



**THE SIXTH FRAMEWORK PROGRAMME**

The Sixth Framework Programme covers Community activities in the field of research, technological development and demonstration (RTD) for the period 2002 to 2006

# **GUIDE FOR PROPOSERS**

*Integrating and Strengthening the European Research Area*

Directorate General for Energy and Transport activities in:

## **Priority 4**

**Aeronautics and Space**

## **Priority 6.1.i**

**Sustainable Energy Systems**

***Research activities having an impact in the short and medium term***

## **Priority 6.2**

**Sustainable Surface Transport**

Call 1

Fixed deadline call for proposals  
*Call identifier: FP6-2002-TREN-1*

**SPECIFIC TARGETED RESEARCH PROJECTS**

Five different types of instrument are available to fund activities in this Priority. These instruments are described in the brochure “The 6<sup>th</sup> Framework Programme in Brief” and on EUROPA at <http://europa.eu.int/comm/research/fp6/networks-ip.html> :

- Integrated Projects (IP)
- Networks of Excellence (NOE)
- Specific Targeted Research Projects (STREP)
- Co-ordination Actions (CA)
- Specific Support Actions (SSA)

This version of the Guide for Proposers concerns:

## **SPECIFIC TARGETED RESEARCH PROJECTS**

This version of the Guide for Proposers concerns:

**Directorate General for Energy and Transport (DG TREN) activities in  
Priority 4, 6.1.i and 6.2**

**Call Identifier: FP6-2002-TREN-1**

**(Annex 9 to the Call for Proposals, O.J. C315/01 of 17/12/2002)**

*The structure required for a proposal, and the rules which will govern its evaluation, vary according to the type of instrument used and also may vary from call to call. It is entirely your responsibility to ensure you are using the correct version of the Guide for Proposers for the type of action and the call for which you are proposing.*

## Key recommendations for submitting a proposal to this Priority

- **Priorities and objectives:** Check that your proposed work does indeed address research areas and topics open in the current Call and as described in the current Work Programme. Multidisciplinary proposals addressing several topics may be submitted. Any proposal submitted in response to this call should however have a centre of gravity on one topic open in the current Call. If the major part of your proposal concerns a topic of another Call it should be submitted to that Call. **PROPOSALS CANNOT BE ACCEPTED IF THEY ARE NOT FOCUSED ON THE PRIORITIES OF THE FRAMEWORK PROGRAMME; THE MULTIDISCIPLINARY NATURE OF A PROPOSAL DOES NOT REMOVE THIS REQUIREMENT.**
- **Completeness:** Proposals must comprise a Part A, containing the administrative information (including partner and project cost details) on standard forms; and a Part B, containing the scientific and technical description of your proposal, (as described in Annex 2). Check that your proposal contains both parts.
- **Use of correct forms and instrument:** The proposal forms for Part A and the structure of Part B vary according to the different instruments.
  - Check that you have chosen the correct contractual instrument for the type of work you are proposing (<http://www.cordis.lu/fp6/instruments/>).
  - Check in the Work Programme that the call is actually open for instruments of this type in the particular Research topic in which you propose to work.
  - Check on the call page that you are using the version of the Guide for Proposers specific for this instrument and call.
- **Eligible partnership:** Confirm that you and your partners are indeed eligible for participation in the Priority - The minimum requirements for the makeup of your consortium can be found in the Work Programme and the call text, and organisations must have a registered legal existence.
- **Evaluation criteria:** All proposals are evaluated according to fixed sets of criteria, depending on the type of instrument, which are defined in Annex B of the Work Programme. Be sure that your proposal clearly addresses each of the evaluation criteria used for this instrument. Be aware that there are threshold scores on the criteria which must be achieved or else the proposal fails.
- **Ethical, safety and regulatory issues:** Clearly indicate any potential ethical, safety or regulatory aspects of the proposed research and the way they will be dealt with in your proposed project. An ethical check will take place during the evaluation and an ethical review will take place for proposals dealing with specific sensitive issues. Proposals will fail if they do not respect the ethical rules for FP6.
- **Gender issues:** Clearly indicate the way in which these issues are taken into account (see Proposal Part B and Annex 4).
- **Presentation:** Proposals should be precise and concise. They should present the objectives and the expected results, how the participants intend to disseminate or exploit these results and how the project contributes to integrating and structuring the European research area. Proposals should assemble the necessary critical mass of activities, expertise and resources to achieve the proposed objectives.
- **Competition:** There will be strong competition. Therefore edit your proposal tightly, strengthen or eliminate weak points. Arrange for your draft to be evaluated by experienced colleagues, using the evaluation criteria for the type of action you are proposing, before sending it in. Then use their advice to improve it before submission.
- **Deadlines:** Call deadlines are absolutely firm and are strictly enforced. Proposals must be received by the Commission before or on the deadline as it is specified in the Call for proposals. Proposers are reminded that it is their own responsibility to ensure the safe delivery of their proposal. **PROPOSALS ARRIVING AT THE COMMISSION AFTER THE DEADLINE ARE NOT ELIGIBLE FOR EVALUATION. NO EXTENUATING CIRCUMSTANCES WILL BE TAKEN INTO CONSIDERATION.**

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## I Introduction

### *I.1 Structure and content of the Guide for Proposers*

This Guide for Proposers contains the basic information needed to guide you in preparing a proposal.

It contains the proposal forms needed to prepare Part A of a proposal, and instructions on how to write Part B. Both parts are required to make a complete proposal. Incomplete proposals will be ineligible and therefore will not be evaluated.

It also describes other services which may be available for the proposers, like pre-registration, and the different support services. It contains references to other documents, reports, forms and software tools which are of assistance in the preparation of proposals.

Other documents which constitute, together with this guide, the **Information Package for this instrument** and which you will need to consult during the preparation of your proposal are:

**The brochure “The 6<sup>th</sup> Framework Programme in Brief”.** This brochure gives a brief overview of FP6. It serves as a guide for navigating through the activities, funding schemes, thematic areas, types of instrument etc., allowing potential participants to better find their way through to the activity most suiting their ideas.

**The current Work Programme.** The Work Programme provides a detailed description of the content of the research topics/objectives which are open for proposals, and indicates which types of instruments may be used for each. It also gives a an indicative timetable for the Priority implementation (“roadmap”) and details on the evaluation criteria.

**The Call for Proposals** as published in the Official Journal of the European Communities. This will tell you which Research topics/areas are open for proposals and what are the address and deadline for proposal submission.

Additional documents which you should review are<sup>1</sup>:

**The Guidelines on proposal evaluation procedures (the “Evaluation Manual”).** This document describes the general principles and the procedures which will be used in the evaluation of proposals.

**The Priority Guidelines for Evaluators.** This describes in detail how proposals will be evaluated in the this Priority. You may use the Guidelines for Evaluators as a checklist to ensure the quality of your proposal.

All these documents, as well as additional information if any, may be found at:

Priority 4: <http://www.cordis.lu/calls/aerospace/>

Priority 6.1.i and 6.2: <http://www.cordis.lu/calls/sustdev/>

**The model contract for this instrument and its annexes.** This specifies the contractual terms and conditions to which your consortium will be expected to agree if your proposal is selected for funding.

**The background document on this instrument.** Full details of what the instrument comprises and how such a project should be implemented are given at <http://www.cordis.lu/fp6/instruments/>

**This Guide for Proposers does not supersede the rules and conditions laid out, in particular, in Council and Parliament Decisions relevant to the Sixth Framework Programme, the Call for Proposals or the Evaluation manual.**

**These documents are available at:** <http://www.cordis.lu/fp6/specificprogrammes/>

<sup>1</sup> These documents should become available in January 2003. They will be published on CORDIS at <http://www.cordis.lu/fp6/>

## II. Proposal preparation

### *II.1 One stage submission as applied in this call*

Proposals are submitted in a single stage – by submitting a complete proposal application to the address set out in the Call for proposals as published in the Official Journal of the European Communities. Proposals must be received by the Commission by the closing date of the call.

