European Commission

GUIDE FOR APPLICANTS

Marie Skłodowska-Curie Actions

Research and Innovation Staff Exchange (RISE)

Call identifier: H2020-MSCA-RISE-2014
Closing Date: 24 April 2014 at 17:00:00
(Brussels local time)

Date of publication: 11 December 2013

Version Number: 2013.13

Research Executive Agency

The Marie Skłodowska-Curie Actions in Horizon 2020

The Marie Skłodowska-Curie Actions 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 Marie Skłodowska-Curie Actions 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 Marie Skłodowska-Curie Actions offer high quality professional opportunities open to researchers of any age, nationality or discipline.

The 2014 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, possibly 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 Support Action European Researchers' Night (NIGHT) funded under the Marie Skłodowska-Curie Actions is a Europe-wide public event to enhance researchers' public recognition, and to stimulate interest in research careers, especially amongst young people.

Guides for Applicants for any other Marie Skłodowska-Curie Action, or indeed any Horizon 2020 programme, can be found by following the links on the Participant Portal at:
http://ec.europa.eu/research/participants/portal

The Marie Skłodowska-Curie Actions website can be found at:
http://ec.europa.eu/research/mariecurieactions/

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

Table of Contents

Definitions used throughout this Guide

Staff members are researchers (Early-Stage Researcher and Experienced Researcher), administrative, managerial and technical staff supporting the research and innovation activities of the project. They will have been actively engaged in or linked to research and/or innovation activities at the sending institution for at least six months (full-time equivalent) prior to the first period of secondment.

Academic Sector consists of public or private higher education establishments awarding academic degrees, public or private non-profit research organisations whose primary mission is to pursue research, and international European interest organisations as they are defined in Article 2 of the Horizon 2020 rules for participation.

Non-Academic Sector includes any socio-economic actor not included in the academic sector and fulfilling the requirements of the Horizon 2020 Rules for Participation. A possible non-academic profile could be a profit organisation involved in research activities such as businesses, SMEs, multi-national companies, as well as NGOs, public sector entities, governmental bodies, charities etc.

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

Experienced Researchers (ER) shall, at the time of the secondment by the host organisation, 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 a researcher obtained the degree which would formally entitle him or 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, irrespective of whether or not a doctorate is or was ever envisaged.

Beneficiaries are organisations that take complete responsibility for executing the proposed project and are signatories to the Grant Agreement. The legal entity is established in a European Union Member State or Associated Country (MS/AC).

Partner organisations are not signatories to the Grant Agreement. They contribute to the project by providing training and hosting or sending staff members during secondments. The legal entity of a Partner organisation is established in a Third Country.

Associated Countries means third countries that are associated to Horizon 2020.

Third Countries (TC) are countries which are neither EU Member States nor associated to Horizon 2020 (Associated Countries). Some TCs appear in the list of countries receiving funding, provided in the Annex A to the Work Programme 2014-2015.

Coordinator is the beneficiary that is taking the lead in the preparation of the proposal as the "proposal coordinator". For a given proposal, the coordinator acts as the single point of contact between the participants and the Research Executive Agency (REA).

Secondment period means the period(s) spent by the *staff members* in a host institute for carrying out the project in line with the provisions of the Agreement.

Work Programme 2014-2015: Part 3 of the Horizon 2020 **Work Programme 2014-2015** (*Marie Skłodowska-Curie Actions*) European Commission Decision C(2013)8631 of 10 December 2013.

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) for the advancement of science and the development of innovation.*

> *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. (2014-2015 Work Programme)*

Organisations which are actively involved in research and innovation are invited to propose joint research and innovation projects:

> *Support is provided for the development of partnerships in the form of joint research and innovation activities between the participants. (2014-2015 Work Programme)*

A RISE proposal should be based on a set of clear research and innovation objectives and deliverables. The means to implement the research project are secondments of research and innovation staff (exchanges) with a built-in return mechanism, maximising the impact of the action for knowledge sharing and long-term collaboration.

Research and innovation projects under RISE are expected to strengthen existing and build new networks of international and/or intersectoral cooperation, as well as to significantly upgrade the interaction between organisations in the academic and non-academic sectors in the European Union, Associated Countries and Third Countries.

