



**C A R I C**

CONSORTIUM FOR  
AEROSPACE RESEARCH AND  
INNOVATION IN CANADA

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CONSORTIUM EN AÉROSPATIALE  
POUR LA RECHERCHE ET  
L'INNOVATION AU CANADA

EU-Canada Coordinated Call for Research Projects  
in Aeronautics - 2015/ Appel en coordination UE-  
Canada pour des projets de recherche en  
aéronautique - 2015

Rules and Guidelines/ Règles et  
Principes directeurs

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*You can go directly to the section/paragraph of interest by clicking on the section title below but it is recommended that for a first appraisal, you go through the entire call description.*

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## **ANNEXES**

# CALL RULES

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*Please read carefully all the rules and guidelines applying to the “Canadian part” of the proposals falling under this call before the preparation of your application.*

*It is highly recommended to contact the Canada NCP (National Contact Point) for aerospace (see contacts Annex 1 ) before preparing your proposal to check your project eligibility for this call and ask any question you may have regarding your proposal preparation and submission.*

## I. Call overview

### 1. Aim

A coordinated call aims at generating joint or tightly coordinated projects, with a balanced partnership, on topics of benefit for each country involved. Coordinated calls enable larger projects for the same involvement of the partners. This coordinated call is a direct result of the work done by the Canadian Networking Aeronautics Project for Europe (CANNAPE) partners in Canada and Europe over the last four years. The prioritized research topics of this call (see below) are the result of a road-mapping and surveying exercise realized by the aerospace innovation community on both sides of the Atlantic and officially approved by the Canadian government and the European Commission.

Through Industry Canada, the government of Canada mandated the Consortium for Aerospace Research and Innovation in Canada (CARIC) to be in charge of the administration of the Canadian side of the Canada-EU coordinated call for projects in aeronautics. The proposal submission and evaluation will take place in collaboration with the National Sciences and Engineering Research Council (NSERC) in Canada.

### 2. Research Topics

This call is topic oriented; therefore, research proposals submitted under this call should address one of the following specific areas of common interest between Europe and Canada:

- **Reducing environmental impact through advanced design of novel aircraft configurations.** In order to decrease fuel consumption and the environmental footprint of aviation, the efficiency of future aircraft should be increased. Different aircraft configurations can be explored in comparison to the standard tube-and-wing concept. Research work should aim at new and enhanced methods in design to enable advanced and novel aircraft configurations with reduced overall emissions. Among others, novel multidisciplinary optimization tools can be complemented with analytical and numerical research. Experiments on specific advanced technologies can be also included.

- **Reducing noise through novel materials design and application on engines and/or airframes.** For achieving noise reduction goals, a better understanding of the complex phenomena associated to the absorption of acoustic energy is needed together with advanced technologies to further reduce the noise from the airframe and the engines. Research work should aim at new designs and new application of materials with a potential of achieving next step reductions in airframe and/or engine noise, with the lowest negative impact on performance, weight and cost. Research can include proof-of-concept experiments to validate the understanding of noise reduction mechanisms.
- **Resource-efficient high-performance advanced-materials product development and manufacturing.** The increasing use of advanced materials in aircraft together with the demand for sustainable production requires new advanced technologies for the aeronautical industry. Research work should aim at more efficient product development and manufacturing in terms of use of resources, time and costs. Among others, research could include aspects related to green materials and processes and manufacturing automation.
- **Reducing energy consumption through more electrical aircraft and systems integration.** Electrically-driven systems are increasingly used in aviation, aiming at increasing propulsion efficiency and reducing environmental impact and costs. Research work should aim at development and optimized integration of electrical systems in future aircraft to minimize overall energy consumption. Among others, research could include aspects related to highly integrated systems, incl. health monitoring.

### Type of action

The R&D activities will focus on maturing the level of readiness of technologies from concepts and formulation of an application - to system validation in laboratory environment (TRL 2 to 4).

### 3. Call opening period

This call is open from **October 15<sup>th</sup>, 2014 to April, 23<sup>rd</sup>, 2015**.  
Full proposals are going to be evaluated after call closure

## II. Eligibility

CARIC is in charge of the management and of the complete process for the Canadian side of the call. CARIC and NSERC<sup>1</sup> will collaborate to carry out the submission and evaluation of the proposals for the Canadian portion of the funding. For this call, applicants are requested to use NSERC formats of documentation for CRD grants as a basis for writing the proposals (in compliance with the rules specific to this call) and additional documents requested by CARIC. Those documents are going to be submitted separately to CARIC and NSERC ([See section III. Proposal forms and supporting documents](#)).

### 1. Proposals registration

For the Canadian side of the call, the academic leader is in charge of submitting the proposal to the Canadian funding bodies (CARIC and NSERC).

*To be considered for evaluation, a proposal must be:*

- a) Submitted to NSERC<sup>2</sup> and CARIC in parallel and before the [call deadline](#)
- b) Readable, accessible<sup>3</sup> and printable.
- c) Complete.

A proposal is complete only if NSERC and CRIAQ have received the documentation they requested.

This includes the administrative data, the proposal description, and any other document specified in the call (as described in [section III. Proposal forms and supporting documents](#)).

The academic leader of a project is going to receive an acknowledgement of receipt within 5 business days after call closure. This acknowledgement will indicate if the proposal received is complete or incomplete. An incomplete proposal will be declared ineligible.

### 2. Eligible projects

#### **Eligible topics**

The research work proposed in the proposal should address one or several of the challenges described in the topics officially agreed between Canada and the European Commission. Those topics are detailed in [section 1.2 of the call description](#).

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<sup>1</sup> Canadian funding bodies

<sup>2</sup> NSERC electronic system : [https://ebiz.nserc.ca/nserc\\_web/nserc\\_login\\_e.htm](https://ebiz.nserc.ca/nserc_web/nserc_login_e.htm)

<sup>3</sup> Be careful when saving your documents not to protect them with a security password and not to use a different compression format than the one of the template originally provided by CARIC or NSERC.

### **Eligible Applicants- Partnerships**

Only projects between European and Canadian partners are eligible.

*The rules indicated below specify a minimum of partners on each side for the proposals to be eligible. Moreover, partnerships should be well balanced in terms of efforts on each side.*

#### **Partners in Canada:**

- A minimum of 2 industrial organizations (independent from each other) and 2 academic organizations (universities, research centers or colleges)
- An academic lead is in charge of writing the proposal and submitting it to CARIC through the NSERC electronic submission system
- An industrial leader and an academic leader must be identified (project leaders)

Please note that Canadian partners will be required to be/become CARIC members<sup>4</sup> after project approval and before project agreement signature. It is a prerequisite to CARIC funding.

Industrial partners that never took part in a project supported by NSERC are requested to contact CARIC or NSERC at least 2 months before submitting their proposal.

#### **Partners in Europe:**

- A minimum of 3 different organizations established in three different Member States (MS) of the EU (European Union) or Associated Country (AC) and all three legal entities independent from each other
- A coordinator is in charge of submitting the proposal to EC (European Commission)

### **Deadline**

The Canadian proposal must be submitted to CARIC and NSERC **before April 23<sup>rd</sup>, 2015, 12 PM (Montréal time)**.