### *II.2 Consortium composition*

Proposals must be presented by a consortium comprising a minimum number of mutually-independent legal entities (organisations or individuals) established in different Member States of the EU or Associated States, of which a certain number must be Member States or Associated candidate countries. The default minimum numbers defined in the rules for participation are at least three independent legal entities established in three different EU Member States or Associated States of which at least two must be established in Member States or Associated candidate countries. Any changes to these minimum numbers are set out in the Call for proposals.

The EU Member States are: Austria, Belgium, Denmark, Finland, France, Germany, Greece, Ireland, Italy, Luxembourg, Netherlands, Spain, Sweden, Portugal, United Kingdom.

International organisations of European interest<sup>2</sup>, and the European Commission's Joint Research Centre (JRC) are considered on the same footing as legal entities established in an Member state.

The candidate countries are: Bulgaria, Cyprus, Czech Republic, Estonia, Hungary, Latvia, Lithuania, Malta, Poland, Romania, Slovakia, Slovenia and Turkey. All of these countries have signed memoranda of understanding associating them to FP6<sup>3</sup>. Other countries which are expected to become associated to the 6<sup>th</sup> Framework programme are: Iceland, Israel, Liechtenstein, Norway and Switzerland<sup>4</sup>. Potential participants should confirm the exact situation of all these countries at the FP6 International Co-operation website (see Section VII).

Organisations from any other country may additionally take part, provided the above minimum requirements have been met. Organisations from certain other countries may receive a Community financial contribution, as defined in the Rules of Participation in FP6 (see address in Section VII).

Co-operation with international organisations with intergovernmental agreements is welcomed. Co-operation with organisations in INCO target countries is encouraged (see address of INCO web page in Section VII).

### *II.3 Structure of a proposal*

A proposal has two parts. Full details about preparing these parts are annexed to this Guide.

- **Part A** is a set of forms which collect necessary administrative information about the proposal and the proposers e.g. proposal name, proposers' names and addresses, brief description of the work, funding requested, etc. This information will be encoded in a structured database for further computer processing to produce statistics, evaluation reports etc., and also to support the experts and Commission during the evaluation process.

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<sup>2</sup> International organisations, the majority of whose members are European Community Member States or associated States and whose principal objective is to promote European scientific and technological cooperation

<sup>3</sup> The association to FP6 has come into force for Cyprus, Czech Republic, Estonia, Hungary, Latvia, Lithuania, Malta, Poland, Romania, Slovakia and Slovenia. At time of writing, the remaining countries are engaged in ratifying their association to FP6.

<sup>4</sup> The association agreement with Iceland, Liechtenstein and Norway is expected to come into force on 15 January 2003

- **Part B** comprises a structure or list of headings which should be followed to describe the scientific and technical content of a proposal (see Annex 2), rather than a pre-prepared form. It describes among other things the nature of the proposed work, the participants and their roles in the proposed project. It describes the reasons for carrying out the work, and the benefits which would come from it. The recommended length is specified for the different sections of part B.

Any additional material sent with the proposal (company brochures, supporting documents and reports, videos etc.) will be disregarded. In proposals submitted electronically, other embedded material or hyperlinks to other documents will be disregarded.

## ***II.4 Proposal language***

Proposals may be submitted in any official language of the European Union. If your proposal is not in English, a translation of the full proposal would be of assistance to the evaluators, and an English translation of the abstract must be included in Part B of the proposal.

## ***II.5 Proposal pre-registration***

To assist the Commission in its evaluation planning, proposers are kindly requested to pre-register their intention to submit a proposal (title and acronym). No matter if they intend to submit electronically or on paper. Proposals are pre-registered via the Internet, at the call page for this Call (see address in Section VII). This service may only be available from early 2003.

You may always submit a proposal without pre-registration and pre-registering an intention to submit a proposal does not commit you to actually submit a proposal.

## ***II.6 Electronic proposal submission system***

An electronic proposal submission system will be available from early 2003 **via the call page** to help you prepare your proposal. This tool may be used directly online to prepare and submit a proposal or, alternatively, it may be downloaded to prepare a proposal offline. In this case, once the proposal has been prepared with the tool, it may be either sent: electronically via the tool, or via CD\_ROM or diskette, or on paper, as preferred by the proposers.

Use only the version of the proposal preparation tool which is prepared for **this instrument in this call in this Priority**.

## ***II.7 Pre-proposal check***

No facility for a pre-proposal check is provided for this Call.

## **III Submission of proposals**

Proposals may be submitted online via the Internet, or may be sent on electronic media (CD-ROM, diskette) or on paper to the address indicated in the Call for proposals.

### ***III.1 Electronic submission***

The proposal co-ordinator must register his/her intention to prepare a proposal by visiting the web-page set up for this purpose (to be reached via the Call page, see address in chapter VII). In return, he/she receives by post a co-ordinator login and password as well as a partner login and password. The co-ordinator may now access the electronic proposal submission system (EPSS) in order to fill in administrative forms and upload files containing the contents of the proposal. On upload, the EPSS performs a check for computer viruses. If any virus is detected, the co-ordinator is informed of the fact and that the upload has been refused. It is the proposal co-ordinator's responsibility to ensure that infected files are deleted or that viruses are removed before the file can be uploaded.

Once they have received their login and password from the co-ordinator, proposal partners may access and edit their individual administrative forms and view all other parts of the proposal. Only the co-ordinator may compile and edit the proposal contents.

File formats accepted by the Commission for the proposal contents are PDF (“portable document format”, version 3 or higher with embedded fonts) and RTF (“rich text format”). The submission of other file formats is at the risk of the proposers. Other file formats will only be accepted if they can be read and printed. In the case that this is not possible, the proposal may be rejected. Parts of proposals that cannot be printed will not be used for evaluation purposes.

Once the proposal is complete, the co-ordinator submits it by entering his/her login and password. On submission, the EPSS performs an initial check on eligibility and informs the co-ordinator of any apparent eligibility problems with the proposal. This check does not replace the eligibility check carried out by the Commission and the co-ordinator may decide to submit the proposal even when apparent eligibility problems have been indicated by the EPSS.

Once successfully submitted, the co-ordinator receives a message that indicates that his/her proposal has been received and accepted for submission. The co-ordinator may continue to modify his/her proposal and submit revised versions overwriting the previously submitted one up until the call closure, but will not be able to modify the proposal after call closure. Proposal files successfully submitted, but which later turn out to contain computer viruses or which are unreadable or unprintable, will be excluded.

**Failure of your proposal to arrive in time for any reason, including communications delays, is not acceptable as an extenuating circumstance.**

### ***III.2 Submission on CD-ROM or diskette***

The EPSS also comprises a software tool for preparing proposals off-line. The co-ordinator may download this tool to fill in forms and attach the proposal content file(s). The same restrictions on file formats apply as for the on-line submission method. Submission may then be carried out in three ways:

- by registering as set out above to use the on-line preparation and submission system and then uploading and submitting the files via the on-line system;
- by using the off-line tool to write files to CD-ROM or diskette, which are then delivered before the call closure to the address given in the call for proposals;
- by using the offline tool to prepare a paper copy of the proposal, which is then delivered before the call closure to the address given in the call for proposals.

When using the second method, the proposal co-ordinator is required to include a paper copy of the proposal in the package with the CD-ROM/diskette. The paper copy is only used for processing and subsequent evaluation if the electronic media are unreadable or if the files on the media are found to contain a computer virus. A proposal submitted on CD-ROM or diskette which is unreadable or which contains a computer virus will be excluded if a paper copy is not included in the same package.

### ***III.3 Submission on paper***

#### ***III.3.1 Procedure***

**Proposal Part A** – Complete the forms electronically using the proposal preparation tool, then print out the completed forms for submission. Alternatively, you may use the forms annexed to this Guide, photocopying extra copies of the form A2 as necessary for the number of partners in your proposal.

