



RESEARCH AND INNOVATION
Research Fund for Coal and Steel

RFCS Information Package 2015

Volume I

Proposal preparation and submission

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1 INTRODUCTION

The Research Programme of the Research Fund for Coal and Steel (RFCS) is a financial instrument of the European Union intended to support research and innovation in the coal and steel sectors.

The Programme is complementary to other European financial instruments for research and innovation, such as Horizon 2020, but it remains outside those programmes. The European Commission encourages however complementarity and synergies between the different research programmes and supports the exchange of information between projects financed under different instruments.

The adoption of the Research Programme of the Research Fund for Coal and Steel is encompassed in Council Decision 2008/376/EC of 29 April 2008¹ (see **Annex I**), referred to in this document as the *RFCS Legal Basis*.

The programme is managed by the European Commission, Directorate-General for Research and Innovation (Directorate D – Key Enabling Technologies), with the assistance of:

- The Coal and Steel Committee (COSCO)
- The Coal Advisory Group (CAG) and the Steel Advisory Group (SAG)
- The Coal and Steel Technical Groups (TG).

According to Art. 25 of the RFCS Legal Basis, the detailed rules for participation in the RFCS programme are laid out in this Information Package, which is written in accordance to the Financial Regulation² applicable to the general budget of the European Union and its Rules of Application,³ (hereinafter referred to as the *Financial Regulation* and the *RAP*, respectively) and the RFCS Legal Basis.

The Information Package is composed of two volumes:

- **Volume I** is addressed to all applicants and includes information on the preparation and submission of proposals to the RFCS programme,
- **Volume II** is specifically addressed to applicants of proposals recommended for funding after the evaluation and provides instructions on Grant Agreement preparation.

¹ OJ L 130, 20.05.2008

² Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002, OJ L298, 26.10.2012, p.1.

³ Commission Delegated Regulation (EU) No 1268/2012 of 29 October 2012 on the rules of application of the Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council on the financial rules applicable to the general budget of the Union, OJ L 362, 31.12.2012, p.1.

2 FUNDING OPPORTUNITIES

2.1 RESEARCH OBJECTIVES OF THE RFCS

Proposals submitted to the RFCS programme should relate either

- to the production and/or processing of **iron** and/or **steel** or to their properties, manufacture and/or utilisation of steel products, or
- to the production, preparation, conversion or utilisation of **coal**.

To this purpose, the definitions of "coal" and "steel" given under Art. 3 of the RFCS Legal Basis apply.

More specifically, proposals must address at least one of the following RFCS Research Objectives:⁴

- Coal 1** Improving the Competitive position of European Union Coal.
- Coal 2** Health and Safety in Mines.
- Coal 3** Efficient Protection of the Environment and improvement of the use of coal as a clean energy source.
- Coal 4** Management of External Dependence on Energy Supply.

- Steel 1** New and improved Steel making and finishing techniques.
- Steel 2** RTD and the utilization of steel.
- Steel 3** Conservation of resources and improvement of working conditions.

Within the above-mentioned objectives, the Research Programme of the Research Fund for Coal and Steel provides for a bottom-up approach, thus leaving applicants free to submit a project of any size in any relevant area, on the condition that it is in line with the terms set down in this Information Package.

⁴ See Art. 4 to 10 of the RFCS Legal Basis

2.2 ELIGIBLE ACTIVITIES

Applications can be submitted for the following Activities: Research Projects, Pilot and Demonstration Projects, Accompanying Measures. These types of Activities are explained in the following sections.⁵

Type of Activity	Description	RFCS co-funding	Duration	Consortium
Research projects	Investigative or experimental work	≤60%	No specific requirement (typical duration is 36 or 42 months)	Minimum three independent legal entities established in at least two different EU Member States
Pilot & Demonstration projects	Construction and/or operation of an installation at pilot or demonstration scale	≤50%		
Accompanying measures	Dissemination or promotion of knowledge gained	≤ 60%	No specific requirement (typical duration is 18 months)	No specific requirement (typical consortium size is 4 to 10 participants)

2.2.1 RESEARCH PROJECTS

Research projects are intended to cover investigative or experimental work with the aim of acquiring further knowledge to facilitate the attainment of specific practical objectives such as the creation or development of new products, production processes or services.

The proposals should demonstrate the ability to solve specific scientific or technical problems, as well as demonstrate the economic and/or scientific technological impact of the results.

The preliminary investigation on the state-of-the-art and literature review should not be part of the project, but should be completed prior to submission and described in the proposal.

The maximum total financial contribution of the European Union for Research projects is up to 60 % of the eligible costs.

⁵ This section is written in accordance with Art. 14 to 17 of the RFCS Legal Basis concerning the description of the eligible activities and with Art. 30 concerning the maximum total financial contribution granted by the European Commission.

2.2.2 PILOT AND DEMONSTRATION PROJECTS

Pilot projects aim at the construction, operation and development of an installation or a significant part of an installation on an appropriate scale and using suitably large components with a view to examining the potential for putting theoretical or laboratory results into practice and/or increasing the reliability of the technical and economic data needed to progress to demonstration stage, and in certain cases to industrial and/or commercial stage.

Demonstration projects aim at the construction and/or operation of an industrial-scale installation or a significant part of an industrial-scale installation with the aim of bringing together all the technical and economic data in order to proceed with the industrial and/or commercial exploitation of the technology at minimum risk.

Pilot and Demonstration projects are aiming to bridge the gap between Research and Innovation.

Innovation can be considered as the technological implementation of new products or processes within the relevant industrial sector, or of significant improvements to products or processes, based on previous research results. The innovation is technologically implemented if it is introduced on the market (product innovation) or used within a production process (process innovation).

Where reference is given to "Innovation" in the Evaluation Form for Pilot and Demonstration projects (see Annex V), the definition above applies.

No significant research efforts should be included in Pilot and Demonstration projects, as they should focus on the construction and validation of a ready-designed unit. The preliminary investigation on the state-of-the-art and literature review should not be part of the project, but should be completed prior to submission and described in the proposal.

Pilot and Demonstration projects will be also evaluated for their potential to provide a step forward in the Technology Readiness Level (TRL) of the proposed application. To this purpose, the definitions of TRL in Annex VIII apply.

The maximum total financial contribution of the European Union for Pilot and Demonstration projects is up to 50 % of the eligible costs.

2.2.3 ACCOMPANYING MEASURES

Accompanying measures shall relate to the promotion of the use of knowledge gained or to the organisation of dedicated workshops or conferences in connection with projects or priorities of the Research Programme.

This activity includes the valorisation of research results having a direct impact in one of the following areas and excluding any kind of research activity:

- contribution to the assessment or enhancement of European or international technical regulations and standards⁶;
- valorisation of results that have a direct and immediate potential application at industrial level. The improvement of product quality and environmental and safety standards in and around the workplace are of particular importance;
- exploitation of new or alternative market possibilities of products and processes related to the coal or steel sector.

The maximum total financial contribution of the European Union for Accompanying Measures is up to 60 % of the eligible costs.⁷

2.3 WHO CAN PARTICIPATE ⁸

Any undertaking, public body, research organisation or higher and secondary education establishment, or other legal entity, including natural persons, established within the territory of a *member state* may participate in the Research Programme and apply for financial assistance, provided that they intend to carry out an RTD activity or can substantially contribute to such an activity.

Any undertaking, public body, research organisation or higher and secondary education establishment, or other legal entity, including natural persons, in *candidate countries* are entitled to participate *without receiving any financial contribution* under the Research Programme, unless otherwise provided under the relevant European Agreements and their additional Protocols, and in the decisions of the various Association Councils.

Any undertaking, public body, research organisation or higher and secondary education establishment, or other legal entity, including natural persons, from *third countries* are entitled to participate to individual projects without receiving any financial contribution under the Research Programme, provided that such participation is in the interest of the European Union.

2.4 PROJECT DURATION

Although the RFCS Legal Basis does not impose any specific project duration, most research, pilot and demonstration projects run for 36 or 42 months, while most Accompanying Measures have 18 or 24 months duration. When deciding about the project duration, applicants should consider the following:

⁶ To know more about European Standardisation and the standards making process please visit the website of the CEN (European Committee for Standardisation) and CENELEC (European Committee for Electrotechnical Standardisation) bodies at <http://www.cencenelec.eu/Pages/default.aspx>

⁷ In accordance with the co-financing principle in Art 125(3) of the Financial Regulation, in Art 183 of the RAP and in Art 30(1) of the RFCS Legal Basis.

⁸ See Art. 11 to 13 of the RFCS Legal Basis.

- The proposed scheduling must be credible and should be in line with the work to be carried out; unrealistic project duration is considered as a weakness during the evaluation of the proposal.
- Possible delays occurring during the execution of the work should be taken into account; a too tight project scheduling may compromise the ability of the consortium to effectively recover from difficult situations.
- Applicants must be aware already at this stage that, once the Grant Agreement is signed, project extensions will be granted only in very exceptional circumstances. However, in any case the consortium can still apply for a temporary suspension of the project, until the negative events affecting the execution of the project have been fully overcome. Applicants are recommended to make themselves familiar already at this stage with the rules concerning extension and suspension of projects (refer to the General Provisions to the Grant Agreement and to the Guidelines for Amendments published on the RFCS website, these documents can be accessed from the Participant Portal via the following link:

http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html#other

Recommended start date of the projects is the 1st of July of the calendar year following the year of the submission of the proposal, as this allows a best match between the reporting periods given in the Grant Agreement and the periodic review exercise carried out by the Technical Groups during the project life. A different start date can be proposed and discussed with the Commission on a case-by-case basis; however, in principle projects should not have a starting date preceding the date of signature of the Grant Agreement.

3 ELIGIBLE COSTS

This section contains guidelines on how to calculate eligible costs for carrying out an action funded by the RFCS programme (total estimated eligible costs for the action).

Important: the description of the eligible costs given in this chapter is written in accordance with a new RFCS Model Grant Agreement (MGA), different from the one used for previous calls. This new MGA will be applicable to proposals submitted to the RFCS in 2015 which, if recommended for funding, will be the subject of a Grant Agreement signed in 2016. A copy of this new MGA will be published on the Participant Portal, in the section dedicated to the general RFCS documentation, as soon as it becomes available:

http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html#other

Any reference made in this Information Package to the RFCS MGA has to be intended as reference to the new Model Grant Agreement as described above.

Applicants are strongly advised to become familiar with the new rules for eligible costs presented in this Information Package, which is written in compliance with the provisions of the RFCS MGA, and to prepare the budget for their proposals accordingly. Be aware that, for proposals recommended for funding, costs not complying with the definition of eligible costs given in this section will be rejected during the preparation of the Grant Agreement and the EU contribution will be reduced accordingly.

In the text under Chapter 3:

- any reference to the "description of the action" has to be intended as a reference to the Technical Annex of the proposal (or Form B2, see Section 4.5 for more details) which will become Annex I to the Grant Agreement, and
- any reference to the "estimated budget for the action" has to be intended as a reference to the two tables with the proposal's budget (Form A3 and Forms B3, see Section 4.5 for more details) which will become Annex II to the Grant Agreement.

3.1 GENERAL PRINCIPLES

‘Eligible costs’ are costs that meet the following criteria:⁹

(a) for **actual costs**:

- (i) they must be actually incurred by the beneficiary;
- (ii) they must be incurred within the duration of the project with the exception of costs relating to the submission of the periodic report for the last reporting period and the final report;
- (iii) they must be indicated in the estimated budget for the action;

⁹ See Art 6 of the RFCS MGA

- (iv) they must be incurred in connection with the action according to the description of the action and must be necessary for its implementation;
 - (v) they must be identifiable and verifiable, in particular recorded in the beneficiary's accounts in accordance with the accounting standards applicable in the country where the beneficiary is established and with the beneficiary's usual cost accounting practices;
 - (vi) they must comply with the applicable national law on taxes, labour and social security, and
 - (vii) they must be reasonable, justified and must comply with the principle of sound financial management, in particular regarding economy and efficiency;
- (b) for **unit costs** (only allowed for personnel costs for SME owners or beneficiaries that are natural persons not receiving a salary):
- (i) they must be calculated as follows:
 - [amounts per unit set out in the estimated budget for the action]
 - multiplied by*
 - [number of actual units]
 - (ii) the number of actual units must comply with the following conditions:
 - the units must be actually used or produced within the project duration;
 - the units must be necessary for implementing the action or produced by it, and
 - the number of units must be identifiable and verifiable, in particular supported by records and documentation;
- (c) for **flat-rate costs**:
- (i) they must be calculated by applying the flat-rate set out in the estimated budget for the action, and
 - (ii) the costs (actual costs or unit costs) to which the flat-rate is applied must comply with the conditions for eligibility set out there.

3.2 COSTS CATEGORIES

Eligible costs shall be broken down into the following four categories:¹⁰

- direct personnel costs (staff costs);
- direct costs of subcontracting;
- other direct costs;
- indirect costs.

¹⁰ See Art 5 of the RFCS MGA

'Direct costs' are costs that are directly linked to the action implementation and can therefore be attributed to it directly. They must not include any indirect costs.

'Indirect costs' are costs that are not directly linked to the action implementation and therefore cannot be attributed directly to it.

3.2.1 DIRECT PERSONNEL COSTS (STAFF COSTS)¹¹

Types of direct personnel costs

A.1 Personnel costs are eligible, if they are related to personnel working for the beneficiary under an employment contract (or equivalent appointing act) and assigned to the action ('**costs for employees (or equivalent)**'). They must be limited to salaries (including during parental leave), social security contributions, taxes and other costs included in the **remuneration**, if they arise from national law or the employment contract (or equivalent appointing act).

They may also include additional remuneration for personnel assigned to the action (including payments on the basis of supplementary contracts regardless of their nature), if:

- (a) it is part of the beneficiary's usual remuneration practices and is paid in a consistent manner whenever the same kind of work or expertise is required;
- (b) the criteria used to calculate the supplementary payments are objective and generally applied by the beneficiary, regardless of the source of funding used.

A.2 The **costs for natural persons working under a direct contract** with the beneficiary other than an employment contract or seconded by a third party against payment are eligible personnel costs, if:

- (a) the person works under the beneficiary's instructions and, unless otherwise agreed with the beneficiary, on the beneficiary's premises;
- (b) the result of the work carried out belongs to the beneficiary, and
- (c) the costs are not significantly different from those for personnel performing similar tasks under an employment contract with the beneficiary.

A.3 (*Case not applicable to the RFCS programme*)

A.4 Costs of owners of beneficiaries that are small and medium-sized enterprises ('**SME owners**'), who are working on the action and who do not receive a salary are eligible personnel costs, if they correspond to the amount per unit set out in the estimated budget for the action multiplied by the number of actual hours worked on the action.

¹¹ See Art 6(2) of the RFCS MGA

A.5 Costs of 'beneficiaries that are natural persons' not receiving a salary are eligible personnel costs, if they correspond to the amount per unit set out in the estimated budget for the action multiplied by the number of actual hours worked on the action.

Calculation

Personnel costs must be calculated by the beneficiaries as follows:

([hourly rate] *multiplied by* [number of actual hours worked on the action])

The number of actual hours declared for a person must be identifiable and verifiable.

The total number of hours declared in EU or Euratom grants, for a person for a year, cannot be higher than the annual productive hours used for the calculations of the hourly rate. Therefore, the maximum number of hours that can be declared for the grant are:

[number of annual productive hours for the year (see below)]

minus

[total number of hours declared by the beneficiary, for that person for that year, for other EU or Euratom grants].

The '**hourly rate**' is one of the following:

(a) for personnel costs declared as **actual costs**: the hourly rate is the amount calculated as follows:

[actual annual personnel costs for the person]

divided by

[number of annual productive hours]

The beneficiaries must use the annual personnel costs and the number of annual productive hours for each financial year covered by the reporting period concerned. If a financial year is not closed at the end of the reporting period, the beneficiaries must use the hourly rate of the last closed financial year available.

For the 'number of annual productive hours', the beneficiaries may choose one of the following:

- (i) 'fixed number of hours': 1720 hours for persons working full time (or corresponding pro-rata for persons not working full time);
- (ii) 'individual annual productive hours': the total number of hours worked by the person in the year for the beneficiary, calculated as follows:

[annual workable hours of the person (according to the employment contract, applicable collective labour agreement or national law)]

plus

[overtime worked]

minus

[absences (such as sick leave and special leave)]

'Annual workable hours' means the period during which the personnel must be working, at the employer's disposal and carrying out his/her activity or duties under the employment contract, applicable collective labour agreement or national working time legislation.

If the contract (or applicable collective labour agreement or national working time legislation) does not allow to determine the annual workable hours, this option cannot be used;

- (iii) 'standard annual productive hours': the standard number of annual hours generally applied by the beneficiary for its personnel in accordance with its usual cost accounting practices. This number must be at least 90% of the 'standard annual workable hours'.

