

***Vade Mecum
for Experts Taking Part in
Proposal Evaluation
in the Quality of Life & Management of Living
Resources Programme.***

4th EDITION 2000

**Updated version for the evaluation of proposals
submitted from the 11 Oct.2000 deadline onwards.**

A small number of amendments have been introduced to improve the operation of the evaluation process as a result of recommendations made by independent observers and of practical experience from the past exercises, and to bring the Vademecum in line with the Annex H of the Manual of Proposal Evaluation Procedures for the Fifth Framework Programme that was adopted in March 2000.

**This document can be downloaded from the Internet,
at <http://www.cordis.lu/life>**

The procedures described in this document do not necessarily apply to other thematic programmes

Main amendments introduced to this document with regard to the previous version:

- Additional guidance for interpretation of relevance criteria (additional/updated policy papers in annex)
- Improvement of the evaluation forms.
- Introduction of a global threshold of 3.5
- slight modifications in the weightings.

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1. INTRODUCTION

The present document defines the procedure to be applied to the evaluation of proposals submitted in response to the Quality of Life and Management of Living Resources (or “QoL”) Calls for Proposals under the Fifth Framework Programme. It provides specific supporting information to experts taking part in the evaluation. Its content will also be of interest for applicants planning to submit a proposal and wishing to know exactly what process the proposal will undergo and which criteria will be used to evaluate it.

The evaluation will follow the rules set out in the *Manual of Proposal Evaluation Procedures for the Fifth Framework Programme*¹, which constitutes the reference base for the procedure. The aim is to carry out a thorough evaluation of every eligible proposal received, on the basis of their technical and scientific merits and contribution to Community and Programme objectives.

The proposals invited by the *Quality of Life and Management of Living Resources* calls are outlined in the Call announcement published in the Official Journal of the European Communities¹. The Programme objectives and RTD priorities to be supported are described in the Quality of Life Work Programme¹. Copies of both documents will be provided to experts who should know the relevant parts before evaluation commences.

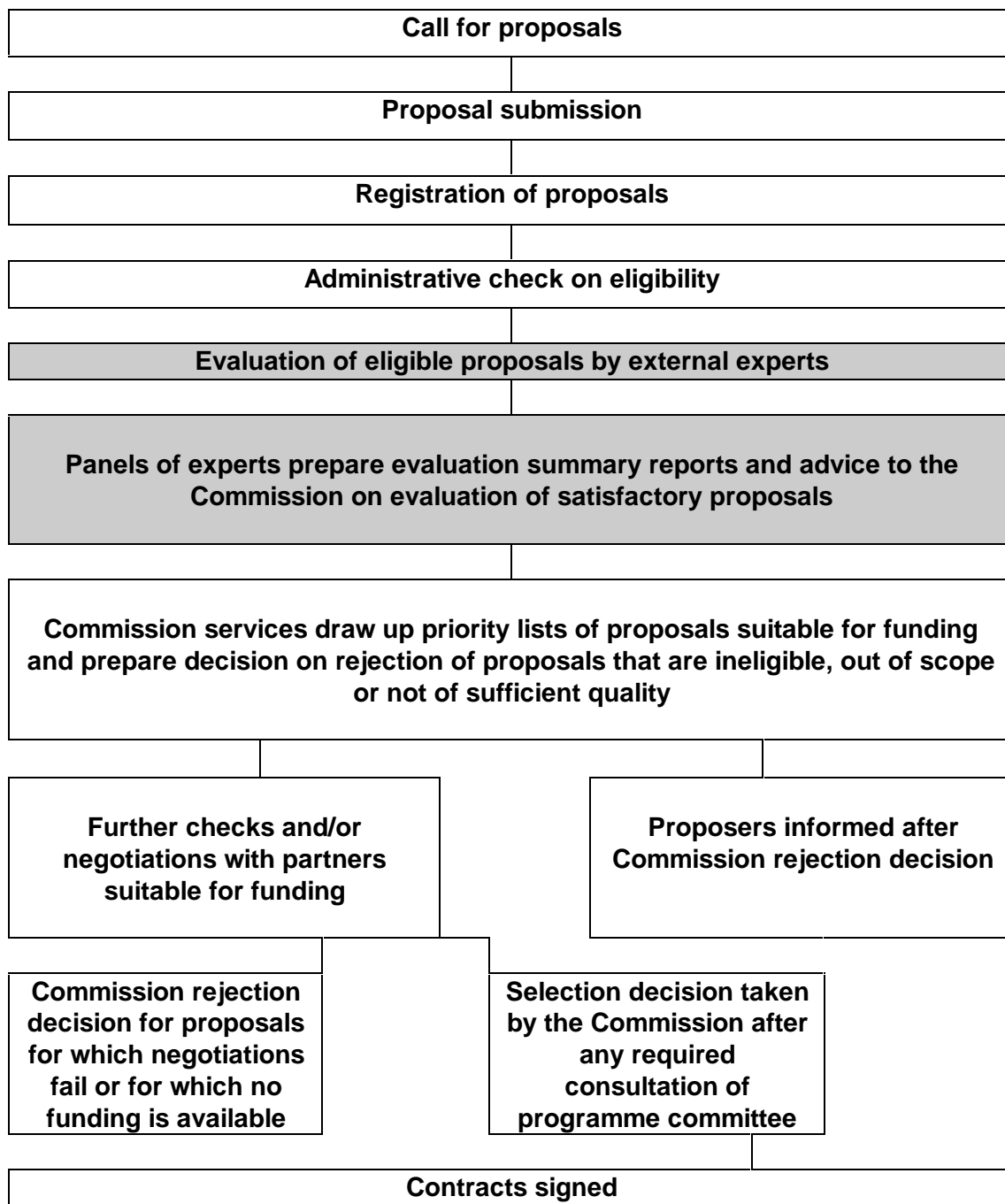
The processes for evaluating proposals submitted for funding to research, technological development and demonstration (RTD) programmes of the European Communities will rest on a number of well-established principles:

- i. **Quality.** Projects selected for funding must demonstrate a high scientific, technical and managerial quality in the context of the objectives of the RTD programme in question and must help in making a contribution to Community policies in general.
- ii. **Transparency.** In order to provide a clear framework for researchers preparing proposals for funding, the process of reaching those funding decisions, both the principles and the practice, must be clearly described and available to any interested party. In addition, the Commission services will provide the proposers with an adequate feedback on the outcome of the evaluation of their proposals.
- iii. **Equality of treatment.** A fundamental principle of Community RTD support is that all proposals should be treated alike, irrespective of where they originate from or the identity of the proposers.
- iv. **Impartiality.** All eligible proposals are treated impartially on their merits, following an independent peer review.
- v. **Efficiency and speed.** The procedures have been designed to be as rapid as possible, commensurate with maintaining the quality of the evaluation and respecting the legal framework within which the RTD programme is managed.

¹ <http://www.cordis.lu/fp5/src/evalman.htm>

2. SUMMARY OF THE STEPS INVOLVED IN THE PROPOSAL EVALUATION AND PROJECT SELECTION PROCESS

The present document concentrates on the proposal evaluation phases of the process (in grey)



3. THE TYPES OF PROJECTS

Experts may be called up to evaluate proposals falling within any of the following project categories, as more fully detailed under Part 1, section II.6 of the *Guide to Proposers* in the Information Package ¹.

- Shared-Cost Research and Technology Development Projects
- Shared-Cost Demonstration Projects
- Shared-Cost combined Projects (Research and Technology Development combined with Demonstration)
- Clusters
- Thematic Networks
- Concerted Actions
- Co-operative research projects
- Exploratory awards
- Accompanying measures
- Marie Curie Fellowships
- INCO Fellowships

4. THE CONTENT OF THE PROPOSALS

Experts will find that proposals are structured in three sections:

- **PART A**

This part comprises administrative and financial data, as well as the proposal summary. The administrative data is collected by the Commission mainly for administrative purposes and is not subject to evaluation. The experts will have access to Part A at the same time as part C of the proposal.

- **PART B**

This part comprises the description of scientific and technological objectives, and the detailed project workplan. It also presents the expected achievements and outcomes, and details the contribution to Programme/specific action objectives, as well as the innovative aspects of the project

For shared-cost projects, including the component projects of a cluster, this part should not contain any indication of the identity of the proposers in the intended consortium, nor should it contain a direct indication of the costs in financial terms. It does however contain figures relating to the manpower involved in the proposed project.

- **PART C**

This part comprises: a description of the proposed partnership; the management of the project; the resources available to execute it; the participants' roles and qualifications; the project's contribution to Community policies and objectives; the economic development and scientific and technological prospects; as well as the description of the ethical aspects of the projects and the safety provisions.

5. THE EVALUATION AND SELECTION PROCESS

This chapter describes the evaluation of proposals for shared-cost research and technology development, demonstration and combined projects, thematic networks and concerted actions, and the criteria used in the evaluation process. A specific evaluation procedure for clusters is detailed under Annex 8. The evaluation of other types of action is addressed in other sections or documents: the evaluation of the SME specific measures (CRAFT and Exploratory Awards) will be addressed in Annex 7. The evaluation of Marie Curie fellowships is in Annex 5; the evaluation of INCO fellowships is addressed in Annex 6.^{2,3}

5.1. ADMINISTRATIVE CHECK ON ELIGIBILITY

Commission staff will be responsible for verifying that proposals meet the eligibility criteria referred to in the call for proposals. These criteria will be rigorously applied and any proposal found to be ineligible will be excluded from evaluation. External experts will not be involved in this phase, but will be involved in subsequent checking of basic requirements to be fulfilled by the proposal (see section 5.3, basic requirements).

An eligibility checklist will be filled out for each proposal on the basis of the information contained in the proposal form. If it becomes clear during or after the evaluation phase that a proposal does not fulfil one or more of the eligibility criteria, it will be declared ineligible and withdrawn from any further examination.

The following criteria will be checked for each proposal. Only proposals that fulfil all of these criteria will be retained for evaluation:

- date of dispatch of electronic validation file or proposal before deadline for dispatching
- date of reception of proposal before deadline for reception
- for proposals submitted electronically, agreement between the unique identifier code sent with the validation file and that corresponding to the proposal file
- original signature of the co-ordinating legal entity (or appropriate electronic “signature”)
- original signatures of the partners who would contribute to the funding of a project (i.e. potential contractors, assistant contractors and members) **or** a signed declaration (possibly by electronic signature) of the proposal co-ordinator that he/she is authorised to send the proposal and that the proposal is agreed by the partners
- minimum number of eligible, independent partners, as referred to in the call for proposals
- Completeness of the proposal, i.e. the presence of all relevant administrative information and the proposal description (N.B. the completeness of the information contained in the proposal description will be for the experts to judge; the eligibility checks only apply to the presence of the appropriate parts of the proposal).

The formal decision to exclude a proposal for failing eligibility criteria will be made by the Commission, normally at the same time as the decision to reject proposals which are out of scope with the call or which do not meet the quality criteria. The Commission services will inform the co-ordinators of the ineligibility of their proposals immediately after the Commission decision.

² Accompanying measures will generally be evaluated by experts in one stage, possibly via postal evaluation. In this case, the feedback given to the applicants will be limited to the marks that were attributed. The Commission may determine a threshold for small financial contributions, below which the evaluation of the application for accompanying measure may be carried out without the assistance of external experts.

³ For Marie Curie fellowships, specific criteria taking into account the aspect of this activity related to training will apply (see box 2 in the *Guide to Applicants* for further details and contact addresses).

5.2. EVALUATION EXPERTS

The quality and relevance of all proposals that fulfil the eligibility criteria will be evaluated (see 5.3 for evaluation criteria). To advise the Commission in evaluating proposals, independent external experts will be invited. A minimum of four⁴ independent experts will evaluate each eligible proposal submitted to the Programme⁵.

5.2.1 SELECTION OF EXPERTS

The independent experts invited to evaluate the proposals are sought through a call for applications published in the Official Journal of the European Communities and open for the duration of the Framework Programme. The call details the criteria to be used for selecting the experts. In general, experts will be expected to have appropriate competence in the areas of activities in the Quality of Life and Management of Living Resources (or “QoL”) Programme.

The Commission will take account of applicants’ abilities to appreciate the challenges and industrial and/or socio-economic effects of research, in particular with regard to Community policies and their capacity for judging the relevance of proposals for these policies. Experts must also have appropriate language skills. Each application for selection to serve as an expert comprises a form incorporating a CV and appropriate keywords, on the basis of which the selection will be made.

To evaluate the proposals submitted in response to calls, Commission staff will draw up a list of appropriate experts (including a reserve list, if required) from the database of eligible experts. The Commission services will maintain centrally the database of experts and ensure an adequate rotation of experts in and out of the evaluation process during the Programme calls.

In general, in any period of 6 years, experts will not serve for more than 3 years (or 3 calls, whichever takes longer) per Programme. Programme managers will ensure a renewal of at least one third of the experts used by a Programme per year or per call if these are more than one year apart.

Care will be taken to ensure that each panel of experts has an appropriate range and balance of competences, geographical backgrounds and linguistic capabilities. As far as possible, attention will also be given to achieving an appropriate gender balance⁶. Care will be taken to avoid inviting experts who could be potentially biased for or against any particular proposal they are requested to evaluate, for whatever reason. The relevant Director(s) General will decide on the use of the list of experts for any particular evaluation session, as well as on any replacement or addition of experts needed in the course of a session.

5.2.2. ROLE OF THE EXPERTS

The experts work as independent persons under contract to the Commission. Their activities are guided by a Commission staff member, the *moderator* (see 6.2). They are deemed to work in a personal capacity and, in performing the work, not to represent any organisation, even in the case in which the contract for remuneration is concluded between the EC and the organisation employing the expert. Experts participating in the evaluation will be required to sign a contract with the Commission, binding them to confidentiality and impartiality regarding the proposals that come to their knowledge during the evaluation. Terms of reference and a code of conduct for experts to be annexed to this contract are given in Annex 2.

⁴ Due to the nature of Marie Curie Fellowship proposals (large numbers of relatively small projects), a minimum of two experts will evaluate these proposals.

⁵ For measures submitted through normal public procurement procedures or for ad-hoc subsidies, the Commission’s normal rules for evaluating such measures will apply. In the case of accompanying measures, see footnote 2:-

⁶ The European Communities pursue an equal opportunities policy. In this context, women are particularly encouraged either to submit proposals or to be involved in their submission. In its communication on “Women and Science”, the Commission has set itself a target of having evaluation panels comprising, if possible, 40% women.

The experts will evaluate the proposals, answer the questions in the Evaluation Forms, participate in the discussions on proposals and contribute to *the Evaluation Summary Reports*. The *Evaluation Summary Report* forms can be found under Annex 11.

There are two circumstances that might arise during the process for which the expert is requested to refrain from participating in the evaluation of a given proposal:

- a) if the expert does not have the scientific or technical background essential to evaluate a particular proposal, or,
- b) if the expert has a direct or indirect link with the proposal or a vested interest in the outcome of the evaluations: (please refer to annex 2 §3).

In either of these cases, the expert should indicate at the top of the relevant evaluation form the reason why he/she has not evaluated the proposal and immediately (but discreetly) inform the panel moderator.

In the case where an expert has participated in the evaluation of a proposal despite the conditions mentioned above in paragraph b), all opinions expressed and any score given by that expert during the entire session shall be disregarded.

The experts should not discuss or divulge to third parties outside the evaluation panel itself the contents of the proposals, the deliberations of the evaluation team, and the results of the evaluation.

5.2.3 BASIC ELEMENTS ON ORGANISATION OF THE EXPERTS' WORK

The QoL Programme is divided into six key actions, an action concerning generic activities and an action in support for research infrastructures. Experts will be assigned to panels. For each key or generic action, several panels may be established. The specific procedure for evaluating proposals on support for research infrastructures is detailed in section 5.7.4. All proposals to be evaluated by a panel will normally fall within a particular RTD action line ⁷, corresponding to the panel's expertise.

All evaluations will normally be performed within the premises controlled by the Commission, with possible exceptions for proposals for support for research infrastructures and for accompanying measures submitted in response to a call for proposals. In these cases, the experts may communicate the results of the initial evaluation to the Commission services by mail or electronically and, where necessary, discussed further in panels to arrive at the final advice to the Commission.

The Commission services will supply the detailed schedule for the evaluation process to the experts in advance of the evaluation. The evaluation will take place on secure premises in Brussels during the period stated in the schedule. Changes to this schedule may be communicated at the experts briefing, or if necessary at other times prior to completion of the evaluation process.

5.3 CRITERIA USED FOR PROPOSAL EVALUATION

The evaluation criteria used for this Programme are set out in the *Manual of Proposal Evaluation Procedures for the Fifth Framework Programme*.⁸ Each eligible proposal will be evaluated against these criteria by the independent experts, who will provide marks and comments. These criteria will be weighted, as detailed later in this chapter.

Basic Requirements. In addition, the experts will be asked to examine certain evaluation criteria by answering a set of questions relevant to the specifications referred to in the call.

⁷ The term "action line" will generally correspond to a bullet point in the Work Programme. In some cases, activities corresponding to one bullet point might be split between several action lines, as, for example, to separate "aquaculture" from "fisheries".

⁸ <http://www.cordis.lu/fp5>

The following questions will be addressed at an appropriate moment in the evaluation, once the experts have gathered sufficient information to provide an answer.

- Does the proposal address the parts of the work programme, including policy issues, open for the particular call? If the proposal is only partially in line with the call, does it have sufficient merit to be considered in its entirety or partially?
- Have relevant ethical issues been adequately taken into account in the preparation of the proposal; is the proposed research compliant with fundamental ethical principles, if relevant? Is the RTD proposed in line with Community policies, if relevant⁹; have appropriate safeguards/impact assessment regarding Community policies (e.g. environment) been taken into account, where necessary?
- Does the proposal follow the requirements for presentation (notably requirements for anonymity)? 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.

In the case of negative answers to these questions, the experts will be required to provide comments to justify their answers. On the basis of the experts' remarks, the Commission reserves the right not to continue with the evaluation of any proposal which is found not to fulfil one or more of the above requirements. In clear-cut cases (for example, a proposal that addresses a RTD task which is not open in the particular call), a proposal may be ruled out as being out of scope or contrary to clearly stated policy requirements at the moment that the eligibility checks are carried out. The basis for rejection will be made clear to the applicants.

Proposals which are only partially in line with the call for proposals and/or which span areas of more than one programme will be evaluated on a case-by-case basis. Options may include evaluating the proposal in its entirety, evaluating only those parts of the proposal which conform to the call, transferring the proposal to another programme (where the latter has an appropriate call open), or abandoning the evaluation of the proposal if the part which conforms to the call is so minor as to have no real interest when separated from the rest of the proposal. As to reassignment of proposals to a different area within the QoL Programme, please refer to section 5.8.

Participants from third countries not associated to the Framework Programme. In addition to the criteria outlined below, if the proposal includes participants from third countries not associated to the Framework Programme, the experts will examine whether their participation is in conformity with the interests of the Community and brings substantial added value for implementing all or part of the QoL Programme in accordance with the objectives of the Programme. If such participants request Community funding, the experts will examine whether such funding is essential for achieving the objectives of the action in question.¹⁰

Blocks of evaluation criteria. Experts will evaluate proposals and provide marks for the criteria set out below (which are grouped into five blocks). In addition, they will also provide an overall mark for each block of criteria (unless a proposal fails any threshold – see below). Experts will be requested to provide comments to accompany each of their marks in a form suitable for providing feedback to the proposers. These comments must be consistent with any marks awarded.

⁹ A negative answer to this question should be given only when the proposal is in contradiction to a community policy.

¹⁰ For certain countries, the formal process leading to association with the 5th Framework Programme is under way.

Checks on the eligibility of proposals (including those for fellowships) that include participants from these countries may be completed after the evaluation sessions but before the Commission decision on selection.

The five blocks of criteria to be applied are as summaries in the following table and further detailed below.

SELECTION CRITERIA

Scientific / Technological quality and innovation			Resources, Partnership and Management			Community added value and contribution to EU policies			Contribution to Community social objectives			Economic development and S&T prospects		
<i>The quality of the research proposed</i>	<i>The originality, degree of innovation and progress beyond the state of the art</i>	<i>The adequacy of the chosen approach, methodology and work plan</i>	<i>The quality of the management and project approach proposed</i>	<i>The quality of the partnership and involvement of users and/or other actors in the field when appropriate</i>	<i>The appropriateness of the resources</i>	<i>The European dimension of the problem</i>	<i>The European added value of the consortium</i>	<i>The contribution to the implementation or the evolution of one or more EU policies or addressing problems connected with standardisation and regulation</i>	<i>The contribution to improving the quality of life and health and safety; ethical issues and safeguards</i>	<i>Where relevant to the action, the contribution to improving employment prospects and the use and development of skills</i>	<i>Where relevant to the action, the contribution to preserving and/or enhancing the environment; environment impact assessment where relevant</i>	<i>The possible contribution to growth, in particular the usefulness and range of applications and quality of the exploitation plans</i>	<i>Where relevant to the action, the strategic impact of the proposed project and its potential to improve competitiveness</i>	<i>The contribution to European technological progress and the dissemination strategies for the expected results</i>

A) BLOCKS 1 & 2: THE SCIENTIFIC AND MANAGERIAL THRESHOLD BLOCKS

BLOCK 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 part of the Programme to which the proposal is applied.
- The originality, degree of **innovation and progress beyond the state of the art**, taking into account the level of risk associated with the project. Proposals repeating work carried out elsewhere do not fulfil this criterion.

Note: 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 alternatives. 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 cannot be accepted. It must be clear, on the other hand, that marketing-related activities cannot in any way be supported. The validation of the new technology must be planned on a scale representing reality or under realistic conditions. The experts will also evaluate whether the risks of technological failure have been properly assessed and whether 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.

BLOCK 2: RESOURCES, PARTNERSHIP AND MANAGEMENT

- **The quality of the management and project approach** proposed, 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, including the quality of specified indicators of impact and performance, and ensuring good communication within the project consortium.
- **The quality of the partnership and involvement of users** and/or other actors in the field, when appropriate, 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). Particular attention will be given, where relevant, to the effective participation to the project, commitment and support, of industry, service providers and end-users.

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

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

- **The appropriateness of the resources** - the manpower effort for each partner and task, the quality and/or level and/or type of manpower allocated, durable equipment,

consumables, travel and any other resources to be used, as well as the resources not reflected in the budget (e.g. facilities to carry out the research and the expertise of key personnel).

B) BLOCKS 3, 4 AND 5: THE RELEVANCE BLOCKS

BLOCK 3: COMMUNITY ADDED VALUE AND CONTRIBUTION TO EU POLICIES

- **The European dimension** of the problem. 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.

Note: 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** (including "horizontal" policies, such as promoting SMEs, etc.) or addressing problems connected with standardisation and regulation. Particular attention will be paid to the way projects address the priorities of relevant EU policies or anticipate their evolution in a global societal context, or to the way they provide scientific facts and validation tools in support of EU legislation and its further development..

Note: See annexes 9, 10-a, 10-b, 10-c, 10-d, 10-e, 10-f, for more specific details on the relevance to the Common Agricultural and Common Fisheries policies and other relevant Community policies. Because the relative importance of specific criteria within this block may differ according to action lines, these policy documents will also assist evaluators in comparing the relative importance of the criteria within this block.

The Commission services will be available during the second stage evaluation process to provide further explanations on EU policy issues should they be required.

Within this main heading of Community added value and contribution to EU policies, as some of the three criteria might be substantially more relevant than others, the importance of the most relevant ones will be adequately taken into account in the marking of the Block of criteria as a whole, with individual criteria deemed "not applicable" to a particular action line being disregarded.

BLOCK 4: CONTRIBUTION TO COMMUNITY SOCIAL OBJECTIVES

- **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.

Note: For both criteria mentioned above, when research is likely to involve social considerations and affect the public perception of science, the evaluation should take account of 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.

