

JOINT CALL

**Ecological Aspects of
Deep-Sea Mining 2023**

Version: 14 December 2023:

- Correction of the pre-proposal submission deadline on p.18 to: 30.09.2024 - 17:00 CEST
- Correction on the awarded exploration contracts under 'Rationale' p.6
- Inclusion of the National Funding Rules of the Dutch Research Council (NWO)



The FUNDING PARTNERS herewith announce the joint call for proposals under the framework of JPI Oceans on the

ECOLOGICAL ASPECTS OF DEEP-SEA MINING

2023

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DEFINITIONS

JOINT CALL

A collaborative mechanism through which multiple countries pool their resources to address shared challenges. A Joint Call invites research institutions and other stakeholders across participating countries to submit project proposals on specific topics.

PROJECT PROPOSAL

A detailed and structured document that outlines the objectives, methodology, timeline, budget, and expected outcomes of a planned project or initiative.

PROJECT

A collaborative research endeavour that has been selected through the joint call evaluation process and will receive financial support.

CALL FOR EXPRESSION OF INTEREST

To accommodate collaboration between the research project proposals and potential, interested commercial parties, JPI Oceans has launched a call for expression of interest for private sector partners preceding the transnational joint call. A list of potential opportunities for partnering is made available on the call launch date under heading 3.

FUNDING PARTNER

One of the Ministries or Funding agencies listed below who have committed themselves to fund the projects selected through this call for proposals.

LEAD AGENCY

The primary organization tasked with overseeing and coordinating the entirety of the joint call process.

PROJECT COORDINATOR

S/he is the Principal Investigator of the partner who is leading the project.

1. INTRODUCTION

This joint call is being conducted within the framework of the JPI Oceans Joint Action 'Ecological aspects of deep-sea mining'. Since 2014, this JPI Oceans Joint Action has successfully demonstrated how integrated scientific research can be organized in two European trans-disciplinary research projects (MiningImpact I & II) and how marine research infrastructure can be utilized jointly and efficiently to tackle deep-sea research questions and close scientific knowledge gaps.

With both MiningImpact projects having delivered valuable input into the development of the international Mining Code, JPI Oceans has made a significant contribution to generate the necessary evidence base underpinning the development of the international governance framework for the exploitation of seabed resources. By funding excellent interdisciplinary science, JPI Oceans and its member countries provided key information to assist the political decision-making process, ensuring that global policies are based on the best available scientific knowledge.

1.1 RATIONALE

The last decade has seen a steady increase of interest in deep-sea mining to secure humankind's projected future demands in commodities, such as critical metals. According to a recent report by the World Bank, production of cobalt and other metals will need to be ramped up by more than 450 percent by 2050—from 2018 levels—to meet the demand for energy storage technologies.¹

In response, the momentum linked to the nascent deep-sea mining industry has increased rapidly. Since 2001 various contractors have been awarded exploration contracts and currently 31 contracts are in operation. In this context, a few contractors have tested prototypes to enable polymetallic nodule mining in international waters. With several European countries, i.e., Belgium, France, Germany, United Kingdom, and a consortium which includes Bulgaria, the Czech Republic, Poland, and Slovakia having registered claims with the International Seabed Authority (ISA) to explore mineral resources in the abyss, the question whether deep-sea mining is justified has recently been at the centre of political debate in Europe.

The related societal discourse has intensified, and expectations are forged with the ISA and its 169 members plus the EU finalizing the development of its international regulatory framework governing the exploitation of mineral seabed resources in areas beyond national jurisdiction, the so-called "Mining Code". In addition, several countries have started processes towards the exploration of marine mineral deposits within their national jurisdictions. This evolution raises important questions about the ethical and societal implications which go hand in hand with the development of this new industry. These are complemented by questions about the governance and management of deep-sea mining activities. With deep-sea mining inevitably causing harm to deep-sea ecosystems, it is crucial that national and international legislation is based on the best available knowledge.

1.2 ABOUT JPI OCEANS

The Joint Programming Initiative Healthy and Productive Seas and Oceans (JPI Oceans) was established in 2011 as a pan-European platform, open to all EU Member States and Associated Countries who invest in marine and maritime research. Our members are ministries and funding agencies that develop, fund, and implement national research agendas. The distinctive role of JPI Oceans is to strategically prioritise and fund transnational research and innovation to increase the efficiency and impact for sustainably healthy and productive seas and oceans.

1.3 UN OCEAN DECADE OF OCEAN SCIENCE FOR SUSTAINABLE DEVELOPMENT

The United Nations (UN) Decade of Ocean Science for Sustainable Development (2021–2030) is being coordinated by UNESCO's Intergovernmental Oceanographic Commission (IOC/UNESCO). The objective of the Ocean Decade is to increase knowledge of the ocean and ensure that society uses the knowledge to achieve sustainable development with respect to the 2030 Agenda and associated Sustainable Development Goals.

After decisions on funding are made, the projects funded in this call will be introduced to the Ocean Decade's Coordination Unit to be considered for endorsement as Ocean Decade Actions, thus, becoming part of the Ocean Decade. To be eligible for endorsement, any project must support one or more of the [Ocean Decade's Challenges](#) and promote relevant endorsement criteria as described in the below. Decisions on any future endorsement would be made following the procedures outlined in the Implementation Plan for the UN Decade of Ocean Science for Sustainable Development and would relate solely to

the research projects and would not in any way indicate that IOC/UNESCO endorses seafloor mining and related operations nor would it in any way endorse or indicate support for activities carried out by private sector partners that may collaborate with research projects.

1.3.1 Endorsement criteria

To be considered for endorsement, projects selected through the JPI Oceans joint call should contribute to the following overarching objectives of the UN Ocean Decade and elaborate briefly how they intend to achieve this:

a) Access to data and information:

Funded projects contribute to improved access to data and information, to an enhanced data basis and/or promote the harmonization of data to support knowledge-based policies, decision-making, management, and/or innovation. This contribution thus ensures co-design or co-delivery by both knowledge generators and users. Furthermore, funded projects ensure that all data and resulting knowledge are provided without any embargo period in an open-access, shared, discoverable manner in accordance with the provisions of United Nations Convention on the Law of the Sea (UNCLOS) and are appropriately deposited in recognized data repositories consistent with the Intergovernmental Oceanographic Commission (IOC) Oceanographic Data Exchange Policy or the relevant UN subordinate body data policy.

b) Dialogue and Transfer:

(i) Dissemination of results: Projects include clear and precise procedures to disseminate results for further use by policy and practice, especially to decision-makers and non-scientific target audiences (such as local populations and industries), creating user-oriented knowledge products.

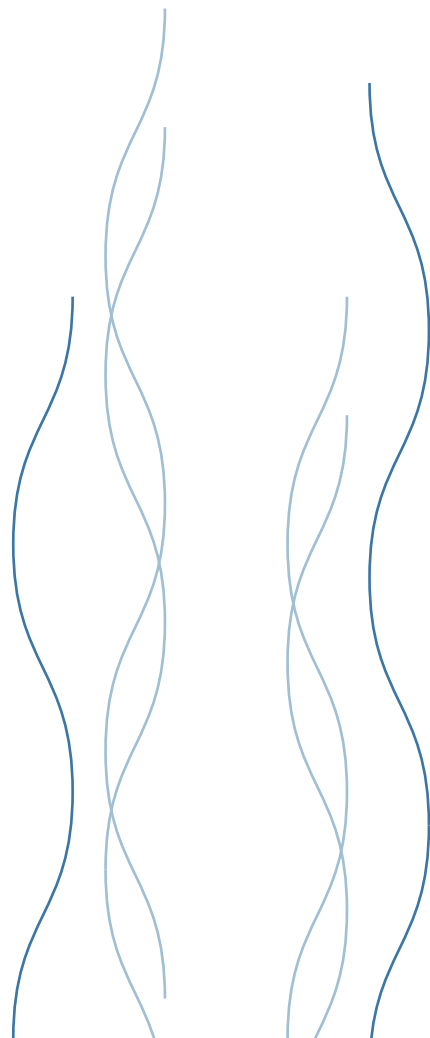
(ii) Contribution to Ocean Decade Action Framework: Contribute to fulfilling one or more of the Ocean Decade Challenges and one or more of the Ocean Decade objectives and accelerate the generation or use of knowledge and understanding of the ocean including knowledge that will contribute to the achievement of the 2030 Agenda and the Sustainable Development Goals and complementary policy frameworks and initiatives.

(iii) Capacity Development: Projects build capacities on the institutional and individual level among their partners and non-scientific actors through specific measures, including, but not limited to, beneficiaries in Small Island Developing States (SIDS), Least Developed Countries (LDCs), and Land-Locked Developing Countries (LLDCs).

