

Programme

- 10:00 **Welcome and Introduction**
(Peter Wilbers, RWS)
A National Funding Provider's View on the Infravation Initiative
(Marina Martínez-García, CDTI)
EC Views on the Issue of Road Infrastructure Innovation
(William Bird, EC, DG RTD/H2)
- 10:50 **Thematic Scope of the Infravation 2014 Call**
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- 12:30 – 13:30 **Lunch break**
- 13:30 **Brokerage Session**
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Infravation Call 2014

Proposal Preparation and Submission

Infravation Steering Group
Brussels, 20 March 2014



TÜVRheinland[®]
Precisely Right.

Miriam Stephan

David Doerr



Technical Information

- Timeline
- Formal conditions for project proposals
- How to submit a proposal?
- Evaluation
- Support and information



Timeline

<p>Open call for light proposals</p> <ul style="list-style-type: none"> • Publication • Information and Brokerage Event (Brussels, BE) • Deadline for submission of light proposals 	<p>3 March 2014 20 March 2014 30 June 2014. 17:00</p>
<p>Evaluation of light proposals (step 1)</p>	<p>July – September 2014</p>
<p>Call for full proposals (on invitation only)</p> <ul style="list-style-type: none"> • Invitation to submit full proposals • Deadline to submit full proposals 	<p>End of September 2014 End of November 2014</p>
<p>Evaluation of full proposals by international peer review (step 2)</p>	<p>Until end February 2015</p>
<p>Negotiation of Grant Agreements</p>	<p>March - August 2015</p>
<p>Start of transnational projects</p>	<p>July - September 2015</p>
<p>End of transnational projects (project duration is 30 months max)</p>	<p>Until March 2018</p>



Formal conditions for projects



Formal Conditions

Eligible countries	Applicants from ...	
	can be coordinator	funding restrictions apply
the Netherlands, Denmark, France, Germany, Iceland, Israel, Italy, Norway, Spain, Sweden and USA (i.e. countries that are funding providers to Infravation call)	YES	NO
the remaining EU28 countries	NO	For partners from these countries the funding is limited to max one-third (all together) of the requested funding of the respective project proposal.
further countries associated to FP7: i.e. Switzerland, Liechtenstein, Turkey, the Former Yugoslav Republic of Macedonia, Serbia, Albania and Montenegro, Bosnia & Herzegovina, Faroe Islands, Republic of Moldova		



Formal Conditions

Composition of consortia:

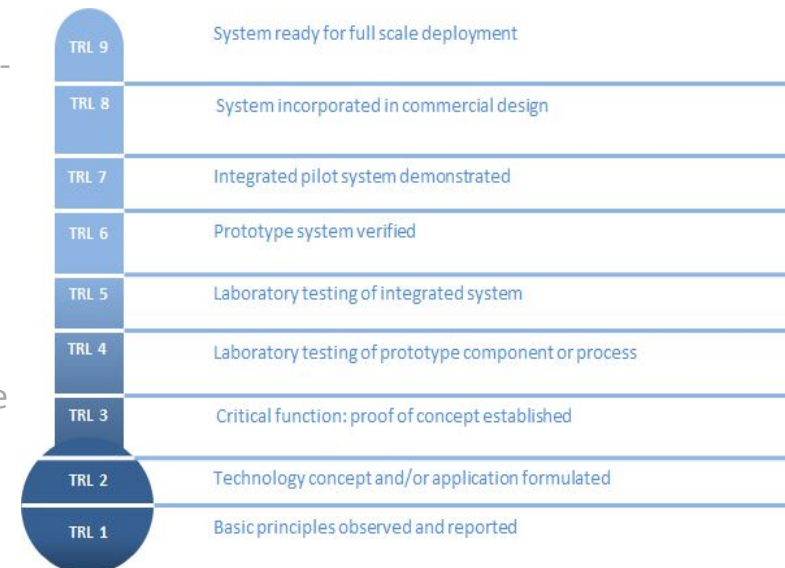
- Consortia have to be composed of applicants from at least two eligible countries.
- Applicants in one consortium have to be from different + independent organisations.
- No single applicant may claim more than 70% of the total costs per project.
- Applicants from one country may in sum not claim more than 70% of the requested total funding of the project.
- There is no limit to the maximum number of consortium partners.
- The involvement of industry partners, infrastructure owners and/or operators is recommended.
- The scientific quality and other indicated evaluation criteria met by the proposal (cf. “evaluation criteria”) are essential for any proposal.



