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Guide for Applicants

Marie Skłodowska-Curie Actions
Research and Innovation Staff Exchange (RISE)

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This guide aims to facilitate potential applicants. It is provided for information purposes only and is not intended to replace consultation of any applicable legal sources. Neither the European Commission nor the Research Executive Agency (or any person acting on their behalf) can be held responsible for the use made of this guidance document.
The guidance provided in the Annotated Model Grant Agreement shall prevail in case of discrepancies.

History of changes

Version	Date	Change	Page
1.0 2016.1	8.12.2015	▪ Initial version (2016 call)	
2.0 2017.1	1.12.2016	▪ Addition of the definition "Action" ▪ Addition of 3 examples in the description ▪ Involvement of entities with a capital or legal link ▪ Clarification on the distinction of Dissemination and Exploitation versus Communication in sections 3.4 and 3.5 ▪ Clarifications about open access and open data in the section 3.4 ▪ Maximum total page for document Part B.1 is 32 pages ▪ Addition of Annex 6 List of Descriptors ▪ Other minor corrections	5 8 18 19 20 33 51 -

Note:

National Contact Points (NCPs) have been set up across Europe by the national governments to provide information and personalised support to H2020 applicants in their native language. The mission of the NCPs is to raise awareness, inform and advise on H2020 funding opportunities as well as to support potential applicants in the *preparation, submission and follow-up* of the grant applications. For details on the NCP in your country please consult the National Contact Points page. Additionally, you may also consult the website of the EU-funded Network of MSCA NCPs.

The Marie Skłodowska-Curie Actions in Horizon 2020

The Marie Skłodowska-Curie Actions (MSCA) aim to support the career development and training of researchers – with a focus on innovation skills – in all scientific disciplines through international and intersectoral mobility.

The MSCA are expected to finance around 65,000 researchers between 2014 and 2020, including 25,000 doctoral candidates. The Actions will address several objectives of the Europe 2020 strategy, including the Innovation Union flagship initiative. The latter states that the EU will need at least one million new research jobs if it is to reach the target of spending 3% of EU GDP on research and development by 2020.

By funding excellent research and offering attractive working conditions, the MSCA offer high quality professional opportunities open to researchers of any age, nationality or discipline.

The 2017 Marie Skłodowska-Curie Actions are:

- **Innovative Training Networks (ITN)**
Innovative doctoral-level training providing a range of skills in order to maximise employability;
- **Individual Fellowships (IF)**
Support for experienced researchers undertaking mobility between countries, and also to the non-academic sector;
- **Research and Innovation Staff Exchange (RISE)**
International and intersectoral collaboration through the exchange of research and innovation staff;
- **Co-funding of regional, national and international programmes (COFUND)**
Co-financing high-quality fellowship or doctoral programmes with transnational mobility.

The Coordination and Support Action **European Researchers' Night (NIGHT),** funded under the MSCA, is a Europe-wide public event to enhance researchers' public recognition and to stimulate interest in research careers, especially among young people.

Guides for Applicants for any other MSCA can be found on the Participant Portal.

Find further information at MSCA website.

This Guide is based on the rules and conditions contained in the legal documents relating to Horizon 2020 (in particular the Horizon 2020 Framework Programme and Specific Programme, the Rules for Participation, and the Work Programme), all of which can be consulted via the Participant Portal.

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Definitions used throughout this Guide

Action refers to the specific research and innovation (R&I) project to be implemented under the Grant Agreement.

Staff members must be (early-stage or experienced) researchers or administrative, managerial or technical staff supporting the R&I activities under the action. They must be actively engaged in or linked to research and/or innovation activities for at least six months (full-time equivalent) at the sending institution, before the first period of secondment.

Early-Stage Researchers (ESR) must, at the date of secondment, be in the first four years (*full-time equivalent research experience*) of their research careers and have not been awarded a doctoral degree.

Experienced Researchers (ER) must, at the date of the secondment, be in possession of a doctoral degree or have at least four years of full-time equivalent research experience.

Full-Time Equivalent Research Experience is measured from the date when the researcher obtained the degree entitling him/her to embark on a doctorate (either in the country in which the degree was obtained or in the country in which the researcher is recruited or seconded) – even if a doctorate was never started or envisaged.

Academic Sector means public or private higher education establishments awarding academic degrees, public or private non-profit research institutes whose primary mission is to pursue research, and international European interest organisations as they are defined in [Article 2.1(12) of the Horizon 2020 Rules for Participation Regulation No. 1290/2013](#).

Non-Academic Sector means any socio-economic actor not included in the academic sector and fulfilling the requirements of the Horizon 2020 Rules for Participation Regulation No. 1290/2013.

Beneficiaries are the legal entities that sign the Grant Agreement and have the responsibility for the proper implementation of the action. They contribute directly to the implementation of the research, transfer of knowledge and training activities by supervising, hosting, training and/or seconding staff members. The legal entity is established in a European Union Member (MS) State or Horizon 2020 Associated Country (MS/AC).

Partner organisations *(as applicable in RISE)* contribute directly to the implementation of the research, transfer of knowledge and training activities by hosting, supervising, training and/or seconding staff members but do not sign the grant agreement. The legal entity must be established in a Non-Associated Third Country.

Member States (MS) are member states of the European Union (EU), including their overseas departments.

Associated Country (AC) means a third country which is party to an international agreement with the Union, as identified in Article 7 of Regulation (EU) No 1291/2013. http://ec.europa.eu/research/participants/data/ref/h2020/grants manual/hi/3cpart/h2020-hi-list-ac en.pdf.

Non-Associated Third Countries (TC) are countries which are neither MS nor AC. Some TC are included in the list of countries eligible for funding, provided in the [General Annex A](#) to the Work Programme.

Coordinator is the beneficiary which is the central contact point for the Research Executive Agency (REA) and represents the consortium towards REA.

Secondment period means the period(s) spent by the *staff member* in a host organisation (including travel periods) for the purposes of the action in line with the provisions of the Grant Agreement.

Definitions used throughout this Guide

MSCA Work Programme: it refers to the **Part 3 of the** Horizon 2020 Work Programme 2016-2017 (*Marie Skłodowska-Curie Actions*), European Commission Decision C (2016)4614 of 25 July 2016. Applicants should also refer to the General Introduction and General Annexes.

'**Entities with a capital or legal link**' means entities that have a link with beneficiaries or partner organisations, in particular, a legal or capital link, which is neither limited to the action nor established for the sole purpose of its implementation. They do not sign the grant agreement.

European Charter and Code for Researchers refers to the Commission Recommendation of 11 March 2005 on the European Charter for Researchers and on a Code of Conduct for the Recruitment of Researchers, C(2005)576 of 11 March 2005.

NB: Links to documents referred to in this Guide are provided in Annex 1.

Marie Skłodowska-Curie "Research and Innovation Staff Exchange"

1. Purpose

The specific objectives of the Research and Innovation Staff Exchange (RISE) are defined as follows:

- *The RISE scheme will promote international and inter-sector collaboration through research and innovation staff exchanges, and sharing of knowledge and ideas from research to market (and vice-versa);*

- *The scheme fosters a shared culture of research and innovation that welcomes and rewards creativity and entrepreneurship and helps to turn creative ideas into innovative products, services or processes.*

Organisations which are actively involved in research/innovation are invited to propose joint research/innovation action:

- *Support is provided for the development of partnerships in the form of joint research and innovation activities between the participating organisations (2016-2017 Work Programme).*

A RISE proposal should be based on a set of clear **research and innovation (R&I) objectives**. The action must be implemented through secondments of R&I staff ("exchanges") with a built-in return mechanism, maximising the impact of the action for **knowledge sharing and long-term collaboration**.

RISE actions are expected to strengthen existing – and build new – networks of international and/or intersectoral cooperation, as well as to significantly improve interaction between organisations in the academic and non-academic sectors in the MS, AC and TC.

Examples of RISE R&I actions[1]

RISE offers appropriate funding for secondments of staff members, including funding for research, innovation, training and networking activities.

*Based on previous experience, a typical action would last **48 months** and involve, on average, **5-9 participating organisations** from the academic and/or non-academic sector (in particular SMEs) from MS/AC and TC. All participating organisations would contribute directly to the implementation of the joint R&I action by seconding and/or hosting eligible staff members. Depending on the size of the partnership and the nature of the R&I action that is jointly implemented, between **200 and 400 person months of secondments** (with a maximum of 540 person months) could be envisaged in order to allow for a significant and sustainable impact of the RISE action. During the secondment period, **appropriate supervision and support** is provided to the staff members involved in the action by the host organisation/s.*

*The sustainability of the R&I action will be reinforced through joint activities to which the participating organisations as a whole or a part would participate. Within the framework of a RISE action, the consortium is therefore expected to **implement the R&I activities by means of functional secondments.** Moreover, the staff members of the consortium should take part in training courses, workshops, conferences, etc. aimed at sharing knowledge, acquiring new skills and developing career perspectives.*

Proposals should consider these elements and provide a convincing concept and work plan going beyond the simple scheduling of staff secondments.

*Here below, as **pure demonstrative examples**, three RISE consortia with 3, 7 and 10 participating organisations are presented respectively.*

***Example 1:** The field of activity is in Chemistry (CHE). A consortium of 4 beneficiaries (3 academic organisations from Spain, Sweden and Austria, respectively and 1 non-academic, a pharmaceutical company, from Ireland) design a RISE action aiming to test new chemical compounds to be included in the formulation of new drugs. The three academic beneficiaries bring knowledge and expertise to the design, preparation and purification of new chemical compounds, whereas the non-academic beneficiary is an expert in the production and scaling-up the chemical processes to manufacture drugs. This action foresees 170 Person Months (PM) for a total of 20 secondments (with an average duration of 8.5 months) and involving the exchange of ESR and ER staff members. Since this action develops under the European dimension (see later), only inter-sectoral secondments are possible. Therefore, this action foresees 120 PM from the academic beneficiaries to the non-academic beneficiary and 50 PM from the non-academic beneficiary to the academic beneficiaries. The flow of exchanges is functionally distributed according to the expertise of the participating organisations as well as the transfer of knowledge and the field of R&I activities.*

***Example 2:** The field of activity is in Information Science and Engineering (ENG). A consortium of 7 beneficiaries from 5 different MS (Malta, Greece, Portugal, Italy and United Kingdom), namely 4 academic organisations and 3 non-academic organisations join their knowledge and expertise to implement the action aiming to develop a*

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[1] This is **only** intended to provide the applicants with a general profile of a RISE action to facilitate the understanding of the information provided in this guide. This example should not be considered as a binding reference for the preparation of the proposal or as a standard ensuring successful evaluation and award.

browser-based architecture for the protection of minors from malicious actors in online social networks. In this action the academic sector beneficiaries bring knowledge on user experience assessment and content confidentiality techniques, as well as expertise on algorithm design for machine learning and data-mining. The industrial beneficiaries will offer expertise in production-grade software development and access to real-world online social network data. The complementary aspects of this action are brought together by using 480 PM for a total of 110 secondments (with an average duration of about 4.4 months) involving only ESR and ER, with 240 PM devoted to secondments from the academic to the non-academic sector, and 240 PM from the non-academic to the academic sector.

