

INTAS Innovation Grant Call 2005

Information Package

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Annex: List of Keywords

1. GENERAL INFORMATION & SCOPE

In 2005 INTAS launches a Call for applications for Innovation Grants with a budget of € 1 million.

INTAS statutory tasks also include facilitating the dissemination and exploitation of scientific results. To achieve this objective, INTAS supports through Innovation Grants the dissemination and exploitation of scientific results, which have potential application. Innovation Grants help linking a consortium of NIS and INTAS partners with potential users, to protect the knowledge generated by the research and to orient the use of the results towards clearly specified needs of the society and/or of the market.

1.1. Scope

The Innovation Grants Call 2005 will offer grants to support two categories of projects:

1.1. Innovation Projects - for exploitation of results obtained through INTAS-funded projects

INTAS provides financial support for the exploitation of results obtained in INTAS-funded research projects, networks or young scientist fellowships, potentially leading to innovative products, technologies, services and strategies of significant economic and/or societal value.

INTAS Innovation Grant will in this case help to link a consortium of NIS and INTAS partners with potential users, to protect the knowledge generated by the research and to orient the use of the results towards clearly specified needs of the society and/or of the market. Innovation Projects may be directed, among others, towards non-commercial strategies and new approaches at the level of state and society or may be targeted on finding partners for innovation implementation.

1.1. Innovation Partnering Projects - for industrial use of results obtained in or outside INTAS projects or activities

INTAS provides financial support for the industrial application of results obtained inside or outside INTAS-funded projects and activities, potentially leading to innovative products, technologies or services of significant economic and/or societal value.

INTAS Innovation Grant will in this case help to support a consortium of NIS and INTAS partners **including at least one industrial partner from an INTAS member state**, to protect the results and to orient the use of the results towards clearly specified needs of the society and/or of the market

For Innovation Partnering Projects, the following additional conditions must be fulfilled:

- At least one industrial partner from an INTAS member state must be involved in the project with a financial contribution equalling the INTAS grant;
- The innovation must be patentable; and before the grant agreement will be signed a patent application must have been submitted to any national or the European Patent Office;
- A consortium agreement covering the Intellectual Property Rights (IPR) related to the innovation must have been concluded and be submitted with the full proposal (second stage).

1.2. Project Consortium

The project consortium must comprise at least one scientist or team from the NIS, and one partner from an INTAS member state; the consortium must include one of the main authors of the innovation. In case of an Innovation Partnering Project one INTAS partner must be an industrial enterprise.

1.3. Duration

The duration of a project must be 12, 18 or 24 months.

1.4. Funding

The maximum grant allocated per project by INTAS is € 25,000. No more than 25% of the total

INTAS grant is available for teams from INTAS member states.

In case of an Innovation Partnering Project the INTAS industrial partner must give evidence that it co-finances the project in an amount equalling the INTAS grant.

1.5. Submission Procedure

For the Innovation Grant Call 2005 a **two-stage submission procedure** is implemented.

1.5.1. Pre-proposal stage

In a first stage only a short outline proposal is to be submitted (*pre-proposal*). This outline proposal will be evaluated against a restricted set of evaluation criteria assessing the merit of the scientific-technical quality and the novelty of the innovation, its potential economic and social impact and the merit of the suggested strategy of implementation.

1.5.2. Full proposal stage

Proposals passing the evaluation at the pre-proposal stage will be invited to submit a *full proposal*. The full proposal will then be evaluated against the full set of evaluation criteria. In addition to the criteria mentioned above the merit of the consortium, the merit of the project management and innovation implementation will also be assessed.

2. ELIGIBILITY OF PROPOSALS

Proposals must:

- Be in the scope of the call as described in section 1.1.
- Meet the consortium composition requirements as specified in section 1.2;
- Comply with the allowed duration as specified in section 1.3;
- Comply with the funding requirements as specified in section 1.4;
- Comply with the terms of the submission procedure as described in this Information Package;
- Be complete according to the rules described in this Information Package;
- Be submitted in the English language;
- Meet the submission deadlines as set forth in the announcement of the Call.

Only proposals meeting all above eligibility criteria will be processed by INTAS. Proposals seeking continuous support for research projects pursuing scientific work not leading to a direct applicability of the scientific results will be discarded.

In the event of several identical or nearly identical proposals submission within this Call, INTAS will process only the latest version received and declare all other versions ineligible.

3. ALLOWABLE PROJECT COSTS

Allowable costs are costs necessary for the marketing, utilisation and legal protection of the innovation. The maximum allowable funding per project is **25,000 €**. The funding depends on the nature of the innovation activities and must be justified in terms of the resources needed to achieve the aims and objectives of the proposed work plan. Not more than **25% of the total innovation grant** will be made available to all contractors from INTAS Members. The following costs are allowable:

3.1. Travel and Subsistence

Visits should be of short duration, not exceeding one week unless duly justified.

- National and international travel at the most economic fare available.

- Visa and social security or other insurance costs relating to the travel period.
- Accommodation and other subsistence costs according to the internal rules of the team member.
- NIS participants may receive for travel outside the NIS area a daily allowance exceeding the internal rules of their NIS organisation. In this case, the maximum allowance for the total living expenses including accommodation is 100 € per day.
- Travel outside the NIS and the INTAS member states needs to be approved by INTAS in the work programme or by prior written approval if not foreseen in the work programme.

3.2 Other allowable costs

- Technical and market assessment;
- Legal advice and IPR (Intellectual Property Rights) support, including costs for patenting in the NIS and/or INTAS Members;
- Marketing, including fees for participation in fairs and exhibitions;
- Partner search;
- Preparation of marketing materials and documentation;
- If necessary for the marketing of the innovation - the preparation of close-to-the-market prototypes, models or samples.

3.3. Overheads

Only a coordinator can claim overhead costs of up to 2,000 € for indirect costs necessary to run the project. Overhead costs will be paid directly to the organisation of the coordinator.

Please note, that INTAS Innovation Grants do not include any individual grants for NIS team members.

4. PREPARATION AND SUBMISSION OF PROPOSALS

Only submissions through the INTAS Internet-based submission system are accepted. Proposals sent by post, e-mail, telex or facsimile will be rejected without notice.