**Upon project approval, an International Project Coordination Agreement must be signed within 3 months.**

### **Project duration**

Maximum duration for projects submitted to this call is 48 month.

An extension of the project will only be accepted in exceptional cases. In any case, an extension must be requested before the project ends.

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<sup>4</sup> CRIAQ members will automatically be members of CARIC.

## **Project Value**

Typical project value in Canada would be between 1.5 and 2.5 million \$CAD.

*Therefore, the international project total budget should be around 3.0 million \$CAD and 5 million \$CAD (balanced effort)*

This range is provided as an indication only. It is strongly recommended to consult CARIC personnel to validate the budget prior to submission.

The proposals will be ranked and competed against one another according to the criteria [in section IV.1](#). As there is a finite funding envelop for this call, the team of a proposal ranked just above the threshold ([section IV.2](#)) may be asked to review their budget in order to actually be funded.

So please note that CARIC may ask you to review the budget prior to project funding confirmation.

### **3. Eligible expenses**

Eligible Project Expenditures must be incurred in Canada (this include costs for traveling abroad for the project).

#### *List of eligible expenses:*

- a) Salaries of industry, researchers (excluding professors) as well as technical staff and students stipends ;
- b) Equipment (The total cost of equipment may not exceed \$1,000,000 and may not represent more than 20 percent (20%) of the total eligible project costs) ;
- c) Equipment or facility rental;
- d) Materials and Supplies;
- e) Travel, including meal (excluding alcohol) and accommodation;
- f) Dissemination costs (publication costs and other activities);
- g) Project management costs (up to 10% of the project total budget and excluding consulting);
- h) Other direct costs clearly intended to the project and that can significantly increase its impact;
- i) Overhead costs incurred by universities and college could be reimbursed up to 21% on CARIC and Industry funding<sup>5</sup>.

*Overhead cost on NSERC funding are already covered by the Indirect Cost Program, no overhead could be reimbursed by NSERC.*

As a guide: student stipends (salaries) in universities should represent at least 60% of the academic (college and research institute included) expenditures.

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<sup>5</sup> Apply for this call only



### III. Forms and documents

Forms and supporting documents for CRD grants must be submitted through NSERC online submission system, while additional documents (as described in section III. Proposal forms and supporting documents) must be submitted to CARIC by email (*the email address is going to be communicated in the next version of this document*)

The academic leader is in charge of submitting the proposal to the Canadian funding bodies (CARIC and NSERC).

The following documents are required:

#### **CARIC documents:**

- a) The Application Form specific to the call completed and signed by all -and only- the Canadian partners ([download pdf form](#))  
This form includes:
  - Project short description
  - Project TRL coverage
  - Project budget
  - How the project relates to one or various of the call topics
  - Short descriptions and roles of participating organizations
- b) The Canadian budget breakdown ([download excel form](#)) - *an example is available in annex*
- c) The international project budget breakdown ([suggested table available – annex 4](#))
- d) A draft of the International Project Coordination Agreement for confidentiality, project management and intellectual property rules – ([see annex 5 for guidance](#) - *a template/example will be available very soon*)
- e) The “Use and Disclosure of Personal Information” endorsement form signed by the applicant (download form)(*this document will be available very soon*)

Those documents must be provided, completed and signed (when required) to CARIC before the call deadline.

#### **NSERC documents:**

- a) Form 101 (Application for an NSERC Grant)
  - a. Part I: including codes, summary for publication, milestone schedule, budget, budget justification, contributions from supporting organizations, including a detailed description of all in-kind contributions, Intellectual Property description, and relationship to other research support.

- b. Part 2: Including: project proposal background, detailed research proposal (objectives, detailed work plan and methodology), project management plan, training of HQP, Benefit to Canada, Dissemination<sup>6</sup> plan)

**There is one research plan for the whole international project. The research plan submitted in Europe must be the same as the research plan submitted in Canada with a clear mention of participants responsible by activities.**

- b) Form 100 (Personal Data Form) and related appendices for the applicant, co-applicant, and key research personnel. CVs of key collaborators should also be provided.  
 c) Form 183A (Material from Supporting Organizations) together with a profile of the company and a letter of support from the company.  
 d) *F101 appendix A & B- when applicable*

Those documents must be submitted to NSERC through their online submission system.

## IV. Evaluation

Projects shall demonstrate their potential to bring technologies to higher levels of readiness, identify how the project results will be of common benefit for countries/regions involved and evaluate the leverage effect resulting from coordinating research and innovation funding of EU and Canada.

### 1. Evaluation criteria

*Proposals are going to be scored according to the following criteria:*

<p>a) <b>Project Excellence</b> (<i>the following aspects will be taken into account, to the extent to which the proposed work corresponds to <a href="#">the topics description (I.2)</a>.</i>)</p> <ul style="list-style-type: none"> <li>• Clarity and pertinence of the objectives;</li> <li>• Credibility of the proposed approach.</li> <li>• Soundness of the concept, including trans-disciplinary considerations, where relevant;</li> <li>• Extent to which proposed work is ambitious, has innovation potential, and is beyond the state of the art (e.g. ground-breaking objectives, novel concepts and approaches)</li> </ul>	/5
<p>b) <b>Impact</b></p>	

<sup>6</sup> Dissemination is the process of making the results and deliverables of a project available to the stakeholders and to the wider audience. Dissemination is essential for take-up, and take-up is crucial for the success of the project and for the sustainability of outputs in the long term.

<ul style="list-style-type: none"> <li>• The extent to which the outputs of the project should contribute:             <ul style="list-style-type: none"> <li>- To the competitiveness of Canadian and European companies</li> <li>- To Canadian and European economies: the project is expected to deliver economic benefits to Canada and the European Union</li> <li>- To enhancing innovation capacity and integration of new knowledge;</li> <li>- To strengthening the competitiveness and growth of companies by developing innovations meeting the needs of European and global markets;</li> <li>- To tackle any other environmental and socially important challenge; such as : the reduction of emissions or employment, growth and training of highly qualified personnel</li> </ul> </li> <li>• Effectiveness of the proposed measures to exploit and disseminate the project results, to communicate the project, and to manage research data where relevant. This include management of IPR (Intellectual Property Rights) presented in :             <ul style="list-style-type: none"> <li>- The “intellectual property” part of the NSERC Form101</li> <li>- A draft of the International Project Coordination Agreement. The agreement must settle the obligations and rights of each partner regarding IPR.</li> </ul> </li> </ul>	/5
<p>c) <b>Quality and efficiency of the implementation</b> The following aspects will be taken into account:</p> <ul style="list-style-type: none"> <li>• The ability and capacity of the project team: both Canadian and European applicants have technological and managerial capabilities and financial resources to deliver the project;</li> <li>• Complementarity of the participants within the consortium (even between Canadian and European participant);             <ul style="list-style-type: none"> <li>- The proposal includes a comprehensive research plan properly involving coordinated research activities between Europe and the corresponding third-country, ensuring genuine cooperation and added value to the activities</li> </ul> </li> <li>• Balanced effort between Europe and Canada</li> <li>• Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks and resources;</li> </ul> <p><i>This includes the presence of a clearly articulated risk management plan that identifies risks to the success of the Project and identifies mitigation strategies, and achievable timelines and milestones;</i></p>	/5

The criteria are the key factors considered by reviewers, but they are not meant to be all inclusive. Applicants are recommended to submit in their proposal all information they feel would be relevant in addressing the criteria.