Within this main heading of contribution to Community social objectives, as some of the three criteria might be substantially more relevant than others, the importance of the most relevant ones will be adequately taken into account in the marking of the Block of criteria as a whole, with individual criteria deemed “not applicable” to a particular action line being disregarded.

The policy documents referred to above and available in annexes 9, 10-a, 10-b, 10-c, 10-d, 10-e, 10-f will also assist evaluators in comparing the relative importance of specific criteria regarding proposals contribution to Community Social Objectives, because this importance may differ according to action lines. For example, the contribution of a proposal to employment prospects may be more significant than its contribution to preserving and/or enhancing the environment for one particular action line when for another action line, it might be its contribution to the quality of life, health and safety.

The Commission services will also be available during the second stage of the evaluation process to provide further explanations on Community social objectives should they be required.

BLOCK 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.

Note: 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.
- **The contribution to European technological progress** and in particular **the dissemination strategies** for the expected results, choice of target groups, etc.

Note: For a demonstration project, mobilisation of the most appropriate Extended Audience¹¹ and appropriate resources and strategy within the partnership to interact with it are expected.

Within this main heading of Economic development and S&T prospects, as some of the three criteria might be substantially more relevant than others, the importance of the most relevant ones will be adequately taken into account in the marking of the Block of criteria as a whole, with individual criteria deemed “not applicable” to a particular action line will being disregarded.

For projects in the Key Actions, with regard to this block of criteria, particular attention will be paid to proposals that, if successful, would lead to useful and/or applicable results in a reasonably short time frame.

5.4 ASSESSMENT OF ETHICAL ISSUES AND SAFETY PROVISIONS

¹¹ 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

Independently from the evaluation against the criteria detailed above, the experts will also initially check whether relevant ethical issues and safeguards/impact assessment regarding Community policies have been adequately addressed.

5.4.1 SCREENING FOR ETHICAL ISSUES

The proposals must respect fundamental ethical principles including human rights and animal welfare requirements. In addition, the experts will pay attention to identifying potential ethical implications of the project related to the objectives, the methodology or the applications of the results. Experts 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. They will therefore consider the existence of adequate provisions where necessary in the implementation of the project, as well as the knowledge and fulfilment of all ethical and legal requirements and report on these aspects in the *Evaluation Summary Report*.

Furthermore, if the project is dealing with the following pre-identified issues (use of human embryos, or foetal tissues, 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 animal protection associations, etc.), will be conducted to check whether 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 ethics or animal welfare committees. The RTD should comply with all relevant national and international laws, conventions and codes of conduct.

5.4.2. SAFETY PROVISIONS

Proposals must respect fundamental safety issues of good laboratory practices and of general practices involving the handling of biological agents. Potential safety implications of a project (i.e., of its methods, objectives and/or potential applications) must be clearly indicated. The applicant must show his/her awareness of all relevant national and international laws, conventions, advice, guidelines and codes of conduct, and mention, where appropriate, the explicit approval of local and national safety committees. If the project is involving the use or the release of genetically modified organisms (GMOs), the applicant must respect the European¹² relevant legal framework and its implementation.

When relevant and where applicable, applicants are required to provide all information necessary for the detailed evaluation of the ecological impact of their studies and for the assessment of technological risk. Once a project proposal is selected, they must 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 constitute an important element in the assessment of the proposal.

¹² Applicant working outside the EU should respect the local legislation relevant to the use or release of GMOs.

5.5 PROPOSAL MARKING

Experts will evaluate the proposals assigned to them individually, filling in an individual evaluation sheet with their marks and comments.

- **Anonymity.** When putting together their proposals for a shared-cost project, proposers are asked to prepare the scientific/technical parts with no reference to the identity of the proposers, in order to allow the evaluation of the first block of evaluation criteria (scientific/technological quality and innovation) to be carried out anonymously. Experts will fill in an evaluation form on the first block of criteria before being given the remaining parts in which the proposers' identities are revealed. In accordance with the information provided to the applicants in the Guide for Proposers, Part B of the proposal must contain no reference to the names of the organisations involved in the consortium or any other information by which they may be identified. Participants must be referred to by the codes and numbers assigned in Part A, sheet A3. It is, however, accepted that background references supporting the work are mentioned in Part B and presented later in a list annexed only to part C.

Example of an acceptable formulation in Part B:

in the past years, partner H has established that this phenomenon was caused by conditions X and Y [publication 04, "How to ensure genetic diversity in chicken", Nature, 1999], the partnership has a strong experience in this specific field [publication 06, A new technique to identify genetic diversity in chicken, Int. J. of Genomics, 1997], and the industrial partner G owns three major patents in the area [patents 12 to 14]).

Proposals in which the identity (or initials) of any of the scientists in charge, the name of the organisation, or of the city where it is implanted is indicated will be rejected.

Examples of formulation in Part B leading to rejection: (reasons for exclusion are underlined)

in the past years, partner H has established that this phenomenon was caused by conditions X and Y [Myers, Jackson, McIntosh et al, "How to ensure genetic diversity in chicken", Nature, 1999], the partnership has a strong experience in this specific field [publication 06, A new technique to identify genetic diversity in chicken, Int. J. of Genomics, 1997], and the industrial partner GENOTRONICS SA owns three major patents in the area [patents 12 to 14]).

in the past years, partner KAROLINSK. has established that this phenomenon was caused by conditions X and Y [MM; MJ, T. McI., "How to ensure genetic diversity in chicken", Nature, 1999], the partnership, notably the Roswell institute has a strong experience in this specific field [PJ, SG, GJ A new technique to identify genetic diversity in chicken, Int. J. of Genomics, 1997], and the industrial partner G, based in Helsinki, owns three major patents in the area [patents 12 to 14]).

Note: There is no anonymity requirement for Part B of Accompanying Measures, Concerted Actions, Thematic Networks, Proposals in support for infrastructures, or additional cluster-specific information¹³ proposals, or INCO bursary applications.

- **Scale.** The experts will mark each evaluation criterion on a six-point scale from 0 to 5. In this scheme, the scores indicate the following with respect to the criterion under examination :

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

When one or more of the nine individual criteria within blocks 3, 4 or 5 does obviously not apply to the proposals under a given action line, the panel might decide to attribute the mention N/A (for Not Applicable) to the said criteria.

In addition, taking into account their own assessment of the evaluation criteria, experts will give a mark from 0 to 5 to each of the 5 blocks of criteria (detailed under section 5.3). This mark should reflect his/her global assessment and a combined view of the degree to which all selection criteria (within the block) are fulfilled. Only these marks for each block of criteria will be taken into account for the final overall mark for the proposal¹⁴.

Only integers may be used in the individual marking. It is not allowed to attribute the mention “*not applicable*”(N/A) to any of the five blocks of criteria. A mark must be given to each of these.

Once the individual marking has been performed, the experts will agree on a consensus marking for the blocks of criteria. This marking will also be on a scale from 0 to 5. For this consensus marking, only integers or half-integers may be used.

- **Weightings.** In calculating the proposal’s final score, a weight will be attributed to each of the five blocks of criteria. This weight applied to each of these blocks might differ from action line to action line, reflecting the specific nature and objectives of the action line, and from one modality to another. The weightings are set out in the table presented under section 5.6
- **Thresholds.** For two of these blocks of criteria (i.e. the so-called “Threshold blocks”), the mark attributed by the experts will result in the rejection of the proposal when inferior to “4” (“4” corresponds to a “very good” rating).

¹³ See annex 8 for further details on cluster evaluation

¹⁴ The purpose of the procedure as described is to allow the experts to reflect on the individual criteria and, by giving them each a mark, to provide a base line for subsequent tracking of quality indicators throughout the life of projects. By taking the marks for the blocks of criteria into consideration only in the final evaluation of the proposals, evaluators are encouraged to “look at the larger picture” and score the proposal against the 5 important categories of criteria as a whole, rather than applying a “mechanical” process of adding the marks for individual criteria. Choosing a short scale of marks from 0 to 5 applied to a small number of main criteria is intended to give confidence that differences in overall scores for different proposals reflect real differences in quality, rather than possible statistical errors or inconsistencies between evaluators.

5.6. WEIGHTING OF THE EVALUATION CRITERIA (SCALE OF 1 TO 10) AND THRESHOLDS (SCALE OF 0 TO 5)

The value of “4” for the threshold criteria indicates that only proposals with a mark of , 4, 4.5 or 5 will be evaluated further.

TYPE OF ACTION	TYPE OF PROJECT	SELECTION CRITERIA						
		Stage One Criteria				Stage Two 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 K.A 1	3	4	2	4	1.5	1.5	2
	R&D project K.A 2	3	4	3	4	2	1	1
	R&D project K.A 3	3	4	2	4	1 (2 for area 3.2)	1.5 (2 for area 3.2)	2.5 (1 for area 3.2)
	R&D project K.A 4, 6	3	4	2	4	2	2	1
	R&D project K.A 5	2 (3 for areas 5.2, 5.3 and for fisheries & aquaculture)	4	2	4	3 (2 for areas 5.2 & 5.3)	1.5 (1 for fisheries & aquaculture)	1.5 (1 for fisheries & aquaculture)
	Demonstration project or Combined RTD / Demonstration project	2	4	2	4	1.5	1.5	3
Generic actions	R&D project in areas Chronic and degen. Diseases, Neurosciences, Genomes	5	4	2	4	1.5	1	0.5
	R&D project in areas Public Health, Disabled, Socio-Economics, Ethics	4	4	2	4	2	1.5	0.5
	Demonstration project or combined R&D / Demonstration project	3	4	2	4	1	1.5	2.5
Support For research Infra-structures	R&D project or Demonstration project	4	4	2	4	2.5	1	0.5
All actions	Acc. Measures ¹⁵	4	4	2	4	2	1	1
	Thematic network or Concerted action	2.5	3.5	2.5	4	2.5	1.5	1

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

¹⁵ 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.)

Example of marking of one proposal: a Research 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 threshold, so further evaluation is allowed. The score 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 $(30\% \times 4) + (20\% \times 5) + (15\% \times 3) + (15\% \times 3) + (20\% \times 5) = 4.1$

5.7 THE EVALUATION STAGES

The objective of the evaluation procedure is to obtain ranked lists of proposals recommended for funding by the experts, in order of priority (the “Panel Ranked Lists”), The evaluation will follow the two-stage procedure detailed below

5.7.1. STAGE ONE OF THE EVALUATION PROCEDURE

Panels of experts will be established to cover each action line ⁷ included in the Call. If a large number of proposals are received under an action line, several panels will share the proposals. When necessary, a specific panel might be used to evaluate specific modalities such as demonstration and combined projects.

The panels’ role will be to assess of each proposal allocated to them.

- **Individual evaluation.** At least four experts will individually evaluate each proposal. As well as examining the basic requirements detailed earlier (see section 5.3), each expert will evaluate and mark the proposals using the selection criteria described under section 5.3.

The experts will first individually evaluate the information contained in part B of each proposal against the first “threshold” criteria of *scientific and technological excellence* (the so-called “first block”). Following a consensus panel discussion, they will be given Parts A & C of the proposal and individually evaluate and score the proposals that remain against the second threshold block of criteria *Resources, partnership and management*. (See section 5.3).

- **Panel discussion and consensus.** Once a number of projects are individually evaluated against the first block of criteria, the panel meets to attribute a consensus mark to this first block. Then, for those proposals that pass the threshold for the first block, the panel meets again after individual evaluation of the second block to agree on a score for the second block.

In order to facilitate the panel discussion process, the panel moderator will appoint one of the experts as “Proposal Rapporteur” for each proposal. The proposal rapporteur will be responsible for synthesising the individual experts’ views, for initiating the panel discussion and drafting the Evaluation Summary Report (under general guidance of the panel moderator).

If during the panel discussion it is found to be impossible to bring all the experts to a consensus on any particular aspect of the proposal, the panel moderator may ask additional experts to evaluate the proposal. The *Evaluation Summary Report* prepared by the proposal rapporteur, will set out the majority view of the experts but will also record any dissenting views from any particular expert(s).

Proposals that fail to reach either of the threshold marks will be proposed for rejection (and will not progress further in the evaluation). An *Evaluation Summary Report* for such excluded proposals will be prepared, which will make clear why the proposal failed to reach the required level for further evaluation. The *Evaluation Summary Report* will normally be thoroughly completed for the headings corresponding to the said block(s) of criteria. Under normal circumstances, proposals rejected on the first block will be given as much feedback as possible, including possible recommendations (but no score) on the other blocks of criteria, as well as any other useful comment that might help the applicant in view of a re-submission. For proposals meeting the threshold criteria (i.e., mark « 4 », « 4,5 » or « 5 »), an *Evaluation Summary Report* is similarly completed for both threshold blocks of criteria.

Threshold score

Proposals that fail to reach an overall rating of at least 4 (“very good”) for either or both of the first two blocks of criteria will not be further evaluated.

Check of basic requirements. On the basis of their knowledge of the proposals, the experts will check the proposal against the list of basic requirements (described under section 5.3, § *basic requirements*). If all experts consider that these requirements are fulfilled, no further action is required (except notifying the eligibility in the *Evaluation Summary Report*). If, however, one or more expert formally propose that any of these requirements is not fulfilled, the panel as a whole must review the issue, come to a consensus and complete the relevant section in the *Evaluation Summary Report*.

Detection of overlaps, redundancies and potential synergies. In some actions, lists and material on currently or recently EC-funded projects in the current and former programmes will be available, in order to help the experts to signal possible overlaps, redundancies and potential synergies with ongoing EC-funded projects. Knowledge of such overlaps cannot affect the marking of the expert (except with regard to the novelty aspects of the proposed project). This is done only in order to help the Commission services to take these aspects of potential synergies and redundancies in later steps, including contract negotiation.

Questions on intellectual property. In case of doubt regarding the intellectual property aspects of a proposal, the expert might request the Commission services to perform a "novelty" and/or "freedom to operate" search (to control if a technology is not already covered by a patent) using the “Quicksearch” facilities offered by the European Patent Office. This request should be made as early as possible in the evaluation process to allow the Commission services to provide the search results during the same session.

5.7.2. STAGE TWO OF THE EVALUATION PROCEDURE

A *Stage Two* panel will gather all proposals under a given action line successfully passing through the thresholds of Stage One for further evaluation against the three “relevance” blocks of criteria and ranking¹⁶.

This panel will normally include at least one member from each Stage One panel as well as relevant complementary expertise, if necessary (for example with regard to socio-economic objectives). This person will report on the previous evaluation phase and, if needed, clarify possible scientific questions, but will not let the results of the Stage One influence the outcome of Stage Two

The role of the *Stage Two* panel will be

- **Assessment.** The experts will evaluate the proposals retained from Stage One. They will not address the criteria dealt with at Stage One nor challenge or attempt to compensate in any way the outcome of Stage One. They will have access to the proposal text. They will give marks for the three “relevance” blocks of criteria.
- **Ranking.** The basis for this ranking is the score of the proposal, that is the weighted average of the marks concerning the threshold blocks of criteria (which the Stage Two panels cannot alter) and of the three remaining blocks of criteria (on which the Stage Two panel will have the final word). This weighting is performed according to the table presented under section 5.6. Those proposals receiving the same marks following the initial examination will be re-examined with a view to placing them in priority order, if possible and relevant.

As under Stage One, if during the panel discussion it is found to be impossible to bring all the experts to a consensus on any of the “relevance” blocks of criteria of the proposal, the panel moderator may ask additional experts to evaluate the proposal. As a result, the overall mark and/or comments contained in the *Evaluation Summary Report* may change. In this instance, a new version of the *Evaluation Summary Report* will be prepared by the final panel rapporteur and will be signed by the members of the panel and/or the panel chairman.

The outcome of this *Stage Two* will be a *Panel Ranked List* of all the proposals received by the panel¹⁷, and a final *Evaluation Summary Report* for each proposal evaluated during Stage Two.

5.7.3. PROCEDURE FOR PROPOSALS ON SUPPORT FOR RESEARCH INFRASTRUCTURES

The evaluation procedure for these proposals will follow the same rules as for standard projects.

5.7.4 SPECIFIC PROCEDURE FOR EVALUATION OF CLUSTERS SUBMITTED ON THE CONSORTIUM'S INITIATIVE

This aspect is presented under Annex 8

¹⁶ Each of these panels will gather an appropriate mix of expertise. If the number of proposals received under one or more action lines can be processed by a single panel with the relevant expertise, Stage Two may be processed by the same panel.

¹⁷ Each Stage Two panel will produce one ranked list, covering in general one action line.

5.8 REASSIGNMENT OF PROPOSALS

Attribution to another area proposed by the applicant. Proposals will normally be evaluated by one of the panels corresponding to the action for which the proposer has applied in priority. While considering the order in which the actions are mentioned in the application forms as a priority order, the Commission services reserve the right to reattribute a proposal to any of the other areas proposed by the applicant and open at the same time, when it is considered that the first priority would be less appropriate than one of the others.

Attribution to an area not proposed by the applicant. Should a proposal be considered out of scope in all of the areas proposed by the applicant, or should a proposal to the Programme not specify an area, the Commission services may contact the applicant to propose another (resp. an initial) area or Programme for evaluation, if they consider it appropriate and provided this area is open at the same time. Unless the applicant authorises such a change or if the applicant cannot be contacted for any reason, the proposal will be evaluated in the area considered least inappropriate among the proposed areas.

Reattribution by the panel during the evaluation. In addition, in the exceptional case when the panel advises that another action, open for the call, (and for which a panel is still or will be available) is more appropriate, the proposal will be evaluated under that other action. The reassignment of the proposal will be justified, in writing, by the first panel. Proposals reassigned once following the advice of a panel may not be reassigned a second time.

If no Programme for submission is mentioned in the application, the proposal will be rejected as incomplete during the administrative checks.

5.9. FINAL EXAMINATION, PROPOSAL RANKING AND THE SELECTION PROCEDURES

Priority list. On the basis of the recommendations of the experts, the Commission research services will draw up for each action open under a particular call the final ranked list in priority order of all the proposals evaluated and which pass the required thresholds (the “*priority list*”).

This *priority list* consists of three parts:

- the “main priority list” (composed of the proposals for which funding is available),
- the “reserve list” (composed of the proposals for which funding is currently not available, but could become available)
- the “third level list” (composed of proposals that cannot be funded).

Normally, the ranking will follow the marks received and any advice concerning the priority order for proposals receiving the same marks.

In order to draw up this priority lists, the Commission services may have to integrate the lists from a number of Stage Two panels, for example for different action lines or different types of projects, normally into a single priority list per key Action. In order to ensure a “balanced package” between all the relevant RTD objectives, each action will merge these lists and determine the cut-off on one of the following bases:

a) equal opportunity of selection for each of the areas (i.e., similar success rate ensured by attributing an indicative budget to each area pro-rata to the cumulated Community

contribution requested by eligible proposals in that area), subject to sufficient number of proposals of an adequate quality in each area.

b) same cut-off score in each list (with possible readjustments if the selection rates are markedly different from one panel ranked list to another)

Elements such as resource distribution between some areas of a Key Action, established to ensure a sufficient balance between the Key Action objectives, and in this latter case, possible priority for scientific importance with regard to some Common Policy, might also intervene in the process of drawing up the priority list.

In drawing up the *priority list*, the Commission services will also take into account the Programme priorities (for example, coverage of the Programme objectives, compatibility with stated Community policy objectives and ethical considerations, if appropriate). For these reasons, it may be decided not to follow the experts' priority order. In this instance, the reasons for overriding the advice of the experts will be fully set out in writing by the services concerned at the moment of preparing the final ranked list.

Rejected proposals. The Commission services will draw up a list of proposals to be rejected. This list will comprise all proposals found to be ineligible, out of scope, failing any of the individual thresholds for evaluation criteria or the overall threshold required to be passed by a proposal to be taken into consideration and those on the priority list, which, because they fall below a certain ranking, cannot be funded for budgetary reasons. (The list of proposals to be rejected will take into account the budget available (which will have been set out in the call for proposals) plus, if necessary, a percentage of the call budget to allow for withdrawal of proposals and/or savings to be made during contract finalisation. No proposals failing any evaluation threshold will be retained for possible selection.

Following an appropriate consultation of other Commission services on the final ranking and the rejection list, the decision on proposal rejection will be taken by the Commission. Immediately after this decision, co-ordinators of rejected proposals will be informed in writing of the Commission's decision. The letter informing them will also include a feedback concerning the reasons for rejection. For those proposals rejected after failing an evaluation threshold, the *Evaluation Summary Report* may only be complete up to the particular block of criteria for which the threshold was failed. The *Evaluation Summary Report* form is given under Annex 11.

Contract preparation. Immediately following the preparation of the *priority list* by the Commission services, the co-ordinators of all proposals of the *main priority list* will be contacted in writing. They will receive a summary report of the evaluation of their proposal and, where required, a request for further administrative information necessary for the preparation of a project contract. A deadline for replying to any request for further information will be given, beyond which, if the information is not received, the Commission may terminate discussions on contract preparation and reject the particular proposal. This extra information will include that necessary for establishing the financial viability of the contract partners and the potential availability of all the necessary resources to carry out the project. The co-ordinators of any proposals on a "reserve list" (in case of the failure of negotiations on projects in the main priority list, withdrawal of proposals or savings being made in contract negotiation) will receive a summary report on the evaluation of their

proposal and an indication that negotiations with a view to preparing a contract may be offered, but only if further funding becomes available.

Among the items to be dealt with in the contract preparation and finalisation phase will be an examination of the costs proposed in relation to the resources requested and the detailed technical work to be carried out. In particular, the cost-effectiveness of the use of resources will be assessed – the scale and level of manpower, economy in the use of durable equipment, consumables, travel expenditure and other resources and the effective mix between manpower and other resources so as to deliver the planned outputs for the least input. In discussing these items with proposers, the Commission staff will take account of the comments of the experts. In addition, any arrangements for possible clustering/co-ordination and/or fusion of projects (with the agreement of proposers) will be dealt with in this phase.

Selection decision. Once the contractual details have been finalised with the proposers, including the formalisation of technical content of the contract and the clarification of all relevant intellectual property right issues, and once all the necessary financial and legal checks have been carried out, the Commission services will prepare a draft selection decision. This selection decision will be adopted by the Commission following normal internal procedures and the procedure adopted in the specific programme decision, including all information to- and consultation of- the Programme Committee, when relevant. Once the selection decision has been taken, the contracts will be sent for signature.

Failure of the negotiations. If it proves impossible to reach agreement with any proposers on modifications to their proposal in line with the outcome and recommendations from the proposal evaluation, and within a reasonable time (to be indicated by the Commission), negotiations on contract preparation will be terminated and the proposal rejected by Commission decision.

Budget exhaustion. When the budget for the particular call has been used up, any proposals remaining from the *reserve list* which it has not been possible to fund will be rejected by a decision of the Commission as set out above, and the co-ordinators informed.

5.10. POSSIBLE ADDITIONAL STEP: ETHICAL REVIEW PANEL

In a final step for proposals that will enter the contract preparation stage, dealing with specific sensitive issues¹⁸, a panel of scientists, lawyers, philosophers, academic specialists in ethics, specialists in animal protection, etc., will carry out a specific ethical review. This review will check whether the ethical and legal questions raised by any such proposal have been adequately answered by the proposers. The Commission will take into account the comments made by the ethical review panel during the contract negotiation phase and before any contract is concluded.

¹⁸ 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).

6. ROLE OF COMMISSION STAFF IN EVALUATIONS

6.1 ORGANISATION OF THE EVALUATION

6.1.1 Commission staff will organise a confidential, fair and equitable evaluation of each proposal according to the criteria described in the *Manual of Proposal Evaluation Procedures for the Fifth Framework Programme* and *Guide to Proposers* in full respect of the relevant procedures, rules and regulations set out for this task.

6.1.2 Commission staff will assign proposals to experts for evaluation. In doing so, they will take care to avoid assigning proposals (or competing proposals) to experts who might have a direct or indirect link with the proposal (see Annex 2 for definitions of such links).

