

# Guidelines for Applicants



## Water Joint Programming Initiative WaterWorks2014 Cofunded Call

Research and Innovation for Developing  
Technological Solutions and Services for  
Water Systems

## Table of Contents

Table of Contents.....	1
Abbreviations.....	2
I. Online Submission System.....	3
II. Eligibility Criteria .....	4
III. Evaluation Criteria.....	5
IV. General Guidelines.....	6
V. Ethical Issues .....	7
VI. Project Start Date and Consortium Agreement .....	7
VII. Glossary.....	8
VIII. National Contact Points.....	9

## Abbreviations

Col = Conflict of Interest

CC = Consortium Coordinator

CS = Call Secretariat

CSC = Call Steering Committee

CV = Curriculum Vitae

EU = European Union

FPOs = WaterWorks2014 Funding Partner Organizations

IPR = Intellectual Property Rights

NCP = National Contact Point

PI = Principal Investigator

SER = Summary Evaluation Report

SRIA = Strategic Research and Innovation Agenda

Water JPI = The Joint Programming Initiative "Water Challenges for a Changing World"

This Guide for the preparation and submission of proposals for RDI projects is a document which is intended to clarify aspects of the submission process, to facilitate and guide the development of the application and to inform about the evaluation processes and the decision communication.

## Important:

**It is strongly advised that every applicant checks its eligibility. Please read the Call Announcement, National Annexes, and use the National Contact Points provided at the end of this document.**

## I. Online Submission System

Pre-proposals and Full-proposals to the WaterWorks2014 cofunded call have to be submitted via a specially designed web platform: <https://ww2014-submission.fct.pt>.

The proposal submission procedure comprises the following actions:

### STEP 1 (Pre-Proposal stage):

1. Registration in the system. All applicants need to register (Consortia Coordinators and Principal Investigators of the Consortium Partners);
2. Download of the Pre-Proposal Instructions file and the Pre-Proposal Template. This document includes instructions on how to complete the Fact Sheet (Part A), that is filled in online, and the pre-proposal template (Part B), that once finished needs to be uploaded as a pdf file. The document has a specific format and should be used as it is (page layout and font);
3. Completion of a Fact Sheet (Part A) by the Consortium Coordinator (CC). This includes the registration to login to the submission electronic platform, and complete all required fields. The CC will add the Consortium Partners in an appropriate section of Part A, and the latter will be notified by email. At this stage the Principal Investigators of each Consortium Partner will need to login and complete their profiles to validate their participation in the Consortium;
4. Completion of the pre-proposal (Part B) and upload of the document in pdf format in the submission system;
5. After submission, and until the deadline of the call, the pre-proposals will be able to be edited by the CC. Only the last submitted version will be considered.

**IMPORTANT NOTE:** The profiles of the Consortium Partners can only be saved and completed correctly if the Principal Investigators tick the box stating that they are aware of their eligibility and have read their corresponding National Annexes. In relation to the CC, he/she will have to tick that box so that he/she can submit and validate the pre-proposal.

### STEP 2 (Full Proposal stage):

All rules mentioned in the pre-proposal stage apply for this stage as well. Below is described the important steps that need to be considered by the CC and the Consortium Partners.

6. Update of the Fact Sheet (Part A) by the Consortia Coordinators;

7. Download of the Full Proposal Instructions file. This document includes instructions on how to complete the full proposal template (Part C);
8. Completion of the full proposal (Part C) and upload of the document in pdf format in the submission system.

When applying, keep in mind that the submission system will close at 17H CET of the deadline date established. However, the Call Secretariat (CS) can only ensure responses to email support requests up to 13H CET.

Until the call is closed, a help desk will be provided by the Call Secretariat (CS) and National Contact Points (NCPs). The respective email contacts are listed in the Call Announcement and in the Annexes.

**Note:** It may be required for some of the partners to submit also an application directly to their respective national/regional FPOs, justifying funding requests and describing the work they propose to develop within a Consortium. For further details about these procedures and schedule, please consult the National Annexes and /or your NCP.

More information regarding the submission procedures and eligibility criteria can be found in the *Guidelines for Applicants*.