## **2. Evaluation process**

Each proposal, complete and submitted within the call period to CARIC for the Canadian side and EC for the European side, will follow the steps below.

- A. CARIC Scientific Committee will examine project eligibility according to the rules and guidelines of the call. This part of the evaluation is to verify compliance and relevance of proposals with regards to CARIC's obligations with the government of Canada, in the administration of this call with EC. Proposals failing to meet eligibility requirements ([section II](#)) will not be considered for the next step of evaluation. Only applicants whose proposal is declared ineligible are going to be contacted at this stage.
- B. The scientific content of proposals will be evaluated according to the criteria (listed in [section IV.1](#)) by independent experts (selected by NSERC). Scoring results will be communicated directly to CARIC. Applicants will not receive a notification at this stage of evaluation.
- C. CARIC and EC will meet to compare and compile evaluation marks for each projects on the Canadian and on the European sides in order to establish a sole ranking list.
- D. The funding available for this call is going to be distributed among proposals according to their ranking until there is no more funding available. If the lowest ranked proposal that is selected does not quite fit in the funding remaining (after higher ranked proposals funding attribution) CARIC may ask for a review of the budget of the proposal.
- E. Final approval of funding by CARIC.

### **Scoring of the proposals**

Evaluators examine the proposal looking for the elements of each block of evaluation criteria and mark each block. Scores must be in the range 0-5. Half marks may be given. Evaluators will be asked to score proposals as they were submitted, rather than on their potential if certain changes were to be made. When an evaluator identifies significant shortcomings, he or she must reflect this by awarding a lower score for the criterion concerned.

Interpretation of the scores

- 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 a number of shortcomings are present.

4 — Very Good. The proposal addresses the criterion very well, but a small number of shortcomings are present.

5 — Excellent. The proposal successfully addresses all relevant aspects of the criterion and shortcomings if any are minor.

**There is a threshold for proposals to actually be ranked for selection. The threshold for individual criteria is 3. The overall threshold, applying to the sum of the three individual scores, is 10.**

### **Results**

Results are going to be communicated to project leaders (academic lead and industry lead on the Canadian side) within 6 months after call closure.

If the project is not selected for funding, the decision will be sent by letter by CARIC with reviewers' comments. The funding decision will be sent by letter by CARIC.

## V. Funding

Canadian funding will be granted to top ranked proposals only when the International Project Coordination Agreement is signed. This must happen within 3 months after project approval notification in writing or else projects will not be funded.

### 1. Funding Bodies and levels

For Canadian partners: CARIC will contribute up to 50% of the Canadian eligible project expenses and NSERC up to 25% of the Canadian eligible project expenses.

For European partners: The funding will be provided by the European Commission through Horizon 2020 framework program<sup>7</sup>.

### 2. Funding documents

CARIC funding's recipients of the project must sign a grant "Terms and Conditions" with CARIC. This document will contain partner obligations toward CARIC as well as payments summary by CARIC to partners.

In order to put in place this payments summary, CARIC will be in contact with the Canadian project team selected after project evaluation and will request information about annual funding distribution.

The organization of the academic lead is going to receive a "Terms and Condition of Award" from NSERC, establishing the responsibilities of each party in the collaboration and highlighting important policies affecting the grant.

### 3. Reporting Requirements

#### *Progress reports to CARIC:*

A physical meeting, gathering **all** partners (from Canada and EU) should be organized each year of the project course in order to:

- Present all the progress done in the past year
- Present the project plan and calendar for next year
- Adjust project plan when needed

CARIC shall be invited to each of those annual meetings and, shall receive the minutes of the meeting no later than 30 days after the meeting.

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<sup>7</sup> More information about the call for european participants  
<http://ec.europa.eu/research/participants/portal/desktop/en/opportunities/h2020/topics/9059-mg-1.9-2015.html>

*In the event that a meeting in person would not be possible, a videoconference or web conference must be organized by the Canadian project leaders.*

Around the anniversary date of project launch, Canadian projects leaders will be responsible to send to CARIC a financial report for the project no later than 2 months after the reception of the template to be provided by CARIC.

*Progress Reports to NSERC:*

Selected project will be required to provide:

- An annual progress report each year including among others:
  - a confirmation of the continuing collaboration with the industrial partners;
  - statement of account;
- A final report (including statement of account) within 3 months after the end of the project