**Proposal Part B** – Prepare a text document following the outline supplied in Annex 2:

- each page of Part B **must** be numbered (preferably in the format “page X of Y”).
- each page of Part B **must** be headed with the acronym you have chosen for your proposal.

### *III.3.2 Preparing your proposal for submission*

**Your proposal should be submitted as one complete unbound Part A and one complete unbound Part B.**

The Commission will reproduce the number of copies needed by the evaluators, therefore.

- **Print your proposal on white A4 paper (80 g/m<sup>2</sup>)**
- **Print on one side of the paper only; no two-sided copies please**
- **Do not convey information using colour; the copies will be made in black and white**
- **Do not use glossy or surfaced paper**
- **Do not include paper clips or staples**
- **Do not include front or back covers of plastic, card etc.**
- **Do not bind your proposal**

You are strongly advised to securely retain an additional complete unbound copy of your proposal.

### *III.3.3 Packaging and delivery*

The complete set of proposal documentation should be placed in an envelope or envelopes marked “Commercial-in-confidence” with the following information on each:

- The name of the Priority
- The call identifier as given in the Call for proposals
- The proposal acronym

If you use more than one envelope, please mark them clearly 1 of X, 2 of X etc.

The envelope(s) should then be sealed within an overall packaging, which should be addressed to the Commission office for receipt of proposals as given in the Call for proposals.

The proposal may be sent by mail, by special delivery service or delivered by hand, but **must** arrive at the specified address no later than the deadline given in the Call for proposals.

If you are submitting more than one proposal:

Submit each proposal separately. **Never mix two different proposals in a single package.**

### *III.3.4 Errors in submitted proposals*

If after sending your proposal you discover there has been a **serious error which will affect its evaluation** (wrong address, missing pages, missing parts.....) and the call deadline has not yet passed, you may re-submit your proposal, clearly indicating that it is a re-submission.

Once the deadline has passed, however, we can accept no further additions, corrections or re-submissions. The last version of your proposal received before the deadline is the one which will be evaluated, and any later material will be disregarded.

## *III.4 Deadline for reception*

To be eligible, proposals must be **received** by the Commission before or on the deadline at the address specified in the call.

**Proposers are reminded that it is their own responsibility to ensure the safe and timely delivery of their proposal.**

### ***III.5 Acknowledgement of receipt***

Once a proposal has been received and registered by the Commission, the Acknowledgement of Receipt will be either returned electronically in case of electronic submission or despatched to the proposal co-ordinator in case of paper (and CD-ROM/Diskette) submission.

All proposers who have submitted a proposal will receive an acknowledgement of receipt promptly on receipt of their proposal and at least two weeks after the deadline for submission. **Proposers who have not received an Acknowledgement of Receipt by that time should urgently contact the Information Desk.**

The sending of an Acknowledgement of Receipt by the Commission does not imply that a proposal has been accepted as eligible for evaluation.

Note: The electronic message given by the EPSS system after electronic submission does not constitute the official Acknowledgement of Receipt.

## **IV Evaluation and negotiation**

### ***IV.1 Proposal evaluation***

All proposals that fulfil the eligibility criteria (see the “Guidelines on Proposal Evaluation Procedures” at the call page) are evaluated to determine their quality. The Commission will be assisted in the evaluation by independent experts, following the criteria contained in the Work Programme and in accordance with the “Guidelines on Proposal Evaluation Procedures” and the Guidelines for Evaluators relevant for the Priority.

Co-ordinators of proposals that have passed all the evaluation thresholds may be called to the evaluation premises to provide further information about the proposed project to the experts on a face-to-face basis. In the event of such a hearing taking place, proposers will be notified by letter, specifying the exact time and date of the hearing and providing a number of specific questions concerning the proposal which you should be prepared to respond to at the meeting. It is anticipated that hearings will normally be held for proposals for Integrated Projects and Networks of Excellence, but only in exceptional circumstances for proposals for the other instruments. Any hearings are likely to take place in early May 2003.

The experts will prepare an Evaluation Summary Report on each proposal which will later be sent by the Commission to the proposal co-ordinator. The Commission will draw up a final ranked list of proposals.

After the evaluation results are finalised, all proposers will receive the Evaluation Summary Report with the outcome of the evaluation of their proposal. These reports should be sent out about 4 months after the call deadline.

Unsuccessful proposers will subsequently receive a formal notification of a Commission Decision not to retain their proposal.

Successful proposals that involve ethical issues will go through an ethical review prior to the contract negotiation. This may raise issues that may need clarification prior to or during the negotiations.

### ***IV.2 Contract negotiations***

If the proposal has been successful in the evaluation and has been retained for possible funding, contract negotiation will start through an official letter sent by the Commission.

Negotiations apply at two levels: scientific & technological and administrative & financial. The officials conducting these negotiations on behalf of the Commission will be working within a predetermined budget envelope for the proposal and also within the framework of any recommendations which the experts may have made concerning modifications to the work presented in the proposal.

Some project co-ordinators may be asked to come to Brussels to facilitate the negotiation. This may involve several meetings.

Proposers should familiarise themselves well before these meetings with the content of the model contract for this instrument, and its annexes. This contract can be downloaded from the Internet (see address in Section VII).

Before a negotiation can begin, the Commission may request certain legal and financial information on participating organisations (Legal documents and financial viability checks are not requested from public organisations, only from all private non-profit and private participants). All participants in the proposals should familiarise themselves at an early stage with the documentation they will need to provide if they are successful and the co-ordinator must ensure on behalf of the consortium that the correct documentation is sent to the Commission. This information must be made available with the submission of the Contract Preparation Form. The information required is fully described in detail in the Contract Preparation Forms (see address in Section VII).

In particular, the Commission may ask for a copy of the document that demonstrates that each organisation in your consortium is legally established.

Participants resulting from this call are encouraged, but not required, to conclude a Consortium agreement. A checklist which may assist you in drawing up a Consortium Agreement is available on the Internet (see address in Section VII).

Proposers should also note that the European Commission's Science and Society Action Plan places an onus on all recipients of Community funding through the framework programme to systematically disseminate to the public information that will raise awareness of the scientific work being undertaken and the benefits to society that are likely to accrue.

If the negotiation is successful, a Commission Decision approving the funding is foreseen in a timeframe starting towards the end of 2003. The project may begin work in accordance with the provisions in the contract signed with the Commission regarding the project start date.

In the event of budget availability (due e.g. to failure of negotiations of initially-selected proposals or to negotiations concluded at a lower level of funding than originally anticipated), proposers from a reserve list may be contacted to start negotiations.

## V Check list for proposers

For **ELECTRONIC** submission of your proposal you must check the following:

- Are both parts of your proposal, Part A and Part B fully completed?
- Is your Part B prepared in the approved file format (PDF or RTF), including no material in other formats?
- Have you virus-checked your complete proposal, using up-to-date anti-virus software?
- Do you have all the necessary authorisations from each member of the consortium to submit this proposal on their behalf?
- Last but not least: have you made all possible arrangements to ensure that the proposal arrives at the Commission before the deadline?

For **PAPER** submission (including submission on CD-ROM or diskette which must include a paper version) of your proposal you must check the following:

- Are both parts of your proposal, Part A and Part B fully completed?
- Is each page of your proposal headed with the proposal acronym
- Is each of the pages numbered (page X of Y)?
- Is your proposal prepared as one complete unbound single-sided paper copy (plus one additional copy for you to hold in reserve)?
- Is the copy of the proposal placed in an envelope, marked “Commercial-in-confidence, with the following information:
  - “Priority \_\_\_\_\_”?
  - The Call identifier (as given in the Call for proposals)?
  - The proposal acronym?
- If you used more than one envelope, are they numbered 1 of X, 2 of X, etc., with each clearly marked as described above?
- Is the complete set of proposal documentation placed in a package, correctly addressed using the address given in the Call for proposals ?
- Is the outside of the package marked “Priority \_\_\_\_\_” ?
- Do you have all the necessary authorisations from each member of the consortium to submit this proposal on their behalf?
- Last but not least: have you made all possible arrangements to ensure that the proposal arrives at the Commission before the deadline?