6.1.3 In selecting experts for the evaluation of proposals, Commission staff will further ensure:

- the appropriate range of expertise required
- an appropriate balance between academic and industrial expertise and users
- a reasonable gender balance¹⁹
- a reasonable distribution of geographical origins of experts
- a regular rotation of experts between evaluations.

6.1.4 Commission staff will, where needed, take action to ensure the correct implementation of the process. This includes briefing experts on the procedures to be followed, reminding experts of the rules and reporting any irregularities to the responsible officer, who will exclude a person from the process if he/she deems them to be in breach of the confidentiality obligations. Any exclusion of persons will be reported to relevant Programme Director.

6.1.5 When co-ordinating meetings of expert panels for establishing advice to the Commission services, Commission staff will act as moderators, seeking consensus between the external experts, without any prejudice for or against particular proposals or the organisations involved and without interfering with the evaluation. Commission staff present at the meetings of evaluation panels will provide any additional explanation or information needed to allow a proper evaluation of proposals. (Section 6.2 gives further details on the role of the moderators)

6.1.6 Commission staff is responsible for overseeing the performance of the work by experts. They must check that the above mentioned points are taken into account.

6.1.7 Commission staff will be responsible for maintaining an “audit trail” (i.e. a full file on each proposal containing, for example, experts’ marking sheets and comments). They will record the marks from the individual experts’ marking sheets and identify any criteria on which discussion is needed to arrive at a consensus, according to the rules set out in any programme-specific evaluation document.

6.1.8 Commission staff will not discuss aspects of the evaluation or selection process with proposers or any persons not involved directly in the process unless this has been explicitly authorised (on a case-by-case basis) by their Director. This will only be done in exceptional cases, taking full account of the need to maintain the confidentiality of the process.

6.1.9 Commission staff will treat in the strictest confidence the assignment of experts to proposals. The Commission will provide information on list of persons having acted as

¹⁹ See footnote 6.

experts over the previous period (without disclosure of their specific assignments) once all decisions have been made on the relevant call.

6.1.10 Commission staff will take all the necessary measures to ensure appropriate confidential treatment of proposals and any other documents related to the evaluation. In particular:

- Proposals and related documents will not be shown to any persons other than those Commission officials who need it for the proper performance of their work, and to the experts and proposers themselves, unless the proposers have explicitly agreed otherwise.
- Evaluation reports and advice to the Commission from experts will be restricted to Commission officials who need it for the proper performance of their work and to persons who are assigned to observe or audit the evaluation process.
- For each proposal, the summary information, the evaluation panel's ranking and summary report, the Commission intention as to the proposal to be rejected or to be retained for negotiation, and the total budget and Community contribution will be made available to the Programme Committee.

6.1.11 Commission officials will restrict the copying of evaluation documents to a minimum and ensure that copies are destroyed when they are no longer needed.

6.2. ROLE OF MODERATORS

The moderators are scientific officers from the Commission. Each panel will be assisted by a moderator.

The moderator ensures that the evaluations are completed in the time allocated with fair and proper attention given to all proposals and all aspects of the evaluation. In no case should the moderator participate in the evaluation itself, but he may, however, provide the panel with any relevant additional information.

The moderator will:

- Confirm who is present, who is absent and that no unauthorised persons are present.
- Assist the experts with the administrative procedure, reimbursement forms, confidentiality agreement, attendance list, etc.
- Check that all the essential documents are available: proposals, information package, evaluation forms, notes for the evaluation process, etc.
- Ensure that the experts sign their *Conflict of interest declaration*
- Allocate proposals to experts and confirm that these experts are familiar with the relevant scientific/technological action line.
- Ensure that the experts are adequately briefed on the whole evaluation procedure and in particular on the meanings of the evaluation criteria.
- Confirm the eligibility of the proposal.
- Ensure that a panel of at least four experts evaluates each proposal and that one of its members acts as a rapporteur.

- Lead the panel discussions or assign a member of the panel to do so.
- Set appropriate time limits for the panel to come to consensus and ensure that these are met.
- If no consensus is found within reasonable time limits, ask additional experts to evaluate the proposal.
- Provide guidance to the proposal rapporteurs drafting the Evaluation Summary Reports. Ensure that the *Evaluation Summary Reports* are completed, that solid arguments are given to justify the marking of the proposal and that they are signed by the experts.
- Check that the content of the *Evaluation Summary Reports* is consistent with the marks attributed to the proposals, adequately reflect the views of all the evaluators and provide adequate feedback to the applicants.
- Solve any practical problem or question encountered by the experts (e.g., in filling in forms, in arrangements for lunch breaks, concerning travel difficulties, etc.)
- Ensure that no documents are removed from the evaluation premises, and that all documents are kept locked away during the night or at lunch breaks.
- Ensure that, where the strength of the link between a project proposal and an expert is such that it could threaten the impartiality of the expert, the expert will not participate in the evaluation of that proposal, and, if necessary, competing proposals. (See annex 2, §2 for a definition of potential link).
- Ensure that no re-consideration of scientific quality issues by the Stage Two panel takes place
- Ensure that the presence of eloquent or potentially dominant panel members does not adversely influence the consensus process

7. ROLE OF THE INDEPENDENT OBSERVERS

Independent observers will be appointed by the Commission to monitor evaluation sessions. At least once a year, one independent observer will be invited for each of the actions (six Key Actions, one action for Generic activities, and one action for Support for Research Infrastructures). Their task will be to verify that the procedures set out for evaluation and supplemented by information published by the specific programmes are adhered to, and to report to the relevant Commission services on ways in which the process could be improved. Observers will be chosen from among those having replied to calls for monitoring and evaluation experts and calls for expert advisers concerning the RTD programmes. Terms of reference for the independent observers are set out in Annex 4

The observers will also be asked to explain their findings to the Programme Committee.

ANNEXES

- Annex 1.** Summary of the evaluation procedure
- Annex 2.** Terms of reference for experts
- Annex 3.** Declaration of conflict of interest
- Annex 4.** Terms of reference for observers
- Annex 5.** Evaluation of Marie Curie Fellowships
- Annex 6.** Evaluation of INCO bursaries
- Annex 7.** Evaluation of SME-specific measures Projects
- Annex 8.** Evaluation of proposals for *Clusters at proposal stage*
- Annex 9.** Guidelines for assessing proposals with relevance to the Common Fisheries Policy
- Annex 10-a** Guidelines for assessing proposals with relevance to the Common Agricultural Policy
- Annex 10-b** Policy Document on Industrial policy aspects
- Annex 10-c** Policy Document on Consumers policy aspects
- Annex 10-d** Policy Document on relevance criteria for evaluation of proposals for Key Action « Control of Infectious Diseases »
- Annex 10-e** Policy Document on relevance criteria for evaluation of proposals for Key Action « The ageing population »
- Annex 10-f** Policy Document on relevance criteria for evaluation of proposals in Key Action “Cell factory”
- Annex 11.** Evaluation Forms + notes for completing the forms
- Annex 12.** Evaluation forms and table of weightings for accompanying measures

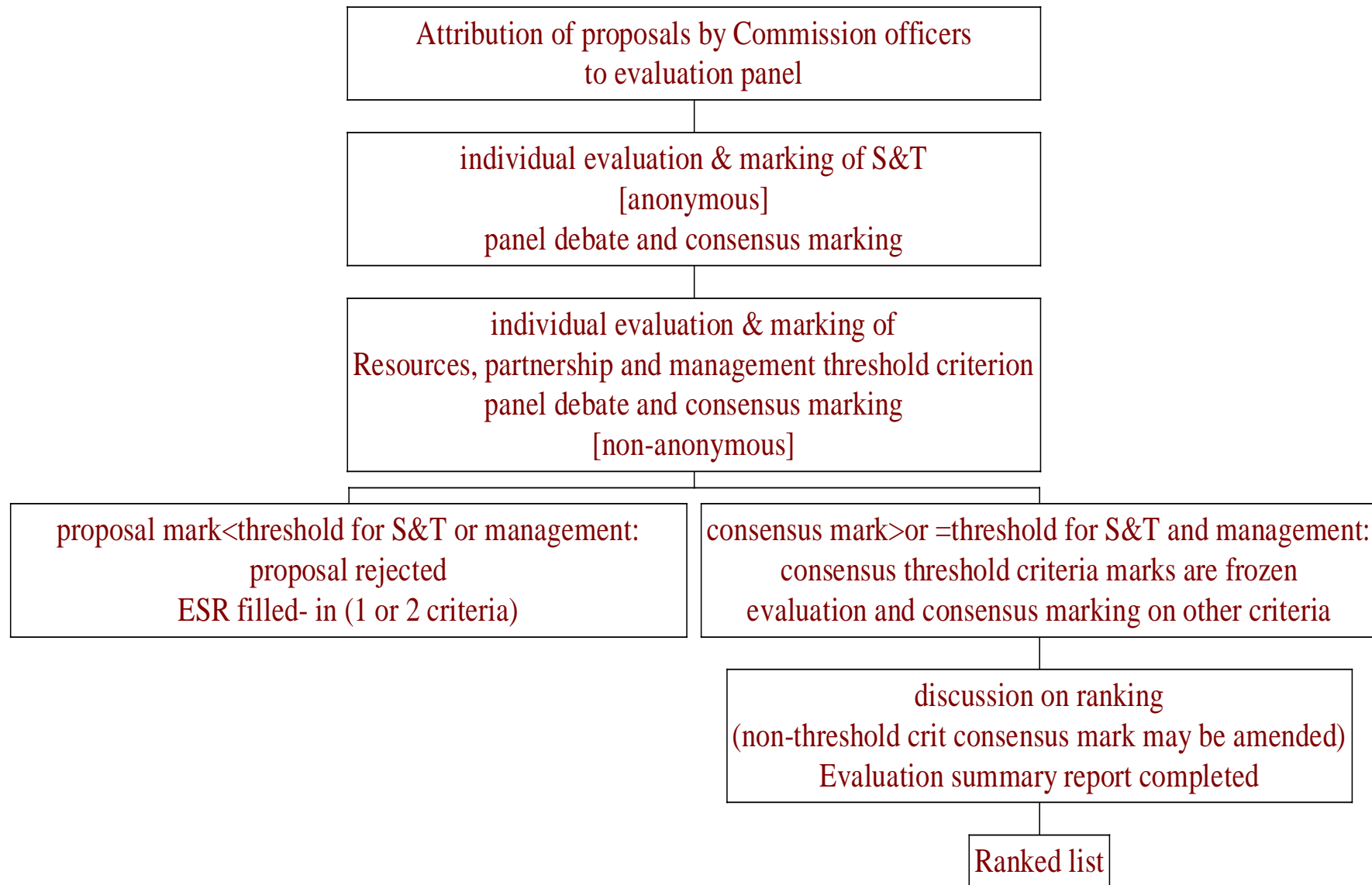
Annex 1

Summary of the evaluation procedure

Figure One: 1st case, limited number of proposals under one action line

Figure Two: 2nd case, large number of proposals under one action line

Evaluation procedure Quality of Life: first case



Evaluation procedure Quality of Life: second case

Attribution of proposals by Commission officers to evaluation panel
[2 or more panels to cover an action line]

Beginning of stage 1: individual evaluation & marking of S&T criterion (anonymous),
then panel debate and consensus marking
individual evaluation & marking of Resources, Quality and Management threshold criteria
then panel debate and consensus marking

proposal mark < threshold for S&T or management:
proposal rejected
complete ESR filled- in (1 or 2 criteria)

consensus mark > or = threshold for S&T and management:
consensus threshold criteria marks are frozen

Draft ESR for all retained proposals
END OF STAGE ONE

Beginning of stage TWO (second week)
Harmonisation panel gathers ESRs & Markings from all relevant panels
Panel Discussion and marking of 'relevance' criteria
Calculation of an initial score (weighted average of all consensus marks)

Discussion on Ranking
Possible amendment of non-threshold markings

Completion of a final ESR for each proposal discussed

Ranked list

Annex 2

Terms of Reference and Code of Conduct for Expert Evaluators

1. The task of the expert is to participate in a confidential, fair and equitable evaluation of each proposal according to the procedures described in *Vade mecum*. He/she will use his/her best endeavours to achieve this, follow any instructions given by Commission staff to this end and deliver a constant and high quality of work.
2. The expert works as an independent person under contract to the Commission. He/she is deemed to work in a personal capacity and, in performing the work, does not represent any organisation, even if the contract for remuneration is concluded with the organisation employing the expert.
3. The expert will sign a declaration of confidentiality and impartiality before starting the work. In doing so the expert commits him/herself to strict confidentiality and impartiality concerning his/her tasks. Invited experts who do not sign the declaration will not be allowed to work as an evaluator. If an expert has a direct or indirect link with a proposal, or any other vested interest, is in some way connected with a proposal, or has any other allegiance which impairs or threatens to impair his/her impartiality with respect to a proposal, he/she must declare such facts to the responsible Commission staff as soon as he/she becomes aware of this. The Commission staff will ensure that, where the strength of the link is such that it could threaten the impartiality of the expert, the expert will withdraw from participating in the evaluation of that proposal, and, if necessary, competing proposals examined by the same panel.

An expert is deemed to have a direct link with a proposal if

- he/she is currently or has recently been employed by one of the proposing organisations; or
- he/she has been involved in the preparation of the proposal; or
- he/she is related to an applicant or a member of the proposing team; or
- he/she may be knowingly involved in the publication or exploitation of the results.

An expert is deemed to have an indirect link with a proposal if he/she is employed by an organisation which has contractual links with one of the proposing organisations in the field covered by the proposal or if he/she has any direct link with or works for an organisation submitting a competing proposal.

4. Experts should not discuss any proposal with others, including other experts or Commission staff not directly involved in the evaluation of the proposal, except during the formal discussion at the meetings moderated by or with the knowledge and agreement of the responsible Commission staff.
5. Experts may not communicate with proposers, nor should any proposal be amended during the evaluation session. Experts' advice to the Commission on any proposal may not be communicated to the proposers or to any other person.
6. Experts are not allowed to disclose the names of other experts participating in the evaluation with them. The Commission services will make public lists of names of experts (without disclosing which proposals they have evaluated) at regular intervals.
7. Where it has been decided that proposals are to be mailed or sent electronically to experts, who then work from their own or other suitable premises, the expert will be held responsible for maintaining the confidentiality of any documents or electronic files sent and erasing or

destroying all confidential documents or files upon completing the evaluation. In such instances, experts may seek further advice or information in order to allow them to complete their examination of the proposals, provided that any discussions or contacts with others respect the overall rules for confidentiality and impartiality.

- 8.** Where the evaluation takes place in an office or building controlled by the Commission, experts are not allowed to take outside the evaluation building any parts of proposals, copies or notes, either on paper or in electronic form, relating to the evaluation of proposals. All information concerning the proposals will be securely stored during the experts' absence from the evaluation building.
- 9.** In the evaluation premises, experts must always wear visibly the badge provided to them at the beginning of the evaluation. Without badges, entrance to premises will not be allowed without special permission from the Commission staff. Badges should be returned to the evaluation organiser by the expert, when leaving on the last day of his/her contract.
- 10.** Experts are required at all times to comply strictly with any rules defined by the Commission services for ensuring the confidentiality of the evaluation process (for instance, regarding communication with persons outside the evaluation sessions). Failure to comply with these rules may result in exclusion from the immediate and future evaluation processes.

CONFLICT OF INTEREST DECLARATION

(Please tick whichever is applicable)

I, the undersigned, confirm that I have read and understood the terms of reference and code of conduct for expert evaluators.

I declare that I have not submitted, nor am I, to my knowledge, directly or indirectly involved, in any proposal submitted for evaluation under the Call for Proposals.

I declare that my participation in the evaluation of the following proposal(s) could create either a direct or an indirect conflict of interest:

<u>Acronym</u>	<u>Title</u>	<u>Area</u>
.....	
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I undertake to inform the Commission staff immediately if I discover any conflict of interest, direct or indirect, with any proposal that I am asked to evaluate or which is the subject of discussion in any evaluation meeting at which I am present.

Signed

Name

Date

Annex 4

Terms of Reference for independent observers of the evaluation process

The role of the observers is to give independent advice to the Commission on the conduct of the evaluation sessions, ways in which the procedures could be improved, the appropriateness of the evaluation criteria used in the sessions and the way in which these criteria are applied by the experts.

Observers will be chosen by the Director General concerned, in some cases from among the high level experts taking part in the annual monitoring exercises for each programme. Such a choice is aimed at obtaining continuity between the various exercises and ensuring that the monitoring panels are able to comment on the evaluation process from first hand experience. Other observers will be chosen from among those having replied to calls for monitoring and evaluation experts and expert advisors. The observers will be required to examine the evaluation process from the point of view of its working and not the outcome. In particular, they will not express views on the proposals under examination or the experts' opinions on the proposals.

The observers will be invited to be present at the beginning of the evaluation sessions when the experts are briefed by the Commission staff and to visit the evaluation panels to observe the discussions and the process of reaching a consensus viewpoint on the evaluation criteria set by the Commission.

The observers will report on their findings to the Director(s) concerned, with a copy of the report being sent to the appropriate Director(s) General. A summary of their report will be made publicly available. As well as producing a report, the observers are also encouraged to enter into informal discussions with the Commission staff during the evaluation sessions and to make observations on any possible improvements that could be put into practice immediately to the programme Director, programme manager or official in charge of the evaluation.

Observers are required to respect the same confidentiality obligations as experts (see Annex 3) and to sign a confidentiality agreement. They are not permitted to divulge details of the proposals, the experts assigned to examining the proposals, nor the discussions in the evaluation panels.

Annex 5.

Evaluation of Marie Curie Fellowships

[version of 14.7.2000]

incorporating the changes in the Evaluation Manual

MARIE CURIE FELLOWSHIPS

The evaluation process

The horizontal nature and common requirements of the system of Marie Curie Fellowships mean that a number of the provisions detailed elsewhere in this manual do not apply to their evaluation. In addition to pre-proposal checks and pre-registration which cannot be offered for practical reasons, the major differences with the general provisions of the manual are detailed below.

In their proposals Marie Curie Fellowship applicants choose the programme in which they wish to be evaluated. All proposals submitted to the different thematic or horizontal programmes are received by a single entry point, managed by the Human Potential Programme, where they are checked for administrative eligibility and then transferred to the relevant programme for evaluation.

Proposals which have been submitted to a programme for which they are technically eligible but do not correspond to the scientific area covered by this programme ("scientifically non-eligible proposals") may be re-assigned to a more appropriate programme with the written agreement of the applicants.

The re-assigned proposals are subject to a Commission Decision only within the programme in which they are finally evaluated.

Eligibility of proposals

Some of the calls for Marie Curie Fellowship proposals will be continuously open to allow submission of proposals at any time but will have fixed dates for evaluation sessions. In this case the call will specify the cut-off dates for receipt of proposals to be considered in any evaluation session. In those cases where proposals are received too late to be included in a given evaluation session, applicants will be informed that their proposal will be evaluated after the next cut-off date indicated in the call for proposals, subject to the fulfilment of all eligibility criteria.

For all proposals arriving at least two weeks before each cut-off date, project officers will carry out checks on certain formal requirements (signature of the proposal, appropriate partnership, presence of all parts of the proposal, etc) as the proposals are received. Where a proposal is found not to meet these requirements or where a doubt exists over whether the proposal fulfils these requirements, the proposer will be contacted by the staff of the Marie Curie Fellowships "single entry point" in order to request further information to verify any requirements which can not be judged or to indicate that the proposal as submitted may be deemed ineligible. In such instances, the proposer will have the option of withdrawing the proposal without waiting to receive the results of the next evaluation session or may provide additional information (before the cut-off date) to allow the checks to be completed.

Evaluation experts

Each Marie Curie Fellowship proposal will be evaluated by at least two independent experts, selected according to the procedures described earlier. Because of the size and complexity of Marie Curie Fellowship evaluation panels, chairpersons will be nominated by the Commission for each evaluation panel. The chairperson's role will be to co-ordinate the work of the panel and will not involve the evaluation of individual proposals.

Final examination and proposal ranking

Once all the experts have completed their individual assessments, the scores will be checked to ensure that there are no significant discrepancies between experts. Where there are such discrepancies, experts can discuss the scores with each other, and may revise their scores if there is clear agreement between them. If there is a continuing discrepancy, a supplementary expert may be appointed by the chairperson, in consultation with the Commission representative, to evaluate the proposal. The appointed expert will neither be informed of the scores of the first experts nor will he or

she consult with these experts. Upon completion of all individual evaluations, a ranked list of proposals by fellowship type will be produced. This list of proposals will then be discussed in a panel plenary session.

The panel plenary session will allow the experts to discuss and agree on issues relating to eligibility, specific evaluation criteria, marking discrepancies, or proposals which experts believe require further discussion. For example, in the limited number of instances where two or more proposals have the same score these proposals will be discussed and ranked separately. In addition, if a supplementary expert has been used for a specific proposal, during the plenary session one of the experts may withdraw his or her mark. However, if this is not the case, under the guidance of the Chairperson, the panel may decide either to keep the average score; or to withdraw an obvious outlier score; or exceptionally, to appoint a further supplementary expert. The discussion in the plenary session will result in a final ranked list of proposals recommended for funding, based on the budget available.

Evaluation criteria, weighting and thresholds

The evaluation criteria to be applied to Marie Curie Fellowships, together with their weighting factors, are detailed below according to each of the six schemes available. Because the criteria relating to Community added value and the contribution to social objectives are inherent in the transnational mobility and research training aspects of Marie Curie Fellowships, these are not applied in the evaluation of individual proposals.

(1) Marie Curie Individual Fellowships	<i>Score Range</i>
1. <i>Project</i> Scientific/technological quality; originality; methodological approach; feasibility; relevance and potential scientific impact of project.	0 – 30
2. <i>Host Institution</i> Research quality of host group; expertise in project field; research infrastructure to support project; ability to meet research training needs.	0 – 30
3. <i>Applicant</i> Research experience/publications ; aptitude of applicant ; training impact and benefit to fellow ; benefit of mobility	0-40
(2) Marie Curie Return Fellowships	<i>Score Range</i>
1. <i>Project</i> Scientific/technological quality; originality; methodological approach; feasibility; expected impact and benefit for host.	0 – 25
2. <i>Host institution</i> Research quality of host group; research infrastructure to support project.	0 – 25
3. <i>Applicant</i> Research experience/publications; preliminary scientific results from initial fellowship.	0 – 50
(3) Marie Curie Experienced Researchers Fellowships	<i>Score Range</i>
1. <i>Project</i> Scientific/technological quality; originality; methodological approach; feasibility.	0 – 20
2. <i>Expertise transfer</i> Relevance and feasibility of the transfer of knowledge and technology; expected impact and benefit of collaboration for parties involved.	0 – 20
3. <i>Host institution</i> Research quality/potential of host group; research infrastructure to support project.	0 – 20
4. <i>Applicant</i> Research experience; expertise in project field.	0 – 40
(4) Marie Curie Industry Host Fellowships	<i>Score Range</i>
1. <i>Ability to provide training</i> Skills and technical ability of research group; appropriate size; arrangements for training and supervision ; potential benefit for fellows	0-40

2. <i>Proposed research area</i> Scientific and technological significance of research area	0-20
3. <i>Host research quality</i> Research quality of host group/institution ; collaborative arrangements with other research organisations ; research experience of staff ; appropriate equipment and resources	0-40
(5) Marie Curie Development Host Fellowships	Score Range
1. <i>Proposed transfer of knowledge/technology</i> Scientific and technological relevance; need and justification; feasibility.	0 – 40
2. <i>Host research quality</i> Research quality of host group/institution; research group facilities including appropriate size and equipment; research experience of staff including research collaboration and international research activity.	0 – 30
3. <i>Potential impact and benefit of transfer of knowledge/technology</i> Compatibility of competence sought with existing competence; ability to absorb new competence; potential scientific impact.	0 – 30
(6) Marie Curie Training Sites	Score Range
1. <i>Ability to provide doctoral research training</i> Quality of proposed training ; specific benefits to fellow ; evidence of past successful training of post-graduate students from abroad; appropriate size ; supervision arrangements and adequate working conditions for the fellows	0-40
2. <i>Proposed research training area</i> Scientific/technological significance of the research area	0-20
3. <i>Research quality of the site</i> Research experience; research collaboration ; appropriate equipment and resources	0-40

Proposal marking

The extremely large number of submissions associated with each evaluation round of Marie Curie fellowship proposals may lead to significant time constraints during the evaluation procedure. To overcome these time constraints, it is necessary for the panels to have a quick and efficient marking system, where general discussions on individual proposals are limited to proposals that are ranked around the funding cut-off areas or where significant scoring discrepancies occur. Because of the detailed and specific nature of the application forms for fellowships, the structure of proposals is in general relatively homogeneous. This allows a standardised assessment to be made by each expert, which is scored in a range from 0 to 100, as outlined in the table above. Due to the detailed nature of the information required to properly evaluate the candidate/host institution, it is essential that the personal details of the parties involved (e.g. applicants, scientific supervisors) are known to the expert. It is therefore impractical to carry out the evaluation anonymously. The total score attributed to each proposal is interpreted as follows:

- Marks of 90 or more are reserved for proposals of exceptionally high quality;
- Marks of 80 or more indicate proposals of very high quality;
- Marks 70-79 indicate proposals of high quality;
- Marks 60-69 indicate proposals of medium quality;
- Marks lower than 60 indicate proposals with notable weaknesses.