# PROPOSAL PREPARATION GUIDELINES

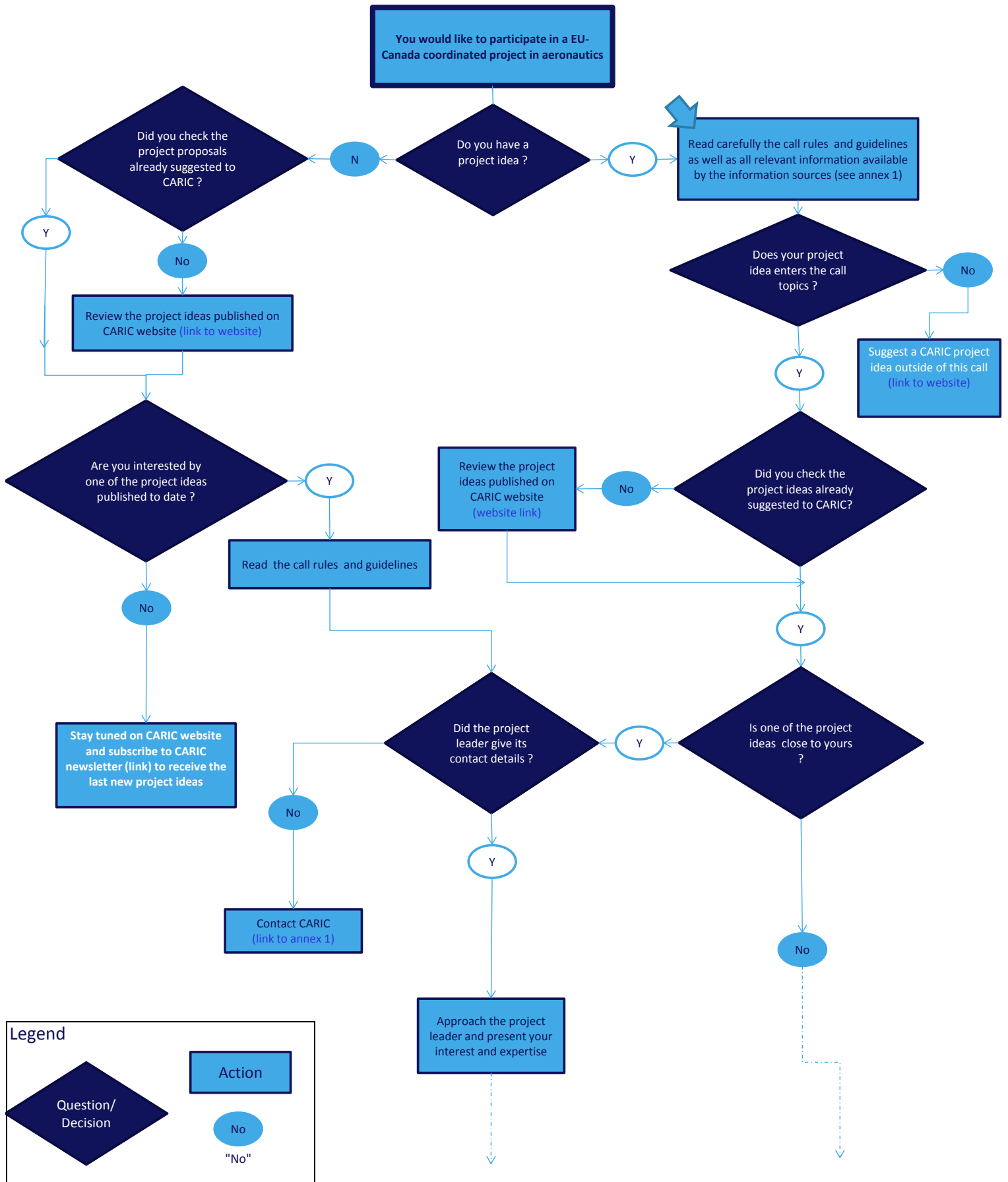
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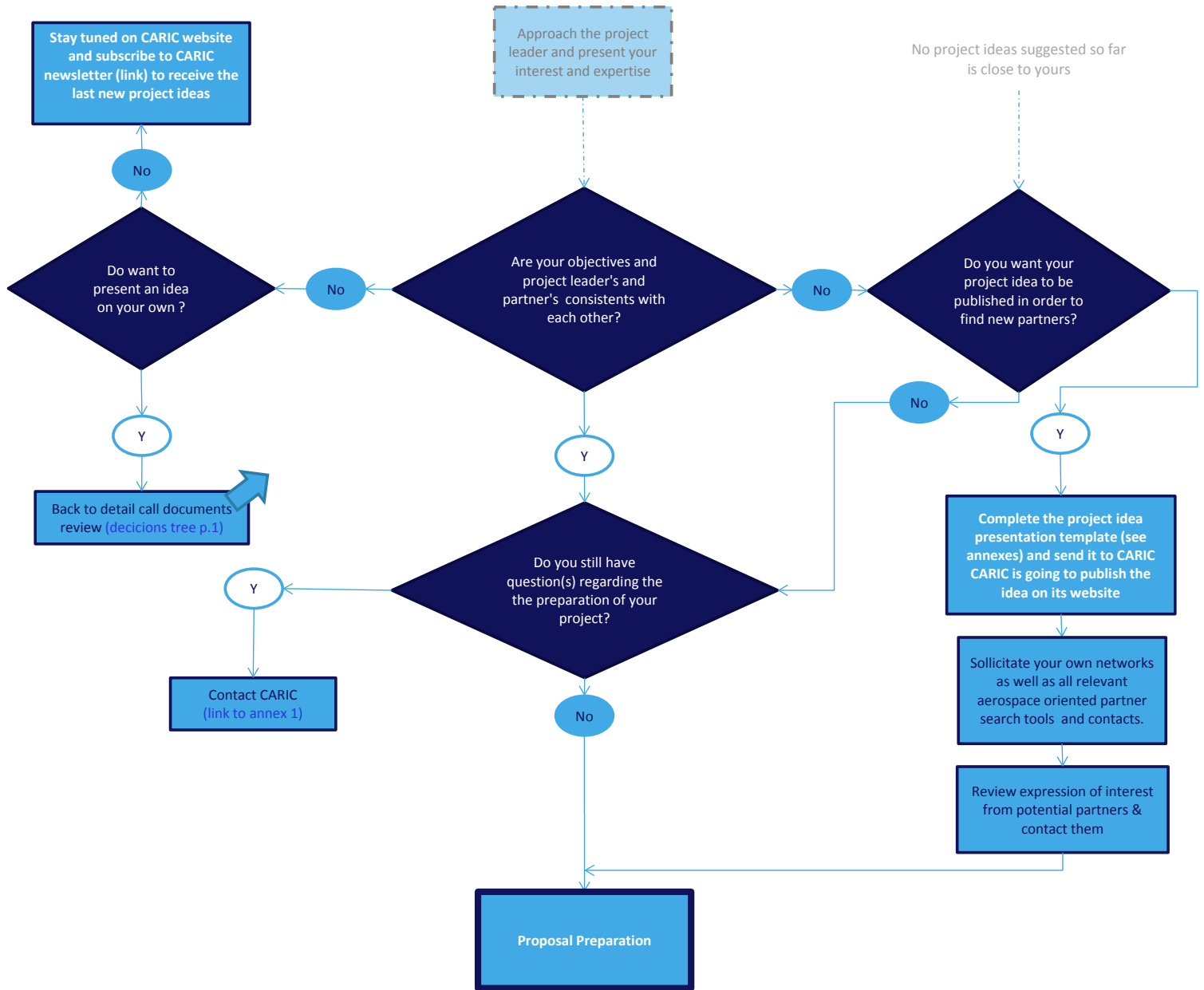
## I. Getting Started

### 1. Where to start?

(See decision tree next pages)

