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

Specific Activities
Covering a Wider Field of Research 1.2.2

HORIZONTAL RESEARCH ACTIVITIES INVOLVING SMES

Integrating and Strengthening the European Research Area

COLLECTIVE RESEARCH Call 2

Fixed deadline call for proposals
Call identifier FP6-2003-SME-2

COLLECTIVE RESEARCH PROJECTS

Edition December 2003-12-04
Reference no. Guide FP6-2003-SME-2.doc

Three different types of instruments are available to fund Horizontal Research Activities involving SMEs. These instruments are described in the brochure "The 6th Framework Programme in Brief" and at http://www.cordis.lu/fp6/instruments/ **:**

- Collective research projects
- Co-operative research projects
- Specific Support Actions (SSA)

This version of the Guide for Proposers concerns:

COLLECTIVE RESEARCH PROJECTS

This version of the Guide for Proposers concerns:

COLLECTIVE RESEARCH CALL FP6-2003-SME-2

and covers all areas of science and technology.

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 for Collective Research

- **Priorities and objectives**: Check that your proposed work does indeed address priorities and objectives of Collective Research open in the current Call and as described in the current Work Programme on Horizontal Research Activities involving SMEs.
  PROPOSALS ADDRESSING OBJECTIVES WHICH ARE NOT OPEN IN THIS CALL WILL NOT BE EVALUATED.

- **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 instrument for the type of work you are proposing.
  Check in the Work Programme that the call is actually open for instruments of this type in the particular activity *(see name given in the Work programme)* 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 Horizontal Research Activities involving SMEs. 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 and further described in the Guidelines for Evaluators. 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 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 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.

Contents – Collective research projects

Specific Activities 1.2.2 – Horizontal Research Activities involving SMEs
Instrument – Collective Research Projects

Specific information for Collective Research Projects in the 2nd call of Collective Research published on 17 December 2003. Fixed deadline call.

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 notification of an intention to submit, 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 Collective Research Projects** and which you will need to consult during the preparation of your proposal are:

> **The brochure "The 6th 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 on Horizontal Research Activities involving SMEs.** The Work Programme provides a detailed description of the content of the objectives, which are open for proposals, and indicates which types of instruments may be used for each. It also gives an indicative timetable for the 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 objectives are open for proposals for Collective Research Projects, and what are the address and deadline for proposal submission.

Additional documents which you should review are:

> **The Guidelines on proposal evaluation and selection procedures (the "Evaluation Manual").** This document describes the general principles and the procedures, which will be used in the evaluation of proposals.
>
> **The Collective Research Guidance notes for evaluators.** This describes in detail how proposals for Collective Research Projects will be evaluated. You may use the Guidelines notes 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 the CORDIS call page for this call (see reference in section VII).

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

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 Specific Programme, the Work Programme for "Horizontal Research Activities involving SMEs", the Call for proposals or the Guidelines on evaluation and selection of proposals.

I.2. Specific information for this call

I.2.1 SME definition

For the purpose of the second call for Collective Research Projects, an eligible SME is a legal entity that complies with the SME definition set out in the Commission Recommendation 96/280/EC (OJ L107 of 30/04/1996 pp.4-9) and is not a research centre, research institute, contract research organisation or consultancy firm.

<u>SME definition (Commission Recommendation 96/280/EC)</u>

An SME (Small or Medium-sized Enterprise) is an enterprise which:

- has fewer than 250 employees,
- has *either*,
  an annual turnover not exceeding 40 million euro,
  or
  an annual balance-sheet total not exceeding 27 million euro,
- and conforms to the criteria of independence.

An independent organisation is an organisation which is not owned for 25 % or more of the capital or the voting rights by one enterprise or jointly by several enterprises falling outside the definition of an SME. This threshold may be exceeded in the following two cases:

- if the organisation is held by public investment corporations, venture capital companies or institutional investors, provided no control is exercised either individually or jointly,

or

- if the capital is spread in such a way that it is not possible to determine by whom it is held and if the organisation declares that it can legitimately presume that it is not owned as to 25 % or more by one enterprise, or jointly by several enterprises, falling outside the definition of an SME.

A new SME definition (Commission Recommendation C(2003)1422 final of 06/05/2003) will enter into force on 1st January 2005, but it will not apply to calls with closure dates in 2004.

II. Proposal preparation

II.1 Two stage submission as applied to Collective Research Projects Call 1

Proposals for Collective Research Projects in the "Horizontal Research Activities involving SMEs" are submitted in two stages. In the two-stage procedure, proposers initially present their idea to the Commission as an outline proposal. The outline proposal is submitted to the address set out in the Call for proposals as published in the Official Journal of the European Commission. Proposals must be received by the Commission by the closing date of the call.

Independent experts will evaluate the submitted outlined proposals, following the evaluation criteria as described in the "Horizontal Research Activities involving SMEs" Work Programme.

Only proposals retained in stage 1 will be invited to submit a stage 2 proposal. The proposals retained for submission in stage 2 should complement the first stage proposal according to the requirements described in the annexes. Stage 2 proposals will also be evaluated by independent experts following all evaluation criteria.

Favourable evaluation of the outline proposal does not oblige the proposers to subsequently submit a Stage 2 proposal, nor does it commit the Commission to supporting a subsequent project.

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. 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[1], and the European Commission's Joint Research Centre (JRC) are considered on the same footing as legal entities established in a 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. Other countries which are associated to the 6th Framework programme are: Iceland, Israel, Liechtenstein, Norway and Switzerland[2]. Potential participants should confirm the exact situation of all these countries at the FP6 International Cooperation website (see in 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).

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[1] International organisations, the majority of whose members are European Union Member States or Associated States and whose principal objective is to promote European scientific and technological cooperation

[2] The association agreement with Iceland, Liechtenstein and Norway is in force. The entry into force of the agreement with Switzerland is foreseen for 1 January 2004.

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, total funding requested by type of activity, 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.

- **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 prepared 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 Notification of intention to submit a proposal

To assist the Commission in its evaluation planning, proposers are kindly requested to notify their intention to submit a proposal, no matter if they intend to submit electronically or on paper. Proposals are notified via the Internet, at the CORDIS call page for the current call (see address in Section VII).