4.1 How to use the INTAS Submission System

4.1.1 Registration in the INTAS Submission System

In order to prepare and submit a proposal **the coordinator** should access the INTAS on-line submission system through Internet site <http://www.intas.be>; link: "Submission System" and select the "Innovation Grant Call 2005" and the type of project, either "Innovation Project" or "Innovation Partnering Project".

When accessing the submission system for the first time the coordinator will be asked to enter his/her e-mail address. In return s/he will receive by e-mail a "user ID" and **two** passwords, namely the "**password**" and the "**unlock password**".

!!! Make sure that you register in the Innovation Grant Call 2005 with the correct project type "Innovation Project" or "Innovation Partnering Project"! Once entered in the submission system a proposal cannot be transferred by the coordinator to another call.

4.1.2 Access to the INTAS Submission System

By using the **password** all partners in the consortium are able to execute their own part of the project proposal submission and to replace the proposal partly or fully with an updated version.

By using the **unlock password** either before or after the final submission but **before the deadline**, the coordinator is able to delete, correct or replace the proposal. Therefore:

!!! It is strongly recommended that knowledge and use of the unlock password be restricted to the coordinator.

Please note that **only one partner may access the proposal file at a given time**. In case of simultaneous login attempt, the system indicates: "somebody else is working on the proposal" and denies the second connection.

4.1.3 Final Submission

Only **the coordinator** can execute the final submission by using the **unlock password**.

!!! Each time the unlock password will be used to re-open the proposal for control or for modification, it is imperative to redo the final submission. Otherwise the proposal would remain in the preparatory status and not be considered submitted.

Proposals not finally submitted will not be further processed by INTAS.

!!! Avoid final submission just before the deadline. Experience shows that high Internet traffic during the last days before the submission deadline of the Call may make the access difficult.

4.1.4 Print-out of the proposal full text

After **final submission** of the proposal, the submission system generates the full text of the proposal as it will be submitted to the evaluators. This proposal text will be returned to the coordinator by e-mail usually within 3 working days, together with the acknowledgement of receipt (see 4.1.5).

Recommendations:

- During the preparation of the proposal, print out and control each of its completed sections separately using the "print and preview" button.
- Make the first final submission of the proposal early enough to check the generated text and keep the opportunity to resubmit the proposal, identical or corrected, before the deadline.

4.1.5 Acknowledgement of Receipt and registration number

After final submission of the proposal, the coordinator will automatically receive by e-mail an acknowledgement of receipt with the proposal's registration number.

Re-opening the proposal after the final submission by using the unlock password **renders the acknowledgement of receipt void**. A new acknowledgement of receipt will be provided after each re-submission.

4.1.6 Deadline

It is imperative that all proposals are finally submitted by the co-ordinator before the deadline specified in the announcement of the call.

Access to the Submission System will be closed after the deadline.

!!! ATTENTION:

- While working on your proposal, the submission system will automatically interrupt the connection after 30 minutes if no data are sent to the INTAS server. Data are sent every time you press the "save" button.
- When you stop working with the submission system, please **always use the "log off" button**. Failure to do so will result in the system blocking any further access to the proposal and indicating: "Someone else is working on your proposal". In such a case, the proposal can only be accessed again with the unlock password.
- To **check the status** of your proposal, access your file using the password. If the

acknowledgement of receipt is displayed, the final submission has been executed; if the proposal text is displayed, it is still in the preparatory phase. **Do not use the unlock password for checking the status of your proposal.**

- Before a proposal is finally submitted, the INTAS submission system automatically checks some of the eligibility criteria. Please note that **not all eligibility criteria are checked automatically** and that the responsibility for compliance with the eligibility criteria rests with you.
- Don't forget to **re-submit your proposal after each use of the "unlock" password.**

4.2 How to submit your proposal using INTAS Submission System

Proposals must be written in the **English language.**

4.2.1 Building your proposal with the INTAS Submission System

The submission system guides you throughout the preparation of your proposal and controls the input of all mandatory information. It is self-guiding; however, to get a complete overview of the forms that need to be filled in, you can also download the Technical Guide from INTAS Web site.

Both at the pre-proposal and full proposal stage, the submission system structures your proposal in separate sections in each of which you are invited to provide the information as described below. You may complete the sections in any order. Only after all the mandatory information of a given section has been introduced will the system accept to save it. If you are temporarily unable to provide mandatory information but still want to save the preliminary input, you may introduce an asterisk in the respective field and fill it later.

Text sections are entered *either* by directly typing in text boxes *or* by uploading a text file, depending on the option proposed by the system. Uploaded text files must be in plain text format **.txt** or in **.rtf** format; other formats are not supported by the system.

When offered, the uploading option gives also the possibility to include **graphic objects**, such as formulas, tables, charts and pictures. Graphic objects can be either included in the text of the proposal or uploaded as separate, graphic files. The system supports the following graphic formats: **.jpg, .jpeg, .gif, .tif, .bmp** and **.png**. Use of any other format (including **.pdf** format) may result in various sorts of problems including generation of a corrupted final text of the proposal.

!!! INTAS will not be responsible for problems occurring with the submission and with the final text of the proposal, generated by the use of formats not supported by the Submission System.

4.2.2 Submission of the pre-proposal

The pre-proposal must be submitted through the Pre-proposal Submission Programme. Within this programme the information requested for pre-proposal submission is organised in five independent sections, each to be filled in.

Section 1. Proposal details

Title: give the title of your project (less than 200 characters); please note that the first line will be used as "short title" for identification purposes.

For Innovation Projects only: indicate also the title, duration and reference number of the initial INTAS project in which the innovation has been generated.

Keywords: Identify the keywords selected from the INTAS keyword list (see Annex: List of Keywords).

!!! Please note that the first keyword determines the scientific field under which your proposal will be processed.

Free word: Supply additional free words to further specify your scientific subject.

Intended starting date: not earlier than 1 February 2006

Duration: specify 12, 18 or 24 months.

Total cost: Give an estimated overall budget of the project (INTAS grant cannot exceed € 25,000)

Contact details of the coordinator.

Section 2. Description of proposed innovation

- Describe the innovation which can be a new product, service or technology and its current technical and/or socio-economic applicability. Explain the potential use of the innovation (max. 2 pages).

Section 3. Strategy of implementation and Intellectual Property Rights

- Describe your strategy to achieve the implementation of your innovation (max. 1 page). Indicate the situation regarding Intellectual Property Rights (IPR).