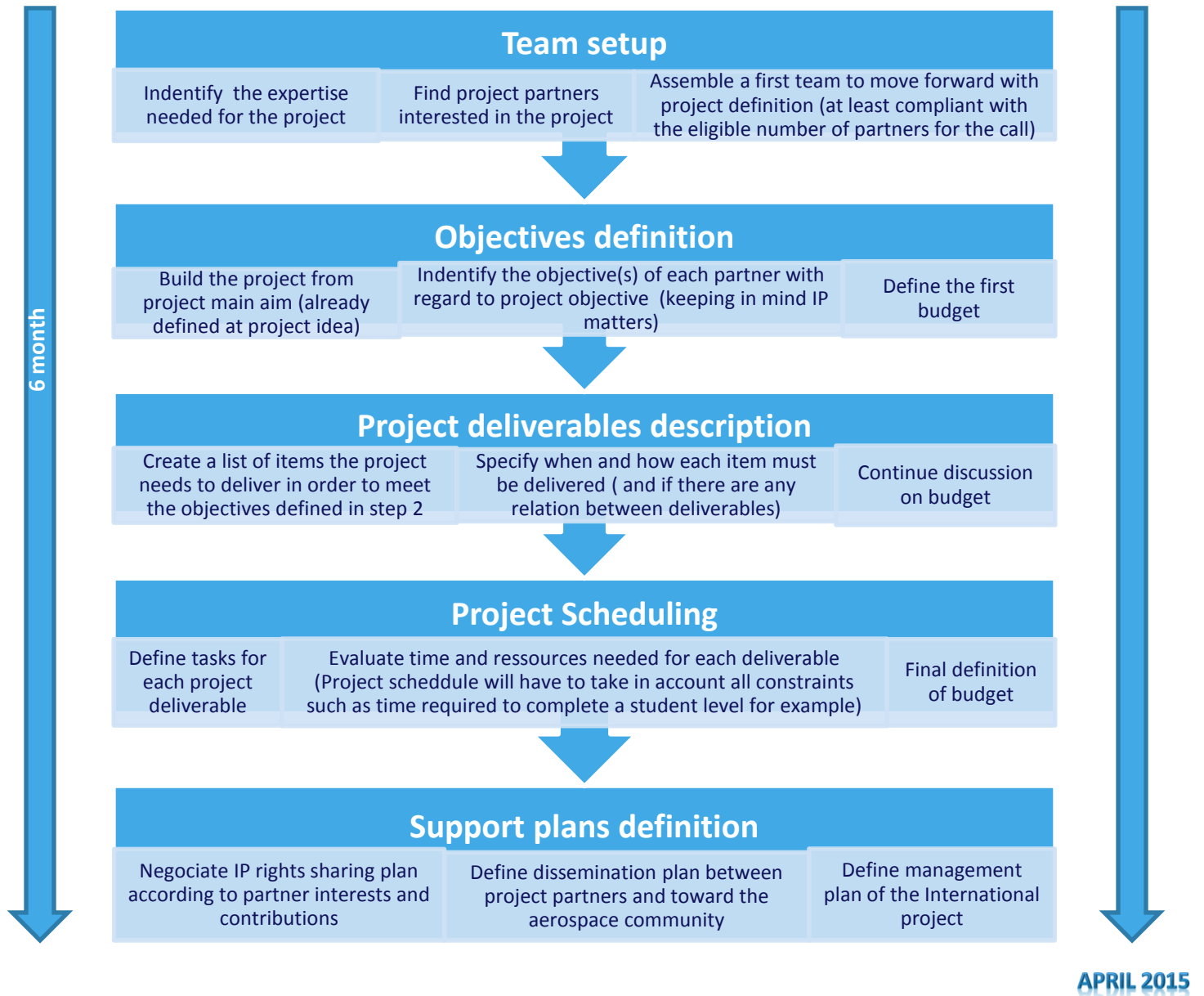






## 2. Proposal preparation steps

**OCTOBER 2014**



## II. Proposal eligibility checklists

### 1. Is my project eligible?

If one of the answers to the questions below is **No**, you must consider bringing changes to your proposal in order for the answer to become **Yes** before proposal submission

- Does the project main and foremost field of application is aeronautics? **Yes / No**
- Does the project intend to tackle one or several of the challenges described in the call topics? **Yes / No**
- Does the project TRL ranges between 2 and 4? **Yes / No**
- Is the project duration less than, or equal to, 48 month? **Yes / No**
- Are there at least 2 industries and 2 academic partners in Canada? **Yes / No**
- Are there at least 3 independent organizations from 3 different Member State (or Associated Country) partners in Europe? **Yes / No**
- Does the project proposal present European partners' descriptions and European partners' activities? **Yes / No**
- Does the project expenses presented in the Canadian budget part of the project are incurred in Canada? **Yes / No**
- Does the project budget to be presented to CARIC and NSERC includes only eligible expenses in regards to section II.3 of the call rules? **Yes / No**

## **2. Are all the documents completed and signed (when relevant) - ready to be sent**

**THE DOCUMENTS MUST BE RECEIVED BY CARIC AND NSERC BEFORE DE CALL CLOSURE DEADLINE, APRIL 23<sup>RD</sup>, 2015**

### **Documents intended to CARIC**

The CARIC Application Form is complete

- ✓ All page 1 fields are filled
- ✓ All the organizations willing to participate in the project as partners are specified in page 2 and followings
- ✓ All the Canadian organizations have signed the form (electronically or with scanned signature)

The Canadian budget breakdown excel sheet is completed

- ✓ Industries, NSERC and CARIC cash contributions are displayed
- ✓ The grand total of project expenses is displayed
- ✓ No cell is highlighted in red

Application includes a table showing international (EU & Canada) repartition of direct project expenses per organization

Application includes the draft of the International Project Coordination Agreement for the project.

Application includes the "Use and Disclosure of Personal Information" endorsement form signed by the Academic Leader.

### **Documents intended to NSERC**

The 101 Form is complete

Part 1 includes:

- ✓ Research subject and application codes
- ✓ Summary for publication
- ✓ Milestone schedule
- ✓ Budget
- ✓ Budget justification
- ✓ Contributions from supporting organizations, including a detailed description of all in-kind contributions
- ✓ Intellectual Property description
- ✓ Relationship to other research supports.

NSERC and CARIC contributions must be the same in NSERC and CARIC documentations

Part 2 includes:

- ✓ Proposal background
- ✓ Detailed research proposal (objectives, detailed work plan and methodology)
- ✓ Project management plan
- ✓ Dissemination plan
- ✓ Training of HQP,
- ✓ Benefit to Canada

Canadian & European parts integrated

All applicants and co-applicants (Canadian academics only) have completed a Form 100.

All companies involved have completed a 183A form and provided a letter of support detailing their cash and in-kind contributions as well as the expected result of the project

### **III. Research proposal preparation**

#### **1. Research proposal – NSERC Form101 research proposal suggested sections**

*To come very soon*

#### **2. Proposal self evaluation**

*To come very soon*

# Annexes

## **Annex 1: Contacts and Source of information**

## **Annex 2: Template for project idea presentation [\[Download PPT\]](#)**

This template is temporary – *A new EU-Canada template soon to come*

Project leaders will be invited to change their presentation before November 19<sup>th</sup>, 2014

## **Annex 3: Canadian Budget Breakdown example**

## **Annex 4: International Budget Breakdown example**

## **Annex 5: European Commission checklist for International Project Coordination Agreement**

Please note that this guide provided by the European Commission is a generic one –  
While the sections would always be relevant, some elements may not be adapted to this  
call specific aspects.

# Annex 1

## Contacts and sources of information

### Canada:

- For information about the call, CARIC's documents and submission of proposal documents to CARIC:



#### **Alain Aubertin, Ph.D.**

Vice President, International Affairs,  
Aerospace National Contact Point for Canada  
Horizon2020

[alain.aubertin@criaq.aero](mailto:alain.aubertin@criaq.aero)

(+1) 514-313-7561

- For information about NSERC documents and submission to NSERC:



Natural Sciences and Engineering  
Research Council of Canada

Conseil de recherches en sciences  
naturelles et en génie du Canada

CRD line: (+1) 613-995-1111

- For general information about H2020 :

ERA-CAN+ FOR OVERALL EU-CA R&I SUPPORT  
DESOLE@APRE.IT

<http://www.era-can.net/>



**ERA-Can+**

Advancing EU-Canada Collaboration  
in Research and Innovation

### Europe:

- For information about the call : [Mobility for growth.mg-1.9-2015](#)
- For general information about participation in H2020

**Find your NCP (National Contact Point) on:**

[http://ec.europa.eu/research/participants/portal/desktop/en/support/national\\_contact\\_points.html](http://ec.europa.eu/research/participants/portal/desktop/en/support/national_contact_points.html)