Example 3: *The field of activity is in Social Sciences and Humanities (SOC). A consortium of 10 participating organisations established in MS/AC and TC encompasses both inter-sectoral and international dimension. The consortium is formed by 1 Danish beneficiary (academic), 1 Austrian beneficiary (academic), 1 Irish beneficiary (non-academic), 1 academic German beneficiary, 1 academic Dutch beneficiary, 1 non-academic British beneficiary, 1 academic Spanish beneficiary, 1 non-academic Colombian partner organisation and 2 Indonesian partner organisations (1 academic and 1 non-academic sector). This consortium addresses urban vulnerability with regard to preparedness and resilience and the reshaping of how humanitarian action and development aid is undertaken in urban areas. This action will use a total of 250 PM, with 50 secondments (with an average duration of 5 months) involving only ER. 110 PM will support European ER to perform R&I activities in the two TC (Colombia and Indonesia) a fraction of these PM will be used in international/inter-sectoral secondments (no sector limitation foreseen in international secondments) equal to 30 PM. This latter type of secondment offers the possibility of exposing staff members to the international non-academic sector. 90 PM are used to receive TC staff members in Europa, attracting knowledge and talents from TC. 50 PM are used for inter-sectoral secondments within Europe. All the PM are organically built to implement this action. Each participating organisation brings its own specific know-how and expertise in urban contexts that will transcend disciplines and sectors to design a new resilience and preparedness paradigm to respond to urban challenges.*

2. Partnership

2.1 Eligible Countries and Participating Organisations

For the purposes of the RISE action, two main categories of countries can be distinguished:

1) EU Member States (MS) and Associated Countries (AC)[2] (see Definitions);
2) Non-Associated Third Countries (TC) (see Definitions).

In addition, two different types of organisations (legal entities) are eligible and distinguished according to the following two sectors:

- Academic sector;
- Non-academic sector.

Participating organisations are considered to belong to the academic sector if they have been assigned to one of the following three categories mentioned below:

- Public or private higher education establishments awarding academic degrees;
- Public or private non-profit research organisations whose primary mission is to pursue research;
- International European Interest Organisations.

All other participating organisations belong by default to the non-academic sector.

The status of an organisation is ultimately determined by the validation of the legal entity (PIC number).

Before applying, each participating organisation (beneficiary and partner organisations) has to register a Participant Identification Code (PIC) only once, through the Participant Portal. Applicants should check carefully if a PIC number already exists for their organisation to avoid duplications[3]. If they already possess a validated PIC, it must be used when applying.

The details of all validated organisations are stored in a Unique Registration Facility (URF). For the confirmation and, if necessary, revision of the data stored in the URF, the REA asks each organisation to nominate a Legal Entity Appointed Representative (LEAR). LEARs can view their organisations' legal and financial data online and ask for corrections and changes through the Participant Portal.

Before applying, each organisation shall verify its status in light of the definitions provided in the [Guide on beneficiary registration, validation and financial viability check](#) available on the Participant Portal, since the eligibility of intersectoral secondments is linked to the academic or non-academic status of the participating organisations.

Should the status of an organisation change during the PIC validation process, the European/intersectoral secondments linked to this participating organisation will be rejected and the budget of the proposal reduced accordingly.

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[2] http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/3cpart/h2020-hi-list-ac_en.pdf

[3] Note that if duplicated PICs are created by the applicant, they will be replaced by the validated PICs at the grant preparation level, which might lead to the ineligibility of some of the secondments listed in the proposal.

2.2 Eligibility of the partnership

A RISE partnership must be composed of **at least three organisations (legal entities independent of each other[4]) established in three different countries**. At least two of **them** must be established in **different** MS and/or AC.

Above these minimum requirements, additional organisations established in MS/AC and/or in other TC can participate under the conditions provided by the Horizon 2020 Rules for Participation Regulation No 1290/2013.

RISE partnerships can be proposed with an international or European (MS/AC) dimension, or a combination of both. Note, however, that the European dimension allows only intersectoral secondments (see point 3.3 below), whereas the international dimension permits exchanges within the same sector.

Examples of each type of partnership are illustrated below:

- *International dimension*: secondments from MS/AC to TC and vice versa[5], <u>regardless</u> of the sector to which the organisations belong.

  Example: An eligible RISE partnership is composed of an organisation located in Slovakia, one organisation in Greece and a third one in Argentina.

- *European/Intersectoral dimension*: secondments between MS/AC organisations provided that they belong to <u>different sectors</u> (academic/non-academic) and are located in different MS/AC.

  Example: An eligible RISE partnership is composed of an academic organisation located in Romania, an academic organisation in Slovenia and an enterprise (non–academic) in the Czech Republic.

- **International and European/Intersectoral dimension**: <u>both dimensions</u> present within a RISE proposal.

  Example: An eligible RISE partnership is composed of an academic organisation located in Lithuania, a non-academic organisation in Finland, a non-academic organisation in Sweden, an academic organisation in South Africa and a non-academic organisation in Azerbaijan.

For the purposes of RISE, MSCA distinguish also two types of participating organisations based on the countries where they are established/legally registered:

- *Beneficiaries (=legal entities established in MS/AC)*

  Beneficiaries are legal entities that are signatories to the Grant Agreement. Beneficiaries **must be established in a MS/AC**. They contribute directly to the implementation of the action, transfer of knowledge and training activities by supervising, hosting, training and/or seconding staff members. Beneficiaries take complete responsibility for executing the proposed R&I action and for respecting the requirements of the Grant Agreement. Regardless of their size, all beneficiaries that physically host must offer appropriate supervision to the

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[4] As defined in Article 8 of Regulation (EU) No 1290/2013 of 11 December 2013 laying down the rules for participation and dissemination in "Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020)" and repealing Regulation (EC) No 1906/2006. (http://ec.europa.eu/research/participants/data/ref/h2020/legal_basis/rules_participation/h2020-rules-participation_en.pdf)

[5] Secondments from TC to MS/AC only on the condition that the TC is eligible for funding, as specified in General Annex A to the Work Programme.

seconded staff members at their premises, and provide the necessary infrastructures and equipment for the scope of the secondments.

Beneficiaries are <u>required to conclude a Consortium agreement</u>[6], in principle prior to the signature of the Grant Agreement.

Please note that legal entities from Overseas Countries and Territories (OCT) linked to the MS are eligible for funding under the same conditions as legal entities from MS and are therefore considered as beneficiaries.

- **Partner Organisations *(=legal entities established in TC)***

  Similarly to the role of beneficiaries, partner organisations contribute directly to the implementation of the R&I action by supervising, hosting, training and/or seconding staff members. They provide secondment opportunities as well as ensure transfer of knowledge. Partner organisations **must be** established **in a TC** and are not signatories to the Grant Agreement. They therefore do not directly claim costs from the REA. Financial issues between partner organisations and beneficiaries are agreed within the partnership, preferably by means of a Partnership Agreement (see section 3.7 of this Guide)[7].

  Each TC partner organisation must include an up-to-date letter of commitment in Part B of the proposal to demonstrate their real and active participation in the proposed partnership. During the evaluation the experts will be instructed to disregard the contribution of any partner organisations for which no such evidence of commitment is submitted. **A TC partner organisation is not a beneficiary in the action.**

International European Interest Organisations (**IEIO**)

An "international European interest organisation" is defined in [Article 2.1(12) of the Horizon 2020 Rules for Participation Regulation](#) as "an international organisation, the majority of whose members are Member States or associated countries, and whose principal objective is to promote scientific and technological cooperation in Europe". For the purposes of RISE, IEIO are considered as legal entities established in a MS or AC other than those in which the other beneficiaries in the partnership are established. The same applies to the European Commission's Joint Research Centre (JRC) or an 'entity created under Union law' (see Article 9(2) of the Horizon 2020 Rules for Participation Regulation). Examples of IEIO include CERN and EMBL. All members of EIROForum are considered international European interest organisations.

<u>Example</u>: An IEIO *based in France* (academic) *is eligible to participate in a RISE R&I action together with two other organisations located in Poland and France, of which at least one is non-academic. Although it is physically located in France, the IEIO will **not** count as a French beneficiary and thus the minimum requirement for the participation of 3 independent organisations established in 3 different countries is fulfilled.*

2.3 Size of a RISE partnership

There is no maximum fixed size for the number of participating organisations in RISE. However, there is an upper limit of a **maximum of 540 person-months of EU funded secondments per action**. There is no minimum number of secondments but

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6   **Consortium agreements** must be compliant with the obligations laid down in the Grant Agreement.
7   **Partnership agreements** must be compliant with the obligations laid down in the Grant Agreement.

the action should have a substantial impact, as highlighted in the evaluation criteria (see annex 2 of this guide).

3. RISE in practice

3.1 A joint research and innovation action

All MSCA have **a bottom-up approach**, i.e. proposals in all domains of research and technological development are eligible for funding, except for areas of research covered by the [EURATOM Treaty](#).

Applicants propose a **joint R&I action** as the common basis for their collaboration. This action should be designed to **exploit the complementary expertise of the participating organisations and to create synergies between them**. In addition to advancing research and/or innovation knowledge in a particular area, RISE actions are also expected to create additional benefits for the participating organisations in terms of **cross-sectoral transfer of knowledge and to enhance skills and expertise of the staff seconded**. Each secondment is expected to provide benefit to both the seconded staff member - who would acquire and/or transfer new knowledge and skills – and to the host organisation, which would establish new collaborations, reinforce cooperation, be exposed to innovative and internationalisation drives.

The partnership is expected to support the successful implementation of the action by planning secondments, organising and taking part in training, workshops, seminars, conferences, etc. aimed at sharing knowledge, acquiring new skills and developing the careers of the staff members involved.

The content, quality, impact and added value of these activities should be detailed and justified in the proposal.

3.2 Eligible staff members

Conditions of eligibility

Staff members (see [Definitions](#)) seconded under RISE must comply with the following eligibility conditions:

a) Being one of the following three profiles:

- Early-stage researchers (ESR) (see Definition);
- Experienced researchers (ER) (see Definition);
- Administrative (ADM), managerial (MNG) or technical staff (TECH) supporting the R&I activities of the action.

b) Being actively engaged in – or linked to – research and/or innovation activities at the sending institution for at least six months (full-time equivalent and continuously) immediately prior to the first period of secondment.

NB: Staff members with a purely administrative role (e.g. accountants) who are not actively involved in the R&I activities of the organisation are not eligible.

The beneficiaries/partner organisations can also exchange staff members of entities having a capital or legal link with them, following the conditions explained in paragraph 3.3.

c) **For the duration of the secondment**, the staff member should have a link conferring to the sending organisation the necessary legal means in terms of control and instructions to ensure the implementation of the activities in compliance with the Grant Agreement obligations (e.g. full-time work for the activities of the action, IPR and confidentiality obligations, visibility of EU funding, etc.), and applicable national law and internal practices.

d) A seconded staff member shall be devoted full-time to the action during the secondment period. A sending organisation and its staff member cannot be bound by other contractual arrangements which prevent the fulfilment of this obligation (e.g. participation in other actions).

Staff members with a part-time relationship **can participate** but before the secondment they must conclude supplementary arrangements with their sending organisation to be able to implement the secondment on a full-time basis. This must be compatible with applicable national law and internal practices of the organisation.

In built reintegration

After the secondment period, the exchanged staff members should be reintegrated into the sending organisation. This does not prevent the seconded staff members to accept other job offers but requires the sending organisation to put in place all necessary measures to ensure the return of the staff member (see also the Frequently Asked Questions for additional information on this point).

> *Example:* A social science department of a Polish university (academic sector) wishes to second an experienced researcher (who has been working as full-time at the social science department for eight months) to a non-academic French beneficiary (a census company) within a RISE action for six months to learn a state-of-the-art technique. At the end of the secondment, the Polish university reintegrates the experienced researcher in the department, thus *maximising the impact of the action for knowledge sharing and long-term collaboration*.

Staff members linked to several participating organisations

If a person is a staff member of two or more organisations which are participating in a RISE action, this person can only be seconded from one of these organisations during the duration of the action. Moreover, s/he can only be seconded to organisations with which s/he is not affiliated.

> *Example:* An experienced researcher is both professor at the university and CEO of her/his own SME and both organisations are participating in a RISE action. This experienced researcher can be seconded only from one of the two organisations to a third organisation that s/he is not affiliated with.

