



THE SIXTH FRAMEWORK PROGRAMME

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

GUIDE FOR PROPOSERS

Priority 2

INFORMATION SOCIETY TECHNOLOGIES

Integrating and Strengthening the European Research Area

Continuous Submission Call for proposals

Call identifier FP6/2002/IST/C

CO-ORDINATION ACTIONS
(FET Open Scheme)



Three different types of instrument are available to fund activities in FET Open. These instruments are described in the brochure ‘The 6th Framework Programme in Brief’ and at <http://www.cordis.lu/fp6/instruments/>

- Specific Targeted Research Projects (STREP)
- Co-ordination Actions (CA)
- Specific Support Actions (SSA)

This version of the Guide for Proposers concerns:

CO-ORDINATION ACTIONS

Continuous Submission Call

(FET Open Scheme)

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

Key recommendations for submitting a proposal to the IST FET Open scheme

- **Priorities and objectives:** Check that your proposed work does indeed address priorities and objectives for FET Open as described in the current IST Workprogramme. Section I.2 of this Guide gives an introduction to the FET Open scheme.
- **Completeness:** Proposals must comprise a Part A, containing the administrative information on standard forms (as described in Annex 1 of this Guide); and a Part B, containing the scientific and technical description of your proposal (as described in Annex 2). Check that your proposal contains both parts.
- **Use of correct forms and instrument:** The proposal forms for Part A and the structure of Part B vary according to the different instruments.
 Check that you have chosen the correct contractual instrument for the type of work you are proposing (<http://www.cordis.lu/fp6/find-doc.htm>).
 Check in the Work Programme that FET Open is actually open for instruments of this type.
 Check on the call page that you are using the version of the Guide for Proposers specific for this instrument and call.
- **Eligible partnership:** Confirm that you and your partners are indeed eligible for participation in the Priority - The minimum requirements for the makeup of your consortium can be found in the Workprogramme and the call text, and organisations must have a registered legal existence.
- **Evaluation criteria:** All proposals are evaluated according to fixed sets of criteria, depending on the type of instrument, which are described in the IST Workprogramme and the Guidelines for Evaluators (IST FET Open scheme). Be sure that the material in your proposal clearly addresses each of the evaluation criteria used for this instrument. Be aware that there are threshold scores on the criteria which must be achieved or else the proposal fails, and that the criteria may also carry different weights in the final scoring of your proposal. There may also be a threshold on the proposal's overall score.
- **Ethical, safety and regulatory issues:** Clearly indicate any potential ethical, safety or regulatory aspects of the work to be carried out, regarding its objectives, the methodology and possible implications of the results, and the way they will be dealt with in your proposed project. A check on these issues will take place during the evaluation, and a full-scale ethical review will take place for proposals dealing with particularly sensitive issues. Proposals will fail if they do not respect the ethical rules for FP6.
- **Presentation:** Good proposals are drafted in a clear and easily understandable way. They show the results and the objectives that will be achieved, how the participants intend to disseminate or exploit these results and how the project contributes to integrating and structuring the European research area. A good proposal assembles the necessary critical mass of activities, expertise and resources to achieve the proposed objectives.
- **Competition:** There will be strong competition, and a weak element in an otherwise good proposal might make it lose out to others. Therefore edit your proposal tightly, strengthen or eliminate weak points. Arrange for your draft to be evaluated by experienced colleagues, using the evaluation criteria for the type of action you are proposing, before sending it in. Then use their advice to improve it before submission.

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Priority 2 – Information Society Technologies (IST)

Specific information for Co-ordination Actions submitted to the FET Open Scheme of the IST Priority published 17th December, 2002. Continuous submission call.

I Introduction

1.1 Structure and content of the Guide for Proposers

This Guide for Proposers contains the basic information needed to prepare a proposal for a **co-ordination action** in the **continuous submission call** for the FET Open scheme of the Information Society Technologies (IST) Priority, which is priority 2 in the Specific Programme “Integrating and Strengthening the European Research Area” of the 6th Framework Programme of the European Community for research, technological development and demonstration activities.

- Section I.2 gives an introduction to **what is FET Open**, as well as the **submission process** and explain the **available instruments** for the different activities covered by this scheme.
- Section II describes **how to prepare a proposal**. Annexes 1 and 2 provide the forms needed to prepare Part A of a proposal, and instructions on how to write Part B for the different instruments. Both parts are required to make a complete proposal.
- Section III provides the instructions on **how to submit a proposal** on different supports.
- Section IV gives a brief overview of the **evaluation and negotiation** processes.

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

Documents which constitute together with this Guide the Information package for Co-ordination actions in this call, and which you need to consult during the preparation of your proposal, are:

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

The current IST Priority Workprogramme. The Workprogramme provides a detailed description of the content of the Strategic objectives, and indicates which types of instruments may be used for each. It also gives a “roadmap” for future implementation – this is an indicative timetable for future calls and a description of what they will contain. The Workprogramme also contains important information about the implementation of CAs in the IST Priority, including details on the eligibility and evaluation criteria which will be applied to proposals for CAs in IST.