In addition to the above criteria, applicants are encouraged to consider the following remaining set of endorsement criteria for Decade Actions in the preparation of their submissions and demonstrate in their applications how they are contributing to fulfilling these:

- Strengthen existing or create new partnerships across nations and/or between diverse ocean actors, including users of ocean science.
- Overcome barriers to diversity and equity, including gender, generational, and geographic diversity.
- Collaborate with and engage local and indigenous knowledge holders.

This information will be used to evaluate the suitability of funded projects to be endorsed as Decade Actions following the procedures set out in the Implementation Plan of the UN Decade of Ocean Science for Sustainable Development.



2. SCIENTIFIC AND STRATEGIC FRAMEWORK

The scope of this call results from a yearlong process in which scientists, policy makers, industry, and NGO representatives as well as interested JPI Oceans members gathered to take stock of knowledge gaps and future research priorities. Exploring the potential of a successor activity to two previous phases of the JPI Oceans Joint Action on the ecological aspects of deep-sea mining, experts, policy makers, and interested JPI Oceans members gathered first in a scoping meeting on 11 October 2022. Several aspects of deep-sea mining impact were identified that require further or more detailed investigation. Following up, a meeting was set up with the ISA secretariat to identify the information needs from a policy perspective. This step was complemented by a stakeholder consultation workshop in which representatives from NGOs and industry were consulted to give their perspective on a third phase of the Joint Action.

As a result of these meetings and a brief review of recently published studies^{ii iii}, the following issues have been identified as important scientific objectives in a successor phase:

Ecosystem dynamics

- Analyse the ecosystem functioning and food web architecture in the deep sea;
- Understand and assess ecosystem resilience;
- Understand the natural spatial and temporal trends and variability in the deep sea on a regional scale;
- Accounting of biodiversity and ecosystem goods and services in the deep sea.

Ecological impacts of polymetallic nodule mining

- Underpin the scientific evidence to establish threshold values that define serious harm and to develop indicators of ecosystem health;
- Investigate effectiveness of mitigation and potential restoration measures;
- Study longer-term and cumulative impacts on polymetallic nodule habitats by prototype collector trials;
- Develop a deep-sea digital twin and modelling approaches to enable a better predictive capacity and trade off analysis;
- Make a comparative analysis of terrestrial and deep-sea mining in terms of their socio-ecological footprints, forming a foundation for further societal discourse.

Ecological impacts of massive sulphide mining

- Characterise polymetallic sulphide-based ecosystems at inactive vent sites;
- Investigate abiotic parameters of massive sulphide deposits at hydrothermally inactive sites and neighbouring deep-sea habitats;
- Study the ecological impact of potential massive sulphide mining tests including the identification of test-sites.

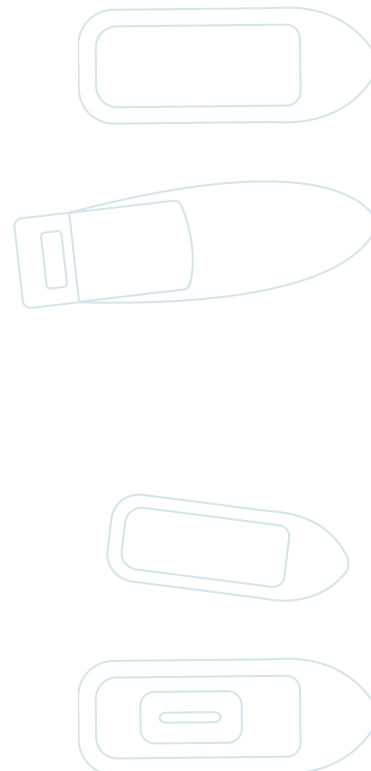
Science-based support to governance

- Make a preliminary analysis of proposed governance and management regimes;
- Inform the definition and development of improved standards and guidelines for environmental baselines, monitoring, and impact assessment;

- Establish adaptive management tools and criteria for minimizing harmful impacts;
- Analyse ethical implications and societal consequences related to deep-sea mining.

While the MiningImpact II project studied ecological impacts of a pre-prototype polymetallic nodule collector vehicle (Patania II) exploitation test, in a follow-up phase fieldwork in one of the funded projects could be linked to a full-scale mining test which includes a riser system (More information under heading 3. Collaboration with external private sector partners). Monitoring of the industrial equipment test should particularly aim at reducing the existing uncertainties with respect to the discharged sediment plume and its short- to long-distance impacts on the pelagic ecosystem through released substances, suspended particle concentrations, and eventually deposited blankets of displaced sediment.

In general, projects are encouraged to inform the ongoing work of the International Seabed Authority and its members and consider opportunities to align their activities with the strategic research priorities of the ISA Action Plan for Marine Scientific Research.



3. COLLABORATION WITH EXTERNAL PRIVATE SECTOR PARTNERS

3.1 OVERVIEW

To accommodate collaboration between the research project proposals and potentially interested commercial parties, JPI Oceans has launched a [call for expression of interest for private sector partners](#) preceding the trans-national joint call. As a result of this call a list of potential collaboration opportunities which can be integrated in project proposals is made available below:

Global Sea Mineral Resources (GSR), part of the DEME group

After the technology trial performed by GSR in 2021 with the pre-prototype seafloor nodule collector vehicle Patania II, GSR is currently working on the preparation of an offshore System Integration Test (SIT), to be carried out in the Clarion-Clipperton Zone in the first quarter of 2027 (subject to the adoption of the International Mining Regulations by mid-2025). The SIT will integrate the following different components: (1) A full-scale seafloor nodule collector (so-called Patania III); (2) The vertical transport system consisting of an enclosed riser pipe with pumps; (3) the converted mining vessel Olympia as well as (4) an environmental impact prediction and monitoring system. The objective of GSR's SIT is to mimic commercial exploitation both from a technology perspective and an operational and environmental perspective. GSR is interested in opening up its activities for independent observations by an external research project. Applicants which are interested in developing a project proposal coordinated in conjunction with the intended SIT are welcome to engage in a dialogue to accommodate ideas for independent observations and monitoring that converge in more detailed project(s) plan(s). More information and contact:

François Charlet, email: Charlet.Francois@deme-group.com.

Oengineering

The company Oengineering is specifically offering its product, the GUARD-1 autonomous underwater camera as a testing tool in the ecological monitoring of deep-sea mining. With the use of the AI underwater camera the company proposes to acquire ecological or biological data in deep sea. The GUARD-1 camera can be placed in deep water (normal operational water depth of 1000 m but can be implemented as deep as 2000-2500 meters) autonomously, not requiring any cabling or power. It can remain in the deep water for up to 12 months with an internal battery pack and carry out the mission instructions, such as taking photos, videos, analyzing the images, and storing only key information etc. More information and contact: Tommaso Occhipinti, email tommaso.occhipinti@oengineering.eu.