An example of a typical RISE project[1]

RISE takes the best elements from previous staff exchange schemes in Marie Curie programmes and offers appropriate funding for secondments of staff members including funding for research, training and networking activities.

Based upon previous experiences a typical project could last 48 months and involve, in average, 4-6 organisations from MS/AC and TC and/or from both the academic and non-academic sector (in particular SMEs). Depending on the size of the partnership and the nature of the research and innovation project that is jointly implemented, between 100 and 400 person months for 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. Appropriate supervision and support is provided to staff members during their period of secondment by the host organisation.

The sustainability of the research and innovation project will be reinforced through joint activities to which the project participants as a whole or part would participate. Within the framework of a RISE project, the consortium is therefore expected to implement the research and innovation activities by organising functional secondments and organising/taking part in training courses, workshops, summer schools, seminars, conferences etc. aimed at sharing knowledge, acquiring new skills and developing careers for research and innovation staff members.

Regular (at least once per year) meetings will be the backbone for planning and implementation of the research and innovation project. The compulsory mid-term review meeting will allow for the provision of direct feedback from the Research Executive Agency (REA) Project Officer.

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

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[1] This is **only** intended to provide the applicants with a concrete example to facilitate the understanding of the information provided in the Guide for Applicants. 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.

2. Partnership

2.1 Eligible Organisations

For the purposes of RISE, two different types of organisations are eligible and distinguished according to their sector:

- Academic sector;
- Non-academic sector.

Before applying, each organisation has to register and is automatically classified in one of the two sectors on the basis of the Participant Identification Code[2] (PIC) assigned during the validation process. Organisations are considered belonging to the academic sector if they have been assigned to one of the 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[3].

All other organisations are by default non-academic.

Each organisation has to register only once through the Participant Portal.

2.2 Eligible Researchers

Eligible staff seconded under RISE are:

- Early-stage researchers (ESR);
- Experienced researchers (ER);
- Administrative[4], managerial and technical staff supporting the research and innovation activities of the project.

It is the responsibility of each beneficiary or partner organisation to ensure that the seconded people are considered as staff based on applicable national law or internal practices.

Furthermore, the seconded staff shall have been actively engaged in or linked to research and/or innovation activities at the sending institution for at least six months (full-time equivalent) prior to the first period of secondment. After the secondment

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[2] Legal entities having a valid PIC number under FP7 maintain their PIC in H2020. 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 Commission asks each organisation to nominate a Legal Entity Appointed Representative (LEAR). The LEARs can view their organisations' legal and financial data online and ask for corrections and changes though the Participant Portal.

[3] '*International European Interest Organisation'* is defined in the Rules for Participation 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". Regulation of the European Parliament and of the Council laying down the rules for the participation and dissemination in 'Horizon 2020 – the Framework Programme for Research and Innovation (2014-2020)'. http://ec.europa.eu/programmes/horizon2020/en/official-documents.

[4] An administrative staff member is one who is actively involved in the R&D activities of the organization and does not have a purely administrative role.

period, the exchanged staff members should be reintegrated again into the sending organisation.

Example: A social science department of a Polish university (academic institution) wants to second an experienced researcher (working as full-time at the social science department for eight months) to a non-academic French partner of the RISE project (a census company) for six months to learn a state-of-the-art technique. At the end of the secondment, the Polish university reintegrates the experience researcher in the department, thus maximising the impact of the action for knowledge sharing and long-term collaboration.

Example: A technical staff member joined the R&D department of an Estonian SME (non-academic) 10 months prior to the secondment within a RISE project. He/she is actively involved in the research activities by performing and ensuring accurate calibration of digital equipment. An academic Finnish partner of the same RISE project would greatly benefit from his/her expertise in learning how to operate the equipment and therefore two months' secondment to the Finnish partner is considered very useful.

2.3 Eligibility of the partnership

Organisations of all countries worldwide are eligible to participate in the MSCA-RISE according to the rules for participation.

A RISE partnership shall be composed by at least three independent participants established in three different countries and must respect one of the following two conditions:

- two organisations are located in two different MS/AC and one organisation is located in a TC, independently from the sector they belong to,

or

- if all three independent organisations are from MS/AC, at least one organisation should be from the academic sector and one from the non-academic sector.