The Call for proposals as published in the Official Journal of the European Communities. This will tell you which Strategic objectives are open for proposals for Co-ordination actions, and where and when to submit your proposal.

Additional documents which you should review are:

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

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

The model contract for Co-ordination actions, and its annexes. This specifies the contractual terms and conditions to which your consortium will be expected to agree if your proposal is selected for funding.

The instrument description. This gives full details of what a Co-ordination action comprises and how such a project should be implemented.

Section VII of this Guide gives the addresses on the Internet at which each of these documents may be obtained.

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

1.2 The FET Open Domain (Continuous Submission Scheme)

This scheme is open to the widest possible spectrum of research opportunities that relate to information society technologies as these arise bottom-up. It supports two main kinds of activities:

Research FET Open supports: **research on new ideas** involving high risk; embryonic research and proof-of-concept; and high quality long term research of a foundational nature. Such research is implemented through **Specific Targeted Research Projects (STREP)**.

STREP proposals in the FET Open scheme are submitted in a two step procedure: first a short anonymous proposal is submitted and if this short proposal is successful, proposers are invited to submit a full proposal.

Short proposal:

This is an **anonymous** proposal of maximum five pages of technical content, which addresses mainly the objectives to be achieved (the *what*) and the importance and motivation for the work (the *why*).

Short proposals are receivable by the Commission **at any time** before the end of the continuous submission scheme.

Full proposal:

Coordinators of successful *short* proposals will be invited to expand the *short* proposal and submit a *full* proposal by a specific cut-off date¹ ***specified by the Commission***. This date will allow at least two months for the *full* proposal preparation. Proposals must be received before the specific cut-off date indicated in the invitation letter.

The objectives of the full proposal must be consistent and in accordance with the previously submitted successful short proposal, extending it by providing full details about the approach, the specific workplan etc. of the original ideas. Note that in preparing this *full* proposal, any recommendations from the evaluation should be taken into account. *Full* proposals are not anonymous.

Short proposals are evaluated as they come in. *Full* proposals are evaluated in an evaluation session organised normally within one month of the cut-off date. Favourable evaluation of the *short* proposal does not oblige the proposers to subsequently submit a *full* proposal, nor does it commit the Commission to supporting a subsequent project.

The advantage of this two-step evaluation is that proposers only commit effort to the development of a *full* project proposal when they have the assurance that their idea indeed fits within the goals and activities of the Priority, and with initial feedback from evaluators on that idea.

In order to preserve continuity between FP5 and FP6, assessment projects contracted under FP5 that have been successful, but that did not have the opportunity to submit a follow-up full proposal within FP5, will be invited to submit directly a *full* proposal to FET-Open in FP6.

For further information on how to prepare a STREP proposal for FET Open, please refer to the relevant Guide for proposers (Continuous submission scheme – Specific Targeted Research Projects).

Please note that evaluation criteria are applied differently to *short* and *full* proposals. See details for criteria in the Workprogramme and for the evaluation procedure in the Guideline for Evaluators for the FET Open scheme.

Support

FET-Open also supports the **structuring, consolidation, or emergence of research communities** and the co-ordination of national research programmes or activities in any IST-relevant area of advanced and longer term research. Such activities are implemented through **co-ordination actions (CA)** and **specific support actions (SSA)**.

- **Co-ordination actions** support the co-ordination and networking activities aiming at improving research community building and integration. As a reference, FP5 Thematic Networks (FP5 networks of excellence and most working groups) would now be carried out with CA initiatives.
- **Specific support actions** will be used to implement activities to support and prepare the FET policy and activities like studies, impact measure reports, roadmapping of future research areas, conferences, workshops and expert meetings for defining FET future activities, etc.

CA and SSA in the FET Open scheme are submitted in a non-anonymous full proposal in a one step procedure.

Proposals can be submitted any time, but there are two to three cut-off dates per year for the submission of CA and SSA: proposals that have been received by a given cut-off date are evaluated at a session that is normally organised within a month of that cut-off date.

II. How to prepare a proposal

II.1 Consortium composition

Proposals must be presented by a consortium comprising a minimum number of mutually-independent legal entities (organisations or individuals) established in different Member States of the EU or Associated States, of which a certain number must be Member States or Associated candidate countries. The default minimum numbers defined in the Rules for participation in FP6 are at least three mutually-independent legal entities established in three different EU Member States or Associated States, of which at least two must be established in EU Member States or Associated candidate countries. Any changes to these minimum numbers are set out in the Call for proposals.

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

International organisations of European interest¹, and the European Commission's Joint Research Centre (JRC) are considered on the same footing as legal entities based in an EU Member state.

The candidate countries are: Bulgaria, Cyprus, Czech Republic, Estonia, Hungary, Latvia, Lithuania, Malta, Poland, Romania, Slovakia, Slovenia and Turkey. All of these countries have signed memoranda of understanding associating them with FP6². Other countries which are expected to become associated to the 6th Framework programme are: Iceland, Israel, Liechtenstein, Norway and Switzerland³. Potential participants should confirm the exact situation of all these countries at the FP6 International Cooperation website (see Section VII).

