



THE FIFTH FRAMEWORK PROGRAMME 1998-2002



QUALITY OF LIFE AND MANAGEMENT OF LIVING RESOURCES

GUIDE FOR PROPOSERS

PART 2

Fixed deadline call for proposals for
collaborative RTD actions, including INCO bursaries

Published 15 Nov 2000

Call Identifier (QoL-2001-3)

and

Open call for proposals for Training fellowships, SME specific measures,
Accompanying Measures and Support for Research Infrastructures

Published 06 March 1999, revised 12 Aug 1999 (C229/08), 15 Dec 1999 (C361/07),
06 Jun 2000 (C155/10) and 30 Sep 2000 (C278/09)

Call identifier (1999/C 64/13)

3rd EDITION, NOV 2000

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

A_PG2_EN_2001.doc

IMPORTANT CHANGES AND HIGHLIGHTS

➤ *Evaluation of proposals:*

<p>A new version of the FP5 Manual of Proposal Evaluation Procedures (the FP5 Evaluation Manual) was adopted by the Commission on July 14, 2000. The new version of the Evaluation Manual is available on CORDIS at the following address: http://www.cordis.lu/fp5/src/evalman.htm</p> <p>There are two important changes made to the procedures for checking the eligibility of proposals received:</p> <ul style="list-style-type: none"> - Original signatures are no longer a requirement (faxes and/or photocopies will therefore be accepted) - The deadline for the calls will be a single fixed reception date at the Commission, identical for all participants 	<p>In addition, Annex H of the manual, relating to the Quality of Life programme, was updated in March 2000, introducing a global threshold mark for the evaluation (under which a proposal may not be funded) and slightly modified weightings (for the calculation of the global mark attributed to a proposal) (see http://www.cordis.lu/life/src/ptc_notice.htm)</p> <p>① ➡ ADDITIONAL UPDATE WILL TAKE PLACE. PLEASE CONSULT THE LATEST VERSION OF THE EVALUATION MANUAL ON CORDIS (http://www.cordis.lu/fp5/src/evalman.htm)</p> <p>The VADE MECUM for Experts taking part in proposal evaluation in the Quality of Life programme (4th Edition 2000) provides more user-friendly guidance on the evaluation (http://www.cordis.lu/life/src/part_docs.htm#vm)</p>
--	--

➤ *Relevance of proposals:*

<p>Information on the relevance of other EU policies to research (assessed in the relevance criteria of the evaluation) can be found at: http://www.cordis.lu/life/src/lib-pol.htm. Additional documents on the interpretation of relevance criteria according to the specificity of several Key Actions are annexed to the above mentioned Vade Mecum</p>
--

➤ *Anonymity*

<p>With respect to anonymity requirement of Part B of proposals for shared-cost R&D, demonstration, combined projects and cluster proposals (except proposals for projects in support of research infrastructures and proposals for integrated projects), see explanation at the end of Appendix 1A of this Guide and detailed guidelines on the quotation of scientific references provided in the separate flyer that can be found in this Information Package</p>

➤ *Support to applicants and participants*

<p>A FP5 Management web site has been newly set up at: http://www.cordis.lu/fp5/management/</p>

➤ *Integrated projects in "Genomics and Human health"*

<p>In the context of the Commission initiative on Genome research for human health, a separate Information Package will be dedicated to the additional line 8.5 on 'Integrated projects in "genomics and human health"' in Area 8 on Research into Genomes and Diseases of Genetic Origin. Regularly updated information is available on: http://www.cordis.lu/life/generic/integ_proj.htm</p>
--

➤ *Demonstration projects*

*SMEs specific
measures measures*

*Accompanying
Fellowships*

<p>More details on demonstration projects can be found under points IV.2.1.2 and IV.2.1.3 of this part of the Guide</p>	<p>Details on SMEs specific measures are provided in the Annex IV of Work Programme 2001, in box 2 of Part 1 of the Guide and under points IV.2.1.4 and IV.2.1.5 of this part of the Guide. The address of the specific web site is: http://www.cordis.lu/sme/</p>	<p>Strategic initiatives through accompanying measures are sought. Details can be found in Annex I of Work Programme 2001</p>	<p>Information on "Marie Curie training fellowships » are given in point IV.2.4 of this part of the Guide and on the specific web site: http://www.cordis.lu/im_proving</p>
---	---	---	--

Foreword – Part 2

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). 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 (4th Edition 2000) is also available on CORDIS (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 and 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.

Contents – PART 2

IMPORTANT CHANGES AND HIGHLIGHTS.....	2
FOREWORD – PART 2	3
IV. SPECIFIC INFORMATION FOR THE SPECIFIC PROGRAMME “QUALITY OF LIFE AND MANAGEMENT OF LIVING RESOURCES”. FIXED DEADLINE CALL FOR PROPOSALS OF 15 NOVEMBER 2000 AND OPEN CALL FOR PROPOSALS OF 06 MARCH 1999	5
IV.1. INTRODUCTION	5
IV.2. TYPES OF ACTIONS	6
IV.3. PROPOSAL PREPARATION.....	13
IV.4. SUBMISSION OF PROPOSALS	15
IV.5. DEADLINES.....	17
IV.6. DELIVERY OF PROPOSALS	17
IV.7. SUPPORT FOR PROPOSERS.....	18
IV.8. USEFUL REFERENCES ON LINE.....	19
IV.9. CHECKLIST FOR SUBMISSION	20
IV.10 KEYWORDS TO BE USED IN THE PROPOSAL SUBMISSION FORM A1	21
APPENDIX 1: APPLICATION FORMS AND PROPOSAL DESCRIPTION	23
APPENDIX 1A: GUIDELINES FOR DRAFTING PARTS B AND C FOR SHARED-COST RTD PROJECTS, ACCOMPANYING MEASURES, CO-ORDINATION PROJECTS (CONCERTED ACTIONS AND THEMATIC NETWORKS) AND CLUSTERS PROPOSALS	24
APPENDIX 1B: PROPOSAL SUBMISSION FORMS PARTS B AND C FOR SHARED-COST RTD PROJECTS, ACCOMPANYING MEASURES, CO-ORDINATION PROJECTS (CONCERTED ACTIONS AND THEMATIC NETWORKS) AND CLUSTER PROPOSAL.....	28
APPENDIX 1C: SPECIFIC REQUIREMENTS CONCERNING ETHICAL ISSUES AND SAFETY ASPECTS	36
APPENDIX 1D: PROPOSAL SUBMISSION FORMS FOR INCO BURSARIES	39
APPENDIX 2: NOTIFICATION OF INTENTION TO PROPOSE (PRE-REGISTRATION).....	40
APPENDIX 3: ACKNOWLEDGEMENT OF RECEIPT FORM	41
APPENDIX 4: IMPLEMENTATION MODALITIES : OVERVIEW	42
APPENDIX 5: CONTACT POINTS	44
APPENDIX 5A: CONTACTS POINTS WITHIN THE EUROPEAN COMMISSION.....	44
APPENDIX 5B: NATIONAL CONTACT POINTS.....	48
APPENDIX 6: EVALUATION GUIDELINES	57
6.1. BASIC PRINCIPLES.....	57
6.2. THE EVALUATION PROCEDURE.....	58
6.3. CRITERIA USED FOR PROPOSAL EVALUATION	61
6.4. ETHICAL ISSUES AND SAFETY PROVISIONS.....	63
6.5. WEIGHTING OF THE EVALUATION CRITERIA AND THRESHOLDS.....	65
6.6. STEPS FOR THE EVALUATION OF CLUSTERS AT PROPOSAL STAGE IN THE QUALITY OF LIFE PROGRAMME....	66
6.7. SPECIFIC PROCEDURE FOR BURSARIES FOR YOUNG RESEARCHERS FROM DEVELOPING COUNTRIES.....	67

PART 2

IV. Specific information for the specific programme “QUALITY OF LIFE AND MANAGEMENT OF LIVING RESOURCES”. Fixed deadline call for proposals of 15 November 2000 and Open call for proposals of 06 March 1999

IV.1. Introduction

The information given in this PART 2 includes information on the Calls for Proposals covering:

1. Fixed deadline call for proposals for shared cost, collaborative RTD¹ actions, including INCO bursaries. **Call identifier (QoL-2001-3)**. Call published on 15 November 2000 (O.J. C 324 and
2. Open call for proposals for Training fellowships, SME Specific Measures (Exploratory Award and CRAFT), Accompanying Measures and Support for Research Infrastructures. **Call identifier 1999/C 64/13**, published on 06 March 1999, amended on 12 August 1999 (1999/C 229/08)², 15 December 1999 (1999/C 361/07)³, 06 June 2000 (2000/C 155/10)⁴ and on 30 September 2000 (2000/C 278/09)⁵. A fifth corrigendum will be published mid-November. Information will be available on CORDIS (<http://www.cordis.lu/life/calls/calls.htm>).

Please refer to the official text of the two Calls for Proposals and its amendments, which is part of the Information Package or may be accessed via the programme web site at: <http://www.cordis.lu/life/calls/calls.htm>.

1) Fixed deadline call for proposals of 15 November 2000:

The fixed deadline call of the programme “Quality of Life and Management of Living Resources”, issued on 15 November 2000, requests proposals by a fixed deadline, following which evaluation will take place, and following which no other proposal will be considered under this call notice.

Submission is requested for certain types of action within specified areas of activity. For the call of 15 November 2000 the type of actions requested and the corresponding areas of activities open for submission are:

TYPE OF ACTIONS	AREAS OF ACTIVITIES
<ul style="list-style-type: none"> ➤ R&D projects, ➤ Demonstration projects, ➤ Combined projects, ➤ Thematic Networks and ➤ Concerted Actions. 	<ul style="list-style-type: none"> ➤ The areas covered by the six key actions⁶ except area 1.1 and 1.2⁷ and ➤ Areas 7.2/7.3, 8.3/8.4⁶, 9.3/9.4, 10.1/10.2, 11, 12 and 13 of “Research and Technological Development Activities of a Generic Nature”⁷

Please note that the deadlines for receipt of proposals vary for different areas (and sub-areas) of activities. The deadlines are given in the call text.

A detailed description of the types of actions can be found in Section IV.2. of this Guide.

Proposals for R&D, demonstration and combined projects may include applications for **Bursaries for young researchers from developing countries** in conjunction with their RTD proposals, using the special application form supplied (see also box 1 in Part 1 of this Guide).

¹ Collaborative RTD actions include R&D, demonstration and combined projects

² O.J. C 229, 12.8.1999, p. 13

³ O.J. C 361, 15.12.1999, p. 14

⁴ O.J. C 155, 6.6.2000, p. 12

⁵ O.J. C 278, 30.9.2000, p. 32

⁶ For area 6.1, 8.3 and 8.4, some actions are not called for. See the Year 2001 Work Programme for more details.

⁷ Nevertheless, proposals which stem from exploratory award in area 1.1, 1.2, 7.1, 8.1, 8.2, 9.1 and 9.2 will be supported.

2) Open Call for proposals of 06 March 1999:

The open deadline call of the programme “Quality of Life and Management of Living Resources”, issued on 06 March 1999 and amended on 12 August 1999, 15 December 1999, 06 June 2000 and 30 September 2000, request proposals for continuous submission, under which proposals will be evaluated at fixed intervals (for which cut-off dates for receipt are given) (see <http://www.cordis.lu/life/calls/calls.htm>)

Submission is requested for certain types of actions within specified areas of activity. For the call of 06 March 1999 the type of actions requested and the corresponding areas of activities open for submission are:

TYPE OF ACTIONS	AREAS OF ACTIVITIES
<ul style="list-style-type: none"> ➤ Training Fellowships, ➤ SME specific measures (Exploratory Award and CRAFT), and ➤ Accompanying Measures 	<ul style="list-style-type: none"> ➤ All research areas covered by the Work Programme
<ul style="list-style-type: none"> ➤ R&D projects ➤ Demonstration projects ➤ Combined projects ➤ Thematic Networks and ➤ Concerted Actions 	<ul style="list-style-type: none"> ➤ “Support for Research Infrastructures”

Please note that the cut-off dates for proposals vary for different areas (and sub-areas) of activities. These dates are given in the call text.

A detailed description of the types of actions can be found in section IV.2. of this guide.

Proposals for R&D, demonstration and combined projects may include applications for **Bursaries for young researchers from developing countries (INCO)** (see also box 1 of Part 1 of this Guide) in conjunction with their RTD proposals, using the special application form supplied.

Note: Neither the call for expressions of interest for topics concerning integrated projects in functional genomics relating to human health nor the dedicated call (action line 8.5 of Work Programme 2001) are included in this Guide for Proposers. Detailed information is available on CORDIS at: http://www.cordis.lu/life/generic/integ_proj.htm

IV.2. Types of actions

The types of actions supported by the above mentioned calls are:

1. Shared-cost actions (R&D, combined and demonstration projects and SME specific measures)
2. Concerted actions
3. Thematic networks
4. Marie Curie Training Fellowships
5. Accompanying measures
6. INCO bursaries

In addition, the Quality of Life programme encourages the submission of “Cluster” proposals, which are essentially a cluster of sub-projects (“component” projects). Cluster proposals are described in more detail in section IV.2.7.

Details of the different implementation modalities are given below. Proposers should check thoroughly whether their research proposal conforms to the descriptive and qualifying conditions given below.

IV.2.1. Shared-cost actions

The following points must be clearly addressed in all shared cost actions (R&D, demonstration and combined projects, CRAFT and Exploratory Awards):

- The novelty of the approach, technology, etc. must be comprehensively described and compared with the current state of the art. In addition, the risks related to the novelty should be discussed.

- The proposed project should be pre-competitive (i.e. the results would require further development in order to produce any marketable products or processes). This does not apply to demonstration projects where pre-competitiveness is associated to the novelty of the technology or practice to be demonstrated.
- It should be made clear how the project can have a positive economic and/or social impact, benefiting the European citizen and meeting the objectives of the specific key action or generic activity.
- The projects must include a balanced transnational partnership involving at least two contractors (independent institutions) from different Member States or one Member State and one Associated State. The partnership should include all necessary competence in order to perform the stated tasks and to fulfil the project objectives.
- Non-EU participation is permitted, if participation adds value to the implementation of the project (see box 5 in Part 1 of this Guide for further details, including funding modalities).
- All Intellectual Property Right (IPR) aspects should be addressed, such as the appropriate protection of the knowledge generated in the course of the project (patent filing) and its subsequent exploitation, including licensing.⁸
- The partners must take into account and clarify in the proposal all legal, ethical and regulatory aspects (such as the directives on field releases, clinical trials, medical devices), that might have a bearing on future implementation of the technology (see Appendix 1C of this Guide). Where appropriate, any later requirements for CE marking should be taken into account.
- The average duration of a project will be 36 months. However both shorter and longer projects can be accepted under certain circumstances. The duration should, however, not exceed 48 months. Please refer to the specific call text for further detail.
- The RTD proposal submission forms must be used, with a clear indication of what type of shared cost action is planned.

Additional points to be addressed in the different types of shared-cost actions are given below.

IV.2.1.1 Research and technological development (R&D) projects

The research projects are designed to obtain new knowledge likely to be useful either to develop or significantly improve existing products, processes and services or to meet the needs of society.

- The research objectives of the projects must be clear and should aim at producing new knowledge (i.e. to understand, to investigate, to determine, to characterise, to develop, to improve, etc.) in the areas as defined under the key actions or in the generic activities.
- The financial contribution of the Community will be at a level of 50% of the eligible project costs (including costs for co-ordination, intellectual property protection and preparation of “a dissemination/exploitation plan”)⁹. In the special case of legal entities not keeping analytical accounts, the additional costs generated in the frame of the project will be financed at the rate of 100%.

IV.2.1.2. Demonstration projects

Demonstration projects are projects designed to prove the viability of technologies that cannot be commercialised directly. Demonstration should aim at bridging the validation gap encountered by some novel technologies, methodologies or processes by transforming laboratory results into tangible technologies. The validation of a technology on a realistic scale facilitates the transfer to the market or to clinical practice. With the creation of an early awareness and adhesion of all parties interested in the

⁸ The specific rules concerning ownership to and rights of exploitation of the Intellectual Property generated within the project can be found in box 98 “Intellectual Property Rights” in Part 1 of this Guide and from the “Model Contracts”, which are available from <http://www.cordis.lu/fp5/mod-cont.htm>.

⁹ See also section III.7 and box 8 in Part 1 of this Guide and <http://www.cordis.lu/fp5/financial-guides.htm> on further details on costs.

new technology (producers, users, authorities, consumers, patients, etc.) early signals can be sent to policy makers, to the general public and to potential future exploiters.

- The demonstration objectives of the projects must be clear and should aim to demonstrate, to validate, to establish, and to prove etc., the benefits of the new technology on a realistic scale.
- The key success factors of the technology (technical, economic, social, etc.) must be comprehensively described together with its benefits in comparison with established and competing alternatives.
- It is a prerequisite that the partners should involve both technology producers and technology users.
- The readiness of the partners to enter into the demonstration phase as well as the timing of the demonstration is crucial and should be clearly shown. The key issues are: a) sufficient knowledge to implement the demonstration, b) adequate scale and c) acceptable risk of failure. The novelty of the technology to be demonstrated is a prerequisite (either a new technology or a new application of an existing technology). The partners should be able and ready to build a “prototype”, or in other words, it should be possible to give the description of the technical concept including details showing that the construction can be made without further investigations¹⁰.
- The strategy for future implementation and/or exploitation of the project results must be clearly described including IPR strategy (patents, licensing), technology transfer, establishment of new enterprises, etc. All potential hurdles for the implementation of the technology must be identified and discussed. This implies a substantial risk assessment study (including technical, commercial managerial and financial elements).
- A strategy for dissemination of project results must be included. Plans for association to and interaction with existing, or *ad hoc* created, *Extended Audiences*, which includes industries, interest organisations, authorities, or other groupings that need to be convinced of the benefits of the new technology or may play a future role in its acceptance¹¹, should be detailed. The Extended Audience should normally not be included as a contractor within the project and any disclosed information to the Extended Audience should not endanger future exploitation of the technology.
- Risks and uncertainties in connection with the demonstration must be described and discussed in detail. A well-prepared contingency plan should be presented. This implies an extensive risk assessment study (including technical, commercial, managerial and financial elements).
- Demonstration projects will be financed by the Community at a rate of 35% of the eligible project costs¹², (including costs for co-ordination, eligible costs for intellectual property protection and preparation of a “business/exploitation plan”, see also boxes 7 and 8 in Part 1 of this Guide). In the case of legal entities that do not keep analytical account, the additional costs generated, as a result of these projects will be financed at the rate of 100%.
- The IPR regime of Demonstration projects is different from R&D projects. In general, there are no access rights of third parties to pre-existing know-how and knowledge generated by the project partners. (see also box 9 of Part 1 of this Guide and details of the model contract for demonstration projects at: <http://www.cordis.lu/fp5/mod-cont.htm>.)