Above these minimum requirements additional organisations established in MS/AC and/or in other third countries can participate.

Therefore, the partnerships in RISE can be set up along either an international or an intersectoral dimension or a combination of both.

- ***International dimension****: secondments from MS/AC to TC and vice versa**, independently from 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.

- ***Intersectoral dimension****: secondments between MS/AC organisations, provided that at least two independent organisations belong to different sectors (academic/not 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.

All other combinations (international and intersectoral) and numbers of participants are allowed, as long as one of the two minimum conditions described above is respected.

> *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 organisation in South Africa and an organisation in Azerbaijan.*

A RISE consortium can be composed of Beneficiaries and Partner Organisations or Beneficiaries only:

- ***Beneficiaries***

  Beneficiaries are organisations that are signatories to the Grant Agreement. The legal entity is established in a MS/AC. They contribute directly to the implementation of the research programme by supervising, sending/hosting and training staff member. They provide secondment opportunities and ensure transfer of knowledge. Beneficiaries take complete responsibility for executing the proposed project and other requirements of the Grant Agreement.

- **Partner Organisations**

  Similarly to the role of beneficiaries, partner organisations contribute directly to the implementation of the research programme by supervising, sending/hosting and training staff members. They provide secondment opportunities as well as ensure transfer of knowledge. Partner organisations are located in TC and are not signatories to the Grant Agreement. Therefore they do not directly claim costs of the project from the REA. Financial aspects between partner organisations and beneficiaries are dealt within the partnership preferably by means of a Partnership agreement[5].

  Each partner organisation must include an up-to-date letter of commitment in the Part B of the proposal to ensure their real and active participation in the proposed network. 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.

International European Interest Organisations (**IEIO**) or the Commission's Joint Research Centre (JRC) will be counted as an academic organisation located in the EU (and counted as a different country location).

> Example: An IEIO *based in France* (academic) *is eligible to participate as the third participant in a RISE project composed by two organisations which includes two non-academic organisations located in Poland and France.*

There is no maximum size fixed for the number of participants in RISE. However, there is an upper limit of a maximum of 540 person-months per project regarding the number of secondments reimbursed. There is no minimum number of secondments but the project should have a substantial impact as it is highlighted in one of the evaluation criteria.

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[5] Partnership agreements must be compliant with the obligations laid down in the Grant Agreement.

3. RISE in practice

3.1 A joint research and innovation project

The participants propose a joint research and innovation project as the common basis for their collaboration.

The joint research and innovation project should be designed to exploit the complementary expertise of the participants and to create synergies between them. In addition to advancing research and/or innovation knowledge in a particular area, RISE projects are also expected to create additional benefits for the participants in terms of cross-sectoral transfer of knowledge and enhancing skills and expertise of the staff seconded. Each secondment is expected to provide benefit to both the seconded staff member - who would acquire new knowledge - and the host organisation, which would gain new knowledge and experience.

Within the framework of the joint research and innovation project, the partnership is expected to support the successful implementation of the project by planning secondments, organising/taking part in training, workshops, seminars, conferences etc. aimed at sharing knowledge, acquiring new skills and developing career for the staff members involved.

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

3.2 Eligibility of the secondments

Staff members – researchers, administrative, technical and managerial staff supporting the research and innovation activities of the project - can be seconded to beneficiaries and/or partner organisations, from a minimum of 1 month to a maximum of 12 months. However, secondments may be split into several stays not exceeding 12 months in total and not going beyond the project duration. Splits below one month are possible as long as the sum of the duration of all splits is greater than or equal to one month. The splits must be justified and considered beneficial for the transfer of knowledge activities.

There are no conditions on the balance of secondments. However, please note that secondments should be useful for the project and the involvement of all participants will be assessed under the excellence criterion.

All secondments are listed in part A of the proposal[6] and further described in Part B. Only the following secondments are eligible for funding:

- Secondments between an academic organisation in one MS/AC to a non-academic organisation in another MS/AS and vice versa (intersectoral only);
- Secondments from a MS/AC organisation to a partner located in a TC;
- Secondments from an organisation located in a TC to a MS/AC on the condition that the TC is eligible for funding, as specified in the Annex A to the Work Programme.