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

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

II.2 The structure of a proposal

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

- **Part A** is a set of forms which collect necessary administrative information about the proposal and the proposers e.g. proposal name, proposers' names and addresses, brief description of the work, total funding requested by type of activity etc. This information will be encoded in a structured database for further computer processing to produce statistics, evaluation reports etc., and also to support the evaluators and Commission during the evaluation process
- **Part B** comprises a structure or list of headings which should be followed, rather than a pre-prepared form. It describes among other things the nature of the proposed work, the participants and their roles in the proposed project. It describes the reasons for carrying out the work, and the benefits which would come from it.

¹ International organisations, the majority of whose members are European Union Member States or Associated States, and whose principal objective is to promote European scientific and technological co-operation.

² The association to FP6 has come into force for Cyprus, Czech Republic, Estonia, Hungary, Latvia, Lithuania, Malta, Poland, Romania, Slovakia and Slovenia. At time of writing, the remaining countries are engaged in ratifying their association to FP6.

³ The association agreements with Iceland, Liechtenstein and Norway are expected to come into force on 15 January 2003

Part B is structured so that your proposal covers, one after another, the areas and issues on which it will be evaluated.

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

II.3 Proposal language

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

II.4 Proposal pre-registration

Proposers are strongly requested to pre-register their intention to submit a proposal . This is to assist the Commission in planning to have available an appropriate number of evaluators with the necessary technical background to carry out the evaluation. Proposals are pre-registered via the Internet, at the call page for the IST continuous submission scheme (see address in Section VII). This service will be available from early 2003.

Please try to pre-register no later than three weeks before the intended submission date, though we will accept later pre-registrations. You may always submit a proposal without pre-registration and pre-registering an intention to submit a proposal in no way commits you to actually submitting a proposal.

When you submit your proposal, please use the title and acronym under which it was pre-registered. If a change is unavoidable, then note clearly "Proposal was pre-registered with acronymand full title" on the front page of the proposal.

II.5 Electronic proposal submission system

An electronic proposal submission system will be available from early 2003 via the IST call page (see Section VII) to help you prepare your proposal. This system may be used directly online to prepare and submit a proposal. Alternatively, it may be downloaded to prepare a proposal offline. In this case, once the proposal has been prepared, it may be sent either electronically via the proposal submission system, or on CD-ROM or diskette, or on paper, as preferred by the proposers.

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

II.6 Pre-proposal check

No facility for a pre-proposal check is provided for the IST Continuous submission call.

III Submission of proposals

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

III.1 Electronic submission

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

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

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

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

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

Failure of your proposal to arrive in time because of communications delays, or because the submission contained a computer virus, are not acceptable as extenuating circumstances.

III.2 Submission on CD-ROM or diskette

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

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

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

III.3 Submission on paper

III.3.1 Procedure

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

Proposal Part B – Prepare a text document following the outline supplied as an annex to this Guide.
:

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

III.3.2 Preparing your proposal for submission

Your proposal should be submitted as one complete **unbound** Part A and one complete **unbound** Part B. The Commission will reproduce the number of copies needed by the evaluators, therefore.

- **Print your proposal on white A4 paper (80 g/m²)**
- **Print on one side of the paper only; no two-sided copies please**
- **Do not convey information using colour; the copies will be made in black and white**
- **Do not use glossy or surfaced paper which will jam our machines**
- **Do not include paper clips or staples which will jam our machines**
- **Do not include front or back covers of plastic, card etc.**

You are strongly advised to securely retain an additional complete unbound copy of your proposal, in case further copies are required at short notice.

III.3.3 Packaging and delivery

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

- The name of the Priority (IST or Information Society Technologies – FET Open)
- The call identifier as given in the Call for proposals
- The proposal acronym

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

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

Mark the exterior of your package, in bold letters, “IST PRIORITY FET Open”

Be sure that you are using the **exact address** as given in the Call for proposals. Proposers in the past who have added other information to the address – such as “European Commission” or “Directorate-General

Information Society” have sometimes found their proposals spontaneously re-directed by their delivery service to other Commission offices, delaying their arrival and risking loss.

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

If you are submitting more than one proposal:

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

III.3.4 Errors in submitted proposals

If after sending your proposal you discover there has been a **serious error which will affect its evaluation** (wrong address, missing pages, missing parts.....) and the call deadline has not yet passed, you should at once contact the IST Information Desk, the coordinates of which are given below.

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

III.4 Deadline for reception

To be eligible, proposals must be **received** by the Commission before or on the deadline at the address specified in the call. Proposals can be received at any time before the closing date of the continuous submission call. This closing date is currently the 31st December 2004. It is expected that the scheme will be extended beyond this date in future calls.

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

III.5 Acknowledgement of receipt

Once a proposal has been received and registered by the Commission, the Acknowledgement of receipt will be either returned electronically in the case of electronic submission⁴, or despatched to the proposal co-ordinator in the case of paper, CD-ROM or diskette submission.