## VI Support to proposers

### VI.1 Information Desk

The co-ordinates of the Information Desk is:

European Commission  
DG TREN FP6 Information Desk  
Directorate General for Energy and Transport  
Office: DM24 07/26  
B-1049 Brussels

Email: [tren-fp6@cec.eu.int](mailto:tren-fp6@cec.eu.int)  
Fax: +32-2-296 83 57

**Links to all the necessary information to prepare a proposal are available on the Call page (see Section VII)**  
**Proposers should periodically check this site for the latest information.**

### VI.2 Partner search facilities

The Commission's CORDIS server offers a number of services and information sources which may be useful in partner search for participation in this priority, as well as a list of organisations which have already expressed an interest in participating in the call (see addresses in Section VII).

### VI.3 National Contact Points

The Commission supports a network of National Contact Points (NCPs), which can be helpful to organisations from their country both in general advice (particularly on preparing proposals) and in finding partners from other countries. Organisations should contact the NCP of their own country for further information (see CORDIS at: <http://www.cordis.lu/fp6/ncps> ).

### VI.4 Information Days

The Commission, Member States and Associated States frequently organise Information Days, where those interested in proposing may attend for a presentation of this Priority and of the general Framework Programme, to obtain documentation, to ask questions and to meet potential consortium partners.

The latest information on planned Information Days is obtainable on the Internet (see address in Section VII).

### VI.5 The Intellectual Property Rights Helpdesk

The IPR-Helpdesk has as its main objective to assist potential and current contractors taking part in Community funded projects on Intellectual Property Rights issues, and in particular on Community diffusion and protection rules and issues relating to IPR in international projects. Another objective is to raise awareness in the European research community on IPR issues, emphasising their European dimension.

It operates a free helpline offering a first line assistance on IPR related issues. The helpline is run in English, French, Italian, German and Spanish.

**Website**

<http://www.ipr-helpdesk.org>

**Helpline (detailed queries)**

[ipr-helpdesk@ua.es](mailto:ipr-helpdesk@ua.es)

tel +34 96 590 97 18

fax +34 96 590 97 15

**Representative office (general information)**

tel +32 2 649 53 33

fax +32 2 647 59 34

[ipr-helpdesk@global-eu.com](mailto:ipr-helpdesk@global-eu.com)

## VII References

Potential proposers could consult the following documents:

### Legal decisions:

Decision on the Framework Programme	<a href="http://www.cordis.lu/fp6/specificprogrammes/">http://www.cordis.lu/fp6/specificprogrammes/</a>
Rules of Participation in FP6	
Specific decision "Integrating and strengthening the European Research Area"	

### Specific Call Page for this call:

Call announcement	Priority 4:
Brochure "The FP6 in Brief"	<a href="http://www.cordis.lu/fp6/calls/aerospace/">http://www.cordis.lu/fp6/calls/aerospace/</a>
Guides for Proposers	
Work Programme	Priority 6.1.i and 6.2:
Guidelines on Proposal Evaluation Procedures	<a href="http://www.cordis.lu/fp6/calls/sustdev/">http://www.cordis.lu/fp6/calls/sustdev/</a>
Priority Guidelines for Evaluators	
Organisations expressing interest in this Call	
<b>Electronic Proposal Submission Service</b>	

### Supporting information:

CORDIS FP6 service	<a href="http://www.cordis.lu/fp6/">http://www.cordis.lu/fp6/</a>
National Contact Points	<a href="http://www.cordis.lu/fp6/ncps">http://www.cordis.lu/fp6/ncps</a>
Information Days and other events	<a href="http://www.cordis.lu/fp6/sustdev/">http://www.cordis.lu/fp6/sustdev/</a> <a href="http://www.cordis.lu/fp6/aerospace/">http://www.cordis.lu/fp6/aerospace/</a>
IPR helpdesk	<a href="http://www.ipr-helpdesk.org">http://www.ipr-helpdesk.org</a>
CORDIS partner search facility	<a href="http://www.cordis.lu/fp6/partners/">http://www.cordis.lu/fp6/partners/</a>
Innovation Relay Centres:	<a href="http://irc.cordis.lu">http://irc.cordis.lu</a>
International co-operation	<a href="http://europa.eu.int/comm/research/fp6/index_en.htm">http://europa.eu.int/comm/research/fp6/index_en.htm</a> <i>(general site)</i>
Science and Society action plan	<a href="http://europa.eu.int/comm/research/science-society/action-plan/action-plan_en.html">http://europa.eu.int/comm/research/science-society/action-plan/action-plan_en.html</a>
Guidelines on techniques for science communication with the public	<a href="http://www.cordis.lu/fp6/society.htm">http://www.cordis.lu/fp6/society.htm</a> available from 15 March 2003
European Investment Bank	<a href="http://www.eib.org/">http://www.eib.org/</a> ( <i>EIB general information</i> ) <a href="http://www.eif.org/">http://www.eif.org/</a> ( <i>EIF general information</i> )

### Contractual information:

Consortium agreement checklist	<a href="http://www.cordis.lu/fp6/consortiumagreement/">http://www.cordis.lu/fp6/consortiumagreement/</a>
Contract preparation forms	<a href="http://www.cordis.lu/fp6/contractpreparation/">http://www.cordis.lu/fp6/contractpreparation/</a>
Model contracts	<a href="http://www.cordis.lu/fp6/modelcontract/">http://www.cordis.lu/fp6/modelcontract/</a>

## **Annexes**

Annex 1 - Proposal Part A: forms and instructions

Annex 2 - Proposal Part B: outline, headings, instructions

Annex 3 - Ethical rules for FP6 projects

Annex 4 - Integrating the gender dimension

## **Annex 1 - Proposal Part A: forms and instructions**

# Proposal Submission Forms



EUROPEAN COMMISSION  
6<sup>th</sup> Framework Programme for  
Research, Technological  
Development and Demonstration

**Specific Targeted  
Research or Innovation  
Projects**

# A1

Proposal Number <sup>1</sup>	Proposal Acronym <sup>2</sup>
------------------------------	-------------------------------

## GENERAL INFORMATION ON THE PROPOSAL

<i>Proposal Title<sup>3</sup> (max. 200 char.)</i>			
<i>Duration in months<sup>4</sup></i>	<i>Call (part) identifier<sup>5</sup></i>		
<i>Activity code(s) most relevant to your topic<sup>6</sup></i>			
<i>Keyword code 1<sup>7</sup></i>			
<i>Keyword code 2<sup>7</sup></i>			
<i>Keyword code 3<sup>7</sup></i>			
<i>Free keywords<sup>8</sup></i>			
<i>Abstract<sup>9</sup> (max. 2000 char.)</i>			

For a proposal to be considered as complete, all questions must be answered. If a field is not applicable to you, please enter -.