3.3 Eligibility of the secondments

Within a RISE action, the total duration of secondments per individual staff member is a maximum of 12 months and a minimum of 1 month. A secondment may be split into several stays (by the same staff member, from the same sending organisation and to the same host organisation), as long as the sum of the duration of all splits is at least 1 month (30 days) and not longer than 12 months. All the secondments must take place within the duration of the action.

> *Example:* One staff member is seconded from a beneficiary A in Germany to a partner organisation B in Argentina for 17 days. This secondment will be eligible for funding only if the same staff member is seconded for at least 13 supplementary days from the same beneficiary A in Germany to the same partner organisation B in Argentina. A secondment of 45 days of the same staff member from a beneficiary A in Germany to a partner organisation C in Morocco will itself

be eligible for funding but cannot be added to the secondment (initial 17 days) in Argentina to reach the minimum duration of one month.

The same staff member can be seconded to different organisations within the maximum duration of 12 months, provided that the overall duration at each organisation is minimum 1 month.

Example: One staff member can be seconded from a beneficiary A in Spain to a partner organisation B in Philippines for 3 months, to a partner organisation C in Uruguay for 7 months, and to a beneficiary D in Norway for 6 months. In this case however, 4 months of secondments will not be eligible for funding since they are beyond the maximum limit of 12 months.

There are no conditions on the balance of secondments between participating organisations. However, all secondments should be relevant for the implementation of the R&I action and the involvement of all participating organisations will be assessed under the excellence criterion.

The following secondments[8] are <u>eligible for funding</u> and must be listed in Part A[9] and justified in Part B[10] of the proposal:

- Secondments between an academic beneficiary in one MS/AC to a non-academic beneficiary in another MS/AC and vice versa (European/intersectoral);
- Secondments from a beneficiary to a partner organisation located in a TC without sector restriction (international);
- Secondments from a partner organisation located in a TC to a beneficiary without sector restriction (international), on the condition that the TC is eligible for funding, as specified in <u>General Annex A to the Work Programme</u>.

In **exceptional cases**, an international organisation (IO) or a legal entity established in a TC not listed in General Annex A to the Work Programme may be eligible for funding. This must be endorsed by the expert evaluators and at least one of the following conditions must be fulfilled:

- the participation is deemed **essential** for carrying out the action by the Commission or the relevant funding body;
- such funding is provided for under a bilateral scientific and technological agreement or any other arrangement between the European Union and the IO or, for entities established in third countries, the country in which the legal entity is established.

"Essential" means that a participating organisation from a TC not eligible for funding disposes of specific competences and expertise which no organisation has in a MS/AC and that the secondments from this TC participating organisation would result in a transfer of knowledge to the MS/AC organisations that are indispensable to achieve the objectives of the action. The exceptional nature of the participation of a partner

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[8] Secondments from/to entities with a capital or legal link are also eligible. See *Specific case of entities with a capital or legal link to beneficiaries or partner organisations* below.

[9] Secondments are listed in the Gantt chart for secondments in Part A (see <u>Annex 3</u> - Table §A.3.1 List of secondments).

[10] Additional listings of secondments should not be added in Part B. Secondment listings in Part B will be disregarded.

organisation from a TC not listed in the above mentioned Annex A must be explicitly requested. It must be endorsed by the expert evaluators and approved by the REA.

In order to assess the impact of secondments from participating organisations located in a TC not eligible for funding to a MS/AC, independently of the possible exception, applicants must justify them in the Part B of the proposal and include them in the table of secondments (Gantt chart) (Part A) to highlight the contribution of these TC participating organisations to the implementation of the RISE action.

Examples of secondments ineligible for funding (not exhaustive)

- Secondments between organisations located in the **same country**:
  Example: A staff member from an academic organisation located in Paris cannot be seconded to a non-academic organisation in Marseille;

- Secondments between organisations belonging to the **same sector** located in different MS/AC:
  Example 1: A staff member of an SME (non-academic sector) located in Latvia cannot be seconded to an enterprise (non-academic sector) in Bulgaria;

  Example 2: A staff member of a university in Hungary (academic sector) cannot be seconded to a research centre (academic sector) in Slovenia;

- Secondments between organisations **located in different TC**:
  Example: An ESR of an organisation in Brazil cannot be seconded to a university located in the United States;

- Secondments between organisations which are **not independent from each other**:
  Example: A staff member of an SME located in Italy cannot be seconded to an affiliated SME in China;

- Secondments which are **not executed full-time**:
  Example: A staff member of an SME located in Poland cannot be seconded to a university in Turkey to work 50% on the action and 50% on other activities linked to other on-going collaborations;

- Secondments of staff that benefit from **another MSCA grant during the period of exchange**:
  Example: A staff member cannot be seconded in RISE while recruited and working in an on-going IF or ITN action;

- Secondments **reimbursed by other EU funds** (i.e. double funding of same costs);

- Secondments of staff members who **do not have the relevant profile** for carrying out the activities outlined in Part B of the proposal;

- Secondments **not linked to the implementation of the action**.

Specific case of entities with a capital or legal link to beneficiaries or partner organisations[11]

Where necessary, entities with a capital or legal link to the beneficiaries or partner organisations may implement the tasks of seconding and hosting staff members as described in Annex 1 of the Grant Agreement. The involvement of such entities must be clearly described and justified in the proposal and will be assessed as part of the evaluation process.

The following conditions apply:

a) The entities with a capital or legal link must be located in the same country of the beneficiary/partner organisation to which they are linked.

b) The proposal must clearly specify:

- name of the entity with a capital or legal link
- type of link with the beneficiary/partner organisation
- tasks to be carried out by such entities

c) The secondments from/to an organisation with a capital or legal link must be reported as secondments from/to the beneficiary/partner which they are linked to.

   N.B. The sector of the beneficiary (academic or non-academic) to which this entity is linked prevails over its own academic or non-academic status and it is taken into account for intersectoral secondments.

d) The beneficiaries remain fully responsible for the implementation of the action in accordance with the GA.

e) The involvement of entities with a capital or legal link will be assessed as part of the evaluation/GAP and **must not be used to circumvent** the eligibility conditions stated in the MSCA Work Programme.

f)

> ***Examples of eligible staff members of entities with a capital or legal link:***
>
> ***Example 1:*** *An experienced researcher (ER) is employed by a university (not beneficiary of the grant) established in Montpellier, France. This university is part of a Joint Research Unit (JRU) with another university (beneficiary of the grant) established in Paris, France. The Montpellier university could be considered as an entity with a capital or legal link with Paris university. Therefore, the ER can be seconded if he/she complies with the eligibility criteria of RISE secondments.*
>
> ***Example 2:*** *A technician is employed by an SME (not beneficiary of the grant) established in Lisbon, Portugal. This SME is a spin-off of a non-academic beneficiary in Portugal. The SME could be considered as an entity with a capital or legal link with the non-academic beneficiary. Therefore, the technician can be seconded if she/he complies with the eligibility criteria of RISE secondments.*

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[11] '**Entities with a capital or legal link**' are entities that have a link with beneficiaries or partner organisations, in particular, a legal or capital link, which is neither limited to the RISE action nor established for the sole purpose of its implementation.

> **Example 3:** *An ER is employed by an SME (not a participating organisation of the grant) established in Cape Town, South Africa. This SME is a subsidiary of an enterprise (partner organisation of the grant) also established in South Africa. This SME could be considered as an entity with a capital or legal link with the company in South Africa. Therefore, an ER can be seconded if she/he complies with the eligibility criteria of RISE secondments.*
>
> **Example 4:** *An experienced researcher is formally employed by a foundation established in Poland which does the HR management for an academic beneficiary also established in Poland. The experienced researcher actually works with the academic beneficiary and should be sent on a secondment to a non-academic beneficiary established in Germany. The foundation will be considered as an entity with a capital or legal link to the Polish academic beneficiary and can therefore second the experienced researcher.*
>
> **Examples of ineligible staff members of entities with a capital or legal link:**
>
> **Example 1:** *A manager of an SME (not beneficiary/partner organisation of the grant) established in a MS/AC or a TC is a subsidiary of an enterprise (beneficiary of the grant/partner organisation) established in another MS/AC or TC. As they are **located in different countries** this SME cannot be considered as an entity with a capital or legal link to the enterprise. Therefore, the manager of this SME cannot be seconded.*
>
> **Example 2***: A university (validated as **academic**) and established in a MS/AC intends to participate in a RISE action through an association of universities (validated as **non-academic**) to be able to second staff to other academic beneficiaries of the action. This would be seen as **circumventing RISE eligibility rules** and the associated secondments would be ineligible for funding.*

3.4 Dissemination and Exploitation

Dissemination strategy is about the results of the action and it is targeted at peers (scientific or the action's own community, industry and other commercial actors, professional organisations, policymakers) and to the wider research and innovation community - to achieve and expand the potential impact of the action.

The proposal should describe the foreseen dissemination and exploitation activities and their expected impact.

> **Open Science under Horizon 2020**
>
> Applicants and beneficiaries should respect the Horizon 2020 strategic priority of Open Science. Open Science describes the on-going evolution in the modus operandi of doing research and organising science. These changes in the dynamics of science and research are enabled by digital technologies and driven by the globalisation of the scientific community. They have an impact on the way research is produced, accessed and utilised.
>
> Open Science is an inclusive process aimed at promoting diversity in science across the European Union and opening it to the general public, in order to better address the H2020 societal challenges and ensure that science becomes more responsive both to

socio-economic demands and to those of European citizens. Open Science also provides significant new opportunities for researchers to disseminate, share, explore and collaborate with other researchers.

Open Access and Open Data under Horizon 2020

Open Access: beneficiaries must ensure that peer-reviewed scientific publications resulting from RISE funding are deposited in open access repositories, i.e. free of charge online access for any user (see guidance on Article 29.2 in the [Annotated Model Grant Agreement](#)). A repository number for each publication must be provided in the action reports. *Further information on [Open Access](#) can be found in the documents section of the Participant Portal.*

Open Data: beneficiaries will engage in research data sharing by default, as stipulated under Article 29.3 of the Horizon 2020 [Model Grant Agreement](#) (including the creation of a Data Management Plan). Applicants may, however, opt out of these arrangements, both before and after the signature of the grant agreement. Note that information related to Open Research Data provided in the proposal will not be subject to evaluation. In other words, proposals will not be evaluated negatively because they opt-out of the data sharing.

Further information on the [Data Management Plan](#) can be found in the documents section of the Participant Portal.

3.5 Communication

Communication of the action aims to demonstrate the ways in which the research, training and mobility contribute to a European "Innovation Union" and account for public spending. It should provide tangible proof that the funded action adds value by:

- showing how **European and international collaboration** has achieved more than would have otherwise been possible, notably in achieving scientific excellence, contributing to competitiveness and, where relevant, solving societal challenges;

- showing how the outcomes are **relevant to our everyday lives**, by creating jobs, training skilled researchers, introducing novel technologies, bringing ideas from research to market or making our lives more comfortable in other ways;

- **promoting results**, which may possibly influence policy-making, and ensure follow-up by industry, civil society and by the scientific community.

In the MSCA, public engagement is an important part of communication. The primary goal of public engagement activities is to **create awareness among the general public of the research work performed under these projects and its implications for citizens and society**. The type of outreach activities could range from press articles and participating in European Researchers' Night events to presenting science, research and innovation activities to students from primary and secondary schools or universities in order to develop their interest in research careers. **The frequency and nature of such activities should be outlined in the proposal**. Concrete plans for the above must be included as a deliverable.

3.6 Financial Aspects

The financial contribution to a RISE action is calculated on the basis of unit costs. **A unit cost is a fixed amount per person-month of secondment. The EU contribution is calculated by multiplying the unit costs by the number of implemented person-months**.