Threshold for funding

No proposal for which the average evaluation mark is less than 70 will be funded.

Annex 6.

Evaluation of INCO bursaries

BURSARIES FOR YOUNG RESEARCHERS FROM DEVELOPING COUNTRIES

Consortia preparing a joint research proposal²⁰ 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.

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.

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.

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

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.

²⁰ RTD projects, Demonstration projects and Combined projects (see point 1.3.2a of the Guide to Proposers)

Annex 7.

Evaluation of SME-SPECIFIC MEASURES

(Version of 14.7.2000)

Incorporating the changes in the evaluation manual

EVALUATION OF SME-SPECIFIC MEASURES

Exploratory Awards And Craft Projects

These measures are to be implemented by each thematic programme. The following provisions will, thus apply across all the thematic programmes.

Criteria. The set of common FP5 evaluation criteria will be used. They will all have the same weight.

For Exploratory Awards, two additional criteria will be used to evaluate the Exploratory Phase :

- Extent to which EC financial support is needed and justified to prepare a complete Step 2 proposal
- Quality of the work foreseen in the Exploratory Phase (Feasibility check, Market analysis, Novelty verification, Search for additional participants)

Thresholds. Each of the 5 main criteria will be marked from 0 (not addressing the point) to 5 (excellent). Proposals for which each of the 5 main criteria reach an average of 3 or higher when combining all experts marks may be retained for funding. Proposals for which at least 2 main criteria fail to reach an average of 3 will be rejected. Proposals for which only 1 of the main criteria does not pass the threshold will be subject to a discussion between experts to reach a consensus on retention or rejection. Proposals for which the total of the 5 criteria does not reach 6 for a given expert will also be discussed to reach a consensus on retention or rejection.

Evaluation procedure. As of June 2000, a pilot action will be undertaken for exploratory awards to examine the possibilities of remote evaluation. For this pilot action, a sample of the proposals submitted will be sent to evaluators for evaluation outside Commission-supervised premises. The results of this evaluation will be used only for testing the process and will not replace the results from the regular evaluation carried out at the Commission-supervised premises.

Weighting of evaluation criteria (scale of 1 to 10) for Craft projects and exploratory awards:

CRITERIA	Weight
<p>1. Scientific/Technological quality and innovation.</p> <p>a) The quality of the research proposed and its contribution to the general objectives of the relevant thematic programme</p> <p>b) The originality, degree of innovation and progress beyond the state of the art, taking into account the level of risk associated with the project;</p> <p>c) The adequacy of the chosen approach, methodology and work plan for achieving the scientific and technological objectives</p>	2
<p>2. Community added value and contribution to EU policies</p> <p>a) The European dimension of the problem. The extent to which the project would contribute to solving problems at the European level and that the expected impact of carrying out the work at European level would be greater than the sum of the impacts of national projects</p> <p>b) 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</p> <p>c) The project's contribution to the implementation or the evolution of one or more EU policies (including "horizontal policies" such as SMEs etc.) or addressing problems connected with standardisation and regulation.</p>	2
<p>3. Contribution to Community Social Objectives</p> <p>a) The contribution of the project to improving the quality of life, health and safety (including working conditions), taking into account ethical issues where relevant</p> <p>b) The contribution of the project to improving employment prospects and the level of skills in Europe</p> <p>c) The contribution of the project to preserving and/or enhancing the environment and natural resources</p>	2
<p>4. Economic development and S&T prospects</p> <p>a) 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</p> <p>b) The strategic impact of the proposed project and its potential to improve competitiveness and the development of applications markets for the partners and the users of the RTD results</p> <p>c) The contribution to European technological progress and in particular the dissemination strategies for the expected results, choice of target groups</p>	2
<p>5. Resources, partnership and management</p> <p>a) The quality of the management and project approach proposed, in particular the appropriateness, clarity, consistency, efficiency and completeness of the proposed tasks, the scheduling arrangements (with milestones) and the management structure. In addition, the tools to be used for monitoring project progress, including the quality of specified indicators of impact and performance, and ensuring good communication within the project consortium</p> <p>b) The quality of the partnership and involvement of users when appropriate, in particular, the scientific/technical competence and expertise and the roles and functions within the consortium and the complementarity of the partners</p> <p>c) 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. In addition, the resources not reflected in the budget (e.g. facilities to carry out the research and the expertise of key personnel).</p>	2

Annex 8.

Evaluation of cluster proposals

CLUSTERS at PROPOSAL STAGE

Evaluation Steps

Definition: a *cluster at proposal stage* is a cluster submitted on the own initiative of a consortium, as one single proposal grouping coherent component shared-cost projects (research and technology development, demonstration and/or combined projects only) focused on a common objective.

Significance for the Programme:

- A way of aligning complementary RTD inputs with the ultimate goal of a key action
- A mechanism to cross-link key actions, or generic activities with key actions, whenever applicable and required.

Therefore, participants in a cluster proposal should know that the major competitive attraction of such a proposal would result from the added-value achieved by combining the components and competencies: an added-value which is not necessarily targeting the contributing research fields, but rather aimed at benefiting the potential end-users (including society in general)

Motivation for a cluster

Clusters are not an objective per se; they must serve a purpose. Clusters should only be considered as an option for proposal design and assembling once it can be demonstrated that the objectives set out in a key action would be more readily achievable by this method of specific integration. The value must be proven, in connection with the application of the 3 strategic evaluation criteria (EU value added, social objectives, economic or S&T competitive advantage).

Structure of a cluster proposal:

All forms concerning such a cluster proposal must be submitted together in one single package. For each component project, a set of B and C forms must be present and detail the component project content in the same way as would be any individually submitted project²¹.

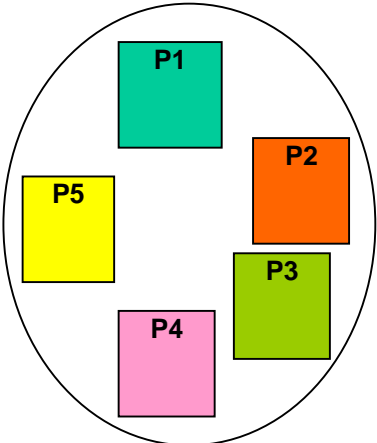
- **Part A.** one single set of administrative forms, using the standard A forms dedicated to shared-cost projects. The individual data of each of the partners involved will be presented in this section as it would be done for any individually submitted project, with the only exception that there must be only one co-ordinator form present: the one corresponding to the overall cluster co-ordinator. To indicate what budget is earmarked for each component project, there must be one A-4 form (i.e., cost sheet) per component project. The level of funding within each component project must be in accordance with the rules for funding established for each specific modality (research and technology development, demonstration, combined project). An additional A4 form will summarise the breakdown of costs of the whole cluster

²¹ This does not exactly apply for the administrative part (Part A) of the application where only the specific A4 cost sheet must be present for each project (see below)

proposal. The total budget requested will be the sum of each component project budget, plus the co-ordination costs for the cluster²².

- **Part B & Part C** detail the content of each component project. Each component must be presented in the same way as for any individual project. This means that the cluster consortium must make as many separate descriptions of part B and C as there are component projects. This also means that it must conform to the anonymity rules, to the specific features detailed under *implementation modalities*, and should be prepared taking into account the evaluation criteria presented in the *Guide for Proposers*. In addition, where indicated, the mention of the project being part of a cluster must be present, and each section C must include a brief presentation of the cluster, its objectives and where the component project fits in the overall cluster picture.
- **Additional set of Part B & C.** In addition to the standard B & C parts for shared-cost projects, an additional specific section must extensively present the objectives, synergies, benefits and expected impacts of the cluster. Within this additional set, each component project should be described as a specific work-package, along with the specific cluster co-ordination tasks. The interrelation between different component projects must also be clearly presented. For these additional “clusters-specific” B & C forms, the B and C forms proposed for *Co-ordination* (concerted actions and thematic networks) should be used as a model. This additional set of B and C forms will not constitute an additional thematic network or concerted action component within the cluster. The co-ordination costs are limited to the allowable co-ordination costs of each component project. For the “cluster-specific” B forms, the rule for anonymity **does not** apply. It must not therefore be examined by the experts after each component project until all component projects have been examined against the first block of criteria.
- **Summary:** For a project of ‘n’ component projects, there must be 1 set of A forms (with N +1 A4 cost sheets), n+1 sets of B forms, and n+1 sets of C forms.

Cluster Proposal consisting of 5 projects



PART A	PART B	PART C
A (as many A3 forms as participants, 5+1 A4 forms : one per component project + one to summarise)	P1/B*	P1/C*
	P2/B*	P2/C*
	P3/B*	P3/C*
	P4/B*	P4/C*
	P5/B*	P5/C*
	Cluster / B**	Cluster / C**

* forms for RTD projects
 ** forms for coordination projects

²² As a cluster proposal is submitted as one proposal and will generally lead to one contract, only the cluster project co-ordinator may claim co-ordination costs.

Basic principles for the evaluation

- a cluster proposal is a single proposal
Consequences: all provisions for evaluation apply according to the rules reported in the evaluation manual.

If the cluster proposal passes all the thresholds and is considered relevant and viable by the experts, it will be given a single mark, a single rank based on the conclusions of the Stage Two evaluation panel.

- a cluster proposal is a proposal with special characteristics
Consequences: it needs particular efforts to enlarge the evaluation panel with a more diversified range of expertise and some refinements during the evaluation, further detailed below.

Additional provisions for the completeness of the evaluation of a cluster proposal

1. Evaluation scenarios

- Sets of parts B + C, assembled according to the individual components of the cluster, would undergo an evaluation of their compliance with the threshold criteria under conditions of anonymity. This could 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 will also undergo the Stage One evaluation against threshold criteria, using the procedure established for concerted action and thematic networks (the cluster specific B part does not need to be anonymous). This will be done after the individual Stage One evaluation of the component project proposal.
- Scenario 1. If the cluster-specific part passes the thresholds of Stage One

The proposal will be given consensus marks by the Stage One panel for both threshold criteria. A “global” 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 for that action line, keeping in mind the recommendations of the Stage One panel. The “clusters-specific” C forms must especially detail the whole relevance and expected impacts of the cluster, as they will constitute an important component for Stage Two of the evaluation. 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. In any case, the cluster proposal 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.

Scenario 2. 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 *Evaluation Summary Report* will be prepared which will make clear why the proposal failed to reach the required level for further evaluation.

2. Evaluation summary reports

In scenario 1, (cluster-specific proposal passing the Stage One thresholds and proposal being ranked)

A single evaluation summary report (ESR) will be used to report the evaluation results of the cluster proposal. It 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.

In scenario 2. (Cluster-specific proposal failing any Stage One threshold)

A single evaluation summary report (ESR) will be used to report the evaluation results of the cluster proposal. It will include the individual ESR for each individual component project, including the one for the Cluster-specific part-.

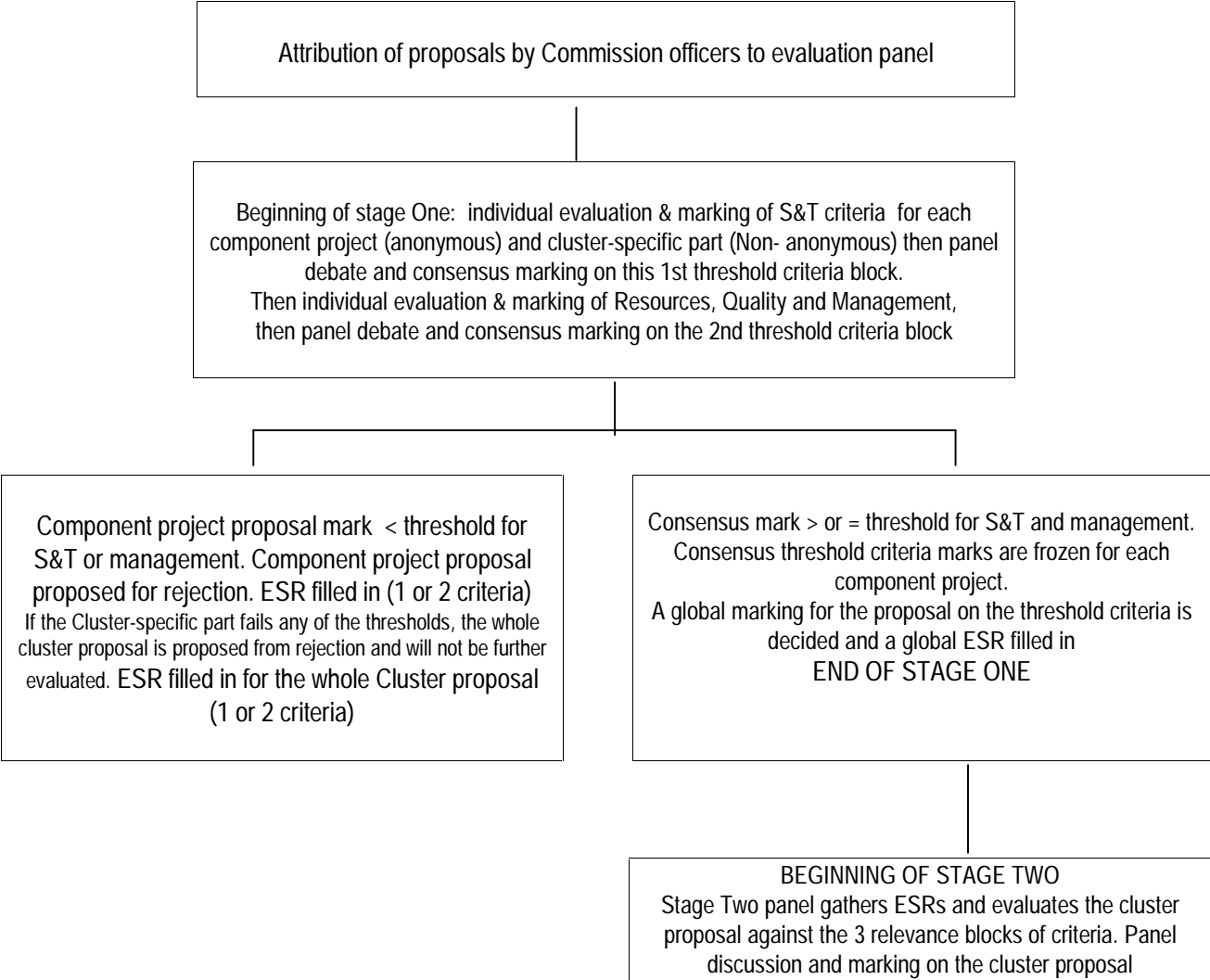
3. Weighting

- If the cluster proposal only contains shared-cost research and technology development projects, The weighting rules for calculating the proposed project's overall marking will be the rule used for research and technology development projects. If one or more demonstration or combined component project is present in the proposal and the panels recommends at least one of these to be maintained, the rule used will be the one laid down for demonstration and combined projects.

4. 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 in 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.

5. Summary of the Evaluation procedure for a cluster proposal



Annex 9.

Guidelines for assessing proposals with relevance to the Common Fisheries Policy

(Version of 3 April 2000)

EVALUATION OF PROPOSALS RELEVANCE TO THE COMMON FISHERIES POLICY (CFP)

The contribution of a proposal to the implementation, smooth operation or evolution of the Common Fisheries Policy (CFP) depends upon a number of the items listed below. These should help evaluators assess the usefulness of the proposed research (assuming that it would be successful) and compare proposals of equal scientific and technical quality. Evaluators may, however, find that some of these items are better taken into account when interpreting other evaluation criteria than the relevance of a proposal to the CFP.

- The proposed research contribution to the reliability and efficiency of the methodologies used by scientists when formulating their advice within the CFP policy-making process;
- Its contribution to clarifying how political decisions may affect fisheries management or aquaculture development and the various objectives assigned by the Treaties to the CFP;
- The seriousness of the issues addressed, which depends upon, for example:
 - the degree of biological vulnerability of the stocks/species involved;
 - the risks (e.g. potential losses) linked to the spread of a particular disease;
 - the vulnerability to crises of the relevant sector (delaying, avoiding or alleviating such crises or their impacts);
 - the magnitude of the environmental impacts to be addressed and alleviated;
- The contribution to higher added value for catches and farmed species which may come, for example, through :
 - an improvement of the quality of processed seafood products;
 - a reduction of the processing waste fraction;
 - greater use of presently under-utilised species (rather than of overexploited ones), including species not consumed by humans to any significant extent so far;
- The safe consumption of nutritious and healthy seafood, for example, through
 - increased consumer information on final products;
 - chain traceability to meet consumers expectations and to facilitate trade (market transparency) and inspection (monitoring and enforcement of regulations);
- The socio-economic importance and expansion potential (in financial and/or employment terms) of the fisheries or aquaculture domains likely to benefit from the expected results, including the economic perspectives of the relevant species (marketing and/or consumption potential);
- The extent to which the proposed research would fill-in existing gaps rather than devise further refinements to well studied domains or species, and the degree to which relevant fisheries or aquaculture research has already been or is supported by the EU on these species;
- The interest for the industry and the SMEs as demonstrated, for example, by their active involvement in the proposed research;

- The degree to which collective interests rather than private ones would benefit from the results of the proposed research, such as would be the case with proposals contributing to the certification of quality labels, for example;
- The lack of capacity of the industry likely to benefit from a project to support it;
- The dependence upon fisheries or aquaculture versus other economic activities of the regions likely to benefit from the proposed research and its expected results;
- The degree to which relevant fisheries or aquaculture research has already been or is supported by the EU in these regions;
- The proposed research contribution to multidisciplinary research and to creating bridges and economies of scale:
 - between fisheries and/or aquaculture research and other fields,
 - with institutions likely to bring new expertise to fisheries or aquaculture research;
- The degree to which, without Community funding, research efforts would be curtailed to the point of reducing significantly the interest of a project or its European dimension;
- The cost effectiveness of the support requested. Concerted actions for example should receive priority over shared-costs projects, simply because they are very cost-effective to stimulating scientific co-operation between research institutes;
- The number of countries involved and their combined lack of previous scientific co-operation in fisheries and aquaculture research;
- The degree to which results could be extrapolated to an international/European scale;
- The period of time after which expected results would become exploitable and useful for the implementation of the CFP (the longer this period, the higher should the scientific quality of the proposed research be).

It emerges from all the above interpretation of the evaluation of the CFP relevance that proposals should be ranked so that an equilibrium is found:

- between domains, for example between fisheries and aquaculture, to ensure stimulation within all research domains identified by the work-programme;
- and between objectives such as the implementation of the CFP, international co-operation, the needs of the industry or socio-economic cohesion within the EU.

Annex 10-a.

**Guidelines for assessing proposals with relevance to
the Common Agriculture Policy**

- VERSION OF 11 SEPTEMBER 2000 -

INTRODUCTION :

To support other Community policies, the 5th Framework Programme for scientific research must aim at responding to the research needs and priorities of these policies over the period 1999-2002 and at supporting their evolution. The work programme details these research priorities while the Evaluation Manual describes the selection process for the proposals to be submitted in response to calls. This manual lists the various criteria on the basis of which proposals of sufficient and equal scientific or technical quality will be ranked, among which proposals contribution to the implementation of EU policies. The present document clarifies and provides additional guidance to assess research proposals relevant to agriculture, forestry and rural development with regard to their contribution to the evolving Common Agricultural and related policies and the likely changes of the activities they relate to that could occur.

The specific criteria to be used in this respect can be sub-divided into 3 categories, which have to be met simultaneously:

- Conformity with the general context in which the reform of the Common Agricultural Policy (CAP) applies;
- Compliance to common characteristics for all research fields in agriculture, forestry and rural development;
- Compliance to specific characteristics for certain of these fields.

GENERAL CONTEXT IN WHICH THE REFORM OF THE COMMON AGRICULTURAL POLICY (CAP) APPLIES

The following is a description of the general context of the CAP reform, based mainly on extracts from the explanatory memorandum of the "Agenda 2000" proposals of the Commission. It is intended to provide potential proposers with an explanation of the reform's background and lines of action. Proposals should conform with this general context. References to selected agricultural sectors in the following text do not mean that other sectors, not mentioned here, are excluded from support to RTD activities, nor are they given lower priority a priori.

CAP, internal and international context

Since its inception, the common agricultural policy has been able to adapt and grow by mastering the challenges with which it has been faced over the years: in the early days it concentrated on attaining the goals set out in Article 39 of the Treaty, then it had to control the surpluses which appeared in some sectors, mainly by introducing quantitative restrictions.

Then, by embarking on a new approach based on a combination of lowering institutional prices and making compensatory payments, the 1992 reform of the CAP has marked an improvement of the competitiveness of the EU agriculture. The set objectives for the 1992 reform have been largely achieved, but some elements were still not completely satisfactory and the reform had to be deepened, leading to the Agenda 2000 proposals.

In Agenda 2000, now translated into a set of proposals for legislation, the three main challenges facing the CAP, first and foremost of internal in nature, are explained.

- Some developments on E.U. main agricultural markets in the long term pose a major threat to Community agriculture. The vast majority of analyses which attempt to gauge the prospects for world markets agree in predicting strong growth in demand

and prices offering a good rate of return. It is also clear that the current level of prices in the Union is still too high for it to be able to take advantage of the foreseen expansion of world markets, given the international commitments it has made. If this is not corrected, the consequences are easy to predict: surpluses and intolerable budget costs; loss of the E.U. position on both the world and internal market; detrimental effects on employment.

- In the past, the CAP had a number of negative effects, which were only partially corrected by the 1992 reform. The support it actually provides is distributed unequally and concentrated on regions and producers who are not among the most disadvantaged. At the same time, other regions have seen the development of excessively intensive farming practices which are having often a serious impact on the environment and on the occurrence of animal diseases. In the consumer perception of agriculture and food production, aspects like health, safety and quality become key words, often combined with environmental considerations, animal welfare and other ethical concerns. There is also a growing public awareness of the environmental damage related to agriculture, like in the fields of water resources and quality, wildlife conservation, air pollution and soil erosion. At the same time, the positive environmental role farmers can play as managers of natural resources and as stewards of the countryside is becoming increasingly recognised. In the future, policies providing support to farmers, will have to justify what it is costing, and take account of environmentally sound production methods and practices, the contribution of agriculture to the preservation of landscapes and the improvement of quality.
- Agriculture in the fifteen countries of the Union is highly diverse and this diversity is one of the strengths of E.U. agriculture as it contributes to its specific character and quality. To keep this diversity, the existing CAP is not suited to a Union of fifteen being on the point to be enlarged. It gives rise to complexity and bureaucracy. A new, more decentralised model has therefore to be developed based on the subsidiarity principle. But such a development in this direction needs to be carefully controlled so as to avoid any risk of distorting competition or renationalising the CAP.