IV.2.1.3. Combined R&D and demonstration projects

Combined projects are projects with both a research and a technological development and demonstration component. They will be financed at a level corresponding to the weighted average of the levels applicable to the two components.

¹⁰The word “prototype” should be taken in a broad sense. It could, for example, be a prototype vaccine where the safety and efficacy are to be demonstrated: i.e. pilot testing corresponding to Phase I and II clinical trials, with a low number of subjects, preceding full scale clinical trials.

¹¹The Extended Audience to the project should be given the possibility to examine the technology under demonstration, to challenge it, to identify its weaknesses, to have their objections taken into account and answered, already during the project.

¹²The reduced funding rate is associated with a stronger control of the IPR generated in the project by the consortium, i.e. third parties do not have any access rights to the knowledge generated in the project.

- Section IV.2.1.1 and IV.2.1.2 apply for the R&D and demonstration part of the proposal, respectively.
- Each work package has to clearly state the research or demonstration objectives. The total rate of Community funding will be a balanced average of the different work packages. In the special case of legal entities that do not keep analytical accounts, the additional costs generated as a result of these projects will be financed at the rate of 100%.

IV.2.1.4. Co-operative research projects (CRAFT)¹³

Co-operative Research Projects (CRAFT) is a specific measure for small and medium sized enterprises (SME). It allows SMEs with similar technical problems but insufficient research means to engage third parties for carrying out research on their behalf. The third parties, called “RTD Performers” can be Academic Institutions (EDU), Companies (IND) or Research Organisations (ROR).

- Co-operative Research Projects must have a core group of three SMEs from at least two different Member States, or one Member State and one Associated State. These SMEs must fulfil the SME definition and specific eligibility conditions. The co-ordinator of the CRAFT project must be one of the SMEs of the core group.
- The European Community will fund 50 % of the total eligible project costs. The RTD performer will be fully paid for the work performed. The core group SMEs will own the results obtained in the project.
- The RTD performers must be from Member States or Associated States. They cannot be affiliated with any other partner in the project and their costs shall not account for more than half of the total project cost.
- The projects can have a duration of between 12-24 months.

IV.2.1.5. Exploratory awards¹³

Exploratory awards are granted to SMEs to cover part of the costs of preparing a Step 2 proposal, i.e. a proposal for a future shared cost action (e.g. CRAFT, research, demonstration or combined project).

- Activities related to the proposal preparation are: detailed project planning and writing of step 2 proposal, feasibility check, market analysis, novelty verification and search for additional partners. The exploratory phase should not exceed 12 months. A resulting proposal can be submitted at any time during this period. Specific deadlines for Key actions and generic activities must however be followed¹⁴.
- The outline proposal must include at least 2 eligible SMEs from 2 different Member States, or one Member State and one Associated State. However for all activities except key actions 5, one SME and one end user are accepted.
- The Exploratory Award will cover 75 % of the eligible costs of the proposal. The maximum Community contribution is 22.500 €, i.e. maximum eligible project costs are 30.000 €. Payment will be made only after submission of an eligible Step 2 proposal and the delivery of a short activity report.

IV.2.2. Concerted actions

Concerted Actions are intended to support the co-ordination of RTD tasks already financed at national level in order to exchange experience acquired, to expand the research efforts of the various players so as to reach a critical mass, to disseminate results and to inform users. Concerted actions can be considered when the pooling of data would facilitate common interpretation of facts and contribute to

¹³ Detailed information on the specific conditions applying to CRAFT and Exploratory Awards (SME eligibility conditions, evaluation criteria, and special contractual conditions) is available in the Information brochure for “SME Specific Measures”, to be obtained through the SME helpdesk (tel.: +32-2-295-7175; fax: +32-2-295-7110; e-mail: sme@cec.eu.int; web site: <http://www.cordis.lu/sme>). See also box 2 in Part 1 of this Guide.

¹⁴ Please consult the “roadmap” of the current Year 2001 Work programme to obtain information which areas and types of activities are planned to be open in future calls.

the development of harmonised standards, procedures, methodologies, processes or common research instruments. Each concerted action must have a project leader whose task is to co-ordinate, together with a steering group, the activities carried out by the various research teams towards the defined objectives and targets.

The Community will provide 100% of the eligible costs of co-ordination, for activities such as:

- Administrative and scientific support directly derived from the needs of the project, i.e. the building and managing of the research network for joint data gathering and/or experiments.
- Organisation of meetings (all types).
- Short term international staff exchanges within the network.
- Preparation, exchange or circulation of reference material.
- Centralised data handling.
- Dissemination of information and results.

IV.2.3. Thematic networks

These projects are designed to bring together, for instance, manufacturers, users, universities, research centres, organisations and research infrastructures around a given scientific and technological objective, so as to facilitate co-ordination of activities and transfer of knowledge.

Thematic networks should foster European added value in optimising scientific networking, co-ordination, exploitation and dissemination. They should facilitate the incorporation and transfer of knowledge and co-operation between researchers and users. They should also ensure that market and consumer needs are taken into account and that society is informed of the potential and benefits of the scientific and technical advances of their RTD. A thematic network might include institutions such as foundations, industrial platforms, professional associations, patients' organisations etc., which are not in receipt of EC or national funding.

Also covered would be the co-ordination of work needed to promote a new and emerging area of research in Europe or as a prerequisite to the possible launching of a shared-cost project or a cluster at a later stage.

A thematic network might also constitute the appropriate structure for co-ordinating various EC funded projects that address a similar objective, thus constituting a *cluster project* (please refer to section IV.2.7 for further details on clustering). Between these approaches, all hybrids formats, networking EC-funded activities, national projects to their appropriate audience or partners (including, for instance consumer organisations, patients' associations, platforms of users, regulatory authorities, etc.) are acceptable. The presence in the network of EC-funded project(s) is not a pre-requisite.

Community funding will cover 100% of the additional eligible costs of co-ordination and implementation of the thematic networks and of co-ordination costs, which are identical to those, described under the Concerted Action section (IV.2.2).

IV.2.4. Marie Curie training fellowships¹⁵

Individual fellowships, where individual researchers apply for a fellowship, or host fellowships, where institutions apply to host researchers, are foreseen.

In particular, three categories of Marie Curie Individual Fellowships will be offered:

- **Marie Curie Individual Fellowships (Category 30)**
These fellowships are awarded to young post-doctoral researchers, or researchers of an equivalent level, for research training in an institution in another Member or Associated State.
- **Marie Curie return Fellowships (Category R)**
The purpose of category R fellowships is to allow Marie Curie Category 30 fellows (see above) from less-favoured regions to re-establish themselves in a less-favoured region in their country of nationality or residence.

¹⁵ Detailed information on the specific conditions applying to "Marie Curie training fellowships" is available through a specific Information brochure, to be obtained through the IHP helpdesk (fax: +32-2-296-9926; e-mail: improving@cec.eu.int, web site: <http://www.cordis.lu/improving>). See also box 3 in Part 1 of this Guide

- **Marie Curie Experienced Researchers Fellowships (Category 40)**
The purpose of category 40 fellowships is to allow experienced researchers to transfer knowledge and technology between industry and academia, or to contribute to the scientific development of institutions in less-favoured regions.

Regarding Marie Curie Host Fellowships to organisations proposing to host a number of young researchers within a research area the two following schemes will apply:

- **Marie Curie Industry Host Fellowships**
Fellowships awarded to registered companies for the training of young post-graduate and post-doctoral researchers in an industrial environment.
- **Stays at Marie Curie Training Sites**
This scheme will support short stays by young researchers pursuing doctoral studies, providing them with the possibility of undertaking part of their doctoral studies in a country other than their own.

IV.2.5. Accompanying measures¹⁶

Accompanying measures are innovative, strategic activities, which contribute to the implementation of the Quality of Life programme or to the preparation of future activities. They should help the programme to achieve its objectives (as set out in the Work Programme) more quickly and effectively. They should have an impact which is felt long after the measure itself is complete. This can be achieved for example by organising measures to catalyse certain situations, to prepare and launch new ideas, or by specific training activities. Accompanying measures must always provide European Added Value and be directly relevant to EU research policy.

In addition to measures of relevance to specific key actions and generic activities, strategic initiatives are sought in the areas described in Annex I of the Work Programme 2001. The proposed activities should cover areas such as:

- Studies, information exchange and awareness
 - Studies
 - Workshops and scientific and technical meetings
 - Conferences
 - Publications and dissemination of information
 - Information and communication activities
- Support, assistance and training
 - Protection of intellectual property (e.g. patent application)
 - Training actions in support for RTD activities (other than Marie—Curie fellowships), addressing research players and users
- Promotion of dissemination, transfer and exploitation of results
 - Innovation support networks and events, such as Investment fora, brokerage events
 - Measures addressing SME's of specific sectors covered by the Quality of Life programme to the Framework (to promote participation to FP5, to stimulate RTD and innovation activities of these SME's, etc.¹⁷).
- Other activities
 - Activities addressing the development of methodologies for assessing impact of the programme and
 - Activities of enhancing co-ordination and synergy within Europe (among Member States and the Commission)

Measures devoted to the commercialisation of products, processes or services, marketing activities and sales promotion are excluded.

¹⁶ See also Annex I of Work Programme 2001: Strategic Initiatives through accompanying measures.

¹⁷ General information and assistance actions to promote participation of SMEs in SME specific measures are supported by the horizontal programme "Innovation and participation of SME's"

A contribution can be granted to applicants whose proposal can demonstrate a clear link to the Programme and a sufficient European dimension for their activity. Community funding may be up to 100% of the eligible costs of the measures. Eligible costs consist of personnel, durable equipment, travel and subsistence, subcontracting, consumables, computing, other specific costs and overheads, as they are detailed in box 8 in Part 1 of this Guide. Other source of funding should also be indicated in the proposal (e.g. income from registration fees). The scale of EC funding will reflect the type of the project, the benefit to the Community, taking into account the possible benefit to the proposer, and the quality of the project.

Proposals for accompanying measures have to plan a starting date for the intended activity **at least six months** after the cut-off date (see roadmap in Work Programme 2001) set for the batch of proposals for which they are submitted.

IV.2.6. INCO-bursaries

Proposers for Research, demonstration and combined research and demonstration projects may include applications for **Bursaries for young researchers from developing countries** in conjunction with their RTD proposals, using the special application form supplied. Further information is given in box 1 of Part 1 of this Guide.

The evaluation of INCO-bursaries is briefly described in Appendix 6 of Part 2.

For further information on the activities of the horizontal programme on “International Co-operation” consult the respective web site under the CORDIS server or contact the INCO helpdesk.

IV.2.7. Clusters

Clustering mechanisms may vary according to agreements between participants, particularly with regard to their willingness to co-operate and to gather the resulting information, as well as to the timing of when the cluster is prepared and finalised.

A. A-Priori Cluster (or clusters at conception stage)

A first possibility is for the participants to submit a single proposal, thus integrating several component projects **at the conception stage**. These *a priori* clusters should only group together complementary “component” projects (shared-cost R&D, demonstration and combined projects) that focus on a common objective. This does not include co-operative research projects, exploratory awards, thematic networks and concerted actions.

The content of each component project must be presented in the same way as would be any individually submitted project¹⁸. This means, *inter alia*, that it should conform to the anonymity rules, to the specific features detailed under *implementation modalities* and take into account the evaluation criteria presented in Appendix 6 of Part 2 of the Guide.

Being a single proposal, an “a-priori” cluster will be evaluated normally, as all other proposals, according to the same selection criteria mentioned in the relevant call for proposals. The subject matter of the majority of the cluster proposal should relate to areas of the Work Programme that are open for that particular call deadline. The applicant should submit any proposal that concerns more than one action line to the action line covered by the majority of the activities. Its evaluation will be carried out under that respective action line with additional evaluation expertise being made available where necessary to cover other parts of the proposal.

- This possibility will in general lead to the signature of a single RTD contract. Please note that, in this case, all contractors regardless of the component projects they are involved in will share the access right to exploitation and that only one co-ordinator, the cluster co-ordinator, might foresee co-ordination costs.

For additional information on details of submission, please refer to the Parts B and C of the proposal forms for a Cluster (see Appendix of Part 2 of the Guide).

¹⁸ As described in Parts B and C of the application forms

B. A-posteriori clusters (or *Clusters at negotiation stage*)

A second possibility is the clustering of independently and separately submitted and selected proposals **during the contract finalisation phase**. This might be either on the initiative of the Commission, on the basis, *inter alia*, of expert opinions and in full agreement with the participants or on the own initiative of the applicants.

This type of situation can lead, depending on the willingness of participants to integrate their projects, to three different contractual situations:

- A single RDT contract when the proposers want fully to integrate their projects and have a full exchange in terms of Intellectual Property Rights
- Complementarity clauses between individual contracts when the integration and the IPR exchange are partial. This will be fully negotiated between contractors.
- An additional co-ordination contract (thematic network), when only co-ordination between contracts is required.

Clustering at negotiation stage should be considered especially where

- the cluster includes several major individual projects clearly corresponding to different Actions (e.g., one in Key Action 1, two in Key Action 2 and One in Generic activities),
- the consortium wishes to include such project types such as thematic networks, concerted actions, co-operative research projects, etc., which cannot be included in an a-priori clusters,
- the consortium wish to limit the access right to exploitation to partners within individual projects, thus limiting the access rights of contractors from the other projects to those agreed upon in the complementary clauses.

For additional information on details of submission, please refer to the Parts B and C of the proposal forms for a Cluster (see Appendix of Part 2 of the Guide).

C. Clustering by amendment (or *clusters at execution stage*)

The third possibility concerns **already existing, individual contracts** evaluated in different calls for proposals in the same activity area or in different areas.

This clustering will take two possible contractual forms:

- A complementarity clause between individual contracts, when the participants want to integrate their research efforts but limit mutual access rights. These will be negotiated between contractors.
- An additional co-ordination contract (thematic network), when only co-ordination between contracts is required.

This clustering approach should be favoured

- when the topics of several major individual projects clearly correspond to different deadlines or calls within the Programme (e.g., one in an area of Key Action 3 with a deadline in 2000, one in an area of Key Action 4 closed in 2000 and open in 2001, and one already selected in 1999 in Generic activities),
- when the individual projects cover different programmes.

IV.3. Proposal preparation

IV.3.1 Proposal language

Proposals may be submitted in any official language of the European Union. If your proposal is not in English, a translation of the major parts of your proposal would be of assistance to the evaluators and an English translation of the abstract and proposal summary should be included in Part A of the Proposal Submission Form.

IV.3.2 Proposal structures and submission forms

Forms have been prepared which collect the information required for each proposal - the Proposal Submission Forms. These are designed both to ensure that all necessary information is collected and also to allow a fair and equal comparison between proposals. There are several versions, differing

according to the types of action proposed (RTD projects – including Demonstration projects, Accompanying measures, Concerted Actions, etc.). **Proposers must ensure they are using the appropriate form for the type of action they are proposing**¹⁹.

- The Proposal Submission Form for RTD, demonstration and combined projects comes in three parts.
 - **Part A** (which consists of pre-prepared forms to be filled in) collects 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 expense etc.). This information is collected to assist in the preparation of a contract if the proposal is successful. It is subject to verification by the Commission services.
 - **Part B** (which unlike Part A is in the form of a structure or list of topics which should be followed, rather than a pre-prepared form) describes in detail the nature of the work which will be undertaken. This section **must be “anonymous”**, that is to say, it may contain no information which reveals the identity of participants.
 - **Part C** (which is also in the form of a structure to be followed) then identifies and describes fully the partners and their role in the consortium and in the proposed project. It also describes the European added value of the proposed project, the contribution to EU policies and social objectives, prospects for scientific technological and economic development, the exploitation and/or dissemination plan and finally a list of reference (if appropriate). Evaluators will receive Parts A and C of a proposal to review only after they have recorded their scores for Part B, except if otherwise specified.

For projects being either a **research** or a **demonstration** project, the proposers need to make only one proposal description.

For a **combined research and demonstration** project, the general rule is that the proposal should be made in two parts, one describing the research part and one covering the demonstration part. The proposing consortium must in this case make two separate descriptions of Parts B and C and also two A4 cost sheets, one for each part. In the cases, where it is impossible to separate clearly the research and demonstration parts of the proposal, the consortium may make one proposal description, but must in the A4 cost sheet use a percentage for funding that reflects the relative weight of the two phases in the project.

Details on how to prepare **an a priori cluster proposals** are given in Appendix 1 of this Guide.

- The proposal submission forms for **Accompanying measures** and for **Concerted actions / Thematic networks** are similarly divided into Parts A, B and C.
- There are special forms for **Bursaries for young researchers from developing countries**, which are requested in conjunction with an RTD, demonstration or combined project proposal: Part A provides administrative information, while Part B provides a description of the bursary as well as the Curriculum Vitae of the applicant.
- **Marie Curie Fellowship** applications and applications for the **SME-specific measures** included in the Fifth Framework Programme also have their own forms, which are included in the specific Guides for Proposers that have been prepared for these actions.

The form for *acknowledgement of receipt* must be attached to the proposal in order to ease confirmation of receipt of the proposal.

All these forms are available from CORDIS: http://www.cordis.lu/fp5/src/forms_a.htm.