Applicants are not requested to indicate the amount of estimated EU budget contribution in their proposal since it will be automatically calculated from the information on planned person-months provided in the Part A of the proposal.

The financial support is composed of a *staff member unit cost* of 2,000 EUR per person-month, plus an *institutional unit cost* of 2,500 EUR per person-month.

As shown in Table 1, the institutional unit cost is split into *research, training and networking costs* of 1,800 EUR per person-month of secondment, and *management and indirect costs* of 700 EUR per person-month.

Marie Skłodowska-Curie Action	Staff member unit cost [per person-month of secondment] [EUR]	Institutional unit cost [per person-month of secondment]	
		Research, training and networking costs [EUR]	Management and indirect costs [EUR]
RISE	2,000	1,800	700

Table 1: Financial modalities for RISE

- The *Staff member unit cost* is a top-up allowance to be fully used to support travel, accommodation and subsistence costs for the staff member during the secondment. The Staff member unit cost contribution can be managed centrally to pay for the costs linked to the individual staff member on secondment (e.g. moving costs, accommodation, etc.) or paid directly to the staff member or a combination of the two approaches. On request, the beneficiaries must be able to show that the full amount (2,000 EUR) was used for the direct benefit of the seconded staff member.

  The salary of the seconded staff or any other type of remuneration is not covered by the EU contribution. Therefore, the beneficiaries and partner organisations are expected to continue paying the staff member's salary (or any other type of remuneration) during their stay abroad.

- The *Research, training and networking costs* cover the costs of research and innovation related activities of the action such as purchasing of consumables, laboratory costs, participation to conferences, workshops, coordination and review meetings and networking activities.

- *Management and indirect costs* cover all general costs connected with the organisation and implementation of the secondments (administrative and financial management, logistics, ethics, human resources, legal advice, documentation, etc.).

Institutional unit costs reimbursed through eligible secondments can be reserved and used to pay an additional top up allowance to the staff members to cover additional travel and subsistence costs or to organise additional training activities or horizontal networking events. Moreover, unused institutional unit costs can be reshuffled among

different secondments according to the internal arrangements of the partnership (e.g. Consortium/Partnership agreement) to achieve the objectives of the action.

The beneficiaries, as grant recipients, are responsible for the management of the action. Each beneficiary will report to the REA the person-months of its own seconded staff members, <u>plus</u> the person-months of seconded staff members for any third party involved in the action.

The EU contribution is paid to the action coordinator who will distribute it to the beneficiaries according to the grant agreement and to the modalities agreed within the partnership.

Complete details regarding contractual obligations that bind all beneficiaries can be found in the MSCA Work Programme and in the model Grant Agreement, both of which are available on the Participant Portal.

3.7 Management, Consortium Agreement and Partnership Agreement

As stated previously, beneficiaries in RISE are **required to conclude a consortium agreement outlining their cooperation/contribution in the action**, in principle prior to the signature of the grant agreement.

The cooperation and communication within the action shall be as transparent and efficient as possible, with the involvement of seconded staff members (for the organisation of meetings and identification of training needs, for example).

It is also strongly encouraged to conclude a Partnership Agreement[12] with the TC partner organisations to determine clear and transparent rules governing the internal relations **between MS/AC beneficiaries and TC partner organisations** (e.g. use and distribution of funding, legal issues, IPR, confidentiality, scientific responsibilities to implement action tasks, compliance with grant agreement obligations, etc.).

The consortium agreement and partnership agreement are deemed to cover several essential practical aspects needed to smoothly implement the action and for example: the secondment practical arrangements and planning, scientific responsibilities, legal issues, IPR issues, supervision arrangements, the internal modalities and timing for the distribution of funding as well as any redistribution of institutional unit costs between the beneficiaries and partners.

For both consortium and partnership agreements the H2020 *Guidance on how to draw up a consortium agreement* can be taken as an example subject to the necessary adaptations required by the specific structure of a RISE action.

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[12] *The Partnership Agreement can take various forms depending on the real needs of the project. For example, it can be fully incorporated in the consortium agreement (as a separate chapter) or be a standing alone document or be subdivided in several bilateral agreements.*

Annex 1 – Timetable and Specific Information for this Call

The **Marie Skłodowska-Curie Actions Work Programme** provides the legal information and conditions to be considered when submitting a proposal to this call. It describes the different actions and how they will be implemented. The Work Programme is available on the Participant Portal call page. Basic data on the call implementation (deadline, budget, additional conditions etc.) is also posted on the Participant Portal. Please consult these documents.

Indicative timetable for this call

Opening date	*01 December 2016*
Deadline for submission of proposals	***5 April 2017*** ***at 17:00:00, Brussels local time***
Evaluation of proposals	*June 2017*
Information on the outcome of the evaluation	*July 2017*
Indicative date for the signing of grant agreements	*November 2017*

Indicative budget 2017: **EUR 80.00 million**

Further information and help

The Participant Portal call page contains links to other sources that applicants may find useful in preparing and submitting a proposal.

Call Information

- *Participant Portal call page*
  http://ec.europa.eu/research/participants/portal/desktop/en/home.html
- *MSCA Work Programme 2016-2017*
  http://ec.europa.eu/research/participants/data/ref/h2020/wp/2016_2017/main/h2020-wp1617-msca_en.pdf

General Sources of Help

- *Marie Skłodowska-Curie website:* http://ec.europa.eu/msca
- *EURAXESS:* http://ec.europa.eu/euraxess/
- *The Research Enquiry Service:* http://ec.europa.eu/research/enquiries
- *National Contact Points*
  http://ec.europa.eu/research/participants/portal/desktop/en/support/national_contact_points.html
- *FAQs (search for "H2020-MSCA-RISE")*
  http://ec.europa.eu/research/participants/portal/desktop/en/support/faq.html
- *How to register your organisation*

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https://ec.europa.eu/research/participants/portal/desktop/en/organisations/index.html

- *Net4Mobility:* http://www.net4mobility.eu/

Specialised and Technical Assistance

- *Submission Service Help Desk*: DIGIT-EFP7-SEP-SUPPORT@ec.europa.eu http://ec.europa.eu/research/participants/api/contact/index.html
- *Intellectual Property Right help desk:* https://www.iprhelpdesk.eu/

Other Useful Reference Documents

- *Horizon 2020 Work Programme 2016-2017: General Introduction*
  http://ec.europa.eu/research/participants/data/ref/h2020/wp/2016_2017/main/h2020-wp1617-intro_en.pdf
- *Horizon 2020 Work Programme: General Annexes*
  http://ec.europa.eu/research/participants/data/ref/h2020/other/wp/2016-2017/annexes/h2020-wp1617-annex-ga_en.pdf
- *Horizon 2020: Rules for Participation*
  http://ec.europa.eu/research/participants/data/ref/h2020/legal_basis/rules_participation/h2020-rules-participation_en.pdf
- *List of countries and applicable rules for funding*
  http://ec.europa.eu/research/participants/data/ref/h2020/other/wp/2016-2017/annexes/h2020-wp1617-annex-a-countries-rules_en.pdf
- *Horizon 2020: How to Complete Your Ethics Self-Assessment*
  http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/ethics/h2020_hi_ethics-self-assess_en.pdf
- *Horizon 2020: Guidelines on Data Management in Horizon 2020*
  http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-data-mgt_en.pdf
- *Guide on beneficiary registration, validation and financial viability check*
  http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/lev/h2020-guide-lev_en.pdf
- *European Charter and Code for Researchers*
  http://ec.europa.eu/euraxess/pdf/brochure_rights/am509774CEE_EN_E4.pdf
- *List of associated countries to Horizon 2020*
  http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/3cpart/h2020-hi-list-ac_en.pdf
- *Gender Equality in Horizon 2020*
  https://ec.europa.eu/programmes/horizon2020/en/h2020-section/promoting-gender-equality-research-and-innovation
- *Horizon 2020 Online Manual*
  http://ec.europa.eu/research/participants/docs/h2020-funding-guide/index_en.htm

Annex 2 – Evaluation Criteria and Procedures

1. General

The evaluation of proposals is carried out by the Research Executive Agency (REA) with the assistance of independent evaluators which are experts on the field/topic related to the proposal/s assigned to them.

REA staff ensures that the process is fair and in line with the principles contained in the European Commission's rules[13] and the relevant sections of the MSCA Work Programme.

Experts perform evaluations on a personal basis, not as representatives of their employer, their country or any other entity. They are required to be impartial and objective, and to behave throughout the evaluation process in a professional manner. They sign an "expert" contract, including a declaration of confidentiality and absence of conflict of interest, before beginning their evaluations. Confidentiality rules must be adhered to at all times before, during and after the evaluation.

In addition, an independent observer will be appointed by the REA to observe and report on the evaluation process. The observer gives independent advice to the REA on the conduct and fairness of the evaluation sessions, on the way in which the experts apply the evaluation criteria, and how the evaluation procedures could be improved. The observer does not express views on the proposals under examination or on the experts' opinions on the proposals.

Proposals are submitted in a single stage and evaluated in one step by the experts against all evaluation criteria.

Conflicts of interest: under the terms of the "expert" contract, all experts must declare beforehand any known conflicts of interest, and must immediately inform the responsible REA staff member should one become apparent during the course of the evaluation. The REA will take whatever action is necessary to remove any conflict of interest.

Confidentiality: the "expert" contract also requires experts to maintain strict confidentiality with respect to the whole evaluation process. They must follow any instruction given by the REA to ensure this. Under no circumstance may an expert attempt to contact an applicant on her/his own account, either during the evaluation or afterwards.

2. Before the evaluation

Once received in the Participant Portal's electronic submission system, proposals are registered and their status can be checked. Admissibility and eligibility criteria for each proposal are checked by REA staff before the evaluation begins[14]. Proposals which do not fulfil these criteria will not be included in the evaluation.

To be considered **admissible**, a proposal must be:

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[13] Horizon 2020 Guidelines for submission of proposals, and the related evaluation, selection and award procedures
http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/pse/h2020-guide-pse_en.pdf

[14] Refer to General Annex B to the Work Programme.

- submitted in the electronic submission system before the call deadline;
- readable, accessible and printable.

Incomplete proposals may be considered inadmissible. The proposal must therefore include the duly completed administrative forms in Part A and the proposal description in both documents comprising Part B (see below).

For this call a proposal will be considered **eligible** if it meets all of the following conditions:

- It complies with all eligibility conditions indicated in the Work Programme, including the **minimum number and types of legal entities** as mentioned in the MSCA Work Programme;
- The content of the proposal **relates to the funding scheme**, including any special conditions set out in the relevant parts of the MSCA Work Programme.

A maximum length of **30 pages is applicable to sections 1 - 3 of Part B** of the proposal. Applicants must keep these sections of the proposal within this limit. Experts will be instructed to disregard any excess pages.

3. Evaluation of Proposals

Proposals will be evaluated on the basis of the following **award criteria**.

RISE - Marie Skłodowska-Curie Research and Innovation Staff Exchange		
Excellence	**Impact**	**Quality and efficiency of the implementation**
Quality and credibility of the research/innovation project; level of novelty and appropriate consideration of inter/multidisciplinary, intersectoral and gender aspects	**Enhancing the potential and future career perspectives of the staff members**	**Coherence and effectiveness of the work plan,** including appropriateness of the allocation of tasks and resources
Quality and appropriateness of knowledge sharing among the participating organisations in light of the research and innovation objectives.	**Developing new and lasting research collaborations, achieving transfer of knowledge** between participating organisations and contribution to improving research and innovation potential at the European and global levels	**Appropriateness of the management structures and procedures**, including quality management and risk management
Quality of the proposed interaction between the participating organisations	Quality of the proposed measures to exploit and **disseminate** the project results	**Appropriateness of the institutional environment** (hosting arrangements, infrastructure)
	Quality of the proposed measures to **communicate** the project activities to different target audiences	**Competences, experience and complementarity** of the participating organisations **and their commitment to the project**
50%	30%	20%
Weighting		
1	2	3
Priority in case of *ex aequo*		

Each proposal will be assessed independently by at least three evaluators chosen by the REA from the pool of experts taking part in this evaluation. An evaluator will be designated as the proposal "rapporteur" and will assume additional responsibilities at the end of this phase and in the following phases of the evaluation session.

