

# **FUEL CELLS AND HYDROGEN 2**

## **JOINT UNDERTAKING**

### **ANNUAL WORK PLAN 2014**

#### *General Annexes*

#### **Important Notice on the FCH 2 JU Work Plan**

**This Work Plan covers 2014. Due to the fact that FCH 2 JU belongs to Horizon 2020 Programme, the corresponding Rules for Participation apply *mutatis mutandis*. The implementation under FCH 2 JU Council Regulation might differ; most of the H2020 documents apply to FCH 2 JU calls, unless a specific document is provided.**

*Adopted by the FCH2 JU Governing Board on 30/06/2014*

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## A. List of countries, and applicable rules for funding

Legal entities established in the following countries and territories will be eligible to receive funding through Horizon 2020, including FCH 2 JU:

- The Member States of the European Union, including their overseas departments;
- The Overseas Countries and Territories (OCT) linked to the Member States<sup>1</sup>:
  - Anguilla, Aruba, Bonaire, British Virgin Islands, Cayman Islands, Curaçao, Falkland Islands, French Polynesia, Greenland, Montserrat, New Caledonia, Pitcairn Islands, Saba, Saint Barthélémy, Saint Helena, Saint Pierre and Miquelon, Sint Eustatius, Sint Maarten, Turks and Caicos Islands, Wallis and Futuna.
- The Countries Associated to Horizon 2020<sup>2</sup>:

Legal entities from Associated Countries can participate under the same conditions as legal entities from the Member States. Countries can only associate to Horizon 2020 by conclusion of a specific international agreement, which needs to be negotiated with each country that wishes to associate to Horizon 2020. Most of these agreements will be finalised during the first months of 2014. Association agreements, once agreed, will be applied retrospectively from 1 January 2014 (i.e. from the beginning of Horizon 2020). Please check the Horizon 2020 reference documents for up-to-date information on the current position for Associated Countries.

In order to facilitate the implementation of Horizon 2020 in 2014, and with the exception of Liechtenstein which does not intend to associate from the start of Horizon 2020, it will be assumed that countries associated to the Seventh Framework Programme for Research and Technological Development (FP7) will conclude association agreements for Horizon 2020. These countries are:

- Albania, Bosnia and Herzegovina, Faroe Islands<sup>3</sup>, Former Yugoslav Republic of Macedonia, Iceland, Israel, Moldova, Montenegro, Norway, Serbia, Switzerland<sup>4</sup>, Turkey

Legal entities from these countries are encouraged to participate in proposals submitted under the first Horizon 2020 calls for proposals. As long as the respective Association agreements are not in place, and in order not to delay proposal evaluation and negotiation, these countries will be assumed to be associated and legal entities from these countries will count towards the minimum participation

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<sup>1</sup> Entities from Overseas Countries and Territories (OCT) are eligible for funding under the same conditions as entities from the Member States to which the OCT in question is linked

<sup>2</sup> Countries which have signed an agreement with the Union as identified in Article 7 of the Horizon 2020 Regulation

<sup>3</sup> In the case of the Faroe Islands, it currently appears that association will not be complete until late in 2014. Hence, it is likely that entities from the Faroe Islands will only be able to participate as “third country” participants for most of the calls in 2014.

<sup>4</sup> In the case of Switzerland, please refer to the separate information note [http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/h2020-hi-swiss-part\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/h2020-hi-swiss-part_en.pdf)

requirements in all parts of Horizon 2020, as though they are established in an Associated Country (however, see footnotes for specific information on the Faroe Islands and Switzerland).

***Should Association agreements still not be in place by the time of the need to sign grant agreements or other forms of financial support under Horizon 2020, then the eligibility of the proposal (and, where relevant, the funding from the Union budget to be provided to the legal entities in question) will be reassessed on the basis that the country is not associated to Horizon 2020. This implies that entities from such countries would not get funded automatically, but could get funding on an exceptional basis.***

In the case of Liechtenstein, legal entities based in Liechtenstein can participate on the same basis as those other international partner countries which are not associated to Horizon 2020.

