

ERAfrica

Joint Call of Programme Owners from EU Member States, countries associated to the 7th EU RTD Framework Programme and Africa

on "New Ideas"

Proposal Submission Period: January 15th to 15th April 2013, 24:00h GMT

Websites:

http://www.erafrica.eu
http://www.ptoutline.de/erafrica NI (for Call Text and Guidelines for Applicants)

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1. BACKGROUND AND OBJECTIVES OF THE ERAFRICA JOINT CALL

1.1 The ERA-NET ERAfrica

The ERA-NET scheme is a component of the European Commission's Seventh Framework Programme providing funding to improve the cooperation and coordination of national research activities and thus strengthen the European Research Area (ERA) with other regions of the world.

The ERA-NET with Africa localizes its activities within the framework of the *Africa - EU Joint Strategy* and its *First Action Plan* adopted at the Lisbon Summit in December 2007. The *First Action Plan* identified 8 Partnerships to implement the *Joint Strategy*. The ERA-NET with Africa supports the implementation of the 8th Partnership, which focuses on "Science, Information Society and Space", and more specifically the second priority of this Partnership, which is "to support S&T Capacity Building in Africa and implement Africa's Science and Technology Consolidated Plan of Action".

Building on mutual interest of Programme Owners in African countries, EU Member States (EU MS) and countries associated to the EU RTD Framework Programme (AC) to implement coordinated joint activities towards a multilateral funding scheme a "Group of Funding Parties" has been established.

This Group of Funding Parties is supported in this process by the consortium of the ERAfrica Project, which is funded by the European Commission as a Coordination and Support Activity under the 7th EU RTD Framework Programme.

1.2 Objectives of the Joint Call

The goal of the Joint Call is to create long-term research collaboration between EU Member States and/or Associated Countries and Africa. Research collaboration of a high standard between teams from EU Member States and/or Associated Countires and Africa will be supported through open competition.



2. THEMATIC FOCUS AND FUNDED ACTIVITIES

2.1 New Ideas

Curiosity-driven research in Africa and Europe should not be limited to any pre-set thematic focus. Only scientific excellence and novelty of idea, method or approach should matter in the funding of cutting-edge projects.

The aim of the call is to fund outstanding idea-driven projects generated in a bottom-up approach, i.e. scientists instead of funders deciding. The emphasis is set on the clearly evidenced originality and novelty of the idea, approach or expected outputs. There is no limitation to any pre-set thematic focus. All topics are acceptable and may pertain to all scientific disciplines or combination of them. The projects may have an interdisciplinary approach.

Idea-driven projects should represent an opportunity to pioneer ideas that address new and emerging fields and applications that introduce unconventional, innovative approaches. They should also represent a funding opportunity for generally underfunded topics.

Projects featuring participation by stakeholders involved in the transfer of project outcomes into practice (user community) will be given preference, since the potential for impact from these projects is expected to be greater.

2.2 Funded Activities

Three types of activities/instruments will be funded by this call: **Collaborative Research Projects, Collaborative Innovation Projects, and Capacity Building.** A combination of these activities is also possible where permitted by the national regulations of the individual Funding Parties. By **Collaborative Research Project** is meant a joint undertaking by a partnership of institutions ("consortium") designed to produce new knowledge through scientific research, whereby each team within the partnership actively pursues specific task objectives with a view to pooling the results to contribute to the achievement of a set of common, well-defined project objectives. A **Collaborative Innovation Project** is a joint undertaking by a partnership of institutions ("consortium") designed to bridge the gap between the outcomes of research projects and commercialisation, by supporting activities related to the first application and further market uptake of innovative techniques, processes, products or services, and helping overcome barriers that could hamper their commercial success. Projects should not involve purely promotional or marketing activities; such activities can be supported only in an adjacent capacity if instrumental to furthering the market uptake of the product itself. In the thematic area "Renewable Energies", additionally encouraged actions are applied research, social innovation and demonstration projects with a policy focus, when relevant. A Capacity Building Project is a joint undertaking by a partnership of institutions ("consortium") designed to assist relevant organisations to



improve their capacities and/or their enabling environment for research and innovation. Activities should target the strengthening of institutional capacities, not individual capacities (thus excluding the provision of individual grants, bursaries and scholarships, for example). By institutional capacity is meant the establishment of programmes aimed at providing training and instruction to groups of organisation employees or affiliated members in disciplines which can be employed to improve overall institutional performance in relation to research and innovation, such as courses on research management and administration, intellectual property management, commercialisation of research output, etc. Alternatively, institutional capacity building can involve the creation of equipment-sharing programmes providing access to specific research infrastructure to partners deprived of it, or permitting the training of researchers in the usage of specific infrastructure via exchange programmes. In all cases the funding cannot be used simply for a single event or series of events, but must serve as the basis for establishing an institutionalised, multilateral mechanism that will continue operating even after the initial project has come to an end.