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

⁴ The brief electronic message given by the EPSS system after electronic submission does not constitute the official Acknowledgement of receipt.

IV Evaluation and negotiation

IV.1 Timetable of evaluation

All proposal coordinators who have submitted a proposal to the IST continuous submission call will receive an acknowledgement of receipt promptly on receipt of their proposal. **Proposers who have not received an Acknowledgement of receipt after three weeks of the expected date of reception of the proposal in Brussels should urgently contact the IST Information Desk (see section VII).**

Independent experts will evaluate the submitted Co-ordination action proposals, on the basis of criteria given in the IST Workprogramme and the process described in the Guidelines for Evaluators (IST FET Open scheme). Proposers, whether successful or unsuccessful, will be informed of the outcome of the evaluation normally within 6 weeks of the cut-off date by which the proposal was sent.

Following the evaluation by the experts, the Commission will establish a ranked list with a recommendation for funding a given number of proposals. This recommendation is reviewed by the Commission with the support of the IST Committee, which comprises representatives of Member and Associated States.

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

IV.2 Contract negotiations

For proposals selected for funding, negotiations will start through an official letter sent by the Commission, and will be followed up using mainly phone and e-mail, and if necessary, representatives from the consortium will be invited to Brussels to begin contract negotiations

Proposers should familiarise themselves well before the negotiation starts with the content of the model contract for Specific targeted research projects and its annexes. This contract can be downloaded from the Internet (see Section VII).

Before negotiations can begin, the Commission may request certain legal and financial information from participating organisations (and in particular the Commission may ask for copies of the documents which legally establish each organisation which is in the consortium)⁵. This information must be made available with the submission of the Contract Preparation Form. All participants in FET Open proposals should familiarise themselves at an early stage with the documentation they may need to provide if they are successful, and the co-ordinator must ensure on behalf of the consortium that the correct documentation is sent to the Commission. The documentation required is fully described at the web-site concerning the Contract Preparation Form (see address in Section VII).

Although not mandatory, it is recommended that all partners negotiate and sign a Consortium agreement. The Consortium agreement should be finalised as early as possible, and at the latest at the same time as the contract. A checklist which may assist you in drawing up a Consortium agreement is available on the Internet (see Section VII). Proposers should also note that the European Commission's Science and Society Action Plan⁶ places an onus on all recipients of Community funding through the framework programme to systematically disseminate to the public information that will raise awareness of the scientific work being undertaken and the benefits to society that are likely to accrue.

If the negotiation is successful, it is foreseen that a Commission Decision approving the funding should be made normally within two months of the end of negotiations. The project may begin work as soon as the Commission Decision is made and the contract is signed by the co-ordinator and the Commission, in accordance with the provision in the contract signed with the Commission regarding the project start date.

⁵ Documentation on legal and financial viability is not requested from public organisations, only from private non-profit and private participants)

⁶ see Section VII

V Check list for proposers

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

- Are both parts of your proposal, Part A and Part B, fully completed ?
- Is your Part B prepared only in the approved file format (PDF or RTF), including no material in other formats ?
- Have you virus-checked your complete proposal, using up-to-date anti-virus software ?
- Do you have all the necessary authorisations from each member of the consortium to submit this proposal on their behalf ?
- Last but not least: have you made all possible arrangements to ensure that the proposal arrives at the Commission in time for the closing date of the call (currently the 31st December 2004. It is expected that this date will be extended by future calls)

For **PAPER** submission of your IST proposal⁷ you must check the following:

- Are both parts of your proposal, Part A and Part B, fully completed ?
- Is each page of your proposal headed with the proposal acronym
- Is each of the pages numbered ?
- Is your proposal prepared as one complete unbound single-sided paper copy (plus one additional copy for you to hold in reserve) ?
- Is the copy of the proposal placed in an envelope, marked “Commercial-in-confidence”, with the following information:
 - “IST Priority FET Open” ?
 - The Call identifier (FP6/2002/IST/C) ?
 - The proposal acronym ?
- If you used more than one envelope, are they numbered 1 of X, 2 of X, etc., with each clearly marked as described above ?
- Is the complete set of proposal documentation placed in a package, correctly addressed using the address given in the Call for proposals ?
- Is the outside of the package marked “IST Priority - FET Open” ?
- Do you have all the necessary authorisations from each member of the consortium to submit this proposal on their behalf ?
- Last but not least: have you made all possible arrangements to ensure that the proposal arrives at the Commission in time for the closing date of the call (currently the 31st December 2004. It is expected that this date will be extended by future calls)

⁷ including submission on CD-ROM or diskette, which must include a paper version

VI Support to proposers

VI.1 IST Information Desk

The address of the IST Priority Information Desk is:

European Commission
The IST Information Desk
Directorate General Information Society
BU31 01/19
B-1049 Bruxelles/Brussel

Email: ist@cec.eu.int
Phone: +32-2-296.8596
Fax: +32-2-296.8388
Web: www.cordis.lu/ist

The Information Desk operates 09h00 - 17h00 (Brussels time), Monday to Friday.

