

INTAS-FASIE Collaborative Call for Innovation Grants 2006

Information Package

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Annex: List of Keywords

1. GENERAL INFORMATION & SCOPE

In 2006 INTAS launches a Collaborative Call for applications for Innovation Grants (for Innovation Partnering Projects) with the Foundation for Assistance to Small Innovative Enterprises (FASIE)¹, Russia, with an indicative budget of **€500,000**, shared equally between FASIE and INTAS.

INTAS statutory tasks 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 in the INTAS members and the NIS.

1.1. Scope

The Collaborative Call INTAS-FASIE for Innovation Grants 2006 will financially support:

Innovation Partnering Projects - for use of research results within enterprises:

INTAS and FASIE support technology-oriented small and medium-sized enterprises (SMEs) in INTAS Member States and in the NIS wishing to innovate and to create international partnerships. INTAS and FASIE will provide severally financial support for the exploitation, by such enterprises, of research results with the potential to lead to innovative products, technologies or services of significant economic and/or societal value.

An Innovation Grant will help a consortium made of NIS and INTAS partners, in a mutually beneficial approach, to further develop and protect results of research and technology development and to orient their use towards clearly specified needs of the market and/or of society at large in the INTAS member states and the NIS.

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

- A consortium agreement covering the Intellectual Property Rights (IPR) related to the innovation must have been concluded and be submitted with the proposal
- In the collaborative call **INTAS-FASIE**, the innovation must in principle 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. For proposals, where the innovation by its very nature is not patentable, a patent is not required.

1.2. Project Consortium

The project consortia must comprise **at least three contractors**: namely **one small innovative enterprise from Russia² and two organisations from different INTAS member states including a technology-oriented SME³**. One of the INTAS member organisations should serve as co-ordinator of the project. Additional contractors from Russia, other NIS and INTAS member states can be included in the consortium. The consortium must include one of the main authors of the innovation.

1.3. Duration

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

¹ For information on FASIE, please consult www.fasie.ru

² Small enterprise as defined according to Russian Federal Legislation: commercial entity, less than 60 employees, not more than 25% of charter capital belongs to Large, State or Non-Profit Organisation. Please see for further information www.fasie.ru or contact FASIE.

³ SME as defined according to the EU definition of SME's: organisation engaged in economic activity, fewer than 250 employees, annual turnover not exceeding € 50 Mio or balance sheet total not exceeding € 43 Mio, autonomous. For further details see:

http://europa.eu.int/comm/enterprise/enterprise_policy/sme_definition/index_en.htm
http://sme.cordis.lu/docs/sme_definition_leaflet_en.pdf

1.4. Funding

The maximum project grant to be provided by INTAS and FASIE is **50,000€**, contributed in equal shares.

FASIE's co-funding contribution of 50% of the project grant can only be used to support Russian small innovative enterprises for Research and Technological Development activities. In particular it may be used for labour costs, services, consumables and specialized equipment.

INTAS' contribution of 50% of the Project grant will be provided to members of the consortium from INTAS countries or NIS contractors not funded by FASIE. It may be used for applied research and technological development and to support travel, marketing and IPR protection within the project of all contractors.

The SME from an INTAS member state must additionally contribute to the project an amount not less than INTAS' contribution.

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 only continuous support for research projects pursuing scientific work without 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 submitted and declare all other versions ineligible.

3. ALLOWABLE PROJECT COSTS

Allowable costs are costs necessary for the further development, marketing, utilisation and legal protection of the innovation. The maximum allowable funding per project is **50,000 €**. 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.

FASIE funds of 50% of the total innovation grant can only be made available to Russian small innovative enterprises and can only be used for R&D activities (labour costs, services, consumables and specialised equipment).

INTAS funds of 50% of the total innovation grant will be provided to members of the consortium from INTAS countries or NIS contractors not funded by FASIE and can be used for the following allowable costs:

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

- Applied research and technological development of the innovation, preparation of close-to-the-market prototypes, models or samples: labour costs, services, consumables, specialised equipment
- Technical and market assessment;
- Legal advice and IPR (Intellectual Property Rights) support, including costs for patenting in the NIS and/or INTAS Members for patent applications by INTAS contractors or joint IPR;
- Marketing, including fees for participation in fairs and exhibitions;
- Partner search;
- Preparation of marketing materials and documentation;

Funds allocation of the INTAS contribution will be made to contractors from the INTAS member states and other NIS than Russia. Contractors from the INTAS member states, however, may decide at their discretion to use part of their INTAS grant to finance Russian including FASIE supported contractors in joint actions with respect to their travel, marketing etc and for joint IPR protection. Please specify such costs in your proposal in the cost justifications of the submission forms.

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 - INTAS does not provide within Innovation Partnering Projects individual (labour) grants for NIS team members. Labour costs for Russian small innovative enterprises can be covered through the FASIE contribution.