Formal Conditions

Technology Readiness Levels and Demonstration

- The Infravation transnational call encourages 'near market-ready research', between TRL 5-7
- Promising technologies/services at a lower level are appreciated as well, provided they include a convincing approach to reach at least level 6 within the project duration of 30 months.
- Proposals shall clarify that the demonstration (TRL 7) of its technology readiness level will be achieved within the time frame of an Infravation project.
- Proposals should demonstrate the applicability of specific technologies and services techniques at existing road infrastructure.



- Operational tests can take place on the infrastructure network of funding provider countries only.
- All applicants will have the same rights and access to demonstration sites, but feasibility and employability will only be judged from the submitted proposals.



Formal Conditions

Funding conditions

- The common pot of the Infravation Consortium will co-finance projects according to maximum funding rates depending on the type of organisation.
- The reimbursement of **indirect costs** is based on a flat rate.
- The **funding rates** shall be applied for the whole duration of the project

Type of cost	Maximum funding rates	
	Industry, SME	Non-profit legal entities
Direct Cost	70%	100%
Indirect Cost (Flat Rate)	25%	25%

- The amount of **pre-financing** will be determined during contract negotiations.
- The **project duration** may not exceed 30 months in total.
- The **maximum amount of requested funding** from Infravation is 1,5 Million EUR per proposed project.



Formal Conditions

Audits

Infravation - First level audit

- Mandatory per every €375.000 requested funding
- Eligible costs of first level audit: max. €3.000 per audit certificate

Infravation - Second level audit

- The funding body may conduct at any time a second level audit
- Own personnel or delegated external auditors

EC - audit

- The EC can conduct audits at the ERA-NET Plus Infravation, which may reach into the funded projects from the Infravation call



Formal Conditions

Intellectual Property Rights

- The beneficiaries of the R&D projects funded by the Infravation Call may copyright any work that is subject to copyright and was developed, or for which ownership was purchased, under the Infravation Grant Agreement.
- The Infravation Funding Providers reserve a royalty-free, non-exclusive and irrevocable right to reproduce, publish, or otherwise use the work for non-commercial purposes, and to authorize others (third parties) to do so.



How to submit a proposal?



Submission of Proposals

Two-step Process

- The Infravation call follows a **two-step submission and evaluation procedure**.
- Step 1 “Light proposals”
 - **Deadline for submission of light proposals: 30 June 2014. 17:00 (Brussels time)**
 - Evaluation of light proposals until September 2014
- Step 2 “Full proposals”
 - Invitation of full proposals by end of September 2014
 - Deadline for submission of full proposals by end of November 2014
 - International peer review until end of February 2015.