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[6]   See Annex 3 of this Guide.

The EU funding of secondments from organisations based in TCs to MS/AC organisations will depend on the status of the country[7]. In particular, funding can only be granted to countries listed in Annex A to the Work Programme.

In exceptional cases an international organisation or entity established in a country _not_ listed in Annex A to the Work Programme may be entitled for funding, if the participation is deemed essential for carrying out the action by the Commission or the relevant funding body. "*Essential"* means that a TC partner disposes of specific competences and expertise which no organisation has in the EU/AC and that the secondments from the TC partner to transfer the knowledge to EU/AC organisations are indispensable to reach the objectives of the research and innovation project. The exceptional nature must be endorsed by the expert evaluators.

The following secondments are not eligible for funding:

- Secondments between institutions located within the same MS/AC or the same TC;

- Secondments between two academic or between two non-academic organisations located in different MS/AC;

- Secondments between organisations located in different TC;

- Secondments to a MS/AC from organisations located in a TC not eligible for funding according to the Annex A to the Work Programme (unless an exception is granted as explained above). However, these secondments (independently of the possible exception) must be included in the Gantt Chart (Part A) to allow the assessment of the contribution of these TC organisations to the implementation of the RISE project.

The following are examples of secondments not eligible for funding:

- *A staff member from an organisation located in Paris seconded to an organisation in Marseille.*

- *A staff member of an SME located in Latvia seconded to an enterprise in Bulgaria.*

- *A researcher located in Brazil seconded to a University located in the United States.*

3.3 Communication and Dissemination

In addition to publications and patents, communication of the Marie Skłodowska-Curie Actions should aim to demonstrate the ways in which research contributes to a European "Innovation Union"[8] and account for public spending by providing tangible proof that the funded research adds value by:

- showing how European 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, or making our lives more comfortable in other ways;

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[7]   http://ec.europa.eu/research/participants/data/ref/h2020/wp/2014_2015/annexes/h2020-wp1415-annex-a-countries-rules_en.pdf
[8]   http://ec.europa.eu/research/innovation-union/index_en.cfm.

- making better use of the results, by promoting their take up by decision-makers to influence policy-making, and by industry and the scientific community to ensure follow-up.

Horizon 2020 will include a pilot on Open Research Data. The main goal of the pilot is

to facilitate research data registration, discovery, access and re-use. RISE projects are

not obliged to participate in the pilot but can choose to do so, in which case a Data Management Plan will be required. Further information on the Data Management Plan and the pilot can be found in the documents section of the Participant Portal.

3.4 Public Engagement

In the Marie Skłodowska-Curie Actions, the primary goal of public engagement activities is to create awareness among the general public of the research work performed 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.

4. Reimbursement rates

The financial contribution to a Marie Skłodowska-Curie Research and Innovation Staff Exchange project is calculated on the basis of a unit cost. A unit cost is a fixed amount per person-month of secondment. The EU contribution is calculated by multiplying the unit cost by the number of completed secondment-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 secondment/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 month, plus an *institutional unit cost of 2,500 EUR per secondment month.*

As shown in Table 2, the institutional unit cost is split into *research, training and networking costs of 1,800 EUR* per month of secondment and *management and indirect costs of 700 EUR* per month.

Table 2: Financial modalities for RISE

Marie Skłodowska-Curie Action	Staff member unit cost [per person-month of secondment]	Institutional unit cost [per person-month of secondment]	
		Research, training and networking costs	Management and indirect costs
Research and Innovation Staff Exchange	2000	1800	700

- The *Staff member unit cost* is a top-up allowance intended to support travel, accommodation and subsistence costs for the staff member during the secondment.

  The salary of the seconded staff is not covered by the EU contribution. Therefore, the beneficiaries and partner organisations are expected to continue paying their salary during their stay abroad.

- The research, training and networking costs cover the costs of research and innovation related activities of the project such as purchasing of consumables, laboratory costs, participation to conferences, workshops 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.)