Note: Specific forms and a guide for applicants for expressions of interest (deadline 9 February 2001) for topics concerning integrated projects in functional genomics relating to human health” (action line 8.5 of Work Programme 2001) are available on CORDIS at: http://www.cordis.lu/life/generic/integ_proj.htm. Information on the dedicated call for integrated projects will be made available on the same site.

¹⁹ Forms are available from CORDIS: http://www.cordis.lu/fp5/src/forms_a.htm.

IV.3.3 Proposal preparation Tool (Pro-Tool)

The Commission has prepared a software tool (the Proposal Preparation Tool or “ProTool”) which is available on CORDIS : <http://www.cordis.lu/fp5/ptool/>. This tool helps proposers to prepare the administrative and financial information of a proposal (Part A) in conformity with the appropriate Proposal Submission Form. This tool is therefore used by the Co-ordinating Partner. A version of the tool is also available for participants, allowing them to prepare their contribution electronically for electronic communication to the Co-ordinating Partner.

ProTool includes help-texts and references, as well as assistance in making the forms complete and consistent and assembling Part A with Parts B and C. Its use supports proposers as well as the Commission services with high quality and efficient entry of administrative data.

Once the proposal has been prepared with the tool, it may be sent either electronically or on paper, as preferred by the proposers.

IV.3.4 Proposal anonymity

For proposals for shared-cost R&D, demonstration and combined projects and cluster proposals (except proposals for projects in support of research infrastructures), Part B must be anonymous. In Part B, which contains the description of the content of the proposed project, there must be no reference to the names of the organisations involved in the consortium or any information by which they may be identified, including proposers names in bibliographic references²⁰ (those could be in Part C10 of the forms). Participants must be referred to by the codes and numbers assigned in the Proposal Submission Form Part A, sheet A3.

IV.3.5 Optional pre-proposal check

This service is not offered by the Quality of Life programme.

IV.3.6 Notification of intention to propose

For the Quality of Life programme, this procedure only applies in case of electronic submission. The proposer requests a proposal number using Appendix 2. The requested proposal number is sent back to the proposer by fax or electronic mail from the Commission.

IV.4. Submission of proposals

IV.4.1 Introduction

If the proposal has been prepared on paper following the format given in the appropriate Proposals submission Form, it may be submitted on paper to the European Commission.

If the proposal is made with the Pro-Tool and is then printed out on paper, this paper version may also be submitted.

If the proposal has been made with the Pro-Tool it may be submitted electronically. This electronic submission may be made by any member of the consortium (not only the Co-ordinating partner). The partner who makes the submission must obtain certification (see below) so that electronic submission can be securely carried out.

The co-ordinator must have in his/her possession either the signatures of the participants who would contribute to the funding of a project (i.e. principal contractors and assistant contractors) or the commitment letters from the participants stating that the co-ordinator is authorised to submit the proposal on behalf of the consortium and that the proposal is agreed by the partners.

IV.4.2 Submission modalities (please, see also check-list in section IV.9)

Proposers should submit either on paper or electronically, not both. If a proposal is submitted in both forms, the Commission will evaluate the electronic version.

²⁰ See specific separate flyer

IV.4.2.1 By electronic means

- **Certification**

In order that a proposal can be sent electronically to the Commission, the co-ordinator (or other partner who is submitting the completed proposal) must request in advance a certificate which will allow him/her to digitally sign the proposal.

A standard certificate (Class-II) or either a one-time certificate (Class-I) can be requested. Both are provided free of charge.

Standard certificates (Class-II) can be obtained by downloading, installing and using the ProTool. Proposers are requested to complete and sign a request form and to send this to the FP5-Certificate Service Provider. Once the FP5-CSP has received and accepted the form, a certificate will be provided. This certificate allows electronic submission of proposals for the duration of the certificate (normally one year, but extendible), without any further exchange of paper information.

This form of certificate will allow encryption of the proposal. (It should be noted that national regulations may impose certain conditions to the use of the encryption software. It is the responsibility of the proposers to ensure that such national regulations are adhered to).

One-time certificates (Class-I) can also be obtained from the FP5-CSP, by use of the ProTool and electronic communication only. This form of certificate allows electronic submission of only one proposal, for those co-ordinators who want to try the system out, or who expect not to send another proposal soon. Electronic submission with this certificate requires in addition the sending of a manually signed form A.1 from Part A of the Proposal Submission Form on paper to the Commission before the deadline set out in the relevant Call for Proposals.

This form of certificate does not provide encryption. Security is restricted to the standard available on the secure servers used (SSL).

A request for certification is made by using the ProTool.

- **Procedure**

The tool for sealing the proposal forms part of ProTool. This tool is used by the co-ordinator to package the administrative and technical proposal information parts A, B and C into one file and produce a “fingerprint” or validation file of the proposal, which uniquely identifies the proposal file. Submission of the validation file signifies the time of proposal submission. In case of communication problems this file can be printed and faxed before the deadline of the Call. The proposal itself must be electronically received no more than 48 hours after the Call deadline. While the sender will be returned an electronic message indicating successful transfer of file, this is not however the formal acknowledgement of receipt of proposal.

Holders of a Class-II certificate will also be able to encrypt the proposal file. The precise method is explained in the sealing tool.

IV.4.2.2 On paper

- **Procedure**

Where national regulations concerning the sending of data do not permit the use of encryption, and thus confidential transmission cannot be ensured; or where proposers for some other reason prefer it, proposals may be prepared using the ProTool then printed out on paper, or may be fully prepared on paper using the appropriate Proposal Submission Form.

ProTool permits preparation of proposals for the main types of activity within the Fifth Framework Programme. In exceptional cases an appropriate version of ProTool may not be available, in which case only paper submission will be possible.

This guide for proposers for the call concerned indicates the structure of the proposal required, and forms are available).

- **Number of copies:**

Paper proposals should be prepared :

- **with five bound copies of Part A**
- **with five bound copies of Part B**
- **with five bound copies of Part C,**
- **with one complete unbound paper original with signatures.**

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

- The name of the Programme to which it is submitted, the date of publication of the Call and the Call identifier;
- The proposal number (if one has been issued by the Commission);
- A reference to the work addressed by the proposal (e.g. the name or number of the key action, action line etc., as given in the Work Programme or Call for Proposals).

The package should also contain a completed “*Acknowledgement of receipt*” form (see Appendix 3) so that the Commission can return notification of safe arrival of the proposal.

This envelope/these envelopes should then be sealed within a second envelope or packaging, which is addressed to the Commission office for receipt of proposals given as specified in the call text.

Proposals on paper may be sent to the Commission by mail, by trusted delivery service

<p>On receipt, the Commission will electronically archive, under secure conditions, the validation and proposal file as received. After decryption and unpacking also a copy of the proposal as provided to evaluators will be archived electronically under the same conditions, together with the necessary information on the tools and information used to decrypt and unpack.</p> <p>If the Commission receives multiple electronic versions of the same proposal, it will evaluate only the last version received before the Call deadline, and discard the others.</p> <p>Senders are warned that the Commission cannot be held liable for unlawful use of the encryption tools provided, the use of which may be forbidden in some circumstances in some Member States.</p> <ul style="list-style-type: none"> • Electronic submission fall-back procedure <p>Failure in downloading or an inability to decrypt or read a proposal file will result in a fall-back procedure being initiated by the Commission. The Commission will within 24 hours request those proposers to submit a back-up copy of their proposal. The back-up should arrive within 48 hours and must be identical to the file produced during sealing, which will be checked by use of the unique identifier provided in the validation file. (Proposers planning electronic submission are recommended to prepare such a back-up copy in advance, for use if called for).</p>	<p>or by hand as described in the relevant call text.</p> <p>If you use more than one package, please clearly mark them 1 of x, 2 of x....</p> <p>Under the calls concerned in this guide, the delivery place of the proposals is:</p> <p>“Quality of life and management of living resources” programme Research Proposals Office Square Frère Orban/Frère Orbanplein 8 B-1000 Brussels</p> <p>When preparing a proposal on paper, the proposer must indicate the proposal short name (acronym), the proposal number (if a number has been allocated before submission by the Commission) and the date of preparation at the top of every page of the Parts B and C, and on all annexes. Pages must be clearly numbered.</p>
--	--

IV.4.2.3. Acknowledgement of receipt

Once a proposal, either electronic or paper, has been received and registered by the Commission, an acknowledgement of receipt will be despatched.

Proposers who do not receive an acknowledgement of receipt within three weeks after the deadline, and fear their proposal is lost, should contact the programme Infodesk.

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

IV.5. Deadlines

The deadlines for submission of proposals for the calls are given in the relevant call texts and are also available on CORDIS: <http://www.cordis.lu/life/calls/calls.htm>.

IV.6. Delivery of proposals

Proposals must be *received* before or on the deadline as it is specified in the call texts. The deadline is now a **single fixed reception date**²¹ at the Commission, identical for all participants and that applies equally to post, courier, hand delivery and electronic submission.

²¹ Fourth corrigendum published 30.9.2000 concerning the call for proposals for RTD actions under the Quality of Life programme (OJ 2000/C 278/09) and Fixed deadline Call for proposals QoL-2001-3 published 15 November 2000

IV.7. Support for Proposers

IV.7.1. Programme Infodesk

Proposers may ask for support through the Programme Infodesk. The contact details for the “Quality of Life and Management of Living Resources” programme is

*Quality of Life and Management of Living Resources» Programme
European Commission
Directorate General Research
Rue de la Loi/Wetstraat 200
B-1049 Brussels, Belgium*

FAX:+32.2.299.18.60

e-mail: Quality-of-life@cec.eu.int

Web: <http://www.cordis.lu/life>

NB : the above address should not be used for proposal submission !

The contact details of the contact points within the Commission and of the National Contact Points are given in Appendix 5.

Proposers should periodically check the Quality of Life Call Website on CORDIS:

<http://www.cordis.lu/life>

for the latest information.

IV.7.2. Partner search facilities

The Commission’s CORDIS server in Luxembourg (<http://www.cordis.lu/ist/eoi>) offers a number of services and information sources which may be useful in partner search for participation in this programme, as well as a list of organisations which have already expressed an interest in participating in this programme.

IV.7.3. National Contact Points

National Contact Points for the “Quality of Life and Management of Living Resources” Programme (see Appendix 5) can be helpful to organisations from their country in finding partners from other countries, and should be contacted for further information for the country concerned.

IV.7.4. Other help facilities

The Intellectual Property Rights Helpdesk

The IPR-Helpdesk has been set up to support participants in RTD programmes seeking information on Intellectual Property Rights (IPR) and related contractual issues. The activity will also aid participants in locating the assistance necessary to register, protect, and exploit their inventions. The IPR-Helpdesk offers information on these issues and guides users to the services available from national patent offices, patent agents, and lawyers in their country.

IPR-Helpdesk

64–66 avenue Victor Hugo

L-1750 Luxembourg

Tel. +352–47-11-11-1

Fax +352–47-11-11-60

e-mail: info@ipr-helpdesk.org

URL: <http://www.cordis.lu/ipr-helpdesk>

IV.8. Useful references on line

Potential proposers should consult the following documents:

Decision on the Fifth Framework Programme		http://www.cordis.lu/fp5/src/decisions.htm
Decision on the “Quality of Life and Management of Resources” Programme		http://www.cordis.lu/fp5/src/decisions.htm
Call text for “Quality of Life and Management of Resources” Programme		http://www.cordis.lu/life/src/library.htm
Work Programme “Quality of Life and Management of Resources” Programme		http://www.cordis.lu/life/src/library.htm
Evaluation Manual		http://www.cordis.lu/fp5/src/library.htm
Evaluation VADE MECUM		http://www.cordis.lu/life/src/part_docs.htm
FP 5 Management web site: financial and legal issues		http://www.cordis.lu/fp5/management/
Relevance of other EU policies to research		http://www.cordis.lu/life/src/lib-pol.htm
Proposal Submission Forms (Part A)		http://www.cordis.lu/fp5/src/forms_a.htm
ProTool Home Page		http://www.cordis.lu/fp5/prottool
Certification service for electronic submission		http://www.fp5.csp.org/
Guidelines on Major Financial Provisions for Cost Reimbursement Research Contracts		http://www.cordis.lu/fp5/financial-guides.htm
Model Contracts		http://www.cordis.lu/fp5/mod-cont.htm
National contact points	Attached	http://www.cordis.lu/fp5/src/ncps.htm
Organisations expressing interest in Call		http://www.cordis.lu/fp5/src/eoi.htm
Innovation Relay Centres		http://www.cordis.lu/irc/
Information and forms for Marie-Curie fellowships		http://www.cordis.lu/improving
Information and forms for SME-specific measures		http://www.cordis.lu/sme
INCO-web site (Bursaries, international co-operation)		http://www.cordis.lu/inco
Other programme web sites accessible via		http://www.cordis.lu/fp5/
IPR helpdesk		http://www.cordis.lu/ipr-helpdesk
European Biotechnology Node for Interaction with China EBNIC*		http://www.ebnic.org
Quality of Life Bulletin		http://www.cordis.lu/life/src/newslet.htm
Expressions of interest and integrated projects in “genomics and human health”		http://www.cordis.lu/life/generic/integ_proj.htm
Explanatory Memorandum on Clinical Trials		http://www.cordis.lu/life/src/part_docs.htm#clinical
Call for applications for inclusion on lists of experts for the evaluation of proposals		http://www.cordis.lu/expert-candidature/home.html

*Proposers considering consortia with Chinese participation may contact EBNIC for assistance and further information, including help in the identification of suitable partners for the project.

IV.9. Checklist for submission

In order to avoid last-minute problems with submission, there are a number of checks, which you should carry out.

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

- Have you ordered your certificate (using ProTool with an electronic request, and by sending the full written and signed forms) well in advance of the deadline (at least 3 weeks before is recommended)?
- Have you imported this certificate to ProTool successfully?
- Have you requested a proposal number (at least three weeks before the deadline)?
- Are all parts of the proposal (A-B-C) duly completed?
- Is Part B fully anonymous? (if applicable)²²
- Have you integrated all parts (A-B-C and the filled out acknowledgement of receipt form) of the proposal into the file to be submitted?
- Have you checked the address of the server to which to upload the proposal?
- Have you checked that the proposal prints out correctly in one of the formats: PDF, RTF, Postscript or Word, and that it does not include files of another format (do not use picture, photo, voice or video formats, or MS projects, or similar tools)?
- Last but not least: Is your proposal submitted before the deadline according to the procedure for electronic submission?

For **PAPER** submission of your proposal you should check the following items:

- Are all parts of the proposal (A-B-C) duly completed?
- Is Part B fully anonymous? (if applicable)²²
- Is your proposal prepared with five bound copies of Part A, five bound copies of Part B, five bound copies of Part C, and one complete unbound paper original?
- Does the A1 form contain the signature of the Co-ordinator? (A3 "Participant Profile/Information" form must be printed either from ProTool or using the pdf forms. They may not be submitted as faxes)
- Is the complete set of proposal documentation placed in an envelope, marked "Commercial-in-confidence", with the following information:
 - "... Programme" and date of publication of the call?
 - The Call part identifier (see call text)?
 - The proposal number (if one has been issued)?
 - A reference to the Key Action(s) and Action Line(s) addressed by the proposal (as given in the Work Programme)?
- Have you completed the "Acknowledgement of Receipt" form and included it in the package?
- If you use more than one Package, are the packages clearly marked parcel 1 of X, 2 of X, etc.? Is each parcel clearly marked as described above?
- Is the address on the package complete and correct (see call text)
- Last but not least: Is your proposal sent on time for the closing date of the call?

²² See table summarising the anonymity requirements at the end of Appendix 1A in this Part of the Guide.

IV.10 Keywords to be used in the proposal submission form A1

In the Quality of Life programme, due to the wide range of topics, there is no prescribed list of keywords. Proposers are free to use the most suitable keywords for their proposal.

Appendix 1: Application Forms and Proposal Description

Proposal Submission is in general in three parts:

- **Part A**, administrative forms, which contains legal and administrative information concerning the proposers, a proposal summary and a summary of the funding requested;
- **Part B**, which describes the work to be carried out;
- **Part C**, which describes the consortium, the management of the project, the financial and personnel resources the European added value, the contribution to social policies, the economic potential, the exploitation and dissemination plan and ethical and safety issues.

Printed versions of the Part A forms, including machine readable forms (A0-A4), Guidelines and Annexes, are a separate part of the Information Package. The **Part A forms differ according to the type of action** (shared cost RTD, Accompanying Measure, Concerted Action/Thematic Networks, etc.). If your information pack does not contain the right Part A forms, please download the appropriate forms and guidelines from the web or request them through the National Contact Points or the Programme Helpdesk. If you plan to submit a proposal for an SME Specific Measure (Exploratory Award, CRAFT) or Marie Curie Fellowships, you have to use the Guide for Proposers (including forms) that are specific to these actions.

Appendix 1 of this Guide for Proposers contains²³:

- Guidelines on how to complete Part B and Part C, highlighting the specific requirements for the different types of actions (shared cost RTD, Accompanying Measure, Concerted Action/Thematic Networks and Clusters), such as those on anonymity. ([Appendix 1A](#))
- A programme specific layout, including tables and forms, in order to prepare Parts B and C (“Forms Parts B and C”), which is identical for proposals for shared cost RTD projects, Accompanying Measures, Concerted Action/Thematic Networks and Cluster proposals. ([Appendix 1B](#))
- Guidelines on how to address ethical issues and safety aspects in the proposals ([Appendix 1C](#))
- Guidelines and proposal submission forms for INCO bursaries. ([Appendix 1D](#)).