- The following countries, except where this is explicitly excluded in the call text

Afghanistan, Albania, Algeria, American Samoa, Angola, Argentina, Armenia, Azerbaijan, Bangladesh, Belarus, Belize, Benin, Bhutan, Bolivia, Bosnia and Herzegovina, Botswana, Burkina Faso, Burundi, Cambodia, Cameroon, Cape Verde, Central African Republic, Chad, Chile, Colombia, Comoros, Congo (Democratic Republic), Congo (Republic), Costa Rica, Côte d'Ivoire, Cuba, Djibouti, Dominica, Dominican Republic, Ecuador, Egypt, El Salvador, Eritrea, Ethiopia, Fiji, Gabon, Gambia, Georgia, Ghana, Grenada, Guatemala, Guinea, Guinea-Buissau, Guyana, Haiti, Honduras, Indonesia, Iran, Iraq, Jamaica, Jordan, Kazakhstan, Kenya, Kiribati, Korea (Democratic Republic), Kosovo\*, Kyrgyz Republic, Lao, Lebanon, Lesotho, Liberia, Libya, former Yugoslav Republic of Macedonia, Madagascar, Malawi, Malaysia, Maldives, Mali, Marshall Islands, Mauritania, Mauritius, Micronesia, Moldova, Mongolia, Montenegro, Morocco, Mozambique, Myanmar, Namibia, Nepal, Nicaragua, Niger, Nigeria, Pakistan, Palau, Palestine, Panama, Papua New Guinea, Paraguay, Peru, Philippines, Rwanda, Samoa, Sao Tome and Principe, Senegal, Serbia, Seychelles, Sierra Leone, Solomon Islands, Somalia, South Africa, South Sudan, Sri Lanka, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines, Sudan, Suriname, Swaziland, Syrian Arab Republic, Tajikistan, Tanzania, Thailand, Timor-Leste, Togo, Tonga, Tunisia, Turkey, Turkmenistan, Tuvalu, Uganda, Ukraine, Uzbekistan, Vanuatu, Uruguay, Venezuela, Vietnam, , Yemen, Zambia, Zimbabwe.

(\* This designation is without prejudice to positions on status and is in line with UNSCR 1244/99 and the ICJ Opinion on the Kosovo declaration of independence).

International European interest organisations<sup>5</sup> will also be eligible to receive funding from Horizon 2020.

Legal entities established in countries not listed above will be eligible for funding when such funding is explicitly foreseen in the relevant call text.

In addition, legal entities established in countries not listed above and international organisations will be eligible for funding:

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<sup>5</sup> These are international organisations, the majority of whose members are Member States or associated countries, and whose principal objective is to promote scientific and technological cooperation in Europe.

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- When funding for such participants is provided for under a bilateral scientific and technological agreement or any other arrangement between the Union and an international organisation or a third country:
- When the Commission deems participation of the entity essential for carrying out the action funded through Horizon 2020.

## B. Standard admissibility conditions for grant proposals, and related requirements

1. To be considered admissible, a proposal must be:

- (a) Submitted in the electronic submission system before the deadline given in the call conditions;
- (b) Readable, accessible and printable.

2. Incomplete proposals may be considered inadmissible. This includes the requested administrative data, the proposal description, and any supporting documents specified in the call. The following supporting documents will be required to determine the operational capacity, unless otherwise specified:

- A curriculum vitae or description of the profile of the persons who will be primarily responsible for carrying out the proposed research and/or innovation activities;
- A list of up to five relevant publications, and/or products, services (including widely-used datasets or software), or other achievements relevant to the call content;
- A list of up to five relevant previous projects or activities, connected to the subject of this proposal;
- A description of any significant infrastructure and/or any major items of technical equipment, relevant to the proposed work;
- A description of any third parties that are not represented as project partners, but who will nonetheless be contributing towards the work (e.g. providing facilities, computing resources)

3. Proposals shall include a draft plan for the exploitation and dissemination of the results, unless otherwise specified in the call conditions. The draft plan is not required for proposals at the first stage of two-stage procedures.