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 2006 INTAS-FASIE"**.

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 2006 INTAS-FASIE! 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 or correct 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 unlock your proposal to check 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 as stated in this Infopack 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.

- ⇒ Please make sure all pages have **portrait orientation**.
- ⇒ The proposal will have a specific header and footer generated by INTAS so **please do not use headers and/or footers in the documents you upload**.

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, .tiff** and **.bmp**. 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.

- ⇒ When inserting images in an .rtf document, make sure you right-click on the picture, select picture properties and in the tab 'layout' select "**In line with text**", to avoid that the image will be in a different place when the proposal is assembled.
- ⇒ When you use diagrams, please **insert them as an image**, or group the entire diagram so that it can be treated as an image.
- ⇒ When uploading separate images make sure that their actual size **does not exceed A4 in portrait orientation**.

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.

Recommendations:

- 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.

4.2.2 Submission of the proposal

The proposal must be submitted through the INTAS submission system – "Innovation Grant Call 2006 INTAS-FASIE". The information requested is organised in five sections:

A GENERAL INFORMATION

Section 1: Previous INTAS project/network/fellowship

- Indicate if consortium members have been involved previously in INTAS projects, networks or Young Scientist fellowships. Give reference number, Title and end date of project.

Section 2: Proposal details

- Title: give the title of your project (less than 200 characters).
- 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 December 2006
- Duration: specify 12, 18 or 24 months.

Section 3: 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 4: 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.
- If applicable, 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. Please e-mail the application to innovation@intas.be after you have received your reference number (after final submission), referring to this number in the mail.

Section 5: 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?
- Attach the consortium agreement including the IPR agreement:
(for principles of consortium agreements, see:
<http://www.ipr-helpdesk.org/index.htm>
or use the INTAS model agreement as provided .
Please e-mail the consortium agreement to innovation@intas.be after you have received your reference number (after final submission), referring to this number in the mail.

B CONTRACTOR INFORMATION

- Identify the participating contractors.
- NIS Contractors to be supported by FASIE and contractors from INTAS members must participate as organisations. NIS contractors not supported by FASIE may decide to participate as an organisation or as an individual.
- Describe the particular expertise and complementary nature of the contractors;
- Specify which contractors have already been involved in an INTAS research project, network or Young Scientist fellowship.
- 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**Section 1: 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 or FASIE, 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.

Section 2: 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?

Section 3: 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.)?

Section 4: 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. Russian contractors will have to provide quarterly reports to FASIE.

Section 5: 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. Please define in the cost justification, which costs have to be covered by FASIE and which costs have to be covered by INTAS.
- Indicate other resources (financial, manpower, etc.) which will be used for the exploitation of the innovation and which are additional to a possible INTAS-FASIE grant. Please specify here the use of the co-funding to be provided by the SME/s from the INTAS member states.

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 experts⁴ assess the merits of the submitted proposals. Then the Innovation panel formed by the INTAS Council of Scientists, experts from FASIE and possibly additional innovation experts consolidates the results of this external evaluation and makes a 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 is 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.

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.

⁴ An independent expert is an expert who is working in a personal capacity and in performing the work, does not represent any organisation.

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. Some of the 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 her/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, as indicated below.

Step 1: Briefing of the independent expert

Each independent expert selected by INTAS gets access to the proposal. S/He then 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 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.

Evaluators are invited to comment their assessment, including recommendations on the budget.

Step 3: Ranking List

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 a **ranking list for the collaborative call with FASIE Russia**. 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 the 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 4: 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 INTAS-FASIE 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 **the final ranking list for the collaborative call with FASIE Russia** 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 on the list of projects 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 Innovation Grants 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;
- how appropriate are the involved enterprises for successful implementation of the innovation
- The expected economic and/or social interest by potential users in the NIS and INTAS member states.

The proposal is evaluated against the full set of criteria for Innovation Grants.

(A) 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? Is a patent already filed and registered or prepared for submission in case of selection.

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

4. **Impact:** Merit of the potential economic and/or social impact of the innovation in the NIS and INTAS members. Is there a mutual benefit for all contractors? 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?

(C) 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:** Does the consortium include the appropriate enterprises which contribute appropriately to the project through human, technical and financial resources?

(D) 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-FASIE 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? 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 (A) - (D).
- 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, FASIE 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. FASIE funds for Russian small enterprises will be made available quarterly against reporting.

All participants must agree on a coordinator from the INTAS member states and send to their coordinator the Powers of Attorney (see template in Section 8 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.

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 Contractors⁵ 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 authorisation⁶:

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:

⁵ 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.

⁶ 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 Modelling 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 Modelling 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 Modelling
- 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 Modelling 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 Behavioural 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