BEFORE STARTING TO WRITE THE PROPOSAL YOU SHOULD:

- **Consult the current WORK PROGRAMME to identify the research area that you plan to submit a proposal for.**
- **Make sure your proposal complies with the objectives stated in the Call for Proposals. In particular, they must also address one of the activities (research areas) specified in the annex of the "Call for Proposals", i.e. an area that is open for submission.**
- **Consult the table in Appendix 4 and the detailed information on “types of actions” given in Section IV of this Guide to identify the type of action that is most suitable for the project that you intend to propose. Make sure this action is open for submission and respect the deadlines given in the call text. The deadlines may be different for different research areas.**

WHEN WRITING YOUR PROPOSAL YOU SHOULD:

- **Pay specific attention to a) the information given in the programme specific proposal submission forms, b) the details of the implementation modalities and c) the selection criteria, as described in PART 2, Appendix 6 of this guide²⁴.**
- **Pay specific attention to ethical issues and safety aspects, as outlined in Appendix 1C.**

²³ An information package and guide for applicants on expressions of interest for topics concerning integrated projects in functional genomics relating to human health (action line 8.5 of Work Programme 2001) are available on CORDIS at: http://www.cordis.lu/life/generic/integ_proj.htm. For the dedicated call for integrated projects, specific information will be made available on the same site.

²⁴ Further information on the evaluation procedure and forms used by the experts evaluators are given in the “Evaluation Manual” and programme specific “VADE MECUM”, which is available on the web (see references)

Appendix 1A: Guidelines for drafting Parts B and C for shared-cost RTD projects, Accompanying Measures, Co-ordination projects (Concerted Actions and Thematic Networks) and Clusters proposals²⁵

Introduction

Details of the different types of actions (“implementation modalities”) are given in Section IV.2 of this Guide. Proposers should check thoroughly whether their research proposal conforms to the descriptive and qualifying conditions of the action type they have chosen.

Proposal structure and description

The description of the content of a proposal has two parts:

- **Part B** presents the objectives and summarises the scientific background of the project and describes the progress to be expected with regard to the state of the art and its industrial or public health context. It details the different tasks to be carried out, the methodology and the main scientific, technological and industrial bottlenecks and difficulties.

The overall proposed project must be broken down into tasks, with an indication of the partners involved in each task, their role and the effort involved in man-months as well as any other resources required (e.g.; major equipment, special laboratory facilities, services, etc.) for each task. The interrelationships between the tasks and the partners should be indicated.

It should be pointed out that the evaluation of the scientific & technical merits of the proposal will be performed exclusively on the basis of this Part B and might result in the rejection of the proposal without any further evaluation of the other parts.

Part B has to be anonymous for all shared-cost R&D, demonstration and combined projects and cluster proposals (except proposals for projects in support of research infrastructures). Please respect strictly the anonymity requirements described at the end of this section!

- **Part C**, which is not anonymous, describes the financial requirements of the project and its management structure. It also describes the European added value of the project, the contribution(s) to the social policies, the exploitation and/or dissemination plans and ethical and legal considerations.

A proposal that raises ethical questions (e.g. related to research involving persons, use of human embryos or tissue, use of personal data or genetic information, animal experimentation, genetic modifications, etc.) must give detailed information in order to:

- Justify the methodology of the research.
- Detail the requested financial and personnel resources.
- Explain how ethical requirements will be fulfilled and indicate the relevant national legal requirements of the Member States where the research is to take place.

Please remember to indicate the proposal’s short name (acronym) and proposal number, if applicable, and the date at the top of every page of Parts B and C. Clearly number each page.

Proposers should note that proposals that do not contain all three parts of the proposal, the administrative Part (form A) and the proposal description in Parts B and C, will not be eligible.

Specific requirements for shared costs projects:

For **Research** or for **Demonstration** projects the proposers should make a proposal description consisting of Parts A, B and C.

²⁵ Forms, guidelines and Appendix on How to complete **Part A** Proposal Submission forms (Administrative forms) are given separately. They are common for all the specific programmes and can be found on CORDIS at: http://www.cordis.lu/fp5/src/forms_a.htm

However, for **Combined research and demonstration** projects the general rule is that the proposal should treat the two elements separately. That is:

- A single Part A is prepared, with however two A4 cost forms, one summarising the costs of the research element and one summarising the costs of the demonstration element of the work.
- Two Part Bs (separating the research and demonstration elements)
- Two Part Cs (separating the research and demonstration elements)

Only in the case where it is **impossible** to separate clearly the research and demonstration parts of the proposal may the consortium make one proposal description (i.e. one Part A, one Part B and one Part C), but the consortium must then in the A4 cost sheet use a percentage for funding (between 35-50%), that accurately reflects the relative weight of the two phases in the project.

Specific requirements for Accompanying Measures:

There are no specific requirements.

Specific requirements for Concerted Actions/Thematic Networks:

A concerted action/thematic network may be managed by a single contractor or by a consortium.

Specific requirements for A-Priori Clusters (or clusters at conception stage):

The following refers to proposals for clusters proposed on the own initiative of a consortium. For a definition and description of clusters, please refer to section IV.2.7.A of this Guide.

This modality should only group together complementary “component” projects (shared-cost R&D, demonstration and combined projects) that focus on a common objective. In order to facilitate the evaluation of clusters, applicants are invited to follow closely the guidelines presented below.

- **The administrative information on the cluster** will be gathered within one single set of administrative forms, using the standard A forms dedicated to shared-cost projects. The individual data of each of the contractors will be presented in this section as it would be done for any individually submitted project, with the exception that the only co-ordinator mentioned will be the co-ordinator of a cluster project. To indicate what budget is earmarked for each individual project, there will be one A4 cost sheet per component project. The level of funding within each of these projects must be in accordance with the rules for funding established for each specific modality. As a result, the total rate of Community funding will be a balanced average of the different component projects.
- **The content of each component project** must be presented in the same way as for any individual project (using Parts B and C of the shared cost proposal submission form). This means that the cluster consortium must make as many separate descriptions of Parts B and C as there are component projects. This also means, *inter alia*, that it must conform to the anonymity rules, to the specific features detailed under *implementation modalities* (section IV.2), and should be prepared taking into account the evaluation criteria presented in Appendix 6 of this Guide. Where indicated, each section C will include a brief presentation of the cluster, its objectives and where the component project fits in the overall cluster picture.
- **Additional cluster information.** In addition to these standard B & C parts for shared-cost projects, an additional specific section will extensively present the objectives, the relevance and expected impacts of the cluster. Within this additional set, each component project will be described as a specific work-package, along with the specific cluster co-ordination tasks. The interrelation between different projects will also be clearly presented in the same way as for a Concerted Action/Thematic Network proposal. This additional "cluster-specific" B&C Part will not correspond in any way to an additional thematic network or concerted action component within the cluster. The co-ordination costs are limited to the added allowable co-ordination costs of each component project. For the "cluster-specific" B part, the rule for anonymity does not apply.

All forms concerning such a cluster proposal must be submitted together in a single package !

For a project of ‘n’ component projects, there should be 1 set of A forms, n+1 sets of B forms, and n+1 sets of C forms.

Specific requirements for A-posteriori clusters (or Clusters at negotiation stage)

(For further details of this type of proposal, see section IV.2.7.B of this Guide)

An *a posteriori* cluster will group together different projects submitted and selected separately and clustered at negotiation stage. This might be either on the initiative of the Commission, on the basis, *inter alia*, of expert opinions and in full agreement with the participants or on the own initiative of the applicants. It might, for instance, group several shared-cost projects together with a thematic network or a concerted action (possibly for the steering of the cluster co-ordination) and other action types. Each project proposal is submitted and evaluated independently on its own merits.

If you submit an *a posteriori* cluster on your own initiative, for anonymity reasons, you may not reveal the names and titles of the other cluster projects in Part B of your shared cost projects. A list of all projects intended to be clustered (Title, project type, co-ordinator and research area to which the project is submitted), the overall cluster objectives, the cluster partners and how your project fits into the cluster, has to be made on a separate document. This will not be made available to the evaluators, but later used during the negotiation phase, should the proposal be selected.

The only exceptions to this rule are:

- The *a posteriori* cluster box should be ticked in Part B3 of the B form (without any further information being revealed)
- If a thematic network or concerted action is planned for ensuring cluster co-ordination, this should be mentioned in Part B3 of the B form to ensure evaluation takes place after evaluation of the cluster component project. The content of that proposal (which will be evaluated after the other proposals) may include full details on the clustering arrangement, objectives, etc.

Note: Specific requirements for expressions of interest and integrated projects in “genomics and human health” (action line 8.5 of Work Programme 2001)

The requirements are available at: http://www.cordis.lu/life/generic/integ_proj.htm

Anonymity Requirements:

For proposals for shared-cost R&D, demonstration, combined projects and cluster proposals (except proposals for projects in support of research infrastructures), Part B is anonymous. Part B must be separate from Parts A and C of the proposal.

The participants must only be referred to by the codes and numbers assigned to the participants in the administrative form, (sheet A3). It is, however, possible to indicate background references supporting the work and presented later in a list annexed to Part C (point C10). (e.g.: *in the past years, partner H has established that this phenomenon was caused by conditions X and Y [Title of article, name of Journal, reference (e.g. publication 06)], the partnership has a strong experience in this specific field [publications 06 to 10], and the industrial partner G owns three major patents in the area [patents 12 to 14]*)²⁶.

The Commission services do not intend to modify any proposal received in order to remove any name or any indication that might compromise its anonymity. Proposals in which the identity of any of the applicants (individuals, institute, city) is indicated will be rejected.

Anonymity:

In Part B, any reference to

- **the name of any organisation involved in the consortium**
 - **the name of any city in which any of the organisations involved in the consortium is implanted**
 - **the name of individuals involved in the project**
- will lead to the rejection of the proposal**

²⁶ Additional guidance on anonymity in Part B of the proposals is supplied with a separate flyer included in the Infopack

The table below summarises the anonymity requirements for the different type of proposals:

Proposal type	Anonymous (YES/NO)	
	Part B	Part C
R&D project	YES	NO
Demonstration project	YES	NO
Combined project	YES	NO
SME specific measures	NO	NO
Concerted Action	NO	NO
Thematic Network	NO	NO
Accompanying Measure	NO	NO
Fellowships	NO	NO
INCO Bursaries	NO	NO
CLUSTER (component project)	YES	NO
CLUSTER (common part)	NO	NO
Support for Research infrastructure	NO	NO
INTEGRATED PROJECT	NO	NO

Appendix 1B: Proposal Submission Forms Parts B and C for shared-cost RTD projects, Accompanying Measures²⁷, Co-ordination projects (Concerted Actions and Thematic Networks) and cluster proposal

Part B: Description of scientific/technological objectives and workplan.

IMPORTANT NOTE:

PART B MUST BE ANONYMOUS FOR COST-SHARED PROPOSALS AND ALL SUB-COMPONENT PROJECTS OF CLUSTER PROPOSALS, EXCEPT FOR COST SHARED PROJECT PROPOSALS IN THE AREA OF “SUPPORT FOR RESEARCH INFRASTRUCTURES”. It shall be separate from Parts A and C of the proposal.

Please remember to indicate the proposal’s title or short name (acronym), and the date at the top of every page. Clearly number each page (e.g. B01 to BXX).

B1. Title page

Proposal full title

Proposal acronym

Date:

B2. Table of Contents (*main headings , page numbers*)

B3. Objectives and expected achievements

This section, which should not exceed two pages, should describe the **scientific/technological objectives** of the proposed project in a measurable and verifiable form. The progress of the project work will be measured against these criteria in reviews and assessments.

Please specify, whether this project belongs to a cluster, taking into account anonymity requirements.

“a priori” cluster “a posteriori” cluster

B4. Contribution to programme/specific action objectives

This section, which should not exceed one page, describes in what respect the proposed project will contribute to fulfil the objectives of the programme and/or specific action.

B5. State of the art and innovation aspects

This section, not exceeding three pages, describes the current state of the art in the R&D area of the project. It gives details of the originality and degree of innovation of the project as compared to the state of the art and in what respect the project will advance the state of the art in the area²⁸.

²⁷ Spontaneous applications for a subsidy may also be supported. Grant application forms may be requested from the programme helpdesk.

²⁸ For demonstration projects, it should also be justified under this point in what respect the technology has reached an appropriate degree of maturity to allow for demonstration. This section should therefore reflect that the consortium has sufficient knowledge to implement the demonstration.

B6. Project workplan:

This section should concisely describe the work planned to achieve the objectives of the project. The **maximum** length, excluding the forms specified below, is **10 pages**. An introduction should explain the structure of the workplan and how the workplan will lead the participants to achieve the objectives of the proposal. The workplan must be broken down into work packages (WPs) which should follow the logical phases of a project's life cycle. Essential elements of the workplan are:

- a) Introduction – explaining the structure of the workplan and the overall methodology used to achieve the objectives
- b) Project planning and time table; time-work flow-chart (Gantt) chart, with an indication of all relevant milestones²⁹
- c) Graphical presentation of the project's components; (interconnection (Pert) diagram)³⁰
- d) Detailed project description broken down into work packages:

Work package list (table WP1);

Deliverables list (table DL);

One page description of each work package with the following information (Form WP2):

Work package number

Start date or starting event

Participant code (for the participant responsible for the work package)

Participant codes (for the other participants involved for the work package)

Person-months per partner

Work package description:

Objectives;

Methodology / work description;

Deliverables (input to next work package – Pert diagram);

Relevant corresponding milestones³¹

Notes:

1. If appropriate due to the size, complexity or costs of the work package, supplementary information and justification regarding resources and expenditures should be given using the cost categories defined in form A4 for each work package, giving explicit reference to own resources of the participants.
2. The number of work packages used should reflect the complexity of the work. Each work package should correspond to a major sub-division of the project and should also have a verifiable end-point (deliverable). Deliverables are practical outcomes of work packages. They are distinct from reports summarising the progress of the project, which are submitted to the Commission.

²⁹ The duration of the project should be justified, in particular if exceeding 3 years.

³⁰ Alternatively to a PERT diagram, a clear description of the links between the work packages can be provided in free text format.

³¹ The milestones indicated should also be found under the time table section. These milestones constitute "landmark" results, or « end-points » that are to be achieved during the project's life and are crucial to the successful continuation of the project and also to reliable periodic progress assessments of the project. They should not be confused with the work packages themselves (the tasks and sub-tasks) or their corresponding deliverables. A milestone could correspond to one or more work packages (or tasks), whereas a work package (research task) is merely a step towards the completion of a milestone.

WP1.	Work package list						
Work-package No³²	Work package title	Responsible participant No³³	Person-months³⁴	Start month³⁵	End month³⁶	Phase³⁷	Deliverable(s) No³⁸
WP 1							
WP 2							
WP N							
	TOTAL						

DL.	Deliverables list			
Deliverable No³⁹	Deliverable title	Delivery date⁴⁰	Nature⁴¹	Dissemination level⁴²
D1				
D2				
DN				

³² Work package number: WP 1 – WP n.

³³ Number of the participant leading the work in this work package.

³⁴ The total number of person-months allocated to each work package, including all participants. In case of additional cost model, the permanent staff involved should be indicated.

³⁵ Relative start date for the work in the specific work packages, month 0 marking the start of the project, and all other start dates being relative to this start date.

³⁶ Relative end date, month 0 marking the start of the project, and all end dates being relative to this start date.

³⁷ Only relevant for combined project. Please indicated « RS» for a research phase and « DM » for a demonstration phase

³⁸ Deliverable number: Number for the deliverable(s)/result(s) mentioned in the work package: D1 - Dn.

³⁹ Deliverable numbers in order of delivery dates: D1 – Dn

⁴⁰ 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.

⁴¹ Please indicate the nature of the deliverable using one of the following codes:

R = Report

P = Prototype

D = Demonstrator

O = Other

⁴² Please indicate the dissemination level using one of the following codes:

PU = Public

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).

WP2. Work package description

Work package number :
Start date or starting event:
N° of the partner responsible:
N°s of other partners involved:
Person-months per partner:

Objectives (max. 900 characters/200 words)

Description of work (max. 1500 characters/350 words)

Deliverables (max. 900 characters/200 words)

Expected results and relevant corresponding milestones (max. 900 characters/200 words)

Part C: Description of management and participants, EU added value, contribution to EU policies and economic development.

PART C IS NOT ANONYMOUS. It shall be separate from Parts A and B of the proposal.

Please remember to indicate the proposal's title or short name (acronym), and the date at the top of every page. Clearly number each page (e.g. C01 to CXX).

C1. Title page

Proposal full title

Proposal acronym

Date:

Does this project belong to a cluster? YES: NO:

If yes, which type: "a priori" cluster "a posteriori" cluster

Please include on a separate page a brief description of the foreseen cluster.

C2. Table of Contents (main headings , page numbers)

C3. Management and resources

Please note that this section is highly important, as failure to be ranked in the « very good » category with regard to these aspects will automatically lead to rejection of the proposal, irrespective of any positive results concerning other evaluation criteria.

a) Project management

This section, not exceeding 2 pages, should describe how the project will be managed, the decision-making structures, the communication flow within the consortium and the quality assurance and progress monitoring measures that will be implemented (including the assessment criteria to be used for the review). It must also indicate and, if necessary, clarify how the legal aspects (e.g. intellectual property, regulations, and safety) have been taken into account.

b) The partnership

Summarise the role and contribution of each of the partners and associated partners, their qualifications for their role, their capacity to provide their contribution to the project, the experience and knowledge which they will contribute and why their qualifications and experience make them particularly suited for the work allocated to them. Financial or legal links between partners, if any, should be indicated.

Each partner should also supply a list of the principal scientific or technical personnel involved and summarise their relevant experience, indicating who will be responsible for each work package. List no more than five recent publications and/or patents relevant to the project. If it is intended to subcontract any of the work this must be mentioned in the profile of each partner and an indication should be given of the proposed subcontractor and the degree to which that particular partner's contribution will be subcontracted. In particular, any details of subcontractors should include their name and type of organisation, country, and type and cost of service provided, if known.

(Maximum of 1 A4 page per participant).

c) Justification of financial resources and personnel resources

A summary of the costs (as described in details in the Sheet A4 of Part A), should be given in the form of a table showing the different cost categories (see sections 49 to 63 of "guidelines" to forms Part A), the total costs and the contribution requested to the Commission. Information

on personnel resources can include non-budgeted (e.g. permanent staff efforts) in addition to the budgeted person-months (e.g. staff employed on the project basis). A short description of the major costs items, including their justification, in particular for “equipment”, “consumables” and “other specific project costs”, should be added.