If there is no applicable reference for the standard annual workable hours, this option cannot be used.

For all options, the actual time spent on **parental leave** by a person assigned to the action may be deducted from the number of annual productive hours;

- (b) for personnel costs of SME owners or beneficiaries that are natural persons declared on the basis of **unit costs**, the hourly rate is the hourly rate set out in the estimated budget for the action (see Points A.4 and A.5 above).

3.2.2 OTHER DIRECT COSTS

Equipment¹²

The depreciation costs of equipment (new or second-hand) as recorded in the beneficiary's accounts are eligible, if they are

- purchased specifically for the action and ensuring the best value for money or, if appropriate, the lowest price and avoiding any conflict of interests, and
- written off in accordance with international accounting standards and the beneficiary's usual accounting practices.

The costs of renting or leasing equipment (including related duties, taxes and charges such as non-deductible value added tax (VAT) paid by the beneficiary) are also eligible, if they do not exceed the depreciation costs of similar equipment and do not include any financing fees.

The only portion of the costs for equipment that will be taken into account is that which corresponds to the duration of the action and rate of actual use for the purposes of the action.

Consequently, eligible costs for equipment shall be calculated according to the following formula:

¹² See Art 6(2) D2 of the RFCS MGA

$$A/B \times C \times D$$

where:

- A the period (in months) during which the equipment will be used for the project;
- B depreciation time according to the national legislation and the standard practice of the beneficiary;
- C purchase or hiring cost of the equipment;
- D fraction of use of the equipment in the project ($0 < D \leq 1$, $D=1$ if the equipment is used 100% for the project).

Operating costs¹³

Operating costs, including related duties, taxes and charges such as non-deductible value added tax (VAT)¹⁴ paid by the beneficiary, are eligible, if they are purchased specifically for the action. The beneficiaries must make such purchases ensuring the best value for money or, if appropriate, the lowest price. In doing so, they must avoid any conflict of interests.

Operating costs directly related to the implementation of the project shall be limited to the cost of:

raw materials; consumables; energy; transportation of raw materials, consumables, equipment, products, feedstock or fuel; the maintenance, repair, alteration and transformation of existing equipment; IT and other specific services; the rental of equipment; analysis and tests; dedicated workshop organisation; certificate on financial statements and bank guarantee; protection of knowledge.

3.2.3 INDIRECT COSTS¹⁵

Indirect costs are eligible if they are declared on the basis of the flat-rate of 35% of the eligible direct personnel costs.

¹³ See Art 6(2) D3 of the RFCS MGA

¹⁴ Value added tax (VAT) is eligible as direct cost only if it is non recoverable according to Art 126(3) (c) of the Financial Regulation

¹⁵ See Art 6(2) E of the RFCS MGA

3.3 THIRD PARTIES¹⁶

A third party is any legal entity that will not sign the grant agreement. The RFCS MGA foresees the possibility to involve in the project two types of third parties: linked third parties and subcontractors.

Important. In order to be eligible, contributions from third parties must be always set out in the description of the action (Form B2) and their costs must be included in the estimated budget for the action (Form A3 and Forms B3).

3.3.1 LINKED THIRD PARTIES¹⁷

Only 'affiliated entities' or 'entities with a legal link to a beneficiary' can be linked third parties.

Entities performing a substantial part of the work (i.e. action tasks) should in principle be beneficiaries, NOT linked third parties. Linked third parties should only exceptionally perform a major part of the research work.

Characteristics of implementation by linked third parties:

- Linked third party does not charge a price, but declares its own costs for implementing the action tasks;
- Linked third party itself performs certain action tasks directly and is responsible for them towards the beneficiary. Linked third parties do NOT sign the GA (and are therefore not beneficiaries);
- The beneficiary remains responsible towards the Commission for the work carried out by the linked third party. Moreover, the beneficiaries are financially responsible for any undue amount paid by the Commission as reimbursement of costs of their linked third parties – unless the GA foresees joint and several liability;
- Work is attributed to the linked third party in the description of the action and is usually carried out on its premises;
- Work is under the full and direct control, instructions and management of the linked third party, who carries out this part of the action (with its employees).

Entities with a legal link to a beneficiary

'Entities with a legal link' refers to an established relationship (between the third party and the beneficiary), which is:

- broad and not specifically created for the work in the GA (its duration must go beyond the action duration and it usually pre-dates and outlasts the action). 'Ad hoc' collaboration agreements or contracts to carry out work in the action are NOT covered (in this latter case, both legal entities should be beneficiaries.)

AND

¹⁶This section is written in accordance with Art 6(3) of the RFCS MGA

¹⁷See Art 14 of RFCS MGA

- a legal relationship. This may be either a legal structure (e.g. the relationship between an association and its members) or through an agreement or contract (not limited to the action). If the only relation between two entities is a capital link (i.e. ownership of part of the issued share capital), the entity may only participate as a linked third party if it is an 'affiliated entity' (see below).

Examples:

Joint Research Units (JRU) (i.e. research laboratories/infrastructures created and owned by two or more different legal entities in order to carry out research). They do not have a separate legal personality, but form a single research unit where staff and resources from the different members are put together to the benefit of all. Though lacking legal personality, they exist physically, with premises, equipment, and resources individual to them and distinct from 'owner' entities. A member of the JRU is the beneficiary and any other member of the JRU contributing to the action and who is not a beneficiary has to be identified as a linked third party. The JRU has to meet all the following conditions:

- scientific and economic unity,
- last a certain length of time,
- recognised by a public authority.

It is necessary that the JRU itself is recognised by a public authority, i.e. an entity identified as such under the applicable national law. The beneficiary must provide to the Commission a copy of the resolution, law, decree, decision, attesting the relationship between the beneficiary and the linked third party(ies), or a copy of the document establishing the 'joint research unit', or any other document that proves that research facilities are put in a common structure and correspond to the concept of scientific and economic unit.

Associations, foundations or other legal entities composed of members (where the association/foundation etc. is the beneficiary and the members are the linked third parties).

Affiliated entities

'Affiliated entity' means:

- under the direct or indirect control of the beneficiary or
- under the same direct or indirect control as the beneficiary or
- directly or indirectly controlling the beneficiary.

'Control' may take any of the following forms:

- (a) the direct or indirect holding of more than 50% of the nominal value of the issued share capital in the legal entity concerned, or of a majority of the voting rights of the shareholders or associates of that entity;
- (b) the direct or indirect holding, in fact or in law, of decision-making powers in the legal entity concerned.

However, the following relationships between legal entities shall not in themselves constitute controlling relationships:

- (a) the same public investment corporation, institutional investor or venture-capital company has a direct or indirect holding of more than 50% of the

- nominal value of the issued share capital or a majority of voting rights of the shareholders or associates;
- (b) the legal entities concerned are owned or supervised by the same public body.

Affiliated entities cover not only the case of parent companies or holdings and their daughter companies or subsidiaries and vice-versa, but also the case of affiliates between themselves (*e.g. entities controlled by the same entity*).

Examples

- *Company A established in France holding 20% of the shares in Company B established in Italy. However, that 20% of shares has 60% of the voting rights in company B. Therefore company A controls company B and both companies may be linked third parties in a RFCS grant agreement.*
- *Company X and company Y do not control each other, but they are both owned by company Z. They are both considered affiliated entities.*

3.3.2 SUBCONTRACTING¹⁸

Subcontracting may cover only a limited part of the action. The beneficiaries must award the subcontracts ensuring the best value for money or, if appropriate, the lowest price. In doing so, they must avoid any conflict of interests.

Characteristics of subcontracting:

- Based on 'business conditions'; this means that the subcontractor charges a price, which usually includes a profit (this distinguishes it from 'linked third parties').
- Subcontractor works without the direct supervision of the beneficiary and is not hierarchically subordinate to the beneficiary (this distinguishes it from action tasks implemented by in-house consultants)
- Subcontractor's motivation is pecuniary, not the research work itself. The subcontractor is paid by the beneficiary in exchange for its work
- Responsibility towards the EU/Euratom for the subcontracted work lies fully with the beneficiary.

The beneficiary remains responsible for all its rights and obligations under the GA, including the tasks carried out by a subcontractor.

Subcontracts should in particular foresee that intellectual property generated by a subcontractor reverts to the beneficiary (so that it can meet its obligations towards the other beneficiaries in the GA and respect the other obligations of the GA).

- Subcontractor has no rights or obligations towards the Commission/Agency or the other beneficiaries (it has no contractual relation with them).

The beneficiaries must ensure that the subcontractors comply with certain obligations:

- avoiding conflicts of interest,

¹⁸ See Art 13 of the RFCS MGA

- maintaining confidentiality,
- promoting the action and give visibility to the EU funding,
- liability for damages.

In order to be able to fulfil these obligations, best practice is that the beneficiaries impose contractual arrangements on the third parties.

Another obligation is the compliance with national procurement rules. Beneficiaries that are 'contracting authorities' or 'contracting entities' (within the meaning of the EU public procurement Directives 2004/18/EC and 2004/17/EC — or any EU legislation that replaces these Directives) must moreover comply with the applicable national law on public procurement. These rules normally provide for a special procurement procedure for the types of contracts they cover.

Other provisions:

- Subcontracting between beneficiaries is NOT allowed in the same grant agreement. All beneficiaries contribute to and are interested in the action; if one beneficiary needs the services of another in order to perform its part of the work it is the second beneficiary who should declare the costs for that work;
- Subcontracting to affiliates is NOT allowed, unless they have a framework contract or the affiliate is their usual provider, and the subcontract is priced at market conditions. Otherwise, these affiliates may work in the action, but they must be identified as linked third parties and declare their own costs;
- Coordination tasks of the coordinator cannot be subcontracted (e.g. monitor of the implementation of the action, intermediary for communication, review of reports, submission of deliverables, distribution of funds);
- for existing framework contracts or subcontracts the name of the subcontractor should be indicated (because it is known). Moreover, these (sub)contracts must have complied with best value-for-money and absence of conflict of interests at the time of their award.

4 PROPOSAL PREPARATION AND SUBMISSION

The submission of project proposals to the RFCS Programme is made in the frame of an open call with annual cut-off date in September, which is the same for all types of activities (research projects, pilot and demonstration projects, accompanying measures).

The cut-off date of the RFCS call for 2015 is:

Tuesday, September 15, 2015
at 17:00:00 (Brussels local time)

For practical reasons, submission of proposals is only possible during a limited time which goes from the opening of the call on the Participant Portal until the above-mentioned cut-off date. Proposals submitted after the cut-off date will not be retained by the electronic submission system and applicants will need to re-submit the proposal in 2016, if they so wish, according to the modalities that will be set out in the 2016 edition of this Information Package.

The submission process consists of the following 6 steps.

		Description	Responsible
Step 1	LOGIN	Access to the Participant Portal	Project Coordinator
Step 2	FUNDING SCHEME	Selection of Funding Programme, Topic and Type of Activity	Project Coordinator
Step 3	CREATE DRAFT	Creation of a new draft proposal	Project Coordinator
Step 4	PARTIES	Selection of partners	Project Coordinator
Step 5	EDIT PROPOSAL	Preparation of the technical content, of the administrative information and of the budgetary aspects of the proposal.	All partners
Step 6	SUBMIT	Final submission of the proposal	Project Coordinator

Before starting the submission, applicants are recommended to become familiar with all documents, guidelines and forms made available on the page of the Participant Portal dedicated to the RFCS call.

In addition, general user manuals on the submission of proposals are also available at the following links:

http://ec.europa.eu/research/participants/data/support/sep_usermanual.pdf

http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/applying-for-funding/submit-proposals_en.htm

Although mainly intended for submission of proposals under the Horizon2020 programme, these documents provide an exhaustive overview and a step-by-step guide of the submission process, which applies for the most part also to the submission of proposals to the RFCS programme.

4.1 STEP 1 – LOGIN TO THE PARTICIPANT PORTAL

The project proposals for the RFCS programme have to be prepared and submitted electronically on the Participant Portal, which is the common platform centralising the EU research funding opportunities offered by the European Commission:

<http://ec.europa.eu/research/participants/portal/desktop/en/home.html>

No paper submissions will be accepted, nor proposals submitted by e-mail, on CD-ROM or in any other form.

The Participant Portal offers to applicants the possibility to create and edit a proposal for any open call, to monitor the status of their submitted proposals and to enrol as an expert for the evaluation of proposals.

On the Participant Portal, each person intending to create, edit and submit a proposal has to log in by using his/her European Commission Authentication Service (ECAS) account. The ECAS account is intended to allow users to access a wide range of Commission information systems, using a single username and password. To register for the first time on ECAS, please follow the link:

<https://webgate.ec.europa.eu/cas/eim/external/register.cgi>

Note that the ECAS codes are unique per person (per e-mail address). An error message will be displayed in case you are trying to register with an e-mail address already registered in the system.

You may already have an ECAS account if you have used in the past electronic services of the European Commission. If this is the case, please avoid a new registration and use your existing ECAS credentials to log in.

The ECAS account is different from the PIC (Participant Identification Code, which relates to an organisation, see Section 4.3). Typically, the PIC code is unique for the whole organisation, while the ECAS ID is personal.

Every time you log in with your ECAS account, please also make sure to select the correct domain (it should be **External** for people not working in any European institution).

Once the user is logged in, the following options exist:

- If the user intends to create a new proposal to be submitted to the RFCS programme, he can do so by following the indications given in detail in Steps 2 to 6;
- If the user has already created a proposal and now wants to edit or submit it, or he/she has been invited to participate in an existing proposal, he/she can view the proposal concerned in the My Proposal(s) page and edit only specific parts.

4.2 STEP 2 – FUNDING SCHEME

The Steps 2 and 3 are only relevant for a user who wants to create a draft proposal for the first time.

The dedicated page of the call for the RFCS programme can be accessed from the panel of the "Funding Opportunities" on the Participant Portal, where a link to the page with calls for proposals of the Research Fund for Coal and Steel is available. The active call of the RFCS for 2015 can be found under the name "RFCS-2015".

When accessing the page of the RFCS-2015 call, the relevant Topic (Coal or Steel) has to be selected:

- RFCS-01-2015 Coal
- RFCS-02-2015 Steel

This gives access to the page of the Topic, where the following panels are available:

- Topic description (objectives, scope, expected impact)
- Topic conditions and documents (Information Package, templates, etc.)
- Submission service

On the Submission Service panel, and upon selection of the **Type of Activity** (Research, Pilot & Demonstration or Accompanying Measure), the user will have direct access to the **Participant Portal Submission Service** (referred to in this information Package as PPSS and available under the tab *Submission Service* at the opening of the call), which is the electronic environment that allows editing and submitting the proposals.

4.3 STEP 3 – CREATE DRAFT

On the “Create Draft” panel of the PPSS system, the user creating the proposal for the first time will be asked to:

- 1) **Identify his/her organisation**, which will be referred to in the following as the Coordinating Organisation. This is done through the Participant Identification Code (PIC) of the organisation.

The PIC is a code for identifying the participants at any stage of the different processes of the programmes managed by the DG Research and Innovation. Therefore, every organisation that intends to become participant in a RFCS proposal must request the PIC code, temporary or validated.

An organisation that has recently submitted a proposal to the RFCS, FP7 or Horizon 2020 programme should already have a PIC. To check whether an organisation is already registered, the following search facility can be used (a search box is also available at this step):

<http://ec.europa.eu/research/participants/portal/desktop/en/organisations/register.html>

If the organisation does not have a PIC, then the “Register Organisation” link on the same page will direct the user to the registration process.

If you encounter problems during the registration, please contact the IT Help Desk through the dedicated link on the Participant Portal.

- 2) **Identify his/her role** in the proposal.

If the person creating the proposal identifies himself/herself as the 'Main Contact' for the coordinating organisation, then he/she becomes the primary contact person for the Commission services and will be referred to in this Information Package as the Project Coordinator of the entire proposal.

If the person creating the proposal identifies himself/herself as "Contact Person", he/she will be asked to identify a different Main Contact at Step 4, who becomes the Project Coordinator. This information is mandatory for the successful submission of the proposal.

- 3) **Identify the proposal**. Information that needs to be entered at this stage is the proposal acronym (max 20 characters) and a short summary (max 2000 characters).

By clicking on “Next”, a disclaimer appears which requires the user to accept the terms and conditions of usage of the submission system, followed by the confirmation that the proposal has been successfully created. An automatic email is sent by the system to the person creating the proposal, giving a direct link to the “My Proposals” page on the EC Participants Portal. This link should be used for any future access to the draft proposal.

4.4 STEP 4 – PARTIES

The list of organisations (having a PIC), contact persons and access right can be managed at Step 4.

Access can be given to as many contact persons of the selected organisations as wished. The identification is based upon the e-mail address of the person; if a given email address is already linked to another contact person, a warning will be displayed and the operation fails. For every organisation, the presence of a main contact person is mandatory.