For questions regarding **FET Open specifically**, proposers may contact:

Email: istfet@cec.eu.int
Fax: +32-2-296.8390
Web: www.cordis.lu/ist/fethome.htm

Links to all the necessary information to prepare a proposal are available on the IST web page for the continuous submission Call. Proposers can periodically check the FET Web pages where information about the Open scheme (cut-off dates, projects funded, areas covered, etc.) will be available. (See Section VII)

VI.2 Commission contact persons for IST continuous submission call

From the IST web page for the continuous submission call, proposers can download a list of names and contact details of Commission officials representing each of the Strategic objectives included in this call. These contact persons will be able to assist with specific questions on the technical issues involved in the objectives concerned. (Questions which are more general in nature should be addressed to the IST Information Desk).

VI.3 Partner search facilities

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

VI.4 National Contact Points

The IST Priority supports a network of National Contact Points (NCPs), which can be helpful to organisations from their country both in general advice (particularly on preparing proposals) and in finding partners from other countries. Organisations should contact the NCP of their own country for further information (see Annex to this Guide for list of NCPs, and contact details in Section VII).

VI.5 IDEAL-IST: Support for potential proposers

The IDEAL-IST service helps proposers and newcomers to the IST Priority to find the right partners across international boundaries. It comprises a network of organisations in each Member and Associated State. IDEAL-IST offers:

- a partner search service that pools the local knowledge of partners from 32 countries targeted on particular calls and strategic objectives;
- international partner brokerage events;
- general support for potential proposers;
- special workshops and seminars.

The IDEAL-IST partners are official National Contact Points for the IST Priority, or working in close co-operation with NCP and represent all EU Member States and Associated States.

To find out more, contact ideal-ist@dlr.de or access <http://www.ideal-ist.net>, or contact the National Contact Points of your own country.

VI.6 IST Priority Information Days

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

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

VI.7 The Intellectual Property Rights Helpdesk

The IPR-Helpdesk is a European Commission co-financed initiative run by a consortium of organisations coordinated by the University of Alicante. Its main objective is to assist potential and current contractors taking part in Community funded projects on Intellectual Property Rights issues, and in particular on Community diffusion and protection rules and issues relating to IPR in international projects. Another objective is to raise awareness in the European research community on IPR issues, emphasising their European dimension.

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

Website

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

Helpline (detailed queries)

tel +34 96 590 97 18

fax +34 96 590 97 15

ipr-helpdesk@ua.es

Representative office (general information)

tel +32 2 649 53 33

fax +32 2 647 59 34

ipr-helpdesk@global-eu.com

VI.8 Innovation Relay Centres

The European Commission has established a network of Innovation Relay Centres throughout Europe. These centres have been created in order to facilitate the transfer of innovative technologies to and from European companies and research departments. The IRC network has become a leading European network for the promotion of technology partnerships and transfer mainly between small and medium-sized companies (SMEs). The IRCs are innovation support service providers, mainly hosted by public organisations such as university technology centres, chambers of commerce, regional development agencies or national innovation agencies. Each centre is staffed by personnel who have extensive knowledge of the technological and economic profile of the companies and regions they serve. (see Section VII)

VII References

Potential proposers could consult the following documents:

FET pages

FET home page	www.cordis.lu/ist/fethome.htm
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Legal decisions

Decision on the Framework Programme	http://www.cordis.lu/fp6/decision/
Participation rules	http://www.cordis.lu/fp6/participationrules/
Specific decision "Integrating and strengthening the European Research Area (includes the IST Priority)"	http://www.cordis.lu/fp6/specificprogrammes/

Call page for IST Continuous Submission Call

IST Call announcement Continuous Submission Call	http://www.cordis.lu/calls/ist/
Brochure "The Fp6 in Brief"	
Guides for Proposers Continuous Submission Call	
IST Workprogramme 2003/04	
Evaluation Manual	
Guidelines for Evaluators (IST FET Open scheme)	
Pre-proposal check form Continuous Submission Call (if service is available for instrument)	
Organisations expressing interest in this Call	
Electronic Proposal Submission Service for Continuous Submission Call	
Proposal Part A activity codes	http://www.cordis.lu/fp6/activitycodes/
Proposal Part A keywords thesaurus	http://www.cordis.lu/fp6/keywords/
Information on instruments	http://www.cordis.lu/fp6/instruments/

Supporting information

CORDIS FP6 service	http://www.cordis.lu/fp6/ (general site)
Document search	http://www.cordis.lu/fp6/documents/
National Contact Points	http://www.cordis.lu/fp6/ncps.htm
IST Information Days and other events	http://www.cordis.lu/fp6/events/
IPR helpdesk	http://www.ipr-helpdesk.org
IPR issues	http://www.cordis.lu/fp6/ipr-issues
IDEALIST	http://www.ideal-ist.net/
CORDIS partner search facility	http://partners-service.cordis.lu/
International co-operation (INCO)	http://europa.eu.int/comm/research/fp6/index_en.html (general site) http://www.cordis.lu/fp6/inco
Science and society action plan	http://europa.eu.int/comm/research/science-society/action-plan/action-plan_en.html http://www.cordis.lu/rtd2002/science-society/library.htm
Rules on ethics	http://www.cordis.lu/fp6/ethic-rules
Gender issues	http://www.cordis.lu/fp6/women-and-science
Guidelines on techniques for science communicating with the public	http://www.cordis.lu/fp6/society.htm (available from 15 March 2003)
Innovation Relay Centres	http://irc.cordis.lu
European Investment Bank	http://www.eib.org/
European Investment Fund	http://www.eif.org/