The beneficiaries, as grant recipients, are responsible for the management of the project. Each beneficiary will report to the REA the secondment-months of its own staff seconded to another organisation, plus the secondments from Third Country partners to its organisation.

The EU contribution is paid to the coordinator of the project who will distribute it to the beneficiaries according to modalities agreed within the partnership.

Annexes

Annex 1 – Timetable and Specific Information for this Call

The Marie Skłodowska-Curie Actions Work Programme provides the legal information for submitting a proposal to this call. It describes the content of the topics to be addressed and details on how it will be implemented. The Work Programme is available on the Participant Portal call page together with the "call fiche", where the conditions for the call are mentioned. Please consult these documents.

Indicative timetable for this call

Publication of call	*11-12-2013*
Deadline for submission of proposals	*24-04-2014 at 17:00:00, Brussels local time*
Evaluation of proposals	*Beginning of June 2014*
Information on the outcome of the evaluation	*September 2014*
Indicative date for the signing of grant agreements	*November 2014*

Indicative budget 2014:   EUR 70 million

Further information and help

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

Call Information
- *Participant Portal call page and Work Programme*
  http://ec.europa.eu/research/participants/portal/desktop/en/opportunities/h2020/calls/h2020-msca-rise-2014.html

- *Horizon 2020 Rules for participation*
  http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html#h2020-legal-basis

- *Guide to the submission and evaluation process*
  http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/pse/h2020-guide-pse_en.pdf

General Sources of Help
- *Marie Skłodowska-Curie website:*
  http://ec.europa.eu/research/mariecurieactions/

- *EURAXESS:*
  http://ec.europa.eu/euraxess/

- *The European Commission's Horizon 2020 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

- *How to register your organisation*
  http://ec.europa.eu/research/participants/portal/page/myorganisations

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

- *IPR help desk:* https://www.iprhelpdesk.eu

Annex 2 – Evaluation Criteria and Procedures to be applied for this Call

1. General

The evaluation of proposals is carried out by the Research Executive Agency (REA) with the assistance of independent experts.

REA staff ensure that the process is fair and in line with the principles contained in the European Commission's rules[9].

Experts perform evaluations on a personal basis, not as representatives of their employer, their country or any other entity. They are independent, impartial and objective, and behave in a professional manner. 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 evaluation criteria are applied by the experts and provides recommendations on how to improve the evaluation procedures. The observer will 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 conflict of interest and must immediately inform the responsible REA staff member if one becomes 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 his/her own account, either during the evaluation or afterwards.

2. Before the evaluation

Once received by the REA, proposals are registered and acknowledged and their contents entered into a database to support the evaluation process. Eligibility criteria for each proposal are also checked by REA staff before the evaluation begins. Proposals which do not fulfil these criteria will not be included in the evaluation.

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

- It is received by the REA before the deadline given in the call fiche;
- It involves at least the minimum number and types of participants as mentioned in the Work Programme and it is complete (i.e. the requested administrative forms in Part A and the proposal description in Part B are both present);
- The content of the proposal relates to the funding scheme(s), including any special conditions set out in the relevant parts of the work programme.

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[9] Horizon 2020 Guidelines for submission of proposals, and the related evaluation, selection and award procedures.

A maximum length of 30 pages is applicable to Part B of the proposal, excluding the parts indicated in the template shown in the Annex 5 of this Guide.

Proposals must be prepared respecting these limits. Experts will be instructed to disregard any excess pages.

3. Award criteria

Each proposal will be assessed independently by at least three experts chosen by the REA from the pool of experts taking part in this evaluation.

The proposal will be evaluated against the RISE evaluation criteria and applying weighting factors, both set out in the Work Programme.

Excellence	Impact	Implementation
Quality, innovative aspects and credibility of the research (including inter/multidisciplinary aspects)	**Enhancing research- and innovation-related human resources, skills and working conditions to realise the potential of individuals and to provide new career perspectives**	**Overall coherence and effectiveness of the work plan,** including appropriateness of the allocation of tasks and resources
Clarity and quality of knowledge sharing among the participants in light of the research and innovation objectives.	**To develop new and lasting research collaborations, to achieve transfer of knowledge** between research Institutions and to improve 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 interaction between the participating organisations	Effectiveness of the proposed measures for **communication and results dissemination**	**Appropriateness of the institutional environment** (infrastructure)
		Competences, experience and complementarity of the participating organisations **and institutional commitment**
Weighting		
50%	**30%**	**20%**
Priority in case of *ex aequo*		
1	**2**	**3**

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

Evaluation scores will be awarded for each of the three criteria (and not for each single element of the criteria). However, these elements are considered by the experts in the assessment of the criteria.