Submission of Light Proposals

Light Proposals – Preparation and submission

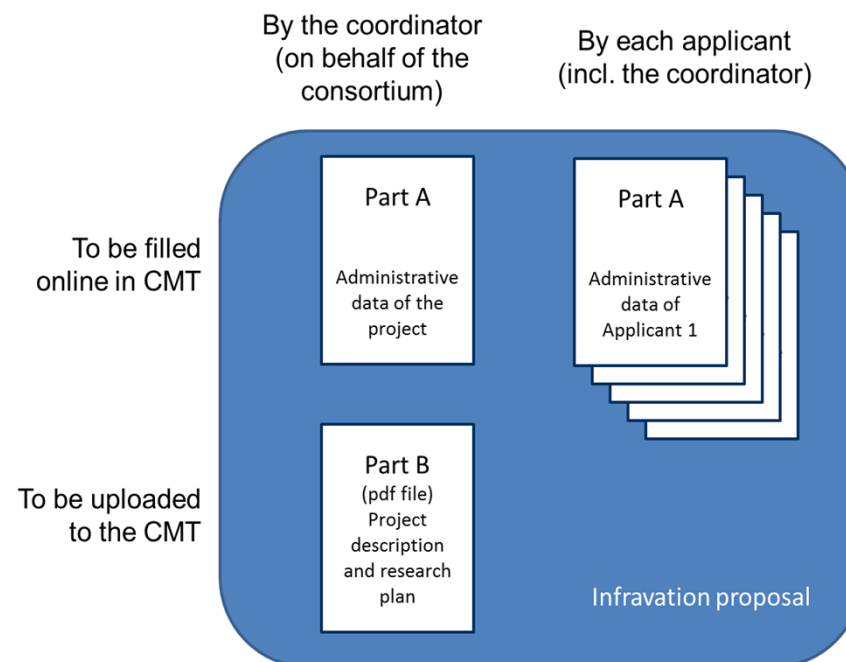
- Preparation & submission by means of the web based **Call Management Tool (CMT)**
 - The CMT will comprise entry masks and functions to prepare and submit the proposal.
 - It will also provide necessary information, call documents for download and technical guidance.
 - The CMT and a user manual will be available via the Infravation webpage www.infravation.net
 - The Call Secretariat will assist on request.
- Only those proposals that have been submitted in the CMT system before the closure of the call will be considered for evaluation.
- Proposals must be submitted in English



Submission of Light Proposals

Light Proposals – Preparation and submission

- Template for light proposals consists of 2 parts: part A and B.



Submission of Light Proposals

Light Proposals – Part A

- Includes administrative data of the project proposal and the consortium, e.g.:
 - the challenge(s) addressed
 - duration
 - proposal summary
 - contact details and characteristics of the applicants
 - information related to the funding requested as well as
 - a Letter of Intent, which is mandatory to be submitted by each applicant at the light proposal stage.
- The overall data in part A will be filled in by the proposal coordinator on behalf of the consortium.
- In addition, all applicants have to enter specific administrative information concerning their organisation themselves into the CMT.



Submission of Light Proposals

Section	
1.1	Concept and objectives
1.2	Progress beyond the state-of-the-art
1.3	Scientific and/or Technical (S/T) methodology and associated work plan
i)	Overall strategy of the work plan
ii)	Work description broken down into work packages: <ul style="list-style-type: none"> ▪ Work package list ▪ Deliverables list ▪ Description of each work package ▪ Summary effort table
iii)	Cost-Benefit Analysis
iv)	Risk Management
2.1	Management structure and procedures
2.2	Individual applicants
2.3	Consortium as a whole
2.4	Resources to be committed
3.	Impact
4.	Ethics Issues
5.	Consideration of gender aspects

Light Proposal – Part B

- Describes the work to be carried out and the roles of the consortium members
- Mandatory template is provided to structure your project proposal (see GfA Annex 1 or download as DOC at Infravation website)
- Part B is uploaded to the CMT by the proposal coordinator on behalf of the consortium
- To be uploaded to CMT exclusively as PDF
- Adapts the templates used in the FP7, with reduced page limits
- Further instructions are provided in the GfA



Submission of Light Proposals

Submitting the light proposal

- All proposals have to be submitted through the Call Management Tool (CMT)
- Only the proposal coordinator is authorised to submit the proposal.
- Completing the web-forms in the CMT does not yet mean that your proposal is submitted. You have to press the button "SUBMIT" available in section "SUBMISSION".
- The CMT then performs an automatic validation check of the proposal.
- Problems will lead to a "validation error message" and a submission is blocked.
- If successfully submitted, the proposal coordinator will be informed by an e-mail.
- The coordinator may continue to modify / correct the proposal and submit revised versions overwriting the previous one right up until the deadline.



