATION

The proposals have to meet the following eligibility criteria, as defined by the second ERA-MIN Joint Call Committee and detailed further below, as well as the national eligibility criteria:

- The proposals must be submitted, only via electronic form through the ERA-MIN Submission System, by the coordinator of the transnational project no later than **17th June 2014, at 17.00 CEST²**.

² 17.00 CEST/Central European Summer Time

- Each proposal must involve a **minimum of three organizations from at least two different Call Funding Countries**, eligible for funding from the Call Funding Partners;
- The coordinator of the transnational consortium applying for funding must be established in a country of a Call Funding partner;
- At least one of the partners in the consortium must come from one of the countries participating in the Call: Finland; France; Hungary; Poland; Portugal; Romania; Slovakia; Spain; Sweden; Turkey;
- The language of the ERA-MIN project applications is English;
- All fields of the project description are filled in and the total length of project description does not exceed a **maximum of 22 pages**, excluding the annexes;
- The project duration shall be of minimum 12 months and shall not exceed 36 months.
- All applicants requesting funding from the Call Funding Partners must provide in annex a statement of commitment duly signed and stamped by the head of the organisation and the lead researcher/principal investigator (Form B in the *Guidelines for applicants- Annex III*) of the project description;
- Applicants not requesting funding or coming from countries not participating in the Call can be part of the project consortia, on the condition that they make proof of covering their own costs by providing a signed declaration. An indicative template (Form C) is provided in the Guidelines for Applicants;
- Each applicant institution coming from a Call Funding country must comply with the national funding criteria and regulations of their respective Call Funding organization (Call Funding Partner) to ensure the eligibility of the transnational proposal;
- If applicable as per national rules, all the necessary additional information/documents requested by the Call Funding Partner (see *Annex I - National eligibility criteria and funding rates*) must be included as annex to the proposal application.

Contacting your national agency is a mandatory requirement which all applicants from Call funding countries have to fulfil. These applicants will have to complete and sign a declaration (Statement of Commitment - Form B), confirming they have contacted their corresponding Call Funding Partner and are fully aware of the national rules and procedures applicable to them.

Recommendations for a successful proposal:

- Cooperation with organisations based in ERA-MIN countries not participating in the Call is particularly encouraged, as well as with other European and non-European Countries. Applicants coming from such countries must cover their own costs and they have to provide appropriate financial guarantees;
- The project coordinator has to ensure that all consortium partners provide the necessary information as requested by the national regulations, to ensure the eligibility of the proposal;
- Each proposal must involve a minimum of three organisations from at least two different Call funding countries. It is advised, if possible, that projects with more than two Call funding countries are submitted;
- There is no formal limit on the number of partners in a consortium. However, it is advisable that the sizes of the consortia are suited for the level and complexity of the project and each partner has a significant contribution to the proposed work. This will be assessed under the *Evaluation Criterion 2 – Quality and effectiveness of management and implementation*;
- The budget for individual project proposals is not restricted; it must be reasonable against the project goals and must not fall beyond the national funding limits (if any) for each partner. For further information, please contact your funding organisation (Call Funding Partner) about

the national regulations. Indicative information on the national funding rules is provided in *Annex I to the Call text - National eligibility criteria and funding rates*.

3. COMPOSITION OF CONSORTIA

The following recommendations should be taken into account when setting up project consortia:

- The consortium has to include at least three organisations from at least two different Call Funding Countries. Cooperation between two or more regions of one single country is not considered to be transnational. Therefore, inter-regional partnerships from a Call Funding country may apply together with two additional partners from one other Call funding country.
- The consortium must always be coordinated by a partner from a Call funding country participating in the Call and the coordinator must be eligible for funding from the relevant Call Funding Partner, irrespective of the characteristics of the proposed projects. The overall responsibility for the project execution rests with the coordinator, but parts of the project management may be allocated to the other partners;
- There is no maximum number of applicants per proposal. The consortium must be balanced and have a focus on the industrial application of the proposed research, in view of its potential contribution to securing a sustainable supply of non-energy raw materials for the European industries. In order to ensure balanced transnational partnerships, it is recommended that the contribution of one country to the collaborative project should not exceed 70% of the total project costs;
- Any single partner's participation should involve RTD activities. Trans-disciplinary consortia approaching in an integrated manner technological topics in conjunction with environmental and social aspects, as well as public policy support and mineral intelligence, are particularly encouraged;
- Subcontractors can be included and are managed under the national financing regulations of the eligible participant;
- Applicants should convincingly demonstrate their ability to co-finance the project beyond the potential funding. The financial capability and stability of the industrial applicants will be assessed by the Call Funding Partners;
- Projects are evaluated as a whole, not per partner. This means that failing of one partner within the consortium may cause the entire project to fail;
- The funded consortia will be requested to conclude a Consortium Agreement.