You may always submit a proposal without notification and notifying an intention to submit a proposal does not commit you to actually submit a proposal. When notifying, proposers will not get any feedback. Notifying an intention to submit on CORDIS is different from and has nothing to do with registering with the electronic proposal submission system to get a login and password. The latter has to be done separately if you want to submit electronically (see section III.1)

II.6 Electronic proposal submission system

An electronic proposal preparation tool is be available **via the CORDIS 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 off-line. In this case, once the proposal has been prepared with the offline tool, it may be either sent: electronically via the online tool, or printed and submitted on paper with a CD-ROM or diskette copy included, as preferred by the proposers. Direct online submission is strongly encouraged.

II.7 Pre-proposal check

No facility for a pre-proposal check is provided for the current call.

III Submission of proposals

Proposals to the current call may be submitted using the electronic proposal submission system (EPSS) online via the Internet, or on paper, preferably created by using the offline electronic tool and accompanied by an electronic copy of the package created by the offline tool on CD-ROM or diskette, to the address indicated in the Call for proposals.

III.1 Online electronic submission

The online EPSS is a Web-based system, i.e. you do not have to install special software on your computer. You only need a standard Web browser and a login and password. All data that you encode and upload are securely stored on a Web server, so that only the participants in your proposal have access (not even the Commission before submission), providing a common online workspace for the preparation of the proposal.

Request of login and password (only by the coordinator):

- Go to the CORDIS call page for the current call (reference see section VII)
- On the call page, go to the box "Prepare and submit a proposal for this call".
- Choose the instrument you want to apply for from the dropdown list and press "Go". You will arrive at the EPSS start page.
- Click on "Register", fill in the registration form and submit it. The EPSS will send you a login and password **by post** (for reasons of security and confidentiality). On your own risk, you can ask for having an **advance copy of login and password by e-mail or fax** by sending an e-mail to the EPSS helpdesk (reference see section VII).
- The login and password is linked to only one proposal (for the call and for the instrument you have chosen). For each proposal you want to prepare you have to register again, following the procedure described above.

The time required to receive the login and password after registration will vary from place to place and the Commission takes no responsibility for the late receipt of logins and passwords. Proposal co-ordinators should therefore apply for logins and passwords well in advance. If you wish to **receive the login and password by electronic mail or by fax in advance of the posted information,** you may indicate this to the EPSS helpdesk. The Commission takes no responsiblity for any potential loss, incorrect arrival or use of the password and login if they are requested by fax or e-mail. The proposers take the risk and responsibility to ensure that the fax number and/or electronic mail address provided are correct and assume all risks in case of error, misuse, illegibility or loss of confidentiality or security. In all cases, the logins and passwords will be provided by the post. In the event of contradiction or errors, only that information provided by the post constitutes the correct version. It is in any case suggested that the password be changed upon first use to ensure confidentiality.

Using the online system (coordinator):

Once you have received your login and password, you can start building a proposal. Access to the system is again via the CORDIS call page for the current call. By entering your login and password you reach the EPSS main menu for your proposal. As co-ordinator, at the first login, you should reset your own password and the participants' password. As a coordinator you can:

- set up and modify your consortium by adding/removing partners
- complete and modify administrative forms
- upload documents (.rtf or .pdf) forming part B (the description of the contents) of your proposal
- assign a password to be shared by other participants

- submit the proposal

Using the system (participants other than coordinator):

Participants receive their login and password from the coordinator. For entering the EPSS see above. As a participant (not coordinator) you can:

- view the whole proposal
- download all administrative forms
- download the document template for part B
- complete and modify your own A2 administrative form

Submitting a proposal online

Once there is a consolidated version of the proposal, the coordinator submits it by pressing the "Submit" button. On submission, the EPSS performs an initial check on eligibility and informs the coordinator of any apparent eligibility problems with the proposal. This check does not replace the eligibility check carried out by the Commission and the coordinator may decide to submit the proposal even when apparent eligibility problems have been indicated by the EPSS.

Once successfully submitted, the coordinator receives a message that indicates that his/her proposal has been received and accepted for submission. The coordinator 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, shall be rejected.

For the proposal content (part B) you are requested to use either PDF ("portable document format", version 3 or higher with embedded fonts) or RTF ("rich text format"). Technical problems resulting from the use of other formats may lead to your proposal being ineligible.

Using only PDF or RTF format for submission of part B

Why?

These two formats of text documents are supported by the vast majority of computer platforms; they bear a minimum risk of viruses. Allowing any possible format would require that the Commission maintain an arsenal of software and even then readability could not be guaranteed in 100% of the cases.

How?

RTF: This is the format most easily accessible. Many text processors allow saving documents as RTF without the need for any special converting software (e.g. in WORD: Choose "File", then "Save as" then select "Rich text format" from the list of types). Working with RTF files is the same as with any other text files, i.e. they can be opened and edited with the usual text processors.

PDF: The possibility of converting a text file into PDF is integrated in only a few text processors. Most users need a special converting software (commercial software or downloadable freeware available on the Web). Conversion into PDF is the last step in preparing a document for submission; PDF documents cannot be edited like normal text files.

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

One of the advantages of electronic submission with the EPSS is the possibility to re-submit (until the call closure). It is advisable to submit a first consolidated version of the proposal well in advance of the

deadline (i.e. at least several days before), so that in case of technical or other problems close to the deadline there is always a valid version already submitted.

III.2 Proposal preparation and submission using the EPSS-EPT offline version

Downloading the offline EPSS:

The offline EPSS (the EPT) is a software programme running on your computer to create a proposal for later upload to the online EPSS or for creating a proposal to be sent on paper with an electronic copy on CD-ROM or diskette. For preparing a proposal you have to download two components:

- the EPT tool itself, i.e. the basic software
- the package of forms and templates specific to the call and instrument you want to apply for.