## II. Eligibility Criteria

All proposals should conform to all of the general eligibility criteria listed below:

- Only proposals submitted by transnational consortia will be eligible;
- Each consortium must be comprised by a minimum of three partners that must be eligible to be funded by three different participating countries (see Table I);
- Proposals must be submitted by Universities and other higher education institutions, public research institutions, private non-profit organisations, and private companies, according to National Regulations (see National Annexes).

### Other General Eligibility Criteria:

- Proposals must be received before the deadline;
- Proposals must meet all the formal criteria (submitted electronically, respect page limits and number/type of attachments allowed, written in English language);
- Topics of the proposals must be compatible with the scope of the call;
- The maximum requested global budget per proposal must be 1.5 M€;
- Duration of projects must range between 24 to 36 months;
- A Consortium Coordinator can only participate in the proposal he/she is coordinating;
- The Consortium Coordinator must be eligible to be funded by one of the WaterWorks2014 funding partner organizations;
- Funding partners cannot apply to the call.

**NOTE:** Researchers from i) Water JPI partner countries not funding this call, ii) Water JPI observer countries, or iii) third countries, can participate in the consortia at their own expense.

### National/Regional Eligibility Criteria:

In addition, each partner should refer to the corresponding National Annex and must ensure that his/her contribution to the overall project conforms to:

- Where applicable, relevance of the topic(s)/subtopic(s) of the proposals to national/regional programmes and strategies;
- Compliance with national funding criteria and regulations;
- Compliance with limits to budget requests or others.

## Important:

Please note that proposals which are not meeting all WaterWorks2014 eligibility criteria or national/regional eligibility criteria and requirements **will be declined without further review**.

Non-eligibility of a partner in a proposal may lead to the rejection of the entire proposal without further review. The Consortium Coordinator before submitting an application should verify that all partners of the consortium have read their corresponding National Annexes and contacted their National Contact Points (NCPs) to confirm eligibility issues (see contact information of national/regional contact points in the *Guidelines for Applicants*).

## III. Evaluation Criteria

The scientific evaluation is based on the following award review criteria:

### 1. Excellence

The following aspects should be taken into account, to the extent that the proposed work corresponds to the topic description:

- Clarity and pertinence of the objectives;
- Credibility of the proposed approach;
- Soundness of the concept, including trans-disciplinary considerations, where relevant;
- Extent that proposed work is ambitious, has innovation potential, and is beyond the state of the art (e.g. ground-breaking objectives, novel concepts and approaches).

### 2. Impact

The following aspects should be taken into account, to the extent to which the outputs of the project should contribute at the European and/or International level:

- The expected impacts listed in the H2020 Societal Challenge 5, Call topic Water-3 [2014];
- Enhancing innovation capacity and integration of new knowledge;
- Strengthening the competitiveness and growth of companies by developing innovations meeting the needs of European and global markets, and where relevant, by delivering such innovations to the public and private markets, including public administrators (public executive bodies) and civil society organizations;
- Any other environmental and socially important impacts;
- Effectiveness of the proposed measures to exploit and disseminate the project results (including management of IPR), to communicate the project, and to manage research data where relevant;
- Support the development of technological solutions and services for the implementation of EU water policy.

### 3. Quality and efficiency of the implementation

The following aspects should be taken into account:

- Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks and resources;
- Complementarity of the participants within the consortium (when relevant);
- Appropriateness of the management structures and procedures, including risk and innovation management.

#### NOTE:

No appeal can be brought to challenge evaluation's results or decisions of the CSC.

## IV. General Guidelines

Before starting preparing a proposal, applicants need to read about the rules and requirements of the call. The Call Announcement and National Annexes contain critical information that applicants need to know when considering applying to the call. Also, a careful reading of the instructions included in this guide and in the other call documents is strongly encouraged.

When writing a proposal, applicants should take into consideration the following general rules of the call:

- The recipient entities and the Consortium Coordinator must agree to comply with the applicable national and European community norms, namely as regards competition, environment, equal opportunity and gender, and public contracting whenever applicable;
- Ethical issues will be taken into account in the scientific evaluation of proposals and when making the funding decisions. Applicants shall always describe any relevant ethical aspects in their research plans. If a research permit or a statement by an ethics committee is required for the implementation of the project, applicants shall provide information on the permits or permit proposals;
- The non-fulfillment of a single eligibility criterion may be cause for the disqualification of a partner and, ultimately, the disqualification of the entire Consortium. A thorough consultation of all general and national eligibility criteria detailed in this Guide and in the national Annexes is, therefore, mandatory and vital.