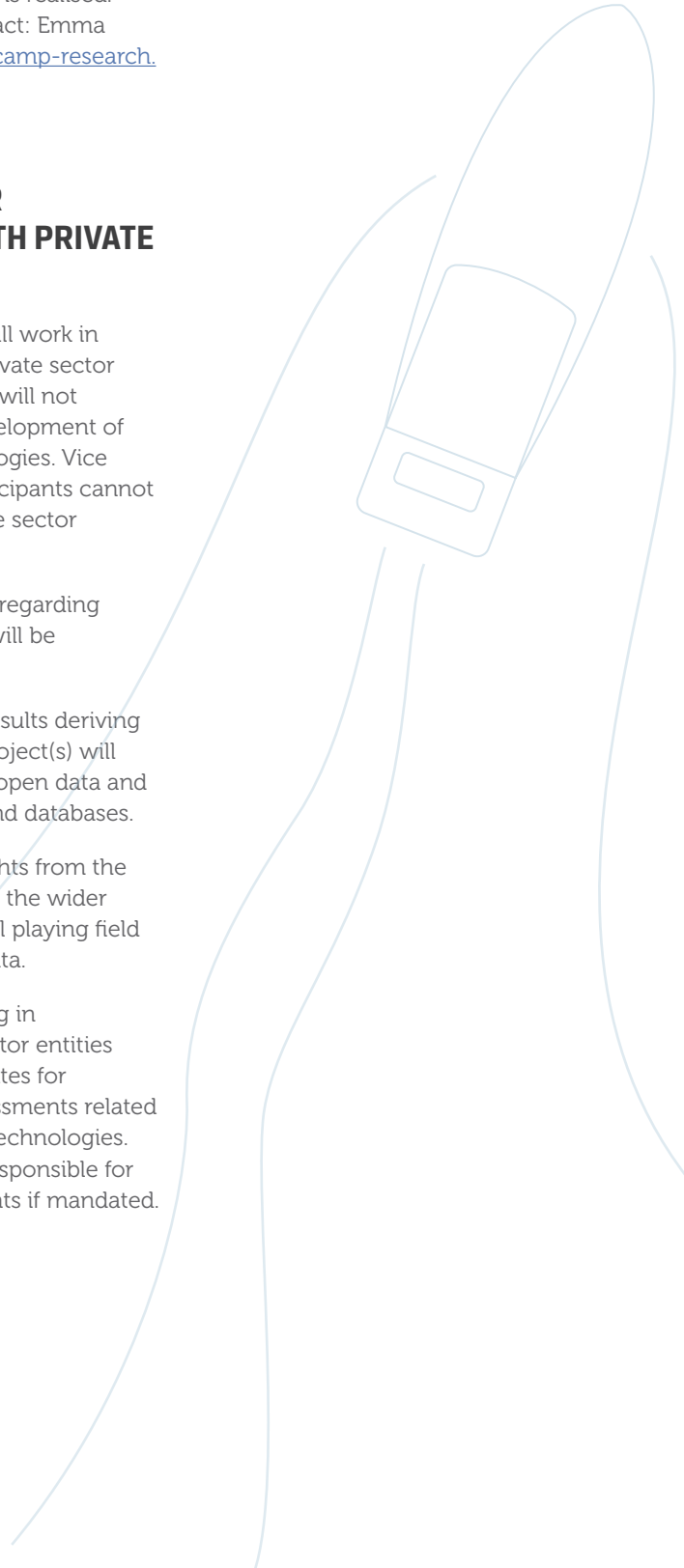
Basecamp Research

The company Basecamp Research is specialized in off-grid metagenomic DNA analysis. It offers capabilities for monitoring the impact of deep-sea mining in respect to the microbial diversity and the bioprospecting potential of these ecosystems and of other critical provisions services these habitats provide. In that regard, Basecamp Research is building access and benefit sharing partnerships to understand the value in deep-sea biodiversity and the importance around preserving these environments. In particular it can offer in-situ insights underpinning the thresholds of harm of deep-sea mining on microbial ecosystem services, including the potential loss of novel microbial species that may have vital bioprospecting potential, to inform

these BBNJ (BIodiversity Beyond National Jurisdiction) environments, that the royalties from commercialisation are fed back correctly, in the spirit of the High Seas Treaty until ratification is realised. More information and contact: Emma Bolton, email: emma@basecamp-research.com.

3.2 CONDITIONS FOR COLLABORATION WITH PRIVATE SECTOR PARTNERS

1. The research project(s) will work in full independence of the private sector partners; Funding agencies will not provide funding for the development of mining activities or technologies. Vice versa, research project participants cannot receive funding from private sector partners.
2. Regulatory requirements regarding state-aid and competition will be observed.
3. Transparency is key. All results deriving from the publicly funded project(s) will be made available through open data and open access publications and databases.
4. Enterprises will gain insights from the project(s) concurrently with the wider community, ensuring a level playing field in access to the resultant data.
5. Research projects working in partnership with private sector entities should not serve as substitutes for environmental impact assessments related to test mining activities or technologies. Private sector entities are responsible for funding separate assessments if mandated.



4. CRITERIA

4.1 ELIGIBILITY

Number of applicants per proposal

- Each application of a joint project must involve researchers from at least three FUNDING PARTNER countries. Self-funded partners including partners from countries (and/or regions) not participating in this call are allowed but do not contribute to the minimum eligible consortium size. No maximum number of partners is specified;

The call is further open to all proposals that meet the following criteria:

- Input of in-kind national scientific contributions of researchers to the joint project must be visible/marked in the proposal;
- Researchers who are eligible to apply for financial support from any of the participating FUNDING PARTNERS are eligible to apply for funding within this call for proposals;
- Researchers from other countries (third countries, incl. ASSOCIATE PARTNERS) can participate in project proposals on the condition that they provide written proof that their part of the project will be covered independently of this call (in kind). However, they cannot coordinate a project;
- The project coordinator leading a joint application must be eligible for submitting funding proposals to one of the FUNDING PARTNERS;

Consortia must be aware that failure of one partner within the consortium to meet the national/regional eligibility criteria may result in the rejection of the entire proposal. It is therefore strongly recommended that the project coordinator verifies that the project partners contact their National Contacts

to check their eligibility.

Applications received after the deadline will not be considered.

Duration

- Depending on national funding rules, projects can be funded for 36 or 48 months (see table 1).
- Projects of European FUNDING PARTNERS should preferably start on **01.07.2025**.
- National rules and funding regulations are published on the respective websites of respective FUNDING PARTNERS and in the annex below.

Eligible budget items

Eligible costs are governed by national regulations (see below). Potential applicants are strongly advised to consult the general funding requirements of the FUNDING PARTNERS participating in the call and to contact the National Contact Point whenever necessary, especially regarding eligible costs and other country-specific aspects of the call.

- The project costs for individual project proposals must meet the project goals and consider the national eligibility criteria about minimum and upper limits of costs.
- The total amount of funding requested from a FUNDING PARTNER in a proposal cannot exceed the budget limitations set by this organisation.

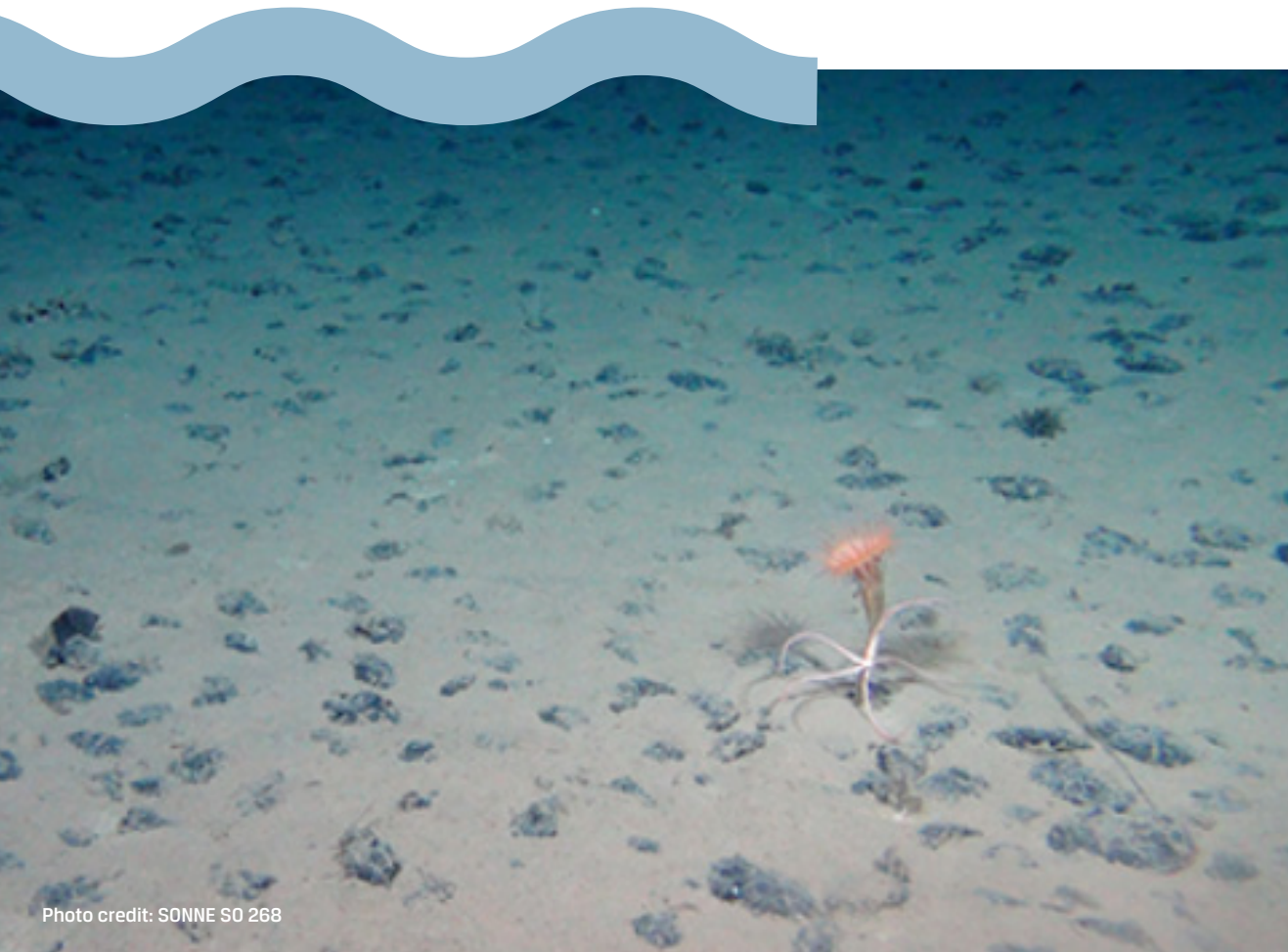
The national eligibility criteria specified below by the respective FUNDING PARTNERS must be followed. For details, please contact the national representative(s) for further advice.