C4. Community added value and contribution to EU policies.

This section, which should not exceed one page, describes the European dimension of the problem to be solved. It should identify which problem at European level the proposal is addressing and **how the proposal will contribute to the implementation or evolution of one or more of the EU policies**⁴³. It should also describe why the project should be carried out at European level instead of national level, indicating, for example, the need to create a critical mass in human or financial terms, or if the project addresses problems connected with standardisation and regulation.

C5. Contribution to Community social objectives.

This section, not exceeding one page, should identify and quantify where possible any contribution to social objectives of the Community such as: the quality of life and health, safety (including working conditions), employment, preservation or enhancement of the environment and natural resources, opportunities for education and training, cohesion in the Union (such as opportunities for technology transfer to less developed regions), rural development, etc.

C6. Economic development, scientific & technological prospects – Exploitation and dissemination plans

This section, which should not exceed 2 pages, should describe plans for the dissemination and/or exploitation of the results for the consortium as a whole and for the individual participants in concrete terms, for example by describing the dissemination and/or exploitation strategies, the **user groups** to be involved and how they will be involved, the tools and/or means to be used to disseminate the results to the user groups and the strategic impact of the proposal in terms of **improvement of competitiveness** or creation of **market opportunities** for the participants

This section should demonstrate the credibility of the partnership for exploitation of the results and explain the partnership’s policy in respect of securing patents or granting licences for the technology (if applicable). It should deal with any possible agreements between the partners to extend their co-operation in the exploitation phase and with relevant agreements with companies, in particular users, external to the partnership. Apart from the possible exploitation above, there may be exploitation at policy level (e.g. public health) and/or patient care and health services level. If so, please clarify your strategic plans.⁴⁴

⁴³ Short description of the relevance of EU policies for Research may be downloaded from <http://www.cordis.lu/life/src/lib-pol.htm>.

⁴⁴ **For demonstration projects**, this section might be up to 3 pages. It should reflect the consortium’s commitment and strategy to exploit the technology or to ensure its exploitation through the demonstration project, with all hurdles to- and appropriate targets and strategies for- dissemination and exploitation identified. A contingency plan should be presented, which implies a substantial risk study (technical, commercial, managerial, and financial). This rubric is also appropriate for describing the extended audience of the project as well as the resources and strategy that will be used within the partnership to interact with it. (The Extended Audience being the ensemble of all potential users, interest groups and other relevant bodies that might have an influence on the adoption of the technology under demonstration).

C7. Ethical aspects (see also Appendix 1C of this Guide).

Analyse the ethical aspects of your project relating to its objectives, its methodology or the potential ethical implications of the results.

Concerning ethical requirements, it should be noted that some fields of research are clearly excluded from the programme such as:

- Research involving modifications of the human genome, which then becomes hereditary.
- Research involving cloning of individuals.

Some fields of research, for example, animal transgenesis, have to be strongly justified and carried out with respect of animal well being and of genetic diversity.

In all cases, principles expressed in widely recognised international texts or codes of practices have to be respected (for instance the Helsinki Declaration, conventions of the Council of Europe on human rights and biomedicine, UNESCO Declaration on human genome).

IN ALL CASES, RESEARCH MUST FULFIL ALL LEGAL OR ETHICAL REQUIREMENTS OF THE MEMBER STATE (S) WHERE IT IS CARRIED OUT. IN SOME CASES, NATIONAL LAW REQUIRES AUTHORISATION FROM AN ETHICAL COMMITTEE OR OTHER BODIES.

- Specify if your project involves:

- | | | |
|---|------------------------------|-----------------------------|
| – Human embryos or foetus | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| – Use of human embryonic or foetal tissue | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| – Use of other human tissue | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| – Research on persons | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

If yes, further specify if it involves:

- | | | |
|-----------------------------------|------------------------------|-----------------------------|
| – Children | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| – Persons unable to consent | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| – Pregnant women | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| – Healthy volunteers | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| – Use of non-human primates | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| – Use of transgenic animals | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| – Use of other animals | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| – Genetic modification of animals | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| – Genetic modification of plants | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

- Specify if appropriate –

- The relevant national regulations, for instance on medical research, on animal experimentation. Indicate precise reference of the law.
- The required authorisations or approval if any, for instance, local ethical committees, national bodies.

C8. Safety provisions (see also Appendix 1C of this Guide)

Please indicate the safety provisions, which will be implemented particularly to the relevant safety regulations concerning the deliberate release into the environment of genetically modified organisms.

When dealing with infected material, strict safety procedures need to be in place to ensure that there is no risk of transmission among species and across species and to the environment.

The proposer must demonstrate that the EU (Directive 93/88 “Protection of workers related to exposure to biological agents at work”) and national requirements are met.

C9. Ongoing projects and previous proposals

If one or more identical or a similar application(s) (including as part of a cluster) has been or is being made within one of the previous or current programmes of the European Union, please indicate for each project or submitted proposal, where ever appropriate:

- the proposal reference or contract number,
- the status of the proposal (submission, accepted, rejected, etc.),
- the title of the proposal,
- the partners involved and

any other relevant information.

If one or more of the partners is involved or has been involved in EU funded or national projects which are similar in scope to the present proposal, please identify them and highlight the distinguishing elements and factors.

C10. List of references (optional)

Appendix 1C: Specific requirements concerning ethical issues and safety aspects

Where ever a project addresses ethical issues and/or safety aspects, a detailed description of these aspects have to be given. These aspects will be reviewed by a specific panel during the evaluation process⁴⁵.

Ethical issues

The proposal has to describe clearly the potential ethical aspects of the project regarding its objectives, the methodology and the possible implications of the results. The proposal must also explain how the national legal and ethical requirements of the Member States where the research is performed, will be fulfilled.

A project raises ethical questions when it involves for instance:

- Research involving persons (individuals or populations) in particular when children or persons unable to consent, pregnant women or healthy volunteers for clinical trials on vaccines are involved.
- Use of human embryos.
- Use of human tissues (including foetal tissues).
- Use of personal data or genetic information.
- Animal experimentation (in particular use of primates, transgenic animals or research in neurosciences implying specific suffering).
- Genetic modifications of animals or plants.

In such a case, the proposal must give detailed information in order to:

- Justify the methodology of the research:
- Explain how ethical requirements will be fulfilled:
- Indicate the relevant national legal requirements of the Member States where the research take place (If authorisation needs to be obtained from national or local bodies, including animal welfare committees), the existing codes of practices or other references from international bodies.

Therefore, in case of research involving persons:

Proposers should provide justification for such research in terms of the potential benefits of the research in relation to the possible risks; indicate the number of persons involved; describe their selection criteria; provide details of the arrangements made for providing information to persons and for obtaining informed consent; and specify any payments, inducements or other benefits to be given to the persons concerned. For persons unable to give a valid consent, proposers should, in addition to the above, indicate the degree of risk and burden involved for the subject; whether and how the persons might benefit from the procedures envisaged; indicate why it is necessary to involve persons unable to give a valid consent; and describe what arrangements are made for seeking the agreement of the person's parent, guardian or other representative.

In case of use of human embryos, foetal or embryonic tissue:

Proposers should specify and justify the number of embryos or fetuses to be used and why the use of such material is necessary; specify the source of the material; describe the procedure for obtaining the consent of the persons from whom the material is obtained; describe the arrangements for protecting the confidentiality of personal data of individuals concerned; and specify any additional national or local regulations with which any or each of the partners must comply in relation to the use of foetal or embryonic tissue.

⁴⁵ See Appendix 6 of Part 2 of the Guide.

In case of use of other human tissue:

Proposers should specify and justify the type, amount and source of tissue to be used; describe the procedure for obtaining the consent of the person(s) from whom the material is obtained; and describe the arrangements for protecting the confidentiality of personal data of the individuals concerned.

In case of use of personal data or genetic information:

Describe the procedure for obtaining the consent of persons to whom the information relates and describe the arrangements for protecting the confidentiality of personal data of individuals concerned.

In case of use of animal experimentation:

Proposers should specify and justify the type and number of animals to be used and indicate why other methods cannot be used for the research so as to indicate what steps they have taken to comply with the principles of reduction, refinement and replacement. They should describe the procedures adopted to protect the welfare of the animals and to ensure that the amount of suffering of the animals is minimised; and describe why the potential benefits of the research should be seen to outweigh the harm to the animals used.

If the research involves non-human primates:

Proposers must in addition to the above mentioned information, specify which species are used, what are their origin, if they are caught wild, which partner is in charge of the importation, or breeding of animals, where the primates are located and which partner is performing the experiments, and how many animals are sacrificed.

In case of genetic modification of plants or animals:

Describe how the anticipated benefits justify any possible suffering to animals or any possible risks to human health or the environment, and the implications for biodiversity.

What are the obligations of the proposer?

Some fields of research are clearly excluded from the programme such as:

- Research involving modifications of human genome, which then becomes hereditary.
- Research involving cloning of individuals.

Some fields of research, for example, animal transgenesis, have to be strongly justified and carried out with respect of animal well being and of genetic diversity.

In all cases, principles expressed in widely recognised international texts or codes of practices have to be respected (for instance the Helsinki Declaration, convention of the Council of Europe on Human Rights and Biomedicine, UNESCO Declaration on Human Genome).

IN ALL CASES, RESEARCH MUST FULFIL ALL LEGAL OR ETHICAL REQUIREMENTS OF THE MEMBER STATE (S) WHERE IT IS CARRIED OUT. IN SOME CASES, NATIONAL LAW REQUIRES AUTHORISATION FROM AN ETHICAL COMMITTEE OR OTHER BODIES.

- If, when the proposer makes his/her submission, the relevant authorisation, has already been obtained then it should be clearly mentioned in the proposal, but the proposer should keep the original documents (authorisation or approval) with him/her.
- The authorisation of relevant bodies as requested by national law will normally have to be provided during the negotiation of the contract, before signature of the contract.
- When the authorisation cannot be obtained at the time of contract signature, before the start of the project (for instance because preliminary results should be first obtained before considering a clinical trial or animal experimentation). The contract will then specify that the proposer has then to provide it to the Commission service in due course, before starting the phase of the project concerned by this authorisation. Ethical Committee approval should also be specified as a project deliverable.

Safety provisions

Proposals must respect fundamental safety issues of good laboratory practices and of general practices involving and handling biological agents. Potential safety implications of the project related to the methods, the objectives and the potential applications must be clearly indicated. Awareness of the

applicant of all relevant national and international laws, conventions, advice, guidelines and codes of conduct must be shown. Where appropriate, the explicit approval of local and national safety committees must be mentioned. If the project is involving the use or the release of genetically modified organisms (GMOs), the applicant must respect the European⁴⁶ relevant framework and its implementation.

When relevant, applicants are required to provide, where applicable, all information necessary for the detailed evaluation of the ecological impact of their studies and for the assessment of technological risk, and once a project proposal is selected, to seek where necessary, approval from the responsible authorities. In the case of a possible ecological impact, the accuracy of the description of potential risks and of provisions made to deal with them will be an important element in the assessment of the proposal.

⁴⁶ If the applicant is working outside the EU, he/she should respect the local legislation relevant to the use or release of GMOs.

Appendix 1D: Proposal Submission Forms for INCO bursaries

The proposal forms for INCO bursaries - Parts A (administrative forms) and B - may be downloaded from the programme web site, or may be obtained via your National Contact Point or the programme helpdesk. The proposal forms do not contain a Part C.

INCO bursaries: Consortia preparing a collaborative research proposal⁴⁷ or a concerted action proposal for any of the specific programmes may include an application for an International Co-operation Training Bursary. If successful, the bursary will be funded from the budget of the specific programme “Confirming the International Role of Community Research”. The following procedures apply to the evaluation of such bursaries under all specific programmes of the EC fifth framework programme.

More details on INCO bursaries may be found in box 1 of PART 1 of this Guide for proposers. The evaluation and selection process is described in Appendix 6.6 of PART 2 of this guide for proposers.

⁴⁷ R&D projects, Demonstration projects and Combined projects

Appendix 2: Notification of Intention to Propose (Pre-registration)

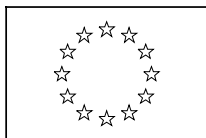
Please note that the Pre-attribution of a Proposal number IS NOT COMPULSORY for the Quality of Life programme. You can submit your proposal without this number. It will be attributed and communicated to you upon registration of the proposal through the acknowledgement of receipt.

The software package for electronic submission is available for downloading from the Pro-Tool

Web site : <http://www.cordis.lu/fp5/prottool/>

The Certification Service web site is : <http://www.fp5-csp.org/>

Appendix 3: Acknowledgement of receipt form



EUROPEAN COMMISSION
Research Directorate-General

Brussels,

--

Please write the name and full postal address to which this acknowledgement of receipt should be sent in the box

Dear Madam/Sir

We are pleased to acknowledge receipt of your proposal*:

To be completed by Co-ordinating Partner			
Programme(s):			
Research Area(s):			
Proposal Title:			
Proposal Acronym:			

This proposal has been given the following reference number:

To be completed by Proposal Reception Services
Date of reception:
Proposal registration number:

* Please make sure to use the same information as on sheet A0 of Part A of the application forms.

You are kindly requested to quote this reference number in all future correspondence relating to this proposal. Please ensure that all your partners are also made aware of this reference number.

After a check for eligibility, your proposal will be evaluated. It is expected that the final result of the evaluation will be communicated to you three to four months after the deadline for submission of proposals.

On behalf of the Commission we thank you for your proposal and your interest in the research programmes.

Yours faithfully,
FP5 Evaluation Coordinator

Appendix 4: Implementation modalities : Overview

	Modalities	Definition	Type of call	Participation	Range of support	Duration
Shared cost actions	Research and development (R&D) projects	Projects aiming at developing new knowledge or improve products, processes or services and/or to meet the needs of Community policies	Periodic calls within a defined scope with fixed deadlines*	At least two non-affiliated participants from different EU Member States (or one Member State and an Associated State)	50% of total eligible costs	in general 36 months, max. 48 months
	Demonstration projects	Projects proving the viability of new technologies offering potential economic advantage but which cannot be commercialised directly	Periodic calls within a defined scope with fixed deadlines*	Same conditions as for R&D projects	35% of total eligible costs	in general 36 months, max. 48 months
	Combined R&D and demonstration projects	Projects combining the above 2 modalities	Periodic calls within a defined scope with fixed deadlines*	Same conditions as for R&D projects	35% - 50% of total eligible costs	in general 36 months, max. 48 months
	SME Exploratory Awards	Support of SMEs for project preparation e.g. feasibility check, validation, partner search, novelty verification	Open call. Periodic evaluation will be carried out at least twice a year	SMEs and end-users (see specific information package)	75% of total eligible costs with a maximum of € 22.500	Up to 12 months
	SME Co-operative research projects	Projects enabling at least three mutually independent SMEs to jointly commission research carried out by a third party (RTD performer)	Open call. Periodic evaluation will be carried out at least twice a year	Three mutually independent SMEs from at least 2 Member States or one Member State and an Associated State	50% of total eligible costs with a maximum of €1M	24 months
	Concerted actions	Action co-ordinating RTD projects already in receipt of national funding, for example to exchange experiences, to reach a critical mass, to disseminate results etc.	Periodic calls within a defined scope and with fixed deadlines*	Minimum of one principal contractor plus Members	100% of additional eligible costs	in general 36 months, max. 48 months

* Proposals submission for R&D, demonstration and combined projects, Thematic Networks and Concerted actions for the area “Support for research infrastructures” will be through an open call.