Applicants should also take into consideration the following advise:

- It is the responsibility of the Consortium Coordinator to draft and submit the proposal. For that he should seek agreement for the inclusion of other partner organisations in the Consortium and obtain the necessary information for writing the proposal;
- The preparation of the application should bear in mind the competitive nature of this transnational call and the necessity to attract the attention of the reviewers. Write to convince a top expert in your field that your ideas have the potential to contribute to progress and not just for the "status quo" and deserve financing;
- The analysis of the evaluation criteria followed by evaluators, listed in the Call Announcement and detailed in this Guide, provides a good idea of how the proposal will be evaluated. Read these criteria carefully and write to respond positively to each of them;

- Read the application form in advance and thoroughly to get a sense of what is asked, and to timely collect all the data required for submission;
- Check your text on a regular basis and confirm with partners that it corresponds to what is planned/required. Correcting errors close to the submission deadline may prove a difficult task or even disqualify the proposal.
- Plan and complete the application process as soon as possible in order to avoid an eventual overload of the system by the deadline and ensure the opportune support by the CS in case of need;
- CVs are generally considered too long by reviewers which makes it difficult finding the most relevant information. It is suggested that the Consortia Coordinator and Partners are brief but succinct in preparing their CVs, not sacrificing the essential to the accessory (highlight the most important publications and relevant activity in recent years);
- It is recommended that special attention be given to the choice of the keywords provided to characterise the proposal, in view of their importance to the identification of areas/topics of interest and in the allocation of reviewers;
- The financial plan and allocation of resources should be coherent with the work plan proposed. Funding requests, which are not adequately justified, may penalise the score given to the project.

## V. Ethical Issues

Ethical issues are taken into account in the scientific evaluation of proposals and when making the funding decisions. Applicants shall always describe any relevant ethical aspects in their research plans. If a research permit or a statement by an ethics committee is required for the implementation of the project, applicants shall provide information on the permits or permit proposals.

## VI. Project Start Date and Consortium Agreement

The consortium partner organisations of the projects selected for funding must fix a common project start date, which will be the reference date for mid-term and final reports.

The project consortium partners should sign a Consortium Agreement (CA) for cooperation before the official project start date. Upon request, this consortium agreement must be made available to the concerned funding organisations.

The purpose of this document will be:

- To underpin the research partners' collaboration and provide the research partners with mutual assurance on project management structures and procedures, and their rights and obligations towards one another;
- To assure the funding organisations that the research consortium has a satisfactory decision making capability and is able to work together in a synergistic manner.

Models for Consortium Agreements can be obtained from the EC IPR Helpdesk: <http://www.ipr-helpdesk.org>. In any case, applicants are free to define their Consortium Agreement as long as the following subjects (as a minimum) should be addressed by the CA:

- Purpose of and definitions used in the CA;
- Names of organisations involved;



- Common start date of the research project;
- Project structure and project management;
- Role and responsibilities of the research consortium coordinator and the research partners: person in charge, their obligations and key tasks, conditions for their change;
- Deliverables (transnational reports and if relevant requirements for national reports where coordination is required);
- Resources and funding;
- Confidentiality and the rules for publishing;
- Intellectual Property Rights (how this issue will be handled between research partners);
- Dissemination and exploitation strategy;
- Decision making within the consortium
- Handling of internal disputes;
- The liabilities of the research partners towards one another (including the handling of default of contract).

## VII. Glossary

**WaterWorks2014** = ERA-NET Cofund with the European Commission.

**ERA-NET** = Instrument using grants to support public-public partnerships in their preparation, establishment of networking structures, design, implementation and coordination of joint activities as well as Union topping up of no more than one joint call a year and of actions of a transnational nature.

**Cofunded Call** = Call for RDI proposals with top-up funding from the EU.

**Consortium/Consortia** = Transnational collaborative RDI proposal(s), from at least 3 countries participating in the call.

**Consortium Coordinator** = Coordinator of the transnational collaborative research, development and innovation proposal. Coordinates the submission of the proposal prepared by the partners to the WaterWorks2014 online submission system, represents the Consortium before the CSC and the CS and, if funded, is responsible for the project internal management.