Section 4. Project Consortium

Give the composition of the project consortium and outline the main competences in the project.

- Identify the coordinator, and the coordinating organisation;
- Identify the other partners including the main author of the innovation;
- For Innovation Partnering Project: identify the industrial partner.

Recommendations:

- Prepare the texts of sections 2-4 outside the Submission System and save them in separate files on your local computer. When using the Submission System, these files must be individually uploaded in the appropriate sections.
- Use of pictures and charts lead to a more concise and compact presentation. You may add pictures, figures or any graphic object if appropriate either by including them in .rtf files or by separately up-loading graphic files using formats as indicated in section 4.2.1 above.
- Saving the information in separate files on your local computer will allow you to re-utilise it later in the full proposal submission.

4.2.3 Submission of the full proposal

The coordinators of pre-proposals selected after the evaluation (see 5.3) will be invited to submit a full proposal. The full proposal must be submitted through the full proposal submission programme for innovation grants. Accessing this programme will be possible with the **same password and the same unlock password** received when registering for the pre-proposal submission (see 4.1.2).

A GENERAL INFORMATION

Section 1: Proposal details

1.1. Title: give the title of your project (less than 200 characters); please note that the first line will be used as "short title" for identification purposes.

For Innovation Projects only: indicate also the title, duration and reference number of the initial INTAS project in which the innovation has been generated.

1.2. Keywords: Identify the keywords selected from the INTAS keyword list (see Annex: List of Keywords).

!!! Please note that the first keyword determines the scientific field under which your proposal will be processed.

1.3. Free word: Supply additional free words to further specify your scientific subject.

1.4. Intended starting date: not earlier than 1 February 2006

1.5. Duration: specify 12, 18 or 24 months.

1.6. Total cost: Give an estimated overall budget of the project (INTAS grant cannot exceed € 25,000)

1.7. Contact details of the coordinator.

Section 2: Description of proposed Innovation

- Describe the innovation, which can be a new product, service or technology and its current technical and/or socio-economic applicability; compare with the state of the art. Explain the potential use of the innovation (max. 3 pages).
- Provide a list of publications with respect to the innovation, if any (max. 10). If the publication exists on a website, give its address.
- You may use images throughout this section, if it leads to a more concise and compact presentation.

Section 3: Status of Patent and Literature Search

- Has a novelty search already been performed or is this still to be done? Specify the institution with which the novelty search has been performed and indicate the result;
- Give an opinion whether the innovation is patentable and indicate existing patent applications/ patents or expert assessments on patentability;
- Identify the closest solutions found.
- For Innovation Partnering Projects only, please attach the patent application as submitted to the Patent Office or a draft thereof. Please note that a patent application must have been submitted before the grant agreement will be signed.

Section 4: Licensing, Collaboration Agreements, other contractual arrangements:

- Have agreements with third parties already been concluded or are negotiations ongoing in this respect?
- Has additional collaboration with third parties in this field been considered?
- For Innovation Partnering Projects only, attach the consortium agreement including the IPR agreement:

(for principles of consortium agreements, see:

<http://www.ipr-helpdesk.org/index.htm>)

B CONTRACTOR INFORMATION

- Identify the participating contractors.

Each NIS individual contractor has the right to choose whether to participate as an organisation or as an individual. However, NIS scientists from the same institution or enterprise must organise themselves in a team as one single contractor. In all cases, NIS team members that shall receive INTAS funding must be listed.

INTAS contractors can only participate as organizations, not as individuals.

- Describe the particular expertise and complementary nature of the contractors;
- For Innovation Projects: Specify which individuals or organisations have already been involved in the initial INTAS research project in which the innovation has been generated;
- For Innovation Partnering Projects: identify the previous business activities of the industrial partner of relevance for the project;
- Define the individual's share on joint inventions (if applicable), give any record of previous innovations developed.

C INNOVATION EXPLOITATION INFORMATION

Task description

- Describe your overall strategy to achieve the implementation of your innovation.
- Describe the exploitation activities, break them down into individual tasks and identify the deliverables of the tasks as well as the duration of each of the tasks.
- Identify the contractors and individuals involved in each task and the task leaders.
- Describe additional tasks not financed by INTAS, but necessary for the successful implementation of the innovation (if applicable).
- When explaining the technical feasibility of the exploitation activities, indicate where there are risks of not achieving the deliverables.

User list

- Provide a list of potential users that may be interested in developing the innovation. A potential user of the innovation is normally a commercially oriented firm or a public or private research organisation that plans to apply the innovation in its own activities. The list must contain at least one potential user from the NIS and at least one potential user from an INTAS member state. Please give the details of the contact persons;
- Specify whether the users will, or are expected to bring a financial or in-kind contribution to the exploitation of the result;
- To what extent have potential users already been involved in the innovation grant application?

Innovation Grant follow-up

- Will there be a follow-up once the deliverables of the innovation grant are obtained (further necessary actions, agreements including licence agreements, etc.)?

Management

- Describe how the management of the exploitation activities and the cooperation between the contractors will take place (e.g. involvement of professionals in legal, IPR and marketing, coordination meetings, exchange of scientists and engineers, attendance in exhibitions, etc.).
- Reports will have to be sent to INTAS every 12 months and at the end of the grant period; they have to comply with the guidelines for reports as published on the INTAS website.

Planning

- The submission system will automatically compile a structure plan on the basis of information given under item "task description". This plan includes the scheduling of tasks and allocation of tasks per contractor.

D COST INFORMATION

- Give the cost breakdown for each contractor.
- Indicate other resources (financial, manpower, etc.) which will be used for the exploitation of the innovation and which are additional to a possible INTAS grant.
- For Innovation Partnering Projects only, specify the use of the co-funding equaling the INTAS grant to be provided by the industrial partner.

E SUMMARY

- Summarise the innovation, the exploitation activities and expected outcome not exceeding 500 characters. The summary of selected innovations will be published on the INTAS website.

