

CALL TITLE: FP7-HEALTH-2012-SMEs-FOR-INNOVATION

Call identifier: FP7-HEALTH-2012-INNOVATION-2

Proposal submission and evaluation: two-stage procedure.

Date of publication: 20 July 2011

Deadline for stage 1 proposals: 27 September 2011 at 17:00:00 (Brussels local time)¹

Indicative budget: EUR 108 million from the 2012 budget²

The budget for this call is indicative. The final budget awarded to actions implemented through calls for proposals may vary:

The total budget of the call may vary by up to 10% of the total value of the indicated budget for each call; and

Any repartition of the call budget may also vary by up to 10% of the total value of the indicated budget for the call.

Table 1: Indicative budget lines

ACTIVITY/AREA	Indicative budget (EUR million)
1. BIOTECHNOLOGY, GENERIC TOOLS AND MEDICAL TECHNOLOGIES FOR HUMAN HEALTH	
1.4 INNOVATIVE THERAPEUTIC APPROACHES AND INTERVENTIONS	42
2. TRANSLATING RESEARCH FOR HUMAN HEALTH	
2.3. TRANSLATIONAL RESEARCH IN MAJOR INFECTIOUS DISEASES: TO CONFRONT MAJOR THREATS TO PUBLIC HEALTH	
2.3.0 CROSS-CUTTING	36
2.4. TRANSLATIONAL RESEARCH IN OTHER MAJOR DISEASES	
2.4.5 OTHER CHRONIC DISEASES	30

Table 2: Topics called:

Activity/Area	Topics called	Funding Schemes and particular requirements
1. BIOTECHNOLOGY, GENERIC TOOLS AND MEDICAL TECHNOLOGIES FOR HUMAN HEALTH		
1.4 INNOVATIVE THERAPEUTIC APPROACHES AND INTERVENTIONS		
1.4	HEALTH.2011.1.4-2: Medical technology for transplantation and bioartificial organs.	<i>Collaborative Project (small or medium-scale focused research project). One or more proposals can be selected.</i>
2.3. TRANSLATIONAL RESEARCH IN MAJOR INFECTIOUS DISEASES: TO CONFRONT MAJOR THREATS TO PUBLIC HEALTH		

¹ The Director-General responsible for this call may delay this deadline by up to two months.

² Under the condition that the draft budget for 2012 is adopted without modifications by the budgetary authority.

2.3.0 Cross-cutting		
2.3.0	HEALTH.2012.2.3.0-1: Diagnostics for infectious diseases in humans.	<i>Collaborative Project (small or medium-scale focused research project). One or more proposals can be selected.</i>
2.4 TRANSLATIONAL RESEARCH IN OTHER MAJOR DISEASES		
2.4.3 Other chronic diseases		
2.4.5	HEALTH.2012.2.4.5-1: Technological approaches to combating sensory impairments.	<i>Collaborative Project (small or medium-scale focused research project). One or more proposals can be selected.</i>

Conditions for FP7-HEALTH-2012-INNOVATION-2:

It is important to note that once the basic conditions for eligibility are met - such as the minimum number of participants 3 and maximum 5 or the budget ceiling of EUR 6 million for the requested EU contribution or the maximum project duration of 3 years – within these limits it is entirely up to the applicants to propose a number of partners, a duration of the project or the financial contribution requested from the EU. The budget should also be in line with the needs of the consortia, within the maximum EU contribution, but not necessarily at it.

The quality, feasibility, implementation and impact of the proposed work as well as the match between the expertise of the consortium and the project goals are subject to the evaluation carried out by independent experts.

Eligibility criteria for each proposal are checked by Commission staff before the evaluation begins. Proposals which do not fulfil these criteria will not be included in the evaluation. However, a proposal can be declared ineligible at any time of the process, e.g. for financial eligibility.

Specific feature for this call: This call is dedicated to a specific SME innovation initiative designed to encourage stronger SME efforts towards research and innovation. SMEs need to have a leading or coordinating role in the consortium and **50 % of EU funding requested going to SMEs or SMEs joint venture**. Expected project results should be of clear interest and potential benefit to SME(s).

Eligibility conditions (stage 1 and stage 2):

The general eligibility criteria are set out in Annex 2 to this work programme, and in the guide for applicants for each funding scheme. Please note that the completeness criterion also includes that part B of the proposal shall be readable, accessible and printable.

Table 3: Specific for this call: minimum and maximum number of participating legal entities for the funding scheme used in this call.