These challenges on the internal scene, are reinforced by two external factors:

- The first is the enlargement of the Union towards Central and Eastern European Countries. This poses huge challenges either for producers of the existing E.U. member states who will have to compete with these newcomers and for decision makers who will have to adapt the CAP so that it remains bearable in terms of budget and management.
- The second factor is the international trade negotiations, both the new round of agricultural talks under the WTO (World Trade Organisation) and the negotiation of various bilateral trade agreements, which are likely to lead to further liberalisation of trade, with all the implications this has for the Community market. The Union has to prepare its agriculture sector for these negotiations. This has two vital consequences:
 - First, with this reform the Union has to lay down the agricultural for the years ahead in a way that satisfies its own interests and takes a realistic view of developments in the international context.
 - Secondly, it has to be clear that the reform to be adopted will outline the limits of what the Union is able to agree to in the forthcoming international negotiations.

The linkages between agriculture, trade and environment could become a major new item on the WTO agenda, for two main reasons:

- the problem of environmental dumping and the necessity to introduce minimum environmental standards in to the World Trade rules have to be dealt with at international level;
- the question on how to avoid that agri-environmental measures are used as hidden income aids, with a green stamp on the envelope has to be answered.

Main lines of the reform

In this context, the Commission has defined the following guidelines on which the proposals for reforming the CAP are founded:

- Continued competitiveness must be ensured by sufficiently large price cuts that will guarantee growth of home-market outlets and increased participation by Community agriculture in the world market. These price reductions should be offset by an increase in direct aid payments in order to safeguard producers' incomes.
- The principle that there should be a new division of functions between Brussels and the Member States means developing a new approach on several very important points.
- Compensation in the form of direct payments to producers has to be organised in a different way compared with 1992. Some of the compensation will take the form of national envelopes, financed entirely from the European Agricultural Guarantee and Guidance Fund (EAGGF) Guarantee Section and distributed according to the size of national production. Each Member State will be able to allocate this money as it chooses, provided it complies with a number of Community criteria designed to prevent distortions of competition. Each Member State will be able to strike the balance it wants between intensive and extensive production.
- The new Regulation on rural development recasts all the rural development schemes within a single framework, providing Member States with an opportunity of defining their priorities themselves and making their own choices among the schemes contained in the Regulation. These choices will be incorporated into an overall programming frame.
- This new decentralisation needs logically to be accompanied by a major effort at simplifying the rules. An example is the new rural development Regulation, which does away with a large number of complicated regulations, which are often mutually not very consistent. The same approach has been taken to the market-management regulations, in particular the one on arable crops.
- The Commission's determination to give agricultural policy a number of new tasks so that it can meet the expectations of society better leads to a series of further guidelines:
 - Action on the environment is to be substantially reinforced. The resources devoted to agri-environmental measures are increased and the aid for less-favoured areas is to be made into an instrument for consolidating, or even expanding, cultivation methods requiring low intermediate inputs. A major effort will be made to encourage truly extensive beef production by almost tripling the premium for this type of livestock farming. Finally, Member States will have to take detailed steps to ensure that environmental rules are complied with, including reducing or discontinuing direct payments.
 - The new rural development Regulation, for the first time, lays the foundations for a comprehensive and consistent rural development policy whose task will be to

supplement market management by ensuring that agricultural expenditure is devoted more than in the past to spatial development and nature conservancy.

- Rural development will thus become the second pillar of the CAP. This major new departure is to be backed by Community funding for rural development schemes across all rural areas and transferring the financing of most of the expenditure on this from the EAGGF Guidance Section to the Guarantee Section.
- The Commission is proposing an increase in milk quotas of 2%, with the idea of signalling two clear political messages: half the increase will go to mountain regions and half to new entrants to farming, who need to be supported.
- The Commission has also wanted to underscore the importance it attaches to Mediterranean products by proposing a reform of the market organisation in olive oil to complement the proposal already presented on tobacco. A proposal for the wine sector has been transmitted to the Council and Parliament.
- Lastly, it is vital to deal with various inequalities and abuses which seriously harm the image of the CAP:
 - A ceiling is proposed, to operative digressively, on the amount of direct aid that a farm can receive under the various support schemes linked to the market organisations. The Commission wants to avoid the reform of the CAP becoming a further reason for handing out over-generous public subsidies to agricultural holdings.
 - Member States will be given a legal basis for awarding direct aids only to farms that are genuinely engaged in farming. This should end the abuses detected since 1992 by which individuals making clever use of legal loopholes have been able to apply for CAP aids although they are not farmers.
 - The Member States will be able to vary, i.e. downwards, the direct aids awarded to holdings in line with criteria to be defined by each Member State relating to the amount of labour employed on a farm. Money released in this way is to be allocated by the Member State to agri-environmental schemes.

European model of agriculture

The result of the proposals for reforming the CAP have the aim of giving concrete form to a European model for agriculture with the main following lines:

- A competitive agriculture sector which can gradually face up to the world market without being over-subsidised, since this is becoming less and less acceptable internationally;
- Production methods which are sound and environmentally friendly, able to supply quality products of the kind the public wants;
- Diverse forms of agriculture, rich in tradition, which are not just output-oriented but seek to maintain the visual amenity of our countryside as well as vibrant and active rural communities, generating and maintaining employment;
- A simpler, more understandable agricultural policy which establishes a clear dividing line between the decisions that have to be taken jointly and those which should stay in the hands of the Member States;
- An agricultural policy, which makes clear that the expenditure it involves is justified by the services which society at large expects farmers to provide.

The European model is designed to safeguard the earnings of farmers, above all keeping them stable, using the machinery of the market organisations and compensatory payments.

CAP and food safety and quality

Food safety and food quality are both a fundamental obligation towards consumers. In respect of these, “Agenda 2000” says the following:

“Consumer requirements from agriculture and the food industry are also evolving. Health, notably food safety, is the main one. Convenience (fast food, ready-made meals and snacks) is becoming more and more important in the context of changing life-style. But at the same time, typical, well identified products, linked to specific areas or cultural values (traditional production methods, animal welfare, etc.) are increasingly sought after”.

The objective to better integrate consumers requirements into the Common Agricultural Policy therefore has several dimensions. It encompasses the provision of consumers with a wide range of healthy and nutritious food at an affordable price, through production methods that take due account of environment protection and animal welfare requirements, and with adequate information about food composition and hygiene levels.

CAP and environment

With the CAP reform, environmental requirements have been integrated into the Common Agriculture Policy in conformity with Article 130R of the treaty. While the agri-environmental scheme under R. (EEC) 2078/92 constitute a direct and visible contribution to environmental policies, it is to be noted that environmental elements are also present in the market organisations, R. (EEC) 2080/92 on afforestation and in rural development policies. A great part of the environmental legislation based on Article 130S of the treaty has also an impact on agriculture. The main policy issues to be considered in this context are:

- The CAP reform of 1992 integrates environmental considerations into the Common Market Organisations: e.g. the set-aside scheme provides for upkeep of land and the promotion of environmentally sound production methods is part of the proposal for reforming the market organisations for wine and for fruit and vegetables. Agri-environmental and afforestation measures have been established as a part of so-called accompanying measures of the CAP, e.g. promotion of extensification and organic farming, preservation of the cultivated landscapes and natural resources.
- Community legislation on nature conservation (birds, habitats) and water protection (drinking water, groundwater, surface water, nitrate emission) has direct impacts on agriculture: e.g. the implementation of Codes of Good Agricultural Practice through the Nitrate Directive (91/676/EC) is expected not only to reduce nitrate leaching to surface and ground water but also to reduce ammonia emissions. The Integrated Pollution Prevention and Control Directive (96/61/EC) applies to large installations of poultry or pigs as well as to industrial installations emitting ammonia.
- Sustainable agriculture is an issue of international commitments like AGENDA 21 and of discussions in the context of the Commission on Sustainable Development, FAO and the United Nation’s Economic Commission for Europe. Environmental aspects play an increasingly important role in the context of international trade as already mentioned above.

Agriculture and forestry strongly shape the character of European landscapes and play a key role in the management of natural resources. Therefore, it is important to find ways to make agricultural support more efficient to help farmers to complete their many functions in rural, in terms of competitiveness, quality production, rural entrepreneurship, management of natural resources, and in terms of landscape stewardship.

COMMON CHARACTERISTICS FOR ALL FIELDS OF RESEARCH IN AGRICULTURE, FORESTRY AND RURAL DEVELOPMENT:

- Where the scientific and technical objectives of research activities so require, a multi-disciplinary approach will be adopted.
- The socio-economic aspects could be examined in all cases.
- Projects to be funded have to foresee application aspects, as well as means for transfer of results and technologies towards end users.

SPECIFIC CHARACTERISTICS FOR CERTAIN RESEARCH FIELDS

RESEARCH ON NEW AND IMPROVED PRODUCTION AND FARMING SYSTEMS

See introduction of the first bullet point under paragraph 5.1.1. of the work programme of the Key Action “Sustainable agriculture, fisheries and forestry, including integrated development of rural areas”, as well as the description of the single items under this bullet point.

- Considering the definition of the International Organisation of Biological Control (IOBC), organic farming means: farming systems which relies on crop rotations, the recycling of farm-produced organic material i.e. crop residues, animal manure, legumes, green manure and off-farm organic wastes and on a variety of non-chemical methods for the control of pests, diseases and weeds. Optimal stocking rate is required to enable closed nutrient cycles. By doing so, organic farming systems exclude or imply major restrictions on synthetically compounded fertilisers, pesticides, herbicides, growth regulators and livestock feed additives. More specifically, for crop production, organic farming is covered by R.EEC/2092/91.
- Considering the definition of the International Organisation of Biological Control (IOBC), integrated agriculture means: agricultural systems for the production of food and other products of high quality, using natural regulation resources and mechanisms to replace inputs harmful to the environment and ensuring a long term viable agriculture. In this context, to meet these objectives, the guidelines of integrated agriculture have to consider a whole set of technical aspects. A holistic approach of systems with the whole farm as base unit has to be favoured. The essential role of agro-ecosystems, the balanced cycles of nutrients and the welfare of all livestock animals have to be underlined. The conservation and improvement of soil fertility and environmental diversity are essential components. Biological, technical and chemical methods have to be carefully balanced, taking into account the protection of the environment, the profitability and the social requirements.

RESEARCH ON PLANT HEALTH

RTD activities in support of Community policy on plant health in the context of sustainable agriculture should provide rapid, reliable, harmonised, cost-effective and safe methods for four main objectives:

- the detection, control and where appropriate eradication of harmful organisms;
- support tools designed for end users (forecasting, epidemiology, decision support systems, monitoring, diagnostic etc.);
- new prevention or treatment methods ;
- improved methods for analysing the impact on the environment and the food chain of crop protection methods.

RESEARCH ON ANIMAL HEALTH

See the objectives of the work programme of the Key Action “Infectious diseases” and the fourth bullet point under paragraph 5.1.1 of the work programme of the Key Action “Sustainable agriculture, fisheries and forestry, including integrated development of rural areas”. In this framework, Community policy on animal health requires consideration of the most significant problems in terms of health, consumer protection and economic impact, in addition to the adaptation of tools to the latest scientific developments.

Projects in this area should be restricted to animals used in farm livestock production.

RESEARCH ON ANIMAL WELFARE

See the fourth bullet point under paragraph 5.1.1 of the work programme of the Key Action “Sustainable agriculture, fisheries and forestry, including integrated development of rural areas”.

The importance of animal welfare was recognised when the Treaty on European Union was signed and then again when it was revised. It requires a better understanding of the scientific bases of animal welfare and of the principal problems in livestock production, together with methods for improving animal welfare.

Projects in this area should be restricted to animals used in livestock production.

RESEARCH ON QUALITY POLICY

Two regulations protecting traditional products were approved in 1992, namely Council Regulation (EEC) No 2081/92 on designations of origin and geographical indications and Council Regulation (EEC) No 2082/92 about specific product types. These regulations specify in annex the products to which they apply, excluding all other products.

In addition, the Commission is currently preparing studies with a view to defining a European framework (quality label) for those areas, which are not covered by the already existing legislation.

This campaign for quality has been combined with efforts to set high health standards for EC food products and to provide the consumer with adequate information about their composition and hygiene levels. This standardisation work should not in turn lead to the uniformisation of food products. The objective is that all food products, including regional specialities made according to traditional processes, when sold, meet necessary standards of hygiene.

The introduction of a variety of products and products with a higher added value is an important part of an integrated rural policy. Although food in Europe has been moving

towards a certain standardisation, the need to respond to sophisticated consumer tastes should stimulate the introduction of new products and new qualities of the existing products.

At present there is a clear need for a quality-offensive in European agriculture in order to meet consumers' increasingly high demands. In addition to the existing Community legislation to protect registered agricultural and food products, the Council regulation adopted in May 1997 Regulation (EC) No 820/97 on the identification of animals and the labelling of beef and beef products. The 128 different agri-environmental programmes (end of 1997 figure) in force throughout the European Union are also part of this quality offensive.

In the context of the current reflections and discussions about the future of the CAP, the Commission has clearly stated that European quality standards must be protected and maintained throughout the next WTO negotiations, and that the enlargement of the Community to include Central and Eastern European countries should not undermine the quality of EU agricultural products. In these discussions, the following principles should be involved:

- securing economically stable production with an emphasis on quality;
- innovative processing of agricultural products to produce up-market foodstuffs;
- making the most of all opportunities the markets have to offer, in particular by studying the wishes of a wide range of consumers.

As regards the demands of consumers, it is evident that, in addition to the growing public awareness of the environmental issue, other social trends are visible and influence more and more the vision of the public on agriculture and food production: health, safety, quality, are some of the key-words in this context. In consumer perceptions all these aspects are often combined with environmental considerations, and with animal welfare and ethical concerns.

RESEARCH ON MULTIFUNCTIONAL MANAGEMENT OF FORESTS

The Community plays a leading international role in the protection and sustainable management of forests. It has been actively involved in the international negotiations carried on since the Rio Summit and has signed the resolutions adopted at the Ministerial Conferences on the Protection of Forests in Europe. Several research priorities are specifically mentioned:

- Research on mountain forests, with in particular, research into the specific dynamics of mountain forest ecosystems, the relation between forest operations and ecosystem stability, etc.
- Research on tree physiology, ecophysiology and biochemistry, tree molecular biology, stress and disease factors, development of physiological and biochemical methods adapted for studies of tree species, etc.
- Research on the hydrological cycle, the nutrition cycle, the energy cycle, development of original methods for ecological analysis in the field of forestry, functioning and malfunctioning of forest ecosystems, etc.
- Research into the concept of sustainability in forest management, evaluation of the multiple benefits of forests, etc.
- Development of methods for assessing biodiversity in forests and for evaluating the impact on biodiversity of forest management methods, research on the status and the requirements for forest management of the endangered, rare or representative biotic

elements of forests, development of methods for the conservation and appropriate enhancement of biodiversity in forests.

- Research on the impact of possible climate change on forest ecosystems and forestry, the possible adaptation of forest ecosystems and forestry to climate change and the mitigation of the adverse effects of climate change by forest ecosystems and forestry in Europe. The Resolution identifies seven specific areas for research in this context.
- Research efforts on the socio-economic aspects of sustainable forest management and valuation of the full range of forest goods and services, in order to provide reliable information for policy and decision making and public dialogue.
- Evaluation of the consistency, relevance and cost effectiveness of indicators in assessing sustainable forest management. Research to improve and better assess the multiple functions and uses of forests considered insufficiently covered by the existing set of criteria and indicators.

It is to be noted that the United Nation's Intergovernmental Panel on Forests (IPF) has agreed on a comprehensive set of Proposals for Action, some of which relate to forest research. The implementation of the Proposals for Action of the IPF was subsequently endorsed at EU Ministerial level in May 1997 and by the United Nations General Assembly Special Session in June 1997.

Besides, the European Community is also carrying out wide-ranging forestry measures using the instruments it has available, which will in future be contained in the financial instruments for rural development.

Against this background, the principles established in international discussions must be given concrete form and steps must be taken to promote their application to the management of Europe's forests, facilitate the application of Community measures and, more generally, to strengthen the role of forests in rural development.

RESEARCH ON SUPPORT FOR COMMON POLICIES

The common agricultural policy is the Community's most important policy in terms of the appropriations allocated to it and requires reliable, transparent and effective tools to prepare, manage, control and evaluate its various instruments. With the prospect of further liberalisation of trade and enlargement, a thoroughgoing analysis of Community agriculture and an assessment of future developments are required. Finally, activities linked to the common agricultural policy, such as research activities in the areas of agriculture, forestry and rural development, must themselves be evaluated and co-operation encouraged with national research efforts.

RESEARCH ON NEW TOOLS AND MODELS FOR THE INTEGRATED AND SUSTAINABLE DEVELOPMENT OF RURAL AREAS

The implementation in 2000 of new rural development programmes offers new prospects for all the Community's rural areas. An integrated approach has been adopted based on competitiveness, the exploitation of local development potential, the diversification of activities and land use, the involvement of local people, the improvement of the quality of life and sustainability.

Against this background, there is a need better to understand these areas and their differences, analyse the developments taking place and establish a typology to permit the transfer of successful experiences from booming areas to those in decline. Current references are unsuitable since they often come from high-population areas undergoing conversion. Development models and the means for their transfer must therefore be

created or improved, specifically with the problems of rural area in mind. More generally, the analysis and monitoring of rural development policies and programmes must be improved in order to increase their effectiveness.

Research projects, which could cover the relevant areas in both the Community and the applicant countries, should clearly address the transferability of results.

RTD activities in “conceptualising integrated development”, should include the following elements: close association with the potential users, characterisation of the rural areas to which the research applies, the strategies to optimise the research impacts and to shorten the time gap between research and application and, where appropriate, the definition of the optimum administrative level of intervention.

Annex 10-b

Policy Document on Industrial policy aspects

ENTREPRISE POLICY CRITERIA FOR THE EVALUATION OF THEME 1 RESEARCH PROJECTS

The 5th Framework Programme for scientific research aims at responding to the research needs and priorities of community policies. This translates for the specific programme on life sciences (Quality of life and management of living resources) into a strong focus on modern biotechnology. The Work Programme details research priorities while the Evaluation Manual describes the selection process for proposals. The present document shall provide additional guidance to assess research proposals relevant to Theme 1 from an enterprise policy point of view.

1. ENTERPRISE AND LEGAL CONTEXT

- The enterprise policy of the Community aims at creating a knowledge-based society with companies operating on markets open to international competition. The policy fosters innovation, sustainable development and the removal of obstacles to change. It encourages flexibility, knowledge investments and entrepreneurship as well as the spread of information and know-how. It promotes Europe as a location for investment by companies whatever their origin, and seeks to enhance the competitiveness of European industry in an increasingly globalised context.
- Particular attention needs to be given to paragraph I of article 157 of the Treaty, which specifies that:

“The Community and the Member States shall ensure that the conditions necessary for the competitiveness of the Community’s industry exist. For that purpose, in accordance with a system of open and competitive markets, their action shall be aimed at:

- speeding up the adjustment of industry to structural changes;
- encouraging an environment favourable to initiative and to the development of undertakings throughout the Community, particularly small and medium sized undertakings;
- encouraging an environment favourable to cooperation between undertakings;
- fostering better exploitation of the industrial potential of policies of innovation, research and technological development”.

- In addition, article 163 states that:

“The Community shall have the objective of strengthening the scientific and technological bases of Community industry and encouraging it to become more competitive at international level, while promoting all the research activities deemed necessary by virtue of other chapters of this treaty”.

2. SPECIFIC CRITERIA IN RELATION TO BIOTECHNOLOGY

The evaluation of research projects of the thematic programme “Quality of life and living resources”, needs to take specific account of the potential contributions to EU industrial competitiveness.

Especially, proposals related to the biotechnology industry, as an important, research-intensive area, should cover the following perspectives:

- **Promoting industrial competitiveness and employment**

Modern biotechnology constitutes indeed a growing range of techniques and processes applied for production and processing purposes in a wide variety of sectors (agriculture, pharmaceuticals, chemicals, food and environment). As a matter of fact, it has already been identified in the 1993 White Paper on Growth, Competitiveness and Employment as a technology with enormous potential for economic growth and job creation.

Thus, modern biotechnology could create large numbers of jobs, partly within the biotech companies themselves, by mainly in other sectors through the benefits to society in the form of economic growth, improved public health and better environment.

Even though it is usually recognised that Europe is not making the most of the opportunities provided by modern biotechnology, Europe has been successful in transforming successful research (based both on a strong science base and on the high quality of process engineering) into new products and markets shares.

Evaluation of proposals therefore needs to take account of the potential impact of research activities on European industry's ability to generate economic growth, particularly in comparison with international expectations for the industry.

- **Innovation and take-up of new technologies**

Industrial competitiveness policy is based, *inter alia*, on a comprehensive evaluation and understanding of the mechanisms underlying the innovation process and its relationship with research and commercial activity.

Considering the vast potential inherent in modern biotechnology and given the crucial role of innovation, special attention should be given to the innovation factors, such as the academia-industry transfer of technology and the financing of innovation. This list is non-exhaustive: all factors for achieving successful innovation are important.

Conclusion

Therefore, the most important specific criteria that the evaluators have to pay attention to are :

1. **The innovative content of the projects;**
2. **The contribution to growth and competitiveness and impact on job creation;**
3. **The academia-industry transfer, in order to contribute to the two first objectives.**

Annex 10-c

**Policy Document on
Health and Consumers Protection
policy aspects
*[2000 version]***

SANCO : HEALTH AND CONSUMER PROTECTION

MISSION

The mission of DG « Health and Consumer Protection » is to :

- * ensure a high level of protection of consumers' health, safety and economic interests as well as of public health at the level of the European Union.

1. Consumer health and safety protection

- * propose and monitor legislation in the areas of veterinary, animal feed and phytosanitary matters in order to protect the consumer ;
- * manage the work of the eight *scientific committees* and the Scientific Steering Committee which have to provide an independent scientific basis for a policy of consumer health protection, with regard to food at all stages of the production chain, as well as to other products, such as animal feeds or cosmetic products ;
- * carry out inspections within the European Union and outside to ensure that in the food chain the rules on hygiene and food safety are respected ;
- * evaluate and assess possible risks to consumer health in a forward looking way ;
- * contribute to the safety of consumer products and services in the European Union.

2. Protection of economic interests

- * propose and monitor legislation to protect the consumer ;
- * reinforce market transparency ;
- * ensure that the interests of consumers are given due consideration in the development of other European Union policies ;
- * improve consumer confidence, especially by more complete and effective information and education ;
- * develop a system of dialogue between consumer organisations and industry ;
- * ensure that consumer organisations are better represented in all decision-making processes.

3. Public health

- * assure a high level of human health protection in the development of all Community policies ;
- * to take actions to improve public health in the European Union, to prevent human illness and diseases and to obviate sources of danger to human health.

DG SANCO's organigramme reflects its policy interests and priorities :

- * Directorate A is largely responsible for the broad area of "developing Consumer Policy".
- * Directorate B is in charge of the organization, follow up and dissemination of Scientific Health Opinions.
- * Directorate C coordinates horizontal questions, such as budgetary matters, but is also in charge of consumer information and representation, relations with other institutions of the EU and international aspects of consumer policy.
- * Directorate D, the "Food and Veterinary Office" (FVO), is responsible for inspections and control both inside and outside the European Union.
- * Directorate E is mainly in charge of legislation concerning animal and plant health as well as legislation on veterinary aspects of public health.
- * Directorate F covers public health, which includes public health analysis and policy development, data monitoring, preventive measures (cancer, drug dependence, pollution related diseases, injuries), health promotion, surveillance of communicable and rare diseases.
- * The "Evaluations of Health Risks Unit" is in charge of risk assessments and advice on the different options for future action.

SCIENTIFIC RESEARCH INTERESTS

DG SANCO's interest in the Fifth Framework Programme for Research, Technological development and Demonstration activities is a direct consequence of its policy competences and activities referred to above. In order to develop a good Consumer Policy and an effective health protection in the future, it is vital that the consumers' interest are taken into account in the upstream scientific research activities which are being carried out today.