The following steps are necessary:

- Go to the CORDIS call page for the current call (reference see section VII)
- On the call page, go to the box "Prepare and submit a proposal for this call".
- Choose the instrument you want to apply for from the dropdown list and press "Go". You will arrive at the EPSS start page.
- Click on "Download EPT", then choose one of the two options, depending on your computer platform, and follow the instructions for download and installation
- Go back to the EPSS start page (via the CORDIS call page) and click on "Download forms"
- Fill in the form asking for some basic information on your proposal, click "next"
- Click "Download forms package"; you will be able to download the package (a compressed .zip file) applicable to the call and instrument you have chosen before. You have later to remember the directory on your hard disk to which you saved the package

Working with the offline EPSS (EPT):

- Unzip the forms package to a separate directory indicating call and instrument
- If you have downloaded the EPTool with the Java runtime attached, find the directory ...\EPTool that has been created on your hard disk during installation of the tool. In this directory you find a pdf file "EPSS-EPT-user-guide" with instructions how to use the application. Otherwise locate the EPT files you have downloaded, extract them to a directory. We recommend using the ...\EPTool directory.
- In the subdirectory ...EPTool\bin you find the file "Runme.bat" (Windows) or "runme.sh" (Unix), a batch or shell script file. Run this file to open the application, use the programme following the instructions in the "EPSS-EPT-user-guide" (see above)

Submitting a proposal created with the offline EPSS (EPT)

Once you have created and packaged a proposal with the offline tool following the instructions in the "EPSS-EPT-user-guide", submission may be carried out in two ways:

- By uploading the package to the online EPSS. **You will need a login and password for the online EPSS** (see instructions above);
- By using the offline tool to prepare a paper copy of the proposal and to write the package created by the offline tool to CD-ROM or diskette. The paper copy and the CD-ROM or diskette are then delivered by post, courier service or by hand before the call closure to the address given in the call for proposals (see also section III.3).

When using the second method, the proposal coordinator must 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 not prepared and packaged by the offline EPSS (EPT), which is unreadable or which contains a computer virus will be rejected if a paper copy is not included in the same package.**

Disclaimer: The offline EPSS is a software tool to be installed and running on your computer system. Although designed for maximum compatibility, its proper functioning, as for any software, depends on proper installation and on your computer environment and settings and can therefore not be guaranteed. The Commission cannot be held liable for any malfunction of the offline EPSS on your computer nor can it give technical assistance on problems related with your local computer environment.

Software problems with the offline EPSS are not considered as extenuating circumstances for call deadlines. It is therefore advisable to test the functioning of the system well in advance of the deadline.

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^2)**
- **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:

- “Horizontal Research Activities involving SMEs”
- 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.

<u>If you are submitting more than one proposal:</u>
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 should at once contact the Information Desk of the "Horizontal Research Activities involving SMEs", the co-ordinates of which are given below.

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 Addresses for proposal submission

Proposals to be submitted on paper or on CD-ROM/diskette have to be sent to one of the two following addresses, depending on the method of delivery

III.4.1 Address for sending proposals by post

FP6 – Research Proposals
FP6-2003-SME-2
European Commission
B-1049 Brussels

III.4.2 Address for delivering proposals by hand or by representatives (including courier services)[3]

FP6 – Research Proposals
FP6-2003-SME-2
European Commission
Rue de Genève, 1
B-1140 Brussels

The office of the Commission courier service at this address has the following opening hours:

Monday to Thursday:	8.00 –17.00
Friday and days before Commission holidays:	8.00 – 16.00

Instructions on how to reach this office are available at http://www.cordis.lu/fp6/sub_hand.htm

III.5 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.

[3] Users of courier services that ask for recipient's telephone number should give the following number: (32-2) 295 58 75 (Mr. J-C Debouvere).

Proposers are reminded that it is their own responsibility to ensure the safe arrival of their proposal.

III.5 Acknowledgement of receipt

Once a proposal has been received and registered by the Commission, an Acknowledgement of receipt letter will be despatched to the proposal co-ordinator.

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

IV. Evaluation and negotiation

IV.1 Timetable of evaluation

All proposals received for the stage 1 and which fulfil the eligibility criteria (see the "Evaluation Manual" at call page) are evaluated to determine their quality. Independent experts will evaluate the eligible proposals, following the criteria of the Work Programme on Horizontal Research Activities involving SMEs and the Collective Research Guidelines for Evaluators.

After the completion of "the stage 1 evaluation", the experts will prepare on each proposal an Evaluation Summary Report. The experts will make a list of the proposals ranked in order of merit for consideration by the Commission for stage 2.

After "the stage 1 evaluation" results are finalised, all co-ordinators will receive the Evaluation Summary Report with the outcome of the evaluation of their proposal. These reports will be sent out during July 2004. Unsuccessful proposers will subsequently receive a formal notification.

Along with the report the co-ordinators of the proposals retained in stage 1 will be invited to submit a stage 2 proposal, and they will be informed about the deadline of the submission of the stage 2 proposal. After the eligibility check Stage 2 proposals will also be evaluated by independent experts, the experts will prepare an Evaluation Summary Report on each proposal which will later be sent by the Commission to the proposal coordinator. The experts will make a list of the proposals ranked in order of merit for consideration by the Commission.

The experts' conclusions are examined by the Commission with the support of the Horizontal Configuration of the Programme Committee of the FP6 Specific Programme "Integrating and Strengthening the European Research Area", which comprises representatives of Member and Associated States.

After the evaluation results are finalised, all proposers will receive the Evaluation Summary Report of the "stage 2 evaluation" with the outcome of the evaluation of their proposal.

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 stage 2 evaluation and has been retained for possible funding, contract negotiation will start through an official letter sent by the Commission before the end of 2004.

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 (and in particular the Commission may ask for copies of the documents, which legally establish each organisation, which is in the consortium). 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 Coordinator 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).

All projects in "Horizontal Research Activities involving SMEs" must also set up a Consortium agreement. The Consortium agreement should be finalised as early as possible, and before the Commission is allowed to make an offer for the contract. A checklist which may assist you in drawing up a Consortium agreement is available on the Internet (see address in Section VII).

If the negotiation is successful, a Commission Decision approving the funding is foreseen in a timeframe starting April 2005. 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 short reserve list may be contacted to start negotiations.