5. EVALUATION OF PROPOSALS

5.1. Introduction

The fundamental principles governing the evaluation of proposals are:

1. **Quality.** Projects selected for funding must demonstrate a highly innovative, technical, and managerial quality in the context of the objectives of INTAS.
2. **Transparency.** The process for reaching funding decisions will be clearly described and available to any interested party. In addition, adequate feedback will be provided to proposers on the outcome of the evaluation of their proposals.
3. **Equality of treatment.** All proposals shall be treated alike, irrespective of where they originate or the identity of the proposers.
4. **Impartiality.** All proposals are treated impartially on their merits evaluated against published criteria.
5. **Efficiency and Speed.** The procedures will be as rapid as possible commensurate with maintaining the quality of the evaluation.
6. **Ethical considerations.** Any proposal that contravenes fundamental ethical principles may be excluded from being evaluated and selected at any time.
7. **Reasonable chance of success.** The evaluation and selection procedures should respect a reasonable ratio between the effort needed for preparing and submitting a proposal and the expected chance of getting funded.

Peer Review

The selection of the proposals for funding is based on a peer-review procedure. First, independent experts¹ assess the merits of the submitted proposals. Then the Innovation panel formed by the INTAS Council of Scientists possibly involving innovation experts consolidates the results of this external evaluation and makes recommendation to the INTAS General Assembly based as much as possible on a consensus. The final decision rests with INTAS General Assembly.

5.2. Evaluators

5.2.1. Appointment of Independent Experts

INTAS appoints independent experts to assist in the evaluation of proposals. Independent experts are selected on the basis of their competence irrespective of their nationality, age and affiliation. They may come from countries other than the INTAS member states or the NIS countries. INTAS Secretariat staff members cannot act as evaluators during their service at INTAS.

In general, independent experts are expected to have skills and knowledge appropriate to the areas of activities in which they are asked to assist. All independent experts must also have a proven experience in one or more of the following areas or activities: research in the relevant scientific and technological fields; management or evaluation of projects; use of the results of research and technological development projects; technology transfer and innovation; international cooperation in science and technology; development of human resources.

Competence in the scientific field an expert is asked to assist in its established by at least three years of scientific activity in this field or a closely related field after his/her PhD and by his/her titles and works (publications in refereed journals, text books, invited lectures, awards, leading academic positions, etc.). In appointing independent experts, INTAS also takes account of their abilities to appreciate the challenges and societal dimension of the proposed work. Experts must also have the appropriate language skills required for the proposals to be evaluated.

¹ An independent expert is an expert who is working in a personal capacity and in performing the work, does not represent any organisation.

Independent experts are recruited through:

- Calls for applications from individuals published in the INTAS web site and/or scientific journals;
- Calls addressed to research institutions to establish lists of suitable candidates.

Details of potential independent experts are maintained by INTAS Secretariat in a database. This database may be made available, on request, to national authorities in the INTAS member states.

5.2.2. Observing Principles

After three years each external evaluator is requested to submit an updated list of publications or other measures appropriate to assess and to identify his present field of competence.

INTAS checks that the marks given by each individual evaluator do not deviate significantly from the average. In case significant discrepancies are observed, the proposals evaluated by this evaluator will be given special attention by INTAS Council of Scientists. If, on a statistically significant basis, an individual evaluator displays a clear tendency to either too high or too low scoring, the evaluator will be informed and asked to correct this tendency. In case the tendency would be confirmed in the long run, the evaluator can be removed from the data base of evaluators at INTAS' discretion.

5.2.3. Conflict of Interest and Confidentiality

INTAS relies on the integrity of independent experts to base their opinion with strict impartiality exclusively on the basis of the information given in the proposal and against the established evaluation criteria.

When appointing an evaluator, INTAS takes all reasonable steps to ensure that s/he is not faced with a conflict of interest in relation to the proposals on which s/he is requested to give an opinion. The evaluators commit themselves to inform INTAS whenever a conflict of interest arises in the course of their duties. When so informed, INTAS takes all necessary actions to remove the conflict of interest.

The independent experts are committed to maintain the confidentiality of the information contained within the proposals they evaluate and of the evaluation process and its outcome.

5.3 Evaluation and Selection Procedure

5.3.1. Eligibility Check

At each stage of the proposal submission, the INTAS Secretariat checks that proposals meet the eligibility criteria referred to in the call. At the full proposal stage, formal criteria are pre-checked by the electronic submission system at the time of submission. INTAS reserves the right to rigorously apply the eligibility criteria and to exclude from any further processing any proposal found to be ineligible. However, if it deems appropriate, INTAS may proceed with the evaluation pending a later decision. Such continuation of the procedure does not constitute a proof of eligibility. INTAS may also request to rectify the non-compliance with eligibility criteria during the negotiation phase.

If by the deadline for submission a proposal remains not finally submitted, the proposal is declared ineligible. However, INTAS reserves the right to inquire about the status of a proposal found not submitted and to further process the proposal if it deems appropriate.

5.3.2. Appointment of Evaluators

For each proposal, evaluators are selected and appointed by the INTAS Secretariat from its independent experts' database, with a view to achieve maximum competence for the evaluation. Keywords and free words specified in the application help select the most suitable experts in the field of the proposal.

INTAS may also at any time select, if it deems appropriate, any individual evaluator with the appropriate skills from outside its database provided his/her credentials can be established prior to his/her involvement in the evaluation.

5.3.3. Overview on the Evaluation

All proposals that fulfil the eligibility criteria are evaluated to determine their quality. As a rule, **three independent evaluators** are appointed for each eligible proposal.

The evaluation is performed on-line, using the Internet-based evaluation system. Each independent expert receives access to the proposal and submits the results of his evaluation via Internet. Proposals are distributed to the evaluators without encryption but protected by user names and passwords.

The evaluators are not informed on the other experts evaluating the same proposal. Each expert therefore assesses each proposal independently without exchanging views with the other experts.

Each evaluation procedure consists of a number of steps, which slightly differ for the first and the second step of the two-stage submission procedure as indicated below.

Step 1: Briefing of the independent expert

Each independent expert selected by INTAS is briefed about the title, keywords, free words and consortium of the proposal. Based on this briefing, the expert decides to accept evaluating the proposal or not. Before being given access to the proposal the evaluator is reminded of the rules for evaluators. In particular, s/he must immediately inform INTAS on any conflict of interest.

Step 2: Individual evaluation of proposals

Each pre-proposal or full proposal is evaluated against the applicable criteria independently by three experts. Each evaluator fills an individual evaluation form whereby s/he gives a score to each evaluation item, resulting in an overall score for the proposal. The evaluator also checks the compliance of the proposal with the scope of the call as well as with ethical criteria.

Only at the full proposal stage will evaluators comment their assessment, including recommendations on the budget.