DG SANCO is therefore interested in scientific research under a variety of themes and activities covered by FP5. The following serve as examples :

- * Theme "*Quality of life and management of Living Resources*" : Research under all Key Actions is of potential interest to DG SANCO. Key Action 1 (Food, nutrition and health) is of particular relevance because of the DG's policy interest in public health and a safe, healthy, balanced and varied food supply for consumers, which requires research efforts covering all stages of the food chain. Key Action 3 (The cell factory) is equally of capital importance, i.a. in the field of the development of methods to trace and monitor the presence of GMO's in the environment.
- * Theme "*User-friendly information society*" : Here too, the different Key Actions contain elements of direct interest to consumer needs. Particularly important are the systems and services regarding health and the research concerning different aspects of electronic commerce as well as multimedia.
- * Theme "*Competitive and sustainable growth*" : Here, DG SANCO could have a direct interest in work related to sustainable consumption but equally in research on such aspects as knowledge and technologies useful for the development of high-quality products which are environment and consumer friendly.
- * Theme "*Energy, Environment and sustainable development*" : Examples where there is a direct consumer interest in research are the "quality of water" and the "city of tomorrow".

The elements referred to under various themes are, as already mentioned, only some examples of potential consumer interest. Other elements can be found under the themes already referred to as well as under the other activities that are part of the Fifth Framework Programme, such as "Improving human research potential and the socio-economic knowledge base".

For those who want to learn more about DG SANCO's policies and activities, extensive information is available on the internet at the following address :

http://europa.eu.int/comm/dgs/health_consumer/index_en.htm

Annex 10-d

Evaluation of proposals for KA2 on « Control of Infectious Diseases »

Paper on relevance criteria

[Version of 10 December 1999]

Note: In addition to this guidance document, the evaluation forms used for KA2 have been adapted from the standard model and provide an additional guidance on how the relevance criteria should be assessed.

These forms are available upon request from isabel.minguez-tudela@cec.eu.int

This paper is intended to clarify the Community policy aspects in relation to the specific objectives of KA2. The various issues and implications connected to the implementation of the Common Agriculture Policy (CAP) and to Common Fisheries Policy (CFP) as well as to the Community Decision on the « Network for the epidemiological surveillance and control of communicable diseases » are discussed.

Given the complexity of the legislation on animal health, this paper is focusing on the main instruments and strategies as well as on methods and tools for the prevention and control of infectious diseases. Concerning the Public Health aspects, the relevant research activities to improve surveillance on infectious diseases of significant morbidity and/or mortality across the Community, in particular those needing effective preventive measures, and addressing a wider knowledge base of rare and serious diseases, are considered.

Evaluation of the relevance to the Common Agricultural Policy (CAP)

Community legislation on animal health, in particular regarding infectious diseases, can be considered the largest and most complex legislation of the EU which was initiated with the creation of the Common Agricultural Policy in 1958. This legislative body concerns diseases of major economic importance, zoonosis and food-borne diseases.

The health strategies applied to control infectious diseases of livestock in the EU are based on: the development of the Common Agricultural Policy (CAP), the establishment of the Single Market, the intensification and increase of production, the consumers' demands in terms of food safety and the international commitments notably in the framework of the World Trade Organisation (WTO) and the coming into force of the Agreement on the Application of Sanitary and Phytosanitary Measures (SPS Agreement with the Office International des Epizooties (OIE) as the reference organization).

The objectives of Community legislation have been focused on the achievement of a high and homogenous health status in the EU through the harmonisation of sanitary measures (90 Directives adopted since 1964). The main instruments put in place are:

- a) regionalisation: enabling to take into account different health status and different geographical, climatic and economical characteristics.
- b) eradication programmes : the Community co-finances eradication programmes for certain diseases
- c) control systems, alert plans and surveillance networks for specific diseases aiming at immediate intervention in case of outbreaks
- d) compulsory notification and communication: from the producer to the corresponding veterinary authorities and from these to the Commission and to other Member States.
- e) identification of animals to ensure traceability of live animals and their products.

For the preparation of proposals concerning veterinary legislation, the Commission is supported by the Scientific Committee

Strategies to control infectious diseases in animals: they vary according to the classification of the diseases made by the OIE in 3 lists (A, B and other diseases) which has been adopted by the Community legislation

1) “List A diseases”: transmissible diseases which have the potential for very serious and rapid spread, irrespective of national borders, which are of serious socio-economic or public health consequence and which are of major importance in the international trade of animals and animal products. These diseases are subject to compulsory immediate notification of primary and secondary outbreaks. The measures to control and eradicate diseases of major importance are based on the strategy of stamping-out infected herds and controlling movements of live animals, animal products, vehicles and other substance liable to transmit the pathogen. List A includes among others: foot-and-mouth disease, vesicular stomatitis, swine vesicular disease, contagious bovine pleuropneumonia, blue tongue, sheep pox and goat pox, African swine fever, African horse sickness, classical swine fever, highly pathogenic avian influenza and Newcastle disease.

2) “List B diseases”: transmissible diseases considered to be of socio-economic and/or public health importance within countries and significant in the international trade of animals and animal products. The approach to control the listed diseases has in some countries included eradication at area level whilst in others the control has been left to the pig producer and carried out at herd level. Within the EU the priority given to the control of List B diseases is regularly reviewed. List B diseases includes currently 80 diseases among which are: Aujeszky’s disease, anthrax, bovine tuberculosis, bovine spongiform encephalopathy, scrapie, paratuberculosis, brucellosis, ovine pulmonary adenomatosis, maedi-visna, salmonellosis, rabies, leptospirosis, transmissible gastroenteritis, enterovirus encephalomyelitis, Marek’s disease, infectious bursal disease, avian infectious bronchitis, equine infectious anaemia, equine influenza etc...

The occurrence of these diseases must be notified yearly to the OIE

3) Control of common infectious diseases which occur on a traditional operated livestock holdings is left to the producer and its veterinarian. Many of these diseases can have a serious limiting effect on efficient production and cause significant economic losses as a result of high mortality, low growth and low conversion rate and high treatment costs.

Use of antimicrobials for growth promoters and for the control of infectious diseases: with the aim of safeguarding public health from dangers arising from the use of medicated feedingstuffs and to prevent distortions in competition in livestock production, the Community has adopted legislation on the preparation and use of medicated feedingstuffs. The legislation prohibits the use of a number of antimicrobials as feed supplements and fixes minimum withdrawal periods before slaughter. The use of antimicrobials at therapeutic concentrations is also subject to legislation regarding withdrawal periods.

Research activities within the EU RTD programmes should focus on methods and tools for the prevention, control and eradication of economically important diseases, zoonoses and food-borne diseases, emerging and re-emerging diseases. Research at European level should provide the necessary scientific and technical basis for the implementation and development of the Community veterinary legislation with the adaptation of tools to the latest scientific developments. In line with the social objectives of the CAP, research should

contribute to the improvement of animal health status, animal welfare, public health /human food chain, competitiveness of production and trade. Particular emphasis is focused on:

-diagnosis: improvement and development of diagnostic tests aiming at maximising early detection of the disease, specificity, sensitivity, rapidity, simplicity, possibility to process large numbers of samples. Development of new diagnostic strategies, the possibility of multiple diagnosis, surrogate markers...

-epidemiology: diffusion mechanisms, carriers, wild animal reservoirs, impact of density of livestock populations, improvement and standardization of epidemiological forecasting and system for notification, risk analysis, economic evaluation, modelling and inactivation methods.

-pathogenesis: increase knowledge on the pathological processes- sites of infection, spread, persistence and excretion of pathogens, carrier state...- host-pathogen interaction. Study of the fundamental basis and mechanisms of re-emerging and emerging diseases connected with the environment and other factors. Pathogenesis of multifactorial infection diseases.

-prevention: development of new safe and effective vaccines: marker vaccines (vaccines not interfering with diagnosis). Development of new vaccination strategies, new vaccination sites, strategies for wildlife vaccination.

-development of alternatives to the use of antimicrobials including vaccines and other animal disease prevention.

Evaluation of the relevance to the Common Fisheries Policy (CFP)

The contribution of a proposal to the implementation or evolution of the Common Fisheries Policy (CFP) depends upon a number of items, some of which evaluators may find better taken into account when interpreting other evaluation criteria. These items include:

- The proposed research contribution to the reliability and efficiency of the methodologies used by scientists when formulating their advice within the CFP policy-making process;
- Its contribution to clarifying how political decisions may affect fisheries management or aquaculture development and the various objectives assigned by the Treaties to the CFP;
- The socio-economic importance and expansion potential of the fisheries or aquaculture likely to benefit from expected results, including the economic perspective of the relevant species;
- The inability of the industrial sector, likely to benefit from this research, to support it;
- The dependence upon fisheries or aquaculture versus other economic activities of the regions likely to benefit from the proposed research and its expected results;
- The degree to which relevant research has been or is supported by the EU in these regions;
- The proposed research contribution to multidisciplinary research or to establishing bridges between different fields, in particular with institutions likely to bring in new expertise;

- The number of countries involved and the lack of previous scientific co-operation in fisheries and aquaculture research between them;
- The degree to which results could be extrapolated to a European or an international scale;
- The length of the period after which expected results would become exploitable and useful for the implementation of the CFP (the longer this period, the higher should the scientific quality of the proposed research be).
- The seriousness of issues addressed, which can be assessed according to :
 - The degree of biological vulnerability of the stocks/species involved ;
 - The risk linked to the possible spread of a particular pathogen within/between species²³ ;
 - The magnitude of the environmental impacts to be addressed and alleviated;

Public health « relevance criteria »

The main instrument in the area of communicable diseases at Community level is the “Network for the epidemiological surveillance and control of communicable diseases”, based on Decision 2119/98/EC. The **methodologies** that need to be developed or improved for the effective operation of this Network are those described in the work programme of Key Action 2. The criteria for the **selection of diseases** to be addressed as a priority for surveillance are:

- Diseases that cause, or have the potential to cause, significant morbidity and/or mortality across the Community, especially where the prevention of the diseases requires a global approach to co-ordination.
- Rare and serious diseases which would not be recognised at national level and where the pooling of data would allow hypothesis generation from a wider knowledge base.
- Diseases for which effective preventive measures are available with a protective health gain. Research activities should concentrate on diseases where such measures are not yet available.

Research activities, that have a potential to improve surveillance or prevention of diseases falling under the above mentioned categories, are relevant for the implementation of public health policy at Community level.

²³ Refer especially to the Community directive 91/67/EEC concerning animal health conditions governing the placing on market of aquaculture animals and products.

Annex 10-e

Evaluation of proposals for KA6 on « The Ageing population »

Paper on relevance criteria

(provisional version of 2 August 2000)

Note: In addition to this guidance document, the evaluation forms used for KA6 have been adapted from the standard model on an action line basis and provide an additional guidance on how the relevance criteria should be assessed. These forms are available upon request from georgios.mezelas@cec.eu.int or olivier.le-dour@cec.eu.int

Paper on relevance to EU social objectives

This paper is intended to provide proposal evaluators with background information on those social objectives of the EU that are relevant to the key action on the Ageing Population. It will be helpful to evaluators when assessing the proposals against the so-called relevance criteria.

Treaty establishing the European Community (1997):

(Art.2-ex.art; 2) The Community...shall have...to promote a high level of employment and of social protection, equality between men and women, .. the raising of the standard of living and quality of life, and economic and social cohesion and solidarity among Member States.

(Art.13 – ex art.6a) .. the Council,.. on a proposal from the Commission... may take appropriate action to combat discrimination based on sex, racial, ethnic, .. disability, age or sexual orientation.

(Title XI chapter 1 Social Provisions: Art.136 ex-article 117) states that the “The Community and the Member States...shall have as their objectives the promotion of employment, improved living and working conditions,...proper social protection...the development of human resources with a view to lasting high employment and the combating of exclusion” .

(Title XIII Public Health: Art 152 ex-article 129) states that “A high level of human health protection shall be ensured in the definition and implementation of all Community policies and activities. Community action, which shall complement national policies, shall be directed towards improving public health, preventing human illness and diseases, and obviating sources of danger to human health. Such action shall cover the fight against the major health scourges, by promoting research into their causes, their transmission and their prevention, as well as health information and education...§5: Community action in the field of public health shall fully respect the responsibilities of the Member States for the organisation and delivery of health services and medical care...”

Other sources and references :

Decision N° 1400/97/EC of the European Parliament and of the Council of 30.06.97. Art 1 of the Community Action on health monitoring states that: ‘The objective of the programme shall be to contribute to establishment of a Community health monitoring system which makes it possible to measure health status, trends and determinants throughout the Community...’

Communication "Towards a Europe for all Ages-Promoting Prosperity and Intergenerational Solidarity" (COM (1999) 221 final)

"Concerted Strategy for Modernising Social Protection", (COM(1999)347 final) : one of the objectives is to ensure high quality and sustainable healthcare; another objective is to make the pension system sustainable.

Report on "*Social protection in Europe*", 1999 (COM(2000) 163 final); Report : "*The Social Situation in the European Union*", 2000; Employment in Europe 1999 : "*The labour market implications of ageing*"

The 2000 Employment Guidelines - Improving employability (No.4): Each Member State will “develop a policy for active ageing, encompassing appropriate measures such as maintaining working capacity, lifelong learning and other flexible working arrangements, so that older workers are also able to remain and participate actively in working life.”

1. Ageing population and the health and care systems

The state of health in the European Union is better than ever before. Increasing education and welfare standards have contributed to extending healthy life. Life expectancy continues to rise and now stands at 80.8 years for women and 74.5 for men. Women for example can expect to live to 62 years of age without any disability and 74 years without any severe disability. Progress in medicine and promotion of healthy life could further reinforce this trend. However, medical research has been in recent years predominantly market (rather than cost saving) oriented. Although some technologies can reduce costs in certain cases, taken together, they tend to increase overall spending, not only because they are often more expensive but also since they enable previously untreatable health problems to be treated. Over the last decade or so, health expenditure as a percentage of GDP rose in the majority of countries. The rising cost of the health and care system and the need for structural reform constitute key issues for the present and future of health care systems. Older people require more, and substantially different, health and care services than younger people. Considering the projections in terms of old age related care and healthcare systems, and the impact of ageing population, there is a need for more research on:

- **How to promote the efficiency and the equity of health care systems:** Today, almost one in four elderly people EU-wide describe their health as 'bad', while only one in eleven adults (aged 16 and over) perceive their health in such way. Older people require other forms of health and care services. Undoubtedly, the most important demographic trend, concerning the provision of health and care, is the increasing share of the older old age group (over 80 years). At present, the majority of these persons needing permanent assistance and care are attended to at home by their families, while the proportion of professional services provided is still rather low. In the future, families will be less and less able to assume the increasing care tasks. The sharp growth in the number of very old people in need of care and assistance will lead to a growing demand on formal and informal care systems. Currently health services in most EU states are focussed on the hospital sector. However, appropriate health and care policies and services and the promotion of healthy ageing, accident and disease prevention and post-illness rehabilitation can prevent, postpone and minimise dependency and health problems in old age. In the future, family care may be reducing, as extended families become less common place, even in southern Europe. For older people, and for those with chronic conditions, there is an increasing need of community based services, especially for long term care. More professional services like home nursing, old age assistance, sheltered housing will be needed. The role of informal care will also be of increasing importance. Within this broader context, health and care conditions among the most vulnerable age and income groups and the role of the different actors (funding authorities, local authorities, NGO's, market driven actors, individuals, families, etc) in providing health and care services are two related issues of particular importance.

- **How to promote comparative analysis at EU level concerning the impact of ageing on health and health spending:** This requires a considerable effort in producing harmonised age related data at EU level. To consider these issues fully we need harmonised data across Europe about population and spending characteristics, and about how services and facilities are developing to meet the challenges of ageing. To understand the overall ageing process we need to be able to assess the morbidity and disability within the population, and how this is changing over time. Currently there is relatively little routinely available data that can inform the ageing agenda.

2. Ageing population and the financing of pensions

The demographic changes that the European Union is undergoing will modify strongly the population structure of the Member States in the next decades, increasing the pressures on the European public protection systems.

The operational and financial structures of publicly funded social protection systems were established decades ago. The economic and social conditions under which they operate have changed and will keep changing over the coming years. However, the basic needs to which they respond remain important. Public pension schemes will be especially affected by the impact of an increasingly older population, and some reforms are required to face these challenges. Research should contribute in the effort to assess the importance of the changes affecting public pension schemes and new ideas on how to preserve their viability in the future.

There is a strong commitment from all Member States to share knowledge and experience in the procedure of modernisation of the social protection system. Pension systems must be made less sensitive to demographic changes, more transparent in their distributive effects and less distorting in their effects on the choices of individuals. The European Commission, in its strategic objectives for 2000-2005, mentioned that particular efforts should be made in order to make pensions safe and sustainable through a combination of employment-generating reforms, increasing the revenue base, and reviewing retirement systems. *'Member States must remain responsible for modernising social protection systems, but the outcome of the reform is a matter of common concern. The European Union's role is to support Member States' efforts at modernisation'*.

Within this policy context, there is a need for more research on:

- **the implications of demographic change on dependency ratios** and the expenditure for pensions and the existing relation between employment performance and the sustainability of pensions;
- **equity issues**, including the intergenerational balance, the redistributive effects of social protection and the gender issues raised both at work and the social protection;
- **developing comparative analysis within the European Union.** The trend towards ageing and its consequences on pension systems will affect all Member States, but with considerable differences mainly due to demographic and social-economic characteristics. In addition, pension sustainability could be assisted by the access to the single market and the single currency. An EU-wide capital market would allow for a better risk diversification and better rates of return on investments for the pension savers. A framework needs to be developed in order for the pension funds and the economy to reap these potential benefits. There is a considerable need in further developing comparative analysis at the EU level within this new context.

3. Ageing population and work and employment

As the working age population is getting older, employment issues will increasingly be influenced by the characteristics and behaviour of the older generations, which are larger than the subsequent age groups. The workforce will not only age, it is also likely to shrink. Within this context research should focus in following major fronts:

- **examining the relation between productivity and age:** The implication of ageing in productivity has been a controversial issue. There are indications that age may in some cases have positive or negative impact depending on the nature of the specific tasks related to a job. However the most important issues in this framework are those related to the promotion of older people's skills, motivation and mobility, the removal of age barriers in training and recruitment and the adaptation of working environments in order to minimise the erosion of work-ability and allow for longer working lives.
- **how to promote older persons employment:** Exploring new ideas and best practices will be vital to preserve and strengthen older workers employability and secure the appropriate adaptations in labour markets and work places.

4. Horizontal issues

In the three domains presented above there are some aspects which should be taken into account as horizontal issues: the fact of not introducing them into proposals, could in some cases impair the use of the results of the research.

- **The gender issue** is of particular importance for the three domains considered above. Women will be the main source of future labour force growth. Today women account for almost two-thirds of the population above 65. One important aspect of this issue refers to social protection. The historically weak labour market participation of women, social protection systems based on the model of the male breadwinner, and gender differences in longevity have left insufficient pension cover for many older women. The group of older women living alone is the worst exposed group in terms of resources availability and quality of health. The specific health problems related to the ageing of women are also taken separately into consideration into the medical part of the programme.
- **The issue of equity.** The analysis should take account of the diversity of social situations of older people. Differences in family and housing situation, educational and health status and in income and wealth crucially determine the quality of life of older people. Certain groups of older people still face the risk of social exclusion although today most older people in the Union enjoy better living conditions than in the past.
- **The regional diversity of demographic and economic characteristics:** national situations often hide important differences at regional level. The demographic shift could differently affect or ease unemployment pressure particularly in regions combining economic vitality with demographic slowdown. However, it could raise important challenges, in terms of labour supply, to several regions with already high employment rates. Developing human resources and promoting skill and geographical mobility will be of increasing importance. Experience gained in Member-states or regions facing the demographic trends at an earlier stage may prove of particular help for the others.

Particular points concerning the role and participation of Non-Governmental Organisations (NGOs) to research actions

One of the missions of the key action is to involve all the stakeholders in the research both in priority setting and in its implementation. One of the principal groups of stakeholders is of course the ultimate beneficiaries of the research, i.e. older people themselves. Since it is not practicable to work directly with older people as individuals, the key action has been actively seeking to engage NGOs. This is reflected in the current Work Programme where several references can be found to the preferred involvement of NGOs.

This initiative goes in the same direction as the Commission discussion paper "The Commission and non-governmental organisations: building a stronger partnership", (COM/2000/0011 final). In this discussion paper it is stated that "Their involvement in policy shaping and policy implementation helps to win public acceptance for the EU. In some cases, they can act as a balance to the activities and opinions of other interests in society. Through their links at local, regional, national and European level, NGOs can provide expert input for EU policy-making and contribute to policy discussions. In particular, they can provide feedback on the success or otherwise of specific policies thereby contributing to the Commission's task of defining and implementing policies by fully taking into account its overall public policy responsibility. The expertise and dedication of NGO staff and their willingness to work under difficult operational conditions mean that NGOs are vital partners for the Commission both within the EU and beyond".

Annex 10-f

***Policy Document
on relevance criteria for evaluation of proposals
in Key Action “Cell factory»***

POLICY DOCUMENT ON RELEVANCE CRITERIA FOR EVALUATION OF PROPOSALS IN KEY ACTION "CELL FACTORY"

1. Evaluation of the relevance to DG Environment policy with regard to the contained use of genetically modified micro-organisms and the deliberate release of genetically modified organisms

Genetically modified organisms (GMOs) and in particular their commercial release are currently the focus of intense public and political debate with particular reference to the long-term effects on the environment and the issue of food safety. Consideration must also be given to wider issues, such as implications for agriculture, trade relations, consumer concerns, the competitiveness of European industry in particular SMEs, job creation and biotechnology research. There is also a need to provide more accurate information to the public on biotechnology in general, including its potential benefits and risks.

The existing regulatory framework for genetically modified organisms (GMOs) and genetically modified microorganisms (GMMs) comprises two fundamental legal instruments:

- Directive 90/220/EEC on the deliberate release into the environment of genetically modified organisms (GMOs)
- Directive 90/219/EEC on the contained use of genetically modified microorganisms (GMMs).

These horizontal Directives set out the minimum regulatory requirements with respect to work with GMOs and GMMs as a means to protect human health and the environment.

Both Directives were founded on scientific knowledge available in the early 1980s and entered into force in 1991 when experience of commercial applications was limited. The Commission undertook extensive and systematic reviews of the provisions and operation of the Directives during the mid-1990s and amendments to the existing regulatory frameworks were proposed. Directive 98/81/EEC amending Directive 90/219/EEC entered into force on 5 December 1998 and is based on the risk arising from work activities rather than process although size and scale of the process is still considered in the risk assessment.

A Common Position on the Proposal to amend Directive 90/220/EEC was adopted on 9 December 1999 and builds on specific elements to provide for a more stringent and transparent regulatory framework. It clarifies a number of operational aspects of the current Directive 90/220/EEC including the scope, definitions and administrative procedures. The Common Position clearly responds to the growing public concern and in many respects strengthens the Commission Proposal, in particular as regards mandatory consultation of the public, mandatory labelling and traceability at all stages of the placing on the market and monitoring.

This will require the development of traceability systems for GMOs, which will include accurate and sensitive methodologies as a means to detect and identify GMOs in products and the environment. There will ultimately be a requirement to detect GMOs and products derived from GMOs, throughout the entire food production process.

Further studies will be required to examine the longer-term effects of GMOs, in particular on the environment. The means to monitor possible escapes of GMMs from control should also be examined and also disposal of waste from containment facilities. Research should importantly contribute to the development of standards and criteria for assessing environmental safety of GMOs and GMMs.