**Principal Investigator** = Leader of the research team of an applicant organization/institution.

**Team Member** = Member of a research team of an applicant organization/institution.

**Person-month** = Is the metric for expressing the effort (amount of time) a researcher devotes to a specific project. Conversion of percentage of effort to person months is straight-forward. To calculate person months, multiply the percentage of your effort associated with the project times the number of months of your appointment. For example:

- 1 person at 10% for 12 month calendar appointment equals 1.2 person months ( $1 \times 0.10 \times 12 = 1.2$ )

The total value of "person- month" in the project for a researcher is obtained by adding the amounts obtained for all phases of dedication to the project.

**Milestone** = Is a date on which a certain goal was reached or phase concluded.

**Gantt Chart** = A chart showing the schedule of tasks, milestones and/or other key elements of the project. To generate this chart applicants can use a suitable software tool or adapt an Excel file.

## VIII. National Contact Points

WaterWoks2014 Cofunded Call Contacts		
CALL SECRETARIAT	FCT	Foundation for Science and Technology
	<a href="mailto:ww2014@fct.pt">Germana Santos / Rui Munhá (ww2014@fct.pt)</a>	
Country	NATIONAL CONTACT POINTS	
Belgium (French-speaking community)	F.R.S.-FNRS	Joël Groeneveld ( <a href="mailto:joel.groeneveld@frs-fnrs.be">joel.groeneveld@frs-fnrs.be</a> )
Cyprus	RPF	Anna Maria Christoforou ( <a href="mailto:amchristoforou@research.org.cy">amchristoforou@research.org.cy</a> )
Denmark	IFD	Anitha K. Sharma ( <a href="mailto:Anitha.Sharma@innofond.dk">Anitha.Sharma@innofond.dk</a> )
Estonia	MoE-EE	Rene Reisner ( <a href="mailto:Rene.reisner@envir.ee">Rene.reisner@envir.ee</a> )
Estonia	ETAg	Aare Ignat / Margit Suuroja ( <a href="mailto:aare.ignat@etagee">aare.ignat@etagee</a> / <a href="mailto:margit.suuroja@etagee">margit.suuroja@etagee</a> )
Ireland	EPA	Alice Wemaere ( <a href="mailto:a.wemaere@epa.ie">a.wemaere@epa.ie</a> )
Israel	MoE-IL	Einat Magal ( <a href="mailto:EinatM@energy.gov.il">EinatM@energy.gov.il</a> )
Italy	MIUR	Aldo Covello / Cecilia Bibbò / Alberto Martuscelli ( <a href="mailto:aldo.covello@miur.it">aldo.covello@miur.it</a> / <a href="mailto:cecilia.bibbo@miur.it">cecilia.bibbo@miur.it</a> / <a href="mailto:alberto.martuscelli@miur.it">alberto.martuscelli@miur.it</a> )
Moldova (Republic of)	CIP	Lidia Romanciuc ( <a href="mailto:intprojects@asm.md">intprojects@asm.md</a> )
Norway	RCN	Per Backe-Hansen ( <a href="mailto:pbh@rcn.no">pbh@rcn.no</a> )
Portugal	FCT	Germana Santos / Rui Munhá ( <a href="mailto:ww2014@fct.pt">ww2014@fct.pt</a> )
Romania	UEFISCDI	Simona Stoian ( <a href="mailto:simona.stoian@uefiscdi.ro">simona.stoian@uefiscdi.ro</a> )
South Africa	WRC	Inga Jacobs-Mata ( <a href="mailto:ingaji@wrc.org.za">ingaji@wrc.org.za</a> )
Spain	MINECO	Leyre Vergés ( <a href="mailto:ww2014.secretariat@mineco.es">ww2014.secretariat@mineco.es</a> )
Spain	CDTI	María José Tomás / Beatriz Torralba ( <a href="mailto:mariajose.tomas@cdti.es">mariajose.tomas@cdti.es</a> / <a href="mailto:beatriz.torralba@cdti.es">beatriz.torralba@cdti.es</a> )
Sweden	FORMAS	Kristina Laurell ( <a href="mailto:kristina.laurell@formas.se">kristina.laurell@formas.se</a> )

The Netherlands	NWO	Liesbeth Noor ( <a href="mailto:Alwwaterworks@nwo.nl">Alwwaterworks@nwo.nl</a> )
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