# Annex 2



**Project short Description**


2014-17-07 - .....project



**CARIC**  
PILOTING  
INNOVATION

**Objectives**

2014-17-07 - .....project




**CARIC**  
PILOTING  
INNOVATION

**Partners sought**

Academic partners	Industrial partners


2014-17-07 - .....project



**CARIC**  
PILOTING  
INNOVATION

**Main contact person**

2014-17-07 - .....project



**CARIC**  
PILOTING  
INNOVATION

Industry cash (out) contribution	240,000.00 \$
NSERC requested contribution	480,000.00 \$
CARIC requested contribution	881,375.00 \$

Please contact CARIC if you have any question regarding the budget breakdown below

CARIC contribution could not exceed 50% of project total expenses (K32)

	ORGANIZATION Partners (complete name, no acronym) <i>Sub-contractors do not appear in this column</i>	EXPENSES									FUNDING DISTRIBUTION					
		Students (including Post docs)	Staff (excluding professors)	Equipment & material	Services (including sub-contracts)	Travel	Management	Dissemination	University Overhead	Total expenses	NSERC Funding	Balance to cover	Industry funding	Balance to cover	CARIC	Balance to cover
Universities	University A	100,000 \$		50,000 \$		20,000 \$		10,000 \$	37,800 \$	217,800 \$	111,484 \$	106,316 \$	18,581 \$	87,735 \$	87,735 \$	- \$
	University B	250,000 \$	20,000 \$	50,000 \$	10,000 \$	20,000 \$	25,000 \$	20,000 \$	82,950 \$	477,950 \$	244,645 \$	233,305 \$	40,774 \$	192,531 \$	192,531 \$	- \$
	University C	150,000 \$		20,000 \$		20,000 \$		10,000 \$	42,000 \$	242,000 \$	123,871 \$	118,129 \$	20,645 \$	97,484 \$	97,484 \$	- \$
										- \$	- \$	- \$	- \$	- \$	- \$	- \$
										- \$	- \$	- \$	- \$	- \$	- \$	- \$
<i>Sub-total/verification</i>		500,000 \$	20,000 \$	120,000 \$	10,000 \$	60,000 \$	25,000 \$	40,000 \$	162,750 \$	937,750 \$	480,000 \$	457,750 \$	80,000 \$	377,750 \$	377,750 \$	- \$
Technology tranfer center, centers of excellence ....	CCTT 1		80,000.00 \$	60,000.00 \$		20,000.00 \$				160,000 \$		160,000 \$	160,000 \$	- \$	- \$	- \$
										- \$		- \$	- \$	- \$	- \$	- \$
										- \$		- \$	- \$	- \$	- \$	- \$
<i>Sub-total/verification</i>		- \$	80,000.00 \$	60,000.00 \$	- \$	20,000.00 \$	- \$	- \$		160,000 \$		160,000 \$	160,000 \$	- \$	- \$	- \$
Federal government scientific research organizations										- \$		- \$	- \$	- \$	- \$	- \$
										- \$		- \$	- \$	- \$	- \$	- \$
										- \$		- \$	- \$	- \$	- \$	- \$
<i>Sub-total/verification</i>		- \$	- \$	- \$	- \$	- \$	- \$	- \$	- \$		- \$	- \$	- \$	- \$	- \$	- \$
Companies	Industry 1		45,000 \$	30,000 \$		20,000 \$			10,000 \$	105,000 \$			105,000 \$	80,882 \$	24,118 \$	
	Industry 2		60,000 \$	10,000 \$	30,000 \$	100,000 \$			10,000 \$	210,000 \$			210,000 \$	161,763 \$	48,237 \$	
	Industry 3		80,000 \$	50,000 \$	50,000 \$	20,000 \$	30,000 \$		10,000 \$	240,000 \$			240,000 \$	184,872 \$	55,128 \$	
	Industry 4		20,000 \$	50,000 \$		30,000 \$			10,000 \$	110,000 \$			110,000 \$	84,733 \$	25,267 \$	
										- \$			- \$	- \$	- \$	- \$
<i>Sub-total/verification</i>		- \$	205,000.00 \$	140,000.00 \$	80,000.00 \$	170,000.00 \$	30,000.00 \$	40,000.00 \$		665,000 \$			665,000 \$	512,250 \$	152,750 \$	
<b>Total</b>		500,000 \$	305,000 \$	320,000 \$	90,000 \$	250,000 \$	55,000 \$	80,000 \$	162,750 \$	<b>1,762,750 \$</b>	480,000 \$		240,000 \$	890,000 \$		

### Annex 3

This template is a suggestion you can use the format of your choice provided that the distribution of expenses per partner appears.

Please note:

- 1- All expenses should appear in the same currency
- 2- The aim of the international budget breakdown is not to indicate the public funding contribution requested
- 3- This budget must include only project direct expenses

Part/Country	Organizations Name	Expenses incurred in Canada					Total	
		Salaries	Equipment &Material	Services (including sub-contracts)	Travel & Dissemination	Management		
Canadian Portion								
Canadian Total							%	
		Expenses incurred in EU member states or associated country						
European portion								
European Total							%	
<b>Total</b>								

**Checklist for a Coordination Agreement for projects  
resulting from a Coordinated Call with a Third Country**

23/07/14

**Disclaimer**

This list is provided for information purposes only and its contents are not intended to replace consultation of any applicable legal sources or the necessary advice of a legal expert, where appropriate. Neither the Commission nor any person acting on its behalf can be held responsible for the use made of this checklist.

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# 1. INTRODUCTION

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This document provides non-binding guidance to participants in coordinated call projects regarding the issues they may wish to address in their Coordination Agreement (hereinafter "CooA")<sup>1</sup>.

A coordinated call<sup>2</sup> consists of two calls being launched in parallel by the EU and the third country respectively. Both calls invite project proposals requiring cooperation with entities from the other side. Proposals are submitted on both sides.

Under a coordinated call the participants of the European project sign a grant agreement with the European Commission and the participants of the third country project enter in some contractual arrangement with their own funding agencies. The Description of Work of the EU project would contain the research carried out under the European funded project including detailed explanations about the research to be carried out under its coordinated project in a way that it is clearly understood that project work is coordinated, but legally separate. According to Article 12 (3) of Rules for Participation of Horizon 2020<sup>3</sup>, to ensure appropriate coordination, the participants of both projects will be required (see annexed clause 41.5 of the EU Model Grant Agreement) to prepare and sign a CooA among themselves, linking the two projects and ensuring the necessary synergies under a single framework including appropriate arrangements regarding inter alia:

- the internal organisation of the beneficiaries in both actions, including the decision making procedures;
- rules on intellectual property rights (for example regarding protection, dissemination, exploitation and access rights);
- the settlement of internal disputes;
- liability, indemnification and confidentiality arrangements between the beneficiaries in both actions.

The CooA is an agreement made between, on the one hand, the participants of the European funded project and, on the other hand, the participants of the coordinated project funded by a third country funding agency, to govern issues that may arise during the two coordinated projects. The Union and the third country funding agencies are not a party to any CooA and do not establish the terms and conditions of the CooA. The Commission has established and published the present non-binding guidelines in the form of a checklist to highlight some of the issues and the way they could be addressed by participants. It is clear that in a given project not all of the

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<sup>1</sup> This document does not replace the Consortium Agreement which is required for all projects financed under Horizon 2020, as stipulated in the Rules for Participation (Article 24 (2)).