Contractual information

Consortium agreement checklist	http://www.cordis.lu/fp6/consortiumchecklist/
Contract Preparation Forms	http://www.cordis.lu/fp6/contractpreparation/
Model contracts	http://www.cordis.lu/fp6/contracts/

Annexes

Annex 1 - Proposal Part A forms and instructions

Annex 2 - Proposal Part B

Annex 3 - Ethical rules for FP6 projects

Annex 4 - Integrating the gender dimension

Annex 5 - List of National Contact Points

Annex 1 - Proposal Part A forms and instructions

Proposal Submission Forms



EUROPEAN COMMISSION
6th Framework Programme on
Research, Technological
Development and Demonstration

Coordination Action

A1

Proposal Number¹

Proposal Acronym²

GENERAL INFORMATION ON THE PROPOSAL

Proposal Title³
(max. 200 char.)

Duration in months⁴

Call (part) identifier⁵

Activity code(s) most
relevant to your topic⁶

Keyword code 1⁷

Keyword code 2⁷

Keyword code 3⁷

Free
keywords⁸

Abstract⁹ (max. 2000 char.)

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

Proposal Submission Forms



EUROPEAN COMMISSION
6th Framework Programme on
Research, Technological
Development and Demonstration

Coordination Action

A2

Proposal Number ¹		Proposal Acronym ²	
------------------------------	--	-------------------------------	--

INFORMATION ON PARTICIPANTS					
Participant number ²⁶					
Participant organisation					
Organisation legal name ¹¹					
Organisation short name ¹²					
Legal address					
PO Box ¹³		Postal Code ¹³		Cedex ¹³	
Street name and number ¹³					
Town ¹³		Country ¹⁴			
Internet homepage					
Activity Type HE, RES, IND, OTH ¹⁵		Legal Status GOV, INO, JRC, PUC, PRC, EEIG ¹⁷ , PNP ¹⁶			
If Legal Status "PRC", specify ¹⁸					
Is the organisation a Small or Medium-Sized Enterprise (SME)? ¹⁹					YES/NO
Are there dependencies between the organisation and (an)other participant(s) ? ²⁰					YES/NO
If yes, participant number		If yes, participant short name			
Character of dependence SG, CLS, CLB ²¹					
If yes, participant number		If yes, participant short name			
Character of dependence SG, CLS, CLB ²¹					
If yes, participant number		If yes, participant short name			
Character of dependence SG, CLS, CLB ²¹					
Person in charge²²					
Name		First name(s)			
Title ²³		Sex: Female=F, Male=M ²⁴			
Department/Faculty/Institute/ Laboratory name					
Address (if different from above)					
PO Box ¹³		Postal Code ¹³		Cedex ¹³	
Street name and number ¹³					
Town ¹³		Country ¹⁴			
Phone 1 ²⁵		Phone 2 ²⁵			
e-mail		Fax ²⁵			

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

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

Proposal Submission Forms



6th Framework Programme on
Research, Technological
Development and Demonstration

Coordination Action

A3

Proposal Number ¹	Proposal Acronym ²
------------------------------	-------------------------------

[illegible]

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

Form A3: page ... of

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

How to complete the proposal submission forms

Introduction

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

How to complete the forms

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

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

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

1 Proposal number

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

2 Proposal Acronym

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

3 Proposal Title

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

4 Duration

Insert the estimated duration of the project in full months.

5 Call (part) Identifier

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

6 Activity code(s) most relevant to your topic

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

7 Keyword codes from thesaurus

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

8 Free keywords

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

9 Abstract

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

10 Previously submitted similar proposals or signed contracts

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

11 Organisation legal name

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

12 Organisation short name

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

13 Address data

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

14 Country

Insert the name of the country as commonly used.

15 Activity Type

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

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

16 Legal status

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

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

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

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

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

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

EEIG: European Economic Interest Group;

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

17 Legal Status: If “EEIG”

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

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

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

19 Small or Medium Sized Enterprise (SME)

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

- less than 250 full time equivalent employees
- and**
- an annual turnover not exceeding EUR 40 million **or** an annual balance sheet total not exceeding EUR 27 million,
- and**
- must not be controlled by 25% or more by a company which is not an SME (on the issue of control, see note 20).

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

20 Dependencies between participants

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

- A legal entity is under the same direct or indirect control as another legal entity,
- or
- A legal entity directly or indirectly controls another legal entity,
- or
- A legal entity is directly or indirectly controlled by another legal entity.