When selecting the access rights for contact persons, the following has to be considered:

- The main contact person and other contact persons of the coordinating organisation with full access rights can manage the list of participants and contacts, edit any part of the administrative forms of the proposal, upload any attachments (e.g. technical annex), and submit the proposal.
- The main contact person and other contact persons of other participants with full access rights can view/download the information but can only edit the part of the administrative forms which concern their organisation.
- Contact persons with read-only rights can only view/download the information.

To add a new participant organisation, click on the "Add Partner" button and use the Search function to obtain the PIC of the new organisation (the system allows to retrieve the PIC of any registered organisation using its full or partial name or VAT number).

Important. Every time modifications are made at Step 4, these need to be saved by:

- *clicking on the "Save changes" button at the bottom of the page,*
- *opening and saving the Administrative Forms (Part A of the proposal, accessible by clicking on "edit forms" at Step 5, see Section 4.5).*

Once the modifications are saved, an automatic e-mail is sent to the new individuals added to the proposal, inviting them to access and to contribute to the draft proposal via the Participant Portal. Here, all proposals in which the person is involved will be listed under the My Proposal(s) link.

The invited parties need to have an ECAS account to view and modify the proposal online (Forms A2 and A3 for the relevant organisation). If not already registered in ECAS, they can do so at the time of first access to the system by clicking on the "Not registered yet" link.

If an invited person does not receive the invitation email, he/she can be re-invited by the main contact person by clicking on the envelope icon.

4.5 STEP 5 – EDIT PROPOSAL

The table below gives a summary of all RFCS submission forms required at Step 5, followed by an explanation of the individual forms.

	Forms		Sub-forms	Applies to	Format	Responsible
Part A (Administrative Forms)	A1	General information		all proposals	Single on-line form	Project Coordinator
	A2	Administrative data of participating organisations	One set of administrative data per participant			Each participant for his/her own organisation or the Project Coordinator on behalf of participants
	A3	Budget for the proposal				
Part B and Annexes	B1	Proposal Description		all proposals	To be uploaded as single pdf file (max 18 pages, max 10 MB) Template available in PPSS (Step 5)	Project Coordinator
	B2	Technical Annex	B2-1 Project objectives		To be uploaded as single pdf file including B2-1, B2-2 and B2-3 (no page limit, max 20 MB) Template available in PPSS (Step 5)	
			B2-2 Work packages description			
			B2-3 Bar chart			
	B3	Budget Breakdown	One Form B3 for each participant in the proposal	To be uploaded as single pdf file including all B3 forms for the proposal (no page limit, max 10 MB) Template available in PPSS (Step 5)		
B4	Resubmission details		only re-submitted proposals	To be uploaded as single pdf file (max 2 pages, max 10 MB) Template available on PPSS (Step 5)		
ESR	Copy of the Previous ESR			Upload as single pdf file (max 10 MB) Example available in PPSS (Step 5)		

Part A (Administrative Forms)

The Administrative Forms (referred to in the following as Part A) appear as a single online pdf file with editable fields automatically created by the submission system. These forms can be accessed by clicking on the “*edit forms*” button and are composed of three different sections (a template is shown in Annex IX to this Information Package):

Form A1. The first section of Part A (*General Information*) provides an overview of the proposal and is initially partly filled by the system with the information given by the Project Coordinator at Steps 3 and 4. The Project Coordinator must enter at this stage the full title of the proposal, its duration (in months), starting date, abstract, research objective (refer to Annex III to this Information Package for explanation of codes used in the dropdown list), technical group (refer to Annex II to this Information Package for details on the scopes of the different technical groups of the RFCS programme) and identification of resubmitted proposals. This part is complemented by specific declarations to be made by the Project Coordinator.

Forms A2. The second section of Part A (*Administrative data of participating organisations*) has to be filled in with additional information and contact details of each participant, including information on dependencies with other participants (to this goal, please refer to the definition of "independent legal entities" given in the footnote).¹⁹ This part can be filled in either by each participant for his/her own organisation or by the Project Coordinator on behalf of the participants.

Form A3. The third section of Part A (*Budget for the proposal*) has to be filled in by the Project Coordinator and should give an overview of the costs foreseen by each participant (and its linked third parties, if any) per cost category. Such costs should correspond exactly to the amounts reported in Forms B3 by each participant under the different cost categories. Figures inserted manually by the consortium must be rounded to the nearest integer (see explanation given for Form B3), while values calculated automatically by the system will be displayed with two decimal places.

The following commands appear at the top of each page of Part A.

Table of contents. This link brings back to the Table of Contents on the first page of the proposal; additionally a 'Go To' drop down menu is available to quickly jump to any section of the Part A form.

Validate Form. At any stage of the proposal preparation process, the "Validate form" feature checks if mandatory information is still missing. The check will be carried out on all forms in Part A regardless of the page from which the validation has been launched, and will redirect the user to a page with a list of warnings (validation results). The presence of some of the warnings will not

¹⁹ Two legal entities shall be regarded as independent of each other where neither is under the direct or indirect control of the other or under the same direct or indirect control as the other. For this purpose, control may, in particular, take either of the following forms:

- (a) the direct or indirect holding of more than 50 % of the nominal value of the issued share capital in the legal entity concerned, or of a majority of the voting rights of the shareholders or associates of that entity;
- (b) the direct or indirect holding, in fact or in law, of decision-making powers in the legal entity concerned.

The following relationships between legal entities shall not in themselves be deemed to constitute controlling relationships:

- (a) the same public investment corporation, institutional investor or venture-capital company has a direct or indirect holding of more than 50 % of the nominal value of the issued share capital or a majority of voting rights of the shareholders or associates;
- (b) the legal entities concerned are owned or supervised by the same public body.

block the submission of the proposal, but may affect the eligibility of the proposal and/or the outcome of the evaluation due to missing information.

Save and Close: every time the forms in Part A are modified, the modifications must be saved by clicking on "Save and close" otherwise they will be lost. This will also close the editable pdf interface. The action saves the entire Part A regardless of the page from which the "Save and close" has been launched.

Part B

Part B is the core part of the proposal as it includes the description of the state-of-the-art, the work plan, the operational capacity of the consortium, the budgetary aspects, and any other element that the applicants may consider useful in view of the evaluation of their proposal.

Applicants are recommended to give the highest consideration to this part. In case the proposal is successful at the evaluation and the consortium will be invited to enter in the Grant Agreement preparation phase in view to sign a Grant Agreement with the Commission, most of the information provided in Part B will become contractual obligations. No possibility will be given during the preparation of the Grant Agreement to modify substantial elements of the proposal, such as the planned work, the deliverables, the composition of the consortium, the nature and extent of the claimed costs etc., except for obvious clerical errors.²⁰

Therefore the proposal will be evaluated as submitted and, if important information is missing or not convincing, or shortcomings are found, this will result in a low scoring of the proposal. Applicants are advised to become familiar already at this stage with the RFCS evaluation criteria given for each activity type in Annex IV, Annex V and Annex VI to this Information Package and the evaluation process explained in Chapter 5.

Part B consists of a set of pdf files (the so-called Forms B) that have to be uploaded by the Project Coordinator and should follow the given format. Templates of these forms are available for download from the PPSS submission platform (under "download templates") and are also attached to this Information Package (see Annex IX). These templates are MS Word and Excel documents and must be converted to pdf before uploading (the PPSS will not accept files with extension different from *pdf*).

The forms in Part B should be filled in preferably in English as this will be the working language during the evaluation. If these forms are written in a language other than English, please include an English version of the proposal's abstract in the Technical Annex (Form B2). Note that, in any case, the online submission forms for Part A and the templates for Part B are only available in English.

²⁰ E.g. omission to submit evidence or information on a non-substantial element of the proposal, see Art 96(2) of the Financial Regulation and Art 204(3) of the RAP.

Required forms:

- For every proposal, a minimum of 3 pdf files must be uploaded: Forms B1, B2 and B3. When submitting the proposal, an error message is displayed if any of these files is missing and the submission will not be allowed.
- If the proposal is re-submitted this year after it has not been retained for funding by the RFCS in a previous evaluation, two additional pdf files must be uploaded: Forms B4 and the most recent ESR.

Also note that there are page limitations for Form B1 (max. 18 pages) and B4 (max 2 pages). When validating the proposal, the submission system will generate an automatic warning when the page count exceeds the maximum, but this will not prevent the submission. In order for the proposal to be admissible, it is therefore the responsibility of the applicants to ensure that the said limits are respected.

Form B1 Form B1 (Proposal Description) should contain:

- A proposal summary (maximum 100 words)
- A list of ongoing and closed projects (RFCS, ECSC, FP, etc.), international literature, patents etc. of major relevance to the objectives of the proposal, and a clear indication of the proposal's added value to what has been already achieved to date at both European and worldwide level. Any mention of information that is not yet part of the public domain (i.e. reference to projects whose final report is not yet public) should allow the reader to reach an exhaustive understanding of the relevant findings.
- A description of the project, with indication of its main aspects, the global approach of the research and a brief overview of the work plan, as well as any other element that the applicants consider useful for a proper evaluation of the proposal (to this goal it is recommended to become familiar with the evaluation criteria in Annex IV, Annex V and Annex VI to this Information Package). The description should be concise and structured in order to facilitate an easy understanding of all the main aspects and issues at stake.
- A description of the individual partners of the consortium, highlighting their operational capacity (in terms of, e.g., experience, skills, facilities, staff, resources, etc.) to carry out the proposed action. Subcontractors and linked third parties should also be described.

Required format for Form B1:

- the given template should be used (file B1_Proposal_Description.docx available in PPSS under "*download templates*", STEP 5); the form is also shown in Annex IX to this Information Package.

- it has to be uploaded to PPSS as single pdf file, max file size is 10 MB;
- the document must not exceed 18 pages in total, while there is no specific limit or requirement on the length of each sub-sections; the minimum font size allowed is 11 points. In order for the proposal to be admissible, it is the responsibility of the applicants to ensure that the said page limit is respected.

Form B2

Form B2 (Technical Annex) describes the work plan for the execution of the proposed action. If the proposal is retained for funding, it will become an Annex to the Grant Agreement and will define the contractual technical obligations of the participants. It includes the following sub-forms:

- Form B2-1 should explain the objectives of the whole project, in max 1 page;
- Form B2-2: for each work package, it should explain the objectives, the activities to be carried out in order to achieve these objectives, as well as the responsibilities and overall commitment (in terms of man hours) of the participants. The responsibility for each deliverable should be also clearly identified, as well as the interdependencies of tasks and work packages. Contributions from subcontractors and linked third parties should be described.
- Form B2-3 (bar chart): should indicate the scheduling for each task in each work package and the commitment (in terms of man hours) of each participant, subcontractor and linked third party.

Required format for B2:

- the given template should be used (file B2_Technical_Annex.docx available in PPSS under "*download templates*", STEP 5); the form is also shown in Annex IX to this Information Package. The information provided should strictly follow the format given, without attaching any additional documents in whatever form (e.g. additional annexes, appendices, supporting letters etc.).
- Forms B2-1, B2-2 and B2-3 should be bundled consecutively into one single pdf file to be uploaded to PPSS as Form B2; max file size is 20 MB;
- there is no page limit for Form B2; the minimum font size allowed is 11 points.

Forms B3

Budget breakdown for each direct participant in the proposal. The form allows participants to claim costs classified in the categories explained in Section 3.2. Footnotes are given in the form to guide applicants.

Costs incurred by linked third parties have to be claimed by indicating the name of the linked third party in the last column on the right (while, for costs incurred directly by the participant, the cells in this column should be left empty).

Direct costs for subcontracting can be claimed by the participants or by its linked third parties, as relevant.

The template provided on the Participant Portal is a MS Excel file with an empty sample of the form. Applicants will need to generate additional copies of this form in order to cover all participants in the proposal.

In order to allow for a full compatibility with the central IT systems, the following settings are used in the Excel template for rounding numbers with decimal places: the totals A (personnel costs), B (direct costs of subcontracting), C1 (equipment) and C2 (operating costs) are calculated by automatically rounding up or down to the nearest integer; the totals D (indirect costs), E (total estimated eligible costs) and the total revenue are calculated with a precision of 2 decimal places.

When converting the Excel file in pdf format, make sure that this operation is extended to all Forms B3 that you have created (i.e., to all participants) and check that the resulting pdf file is readable and clearly conveys the intended information. In particular check that the text inserted in the cells is always well visible; hidden text will be lost in the conversion to pdf and will not be taken into account for the evaluation. For an optimal conversion into pdf, do not modify the width and the number of the columns in Form B3 (whereas it is always possible to add new rows, if more space is needed, and extend the length of each Form B3 even beyond the 2 pages of the template).

Required format for Forms B3:

- the given template should be used (file B3_Budget_Breakdown.xlsx available in PPSS under "*download templates*", STEP 5); the forms are also shown in Annex IX to this Information Package.
- One form B3 is requested for each direct participant in the proposal.
- It has to be uploaded to PPSS as a single pdf file which includes all forms B3 for the proposal. The same order of participants should be used as they appear in Part A.
- maximum file size is 10 MB.
- there is no page limit for this form.

Form B4 Resubmission details (applies only to resubmitted proposals).

If it is declared in Form A1 that the proposal has been already submitted to the RFCS programme for evaluation in previous years, the proposal will be classified as "resubmitted" and the following two additional documents are requested: Forms B4 and the most recent ESR.

Form B4 should explicitly summarise any changes made against the previous submission.

Required format for B4:

- the given template should be used (file B4_Resubmission_Details.docx available in PPSS under "*download templates*", STEP 5), the form is shown in Annex IX to this Information Package.
- it has to be uploaded to PPSS as a single pdf file; max file size is 10 MB;
- it must not exceed 2 pages; the minimum font size allowed is 11 points. In order for the proposal to be admissible, it is the responsibility of the applicants to ensure that the said page limit is respected.

Previous ESR Previous Evaluation Summary Report (applies only to resubmitted proposals).

This corresponds to the Evaluation Summary Report (ESR) that the applicants have received from the European Commission following the most recent evaluation of the proposal submitted to the RFCS programme. The Project Coordinator is requested to upload exactly the same pdf file received from the European Commission (see also Annex IX to this Information Package for a blank example).

There is no page limit for this form.

It has to be uploaded to PPSS as a single pdf file; max file size is 10 MB.

If a proposal is declared as a resubmission but the applicants fail to provide the most recent ESR, this document will be provided to the evaluators by the Commission's services and will become part of the information taken into account for the evaluation of the proposal.

4.6 STEP 6 – SUBMIT

The Project Coordinator (or other contact persons of the coordinating organisation with full access rights to the proposal) is responsible for the submission of the proposal.

Prior to the submission, the Project Coordinator is recommended to perform a Validation of the proposal (by clicking on “*Validate*” on the Edit Proposal’s Forms screen) in order to know if any important information is missing in Part A and if at least the mandatory forms B1, B2 and B3 have been uploaded.

The PPSS system is not programmed to check whether the Forms B1 and B4 do not exceed the maximum number of pages or re-submitted proposals actually include the required B4 and the most recent ESR. It is therefore always the responsibility of the Project Coordinator to make sure that the necessary forms are uploaded according to the instructions given in Section 4.5 (“Step 5 – Edit Proposal”), including all necessary sub-forms and respecting the page limits.

Once the “Validation” check does not reveal any residual problems, the proposal can be submitted by clicking on “*Submit*” appearing on the lower right corner of the Edit Proposal’s Forms screen. Note that this action will directly submit the proposal to the RFCS programme.

The proposal can be submitted at any time prior to the cut-off date for 2015. By accessing the “My Proposals” page on the Participant Portal, a submitted proposal can be withdrawn by the Project Coordinator, or it can be re-opened, modified and re-submitted as long as this is done before the given cut-off date.

Note that any subsequent submission will overwrite the preceding one and that the Commission will only see and evaluate the last **submitted** (i.e., not last saved) version of the proposal available on the system at the expiration of the deadline (cut-off date for 2015). Participants are advised to submit an early version of the proposal and subsequently update it so that there is always a submitted version on PPSS.

After the deadline, proposals will remain accessible in read-only mode and for download only until the end of 2015. It is therefore recommended to save and/or print a version of the electronic proposal to keep a permanent record of what has been submitted.

Note that the proposals may be evaluated on paper after being printed in black and white. Therefore applicants are recommended to ensure that black and white printouts of the proposal still convey the intended information.

5 EVALUATION

Submitted proposals are evaluated by the Commission services with the assistance of independent external experts.

Proposals are evaluated as submitted. Changes in the proposal are no longer possible after the cut-off date and any additional documentation provided by the applicants after this date will be disregarded, unless the Commission expressly asks the applicants to clarify any obvious clerical errors on their part (e.g. omission to submit evidence or information on a non-substantial element of the proposal).²¹

In addition, the Commission may re-allocate a proposal to a different topic, Technical Group or type of activity, if the first choice made by the applicants appears questionable. In this case, the applicant will be informed and asked to expressly agree with the proposed re-allocation.