Implementation modalities (continued)

Modalities	Definition	Type of call	Participation	Range of support	Duration
Thematic networks	Networks bringing together e.g. manufacturers, users, universities, research centres on a given RTD objective.	Periodic calls within a defined scope and with fixed deadlines*	Minimum of one principal contractor plus Members	100% of additional eligible costs	in general 36 months, max. 48 months
Marie-Curie Individual training fellowships	Marie Curie fellowships for either individual researchers, or host fellowships, where institutions apply to host researchers.	Open call. Periodic evaluation will be carried out at least twice a year	Individual researchers or host institutions	100% of additional eligible costs	Up to 24 months
Marie-Curie Host fellowships	Actions for promoting training-through-research (PhD stays at Marie Curie sites and industry host fellowships)	Open call. Periodic evaluation will be carried out 2 or 3 times per year	Undertakings in Member States and associated countries can apply individually, but will be bound to host trainees from another Member State or associated country	100% of additional eligible costs	Up to 36 months
Accompanying measures	Actions contributing to the implementation of a Specific Programme, the preparation of future activities or strategic initiatives, such as workshops, publications, studies, meetings etc.	Open call. Periodic evaluation will be carried out at least twice a year	Minimum one principal contractor from Member State or Associated State	Maximum 100% of total eligible costs	
INCO bursaries For details see box 1 in PART 1 of this Guide	International co-operation training bursary for young researchers from developing country	As part of a collaborative research or concerted action proposal	Candidates from eligible countries not older than 40 years	Travel costs and daily allowance for training period	6 month
Integrated projects For details see: http://www.cordis.lu/life/generic/integ_proj.htm	Projects in Generic Activities Area 8.5, aiming at stimulating progress in functional genomics relating to human health (part of the initiative on “Genome Research for Human Health” within the QoL programme). Such projects will integrate the following modalities listed above: R&D shared cost projects; concerted actions and/or thematic networks; training fellowships	A call for expressions of interest to select topics, followed by a dedicated call for proposals for integrated projects in the selected topics	Same conditions as for R&D projects	The integrated project will be financed according to the rules for corresponding modalities listed above	in general 36 months, but may be up to 60 months

Appendix 5: Contact points

Appendix 5A: Contacts points within the European Commission

General information on the Programme

E-mail : Quality-of-life@cec.eu.int

KEY ACTION I - FOOD NUTRITION AND HEALTH

Fax: +32.2.296.43.22

Safe & Flexible Manufacturing Processes & Technologies

Raw material improvement, GMOs

Barend.Verachtert@cec.eu.int

Seafood processing and quality

Mario.Santos@cec.eu.int

Food quality, food technologies, biotechnology

Torbjoern.Ingemansson@cec.eu.int

Food technologies, automation & informatics

Alkmini.Katsada@cec.eu.int

Monitoring, traceability

Alessandra.Luchetti@cec.eu.int

Detection and Elimination of Infectious and Toxic Agents Throughout the Food Chain

Food microbiology, safer production methods

Antonio.Di-Giulio@cec.eu.int

Detection tests for contaminants, rapid tests

Marianne.Nielsen.@cec.eu.int

Risk assessment, control of contamination, detection tests, safe food production

Achim.Boenke@cec.eu.int

Seafood safety and toxicology

Mario.Santos@cec.eu.int

Role of Food in Promoting and Sustaining Health

Consumers

Alessandra.Luchetti@cec.eu.int

Impact of food on functions, bioavailability

Jurgen.Lucas@cec.eu.int

Diet, diseases and disorders

isabelle.de-froidmont-goertz@cec.eu.int

KEY ACTION 2 – CONTROL OF INFECTIOUS DISEASES

Fax : +32.2.295.53.65

Vaccine development; therapeutic interventions

Arnd.Hoeveler@cec.eu.int

AIDS vaccine and therapeutic intervention, drug resistance

Joachim.Hombach@cec.eu.int

Delivery systems; diagnostic tests

Anna.Lonnroth@cec.eu.int

Public health, transmission, surveillance

Ludovica.Serafini@cec.eu.int

Infectious diseases of animals, zoonoses

Mary.Fitzgerald@cec.eu.int

Fisheries and aquaculture

Isabel.Minguez-tudela@cec.eu.int

Fisheries and aquaculture

Tarja.Tiainen@cec.eu.int

Ingvar.Huse@cec.eu.int

KEY ACTION 3 – THE CELL FACTORY

Fax : +32.2.299.18.60

Health Related Processes and Products

New diagnostics, therapeutics substances and strategies

Elisabeta.Balzi@cec.eu.intBernd.Rainer@cec.eu.intGwennael.Joliff-Botrel@cec.eu.intBeatrice.Lucaroni@cec.eu.int

Novel in vitro alternatives to animal testing

Ioannis.Economidis@cec.eu.int**Improving Environmental Sustainability**

Preventing industrial pollution, Biodegradation, Bioassays and Biosensors

Charles.Kessler@cec.eu.int**New Biological and Biotechnological Products and processes for Agro-Industry, Agri-Food and High Value added Chemical**

Exploiting the cellular and molecular characteristics of organisms :

Philippe.de-Taxis-du-Poet@cec.eu.int

High value-added products and processes involving/derived from Microorganisms, Plants and Animals

Indridi.Benediktsson@cec.eu.intBeatrice.Lucaroni@cec.eu.intFreek.Heidekamp@cec.eu.int

Metabolic and genetic diversity, Products and processes from plants

Indridi.Benediktsson@cec.eu.int

Functional Biomolecules, and Biocatalysts

Philippe.de-Taxis-du-Poet@cec.eu.int**KEY ACTION 4 – ENVIRONMENT AND HEALTH**

Fax: +32.2.296.43.22

Diseases and Allergies Related to or Influenced by the Environment

Environmental factors, allergies, exposure, public health

Alain.Van-Vossel@cec.eu.intLaurent.Bontoux@cec.eu.intCallum.Searle@cec.eu.int**Diagnosis, Risk Assessment, Risk Management**

Methodologies, toxicological methods, risk characterisation

Alain.Van-Vossel@cec.eu.intLaurent.Bontoux@cec.eu.intCallum.Searle@cec.eu.int

KEY ACTION 5 – SUSTAINABLE AGRICULTURE, FISHERIES, FORESTRY and Integrated Development of Rural Areas including Mountain Areas

Fax: 00.32.2.295.78.62

Sustainable agriculture

New and improved farming systems

Sustainable management of resources in agriculture

Plant health

Animal health and welfare

Animal production and nutrition

Quality policy

Interactions between agriculture and the environment

Richard.Hardwick@cec.eu.int

Massimo.Burioni@cec.eu.int

Armin.Muenzinger@cec.eu.int

Richard.Hardwick@cec.eu.int

Lucia.Pena-Alberdi@cec.eu.int

Michel.van-den-Bossche@cec.eu.int

Armin.Muenzinger@cec.eu.int

Sustainable Fisheries and Aquaculture

Interactions between environment, fisheries and aquaculture

Scientific basis of fisheries management

Improvement of aquatic production

Monitoring and enforcement of Common fisheries Policy (CFP) ; social and economic bases of CFP

Ingvar.Huse@cec.eu.int

Mario.Lopes-dos-Santos@cec.eu.int

Ingvar.Huse@cec.eu.int

Mario.Lopes-dos-Santos@cec.eu.int

Ingvar.Huse@cec.eu.int

Mario.Lopes-dos-Santos@cec.eu.int

Tarja.Tiainen@cec.eu.int

Dominique.Levieil@cec.eu.int

Integrated production of biological materials

Ciaran.Mangan@cec.eu.int

Sustainable and multi-purpose utilisation of forest resources ; the integrated forestry-wood chain

Alexandros.Arabatzis@cec.eu.int

Ignacio.Seoane@cec.eu.int

Norbert.Winkler@cec.eu.int

Support For Common Policies

Veronica.Sabbag@cec.eu.int

The Integrated Rural Development

Sjur.Baardsen@cec.eu.int

KEY ACTION 6 – AGEING POPULATION

Fax: +32.2.29.55.365

Age-related illnesses and health problems

Temporarily vacant. Please look at CORDIS for latest details or contact one of the other persons named below.

Determinants of healthy ageing and of well-being in old age.

Anne.Degrad-guillaud@cec.eu.int

Demographic and social policy aspects of population ageing.

Georgios.Mezelas@cec.eu.int

Sergio.Patane@cec.eu.int

Coping with functional limitations in old age.

Gesa.Hansen@cec.eu.int

Health and social care services to older people

Maria.Razquin@cec.eu.int

GENERIC ACTIVITIES

Chronic and degenerative diseases	Elmar.Nimmesgern@cec.eu.int
Research into genomes and diseases of genetic origin (including integrated projects in area 8.5)	Bernard.Mulligan@cec.eu.int Jacques.Remacle@cec.eu.int
Neurosciences	Petra.Fagerholm@cec.eu.int
Public health research, health services research	Elisabeth.Schermer@cec.eu.int
Research relating to persons with disabilities	Kevin.McCarthy@cec.eu.int
Biomedical ethics and bioethics	Laurence.Cordier@cec.eu.int
Socio-economic aspects of life sciences and technologies	Maria.Theofilatou@cec.eu.int
Accompanying measures	Hans-Juergen.Jaeckel@cec.eu.int

SUPPORT FOR RESEARCH INFRASTRUCTURES

Support for research infrastructures	Shahid.Baig@cec.eu.int
--------------------------------------	--

COORDINATION ASPECTS

Fellowships, Socio-economic impact	Alessio.Vassarotti@cec.eu.int
Innovation and SME	Waldemar.Kuett@cec.eu.int
Demonstration projects, clusters and evaluation rules	Olivier.le-dour@cec.eu.int
Research Contracts	Filip.Fonder@cec.eu.int Mark.Major@cec.eu.int Magali.Barral@cec.eu.int

Appendix 5B: National Contact Points**NATIONAL CONTACT POINTS ON THE WEB**

The following web site also provides a regularly updated list of National Contact Points
<http://www.cordis.lu/fp5/src/ncps.htm>

The list below gives the contact details of the National Contact Points of the Member States and of Associated and Candidate Countries as of November 2000. Please consult the above web site for updated lists.

EU MEMBER STATES**AUSTRIA**

Mag. Markus PASTERK
 Bundesministerium für Wissenschaft und
 Verkehr, Abt. Präs. 4
 Rosengasse 2-6
 A – 1010 WIEN
 Tel. : +43 1 53120-7116
 Fax : +43 1 53120-817116
 E-mail : markus.pasterk@bmwf.gv.at

Dr. Anita SILMBROD
 Bundesministerium für Land- und
 Forstwirtschaft, Abt. II/A/1
 Stubenring I
 A – 1010 WIEN
 Tel : +43.1.71100-6567
 Fax : +43.1.71100-2142
 E-mail : anita.silmbrod@bmlf.gv.at

DI Dr. Sabine HERLITSCHKA
 Bureau for International Research and
 Technology Cooperation
 Wiedner hauptstr. 76
 A – 1040 WIEN
 Tel : +43.1.5811616-103
 Fax : +43.1.5811616-16
 E-mail : herlitschka@bit.ac.at

BELGIUM

Mr. J. WEERTS (only agriculture)
 Ministère de l' Agriculture
 Recherche agronomique – W.T.C. III
 Boulevard Simon Bolivar 30
 B – 1000 BRUXELLES
 Tel. : +32.2.208.47.31
 Fax : +32.2.208.47.43
 E-mail : Joseph.Weerts@cmlag.fgov.be

IWT
 Mr. Danny VAN STEENKISTE
 Bischoffsheimlaan 25
 B – 1000 BRUSSEL
 Tel : 32 2 209 09 71
 Fax : 32 2 223 11 81
 E-mail : dvs@iwt.be

DGTRE
 Mrs. Chantal FLEMAL
 Avenue Prince de Liège 7
 B – 5100 JAMBES
 Tel : 32 81 33.55.61
 Fax : 32 81 30 66 00
 E-mail : c.flemal@mrw.wallonie.be

DWTC/SSTC
 Mrs. M.-H. BOSSCHAERTS (only for food,
 health and biotechnology)
 Wetenschapsstraat 8
 B – 1000 BRUXELLES
 Tel. : +32.2.238.36.07
 Fax. : +32.2.230.59.12
 E-mail : bosc@belspo.be

DENMARK

EuroCenter/Erhvervsfremmestyrelsen
 Chefkonsulent Marjon BOELSKOV
 Rådhuspladsen 14
 DK – 1550 KOBENHAVN V.
 Tel. : +45.3332 7278
 Fax : +45.3332 7478
 E-mail : mab@schultz.dk

FIRST
 Fuldmægtig Jan CORNER-WALKER
 Randersgade 60
 DK – 2100 KOBENHAVN Ø
 Tel : 45 3544 6200
 Fax : 45 3544 6201
 E-mail : jcw@forsk.dk

FINLAND

Academy of Finland
 Research Council for Health
 Ms Reetta NIEMELÄ
 P.O.Box 99
 FIN – 00501 HELSINKI
 Tel. : +358.9.7748.8360
 Fax : +358.9.7748.8371
 E-mail : reetta.niemela@aka.fi

FRANCE

INRA – Institut National de la Recherche
 Agronomique
 Mr. Paul JAMET
 147, rue de l'Université
 F – 75338 PARIS CEDEX 07
 Tel. : +33.1.42.75.91.11
 Fax : +33.1.42.75.93.77
 E-mail : jamet@jouy.inra.fr
 INRA Website : <http://www.inra.fr>
 NCP Website : <http://sdv.pcn.prd.fr>

INSERM – Institut National de la Santé et de
 la Recherche Médicale
 Mrs. Elisabeth BENNIGSEN
 101, rue de Tolbiac
 F – 75664 PARIS CEDEX 13
 Tel. : +33.1.44.23.61.88
 Fax : +33.1.45.85.14.67
 E-mail : bennigsen@tolbiac.inserm.fr
 Website : <http://www.inserm.fr>

GERMANY

DLR-PT
 Königswinterer Str. 522-524
 D – 53227 BONN
 Tel. : +49.228.4492-300/302
 Fax : +49.228.4492-333

Dr. H. LEHMANN
 E-mail : hans.lehmann@dlr.de
 D. BAROKE
 E-mail : dagmar.baroke@dlr.de

Forschungszentrum Jülich GmbH
 PT-BEO
 D – 52425 JÜLICH
 Tel. : +49.2461.61.4841/5550
 Fax : +49.2461.61.2880

Dr. M. VERFONDERN
 E-mail : beo32.beo@fz-juelich.de
 Dr. Jürgen JOHNSEN
 E-mail : j.johnsen@fz-juelich.de

GREECE

Mrs. Paraskevi SACHINI
National Documentation Center of the
National Hellenic Research Foundation
(NDC/NHRF)
Vassileos Konstantinou Ave. 48
GR – 11635 Athens
Tel : 30 1 72 73 906
Fax : 30 1 72 46 824
Email : esachin@ekt.gr

Mrs Theodosia KAZAZOGLU
GSRT/International S&T Cooperation
Directorate
14-18 Messogion Str.
GR – 115 10 Athens
Tel : +30 1 77 52 222
Fax : +30 1 77 14 153
E-mail : kgal@gsrt.gr

Mrs. Argyro KARAHALIOU
National Documentation Centre / National
Hellenic Research Foundation (NDC/NHRF)
Vassileos Constantinou Ave. 48
GR – 11635 Athens
Tel : 30.1.72 73 921
Fax : 30.1 72 46 824
E-mail : akarah@ekt.gr

IRELAND

M. Richard HOWELL
Department of Agriculture Food & Rural
Development
Non-Bovines, Food & Research Group
7C Agriculture House,
Kildare St.
IE – Dublin 2
Tel. : +353.1.607.2572
Fax : +353.1.661.6263
E-mail : richard.howell@daff.irlgov.ie

Mr. Kevin BURKE
Bioresearch Ireland
Enterprise House
Old Finglas Road
Glasnevin,
IE - Dublin 9
Tel. : +353.1.808.27.48
Fax : +353.1.837.01.76
E-mail : burkek@biores-irl.ie

Dr. John JOYCE
Marine Fisheries
Services Division
Marine Institute
Abbotstown
IE - Dublin 15
Tel. : +353.1.8228208
Fax : +353.1.8205078
E-mail : john.joyce@marine.ie

ITALY

APRE – Agency for the Promotion of
European Research
D.ssa Diassina DI MAGGIO
Grattacielo Italia
Piazza G. Marconi 25
I – 00144 ROMA
Tel. : +39.06.5911817
Fax : +39.06.5911908
E-mail : dimaggio@apre.it

LUXEMBOURG

LUXINNOVATION GIE
 National Agency for Innovation and Research
 Mme Isabelle SCHLESSER
 7, rue Alcide de Gasperi
 L – 1615 LUXEMBOURG-KIRCHBERG
 Tel. : +352.43.62.63.1
 Fax : +352.43.81.20
 E-mail : isabelle.schlessler@luxinnovation.lu

PORTUGAL

Instituto de Cooperação Científica e
 Tecnológica Internacional (ICCTI)
 Dr. Ana Margarida MIRANDA
 Rua Castilho, 5-4º
 PT – 1250-066 Lisboa
 Tel. : +351.21.35.85.300 / 21.35.85.323
 Fax. : +351.21.315.40.65
 E-mail : am.miranda@iccti.mct.pt

SPAIN

Alfonso BELTRAN GARCIA-ECHÁNIZ
 OCYT
 Tel : +34 91 594 86 29
 Fax : +34 91 594 86 43
 E-mail : abge@cicyt.es

Armando Albert MARTINEZ
 CINDOC-CSIC
 Tel : +34 91 563 54 82
 Fax : +34 91 564 26 44
 E-mail : aalbert@cindoc.csic.es

Sonia C. Antolín, Ph D., M.B.A.
 Quality of Life and Management of Living
 Resources Manager
 European Union R&D Programmes Dept.
 C.D.T.I. (Science and Technology BOARD)
 C/Cid,4.
 E - 28001 Madrid.
 Tel : 34 91 5815562
 fax.: 34 91 581 55 84
 E-mail: sam@cdti.es

CENTRO PARA EL DESARROLLO
 TECNOLÓGICO INDUSTRIAL (CDTI).
 MINER
 Juan Antonio SERRANO
 Paseo de la Castellana, 141
 E - 28046 Madrid
 Tel : +34 91 581 55 62
 Fax: +34 91 581 55 84
 E-mail : jasf@cdti.es
colm@cdti.es

Jose Antonio MELERO FONDEVILLA
 Instituto de Salud Carlos III
 Tel : +34 91 509 79 41
 Fax : +34 91 509 79 19
 E-mail : jmelero@isciii.es

SWEDEN

The Swedish EU/R&D-Council
 Dr. Gunnar SANDBERG
 P.O.Box 7091
 S – 103 87 STOCKHOLM
 Tel. : +46.8.454.64.54
 Fax : +46.8.454.64.51
 E-mail : gunnar@eufou.se

THE NETHERLANDS

EG-Liaison/Senter
Postbus 30732
NL – 2500 GS DEN HAAG
Tel. : +31.70.3610250
Fax : +31.70.3562811
Web-site : www.egl.nl

S. DE WILD
E-mail : s.de.wild@egl.nl
Ir. R. DIJKSTRA
E-mail : r.dijkstra@egl.nl
Lr. J. TON
E-mail : j.ton@egl.nl

Council for Medical and Health Research -
NWO
Prof. Dr. E.C. KLASSEN
P.O.Box 93138
NL – 2509 AC THE HAGUE
Tel. +31.70.3440748
Fax : +31.70.3440749
E-mail : burger@nwo.nl

Wageningen University and Research Center -
Europa Desk
P.O.Box 59
NL – 6700 AB WAGENINGEN
Tel. : +31.317.474023
Fax : +31.317.424060
E-mail : eudesk@co.dlo.nl

UNITED KINGDOM

Office of Science and Technology, DTI
International Directorate
Mrs. Kathryn NEWELL
Bay 5119, 1 Victoria Street
UK – LONDON SW1 OET
Tel. : +44.(0)20.7215.6425
Fax : +44.(0)20.7215.6410
E-mail : kathryn.newell@dti.gsi.gov.uk

**Biotechnology and Biological Sciences
Research Council (BBSRC)**
Mrs. Fiona CLOUDES-RICHARDS
Tel.: +44 (0) 1793 413200
Fax : +44 (0)1793413382
E-mail : fiona.clouder-richards@bbsrc.ac.uk
Website: <http://www.bbsrc.ac.uk>
BBSRC information mailing list :
<http://www.bbsrc.ac.uk/opennet/structur/biig.html>