<sup>2</sup> The term Coordinated Call in this document is used broadly to also cover variations like "Joint Calls", "Synchronized Calls" or also "Parallel Projects".

<sup>3</sup> Legal entities receiving funding from the Union shall conclude a coordination agreement with the participating legal entities receiving funding from the relevant third countries or international organisations.

issues highlighted will have to be addressed and that there may be others, which are not mentioned in these guidelines, but may be relevant.

The provisions of a CoOA should not affect the participants' obligations to the Union and the third country funding agencies. Therefore, the CoOA can contain contractual provisions complementing the contractual obligations to the European Commission (and the third country funding agencies) where required, but they should not contradict or negate those obligations. The CoOA should also be consistent with the Consortium agreement signed by the participants in the EU project.

A CoOA may take different legal forms; although a normal written agreement between the participants is likely to be the most common form chosen by the participants.

The Coordination Agreement should in principle be negotiated and signed before starting the project.

The Coordination Agreement is not necessary in case that all third country participants, including those that are fully funded by their own sources, sign the EU Grant Agreement with full rights and obligations.

## **2. PARTIES**

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- identifies each party to the CoOA (i.e. participants to the EU and third country funded projects).

## **3. PREAMBLE**

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- summarises the context and the purpose of the CoOA (including the titles and acronyms of the two coordinated projects).

## **4. DEFINITIONS**

---

- defines the important terms used throughout the CoOA (for the sake of clarity, it is advisable that those terms already defined in the EU and third country legal documents are not repeated but that a reference is made to the terms used in those documents if they are available in a mutually understandable language).

## 5. SUBJECT

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- Describes the subject of the CoOA with reference to the two coordinated projects in question.

There are several possibilities: either a) to make a mere reference to both technical annexes of the two coordinated projects, b) to append a consolidated technical annex of the two coordinated projects or c) to repeat the main provisions of the technical annex(es) including:

- the preliminary technical specifications;
- the desired technical results;
- the work to be accomplished;
- the contribution of each party;
- the (maximum) effort expected.

## 6. TECHNICAL PROVISIONS

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*This section can be used to define the technical details necessary for the proper coordination of the projects*

### 6.1. Tasks of each party

- gives a definition of the tasks that each party intends to carry out as precisely as possible (possibly referring to appended technical documents).

- outlines the relationship between the tasks of the parties and any inter-dependence.

### 6.2. Non-financial resources made available

- gives a detailed overview of the non-financial resources, such as:

- human resources (number of persons, key players or exhaustive list if possible, qualifications, secondment<sup>4</sup>, etc);

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<sup>4</sup> Many agreements require the parties to second personnel to other organisations, frequently abroad. In this case, it may be useful to stipulate in the CoOA the main conditions of such secondment, which may entail an independent agreement separate from the main agreement. The following points might be taken up (the work needed to prepare the secondment, accommodation, interpreters, travel allowances, working hours, remuneration, overtime, travel expenses, holidays, medical care and reimbursement of costs, other social security items (life insurance, pension funds, etc.), settlement of accounts and payment, working conditions, IPR regime, employer liability, insurance, applicable law and jurisdiction (e.g. arbitration).



- equipment and facilities (number, nature, place, etc);
- background or other information (such as plans, manuals, calculations, prototypes and also intellectual property rights pertaining to such information);
- contributions of sponsors or any other third party (such as subcontractors or affiliates).

### 6.3. Project schedule

- sets out the production schedule for inter-related tasks and for planning purposes (i.e. when, where and how the resources will be made available).

It is recommended that in their own interests the parties should not establish irrevocable schedules unless they are absolutely sure that these can be met, and to include instead contingency plans for delays or missed deadlines. An irrevocably accepted production schedule could be considered to be a guaranteed commitment and may involve payment of indemnities if not met.

On the other hand minimum compliance with deadlines can be guaranteed by other methods, as discussed in the section on Managerial Provisions.

### 6.4. Changes

- sets out provisions for dealing with changes to the project.

The Coordination Agreement may have to be adjusted or even discarded altogether as the work progresses, depending on the situation. To deal with highly volatile situations, it is advisable to provide a very flexible procedure for making changes to the initial specifications. This could go as far as including the termination of certain tasks, the withdrawal of certain parties, the inclusion of new partners, etc. To avoid disputes, the conditions and procedure should be clearly indicated.

## 7. COORDINATION AND MANAGERIAL PROVISIONS

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- describes the provisions dealing with the coordination and management of the two project (e.g. management bodies and decision making process).

### 7.1. Co-ordination and management

- establishes a co-ordination structure (may be called steering committee, liaison committee, management committee, and can be broken down into different sub-groups such as financial, technical, legal, etc.) with, among others, the following tasks:

- to define, divide and develop the tasks;
- to check the progress of the work;
- to co-ordinate the research teams;
- to co-ordinate the preparation of the reports (technical, financial, etc.);
- to advise and direct the partners on the developments necessary for the project;
- to permit formal exchanges of information between the partners.

The work of this steering committee is frequently translated into daily management and representation duties by a co-ordinator(s) selected from among the parties. Other committees can be created as necessary and should report to the steering or co-ordination committee. Provision should be made for their creation when necessary.

## **7.2. Powers and responsibilities**

- with regard to any body which is established or any person entrusted with certain tasks, the CoOA should carefully define:

- the powers and responsibilities thereof;
- the operating procedures (preparation of agenda, meetings, decisions, chairmanship, minutes, votes, etc.);
- in the case of bodies, their organisation (composition, powers of each party, decision making method possible depending on nature of issue (unanimously, majority agreement, voting and veto rights etc.);

- to avoid cumbersome procedures the parties could foresee a simplified approval process for depending on the nature of the decision envisaged.

## **7.3. Follow-up and Supervision**

- describes how the follow-up and supervision of the projects will take place.

Each consortium undertakes to follow the production schedule in the technical provisions of the two coordinated projects. In view of the evolving character of projects, these production timetables are generally subject to change. To limit the risk, it is desirable to provide for a strict and effective supervision system managed by the coordination structure (see point 7.1) including:

- frequent progress meetings / web/video/tele-conferences (ranging from once a month to once per quarter);
- frequent and focused technical progress reports (actions completed and results obtained);
- optional extraordinary meetings / web/video/tele-conferences as soon as agreed estimated deadlines have been overrun, including the right for the parties to review their position within the co-operative venture based on clearly stated reasons.

## 8. FINANCIAL PROVISIONS

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*(beyond those already included in the EU grant agreement and its annexes)*

### 8.1. Financial plan

To be defined by the parties if necessary.

### 8.2. Mutual payments

- deals with mutual payments and common costs of more than one party (if applicable).

Under certain circumstances, two or more parties may incur common expenses (personnel, equipment, etc.). It is desirable to provide for the procedure governing the payment of this type of expense by each party in the CoOA and, if involving a party co-funded by the European Commission, then to clearly identify its reporting to the Commission, particularly as regards the following:

- reimbursable advance to a participant and method of reimbursement;
- joint account and conditions for paying in funds;
- terms of payment;
- currency;
- impact of exchange rates and bank transfer costs;
- payment of taxes;
- interest, if any.