If the coordinator wants to withdraw a proposal after the closure of the call, s/he should inform the Commission through the RFCS functional mailbox indicated in Section 6.1. If an applicant has submitted the same proposal more than once, the Commission may ask him/her to withdraw the unnecessary duplicates.

5.1 CONDITIONS FOR ADMISSIBILITY AND ELIGIBILITY

Proposals are only evaluated if they are considered admissible and eligible.

A proposal will only be considered **admissible** if it complies with all the following conditions:

- 1.1 It has been submitted before the deadline through the Participant Portal Submission System (PPSS); proposals submitted via any other mean (e-mail, ordinary mail, hand-delivery, etc.) will not be evaluated.
- 1.2 It is readable, accessible and not protected for printing.
- 1.3 It includes the following forms (intended as a complete set of the relevant sub-forms as explained in Section 4.5):

Form *B1* – Description of the proposal

Form *B2* – Technical Annex

Form *B3* – Budget breakdown

If any of the required forms and sub-forms is missing, the proposal will be declared inadmissible.

²¹ When clarifying obvious clerical errors, the Commission will not take into account new information provided by the applicants if this would substantially change the proposal.

1.4 If it is a resubmitted proposal, the following additional form must be provided:

Form B4 – Information on the resubmitted proposal

1.5 The following forms must not exceed the maximum allowable number of pages:

Form B1 maximum 18 pages

Form B4 maximum 2 pages (only relevant for resubmitted proposals)

A proposal will only be considered **eligible** if:

2.1 at least three legal entities, independent²² from each other and established in at least two different EU Member States, participate in the project as direct beneficiaries.²³

Important: The eligibility criterion 2.1 does not apply to proposals for Accompanying Measures (which are always eligible regardless of the number of participants and of EU Members States in which these participants are established).

A check on the admissibility and eligibility of the proposals is carried out by the Commission before the evaluation. Applicants of inadmissible and ineligible proposals will be informed in due time about the decision of the Commission not to proceed with the evaluation of such proposals. They will not be given the possibility to improve the proposals in order to make it admissible and eligible for the current call, but can consider to resubmit it in one of the future RFCS calls, if they wish.

A proposal may be deemed ineligible also at a later stage of the evaluation process, should evidence arise of non-compliance with the admissibility and eligibility criteria given above.

²² Two legal entities shall be regarded as independent of each other where neither is under the direct or indirect control of the other or under the same direct or indirect control as the other. For this purpose, control may, in particular, take either of the following forms:

(a) the direct or indirect holding of more than 50 % of the nominal value of the issued share capital in the legal entity concerned, or of a majority of the voting rights of the shareholders or associates of that entity;

(b) the direct or indirect holding, in fact or in law, of decision- making powers in the legal entity concerned.

The following relationships between legal entities shall not in themselves be deemed to constitute controlling relationships:

(a) the same public investment corporation, institutional investor or venture-capital company has a direct or indirect holding of more than 50 % of the nominal value of the issued share capital or a majority of voting rights of the shareholders or associates;

(b) the legal entities concerned are owned or supervised by the same public body.

²³ Subcontractors and linked third parties are not considered direct beneficiaries in the project.

5.2 EVALUATION CRITERIA

Each proposal is evaluated by a panel composed of a minimum of three experts under the supervision of Commission's staff. The detailed evaluation criteria are defined separately for Research projects, for Pilot and Demonstration projects and for Accompanying Measures.

The evaluation criteria for Research projects are:

1. Scientific and technical approach
2. Innovative content
3. Quality of the implementation
4. Benefits for the European coal and steel sectors

The evaluation criteria for Pilot and Demonstration projects are:

1. Technical approach
2. Contribution to innovation
3. Quality of the implementation
4. Benefits for the European coal and steel sectors

The evaluation criteria for Accompanying Measures are:

1. Overall approach
2. Dissemination value
3. Quality of the implementation
4. Benefits for the European coal and steel sectors

The complete evaluation forms with indication of all criteria, sub-questions, thresholds and order of the criteria in the cascade mechanism are given in Annex IV, Annex V and Annex VI, respectively, to this Information Package. These correspond to the forms that the evaluators will be asked to fill in the electronic evaluation system.

5.2.1 SCORING

The panel of experts will evaluate the proposal by granting, for each single criterion, a score comprised between 0 and 5 points. Fractional scores, e.g. 3.5, are allowed. To this purpose, the experts will refer to the following definitions of the scores:

- 0 The proposal fails to address the criterion or cannot be assessed due to missing or incomplete information (unless the result of an 'obvious clerical error')
- 1 **Poor.** The criterion is inadequately addressed or there are serious inherent weaknesses
- 2 **Fair.** The proposal broadly addresses the criterion but there are significant weaknesses

- 3 **Good.** The proposal addresses the criterion well but with a number of shortcomings
- 4 **Very Good.** The proposal addresses the criterion very well but with a small number of shortcomings.
- 5 **Excellent.** The proposal successfully addresses all relevant aspects of the criterion; any shortcomings are minor.

One (1) additional bonus point will be granted to research, pilot and demonstration proposals if they address at least one of the annual priorities in the relevant topic (see Annex VII to this Information Package). The additional priority bonus point will not be granted to Accompanying Measures, even if they meet one of the annual priorities.

Important: the proposals will be evaluated as submitted and, if substantial information is missing or not convincing, or shortcomings are found, this will result in a low scoring of the proposal and possibly in its rejection; instructions will be given to the evaluators to do so rather than giving recommendations on how to improve the proposal during the preparation of the Grant Agreement.

5.2.2 THRESHOLDS

For every evaluation criteria, and regardless of the type of activity, there is a threshold of minimum 3,00 points. Consequently, a proposal obtaining less than 3,00 points in any evaluation criterion will not pass the evaluation and will not be recommended for funding.

5.3 AFTER THE EVALUATION

5.3.1 RANKING LISTS

After the evaluation, all proposals for Research, Pilot and Demonstration projects and for Accompanying Measures submitted under the same topic (Coal/Steel) will be ranked together in one list. The lists will be prepared as follows:

- proposals passing all evaluation thresholds will always precede proposals failing on one or more thresholds, regardless of the total score obtained;
- within each group, proposals will be ranked according to the total score given by the evaluators (this includes the additional priority bonus point, if granted);
- in case of proposals with equal total score, these will be ranked according to the following predefined cascade order of the evaluation criteria:

Rank	Criterion	Name of the criterion for the different types of activity		
		Research projects	Pilot and Demonstration projects	Accompanying Measures
1 st	Criterion 4	Benefits for the European coal and steel sectors	Benefits for the European coal and steel sectors	Benefits for the European coal and steel sectors
2 nd	Criterion 1	Scientific and technical approach	Technical approach	Overall approach
3 rd	Criterion 2	Innovative content	Contribution to Innovation	Dissemination value
4 th	Criterion 3	Quality of the implementation	Quality of the implementation	Quality of the implementation

Therefore for two proposals with same total score, and regardless of the type of activity, the proposal with higher score under criterion 4 will be ranked first. If these two proposals have same score under criterion 4, the proposal with higher score under Criterion 1 will be ranked first; and so on.

- In case the cascade mechanism explained above is not able to define the exact ranking for two proposals with equal total score (i.e. if they have exactly the same scores under each criterion), the proposal with the lowest total budget will be ranked first.

5.3.2 EVALUATION SUMMARY REPORT

At the end of the evaluation process, an Evaluation Summary Report (ESR) is produced by the Commission, with indication and justification of scores for each criterion. The ESR will be sent to applicants in due time and in any case before 15 March 2016.

5.3.3 SELECTION OF PROPOSALS TO BE FUNDED

Starting from the top of the two ranking lists (coal and steel), funding will be allocated to proposals that have passed all evaluation thresholds according to the requested EU contribution, until the annual budget of the RFCS for the current call and the corresponding topic is fully assigned.

For each topic, the complete ranked list will therefore consists of the following different sections:

- the main list of proposals that have passed all thresholds and for which there is sufficient RFCS funding;
- the reserve list of proposals that have passed all thresholds and can be funded only in case proposals in the main list are withdrawn, excluded or if extra RFCS funding becomes available;
- the list of proposals that have passed all evaluation thresholds but cannot be funded because of insufficient RFCS budget;
- the list of proposals that didn't pass all evaluation thresholds;

- the list of inadmissible and/or ineligible proposals.

Applicants of proposals which do not receive funding under this call will have the possibility to resubmit the proposal for evaluation in 2016, if they wish to do so.

If a proposal is in the main list of proposals to be funded, the consortium will be invited to enter in the Grant Agreement preparation phase in view to sign a Grant Agreement with the Commission. In this case, most of the information provided in Part B of the proposal originally submitted becomes contractual obligations. No possibility will be given during the preparation of the Grant Agreement to modify substantial elements of the proposal, such as the planned work, the deliverables, the composition of the consortium, the nature and extent of the claimed costs etc., except for obvious clerical errors.²⁴ A change in the consortium may be exceptionally accepted in duly justified cases, provided the content and the quality of the proposal does not change, or in case of a partner failing in regard to legal and financial viability. In this case the consortium has to propose a solution, either to attribute the tasks to other members of the consortium or to replace the participant with a new organisation, after approval by the Commission on a case by case analysis. Even if a coordinator of a ranked proposal in the main list has received an information letter to start the grant preparation phase, this should not be considered as a commitment that the Commission will fund the project until a formal Implementing Commission Decision is adopted on which proposals can receive funding.

5.3.4 SIGNATURE OF THE GRANT AGREEMENT

Once the Implementing Commission Decision is adopted on which proposals can receive financial contribution, a grant Agreement can be signed by the parties (the European Commission on one side and the legal representative of the coordinating organization on the other side).

Once the project has started, the following payments will be made to the coordinator who will transfer the relevant budget quotas to the individual beneficiaries without any unjustified delay:

- one pre-financing payment,
- one or more interim payments,
- one payment of the balance.

The total amount of pre-financing and interim payments will not exceed 80% of the maximum grant amount.

²⁴ E.g. omission to submit evidence or information on a non-substantial element of the proposal, see Art 96(2) of the Financial Regulation and Art 204(3) of the RAP.

5.4 COMPLAINTS

5.4.1 SUBMISSION FAILED

If the coordinator thinks that the submission of his/her proposal has failed due to a fault in the Electronic Submission System or other technical error on the side of the Commission, s/he may file a complaint through the IT Helpdesk on the Participant Portal,²⁵ explaining the circumstances and attaching a copy of the proposal with the time stamp prior to the call deadline or evidence of the failure/problem.

For the complaint to be admissible it must be filed at least on the **fourth calendar day** following that of the call closure. You will receive an acknowledgement of receipt the same or next working day.

The coordinator should secure a pdf version of all submission forms in Part B (the ones used for the failing upload), holding a time stamp (with exact day and time) before or equal to the date of the call deadline²⁶ as well as any proof of the alleged failure (e.g. screen shots). Later in the procedure the coordinator may be requested by the IT Helpdesk to provide these items.

In order that a complaint would be upheld, the IT audit trail (application log files and access log files of the EC IT-systems involved) must show that there was indeed a technical problem at the EC side which prevented the coordinator from submitting (or resubmitting) the proposal using the electronic submission system.

The coordinator will be notified about the outcome of the treatment of his/her complaint as soon as possible and at latest within 15 working days following the reception of his/her complaint. If a decision cannot be reached in this term, s/he will receive a holding reply.

If his/her complaint is upheld, the secured pdf files (provided by the coordinator to the IT Helpdesk), for which the investigation has demonstrated that technical problems at the EC side prevented (re)submitting, will be used as a reference for accepting the proposal for subsequent evaluation, if the pdf files were created and last modified prior to the call deadline. In absence of such documents, the version present in the IT system will be evaluated.

5.4.2 REJECTION FURTHER TO THE ELIGIBILITY AND ADMISSIBILITY CHECK

If a proposal has been declared **inadmissible** or **ineligible** and is therefore not retained for evaluation, the Commission will inform the coordinator of the proposal in due time, explaining the reasons for rejection.

²⁵ <http://ec.europa.eu/research/participants/api/contact/index.html>

²⁶ For this purpose, the pdf file attributes listing the date and time of creation and last modification of the document will be verified.

If the coordinator considers that his/her proposal complies with the rules on admissibility and eligibility, s/he may file a complaint to challenge the rejection decision.

The complaint must be filed within 30 days from the dispatch of the rejection letter by the Commission via the following website:
<https://webgate.ec.europa.eu/redress-frontoffice/work.iface>.

If the Commission considers that the complaint is founded, based on the conclusions of the admissibility and eligibility review committee, the Commission must accept the proposal for evaluation and notify the complainant.

5.4.3 REJECTION FURTHER TO THE EVALUATION BY INDEPENDENT EXPERTS

At the end of the evaluation, every coordinator will be informed about the outcome of the evaluation process for his/her proposal. He receives a copy of the Evaluation Summary Report with views and scores of the independent experts.

If the coordinator considers that the evaluation of his/her proposal was not carried out in accordance with the Financial Regulation, the RFCS Information Package 2015 or the RFCS Manual of Evaluation Procedures 2015, s/he may file a complaint to request an evaluation review. The scope of the evaluation review will cover only the procedural aspects of the evaluation. Its role is not to call into question the judgment of appropriately qualified experts, and therefore it does not cover the assessments by these experts with respect to the evaluation criteria.

In order for a complaint to be eligible, it must be filed by the coordinator within 30 days from the date on which the Commission informed the complainant of the evaluation results. The complaint has to be filed via the following website:
<https://webgate.ec.europa.eu/redress-frontoffice/work.iface>.

In addition, the complaint must raise shortcomings in the evaluation procedure, be related to the evaluation of a specific proposal and the complainants must base their complaint on the information contained in the Evaluation Summary Report (ESR), possibly with reference, as the case may be, to the conditions of the call for proposals, the evaluation rules etc. concerned.

A complaint is founded if, as a result of the evaluation review and following recommendation of the committee, the Commission decides that there is sufficient evidence to support the complaint and a full or partial re-evaluation is recommended.

If the Commission decides to reject the complaint, the complainant cannot request a new evaluation review procedure.

The evaluation review procedure will not influence the decision to fund non-contentious proposals higher up in the ranked list, nor on the time-to-grant of those proposals.

5.5 PROPOSAL FOLLOW UP

The following table gives an overview of the time line for the different stages following the submission of the proposals.

Important notice for successful proposals: a Grant Agreement with the consortium can only be signed by the Commission services once the final ranking list is discussed by the relevant Advisory Group, endorsed by the Coal and Steel Committee (COSCO) of member states representatives and once the relevant Commission Implementing decision is adopted.

<i>Proposal Submission Deadline</i>	Monday, 15 September 2015 at 17:00:00 (Brussels local time)
<i>Evaluation</i>	October to December 2015
<i>Notification of the evaluation results to all applicants</i>	Before 15 March 2016
<i>Grant Agreement signature for projects retained for funding</i>	Before 15 June 2016
<i>Payment of first pre-financing</i>	June to July 2016
<i>Target start date of projects</i>	1 st July 2016

6 INFORMATION AND ASSISTANCE

6.1 HELPDESKS

For general information concerning the RFCS programme please contact our helpdesk:

rtd-steel-coal@ec.europa.eu

or check our new pages on the Key Enabling Technologies website of the European Commission:

http://ec.europa.eu/research/industrial_technologies/rfcs_en.html

Important: the former RFCS website hosted on the Cordis portal has been dismissed.

All necessary documents, templates, links and informative material for proposals submission and evaluation are available on the pages of the RFCS calls hosted on the Participant Portal of the European Commission:

<https://ec.europa.eu/research/participants/portal/desktop/en/opportunities/index.html>

You may also wish to contact the IT Helpdesk of the Participant Portal for general IT issues and questions such as forgotten passwords, access rights and roles, guidance on the steps for submission of proposals, etc:

<http://ec.europa.eu/research/participants/api/contact/index.html>

6.2 SUPPORTING DOCUMENTS

When preparing the proposals, applicants may also wish to refer to the following supporting documents:

- the full list of projects (completed and on-going) funded by the RFCS programme:

http://ec.europa.eu/research/participants/data/ref/other_eu_prog/rfcs/rfcs-call-summaries_en.pdf

For completed projects, the link to the final report published on EU Bookshop is also given.

- a selection of RFCS success stories:

[http://ec.europa.eu/research/infocentre/theme_en.cfm?item=Industrial_research&subitem=Coal %26 steel](http://ec.europa.eu/research/infocentre/theme_en.cfm?item=Industrial_research&subitem=Coal%26steel)

The published reports of finalised RFCS projects are available from the EU bookshop, which is the portal of the Publications Office of the European Union:

<http://bookshop.europa.eu>

Digital copies can be downloaded free of charge. To order printed copies, please refer to the following link:

http://publications.europa.eu/howto/index_en.htm

6.3 CONFIDENTIALITY AND PERSONAL DATA PROTECTION

Proposals and any related information, data, and documents will be treated confidentially by the Commission and by the independent experts acting as evaluators and observers. All proposals will be archived under secure conditions.