4.2 EVALUATION CRITERIA

Potential applicants are advised to take careful notice of the aims and scope of the call as described above. The following criteria will be applied to assess the quality of (pre-)proposals and to determine the ranking of proposals that guides the funding decision:

- Scientific quality, including novelty, originality, and innovation of the proposed research;
- Feasibility and applicability of the proposed research in relation to the call objectives;
- Relevance to the call;
- Quality of applicants and suitability of the consortium, including level of integration and interdisciplinarity;
- Knowledge transfer and dissemination activities.

More information on the evaluation procedure is provided under 6. Procedures.



































5. FUNDING, IN-KIND AND RESEARCH INFRASTRUCTURE AVAILABILITY

A substantial amount of financial resources has been contributed to this call for proposals by the participating FUNDING PARTNERS from Belgium, Germany, Italy, the Netherlands, Poland, Romania and the United Kingdom. Each participant in a consortium will be funded by their national partner organization. ASSOCIATE PARTNERS from other countries with in-kind contributions are welcome.

Table 1: Overview of funding opportunities of each participating funding organisation.

Country	Funding Organisation	Total maximum budget	Comments
Belgium	Belgian Science Policy Office (Belspo)	€ 350,000	Budget is available for projects with a duration of 36 to 48 months. (The budget is contingent on the approval by the Belgian government).
Belgium	Department of Economy, Science & Innovation, Government of Flanders	€ 350,000	The budget is available for a 36 to 48 month project.
Germany	German Federal Ministry of Education and Research (BMBF)	€ 2,000,000	Budget available for 48 months with maximum annual funds of € 500,000 (conditional budget; contingent on the approval by the German federal government).
Italy	Ministry of universities and research (MUR)	€ 600,000	Budget is available for 48 months. Max. € 200,000 per project.
The Netherlands	Dutch Research Council (NWO)	€ 1,456,000	Budget is available for projects with a duration of 48 months. Between €300,000 and €1,456,000 can be applied per project.
Poland	The National Centre for Research and Development (NCBR)	€ 600,000	Funding is tailored for a 36 months project. Actual project duration proposed can differ from that reference. Max. € 200,000 per partner.
Romania	Executive Agency for Higher Education, Research, Development, and Innovation Funding (UEFISCDI)	€ 500,000	Budget is available for 36 months. Max. € 250,000 per project if Romanian applicant is a coordinator; Max. € 200,000 per project if Romanian applicant is a partner. More information here .
United Kingdom	Department for Environment, Food and Rural Affairs (DEFRA)	€ 520,000	Funding is available for up to 48 months. Budget is expected to fund participation in 2 or more projects.

Table 2. Funding availability for each of the priority areas.

Country	Funding Organisation	Ecosystem dynamics	Ecological impacts of polymetallic nodule mining	Ecological impacts of massive sulphide mining	Science-based support to governance
Belgium	Belgian Science Policy Office (Belspo)				
Belgium	Department of Economy, Science & Innovation, Government of Flanders (EWI)				
Germany	German Federal Ministry of Education and Research (BMBF)				
Italy	Ministry of universities and research (MUR)				
The Netherlands	Dutch Research Council (NWO)				
Poland	The National Centre for Research and Development (NCBR)				
Romania	Executive Agency for Higher Education, Research, Development, and Innovation Funding (UEFISCDI)				
United Kingdom	Department for Environment, Food and Rural Affairs (DEFRA)				

The table below provides an overview of in-kind contributions in the form of ship-time onboard of two research vessels, made available by Belgium and Germany. Project applicants are strongly encouraged to make use of these available resources in their project proposals. While access to the research vessels is not limited to individuals from institutes of the contributing states, the request for access should be submitted through the appropriate national channels.

Table 3. Overview of research infrastructure availability

RI Owner	Description of Research Infrastructure	Total available cruise length/ days	Availability as of Month/ Year	Operation in the period of availability	Comments
Belspo (Belgium)	RV Belgica	Max. 12 days	01/2027	North Sea, Atlantic Ocean	To be bartered against ship time in the Clarion-Clipperton Fracture Zone. Contact the operator of the RV Belgica, the Royal Belgian Institute of Natural Sciences (Dr. Lieven Naudts, lnaudts@naturalsciences.be) for more details. Budget on the condition of approval by the Belgian government.
Germany	RV SONNE	Max. 50 days	05/2026 at the earliest	Clarion-Clipperton Zone / Pacific Ocean	Pre-proposals should be submitted to the German RV evaluation panel (GPF) for review by 07/2024 to be considered for scheduling in 2026 or 2027. Contact PtJ, the project funding manager of RV Sonne, for more details at t.hoefig@fz-juelich.de .



6. PROCEDURES

A two-stage transnational evaluation process will be applied: Applicants are first invited to submit pre-proposals. Successful applicants, following a peer review, will then be invited to submit integrated full funding proposals.

Applicants are advised to consult their national contact points for this call prior to planning and submitting proposals.

6.1 DATES AND DEADLINES

Deadline for submitting pre-proposals:
01.03.2024 - 17:00 CET

End of peer-review process:
01.05.2024

Selection of pre-proposals by funding partners: 15.05.2024

Inform positively ranked institutions:
20.05.2024

Deadline for submitting full proposals:
30.09.2024 - 17:00 CEST

End of peer-review process:
15.11.2024

Selection of full proposals by funding partners: 29.11.2024

Start of projects:
01.07.2025

6.2 SUBMISSION OF PRE-PROPOSALS

The maximum length of the pre-proposal is 20 pages. The language of the application is English. Applications should be submitted electronically by the PROJECT COORDINATOR to the CALL SECRETARIAT via the [link provided](#)

[on the JPI Oceans website](#) no later than 01.03.2024 at 17:00 CET. Applications received after the deadline will not be considered. The use of the official application form for this call is mandatory. Instructions and guidelines for submitting applications can be found on the website. In case of technical questions, please contact the CALL SECRETARIAT (Koen Lefever - Tel: +32 (0)2 238 35 51, email: Koen.LEFEVER@belspo.be).

6.3 EVALUATION OF PRE-PROPOSALS

The eligible pre-proposals will be sent for scientific evaluation that will be carried out by at least three independent reviewers (jointly selected by the FUNDING PARTNERS).

The evaluation of each pre-proposal will be based on the following criteria which will each individually be scored on a scale of 0 (lowest) to 5 (highest):

1. Scientific quality, including novelty, originality, and innovation of the proposed research.
2. Feasibility and applicability of the proposed research in relation to the call objectives.
3. Relevance to the call.
4. Quality of applicants and suitability of the consortium.
5. Knowledge transfer and dissemination activities.

For each criterion (1 to 5), the median score from all reviewers will be calculated. These median scores will then be summed to determine the total score of the pre-proposal.

Importantly, the score reached for the 'Scientific Quality' criterion will carry double weight in the total scoring process. The score assigned to the 'Knowledge Transfer and Dissemination' criterion will be multiplied by a factor of 1.5.

Group A	Group B	Group C
(high evaluation scores 20-25)	(medium evaluation scores 15-19)	(low evaluation scores 0-14)
<i>All pre-proposals in Group A, if funds are available, will be invited to the full proposal stage.</i>	<i>Among the pre-proposals in Group B, proposals will be selected to stage 2, taking into account the ranking list, the representativeness of all funding partners and the oversubscription ratio.</i>	<i>Pre-proposals in Group C will be dismissed due to their low ranking and unavailability of funding</i>

This first stage aims to identify the best pre-proposals to proceed to stage 2 and to ensure a balance between requested and available funds at the national level for proposals in group B.

Scoring system

- 0 – LIMITED** - The (pre-)proposal fails to address the criterion or cannot be assessed due to missing or incomplete information.
- 1 – POOR** - The criterion is inadequately addressed, or there are serious inherent weaknesses.
- 2 – FAIR** - The (pre-)proposal broadly addresses the criterion, but there are significant weaknesses.
- 3 – GOOD** - The (pre-)proposal addresses the criterion well, but several shortcomings are present.
- 4 – VERY GOOD** - The (pre-)proposal addresses the criterion very well, but a small number of shortcomings are present.
- 5 – EXCELLENT** - The (pre-)proposal successfully addresses all relevant aspects of the criterion. Any shortcomings are minor.