Some combination of the abovementioned instruments is also possible, or even desirable, where permitted by, and conditioned upon, the national regulations of the individual Funding Parties.

2.3 Duration, Funding Scope

The duration of a project can be up to 36 months (national regulations of individual Funding Parties apply).

The total amount funding available for project consortia will depend on the Funding Parties upon which the consortium partners depend for financing. A table of funding can be found in section 3. The funding of an individual proposal will depend on the nature and duration of the proposed activities and must be justified in terms of the resources needed to achieve the objectives of the project. The funding requested should therefore be realistically adjusted to the actual needs of the proposal, taking into account any other funds available.



3. PARTICIPATING COUNTRIES

The following countries (and Funding Parties) have agreed to open the ERAfrica Joint Call in the field of New Ideas.

Only researchers employed at an eligible institution in these countries are eligible for funding through the ERAfrica Joint Call.

The ERAfrica Joint Call follows the *juste retour* principle, which means that national contributions to the virtual common pot will be assigned to project partners of that respective country only (in accordance with the national regulations). This should be taken into account when project consortia are formed.

The indicative contributions are as follows:

Country	Indicative Contribution New Ideas	
Cote D'Ivoire	EUR	45,000
Kenya	EUR	400,000
South Africa	EUR	300,000
Belgium¹ (3 Funders!)	EUR	375,000
Germany	EUR	400,000
France	EUR	50,000
Switzerland	EUR	500,000
Turkey	EUR	300,000
TOTAL	EUR 2	2,370,000

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 $^{^{1}}$ NI: CUD 100,000 €, BELSPO 75,000 €, FWO 200,000 €



4. ELIGIBLE APPLICANTS AND PROJECT CONSORTIA

Applicants must be eligible for funding according to the regulations of their respective national Funding Parties. They can represent research and higher education entities, companies, and other legal entities such as NGOs, once again subject to institutional restrictions set by individual Funding Parties. Details on eligible institutions for each of the Funding Parties can be found in the Annex to these Terms of Reference, and should be consulted prior to proposal preparation.

The project consortium must comprise project partners from at least 4 different countries, of which at least two from an EU Member State/Associated Country and two from Africa. These project partners must be eligible for funding according to the regulations of their respective Funding Parties, which are members of the Group of Funding Parties. Each project partner will be represented by a Principal Investigator (PI). The Project Consortium designates one of the PI's as Project Coordinator. Coordination by an African PI is strongly encouraged. Once the minimum number of partners required for the formation of an eligible project consortium is assembled, additional project partners, even if non-eligible for funding or from non-funding countries, may join any consortium submitting a proposal within the context of this Joint Call. These partners must carry their own costs. Each of them has to present a legally binding commitment for their participation in the project (the provenance of such funding is immaterial, and may equally be provided by another consortium partner according to its national regulations; for the purposes of proposal submission and evaluation, such funding will still be considered as "self-financing"). This commitment must be presented at the time of proposal submission according to the specific text template, which can be found in the Guidelines for Applicants.

The consortium of applicants will need to draw up a consortium agreement, which should include the fair handling of IPR, as outlined in the Standard Procedure on Horizontal Issues of Joint Funding Annex. The final consortium agreement must be signed before the conclusion of the Grant Agreements.² Guidelines for consortium agreements and IPR handling are included in the Guide for Applicants

 2 Instead of concluding a grant agreement, the funding parties are authorized to issue an ad-ministrative act (e.g.: a subsidy award).



5. ALLOWABLE PROJECT COSTS

Allowable project costs are grouped into categories.

They might differ for individual partners in a given project consortium depending on national regulations.