Personal data will be processed in accordance to Regulation No 45/2001 and according to the 'notifications of the processing operations' to the Data Protection Officer (DPO) of the Commission (publicly accessible in the DPO register).

ANNEXES

II

(Acts adopted under the EC Treaty/Euratom Treaty whose publication is not obligatory)

DECISIONS

COUNCIL

COUNCIL DECISION

of 29 April 2008

on the adoption of the Research Programme of the Research Fund for Coal and Steel and on the multiannual technical guidelines for this programme

(2008/376/EC)

THE COUNCIL OF THE EUROPEAN UNION,

Having regard to the Treaty establishing the European Community,

Having regard to the Protocol, annexed to the Treaty establishing the European Community, on the financial consequences of the expiry of the ECSC Treaty and on the Research Fund for Coal and Steel,

Having regard to Council Decision 2003/76/EC of 1 February 2003 establishing the measures necessary for the implementation of the Protocol, annexed to the Treaty establishing the European Community, on the financial consequences of the expiry of the ECSC Treaty and on the Research Fund for Coal and Steel ⁽¹⁾, and in particular Article 4(3) thereof,

Having regard to the proposal from the Commission,

Having regard to the opinion of the European Parliament ⁽²⁾,

Whereas:

(1) The revenue from investments of the net worth of the assets of the European Coal and Steel Community (ECSC) in liquidation and, on completion of the liquidation, the assets of the Research Fund for Coal and Steel, are being assigned to the Research Fund for Coal and Steel, which is intended exclusively to fund research projects outside the Community framework programme for research,

technological development and demonstration activities in the sectors related to the coal and steel industry.

(2) The Research Fund for Coal and Steel is to be managed by the Commission in accordance with principles similar to those governing the former ECSC coal and steel technical research programmes and on the basis of multi-annual technical guidelines which should constitute an extension of those ECSC programmes, providing a high concentration of research activities and ensuring that they supplement those of the Community framework programme for research, technological development and demonstration activities.

(3) The Seventh Framework Programme of the European Community for research, technological development and demonstration activities (2007-2013) set out in Decision No 1982/2006/EC of the European Parliament and of the Council of 18 December 2006 ⁽³⁾ (hereinafter referred to as 'the Seventh Framework Programme') provides an incentive to review Council Decision 2003/78/EC of 1 February 2003 laying down the multi-annual technical guidelines for the research programme of the Research Fund for Coal and Steel ⁽⁴⁾ in order to ensure that the Research Fund for Coal and Steel complements the Seventh Framework Programme in the sectors related to the coal and steel industry.

(4) Research and technical development constitute a very important means of supporting Community energy objectives with regard to the supply of Community coal and its competitive and environmentally friendly conversion and utilisation. Moreover, the growing international dimension of the coal market and the global scale of the problems confronting it means that the

⁽¹⁾ OJ L 29, 5.2.2003, p. 22.

⁽²⁾ Opinion of 10 April 2008 (not yet published in the Official Journal).

⁽³⁾ OJ L 412, 30.12.2006, p. 1.

⁽⁴⁾ OJ L 29, 5.2.2003, p. 28.

Community has to take a leading role in meeting challenges relating to modern techniques, mine safety and environmental protection at worldwide level by ensuring the transfer of know-how required for further technological progress, improved working conditions (health and safety) and enhanced environmental protection.

- (5) With the general aim of increasing competitiveness and contributing to sustainable development, the main emphasis of research and technological development is on the development of new or improved technologies to guarantee the economic, clean and safe production of steel and steel products characterised by steadily increasing performance, suitability to use, customer satisfaction, prolonged service life, easy recovery and recycling.
- (6) The order in which the research objectives for coal and steel are presented in this Decision should not represent a priority as between those objectives.
- (7) In the framework of the management activities of the Research Fund for Coal and Steel, the Commission should be assisted by advisory groups and technical groups representing a wide range of interests of industries and other stakeholders.
- (8) The recent enlargement incorporating new Member States requires modification of the multiannual technical guidelines laid down in Decision 2003/78/EC, notably as regards the composition of the advisory groups and the definition of coal.
- (9) In accordance with Statement No 4 of the Decision of the Representatives of the Governments of the Member States meeting within the Council 2002/234/ECSC of 27 February 2002 ⁽¹⁾, the Commission has re-examined the definition of steel and come to the conclusion that it is not necessary to change that definition. Indeed, steel castings, forgings and powder metallurgy products are topics already covered by the Seventh Framework Programme.
- (10) The general approach for revising the Decision 2003/78/EC should be to keep intact the procedures that were considered by the assisting groups as effective, together with a limited but necessary number of modifications and administrative simplifications in order to ensure complementarity with the Seventh Framework Programme.
- (11) Those modifications include the deletion of some accompanying measures as already foreseen in the Seventh Framework Programme. It is also necessary to align the periodicity of the revision and the experts' nominations concerning the Research Programme of the Research Fund for Coal and Steel on those used in the Seventh Framework Programme.
- (12) The rules on the composition of the advisory groups should be revised, notably as regards the representation of interested Member States and gender balance according to Commission Decision 2000/407/EC of 19 June 2000 relating to gender balance within the committees and expert groups established by it ⁽²⁾.
- (13) The Commission should be given the opportunity to launch dedicated calls in the framework of the research objectives defined in this Decision.
- (14) The maximum total financial contribution from the Research Fund for Coal and Steel for pilot and demonstration projects should be increased to 50 % of the eligible costs.
- (15) The eligible costs approach should be kept together with a better definition of the cost categories and a revised percentage for the calculation of the overheads.
- (16) The Commission has reassessed the multiannual technical guidelines laid down in Decision 2003/78/EC and found that in view of the changes required it is appropriate to replace that Decision.
- (17) In order to ensure the necessary continuity with Decision 2003/78/EC, this Decision should apply from 16 September 2007. Applicants submitting proposals between 16 September 2007 and the date this Decision takes effect should be invited to resubmit their proposals in accordance with this Decision, which should enable them to benefit from the more favourable conditions provided by this Decision, notably as regards the financial contribution to pilot and demonstration projects.
- (18) The measures necessary for the implementation of this Decision should be adopted in accordance with Council Decision 1999/468/EC of 28 June 1999 laying down the procedures for the exercise of implementing powers conferred on the Commission ⁽³⁾.

HAS ADOPTED THIS DECISION:

CHAPTER I
GENERAL PROVISIONS

Article 1

Subject matter

This Decision provides for the adoption of the Research Programme of the Research Fund for Coal and Steel and lays down the multiannual technical guidelines for the implementation of that programme.

⁽²⁾ OJ L 154, 27.6.2000, p. 34.

⁽³⁾ OJ L 184, 17.7.1999, p. 23. Decision as last amended by Decision 2006/512/EC (OJ L 200, 22.7.2006, p. 11).

⁽¹⁾ OJ L 79, 22.3.2002, p. 42.

CHAPTER II

RESEARCH PROGRAMME OF THE RESEARCH FUND FOR COAL AND STEEL

SECTION 1

Adoption of the Research Programme*Article 2***Adoption**

The Research Programme for the Research Fund for Coal and Steel (hereinafter referred to as 'the Research Programme') is hereby adopted.

The Research Programme shall support the competitiveness of the Community sectors related to the coal and steel industry. The Research Programme shall be consistent with the scientific, technological and political objectives of the Community, and shall complement the activities carried out in the Member States and within the existing Community research programmes, in particular the framework programme for research, technological development and demonstration activities (hereinafter referred to as 'the Research Framework Programme').

Coordination, complementarity and synergy between these programmes shall be encouraged, as shall the exchange of information between projects financed under the Research Programme and those that are financed under the Research Framework Programme.

The Research Programme shall support research activities aimed at the objectives defined for coal in Section 3 and for steel in Section 4.

SECTION 2

Definitions of coal and steel*Article 3***Definitions**

For the purposes of this Decision, the following definitions shall apply:

1. coal shall mean any of the following:
 - (a) hard coal, including the high and medium-ranking 'A' coals (sub-bituminous coals) as defined in the international codification system of coal of the UN Economic Commission for Europe;
 - (b) hard coal briquette;
 - (c) coke and semi-coke derived from hard coal;
 - (d) lignite, including the low-ranking 'C' coals (or ortho-lignites) and the low-ranking 'B' coals (or meta-lignites) as defined in the above codification;
 - (e) lignite briquettes;

(f) coke and semi-coke derived from lignite;

(g) oil shales;

2. steel shall mean any of the following:

- (a) raw materials for iron and steel production, such as iron-ore, sponge iron and ferrous scrap;
- (b) pig iron (including hot metal) and ferro-alloys;
- (c) crude and semi-finished products of iron, ordinary steel or special steel (including products for reuse and re-rolling), such as liquid steel cast by continuous casting or otherwise, and semi-finished products such as blooms, billets, bars, slabs and strips;
- (d) hot-finished products of iron, ordinary steel or special steel (coated or uncoated products, excluding steel castings, forgings and powder metallurgy products), such as rails, sheet piling, structural shapes, bars, wire rods, plates and universal plates, strips and sheets, and tube rounds and squares;
- (e) end products of iron, ordinary steel or special steel (coated or uncoated), such as cold-rolled strips and sheets and electrical sheets;
- (f) products of the first-stage processing of steel that can enhance the competitive position of the above iron and steel products, such as tubular products, drawn and polished products, cold-rolled and cold-formed products.

SECTION 3

Research objectives for coal*Article 4***Improving the competitive position of Community coal**

1. Research projects shall aim to reduce the total costs of mining production, improve the quality of the products and reduce the costs of using coal. Research projects shall encompass the entire coal production chain as follows:
 - (a) modern techniques for surveying deposits;
 - (b) integrated mine planning;
 - (c) highly efficient, largely automated excavation and new and existing mining technologies corresponding to the geological characteristics of European hard coal deposits;
 - (d) appropriate support technologies;
 - (e) transport systems;
 - (f) power supply services, communication and information, transmission, monitoring and process control systems;

- (g) coal preparation techniques, oriented to the needs of the consumer markets;
- (h) coal conversion;
- (i) coal combustion.

2. Research projects shall also aim to achieve scientific and technological progress with a view to gaining a better understanding of the behaviour and control of deposits in relation to rock pressure, gas emissions, the risk of explosion, ventilation and all other factors affecting mining operations. Research projects with these objectives shall present the prospect of results applicable in the short or medium term to a substantial part of Community production.

3. Preference shall be given to projects that promote at least one of the following:

- (a) integration of individual techniques in systems and methods and the development of integrated mining methods;
- (b) substantial reduction of production costs;
- (c) benefits in terms of mine safety and the environment.

Article 5

Health and safety in mines

Issues concerning mine safety, including gas control, ventilation and air-conditioning with a view to improving underground working conditions and occupational health and safety as well as environmental issues shall also be taken into account in the projects covering the activities referred to in Article 4(1)(a) to (f).

Article 6

Efficient protection of the environment and improvement of the use of coal as a clean energy source

1. Research projects shall seek to minimise the impact of mining operations and the use of coal in the Community on the atmosphere, water and the surface within the framework of an integrated management strategy with respect to pollution. As the Community coal industry is undergoing constant restructuring, the research shall also be geared towards minimising the environmental impact of underground mines destined for closure.

2. Preference shall be given to projects that envisage one or more of the following:

- (a) a reduction in emissions from coal utilisation, including capture and storage of CO₂;
- (b) a reduction in greenhouse gas emissions, in particular methane, from coal deposits;

- (c) the return to the mine of mining waste, fly ash and desulphurisation products, accompanied, where relevant, by other forms of waste;
- (d) the refurbishment of waste heaps and the industrial use of residues from coal production and consumption;
- (e) the protection of water tables and the purification of mine drainage water;
- (f) a reduction in the environmental impact of installations which mainly use Community coal and lignite;
- (g) the protection of surface installations against the effects of subsidence in the short and long term.

Article 7

Management of external dependence on energy supply

Research projects shall relate to the prospects for long-term energy supply and concern the upgrading, in economic, energy-related and environmental terms, of coal deposits which cannot be extracted economically by conventional mining techniques. Projects may include studies, the definition of strategies, fundamental and applied research and the testing of innovative techniques which offer prospects for the upgrading of Community coal resources.

Preference shall be given to projects integrating complementary techniques such as the adsorption of methane or carbon dioxide, coal bed methane extraction and underground coal gasification.

SECTION 4

Research objectives for steel

Article 8

New and improved steelmaking and finishing techniques

Research and technological development (RTD) shall aim to improve steel production processes with a view to enhancing product quality and increasing productivity. Reducing emissions, energy consumption and the environmental impact as well as enhancing the use of raw materials and the conservation of resources shall form an integral part of the improvements sought. Research projects shall address one or more of the following areas:

- (a) new and improved iron-ore reduction processes;
- (b) ironmaking processes and operations;
- (c) electric arc furnace processes;
- (d) steelmaking processes;
- (e) secondary metallurgy techniques;

- (f) continuous casting and near net shape-casting techniques with and without direct rolling;
 - (g) rolling, finishing and coating techniques;
 - (h) hot- and cold-rolling techniques, pickling and finishing processes;
 - (i) process instrumentation, control and automation;
 - (j) maintenance and reliability of production lines.
- (b) steel grades and design of assembled structures to facilitate the easy recovery of steel scrap and its reconversion into usable steels;
 - (c) control and protection of the environment in and around the workplace;
 - (d) restoration of steelworks sites;
 - (e) improvement of working conditions and quality of life in the workplace;
 - (f) ergonomic methods;
 - (g) occupational health and safety;
 - (h) reduction of exposure to occupational emissions.

Article 9

RTD and the utilisation of steel

RTD shall be undertaken in respect of the utilisation of steel to meet the future requirements of steel users and to create new market opportunities. Research projects shall address one or more of the following areas:

- (a) new steel grades for demanding applications;
- (b) steel properties addressing mechanical properties at low and high temperatures such as strength and toughness, fatigue, wear, creep, corrosion and resistance against fracture;
- (c) prolonging service life, in particular by improving the resistance of steels and steel structures to heat and corrosion;
- (d) steel-containing composites and sandwich structures;
- (e) predictive simulation models on microstructures and mechanical properties;
- (f) structural safety and design methods, in particular with regard to resistance to fire and earthquakes;
- (g) technologies relating to the forming, welding and joining of steel and other materials;
- (h) standardisation of testing and evaluation methods.

Article 10

Conservation of resources and improvement of working conditions

In both steel production and steel utilisation, the conservation of resources, the preservation of the ecosystem and safety issues shall form an integral part of the RTD work. Research projects shall address one or more of the following areas:

- (a) techniques for recycling obsolete steel from various sources and classification of steel scrap;

CHAPTER III

MULTIANNUAL TECHNICAL GUIDELINES

SECTION 1

Participation

Article 11

Member States

Any undertaking, public body, research organisation or higher or secondary education establishment, or other legal entity, including natural persons, established within the territory of a Member State may participate in the Research Programme and apply for financial assistance, provided that they intend to carry out an RTD activity or can substantially contribute to such an activity.

Article 12

Candidate countries

Any undertaking, public body, research organisation or higher or secondary education establishment, or other legal entity, including natural persons, in candidate countries shall be entitled to participate without receiving any financial contribution under the Research Programme, unless otherwise provided under the relevant European Agreements and their additional Protocols, and in the decisions of the various Association Councils.

Article 13

Third countries

Any undertaking, public body, research organisation or higher or secondary education establishment, or other legal entity, including natural persons, from third countries shall be entitled to participate on the basis of individual projects without receiving any financial contribution under the Research Programme, provided that such participation is in the Community's interest.

SECTION 2

Eligible activities

Article 14

Research projects

A research project shall be intended to cover investigative or experimental work with the aim of acquiring further knowledge to facilitate the attainment of specific practical objectives such as the creation or development of products, production processes or services.

Article 15

Pilot projects

A pilot project shall be characterised by the construction, operation and development of an installation or a significant part of an installation on an appropriate scale and using suitably large components with a view to examining the potential for putting theoretical or laboratory results into practice and/or increasing the reliability of the technical and economic data needed to progress to the demonstration stage, and in certain cases to the industrial and/or commercial stage.

Article 16

Demonstration projects

A demonstration project shall be characterised by the construction and/or operation of an industrial-scale installation or a significant part of an industrial-scale installation with the aim of bringing together all the technical and economic data in order to proceed with the industrial and/or commercial exploitation of the technology at minimum risk.

Article 17

Accompanying measures

Accompanying measures shall relate to the promotion of the use of knowledge gained or to the organisation of dedicated workshops or conferences in connection with projects or priorities of the Research Programme.