The proposal will be evaluated against the pre-determined award criteria, applying weighting factors and thresholds.

Evaluation scores will be awarded for each of the three criteria. All of the separate elements of each criterion will be considered by the experts in their assessment

Each criterion will be scored on a scale from 0 to 5 points. Decimal points may be given.

The scores indicate the following with respect to the criterion under examination:

0 -	**The proposal fails** *to address the criterion or cannot be assessed due to missing or incomplete information*
1 -	**Poor.** *The criterion is inadequately addressed, or there are serious inherent weaknesses.*
2 -	**Fair.** *Proposal broadly addresses the criterion but there are significant weaknesses.*
3 -	**Good.** *Proposal addresses the criterion well, but a number of shortcomings are present.*
4 -	**Very good.** *Proposal addresses the criterion very well, but a small number of shortcomings are present.*
5 -	**Excellent.** *Proposal successfully addresses all relevant aspects of the criterion. Any shortcomings are minor.*

An overall threshold of 70% will be applied to the total weighted score.

An example of the evaluation forms used by the experts will be made available on the Participant Portal.

Compliance with the **selection criteria[15]** will also be verified:

Operational capacity

The operational capacity of the proposed beneficiaries is assessed at the proposal stage and also verified during the grant preparation phase for successful proposals. Operational capacity determines whether an applicant has the **basic operational resources and capacity to implement the action** (e.g. number of R&I staff compared to secondments planned (sending and hosting), adequate premises to implement the tasks mentioned in the proposal and hosting the staff members

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[15] Refer to General Annex H to the Work Programme.

planned, etc.). This assessment is based on the information to be provided in the proposal section 5 (tables B4 and B5).

Should the experts evaluating the proposal reach a consensus that one or more applicants lack sufficient operational capacity to carry out the tasks assigned to them, the experts will continue to evaluate the proposal as if the applicant(s) in question were not included, i.e. disregarding their activities and their estimated budget.

At all stages of the evaluation or grant agreement preparation process the REA reserves the right to disregard the participation of a participating organisation lacking the appropriate operational capacity to implement the research and innovation activities declared in the proposal. In this case, the secondments involving this participating organisation will be disregarded and the total budget of the proposal reduced accordingly.

In case of doubts about the operational capacity of a participating organisation the REA also reserves the right to request additional information during the grant agreement preparation process.

If the operational capacity of a participating organisation is still in doubt, the REA reserves the right to follow up closely the implementation of the action by this participating organisation concerned and to request corrective measures to the participating organisation and/or the consortium, as required.

It is therefore essential to:

- Plan the research and innovation activities in the proposal in light of the real operational capacity of the organisations involved, both in terms of premises and number of staff. Example: an SME with 5-10 staff members could be very beneficial for the action and provide exceptional expertise but is unlikely to be able to implement more than a small number of person-months. Therefore an adequate number of secondments from/to this SME shall be planned without artificially boosting the planning.

- Provide in the part B (including table B4) any relevant information which will allow the evaluators and the REA to assess the operational capacity of an organisation. **The absence of such information may be considered by the REA as a sufficient element to disregard the participation of the beneficiary/partner organisation concerned based on insufficient operational capacity.**

Financial capacity

Beneficiaries will be subject to a financial viability check according to the rules established in Article 15 of the *Rules of Participation*[16] and the *Guide on beneficiary registration, validation and financial viability check*[17].

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[16] http://ec.europa.eu/research/participants/data/ref/h2020/legal_basis/rules_participation/h2020-rules-participation_en.pdf
[17] http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/lev/h2020-guide-lev_en.pdf

Annex 3 – Instructions for Completing "Part A" of the Proposal

Proposals for this call must be submitted electronically, using the Electronic Submission Services of the European Commission accessible from the call page on the Participant Portal.

In Part A the applicants will be asked for administrative details and information on the secondments that will be used in the evaluation and further processing of the proposal. Part A constitutes an integral part of the proposal. Details of the work the applicants intend to carry out will be described in Part B (see Annex 5 of this guide).

The Electronic Submission Service provides guidance on how to complete the Part A, which includes the following sections:

- Section 1: General information about the proposal (including the abstract)
- Section 2: Data on participating organisations
- Section 3: Budget and List of secondments (request for funding in terms of person-months)
- Section 4: Ethics table
- Section 5: Call specific questions

1. The Concept of Panels

All eligible proposals will be evaluated and ranked under one of the eight major areas of research (**scientific panels**): Chemistry (CHE); Economic Sciences (ECO), Information Science and Engineering (ENG); Environment and Geosciences (ENV); Life Sciences (LIF); Mathematics (MAT), Physics (PHY) and Social Sciences and Humanities (SOC).

There is no predefined budget allocation among the panels: The call budget will be distributed in proportion to the number of eligible proposals received in each panel.

In the electronic submission system (SEP) the applicants should choose the scientific area and descriptors (keywords). The number of descriptors will range from three (3) to five (5) as explained below. Applicants must:

1. Select the area of research (e.g.: CHE) in which the proposal best fits, in section 1 of the proposal submission forms. This should be considered as the core discipline of the proposal.
2. Within the most relevant sub-area of research (e.g.: C1-Synthetic Chemistry and Materials), select the first descriptor that best characterises the subject of the proposal (e.g. Colloid Chemistry).
3. The second descriptor that best characterises the subject of the proposal must be selected within the area of research (e.g.: CHE) that has been selected in step 2.
4. Third descriptor: it is mandatory to select at least one (1) additional descriptor which can be chosen from any of the eight (8) areas of research.
5. If needed you may add further two (2) additional descriptors chosen freely.

The descriptors should be selected in order of importance, the first being the most important.

Annex 3

To help applicants select the most relevant area for your proposal, a document providing a breakdown of each scientific area into a number of descriptors can be found in Annex 6 of this guide.

> **Applicants should carefully choose the panel and descriptors since this will guide the REA in the selection of experts for proposal evaluation.**

2. Additional information on A3 Form – Budget and List of secondments

For each participating organisation (beneficiaries and partners), the Coordinator is requested to complete the table of secondments by indicating the outgoing secondments planned by each participating organisation, noting the period, duration and the destination.

Secondments which are not eligible for funding should not be mentioned, **except those secondments to MS/AC from organisations located in TC not listed in the Annex A to the Work Programme**. This will allow an assessment of these TC organisations' contribution to the implementation of the RISE action (see section 3.3 of this guide).

The information requested must be encoded in the *Table §A.1* (List of secondments). Only the secondments listed in Table §A.1 will be considered during the evaluation. Any additional secondments listed in part B of the proposal will be disregarded.

Once the secondments plan of all participating organisations is encoded, a summary table indicating the number of secondments allocated to each participating organisation, the global number of secondments and the total budget requested for the action (*Table §A.2*) will be shown. It should be reminded that the budget in part A corresponds to the **budget requested for EU funding** by the applicants.

Annex 3

Table §A.3.1 List of secondments
(Greyed cells are automatically filled in by the Electronic Submission Service of the Commission)

Staff member ID	Staff member profile	Organisation short name	TC or MS/AC	Country	Academic (Y/N)	Seconded to (Organisation short name)	TC or MS/AC	Seconded To (Country)	Academic (Y/N)	Work package	Starting month	Duration in months
1	ER											
2	ESR											
3	TECH											
1	ER											
4	ESR											
5	MNG											
6	ER											
7	ER											
8	ADM											
9	TECH											

Possible staff member profiles (see Definitions)**:**
ER = Experienced researcher
ESR = Early stage researcher
MNG = Managerial staff
TECH= Technical staff
ADM = Administrative staff

The same staff member is identified by the *same staff member ID,* an integer number[1]

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[1] The same staff member ID cannot be associated to different profiles, such as ER1 and ESR1

Annex 3

Table §A.3.2 Summary of secondments per participating organisation (Beneficiaries + Partner Organisations)
(Greyed cells are automatically filled in by the Electronic Submission Service of the Commission)

Participant number	Organisation short name	Country	Academic (Y/N)	Number of secondments	Person-months	Estimated budget support (whole duration of the project)				Requested EU contribution [EUR]
						Researcher costs [EUR]	Research, training and networking costs [EUR]	Management and indirect costs [EUR]	Total [EUR]	
1										
2										
3										
...										
Total										

Table §A.3.3 Summary of secondments per Beneficiary
(Greyed cells are automatically filled in by the Electronic Submission Service of the Commission)

Beneficiary number	Organisation short name	Country	Academic (Y/N)	Number of secondments	Person-months	Estimated budget support (whole duration of the project)				Requested EU contribution [EUR]
						Researcher costs [EUR]	Research, training and networking costs [EUR]	Management and indirect costs [EUR]	Total [EUR]	
1										
2										
3										
...										
Total										

Annex 4 – Instructions for Drafting "Part B" of the Proposal

1. General information

Part B of the proposal contains the details of the proposed RISE R&I action along with the practical arrangements planned to implement them. They will be used by the independent experts to undertake their assessment. We would therefore advise applicants to address each of the award criteria as outlined in the following sections, using both descriptive text and the tables provided. Please note that the explanatory notes below serve to <u>explain the award criteria without being exhaustive</u>. To draft a proposal, applicants should also consult the current version of the MSCA Work Programme.

Applicants <u>must</u> structure their proposal according to the headings indicated in the Part B proposal template.

Please note that this call will be a single-stage proposal submission and evaluation procedure. **An RTF (rich text format) version** of the submission template can be downloaded from the Electronic Submission Service. Applicants <u>must</u> ensure that their proposals conform to this layout and to the instructions given in this Guide for Applicants.

NB: For the 2017 call, applicants must submit Part B of their proposal as <u>two separate documents</u>:

***Document B1*:** must comprise the Start Page, Table of Content and then Part B sections 1-3. **The <u>maximum total length</u> for this document is 32 pages**. The **Start Page** must consist of **1 whole page**. The **Table of Content** must consist of **1 whole page**. Of the **maximum 30 pages applied to sections 1, 2 and 3**, applicants are free to decide on the allocation of pages between the sections. However, the overall page limit will be strictly applied and applicants must keep the proposal within the limits. **Experts will be strictly instructed to disregard any excess pages above the 32 page limit**.

***Document B2*:** must consist of Part B sections 4-7. No overall page limit will be applied to this document, but applicants should respect the instructions given per section (e.g. in section 5, a maximum of one page per beneficiary and half a page per partner organisation).

Note that applicants will not be able to submit their proposals in the submission system unless both documents B1 and B2 are provided.

The **minimum font size** allowed for the main text is **11** points. The page size is A4, and all **margins** (top, bottom, left, right) should be at least **15 mm** (not including any footers or headers). Ensure that the font chosen is clearly readable (e.g. Arial or Times New Roman). As an indication, such a layout should lead to a maximum of between 5,000 and 6,000 possible characters per page (including spaces).

For the tables, the font size chosen must be clearly legible by the expert evaluators. The <u>minimum</u> font size is therefore 9 points. <u>All footnotes will count towards the page limit</u>.

Literature references should be listed in the dedicated section 4.

Part B of the proposal carries as a header to each page the proposal acronym and the scheme. All pages should also be numbered in a single series on the footer of the page to prevent errors during handling. It is recommended to use the numbering format "Part B - Page X of Y".