V. Check list for proposers

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

- ➜ Have you completed both a Part A and a Part B?
- ➜ 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 (the Commission does not prescribe in which form the authorisations are made and will not check them; this is a matter of internal organisation of the Consortium)?
- ➜ 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:

- ➜ Have you completed both a Part A and a Part B?
- ➜ 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:
  - ➜ Horizontal Research Activities involving SMEs?
  - ➜ The Call identifier (as given in the Call for proposals)?
  - ➜ The proposal acronym?
- ➜ If you use more than one envelope, are they numbered 1 of X, 2 of X, etc., with each clearly marked as described above?
- ➜ Have you completed an Acknowledgement of receipt form, as annexed to this Guide, and included it in the package?
- ➜ 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 “Horizontal Research Activities involving SMEs” ?
- ➜ Do you have all the necessary authorisations from each member of the consortium to submit this proposal on their behalf (the Commission does not prescribe in which form the authorisations are made and will not check them; this is a matter of internal organisation of the Consortium?
- ➜ 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 "Horizontal Research Activities involving SMEs" Information Desk

The address of the "Horizontal Research Activities involving SMEs" Information Desk is:

European Commission
SME Help-desk
Directorate-General Research
B-1049 Brussels

Email: research-sme@cec.eu.int
Phone: +32 2 295 71 75
Fax: +32 2 295 71 10
Web: http://sme.cordis.lu

The desk is open 09h00 - 17h00 (Brussels time), Monday to Friday.

Links to all the necessary information to prepare a proposal are available on the CORDIS call for the current call (see Section VII)
Proposers should periodically check this for latest information

VI.2 EPSS helpdesk

This software-related technical helpdesk treats exclusively technical questions on the use of the electronic proposal submission system (EPSS):

EPSS Helpdesk
E-mail: support@epss-fp6.org
Phone: +32 2 233 37 60

VI.3 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.4 National Contact Points

The "Horizontal Research Activities involving SMEs" support 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/ncp.htm).

VI.5 The "Horizontal Research Activities involving SMEs" Information Days

The Horizontal Research Activities involving SMEs, EU Member States and Associated States frequently organise Information Days, where those interested in proposing may attend for a presentation of Collective

Research 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.6 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
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

VII References

Potential proposers could consult the following documents:

Legal decisions

Decision on the Framework Programme	http://www.cordis.lu/fp6/find-doc.htm
Rules of Participation in FP6	
Specific Programme "Integrating and strengthening the European Research Area" (includes the Horizontal Research Activities involving SMEs)	

Call page for Collective Research, Call FP6-2003-SME-2

Call for proposals	http://fp6.cordis.lu/fp6/calls_activity.cfm?ID_ACTIVITY=529
Work Programme 2003/04	
Brochure "The Fp6 in Brief"	
Guide for Proposers	
Guidelines on Proposal Evaluation and Selection Procedures	
Guidance Notes for Evaluators (Call Specific)	
Organisations expressing interest in this Call	
Gateway to the Electronic Proposal Submission Systemservice	

Supporting information

CORDIS FP6 service	http://www.cordis.lu/fp6
National Contact Points	http://www.cordis.lu/fp6/ncp.htm
Horizontal Research Activities involving SMEs Information Days and other events	http://sme.cordis.lu
IPR helpdesk	http://www.ipr-helpdesk.org
CORDIS partner search facility	http://partners-service.cordis.lu/
Innovation Relay Centres:	http://irc.cordis.lu
International cooperation	http://www.cordis.lu/fp6/inco.htm
Science and Society action plan	http://europa.eu.int/comm/research/science-society/action-plan/action-plan_en.html
Guidelines on techniques for science communicating with the public	http://www.cordis.lu/fp6/society.htm;
European Investment Bank	http://www.eib.org/

Contractual information

Consortium agreement checklist	http://www.cordis.lu/fp6/find-doc.htm#modelcontracts
Contract preparation forms	
Model contracts	

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

6th Framework Programme on Research, Technological Development and Demonstration

Specific Research Projects for SMEs:

Collective Research

A1

Proposal Number[1]		Proposal Acronym[2]	

GENERAL INFORMATION ON THE PROPOSAL			
Proposal Title[0]			
Duration in months[4]		*Call (part) identifier*[5]	
Sector code(s) most relevant to your topic[6]			
Keyword code 1[7]			
Keyword code 2[7]			
Keyword code 3[7]			
Free keywords[8]			
Abstract*[9] *(max. 2000 char.)			

Previously submitted similar proposals or signed contracts (including Stage 1)?[0] *YES=Y/NO=N*	
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

6th Framework Programme on Research, Technological Development and Demonstration

Specific Research Projects for SMEs:

Collective Research

A2

1/2

Proposal Number[1]		Proposal Acronym[2]	

INFORMATION ON THE PARTICIPANT

Participant n°[33]		*Type of participant[11]* IAG (=IAG), SME core group participant (=CORE), RTD Performer (=RTD)			
Is the organisation the project co-ordinator ? YES=Y/NO=N					
Organisation legal name[12]					
Organisation short name[13]					
Legal address					
PO Box[14]		*Postal Code*		*Cedex[14]*	
Street name and number[14]					
Town		*Country[15]*			
Internet homepage					
Activity Type HE, RES, IND, CON, OTH[16]		*Legal Status GOV, INO, JRC, PUC, PRC, EEIG[18], PNP[17]*			
If Legal Status "PRC", specify[19]					
Is the organisation a Small or Medium-Sized Enterprise (SME)?[20] YES=Y/NO=N					

If you are an SME core group participant, please provide the following information					
Annual turnover[0]		*Annual balance sheet total[22]*		*Number of employees[23]*	
Is the organisation independent according to the SME definition?[24] YES=Y/NO=N					
If no, for each owner of 25% or more please indicate:					
Legal name					
Annual turnover[0]		*Annual balance sheet total[22]*		*Number of employees[23]*	
Legal name					
Annual turnover[0]		*Annual balance sheet total[22]*		*Number of employees[23]*	

If you are an IAG, please provide the following information					
How many EU Member or Associated countries are represented in your membership?[25]					
Percentage of SME members[26]		*Percentage of other enterprises members[26]*		*Percentage of other members[26]*	
Number of SME members[26]		*Number of member IAGs[26]*		*Number of other members[26]*	

Are there dependencies between the organisation and (an)other participant(s) in the proposal?[27] YES=Y/NO=N			*61*
If yes, participant number		*If yes, participant short name*	
Character of dependence[28] SG, CLS, CLB			
If yes, participant number		*If yes, participant short name*	
Character of dependence[28] SG, CLS, CLB			
If yes, participant number		*If yes, participant short name*	
Character of dependence[28] SG, CLS, CLB			

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

6th Framework Programme on Research, Technological Development and Demonstration

Specific Research Projects for SMEs:

Collective Research

A2
2/2

Proposal Number[1]		Proposal Acronym[2]	
Participant Number[33]			

Person in charge[29]					
Name		*First name(s)*			
Title[0]		*Sex: Female=F, Male=M[31]*			
Department/Faculty/Institute/ Laboratory name					
Address (if different from above)					
PO Box[14]		*Postal Code*		*Cedex[14]*	
Street name and number[1414]					
Town		*Country[15]*			
Phone 1[32]		*Phone 2[32]*			
e-mail		*Fax[32]*			

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

6th Framework Programme on Research, Technological Development and Demonstration

Specific Research Projects for SMEs:

Collective Research

A3

Proposal Number[1]		Proposal Acronym[2]	

Financial Information

				RTD[35] and innovation-related[36] activities		Training activities[37]		Consortium management[38]		Total	
Participant n°[33]	Participant short name[13]	Country[15]	Cost model	Costs	Requested grant to the budget[34]	Costs	Requested grant to the budget[34]	Costs	Requested grant to the budget[34]	Costs	Requested grant to the budget[34]
IAGs			SUBTOTAL								
SME CORE GROUP			SUBTOTAL								
RTD PERFORMERS			SUBTOTAL								
			(SUB)TOTAL[39]								

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

Form A3: page … of ….

Form A3 is used for the calculation of the total grant to the budget only. For more information on the distribution of this grant among the partners please refer to the Note 34

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 Collective Research 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**. In form A3, use one line per participant. Ensure that each participant has one line and that the numbers of the participants correspond to the numbers defined in the A2 forms. In the A3 form, do not add any lines or columns to the cost table. Use additional copies of the A3 sheet if there are more participants than the number of lines allows for.**

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 (only alphanumeric, i.e. Latin letters and numbers, no special signs or characters), to be used to identify the proposal. The **same acronym should appear on each page of the proposal (part A and part B)** 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. Sector code(s) most relevant to your topic

Please insert the code for the sector that is addressed by your proposal (as indicated in the list below). If you consider that your proposal aims at more than one sector, you can indicate several codes, starting with the most relevant one (maximum three).

1.-Aeronautics/Aerospace
2.-Agriculture/Food
3.-Biotechnologies/Genomics
4.-Chemical/Petrochemical
5.-Construction/Building
6.-Electrical industry/Electronics
7.-Energy
8.-Environment/Waste management
9.-Fisheries/Aquaculture
10.-Health care
11.-Information and Communications Technologies
12.-Machinery/Instruments/Sensors
13.-Materials processing
14.-Measurements/Testing
15.-Medical and Biomedical equipment
16.-Nanotechnologies
17.-Shoe/Leather
18.-Textile/Clothing
19.-Transport
20.-Wood/Paper/Furniture
21.-Other

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 and should not contain confidential information. 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 the Collective Research proposal is a Stage 2 submission, or 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. Type of participant

Please insert the abbreviation for the type of participant, according to the following explanations:

- **IAG-Industrial Association/Grouping**: enterprise grouping, meaning any legal entity made up, directly or indirectly, for the most part of SMEs and representing their interests. Examples of these are sectorial industrial associations, regional industrial associations, chambers of commerce, etc. **European IAGs** 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.
- **CORE-SME Core Group Participant**: any small or medium sized enterprise willing to contribute to the project from its definition phase to the dissemination of the results obtained
- **RTD-RTD performer**: organisation with RTD means adequate to carry out research at the request of the Industrial Associations/Groupings. Examples of RTD performers are universities, research organisations, industrial companies, etc.

12. Organisation legal name

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

13. 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.

14. Address data

Fill in only the fields forming your complete postal address. If your address is specified by an indicator of location other than a street name and number, please insert this instead.

15. Country

Insert the name of the country as commonly used.

16. 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;
- **CON-Consultancy firm:** persons or organisations whose principal activity relates to *non-technical services* – such as business development, marketing and transfer of technology, proposal writing or building of transnational partnerships – without the clear intention to apply any project results in their own core business
- **OTH-Others:** organisations not fitting in one of the above categories

17. 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)

18. 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.

19. Legal Status: 'If "PRC", Specify'

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

20. 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.

21. Annual turnover

Indicate a code for the turnover (in euro) of the most recent accounting year. The figures should be given for the organisation as a whole and not just for the department carrying out the work. The following codes for intervals should be used:

– **T1**: 0 ≤ EUR 7 million (Annual turnover less than or equal to EUR 7 million)
– **T2**: > EUR 7 million or ≤ EUR 40 million (Annual turnover more than EUR 7 million but less than or equal to EUR 40 million
– **T3**: > EUR 40 million (Annual turnover more than EUR 40 million)

22. Annual balance sheet total

Indicate a code for the annual balance sheet total of most recent accounting year (in euro). The figures should be given for the organisation as a whole and not just for the department carrying out the work. The following codes for intervals should be used:

– **B1**: 0 ≤ EUR 5 million (Annual balance sheet total less than or equal to EUR 5 million)
– **B2**: > EUR 5 million ≤ EUR 27 million (Annual balance sheet total more than EUR 5 million but less than or equal to EUR 27 million)
– **B3**: > EUR 27 million (Annual balance sheet total more than EUR 27 million)

23. Number of employees

The figures should be for the legal organisation as a whole - not only for the department carrying out the work. The contribution of part-time staff should be accounted as the equivalent number of full-time staff – as full-time equivalents. Please indicate a code for the number of full time equivalent employees according to the following explanations. The owner is not considered as an employee.

– **S1**: 0 employee (single person company)
– **S2**: 1 – 9 employees
– **S3**: 10 – 49 employees
– **S4**: 50 – 249 employees

– **S5**: 250 – 499 employees
– **S6**: 500 – 1999 employees
– **S7**: 2000+ employees

24. Independence according to the SME definition

An organisation is independent according to the SME definition if less than 25% of the capital or voting rights is owned by one enterprise or jointly by several enterprises falling outside the definition of an SME (except public investment corporations, venture capital companies and institutional investors, provided no control is exercised either individually or jointly). On the issue of control, see note 27.

If the organisation is not independent according to the SME definition, you should provide the details of the company(ies) which own(s) 25% or more of the organisation.

Please indicate with a cross in the box to the right of your selected answer.

25. Countries represented in the membership

If you are an IAG, indicate here how many different EU Member or Associated countries are represented in your membership. If you are a national or regional IAG, insert "1".
If the organisation is a **European IAG**, 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.

26. Distribution of membership

If you are an IAG, indicate in these cells the percentage and number of members of your association who are, respectively: SMEs, other enterprise members, other type of members (other associations, public, non-governmental organisations, etc.).

27. 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:
A 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.

28. 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

29. 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).

30. Title

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

31. Sex

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

32. Phone and fax numbers

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

33. Participant number

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

34. Requested grant to the budget and cost models

The **Community grant** requested for a proposal depends on the cost model applicable to each participant and on the costs for the different activities. At the proposal stage, costs and requested Community contribution have to be broken down by type of activity and by participant. There are no pre-defined cost categories. In establishing their budget participants should follow their own accounting rules.

Maximum contributions by activity type 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 AC model)
RTD activities (see note 35	50%	100%
Innovation-related activities (see note 36)	50%	100%
Training activities (see note 37)	100%	100%
Consortium management activities (see note 38)	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 are:

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

- **FCF**: a simplified variant of the full-cost model, in which all actual eligible direct costs may be charged to the contract, together with a flat rate for indirect costs. This flat rate is equal to 20% of all direct eligible costs minus the costs of subcontracts;
- **AC**: an additional-cost model, covering all eligible 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 for indirect costs. This flat rate is equal to 20% of all eligible direct additional costs minus the costs of subcontracts.

Which cost model to use

Which cost model to use depends on the type of legal entity concerned and the accounting system:

Cost model	Who can use it ?
FC	- All legal entities, except physical persons participating as individuals in the project
FCF	- Non-commercial or non-profit organisations - International organisations (like CERN, ESA, EMBL) - Small or Medium-Sized Enterprises (SMEs), including physical persons engaged in commercial activities, with an accounting system and capable of identifying their direct and/or indirect costs.
AC	- Physical persons participating as individuals in the project - Only non-commercial or non-profit organisations or international organisations not having an accounting system allowing them to distinguish the share of their direct and indirect costs

Each contractor shall apply the same cost reporting model in all contracts established under the Sixth Framework Programme. As a derogation to this principle:

- any legal entity which is eligible to opt for the AC model in a first contract can change to the FCF or the FC model in a later contract (except physical persons). If it does so, it must then use the new cost reporting model in subsequent contracts;
- any legal entity which is eligible to opt for the FCF model in a first contract can change to the FC model in a later contract. If it does so, it must then use the new cost reporting model in subsequent contracts.

Eligible costs

Eligible costs for FP6 contracts must be:

- actual, economic and necessary for the implementation of the project;
- determined in accordance with the usual accounting principles of the contractor;
- incurred during the duration of the project ;
- recorded in the accounts of the contractors (or third parties where third party resources have been agreed).

They exclude indirect taxes, interest, provisions for future losses or charges, exchange losses, costs related to other Community projects, return on capital, debt and debt service charges, excessive and reckless expenses and any cost which does not meet the criteria in the first four bullets.

Reallocation of the grant to the budget (EC contribution) among the partners

Please note that the A3 form serves only for the calculation of the total EC contribution. It is up to the consortium to decide how the total of the EC contribution will be reallocated to the partners. The reallocation of the EC contribution will be dealt with in the Consortium Agreement.

The reallocation of the EC contribution must respect the special condition concerning the costs of the RTD performers set out in the Work Program:

'The RTD performers must account for at least 40% of the total eligible costs for the research and innovation-related activities of the project. Furthermore, they should receive 100% of their total eligible cost for the research and innovation-related activities incurred during the project within a ceiling to be agreed by the consortium.' (see *9.3.2.5 Conditions applicable to the costs of the RTD performers* in the Work Program)

35. RTD activities

RTD activities are all activities directly aimed at creating new knowledge. They form the core of the Collective Research Projects.

36. 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.

37. Training activities

Training activities are aimed at technical and managerial staff from SMEs and Industrial Associations/Groupings. Training should focus on results/technologies generated by the project.
For clarity, dissemination activities will not be considered as training activity.

38. Consortium management activities

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.

Consortium management activities include:

- coordination of the technical activities of the project;
- the overall legal, contractual, ethical, financial and administrative management;
- coordination of knowledge management;
- 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;
- maintenance of any consortium agreement;
- obtaining any financial security such as bank guarantees when requested by the Commission.

39. (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: outline, headings, instructions

Instructions for preparing proposal Part B for <u>Collective Research Projects</u> in the "Horizontal Research Activities involving SMEs"

APPLICATION FORMS PART B - STAGE 1

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[4]. The forms for Part A are provided elsewhere in this Guide. Incomplete proposals are not eligible and will not be evaluated

Collective research projects are described in the Horizontal Research Activities Involving SMEs Workprogramme, and complete details of their characteristics and their application within FP6 are at: http://www.cordis.lu/fp6/instruments.htm

Proposers should note that only research & innovation-related, training and project management activities are funded in Collective Research.

Please be advised that the stage 1 proposal is composed of two parts:
Evaluation criteria (maximum 6 pages + flow chart): the structure of this part follows the evaluation criteria set out in the Work Program (relevance, scientific excellence and potential impact)
Additional information (maximum 2 pages + Consortium overview table): additional information on the consortium, the management and the resources of the project

<u>Front page</u>
Proposal full title
Proposal acronym
Date of preparation
Type of instrument: Collective Research Project
List of participants
    with coordinator first
Coordinator name
Coordinator organisation name
Coordinator email
Coordinator fax

<u>Contents page</u>
    show contents list

<u>Proposal summary page (max. ½ page)</u>
Proposal full title
Proposal acronym
Strategic objectives addressed (If more than one objective, indicate their order of importance to the project)
Proposal abstract, copied from Part A (if not in English, include an English translation)

<u>Evaluation criteria (maximum 6 pages + flow chart)</u>

B1 Relevance to the objectives of Collective Research (max. 2 pages)
Describe that the proposed project addresses a specific scientific and/or technological problem or need of large communities of SMEs.

[4] In the event of inconsistency between information given in Part A and that given in Part B, the Part A version will prevail

Specify clearly the need and issues, and their particular relevance to the SMEs member of the Industrial Associations/Groupings (IAGs), their sector and, if relevant, other sectors.

B2 Scientific and Technological excellence (max. 2 pages + flow chart)

Specify **clearly defined and well focused S&T objectives** of the project.

Describe briefly the **state-of-the-art** and explain how the project intends to advance beyond.

Describe the outline of the proposed S&T approach in term of its structure, methodology, multidisciplinarity and give a critical appraisal of the level of technical risk. Provide a flow chart as an additional page to show the structure of the possible workpackages.

B3 Potential impact (max. 2 pages)

Show the project's impact on the competitiveness and the knowledge base of large communities of European SMEs (SMEs represented in the proposed project, its wider economic and strategic impact, its potential to improve competitiveness in the relevant sectors or regions and the development of application markets for SMEs and other users of the RTD results).

Indicate briefly the contribution of the Collective Research Project in addressing **Community societal objectives** (quality of life, health, safety, working conditions, employment, environment, training and education, etc.)

Demonstrate shortly that the proposal has a clear **added value** in carrying out the work at European level and take account of research activities at national level and under European initiative (e.g. Eureka).

Present the outlined dissemination and training plans and, where relevant, exploitation plan. Demonstrate that they are sufficiently ambitious to ensure **optimal use of the project results.**

Additional information (maximum 2 pages + Consortium overview table)

In addition to the description of the 3 evaluation criteria (B1-B3) please include the following information in the proposal in maximum 2 pages (plus the Consortium Overview form):

PLEASE NOTE that this information is necessary to the completeness and understanding of the outline proposal but will not be scored and thereby calculated in the final mark of the proposal.

B4 Quality of the consortium

Describe in brief the role of the different partners (Industrial Associations/Groupings, the SMEs in the 'core group' and RTD Performers). Give a short description of the profiles of the partners. Include the Consortium Overview form, as shown below.

Please note that the consortium of partners already identified has to respect the minimum criteria described in the Work Program.[5]

[5] At least 1 participant must be a European Industrial Association/Grouping established in a MS or an AS. This Association/Grouping must be made up of a minimum of 2 independent legal entities established in 2 MS or AS, with at least 1 MS or ACC.

Instead of this European Industrial Association/Grouping, there may be at least 2 independent Industrial Association/Groupings established in 2 MS or AS, with at least 1 MS or ACC.

At least 2 participants, must be RTD performers (having the capacity to carry out research at the request of the Association(s)/Grouping(s)), independent from any other participant and must be established in 2 MS or AS with at least 1 MS or ACC.

At least 2 participants must be SMEs established in 2 MS or AS, with at least 1 MS or ACC. Research centres, research institutes, contract research organisations and consultancy firms are excluded.

B5 Quality of the management

Describe briefly the plan for the project management and for the management of knowledge.

B6 Mobilisation of resources

In relation to the budget presented in the A3 table describe shortly how the project foresees the **resources** (personnel, equipment, financial…) necessary for the different activities (RTD ad innovation related activities, training activities and consortium management).

B7 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 which the project involves).

Consortium Overview – Annex 1

	Partner Nr	Organisation Name	Country	Role in the Project
IAGs				
	Not yet identified*			
SME CORE GROUP	Partner Nr	Organisation Name	Country	Role in the Project
	Not yet identified*			
RTD Performers	Partner Nr	Organisation Name	Country	Role in the Project
	Not yet identified*			

*Indicate what kind of the organisations the project intends to include for the stage2 proposal, and which role they will have in the project.

Instructions for preparing proposal Part B for <u>Collective Research Projects</u> in the "Horizontal Research Activities involving SMEs"

APPLICATION FORMS PART B - STAGE 2

ONLY RETAINED STAGE 1 PROPOSALS ARE INVITED TO SUBMIT A COMPLETE STAGE 2 PROPOSAL.

Please note that your Stage 2 proposal has to be prepared on the basis of the information provided in your retained Stage 1 proposal. The outline and the full proposal have to have the following in common:

1. ***title and acronym***
2. ***content in terms of scope of the research, approach, target audience***
3. ***basic consortium (the consortium at both stages has to conform to the eligibility criteria)***

The full proposal must clearly not be for a different project and should therefore be similar to the outline proposal. Although proposers will no doubt take into account the evaluators' comments from the first stage, there should be no significant changes to the basic ideas and content.
Please also note that the information provided in your STAGE 2 proposal will represent the basis for a possible negotiation.
Be aware that under FP6 the Consortium Agreement has become mandatory, hence the information you provide in your Stage 2 proposal should also represent a basis for your Consortium Agreement.

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[6]. The forms for Part A are provided elsewhere in this Guide. Incomplete proposals are not eligible and will not be evaluated

Collective research projects are described in the Horizontal Research Activities Involving SMEs Workprogramme, and complete details of their characteristics and their application within FP6 are at: http://www.cordis.lu/fp6/instruments.htm

Proposers should note that only research & innovation-related, training and project management activities are funded in Collective Research.

IT IS STRONGLY ADVISED TO HAVE A CLEAR AND CONCISE TEXT FOR THE PROPOSAL. UNNECESSARY DETAILS SHOULD BE AVOIDED.