Article 18

Support and preparatory actions

Support and preparatory actions shall be those appropriate to the sound and effective management of the Research Programme, such as the evaluation and selection of proposals as referred to in Articles 27 and 28, the periodic monitoring and assessment referred to in Article 38, studies, the clustering or the networking of related projects funded under the Research Programme.

The Commission may, where it deems appropriate, appoint independent and highly qualified experts to assist with support and preparatory actions.

SECTION 3

Management of the research programme

Article 19

Management

The Research Programme shall be managed by the Commission. It shall be assisted by the Coal and Steel Committee, the Coal and Steel Advisory Groups and the Coal and Steel Technical Groups.

Article 20

Establishment of the Coal and Steel Advisory Groups

The Coal and Steel Advisory Groups (hereinafter referred to as 'the Advisory Groups') shall be independent technical advisory groups.

Article 21

Tasks of the Advisory Groups

For the coal- and steel-related RTD aspects respectively, each Advisory Group shall advise the Commission on the following:

- (a) the overall development of the Research Programme, the information package as referred to in Article 25(3) and future guidelines;
- (b) the consistency and the possible duplication with other RTD programmes at Community and national level;
- (c) the setting-out of the guiding principles for monitoring RTD projects;
- (d) the work being undertaken on specific projects;
- (e) the research objectives of the Research Programme listed in Sections 3 and 4 of Chapter II;
- (f) the annual priority objectives listed in the information package and, where appropriate the priority objectives for dedicated calls as referred to in Article 25(2);
- (g) the preparation of a manual for evaluating and selecting RTD actions, as referred to in Articles 27 and 28;
- (h) the evaluation of proposals for RTD actions and the priority to be given to those proposals, having regard to the funds available;
- (i) the number, competence and composition of the Technical Groups referred to in Article 24;
- (j) the drawing-up of dedicated calls for proposals as referred to in Article 25(2);

(k) other measures when requested to do so by the Commission.

Article 22

Composition of the Advisory Groups

1. Each Advisory Group shall be composed in accordance with the tables set out in the Annex. Members of the Advisory Groups shall be appointed by the Commission to serve in a personal capacity for a period of 42 months. Appointments may be withdrawn.

2. The Commission shall consider proposals for appointments received in the following ways:

(a) by the Member States;

(b) by the entities referred to in the tables in the Annex;

(c) in response to a call for applications for inclusion on a reserve list.

3. The Commission shall ensure, within each Advisory Group, a balanced range of expertise and the broadest possible geographical representation.

4. Members of the Advisory Groups shall be active in the field concerned and be aware of the industrial priorities. In addition, the Commission, when appointing members, shall seek to achieve a gender balance.

Article 23

Meetings of the Advisory Groups

The meetings of the Advisory Groups shall be organised and chaired by the Commission, which shall also provide the secretariat.

If necessary, the Chairman may request members to vote. Every member shall have the right to one vote. The Chairman may invite visiting experts or observers to take part in meetings where appropriate. The visiting experts and the observers shall have no voting rights.

If necessary, such as to provide advice on matters of relevance for both the coal and steel sectors, the Advisory Groups shall convene in joint meetings.

Article 24

Establishment and tasks of the Coal and Steel Technical Groups

The Coal and Steel Technical Groups (hereinafter referred to as 'the Technical Groups') shall advise the Commission on the monitoring of research and pilot or demonstration projects

and, where necessary, in the definition of the priority objectives of the Research Programme.

Members of the Technical Groups shall be appointed by the Commission and shall come from the sectors related to the coal and steel industry, research organisations or user industries where they shall have responsibility for research strategy, management or production. In addition, the Commission, when appointing members, shall seek to achieve a gender balance.

Meetings of the Technical Groups shall, whenever possible, be held at venues chosen in such a way that project monitoring and results assessment are best ensured.

SECTION 4

Implementation of the research programme

Article 25

Call for proposals

1. An open and continuous call for proposals is hereby launched. Unless otherwise specified, 15 September of each year shall be the cut-off date for the submission of proposals for evaluation.

2. Where the Commission, in accordance with Article 41(d) and (e), decides to modify the cut-off date referred to in paragraph 1 of this Article for the submission of proposals, or to launch dedicated calls for proposals, it shall publish that information in the *Official Journal of the European Union*.

Dedicated calls shall indicate the dates and modalities for the submission, including whether it shall take place in one or two steps, and for the evaluation of the proposals, the priorities, the type of eligible projects as referred to in Articles 14 to 18, where necessary, and the envisaged funding.

3. The Commission shall establish an information package setting-out the detailed rules for participation, the methods of managing proposals and projects, application forms, rules for the submission of proposals, model grant agreements, eligible costs, the maximum financial contribution allowable, methods of payment and the annual priority objectives of the Research Programme.

The Commission shall make the information package public on the Community Research and Development Information Service (CORDIS) or corresponding website.

Applications shall be submitted to the Commission in accordance with the rules laid down in the information package, of which a paper copy can be obtained from the Commission on request.

*Article 26***Content of proposals**

The proposals shall relate to the research objectives laid down in Sections 3 and 4 of Chapter II and, where applicable, to the priority objectives listed in the information package in accordance with Article 25(3) or to the priority objectives defined for the dedicated calls for proposals referred to in Article 25(2).

Each proposal shall include a detailed description of the proposed project and contain full information on objectives, partnerships, including the precise role of each partner, management structure, anticipated results, expected applications and an assessment of anticipated industrial, economic, social and environmental benefits.

The proposed total cost and its breakdown shall be realistic and effective, and the project shall be expected to produce a favourable cost/benefit ratio.

*Article 27***Evaluation of proposals**

The Commission shall ensure a confidential, fair and equitable evaluation of proposals.

The Commission shall establish and publish a manual for the evaluation and selection of RTD actions.

*Article 28***Selection of proposals and monitoring of projects**

1. The Commission shall register the proposals received and shall verify their eligibility.
2. The Commission shall evaluate the proposals with the assistance of independent experts.
3. The Commission shall draw up a list of the proposals adopted in order of merit. The ranking list shall be discussed by the relevant Advisory Group.
4. The Commission shall decide on the choice of projects and the allocation of funds. Where the estimated amount of the Community contribution under the Research Programme is equal to or more than EUR 0,6 million Article 41(a) shall apply.
5. The Commission shall, with the assistance of the Technical Groups referred to in Article 24, monitor research projects and activities.

*Article 29***Grant agreements**

Projects based on selected proposals and measures and actions as specified under Articles 14 to 18 shall form the subject of a grant agreement. Grant agreements shall be based on relevant model grant agreements drawn up by the Commission, taking account, as appropriate, of the nature of the activities concerned.

Grant agreements shall define the financial contribution allocated under the Research Programme on the basis of the eligible costs, as well as the rules concerning cost reporting, the closure of accounts and certificates on financial statements. In addition, they shall provide for provisions on access rights and dissemination and use of knowledge.

*Article 30***Financial contribution**

1. The Research Programme shall be based on cost-sharing RTD grant agreements. The total financial contribution including any other additional public funding shall conform to the applicable rules on State aid.
2. Public contracts shall be used for the supply of movable or immovable assets, the execution of works or the provision of services which are necessary for the implementation of the support and preparatory actions.
3. Without prejudice to paragraph 1 of this Article, the maximum total financial contribution, expressed as a percentage of the eligible costs defined in Articles 31 to 35, shall be:

- (a) for research projects up to 60 %;
- (b) for pilot and demonstration projects up to 50 %;
- (c) for accompanying measures, support and preparatory actions up to 100 %.

*Article 31***Eligible costs**

1. The eligible costs shall consist of the following:
 - (a) equipment costs;
 - (b) staff costs;
 - (c) operating costs;
 - (d) indirect costs.
2. The eligible costs shall cover only actual costs incurred for the execution of the project under the terms of the grant agreement. Beneficiaries, associated beneficiaries and sub-beneficiaries shall not be entitled to claim any budgeted or commercial rates.

*Article 32***Equipment costs**

The costs of purchasing or hiring equipment which are directly related to the execution of the project shall be chargeable as direct costs. The eligible costs for the leasing of equipment shall not exceed any eligible costs for its purchase.

*Article 33***Staff costs**

The costs of actual hours devoted exclusively to the project by scientific, postgraduate or technical staff and the staff costs of manual workers directly employed by the beneficiary shall be chargeable. Any additional staff costs, such as scholarships, shall require the Commission's prior written approval. All working hours charged must be recorded and certified.

*Article 34***Operating costs**

Operating costs directly related to the execution of the project shall be limited solely to the cost of:

- (a) raw materials;
- (b) consumables;
- (c) energy;
- (d) transportation of raw materials, consumables, equipment, products, feedstock or fuel;
- (e) the maintenance, repair, alteration or transformation of existing equipment;
- (f) IT and other specific services;
- (g) the rental of equipment;
- (h) analysis and tests;
- (i) dedicated workshop organisation;
- (j) certificate on financial statements and bank guarantee;
- (k) protection of knowledge;
- (l) assistance from third parties.

*Article 35***Indirect costs**

All other expenses, such as overhead costs or overheads, which may arise in connection with the project and which are not specifically identified in the preceding categories including travel and subsistence costs, shall be covered by a flat rate amounting to 35 % of the eligible staff costs as referred to in Article 33.

SECTION 5

Evaluation and monitoring of the research activities*Article 36***Technical reports**

For research, pilot and demonstration projects referred to in Articles 14, 15 and 16 periodical reports shall be drawn up by the beneficiary or beneficiaries. Such reports shall be used to describe the technical progress made.

On completion of the work, a final report comprising an assessment of exploitation and impact shall be provided by the beneficiary or beneficiaries. That report shall be published by the Commission in full or in summarised form depending on the strategic relevance of the project and following consultation, if necessary, of the relevant Advisory Group.

The Commission may require the beneficiary or beneficiaries to provide final reports on the accompanying measures referred to in Article 17 as well as on the support and preparatory actions referred to in Article 18 and may decide to have them published.

*Article 37***Annual review**

The Commission shall conduct an annual review of activities under the Research Programme and the progress of the RTD work. The report containing the review shall be forwarded to the Coal and Steel Committee.

The Commission may appoint independent experts and highly qualified experts to assist with this annual review.

*Article 38***Monitoring and assessment of the Research Programme**

1. The Commission shall carry out a monitoring exercise of the Research Programme, including an assessment of the expected benefits. A report on that exercise shall be issued by the end of 2013, and thereafter every seven years. These reports shall be made public on the Community Research and Development Information Service (CORDIS) or corresponding website.

2. The Commission shall assess the Research Programme on completion of the projects financed during every period of seven years. The benefits of the RTD to society and to the relevant sectors shall also be assessed. The assessment report shall be published.

3. In carrying out the monitoring and assessment referred to in paragraphs 1 and 2, the Commission shall be assisted by panels of highly qualified experts appointed by the Commission.

*Article 39***Appointment of independent and highly qualified experts**

For the appointment of independent and highly qualified experts referred to in Article 18, Article 28(2) and Article 38, the provisions set out in Articles 14 and 17 of the Regulation (EC) No 1906/2006 ⁽¹⁾, shall apply by analogy.

CHAPTER IV

FINAL PROVISIONS

*Article 40***Review of the multiannual technical guidelines**

The multiannual technical guidelines laid down in Chapter III shall be reviewed every seven years, first period ending on 31 December 2014. To this end, and at the latest in the first six months of the last year of each seven-year period, the Commission shall reassess the operation and the effectiveness of the multiannual technical guidelines and, where appropriate, propose any amendment.

If it sees fit, the Commission may carry out such reassessment and shall submit proposals for any appropriate amendments to the Council before the expiry of the seven-year period.

*Article 41***Implementing measures**

The Commission shall, in accordance with the procedure referred to in Article 42(2), adopt the following implementing measures:

- (a) the approval of the funding actions where the estimated amount of the Community contribution under the Research Programme is equal to or more than EUR 0,6 million;
- (b) the drawing-up of terms of reference for the monitoring and assessment of the Research Programme referred to in Article 38;
- (c) amendments to Sections 3 and 4 of Chapter II;

(d) changes to the cut-off date referred to in Article 25;

(e) the drawing-up of dedicated calls for proposals.

*Article 42***Committee**

1. The Commission shall be assisted by the Coal and Steel Committee.

2. Where reference is made to this paragraph, Articles 4 and 7 of Decision 1999/468/EC shall apply.

The period laid down in Article 4(3) of that Decision shall be set at two months.

*Article 43***Repeal and transitional measures**

Decision 2003/78/EC shall be repealed. However, Decision 2003/78/EC shall continue to apply until 31 December 2008 to the financing of actions resulting from proposals submitted by 15 September 2007.

*Article 44***Applicability**

This Decision shall take effect on the day following its publication in the *Official Journal of the European Union*.

It shall apply from 16 September 2007.

*Article 45***Addressees**

This Decision is addressed to the Member States.

Done at Luxembourg, 29 April 2008.

For the Council

The President

D. RUPEL

⁽¹⁾ Regulation (EC) No 1906/2006 of the European Parliament and of the Council of 18 December 2006 laying down the rules for the participation of undertakings, research centres and universities in actions under the Seventh Framework Programme and for the dissemination of research results (2007-2013) (OJ L 391, 30.12.2006, p. 1).

ANNEX

The composition of the Coal Advisory Group referred to in Article 22:

Members	Maximum total
a) From coal producers/national federations or related research centres	8
b) From organisations representing coal producers at European level	2
c) From coal users or related research centres	8
d) From organisations representing coal users at European level	2
e) From organisations representing workers	2
f) From organisations representing equipment suppliers	2
	24

Members must have a wide background knowledge and individual expertise in one or more of the following areas: coalmining and utilisation, environment and social issues, including safety aspects.

The composition of the Steel Advisory Group referred to in Article 22:

Members	Maximum total
a) From steel industries/national federations or related research centres	21
b) From organisation representing producers at European level	2
c) From organisations representing workers	2
d) From organisations representing downstream processing industries or steel users	5
	30

Members must have a wide background knowledge and individual expertise in one or more of the following areas: raw materials; iron-making; steelmaking; continuous casting; hot- and/or cold-rolling; steel-finishing and/or surface treatment; development of steel grades and/or products; steel applications and properties; environmental and social issues, including safety aspects.

ANNEX II: SCOPE OF THE TECHNICAL GROUPS

Proposals submitted to the RFCS call should indicate the targeted Technical Group which will be monitoring the project in case of successful signature of the Grant Agreement with the Commission. The selected Technical Group should be in line with the subject of the proposal; if this is not the case, the Commission reserves the right to re-assign the proposal to a Technical Group different from the one indicated by the applicants. The applicants will be informed in due time about this re-assignment.

In the following, a full description of the scopes of the 12 RFCS Technical Groups (3 for coal, 9 for steel) is given.

TGC 1

Coal mining operation, mine infrastructure and management, unconventional use of coal deposits

- Modern techniques for surveying deposits
- Integrated mine planning
- Highly efficient, largely automated excavation and mining technologies corresponding to the geological characteristics of EU hard coal deposits
- Appropriate support technologies
- Transport systems
- Power supply services, communication and information, transmission, monitoring and process control system
- Health and safety in mines, gas control, ventilation and air conditioning, occupational health safety
- Reduction of greenhouse emissions from coal deposits
- Return to the mine of mining waste, fly ash, desulphurization, other forms of waste
- Refurbishment of waste heaps and the industrial use of residues from coal production and consumption
- Protection of water tables and the purification of mine drainage water
- Protection of surface installation against the effects of subsidence in the short and long term CO₂ geological storage
- Upgrading coal deposits; coal bed methane, enhanced coal bed methane, underground gasification, others.

TGC 2

Coal preparation, conversion and upgrading

- Coal beneficiation
- Cokemaking
- Coal-derived carbon materials
- Coal gasification (hydrogen, syngas, synthetic natural gas etc.), including chemical and process aspects of underground coal gasification
- Coal liquefaction
- Environmental issues associated with coal upgrading processes

TGC 3

Coal combustion, clean and efficient coal technologies, CO₂ capture

- Clean and efficient coal combustion
- Integration of the coal chain, from mining to the final product (electricity, heat, hydrogen, coke)
- Carbon management strategy
- Reduction of the environmental impact of installations using EU coal, lignite and oil shale
- Reduction in emissions from coal utilization
- Clean and efficient coal technologies
- CO₂ capture
- Co-combustion of coal with solid waste or biomass
- Zero emissions and high efficient power generation
- CHP from coal
- Coal contribution to global energy security

TGS 1

Ore agglomeration and Ironmaking

- Ore agglomeration, sintering and pelletising processes
- New and improved iron-ore reduction processes (including DRI & C-free reduction)
- Ironmaking processes and operations including slag treatment

- Standardisation of testing and evaluation methods
- Maintenance and reliability of production lines
- Reduction of emissions, energy consumption and improvement of the environmental impact
- Instrumentation, modelling and control of processes

TGS 2

Steelmaking processes

- Electric arc furnace processes
- Physico-chemical metallurgy of liquid steel and slag
- Recycling of steel scrap
- Secondary metallurgy techniques
- Standardisation of testing and evaluation methods
- Maintenance and reliability of production lines
- Reduction of emissions, energy consumption and improvement of the environmental impact
- Instrumentation, modelling and control of processes

TGS 3

Casting

- Continuous casting and near net shape casting techniques with or without direct rolling for flat and long products
- Chemistry and physics of solidification
- Ingot casting
- Maintenance and reliability of production lines
- Reduction of emissions, energy consumption and improvement of the environmental impact
- Standardisation of testing and evaluation methods
- Instrumentation, modelling and control of processes

TGS 4

Hot and cold rolling processes

- Reheating furnaces
- Hot and cold rolling
- Thermal treatments
- Standardisation of testing and evaluation methods
- Maintenance and reliability of production lines
- Reduction of emissions, energy consumption and improvement of the environmental impact
- Instrumentation, modelling and control of processes

TGS 5

Finishing and coating

- Heat treatment technology
- Chemical treatments, finishing and coating techniques including new technologies
- Coating development, including new coatings
- Surface characteristics
- Corrosion properties
- Standardisation of testing and evaluation methods
- Maintenance and reliability of production lines
- Reduction of emissions, energy consumption and improvement of the environmental impact
- Instrumentation, modelling and control of processes

TGS 6

Physical metallurgy and design of new generic steel grades

- Precipitation, re-crystallisation, microstructure & texture and ageing
- Predictive simulation models on microstructures & mechanical properties
- Development of steel with improved properties at low and high temperatures such as strength and toughness, fatigue, wear, creep and resistance against fracture
- Magnetic properties
- New steel grades for demanding applications
- Standardisation of testing and evaluation methods

TGS 7

Steel products and applications for automobiles, packaging and home appliances

- Technologies relating to the forming, cutting, welding and joining of steel and other materials
- Design of assembled structures to facilitate the easy recovery of steel scrap and its re-conversion into usable steels and techniques for recycling
- Steel-containing composites and sandwich structures
- Prolonging service life of steel products
- Standardisation of testing and evaluation methods

TGS 8

Steel products and applications for building, construction and industry

- Structural safety and design methods, in particular with regard to resistance to fire and earthquakes
- Technologies relating to the forming, cutting, welding and joining of steel and other materials
- Design of assembled structures to facilitate the easy recovery of steel scrap and its re-conversion into usable steels and techniques for recycling
- Prolonging service life of steel products
- Standardisation of testing and evaluation methods

TGS 9

Factory-wide control, social and environmental issues

- Instrumentation, control and automation including artificial intelligence and information technologies
- Analytical techniques
- Working conditions and quality of life at the work place
- Energy, water and material flow management
- Ergonomic methods
- Occupational health and safety
- Reduction of exposure to occupational emissions

- Standardisation of testing and evaluation methods
- New processes for sustainable steel production
- Recovery and valorisation by-products
- Techniques for classification and preparation of steel scrap
- Control and protection of the environment in and around the workplace
- Restoration of steelwork sites
- Recovery of spent liquors
- Water treatment
- Life cycle assessment and sustainable products

ANNEX III: RESEARCH OBJECTIVES

When filling Form A, applicants are asked to indicate which research objectives are addressed by the proposal. The options available in the dropdown list are numbered according to the order in which the individual objectives appear in the RFCS Legal Basis, namely:

- | | |
|----------------|--|
| Coal 1 | Improving the Competitive position of European Union Coal. |
| Coal 2 | Health and Safety in Mines. |
| Coal 3 | Efficient Protection of the Environment and improvement of the use of coal as a clean energy source. |
| Coal 4 | Management of External Dependence on Energy Supply. |
| Steel 1 | New and improved Steel making and finishing techniques. |
| Steel 2 | RTD and the utilization of steel. |
| Steel 3 | Conservation of resources and improvement of working conditions. |

Please refer to the RFCS Legal Basis (see **Annex I**, Articles 4 to 10) for a more detailed description of the research objectives.

Also note that only proposals addressing at least one of the abovementioned research objectives are eligible for funding under the RFCS programme.

ANNEX IV: EVALUATION FORM FOR RESEARCH PROJECTS

1. Scientific and technical approach

Threshold: minimum 3,00 points
Order in the cascade mechanism: 2

- 1.1 Does the proposal address the research objectives of the RFCS programme (see Articles 4 – 10 of Council Decision 2008/376/EC)?
- 1.2 To what extent do the applicants demonstrate their knowledge of the international state-of-the-art related to the proposed work?
- 1.3 Are the proposed methods and techniques clearly described and well explained? Is the overall approach suitable for achieving the project objectives?
- 1.4 Is the scientific and technical feasibility of the proposed work convincingly addressed?

2. Innovative content

Threshold: minimum 3,00 points
Order in the cascade mechanism: 3

- 2.1 Please summarise the innovative aspects of the proposal. Are these aspects clearly described in the proposal?
- 2.2 Does the proposal have an appropriate level of innovative value/originality? Does the proposal indicate how the intended results could lead to progress (either incremental or breakthrough) beyond the state-of-the-art in the coal or steel sector, through either
 - the development of new or improved products, processes or technologies?
 - a significant progress in the existing knowledge or technologies?
 - a significant contribution to putting into practice research results in an innovative way?

3. Quality of the Implementation

Threshold: minimum 3,00 points
Order in the cascade mechanism: 4

- 3.1 Are the Work Packages and Tasks clearly described and well defined? Are they responding to the set objectives?
- 3.2 Is the interaction of the partners and tasks clearly defined and appropriate? Is the project scheduling realistic?
- 3.3 Do the individual partners have the necessary operational capacity (in terms of, e.g., experience, skills, facilities, staff etc.) to carry out the proposed action? Is the consortium as a whole well balanced and does it include relevant industrial participation?

- 3.4 To what extent are the manpower and the technical and financial resources claimed in the proposal appropriate for the tasks described in the different Work Packages?

4. Benefits for the European coal and steel sectors

Threshold: minimum 3,00 points

Order in the cascade mechanism: 1

- 4.1 What are the industrial benefits for the related European sector? Are the main project deliverables (in terms of industrial interest, scientific/technical prospect and strategic relevance) clearly identified?
- 4.2 Do the expected results offer the perspective of a wider and general use or are they limited to a specific application, product and/or company?
- 4.3 Is the use and/or implementation of the results addressed and credible? Are modelling, simulation and/or field testing activities appropriate in view of the industrial exploitation of the findings?
- 4.4 Are aspects of dissemination and (if applicable) standardisation convincingly addressed?

Annual Priorities

Which of the current annual priorities for the relevant topic (coal or steel), as listed in the 2015 RFCS Information Package (Volume I), is addressed in the proposal?

ANNEX V: EVALUATION FORM FOR PILOT AND DEMONSTRATION PROJECTS

1. Technical approach

Threshold: minimum 3,00 points
Order in the cascade mechanism: 2

- 1.1 Does the proposal address the research objectives of the RFCS programme (see Articles 4 – 10 of Council Decision 2008/376/EC)?
- 1.2 Does the proposal rely on well-established scientific and technical results obtained in former research projects or by any other means?
- 1.3 Are the proposed methods and techniques clearly described and well explained? Is the overall approach suitable for achieving the project objectives?
- 1.4 Is the technical feasibility of the proposed work convincingly addressed? To what extent does the proposal take into account the relevant industrial risk and include appropriate measures in order to reduce it?

2. Contribution to Innovation

Threshold: minimum 3,00 points
Order in the cascade mechanism: 3

- 2.1 Please summarise the innovation aspects of the proposal. Are these aspects clearly described in the proposal?
- 2.2 Will the expected results lead to significant improvements in processes, products or applications by using existing technologies? Do they offer the potential for breakthrough innovation?
- 2.3 Will the project provide a step forward in the Technology Readiness Level (TRL) of the proposed application?

3. Quality of the Implementation

Threshold: minimum 3,00 points
Order in the cascade mechanism: 4

- 3.1 Are the Work Packages and Tasks clearly described and well defined? Are they responding to the set objectives?
- 3.2 Is the interaction of the partners and tasks clearly defined and appropriate? Is the project scheduling realistic?
- 3.3 Do the individual partners have the necessary operational capacity (in terms of, e.g., experience, skills, facilities, staff etc.) to carry out the proposed action? Is the consortium as a whole well balanced and does it include relevant industrial participation?
- 3.4 To what extent are the manpower and the technical and financial resources claimed in the proposal appropriate for the tasks described in the different Work Packages?

4. Benefits for the European coal and steel sectors

Threshold: minimum 3,00 points

Order in the cascade mechanism: 1

- 4.1 What are the industrial benefits for the related European sector?
- 4.2 Does the proposal demonstrate a strategic importance for the European coal and steel industry? Does it contribute to the technological leadership of the EU related sector and to maintain a strong industrial base in Europe?
- 4.3 Are economic issues adequately addressed and is the further demonstration or deployment of the proposed technology credible?
- 4.4 Are the results easily transferable throughout the related EU sector?

Annual Priorities

Which of the current annual priorities for the relevant topic (coal or steel), as listed in the 2015 RFCS Information Package (Volume I), is addressed in the proposal?

ANNEX VI: EVALUATION FORM FOR ACCOMPANYING MEASURES

1. Overall approach

Threshold: minimum 3,00 points
Order in the cascade mechanism: 2

- 1.1 Does the proposal address the research objectives of the RFCS programme (see Articles 4 – 10 of Council Decision 2008/376/EC)?
- 1.2 Is the proposal in line with the role of accompanying measures (promotion of the use of knowledge gained or organization of dedicated workshops or conferences in connection with projects or priorities of the RFCS research programme).
- 1.3 Do the applicants indicate clear and quantitative objectives? Are they credible?

2. Dissemination value

Threshold: minimum 3,00 points
Order in the cascade mechanism: 3

- 2.1 Does the proposal intend to disseminate new information? Does it effectively address the appropriate audience in the field concerned?
- 2.2 Does the scope of the proposal (in terms of quality and quantity of the information to be disseminated) justify a dedicated accompanying measure?

3. Quality of the Implementation

Threshold: minimum 3,00 points
Order in the cascade mechanism: 4

- 3.1 Are the Work Packages and Tasks clearly described and well defined? Are they responding to the set objectives?
- 3.2 If applicable, is the interaction of the partners and tasks clearly defined and appropriate? Is the project scheduling realistic?
- 3.3 Do the individual partners have the necessary operational capacity (in terms of, e.g., experience, skills, facilities, staff etc.) to carry out the proposed action? If applicable, is the consortium as a whole well balanced?
- 3.4 To what extent are the manpower and the technical and financial resources claimed in the proposal appropriate for the tasks described in the different Work Packages?

4. Benefits for the European coal and steel sectors

Threshold: minimum 3,00 points

Order in the cascade mechanism: 1

- 4.1 Is there a clear need and clear benefit to carry out the project at European level instead of national or private level?
- 4.2 What are the industrial benefits for the related European sector? Does the proposal demonstrate a strategic importance for the European coal and steel industry?

ANNEX VII: ANNUAL PRIORITIES FOR 2015

Clearly indicate in your proposal which of the following annual priorities, if any,²⁷ your proposal addresses. Be aware that:

- The priorities from 1.1 to 1.6 only apply to proposals submitted under the topic "coal"; the priorities from 2.1 to 2.9 only apply to proposals submitted under the topic "steel".
- Special attention should be paid to the logical expressions involving the operators AND and OR. These are used in the priorities with the following meaning:
 - x AND y both elements x and y must be addressed in the proposal for the logical expression to be true
 - x OR y at least one element x or y must be addressed in the proposal for the logical expression to be true

2015 COAL PRIORITIES

- 1.1 Management of environmental risks during OR after mine operation
- 1.2 Increasing the efficiency of mine production by utilising Information and Communication Technologies (ICT) for improved process optimisation
- 1.3 Improved monitoring of coke oven conditions
- 1.4 Upgrading of coal-derived liquids
- 1.5 Technological improvements targeting load flexibility AND environmental performance of coal fired power plants
- 1.6 Pilot projects validation of emerging AND innovating technologies leading to efficiency improvements AND CO₂ emission reduction

²⁷ It is not mandatory for a proposal to address one of the annual priorities.

2015 STEEL PRIORITIES

- 2.1 Improved energy efficiency in high temperature processes by recovery of waste heat without drawback on environmental impact compared to present best available technologies
- 2.2 Integration of process monitoring (online/offline) AND control AND technical management of steel production using mathematical methods for a multi-criteria optimisation of steel production with respect to at least two of the following aspects: productivity, resource efficiency, product quality
- 2.3 New OR improved resource efficient processes to transform low quality primary raw materials OR secondary raw materials (e.g. slag, dust, scale, sludge, low quality scrap) into valuable products
- 2.4 Solutions directly aiming at minimizing the ecological footprint of the Steel Works with respect to one of the following issues: air, water, soil, biodiversity, CO₂ emissions
- 2.5 Measurement AND on-line control of mechanical properties, through either new measurement techniques OR improved physical models
- 2.6 Development of new steel grades with improved technological property combinations (e.g. strength, formability, toughness, etc.) enabling more efficient steel applications (e.g. weight reduction, energy absorption, thermal shock resistance, wear ...)
- 2.7 Development of steel solutions for transport OR sustainable construction (focusing on energy efficiency AND carbon neutralisation) OR energy applications (including renewables) with improved life cycle assessment (LCA) results
- 2.8 Safety of steel infrastructures (e.g. tubes, pipes, pipelines, vessels, fittings, structural elements) for cost-efficient fluid storage AND transportation in the energy sector
- 2.9 Improvement of working conditions in steel production through innovative solutions by use of both modelling AND monitoring activities linked to health OR safety aspects risk management

ANNEX VIII: TECHNOLOGY READINESS LEVELS

Where reference is given in this Information Package to Technology Readiness Levels (TRL), the following definitions apply:²⁸

TRL 1 – basic principles observed

TRL 2 – technology concept formulated

TRL 3 – experimental proof of concept

TRL 4 – technology validated in lab

TRL 5 – technology validated in relevant environment (industrially relevant environment in the case of key enabling technologies)

TRL 6 – technology demonstrated in relevant environment (industrially relevant environment in the case of key enabling technologies)

TRL 7 – system prototype demonstration in operational environment

TRL 8 – system complete and qualified

TRL 9 – actual system proven in operational environment (competitive manufacturing in the case of key enabling technologies; or in space)

²⁸ This information Package uses the same definition of the Technology Readiness Levels as in the General Annexes of the Horizon 2020 Work Programmes 2014-2015.

ANNEX IX: SUBMISSION FORMS

Research Fund for Coal and Steel

Call:

Topic:

Type of action:

Proposal number:

Proposal acronym:

Table of contents

Section	Title	Action
1	General information	Show
2	Participants & contacts	Show
3	Budget	Show

How to fill in the forms

The administrative forms must be filled in for each proposal using the templates available in the submission system. Some data fields in the administrative forms are pre-filled based on the previous steps in the submission wizard.

Read more



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Proposal ID

Acronym

Go to

1 - General information



Topic

Type of action

Call identifier

Acronym

Proposal title*

Max 200 characters (with spaces). Must be understandable for non-specialists in your field.

*Note that for technical reasons, the following characters are not accepted in the Proposal Title and will be removed:
< > " &*

Duration in months

Estimated duration of the project in full months.

Free keywords

Enter any words you think give extra detail of the scope of your proposal (max 200 characters with spaces).

Research objectives

Starting date

Technical group

Abstract



Remaining characters

Has this proposal (or a very similar one) been submitted in response to a call for proposals under the

Yes No



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Declarations



1) The coordinator declares to have the explicit consent of all applicants on their participation and on the content of this proposal.	<input checked="" type="checkbox"/>
2) The information contained in this proposal is correct and complete.	<input checked="" type="checkbox"/>
3) This proposal complies with ethical principles (including the highest standards of research integrity — as set out, for instance, in the European Code of Conduct for Research Integrity — and including, in particular, avoiding fabrication, falsification, plagiarism or other research misconduct).	<input checked="" type="checkbox"/>
4) The coordinator hereby declares that each applicant has confirmed:	
they are fully eligible in accordance with the criteria set out in the specific call for proposals, and	<input checked="" type="checkbox"/>
they have the financial and operational capacity to carry out the proposed action.	<input checked="" type="checkbox"/>

The coordinator is only responsible for the correctness of the information relating to his/her own organisation. Each applicant remains responsible for the correctness of the information related to him and declared above. Where the proposal to be retained for EU funding, the coordinator and each beneficiary applicant will be required to present a formal declaration in this respect.