Medical Research Council (MRC)
Dr Kerstin NYBERG
Tel.: +44(0)20.7636.5422
FAX.+44(0)20.7670.5124
E-mail : kerstin.nyberg@headoffice.mrc.ac.uk
Website: <http://mrc.ac.uk>

**Ministry of Agriculture Fisheries & Food
(MAFF)**
Tel. +44(0)171 921 1556
E-mail : e.ecfpmaff@rpc.maff.gov.uk

The United Kingdom Research Office in
Brussels *UKRO*
Ms. Linda POLIK
Tel: +32.2.230 1530
E-mail : linda.polik@bbsrc.ac.uk
Website : <http://www.ukro.ac.uk>

**Economic & Social Sciences Research
Council (ESRC)**
Mr. S. MORGAN
Tel.: +44 (0) 1793 413044
E-mail : stephen.morgan@esrc.ac.uk

**For advice and assistance on CRAFT, and
specific industrial and SME measures**
Mrs. Lucy COFFEY
Tel : +44 (0)1302 322 633
E-mail : lucy@betatechnology.co.uk
Website : <http://www.betatechnology.co.uk>

ASSOCIATED COUNTRIES⁴⁸**BULGARIA**

Dr. Varban GANEV
Medical University
Department of Chemistry and Biochemistry
2, Zdrave str.
1431 Sofia
Bulgaria
Tel.: +359.2.548.101 / +359.2.5166.351
Fax : +359.2.973.1430 / +359.2.517.176
E-mail : ganev@medfac.acad.bg

CYPRUS

Mr. K. KYRIALLIS
The Cyprus Institute of Neurology and Genetics
6, International Airport Avenue
2012 Ayios Dhometios
P.O.Box 23462
1683 Ayios Dhometios
Nicosia
Cyprus
Tel: +357.2.358600
Fax: +357.2.358238
E-mail: kyrialis@mdrtc.cing.ac.cy

Popi KANARI
State General Laboratory
44 Kimonos Street
Acropolis
1451 Nicosia
Cyprus
Tel.: +357.2.301463
Fax : +357.2.316434
E-mail : panari@spidernet.com.cy

CZECH REPUBLIC

Mr. Vladimir ALBRECHT
Technology Centre AS CR
Rozvojová 135
CZ – 165 02 Prague 6
Tel. : +420.2.203.90.702
Fax : +420 2 209.22.698
E-mail : albrecht@tc.cas.cz

ESTONIA

Dr. Meelis SIRENDI
Estonian Science Foundation
Kohtu 6
EE – 10130 Tallinn
Estonia
Tel. : +372 6308855
Fax : +372 6450701
E-mail : meelis@etf.ee

⁴⁸ and future associated countries

HUNGARY

Dr. Zoltán SOMOGYI
Ministry of Education
Research and Development Division
Department of Bio-and Agrotechnologies
Szervita tér 8.
H-1052 Budapest
Tel. : +36-1-318.70.76
Fax : +36-1-318 70.76
E-mail : zoltan.somogyi@om.gov.hu

ICELAND

Mrs. Hjordis HENDRIKSDOTTIR
The Icelandic Research Council - RANNIS
Laugavegi 13
IS – 101 Reykjavik
Tel : +354.515.5800
Fax : +354.511.5566
E-mail : hjordis@rannis.is

Mrs. Ragnheidur HEDINSDOTTIR
Federation of Industries
Hallveigarstig 1
IS – 101 Reykjavik
Tel : +354.511.5555
Fax : +354.511.5566
E-mail : ragnheidur@si.is

ISRAEL

Mr. Stuart BERNSTEIN
Director of Life Science Programme - Iserd
Industry Building
29 Hamered St.
P.O.B 50436
Tel-Aviv 61500
Israel
Tel. : +972.3.5118119
Fax : +972.3.5170020
E-mail : stuart@iserd.org.il

LATVIA

Dr. Dace TIRZITE
Latvian Institute of Organic Synthesis
Aizkraukles str. 21
LV – Riga 1006
Latvia
Tel.: +371 7551335
Fax : +371 7821038
E-mail : dace@osi.lv

LIECHTENSTEIN

Mrs. Hermine HAUG
Office of National Economy
Gerberweg 5
FL-9490 Vaduz
Liechtenstein
Tel.: +423 236 68 71
Fax: +423 236 68 89
e-mail : hermine.Haug@avw.llv.li

LITHUANIA

Lithuanian Innovation Centre
 NCP for LIFE
 Mr Biruté JUKNEVIČIENE
 T. Ševčenkos 13
 LT – 2600 VILNIUS
 Tel.: +370 2 251 371
 Fax : +370.2.232781
 E-mail : egma@ktl.mii.lt

Prof. Arvydas JANULAITIS
 Institute of Biotechnology,
 Senior research associate
 Grai I n°8
 LT - 2028 VILNIUS
 Tel.: +370 2 642468
 Fax : +370.2.642624
 E-mail : janulait@fermentas.lt

NORWAY

Ministry of Education, Research and Church
 Affairs
 Stensberggata 26
 PO Box 2700 St. Hanshaugen
 N – 0131 OSLO
 Tel. : +47.22.03.70.00
 Fax : +47.22.03.70.01

Ms Ragna VALEN
 Tel. : +47.22.03.7151
 Fax : + 47.22.03.70.01
 E-mail : rav@forskningsradet.no
 Ms Siri ANZJÓN
 Tel. : +47.22.03.70.98
 Fax : +47.22.03.71.04
 E-mail : sa@forskningsradet.no
 Ms Gudrun LANGTHALER
 Tel. : +47.22.03.73.57
 Fax : +47.22.03.7001
 E-mail : gla@forskningsradet.no

POLAND

Mrs. Anna PYTKO
 IPPT PAN – NCP
 Swietokrzyska 21
 PL –00-049 WARSZAWA
 Tel : +48 22 826 2502
 Fax : +48 22 828 5370
 E-mail : apytko@ippt.gov.pl

ROMANIA

Mrs. Liliana GALETESCU
 National Agency for Science, Technology and
 Innovation
 Strada Mendeleev n° 21-25
 RO-70168 Bucharest
 Tel.: +40 1 210 92 75
 Fax : +40 1 210 92 75
 E-mail : lgaletescu@mct.ro

SLOVAK REPUBLIC

Mr. Roman LINCZENYI
 FEMIRC Slovakia
 Zochova 5
 SK-811 03 Bratislava
 Tel.: +421 7 5441 75 15
 Fax : +421 7 5441 75 22
 E-mail : life@bicba.sk

SLOVENIA

Dr. Livija TUŠAR
Ministry of Science and Technology
Trg OF 13
SI-1000 Ljubljana
Slovenia
Tel.: +386 61 1784 681
Fax: +386 61 1784 719
E-mail : livija.tusar@mzt.si

Dr. Peter DOVČ
University of Ljubljana - Biotechnical Faculty
Department of Zootechnics
Groblje 3,
SI – 1230 Domžale
Slovenia
Tel.: +386.61.717.888
Fax : +386.61.721.005
E-mail : peter.dovc@bfro.uni-lj.si

SWITZERLAND

Dr. Jürg PFISTER
Swiss National Science Foundation (SNSF)
Wildhainweg 20
P.O.Box 8232
CH – 3001 Berne
Tel.: +41.31.308.22.22
Fax : +41.31.301.30.09
E-mail : jpfister@snf.ch

MALTA

Prof. Alex FELICE
Malta Council for Science and Technology
36, Old Mint Street
Valletta VLT12
MALTA
Tel. : +356.32902774
Fax : +356.343535
E-mail : afel@biotech.um.edu.mt

Appendix 6: Evaluation Guidelines

Please note that update in the evaluation manual might be further introduced. The formally adopted reference version for the evaluation of FP5 proposals is to be found on CORDIS at: <http://www.cordis.lu/fp5/src/evalman.htm>

This section briefly describes the evaluation of shared-cost R&D, demonstration and combined projects, Thematic Networks and Concerted Actions⁴⁹ proposals, as well as the criteria used in the evaluation process⁵⁰.

The evaluation will follow the rules set out in the *Manual of Proposal Evaluation Procedures for the Fifth Framework Programme*⁵¹. Additional information on the evaluation process, including a *Vade Mecum for Experts taking part in proposal evaluation* and the evaluation forms is also available⁵². In order to take into account any changes in the rules or procedures, for example regarding threshold criteria, please consult the current versions of these documents on CORDIS.

6.1. Basic Principles

- **Transparency.** Proposals will be evaluated by experts, working as independent consultants⁵³ to the Commission under a specific agreement that requires the experts to maintain confidentiality and to withdraw from the evaluation process should a conflict of interest occur. The evaluation will be carried out in accordance with the procedure established in advance and available to all in the above mentioned documents.
- **Multi-disciplinarity.** The necessary expertise for assessing all relevant aspects of the proposal will be present during the evaluation process.
- **High quality.** The evaluation will be based, first, on the scientific and technical excellence of the proposals⁵⁴, as well as on the ability of the consortium to carry out the objectives proposed.⁵⁵ Proposals failing to reach the required level (threshold) on either of these two aspects will be rejected.
- **Anonymity.** For shared-cost project proposals, during the evaluation of the scientific and technical excellence (only), it will be ensured that individual experts are not informed of the identity of the applicants, so that the reputation of the partners does not interfere in the assessment of the quality of the proposed work. Only after this step will the identity of the applicants be disclosed, so that the experts may assess the ability of the consortium to carry out the objectives proposed.
- **Relevance.** For the proposals retained, the experts will next assess the «relevance» of the proposal⁵⁶, that is the likely contribution of the proposed work to the Programme objectives and to the Community social and economic objectives, and its coherence with relevant current and future Community policies.

⁴⁹ The evaluation of the SME specific measures (CRAFT and Exploratory Awards) and fellowships, will be addressed in the documentation to, respectively, the horizontal programmes on “Innovation and participation of SMEs” and “Improving the Human Potential” (The evaluation of INCO fellowships will be addressed under section 6.6). Accompanying measures will generally be evaluated by experts in one stage, possibly via postal evaluation. In this case, the feedback given to the applicant will be limited to the marks that were attributed. In the case of small size accompanying measures, the evaluation may be carried out without the assistance of outside experts.

⁵⁰ For Marie Curie fellowships, specific criteria taking into account the training aspect of this activity will apply (for further details, see box 3 in Part 1 of this Guide and contact addresses).

⁵¹ <http://www.cordis.lu/fp5>

⁵² http://www.cordis.lu/life/src/part_docs.htm

⁵³ Experts are selected via a specific call for experts published in the Official Journal of the European Communities and open for the duration of the Framework Programme

⁵⁴ corresponding to the first blocks of criteria set in the Evaluation Manual and presented here under section 6.3.1

⁵⁵ using the criteria set in the Evaluation Manual and presented here under section 6.3.2.

⁵⁶ using the criteria set in the Evaluation Manual and presented here under section 6.3.3, 6.3.4 and 6.3.5.

- **Equity and impartiality** of the ranking. A final mark for each proposal, based on the marks attributed for each criterion by the panel of independent peer reviewers⁵⁷, will constitute the main basis, together with an interdisciplinary panel discussion, for establishing a priority order between all proposals eventually recommended for funding by the experts.

6.2. The Evaluation Procedure

The objective of the evaluation procedure is to obtain ranked lists of proposals in order of priority for funding (“priority lists”). The evaluation procedure will be carried out in different stages:

6.2.1. Eligibility checks

The Commission staff will first check the eligibility of the proposals, taking into account purely administrative aspects (all required completed forms present, date of submission, transnationality requirement, etc.).

After this step, the experts will answer a set of questions designed to check that each proposal complies with the scientific scope of the programme, in particular with the specifications set out in the call. The following questions will be addressed:

- Does the proposal address the parts of the work programme open for the particular call? Are the appropriate policy issues addressed? If the proposal is only partly in line with the call, does it have sufficient merit to be considered in its entirety or in part?
- Have the relevant ethical issues been adequately taken into account? Regarding Community policies, have the necessary safeguards and impact assessments (e.g. on the environment) been adequately considered?
- Does the proposal follow the requirements for layout as detailed in the call (e.g. the requirement for anonymity)?

If these conditions are not respected, experts will be required to provide comments to justify their answers. On the basis of the experts’ remarks, the Commission may decide not to continue with the evaluation of any proposal that does not fulfil any of the above requirements. The result of these checks may appear at any stage of the evaluation⁵⁸.

If a proposal is finally rejected because it does not comply with the scientific scope of the programme or for similar reasons, the applicants will be informed of the specific reason(s) for rejection via an evaluation summary report.

6.2.2. Evaluation stages

Subsequently, the experts will evaluate eligible proposals for quality and relevance. The evaluation criteria are divided into five main blocks (see point 6.3). Each block of criteria will be marked by the experts on a six point scale from 0 to 5. These scores indicate the following:

- 0 - the proposal fails to address the issue under examination or can not be judged against the criterion due to missing or incomplete information
- 1 - poor
- 2 - fair
- 3 - good
- 4 - very good
- 5 - excellent

The evaluation will follow the two-stage procedure detailed below.

⁵⁷ using a weighting method detailed under section 6.5

⁵⁸ An additional ethical review may take place at the end of the evaluation process (see section 6.2.2.3).

6.2.2.1. Stage One – Quality of the proposals

An evaluation panel of experts will be established for each action line⁵⁹ included in the Call⁶⁰. If a large number of proposals are received under an action line, the proposals will be shared between several panels.

Each proposal will be evaluated by at least four experts. After completing the steps detailed above (6.2.1.), each expert will evaluate and mark the proposals using the selection criteria⁶¹ further described in this document (under point 6.3). For two of these blocks of criteria (i.e. the so-called “**Threshold blocks of criteria**”), the mark attributed by the experts will be eliminatory when inferior to “4” (“4” corresponds to a “very good” rating”).

The experts will evaluate and give a score for each proposal against the first “threshold” block of evaluation criteria, which essentially covers *scientific and technological excellence*. The rules for preserving anonymity apply at this stage. Proposals are then judged and scored against the second threshold block of criteria, which essentially covers the *resources, partnership and management*.

Once consensus marks for each of these two blocks of criteria have been awarded to the proposals (following individual evaluation and panel discussion), proposals that fail to reach either of the threshold marks will be proposed for rejection (and will not progress further in the evaluation). A consensus evaluation summary report (ESR) will be prepared which will make clear why the proposal failed to reach the required level for further evaluation.

For proposals meeting the threshold criteria (i.e., mark “4” or better), an ESR is similarly completed for these criteria. If the relevant expertise is present, the same panel might then attribute an initial marking for each of the other three blocks of criteria (the so-called “relevance” criteria, covering *Community added value and contribution to EU policies; Contribution to Community social objectives; Economic development and scientific and technological prospects*). In this case, the experts will also prepare a complete draft ESR for each retained proposal for the Stage Two panel to use. *Stage One* finishes here. In the other case, the evaluation of the “relevance” aspects will be dealt with in Stage Two.

6.2.2.2. Stage Two – Relevance of the proposals and ranking

All proposals under a given action line successfully passing through the thresholds of Stage One will be gathered for further evaluation against the three “relevance” blocks of criteria (if needed) and ranking by a multidisciplinary synthesis panel⁶². This panel will normally include at least one member from each Stage One panel (acting as its reporter) and relevant complementary expertise, if necessary (for example with regard to socio-economic objectives).

The role of the *Stage 2* panel will be to agree on an overall ranking of the proposals. The ranking will be based on the score of the proposals, i.e. the **weighted average of the marks** awarded for the two threshold blocks of criteria and the three “relevance” blocks of criteria. The weighting will be performed according to the table given in section 6.5.

The outcome of *Stage 2* will be ranked lists of proposals recommended for funding by the panels⁶³ and a final ESR for each proposal.

6.2.2.3. Possible additional step: Ethical review panel

In a final step, for proposals on the ranked list dealing with specific sensitive issues⁶⁴, a specific ethical review will be carried out by a panel of scientists, lawyers, philosophers, academic specialists in

⁵⁹ The term “action line” will generally correspond to a priority activity in the work-programme. In some cases, activities within one priority activity might be attributed to several action lines, as, for instance, to separate “aquaculture” from “fisheries”.

⁶⁰ When necessary, a specific panel might be used to evaluate specific modalities such as demonstration and combined projects.

⁶¹ set out in the *Manual of Proposal Evaluation Procedures for the Fifth Framework Programme*

⁶² Each of these panels will gather an appropriate mix of expertise. If the number of proposals received under a given action line can be processed by a single panel with the relevant expertise, Stage Two will be processed by the same panel.

⁶³ In general, each Stage Two panel will produce one ranked list per action line

ethics, representatives of associations, etc. The review will check whether the ethical and legal questions raised by any such proposal have been adequately answered. If these questions are not adequately addressed, the experts will be required to provide comments to justify their review. On the basis of the experts' remarks, the Commission may decide not to continue with the evaluation of the proposal.

6.2.3. Feed-back to the proposers

In any case, a copy of the ESR will be sent to the proposers.

6.2.4. Specific procedure for proposals submitted under the action line “Support for Research Infrastructure”

The evaluation procedure will normally involve a single panel, meeting in two sessions. In addition, the members of the panel will receive the abstracts of the eligible proposals in advance at their normal place of work in order to allow them to consult different information sources, as they consider necessary. **The members of the panel might also receive in advance via postal means part A2 of the proposals.**

6.2.5. Specific procedure for proposals submitted under the action lines “Bioethics” and “Socio-economic evaluation of life sciences and health care technologies”

An experimental peer-review system (“remote evaluation”) will be used to evaluate the first block of criteria (Scientific/Technological quality and innovation) for proposals submitted to these areas. Part B of the proposals will be sent to the experts of the panels at their normal place of work in order to allow them to consult different information sources, as they consider necessary. Experts will evaluate and mark the first block of criteria before convening in Brussels where the panel will attribute a consensus mark for the first block of criteria and continue the evaluation according to the usual procedure.

6.2.6. Specific procedures for expressions of interest and proposals submitted under the dedicated call for integrated projects in functional genomics relating to human health

The evaluation procedures will be described on the specific web site: http://www.cordis.lu/life/generic/integ_proj.htm.