Proposals to investigate new applications for GMOs and GMMs should be considered in terms of potential benefits. These will include proposals for new crop species and plant types for cultivation or adaptation to new environments and bio-remediation purposes. New biotechnological products and processes should be considered in terms of their end use as part of the evaluation but could also be considered in light of their contribution to the understanding of the technology. In the current climate, the opportunity for commercial applications involving GMOs is restricted but this alone should not constitute justification for rejecting a proposal.

2. Evaluation of the relevance to the field of Industrial and Entrepreneurial Policy

One of the fundamental principles of the 5th Framework Programme is to link research and enterprise in order to use the results of EU-sponsored research to strengthen the European economy. This should not be interpreted as a crude research-and-sell requirement. On the contrary, platform research may well strengthen the economic capacity of European industry and the prosperity of our society, provided the resulting intellectual property is properly exploited.

In the case of Key Action 3 this has a particular importance. It is worthwhile to remember that our external advisors have stressed the need for continued research into GMOs. There will be proposals that, in the current climate, will have limited immediate commercialisation prospects. This is not in itself a cause for rejection, provided the project management has a clear concept of the use of the research in the short term and its exploitation to create an added value and jobs in the medium term.

3. EVALUATION OF THE RELEVANCE TO THE COMMON FISHERIES POLICY (CFP)

The contribution of a proposal to the implementation or evolution of the Common Fisheries Policy (CFP)²⁴ depends upon a number of items, some of which evaluators may find better taken into account when interpreting other evaluation criteria. These items include:

- The proposed research contribution to the reliability and efficiency of the methodologies used by scientists when formulating their advice within the CFP policy-making process;
- Its contribution to clarifying how political decisions may affect fisheries management or aquaculture development and the various objectives assigned by the Treaties to the CFP;
- The socio-economic importance and expansion potential of the fisheries or aquaculture likely to benefit from expected results, including the economic perspective of the relevant species;
- The inability of the industrial sector, likely to benefit from this research, to support it;
- The dependence upon fisheries or aquaculture versus other economic activities of the regions likely to benefit from the proposed research and its expected results;
- The degree to which relevant research has been or is supported by the EU in these regions;
- The proposed research contribution to multidisciplinary research or to establishing bridges between different fields, in particular with institutions likely to bring in new expertise;
- The number of countries involved and the lack of previous scientific co-operation in fisheries and aquaculture research between them;
- The degree to which results could be extrapolated to a European or an international scale;
- The length of the period after which expected results would become exploitable and useful for the implementation of the CFP (the longer this period, the higher should the scientific quality of the proposed research be).
- The seriousness of issues addressed, which can be assessed according to:
 - The risks linked to the pathologies to be combated;
 - The magnitude of the environmental impacts to be addressed and alleviated;
 - The degree of biological vulnerability and economical importance or potential of the stocks/species involved.

Annex 11.

***QUALITY OF LIFE
AND
MANAGEMENT OF LIVING RESOURCES***

***EVALUATION FORMS
&
NOTES FOR COMPLETING THE FORMS***

VERSION 12. 09. 2000

NOTE

THE CHANGES INTRODUCED IN THE RESPOND TO A NEED FOR EASIER USE AND LOGIC

INDIVIDUAL EVALUATION FORMS MIGHT BE ADAPTED ON AN ACTION BY ACTION BASIS, SO AS TO REFLECT THE ACTION-SPECIFIC INTERPRETATION OF THE RELEVANCE CRITERIA OR TO REFLECT THE SPECIFIC OBJECTIVES OF THE ACTION (KEY ACTION, GENERIC ACTIVITIES)

Part 1. Individual Evaluation forms

1.a. Shared-cost R&D projects

Form overview

A number of forms have been designed, so as to create a permanent record of the evaluation of each proposal. These are:

Form R0 – for Individual evaluation of basic requirements

Form R1 for Individual evaluation of the S&T excellence, based on part B only.

Forms R2 to R4 for individual evaluation of the other criteria, and assessment of ethical and safety aspects

Form	Form completion by evaluators	Stage One Checklist	Stage Two Checklist
R0	<i>On the basis of his knowledge of the proposal, Each Stage 1 expert will check the proposal against the list of basic requirements (described in the Vademecum under section 5.3, § basic requirements) and complete form R0. If all experts consider that these requirements are fulfilled, no further action is required, except reporting on the fulfilment of these requirements in the Evaluation Summary Report. The form will be kept by the Commission Moderator. If, however, one expert suspects that any of these requirements is not fulfilled, the panel as a whole must review the issue, come to a consensus and complete the relevant section in the Evaluation Summary Report. This form may be completed at any time of the stage 1 Process</i>		
R1	<i>When the Stage 1 expert has completed his (or her) study of Part B (anonymous), he will complete Form R1, recording his personal view without discussion with others. The Individual form shows a score for each criterion of the first block, and the single summary score for the whole block.</i>		
R2	<i>Only when a consensus discussion has taken place on the Scientific and technical aspects is the expert given part A and C of the proposal. When a Stage 1 expert has completed his study of Parts A & C, he will complete form R2. If panel discussion concludes that the proposal does not meet one of the threshold criteria, no other individual form needs to be completed.</i>		
R3	<i>When a Stage 1 expert has completed his study of Parts A, B & C, he will complete form R3. If subsequent panel discussion concludes that the proposal does not raise concern with regard to ethical or safety issues, no further action is required, except completing the relevant section in the Evaluation Summary Report. The form will be kept by the Commission Moderator. If, however, at any stage the proposal raises some concern with regard to these issues, the panel as a whole will review the issue, record its conclusions in the Evaluation Summary Report, and might recommend an additional specific ethical review.</i>		
R4	<i>If the Stage One panel discussions conclude that the proposal meets the threshold criteria, the stage 2 experts will be asked to complete individually R4.</i>		

All individual forms will be kept by the Commission panel moderator.

QUALITY OF LIFE & MANAGEMENT OF LIVING RESOURCES- FORM R0

Individual evaluation form for **shared-cost R&D projects**

Proposal n°:	Area n°:	Evaluator (indicate your n° only):
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Basic requirements	<u>Yes / No</u>	<u>Comments</u> (Especially in the case of negative answers, please provide comments to justify)
<p>1. Does the proposal address the parts of the work programme, including policy issues, open for the particular call? If the proposal is only partially in line with the call, does it have sufficient merit to be considered in its entirety or partially?</p> <p>2. Does Part B of the proposal follow the requirements for anonymity?</p>		<p style="border: 1px solid black; padding: 5px; text-align: center;"><i>Please fill in reading part B</i></p>
<p>3. Is the RTD proposed in line with Community policies (i.e., not in contradiction to Community policies)?</p> <p>4. Is the proposal in line with the ethical requirements of the Programme, which in particular exclude research involving cloning of individuals or any modification of the human genome that would become hereditary?</p> <p>5. Have appropriate safeguards/ impact assessment measures regarding Community policies (e.g. environment) been taken into account, where necessary? (if relevant)</p>		<p style="border: 1px solid black; padding: 5px; text-align: center;"><i>Preferably, please fill in reading parts B and C</i></p> <p style="margin-top: 20px;"><i>If needed, additional comments may be included on the back of this page [in this case, please notify by the following sign: (... /...)]</i></p>

Name and signature:.....

QUALITY OF LIFE & MANAGEMENT OF LIVING RESOURCES-

FORM R1

Individual evaluation form for **shared-cost R&D projects**

Proposal n°: Area n°: Evaluator (indicate your n° only):

**THE ANSWERS AND COMMENTS ON THIS PAGE ARE BASED ON THE EVALUATION OF
PART B OF THE PROPOSAL ONLY !**

AT THIS STAGE, YOU MAY NOT HAVE ACCESS TO ANY OTHER PART OF THE PROPOSAL

1. Scientific/Technological quality and innovation

- **Quality** of the research proposed; its contribution to addressing the key scientific and technological issues for achieving the objectives of the programme and/or key action;

- **Originality, degree of innovation** and progress beyond the state of the art.

- **Adequacy** of the chosen approach, methodology and work plan for achieving the scientific and technological objectives.

In global assessment of this block of criteria, it should also be considered whether, taking into account the project's overall quality, degree of innovation and potential impact, the risk inherent to the project is worth to be taken

Your mark
(integers
only)

Comments (please fill in)

If needed, additional comments may be included on the back of this page [in this case, please notify by the following sign: (... /...)]

Degree of fulfilment for section 1: [integers only] 0 (not properly addressed); 1 (poor); 2 (fair); 3 (good); 4 (very good); 5 (excellent)

your mark:

Name and signature:.....

QUALITY OF LIFE & MANAGEMENT OF LIVING RESOURCES Individual evaluation form for shared-cost R&D projects
FORM R2

Proposal n°:	Area n°:	Evaluator (indicate your n° only):
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THE ANSWERS AND COMMENTS ON THIS PAGE ARE BASED ON THE EVALUATION OF ALL PARTS OF THE PROPOSAL
AT THIS STAGE, CONSENSUS DISCUSSION ON CRITERIA BLOCK #1 (FORMR1) MUST HAVE ALREADY TAKEN PLACE.

2. Resources, Partnership & Management

- **Quality of the management and project approach** issues to be kept in mind: appropriateness, clarity, consistency, efficiency and completeness of the proposed tasks (incl. dissemination and publication), scheduling arrangements (incl. Milestones) and management structure. Adequacy of the tools to be used for monitoring project progress and ensuring communication within the consortium;

- **Quality of the partnership.** Issues to be kept in mind: scientific/technical competence and expertise; roles and functions within the consortium; complementarity of the partners; Involvement of users and/or other actors in the field when appropriate, such as industry (incl. SMEs), service providers, etc.

- **Appropriateness of the resources.** Issues to be kept in mind: Manpower effort for each partner and task, quality and/or level and/or type of manpower allocated, equipment, travel and any other resources to be used. Resources not reflected in the budget (e.g. facilities to carry out the research and the expertise of key personnel). *(comments may be given rather than a mark)*

Your
mark
(integers
only)

Comments (please fill in)

If needed, additional comments may be included on the back of this page [in this case, please notify by the following sign: (... /...)]

Degree of fulfilment for section 2: [integers only] 0 (not properly addressed); 1 (poor); 2 (fair); 3 (good); 4 (very good); 5 (excellent)	your mark:
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Name and signature:.....

QUALITY OF LIFE & MANAGEMENT OF LIVING RESOURCES - Individual evaluation form for shared-cost R&D projects

Proposal n°: Area n°: Evaluator (indicate your n° only):

THE ANSWERS AND COMMENTS ON THIS PAGE ARE BASED ON THE EVALUATION OF ALL PARTS OF THE PROPOSAL AT THIS STAGE, CONSENSUS DISCUSSION ON BLOCK 1 OF CRITERIA (FORMR1) MUST HAVE ALREADY TAKEN PLACE.

6. Ethical issues [see Work Programme p.31 and vademecum section 5.4]	Y/N	Comments (please fill in)
<ul style="list-style-type: none"> Is the proposer well aware of the relevant national regulations relevant for his project? 		<p><i>If needed, additional comments may be included on the back of this page [in this case, please notify by the following sign: (... /...)]</i></p>
<ul style="list-style-type: none"> Does the proposer describe how he/she will fulfil the relevant national ethical requirements such as authorisation of local ethics committee or other national bodies? 		
<ul style="list-style-type: none"> Does the proposer justify clearly the methodology of his/her project, with regard to the expected benefit and potential risks? 		
<ul style="list-style-type: none"> Does the project involve: 		
<ul style="list-style-type: none"> 1) research on persons. If so, does involves: 		
<ul style="list-style-type: none"> a) Children 		
<ul style="list-style-type: none"> b) Persons unable to consent 		
<ul style="list-style-type: none"> c) Pregnant women 		
<ul style="list-style-type: none"> d) Healthy volunteers 		
<ul style="list-style-type: none"> 2) use of human embryos, foetus or embryonic or foetal tissue, 		
<ul style="list-style-type: none"> 3) use of other human tissue 		
<ul style="list-style-type: none"> 4) Use of personal data or genetic information, 		
<ul style="list-style-type: none"> 5) Use of animals, if yes please specify if it involves 		
<ul style="list-style-type: none"> a) Non-human primates, 		
<ul style="list-style-type: none"> b) Use of transgenic animals; 		
<ul style="list-style-type: none"> c) Creation of transgenic animals; 		
<ul style="list-style-type: none"> 6) Genetic modification of plants 		
<ul style="list-style-type: none"> Does the proposer give sufficiently detailed information regarding: 		
<ul style="list-style-type: none"> 1) Research involving persons: number of persons, selection criteria, potential payments or inducements, obtention of informed consent, specific conditions for persons unable to consent, for pregnant women or healthy volunteers, protection of confidentiality etc... 		
<ul style="list-style-type: none"> 2) Use of human embryos, foetus or embryonic or foetal tissue: number of embryos or quantity of tissue, source of embryos, foetus or tissue, obtention of consent, etc... 		
<ul style="list-style-type: none"> 3) Use of other human tissue: Type, amount and source of tissue, obtention of consent, potential payment, protection of confidentiality, etc... 		
<ul style="list-style-type: none"> 4) Use of personal data or genetic information: Obtention of consent, protection of confidentiality 		
<ul style="list-style-type: none"> 5) Animal experimentation: Justification of the type and number of animals to be used, and how the principles of reduction, refinement and replacement are fulfilled, procedures concerning welfare and suffering. <i>In the case of use of non-human primates:</i> species specified, origin, modalities of importation, or breeding of animals, etc. ; Justification of the use or creation of transgenic animals. 		
<ul style="list-style-type: none"> 6) Genetic modification of plant: Anticipated benefit, risk to human health and environment, implications for biodiversity. 		

Does the project raise ethical concerns insufficiently answered in the proposal and therefore deserve an additional specific ethical review?	YES NO
--	--------

7. Safety provisions	Y/N	Comments (please fill in)
<ul style="list-style-type: none"> Have special safety aspects and possible risks been identified and have the necessary provisions been taken? [notably with regard to the possible release of infected material] Have environmental risks been addressed? Environmental Impact Statement and conformity to relevant Member State legislation if applicable? 		

Do the safety issues involved in this proposal justify special attention from the Commission services	YES NO
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Is the financing requested fully justified?	YES PARTLY NO [if necessary, please detail your answer in the following section]
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OVERALL AND/OR ADDITIONAL COMMENTS also based on comparisons with other proposals; suggestion for clustering, recommendations for contract negotiation, budgetary remarks, information about proposals in the same area and implementation. If needed, additional comments may be included on the back of this page [in this case, please notify by the following sign: (... /...)]

Name and signature:.....

QUALITY OF LIFE & MANAGEMENT OF LIVING RESOURCES - Individual evaluation form for shared-cost R&D projects

Proposal n°: Area n°: Evaluator (indicate your n° only): Paraph.....

STAGE 2 OF THE EVALUATION [PLEASE ALSO COMPLETE FORMS R0 AND R3]

3. Community added value and contribution to EU policies

- **European dimension of the problem.** Issues to be kept in mind: Extent to which the project would contribute to solving problems at the European level; expected impact of carrying out the work at European level greater than the sum of the impacts of national projects. (For infrastructures, potential impact on the overall provision of infrastructure services in the field).
- **European added value of the consortium** Issues to be kept in mind: need to establish a critical mass in human and financial terms; combination of complementary expertise and resources available Europe-wide in different organisations.
- Contribution to the implementation or the evolution of one or more **EU policies.** Project addressing problems connected with standardisation and regulation (e.g. providing scientific basis & validation tools in support of EU legislation and its further development). [According to the action line addressed, the support to specific policies might be given different importance, (e.g., Higher importance for support to CAP in Key Action 5)]

Your mark

Comments (please fill in)

If needed, additional comments may be included on the back of this page [in this case, please notify by the following sign: (... /...)]

Degree of fulfilment for section 3: 0 (not properly addressed); 1 (poor); 2 (fair); 3 (good); 4 (very good); 5 (excellent)

your mark:

4. Contribution to Community social objectives

- Contribution to improving the **quality of life and health and safety** (including working conditions); when relevant, appropriate description of the potential impact on current moral and/or philosophical issues, including public perception of science.
- Contribution to improving **employment** prospects and the use and development of skills in Europe.
- Contribution to **preserving and/or enhancing the environment** and the minimum use/conservation of natural resources.
For the overall assessment of this section, the relative influence of the above issues might depend on the action line addressed.
These issues should be considered taking particular account of the social objectives of the Key Action

Your mark

Comments (please fill in)

If needed, additional comments may be included on the back of this page [in this case, please notify by the following sign: (... /...)]

Degree of fulfilment for section 4: 0 (not properly addressed); 1 (poor); 2 (fair); 3 (good); 4 (very good); 5 (excellent)

your mark:

5. Economic development and S&T prospects

- **Exploitation potential:** Issues to be kept in mind: a) Possible contribution to growth, in particular: **usefulness and range of applications** and quality of the **exploitation plans.**
b) Credibility of the partners responsible for dissemination and exploitation activities and ensuring the wider economic impact of the project, adequacy of resources for these aspects; appropriateness of the target groups and of the mechanisms ensuring access to RTD output by target groups;
- **Strategic impact** of the proposed project and its potential to improve competitiveness and the development of applications markets for the partners and the users of the RTD results; When relevant, prospects for rapid exploitation of the technology.
- Contribution to European technological progress and in particular the **dissemination strategies** for the expected results, choice of target groups, etc.
For the overall assessment of this section, the relative influence of the above issues might depend on the action line addressed.
These issues should be considered taking particular account of the economic objectives of the Key Action

Your mark

Comments (please fill in)

If needed, additional comments may be included on the back of this page [in this case, please notify by the following sign: (... /...)]

Degree of fulfilment for section 5: 0 (not properly addressed); 1 (poor); 2 (fair); 3 (good); 4 (very good); 5 (excellent)

your mark:

Part 1. Individual Evaluation forms

1.b. Concerted Actions and Thematic Networks

Form overview

A number of forms have been designed, so as to create a permanent record of the evaluation of each proposal. These are: Form C1 for Individual evaluation of basic requirements and S&T excellence.

Forms C2 and C4 for individual evaluation of the other criteria,

Form C3 for assessment of ethical and safety aspects

Form	Form completion by evaluators	Stage One Checklist	Stage Two Checklist
C1	<p><i>On the basis of his knowledge of the proposal, Each Stage 1 expert will check the proposal against the list of basic requirements (described in the Vademecum under section 5.3, § basic requirements) and complete the first section of form C1 (at any time during the stage One process). If all experts consider that these requirements are fulfilled, no further action is required, except reporting on the fulfilment of these requirements in the Evaluation Summary Report. The form will be kept by the Commission Moderator. If, however, one expert suspects that any of these requirements is not fulfilled, the panel as a whole must review the issue, come to a consensus and complete the relevant section in the Evaluation Summary Report.</i></p> <p><i>Once the expert has completed his/her study of Part B he will complete the second section of Form C1. Each Individual form shows a score for each criterion of the first block, and the single summary score for the whole block. Stage 2 panel experts do not complete the second section of C1.</i></p>		
C2	<p><i>When the Stage 1 expert has completed his (or her) study of Part B and C, he will complete Form C2, recording his personal view without discussion with others. Each Individual form shows a score for each criterion, and the single summary score for the whole block. Completed C1 and C2 forms are returned to the moderator. If panel discussion concludes that the proposal does not meet one of the threshold criteria or is not eligible, no other individual form needs to be completed.</i></p>		
C3	<p><i>When a Stage 1 expert has completed his study of Part B & C, he will complete form C3. If subsequent panel discussion concludes that the proposal does not raise concern with regard to ethical or safety issues, no further action is required, except completing the relevant section in the Evaluation Summary Report. The form will be kept by the Commission Moderator. If, however, at any stage the proposal raises some concern with regard to these issues, the panel as a whole will review the issue, record its conclusions in the Evaluation Summary Report, and might recommend an additional specific ethical review.</i></p>		
C4	<p><i>If the Stage One panel discussion concludes that the proposal meets the threshold criteria, the Stage 2 experts will be asked to complete individually C4.</i></p>		

All individual forms will be kept by the Commission moderator.

QUALITY OF LIFE & MANAGEMENT OF LIVING RESOURCES

FORM C1

Individual evaluation form for Thematic Networks and Concerted actions

Proposal n°:	Area n°:	Evaluator (indicate your n°):	Proposal type: Thematic Network	Concerted action
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Basic requirements

Please fill in reading part B

- Does the proposal address the parts of the work programme, including policy issues, open for the particular call? If the proposal is only partially in line with the call, does it have sufficient merit to be considered in its entirety or partially?

Preferably, please fill in reading parts B and C

- Is the RTD proposed in line with Community policies (i.e., not in contradiction to Community policies)?
- Is the proposal in line with the ethical requirements of the Programme, which in particular exclude research involving cloning of individuals or any modification of the human genome that would become hereditary?
- Have appropriate safeguards/impact assessment regarding Community policies (e.g. environment) been taken into account, where necessary? (if relevant)

1. Scientific/Technological quality and innovation

- **Quality** of the research/Networking effort proposed; its contribution to addressing the key scientific and technological issues for achieving the objectives of the programme and/or Key Action;
- **Originality, degree of innovation**
- **Adequacy** of the chosen approach, methodology and work plan for achieving the objectives.

IMPORTANT NOTE: Thematic networks and possibly Concerted actions might aim at wider objectives than research proposals, such as promotion or transfer of new techniques, technologies, or methodologies.

Y/N

Comments (Especially in the case of negative answers, please provide comments to justify)

If needed, additional comments may be included on the back of this page [in this case, please notify by the following sign: (... /...)]

Your mark (integers only)

Comments (please fill in)

If needed, additional comments may be included on the back of this page [in this case, please notify by the following sign: (... /...)]

Degree of fulfilment for section 1: [integers only] 0 (not properly addressed); 1 (poor); 2 (fair); 3 (good); 4 (very good); 5 (excellent)	your mark:
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Name and signature:

QUALITY OF LIFE & MANAGEMENT OF LIVING RESOURCES FORM C2

Proposal n°: Area n°: Evaluator (indicate your n°): Proposal type: Thematic Network Concerted action

Individual evaluation form for **Thematic networks and Concerted actions**

2. Resources, Partnership & Management

- **Quality of the management and project approach** issues to be kept in mind: appropriateness, clarity, consistency, efficiency and completeness of the proposed tasks (incl. Dissemination and publication), scheduling arrangements (incl. Milestones) and management structure. Adequacy of the tools to be used for monitoring project progress and ensuring communication within the consortium;

- **Quality of the partnership.** Issues to be kept in mind: competence and expertise; roles and functions within the consortium; complementarity of the partners; Involvement of users and/or other actors in the field when appropriate, such as industry (incl. SMEs), service providers, etc.

Note: all partners do not have to be RTD performers

- **Appropriateness of the resources.** Issues to be kept in mind: Manpower effort for each partner and task, quality and/or level and/or type of manpower allocated, equipment, travel and any other resources to be used. Resources not reflected in the budget (e.G. expertise of key personnel). (*comments may be given rather than a mark*)

Your
mark
(integers
only)

Comments (please fill in)

*If needed, additional comments may be included on the back of this page
[in this case, please notify by the following sign: (... /...)]*

Degree of fulfilment for section 2: [integers only] 0 (not properly addressed); 1 (poor); 2 (fair); 3 (good); 4 (very good); 5 (excellent)

your mark:

Name and signature:.....