Thus, please check the national rules of the Funding Parties in Annex 2 prior to proposal preparation!

Funding of the Joint call may cover (see Annex on national rules)

- Personnel costs (as defined by the relevant Funding Party and according to its local rates and currency) of the research staff and other personnel
- Mobility costs (travel and subsistence expenses)
- Costs related to organising seminars and workshops within the project
- Acquisition of material and small-scale research equipment
- Running costs/Indirect costs

Other relevant costs may be funded according to the Funding Parties' institutional regulations, while some of the items listed above may not be eligible for funding by individual Funding Parties.



6. PROPOSAL SUBMISSION

All proposals must be written in English language.

A given proposal may only be submitted for one of the thematic areas supported within the framework of the ERAfrica call (i.e. either Renewable Energy or Interfacing Challenges or New Ideas), and proposals submitted by the same researcher and/or consortium within more than one thematic area need to indicate explicitly how the proposals differ. Researchers submitting proposals are obliged to report submission of the same or similar proposals to other funding schemes, as well as funds awarded as a result of such submission. ERAfrica retains the right to reconsider the granting of funds should the concerned project consortium fail to do so.

6.1 Procedure

Project proposals must be submitted electronically using the pt(outline* webtool which is accessible directly at

New Ideas

http://www.ptoutline.de/erafrica NI

or through a link given at the ERAfrica website (http://www.erafrica.eu).

Each project consortium has to choose a Project Coordinator from among all partners of the respective project. When accessing the submission system for the first time, the Project Coordinator will be asked to enter her/his e-mail address. In return s/he will receive by e-mail a user ID and a password. Her/his account will be activated after receiving an email containing the password. The **password** grants **all partners** in the consortium access to the project proposal submission page, where it is possible to complete parts of the project proposal or to place or replace the proposal in part or in full. The exact mode of writing the proposal is at the discretion of the project consortium, which may choose to share the workload, or not, in whatever way they wish.

The PT-Outline electronic template consists of several pages (General information, Project coordinator, Project partners and Project description) that need to be filled-in online. In addition, a word document, a budget file and an ethical issues declaration has to be downloaded from the Project description page of PT-Outline, filled-in with the requested information and uploaded again.

During the proposal submission phase, it is allowed to replace already registered and eligible project partners, or to add project partners to the consortium.

Please note that after the binding submission of a proposal (through clicking on the 'SUBMIT NOW' button in PT-Outline) no further changes can be made to your proposal.

More information on how to submit a proposal with PT-Outline can be found in the Guidelines for Applicants.



6.2 Proposal Structure

The Project description document has to obey the following structure:

SECTION A GENERAL INFORMATION

A1. Proposal Details

- Title. Give the title of your project (less than 200 characters).
- Short Title or Acronym (max. 10 letters).
- Keywords: Identify the relevant keywords selected from the keyword list (see Annex: List of Keywords).
- Free words: Supply additional free words further to specify your scientific subject.
- Intended starting date: (Not earlier than... Not later than)
- Duration: Up to 36 months.
- Total cost: Estimated overall budget of the project with breakdown per partner, including costs not covered by ERAfrica such as 'in kind' payments/contributions and other costs, which should be specified.
- Requested funding: The total amount of funding requested from ERAfrica.
- Participation of any research team involved in this Proposal in any other Proposal submitted within the framework of this Call.

A2. Summary (max. 500 words)

Summarise the main questions and/or approach and objectives; give a short description of the activities and expected results of the project. This summary must be manually input into the relevant section in pt(outline* and cannot be uploaded as a Word document or PDF.

A3. Background, Questions and Objectives (max. 1500 words)

Give a detailed justification of the objectives of the project within the context of the state-of-the art of the scientific area related to the project:

- Present the research and/or innovation questions and/or capacity building approach the project intends to address within the framework of New Ideas
- Precisely describe the scientific, innovation, or capacity building objectives of the project.
- Give the scientific, innovation, or capacity building basis for the project and describe the present state-of-the-art concerning the specific topics of the project. Identify important gaps to be filled by the proposed activities.
- Present the unconventional or new idea/method/approach.
- Explain the novel character of the research, innovation, or capacity building proposed.
 Show how the objectives of the project aim at significant advances in the state-of-the-art through extending the current knowledge and/or filling the gaps identified by new or emerging applications or approaches.



- If applicable: Highlight the interdisciplinary character of the project, and explain how its added value is to be exploited.
- Explain the added value and effect of Africa-Europe and related transnational collaboration on the new idea/method/approach identified.
- Explain the relevance and importance of the research, innovation, or capacity building project proposed, in terms of applications (new products, services, processes, social innovations) and/or in terms of economic and societal impact.
- If the proposal is part of a larger national or international project, explain its precise role and how it fits into this wider context.
- Explain the role and contribution of stakeholders in the project at all stages.

A4. Project Description (max. 2500 words)

- Give an overall description of the project and justify the methodology chosen to reach the objectives. Describe where the new idea, method or approach will be applied within the project.
- Give an overall description and the general approach and methodology chosen to achieve the project objectives. Highlight the particular advantages of the methodology chosen; specify the expected project results (in quantitative terms where appropriate).
- Explain which surplus you expect by applying the new idea, methodology or approach in comparison to conventional approaches.
- Explain where there might exist a potential for synergy between different tasks of the project and how this is going to be exploited.
- Give references of relevant scientific publications.

SECTION B TEAM INFORMATION (max. 500 words per partner)

- Identify the participating teams and the institutions to which they belong.
- Identify the Project Coordinator and the Principal Investigators.

For each team, the following information should be given:

- Team Details:
 - Give the total number of team members. The size of each team should be limited to those people actually needed for performing the tasks.
 - Describe the background and particular expertise of the team in relation to the tasks to be performed. Describe how the teams complement each other in the execution of the project.
 - If relevant, provide a maximum of five references of relevant, recent scientific publications or patents which best show the capability of the team to perform the work proposed. Indicate for each the name of the authors, the title of the article, the journal or other publication, the date and place of issue. If a publication exists on a website, give its address.
 - Describe the relevant instrumentation and infrastructure available in view of the tasks assigned to the team.
 - Describe the specific contribution of each project partner.



- Describe prospects for establishing efficient and sustainable partnerships within the network, including transfer of know-how and experience.
- Contact details of the Proposal Coordinator and all Principal Investigators.

SECTION C PROJECT MANAGEMENT (max. 1000 words)

- Describe how the overall coordination and monitoring of the project will be implemented. Provide if possible a project organisational chart. Indicate the decisionmaking bodies and processes foreseen as part of the project execution (decision boards, coordination meetings).
- If appropriate, set up a Gantt chart or detailed diagram giving the time schedule of the tasks and mark their interrelations; add milestones where important goals will be reached and/or decisions on further approach will have to be made; indicate a critical path marking those events which directly influence the overall time schedule in case of delays.
- Explain how information flow and communication will be enhanced within the project (e.g. via the use of communication software, through consortium- and task meetings, by the temporary placement of project participants at other partner institutions). Provide detail of specific planned meetings and exchanges, and highlight factors likely to lend additional value to these, such as the involvement of young researchers.
- Risk management: Indicate where there are risks of not achieving the objectives and fall-back positions, if applicable.

SECTION D BREAKDOWN OF COSTS

• For each team, give the cost breakdown and a brief justification for all allowable costs. All costs should be given in Euros. The cost breakdown should follow the template provided in the Guide for Applicants.

SECTION E IMPACT OF PROJECT RESULTS (max. 1000 words)

- Describe the expected results of the project and their utilisation potential.
- Describe the expected impact of the project on new and emerging fields and applications
- Describe the expected impact of the project on the scientific disciplines involved in the project.
- If applicable: Describe how stakeholders will be involved in the transfer of project outcomes into practice.
- Describe the expected impact of the project results in terms of economic and societal needs of Africa and the EU.
- Sketch out a result exploitation plan which explains:
 - i. How the new knowledge generated through the project and other deliverables of the project will be exploited (apart from publications and other information-sharing activities, also including databases, problem solving concepts, computer codes, technical solutions, etc.);



- The appropriateness of measures for the dissemination and/or exploitation of transnational projects results;
- iii. If relevant: how innovative results will be further exploited through an implementation plan for the project results;
- iv. How intellectual property, including foreground knowledge, patents, copyrights, license agreements and any other arrangements will be managed.