Responsibility of the project coordinator:

- The project coordinator will lead the consortium throughout the application procedure and is fully responsible for the overall project coordination.
- The administrative structures of the ERA-MIN Call (TCO and JCC) will only communicate with the project coordinator. Accordingly, the project coordinator has to share all the information provided by TCO and/or JCC with the other consortium partners.
- The project coordinator is strongly advised to ensure that all the partners fulfil both ERA-MIN and national requirements and criteria well before the submission deadline.
- The project coordinator must submit the reports of funded projects to the ERA-MIN TCO as described in the guidelines for applicants.

4. ELIGIBILITY CHECK AND EVALUATION OF THE PROPOSALS

A two-stage evaluation and selection process will be employed. In the first stage, the TCO will perform **the eligibility check** of the proposals. This first-stage review will only address eligibility criteria, as follows:

- a. Submitted before deadline;
- b. Coordinator from one of the Call Funding Countries, eligible for funding from one of the Call Funding Partners;
- c. Minimum number of partners (3) and Call Funding Countries (2);
- d. Minimum duration of 12 months and a maximum duration of 36 months;
- e. Full application form (including publishable summary) completed in English and Project description not exceeding 22 pages (excluding annexes);
- f. Participants eligible for financial support under the national rules, including relevance for the national programmes;
- g. Statement of commitments (Form B) from all applicants requesting funding from Call Funding Partners;
- h. If applicable, proof of own funding (Form C) for the applicants not requesting funding or outside Call Funding Countries.

The proposals failing the eligibility criteria will be rejected and will not be further evaluated. The proposals meeting all eligibility criteria will be sent to the designated experts of the Evaluation Board, according to their expertise, relevant for the topic of the proposal.

The quality assessment of the submitted proposals will be performed by the Evaluation Board composed of independent expert reviewers. There will be a peer review evaluation process (three independent reviewers for the same proposal, out of which one is appointed as the *rapporteur* and consolidates the evaluation report upon agreement and on behalf of all the evaluators of that respective proposal).

The proposals will be assessed according to the evaluation criteria given in *Annex II* to the Call text. Only excellent/very good proposals will be funded. If the number of proposals considered excellent/very good, as judged by the Evaluation Board meeting, corresponds to a total requested funding which is smaller than the committed funds, only part of the funds may be used. Proposals not recommended for funding by the Evaluation Board meeting will not receive funding from ERA-MIN in any case.

5. REPORTING AND MONITORING FUNDED PROJECTS

ERA-MIN reporting procedure requires the submission of reports to the Transnational Call Office (TCO), in addition to the reports that may be required by each Call Funding Partner, according to the specific national rules.

The reports should be written in the context of the collaborative project, with due reference of the progress of the other partners and will be submitted to the TCO by the coordinator of the transnational project. All the communication regarding the project will take place between the TCO/Call Funding Partners and the Coordinator of the funded project, who has the full responsibility of informing timely and completely all the participants in the consortium.

The beneficiaries of the funded projects will submit reports to the TCO, in English. Coordinators of funded projects will be requested to report to the TCO, according to the timeline and templates that will be provided to them by the TCO upon the communication of the funding decision.

In addition, each applicant in a selected funded project must report to their respective Call Funding Partner (funding organisation), according to their administrative rules. Please consult your Call Funding Partner to obtain a complete overview of the national reporting rules applicable to your case.

FORM A – COMMON APPLICATION FORM

I. Administrative details and project summary- to be completed via ESS

Acronym/short name			
Proposal full name			
Project Coordinator		E-mail	
Address		Tel. Fax	
Organization	(Name of the organization coordinating the project)	Region/Country	
Total project costs (€)		Requested funding (€)	
Planned starting date³		Project duration in months	
Sub-Topic area⁴	<i>The drop-down menu will allow selection of more than one sub-topic areas, if this is the case.</i>		
Publishable summary (mandatory):	Key words (max. 5) <i>(Please describe briefly the background, objectives, methodology, work planning, stakeholder involvement and expected impact of results of the suggested collaborative project; max. 2000 characters)</i>		
	Publication consent: <i>In case of recommendation for funding, I hereby authorize the ERA-MIN Transnational Call Office to publish the information provided in the Summary.</i>		

General information on the Coordinator and partners involved – to be completed via ESS

Participant no.	Contact person	Applicant organization	Country	Call Funding Partner
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³Before completing, please inquire with your Call Funding Partner

⁴Please select one or more sub-topic area from the drop-down menu in the ESS. The drop-down menu will allow selection of more than one sub-topic areas, if this is the case.

1 – Coordinator				
2				
3				
N				

(Use as many lines as needed)

Applicant/ Coordinator – Partner 1				
Organization				
Organization type: (UNI/PRC/PUR/SME/IND/CO/Other⁵)				
Organization address				
Head of organisation		E-mail:		
Website		Country		Region
Funding organization⁶				
Lead Researcher				
Family name		First name(s)		
Title		Gender	Female <input type="checkbox"/>	Male <input type="checkbox"/>
Department of the organization		Position held in the organization		
Phone		Fax		
E-mail				
Web site				
Key personnel (list)				

⁵UNI-university; PRC-Private Research Centre; PUR-Public Research Centre; SME-Small medium enterprise; IND-large company; CO-consultancy; OTH-Others.

⁶ Swedish applicants should indicate both VINNOVA and SGU ("VINNOVA/SGU") as their corresponding funding agencies. If recommended for funding, the funding source will be decided among the two Swedish funding agencies.

Partner 2					
Organization name (acronym/full name in English and in original language)					
Organization type: (UNI/PRC/PUR/SME/ND/CO/Other)					
Organization address					
Head of institution			E-mail:		
Website		Country		Region	
Funding organization					
Principal investigator					
Family name		First name(s)			
Title		Gender		Female <input type="checkbox"/>	Male <input type="checkbox"/>
Department of the organization		Position held in the organization			
Phone		Fax			
E-mail					
Web site					
Key personnel (list)					

Partner 3					
Organization					
Organization type: (UNI/PRC/PUR/SME/ND/CO/Other)					
Organization address					
Head of institution			E-mail:		
Website		Country		Region	
Principal investigator					

Family name		First name(s)		
Title		Gender	Female <input type="checkbox"/>	Male <input type="checkbox"/>
Department of the organization		Position held in the organization		
Phone		Fax		
E-mail				
Web site				
Key personnel (list)				

Copies of the table above shall be enabled on the ESS if there are more than three applicants

II. General budget information – to be completed via ESS

Total Costs per partner and requested funding budget (in EURO)				
Partner n°	A - Total costs/expenses⁷	B - Requested funding budget	C- Own funding	Funding rate
1 - Lead partner				%
2				%
3				%
<u>N Use as many lines as needed</u>				%
TOTAL				%

Total Cost breakdown per Project year (in EURO)	
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⁷Total costs/expenses comprise costs or expenses for personnel, travelling, consumables, equipment, and overhead (if applicable). The cost calculation has to be based for each partner on its national funding rules. For questions, please contact your Call Funding Partner.

Partner n°	Cost Year 1 (Months 1-12)	Cost Year 2 (Months 13-24)	Cost Year 3 (Months 25-36)	Total Cost	Requested Funding
1 - Lead partner					
2					
3					
N					
TOTAL					

III. Project description – to be completed offline and attached to the application on the ESS

Please provide a detailed project description, jointly filled in by all partners (max. 22 pages A4; minimum type size 11, Arial or Calibri), and include in annex short profiles (max. 2 pages per person, max. 3 persons per partner) of key personnel as attachments to the application.

In case of participation with own funds, a statement of own funding signed by the researcher and the head of institution, is required, and will be appended as a pdf document to the project application. This document (annexes included) is uploaded at the Electronic submission system as a single PDF file **not exceeding 10 MB**.

Number	Requested project description	Recommended number of pages
1. Scientific and/or technological excellence		
1.1.	Background and present state of art in the area	1-2
1.2.	Scientific objectives with detailed account of their relationship to the call topic	1-2
1.3.	Expected results	1
2. Quality and effectiveness of management and implementation		
2.1.	Description of project management structures and procedures	1
2.2.	Quality of the consortium	1
2.3.	Detailed Work description	5-7
2.4.	Financial plan of the project	1-2
3. Potential impact of the research in securing a sustainable supply of non-energy raw materials		
3.1.	Proposed exploitation of future project results(planned follow up after project ended)	1
3.2.	Proposed dissemination of results to practitioners and policy developers/makers	1
3.3.	Cooperation with stakeholders and their contribution to the project	1
3.4.	Sharing of work and cooperation with external organisations contributing to the project (if applicable)	1
3.5.	Added value of transnational collaboration including researcher mobility	1

Number	Requested project description	Recommended number of pages
3.6.	Ethics, environment, recruitment, gender balance, gender perspective	1
ANNEXES		
Annex 1	CV of key personnel (maximum two pages per person and maximum three persons per partner organisation)	2 (per person)
Annex 2	Signed Statement of commitment for the Coordinator and the partners requesting funding from the Call Funding Partners (Form B)	1 (per partner)
Annex 3	(only if applicable) Signed Declaration of own funding for the partners from countries outside the Call Funding Countries or not requesting funding.	1 (per partner)

For Section 2.3 (Detailed work description) please use the tables below:

Work package (WP) No.	Title	Leader	Type of activity⁸	Description
1				
2				
3				
4				
5				
N				

(Use as many lines as needed)

Deliverables			
WP no.	No.	Title	Due month
1			
2			
3			
4			
5			
N			

⁸ Indicate one of the following: BR (Fundamental/Basic Research); AR (Industrial/Applied Research); ED (Experimental development); MGT (Management) or OTH (Other).

(Use as many lines as needed)

Milestones			
WP no.	No.	Title	Due month
1			
2			
3			
4			
5			
N			

(Use as many lines as needed)

Estimated person months per work package							
	Partner 1	Partner 2	Partner 3	Partner 4	Partner 5	Partner N	Total
WP 1							
WP 2							
WP 3							
WP 4							
WP 5							
WP 6							
WP N							
Total							

For section 2.4 (Financial plan of the project), please breakdown and justify the costs by filling-in the following table:

Breakdown and justification of costs per partner (in Euro)		
Partner	Eligible costs (in Euro)	Justification
Partner 1	Personnel	
	Travel	
	Consumables	
	Equipment	
	Subcontracting	
	Other	
	Overheads	
Partner 2	Personnel	
	Travel	
	Consumables	
	Equipment	
	Subcontracting	
	Other	
	Overheads	
Partner 3	Personnel	
	Travel	
	Consumables	
	Equipment	
	Subcontracting	
	Other	
	Overheads	
Partner N		

(Please make copies of the table above if there are more applicants)

FORM B – STATEMENT OF COMMITMENT

Logo of the organisation

Statement of commitment

As the Head of the Organization (*name/country*) I support the submission of the transnational proposal (*title/acronym*) to the **second ERA-MIN Joint Call (2014) on Sustainable Supply of Raw Materials in Europe**, providing the essential conditions for the implementation of the project, according to the work programme presented.

As Lead Researcher/Principal Investigator⁹ (*name/position*), of the Department (*name*), I am aware of the ERA-MIN Call Text, the procedures and the National Regulations, and confirm that the proposal fulfils our National Eligibility criteria in order to be eligible for the ERA-MIN Joint Call (2014).

⁹ Lead researcher: the responsible researcher from the Coordinating organization; Principal investigator: the responsible researcher from the Partner organizations.

In addition, the national/regional contact point (*name*) of the funding organization (*name/acronym*) have been contacted on the National eligibility rules and funding regulations.

Place, Date

(Name of the head of the Organization)

(Name of the Lead Researcher/ Principal Investigator)

(Signature of the head of the Organization) (Signature of the Lead Researcher/Principal investigator)

FORM C - DECLARATION OF OWN FUNDING

Logo of the partner's organization

Declaration of own funding

As the Head of the Organization (*name/country*), I state that the financial support is guaranteed to the Organization (*name/country*) to participate as a partner in the transnational RTD proposal (*title/acronym*), coordinated by (*name/institution/ country*) and submitted to the **second ERA-MIN Joint Call (2014) on Sustainable Supply of Raw Materials in Europe**.

The Principal Investigator in charge is (*name/position*) and is part of the Department (*name*).

Place, Date

(Name of the head of the Organization)

(Name of the Lead researcher/ Principal investigator)

(Signature of the head of the Organization) (Signature of the Lead researcher/Principal investigator)