Control:

Legal entity A controls legal entity B if:

- A, directly or indirectly, holds more than 50% of the share capital or a majority of voting rights of the shareholders or associates of B,
- or
- A, directly or indirectly, holds in fact or in law the decision-making power in B

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

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

21 Character of dependence

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

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

22 Person in charge

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

23 Title

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

24 Sex

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

25 Phone and fax numbers

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

26 Participant number

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

27 Requested grant to the budget and cost models⁸

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

	Maximum grant as percentage of full costs (participants applying the FC or FCF model)	Maximum grant as percentage of additional costs (participants applying the ACF model)
Co-ordination activities (see note 28)	100%	100%
Consortium management activities (see note 29)	100% (up to a maximum percentage of 7% of the Community contribution)	100% (up to a maximum percentage of 7% of the Community contribution)

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

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

⁸ Provisional, subject to the Commission decision on the Model Contract. Please check for updates on the CORDIS call page.

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

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

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

28 Co-ordination activities

Co-ordination activities can comprise:

- Organisation of conferences, meetings;
- Performance of studies, analysis;
- Exchanges of personnel;
- Exchange and dissemination of good practice;
- Setting up of common information systems
- Setting up of expert groups;
- Definition, organisation and management of joint or common initiatives.

29 Consortium management activities

Projects will require particular attention by the consortium to overall management and co-ordination issues. Over and above the technical management of individual work packages, an appropriate management framework linking together all the project components and maintaining communications with the Commission will be needed. Depending on the size and scope of a project, a specially constituted management team with dedicated staff covering a range of skills may need to be set up.

Consortium management may include:

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

30 (Sub-)Total

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

Annex 2 - Proposal Part B

Instructions for preparing proposal Part B for Co-ordination Actions in the FET Open – IST Priority

In addition to the detailed technical information provided in Part B, a proposal must also contain a Part A, containing basic information on the proposal and the consortium making the proposal⁹. The forms for Part A are provided in Annex I in this Guide. Incomplete proposals are not eligible and will not be evaluated

Co-ordination actions are intended to promote and support the coordinated initiatives of a range of research and innovation operators aiming at improved integration. They will cover activities such as the organisation of conferences, meetings, the performance of studies, exchanges of personnel, the exchange and dissemination of good practices, setting up information systems and expert groups, and may, if necessary, include support for the definition, organisation and management of joint or common initiatives.

Proposers should particularly note that the purpose of Co-ordination actions is to co-ordinate other projects. The Co-ordination action itself does not include any research, demonstration or training element.

Information which fully details what a Co-ordination action comprises and how such a project should be implemented can be found at <http://www.cordis.lu/fp6/instrument-ca/>

Please remember to indicate the proposal's short name (acronym), proposal number (in case the proposal has been pre-registered) and the date at the top of every page. Part B for CA proposals is **not** anonymous.

Front page

Proposal full title
 Proposal acronym
 Date of preparation
 Type of instrument
 in this case: Co-ordination Actions
 List of participants
 with co-ordinator first
 Co-ordinator name
 Co-ordinator organisation name
 Co-ordinator email
 Co-ordinator fax

Contents page

show contents list

Proposal summary page

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

B.1 Objectives of the proposed project

Describe the proposed project's S&T objectives. The objectives should be stated in a measurable and verifiable form. The progress of the CA work will be measured against these goals in later reviews and assessments.

⁹ In the event of inconsistency between information given in Part A and that given in Part B, the Part A version will prevail

B.2 Relevance to the objectives of FET Open

Describe in detail the manner how the proposed CA's objectives contribute to the scientific, technical, socio-economic and policy objectives of FET Open and how they support the co-ordination and networking activities aiming at improving research community building and integration.

B.3 Potential impact

Describe the impact of the proposed Co-ordination action in the area concerned. Describe the exploitation and/or dissemination plans and show that they are adequate to ensure optimal use of the project results, where possible beyond the participants in the Co-ordination action. Describe the added-value in carrying out the work at a European level, indicate what account is taken of other national or international research activities.

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

B.4 The consortium and project resources

Describe the role of the participants and the specific skills of each of them. Show that the participants are well-suited and committed to the tasks assigned to them, that there is complementarity between participants to generate added value with respect to the individual projects/programmes being co-ordinated. Describe the resources, human and material, that will be deployed for the implementation of the action. Include a CA Project Effort Form, as shown below, covering the full duration of the CA. Demonstrate that the CA will mobilise the critical mass of resources (personnel, equipment, finance...) necessary for success; the distribution of resources throughout the duration of the action should be well thought out.

B.5 Project management

Describe the organisation, management and decision making structures of the CA. Describe the plan for the management of management of knowledge (dissemination, use, intellectual property etc.) and of other activities arising in the project. Describe the exploitation and/or dissemination plans for the results of the project.