Each criterion will be scored out of 5. The scoring table is the following:

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

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

Annex 3 – Instructions for Completing "Part A" of the Proposal in the Electronic Submission Services

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 applicant 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 applicant intends 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 Gantt chart (request for funding in terms of researcher-months)
- Section 4: Ethics table

1. The Concept of Panels

All eligible proposals will be evaluated under eight major areas of research (panels): Chemistry (CHE); Social Sciences and Humanities (SOC); Economic Sciences (ECO), Information Science and Engineering (ENG); Environmental and Geo-Sciences (ENV); Life Sciences (LIF); Mathematics (MAT), and Physics (PHY). Experts will evaluate proposals under a given panel.

In the Electronic Submission Service, the applicant carefully chooses the panel to which the proposal will be associated (using the field 'Scientific Panel' on the A1 proposal submission form). Additional descriptors are used to define the other disciplines that may be covered by multidisciplinary proposals. These could be helpful to identify the proper needed multidisciplinary expertise.

To help you select the most relevant panel for your proposal a document providing a breakdown of each research area into a number of descriptors will be provided on the call page on the Participant Portal.

There is no predefined budget allocation among the panels: the call budget will be distributed on the basis of eligible proposals received in each panel.

2. Additional information on A3 Form – Budget and Gantt chart

For each participant, the system will display an empty table of secondments. The Coordinator is requested to fill in the table by uploading the outgoing secondments planned by each participants and indicating the period and the destination.

Secondments which are not eligible for funding should not be mentioned, except the secondments to MS/AC from organisations located in TC not listed in the Annex A to the Work Programme. This will allow assessing the contribution of these TC organisations to the implementation of the RISE project.

The information requested is in the *Table §A.1* (Gantt chart).

Once the secondments plan of all participants is encoded, a summary table indicating the number of secondments allocated to each participants (beneficiaries and partners), the global number of secondments and the total budget requested for the project (*Table §A.2*), will be shown.

Care should be taken when entering the data for the budget. Experts will not comment on the budget but will score its appropriateness under the *Implementation* criterion.

Table §A.1. GANTT CHART
(Greyed cells are automatically filled in by the Electronic Submission Service of the Commission)

Staff member ID	Staff member profile	Organisation short name	Country	TC or EU/AC	Academic (Y/N)	Seconded to (Organisation short name)	Seconded To (Country)	TC or EU/AC	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	TECH											

Possible staff member profiles:
ER = Experienced researcher
ESR = Early stage researcher
MNG = Managerial staff
TECH= Technical and administrative staff

The staff member is identified by the *staff member ID,* an integer number[10]

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

Table §A.2. BUDGET SUMMARY VIEW
(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/€
						Staff member costs	Research, training and networking costs	Management and indirect costs	Total	
1										
2										
3										
...										
Total										

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

This annex provides guidelines for drafting *Part* B of a RISE proposal. Part B presents all important aspects of the work planned and it will enable the experts to perform their assessment of the proposal against the evaluation criteria (see Annex 2 of this Guide).

1. General information

A Word version of the submission template can be downloaded from the Electronic Submission Services of the European Commission. Applicants must ensure that proposals conform to this layout and to the instructions given in this Guide for Applicants.

The maximum total length of the main Part B of the proposal is **30 pages**, as indicated in the proposal template. In addition, all footnotes will count towards the page limit. It is up to the applicant to verify that the page limit is respected. Experts will be instructed to disregard any excess pages above the 30 page limit.