Evaluation



Evaluation of Proposals

Two step process

Step 1 - Light proposals	Open call for light proposals
	Evaluation of light proposals by national experts
Step 2 – Full proposals	Invitation of full proposals
	Evaluation of full proposals by international peer review



Evaluation of Proposals

Step 1 - Evaluation of light proposals by national experts

- The Infravation Steering Group members will delegate national experts, who will then jointly assess the proposals.
- Light proposals will be assessed in terms of:
 - Relevance and scientific quality of the proposal and the Consortium as a whole, technical capacity and competence of the applicants (corresponding to the FP7 evaluation criteria)
 - Financial and legal eligibility of the applicants
- At the end of this process, the most successful project proposals will be invited to submit a full proposal. This may be made under the conditions of adjustments as identified during the evaluation of the light proposal.
- The selection process may further consider a balanced thematic and geographical coverage as well as a significant oversubscription of the available common funding pot.



Evaluation of Proposals

Step 2 - Evaluation of full proposals – International Peer Review

- In the second step international experts will evaluate the project proposals that have successfully passed step1.
- Each proposal will be evaluated by three independent experts
- Neither national interests nor principles of geographical return will influence the evaluation process at this stage.
- The evaluation process will be observed by one independent expert and one EC officer
- At the end of the evaluation process the international experts will decide on one final ranking list of proposals



Evaluation of Proposals

Criteria in accordance with FP7

S/T QUALITY “Scientific and/or technological excellence - Quality of the transnational project” (Threshold 3/5)	IMPLEMENTATION “Quality and efficiency of the implementation and the management” (Threshold 3/5)	IMPACT “Potential impact” (Threshold 3/5)
<ul style="list-style-type: none"> • Sound concept, and quality of objectives • Progress beyond the state-of-the-art • Quality and effectiveness of the S/T methodology and associated work plan 	<ul style="list-style-type: none"> • Appropriateness of the management structure and procedures • Quality and relevant experience of the individual applicants • Quality of the consortium as a whole (including complementarity, balance) • Appropriateness of the allocation and justification of the resources to be committed (budget, staff, equipment ...) 	<ul style="list-style-type: none"> • Contribution, at the European and/or international level, to the expected impacts listed in the call text under the relevant challenges • Appropriateness of measures for the dissemination and/or exploitation of transnational projects results and management of intellectual property



Evaluation of Proposals

Scoring system

- Adapted from FP7
- Evaluation scores will be awarded globally for each of the three criteria, but not at the level of sub-criteria
- Each criterion will be scored out of 5; half marks can be given.
- No weightings.
- The threshold for individual criteria will be 3.
- The overall threshold, applying to the sum of the three individual scores, will be 10

0 - *The proposal fails to address the criterion under examination or cannot be judged due to missing or incomplete information.*

1 - *Poor. The criterion is addressed in an inadequate manner, or there are serious inherent weaknesses.*

2 - *Fair. While the proposal broadly addresses the criterion, there are significant weaknesses.*

3 - *Good. The proposal addresses the criterion well, although improvements would be necessary.*

4 - *Very good. The proposal addresses the criterion very well, although certain improvements are still possible.*

5 - *Excellent. The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor.*



Evaluation of Proposals

Selection of proposals to be funded

- Subsequent to the evaluation process, and with regard to the ranking list from the international peer review, the Infraction Steering Group will decide on a common selection list of project proposals to be funded.
- Once achieved, the resulting selection list will be submitted to the European Commission that will take this as the basis for their funding decision (topping-up).

After selection

- As soon as the final selection list is formally approved by the European Commission, the process of negotiation of grant agreements of the selected proposals will start.
- Proposal coordinators will be informed by the Call Secretariat, if their proposal will be retained for funding or rejected.
- Further information in GfA chapter 8 “What happens next”



Information and Support

Documents

- Guide for Applicants
- Light proposal part B template (DOC)
- CMT user manual for proposal preparation (available soon)



Website

- www.infraction.net

Partner Search

- <http://www.transport-ncps.net/services/partner-search/infraction.html>

CMT Helpdesk

- CMT User manual, for further questions contact Miriam.Stephan@de.tuv.com

Infraction Call Secretariat

- Ms Miriam Stephan, T: +49 221 806 4253, Miriam.Stephan@de.tuv.com
- Mr David Doerr, T: +49 221 806 4156, David.Doerr@de.tuv.com



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