4. Page limits will apply to proposals. The limits will be clearly set out in the electronic submission system. If a submitted proposal exceeds the limits, the applicant will receive an automatic warning, and will be advised to re-submit a version that conforms. After the relevant call deadline, excess pages in any over-long proposals will be automatically overprinted with a “watermark”. Expert evaluators will be instructed to disregard these excess pages.

## C. Standard eligibility criteria

All proposals must conform to the conditions set out in the Horizon 2020 Rules for Participation.

Furthermore, in this work plan, the following conditions apply unless they are supplemented or modified in the call conditions (topics description).

A proposal will only be considered eligible if:

- (a) its content corresponds, wholly or in part, to the topic description against which it is submitted, in the relevant work programme part;
- (b) it complies with the eligibility conditions set out below, depending on the type of action.

	<b>Eligibility conditions<sup>6,7</sup></b>
<b>Research &amp; Innovation Action</b>	Three legal entities. Each of the three shall be established in a different Member State or associated country. All three legal entities shall be independent of each other.
<b>Innovation Action</b>	Three legal entities. Each of the three shall be established in a different Member State or associated country. All three legal entities shall be independent of each other
<b>Coordination &amp; Support Action</b>	One legal entity established in a Member State or associated country.

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<sup>6</sup> The eligibility criteria formulated in Commission notice Nr. 2013/C 205/05 ([OJEU C 205 of 19.07.2013, pp.9-11](#)) shall apply for all actions under this Work Plan, including with respect to third parties receiving financial support in the cases where the respective action involves financial support to third parties by grant beneficiaries in accordance with Article 137 of the EU's Financial Regulation, notably Programme Co-Fund actions.

<sup>7</sup> Some entities from third countries are covered by the Council sanctions in place and are not eligible to participate in Union programmes. Please see: the consolidated list of persons, groups and entities subject to EU financial sanctions, available at [http://eeas.europa.eu/cfsp/sanctions/consol-list\\_en.htm](http://eeas.europa.eu/cfsp/sanctions/consol-list_en.htm).

## D. Types of action: specific provisions and funding rates<sup>8,9</sup>

### **Research and Innovation Actions**

*Description:* Action primarily consisting of activities aiming to establish new knowledge and/or to explore the feasibility of a new or improved technology, product, process, service or solution. For this purpose they may include basic and applied research, technology development and integration, testing and validation on a small-scale prototype in a laboratory or simulated environment.

Projects may contain closely connected but limited demonstration or pilot activities aiming to show technical feasibility in a near to operational environment.

*Funding rate:* 100%

### **Innovation Actions**

*Description:* Action primarily consisting of activities directly aiming at producing plans and arrangements or designs for new, altered or improved products, processes or services. For this purpose they may include prototyping, testing, demonstrating, piloting, large-scale product validation and market replication.

A ‘demonstration or pilot’ aims to validate the technical and economic viability of a new or improved technology, product, process, service or solution in an operational (or near to operational) environment, whether industrial or otherwise, involving where appropriate a larger scale prototype or demonstrator.

A ‘market replication’ aims to support the first application/deployment in the market of an innovation that has already been demonstrated but not yet applied/deployed in the market due to market failures/barriers to uptake. ‘Market replication’ does not cover multiple applications in the market of an innovation<sup>10</sup> that has already been applied successfully once in the market. ‘First’ means new at least to Europe or new at least to the application sector in question. Often such projects involve a validation of technical and economic performance at system level in real life operating conditions provided by the market.

Projects may include limited research and development activities.