SECTION F Ethics, Gender, Young Researchers (max. 500 words)

- If applicable: Clearly explain the way(s) in which the project intends to deal with ethical issues that may be associated with the project.
- If applicable: Explain how gender is taken into account in the project.
- If applicable: Explain how young researchers are supported through the project activities

7. EVALUATION

The evaluation process includes the following Steps:

7.1. Eligibility check

The ERAfrica Common Call Secretariat and the ERAfrica Information Points will check the eligibility of all submitted proposals taking into consideration the general ERAfrica eligibility criteria and the individual national criteria respectively.

As General eligibility criteria, Proposals must:

- Conform to the scope and the thematic focus of the call as described in Section 2
- Meet the consortium composition requirements as specified in Section 2
- Be submitted by at least 4 applicants from 4 different countries (2 African countries and 2 EU Members States/ Associated Countries), all of which must be eligible to receive funding from their national representatives within the Group of Funding Parties as specified in Section 2.
- Comply with the maximum allowed duration as specified in Section 2
- Comply with the funding requirements as specified Section 2
- Comply with the terms of the submission procedure as specified in Section 5
- Be complete according to the rules and in line with the required proposal structure described in these Terms of Reference
- Be submitted in the English language
- Be submitted electronically using the pt(outline* tool (see Section 5)
- Meet the submission deadline.

The national criteria are given in the Guidelines for Applicants.



Project proposal applicants are strongly advised to contact their National ERAfrica Information Point for the ERAfrica call in due time before submission, to check their national eligibility.

Non-eligible proposals will be rejected.

7.2. Peer review

A dedicated **pool of evaluators** appointed by the Group of Funding Parties, consisting of external independent experts, assesses anonymously the merits of the submitted proposals.

For each Proposal, independent evaluators will be pre-selected by the CCM from the pool of evaluators, with a view to achieving maximum competence for the evaluation.

The set of criteria for collaborative projects includes the scientific merit of the project, its expected impact, the quality of the consortium and the quality of the project management. The maximum score is 5. For all criteria the passing threshold is 3 points out of 5, except for Scientific Merit, for which the passing threshold is 3.5. The four criteria are given individual weights and contribute accordingly to the total score. An overall threshold of 66% of the maximum score needs to be met for a proposal to be considered for funding.³

5: EXCELLENT

The proposal addresses all aspects of the criterion in question in an outstanding manner.

4: VERY GOOD

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

3: GOOD

The proposal addresses the criterion well, although certain improvements are possible.

2: FAIR

While the proposal broadly addresses the criterion, there are significant weaknesses that would need correcting.

1: POOR

There are serious inherent weaknesses in relation to the criterion in question.

³ Each point given for scientific merit will contribute 8% (i.e. 40% divided by 5) to the total, whereas each point given for expected impact would contribute 6% (30% divided by 5), for quality of the consortium each point would contribute 4% (20% divided by 5) and for quality of project management each point would contribute 2% (10 divided by 5) to the total. Thus, for a fictional project that has been given 4 points for scientific merit, 5 points for expected impact, 4 points for quality of the consortium and 3 points for quality of project management, the calculated percentage would be 84 (32 + 30 + 16 + 6) and the project would be eligible. Each criterion also received at least 3 points (and 3.5 for Scientific Excellence), thus the threshold for individual criteria has also been exceeded, making the project eligible.



The following criteria are to be applied:

(I) Merit of the project (50%), including:

How clearly are the scientific objectives described and operationalized in the relationship between the objectives and research and/ and/or capacity building questions addressed?

How effectively are the relevance and importance of the proposed project described from a scientific and/or and/or capacity building point of view? Do the proposed activities and especially the suggested innovative method/application/ idea lead to significant advances in science and/or innovation and/or capacities?

How novel and promising is the proposed research? / Has the proposed project the potential to generate new insights or innovative approaches, methods or outputs?

Does an approach offer unexpected or novel combination of familiar aspects?

Can the project's objectives realistically be achieved in the time frame proposed within the framework of the current state-of-the-art (taking into account the merits of the new idea)?

How clearly is the working programme explained? Is it well focused on the project objectives?

How appropriate are the applied methodologies to attain the project objectives related to research and/or innovation and/or capacity building? If applicable: How effectively is an interdisciplinary approach applied in the proposed activities?