6.4 SUBMISSION OF FULL PROPOSALS

Only research consortia that have been selected through the pre-proposal phase will be invited to submit a full proposal. Applications should be submitted electronically by the PROJECT COORDINATOR to the CALL SECRETARIAT via the link provided on the JPI Oceans secretariat website with a deadline of 30.09.2024 at 17:00 h CEST. The use of the official application form for this call is mandatory. Instructions and guidelines for submitting applications can be found on the website. Applications received after the deadline will not be considered.

In case of technical questions, please contact the CALL SECRETARIAT (Koen Lefever - Tel: +32 (0)2 238 35 51, email: , email: Koen.LEFEVER@belspo.be).

6.5 EVALUATION OF FULL PROPOSALS

After the submission deadline, all proposals are checked against the call eligibility criteria by the LEAD AGENCY. FUNDING PARTNERS will check any national eligibility criteria specified in the National funding rules.

All full proposals will be subject to a scientific evaluation by at least three independent reviewers of the based on five criteria which will be scored individually of 0 (lowest) to 5 (highest):

- Scientific quality, including novelty, originality, and innovation of the proposed research.
- Feasibility and applicability of the proposed research in relation to the call objectives.
- Relevance to the call.
- Quality of applicants and suitability of the consortium.
- Knowledge transfer and dissemination activities.

For each criterion, the median score from all reviewers will be calculated. These median scores will then be summed to determine the total score for the pre-proposal.

Importantly, the score for the 'Scientific Quality' criterion will carry double weight in the total scoring process. The score assigned to the 'Knowledge Transfer and Dissemination' criterion will be multiplied by a factor of 1.5.

An Evaluation Panel, consisting of the independent, international peer referees ranks the proposals based on the results of the review reports. The Evaluation Panel groups the proposals in three categories:

- A. very good proposals recommended for funding.
- B. good proposals to be funded if sufficient funds are available.
- C. poor proposals, not recommended for funding.

Based on the Evaluation Panel recommendations described above and the available funding, the FUNDING PARTNERS jointly agree on a short-list of

projects selected for funding, assuring, to the extent possible, a balanced coverage of the scientific themes of the call.

The outcome of this process will be communicated by the CALL SECRETARIAT to the PROJECT COORDINATOR of the proposal(s), who will inform their respective partners accordingly. The evaluation by the Evaluation Panel will be made available to the PROJECT COORDINATOR of the proposal(s) upon request.

The funding decision is irrevocable and therefore no redress procedure is possible.

Formal funding decisions are made by the participating FUNDING PARTNERS, and, where applicable, are followed up by national requests for application submissions.

Consent provided, the identity of the reviewers will be made available on the website of the LEAD AGENCY after the funding procedure has been completed.

Strict confidentiality is maintained with respect to the identities of applicants and the contents of the proposals throughout the duration of the entire procedure.

The list of funded projects will be published on the websites of JPI Oceans and all FUNDING PARTNERS.

6.6 OTHER REQUIREMENTS

Conflicts of interest

- Investigators must disclose any financial or beneficial relationships with a commercial interest (and those of the Investigator's spouse and dependent children) that could be viewed as presenting a potential conflict of interest and must declare any relationship that may lead to a potential commercial bias. All relevant sources of revenue paid, or promised to be paid, by a commercial

entity either directly to the investigator, or to the investigator's institution on their behalf, over the preceding 12 months must be included in the disclosure form.

- Public funding sources such as government agencies, charitable associations, etc., generally need not be disclosed. However, if a particular relationship with one of these public funding sources might be perceived as creating an actual or potential conflict of interest, the investigator must disclose the relationship and provide relevant information. Similarly, any royalties (defined as use-based payments made to the investigator or their institution as the holder of a patent, copyright, registered trademark, or other property) should be disclosed.

Access to data and information

Projects should contribute to improved access to data and information, to an enhanced data basis and/or promote the harmonization of data to support knowledge-based decision-making. Therefore, projects should ensure that all data and resulting knowledge are provided in an open-access, shared, discoverable manner. Projects are therefore required to make data available in the DeepData database hosted by the International Seabed Authority. In case the project is linked to an industrial field trial / demonstration project of mining or environmental monitoring equipment in the deep sea, the industrial operator will not be allowed to have a preview or privileged access to data and results deriving from the project.

Dissemination of results

Projects should include clear and precise procedures to disseminate results for further use by policy and practice, especially to decision-makers and non-scientific target audiences creating a user-oriented knowledge product.

Project management and reporting

Funded projects are required to report to their national funding agencies under the administrative rules of the relevant funding organization on an annual basis. In addition, the PROJECT COORDINATOR is required to submit a mid-term English summary covering all work packages to the LEAD AGENCY. The PROJECT COORDINATOR will also be responsible for submitting a final report to the LEAD AGENCY, in English, within six months after the end of the project. This report should cover the work undertaken by all the proposal partners. National participating partners will have to submit reports of their own work to respective national funding agencies.

Budgetary requirements - Knowledge hub and joint meetings

Coordinators and communication leads of the funded projects under the call will be brought together in a knowledge hub. The latter is an expert network which provides a platform for knowledge transfer to the policy space while also enabling good and effective coordination between projects. Applicants (coordinators and communication leads) are expected to participate in online meetings which will take place twice a year through the projects' lifetime. Relevant costs should be included in the proposal budget.

In addition, at the start of the projects, a joint kick-off meeting with all funded projects will be organized. A joint mid-term meeting will be organized half-way through the funding period. A joint final conference will be organized at the end of the funding period. The FUNDING PARTNERS, together with the JPI Oceans Secretariat, will organize these three meetings in cooperation with the PROJECT COORDINATORS of the funded projects.

Participants of funded projects are expected to participate in these meetings and should include the relevant costs in their proposal budgets.

Further information

Potential applicants are advised to consult the general funding requirements of the national organizations participating in the call and to contact the national contact persons whenever necessary, especially with regards to eligible costs and other country-specific aspects of the call.

7. DISCLAIMER

As in previous phases of the JPI Oceans Joint Action on the ecological aspects of deep-sea mining, the successor activities will focus on studying environmental impacts and risks but the Funding Parties will not fund (the development of) mining activities or technologies. Furthermore, implementing the Joint Action does not imply that JPI Oceans or its Member Countries endorse or disapprove of seafloor mining and related operations.

8. PRIVACY POLICY

By submitting the application, the Consortium Coordinator and partners agree to the use, to the share (for specific purposes: e.g., evaluation, for the future nomination of experts, JPI Oceans -specific communication) and the storage of projects-related information according to the Privacy Policy and the General Data Protection Regulation (GDPR). Further information on the Privacy Policy is presented on the [JPI Oceans website](#).

End notes

- ^[1] World Bank. 2020. Minerals for Climate Action: The Mineral Intensity of the Clean Energy Transition, Washington DC: World Bank.
- ^[2] D.J. Amon, S. Gollner, T. Morato, C.R. Smith, C. Chen, S. Christiansen, B. Currie, J.C. Drazen, T. Fukushima, M. Gianni, K.M. Gjerde, A.J. Gooday, G.G. Grillo, M. Haeckel, T. Joyini, S.J. Ju, L.A. Levin, A. Metaxas, K. Mianowicz, T.N. Molodtsova, I. Narberhaus, B.N. Orcutt, A. Swadling, J. Tuhumwire, P.U. Palacio, M. Walker, P. Weaver, X.W. Xu, C.Y. Mulalap, P.E.T. Edwards, C. Pickens, Assessment of scientific gaps related to the effective environmental management of deep-seabed mining, *Marine Policy*, Volume 138, 2022.
- ^[3] Lusty P.A.J., Jones D.O.B., Diz D., Durden J.M., Grant H.L.J., Josso P. 2022. Deep-sea mining evidence in review, British Geological Survey Commissioned Report, CR/21/119.



ANNEX I: NATIONAL FUNDING RULES



BELGIUM BELGIAN SCIENCE POLICY OFFICE (BELSPO)

General

Participating Organization:
Belgian Federal Science Policy Office
(BELSPO)
WTC III - Boulevard Simon Bolivar 30 box
7
1000 Brussels
Belgium

Contact person
Koen Lefever
Belgian Federal Science Policy Office
(BELSPO)
Tel.: +32 (0)2 238 35 51
Email: Koen.LEFEVER@belspo.be

Budget

Anticipated amount of funding for this call: € 350,000 conditional on budget approval at governmental level.

Maximum amount per partner and/or proposal/project: € 350,000

Eligibility and national funding modalities

Eligible Institutions and/or partners: Belgian universities, colleges of higher education, public scientific institutions, and non-profit research centres. European and foreign organisations established in

Belgium are not eligible.

For a list of eligible organisations besides Belgian universities, see https://www.belspo.be/belspo/fiscal/fisc_wi_nl.stm. Contact Belspo in case your institution is not on the list to check if you can be eligible.

Minimum and/or Maximum project duration: 3-4 years

Eligible costs:

- **Staff:** Pre-tax wages associated with increases in the cost of living, employers' social security and statutory insurance contributions, as well as any other compensation or allowance due by law and secondary to the salary itself and tax-free scholarships.

BELSPO prefers staff to be hired under a labour contract. The total number of tax-free scholarships per project is limited to max. 50% of the number of staff financed by BELSPO within said project. In any case, there shall not be more than 2 tax-free scholarships/project. Tax-free scholarships refer to a grant subject to tax exemption under the tax laws.

- **General operating costs:** this includes day-to-day/usual supplies and products for the laboratory, workshop and office, documentation, shipments, use of day-to-day software and IT facilities, organisation of internal meetings, etc. The budget envelope for this category may not exceed 15% of the staff. The amounts claimed must correspond to actual expenditures strictly related to the project, even if supporting documents are not requested.

The institution must keep these invoices in its accounts in the event of an audit.

- **Specific operating costs:** this includes operating costs specific to the execution of the project tasks, such as costs for project analyses, maintenance and repair of equipment purchased by the project, use of specific IT facilities and software, costs for surveys, open data publications, organisation of workshops and events, etc....

- **Overheads:** Institutions' general overheads that cover, in one lump sum, administration, telephone, postal, maintenance, heating, lighting, electricity, rent, machine depreciation, and insurance costs. The total amount of this item is set as 5% of the total staff and operating costs.

- **Equipment:** Purchase and installation of scientific and technical apparatus and instruments, including computer hardware. Equipment needs to be purchased in the first half of the project.

- **Subcontracting:** Expenses incurred by a third party to carry out tasks or provide services that require special scientific or technical competences outside the institution's normal area of activity. The amount may not exceed 25% of the total budget allocated to the Belgian partner concerned.

Eligible applicants: applicant is affiliated to an eligible institution.



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DEPARTMENT
ECONOMY
SCIENCE &
INNOVATION

BELGIUM

DEPARTMENT OF ECONOMY SCIENCE & INNOVATION

General

Participating Organization:
Department of Economy, Science &
Innovation, Government of Flanders
Koning Albert II-laan 35 bus 10, 1030
Brussel

Contact person
Mr Gert Verreet
Email: gert.verreet@vlaanderen.be

Budget

Anticipated amount of funding for this call: € 350,000

Maximum amount per partner and/or proposal/project: € 350,000 euro. If more than one eligible partner institution applies for this funding (multiple project proposals, or multiple partners in a single overall project proposal), a ranking of the project proposals will determine funding allocation.

Name of & link to the funding programmes: ad hoc Flanders Government decision of 14 July 2023.

Eligibility and national funding modalities

Eligible Institutions and/or partners:
Public entity eligible for Flanders public funding as listed in the list on this page: <https://inr-icn.fgov.be/nl/publicatie/nationale-en-regionale-rekeningen> (eligible for 'toelage' type of subsidy).

Minimum and/or Maximum project duration: funding is available for a 36 to 48 month project.

Eligible costs: personnel, equipment, consumables, project related working expenses

Eligible applicants: applicant is affiliated with an eligible institution. budget allocated to the Belgian partner concerned.

Eligible applicants: applicant is affiliated to an eligible institution.



Federal Ministry
of Education
and Research

GERMANY

GERMAN FEDERAL MINISTRY OF EDUCATION AND RESEARCH (BMBF)

General

Participating Organization:
Federal Ministry of Education and
Research (BMBF)
Heinemannstr. 2, 53175 Bonn | Postal
address: 53170 Bonn, Germany

Contact person

Dr. Tobias Höfig
Project Management Jülich (PtJ) |
Forschungszentrum Jülich GmbH
Tel.: +49 (0)381 20356-314
Email: t.hoefig@fz-juelich.de

Budget

**Anticipated amount of funding for
this call:** max. € 2,000,000 (conditional
budget).

Maximum amount per proposal/project:
€ 2,000,000 (max. € 500,000 annually).

**Name of & link to the funding
programmes:** Mare:N – Coastal, Marine,
and Polar Research for Sustainability.

Link: [https://www.bmbf.de/SharedDocs/
Publikationen/de/bmbf/7/31173_Mare_N.
html](https://www.bmbf.de/SharedDocs/Publikationen/de/bmbf/7/31173_Mare_N.html)

Eligibility and national funding modalities

Eligible Institutions and/or partners:

Universities, research institutions, and
commercial enterprises are eligible
to apply for funding. Institutions of
the municipalities, the federal states,
and the federal government as well as
associations and other non-governmental
organisations are only eligible for funding
if they make a substantial research and
development contribution of their own to
the proposed research project.

Eligible applicants: The applicant is
affiliated with an eligible institution.

Maximum project duration: 48 months.

Eligible costs: The funding can be used for
project-related personnel, travelling, and
material expenses. However, funding for
investments and large-scale equipment is
only feasible in exceptional cases. Priority
must be given to examining all options
for involving suitably equipped partner
institutions. Only if it can be proven that
these options cannot be utilised, the
funding provider will consider a case-by-
case review, provided that the recipient
of the funding can ensure long-term
operation.

Other issues

National Regulations: The applicant is
referred to the corresponding national
call, to be released on 5 December 2023
([https://www.bundesanzeiger.de/pub/de/
amtlicher-teil?6](https://www.bundesanzeiger.de/pub/de/amtlicher-teil?6)).



ITALY MINISTRY OF UNIVERSITIES AND RESEARCH (MUR)

General

Participating Organization:
Ministry of universities and research

Contact person
Mrs Yasmine Iollo
yasmine.iollo@est.mur.gov.it

Mr Aldo Covello
aldo.covello@mur.gov.it

Budget

Anticipated amount of funding for this call: € 600,000

Maximum amount per partner and/or proposal/project: € 200,000 per project.

Name of the funding programmes:
National funds

Eligibility and national funding modalities

Eligible Institutions and/or partners:
The following entities are eligible for funding, providing that they have stable organization in Italy:

- Universities, research institutions, research organizations in accordance with EU Reg. n. 651/2014 of the European Commission - June 17, 2014;

- enterprises, foundations and other

not-for-profit legal entities (including associations and NGOs provided they are registered legal entities)

Legal/administrative/financial conditions
Applicants shall:

- not be defaulting with regard to other funding received by the Ministry of University and Research
- not have requested/got any other funding for the same project
- be compliant to the Italian law "D.Lgs. n 159 del 6/09/2011 e successive modificazioni ed integrazioni"
- not be subject to bankruptcy proceedings as of art. 5, comma 4, letter b) of DM 1314/2021 or must not be a company in difficulty according to the definition under number 18) of article 2 "Definitions" of Regulation (EU) no. 651/2014
- be in compliance with the obligations laid down in the contributory and social security regulations (DURC)

Applicants shall demonstrate their viability and financial soundness regarding their own contribution to the project.

For any private entity, if the following financial criteria, calculated using the data reported in the last approved balance sheet, are not fulfilled, the applicant can be funded only if a bank guarantee is provided:

$$a) CN > (CP - I)/2$$

Where: CN = net assets (Capitale netto),
CP = sum of the costs of all the projects for which public funding has been requested by the participant during the year, I = sum of the contributions received, approved or requested for the same projects

b) OF/F < 8%

Where: OF = financial charges (Oneri finanziari), F = turnover (Fatturato)

Minimum and/or Maximum project duration: 48 months

Eligible costs:

All R&D activities considered as: Basic research, Industrial/Applied research and Experimental development are eligible for funding.

However, Basic Research and Industrial/Applied research activities must be predominant with respect to Experimental development activities (in terms of budget share).

All costs incurred during the lifetime of the project under the following categories are eligible:

- A) Personnel,
 - B) Consulting and equivalent services (subcontracting)
 - C.1) Travel and subsistence
 - C.2) Equipment
 - C.3) Other goods and Services
 - E) Indirect Costs/Overheads ("Spese generali") calculated at 25% flat rate of all direct costs excluding cost category B) Consulting and equivalent services [E) = 25% of A) + C.1) + C.2) + C.3].
- Value added tax (VAT) actually and definitively incurred by the beneficiaries is an eligible expense only if it is not recoverable.

Funding rates

Maximum funding percentages:

- Basic research: 70%
- Industrial/Applied Research : 70%
- Experimental development / innovation: 25%

Subject, relevance criteria: The admission for funding is subject to the adoption of the necessary accounting and administrative measures for the allocation of the resources.

Funded participants will be requested to submit financial and scientific reports to MUR.

The criteria and provisions provided herewith are intended only for informative purposes. The complete list of criteria and provisions legally valid, which must be respected by all the Italian participants, is included in the "Avviso integrativo nazionale", to be published on the dedicated web page on MUR website <http://www.ricercainternazionale.miur.it>.

Applicable laws and rules (<http://www.ricercainternazionale.miur.it/evidenza/normativa-prog-internazionali.aspx>):

- DL 22 giugno 2012, n. 83, convertito, con modificazioni, dalla Legge 7 agosto 2012, n. 134, articoli 60, 61, 62 e 63 di cui al Titolo III, Capo IX "Misure per la ricerca scientifica e tecnologica"
- DM n. 1314 del 14 dicembre 2021 - Nuovo sistema di concessione delle agevolazioni del MUR alle attività di ricerca
- DM n. 1368 del 24 dicembre 2021 - Modificazioni all'articolo 15 del decreto n. 1314 del 14 dicembre 2021
- Information available at <http://www.ricercainternazionale.miur.it>

National additional application: In addition to the project proposal, which shall be submitted at European level, the Italian participants are obliged to submit further documentation to MUR, through the national web platform, available at the following link: <https://banditransnazionali-miur.cineca.it>.

These national additional documents must be submitted by the same deadline established for the pre-proposal phase submission as defined in the international call. Any participant who does not submit its national documents by the deadline of the pre-proposal phase will be considered not eligible for funding.



THE NETHERLANDS DUTCH RESEARCH COUNCIL (NWO)

General

Participating Organization:
Dutch Research Foundation (NWO)

Contact person:

Dr. Daan Blok, policy officer NWO domain
Science (ENW)
d.blok@nwo.nl / mining3@nwo.nl
+31-(0)70 349 41 18

Budget

Anticipated amount of funding for this call: €1,456,000

Maximum amount per partner and/or proposal/project: Applicants may apply between minimum €300,000 and maximum €1,456,000 per project

Eligibility and national funding modalities

Eligible Institutions: Full, associate and assistant professors, and other researchers with a comparable position* may submit an application (i.e. participate in a consortium and request NWO funding) if they have a tenured position (and therefore a paid position for an indefinite period) or a tenure track agreement at one of the following organisations:

- Universities located in the Kingdom of the Netherlands;

- University medical centres;

- Institutes affiliated to the Royal Netherlands Academy of Arts and Sciences (KNAW) or NWO;

- Universities of applied sciences as referred to in Article 1.8 of the Higher Education and Scientific Research Act (WHW);

- The Netherlands Cancer Institute;

- The Max Planck Institute for Psycholinguistics in Nijmegen;

- Naturalis Biodiversity Center;

- Advanced Research Centre for NanoLithography (ARCNL);

- Princess Máxima Center.

*A comparable position refers to a researcher that has a demonstrable and comparable number of years of experience in carrying out scientific research and supervising other researchers as a full, associate or assistant professor.

Persons with a zero-hour employment agreement or with a contract for a limited period of time (other than a tenure track appointment) may not submit a proposal.

It could be the case that a tenure track agreement ends before the intended completion date of the project for which funding is applied for, or that before that date, the tenured contract ends due to a researcher reaching retirement age. In that case, the researcher needs to include a statement from their employer in which the organisation concerned guarantees

that the project and all project members for whom funding has been requested will receive adequate supervision for the full duration of the project.

Employees with a part-time contract should guarantee adequate supervision of the project and all project members for whom funding is requested.

(Additional) Eligibility criteria:

An application for NWO funding (i.e. the Dutch part of a European consortium) has a single main applicant (i.e. Dutch partner or coordinator in the European consortium), responsible for scientific and financial management.

- Researchers may not apply for a position for themselves.
- An applicant may only request NWO funding as main applicant for one project (part of a European consortium) in this call.
- Applicants may be involved in a maximum of two applications as co-applicant, or one as main applicant and one as co-applicant.

Maximum project duration: Budget is available for projects with a duration of 48 months.

Eligible costs:

The NWO budget modules (including the maximum amount) available for this Call for proposals are listed in the table below. Apply only for funding that is vital to realise the project.

Available budget modules:

- PhD position
- Postdoc – at least 12 full months and at most 48 full-time months, according to UNL or NFU rates
- Personnel at universities of applied sciences – rates according to the Hourly rate productive hours, excl. Dutch VAT'

from the Handleiding Overheidstarieven

[HOT- Manual Dutch Government rates]

- Research leave – max. 5 months, 1 fte, according to UNL or NFU rates
- Material costs – max. €15,000 per year per full-time scientific position (PhD/postdoc)
- Knowledge utilisation – €25,000
- Internationalisation – max. €25,000

Please note the following:

- For the budget modules “PhD” and “Postdoc”, a one-off individual bench fee of € 5,000 is added on top of the salary costs to encourage the scientific career of the project employee funded by NWO.
- Overhead costs are not eligible for NWO funding.

A more detailed explanation of the budget modules and eligible costs can be found at www.nwo.nl/mining3. For Full Proposals, it is mandatory to submit the NWO budget sheet for the funding requested at NWO at the time of the deadline. Please upload this national budget sheet with the proposal at the transnational level. No separate submission at the national level is required. The NWO budget form, mandatory for full proposals, can be found on the NWO website: www.nwo.nl/mining3. It is however recommended to use the NWO budget form already in the pre-proposal stage to confirm eligibility of budget items. Do not hesitate to contact the national contact person in case of questions.

Other issues

Funded priority areas:

- (1) Ecosystem dynamics
- (2) Ecological impacts of polymetallic nodule mining
- (3) Ecological impacts of massive sulphide mining
- (4) Science-based support to governance

Submission of the proposal at national level:

Once proposals are selected for funding, the consortia will be notified by the JPI Oceans call secretariat and subsequently, the national granting process will be initiated by NWO.

The proposal application form can be found on the JPI Oceans call website: <https://jpi-oceans.eu/en>

The NWO budget form, mandatory for full proposals, can be found on the NWO website: www.nwo.nl/mining3

Submission of the reporting at national level:

Submission of financial and scientific reports at national level is required in accordance with the rules of NWO.

Additional information:

The NWO Grant Rules 2017 and the Approval of funding for scientific research 2008 are applicable to the part of the project's budget covered by the grant from NWO. Any arrangements made regarding the part of the project's budget covered by the grant from NWO, for instance in a Consortium Agreement, must comply with the NWO Grant Rules 2017 and the European legislation on state aid.

Under the Dutch General Administrative Law Act, any interested party has the right to lodge an objection to the decision taken by NWO within six weeks of the date of the decision letter. Further information about the objections procedure can be found on the NWO website: <https://www.nwo.nl/en/lodging-an-objection>.

The NWO Code for Dealing with Personal Interests applies regarding the evaluation and decision-making process for Dutch applications, and can be found on the NWO website:

<https://www.nwo.nl/en/code-for-dealing-with-personal-interests>

Useful links

- NWO Grant Rules 2017: www.nwo.nl/en/nwo-grant-rules

- NWO Funding process: <https://www.nwo.nl/en/funding/funding+process+explained>

- Approval of funding for scientific research 2008: www.nwo.nl/en/approval-funding-scientific-research-2008

- NWO objection procedure: <https://www.nwo.nl/en/lodging-objection>

- NWO Code for Dealing with Personal Interests: <https://www.nwo.nl/en/code-for-dealing-with-personal-interests>



POLAND

NARODOWE CENTRUM BADAŃ I ROZWOJU (NCBR)

General

Participating Organization:
National Centre for Research and Development (NCBR), ul. Chmielna 69, 00-801 Warsaw, Poland

Contact person
Monika Włoszek
T: +48 22 39 07 180
M: +48 515 061 531
Email: monika.wloszek@ncbr.gov.pl

Budget

Anticipated amount of funding for this call: €600,000

Maximum amount per partner and/or proposal/project: For one Polish partner in the proposal, the maximum contribution can be up to €200 000, including Overheads. In the case of a group of entities, the amount of the grant is multiplied by the number of Polish partners within the limit on the number of participants from the same country in the proposal. All costs associated with proposals must be covered by the funding available for each project. No additional funding will be available to cover any additional costs associated with projects (e.g., services and facilities costs, ship-time costs).

Name of the funding programme: More

details in the national call announcement.

Eligibility and national funding modalities

Eligible Institutions and/or partners: N/A

Eligible applicants:

1. Enterprises^[1] - SME and Large,
2. Research organisations (research and knowledge-dissemination organisations)^[2],
3. Groups of entities composed of at least two enterprises,
4. Groups of entities composed of at least one research organisation and at least one enterprise.
5. Group of entities composed of at least two research organisations.

Entities must be established as a legal person^[3] and must conduct its business, R&D or any other activity on the territory of the Republic of Poland, confirmed by an entry into the relevant register^[4].

A condition for the participation of a group of entities as the Applicant in the call is its formal existence on the date of submission of the pre-proposal, confirmed by its members concluding, at least conditionally, an agreement on the creation of a group of entities.

^[1] defined in Annex I to Commission Regulation (EU) No 651/2014 of 17 June 2014 declaring certain categories of aid compatible with the internal market in application of Articles 107 and 108 of the Treaty (hereinafter referred to as "Commission Regulation (EU) No 651/2014");

^[2] Defined in Commission Regulation (EU) No 651/2014;

^[3] Legal person (juridical person) - an entity that is capable of having and amend legal rights and obligations within a certain legal system, such as to enter into contracts, sue, and be sued, excluding natural persons;

^[4] if applicable.

Additional eligibility criteria:

- Applicant must be registered in Poland.
- For enterprises it is strongly advised to state in the Pre-proposal application form in table for Project coordinator/Project partner: the KRS number of the enterprise and the size of the enterprise (micro/small, medium, large).
- Polish applicants shall declare the TRL of their research in the pre-proposals and full proposals.
- Please note that group of entities counts as two project partners from Poland (it meets the limit on the number of participants from the same country, please see call text for details).
- Polish Participants will be informed and invited to submit Polish full proposal (National Application Form) once the international evaluation and the ranking list will be established.
- If more than one Polish entity participates in the project, the national application is submitted by a consortium (group of entities) of all Polish entities.

Minimum and/or Maximum project duration: 36 months (funding is tailored for a 36 months project. Actual project duration proposed can differ from that reference).

Eligible costs: The eligible costs shall be the following:

- 1. personnel costs** (researchers, technicians and other supporting staff to the extent employed on the research project);
- 2. costs of subcontracting:** costs of consultancy and equivalent services used exclusively for the research activity; this cost type cannot account for more than

70% of all eligible costs of a project; the subcontracting can be obtained from consortium partner only in justified case, this need will be verified by a national experts panel;

3. operating costs including:

- costs of instruments and equipment, technical knowledge and patents to the extent and for the period used for the research project; if such instruments and equipment are not used for their full life for the research project, only the depreciation costs corresponding to the life of the research project, as calculated on the basis of good accounting practice, shall be considered eligible;
- costs for buildings and land, to the extent and for the duration used for the research project; with regard to buildings, only the depreciation costs corresponding to the life of the research project, as calculated on the basis of good accounting practice shall be considered eligible; for land, costs of commercial transfer or actually incurred capital costs shall be eligible;
- other operating costs including costs of materials, supplies and similar products incurred directly as a result of the research activity;

4. additional overheads incurred indirectly as a result of the research project; that costs should account 25% of all eligible project costs; That costs (4) are counted as a multiplication by percentage given above (called x%) and the rest of direct costs, excluding subcontracting (2); It means $4=(1+3)*25\%$.

Funding rates:

Research organisations: all types of research may be funded. Other types of activities (e.g. coordination, dissemination, management) are not eligible for funding as separate WP/Task.

Enterprises: Only Industrial/Applied Research and Experimental Development will be funded. Other types of activities (e.g. coordination, dissemination, management) are not eligible for funding as separate WP/Task.

Funding quota of Polish participants can be up to 100% for research organisations. In the case of enterprises, funding quota will be decided on a case-by-case basis depending on the size of the company, type of research/development, risk associated with the research activities and commercial perspective of exploitation.

The following maximum funding quotas apply:

Type of Organization Type of Activity	Micro/Small Enterprises	Medium Enterprises	Large Enterprises	Research organizations
Fundamental/ Basic Research	n/a	n/a	n/a	Up to 100%
Industrial Research	Up to 50+20+15 (max 80 %)	Up to 50+10+15 (max 75 %)	Up to 50+15 (max 65 %)	Up to 100%
Experimental development	Up to 25+20+15 (max 60 %)	Up to 25+10+15 (max 50 %)	Up to 25+15 (max 40 %)	Up to 100%

Other issues

Subject, relevance criteria: After international evaluation of full proposals and the selection of projects to be funded, Polish participants will be invited to submit a National Application Form (NAF). The NAFs will be examined for the appropriateness of funding requested. The Polish participants are obliged to use the rate of exchange of the European Central Bank dated on the day of opening of the call.

National additional application: Detailed information about scope, financial rules, national procedure and national regulations is available on the NCBR's homepage: <https://www.gov.pl/web/ncbr/wniosek-krajowy>

Relevant documents: All proposals must be aligned with national regulations, inter alia:

- The Act of 20 July 2018 - Law on Higher Education and Science;
- The Act of 30 April 2010 on the National Centre for Research and Development;
- The Regulation of the Minister of Science and Higher Education of 19 August 2020 on granting state aid by the National

Centre for Research and Development, which is in line with the Commission Regulation (EU) No 651/2014 of 17 June 2014 declaring certain categories of aid compatible with the internal market in application of Articles 107 and 108 of the Treaty (General Block Exemption Regulation);

- The Regulation of the Minister of Science and Higher Education of 17 September 2010 on the detailed mode of performance of tasks of the National Centre for Research and Development.



Unitatea Executivă pentru
Finanțarea Învățământului Superior,
a Cercetării, Dezvoltării și Inovării

ROMANIA EXECUTIVE AGENCY FOR HIGHER EDUCATION, RESEARCH, DEVELOPMENT, AND INNOVATION FUNDING (UEFISCDI)

General

Participating Organization:
Executive Agency for Higher Education,
research, Development and Innovation
Funding-UEFISCDI
Address: 21-25, Mendeleev Street, District
1, Bucharest

Budget

Anticipated amount of funding for this call: € 500,000

Maximum amount per partner and/or proposal/project:
Max. € 250,000 per project if the Romanian applicant is a coordinator;
Max. € 200,000 per project if the Romanian applicant is a partner.
More information: <https://uefiscdi.gov.ro/pachet-de-informatii-suprogramul-3-2-orizont-2020>

Name of the funding programme: PNCDI IV

Eligibility and national funding modalities

Eligible Institutions and/or partners: All type of entities who are research activities in their legal status.

Eligible applicants: Eligible entities for funding are universities, public institutions, R&D national institutions, joint-stock companies, SME's and Large companies, NGOs (associations, foundations, etc.), others.

Minimum and/or Maximum project duration: between 24-36 months;

Eligible costs:

- a. Staff costs;
- b. Logistics expenses
 - Capital expenditure;
 - Expenditure on stocks - supplies and inventory items;
 - Expenditure on services performed by third parties cannot exceed 25 % of the funding from the public budget. The subcontracted parts should not be core/substantial parts of the project work;
- c. Travel expenses;
- d. Overhead (indirect costs) is calculated as a percentage of direct costs: staff costs, logistics costs (excluding capital costs and cost for subcontracting) and travel expenses. Indirect costs will not exceed 20 % of direct costs

Conforming with national rules: <https://uefiscdi.gov.ro/pachet-de-informatii-suprogramul-3-2-orizont-2020>

Funding rates:

Type of research	Large Enterprises	Medium Enterprises	Small Enterprises	Universities and research organisations
Fundamental/ Basic Research	100	100	100	100
Industrial/ Applied Research	Up to 50+15 (max 65)	Up to 60+15 (max 75%)	Up to 70+10 (max 85)	100
Experimental development	Up to 25+15 (max 40)	Up to 35+15 (max 50)	Up to 40+15 (max 65)	100

Other issues

National additional application:

Conforming with national rules: <https://uefiscdi.gov.ro/pachet-de-informatii-suprogramul-3-2-orizont-2020>



Department
for Environment
Food & Rural Affairs

**UNITED KINGDOM
DEPARTMENT FOR
ENVIRONMENT, FOOD AND
RURAL AFFAIRS**

General

Participating Organization:
Department for Environment, Food and
Rural Affairs

Contact person:
Hannah Masani
Hannah.masani@defra.gov.uk

Budget

Anticipated amount of funding for this
call: € 520,000 (£450,000).

Maximum amount per partner and/or
proposal/project: to be confirmed

Name of & link to the funding
programmes: to be confirmed

**Eligibility and national funding
modalities**

Eligible Institutions and/or partners:
Universities, research institutions, research
organizations, government agencies.

Eligible applicants: to be confirmed

Maximum project duration: up to 48
months

Eligible costs: to be confirmed

Funding rates: to be confirmed

Other issues

Subject, relevance criteria: to be
confirmed

National Regulations: to be confirmed

National additional application: to be
confirmed



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