Step 3: Ranking List

Pre-proposal stage:

From the three total scores x_i given by each evaluator the **average score** $\langle x_i \rangle$ of each pre-proposal is calculated. The maximum score is 15 (see below 5.4 Evaluation criteria). *Pre-proposals, with average score lower than a **quality threshold** of 10 are discarded.*

All pre-proposals above the quality threshold will be reviewed by a dedicated Review Panel ("Innovation Panel") consisting of members of INTAS Council of Scientists and external experts appointed by the Council of Scientists.

As a result of this review the Innovation Panel establishes two separate lists of pre-proposals selected for the full proposal submission stage: one for Innovation Projects, one for Innovation Partner Projects.

The INTAS Secretariat will invite the coordinators of pre-proposals included in the pre-selection lists to submit a full proposal and inform the other coordinators that their pre-proposal was not selected.

Full-proposal stage:

From the three total scores x_i given by each evaluator the **average score** $\langle x_i \rangle$ of each proposal is calculated. From the average scores $\langle x_i \rangle$ the proposals are ranked in **two separate ranking lists, namely one for Innovation Projects and one for Innovation Partnering projects**. For each of the ranking lists a cumulated requested budget is calculated from the top of the list.

- A cumulated budget equal to 150 % of the available budget determines a low threshold in each ranking list.
- Proposals ranking below the low threshold are automatically discarded;
- All proposals above the low threshold are reviewed by the Innovation Panel.

- As an exception to the general rule, proposals below the low threshold, whose scores show significant deviations from the average scores (based on statistical analysis tools) or other irregularities detected by the Secretariat or the Council of Scientists will also be reviewed by the Innovation Panel.

Step 5: Panel discussion

When reviewing proposals selected for final review the Innovation Panel will consider their conformity with INTAS' general policy. The panel is entitled to critically examine the proposed activities and requested budgets and to propose reductions when deemed appropriate. It may also discard proposals based on the assessment that the proposal does not contain an innovation ready for use or that the innovative potential is too low, without elaborating on the other evaluation criteria.

Moreover, INTAS reserves the right to decide in the panel discussion on a limited number of proposals earmarked for funding without necessarily exploiting the budget indicated for the Innovation Call. INTAS may submit any proposal to a quick scan, without cost to the proposer, to determine whether the innovation is patentable. If it is assessed that it is not patentable either in the quick scan or the panel discussions, INTAS also reserves the right to exclude, at its own discretion and excluding any liability for the correctness of the patentability assessment, such proposals from funding.

The Innovation Panel prepares **two separate final ranking lists, namely one for Innovation Projects and one for Innovation Partnering projects** recommended for funding including possible recommendations for budget reductions from the originally requested amounts. The Innovation Panel reports to the Council of Scientists, which makes the final recommendation for funding. Based on this recommendation, the INTAS General Assembly decides for each type of projects on the list to be funded together with the project budgets and a reserve list of projects eligible for funding.

The final outcome of the evaluation, including the overall ranking and remarks made by evaluators will be made available anonymously to the coordinators of the proposals after the evaluation and selection procedure has been completed.

Immediately following the completion of the evaluation and selection procedure, the coordinators of proposals eligible for funding and for which funding is available are invited to begin negotiations with the INTAS Secretariat (see chapter 6).

5.3.4. General notes

Only the **information contained in the proposal** is used when assessing the proposal against the established criteria.

It is therefore the responsibility of the proposers to ensure that the proposal is written in an explicit form, which does not require assumptions on the part of the evaluators when assessing key issues.

5.4 Evaluation Criteria

The evaluators are requested to assess project proposals against a set of criteria, each of which may be awarded a maximum of 5 points according to the following scale: 0=irrelevant to the call or information missing; 1=poor; 2=fair; 3=good; 4=very good; 5=excellent.

The full set of criteria for research projects includes:

- the scientific and technical quality of the proposed product, service or technology;
- the potential economic and/or social impact of the innovation;
- Appropriateness of the proposed strategy of implementation of the innovation;
- Qualification and competence of the main scientists involved in the project and of the consortium;

In case of an Innovation Partnering Project

- how appropriate is the industrial partner for successful implementation of the innovation
- The expected economic and/or social interest by potential users in the NIS and INTAS member states.

5.4.1 Pre-proposal phase

The pre-proposal is evaluated against a subset of the evaluation criteria, including only the scientific and technical quality of the project and the potential economic and social impact of the innovation as well as the merit of the suggested strategy of implementation. The evaluation of pre-proposals does not consider the detailed structure of the work programme, teams, costs, project management and knowledge management.

(I) Merit of the scientific and technical quality (score: 0 to 5)

- Merit of the scientific and technical quality of the innovation, which can be a product, service, technology or strategy. How novel and promising is it? How close is it to implementation? Can its implementation be realistically achieved in the time frame proposed?

(II) Merit of the economic and social impact (score: 0 to 5)

- Merit of the potential economic and/or social impact of the innovation. Can a sustainable impact be expected from its implementation? How relevant and important is it for the market and/or society? Is it well focused on existing needs from an economic and/or social point of view? Is it aimed to improve existing technological products, systems, methods or strategies?

(III) Merit of the implementation strategy (score: 0 to 5)

- How appropriate are the strategy and the proposed technology implementation activities to achieve the implementation of the innovation?

5.4.2 Full-proposal phase:

The full proposal is evaluated against the full set of criteria for Innovation Projects or Innovation Partnering Projects.

(I) Merit of the scientific and technical quality of the project (maximum score: 15)

1. **Quality:** Merit of the scientific and technical quality of the innovation, which can be a product, service, technology or strategy.
2. **Novelty:** How novel and promising is the innovation?
3. **Readiness:** How close is the innovation to implementation? Can its implementation be realistically achieved in the time frame proposed?

For Innovation Partnering Projects take also into consideration, whether there is a patent already filed and registered or prepared for submission in case of selection.

(II) Merit of the economic and social impact (maximum score: 15)

4. **Impact:** Merit of the potential economic and/or social impact of the innovation. Can a sustainable impact be expected from its implementation? How relevant and important is it for the market and/or society?
5. **Focus:** Is it well focused on existing needs from an economic and/or social point of view? Is it aimed to improve existing technological products, systems, methods or strategies?
6. **Users:** Are possible users of the innovation identified and appropriate to implement its economic and/or social impact?