# Proposal Submission Forms



EUROPEAN COMMISSION  
6<sup>th</sup> Framework Programme for  
Research, Technological  
Development and Demonstration

**Specific Targeted  
Research or Innovation  
Projects**

# A2

Proposal Number <sup>1</sup>	Proposal Acronym <sup>2</sup>
------------------------------	-------------------------------

## INFORMATION ON PARTICIPANTS

Participant number <sup>26</sup>			
<b>Participant organisation</b>			
Organisation legal name <sup>11</sup>			
Organisation short name <sup>12</sup>			
Legal address			
PO Box <sup>13</sup>		Postal Code <sup>13</sup>	Cedex <sup>13</sup>
Street name and number <sup>13</sup>			
Town <sup>13</sup>		Country <sup>14</sup>	
Internet homepage			
Activity Type HE, RES, IND, OTH <sup>15</sup>		Legal Status GOV, INO, JRC, PUC, PRC, EEIG <sup>17</sup> , PNP <sup>16</sup>	
If Legal Status "PRC", specify <sup>18</sup>			
Is the organisation a Small or Medium-Sized Enterprise (SME)? <sup>19</sup>			YES/NO
Are there dependencies between the organisation and (an) other participant(s)? <sup>20</sup>			YES/NO
If yes, participant number		If yes, participant short name	
Character of dependence SG, CLS, CLB <sup>21</sup>			
If yes, participant number		If yes, participant short name	
Character of dependence SG, CLS, CLB <sup>21</sup>			
If yes, participant number		If yes, participant short name	
Character of dependence SG, CLS, CLB <sup>21</sup>			
<b>Person in charge<sup>22</sup></b>			
Name		First name(s)	
Title <sup>23</sup>		Sex: Female=F, Male=M <sup>24</sup>	
Department/Faculty/Institute/ Laboratory name			
Address (if different from above)			
PO Box <sup>13</sup>		Postal Code <sup>13</sup>	Cedex <sup>13</sup>
Street name and number <sup>13</sup>			
Town <sup>13</sup>		Country <sup>14</sup>	
Phone 1 <sup>25</sup>		Phone 2 <sup>25</sup>	
e-mail		Fax <sup>25</sup>	

Previously submitted similar proposals or signed contracts? <sup>10</sup>		YES/NO	
If yes, programme name(s) and year			
If yes, proposal number(s) or contract number			

For a proposal to be considered as complete, all questions must be answered. If a field is not applicable to you, please enter -.

# Proposal Submission Forms



EUROPEAN COMMISSION  
6<sup>th</sup> Framework Programme for  
Research, Technological  
Development and Demonstration

## Specific Targeted Research or Innovation Projects

# A3

Proposal Number <sup>1</sup>		Proposal Acronym <sup>2</sup>	
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Financial Information (Specific Targeted Project)									
Parti- cipant n <sup>26</sup>	Cost mode <sup>27</sup>	RTD <sup>28</sup> or innovation-related <sup>30</sup> activities		Demonstration activities <sup>29</sup>		Management activities <sup>31</sup>		Total	
		Costs	Requested grant to the budget <sup>27</sup>	Costs	Requested grant to the budget <sup>27</sup>	Costs	Requested grant to the budget <sup>27</sup>	Costs	Requested grant to the budget <sup>27</sup>
1									
(Sub-)Total <sup>32</sup>									

Please use additional copies of form A3 if the number of lines is not sufficient

Form A3: page ... of ...

For a proposal to be considered as complete, all questions must be answered. If a field is not applicable to you, please enter -.

# How to complete the proposal submission forms

## Introduction

This document provides guidance on how to complete the attached administrative forms. These forms will be an integral part ('Part A') of your proposal for a Specific Targeted Research or Innovation Project. Proposals may be submitted either electronically or on paper. **You are strongly advised to prepare and submit your proposal electronically** (for the procedure see chapter "Electronic submission" of the guide for proposers).

## How to complete the forms

- The co-ordinator fills in form A1 and A3;
- The participants (including the co-ordinator) fill in one A2 form each.

Subcontractors are not required to fill in the A2 form and are not listed separately in the A3 form.

Explanatory notes are attached. Forms A1 to A3 submitted on paper may be machine-read at the Commission, so to avoid misreading of your proposal details, we would kindly ask you to read and follow these notes carefully. Please keep forms A1 to A3 as clean as possible and do not fold, staple or amend them with correction fluid. Enter your data only in the white space on the forms, and do not type outside the boundaries as the data then may be truncated in the Commission's database. For questions requiring a choice between different boxes, please enter X in the appropriate space. In case of paper submission, you may find it easier to do this by hand in black ink, rather than try to line up a single typed character. For numbers, (amount, duration, etc.), please round to the nearest whole number. Do not insert any character or space to separate the digits in a number. Please remember to indicate the proposal short name (acronym) in all sheets of the forms (part A) where indicated, and on every page of the other parts, including any annexes. All costs must be given in euro (and not kilo euro) and must exclude value-added tax (VAT).

### 1 Proposal number

The proposal number will be assigned by the Commission on submission. Please leave the field empty.

### 2 Proposal Acronym

Provide a short title or acronym of no more than 20 characters, to be used to identify the proposal. The same acronym should appear on each page of the proposal (part A and part B) in order to prevent errors during its handling.

### 3 Proposal Title

Give a title no longer than 200 characters that should be understandable also to the non-specialist in your field.

### 4 Duration

Insert the estimated duration of the project in full months.

### 5 Call (part) Identifier

The call (part) identifier is the reference number given in the call or part of the call you are addressing, as indicated in the publication of the call in the Official Journal.

### 6 Activity code(s) most relevant to your topic

Please insert the code for the activity of FP6 that is addressed by your proposal (for the list see <http://www.cordis.lu/fp6/activitycodes>) If you consider that your proposal aims at more than one activity of FP6, you can indicate several codes, starting with the most relevant one (maximum three).

## 7 Keyword codes from thesaurus

Choose maximum 3 codes for keywords characterising your project from the hierarchical list available at <http://www.cordis.lu/fp6/keywords>.

## 8 Free keywords

In addition to the keywords from the hierarchical thesaurus, you have the possibility to freely choose additional words characterising your project (maximum 100 characters including spaces, commas etc.).

## 9 Abstract

You should not use more than 2000 characters. The abstract should, at a glance, provide the reader with a clear understanding of the objectives of the proposal and how the objectives will be achieved and their relevance to the objectives of the Specific Programme and the Work Programme. This summary will be used as the short description of the proposal in the evaluation process and in communications to the programme management committees and other interested parties. It must therefore be short and precise. Please use plain typed text, avoiding formulae and other special characters. If the proposal is written in a language other than English, please include an English version of the proposal abstract in part B.

## 10 Previously submitted similar proposals or signed contracts

If one or several of the participants have submitted or are in the process of submitting the same or a similar proposal to other public funding programmes insert YES, else NO. If yes, give the programme name, year of submission and proposal number or contract number.

## 11 Organisation legal name

Official name of participant organisation. If applicable, name under which the participant is registered in the official trade registers.

## 12 Organisation short name

The short name chosen by the participant for this proposal. This should normally not be more than 20 characters and the same should be used for the participant in all documents relating to the proposal.

## 13 Address data

Fill in only the fields forming your complete postal address (e.g. if the P.O. Box is sufficient, you do not have to give a street name). If your address is specified by an indicator of location other than a street name and number, please insert this instead.

## 14 Country

Insert the name of the country as commonly used.

## 15 Activity Type

Please insert the abbreviation for the activity type most appropriate to the organisation (only one), according to the following explanations:

- **HE-Higher Education:** organisations only or mainly established for higher education/training, e. g. universities, colleges
- **RES-Research:** organisations only or mainly established for carrying out research activities
- **IND-Industry:** industrial organisations private and public, both manufacturing and industrial services – such as industrial software, design, control, repair, maintenance;
- **OTH-Others:** Organisations not fitting in one of the above categories

## 16 Legal status

Please insert only one abbreviation from the list below, according to the following explanations:

**GOV:** Governmental (local, regional or national public or governmental organisations e. g. libraries, hospitals, schools);

**INO:** International Organisation (i. e. an international organisation established by national governments);

**JRC:** Joint Research Centre (the Joint Research Centre of the European Community);

**PUC:** Public Commercial Organisation (i. e. commercial organisation established and owned by a public authority) ;

**PRC:** Private Commercial Organisation including Consultant (i. e. any commercial organisations owned by individuals either directly or by shares);

**EEIG:** European Economic Interest Group;

**PNP:** Private Organisation, Non Profit (i. e. any privately owned non profit organisation).

### **17 Legal Status: If “EEIG”**

If the organisation is a European Economic Interest Group you have to add a sheet to part B of the proposal listing the members of the group (legal names, addresses, dependencies). This is necessary to verify if the proposal meets the eligibility criterion of minimum partnership.