*Funding rate:* 70% (except for non-profit legal entities, where a rate of 100% applies)<sup>11</sup>

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<sup>8</sup> Eligible costs for all types of action are in accordance with the Financial Regulation and the Rules for Participation. In addition, as training researchers on gender issues serves the policy objectives of Horizon 2020 and is necessary for the implementation of R&I actions, applicants may include in their proposal such activity and the following corresponding estimated costs that may be eligible for EU funding:

- i. Costs of delivering the training (personnel costs if the trainers are employees of the beneficiary or subcontracting if the training is outsourced);
- ii. Accessory direct costs such as travel and subsistence costs, if the training is delivered outside the beneficiary's premises;
- iii. Remuneration costs for the researchers attending the training, in proportion to the actual hours spent on the training (as personnel costs).

<sup>9</sup> Participants may ask for a lower rate.

<sup>10</sup> A new or improved technology, product, design, process, service or solution.

<sup>11</sup> Participants may ask for a lower rate.

**Coordination and Support Actions**

*Description:* Actions consisting primarily of accompanying measures such as standardisation, dissemination, awareness-raising and communication, networking, coordination or support services, policy dialogues and mutual learning exercises and studies, including design studies for new infrastructure and may also include complementary activities of strategic planning, networking and coordination between programmes in different countries.

*Funding rate:* 100%

## E. Technology readiness levels (TRL)

Where a topic description refers to a TRL, the following definitions apply, unless otherwise specified:

- TRL 1 – basic principles observed
- TRL 2 – technology concept formulated
- TRL 3 – experimental proof of concept
- TRL 4 – technology validated in lab
- TRL 5 – technology validated in relevant environment (industrially relevant environment in the case of key enabling technologies)
- TRL 6 – technology demonstrated in relevant environment (industrially relevant environment in the case of key enabling technologies)
- TRL 7 – system prototype demonstration in operational environment
- TRL 8 – system complete and qualified
- TRL 9 – actual system proven in operational environment (competitive manufacturing in the case of key enabling technologies; or in space)

## F. Evaluation

### Selection Criteria

a) *Financial capacity*: In line with the Financial Regulation and the Rules for Participation. At the proposal stage, coordinators will be invited to complete a self-assessment using an on-line tool.

b) *Operational capacity*: As a distinct operation, carried out during the evaluation of the award criterion ‘Quality and efficiency of the implementation’, experts will indicate whether the participants meet the selection criterion related to operational capacity, to carry out the proposed work, based on the competence and experience of the individual participant(s).

### Award criteria

Experts will evaluate on the basis of the criteria ‘excellence’, ‘impact’ and ‘quality and efficiency of the implementation’. The aspects to be considered in each case depend on the types of action as set out in the table below, unless stated otherwise in the call conditions.

<b>Type of action</b>	<b>Excellence</b>	<b>Impact</b>	<b>Quality and efficiency of the implementation</b>
	The following aspects will be taken into account, to the extent that the proposed work corresponds to the topic description in the work programme.	The extent to which the outputs of the project should contribute at the European and/or International level to:	The following aspects will be taken into account:
<b>All types of action</b>	<b>Clarity and pertinence of the objectives;</b>  Credibility of the proposed approach.	<b>The expected impacts listed in the work programme under the relevant topic</b>	Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks and resources;  Complementarity of the participants within the consortium (when relevant);  Appropriateness of the management structures and procedures, including risk and innovation management.

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<p><b>Research and Innovation; Innovation</b></p>	<p><b>Soundness of the concept, including trans-disciplinary considerations, where relevant;</b></p> <p><b>Extent that proposed work is ambitious, has innovation potential, and is beyond the state of the art (e.g. ground-breaking objectives, novel concepts and approaches)</b></p>	<p>Enhancing innovation capacity and integration of new knowledge;</p> <p>Strengthening the competitiveness and growth of companies by developing innovations meeting the needs of European and global markets; and, where relevant, by delivering such innovations to the markets;</p> <p>Any other environmental and socially important impacts (not already covered above);</p> <p>Effectiveness of the proposed measures to exploit and disseminate the project results (including management of IPR), to communicate the project, and to manage research data where relevant.</p>	
<p><b>Coordination &amp; Support Actions</b></p>	<p><b>Soundness of the concept;</b></p> <p><b>Quality of the proposed coordination and/or support measures.</b></p>	<p>Effectiveness of the proposed measures to exploit and disseminate the project results (including management of IPR), to communicate the project, and to manage research data where relevant.</p>	