(III) Merit of the consortium (maximum score: 15)

7. **Expertise:** Do the individuals and/or teams involved collectively constitute a consortium of high quality?
8. **Innovation Record:** How qualified are the contractors to achieve an effective exploitation? Do they have already a record of innovations developed?
9. **Industrial Resources (of particular importance for Innovation Partnering Projects):** Does the consortium include the appropriate industrial partner which contributes appropriately to the project through human, technical and financial resources?

(IV) Merit of the management and innovation implementation (maximum score: 15)

10. **Implementation Strategy:** How appropriate are the strategy and management to achieve the implementation of the innovation? Are the proposed tasks appropriate for the exploitation of the innovation? Has there already been sufficient initial exploitation work (novelty search, collaboration agreements, contacts with users, etc.) so that the INTAS funding can bring the project really forward?
11. **Knowledge management and contractual arrangements:** How is it planned to manage intellectual property, including patenting, copyrights, license agreements and any other arrangements including a consortium agreement.
For Innovation Partnering Projects in particular – Is there a consortium agreement attached as requested and is it covering the main aspects of the collaboration?
12. **Budget:** How appropriate is the requested funding and its proposed allocation to each individual and/or team?

Evaluators' Comments:

- **General Comments:** The evaluators are requested to make general comments with reference to each of the subgroups of criteria (I) - (IV).
- **Comments on the scientific and technical quality and the impact:** The evaluators are requested to comment on the scientific and technical quality, the novelty and applicability of the application. Evaluators are also requested to comment on potential economic and/or social impact of the innovation.
- **Comments on implementation strategy and the management of knowledge:** The evaluators are requested to comment on the implementation strategy and the management of the intellectual property rights (IPR), including the consortium agreement.

6. INNOVATION GRANT AGREEMENT

An agreement will be drawn up for each selected proposal, defining the terms and conditions of the cooperation in the exploitation activities, the financial support and any other rights and obligations between the contractors on the one hand, and between INTAS and the contractors on the other hand. It includes the innovation grant agreement and its general conditions, the work programme including the cost table and the power of attorney by all contractors to the coordinator, including the declaration on lawful exploitation.

The agreement will be signed, on the one hand by INTAS and on the other hand by the coordinator, and, if necessary, an additional authorised official of the coordinator's organisation on behalf of all contractors in the consortium.

Payments of the grant will be made in instalments after the conclusion of the innovation grant agreement. Funds will be made available according to the needs of the exploitation activities upon payment requests by the coordinator. INTAS will make all payments directly to each of the contractors.

All participants must agree on a coordinator and send to their coordinator the Powers of Attorney (see template in Section 7 below) for each contractor. By doing so they will authorise the coordinator to submit the application and conclude the grant agreement with INTAS on behalf of all contractors participating in the exploitation activities. In these Powers of Attorney each contractor shall also declare that, to his/her knowledge s/he is or will be entitled to pursue the exploitation of the innovation and that s/he complies with any contractual agreements with respect to the proposed innovation. These contractual agreements may concern the INTAS project consortium of the original INTAS research project or network or any other agreement concluded by her/him or his/her employer.

Should INTAS select the application for funding, the coordinator will be required to provide INTAS with the powers of attorney including the above declarations with the **original signatures** before the innovation grant agreement can be signed by INTAS. INTAS reserves the right to request formal declarations of the concerned institutions entitling the contractors to pursue the exploitation.

7. POWER OF ATTORNEY (TEMPLATE)

To be filled in and signed by all Contractors² and retained by the Co-ordinator until requested by INTAS in the event the application is selected for funding

"<TITLE Innovation Grant Application>"

By signing this declaration, I certify that the information given in this application relating to me and the organisation where the work is carried out is, to the best of my knowledge, true and complete. I have been involved in the preparation of the full application and I agree with its contents. I am /and the organisation I represent are/ ready to set up and execute all tasks, duties and obligations assigned to us in this application for an innovation grant. I also agree on the use of the Internet for the evaluation of the innovation grant application, protected by usernames and passwords, and will not hold INTAS responsible for its unauthorised disclosure by third parties.

I am entitled to pursue the exploitation of the innovation or, alternatively, will receive the required authorisations, if the innovation grant application is selected for funding. To my knowledge, I fully comply with the legal requirements and any contractual agreements concluded within the original INTAS research project, network, fellowship or any other agreement concluded by me and/ or my organisation with respect to this innovation.

I/we hereby authorise and empower the co-ordinator, as lawful attorney and administrator, to take all the necessary actions to negotiate and conclude the innovation grant agreement, on behalf of my team/my organisation, should the application be selected by INTAS.

Please specify your authorisation³:

Name and address of the organisation:

Name of the duly authorised representative of the contractor:

Function
Signature:
Stamp:
Date:

Confirmation by the NIS organisation if the NIS contractor is an individual scientist

I hereby confirm that the Contractor from my organisation is duly authorised to pursue the exploitation of the innovation contained in this application.

Name of the duly authorised representative of the NIS organisation:

Function:
Signature:

² Contractors from the INTAS Members must be the organisations involved. Contractors in the NIS may participate as individuals provided they are entitled to pursue the exploitation of the innovation on their own behalf. In this case her/his organisation must formally confirm that s/he is authorised to do so.

³ This may be your ownership of the innovation, a Power of Attorney by your organisation etc.

Annex: List of Keywords

Statistics, Probability Theory and Mathematical Modelling

- 0101 Probability & Stochastic Processes
- 0102 Statistics & Econometrics, Quantitative Methods
- 0103 Game Theory, Queuing Processes and related topics
- 0104 Data Management
- 0105 Mathematical Modeling in other sciences (Physics, Linguistics, Biosciences etc.)