6.2.7. Shortlist

On the basis of the results of the first two stages of the evaluation and the resulting ranked lists of proposals provided by the expert panel(s), a Commission decision listing proposals not to be funded (either failing to reach the required thresholds, or ranked too low on the priority list to be funded, due to budgetary limits) will be taken. On this basis, the applicants concerned will be informed of the rejection of their proposal and a shortlist of successful proposals for each relevant action line will be prepared by the Commission Services⁶⁵. Negotiations with the co-ordinators of the project proposals on these lists will immediately follow, respecting the order of priority. Commission decisions will be made for projects to be funded after approval, when required, of the Programme Committee. Negotiations will stop when the available budget is exhausted, and a final decision will be taken by the Commission, rejecting the remaining proposals from the shortlists that could eventually not be funded.

⁶⁴ Such as projects involving the use of human embryos or foetal tissues, or experimentation on non-human primates, as well as any project where the evaluators will express concern with regard to ethical aspects of the research (its objectives, methodology or potential implications)

⁶⁵ Separate lists can eventually be established for different types of projects (i.e., accompanying measures, fellowships, thematic networks, etc.)

6.3. Criteria used for Proposal Evaluation

Different weightings might apply to each of these criteria, depending on the type of action and the RTD sector of the proposal. These weightings are meant to reflect the various nature and objectives of the Key Actions, generic activities and infrastructures, or of the different modalities. These weightings and thresholds are given under section 6.5.

Particular attention will be granted, where relevant, to the effective participation, commitment, and support of industry (including SMEs), service providers and end-users in the project.

With regard to the evaluation of the scientific, technical, managerial aspects of the proposal, as well as those dealing with relevance to Community objectives and policies, experts will not be allowed to apply criteria that deviate from those set out in the *Evaluation Manual* and outlined below.

6.3.1 Scientific/Technological quality and innovation

- **The quality of the research** proposed and its contribution to addressing the key scientific and technological issues for achieving the objectives of the programme and/or action.
- The originality, degree of **innovation and progress beyond the state of the art**, taking into account the level of risk associated with the project.

For demonstration projects, the novelty of the technology to be demonstrated is an essential aspect (either a new technology or a new application of an existing technology). The description of the novelty aspects of the technology to be demonstrated should include an evaluation of the advantages of the new technology, with respect to established and competing alternative. The proposal should also justify why a demonstration phase is really necessary and advantageous for the success of the new technology. The key issues are “sufficient knowledge to implement the demonstration, adequate scale and acceptable risks of failure”. A demonstration phase has to come “not too early, not too late”- to make the technology attractive. All the necessary tools must be ready for the implementation of the demonstration (example: for construction and validation of a prototype, all specifications for building the prototype have to be known). If the level of knowledge is not sufficient and laboratory research or development is needed before the demonstration could be implemented, the project can not be accepted⁶⁶. The validation of the new technology must be planned on a scale representing reality or under realistic conditions. The experts will also evaluate if the risks of technological failure have been properly assessed and if these risks can be assumed.

- The **adequacy** of the chosen approach, methodology and work plan for achieving the scientific and technological objectives will be thoroughly evaluated.

6.3.2 Resources, partnership and management

- The **quality of the management and project approach** proposed will be carefully examined, in particular the appropriateness, clarity, consistency, efficiency and completeness of the proposed tasks, the scheduling arrangements (with milestones to be reached) and the management structure. In addition, the tools to be used for monitoring project progress and ensuring good communication within the project consortium will also be assessed.
- **The quality of the partnership and involvement of users** and/or other actors in the field, when appropriate, will be thoroughly evaluated, as well as the scientific/technical competence and expertise, together with the roles and functions within the consortium (the scientific and management team should be competent to carry out the proposed tasks). The complementarity of the partners (and the balance in terms of the distribution of roles and tasks) must be clearly presented.

For a demonstration project, it is capital that the partnership should involve both technology producers and technology users.

For infrastructures, this criterion also implies the direct or indirect involvement in the project of a critical mass of infrastructure operators

⁶⁶ It must be clear, on the other hand, that marketing-related activities cannot in any way be supported

- The **appropriateness of the resources** - the manpower effort for each partner and task, the quality and/or level and/or type of manpower allocated, durables, consumables, travel and any other resources to be used will be assessed, as well as the resources not reflected in the budget (e.g. facilities to carry out the research and the expertise of key personnel).

6.3.3 *Community added value and contribution to EU policies*

- **The European dimension** of the problem must be reflected in the proposal, i.e., the extent to which the project would contribute to solving problems at the European level and the fact that the expected impact of carrying out the work at European level would be greater than the sum of the impacts of national projects.
- **The European added value of the consortium** - the need to establish a critical mass in human and financial terms and the combination of complementary expertise and resources available Europe-wide in different organisations must be reflected in the proposal.

For infrastructures, specific attention will be granted to the potential impact on the overall provision of infrastructure services in the field.

- The project's **contribution to the implementation or the evolution of one or more EU policies** or addressing problems connected with standardisation and regulation will be examined. Proposals should be factual in outlining expected research results, from which a linkage could be made between reinforced scientific and technological bases, specific competitive advantages for European trade and industry, consumer satisfaction and the citizen's quality of life. New data and methodologies would have to be promoted in a variety of fields such as health and safety, risk assessment, measurement and testing, bioresource management, informed consumer choice, ecosystem preservation, equal opportunities vis-à-vis health care provisions or new food habits, etc. Additional value will be attributed to projects addressing the priorities of EU policies or anticipating their evolution in a global societal context, those providing scientific facts and validation tools in support of EU legislation and its further development. For projects on animal health and projects in sub-areas 5.1, 5.3 (first bullet), 5.4 and 5.5, this criterion relates more specifically to the contribution of the subject of the RTD proposal to the implementation or the evolution of the Common Agricultural and related policies. More specific details on the relevance of EU policies, such as the Common Agricultural and Common Fisheries policies, to research are given in separate summary papers⁶⁷.

6.3.4 *Contribution to Community social objectives*

- The proposal is expected to describe the **contribution of the project to improving the quality of life and health and safety** (including working conditions).
- The **contribution of the project to improving employment prospects** and the use and development of skills in Europe.

For both criteria mentioned above, when research is likely to involve social considerations and affect the public perception of science, the proposal should describe any possible effect on current moral and philosophical issues, and/or conceivable consequences upon such areas as, for example, employment and working conditions.

- The contribution of the project to **preserving and/or enhancing the environment** and the minimum use/conservation of natural resources, if applicable, must be presented in the proposal.

Within this main heading of Contribution to Community social objectives, the weight of one or the other criterion may shift, depending on the domain in which the proposal is submitted. For example, for a proposal in the field of rural development, the employment prospects may be the most important aspect while for a proposal in the field of forestry or agricultural systems it may be the contribution of the project to improving the quality of life and health and safety and/or the preservation/enhancement of the environment.

⁶⁷ These can be downloaded from <http://www.cordis.lu/life/src/lib-pol.htm>

6.3.5 Economic development and S&T prospects

- The possible **contribution to growth**, in particular **the usefulness and range of applications and quality of the exploitation plans**, including the credibility of the partners to carry out the exploitation activities for the RTD results arising from the proposed project and/or the wider economic impact of the project will be carefully considered.

For demonstration projects, an exploitation plan of high quality demonstrating the clear commitment and strategy to exploit the technology or to ensure its exploitation is expected.

- **The strategic impact of the proposed project** and its potential to improve competitiveness and the development of applications and markets for the partners and the users of the RTD results must be clearly reflected in the proposal.
- **The contribution to European technological progress** and in particular **the dissemination strategies** for the expected results, choice of target groups, etc., must be reflected in the proposal.

For a demonstration project, mobilisation of the most appropriate Extended Audience⁶⁸ and appropriate resources and strategy within the partnership to interact with it are expected.

The weight of one or other criterion of this block may shift, depending on the domain in which the proposal is submitted. In some domains such as animal health, 5.1, 5.3, 5.4 and 5.5, the most important aspect may be the likely usefulness and/or applicability of the awaited results as shortly as possible after the end of the project.

6.4. Ethical Issues and Safety Provisions

Independently from the evaluation against the criteria detailed above, the experts will check if relevant ethical issues and safeguards/impact assessment regarding Community policies have been adequately addressed. If these issues are not adequately addressed the Commission may decide, based on the experts' remarks, not to continue with the evaluation of the proposal.

6.4.1 Screening for ethical issues

The proposals must respect fundamental ethical principles including human rights and animal welfare requirements. In addition, attention will be paid to identifying potential ethical implications of the project related to the objectives, the methodology or the applications of the results. Evaluators will assess the level of awareness of the applicant on the legal and ethical dimensions of the project, and the applicant's capacity to manage it. The existence of adequate provisions where necessary in the implementation of the project and the knowledge and fulfilment of all ethical and legal requirements will be therefore considered and reported in the Evaluation Summary Report.

Furthermore, if the project is dealing with certain pre-identified issue (use of human embryos, or foetus, experimentation on non human primates), or if the project raised ethical concerns during the evaluation, a specific ethical review involving independent external experts, (scientists, lawyers, philosophers, representatives of associations, etc.), will be performed to check if the ethical questions raised by the project are adequately answered. Such a review does not exempt the applicant from his/her obligation concerning authorisation or approval by local or national ethic or animal welfare committees. The research should comply with all relevant national and international laws, conventions and codes of conduct.

6.4.2. Safety provisions

Proposals must respect fundamental safety issues of good laboratory practices and of general practices involving and handling biological agents. Potential safety implications of the project related to the methods, the objectives and the potential applications must be clearly indicated. Awareness of the applicant of all relevant national and international laws, conventions, advice, guidelines and codes of conduct must be shown. Where appropriate, the explicit approval of local and national safety

⁶⁸ The *Extended Audience* being the ensemble of all potential users, interest groups and other relevant bodies that might have an influence on the adoption of the technology under demonstration

committees must be mentioned. If the project is involving the use or the release of genetically modified organisms (GMOs), the applicant must respect the European⁶⁹ relevant framework and its implementation.

When relevant, applicants are required to provide, where applicable, all information necessary for the detailed evaluation of the ecological impact of their studies and for the assessment of technological risk, and once a project proposal is selected, to seek where necessary, approval from the responsible authorities. In the case of a possible ecological impact, the accuracy of the description of potential risks and of provisions made to deal with them will be an important element in the assessment of the proposal.

Further details on ethical issues and safety provisions can be found in section II.7 of Part 1 of the Guide for Proposers.

⁶⁹ If the applicant is working outside the EU, he/she should respect the local legislation relevant to the use or release of GMOs.

6.5. Weighting of the Evaluation Criteria and Thresholds

The value of “4” for the threshold criteria indicates that proposals with a mark inferior to 4 will not be evaluated any further.

TYPE OF ACTION	TYPE OF PROJECT	SELECTION CRITERIA						
		Stage one (Threshold) Criteria				Stage two (Non-Threshold) Criteria		
		Scientific and Technological Excellence		Resources, Partnership and Management		Community Added Value etc.	Contribution to Community Social Objectives	Economic Development and S&T Prospect
		Weight	Threshold	Weight	Threshold	Weight	Weight	Weight
All Key Actions	R&D project Key Action 1	30%	4	20%	4	15%	15%	20%
	R&D project Key Action 2	30%	4	30%	4	20%	10%	10%
	R&D project Key Action 3	30%	4	20%	4	10% (20% for area 3.2)	15% (20% for area 3.2)	25% (10% for area 3.2)
	R&D project Key Action 4 & 6	30%	4	20%	4	20%	20%	10%
	R&D project Key Action 5	20% (30% for areas 5.2, 5.3 and for fisheries & aquaculture)	4	20%	4	30% (20% for areas 5.2 & 5.3)	15% (10% for fisheries & aquaculture)	15% (10% for fisheries & aquaculture)
	Demonstration project or Combined R&D / Demonstration project	20%	4	20%	4	15%	15%	30%
Generic actions	R&D project in areas Chronic and degen. Diseases, Neurosciences, Genomes	50%	4	20%	4	15%	10%	5%
	R&D project in areas Public Health, Disabled, Socio-Economics, Ethics	40%	4	20%	4	20%	15%	5%
	Demonstration project or combined R&D / Demonstration project	30%	4	20%	4	10%	15%	25%
Support for research Infra-structures	R&D project or Demonstration project	40%	4	20%	4	25%	10%	5%
All actions	Accompanying Measures ⁷⁰	40%	4	20%	4	20%	10%	10%
	Thematic network or Concerted action	25%	3.5	25%	4	25%	15%	10%

In addition, a threshold of 3.5 for the global mark (i.e. the weighted average of the marks received for the 5 blocks of criteria) will be applied to all actions listed in this table

Example of marking of one proposal:

An R&D proposal under Key Action 1 receives the marks 4 and 5, respectively for *Scientific and Technological Excellence* and for *Resources, Partnership and Management*. Both marks are above the

⁷⁰ The weightings presented in this table are indicative for accompanying measures: some slight modulation of no more than +/- 10% on any of the weightings might be applied depending on the type of action supported (studies, workshops, publications, etc.)

threshold, so further evaluation is allowed. The result is 3, 3 and 5 respectively for *Community Added Value etc.*, for *Contribution to Community Social Objectives* and for *Economic Development and S&T Prospects*.

The final mark is: $(30\% \times 4) + (20\% \times 5) + (15\% \times 3) + (15\% \times 3) + (20\% \times 5) = 4.1$

6.6. Steps for the evaluation of Clusters at Proposal Stage in the Quality of Life programme

A cluster at proposal stage (**A-priori cluster**) proposal contains as many separate descriptions of Parts B and C for shared-cost projects as there are component projects, with parts B conforming to the anonymity rules. In addition to these standard B & C parts, an additional specific section presents the objectives, synergies, benefits and expected impacts of the cluster, as well as the interrelation between different component projects. For these “cluster-specific” B forms, the rule for anonymity does not apply. These must not therefore be examined by the experts until all component projects have been examined against the first block of criteria.

All provisions for evaluation apply according to the rules reported in this manual. Sets of parts B & C, assembled according to the individual components of the cluster undergo an evaluation of their compliance with the thresholds. This may lead the Stage One panel to recommend the elimination of any of those components, where any of the two threshold blocks of criteria is not met. The additional cluster-specific parts B & C undergo the Stage One evaluation against threshold criteria, using the procedure established for concerted actions and thematic networks.

- If the cluster-specific part passes the Stage One thresholds, the proposal will be given consensus marks by the Stage One panel for both threshold criteria. A global Evaluation Summary Report (ESR) will be prepared. The cluster proposal will then be evaluated as a single entity against the three strategic criteria by the Stage Two panel dealing with the relevant action line, keeping in mind the recommendations of the Stage One panel. If the rejection of one or more component project is recommended by the panel at Stage One, the potential of the cluster to reach the (economic and social) objectives initially set out without that component will constitute a substantial element of Stage Two evaluation. If the cluster proposal passes all thresholds, it will be marked and ranked as a single proposal. The Stage Two panel may also recommend the elimination of any of the component projects on the basis of their evaluation. The global ESR used to report the evaluation results will include the individual ESR for each individual component project recommended for rejection by the experts as failing to pass the thresholds and the global ESR covering the Stage One and Stage Two assessment of the proposal as a whole.
- If the cluster-specific part fails any threshold of Stage One, the whole cluster proposal will be proposed for rejection (and will not progress further in the evaluation). An ESR will be prepared which will make clear why the proposal failed to reach the required level for further evaluation. It will include the individual ESR for each individual component project, including the one for the Cluster-specific part.

Weighting: If the cluster proposal only contains shared-cost RTD projects, The weighting rules for calculating the proposed project’s overall mark will be the rule used for RTD projects. If one or more demonstration or combined component project is present in the proposal and the panel recommends at least one of these to be maintained, the rule used will be the one laid down for demonstration and combined projects.

Attribution to panel and list: In case of a cluster addressing different actions, the cluster proposal will be attributed to the panel - and ranked in the list - corresponding to the area requested as a priority by the applicant, with the possibility of using experts from other actions on an ad-hoc basis if the scheduling allows. If no preference is expressed, the Commission, using the experts’ advice, will attribute the proposal(s) to the list judged the most relevant.

6.7. Specific Procedure for Bursaries for Young Researchers from Developing Countries

Consortia preparing a collaborative research proposal⁷¹ or a concerted action proposal for any of the specific programmes may include an application for an International Co-operation Training Bursary. If successful, the bursary will be funded from the budget of the specific programme “Confirming the International Role of Community Research”. The following procedures apply to the evaluation of such bursaries under all specific programmes of the EC fifth framework programme.

6.7.1 Evaluation Experts

Bursary applications must be submitted together with a project proposal (concerted action or joint research project) for any programme. The bursary application will then be evaluated simultaneously with the project proposal, by the same experts.

6.7.2. Eligibility criteria

In order for a bursary application to be eligible, it must satisfy the following requirements:

The Candidate :

- Must be a national of, and established in one of the eligible regions.
- He/she should not be more than 40 years of age (at the time of application).
- He/she must have a good knowledge of a working language of the host institute.

The Host Institute :

- Must be established in an EU Member State or in a State associated to the 5th Framework Programme.
- Must be a member of the consortium proposing the joint research project or Concerted Action.

6.7.3. Evaluation Criteria

Eligible bursary applications will be evaluated according to the following criteria:

	Criteria	Score range
1.	Excellence of the scientific and/or training objectives of the application	0-50
2.	Potential value of the bursary to the applicant and to his/her own home institute	0-20
3.	Relevance of the proposed bursary to the project as a whole	0-15
4.	Experience and professional training of the candidate	0-15

6.7.4. Proposal marking

The score range is 0 to 100 as detailed above. In order for a bursary to be granted, a bursary application must reach a score of at least 60, of which at least 30 should be excellence of scientific and/or training objectives. A score of at least 5 must be reached for each of the other criteria. The evaluated applications will be ranked by each Programme according to their score.

Note : Only if the whole project is selected for funding and the bursary application is highly rated will the bursary be granted.

⁷¹ R&D projects, demonstration projects and combined projects