B.6 Workplan

This section concisely describes the work planned to achieve the objectives of the proposed CA. An introduction should explain the structure of this workplan plan and how the plan will lead the participants to achieve the objectives. It should also identify significant risks, and contingency plans for these. The plan must be broken down according to types of activities: co-ordination activities and management activities. Within each activity the workplan should be broken down to workpackages (WPs) which should follow the logical phases of the CA, and include management of the CA and assessment of progress and results. Essential elements of the plan are:

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

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

B.7 Other issues

If there are ethical or gender issues associated with the subject of the proposal, show they have been adequately taken into account - indicate which national and international regulations are applicable and explain how they will be respected. Explore potential ethical aspects of the implementation of project results. Include the Ethical issues form given below¹⁰.

Are there other EC-policy related issues, and are they taken into account? Demonstrate a readiness to engage with actors beyond the research to help spread awareness and knowledge and to explore the wider societal implications of the proposed work; if relevant set out synergies with education at all levels.

¹⁰ See Annexes 3 and 4 for more information on the ethics and gender issues.

CA Project Effort Form**Full duration of project**

(insert person-months for activities in which partners are involved)

Project acronym -

	Partner 1 short name	Partner 2 short name	Partner 3 short name	Partner 4 short name	Partner 5 short name	etc	TOTAL PARTNERS
Co-ordination activities							
WP name							
WP name							
WP name							
etc							
Total co-ordination activities							
Management activities							
WP name							
WP name							
WP name							
Etc							
Total management							
TOTAL ACTIVITIES							

Workpackage list (full duration of project)

Work-package No ¹¹	Workpackage title	Lead contractor No ¹²	Person-months ¹³	Start month ¹⁴	End month ¹⁵	Deliverable No ¹⁶
	TOTAL					

¹¹ Workpackage number: WP 1 – WP n.

¹² Number of the contractor leading the work in this workpackage.

¹³ The total number of person-months allocated to each workpackage.

¹⁴ Relative start date for the work in the specific workpackages, month 0 marking the start of the project, and all other start dates being relative to this start date.

¹⁵ Relative end date, month 0 marking the start of the project, and all ends dates being relative to this start date.

¹⁶ Deliverable number: Number for the deliverable(s)/result(s) mentioned in the workpackage: D1 - Dn.

Deliverables list (full duration of project)

Deliverable No ¹⁷	Deliverable title	Delivery date ¹⁸	Nature ¹⁹	Dissemination level ²⁰

¹⁷ Deliverable numbers in order of delivery dates: D1 – Dn

¹⁸ Month in which the deliverables will be available. Month 0 marking the start of the project, and all delivery dates being relative to this start date.

¹⁹ Please indicate the nature of the deliverable using one of the following codes:

- R** = Report
- P** = Prototype
- D** = Demonstrator
- O** = Other

²⁰ Please indicate the dissemination level using one of the following codes:

- PU** = Public
- PP** = Restricted to other programme participants (including the Commission Services).
- RE** = Restricted to a group specified by the consortium (including the Commission Services).
- CO** = Confidential, only for members of the consortium (including the Commission Services).

Workpackage description (full duration of project)

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

Objectives

Description of work

Deliverables

Milestones²¹ and expected result

²¹ Milestones are control points at which decisions are needed; for example concerning which of several technologies will be adopted as the basis for the next phase of the project.

Ethical issues form

A. Proposers are requested to fill in the following table

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

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

Research activity aimed at human cloning for reproductive purposes,

Research activity intended to modify the genetic heritage of human beings which could make such changes heritable²²

Research activity intended to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer;

Research involving the use of human embryos or embryonic stem cells with the exception of banked or isolated human embryonic stem cells in culture²³

	YES	NO
Confirmation : the proposed research involves none of the issues listed in section B		

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

²² Research relating to cancer treatment of the gonads can be financed

²³ Applicants should note that the Council and the Commission have agreed that detailed implementing provisions concerning research activities involving the use of human embryos and human embryonic stem cells which may be funded under the 6th Framework Programme shall be established by 31 December 2003. The Commission has stated that, during that period and pending establishment of the detailed implementing provisions, it will not propose to fund such research, with the exception of the study of banked or isolated human embryonic stem cells in culture.

Annex 3 - Ethical rules for FP6 projects

Ethical rules for FP6 projects

National legislation

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

EC legislation

Participants must conform to relevant EU legislation such as:

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

International conventions and declarations

Participants should respect the following international conventions and declarations:

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

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

Protection of Animals

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

Ethical review at EU level

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

Fields of research which are excluded from the programme:

Certain field of research are excluded:

- Research activity aiming at human cloning for reproductive purposes;
- Research activity intended to modify the genetic heritage of human beings which could make such changes heritable²⁴;
- Research activities intended to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.
- In addition during the year 2003 the Commission will not fund research involving the use of human embryos or embryonic stem cells except for banked or isolated human embryonic stem cells in culture.

²⁴

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

Annex 4 - Integrating the gender dimension

Integrating the gender dimension in FP6 projects

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

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

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

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

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

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

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

- life sciences
- information society
- energy
- environment
- international co-operation
- SME and innovation
- Mobility and socio-economic research.
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The reports can be requested at rtd-sciencesociety@cec.eu.int

Annex 5 – List of National Contact Points

See current list at :

National Contact Points	http://www.cordis.lu/fp6/ncps.htm
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