For both documents comprising Part B of the proposal, applicants must use exclusively PDF ("Portable Document Format", compatible with Adobe version 3 or higher, with embedded fonts). Other file formats will not be accepted by the Electronic Submission Services of the Commission.

2. Letters of commitment

Each partner organisation established in a Third Country must include in the proposal **an up-to-date letter of commitment, signed by its legal representative,** to demonstrate their real and active participation in the proposed partnership. These letters must be included in Section 7 of the part B, which does not count towards the page limit. There is no official template for the letters of commitment but it **must** include:

1. an explicit reference to the proposal (call and acronym)
2. a commitment to implement the secondments planned in the proposal

The experts will be instructed to disregard the contribution of any partner organisations for which no such evidence of commitment is submitted.

There will be no possibility to submit the missing letter of commitment at a later stage. **Therefore it is essential for the applicants to collect these letters of commitment in due time and well before the call deadline.**

If the proposal is retained for funding after the evaluation, the budget linked to the secondments of the TC organisation(s) lacking the letter of commitment will be rejected and the total budget of the proposal will be reduced accordingly.

3. Gender issues[19]

The MSCA pay particular attention to gender equality. In line with the European Charter and Code for Researcher (see Other Useful Reference Documents[20]), all Marie Skłodowska-Curie proposals are encouraged to take appropriate measures to facilitate mobility and counteract gender-related barriers to it. Equal opportunities are to be ensured, both at the level of **supported seconded staff** and that of **decision-making/supervision**.

In research activities where human beings are involved as subjects or end-users, gender differences may exist. In these cases the gender dimension in the research content has to be addressed as an integral part of the proposal to ensure the highest level of scientific quality.

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[19] See European Commission (2014), *Gender Equality in Horizon 2020*. Available online at: http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/gender/h2020-hi-guide-gender_en.pdf
[20] Commission Recommendation on the European Charter for Researchers and on a Code of Conduct for the Recruitment of Researchers, C(2005) 576 of 11 March 2005. Available online at: http://register.consilium.europa.eu/doc/srv?l=EN&f=ST%207321%202005%20INIT

4. Scientific Misconduct and Research Integrity

Please note that **issues of scientific misconduct and research integrity are taken seriously**. In line with the Horizon 2020 Rules for Participation, appropriate action will be taken against any applicants found to have misrepresented, fabricated or plagiarised any part of their proposal. Coordinators will also be required to make a "declaration on honour" in Part A of the proposal.

It is also expected that procedures for promoting research integrity and managing scientific misconduct will be addressed in the proposal. For example, applicants are encouraged to describe clear procedures for dealing with cases of misconduct (e.g. data fabrication, falsification, plagiarism, misuse of funds, double-funding, etc.) should they arise during action implementation.

Principles of research integrity – as set out, for instance, in the European Code of Conduct for Research Integrity – will apply throughout all MSCA[21].

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[21] http://ec.europa.eu/msca

Annex 5 – Part B Template

START PAGE

Marie Skłodowska-Curie Actions

Research and Innovation Staff Exchange (RISE)
Call: H2020-MSCA-RISE-2017

PART B

"PROPOSAL ACRONYM"

Table of Contents

In drafting PART B of the proposal, applicants <u>must follow</u> the structure outlined below.

DOCUMENT 1 *(MAX 32 PAGES)*

    START PAGE (*MAX 1 page*)

    TABLE of CONTENT (*MAX 1 page*)

START PAGE COUNT (MAX 30 PAGES SECTIONS 1-3)

1.   **EXCELLENCE (*starting page 3*)**

2.   **IMPACT**

3.   **QUALITY AND EFFICIENCY OF THE IMPLEMENTATION**

STOP PAGE COUNT (MAX 30 PAGES SECTIONS 1-3)

DOCUMENT 2 *(NO OVERALL PAGE LIMIT APPLIED)*

4.   **REFERENCES**

5.   **CAPACITIES OF THE PARTICIPATING ORGANISATIONS**

6.   **ETHICS ASPECTS**

7.   **LETTERS OF COMMITMENT OF PARTNER ORGANISATIONS**

    END PAGE (*1 page*)

Please note that:

- Applicants must ensure that document 1 does not exceed the total page limit of maximum <u>32 pages</u> (1 start page + 1 table of content page + 30 pages for sections 1-3).

- *No reference to the outcome of previous evaluations of this or any similar proposal should be included in the text. The expert evaluators will be strictly instructed to disregard any such references*

1. Excellence

Please note that the principles of the European Charter for Researchers and Code of Conduct for the Recruitment of Researchers promoting open recruitment and attractive working conditions are recommended to be endorsed and applied by all the funded participating organisations in the MSCA.

In all cases, the beneficiaries must take all specific steps and measures to implement the principles set out in the European Charter for Researchers[22] and the Code of Conduct for their Recruitment[23].

1.1 Quality and credibility of the research/innovation action; level of novelty and appropriate consideration of inter/multidisciplinary, intersectoral and gender aspects

Please develop your proposal according to the following lines:

- *Specific objectives and the relevance of the research and innovation action to the scope of the call and in relation to the "state of art".*
- *Methodological approach highlighting the types of research and innovation activities proposed and their originality.*
- *Inter/multidisciplinary types of knowledge involved, if applicable.*
- *Gender aspects (in the research content, at the level of secondments and that of decision-making within the action).*

Table B1: Work Package (WP) List[24]

Work Package No	Work Package Title	Activity Type (e.g. Research, Training, Management, Communication, Dissemination...)	Number of person-months involved	Start Month	End month

1.2 Quality and appropriateness of knowledge sharing among the participating organisations in light of the research and innovation objectives

Please develop your proposal according to the following line:

- *Approach and methodology used for knowledge sharing (secondments, workshops/trainings/conferences, etc.).*

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[22] Available at http://ec.europa.eu/euraxess/index.cfm/rights/europeanCharter
[23] Available at http://ec.europa.eu/euraxess/index.cfm/rights/codeOfConduct
[24] A work package is defined as a major subdivision of the proposed project

1.3 Quality of the proposed interaction between the participating organisations

Please develop your proposal according to the following lines:

- *Contribution of each participating organisation in the activities planned, including the participating organisations' interactions in terms of content and expertise provided to reach the action's objectives.*
- *Justification of the main networking activities.*

2. Impact

2.1 Enhancing the potential and future career perspectives of the staff members

Please develop your proposal according to the following line:

- *The action contribution to realising the potential of individuals and to providing new skills and career perspectives.*

2.2 Developing new and lasting research collaborations, achieving transfer of knowledge between participating organisations and contribution to improving research and innovation potential at the European and global levels

Please develop your proposal according to the following lines:

- *Development of new and lasting research collaborations resulting from the intersectoral and/or international secondments and the networking activities implemented.*
- *Self-sustainability of the partnership after the end of the action.*
- *Contribution of the action to the improvement of the research and innovation potential within Europe and/or worldwide.*

2.3 Quality of the proposed measures to exploit and disseminate the action results

Please develop your proposal according to the following lines:

- *Dissemination strategy about the results - targeted at peers (scientific or the action's own community, industry and other commercial actors, professional organisations, policymakers) and to the wider research and innovation community - to achieve the potential impact of the action.*
- *When results are available, to enable use and uptake of results.*
- *Expected impact of the proposed measures.*
- *Intellectual property rights aspects (if applicable) and exploitation of results.*

2.4 Quality of the proposed measures to communicate the action activities to different target audiences

Please develop your proposal according to the following lines:

- *Communication strategy about the action and results, outreach plan and the activities envisaged to engage the public.*
- *Targeted at multiple audiences, beyond the action's own community (including the media and the public).*
- *From the beginning of the action, to inform and reach out to society, show the benefits of research.*
- *Expected impact of the proposed measures.*

The following sections of the European Charter for Researchers refer specifically to outreach and dissemination:

Communication

Researchers should ensure that their research activities activities – both the action and, when available, its results – are made known to society at large in such a way that they can be understood by non-specialists, thereby improving the public's understanding of science. Direct engagement with the public will help researchers to better understand public interest in priorities for science and technology and also the public's concerns.

Dissemination and exploitation

All researchers should ensure, in compliance with their contractual arrangements, that the results of their research are disseminated and exploited, e.g. communicated, transferred into other research settings or, if appropriate, commercialised. Senior researchers, in particular, are expected to take a lead in ensuring that research is fruitful and that results are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises.

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3. Quality and efficiency of the implementation

3.1 Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks and resources

Please develop your proposal according to the following lines:

- *Consistency and adequacy of the work plan* and the activities proposed to reach the action objectives.
- *Credibility and feasibility of the action* through the activities proposed.

Table B2: Work Package Description

Work Package Number					Start Month – End Month		
Work Package Title	(e.g. Research, Training, transfer of knowledge Management, Communication, Dissemination, etc.)						
Lead Beneficiary[25]							
Participating organisation Short Name							
Person-months per Participating organisation:							
Objectives							
Description of Work and Role of Specific Beneficiaries / Partner Organisations (possibly broken down into tasks), indicating lead beneficiary and role of other							

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[25] **A "lead beneficiary" must be a beneficiary (= organisation established in a MS/AC)** and cannot be a partner organisation

participating organisations as well the number of secondments allocated for each task. The table below can be used.

Task name	Researcher quality (ER/ESR/MNG/ADM/TECH)	Participating organisation short Name	Person-months allocated	Starting month

Description of Deliverables
(brief description and month of delivery)

The participating organisation short name and person-months allocated to each participating organisation should be coherent with the tables in Part A of the proposal.

Table B3.a: Deliverables List

A **deliverable** is a distinct output of the action, meaningful in terms of the action's overall objectives and constituted by a report, a document, a technical diagram, a software, training, conference, etc. The number of deliverables in a given Work Package must be reasonable and commensurate with the Work Package content and the associated secondments. It should be kept in mind that the secondments encoded in part A are already key deliverables in all RISE actions but they do not need to be encoded in this deliverables list.

The additional deliverables below should be divided into scientific deliverables and management, training exploitation, dissemination and communication deliverables.

Scientific deliverables have technical/scientific content specific to the action. Avoid duplication of reports and keep in mind that the grant agreement will impose yearly reporting on the consortium. Note that during implementation, the submission of these deliverables to the REA will be a contractual obligation. Applicants should not include progress reports and periodic reports in the management deliverables. The necessary reports will be added during the grant preparation phase.

Scientific Deliverables						
Deliverable Number[26]	Deliverable Title	WP No.	Lead Beneficiary Short Name[27]	Type [28]	Dissemination Level[29]	Due Date[30]
Management, Training, and Dissemination Deliverables						
Deliverable Number	Deliverable Title	WP No.	Lead Beneficiary Short Name[31]	Type	Dissemination Level	Due Date

Table B3.b: Milestones List

Milestones are control points in the action that help to chart progress. Milestones may correspond to the completion of a key achievement, allowing the next phase of the work to begin. They may also be needed at intermediary points so that, if problems have arisen, corrective measures can be taken. A milestone may be a critical decision point in the action where, for example, the consortium must decide which of several technologies to adopt for further development. In principle milestones should not be repetitions of deliverables already defined in table B3.a.

Number	Title	Related Work Package(s)	Lead Beneficiary[32]	Due Date	Means of Verification[33]

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[26] Deliverable numbers in order of delivery dates. Please use the numbering convention <WP number>.<number of deliverable within that WP>. For example, deliverable 4.2 would be the second deliverable from Work Package 4.