Algebra, Topology & Manifold Systems

- 0201 Algebra
- 0202 Geometry, Algebraic Geometry
- 0203 Topological Groups, Lie Groups, Harmonic Analysis
- 0204 Topology & Manifolds

Mathematical Analysis

- 0301 Complex Analysis, Numerical Analysis
- 0302 Real & Functional Analysis
- 0303 Integral Transforms & -equations
- 0304 Variational Analysis & Optimal Control
- 0305 Dynamical Systems (including Ergodic Theory, Fuzzy, Chaotic Systems etc.)
- 0306 Differential Equations & Boundary Problems

Algorithms & Discrete Mathematics

- 0401 Mathematical Programming
- 0402 Combinatorial Optimization
- 0403 Modeling and Simulation
- 0404 Mathematical Logic
- 0405 Number Theory
- 0406 Discrete Structures & related topics

Computer Sciences

- 0501 Theoretical Computer Science
- 0502 Multimedia, CAD-CAM (computer aided tools)
- 0503 Software Engineering
- 0504 Hardware & Computer Architecture
- 0505 Information Theory & Systems, Networks, Protocols
- 0506 Artificial Intelligence, Signal & Image Processing, Pattern Recognition

Nuclear, Hadron & Elementary Particle Physics

- 0601 Nuclear Structure, nuclear reactions
- 0602 Nuclear Instrumentation and Applications
- 0603 Neutron Physics
- 0604 Electromagnetic and Hadronic Probes, Nucleonic Structures
- 0605 High Energy, Particle Accelerators
- 0606 Physics with Heavy Ions, Compressed Nuclear Matter, Equation of State
- 0607 Elementary Particles

Theoretical Physics

- 0701 Theory of Elementary Particles & Fields, Field Theories
- 0702 Quantum Theories, Atomic and Molecular Theories
- 0703 Statistical Physics, Thermophysics & and Nonlinear Dynamical systems

- 0704 Fluid Dynamics
- 0705 Nuclear Theories

Astronomy & Astrophysics

- 0801 Solar System, including Extra-Solar Planets
- 0802 Stars: Atmospheres, Winds (including Solar Wind), Nucleosynthesis, Evolution
- 0803 Galaxies, Interstellar Medium & Active Galactic Nuclei
- 0804 Cosmology, including Background Radiation
- 0805 High Energy Astrophysics, including Cosmic Rays, Neutrino, Gamma & X-Ray Astrophysics
- 0806 Radio- and Optical Astronomy
- 0807 Nuclear Astrophysics
- 0808 Interplanetary & Astrophysical Plasma

Condensed Matter Physics

- 0901 Optical Phenomena/Properties
- 0902 Electronic Properties & Magnetism
- 0903 Crystalline Structure, Structural Phase Transitions, Defects, Mechanical Properties
- 0904 Dynamics, Dynamical Systems, Lattice Effects & Thermal Properties
- 0905 Inhomogeneous, Disordered, & Partially Ordered Systems
- 0906 Surfaces, Interfaces & Microstructures
- 0907 Low-Dimensional Systems
- 0908 Superfluidity & Superconductivity

Atomic & Molecular Physics

- 1001 Atomic & Molecular Spectroscopy
- 1002 Atomic & Molecular Interactions
- 1003 Quantum Optics
- 1004 Ultra fast Phenomena
- 1005 Laser, Photonics

Optics, Acoustics, Electromagnetism

- 1101 Optical and Magnetic Spectroscopy (including Instrumentation)
- 1102 Physical Optics, Nonlinear Optics
- 1103 Acoustics
- 1104 Electromagnetic Processes

Plasma Physics

- 1201 Atomic Phenomena & Statistical Properties of Plasma
- 1202 Plasma Instabilities & Non-Linear Phenomena
- 1203 Low-Temperature Plasmas, Plasma Chemistry & Applications
- 1204 High-Temperature & Relativistic Plasmas
- 1205 Plasma Diagnostics & Plasma Sources
- 1206 Plasma Technology, Confinement

Materials (Physics, Chemistry, Biomedicine)

- 1301 Dielectrics, Piezoelectrics, Ferroelectrics
- 1302 Semiconductors
- 1303 Metals & Alloys
- 1304 Ceramics, Cements & Composites
- 1305 Polymers
- 1306 Ionic Conductors & Mixed Oxide
- 1307 Colloids, Gels, Layered Structures

- 1308 Liquid Crystals, Liquids, Glasses (including Spin Glasses), & Disordered Media
- 1309 Surfaces
- 1310 Films, Coating, Wires & Fibers
- 1311 Granular Media, Clusters (including Fullerenes)
- 1312 Nanostructures, Quantum Dots, Nanotechnology
- 1313 Medical New Materials

Organic Chemistry

- 1401 Synthesis & Growth
- 1402 Characterization
- 1403 Physical Organic Chemistry
- 1404 Supramolecular Chemistry

Inorganic Chemistry

- 1501 Co-ordination & Organometallic Chemistry
- 1502 Bio-inorganic Chemistry
- 1503 Gas Phase Chemistry
- 1504 Solution Chemistry
- 1505 Solid State Chemistry
- 1506 Cluster Compounds
- 1507 Nuclear & Radiochemistry

Physical & Analytical Chemistry

- 1601 Spectroscopy
- 1602 Electrochemistry
- 1603 Kinetics & Reaction Mechanisms
- 1604 Thermodynamics
- 1605 Ignition/Combustion
- 1606 Photochemistry
- 1607 Surface Chemistry
- 1608 Analytical Chemistry

Catalysis

- 1701 Heterogeneous Catalysis
- 1702 Homogeneous Catalysis
- 1703 Enzyme Catalysis

Computational Chemistry

- 1801 Reaction Mechanisms
- 1802 Molecular Modeling
- 1803 Quantum Chemical Methods
- 1804 Structure Study

Environmental Chemistry

- 1901 Atmospheric
- 1902 Soil
- 1903 Water

Pharmaceutical Chemistry

- 2001 Structure-Activity Relationship
- 2002 Formulation & Drug Delivery
- 2003 Modeling in Pharmaceutical Chemistry
- 2004 Biologically Active Compounds

General Biology

- 2101 Evolutionary Biology
- 2102 Developmental Biology
- 2103 Nature Conservation & Biodiversity
- 2104 Theoretical Biology, Modelling of Biological Systems

Ecology

- 2201 Aquatic Ecology
- 2202 Terrestrial Ecology (Agriculture, Forestry)
- 2203 Ecosystem Management

Plant Biology

- 2301 Botany
- 2302 Plant Physiology
- 2303 Genetics of Plants, Plant Breeding
- 2304 Photosynthesis
- 2305 Phytopathology

Zoology

- 2401 Animal Physiology
- 2402 Genetics of Animals, Animal Breeding
- 2403 Neurophysiology & Sensory Physiology
- 2404 Entomology
- 2405 Veterinary Sciences
- 2406 Parasitology
- 2407 Behavioral Biology