- identifies management activity costs beyond those foreseen by the EU Grant Agreement, etc.

### 8.3. Costs to be claimed under the coordination activities

- determines the costs which relate to the coordination of the projects, e.g. costs related to coordination meetings.

### 8.4. Changes

- sets out provisions for dealing with changes to the financial aspects of the project.

## **9. PROVISIONS REGARDING INTELLECTUAL PROPERTY RIGHTS (IPR) DISSEMINATION AND EXPLOITATION**

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- describes additional provisions on IPR, dissemination and exploitation.

The basic principle applied in drafting these provisions is to provide a flexible and efficient mechanism to support the co-operation between the projects. Depending on the nature of the cooperation between the projects, the following issues could be treated:

### **9.1. Ownership of results**

- deals with the ownership of IPR jointly developed in the projects (Article 26 (2) of the MGA).

In case of joint ownership, the joint owners are advised to establish an agreement regarding the allocation and terms of exercise of that joint ownership. Such an agreement may involve issues such as how to govern the difficulties in continuing with joint ownership depending on the circumstances. If joint ownership is maintained, it could be agreed:

- to have some form of territorial division, by virtue of which one party to the invention owns the invention only in some countries and the other parties are free to register it in other specified countries;
- to have some form of division of application markets, by virtue of which one party to the invention owns the discovery only in business sectors in which it is already active;
- to set up a regime for the protection (e.g. when and how to protect and who bears the costs for protection and possible enforcement);
- to set up a regime for use (including licensing) by the joint owners, within, for example, specified limits and possible profit sharing.

Joint ownership issues can be regulated once and for all in the Coordination Agreement, or in separate joint ownership agreements developed for each joint ownership situation (as a one-size-fits-all approach may not be appropriate in all projects).

### **9.2. Protection, Exploitation and Dissemination of results**

Arrangements could be made regarding a common, dissemination and or exploitation strategy including co-authoring of publications.

- Horizon 2020 provides for a general obligation to protect, exploit and disseminate results (Article 27 (1) and 28 (1) of the EU Model Grant Agreement).

Besides this general obligation, additional exploitation and dissemination obligations could apply to participants that have received EU funds and plan to exploit the results generated with such

funding primarily in third countries not associated with Horizon 2020 and this, in accordance with the principle of reciprocity.

### **9.3. Confidentiality of results**

This governs issues regarding the confidentiality of results (for example, a confidential review/notification process to ensure that no confidential information is revealed before protection takes place by the owner thereof).

### **9.4. Access rights (licences and user rights)**

The Coordination Agreement should provide rules on access rights between the participants of the EU project and the participants of the third country project if this is needed for implementation purposes or for using the results generated in the respective projects. The terms and conditions should be clearly defined.

## **10. GENERAL PROVISIONS**

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### **10.1. Entry into force**

- determines the effective date of entry into force of the CoOA (consequences if not all parties accede to the EU Grant Agreement).

### **10.2. Duration / Termination**

- deals with the duration of the CoOA and with the causes of early termination and addresses issues such as:

- the duration of the CoOA vs. duration of the EU Grant Agreement (e.g. 6 months longer, etc);
- the possibility of tacit renewal and extension;
- the automatic termination after full completion of the project;
- the termination prior to full completion or upon early termination of the EU Grant Agreement;
- the termination due to breach;
- the consequences of different reasons of termination (e.g. return of documents).

### **10.3. Amendments to the CoOA**

- provides simple and clear conditions and procedures for the amendment or revision of the CoOA.

### **10.4. Confidentiality**

- determines the confidentiality obligations in general and limits thereof, such as:

- what information is considered confidential (i.e. scope and exceptions<sup>5</sup>);
- what steps/procedures must be taken to mark and transfer confidential information;
- to whom the confidential information may be divulged and under which conditions;
- the period during which the confidentiality obligations must be respected (See also under the heading "Survival" below).

### **10.5. Treatment of classified data or information, treatment of dangerous materials**

- For security research projects, the parties need to define internal rules on how to handle, use and transfer classified data and information or dangerous materials. Any such treatment has to respect the relevant national, EU and International legal restrictions. The CoOA can also contain legal consequences for the case of non-performing / non-complying parties, in addition to the relevant contractual clauses of the EU Grant Agreement.

### **10.6. Breach / non-compliance and associated liability, indemnification or penalties**

- sets out what constitutes a breach of the obligations under the CoOA and its consequences, i.e.:

- what constitutes a breach and the procedure to be followed (including for example, a requirement to give notice identifying the breach and providing for the possibility of the defaulting party to rectify such a breach within a given period);
- liability (and possible limitations/force majeure) for damage caused and indemnification thereof;
- possible penalties or liquidated damages for non-compliance (the conditions under which they are due should be clearly stipulated (e.g. regarding amounts, the procedure, the interest in case of delay of payments, etc);

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<sup>5</sup> See also in this respect Article 36 of the EU Model Grant Agreement.

## 10.7. Survival

- sets out which provisions survive the duration of the CoOA, such as those regarding:

- confidentiality and, if applicable, classification;
- applicable law and jurisdiction;
- access rights provisions;
- use of project Acronym (especially if this sign is protected as a trademark or a domain name for this sign has been registered).

## 10.8. Partial invalidity

- deals with the consequences of invalidity of certain provisions of the CoOA.

## 10.9. Communication

- sets out how notices and other communication under the CA must be made (the way this is done may differ according to the aim pursued).

## 10.10. Applicable law and jurisdiction

- determines which law governs the CoOA and which forum must be used for conflict resolution.

The jurisdiction/forum chosen to settle disputes<sup>6</sup> can be a national court or an alternative dispute resolution mechanism such as arbitration. If arbitration is chosen, the CoOA will have to determine some or all characteristics of the procedure to be followed (e.g. relating to the arbitration site, the selection and number of arbitrators or the discovery and expertise process).

## 10.11. Number of copies, languages and signature process

- sets out the number of copies of the CoOA and language(s) (if more than one language is used it is preferable to determine the language version which shall prevail in case of dispute);

- determines the signature process (separate signature page, counterparts, etc).

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<sup>6</sup> To avoid that conflicts escalate and reaches the litigation phase, it is advisable to foresee a managerial procedure to detect and discuss potential problems at an early phase, with an escalation to a different level if the problem cannot be solved at the initial level.

ANNEX (clause 41.5 of the EU Model Grant Agreement)

41.5 Relationship with partners of a joint action — Coordination agreement

[OPTION for joint actions (joint call with a third country or an international organisation): The beneficiaries must conclude a ‘coordination agreement’ with the partners of the third country or international organisation action (see Article 2), covering for instance:

1. the internal organisation of the beneficiaries in both actions, including the decision making procedures;
2. rules on intellectual property rights (for example regarding protection, dissemination, use and access rights);
3. the settlement of internal disputes; liability, indemnification and confidentiality arrangements between the beneficiaries in both actions.

The coordination agreement must not contain any provision contrary to the Agreement.]

[OPTION: not applicable]