### **18 Legal Status: 'If 'PRC', Specify'**

If you are a Private Commercial Organisation (PRC), please indicate the type of organisation (e.g.: SA, LTD, GmbH, independent person etc.).

### **19 Small or Medium Sized Enterprise (SME)**

To be regarded as an SME, your organisation must have:

– less than 250 full time equivalent employees

**and**

– an annual turnover not exceeding EUR 40 million **or** an annual balance sheet total not exceeding EUR 27 million,

**and**

– must not be controlled by 25% or more by a company which is not an SME (on the issue of control, see note 20).

If all the above conditions apply to the organisation insert YES, else NO.

### **20 Dependencies between participants**

Two participants (legal entities) are dependent on each other where there is a controlling relationship between them:

– A legal entity is under the same direct or indirect control as another legal entity,

or

– A legal entity directly or indirectly controls another legal entity,

or

– A legal entity is directly or indirectly controlled by another legal entity.

#### ***Control:***

Legal entity A controls legal entity B if:

– A, directly or indirectly, holds more than 50% of the share capital or a majority of voting rights of the shareholders or associates of B,

or

– A, directly or indirectly, holds in fact or in law the decision-making power in B

Direct or indirect holding of more than 50% of the nominal value of the issued share capital in a legal entity or a majority of voting rights of the shareholders or associates of the said entity by public investment corporations, institutional investors or venture-capital companies and funds shall not in itself constitute a controlling relationship.

Ownership or supervision of *legal entities* by the same *public body* shall not in itself give rise to a controlling relationship between them.

## 21 Character of dependence

Insert the appropriate abbreviation according to the list below to characterise the relation between your organisation and the other participant(s) you are related with:

- **SG:** Same group: if your organisation and the other participant are controlled by the same third party
- **CLS:** Controls: if your organisation controls the other participant
- **CLB:** Controlled by: if your organisation is controlled by the other participant

## 22 Person in charge

Please insert in this section the data of the main scientist or team leader in charge of the proposal for the participant. For participant number 1 (the co-ordinator), this will be the person the Commission will contact concerning this proposal (e.g. for additional information, invitation to hearings, sending of evaluation results, convocation to negotiations).

## 23 Title

Please choose one of the following: Prof., Dr., Mr., Ms.

## 24 Sex

This information is required for statistical purposes. Please indicate with an F for female or an M for male as appropriate.

## 25 Phone and fax numbers

Please insert the full numbers including country and city/area code. Example +32-2-2991111.

## 26 Participant number

The number allocated by the consortium to the participant for this proposal. The **co-ordinator** of a proposal is always **number one**.

## 27 Requested grant to the budget and cost models<sup>5</sup>

The **Community grant** to be requested for a proposal depends on the cost model applicable to each participant and on the costs for the different activities. Maximum contributions as percentage of the respective costs are as follows:

	Maximum grant as percentage of full costs (participants applying the FC or FCF model)	Maximum grant as percentage of additional costs (participants applying the ACF model)
RTD activities (see note 28)	50%	100%
Demonstration activities (see note 29)	35%	100%
Innovation-related activities (see note 30)	50%	100%
Consortium management activities (see note 31)	100% (up to a maximum percentage of 7% of the Community contribution)	100% (up to a maximum percentage of 7% of the Community contribution)

The **cost models** to be applied by the participants have to be chosen according to the following instructions:

- **FC:** a full-cost model in which all actual direct and actual indirect costs may be charged to the contract;

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<sup>5</sup> Provisional, subject to the Commission decision on the Model Contract. Please check for updates on the CORDIS call page.

- **FCF**: a simplified variant of the full-cost model, in which all actual direct costs may be charged to the contract, together with a flat-rate rate of 20% of all these direct costs, excluding subcontracts, which will be deemed to cover all related indirect costs;
- **ACF**: an additional-cost model, covering all direct costs that are additional to the recurring costs of a participant (with the exception of consortium management for which recurring costs would also be eligible), together with a flat-rate of 20% of all these direct costs, excluding subcontracts, which will be deemed to cover all related non-recurring indirect costs.

The FC model will be open to all participants, except for international organisations, physical persons and those public bodies obliged to use the additional-cost model. The FCF model will be an option available only to SMEs.

The ACF model will be the only model available to international organisations and physical persons as well as to those public bodies obliged to use this model. It will also be an option open to any public body free to choose its cost model.

Where an entity has a choice of models, it may choose only one for all its participations in those indirect actions of FP6 where these models are relevant. SMEs, which initially opt for the FCF model may however change to FC for later contracts.

## 28 RTD activities

RTD activities are all activities directly aimed at creating new knowledge. They form the core of the Integrated Projects and Specific Targeted Research Projects.

## 29 Demonstration activities

Specific Targeted Research Projects may contain a demonstration component to prove the viability of new technologies that offer a potential economic advantage, but which cannot be commercialised directly (e.g. testing of product-like prototypes).

## 30 Innovation-related activities

Projects should include activities relating to the protection and dissemination of knowledge, and, when relevant, studies on the wider societal impact of that knowledge, activities to promote the exploitation of the results, and "take-up" actions. These activities are inter-related and should be conceived and implemented in a coherent way:

- **intellectual property protection**: protection of the knowledge resulting from the project (including patent searches, filing of patent (or other IPR) applications, etc.);
- **dissemination activities** beyond the consortium: publications, conferences, workshops and Web-based activities aiming at disseminating the knowledge and technology produced;
- **studies on socio-economic aspects**: assessment of the expected socio-economic impact of the knowledge and technology generated, as well as analysis of the factors that would influence their exploitation (e.g. standardisation, ethical and regulatory aspects, etc.);
- **activities promoting the exploitation of the results**: development of the plan for the use and dissemination of the knowledge produced, feasibility studies for the creation of spin-offs, etc, "take-up" activities to promote the early or broad application of state-of-the-art technologies. Take-up activities include the assessment, trial and validation of promising, but not fully established, technologies and solutions, easier access to and the transfer of best practices for the early use and exploitation of technologies. In particular, they will be expected to target SMEs.

## 31 Consortium management activities

Projects will require particular attention by the consortium to overall management and co-ordination issues. Over and above the technical management of individual work packages, an appropriate management framework linking together all the project components and maintaining communications with the

Commission will be needed. Depending on the size and scope of a project, a specially constituted management team with dedicated staff covering a range of skills may need to be set up.

Consortium management may include:

- co-ordination at consortium level of the technical activities of the project;
- the overall legal, contractual, ethical, financial and administrative management of the consortium;
- preparing, updating and managing the consortium agreement between the participants;
- co-ordination at consortium level of knowledge management and other innovation-related activities;
- overseeing the promotion of gender equality in the project;
- overseeing science and society issues, related to the research activities conducted within the project;
- obtaining audit certificates by each of the participants
- bank guarantees for SMEs (if applicable)

### **32 (Sub-)Total**

If the number of lines in the table on form A3 is not sufficient for your consortium, please use additional copies of A3. Indicate at the bottom the total number of A3 sheets used and the number of each sheet. On each sheet, except on the last one, insert the total values per sheet. On the last sheet, insert the overall totals.

## Annex 2 - Proposal Part B: guidelines for drafting

### **Instructions for preparing proposal Part B for Specific Targeted Research Projects in this Priority**

In addition to the detailed technical information provided in Part B, a proposal must also contain a Part A, containing basic information on the proposal and the consortium making the proposal<sup>6</sup>. The forms for Part A are provided elsewhere in this Guide. Incomplete proposals are not eligible and will not be evaluated.

**Specific targeted research projects are described in the Work Programme, and complete details of their characteristics and their application within FP6 are at: <http://www.cordis.lu/fp6/instruments/>**

Proposers should note that only research, demonstration and project management activities are funded in STREPs. Training activities cannot be included among the eligible costs of projects.

#### **Front page**

Proposal full title  
Proposal acronym  
Date of preparation  
Type of instrument  
    in this case: Specific Targeted Research Project  
List of participants (with country)  
    with co-ordinator first  
Co-ordinator name  
Co-ordinator organisation name  
Co-ordinator email  
Co-ordinator phone  
Co-ordinator fax

#### **Contents page**

show contents list

#### **Proposal summary page**

Proposal full title  
Proposal acronym  
Research areas/ topics addressed (If more than one, indicate their order of importance to the project).  
Proposal abstract  
    copied from Part A (if not in English, include an English translation)

#### **B.1 Scientific and technological objectives of the project and state of the art**

Describe in detail the proposed project's S&T objectives. The objectives should be those achievable within the project, not through subsequent development, and should be stated in a measurable and verifiable form. The progress of the project work will be measured against these goals in later reviews and assessments. Describe the state-of-the-art in the area concerned and how the proposed project will enhance the state-of-the-art in that area. (Recommended length – up to three pages)

#### **B.2 Relevance to the objectives of this Priority Thematic Area**

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<sup>6</sup> In the event of inconsistency between information given in Part A and that given in Part B, the Part A version will prevail

Describe the manner in which the proposed project's goals address the scientific, technical, wider societal and policy objectives of this Priority in the areas concerned. (Recommended length – up to three pages)

### **B.3 Potential impact**

Describe the strategic impact of the proposed project, for example in reinforcing competitiveness or on solving societal problems. Describe the innovation-related activities. Describe the exploitation and/or dissemination plans which are foreseen to ensure use of the project results. Describe the added-value in carrying out the work at a European level. Indicate what account is taken of other national or international research activities. (Recommended length – up to three pages)

**B.3.1 Contributions to standards:** Describe contributions to national or international standards (including pre-normative research) which may be made by the project, if any. (Recommended length – one page)

### **B.4 The consortium and project resources**

Describe the role of the participants and the specific skills of each of them. Show how the participants are suited and committed to the tasks assigned to them; show the complementarity between participants. Describe how the opportunity of involving SMEs has been addressed. Describe the resources, human and material, that will be deployed for the implementation of the project. Include a STREP Project Effort Form, as shown below, covering the full duration of the project. Demonstrate how the project will mobilise the critical mass of resources (personnel, equipment, finance...) necessary for success; and show that the overall financial plan for the project is adequate. (Recommended length – up to five pages)

If any major part of the work is foreseen to be sub-contracted by the participant responsible for it, describe the work involved and explain why a sub-contract approach has been chosen for it. (Recommended length – one page)

If any of the participants are based outside of the EU Member and Associated States, INCO target countries or countries having a RTD co-operation agreement with the European Community, explain in terms of the project's objectives why this/these participants have been included, describe the level of importance of their contribution to the project. (Recommended length –one page)

### **B.5 Project management**

Describe the organisation, management and decision making structures of the project. Describe the plan for the management of knowledge, of intellectual property and of other innovation-related activities arising in the project. (Recommended length – up to three pages)

### **B.6 Workplan**

This section describes in detail the work planned to achieve the objectives and must cover the full duration of the proposed project. The recommended length, excluding the forms specified below, is up to 15 pages. An introduction should explain the structure of the workplan and how it will lead the participants to achieve the project's objectives. The workplan should be broken down according to types of activities: Research, technological development and innovation related activities, demonstration activities and project management activities. It should identify significant risks, and contingency plans for these.

For demonstration activities a comprehensive description of the proposed demonstration action, including its scope, scale, objectives, validation methodology and success criteria should be presented. The demonstration should include a quantified assessment of performance, as well as a qualitative assessment in terms of viability and user acceptability. Include, where appropriate, technical details or anticipated performance targets. Identify each demonstration site, and explain the status of any authorisations, agreements or permits needed for each site. Identify the proposed participants in the demonstration, and explain their roles and responsibilities in the project in the context of an outline validation plan. Propose a set of performance indicators against which the

technical/economic/operational performance and ultimate success of the project can be judged. Indicator metrics (capacity increases, safety improvements, efficiency increases, cost reduction, returns on investment, running costs, payback times, environmental impacts, and other quantifiable impacts and benefits) should be given in sufficient detail to permit them to be checked by the proposal evaluators. Describe the measurement and monitoring systems, which will be used to verify the performance of the system and the fulfilment of the project objectives. Monitoring should be performed in accordance with international standards or recognised practices and, preferably, should form part of a management system, which will ensure continuous performance optimisation on a long term basis.

For each type of activity the plan must be broken down into workpackages (WPs), which should follow the logical phases of the project, and include management of the project and assessment of progress and results. Essential elements of the plan are:

- a) Implementation plan introduction – explaining the structure of this plan and the overall methodology used to achieve the objectives.
- b) Work planning, showing the timing of the different WPs and their components (Gantt chart or similar)
- c) Graphical presentation of the components showing their interdependencies (Pert diagram or similar)
- d) Detailed work description broken down into workpackages:
  - Workpackage list (use Workpackage list form below);
  - Deliverables list (use Deliverables list form below);
  - Description of each workpackage (use Workpackage description form below, one per workpackage):

Note: The number of workpackages used must be appropriate to the complexity of the work and the overall value of the proposed project. Each workpackage should be a major sub-division of the proposed project and should also have a verifiable end-point (normally a deliverable or an important milestone in the overall project). The planning should be sufficiently detailed to justify the proposed effort and allow progress monitoring by the Commission – the day-to-day management of the project by the consortium may require a more detailed plan.

## **B.7 Other issues**

If there are ethical or gender issues associated with the subject of the proposal, show that they have been adequately taken into account - indicate which national and international regulations are applicable and explain how they will be respected. Explore potential ethical aspects of the implementation of project results. Are there other EC-policy related issues, and are they taken into account? Demonstrate a readiness to engage with actors beyond the research to help spread awareness and knowledge and to explore the wider societal implications of the proposed work; if relevant set out synergies with education at all levels. (No recommended length – depends on the number of such other issues linked with the project).

**STREP Project Effort Form**

**Full duration of the project**

(insert the planned person-months for each activity in which a partner is involved)

Project acronym -

	Partner 1 short name	Partner 2 short name	Partner 3 short name	Partner 4 short name	Partner 5 short name	etc	TOTAL (ALL PARTNERS)
--	----------------------	----------------------	----------------------	----------------------	----------------------	-----	----------------------

Research/innovation activities							
WP name							
WP name							
WP name							
etc							
Total research/innovation							

Demonstration activities							
WP name							
WP name							
WP name							
etc							
Total demonstration							

Management activities							
WP name							
WP name							
WP name							
etc							
Total management							

<b>TOTAL (ALL ACTIVITIES)</b>							
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## Workpackage list (full duration of the project)

Work- package No <sup>7</sup>	Workpackage title	Lead contractor No <sup>8</sup>	Person- months <sup>9</sup>	Start month <sup>10</sup>	End month <sup>11</sup>	Deliv- erable No <sup>12</sup>
	<b>TOTAL</b>					

<sup>7</sup> Workpackage number: WP 1 – WP n.

<sup>8</sup> Number of the contractor leading the work in this workpackage.

<sup>9</sup> The total number of person-months allocated to each workpackage.

<sup>10</sup> Relative start date for the work in the specific workpackages, month 0 marking the start of the project, and all other start dates being relative to this start date.

<sup>11</sup> Relative end date, month 0 marking the start of the project, and all ends dates being relative to this start date.