**Note**

Unless otherwise specified in the call conditions:

(a) Evaluation scores will be awarded for the criteria, and not for the different aspects listed in the above table. For full proposals, each criterion will be scored out of 5. The threshold for individual criteria will be 3. The overall threshold, applying to the sum of the three individual scores, will be 10.

(b) For Innovation actions, to determine the ranking, the score for the criterion ‘impact’ will be given a weight of 1.5.

**Priority order for proposals with the same score**

Unless the call conditions indicate otherwise, the following method will be applied.

As part of the evaluation by independent experts, a panel review will recommend one or more ranked lists for the proposals under evaluation, following the scoring systems indicated above. A ranked list will be drawn up for every indicative budget shown in the call conditions.

If necessary, the panel will determine a priority order for proposals which have been awarded the same score within a ranked list. Whether or not such a prioritisation is carried out will depend on the available budget or other conditions set out in the annual work plan. The following approach will be applied successively for every group of *ex aequo* proposals requiring prioritisation, starting with the highest scored group, and continuing in descending order:

(i) Proposals that address topics not otherwise covered by more highly-ranked proposals, will be considered to have the highest priority.

(ii) These proposals will themselves be prioritised according to the scores they have been awarded for the criterion *excellence*. When these scores are equal, priority will be based on scores for the criterion *impact*. In the case of Innovation actions, this prioritisation will be done first on the basis of the score for *impact*, and then on that for *excellence*.

If necessary, any further prioritisation will be based on the following factors, in order: size of budget allocated to SMEs; gender balance among the personnel named in the proposal who will be primarily responsible for carrying out the research and/or innovation activities.

If a distinction still cannot be made, the panel may decide to further prioritise by considering how to enhance the quality of the project portfolio through synergies between projects, or other factors related to the objectives of the call or to FCH 2 JU and Horizon 2020 in general. These factors will be documented in the report of the Panel.

(iii) The method described in (ii) will then be applied to the remaining *ex aequos* in the group.

## **G. Budget flexibility**

Budgetary figures given in this work programme are indicative. Unless otherwise stated, final budgets may vary following the evaluation of proposals. The final figures may vary by up to 20% with respect to those indicated in this work programme for the following budgeted activities:

- Total expenditure for each call for proposals;
- Any repartition of the call budget within a call, up to 20% of the total expenditure of the call;
- Evaluation and monitoring, up to 20% of the total expenditure for all these activities;
- Each other individual actions not implemented through calls for proposals.

## **H. Financial support to third parties**

Where this possibility is indicated under the relevant topic, proposals which foresee a financial support to third parties<sup>12</sup>, shall clearly detail the objectives and the results to be obtained and include at least the following elements:

- a closed list of the different types of activities that qualify for financial support,
- the persons or categories of persons which may receive financial support,
- the criteria for awarding financial support
- the criteria for calculating the exact amount of the financial support,
- the maximum amount to be granted to each third party (may not exceed EUR 60 000 for each third party unless it is necessary to achieve the objectives of the action)

The financial support may also take the form of a prize awarded following a contest organised by the beneficiary.

In such case proposals shall clearly detail at least the following elements:

- the conditions for participation;
- the award criteria;
- the amount of the prize;
- the payment arrangements.

Further boundary conditions regarding the above listed elements or other elements may be laid down in the relevant call allowing a financial support to third parties.

The grant beneficiary must ensure that recipients of the financial support allow the FCH 2 JU, the Commission, the European Anti-fraud Office and the Court of Auditors to exercise their powers of control, on documents, information, even stored on electronic media, or on the final recipient's premises.

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<sup>12</sup> Article 137 of the Financial Regulation