Funding scheme	Minimum conditions
Collaborative Project	Number of participants: At least 3 and maximum 5 independent legal entities, each of which is established in a EU Member State or Associated Country, and at least 3 are established in 3 different MS or AC.

The eligibility criteria apply to both first and second stage proposals. At stage 1, only information provided in part A of the proposal will be used to determine whether the proposal is eligible with respect to overall budget threshold (budget ceilings for requested EU contribution per project), while part B will be used to check the number of eligible participants. At stage 2, part A will be used alone to determine these eligibility conditions.

The following additional eligibility criteria apply in this call:

At stage 1 and stage 2:

- The **requested EU contribution** per project should depend on the needs of the project and shall not exceed a maximum of EUR 6 000 000.
- The proposed **project duration** indicated in the proposal should be up to 3 years.
- **Participation is restricted** to 3-5 entities established in EU Member States and Associated Countries.

At stage 2:

- **Participants including SME(s)** need to be 1) at least 51% owned and controlled by one or more individuals who are citizens of one of the EU Member States or Associated Countries or permanent residents in one of those countries, or 2) at least 51% owned and controlled by another business concern that is itself at least 51% owned and controlled by individuals who are citizens of, or permanent residents in those countries.
- **50 % of EU funding requested going to SMEs or SMEs joint venture:** Projects will only be selected for funding on the condition that the estimated EU contribution going to SME(s) is at the threshold (or more) for the project as a whole as set out with the topic description in section II. This will be finally assessed during the negotiation, before signature of the grant agreement. Proposals not fulfilling this criterion will not be funded.
- The **financial viability of all partners** in selected projects needs to fulfil the Commission requirements. This will be checked at the stage 2 evaluation and at negotiation.
- Applicants invited to present a full proposal for stage 2 are requested to submit (together with the proposal) a detailed exploitation plan, clearly describing the valorisation of the technology to be developed.

Evaluation procedure for stage 1 and 2:

- The evaluation criteria and scoring scheme are set out in annex 2 to the work programme.
- A two-stage submission and evaluation procedure will be used.

Additional information regarding evaluation criteria and procedures for stage 1 and 2:

- For proposals failing to achieve a threshold for a criterion, the evaluation of the proposal will be stopped at the first criterion failing a threshold. Therefore for such proposals the ESR (evaluation summary report) will not contain marks and comments for the remaining criteria. Successful proposals must pass the minimum thresholds.
- In line with the objectives of each topic, additional evaluation criteria may be indicated in the work programme under the respective topic in section II.

Proposal ranking: The priority lists will be prepared by the panels of external experts, per indicative budget line as set out in table 1 of this call fiche.

Stage 1 proposals

- *Stage 1 proposals must be submitted by the deadline mentioned above.*
- *Stage 1 proposals must follow the instructions set out in the guide for applicants and in the proposal part B template available through EPSS. Proposals should focus on the overall scientific and technological content and on clear identification of the milestones and deliverables to be reached (intended results), their intended use (including an outline exploitation plan) and the expected impact as set out in section II under each topic in a maximum of 3 pages (excluding the cover page and the required tables). **The maximum page limits of each section must be respected.** The Commission will instruct the independent external experts (evaluators of proposals) to disregard any pages in excess of these limits. A minimum font size of 11 is required. The page size is A4, and all margins (top, bottom, left, right) should be at least 15 mm (not including any footers or headers).*
- *Stage 1 proposals will be evaluated remotely by independent external experts, including a remote consensus.*
- *Stage 1 proposals will be evaluated on the basis of the following two criteria: **Scientific/technological quality** and **Impact**. For each criterion, marks from 0 to 5 will be given, with the possibility of half-point scores. For proposals failing to achieve a threshold for a criterion, the evaluation of the proposal will be stopped at the first criterion failing a threshold. Therefore for such proposals the ESR (evaluation summary report) will not contain marks and comments for the remaining criteria. Proposals must pass the minimum thresholds as follows:*

Table 4: Thresholds for evaluation criteria for first stage

Criterion	Minimum threshold
S/T quality	4/5
Impact	4/5
Overall threshold	8/10

- *All Proposals passing all thresholds will be retained at stage 1.*

- Coordinators of proposals retained at stage 1 (proposals passing the evaluation thresholds) will be invited to submit a complete proposal (stage 2 proposal) that will then be evaluated against the entire set of evaluation criteria. In line with the objectives of each topic, additional eligibility criteria may be indicated in the work programme.