Microbiology

- 2501 Clinical Microbiology
- 2502 Environmental Microbiology
- 2503 Genetics of Microorganisms
- 2504 Virology
- 2505 Mycology
- 2506 Bacteriology

Molecular Biology

- 2601 Cytology
- 2602 Biochemistry
- 2603 Signal Transduction
- 2604 Proteins, Enzyme Function
- 2605 Bioinformatics
- 2606 Biophysics
- 2607 Bio-Energetics
- 2608 Nucleic Acids
- 2609 Molecular Neuroscience

Biotechnology

- 2701 Agricultural Biotechnology
- 2702 Industrial Biotechnology
- 2703 Environmental Biotechnology
- 2704 New Methods in Diagnostics
- 2705 Biologically Engineered Drugs
- 2706 Vaccines

2707 Other Medical Biotechnology

Medicine

2801 Internal Diseases & Internal Medicine
2802 Experimental & Clinical Oncology
2803 Immunology
2804 Epidemiology
2805 Pediatrics
2806 Surgery, Neurosurgery
2807 Anesthesiology
2808 Nuclear Medicine
2809 Psychiatry
2810 Medical Instrumentation, Radiology & Diagnostic Techniques
2811 Public Health
2812 Pharmacology & Toxicology
2813 Human Genetics

Geology

2901 Geological Engineering & Geotechnics
2902 Metamorphism
2903 Marine Geology
2904 Paleontology
2905 Sedimentology
2906 Stratigraphy
2907 Tectonics
2908 Volcanology, Magmatism

Geochemistry

3001 Petrology/Mineralogy
3002 Geothermal Chemistry
3003 Isotope Geochemistry
3004 Metalogeny
3005 Mineral Chemistry
3006 Petroleum Geology

Geophysics

3101 Earth Observation Technologies & Remote Sensing
3102 Earthquake Prediction
3103 Electromagnetic Processes
3104 Exploration
3105 Geodynamics
3106 Mining
3107 Erosion
3108 Seismic Process, Elasticity

Atmospheric Studies

3201 Atmospheric Dynamics & Thermodynamics
3202 Atmospheric Boundary Layer
3203 Upper Atmospheric Physics
3204 Land/Atmosphere Interactions
3205 Ocean/Atmosphere Interactions
3206 Meteorology/Climatology

Hydrology & Marine Sciences

- 3301 Hydrology Engineering
- 3302 Hydrological Cycle & Processes
- 3303 Continental Water
- 3304 Underground Water
- 3305 Oceanography
- 3306 Flood & Drought Prediction
- 3307 Glacial & Cryospheric Systems

Environment

- 3401 Climate & Climate Change
- 3402 Land/Ocean Interactions
- 3403 Pollution & Remediation (including Radioactivity)
- 3404 Waste Management
- 3405 Sustainable Rural/Urban Management
- 3406 Environmental Monitoring & Assessment
- 3407 Environmental Technologies & Instrumentation

Energy

- 3501 Energy Systems including Efficiency & Reliability
- 3502 Energy Technology & Conversion
- 3503 Renewable Energy Sources
- 3504 Nuclear Engineering & Safety

General Engineering

- 3601 General Methodology (Quality, Reliability, Standardization)
- 3602 Civil Engineering
- 3603 Mechanics
- 3604 Thermal Processes

Electricity, Electronics, Robotics & Telecommunications

- 3701 Electricity
- 3702 Electronics / Instrumentation
- 3703 Telecommunication Systems & Networks
- 3704 Robotics

Aeronautics

- 3801 Avionics
- 3802 Structures
- 3803 Engines
- 3804 Aerodynamics
- 3805 Environment
- 3806 Safety
- 3807 Ergonomics

Space

- 3901 Space Platforms & Space Systems
- 3902 Launchers
- 3903 Physical and Life Sciences in Space
- 3904 Space Exploration & New Space Missions
- 3905 Experiments & Payloads

Economics

- 4001 Microeconomics, including Industrial Organisation
- 4002 Public Economics, including Health, Education, & Welfare
- 4003 Macroeconomics & Monetary Economics
- 4004 Financial Economics, including Investment Theory
- 4005 International Economics, including International Trade
- 4006 Labour Economics
- 4007 Economic Development, Technological Change, & Growth
- 4008 Economic Systems, including Transition Economics
- 4009 Natural Resource Economics, Agricultural Economics, Environmental Economics
- 4010 Urban, Rural, & Regional Economics, including Transport Economics
- 4011 Business Administration

Social Studies

- 4101 Sociology
- 4102 Social Institutions & Structures
- 4103 Demography
- 4104 Gender Studies
- 4105 Ethnology & Nationalities Studies
- 4106 Cultural & Social Anthropology
- 4107 Sociology & History of Religion
- 4108 Urban & Regional Planning
- 4109 Political Theory
- 4110 International Relations & Area Studies
- 4111 Security Studies
- 4112 Political Institutions & Public Policy Studies, Comparative Politics
- 4113 Public Opinion & Media Studies

Behavioral Sciences

- 4201 Social Psychology
- 4202 Cognitive Science
- 4203 Perception, Personality
- 4204 Educational Research and Psychology

Juridical Studies

- 4301 Jurisprudence & Theory Of Law
- 4302 History Of Law, Legal Systems, Constitutional Law
- 4303 International Law, EU Law
- 4304 Sectoral Law Studies(Public, Environmental, Private, Criminal, Commercial Law)

Historical Sciences

- 4401 Ancient History
- 4402 Medieval History
- 4403 Modern History, including Contemporary History
- 4404 Economic History
- 4405 Historiography
- 4406 History of Ideas, History of Science
- 4407 Art History, including Musicology
- 4408 Prehistoric Archaeology
- 4409 Classical Archaeology
- 4410 Medieval/Byzantine Archaeology
- 4411 Anthropology & Ethnography

Philosophy

- 4501 Ontology & Epistemology
- 4502 History of Philosophy
- 4503 Moral Philosophy, Ethics & Social Ethics
- 4504 Logic, Methodology & Philosophy of Science

Linguistics, Language & Literature Studies

- 4601 Linguistic Theories
- 4602 Descriptive, Comparative & Historical Linguistics
- 4603 Descriptive, Comparative & Historical Philology
- 4604 Theory & History of Literature, Comparative Literary Studies
- 4605 Structural & Historical Analysis of Literary Texts
- 4606 Library & Archival Studies