[27] A "lead beneficiary" must be a beneficiary (= organisation established in a MS/AC) and cannot be a partner organisation

[28] Please indicate the nature of the deliverable using one of the following codes:
R = Document, report (excluding periodic and final reports); **ADM** = Administrative (ethics/legal/administrative related outputs); **PDE** = dissemination and/or exploitation of project results (website completion, patents filing, conference, etc.); **OTHER** = Other including coordination

[29] Please indicate the dissemination level using one of the following codes:
PU = Public: fully open, e.g. web; **CO = Confidential:** restricted to consortium, other designated entities (as appropriate) and Commission services;
CI = Classified: classified information as intended in Commission Decision 2001/844/EC.

[30] Measured in months from the project start date (month 1).

[31] **A "lead beneficiary" must be a beneficiary (= organisation established in a MS/AC)** and cannot be a partner organisation

[32] **A "lead beneficiary" must be a beneficiary (= organisation established in a MS/AC)** and cannot be a partner organisation

[33] Show how the consortium will confirm that the milestone has been attained. Refer to indicators if appropriate. For example: a laboratory prototype completed and running; software released and validated by a user group; field survey complete and data quality validated.

3.2 Appropriateness of the management structures and procedures, including quality management and risk management

Please develop your proposal according to the following lines:

- *Action organisation and management structure, including the financial management strategy, as well as the progress monitoring mechanisms put in place.*
- *Risks that might endanger reaching the action's objectives and the contingency plans to be put in place should risk occur.*

Table B3.c: Risk List

Risk No	Description of Risk	WP Number	Proposed mitigation measures
R1	e.g. delay in planned secondments	WP1	

3.3 Appropriateness of the institutional environment (hosting arrangements, infrastructure)

Please develop your proposal according to the following lines:

- *Availability of the expertise and human resources, to carry out the proposed research action.*
- *Description of the necessary infrastructures and any major items of technical equipment (if required) relevant to the proposed action.*

3.4 Competences, experience and complementarity of the participating organisations and their commitment to the action

Please develop your proposal according to the following lines:

Adequacy of the partnership to carry out the action explaining how participating organisations' synergies and complementarities will be exploited.

NB: The individual members of the consortium are described in Section 5. There is no need to repeat that information in this section.

STOP PAGE COUNT – MAX 30 PAGES

4. References

4. References

5. Participating organisations

Note that:
- *Any inter-relationship between different participating institutions or individuals (e.g. shared premises or facilities, joint ownership, financial interest, overlapping staff or directors, family-ties, etc.) must be declared and justified in this part of the proposal;*
- *The information (including table B4) must be based on <u>current data</u>, not projections;*
- *The data provided relating to the capacity of the participating institutions will be subject to verification during the grant preparation phase;*
- *The absence of sufficient information in this section may be considered by the REA as the ground to disregard the participation of an organisation based on insufficient operational capacity.*

Table B4: Data for <u>non-academic</u> beneficiaries

Name	Location of research premises (city/country)	Type of R&I activities	No. of full - time employees involved in the project	No. of employees in R&I	Web site	Annual turnover (approx. in Euro)

All organisations (whether beneficiaries or partner organisations) must complete the appropriate table below. Complete one table of maximum <u>one page per beneficiary</u> and <u>half a page per partner organisation</u>. The experts will be instructed to disregard content above this limit (Min font size: 9).

Table B5: Organisations (beneficiaries and partners) data

Beneficiary (Organisations in EU MS/AC) Legal Name	
General Description	
Role and Profile of key people	Include names, qualifications of the person(s) supervising the action.
Key Research Facilities, Infrastructure and Equipment	Demonstrate that the team has sufficient resources to offer a suitable environment to seconded staff and to significantly contribute to the research/innovation activities proposed.
Independent research premises?	Please explain the status of the beneficiary's research facilities – i.e. are they owned by the beneficiary or rented by it? Are its research premises wholly independent from other beneficiaries and/or partner organisations in the consortium?
Previous Involvement in Research and innovation actions	Describe relevant research/ innovation actions in which the organisation took part
Current involvement in Research and Innovation	Describe relevant research/ innovation actions in which the organisation is currently participating

actions	
Publications and/or research/innovation products	Max 5

Partner Organisations in TC Legal Name	
General Description	
Role and Profile of key people	As above
Key Research Facilities, Infrastructure and Equipment	As above
Do you have independent research premises?	As above
Previous Involvement in Research and innovation actions	As above
Current involvement in Research and Innovation actions	As above
Relevant publications and/or research/innovation products	Max 3

6.   Ethics Issues

All research activities in Horizon 2020 should respect fundamental ethics principles, including those reflected in the Charter of Fundamental Rights of the European Union[34]. These principles include the need to ensure the freedom of research and the need to protect the physical and moral integrity of individuals and the welfare of animals.

Research ethics is of crucial importance for all scientific domains. Informed consent and confidentiality are as important for a sociological study as they are for clinical research.

All proposals considered for funding will be submitted to an Ethics Review. The Ethics Review is the core of the H2020 Ethics Appraisal scheme, which concerns all proposals and actions, and also includes the Ethics Checks and Ethics Audit that can be initiated during the action implementation.

When preparing a proposal, **it is required to conduct an Ethics Self-assessment** starting with the completion of an Ethics Issues Table (Part A). In this context, please be aware that it is the applicants' responsibility to identify any potential ethics issues, to handle the ethics aspects of their proposal, and to detail how they plan to address them. **Please refer to the Ethics Self-Assessment Guidelines under Horizon 2020**[35].

If you have entered any ethics issues in the ethics issues table in Part A of the proposal, you must submit an ethics self-assessment in Part B section 6.

Your self-assessment must:

1) Describe how the proposal meets the national legal and ethics requirements of the country or countries where the tasks raising ethics issues are to be carried out.

Should your proposal be selected for funding, you will be required to provide the following documents, if they are already in your possession:

- The ethics committee opinion required under national law;
- The document that is mandatory under national law notifying activities raising ethics issues or authorising such activities.

If these documents are not in English, you must also submit an English summary of them (containing, if available, the conclusions of the committee or authority concerned).

If these documents are specifically requested for the action, they must include an explicit reference to the action title and each beneficiary concerned must confirm that the respective document(s) covers the tasks described for the action.

2) Explain in detail how you intend to address the issues mentioned in the ethics issues table (Part A), in particular as regards:

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[34] Charter of Fundamental Rights of the European Union, 2000/C 364/01. See also http://www.europarl.europa.eu/charter/default_en.htm
[35] http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/ethics/h2020_hi_ethics-self-assess_en.pdf

- Research **objectives** (e.g. study of vulnerable populations, dual use, etc.);
- Research **methodology** (e.g. protection of <u>any</u> personal data collected, consent procedures, involvement of children, clinical trials, etc.);
- The potential **impact** of the research (e.g. dual use issues, environmental damage, stigmatisation of particular social groups, political or financial retaliation, benefit-sharing, malevolent use, etc.).

Make sure to follow the guidance provided in the <u>ethics self-assessment guidelines</u> when addressing the different issues of your proposal and keep in mind that all proposals selected for funding will undergo an ethics evaluation that will check this section in detail.

7. Letters of Commitment of Third Country partner organisations

Please use this section to insert scanned copies of signed letters of commitment from TC partner organisations (see Annex 4, point 2 of this Guide). The letter of commitment must explicitly refer to the proposal (call and acronym) as well as an engagement to implement the secondments planned in the proposal.

ENDPAGE

MARIE SKŁODOWSKA-CURIE ACTIONS

Research and Innovation Staff Exchange (RISE)
Call: H2020-MSCA-RISE-2017

PART B

"PROPOSAL ACRONYM"

Annex 6 – List of Descriptors

Chemistry (CHE)	Area of research

C1 - Synthetic Chemistry and Materials   **Sub-Area of research**

         Descriptors

       Biomaterials, Biomaterials synthesis
Chemistry of condensed matter
Colloid chemistry
Combinatorial chemistry
Coordination chemistry
Corrosion
Intelligent materials, self-assembled materials
Ionic liquids
Macromolecular chemistry
Materials for sensors
Molecular chemistry
Nanochemistry
Nano-materials (production and properties)
New materials: oxides, alloys, composite, organic-inorganic hybrid, nanoparticles
Porous materials
Solid state materials
Structural properties of materials
Supramolecular chemistry
Surface modification
Thin films

C2 - Physical and Analytical Chemical Sciences   **Sub-Area of research**

         Descriptors

       Analytical chemistry
Chemical instrumentation
Chemical reactions: mechanisms, dynamics, kinetics and catalytic reactions
Electrochemistry, electro dialysis, microfluidics, sensors
Method development in chemistry
Molecular architecture and structure
Photochemistry
Physical chemistry
Physical chemistry of biological systems
Radiation and nuclear chemistry
Spectroscopic and spectrometric techniques
Surface chemistry
Theoretical and computational chemistry

C3 - Organic/environmental/food chemistry   **Sub-Area of research**

         Descriptors

       Biogeochemistry, biogeochemical cycles, environmental chemistry
Environment chemistry
Food chemistry
Forensic chemistry

Heterocyclic chemistry
Medicinal chemistry
Organic chemistry
Peptide chemistry
Polymer chemistry
Translational chemistry

Economic Sciences (ECO)	**Area of research**

E1 - Economics, finance and management   **Sub-Area of research**

Descriptors

Banking & Finance
Behavioural economics
Cluster development
Competitiveness, innovation, research and development
Econometrics, statistical methods
Economic geography
Economic history, development
Entrepreneurship
Financial markets, asset prices, international finance
Human resource management
Industrial economics
Innovation Management
International trade
Labour economics, income distribution and poverty
Macroeconomics
Microeconomics
Natural resources and environmental economics
Organization studies: theory & strategy, industrial organization
Public administration
Public economics
Research management
Social economics
Urban and regional economics

Information Science and Engineering (ENG)	**Area of research**

G1 - Computer science and informatics   **Sub-Area of research**

Descriptors

Algorithms, distributed, parallel and network algorithms, algorithmic game theory
Artificial intelligence, intelligent systems, multi agent systems
Bioinformatics, e-Health, medical informatics
Cognitive science, human computer interaction, natural language processing
Complexity and cryptography, electronic security, privacy, biometrics
Computational geometry, theorem proving, symbolic, algebraic computations
Computer architecture, pervasive computing, ubiquitous computing
Computer games, multi-media, augmented and virtual reality

Computer graphics, computer vision, multi media, computer games

Computer systems, parallel/distributed systems, grid, cloud processing systems

e-commerce, e-business, computational finance

e-learning, user modelling, collaborative systems

Informatics and information systems

Intelligent robotics, cybernetics

Internet and semantic web, database systems and libraries

Machine learning, statistical data processing and applications using signal processing (e.g. speech, image, video)

Numerical analysis, simulation, optimisation, modelling tools, data mining

Ontologies, neural networks, genetic programming, fuzzy logic

Scientific computing and data processing

Sensor networks, embedded systems, hardware platforms

Software engineering, operating systems, computer languages

Theoretical computer science, formal methods, quantum computing

Sub-Area of research

G2 - Systems and Communication Engineering: Electrical, electronic, communication, optical and systems engineering

Control Engineering **Descriptors**

Diagnostic and implantable devices, environmental monitoring

Electrical and electronic engineering: semiconductors, components, systems

Electronics, photonics

Man-machine-interfaces

Nano engineering

Networks (communication networks, sensor networks, networks of robots, etc.)