Stage 2 proposals

- The deadline for submission for stage 2 proposals will be specified in the invitation to submit. The **indicative deadline** for stage 2 proposals is in December 2011.
- Stage 2 proposals must respect the maximum of 20 pages (excluding the cover page and the required tables) and must follow the instructions set out in the guide for applicants and in the proposal part B template available through EPSS. Proposals should focus on the overall scientific and technological content and on clear identification of the milestones and deliverables. A proper statistical section for clinical trials or experimental design should be provided where appropriate. In the section expected impact the intended results (scientific, economic, social, environmental, etc. and as set out in section II under each topic) should be described.
- Proposal page limits: Applicants must ensure that proposals conform to the page limits and layout given in the Guide for Applicants, and in the proposal part B template available through the EPSS.
- The Commission will instruct the experts to disregard any pages exceeding these limits.
- The minimum font size allowed is 11 points. The page size is A4, and all margins (top, bottom, left, right) should be at least 15 mm (not including any footers or headers).
- Stage 2 proposals are evaluated on the basis of the following three criteria: **Scientific/technological quality** and **Implementation** and **Impact**.
- For each criterion, marks from 0 to 5 will be given, with the possibility of half-point scores. For proposals failing to achieve a threshold for a criterion, the evaluation of the proposal will be stopped at the first criterion failing a threshold. Therefore for such proposals the ESR (evaluation summary report) will not contain marks and comments for the remaining criteria. Proposals must pass the minimum thresholds as follows:

Table 5: Thresholds for evaluation criteria for second stage

Criterion	Minimum threshold
S/T quality	4/5
Implementation	3/5
Impact	4/5
Overall threshold	12/15

- The following aspects will be considered for proposals submitted to this call under the evaluation criterion relating to 'implementation':

- ➔ *Proposals are expected to have 50 % of the requested EU contribution going to SMEs or SME joint ventures. Applicants and evaluators should note that only proposals which fulfil these conditions will be eventually selected. This will be checked definitively at the end of any negotiation.*
- ➔ *The leading role of SMEs or SME joint ventures with R&D capacities: the coordinator does not need to be an SME, but the participating SMEs should have a decision making power in the project management (e.g. veto rights), and the output should be for the benefit of them.*
- ➔ *Within the limits of a maximum requested EU contribution of EUR 6 million, any amount requested from EU is possible, including very small amounts but the adequacy of resources/budget will be strictly scrutinized during the stage 2 evaluation.*
- ➔ *Evaluators will also consider financial capacity aspects at stage 2, as they will have a significant influence on the potential impact, exploitation plan and related capacity.*

Proposal ranking at stage 2:

- *Proposals will be short-listed per indicative budget line.*
- *There may be topics for which no proposals are of sufficient quality to be selected for funding.*
- *The Commission ranked lists of proposals to be retained for negotiation will be based on the priority list established by the panel of independent external experts taking into account the budget available for each budget line (as indicated in this call for proposals). For each budget line, a number of proposals below the indicative budget cut-off line on the Commission ranked list may be kept on a reserve list to allow for eventualities such as the failure of negotiations on grant agreements, the withdrawal of proposals, budget savings agreed during negotiation, or the availability of additional budget from other sources.*

Indicative timetable for Stage 1 and 2: The stage 1 evaluation should be finalised by end of October 2011. The deadline for stage 2 proposals is expected to be mid December 2011. The evaluation of the stage 2 is expected to take place in January 2012. Overall evaluation results: estimated to be available within 2 months after the closure date for stage 2 proposals. It is expected that grant agreement negotiations for short-listed proposals would begin in February 2012.

Consortium agreements: Participants are required to conclude a consortium agreement. Even if a SME is not the coordinator, the protection of interests of the participating SMEs should be guaranteed through appropriate governance mechanisms (e.g. veto right) within the consortium agreement.

Forms of grant and maximum reimbursement rates for projects funded through the Cooperation work programme are given in Annex 3.

Flat rates to cover subsistence costs: In accordance with Annex 3 to this work programme, this call provides for the possibility to use flat rates to cover subsistence costs incurred by beneficiaries during travel carried out within grants for indirect actions. For further information, see the relevant Guides for Applicants for this call. The applicable flat rates are

available at the following website: http://cordis.europa.eu/fp7/find-doc_en.html under 'Guidance documents/Flat rates for daily allowances'.

Dissemination. Grant agreements of projects financed under this call for proposals will include the special clause 39 on the "Open Access Pilot in FP7". Under this clause, beneficiaries are required to make their best efforts to ensure free access to peer-reviewed articles resulting from projects via an institutional or subject-based repository.