Additional documentation as indicated in the Work Programme must be provided to determine the capacity of each participant organisation, as requested in paragraph 6:

- A description of the profile of the people who will be primarily responsible for carrying out the proposed work;

- A description of any significant infrastructure or any major items of technical equipment, relevant to the proposed work;

- A description of any partner organisations that are not represented as beneficiaries, but who will nonetheless be contributing towards the work.

The minimum font size allowed is 11 points. The page size is A4, and all margins (top, bottom, left, right) should be at least 15 mm (not including any footers or headers). Ensure that the font chosen is clearly readable (e.g. Arial or Times New Roman).

Literature references should be listed in the dedicated paragraph 5.

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".

2. Letters of commitment

Each partner organisation must include an up-to-date letter of commitment in the proposal to demonstrate their real and active participation in the proposed network. These letters should be included in Section 8, which is out of the page counting. There is no official template for the letters of commitment.

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

Please ensure that the proposal is complete. For Part B of the proposal exclusively PDF ("Portable Document Format", compatible with Adobe version 3 or higher, with embedded fonts) must be used. Other file formats will not be accepted by the Electronic Submission Services of the Commission. Letters of commitment must be included in the PDF file of the proposal.

3. Scientific misconduct

Please note that the REA takes the issue of scientific misconduct very 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.

4. Gender issues

The Marie Skłodowska-Curie Actions pay particular attention to gender balance. In line with the European Charter and Code for Researcher[11], 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 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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[11] 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.

Annex 5 – Part B Template

START PAGE

Marie Skłodowska-Curie Actions

Research and Innovation Staff Exchange (RISE)
Call: H2020-MSCA-RISE-2014

PART B

"PROPOSAL ACRONYM"

Table of Contents

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

    LIST OF PARTICIPANTS

START PAGE COUNT

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1. **SUMMARY**
2. **EXCELLENCE**
3. **IMPACT**
4. **IMPLEMENTATION**

STOP PAGE COUNT

5. **REFERENCES**
6. **CAPACITIES OF THE PARTICIPATING ORGANISATONS**
7. **ETHICS ASPECTS**
8. **LETTERS OF COMMITMENT OF PARTNER ORGANISATIONS**

NB: Applicants must ensure that sections 1 - 4 do not exceed the limit of 30 pages.

LIST OF PARTICIPANTS

Please provide a list of the participants (Table B1) indicating the legal entity, and of the person responsible of the project for the organisation.

In addition, partner organisations should be presented. The academic or non-academic flag should be identified with "Y" or "N" according to Table §A.2 of the Part A. The legal entity short name should also be coherent with Table §A.2. For non-academic beneficiaries, please provide additional data as indicated in the Table B2.

Table B1. Participants table

Participant number *(as table §A.2)*	Partnership Member	Legal Entity Short Name	Academic (Y/N)	Country
	Beneficiaries			
1	- NAME			
2	- NAME			
	Partner Organisations			
3	- NAME			
4	- NAME			

Table B2. Data for non-academic beneficiaries

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

The information in the table for non-academic beneficiaries must be based on <u>current</u> data, not forecasts.

The data related to the capacity of the participating organisations will be subject to verification during the grant preparation.

1. Summary

Please provide a short summary of the proposal, *which could be the same as the proposal abstract, built around a* **research/innovation project.**

2. 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 participants in the Marie Skłodowska-Curie Actions.

2.1 Quality, innovative aspects and credibility of the *research* (including *inter/multidisciplinary aspects)*

Please develop your proposal according to the following lines:

- *Specific objectives and the relevance of the research and innovation project 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.*

Table B3: Work Package[12] List

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

2.2 Clarity and quality of knowledge sharing among the participants in light of the research and innovation objectives

Please develop your proposal according to the following lines:

Approach and methodology used for knowledge sharing.

2.3 Quality of the interaction between the participating organisations

Please develop your proposal according to the following lines:

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[12] A work package is defined as a major subdivision of the proposed project.