<sup>12</sup> Deliverable number: Number for the deliverable(s)/result(s) mentioned in the workpackage: D1 - Dn.



## Workpackage description (full duration of the project)

<b>Workpackage number</b>		<b>Start date or starting event:</b>					
<b>Participant ID</b>							
<b>Person-months per participant:</b>							

**Objectives**

**Description of work** (*indicating the role of each partner involved*)

**Deliverables**

**Milestones<sup>17</sup> and expected results**

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<sup>17</sup> Milestones are control points at which decisions are needed; for example concerning which of several technologies will be adopted as the basis for the next phase of the project.

**Annex 3 - Ethical rules for FP6 projects**

## **Ethical rules for FP6 projects**

### **National legislation**

Participants in FP6 projects must conform to current legislation and regulations in the countries where the research will be carried out. Where required by national legislation or rules, participants must seek the approval of the relevant ethics committees prior to the start of the RTD activities that raise ethical issues.

### **EC legislation**

Participants must conform to relevant EU legislation such as:

- The Charter of Fundamental Rights of the EU
- Directive 2001/20/EC of the European Parliament and of the Council of 4 April 2001 on the approximation of the laws, regulations and administrative provisions of the Member States relating to the implementation of good clinical practice in the conduct of clinical trials on medicinal products for human use
- Directive 95/46/EC of the European Parliament and of the Council of 24 October 1995 on the protection of individuals with regard to the processing of personal data and on the free movement of such data
- Council Directive 83/570/EEC of 26 October 1983 amending Directives 65/65/EEC, 75/318/EEC and 75/319/EEC on the approximation laid down by law, regulation or administrative action relating to proprietary medicinal products
- Directive 98/44/EC of the European Parliament and of the Council of 6 July 1998 on the legal protection of biotechnological inventions
- Directive 90/219/EEC of 23 April 1990 on the contained use of genetically modified micro-organisms
- Directive 2001/18/EC of the European Parliament and of the Council of 12 March 2001 on the deliberate release into the environment of genetically modified organisms and repealing Council Directive 90/220/EEC

### **International conventions and declarations**

Participants should respect the following international conventions and declarations:

- Helsinki Declaration in its latest version
- Convention of the Council of Europe on Human Rights and Biomedicine signed in Oviedo on 4 April 1997, and the Additional Protocol on the Prohibition of Cloning Human Beings signed in Paris on 12 January 1998
- UN Convention on the Rights of the Child
- Universal Declaration on the human genome and human rights adopted by UNESCO

Participants should take into account the opinions of the European Group of Advisers on the Ethical Implications of Biotechnology (1991 –1997) and the opinions of the European Group on Ethics in Science and New technologies (as from 1998).

### **Protection of Animals**

In accordance with the Amsterdam protocol on animal protection and welfare, animal experiments must be replaced with alternatives wherever possible. Suffering by animals must be avoided or kept to a minimum. This particularly applies (pursuant to Directive 86/609/EEC) to animal experiments involving species which are closest to human beings. Altering the genetic heritage of animals and cloning of animals may be considered only if the aims are ethically justified and the conditions are such that the animals' welfare is guaranteed and the principles of biodiversity are respected.

### **Ethical review at EU level**

An ethical review will be implemented systematically by the Commission for proposals dealing with ethically sensitive issues, in particular proposals involving the use of human embryonic stem cells in culture. In specific cases, further ethical reviews may take place during the implementation of a project.

### **Fields of research which are excluded from the programme:**

Certain fields of research are excluded:

- Research activity aiming at human cloning for reproductive purposes;

- Research activity intended to modify the genetic heritage of human beings which could make such changes heritable<sup>18</sup>;
- Research activities intended to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.
- Pending the establishment of further implementation provisions by the end of 2003 at the latest, the Commission will not fund research involving the use of human embryos or embryonic stem cells except for banked or isolated human embryonic stem cells in culture.

**Information required from applicants on the ethical aspects of the proposed research project**

**A. Applicants are requested to fill in the following table**

<b>Does your proposed research raise sensitive ethical questions related to:</b>	<b>YES</b>	<b>NO</b>
• Human beings		
• Human biological samples		
• Personal data (whether identified by name or not)		
• Genetic information		
• Animals		

**B. Applicants are requested to confirm that the proposed research does not involve:**

- Research activity aimed at human cloning for reproductive purposes,
- Research activity intended to modify the genetic heritage of human beings which could make such changes heritable<sup>18</sup>;
- Research activity intended to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer;
- Research involving the use of human embryos or embryonic stem cells with the exception of banked or isolated human embryonic stem cells in culture<sup>19</sup>.

Further information on ethics requirements and rules are given at the science and ethics website at [http://europa.eu.int/comm/research/science-society/ethics/ethics\\_en.html](http://europa.eu.int/comm/research/science-society/ethics/ethics_en.html).

<sup>18</sup> Research relating to cancer treatment of the gonads can be financed.

<sup>19</sup> Applicants should note that the Council and the Commission have agreed that detailed implementing provisions concerning research activities involving the use of human embryos and human embryonic stem cells which may be funded under the 6<sup>th</sup> Framework Programme shall be established by 31 December 2003. The Commission has stated that, during that period and pending establishment of the detailed implementing provisions, it will not propose to fund such research, with the exception of the study of banked or isolated human embryonic stem cells in culture.

**Annex 4 - Integrating the gender dimension**

## **Integrating the gender dimension in FP6 projects**

The European policy of equal opportunities between women and men is enshrined in the Treaty on European Union. Articles 2 and 3 establish equality between women and men as a specific task of the Community, as well as a horizontal objective affecting all Community tasks. The Treaty seeks not only to eliminate inequalities, but also to promote equality. The Commission has adopted a gender mainstreaming strategy by which each policy area, including that of research, must contribute to promoting gender equality.

The Commission recognises a threefold relationship between women and research, and has articulated its action around the following :

- women's participation in research must be encouraged both as scientists/technologists and within the evaluation, consultation and implementation processes,
- research must address women's needs, as much as men's needs,
- research must be carried out to contribute to an enhanced understanding of gender issues.

Promoting women does not mean treating them in the same way as men. Men's characteristics, situations and needs are often taken as the norm, and – to have the same opportunities - women are expected to behave like them. Ensuring gender equality means giving equal consideration to the life patterns, needs and interests of both women and men. Gender mainstreaming thus includes also changing the working culture.

We need to go a step further by questioning systematically whether, and in what sense, sex and gender are relevant in the objectives and in the methodology of projects. Many science and research projects include humans as subjects. There is no such thing as a universally neutral person. Because sex and gender differences are fundamental organising features of life and society, recognising these differences has important implications in scientific knowledge.

- Gender differences are relevant in health research for combating diseases, and in the fundamental research on genomics and its applications for health.
- In information technologies, gender disparities exist at user level and in the labour market. By assuming that information technology is neutral, biases can enter into technological research and development that can have a negative impact on gender equality.
- Gender-specific needs could be relevant to the development of materials for use in the biomedical sector.
- Gender differences could exist in the impact on health of food products, such as those containing genetically modified organisms. Gender may also be relevant in the epidemiology of food-related diseases and allergies.
- Gender differences are relevant in the design and development of sustainable technologies and in sectors such as transport.
- There are differences in gender roles and responsibilities, as well as in the relationship to the resource base, which are relevant to sustainable development research (land management, agricultural and forest resources, water cycle).
- Developments in the knowledge-based society and in the new forms of relationships between citizens and institutions in Europe have some significant gender dimensions.

Indications of relevant gender issues and suggestions on how the gender dimension can be integrated are available in the gender impact studies that were carried out during the Fifth Framework Programme in the following fields :

- life sciences
- information society
- energy
- environment
- international co-operation
- SME and innovation
- Mobility and socio-economic research.

The reports can be requested at [rtd-sciencesociety@cec.eu.int](mailto:rtd-sciencesociety@cec.eu.int).