According to Article 131 of the Financial Regulation of 25 October 2012 on the financial rules applicable to the general budget of the Union (Official Journal L 298 of 26.10.2012, p. 1) and Article 145 of its Rules of Application (Official Journal L 362, 31.12.2012, p.1) applicants found guilty of misrepresentation may be subject to administrative and financial penalties under certain conditions.

Personal data protection

Your reply to the grant application will involve the recording and processing of personal data (such as your name, address and CV), which will be processed pursuant to Regulation (EC) No 45/2001 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data. Unless indicated otherwise, your replies to the questions in this form and any personal data requested are required to assess your grant application in accordance with the specifications of the call for proposals and will be processed solely for that purpose. Details concerning the processing of your personal data are available on the [privacy statement](#). Applicants may lodge a complaint about the processing of their personal data with the European Data Protection Supervisor at any time.

Your personal data may be registered in the Early Warning System (EWS) only or both in the EWS and Central Exclusion Database (CED) by the Accounting Officer of the Commission, should you be in one of the situations mentioned in:

- the Commission Decision 2008/969 of 16.12.2008 on the Early Warning System (for more information see the [Privacy Statement](#)), or
- the Commission Regulation 2008/1302 of 17.12.2008 on the Central Exclusion Database (for more information see the [Privacy Statement](#)).



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List of participants

#	Participant Legal Name	Country
1		
2		
3		



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Proposal ID

Acronym

Short name

2 - Administrative data of participating organisations



PIC

Legal name

Short name:

Address of the organisation

Street

Town

Postcode

Country

Webpage

Legal Status of your organisation



Research and Innovation legal statuses

Public body

Legal person

Non-profit

International organisation

International organisation of European interest

Secondary or Higher education establishment

Research organisation

Enterprise Data



SME self-declared status

SME self-assessment

SME validation sme.....

Based on the above details of the Beneficiary Registry the organisation is not an SME (small- and medium-sized enterprise) for the call.

NACE Code: I - Accommodation and food service activities





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<i>Proposal ID</i>	<i>Acronym</i>	<i>Short name</i>
--------------------	----------------	-------------------

Department(s) carrying out the proposed work

[Add a Department](#)

[?](#)

Department

Department name

Same as organisation address

Street *Please enter street name and number.*

Tow

Postcode

Country

Dependencies with other proposal participants

[?](#)

<i>Character of dependence</i>	<i>Participant</i>	Add
--------------------------------	--------------------	---------------------



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Proposal ID	Acronym	Short name
-------------	---------	------------

Person in charge of the proposal



The name and e-mail of contact persons are read-only in the administrative form, only additional details can be edited here. To give access

Title

Sex Male Female

First name	Mario	Last name	
E-Mail	mario.iamarino@ec.europa.eu		

Position in org.

Department

Same as organisation address

Street

Tow

Post code

Country

Website

Phone

Phone 2

Fax



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Proposal ID **SEP-210291976**

Acronym **Test_Steel_AM**

Short name **TEST COMPANY NAME test 2**

Department(s) carrying out the proposed work

[Add a](#)



Department

Department name

Same as organisation address

Street

Tow

Postcode

Country

Dependencies with other proposal participants



Character of dependence	Participant	Add
--------------------------------	--------------------	---------------------



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[Save And Close](#)

Proposal ID **SEP-210291976** Acronym **Test_Steel_AM** Short name **TEST COMPANY NAME test 2**

Person in charge of the proposal



The name and e-mail of contact persons are read-only in the administrative form, only additional details can be edited here. To give access

Title

Sex Male Female

First name **fvd fg**

Last name **wfdgqdfgq**

E-Mail **sdfqsdgdg@qerret.com**

Position in org.

Department
organisation

Same as organisation address

Tow

Post code

Country

Website

Phone

Phone 2

Fax



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Proposal ID **SEP-210291976**

Acronym

Test_Steel_AM

Short name **ESTER KUBISZ**

Department(s) carrying out the proposed work

[Add a](#)



Department

Department name

Same as organisation address

Street

Tow

Postcode

Country

Dependencies with other proposal participants



Character of dependence	Participant	Add
--------------------------------	--------------------	---------------------



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Proposal ID **SEP-210291976** Acronym **Test_Steel_AM** Short name **ESTER KUBISZ**

Person in charge of the proposal



The name and e-mail of contact persons are read-only in the administrative form, only additional details can be edited here. To give access

Title

Sex Male Female

First name **wfdg**

Last name **fg**

E-Mail **sdfgq@qdsf.qsef**

Position in org.

Department
organisation

Same as organisation address

Tow

Post code

Country

Website

Phone

Phone 2

Fax

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Proposal ID Acronym Go to

3 - Budget for the proposal



No	Participant	Country	(A) Direct Personnel costs /€	(B) Direct costs of Subcontracting /€	Other Direct costs		(D) Indirect Costs /€ (=0,35 x A)	(E) Total estimated eligible costs/ € (=A+B+C1+C2 +D)	(F) Reimburse- ment rate (%)	(G) Max. EU Contribution / € (=E*F)	(H) Max Grant amount / €
					(C1) Equipment /€	(C2) Operating costs /€					
1			0	0	0	0	0,00	0,00	50 or 60	0,00	0,00
2			0	0	0	0	0,00	0,00	50 or 60	0,00	0,00
3			0	0	0	0	0,00	0,00	50 or 60	0,00	0,00
Total			0	0	0	0	0,00	0,00	50 or 60	0,00	0,00



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Research Fund for Coal and Steel

B1. PROPOSAL DESCRIPTION (MAXIMUM 18 PAGES)

Important notice: Please respect the document format given hereafter. This Form **must not exceed, under any circumstances, a maximum of 18 pages in total.**

The minimum font size allowed is 11 points.

Proposal summary (maximum 100 words)

Include a list of ongoing and closed projects (RFCS, ECSC, FP, etc.), international literature, patents etc. of major relevance to the objectives of the proposal, and explain to what extent your proposal brings added value to what has been already achieved to date at both European and worldwide level.

(insert text here...)

Describe in detail the content of your proposal, highlighting important aspects of your planned work in a way that will enable the experts to make an effective assessment against the evaluation criteria (see Information Package, vol. I).

(insert text here...)

Describe the individual partners of the consortium (including linked third parties and subcontractors) and demonstrate that they have the operational capacity (in terms of, e.g., experience, skills, facilities, staff, resources, etc.) to carry out the proposed action.

(insert text here...)



Research & Innovation
Research Fund for Coal and Steel

TECHNICAL ANNEX

Project acronym:	
Project title:	
Grant Agreement N°:	<i>(will be attributed by the Commission)</i>

B2-1 PROJECT OBJECTIVES

State the project objectives in a concise manner (**½ to 1 page maximum**).

B2-2 WORK PACKAGE DESCRIPTION**WP No**

Work package Title		Number of man hours
WP Leader (full name or acronym)	
Participants, linked third parties and subcontractors (full name or acronym)	
	
	
Total		

1 – Objectives

(Objectives clearly stated in a concise manner using bullet points (½ page)).

2 - Work programme and distribution of tasks

(Provide a detailed description of the work in each Task and specify the contribution of each participant/linked third party/subcontractor involved).

Task ...

Task ...

Task ...

3 - Interrelation with other work packages (please give WP No)

(Briefly describe the interrelation with the other WPs).

4 - Deliverables and milestones

(Define the deliverables and milestones, give the foreseen date of production and assign them to a responsible partner).

B2-3 PROGRAMME BAR CHART (TASK, PARTNER, DELIVERABLES, MILESTONES)

Please use dark colours for better readability

<i>Work package</i>	<i>Work package title</i>	<i>Deliverables</i>	Hours on project ¹					1 st year				2 nd year				3 rd year			
			Short name	Short name	Short name	Short name	I	II	III	IV	I	II	III	IV	I	II	III	IV
WP 1																			
Task 1.1																			
Task 1.2																			
.....																			
WP 2																			
Task 2.1																			
Task 2.2																			
....																			
WP 3																			
Task 3.1																			
Task 3.2																			
.....																			
WP 4																			
Task 4.1																			
Task 4.2																			
.....																			
WP 5																			
Task 5.1																			
Task 5.2																			
.....																			
Total Hours on project																			

¹ Separate entries covering all participants, linked third parties and subcontractors in the project

FORM B3

Role ¹ Legal Name Country	Participant No. 1 (and its linked third parties, if any) ²

¹ When numbering the participants, use the same order as in Part A of the proposal.

² Refer to Section 3.3 of the RFCS Information Package 2015 (vol I) for a definition of linked third parties

(A) Direct Personnel Costs					
Staff categories ¹	No. of man hours	Hourly rate ²		Staff costs	(only for costs incurred by a linked third party) Name of the linked third party
		Actual	Unit		
Senior engineer / Senior researcher				0	
Engineer / Researcher				0	
Junior engineer / Junior researcher				0	
Technician				0	
Manual worker				0	
				0	
Total man hours	0				
Total A			EUR	0	
Total D - Indirect Costs³			EUR	0,00	

¹ Use the given staff categories to classify staff members involved in the project; for each category, add more lines if staff members belonging to same category have different hourly rates

² Only one hourly rate has to be given for each staff category, either "actual" or "unit". Use an "actual" hourly rate if the staff category falls under cases A1, A2 and A3 (see Section 3.2.1 of the RFCS Information Package 2015, vol I) or a "unit" hourly rate if the staff category falls under cases A4 and A5 (SME owners and beneficiaries that are natural persons).

³ Automatically calculated as 35% of Total A

(B) Direct Costs of Subcontracting ¹			
Name of Subcontractor (if known)	Work description ²	Costs	(only for costs incurred by a linked third party) Name of the linked third party
Total B		0	

¹ Subcontracts may cover only a limited part of the work.

² Give a brief description of the activities to be performed by the subcontractors, with indication of Tasks of the Technical Annex (Form B2); make sure to mention the subcontracts also in Form B2.

(C1) Other Direct Costs - Equipment							
Description ¹	Date of purchase	Utilisation period (months) ² [A]	Depreciation period (months) ³ [B]	Cost of purchase [C]	% allocation to the project ⁴ [D]	Cost charged to the project [(A/B)xCxD]	(only for costs incurred by a linked third party) Name of the linked third party
						0	
						0	
						0	
Total C1					EUR	0	

¹ PCs and other equipment used for administrative tasks are not eligible costs

² This is the period (in months) during which the equipment is used for the project after its delivery

³ Depreciation period should be in line with the applicable rules in the beneficiary's country and with the beneficiary's usual accounting policy

⁴ For example, if the equipment is used for 6 months and in that time the equipment is used for a total of 300 hours for the project, but for no other purposes, then the allocation is 100%. However, if during the same period the equipment is used for 300 hours for the project and is also used for 100 hours for purposes other than the research project, then the allocation is 75%

FORM B3

Role¹	Participant No. 1 (and its linked third parties, if any) ²
Legal Name	
Country	

¹ When numbering the participants, use the same order as in Part A of the proposal.

² Refer to Section 3.3 of the RFCS Information Package 2015 (vol I) for a definition of linked third parties

(C2) Other Direct Costs - Operating costs			
Category	Description¹	EUR²	<i>(only for costs incurred by a linked third party)</i> Name of the linked third party
Raw materials			
Consumables			
Energy			
Transportation of raw materials, consumables, equipment, products, feedstock or fuel			
Maintenance, repair, alteration of existing equipment			
IT and other specific services			
Rental of equipment ³			
Analysis and tests			
Dedicated workshop organisation			
Certificate on financial statements and bank guarantee			
Protection of knowledge			
Total C2		0	

¹ For each category, give a detailed description and, in case of lump sums exceeding 10000€, a breakdown of costs; if necessary, add more lines.

² If the items claimed under Operating Costs are used also for other activities outside this project, the amount charged to the project shall be reduced proportionally

³ The total cost for renting equipment shall not exceed the allowable costs for its purchase

(E) Total estimated eligible costs	EUR
Total E (A + B + C1 + C2 + D)	0,00

Revenue		EUR
Max grant amount requested ¹		
Own resources		
Other resources	(indicate source)	
Other resources	(indicate source)	
Total revenue²		0,00

¹ Max 60% of Total E for Research Projects and Accompanying Measures; max 50% of Total E for Pilot&Demonstration projects

² Ideally, this total should always be equal to Total E. If it is lower, it indicates a lack of operational capacity. If it is higher, the maximum contribution requested to the European Union will be reduced accordingly since no profits can be generated in the project.



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B4. RESUBMISSION DETAILS (MAXIMUM 2 PAGES)

Important notice: Please respect the document format given hereafter. This section **must not exceed, under any circumstances, a maximum of 2 pages.**

The previous ESR of the last submission to the RFCS must be uploaded separately.

The minimum font size allowed is 11 points.

Description of main changes made:

(insert text here...)

Deadline : 18/09/2012

PROPOSAL NUMBER :

Objective : 3

GENERAL PROPOSAL INFORMATION

Proposal Title:

Acronym:

Technical Group:

Project duration (months):

Partner Summary

Part n°	Organisation Name	Ctry code	Activity	Type	Budget (€)	Funding Requested (€)
1			CO			
2			P			
3			P			
4			P			
5			P			
6			P			
7			P			
8			P			

Total Project Budget (1):	€
Funding Requested (1):	€

Panel: A

Abstract

Warning:
this empty Evaluation Summary Report (ESR) is shown here just as an example and is not a template to fill in. The document that has to be uploaded in the Submission System is the pdf of the ESR sent by the Commission's services to the applicants following the most recent evaluation of the proposal submitted under the RFCS programme.

Evaluation Summary Report

Scientific and technical approach Final mark: /5

Comments:

Innovative content Final mark: /5

Comments:

Deadline : 18/09/2012

PROPOSAL NUMBER :

--	--

Consistency of resources and quality of partnership	Final mark: /5
--	-----------------------

Comments:

--	--

Industrial interest and scientific/technical prospects	Final mark: /5
---	-----------------------

Comments:

Warning:
 this empty Evaluation Summary Report (ESR) is shown here just as an example and is not a template to fill in.
 The document that has to be uploaded in the Submission System is the pdf of the ESR sent by the Commission's
 services to the applicants following the most recent evaluation of the proposal submitted under the RFCS
 programme.

--	--

Added value and for the EU and contribution to EU Policies	Final mark: 4,00 /5
---	----------------------------

Comments:

--	--

Priority bonus	Final mark: /1
-----------------------	-----------------------

Overall remarks	Total marks: /26
------------------------	-------------------------

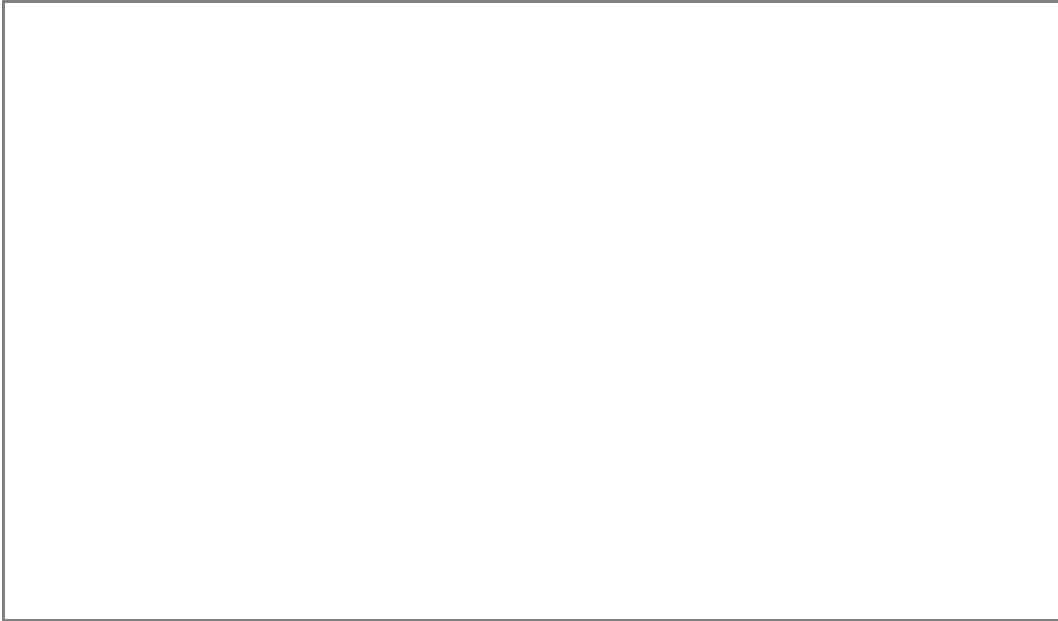
Comments:

--	--

Deadline : 18/09/2012

PROPOSAL NUMBER :

Objective :



Recommended for Funding

Warning:
this empty Evaluation Summary Report (ESR) is shown here just as an example and is not a template to fill in.
The document that has to be uploaded in the Submission System is the pdf of the ESR sent by the Commission's services to the applicants following the most recent evaluation of the proposal submitted under the RFCS programme.