Proposal n°:	Area n°:	Evaluator (indicate your n°):	Proposal type: Thematic Network Concerted action
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6. Ethical issues [see Work Programme p.31 and vademecum section 5.4]	Y/N
• Is the proposer well aware of the relevant national regulations relevant for his project?	
• Does the proposer describe how he/she will fulfil the relevant national ethical requirements such as authorisation of local ethics committee or other national bodies?	
• Does the proposer justify clearly the methodology of his/her project, with regard to the expected benefit and potential risks?	
• Does the project involve:	
1) research on persons. If so, does involves:	
a) Children	
b) Persons unable to consent	
c) Pregnant women	
d) Healthy volunteers	
2) use of human embryos, foetus or embryonic or foetal tissue,	
3) use of other human tissue	
4) Use of personal data or genetic information,	
5) Use of animals, if yes please specify if it involves	
a) Non-human primates,	
b) Use of transgenic animals;	
c) Creation of transgenic animals;	
6) Genetic modification of plants	
Does the proposer give sufficiently detailed information regarding:	
1) Research involving persons: number of persons, selection criteria, potential payments or inducements, obtention of informed consent, specific conditions for persons unable to consent, for pregnant women or healthy volunteers, protection of confidentiality etc...	
2) Use of human embryos, foetus or embryonic or foetal tissue: number of embryos or quantity of tissue, source of embryos, foetus or tissue, obtention of consent, etc...	
3) Use of other human tissue: Type, amount and source of tissue, obtention of consent, potential payment, protection of confidentiality, etc...	
4) Use of personal data or genetic information: Obtention of consent, protection of confidentiality	
5) Animal experimentation: Justification of the type and number of animals to be used, and how the principles of reduction, refinement and replacement are fulfilled, procedures concerning welfare and suffering. <i>In the case of use of non-human primates:</i> species specified, origin, modalities of importation, or breeding of animals, etc. ; Justification of the use or creation of transgenic animals.	
6) Genetic modification of plant: Anticipated benefit, risk to human health and environment, implications for biodiversity.	

Comments (please fill in)

If needed, additional comments may be included on the back of this page [in this case, please notify by the following sign: (... /...)]

Does the project raise ethical concerns insufficiently answered in the proposal and therefore deserve an additional specific ethical review?	YES	NO
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7. Safety provisions	Y/N
• Have special safety aspects and possible risks been identified and have the necessary provisions been taken? [notably with regard to the possible release of infected material]	
• Have environmental risks been addressed?	
• Environmental Impact Statement and conformity to relevant Member State legislation if applicable?	

Comments (please fill in)

If needed, additional comments may be included on the back of this page [in this case, please notify by the following sign: (... /...)]

Do the safety issues involved in this proposal justify special attention from the Commission services	YES	NO
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Is the financing requested fully justified?	YES	PARTLY	NO [if necessary, please detail your answer in the following section]
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OVERALL AND/OR ADDITIONAL COMMENTS also based on comparisons with other proposals; suggestion for clustering, recommendations for contract negotiation, budgetary remarks, information about proposals in the same area and implementation. *If needed, additional comments may be included on the back of this page [in this case, please notify by the following sign: (... /...)]*

END OF STAGE 1 INDIVIDUAL EVALUATION

Name and signature:

Proposal n°: Area n°: Evaluator (indicate your n° and paragraph): Proposal type: Thematic Network Concerted action

STAGE 2 OF THE EVALUATION [PLEASE ALSO COMPLETE FORMS C1 (1ST HALF) AND C3]

3. Community added value and contribution to EU policies

- **European dimension of the problem.** Issues to be kept in mind: Extent to which the project would contribute to solving problems at the European level; expected impact of carrying out the work at European level greater than the sum of the impacts of national projects. (For infrastructures, potential impact on the overall provision of infrastructure services in the field).
- **European added value of the consortium** Issues to be kept in mind: need to establish a critical mass in human and financial terms; combination of complementary expertise and resources available Europe-wide in different organisations Potentiality, through coordination, to allow the achievement of the proposed objectives, which could not be attained at national level alone
- **Contribution to the implementation or the evolution of one or more EU policies.** Project addressing problems connected with standardisation and regulation (e.g. providing scientific basis & validation tools in support of EU legislation and its further development). [According to the action line addressed, the support to specific policies might be given different importance, (e.g., Higher importance for support to CAP in Key Action 5)]

Your mark

Comments (please fill in)

If needed, additional comments may be included on the back of this page [in this case, please notify by the following sign: (... /...)]

Degree of fulfilment for section 3: 0 (not properly addressed); 1 (poor); 2 (fair); 3 (good); 4 (very good); 5 (excellent)

your mark:

4. Contribution to Community social objectives

- Contribution to improving the **quality of life and health and safety** (including working conditions); when relevant, appropriate description of the potential impact on current moral and/or philosophical issues, including public perception of science.
- Contribution to improving **employment** prospects and the use and development of skills in Europe.
- Contribution to **preserving and/or enhancing the environment** and the minimum use/conservation of natural resources.
*For the overall assessment of this section, the relative influence of the above issues might depend on the action line addressed.
These issues should be considered taking particular account of the social objectives of the Key Action*

Your mark

Comments (please fill in)

If needed, additional comments may be included on the back of this page [in this case, please notify by the following sign: (... /...)]

Degree of fulfilment for section 4: 0 (not properly addressed); 1 (poor); 2 (fair); 3 (good); 4 (very good); 5 (excellent)

your mark:

5. Economic development and S&T prospects

- **Exploitation potential:** Issues to be kept in mind: a) Possible contribution to growth, in particular: **usefulness and range of applications** and quality of the **exploitation plans**.
b) Credibility of the partners responsible for dissemination and exploitation activities and ensuring the wider economic impact of the project, adequacy of resources for these aspects; appropriateness of the target groups and of the mechanisms ensuring access to RTD output by target groups;
- **Strategic impact** of the proposed project and its potential to improve competitiveness and the development of applications markets for the partners and the users of the RTD results; When relevant, prospects for rapid exploitation of the technology.
- Contribution to European technological progress and in particular the **dissemination strategies** for the expected results, choice of target groups, etc.
*For the overall assessment of this section, the relative influence of the above issues might depend on the action line addressed.
These issues should be considered taking particular account of the economic objectives of the Key Action*

Your mark

Comments (please fill in)

If needed, additional comments may be included on the back of this page [in this case, please notify by the following sign: (... /...)]

Degree of fulfilment for section 5: 0 (not properly addressed); 1 (poor); 2 (fair); 3 (good); 4 (very good); 5 (excellent)

your mark:

Name and signature:.....

Part 1. Individual Evaluation forms

1.c. Shared-cost demonstration or combined projects

Form overview

A number of forms have been designed, so as to create a permanent record of the evaluation of each proposal. These are:

- Form D0 – for Individual evaluation of basic requirements
- Form D1 for Individual evaluation of the S&T excellence, based on part B only.
- Forms D2, D4 for individual evaluation of the other criteria.
- Form D3, for assessment of ethical and safety aspects.

Form	Form completion by evaluators	Stage One Checklist	Stage Two Checklist
D0	<i>On the basis of his knowledge of the proposal, Each Stage 1 expert will check the proposal against the list of basic requirements (described in the Vademecum under section 5.3, § basic requirements) and complete D0. If all experts consider that these requirements are fulfilled, no further action is required. If all experts consider that these requirements are fulfilled, no further action is required, except reporting on the fulfilment of these requirements in the Evaluation Summary Report. The form will be kept by the Commission Moderator. If, however, on expert suspects that any of these requirements is not fulfilled, the panel as a whole must review the issue, come to a consensus and complete the relevant section in the Evaluation Summary Report. This form may be completed at any time during the Stage One process.</i>		
D1	<i>When the Stage 1 expert has completed his (or her) study of Part B (anonymous), he will complete Form D1, recording his personal view without discussion with others. The Individual form shows a score for each criterion of the first block, and the single summary score for the whole block.</i>		
D2	<i>Only when a consensus discussion has taken place on the Scientific and technical aspects is the expert given part A and C of the proposal. When a Stage 1 expert has completed his study of Parts A & C, he will complete form D2. If panel discussion concludes that the proposal does not meet one of the threshold criteria, no other individual form needs to be completed.</i>		
D3	<i>When a Stage 1 expert has completed his study of Parts A, B & C, he will complete form D3. If subsequent panel discussion concludes that the proposal does not raise concern with regard to ethical or safety issues, no further action is required, except completing the relevant section in the Evaluation Summary Report. The form will be kept by the Commission Moderator. If, however, at any stage the proposal raises some concern with regard to these issues, the panel as a whole will review the issue, record its conclusions in the Evaluation Summary Report, and might recommend an additional specific ethical review.</i>		
D4	<i>If the Stage One panel discussions conclude that the proposal meets the threshold criteria, the stage 2 experts will be asked to complete individually D4.</i>		

All individual forms will be kept by the Commission moderator.

QUALITY OF LIFE & MANAGEMENT OF LIVING RESOURCES

FORM D1

Proposal n°: Area n°: Evaluator (indicate your n°): Project type **Demonstration** **Combined**

Individual evaluation form for Shared-cost demonstration or combined projects

THE ANSWERS AND COMMENTS ON THIS PAGE ARE BASED ON THE EVALUATION OF PART B ONLY !

AT THIS STAGE, YOU MAY NOT HAVE ACCESS TO ANY OTHER PART OF THE PROPOSAL

1. Scientific/Technological quality and innovation

• **Quality** of the work proposed; clearly established demonstration objectives. Contribution to addressing the key scientific and technological issues for achieving the objectives of the **programme and/or key action**;

• Originality, **degree of innovation** and progress beyond the state of the art, level of risk properly assessed and acceptable. Novelty aspects. Sufficient level of knowledge about the technology/Readiness of the technology for such a project. Necessity of demonstration.

• **Adequacy** of the chosen approach, methodology and work plan for achieving the scientific and technological objectives. Adequate and realistic scale of validation

In global assessment of this block of criteria, it should also be considered whether, taking into account the project's overall quality, degree of innovation and potential impact, the risk inherent to the project is worth to be taken

Your mark
(integers only)

Comments (please fill in)

If needed, additional comments may be included on the back of this page [in this case, please notify by the following sign: (... /...)]

Degree of fulfilment for section 1: [integers only] 0 (not properly addressed); 1 (poor); 2 (fair); 3 (good); 4 (very good); 5 (excellent) **your mark:**

Name and signature:.....

QUALITY OF LIFE & MANAGEMENT OF LIVING RESOURCES Individual evaluation form **Shared-cost demonstration or combined projects**

Proposal n°: Area n°: Evaluator (indicate your n°): Project type **Demonstration** **Combined**

THE ANSWERS AND COMMENTS ON THIS PAGE ARE BASED ON THE EVALUATION OF ALL PARTS OF THE PROPOSAL AT THIS STAGE, CONSENSUS DISCUSSION ON BLOCK 1 OF CRITERIA (FORMD1) MUST HAVE ALREADY TAKEN PLACE.

2. Resources, Partnership and Management

- **Quality of the management and project approach** issues to be kept in mind: appropriateness, clarity, consistency, efficiency and completeness of the proposed tasks (incl. Dissemination and publication), scheduling arrangements (incl. Milestones) and management structure. Adequacy of the tools to be used for monitoring project progress and ensuring co-operation and communication within the consortium. Potential legal or regulatory issues (e.g., intellectual property, regulations, safety) taken into account and clarified

- **Quality of the partnership.** Issues to be kept in mind: sufficient scientific/technical competence and expertise; roles and functions within the consortium; complementarity of the partners; Sufficient interdisciplinary "critical mass"? Involvement of technology users and producers. Involvement of other actors in the field when appropriate (such as industry (incl. SMEs, service providers, etc.)

- **Appropriateness of the resources.** Issues to be kept in mind: Manpower effort for each partner and task, quality and/or level and/or type of manpower allocated, equipment, travel and any other resources to be used. Budget adequacy. Resources not reflected in the budget (e.g. facilities to carry out the research and the expertise of key personnel). *(comments may be given rather than a mark)*

Your mark (integers only)

Comments (please fill in)

If needed, additional comments may be included on the back of this page [in this case, please notify by the following sign: (.../...)]

Degree of fulfilment for section 2: [integers only] 0 (not properly addressed); 1 (poor); 2 (fair); 3 (good); 4 (very good); 5 (excellent) | **your mark:**

Name and signature:.....

QUALITY OF LIFE & MANAGEMENT OF LIVING RESOURCES Individual evaluation form **Shared-cost demonstration or combined projects**

Proposal n°: Area n°: Evaluator (indicate your n°): Project type **Demonstration** Combined

THE ANSWERS AND COMMENTS ON THIS PAGE ARE BASED ON THE EVALUATION OF ALL PARTS OF THE PROPOSAL AT THIS STAGE, CONSENSUS DISCUSSION ON BLOCK 1 OF CRITERIA (FORMD1) MUST HAVE ALREADY TAKEN PLACE.

6. Ethical issues [see Work Programme p.31 and vademecum section 5.4]	Y/N	Comments (please fill in)
<ul style="list-style-type: none"> Is the proposer well aware of the relevant national regulations relevant for his project? 		<p><i>If needed, additional comments may be included on the back of this page [in this case, please notify by the following sign: (... /...)]</i></p>
<ul style="list-style-type: none"> Does the proposer describe how he/she will fulfil the relevant national ethical requirements such as authorisation of local ethics committee or other national bodies? 		
<ul style="list-style-type: none"> Does the proposer justify clearly the methodology of his/her project, with regard to the expected benefit and potential risks? 		
<ul style="list-style-type: none"> Does the project involve: <ol style="list-style-type: none"> research on persons. If so, does involves: <ol style="list-style-type: none"> Children Persons unable to consent Pregnant women Healthy volunteers use of human embryos, foetus or embryonic or foetal tissue, use of other human tissue Use of personal data or genetic information, Use of animals, if yes please specify if it involves <ol style="list-style-type: none"> Non-human primates, Use of transgenic animals; Creation of transgenic animals; Genetic modification of plants 		
<p>Does the proposer give sufficiently detailed information regarding:</p> <ol style="list-style-type: none"> Research involving persons: number of persons, selection criteria, potential payments or inducements, obtention of informed consent, specific conditions for persons unable to consent, for pregnant women or healthy volunteers, protection of confidentiality etc... Use of human embryos, foetus or embryonic or foetal tissue: number of embryos or quantity of tissue, source of embryos, foetus or tissue, obtention of consent, etc... Use of other human tissue: Type, amount and source of tissue, obtention of consent, potential payment, protection of confidentiality, etc... Use of personal data or genetic information: Obtention of consent, protection of confidentiality Animal experimentation: Justification of the type and number of animals to be used, and how the principles of reduction, refinement and replacement are fulfilled, procedures concerning welfare and suffering. <i>In the case of use of non-human primates:</i> species specified, origin, modalities of importation, or breeding of animals, etc. ; Justification of the use or creation of transgenic animals. Genetic modification of plant: Anticipated benefit, risk to human health and environment, implications for biodiversity. 		

Does the project raise ethical concerns insufficiently answered in the proposal and therefore deserve an additional specific ethical review?	YES NO
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7. Safety provisions	Y/N	Comments (please fill in)
<ul style="list-style-type: none"> Have special safety aspects and possible risks been identified and have the necessary provisions been taken? [notably with regard to the possible release of infected material] Have environmental risks been addressed? Environmental Impact Statement and conformity to relevant Member State legislation if applicable? 		<p><i>If needed, additional comments may be included on the back of this page [in this case, please notify by the following sign: (... /...)]</i></p>

Do the safety issues involved in this proposal justify special attention from the Commission services	YES NO
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Is the financing requested fully justified?	YES PARTLY NO [if necessary, please detail your answer in the following section]
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OVERALL AND/OR ADDITIONAL COMMENTS also based on comparisons with other proposals; suggestion for clustering, recommendations for contract negotiation, budgetary remarks, information about proposals in the same area and implementation. *If needed, additional comments may be included on the back of this page [in this case, please notify by the following sign: (... /...)]*

QUALITY OF LIFE & MANAGEMENT OF LIVING RESOURCES Individual evaluation form **Shared-cost demonstration or combined projects**

Proposal n°:	Area n°:	Evaluator (indicate your n° and paraph):	Project type
			Demonstration Combined

STAGE 2 OF THE EVALUATION [PLEASE ALSO COMPLETE FORMS D0 AND D3]

<p>3. Community added value and contribution to EU policies</p> <ul style="list-style-type: none"> • European dimension of the problem. Issues to be kept in mind: Extent to which the project would contribute to solving problems at the European level; expected impact of carrying out the work at European level greater than the sum of the impacts of national projects. (For infrastructures, potential impact on the overall provision of infrastructure services in the field). • European added value of the consortium Issues to be kept in mind: need to establish a critical mass in human and financial terms; combination of complementary expertise and resources available Europe-wide in different organisations. • Contribution to the implementation or the evolution of one or more EU policies. Project addressing problems connected with standardisation and regulation (e.g. providing scientific basis & validation tools in support of EU legislation and its further development). [According to the action line addressed, the support to specific policies might be given different importance, (e.g., Higher importance for support to CAP in Key Action 5)] 	<p><u>Your mark</u></p>	<p style="text-align: center;"><u>Comments (please fill in)</u></p> <p><i>If needed, additional comments may be included on the back of this page [in this case, please notify by the following sign: (... /...)]</i></p>
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Degree of fulfilment for section 3: 0 (not properly addressed); 1 (poor); 2 (fair); 3 (good); 4 (very good); 5 (excellent)	your mark:
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<p>4. Contribution to Community social objectives</p> <ul style="list-style-type: none"> • Contribution to improving the quality of life and health and safety (including working conditions); when relevant, appropriate description of the potential impact on current moral and/or philosophical issues, including public perception of science. • Contribution to improving employment prospects and the use and development of skills in Europe. • Contribution to preserving and/or enhancing the environment and the minimum use/conservation of natural resources. <i>For the overall assessment of this section, the relative influence of the above issues might depend on the action line addressed. These issues should be considered taking particular account of the social objectives of the Key Action</i> 	<p><u>Your mark</u></p>	<p style="text-align: center;"><u>Comments (please fill in)</u></p> <p><i>If needed, additional comments may be included on the back of this page [in this case, please notify by the following sign: (... /...)]</i></p>
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Degree of fulfilment for section 4: 0 (not properly addressed); 1 (poor); 2 (fair); 3 (good); 4 (very good); 5 (excellent)	your mark:
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<p>5. Economic development and S&T prospects</p> <ul style="list-style-type: none"> • Exploitation potential: Issues to be kept in mind: a) Possible contribution to growth, in particular: usefulness and range of applications and quality of the exploitation plans; b) Clear capacity and commitment to exploit the technology or to ensure its exploitation via the demonstration as well as to ensure, if relevant, the wider economic impact of the project. Adequacy of resources for these aspects; appropriateness of the target groups and of the mechanisms ensuring access to RTD output by target groups; • Strategic impact of the proposed project and its potential to improve competitiveness and the development of applications markets for the partners and the users of the RTD results. When relevant, prospects for rapid exploitation of the technology. • Contribution to European technological progress and in particular the dissemination strategies for the expected results, choice of target groups, identification of all hurdles to- and appropriate targets and strategies for- dissemination of the technology. Mobilisation of the most appropriate <i>Extended Audience</i> and appropriate re-sources and strategy within the partnership to interact with it. <i>For the overall assessment of this section, the relative influence of the above issues might depend on the action line addressed. These issues should be considered taking particular account of the economic objectives of the Key Action</i> 	<p><u>Your mark</u></p>	<p style="text-align: center;"><u>Comments (please fill in)</u></p> <p><i>If needed, additional comments may be included on the back of this page [in this case, please notify by the following sign: (... /...)]</i></p>
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Degree of fulfilment for section 5: 0 (not properly addressed); 1 (poor); 2 (fair); 3 (good); 4 (very good); 5 (excellent)	your mark:
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Part 2. Evaluation Summary Reports

Form overview

A number of forms have been designed, so as to create a permanent record of the panel conclusions evaluation of each proposal.

- Form ESR1 will contain the information that will be sent back to the applicant.
- Form ESR2 is a record of the individual and consensus marks attributed to the proposal at Stage 1. It also contains the information from Stage 1 that is required for the later stages: Final consensus marking on threshold criteria. Provisional marking on other criteria. Information on ethical issues detected
- Form ESR3 is a record of the individual and consensus marks attributed to the proposal at both stages. It is designed to assist the panel moderator and the stage 2 rapporteur on the proposal, as well as to provide the information from Stage 2 that is required for the further steps: Final mark; rank of the Proposal. Request for ethical review.

Form completion

- Form ESR1 ESR1 is filled in by the proposal rapporteur to summarise the panel's conclusions and recommendations. The proposal rapporteur will complete all appropriate rubrics within this page. All parts of ESR1 can only be filled-in for proposals which pass through the whole evaluation process. The ESR of proposals which failed at one of the thresholds can only be completed for those parts which were evaluated prior to their failure and withdrawal from the evaluation process. In such cases, the evaluators' written comments must make clear why the proposal failed to reach the necessary threshold. In any case, the information contained in this report must be as comprehensive and well justified as possible, and the wording must be very careful.
- Form ESR2 is a record of the individual and consensus marks attributed to the proposal at Stage 1. It is completed by the panel moderator or proposal rapporteur directly on the basis of the individual forms and is also used to record the consensus mark resulting from panel discussion. Once completed, it must be signed by the proposal rapporteur. The signature of all the Stage 1 panels' experts marks their approval of the conclusions, comments and consensus marking recorded in ESR1 and ESR2
- Form ESR3 is a record of the individual and consensus marks attributed to the proposal at Stage 1 and 2. It is completed by the panel moderator or proposal rapporteur directly on the basis of Stage 1 results (marks concerning the threshold criteria cannot be changed), of the individual forms completed at Stage Two, and is also used to record the consensus mark resulting from panel discussion. Once completed, it must be signed by the proposal rapporteur. The signature of all the Stage 2 panels' experts marks their approval of the conclusions, comments, consensus marking and ranking contributed to in ESR1 and ESR3

**All ESR forms will be kept by the Commission moderator.
The applicant and the programme Committee will receive a copy of ESR 1.**

Quality of Life & Management of Living Resources - Evaluation Summary Report [ESR1]
For Shared Cost [R&D, demonstration or combined] Projects, Concerted Actions and Thematic networks

Proposal No.:
 Proposal title:
 Proposal acronym (if used):
 Programme Area

Project Proposal type: Shared Cost R&D Demonstration Combined Concerted Action Thematic network

Fulfilment of basic requirements

• Relevance to the work programme.		YES	NO	PARTIALLY
• Is the research proposed in line with Community policies		YES	NO	PARTIALLY
• Ethical requirements of the Programme taken into account	UNSURE	YES	NO	NOT RELEVANT
• Safety issues adequately taken into account (if relevant)		YES	NO	NOT RELEVANT
• Compliance with the requirements for anonymity?		YES	NO	NOT RELEVANT
• Participation of the 3 rd countries partners conform and beneficial to EU Programme interests?		YES	NO	NOT RELEVANT

Comments (in the case of any negative or partially negative answer to these questions):

Scientific/technological quality and innovation *

,

Comments:

Resources, partnership and management*

,

Is the budget appropriate given the objectives? YES PARTLY NO
 Is the financing requested satisfactorily justified? YES PARTLY NO

Comments (If necessary, please indicate in which way the budget and/or the financing requested should be adapted to the objectives or to any proposed modification of the project's work-packages.

Community added value and contribution to EU policies*

,

Comments:

Contribution to Community social objectives*

,

Comments:

Economic development and S&T prospects*

,

Comments:

Overall

,

General/overall comments [including proposals for modifications and possibilities for clustering/fusion with other proposals]; Possible additional specific comments on safety issues.

* Marks achieved for evaluation criteria on a scale of 0(not properly addressed) to 5 (excellent):

AUDIT TRAIL CHECK-LIST - Proposal n°

- Proposal rapporteur appointed (expert n° only):
- Any issue with regard to experts, including removal of expert(s) for risk of bias [please mention the expert(s) n°]
Please report here:
At Stage One

At Stage Two
- Any difficulty to reach initial consensus at Stage One? Solution found to reach consensus? Additional expert appointed?
Please report here:
- Any difficulty to reach initial consensus at Stage Two? Solution found to reach consensus? Additional expert appointed?
Please report here:
- Any issue with regard to incomplete anonymity of the proposal?
Please report here:
- All individual forms completed, signed and present
- All Stage 1 ESR forms completed, signed and present
- All Stage 2 ESR forms completed, signed and present (if relevant)
- Any other procedural problem during the evaluation
Please report here:
At Stage One

At Stage Two

Stage One Panel Moderator: name and signature:

Stage Two Panel Moderator: name and signature: