



# THE FIFTH FRAMEWORK PROGRAMME 1998-2002



## QUALITY OF LIFE AND MANAGEMENT OF LIVING RESOURCES

### GUIDE FOR PROPOSERS

#### PART 1

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*Provisional version pending further possible minor revisions,  
notably regarding a limited update of the evaluation rules*

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## Foreword

The Guide for Proposers is part of the information necessary to make a proposal for a Programme under the Fifth Framework Programme. It will help you to locate the Programme which is of interest to you and will provide the necessary guidance on how to submit a proposal and the forms for proposal submission. It is divided into two main parts and four sections.

### **PART 1**

- **Section I** describes the overall priorities, goals and structures of the Fifth Framework Programme.
- **Section II** describes the priorities and objectives of the Specific Programme on Quality of Life and Management of Living Resources.
- **Section III** outlines the main rules which define who may participate in the Fifth Framework Programme, and the general conditions for this participation.

### **PART 2**

- **Section IV** provides detailed information for each **CALL FOR PROPOSALS** for the programme Quality of Life and Management of Living Resources, as well as proposal submission forms.

The additional documents you will need to prepare a proposal are:

**The Work Programme 2001** for the Quality of Life and Management of Living Resources Programme ([http://www.cordis.lu/life/src/part\\_docs.htm](http://www.cordis.lu/life/src/part_docs.htm)). The Work Programme provides the description of the content of the ‘action lines’ or ‘research objectives’, which are open for proposals, and an indicative timetable for programme implementation (“roadmap”).

**The Call for Proposals** as published in the Official Journal of the European Communities (<http://www.cordis.lu/life/calls/calls.htm>). This will tell you which action lines are open for proposals and what the deadline for the proposal submission is.

**The Evaluation Manual** (<http://www.cordis.lu/fp5/src/evalman.htm>) (as well as programme specific guidelines that may be included in Part 2 of this Guide). A Vade Mecum for Experts taking part in proposal evaluation in the Quality of Life programme (4<sup>th</sup> Edition 2000) is also available on CORDIS ([http://www.cordis.lu/life/src/part\\_docs.htm#vm](http://www.cordis.lu/life/src/part_docs.htm#vm)). These documents will provide details of which criteria will be used in the evaluation of proposals, which weight is attributed to each of the criteria and, where appropriate, the threshold to be attained in order to be retained. You can use the evaluation manual and the guidelines as a checklist for the completeness of your proposal.

The Guide for Proposers, including the proposal submissions forms, is together with the Work Programme, the Call for Proposals and the Evaluation Manual the **Information Package** for a Call. This Guide also contains references to other documents, reports, forms and software tools which are of assistance in the preparation of proposals. They are available on CORDIS: [www.cordis.lu](http://www.cordis.lu) and [www.cordis.lu/life](http://www.cordis.lu/life).

**This Guide for Proposers does not supersede the rules and conditions laid out, in particular, in Council and Parliament Decisions relevant to the Fifth Framework Programme, the various Specific Programmes nor the Calls for Proposals in these Programmes.**

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## PART 1

### I. The Fifth Framework Programme<sup>1</sup>

#### *I.1. Objectives*

The Fifth Framework Programme, adopted on 22nd December 1998, defines the Community activities in the field of research, technological development and demonstration (hereafter referred to as “RTD”) for the period 1998-2002.

The Fifth Framework Programme differs from its predecessors. It has been conceived to help **solve problems** and to respond to major **socio-economic challenges** facing the European Union. It focuses on a limited number of objectives and areas combining technological, industrial, economic, social and cultural aspects.

Priorities have been chosen according to three basic principles which will apply for all levels: the Framework Programme as a whole, the Specific Programmes implementing it and the RTD activities covered by those programmes.

- *European “value added” and the subsidiarity principle, for example, to reach a critical mass or contribute to solving problems of a European dimension,*
- *Social objectives, such as quality of life, employment or protection of the environment in order to meet the expectations and concerns of the Union’s citizens,*
- *Economic development and scientific and technological prospects in order to contribute to the harmonious and sustainable development of the European Union as a whole.*

#### *I.2. Structure and contents*

The Fifth Framework Programme consists of seven Specific Programmes, of which four are Thematic Programmes and three are Horizontal Programmes.

The Thematic Programmes are:

- **Quality of life and management of living resources**
- **User-friendly information society**
- **Competitive and sustainable growth**
- **Energy, environment and sustainable development.**

In line with the provisions set out in the EC Treaty, the widely ranging Horizontal Programmes underpin and complement these Thematic Programmes.

The Horizontal Programmes are:

- **Confirming the international role of Community research**
- **Promotion of innovation and encouragement of participation of small and medium-sized enterprises (SMEs)**
- **Improving human research potential and the socio-economic knowledge base.**

One essential new characteristic of the Fifth Framework Programme is the **integrated, problem-solving approach**. Integration is strengthened at three levels:

- By the **key action concept** in the Thematic Programmes. Key actions are major innovations of the Fifth Framework Programme. They will enable the many and varied aspects of the economic and social issues to be targeted, by integrating the entire spectrum of activities and disciplines needed to achieve the objectives.
- By **integration between Horizontal and Thematic Programmes objectives.**

*International co-operation*

Participation by entities of third countries and international organisations will be possible in all Programmes in addition to opportunities for participating in the Horizontal Programme “Confirming the international role of Community research”. Conditions for participation, including possible financial

arrangements, are specified in section III of this document. Box 1 describes the opportunities for bursaries for young researchers from developing countries.

#### *Innovation and participation of SMEs*

Measures encouraging SME participation in RTD activities will be carried out in all Thematic Programmes and the Innovation and SME programme. Details on SME stimulation measures will be found in a special information brochure devoted to them. In addition, each Thematic Programme will interface with the Horizontal Programme “Promotion of innovation and encouragement of SME participation” in order to develop awareness and help technology transfer and use of the results of the Thematic Programme. Box 2 describes the SME’s specific measures.

#### *Socio-economic and training aspects*

Socio-economic research can be funded by both the Thematic Programmes and by the key action on “Improving the socio-economic knowledge base” of the Horizontal Programme “Improving the human research potential and the socio-economic knowledge base”. Socio-economic research is present in the Thematic Programmes as an integral part of the technological research activities. Training opportunities for researchers are assured through the Marie Curie system of fellowships that can be implemented by Thematic Programmes as well as by other specific training activities in the Human Potential Programme. The fellowships system is described schematically in box 3.

- By **integration between Thematic Programmes**. Complementary and synergistic interactions will be ensured in implementing the Programmes.

## ***1.3. Implementation***

### *1.3.1. WORK PROGRAMME*

A Work Programme has been drawn up for each Specific Programme, describing the specific activities and the various research areas. The Work Programme will be revised regularly with the assistance of Advisory Groups of independent experts to ensure its continued relevance in the light of evolving needs and developments. Potential proposers should therefore ensure they are consulting the **current** version of the work programme when planning a proposal. The Work Programme appearing at the Specific Programme Web site is always the current version.

The Work Programme includes an indicative timetable or “*roadmap*”, which indicates which parts of the Work Programme will be opened, by calls for proposals, and deadline(s) involved. This provides a means of focusing attention on areas or sub-areas, thereby optimising opportunities for launching collaborative projects and establishing thematic networks.

The Commission will manage the Specific Programmes to ensure that links in thematic content between the programmes are exploited in a synergistic way. This may occasionally require joint or synchronised calls for proposals. Where necessary, co-ordination measures such as these will be indicated in the announcement of the calls for proposals, and in the Work Programme.

### *1.3.2. TYPES OF ACTIONS SUPPORTED*

The Community will contribute financially to the RTD<sup>2</sup> activities, carried out under the Specific Programmes implemented within the Fifth Framework Programme. The general rules<sup>3</sup> are as follows:

#### (a) Shared-cost actions

- **Research and technological development (R&D) projects**– projects obtaining new knowledge intended to develop or improve products, processes or services and/or to meet the needs of Community policies (financial participation: 50 % of total eligible costs<sup>4,5</sup>).
- **Demonstration projects** – projects designed to prove the viability of new technologies offering potential economic advantage but which cannot be commercialised directly (financial participation: 35 % of total eligible costs<sup>4,5</sup>).
- **Combined R&D and demonstration projects**– projects combining the above elements (financial participation: 35 to 50 % of total eligible costs<sup>4,5</sup>).
- **Support for access to research infrastructures** – (only implemented under “Improving the human research potential and the socio-economic knowledge base” – IHP Programme) actions enhancing access to research infrastructures for Community researchers. Support will cover maximum of 100 % of the eligible costs necessary for the action.

- **“SME Co-operative” research projects** – projects enabling at least three mutually independent SMEs from at least two Member States or one Member State and an Associated State to jointly commission research carried out by a third party (financial participation: 50 % of total eligible project costs<sup>4</sup>). See box 2.
- **“SME Exploratory” awards** – support of 75 % of total eligible costs<sup>6</sup> for an exploratory phase of a project of up to 12 months (e.g. feasibility studies, validation, partner search). See box 2

(b) Training fellowships

Marie Curie fellowships are either fellowships, where individual researchers apply directly to the Commission, or host fellowships, where institutions apply to host a number of researchers (financial participation: maximum of 100 % of the additional eligible costs necessary for the action<sup>7</sup>). See box 3.

The decisions on the specific programmes may define specific sub types of actions for example: the programme “Confirming the international role of Community research” – INCO 2 - defines bursaries for young researchers from developing countries and other bursaries for researchers from the EU Member States or Associated States as specific training fellowships. See box 1.

(c) Research training networks and thematic networks

- *Training networks* for promoting training-through-research especially of researchers at pre-doctoral and at post-doctoral level (these are only implemented under the IHP Programme) - *and thematic networks* for bringing together e.g. manufacturers, users, universities, research centres around a given S&T objective. These include co-ordination networks between Community funded projects. Support will cover maximum 100% of eligible costs necessary for setting up and maintaining such networks.

(d) Concerted actions

Actions co-ordinating RTD projects already in receipt of national funding, for example to exchange experiences, to reach a critical mass, to disseminate results etc. (financial participation: maximum of 100 % of the eligible costs necessary for the action).

(e) Accompanying measures

Actions contributing to the implementation of a Specific Programme or the preparation of future activities of the programme. They will also seek to prepare for or to support other indirect RTD actions (financial participation: maximum of 100 % of total eligible costs).

**Each Specific Programme will not necessarily open all the above mentioned types of actions in all calls. Please refer to sections II and Part 2 of this Guide to see which actions are called for in the different programmes and calls.**

### 1.3.3 CLUSTERS

The cluster is a defined group of RTD projects. Its aim is to guarantee complementarity among projects, to maximise European added value within a given field and to establish a critical mass of resources at the European level.

An integrated approach towards research fields and projects financed is needed to solve complex multidisciplinary problems effectively. The clusters reflect this **problem-solving approach**. Indeed, in a cluster projects are joined together because they complement each other in addressing major objectives in the context of a key action or a generic activity (sometimes even across different key actions or specific programmes). Clusters are expected to optimise scientific networking, management, co-ordination, monitoring, the exchange of information and, on voluntary basis, the exploitation and dissemination activities. The cluster may thus become a natural process to generate European added value, wherever it makes sense, beyond the limited resources of an isolated project.

All types of projects can be assembled and integrated within a cluster, including those funded by different EU RTD activities (key action, generic activity, infrastructure). By the same token, and as part of an overall European approach, relevant activities under other research frameworks (notably EUREKA, COST) could also be taken into account whenever this can reinforce synergy. Clusters will be set up through thematic networks or complementary clauses.

*I.3.4. GENDER EQUAL OPPORTUNITIES*

In line with the Commission's strategic approach of mainstreaming equal opportunities in all Union policies, particular account is taken in the Fifth Framework Programme of the need to promote the participation of women in the fields of research and technological development. Therefore women are encouraged to participate in proposals for the above mentioned RTD activities.

## Box 1 – Bursaries for young researchers from Developing Countries

When preparing a joint research proposal<sup>1</sup> or concerted action proposal for submission to any of the programmes, a consortium may, if it wishes, include an application for an international co-operation training bursary<sup>2</sup>. These bursaries will be funded from the budget of the Specific Programme 'Confirming the International Role of Community Research' and are intended to allow young researchers from Developing Countries, including Emerging Economies and Mediterranean Partner Countries<sup>3</sup> to work for up to 6 months in a European research institute participating in a FP-5 project. The bursaries will be granted for training activities only (e.g. to allow the applicant to learn a new scientific technique or for work on a particular experiment or set of experiments where the host institution has particular expertise and which cannot be performed in the home institution of the candidate).

**The bursary application must be submitted together with the proposal application** and will be evaluated together with it. Spontaneous, individual bursary applications will not be accepted. Inclusion of a bursary application will neither enhance nor detract from the chances of success of the proposal. Only if the whole proposal is selected for funding and the bursary application is highly rated, will the bursary be granted. A poor bursary application can be rejected without harming the chances of success of the proposal.

In order to be eligible, the **bursary applicant** must not be more than 40 years of age at the time of application, must be a national of one of the eligible countries<sup>3</sup> and be established and working in that country and intending to return there at the end of the training period. She/he must also have a good knowledge of a working language of the host institute. Applications from female researchers are encouraged.

The **host institute** must be established in an EU Member State or in a State Associated to FP-5<sup>4</sup> and must be a member of the consortium proposing the research project or concerted action.

Eligible bursary applications will be evaluated according to the excellence of the scientific and/or training objectives of the application, its potential value to the applicant and his/her institute and to the project as a whole, as well as the experience and professional training of the candidate.

The 6 month training period may start at any time up to 12 months from the Commission signature of the main project contract. A fixed sum will be granted to cover the cost of one (apex) return fare from the place of origin of the candidate to the host institute, and a daily allowance for the duration of the training period (based on the rates for Marie Curie Fellowships, see the corresponding brochure for applicants).

1 Research and Technological Development projects, Demonstration projects and Combined projects (see point I.3.2.a)

2 Application forms can be downloaded from the CORDIS web site page (<http://www.cordis.lu/fp5>) for the Calls to which you reply, or ordered from the Programmes' information desk.

3 Developing countries are: African, Caribbean, Pacific (ACP) countries, Asian and Latin American (ALA) countries, Mediterranean countries (MC).

4 For the list of Associated States, see box 5.

## Box 2 – SME Specific Measures

SME specific Measures are designed especially to encourage and facilitate the participation of SMEs in RTD, demonstration and combined projects and support activities having a great potential for innovation in SMEs. The implementation of these measures follows the common rules established in the horizontal programme "Innovation and the participation of SMEs". Details on the SMEs Measures are provided in the specific SME Information Brochure or the web site: <http://www.cordis.lu/sme>.

These measures consist of:

- **"Co-operative Research" proposals (CRAFT)** enable at least three mutually independent SMEs from at least two different Member States, or one Member State and an Associated State, to jointly seek the resolution of their common technological problems by entrusting it to third legal entities (the "RTD performers"), including industrial entities, with appropriate research or technological validation capacities. In the context of Co-operative Research projects, those SME contractors which are able to carry out part of the research work themselves may do so up to 60% of total project costs, leaving the remainder (40% or more) to be executed by the RTD performer. The total cost of Co-operative Research projects may not exceed 2 Meuro, of which the Commission may fund up to 50%. Their maximum duration is 24 months. Co-operative Research projects may include a validation phase.
- **"Exploratory Awards"** allow at least 2 SMEs from 2 different Member States, or one Member State and an Associated State, to obtain financial support from the Commission to prepare a complete project proposal. The total cost of an Exploratory Award may not exceed 30.000 Euro, of which the Commission may finance up to 75% (or 22.500 Euro). The maximum duration of an Exploratory Award is 12 months.

An Exploratory Award is intended to prepare a complete project proposals: either a CRAFT project proposal that is submitted in response to the open call, or an RTD, demonstration or combined project submitted in response to a periodic call.

Co-operative Research proposals and Exploratory Awards proposals aimed at Co-operative Research (CRAFT) may fall within the overall objectives of the thematic programme. In other words, they do not have to relate to the specific objectives and priorities of the key actions and generic technologies. As such, these measures allow for a 'bottom up' character since proposals may be submitted for the objectives and priorities of the thematic programme in its entirety.

Exploratory Awards intended to prepare non-CRAFT projects must address priorities identified in the Work Programme regarding the periodic call envisaged for the submission of the resulting project proposals. In addition, they must be submitted sufficiently in advanced of the closing date of the envisaged periodic call (i.e. at least 9 months between the chosen cut-off date for the submission of the Exploratory Award proposal and the closing date of the periodic call). Non-CRAFT project proposals prepared through Exploratory Awards must conform to the priorities of the periodic call in response to which they are submitted (even if these priorities have changed compared to those on the base of which the Exploratory Award proposals were selected).

*A separate information brochure is available via the "SME" Infodesk: Tel: + 32-2-295 71 75; Fax: + 32-2-295 71 10; E-mail: [research-sme@cec.eu.int](mailto:research-sme@cec.eu.int); web-site: <http://www.cordis.lu/sme>*

### Box 3 – The System of Marie Curie Fellowships

As described below, there are two types of application for a Marie Curie Fellowship: **individual fellowships**, where individual researchers apply to the Commission for a fellowship; and **host fellowships**, where institutions apply to the Commission to host a number of researchers.

#### **Individual Fellowships:**

##### **Marie Curie Individual Fellowships**

Fellowships for young researchers at post-doctoral level or equivalent

##### **Marie Curie Return Fellowships**

Fellowships for Marie Curie Fellows, originating from a less-favoured region, to return to a less favoured region of their home country after their initial two year post-doctoral fellowship

##### **Marie Curie Experienced Researchers Fellowships**

Fellowships for experienced researchers: for the transfer of expertise and technology between (i) industry and academia and (ii) towards less-favoured regions of the European Community.

#### **Host Fellowships:**

##### **Stays at Marie Curie Training Sites**

Giving young researchers pursuing doctoral studies the opportunity to spend part of their studies within an internationally recognised group, in their specialised area of research.

##### **Marie Curie Development Host Fellowships**

Fellowships for institutions located in less-favoured regions, which are active in research and have a need to develop new areas of research competence, to host post-doctoral level researchers in the area of competence required.

##### **Marie Curie Industry Host Fellowships**

Awarded to enterprises, including SMEs, for the training of young researchers, at postgraduate and post-doctoral level, in an industrial or commercial environment. These fellowships particularly aim at providing research training opportunities for young researchers without any previous industrial experience.

*Further information on the system of Marie Curie Fellowships and application forms may be obtained from its web site (<http://www.cordis.lu/improving/home.html>) or from the IHP Programme's information desk.*

## II. The Specific Programme: Quality of Life and Management of Living Resources

### II.1. Programme objectives

Economic and political developments in Europe have resulted in greater prosperity, increased life expectancy and better working conditions. These improvements have, however, been accompanied by challenges, such as higher health-care costs, an ageing population, environmental degradation and heightened ethical concerns. A gap has become increasingly evident between the availability of natural resources and human activities. Paradoxically, this has occurred just as there is an "explosion" in the knowledge base concerning the structure and function of all living things, pointing towards new developments in, for example, health-care, pharmaceuticals, agriculture and food.

This programme aims to unlock the resources of the living world and improve the quality of life. To achieve this, the links between discovery, production and end-use must be consolidated. The needs of society and the requirements of the consumer are paramount and research must lead to quantifiable future wealth and job creation, while respecting the principles of sustainable development.

### II.2. Programme strategy

The strategy of this programme is to focus on specific areas where the growing knowledge base should provide solutions to some of the pressing needs of society that need to be tackled on a European scale. Fundamental ethical values must be respected.

Based on the criteria laid down for selecting the major research themes for the Fifth Framework Programme, emphasis in this programme will be placed on the following:

European added value. This will be achieved by addressing specific cross-border challenges, such as improving health and managing and exploiting renewable natural resources. Themes such as drug abuse, biosafety, bioethics and issues related to agriculture, forestry and fisheries should reinforce the scientific base in support of Community policies. Indeed many of the activities addressed in the programme, such as genomic research, neurosciences, infectious diseases, ageing and disabilities sustainable management and utilisation of forestry resources, fish management and human, animal and plant diseases, due to their size and complexity, are more meaningful if they are addressed at the European level.

Social objectives. Research must be developed which promotes health and quality of life, secures safe and wholesome food, preserves and restores a healthy environment, stimulates rural and coastal communities, improves response to consumer needs and facilitates information flow to the consumer.

Economic development. The huge potential for economic growth and job creation must be realised, both in the traditional industries, including primary production and in the rapidly growing high technology industries dominated by small and medium-size enterprises (SMEs). To contribute effectively to European competitiveness and employment, results must be transferred from research into commercially successful products and processes. Intrinsic to this approach is the effective use of demonstration, training, dissemination and exploitation of research results, along with stimulation of innovation and entrepreneurship.

### II.3. Programme structure and contents

The programme is primarily built around **six specific key actions** that are goal-oriented and problem solving. The key actions are targeted at identifiable socio-economic and market needs, such as improving quality and safety of food; controlling infectious diseases; harnessing the power of the cell; health and environment; sustainable agriculture, forestry and fisheries, integrated rural development, sustainable development; and promoting healthy ageing. A unique feature of key actions is their response to Community policy objectives, in areas like agriculture and fisheries, industry, consumer protection, environment and health.

In addition, the **generic activities** of the programme aim to build up through RTD the knowledge base in identified areas of strategic importance for the future, in relation to chronic and degenerative diseases, genomes, neurosciences, public health, persons with disabilities and ethical and socio-economic issues surrounding the life sciences. **Support for research infrastructures**, dissemination

and exploitation of results, training and an increased role for SMEs, and entrepreneurship are also an integral part of the programme.

**The following section represents a short overview of the programme structure and contents. Detailed objectives and RTD priorities are specified in the Work Programme. Be sure to consult the current version, since the Work Programme is revised periodically.**

### *II.3.1. SIX KEY ACTIONS*

#### **1. Food, Nutrition and Health**

To improve the health of European citizens by providing safe, healthy and varied food products. RTD priorities include the development of safe and flexible manufacturing processes and technologies, the detection and elimination of infectious and toxic agents throughout the food chain, and gaining a more profound understanding of the role of food in promoting and sustaining health.

#### **2. Control of Infectious Diseases**

To combat established, emerging or re-emerging infectious diseases, linked to old, new or mutated infectious agents in humans or animals. RTD priorities include vaccine development; strategies to identify and control infectious diseases; and aspects of public health and care delivery systems.

#### **3. The "Cell Factory"**

To help the Community's enterprises exploit the advances made in life sciences and technology, particularly in the fields of health, environment, agriculture, agro-industries and high value-added products. RTD priorities include developing innovative health-related processes and products; energy-efficient bioremediation and waste biotreatment processes; and new biological processes from cell factories.

#### **4. Environment and Health**

To tackle environmentally related health issues. RTD priorities include diseases and allergies related to or influenced by the environment; risk assessment and risk management processes to reduce causes and harmful environmental health effects.

#### **5. Sustainable Agriculture, Fisheries and Forestry, and Integrated Development of Rural Areas including Mountain Areas**

To implement innovative approaches to production and exploitation and to improve the quality of life, RTD should concentrate on: *Competitiveness and its direct implications for employment in rural and coastal areas*, especially in light of the need to adapt to the evolution of the Common Agricultural and Fisheries Policies, to the evolving world trade situation and globalisation of the markets, to E.U. enlargement and to the limited availability of natural resources; *Reduction of the vulnerability of the relevant sectors* through the diversification of production, taking full advantage of Europe's proven technological skills to develop new products and services from natural resources; *Response to societal demands* for sound environmental practices, sustainable use of renewable resources and for products complying with consumer health and environmental requirements.

#### **6. The Ageing Population and Disabilities**

To mobilise research (a) in order to enhance the quality of life, autonomy and social integration of older people with an emphasis on healthy ageing and well-being in old age and (b) in order to improve quality, efficiency and user-friendliness of care and welfare provision and to enable older people to stay in their own homes. RTD priorities include age-related illnesses and health problems to prevent, treat or delay onset; determinants of healthy ageing and well-being in old age; demographic and social policy aspects of population ageing; coping with functional limitations in old age; health and social care services to older persons.

### *II.3.2. RESEARCH AND TECHNOLOGICAL DEVELOPMENT ACTIVITIES OF A GENERIC NATURE*

These activities aim to reinforce the knowledge base in chosen areas of strategic but generic importance for the Life Sciences related to humans, animals (both terrestrial and aquatic) and plants.

This is in contrast to the mission oriented problem solving approach in the Key Actions, which place the emphasis on the linkage between discovery and exploitation.

Projects will be encouraged that promote interaction between basic and applied research and that involve both the research and health sectors in order to ensure maximum transfer of knowledge between research and its users, including industry. The networking of projects will also be promoted in order to create a critical mass for optimum exploitation of results.

The generic research activities are:

**7. Chronic and Degenerative Diseases, Cancer, Diabetes, Cardiovascular Diseases and Rare Diseases**

**8. Research into Genomes and Diseases of Genetic Origin (including ‘Integrated projects in “genomics and human health”’)**

**9. Neurosciences**

**10. Public-health and Health-services Research (including drug-related problems)**

**11. Research relating to Persons with Disabilities**

**12. Bioethics**

**13. Socio-economic Aspects of Life Sciences and Technologies**

*II.3.3. SUPPORT FOR RESEARCH INFRASTRUCTURES*

Within the QoL Programme, the term "research infrastructures" refers to facilities and resources that provide essential services to the research community in the life sciences<sup>8</sup>. The objectives of the Programme in supporting research infrastructures (in this action line as well as elsewhere in the Programme where research infrastructures are supported) are: (i) to encourage the optimum use of Europe's research infrastructures, notably by fostering transnational cooperation in their rational and cost-effective use and development and, in conjunction with the QoL system of Marie Curie Fellowships, by broadening access to these infrastructures particularly for young researchers; (ii) to improve the European-wide consistency and complementarity of these infrastructures and their competitiveness at world level; and (iii) to help improve the quality and user-orientation of services offered to the European research community. The role of the Programme's activities in support for research infrastructures is to add value at the European level in the context that the construction and operation of research infrastructures is the responsibility of national authorities.

This particular action of the QoL Programme will provide support for research infrastructures in the following fields: biological collections, biological information resources, clinical research facilities, pre-clinical research facilities, facilities for aquaculture and fishery research, exploiting high-bandwidth communication networks (multigigabits).

It should be noted that the QoL Programme will not provide support for tasks that involve the construction and routine operation of research infrastructures, nor for the collection of data (unless the collection is an integral component of the research in an infrastructure RTD project). The cost of activities aimed at stimulating the introduction and use of trans-European broadband communication networks for research will however be considered eligible.

***II.4. Synergies with other programmes***

Interactions with horizontal activities and across programmes are described in Annex IV of the Work programme.

***II.5. Implementation of the programme***

*II.5.1 TYPES OF CALLS FOR PROPOSALS*

The following types of Calls for proposals are envisaged:

**Periodic calls:** These will be open for the submission of proposals for RTD projects and related activities, within a defined scope and with fixed deadlines, to be specified in the Official Journal of the European Communities and outlined in the indicative timetable for programme implementation.

**Open calls:** Calls for SME specific measures (exploratory awards and co-operative research), support for Research Infrastructure (thematic networks, concerted actions and RTD projects), training,

international initiatives and accompanying measures, will be launched at the start of the programme and remain open until the last year of the Fifth Framework Programme. Periodic evaluations will be carried out at least twice a year.

**Dedicated calls:** These will be published in the Official Journal normally once or twice per year and be limited to a number of very specific topics and/or activities. The Commission may also publish a request for interested parties (Expression of Interest /Needs) to suggest ideas for activities that could be included. In the frame of the Commission initiative on Genome Research for Human health, a call for expressions of interest followed by a dedicated call for proposals under action line 8.5 ‘Integrated projects in “genomics and human health”’ will be published in November 2000 and June 2001 respectively. Regularly updated information is available on CORDIS ([http://www.cordis.lu/life/generic/integ\\_proj.htm](http://www.cordis.lu/life/generic/integ_proj.htm)). It is envisaged to publish jointly with the programme “Environment and Sustainable Development” a dedicated call regarding “Endocrine disruptors” in 2001.

### II.5.2 IMPLEMENTATION MODALITIES (“TYPES OF ACTIONS”)

The “Quality of Life and Management of Living Resources” programme is implemented through the following types of actions:

1. Shared-cost actions, excluding “Support for access to research infrastructures”<sup>9</sup>
2. Concerted actions
3. Thematic networks
4. Marie Curie Training Fellowships
5. Accompanying measures
6. INCO bursaries

In addition to these types of action, the Quality of Life programme encourages the submission of “Cluster” proposals, which are essentially a cluster of sub-projects (“component” projects) and of Integrated projects under action line 8.5 (see above) will group a minimum of three of these modalities.

Details of the different types of actions (“implementation modalities”) and cluster proposals are given in Section IV.2 of Part 2 of this Guide.

**The types of actions that will be funded and the research areas covered will vary from call to call. Please refer to details of the specific calls published in the Official Journal and Part 2 of the “Guide for Proposers”, which will give you further, call specific, information, including a detailed description of the types of actions supported.**

## II.6. References

Decision on the Fifth Framework Programme	<a href="http://www.cordis.lu/fp5/src/decisions.htm">http://www.cordis.lu/fp5/src/decisions.htm</a>
Decision on the “Quality of Life and Management of Resources” Programme	<a href="http://www.cordis.lu/fp5/src/decisions.htm">http://www.cordis.lu/fp5/src/decisions.htm</a>
Quality of Life homepage	<a href="http://www.cordis.lu/life">http://www.cordis.lu/life</a>
Call text for “Quality of Life and Management of Resources” Programme	<a href="http://www.cordis.lu/life/src/library.htm">http://www.cordis.lu/life/src/library.htm</a>
Work Programme “Quality of Life and Management of Resources” Programme	<a href="http://www.cordis.lu/life/src/library.htm">http://www.cordis.lu/life/src/library.htm</a>
Quality of Life Documents	<a href="http://www.cordis.lu/life/src/library.htm">http://www.cordis.lu/life/src/library.htm</a>
Quality of Life contacts	<a href="http://www.cordis.lu/life/src/contacts.htm">http://www.cordis.lu/life/src/contacts.htm</a>
Expressions of interest and integrated projects in “genomics and human health”	<a href="http://www.cordis.lu/life/generic/integ_proj.htm">http://www.cordis.lu/life/generic/integ_proj.htm</a>
Marie-Curie fellowships homepage	<a href="http://www.cordis.lu/improving">http://www.cordis.lu/improving</a>
SME-specific measures homepage	<a href="http://www.cordis.lu/sme">http://www.cordis.lu/sme</a>
INCO-web site (Bursaries, international co-operation)	<a href="http://www.cordis.lu/inco">http://www.cordis.lu/inco</a>
Other programme web sites accessible via	<a href="http://www.cordis.lu/fp5/">http://www.cordis.lu/fp5/</a>

### **III. Participation in activities in the Fifth Framework Programme**

This section describes the conditions of participation in activities within the Fifth Framework Programme, the process whereby the Commission selects among the proposals submitted to it, and the manner in which selected projects should be carried out.

It is based on the Annex IV of the decision on the Fifth Framework Programme<sup>10</sup>, the decision on the rules of participation<sup>11</sup>, and other subsequent texts or documents<sup>12</sup>.

#### ***III.1. The participants***

##### *III.1.1. WHO ?*

The Framework Programme, with its corresponding financial support, is open to all legal entities established in the Member States of the European Union – e.g. individuals, industrial and commercial firms, universities, research organisations, etc. including SMEs. The Programme is also open to all legal entities established in any of the other States associated to the Programme (see box 5).

Participation and financing for legal entities established in other countries ('third countries') is governed by common conditions which are applied throughout the Fifth Framework Programme (see boxes 4 and 5), with the exception of the Programme 'Confirming the international role of Community research' under which some entities are entitled to receive Community funding depending on their country of origin<sup>13</sup>.

##### *III.1.2. HOW MANY?*

Proposals submitted to the Commission should demonstrate a Community dimension. As a general rule, this means that they should involve at least two legal entities, independent of each other, and established in two different Member States, or one Member State and one Associated State. (The Joint Research Centre of the European Commission is considered as a participant of a Member State).

However, certain actions may vary from this general rule - either by requiring more participants or by permitting a single one (see box 7).

##### *III.1.3. ROLE OF THE PARTICIPANTS*

Participants in a proposal fall into a number of different legal categories, according to the type of activity proposed and the nature of a participant's role in it (see box 7 and III.5.3.).

#### ***III.2. Proposal submission***

##### *III.2.1. CALL FOR PROPOSALS*

Calls for Proposals published in the Official Journal will open certain parts of a Specific Programme's Work Programmes for proposals, indicating what types of actions (RTD projects, Accompanying measures etc.) are expected. In addition to those with a fixed closing date, the Commission will open certain Calls on a longer 'open' basis, with periodic evaluation of received proposals. A provisional timetable for the Calls of a Specific Programme is included in each Work Programme.

A Call may address the full programme, a key action, one or several research themes, areas, sectors, action lines, objectives, topics. In order to ensure co-ordination among the Specific Programmes, common Calls may be published. The objectives to be achieved may also be fully detailed, for example in the case of key actions or dedicated calls<sup>14</sup>.

Proposals submitted under a Call shall be subject to a selection process presented in section III.4.

Certain Accompanying Measures may however be based on spontaneous applications or on a call for tender, and shall therefore be subject to a different process<sup>15</sup>.

##### *III.2.2. SUBMISSION*

Participants should complete the appropriate Proposal Submission Form corresponding to the type of action involved, preferably using the software tool that the Commission supplies: The Proposal Preparation Tool or 'ProTool', available at the following address: <http://www.cordis.lu/fp5/prottool>.

Proposals must be completed in full as detailed in the Guide for Proposers Part 2.

In addition, experience in previous Calls shows that a number of general recommendations, provided in box 10, may be helpful. Participants have the choice to submit proposals either electronically or on paper.

Submission takes place in the following steps, which are detailed in Part 2 of this Guide.

<i>The co-ordinator may request a pre-proposal check from the Commission, if this service is offered for the call concerned.</i>	
<i>The proposer may be required in the Call for Proposals to submit a request for a proposal number. This form (Notification of Intention to Propose) is sent to the Commission services via fax or electronic mail.</i>	
<i>The requested proposal number is sent back to the proposer by fax or electronic mail from the Commission.</i>	
<i>The proposal is prepared either in electronic or paper form, preferably using ProTool.</i>	
<i>The co-ordinator checks the proposal against the key recommendations (Box 10)</i>	
<b><i>Electronic submission</i></b> <i>The submitting partner in the consortium seeks certification for the Programme.</i>	<b><i>Paper submission</i></b> <i>The proposal is sent to the Commission in the form of five bound paper copies and one unbound original.</i>
<i>The proposal is submitted electronically following the instructions given with ProTool.</i>	

### **III.3. Proposal evaluation**

#### **III.3.1. GENERAL PRINCIPLES**

The evaluation of proposals will be based on the fundamental principles of transparency and equality of treatment. The entire selection process and the description of the criteria by which the proposals will be evaluated are presented in the Evaluation Manual (see also box 6 and Appendix 6 of Part 2 of this Guide).

***In general, and in order to help the Commission,*** panels of independent, external experts<sup>16</sup> will be constituted covering a wide range of relevant expertise, without linguistic or geographic bias. Proposers' confidentiality will be fully respected, both to avoid conflicts of interest and to preserve the impartiality of the independent experts.

#### **III.3.2. CONFORMITY CHECK AND ELIGIBILITY**

On receipt, all proposals will be subject to a validation process, to ensure they conform to the requirements of the Call, of the submission procedure and of the rules for participation.

Only proposals that conform to these requirements will be subject to evaluation.

#### **III.3.3. EVALUATION**

Proposals will be evaluated according to criteria grouped into five categories, as laid down in the Work Programme applicable to the relevant call. The content and the respective weighting of the criteria for each specific programme are described in the Evaluation Manual. Programme specific information on evaluation may also be explained, if appropriate, in Part 2 of this Guide and in the Vade Mecum for Experts taking part in proposal evaluation in the Quality of Life programme (latest edition available at: [http://www.cordis.lu/life/src/part\\_docs.htm#vm](http://www.cordis.lu/life/src/part_docs.htm#vm)). Ethical aspects and safety aspects have to be taken into account in the process.

The experts examine proposals individually, then meet as a panel to agree a ranking. At this stage, they may recommend that certain proposals should be combined into larger projects or linked together as clusters (see section I.3.3). A brief report (Evaluation Summary Report) is drafted by the panel and

sent to the proposers via the proposal co-ordinators after the end of the evaluation (see Part 2 of this Guide).

Following the evaluation, and according to the interest of Community, the Commission will establish a list of proposals in order of priority. This list will take into account the budget available (which has been set out in the call for proposals) plus, if necessary, a percentage of the call budget to allow for withdrawal of proposals and/or savings to be made during contract finalisation. Late or ineligible proposals, those of inadequate quality or for which there is not adequate budget will be subject to a “non-retained” decision by the Commission. This information, with the main reason for non-retention, will be communicated to the proposers concerned.

### ***III.4. Proposal selection***

The co-ordinators of proposals, which have been retained, will be notified in writing. This notification however does not ultimately commit the Commission to fund the project concerned.

Further administrative and financial information will be required to assess the viability of the proposed project.

Hence, participants will have to demonstrate that they have all the necessary resources<sup>17</sup> needed for carrying out the project. The Commission will check these, and may seek to safeguard its interest by asking for a bank guarantee or by other measures.

The Commission may also propose modifications to the original proposal based on the result of the evaluation, or in terms of grouping or combination with others.

On successful conclusion of these negotiations, the Commission will then offer contracts for the commencement of work, based on a timetable determined by the needs of the Specific Programme concerned.

Any proposal, which is finally not taken up, due to a lack of available funding for example, will be subject to a “non-retained” decision by the Commission. This information, with the main reason for non-retention, will be communicated to the proposers concerned.

### ***III.5. The contract***

Contracts are issued to proposals successful in the procedure of selection.

#### *III.5.1. THE VARIOUS TYPES OF CONTRACTS*

Research contracts from the Commission fall into five main groups. They each have their own detailed conditions, appropriate to the types of action and the activities to which they refer. (see boxes 7, 8 and 9).

#### *III.5.2. THE SUBJECT OF THE CONTRACT*

The main obligation of the participants is to carry out the project to completion in a pre-arranged period, and to make use of or disseminate its results.

In return, the Commission undertakes to contribute financially to the realisation of the project, normally by reimbursing a certain percentage of the project costs<sup>18</sup>.

#### *III.5.3. RIGHTS AND OBLIGATIONS OF PARTICIPANTS*

These may vary according to the nature of the action or the category of participant:

- **For Research and Technological Development (R&D) projects, Demonstration projects and Combined projects**, a participant who has a wide-ranging role in the project throughout its lifetime is normally a **principal contractor**. A participant whose role is largely in support of one or several of these principal contractors is termed an **assistant contractor**. Principal contractors are distinguished from assistant contractors in two main ways:
  - all the principal contractors are collectively responsible to the Commission for the execution of the project and shall use reasonable endeavours to obtain the expected results;
  - principal contractors have rights of access to the results of the project and any pre-existing know how. Assistant contractors have limited rights. (see box 9)
- For **support for access to research infrastructure**, the host infrastructure is a **principal**

**contractor**<sup>19</sup>, who is responsible for the implementation of the action.

- For **SME co-operative research projects**, SMEs benefiting from the project are **principal contractors**. Organisations performing the research, named **RTD performers**, are **subcontractors** and, as such, are not considered to be "participants"<sup>20</sup>.
- For **Exploratory awards**, SMEs are **principal contractors**.

For both **SME Co-operative research projects** and **SME Exploratory awards**, principal contractors share responsibility and have the same access to intellectual property rights. It should be noted that **RTD performers**, although they are not considered to be "participants", can have access to the know-how necessary to perform the research, and, in specific cases, to the knowledge resulting from the projects (see box 9).

- **Concerted Actions, Research Training Networks and Thematic Networks** distinguish between the **principal contractor(s)**<sup>21</sup> who lead the action, and the **members** who are associated with them. Principal contractor(s) sign a membership contract with their members, with the prior agreement of the Commission and in conformity to their own Commission contract, and share with them joint and several responsibility, in relation to the carrying out of the project. This distinction does not affect intellectual property rights.
- For **Accompanying Measures**, the participants role shall vary according to the nature of the action (see box 7). Principal contractors share joint and several responsibility. In Accompanying Measures specific to technology take-up **members** can participate.
- For **Fellowships**, the Commission's contract is normally offered to the host institution, which then signs an agreement with the Fellow, conforming to the terms of the Commission's contract. Exceptionally, in the case of bursaries for Community Researchers (INCO 2), the Commission contract may be with the individual personally. In general, intellectual property rights shall be addressed in the agreement signed with the individual and according to the national legislation of the host institution.

Participants in an action may conclude between themselves any agreements necessary to the completion of the work, provided these do not infringe on their obligations as stated in the contract they sign with the Commission.

#### *III.5.4. THE CO-ORDINATION OF THE PROJECT*

Within a consortium, participants shall designate one of the principal contractors to carry out the co-ordination function<sup>22</sup>.

The co-ordinator is the liaison between the participants and the Commission, responsible for collecting, integrating and submitting project deliverables, and for distributing the funds received from the Commission.

The costs incurred by the co-ordinator in the fulfilment of his/her responsibilities can be claimed as direct or indirect costs (see boxes 7 and 8).

It should be noted that the successful management of the project is a joint commitment of all the participants. They may however agree amongst themselves to confer upon the co-ordinator additional responsibilities, provided this does not infringe on their obligations as stated in the contract they sign with the Commission.

#### *III.5.5. SUBCONTRACTORS*

Sub-contractors are not participants in a project. Their function is only as service providers to a principal contractor, an assistant contractor or a member, who fully funds their activity. The costs are then reimbursable by the Commission according to the rules of the contract in force.

Sub-contractors make no financial investment in the project, and they therefore do not benefit from any intellectual property rights arising from its achievements (see boxes 7 and 8).

### ***III.6. Project follow-up***

In order for the Commission to verify the execution of the contract, participants are required to submit, via the co-ordinator interim and final reports as well as reports of costs incurred.

These reports will be analysed by Commission services in the light of the criteria, which led to the

original selection of the proposal This will ensure the project conforms to the conditions associated with the Community financial contribution, and that the progress foreseen actually takes place. The reports are also used to assess whether and in what manner the project should continue to be supported.

In addition, and conforming to objectives stated in the Fifth Framework Programme decision concerning the use and dissemination of results, the Commission will follow-up the implementation of the results of the project. Therefore participants are in general required to produce a “Technology Implementation Plan” indicating how the knowledge gained will be used. The Commission will ensure, where necessary, the confidentiality of these data.

### ***III.7. Financial contribution of the Community***

The Commission undertakes a financial contribution to the work.

With the exception of those cases where the Commission's contribution takes the form of a lump sum payment, the Commission reimburses eligible costs incurred by participants as the project progresses. Payment is made in instalments at regular intervals.

#### ***III.7.1. INCURRED ELIGIBLE COSTS***

Participants are required to identify and declare their eligible costs by the submission of interim and final cost statements based on the actual costs incurred for the execution of the project. Participants must retain supporting documents, which justify these costs, for at least 5 years from the end of each payment, to permit auditing by Commission services or other institutions, e.g. the European Court of Auditors.

The different categories of costs that are eligible for Commission funding differ according to type of contract (see boxes 7 and 8).

#### ***III.7.2. CALCULATION METHODS***

A number of different methods are used to calculate the Commission funding, depending on the type of action involved and on the participant's capacity to identify his/her incurred costs (see boxes 7 and 8).

For Research and Technological Development projects, Demonstration and Combined Research and Demonstration projects, three calculation methods are used: full cost actual overhead (FC), full cost flat rate (FF) and additional cost (AC).

For Accompanying Measures, one calculation method is used for all participants. The overhead may be calculated as a flat rate of the personnel costs and in some cases no overheads may be allowed.

For technology take-up measures not all cost categories may be allowable.

For Concerted Actions and Thematic Networks, all participants use the additional cost model (AC), so overheads are calculated as 20% of all direct costs (except subcontracting). Use of permanent staff is allowed for all types of organisations if accurate time records are kept.

#### ***III.7.3. PAYMENT OF THE CONTRIBUTION***

The Community contribution is paid in Euro, in a number of regular instalments based on cost claims submitted by participants with their interim and final reports.

The Commission may make advance payments at the beginning of the project, contingent on verification of the participants' financial standing. In certain circumstances the Commission may request financial or other guarantees to ensure the security of any advance payment made. This is particularly necessary for those shared-cost actions where the participants themselves are expected to support part of the cost.

### ***III.8. Assistance available to proposers***

The EC carries out a range of activities in support of potential proposers. These vary as appropriate according to the nature of the Call and the Specific Programme concerned. Therefore, they are detailed in the Guide Part 2.

For each programme there is a network of National Contact Points in Member and Associated States. The National Contact Points can be helpful to organisations from their country in finding partners from other countries, and in assisting in procedural or administrative matters. There are a number of other networks such as Innovation Relay Centres, Euro Info Centres etc., which potential proposers may also consult.

The European Commission maintains an Infodesk for each programme of the Fifth Framework Programme for the duration of their Calls. Any questions concerning the Call not covered in this document nor in the material available at the programme web site may be directed to the Infodesk, whose address is included in the Call specific information in the Guide Part 2. The Infodesk will post any last-minute information concerning the Call on the programme website, which potential proposers should check periodically for this reason.

The certification service provider has established an EU-wide support network for proposers in the national languages. Details are given on the web page relating to this service (<http://www.fp5.csp.org>).

The Commission may organise “Info-days”, to disseminate information about the Fifth Framework or a particular Call, and also to provide an occasion for proposers to meet potential consortium partners.

The Commission’s CORDIS server in Luxembourg (<http://www.cordis.lu/fp5/>) offers a number of services and information sources which may be useful in particular to support partner search activities. It also contains details of organisations which have already expressed an interest in participating to the different programmes under the Fifth Framework Programme.

In addition, the CORDIS website offers targeted information concerning both implementation modalities of the specific programmes as well as financial and administrative management aspects.

## **Box 4 – Co-operation with non-EU Countries and International Organisations**

### *Opportunities for participation in proposal consortia*

In planning a RTD proposal for submission to one of the programmes or to the key action ‘Improving the socio-economic knowledge base’, researchers should be aware that it is also open to participation by entities from non-EU countries and to international organisations. The opening falls into three categories and in all cases, the third country/international organisation participant must be included as a participant in the original proposal submitted:

(i) Countries associated to FP-5: For each of these countries, institutions may participate and be funded, with similar rights and responsibilities to EU Member State participants, once the Association Agreements come into force (see box 5).

(ii) Project by project participation: This participation will be on a self-financing basis and this option is open to all non-associated European countries, to Mediterranean partner countries, to countries with which the EU has an S&T Agreement, and to international organisations, as long as the participation is **in conformity with the interest of the Community**.

(iii) All other countries: For countries not covered by the above categories, participation in FP-5 projects on a self-financing basis will be possible if the participation is **in conformity with the interest of the Community** and is of **substantial added value** for implementing all or part of the specific programme. The interest of the Community and the substantial added value must be clearly indicated in the proposal.

The conformity with the **interests of the Community** will be assessed with particular regard to the contribution to one or more of the following (as laid down in Council Decision): the needs of other Community policies in support of which the RTD actions are carried out; providing appropriate incentives for maintaining and creating jobs in the Community; promoting sustainable development and improving the quality of life in the Community; strengthening the international competitiveness of Community industry; the existence of S&T co-operation agreements between the Community and third countries or international organisations.

**Substantial added value** may refer for example to cases where the third country participant is a generally recognised, top-level specialist in the field of the proposal or has access to unique resources which are of great importance to the project but which are not available in Europe, or where third country participant offers the prospect of opening new markets for the European participants.

In exceptional cases, Community financing for the third country participant or international organisation may be provided by the programme if it is **essential for achieving the objectives** of the project<sup>1</sup>, i.e. if the contribution of the participant cannot be provided by any other means and the project cannot be carried out without that participant.

For country groupings, see box 5

<sup>1</sup> Additional rules are foreseen in the Specific Programme “*Energy, environment and sustainable development*” which provide for financial support to those entities where their participation is beneficial and offers added value for achieving the objectives of the Programme.

## Box 5 – Participation from non-EU countries in FP5 <sup>1</sup>

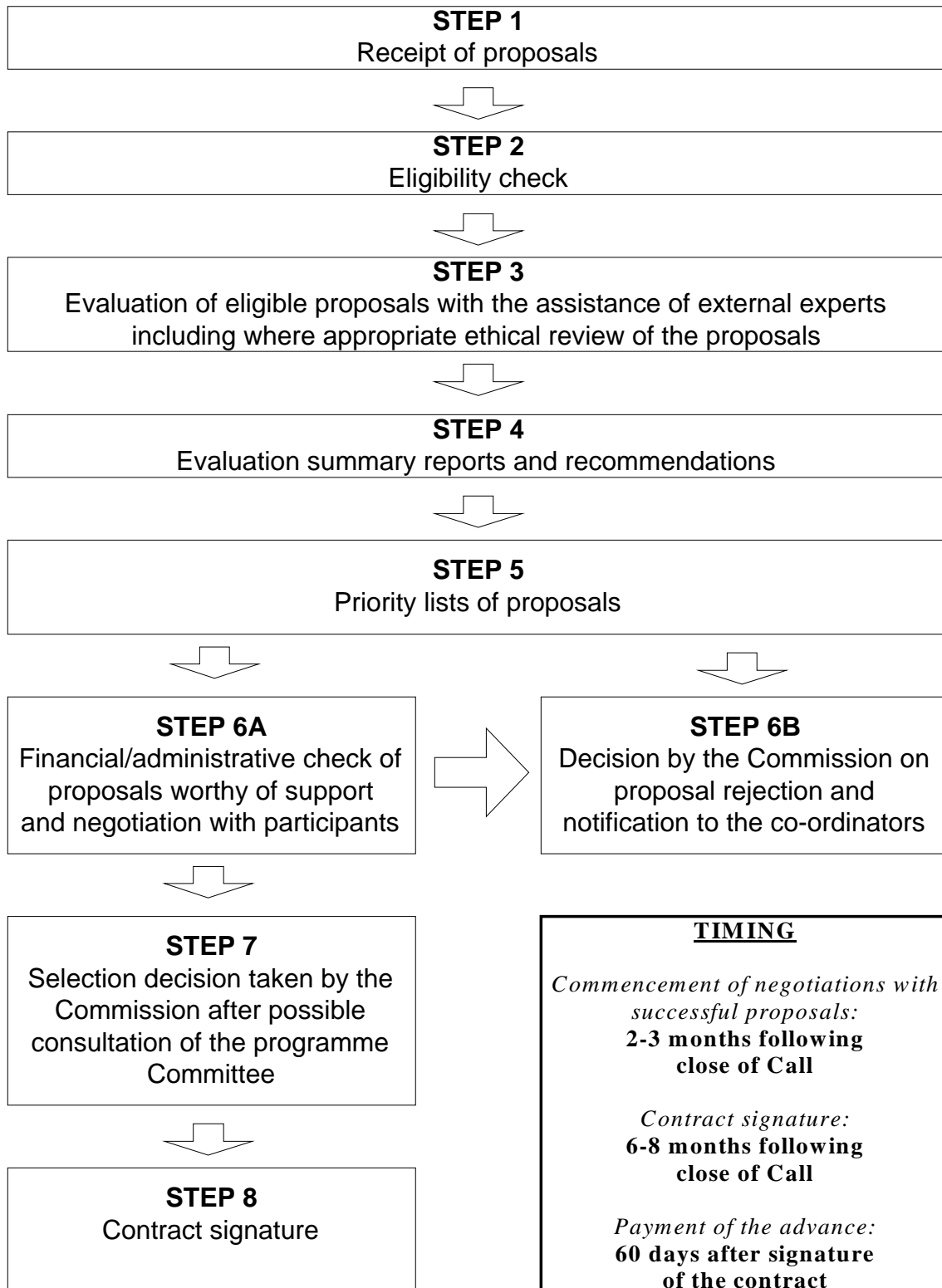
**For latest information on entry into force of these agreements, please consult:  
www.cordis.lu/fp5/src/3rdcountries.htm or contact the Programmes' Information Desk**

<b>ASSOCIATED STATES</b>  may participate WITH COMMUNITY FUNDING	<b>CANDIDATES FOR EU-MEMBERSHIP</b>	<b>BULGARIA, REPUBLIC OF CYPRUS, CZECH REPUBLIC, ESTONIA, HUNGARY, LATVIA, LITHUANIA, POLAND, ROMANIA, SLOVAKIA, SLOVENIA:</b> in force.  <i>For MALTA and TURKEY, please see footnote 3 and 4</i>
	<b>EFTA-EEA</b>	<b>ICELAND, LIECHTENSTEIN, NORWAY:</b> in force.
	<b>OTHERS</b>	<b>ISRAEL:</b> in force. <b>SWITZERLAND <sup>2</sup>:</b> entry into force with financial implications expected on the 1.1.2002.
<b>THIRD STATES <sup>6</sup></b>  may participate WITHOUT COMMUNITY FUNDING  (exceptionally with Community funding when duly justified as being essential for achieving the objectives of the project)	<b>OTHER EUROPEAN</b>	<b>ALBANIA, BOSNIA-HERZEGOVINA, FORMER YUGOSLAV REPUBLIC OF MACEDONIA, SWITZERLAND <sup>2</sup></b> <b>MALTA <sup>3</sup> and TURKEY <sup>4</sup></b> are also shown under Mediterranean Partnership. <b>MICROSTATES AND TERRITORIES IN EUROPE <sup>5</sup></b>
	<b>EUROPEAN NIS</b>	<b>ARMENIA, AZERBAIJAN, BELARUS, GEORGIA, MOLDOVA, RUSSIA, UKRAINE.</b>
	<b>MEDITERRANEAN PARTNERSHIP</b>	<b>ALGERIA, EGYPT, JORDAN, LEBANON, MALTA <sup>3</sup>, MOROCCO, PALESTINE AUTHORITY, SYRIA, TUNISIA, TURKEY <sup>4</sup>.</b>  <i>All above countries may participate project by project if in conformity with the interests of the Community and on a self financing basis.</i>
	<b>COUNTRIES WITH CO-OPERATION AGREEMENT</b>	<b>ARGENTINA (1<sup>st</sup> activity of FP5), AUSTRALIA (1<sup>st</sup> activity of FP5), CANADA (1<sup>st</sup> activity of FP5), CHINA (1<sup>st</sup> activity of FP5), SOUTH AFRICA (FP5), USA (FP5):</b> in force.  <b>RUSSIA (1<sup>st</sup> activity of FP5):</b> Agreement signed.  <i>The above countries may participate in the fields covered by the Co-operation Agreement, once in force, and on a self financing basis (until then, Russia may participate as an European NIS).</i>
	<b>ANY OTHER COUNTRY</b>	<i>May participate project by project if in conformity with the interests of the Community and on a self financing basis, only if its participation is also of substantial added value for implementing all or part of the specific programmes in accordance with its objectives..</i>
	<b>INTERNATIONAL ORGANISATIONS <sup>7</sup></b>	<i>May participate project by project if in conformity with the interests of the Community and on a self financing basis.</i>

*Participation from third States and of International Organisations must take place together with the minimum number of legal entities from the Community and any Associated States.*

- 1 Different rules apply for the specific programme 'Confirming the international role of Community research' (except for Associated States) and the EURATOM Framework Programme
- 2 The association agreement is expected to enter into force sometimes in 2001, but with financial implications no sooner than 1.1.2002. For more information on Swiss participation, see <http://www.cordis.lu/inco2/src/p-swiss.htm>.
- 3 An association agreement with Malta is foreseen to be negotiated in 2000. Should this agreement be concluded, the status of Associated State shall take precedence over any other. Meanwhile, Maltese research entities participate to the activities of FP5 as "other European". They are also shown under Mediterranean Partnership. For latest news, [www.cordis.lu/fp5/src/3rdcountries.htm](http://www.cordis.lu/fp5/src/3rdcountries.htm).
- 4 Turkish research entities participate to the activities of FP5 as "other European". They are also shown under Mediterranean Partnership. For latest news, [www.cordis.lu/fp5/src/3rdcountries.htm](http://www.cordis.lu/fp5/src/3rdcountries.htm).
- 5 Andorra, Monaco, San Marino, Vatican City State (Holy See), Faeroe Islands (DK), Channel Islands (GB), Isle of Man (GB), Svalbard and Jan Mayen Islands (NO).
- 6 In the case of a country becoming associated to FP-5, that status takes precedence over any other
- 7 Community funding may also be granted if it is foreseen to use the facilities of an international organisation that are based in a third country, should this use be essential for achieving the objectives of the project.

**Box 6 – Main milestones of the selection process**



## BOX 7 – Indicative Typology of Contracts

	PARTICIPANT			CONTRIBUTION		DIRECT COSTS										INDIRECT COSTS		
	Principal Contractor	Assistant contractor	Member	Calculation Method *	Percentage funding	Personnel	Durable equipment	Subcontracting	Travel and subsistence	Consumables	Computing	Protection of knowledge	Other specific costs	Co-ordination costs	Access	RTD performer	Overheads	
<b>SHARED COST ACTIONS<sup>7</sup></b>																		
<i>R&amp;D project</i>	min 2	Yes		FC, FF and AC	FC, FF: 50% AC: 100%	Yes	yes	yes	Yes	yes	yes	yes	yes	yes			FC: (actual rate)x(personnel) FF: 80%x(personnel) AC: 20% <sup>1</sup>	
<i>Combined project</i>					FC, FF: 35 or 50% AC: 100%													
<i>Demonstration project</i>					FC, FF: 35% AC: 100%													
<i>Support for access to research infrastructures</i>	1			AC	Up to 100%	Yes		yes	Yes	yes	yes		yes				20% <sup>1</sup>	
				UF	Up to 100%				Yes						yes			
<i>SME co-operative (CRAFT)</i>	min 3 SME			FC, FF	50%	Yes	Yes	yes	Yes	yes	yes		yes			yes	(actual rate)x(personnel)	
<i>Exploratory awards</i>	min 2 SME			Fixed amount	75% <sup>2</sup>													
<b>TRAINING FELLOWSHIPS</b>																		
<i>Marie Curie Host Fellowships</i>	institution		min 1 fellow	Fixed amount														
<i>Marie Curie Individual Fellowships</i>			1 fellow															
<i>Developing countries Fellowships</i>			1 fellow															
<i>Fellowships for Community Researchers</i>	fellow																	
<b>SUPPORT TO NETWORK</b>																		
<i>Thematic network</i>	min 1		yes	AC	Up to 100%	Yes		yes	Yes		yes		Yes				20% <sup>1</sup>	
<i>Training network</i>	1		min. 4	AC	Up to 100%							Yes					20% <sup>1</sup>	
<b>CONCERTED ACTIONS</b>	min 1		yes	AC	Up to 100%	Yes		yes	Yes		yes		yes				20% <sup>1</sup>	
<b>ACCOMPANYING MEASURES</b>																		
<i>Accompanying measures<sup>3</sup></i>	min 1				Up to 100%	Yes	Yes	yes	Yes	yes	yes	Yes	yes	yes			yes <sup>5</sup>	
<i>Euro conference</i>	1				Up to 100%	Yes		yes	Yes	yes			yes <sup>4</sup>	yes			None	
<i>Technology Take-up</i>	min 1		yes		Up to 100%	Yes	Yes	yes	Yes	yes	yes	yes	yes	yes			yes <sup>5</sup>	

\* FC = Full Costs/ FF= Full costs Fixed rate/AC= Additional Costs/ UF = User Fee. For more information, see box 8.

1 Direct costs, excluding subcontracting costs

2 Up to maximum of €22,500

3 For subsidies, see the Vademecum on grant management and COM PV(98) 1395

4 Organisation costs (see specific Guide for Proposers Part 2)

5 Overhead is calculated as a lump sum of the personnel costs (not exceeding 80%).

6 The eligible cost categories for each of the types of technology take-up measures are referred to in the relevant Guide for Proposers, Part 2

7 Two alternative contracts are available respectively to the R&D and the Demonstration. One is the "Deliverables", by which the contribution is paid in pre-set amounts and adjusted with the final payment on the basis of actual costs for the whole contract. The other is the "flat rate" (for projects estimated less than 100 000 euro) by which the contribution consists of a fixed amount based on the estimated costs for the work.

## Box 8 – Methods for the calculation of EC funding <sup>1</sup>

### Full cost (FC)

The participant can identify all the direct and indirect costs related to the project. He/she should be able to demonstrate that his/her accounting system enables the identification of those costs with sufficient precision. **FC = total direct costs + actual overhead rate.**

### Full costs Flat rate (FF)

The participant who may participate on a full costs basis or who can identify his/her direct costs related to the project (temporary and permanent staff) but not the indirect costs linked to the project may elect the overhead to be charged on a flat rate basis, 80 % of the direct personnel cost.

### Additional cost (AC) - in R&D projects

Subject to the specific contract terms, the Commission shall only take into account the project's additional (non recurrent) costs. **AC = total direct additional costs + x% overhead on direct costs (excluding subcontracting) (for x% see box 7).**

### Additional cost (AC) - in Concerted Actions/Thematic networks and Euroconferences

The Community funding shall only cover the direct costs necessary for the action, however, costs for permanent staff are eligible if time records are kept. **AC = total direct additional costs + x% overhead on direct costs (excluding subcontracting) (for x% see box 7).**

### User Fee (UF)

This system is only used in the context of projects providing access to research infrastructure. It is based on a "unit cost", which is a fixed composite rate, for each access. Travel and subsistence costs and a flat rate contribution for general expenses are added. The participant should be able to demonstrate that his/her accounting system enables him/her to calculate with sufficient precision the "unit cost". **UF = ((unit cost x quantity of access) + travel and subsistence costs) + 20% overhead.**

### COSTS CATEGORIES

A cost shall be considered as eligible only where it is necessary for and during the project and is provided for in the contract. It shall be reimbursed if the amount has actually been spent and recorded in the accounts. No profit may be included.

<u>Personnel costs:</u>	subject to the contract terms, scientific and technical personnel; time devoted to the project shall be recorded.
<u>Durable equipment:</u>	subject to the contract terms, equipment shall be reimbursed according to a depreciation period (for computer equipment that cost less than 25.000 Euro the depreciation period is 36 months, for all other equipment the depreciation period is 60 months) and its use on the project; equipment leased shall be reimbursed without exceeding the eligible cost if it were to be purchased.
<u>Subcontracting:</u>	external services.
<u>Travel and subsistence:</u>	travel outside the European Union or an Associated State needs the prior approval of the Commission, except for visiting a participant.
<u>Consumables:</u>	only project specific items.
<u>Computing:</u>	only project specific items.
<u>Protection of knowledge:</u>	subject to contract terms, only with prior approval of the Commission
<u>Other specific costs</u>	any cost necessary for the project, not falling within a defined category and having received the prior approval of the Commission
<u>Co-ordination costs:</u>	costs for the financial/administrative administration (personnel, travel and all other cost categories apart from subcontracting) incurred only by the co-ordinator - the financial/administrative co-ordinator in case of split between scientific and administrative co-ordinator - in order to fulfil his/her tasks.
<u>Access:</u>	only for <i>Support for access to research infrastructure</i> ; user fee related to visiting scientist.
<u>RTD performer</u>	only for <i>SME co-operative research project</i> ; cost of research performed by a non-participant.
<u>Overheads:</u>	subject to the contract terms, either an actual rate (FC), or a flat rate (FF) calculated on personnel costs or on the direct additional costs (AC) excluding subcontracting, or as a lump sum of personnel costs (Accompanying Measures).

<sup>1</sup> Proposers should check with their central financial department the applicable calculation method (FC, FF, or AC) agreed for their organisation

### Box 9 – Intellectual Property Rights

The following table lists the access rights (license on a patent, other users rights) to knowledge (intellectual property created during the project) and know-how (pre-existing intellectual property) as a function of the different types of actions and participants.

		Knowledge		Pre-existing know-how necessary for the execution of the project or to use its Knowledge	
		Access rights for the execution of the project	Use*	Access rights for the execution of the project	Use
<b>Research and technological development Project</b>	<i>Principal Contractor</i>	Royalty-free	Royalty-free (1) to all knowledge	Favourable conditions	Favourable conditions
	<i>Assistant Contractor (2)</i>	Royalty-free / Favourable Conditions	Favourable Conditions/ Market conditions (1)	Favourable Conditions/ Market conditions	/
	<i>Principal Contractor of the same specific programme</i>	Favourable Conditions	Market conditions		
<b>Demonstration Project</b>	<i>Principal Contractor</i>	Royalty-free	Favourable Conditions for Exploitation only, to all knowledge	Favourable conditions	Favourable conditions for Exploitation only
	<i>Assistant Contractor (2)</i>	Royalty-free / Favourable Conditions	Favourable Conditions/ Market conditions for Exploitation only	Favourable Conditions/ Market conditions	/
<b>Combined R&amp;D/ Demonstration Project</b>	<i>Principal Contractor</i>	In general, IPR rules for R&D projects shall be applied to R&D workpackages, and IPR rules for Demonstration projects to Demonstration workpackages. If the identification of the various workpackages is impossible, IPR rules for R&D projects shall apply if the total EC contribution to the project as a whole is superior to 42,5% of its total cost. If the figure is equal or inferior to 42,5%, IPR rules for Demonstration projects shall then be applied.			
	<i>Assistant Contractor (2)</i>				
<b>SME co-operative Research Project</b>	<i>Principal Contractor (SME)</i>	Co-ownership (3)	Co-ownership (3) for Exploitation only	Royalty-free	Favourable Conditions for Exploitation only
	<i>RTD performer (non- participant)</i>	Royalty-free		Royalty-free	
<b>Concerted Action</b>	<i>Principal Contractor</i>	The knowledge which is suitable for dissemination will be disseminated			
	<i>Member</i>				
<b>Networks</b>	<i>Principal Contractor</i>	The knowledge which is suitable for dissemination will be disseminated			
	<i>Member</i>				
<b>Fellowships</b>	<i>Host Institution</i>	The ownership of knowledge will be determined by the Host Institution according to the applicable law. The knowledge which is suitable for dissemination will be disseminated			
	<i>Grant holder</i>				
<b>Accompanying Measures</b>	<i>Principal Contractor &amp; in particular cases Members</i>	The ownership of knowledge will be determined regarding to the Community financing level. As the case may be, use or dissemination will prevail.			

(\*) Access rights to knowledge for the purpose of use are limited to knowledge generated under the project concerned.

(1) Contractors and Assistant Contractors unable to exploit their own knowledge might grant access rights at reasonable financial or similar conditions, instead of royalty-free.

(2) More favourable conditions when beneficiary requests access from its principal contractor or the other assistant contractors of the latter.

(3) SME Contractors are the owners of all knowledge resulting from the research work carried out by the RTD performers.

## Box 10 – Key recommendations

- ✓ **Eligible partners:** Check first that you and your partners are eligible for participation in the Programme (for example: your organisation must have a registered legal existence, there are minimum consortium conditions etc.) and also that you are eligible for the particular activity involved (some activities may be reserved e.g. for SMEs, organisations in particular sectors of industry....etc.)
- ✓ **Specific actions and RTD objectives:** Check that your proposed work does indeed address an activity included **in the current Call**. Ineligible proposals, or proposals not addressing activities open in the Call, will be excluded from evaluation.
- ✓ **Selection criteria:** Any proposal evaluated below the thresholds will not be considered for funding.
- ✓ **Management:** Clearly indicate ability for high quality management adapted to the size of the project.
- ✓ **Content:** Proposals should show consistency with the five selection criteria.
- ✓ **Ethical issues:** Clearly describe any potential ethical aspects and applicable regulatory aspects of the research to be carried out and the way they are dealt with according to national regulations.
- ✓ **Presentation:** Proposals should be drafted in a clear and easily understandable way. They should be precise and concise, not “wordy” as evaluators judge on content, not on number of pages.
- ✓ **Results:** Proposals should clearly show the results that will be achieved, and how the participants intend to diffuse or exploit these results.
- ✓ **Completeness:** Proposals must be complete, as they are evaluated only on the basis of the written material submitted. **Follow the format of the Proposal Submission Form**. You are highly recommended to use the ProTool software supplied free of charge by the Commission to proposers.
- ✓ **Partnership:** Partners should discuss and agree beforehand their respective roles and responsibilities.
- ✓ **Contract:** Check that the model contract conditions for the type of work that you are proposing are acceptable for your organisations.
- ✓ **Competition:** There will be competition, and a weak element in an otherwise good proposal might make it lose out to others. Therefore edit your proposal tightly, strengthen or eliminate weak elements.

### Last but not least:

Arrange for your draft proposal to be evaluated by experienced colleagues before sending it, using the evaluation criteria described in the Evaluation Manual and in Appendix 6 (PART 2), as well as in the Vade Mecum for Experts taking part in proposal evaluation in the Quality of Life programme (4<sup>th</sup> Edition 2000) ([http://www.cordis.lu/life/src/part\\_docs.htm#vm](http://www.cordis.lu/life/src/part_docs.htm#vm)). Use their advice to improve your proposal before submission.

## Notes – PART 1

<sup>1</sup> On the 22/12/98, the Council also decided on the Fifth Euratom Framework Programme for research and training (CORDIS : <http://www.cordis.lu/fp5/src/decisions.htm>)

The specificity of the latter will be described in a separate information document.

<sup>2</sup> It will also carry out research and development activities conducted by the Joint Research Centre

<sup>3</sup> In the Decisions adopting the Specific Programmes, there can be no derogation from the financial participation rates set out here, with the exception of duly justified special cases

<sup>4</sup> The rates may need to be adjusted in individual cases to comply with the Community framework for State aid for R&D (O.J. C 45, 17.2.1996) and with article 8 of the WTO Agreement on subsidies and countervailing measures (O.J. L 336, 23.12.1994). If the project is supported financially by a Member State or one of its public bodies, the cumulation rule applies, according to item 5.12 of the above mentioned Community framework.

<sup>5</sup> In the special case of legal entities which do not keep analytical accounts, the additional eligible costs generated as a result of the research will be financed at the rate of 100 %

<sup>6</sup> EC funding up to maximum of €22,500

<sup>7</sup> In the case of industrial host fellowships, this will normally approximate to 50 % of the total eligible costs

<sup>8</sup> More detailed information on this area are given in an explanatory note, available from CORDIS at :

<http://www.cordis.lu/life/calls/199902.htm#refdocs>

<sup>9</sup> The implementation modality “Support for access to research infrastructure” should not be confused with “Support for research infrastructures”, which is part of the programme and supports various actions. The action “Support for access to research infrastructures” is supported by the horizontal programme “Improving human potential”.

<sup>10</sup> European Parliament and Council Decision N° 1999/182/EC of 22 December 1998 concerning the Fifth Framework Programme of the European Community for research, technological development and demonstration activities (1998-2002)

<sup>11</sup> Council Decision 1999/65/EC of 22 December 1998 concerning the rules for the participation of undertakings, research centres and universities and for the dissemination of research results for the implementation of the Fifth Framework Programme of the European Community (1998-2002)

<sup>12</sup> Council Decisions on the specific programmes, Commission Regulation implementing the Council Decision 1999/65/EC concerning the rules of participation, Work Programmes of the specific programmes, model contracts, Evaluation Manual, ...

<sup>13</sup> See the Work Programme of the Specific Programme “*Confirming the international role of Community research*” and its corresponding Guide for Proposers.

<sup>14</sup> Such calls are based on Community need to support certain of its policies (standardisation, anti-fraud actions...)

<sup>15</sup> See Vademecum on grant management and the rules for public procurement

<sup>16</sup> Experts shall be selected following a Call for candidates. However, in exceptional cases, the evaluation process may be conducted without them. The Commission's services shall however follow the rules set out in the Evaluation Manual.

<sup>17</sup> These include human resources, infrastructure, financial resources and, where appropriate, intangible property.

<sup>18</sup> In certain exceptional cases by paying a fixed lump sum.

<sup>19</sup> Anywhere where it is possible for easy reading, the word “contractor” may be used.

<sup>20</sup> Specific rules related to their participation in this type of action can be found in the ad hoc information brochure devoted to SMEs.

<sup>21</sup> A single contractor is possible in the case of Concerted Actions, Thematic and Training Network Actions, where he/she carries out the co-ordinator role.

<sup>22</sup> This role may in exceptional cases be carried by two contractors, with one responsible for the scientific co-ordination, and the other responsible for financial matters (e.g.: if the scientific co-ordinator is unable to receive Community funding due to his/her status, his/her location, his/her uncertain financial standing, or because he/she is unable to distribute funds to participants in due time).