- *Contribution of each participant in the activities planned, including the participants' interactions in terms of content and expertise provided to reach the project's objectives.*
- *Justification of the main networking activities.*

3. Impact

3.1 Enhancing research- and innovation-related human resources, skills, and working conditions to realise the potential of individuals and to provide new career perspectives

Please develop your proposal according to the following lines:

- *The research and/or innovation project contribution to realising the potential of individuals providing new skills and career perspectives.*

3.2 To develop new and lasting research collaborations, to achieve transfer of knowledge between research institutions and to improve 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 project.*
- *Contribution of the project to the improvement of the research and innovation potential within Europe and/or worldwide.*

3.3 Effectiveness of the proposed measures for communication and results dissemination

Please develop your proposal according to the following lines:

- *Dissemination strategy - targeted at scientists, potential users and to the wider research and innovation community - to achieve the potential impact of the project.*
- *Communication strategy, outreach plan and the activities envisaged to engage the public.*
- *Expected impact of the proposed measures.*
- *Intellectual property rights aspects (if applicable) and exploitation of results.*

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

Public engagement

Researchers should ensure that their research activities 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, exploitation of results

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.

4.   Implementation

4.1   Overall 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 project objectives.*
- *Credibility and feasibility of the project* *through the activities proposed.*
- *Gender aspects* *in the planning of the activities.*

Table B4.Work Package Description

Work Package Number							
Work Package Title							
Activity Type *(e.g. Research, Training, Management, Communication, Dissemination…)*							
Participant Short Name							
Person-months per Participant:							
Objectives							
Description of Work (possibly broken down into tasks), lead participant and role of participants and seconded staff							
Deliverables (brief description and month of delivery)							

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

Table B5. Deliverables List

Deliverable No	Deliverable Name	Work Package No	Lead Participant Short Name	Nature	Dissemination Level[13]	Delivery Month

4.2 Appropriateness of the management structure and procedures, including quality management and risk management

Please develop your proposal according to the following lines:

- *Project 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 project's objectives and the contingency plans to be put in place should risks occur.*

4.3 Appropriateness of the institutional environment (infrastructure)

Please develop your proposal according to the following lines:

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

4.4 Competences, experience and complementarity of the participating organisations and institutional commitment

Please develop your proposal according to the following lines:

Adequacy of the partnership to carry out the project explaining how participants' synergies and complementarities will be exploited.
NB: The individual members of the consortium are described in Section 6. There is no need to repeat that information in this section.

STOP PAGE COUNT – MAX 30 PAGES

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[13] 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 Commission Decision 2001/844/EC.

5. References

6.   Capacity of the participating organisations

All organisations (whether beneficiaries or partner organisation) 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)

Beneficiary 1	
General Description	
Role and Profile of key people	(Including names, qualifications of the person(s) supervising the project)
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 and innovation activities proposed).
Do you have independent research premises?	
Previous Involvement in Research and innovation projects	(Describe relevant research and innovation projects in which the organisation took part)
Current involvement in Research and Innovation projects	(Describe relevant research and innovation projects in which the organisation is currently participating)
Publications and/or research/innovation products	(Max 5)

Partner 2	
General Description	
Role and Profile of key people	
Key Research Facilities, Infrastructure and Equipment	
Do you have independent research premises?	
Previous Involvement in Research and innovation projects	
Current involvement in Research and Innovation projects	
Relevant publications and/or research/innovation products	(Max 3)

7. 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.[14] 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 projects, and also includes the Ethics Checks and Ethics Audit that can be initiated during the project implementation.

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.

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. For more details, please refer to the Ethics Self-Assessment Guidelines under Horizon 2020.[15]

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 you plan to request these documents specifically for your proposed project, your request must contain an explicit reference to its title.*

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

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[14] Charter of Fundamental Rights of the European Union, 2000/C 364/01. See also http://www.europarl.europa.eu/charter/default_en.htm
[15] The Ethics Self-Assessment Guidelines under Horizon 2020 is available on the Participant Portal

- Research **objectives** (e.g. study of vulnerable populations, dual use, etc);
- Research **methodology** (e.g. clinical trials, involvement of children and related consent procedures, protection of any data collected, 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).

8. Letters of Commitment of partner organisations

Please use this section to insert scanned copies of:
- Letters of Commitment from partner organisations

ENDPAGE

MARIE SKŁODOWSKA-CURIE ACTIONS

Research and Innovation Staff Exchange (RISE)
Call: H2020-MSCA-RISE-2014

PART B

"PROPOSAL ACRONYM"