<u>Front page</u>
Proposal full title
Proposal acronym
Date of preparation
Type of instrument: Collective Research Project
List of participants
    with coordinator first
Coordinator name
Coordinator organisation name
Coordinator email
Coordinator fax

[6] In the event of inconsistency between information given in Part A and that given in Part B, the Part A version will prevail

Contents page

show contents list

Proposal summary page

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

B1 Relevance to the objectives of Collective Research

Describe that the proposed project addresses a specific scientific and/or technological problem or need of large communities of SMES.
Specify clearly the need and issues, and their particular relevance to the SMEs member of the Industrial Associations/Groupings (IAGs), their sector and, if relevant, other sectors.

B2 Scientific and Technological excellence

Describe **clearly defined and well focused S&T objectives** of the project. The objectives should be stated in a quantified and measurable form. The progress of the project work will be measured against these goals in later reviews and assessments. Describe the **state-of-the-art** and explain how the project intends to advance beyond.

Workplan: Describe the **proposed S&T approach** in term of its structure, methodology, multidisciplinarity and give a critical appraisal of the level of technical risk.
This section describes in sufficient detail the work planned to achieve the objectives for the full duration of the of the proposed project. An introduction should explain the structure of this workplan plan and how the plan will lead the participants to achieve the objectives. The workplan should be broken down according to types of activities: (1) Research, technological development and innovation related activities, (2) training activities and (3) project management activities. It should identify significant risks, and contingency plans for these. The plan must for each type of activity be broken down into workpackages (WPs) which should follow the logical phases of the project, and include 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.

B3 Potential impact

Identify the project's impact **on the competitiveness and the knowledge base of large communities** of European SMEs (SMEs represented in the proposed project, its wider economic and strategic impact, its potential to improve competitiveness in the relevant sectors or regions and the development of application markets for SMEs and other users of the RTD results). Indicate the contribution of the Collective Research Project to addressing **Community societal objectives** (quality of life, health, safety, working conditions, employment, environment, training and education, etc.) and where relevant, in supporting EU policies in the field concerned. Please also refer to the 'gender dimension' of the activities. Demonstrate that the proposal has a clear **added value** in carrying out the work at European level and take account of research activities at national level and under European initiative (e.g. Eureka). Demonstrate that the dissemination and training plans and, where relevant, exploitation plan are sufficiently ambitious to ensure **optimal use of the project results.**

B.3.1 Contributions to standards: Describe contributions to European, national or international standards which may be made by the project, if any.

B4 Quality of the consortium

Present a profile of each participant: organisation name, type, size, full range of business activities, role in the project, degree of involvement and qualifications for these roles.
Describe the role and specific skills of the **Industrial Associations/Groupings**. Show how they are **well-suited and committed to tasks assigned to them** (e.g. to disseminating the project results, to the training of managers of SMEs and SMEs Associations/Groupings and, when appropriate, to exploiting the project results or to having them exploited). Describe the role and specific skills of **the SMEs** 'SME core group'**.** Show how they are **committed to tasks assigned to them** (e.g. to exploiting the project results). Demonstrate that the **RTD performers are of high quality** and there is good complementarity between them. Show the complementartity between the participants.

If any 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.

If one or more of the participants is based outside of the EU and Associated states, 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.

B5 Quality of the management

Demonstrate that the **project management** is well-structured. Describe the organisation, management and decision making structures of the project. Show that there is a satisfactory plan for the **management of knowledge**, of intellectual property and of other innovation-related activities. Describe how the **'core group' of SMEs** associated to the project will **contribute** from the definition phase of the project to the dissemination of the results obtained.

B6 Mobilisation of resources

Justify that the project foresees the **resources** (personnel, equipment, financial…) necessary for success. Describe the resources, human and material, that will be deployed for the implementation of the project. Include a "Collective Research 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. Describe here the resources needed to carry out the project (personnel, equipment, finance…) *for each of the contractors.*

Contractors using the additional cost reporting model must indicate clearly the other own resources that they intend to contribute to the project (not the additional eligible costs that will be covered by the Community contribution) and give an approximation of the value of those resources.

Demonstrate the **resources** are **convincingly integrated** to form a coherent project;
Show that the **financial plan for the project is adequate**.

B7 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 which the project involves).

Collective Research Project Effort Form
Full duration of project
(insert person-months for activities in which partners are 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 PARTNERS

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

Training activities							
WP name							
WP name							
WP name							
etc							
Total training							

Management activities							
WP name							
WP name							
WP name							
etc							
Total management							

TOTAL ACTIVITIES							

Workpackage list (full duration of project)

Work-package No[7]	Workpackage title	Lead contractor No[8]	Person-months[9]	Start month[10]	End month[11]	Deliv-erable No[12]
	TOTAL					

[7] Workpackage number: WP 1 – WP n.
[8] Number of the contractor leading the work in this workpackage.
[9] The total number of person-months allocated to each workpackage.
[10] 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.
[11] Relative end date, month 0 marking the start of the project, and all ends dates being relative to this start date.
[12] Deliverable number: Number for the deliverable(s)/result(s) mentioned in the workpackage: D1 - Dn.

Deliverables list (full duration of project)

Deliverable No[13]	Deliverable title	Delivery date [14]	Nature [15]	Dissemination level [16]

[13] Deliverable numbers in order of delivery dates: D1 – Dn

[14] Month in which the deliverables will be available. Month 0 marking the start of the project, and all delivery dates being relative to this start date.

[15] Please indicate the nature of the deliverable using one of the following codes:
- **R** = Report
- **P** = Prototype
- **D** = Demonstrator
- **O** = Other

[16] Please indicate the dissemination level using one of the following codes:
- **PU** = Public
- **PP** = Restricted to other programme participants (including the Commission Services).
- **RE** = Restricted to a group specified by the consortium (including the Commission Services).
- **CO** = Confidential, only for members of the consortium (including the Commission Services).

Workpackage description (full duration of project)

Workpackage number		**Start date or starting event:**					
Participant id							
Person-months per participant:							

Objectives

Description of work

Deliverables

Milestones[17] and expected result

[17] 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.

EU 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

Opinions of the European Group on Ethics

Participants should take into account to 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[18];
- 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.

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.

[18] Research relating to cancer treatment of the gonads can be financed.

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.