(II) Expected Impact of the project (25%), including:

How well does the project correspond to the aims of the New Ideas?

Is the innovative idea/approach/method fit to pioneer new and emerging fields and applications?

Do the results lead to significant advances in science?

Does the EU-Africa collaboration represented by the project add value to the project to be undertaken? What are the prospects for the sustainability of the partnership and for the transfer of knowledge?

Does the project involve non-consortium stakeholders likely to be affected by the project and its results?

Will the project result in applications for developing new, or improving existing technological products, systems or methods, or can the results be combined with any of these? Will the project results lead to new, non-technological products such as social innovation strategies, increased capacity or environment for research, or improved instruments for social analysis and interpretation?

Does the Proposal adequately plan the dissemination and exploitation of project results, intellectual property, and/or knowledge transfer?

Is there a potential for training young researchers as part of research to be undertaken? Are gender issues adequately addressed by the project?

(III) Quality of the consortium (15%), including:

Do the qualifications of the teams, measured according to standard international criteria, meet the requirements of the tasks? Do the qualifications of the proposal coordinator and the principal investigators meet the requirements of the tasks? Do all the teams make a



significant contribution to the project and bring added value for attaining the objectives? Are the sizes of the teams justified by the tasks they assume?

Is a significant added value to be expected as a result of a collaborative approach?

Does the consortium provide the technical resources including research and/or innovation and/or capacity building infrastructures needed for carrying out the tasks?

Do the members of the consortium have sufficient experience in international cooperation?

(IV) Quality of the project management (10%), including:

Is the Project Coordinator qualified to efficiently manage the resources and competences contained within the consortium in view of achieving the objectives of the project?

How appropriate is the requested funding and its proposed allocation to each team? Is the division of tasks and resources appropriate for reaching the objectives?

How appropriate and realistic is the proposed workflow and time schedule? Does the proposal foresee adequate monitoring & control mechanisms and fall-back options?

Is the use of information and communication tools adequately foreseen (e.g. meetings, data exchange, and joint working periods)?

Although no separate rating is given for the quality of a submitted proposal, any submission of such poor quality that it cannot be properly read or comprehended by one evaluator, and is returned unevaluated by him or her for this reason, will not be evaluated. Such proposals will be dismissed by a decision of the Group of Funding Parties without further notice.

7.3. Review Committee and Funding Decision

The **Review Committee for the "New Ideas" proposals** is appointed by the Group of Funding Parties, consisting of high level experts selected. At least one submitted expert per Funding Party will be included in the Review Committee.

The Review Committee will consolidate the results of the evaluation and make recommendations to the Group of Funding Parties in the form of a ranking list of Proposals proposed for funding. The Review Committee will in particular consider proposals that have received an abnormally broad span of scores from the evaluators. The Review Committee will also prioritize between proposals having received the same score, giving priority to the scientific merit as well as expected impact and taking into account the objective of achieving a fair balance between different objectives of the call.

The final funding decision rests with the Group of Funding Parties.

Selected applicants may be requested to resubmit their proposal to their funding agency for administrative purposes.

Selected consortia will be asked to elaborate their respective consortium agreement before any contract or award can be made. Individual national funding parties will be responsible for the contracts with or awards to the researchers from their respective country.



8. Legal clauses

Each research consortium funded through the ERAfrica Joint Call will be conditionend to take arrangements concerning intra-consortial relations, the handling of intellectual property and reporting duties towards the Common Call Management.

Additional requirements for the consortia maybe found in annex 2 for the respective countries.



ANNEX 1: Contact data of ERAfrica Information Points (EIPs)

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ANNEX 3: Indicative timetable

Publication of the Joint Call for Proposals	15 January 2013
Information & Partnering Events	February 2013
Deadline for proposal submission	15 April 2013
Eligibility check of proposals by the Central Management Office and the National Information Points	3 May 2013
Online peer review by two/three peer reviewers	May – August 2013
Expert Project Selection Meeting (Scientific Review Committee)	September 2013
Funding Parties Project Selection Meeting, funding decision (shortlist)	October 2013
Eligibility check of national funding (fundable costs)	October – November 2013
Final Funding Decision (reserve list)	November 2013
Negotiation and signing of the national funding contracts	December 2013 - May 2014
Start of projects	At the latest 1 June 2014