Optical engineering, photonics, lasers

Signal processing

Simulation engineering and modelling

Systems engineering, sensorics, actorics, automation

Wireless communications, communication, high frequency, mobile technology

Sub-Area of research

G3 - Products and Processes Engineering: Product design, process design and control, construction methods, civil engineering, energy processes, material engineering

Aerospace engineering **Descriptors**

Architecture, smart buildings, smart cities, urban engineering

Chemical engineering, technical chemistry

Civil engineering, maritime/hydraulic engineering, geotechnics, waste treatment

Computational engineering and computer aided design

Energy collection, conversion and storage, renewable energy
Energy systems, smart energy, smart grids, wireless energy transfer
Environmental engineering and geotechnics
Fluid mechanics, hydraulic-, turbo-, and piston engines
Industrial bioengineering
Industrial design (product design, ergonomics, man-machine
    interfaces, etc.)
Lightweight construction, textile technology
Materials engineering
Mechanical and manufacturing engineering (shaping, mounting,
    joining, separation)
Production technology, process engineering
Sustainable design (for recycling, for environment, eco-design)
Transport engineering, intelligent transport systems

Environmental and Geosciences (ENV)	Area of research

V1 - Environment and society   **Sub-Area of research**

    Environmental regulations and climate negotiations   **Descriptors**
Geographical information systems, cartography
Mobility and transportation
Population dynamics
Social and industrial ecology
Spatial and regional planning
Sustainability sciences, environment and resources
Urbanization and urban planning, cities

V2 - Earth system science   **Sub-Area of research**
        Descriptors
Atmospheric chemistry, atmospheric composition, air pollution
Climatology and climate change
Earth observations from space/remote sensing
Geochemistry, crystal chemistry, isotope geochemistry,
    thermodynamics
Geology, tectonics, volcanology
Geomagnetism, paleomagnetism
Hydrology, water and soil pollution
Meteorology, Atmospheric physics and dynamics
Mineralogy, petrology, igneous petrology, metamorphic petrology
Natural Hazards
Natural Resources Exploration and Exploitation
Oceanography
Ozone, upper atmosphere, ionosphere
Paleoclimatology, paleoecology
Physical geography
Physics of earth's interior, seismology, volcanology
Pollution (water, soil), waste disposal and treatment
Sedimentology, soil science, palaeontology, earth evolution
Terrestrial ecology, land cover change
Water management

V3 - Evolutionary, population and environmental biology **Sub-Area of research**

Animal behaviour **Descriptors**
Biodiversity, comparative biology
Biogeography, macro-ecology
Conservation biology, ecology, genetics
Environmental and marine biology
Environmental toxicology at the population and ecosystems level
Systems evolution, biological adaptation, phylogenetics, systematics, comparative biology
Population biology, population dynamics, population genetics
Species interactions (e.g. food-webs, symbiosis, parasitism, mutualism)

V4 - Applied Life Sciences and Non-Medical Biotechnology **Sub-Area of research**

Descriptors
Agriculture related to animal husbandry, dairying, livestock raising
Agriculture related to crop production, soil biology and cultivation, applied plant biology
Agroindustry
Applied biotechnology (non-medical), bioreactors, applied microbiology
Aquaculture, fisheries
Biohazards, biological containment, biosafety, biosecurity
Biomimetics
Crop protection and production
Environmental biotechnology, bioremediation, biodegradation
Food sciences
Forestry, biomass production (e.g. for biofuels)
Pest control
Synthetic biology, chemical biology and new bio-engineering Concepts

Life Sciences (LIF)	**Area of research**

L1 - Molecular and Structural Biology **Sub-Area of research**

Biophysics **Descriptors**
DNA synthesis, modification, repair, recombination and degradation
Metabolism
Molecular biology and interactions
Protein synthesis, modification and turnover
RNA synthesis, processing, modification and degradation
Structural biology

Sub-Area of research
L2 - Genetics, Genomics, Bioinformatics and Systems Biology

Descriptors
Applied genetic engineering, transgenic organisms, recombinant proteins, biosensors
Bioinformatics
Biological systems analysis, modelling and simulation

Biostatistics
Computational biology
Epigenetics and gene regulation
Genetic epidemiology
Genomics, comparative genomics, functional genomics
Glycomics
Metabolomics
Molecular genetics, reverse genetics and RNAi
Proteomics
Quantitative genetics
Systems biology
Transcriptomics

L3 - Cellular and Developmental Biology   **Sub-Area of research**

Descriptors

Animal-related development, development genetics, pattern
        formation and embryology
Apoptosis
Cell biology and molecular transport mechanisms
Cell cycle and division
Cell differentiation, physiology and dynamics
Cell genetics
Cell signalling and cellular interactions
Morphology and functional imaging of cells
Organelle biology
Development, developmental genetics, pattern formation and
        embryology in plants
Signal transduction
Stem cell biology

L4 - Physiology, Pathophysiology and Endocrinology   **Sub-Area of research**

Ageing   **Descriptors**
Cancer and its biological basis
Cardiovascular diseases
Comparative physiology and pathophysiology
Endocrinology
Metabolism, biological basis of metabolism related disorders
Non-communicable diseases (except for neural/psychiatric,
        immunity-related, metabolism-related disorders, cancer and
        cardiovascular diseases)
Organ physiology and pathophysiology

L5 - Neurosciences and neural disorders   **Sub-Area of research**

Descriptors

Behavioural neuroscience (e.g. sleep, consciousness, handedness)
Cognition (e.g. learning, memory, emotions, speech)
Developmental neurobiology
Mechanisms of pain
Molecular and cellular neuroscience
Neuroanatomy and neurophysiology
Neurochemistry and neuropharmacology

Neuroimaging and computational neuroscience
Neurological disorders (e.g. Alzheimer's disease, Huntington's
disease, Parkinson's disease)
Psychiatric disorders (e.g. schizophrenia, autism, Tourette's
syndrome, obsessive compulsive disorder, depression, bipolar
disorder, attention deficit hyperactivity disorder)
Sensory systems (e.g. visual system, auditory system)
Systems neuroscience

L6 - Immunity and infection   **Sub-Area of research**

Adaptive immunity   **Descriptors**
Bacteriology
Biological basis of immunity related disorders
Immunogenetics
Immunological memory and tolerance
Immunosignalling
Innate immunity and inflammation
Microbiology
Parasitology
Phagocytosis and cellular immunity
Prevention and treatment of infection by pathogens (e.g.
vaccination, antibiotics, fungicide)
Veterinary medicine and infectious diseases in animals
Virology

L7 - Diagnostic tools, therapies and public health   **Sub-Area of research**

Diagnostic tools (e.g. genetic, imaging)   **Descriptors**
Environment and health risks, occupational medicine
Gene therapy, cell therapy, regenerative medicine
Health services, health care research
Medical engineering and technology
Medical ethics
Medical pathology
Medical physics
Pharmacology, pharmacogenomics, drug discovery and design, drug
therapy
Public health and epidemiology
Radiation therapy
Surgery

Mathematics (MAT)   **Area of research**

Sub-Area of research

M1 - Pure and Applied Mathematics, mathematical foundations of computer science, mathematical physics and statistics

Algebra   **Descriptors**
Algebraic and complex geometry
Algorithms and complexity
Analysis
Application of mathematics in sciences

Control theory and optimization
Discrete mathematics and combinatorics
Geometry
Lie groups, Lie algebras
Logic and foundations
Mathematical aspects of computer science
Mathematical physics
Number theory
Numerical analysis and scientific computing
ODE and dynamical systems
Operator algebras and functional analysis
Probability and statistics
Theoretical aspects of partial differential equations
Topology

Physics (PHY)	Area of research

P1 - Fundamental constituents of matter   **Sub-Area of research**

Acoustics   **Descriptors**
Atomic, molecular physics
Classical physics
Electromagnetism
Fundamental interactions and fields
Gas and plasma physics
General physics
Lasers, ultra-short lasers and laser physics
Metrology and measurement
Non-linear physics
Nuclear astrophysics
Particle physics
Quantum optics and quantum information
Relativity
Statistical physics (gases)
Thermodynamics

P2 - Condensed matter physics   **Sub-Area of research**

Electronic properties of materials and transport   **Descriptors**
Fluid dynamics (physics)
Magnetism and strongly correlated systems
Mechanical and acoustical properties of condensed matter, Lattice dynamics
Mesoscopic physics
Molecular electronics
Nanophysics: nanoelectronics, nanophotonics, nanomagnetism, nanoelectromechanics, etc.
Phase transitions, phase equilibria
Semiconductors
Soft condensed matter
Spintronics
Statistical physics (condensed matter)
Structure of solids and liquids

Superconductivity
Superfluids
Thermal properties of condensed matter
Transport properties of condensed matter

P3 - Universe sciences **Sub-Area of research**

Astrobiology **Descriptors**
Nuclear physics
Clusters of galaxies and large scale structures
Cosmology
Dark matter, dark energy
Formation and evolution of galaxies
Formation of stars and planets
Gravitational astronomy
High energy and particles astronomy - X-rays, cosmic rays, gamma
    rays, neutrinos
Instrumentation - telescopes, detectors and techniques
Interstellar medium
Planetary systems sciences
Relativistic astrophysics
Solar and interplanetary physics
Space Sciences
Stars and stellar systems
Surface physics
Surface science and nanostructures
The Galaxy

Social Sciences and Humanities (SOC) Area of research

S1 - Sociology, social anthropology **Sub-Area of research**

Ageing, work, social policies **Descriptors**
Attitudes and beliefs
Ethnography
Globalization, migration, interethnic relations
Inequalities, discrimination, prejudice, aggression and violence,
    antisocial behaviour
Kinship, cultural dimensions of classification and cognition, identity,
    gender
Myth, ritual, symbolic representations, religious studies
Social influence; power and group behaviour; classroom
    management
Social integration, exclusion, prosocial behaviour
Social structure, social mobility
Transformation of societies, democratization, social movements

S2 - Political science, law, communication **Sub-Area of research**

Communication networks, media, information society **Descriptors**
Digital social research
Global and transnational governance, international law, human
    rights
History of science and technology

Human, economic and social geography
Legal systems, constitutions, foundations of law
Political systems and institutions, governance
Private, public and social law
Social studies of science and technology

Sub-Area of research

S3 - Cognition, psychology, linguistics, philosophy and education

Clinical and experimental psychology   **Descriptors**
Education policy
Education: systems and institutions, teaching and learning
Epistemology, logic, philosophy of science
Ethics and morality, bioethics
Evolution of mind and cognitive functions, animal communication
Formal, cognitive, functional and computational linguistics
History of philosophy
Human life-span development
Language pathologies, lexicography
Learning, memory; cognition in ageing
Metaphysics, philosophical anthropology; aesthetics
Neuropsychology and cognitive psychology
Psycholinguistics and neurolinguistics: acquisition and knowledge of
        language, language pathologies
Social and political philosophy
Typological, historical and comparative linguistics
Use of language: pragmatics, sociolinguistics, discourse analysis,
        second language teaching and learning, lexicography, terminology

Sub-Area of research

S4 - Literature, arts, music, cultural and comparative studies

Classics, ancient Greek and Latin literature and art   **Descriptors**
Computational Modelling and Digitisation in the Cultural Sphere
Cultural memory, intangible cultural heritage
Cultural studies, cultural diversity
History of art and architecture, arts-based research
History of literature
Literary theory and comparative literature, literary styles
Museums and exhibitions, conservation and restoration
Music and musicology, history of music
Numismatics, epigraphy
Textual philology, palaeography and epigraphy
Visual arts, performing arts, film, design

S5 - Archaeology, history and memory   **Sub-Area of research**

Ancient history   **Descriptors**
Classical archaeology, history of archaeology
Collective memories, identities, lieux de mémoire, oral history
Colonial and post-colonial history, global and transnational history,
        entangled histories
Cultural heritage, cultural memory
Gender history; Cultural History; History of Collective Identities and

Memories
General archaeology, archaeometry, landscape archaeology
Historiography, theory and methods in history, including the analysis of digital data
History of ideas, intellectual history, history of science and techniques
Medieval history
Military history
Modern and contemporary history
Prehistory, palaeoanthropology, palaeodemography, protohistory
Social, economic, cultural and political history