



## **THE FIFTH FRAMEWORK PROGRAMME**

The Fifth Framework Programme focuses on Community activities in the field of research, technological development and demonstration (RTD) for the period 1998 to 2002.

# **GUIDE FOR PROPOSERS**

## **INFORMATION SOCIETY TECHNOLOGIES IST PROGRAMME (USER-FRIENDLY INFORMATION SOCIETY)**

## **CALL OF 19th MARCH 1999**

*Call part identifiers: IST-99-1-1A; IST-99-1-1B; IST-99-1-2A; IST-99-1-2B*

## **PART 1**



**Final Edition, 12 March, 1999**

**Reference No. B\_PG1\_EN\_199901.pdf**



## FOREWORD

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

**PART 1: common to both parts of the call of 19.03.1999 (Call part identifiers: IST-99-1-1A; IST-99-1-1B; IST-99-1-2A; IST-99-1-2B)**

**Section I** describes the overall priorities, goals and structures of the Fifth Framework Programme.

**Section II** describes the priorities and objectives of the Specific Programme **User-friendly information society (1998 to 2002)** (*The IST Programme*).

**Section III** outlines the main rules which define who may participate in this Specific Programme, and the general conditions for this participation.

**Section IV** details how proposals should be prepared and submitted.

**PART 2: is specific for each of the two parts of the call, one PART 2 for the fixed deadline part of the call of 19.03.1999 (call part identifiers: IST-99-1-1A; IST-99-1-1B) and one for the continuous submission scheme under the call of 19.03.1999 (Call part identifiers IST-99-1-2A; IST-99-1-2B):**

**Section V** provides detailed information for the calls for proposals for the IST programme published on 19th March, 1999.

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

**The Work Programme** for the Specific Programme you are applying for. The Work Programme provides the description of the content of the action lines which are open for proposals, and an indicative timetable for programme implementation ("roadmap").

**The Call for Proposals** as published in the Official Journal of the European Communities. This will tell you which action lines are open for proposals and what the deadline for the proposal submission is.

**The Evaluation Manual** (as well as programme specific guidelines in this Guide). These documents will provide the details on which criteria will be used in the evaluation of proposals, which weight is attributed to each of the criteria and where appropriate the threshold to be attained in order to be retained. You can use the evaluation manual and the guidelines as a checklist for the completeness of your proposal.

This Guide also contains references to other documents, reports, forms and software tools which are of assistance in the preparation of proposals.

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



## Contents – PART I

<b>FOREWORD .....</b>	<b>3</b>
<b>I. THE FIFTH FRAMEWORK PROGRAMME.....</b>	<b>7</b>
I.1. OBJECTIVES .....	7
I.2. STRUCTURE AND CONTENTS.....	7
I.3. IMPLEMENTATION .....	8
<b>BOX 1 - BURSARIES FOR YOUNG RESEARCHERS FROM DEVELOPING COUNTRIES.12</b>	
<b>BOX 2 – THE SYSTEM OF MARIE CURIE FELLOWSHIPS.....13</b>	
<b>II. THE SPECIFIC PROGRAMME (IST).....14</b>	
II.1 PROGRAMME OBJECTIVE: A USER-FRIENDLY INFORMATION SOCIETY.....14	
II.2 PROGRAMME STRATEGY.....14	
II.3 PROGRAMME STRUCTURE AND CONTENTS.....15	
II.4. SYNERGIES WITH OTHER PROGRAMMES.....16	
II.5. IMPLEMENTATION OF THE PROGRAMME .....	16
II.6. REFERENCES.....18	
<b>III. PARTICIPATION IN ACTIVITIES IN THE FIFTH FRAMEWORK PROGRAMME.....19</b>	
III.1. THE PARTICIPANTS.....19	
III.2. PROPOSAL SUBMISSION .....	20
III.3. PROPOSAL EVALUATION.....21	
III.4. PROPOSAL SELECTION.....21	
III.5. THE CONTRACT.....22	
III.6. PROJECT FOLLOW-UP .....	24
III.7. FINANCIAL CONTRIBUTION OF THE COMMUNITY .....	24
<b>BOX 3 - CO-OPERATION WITH NON-EU COUNTRIES AND INTERNATIONAL ORGANISATIONS.....26</b>	
<b>BOX 4 - PARTICIPATION FROM NON-EU COUNTRIES IN FP5.....27</b>	
<b>BOX 5 - MAIN MILESTONES OF THE SELECTION PROCESS.....28</b>	
<b>BOX 6 - INDICATIVE TYPOLOGY OF CONTRACTS.....29</b>	
<b>BOX 7 - METHODS FOR THE CALCULATION OF EC FUNDING .....</b>	<b>30</b>
<b>BOX 8 - INTELLECTUAL PROPERTY RIGHTS .....</b>	<b>31</b>
<b>IV. HOW PROPOSALS ARE PREPARED AND SUBMITTED .....</b>	<b>32</b>
IV.1. SCOPE OF CALL .....	32
IV.2. PROPOSAL PREPARATION .....	32
IV.3. SUBMISSION OF PROPOSALS .....	34
IV.4. ASSISTANCE AVAILABLE TO PROPOSERS .....	37
<b>BOX 9 - KEY RECOMMENDATIONS.....39</b>	
<b>BOX 10 - THE CERTIFICATES FOR ELECTRONIC SUBMISSION .....</b>	<b>40</b>
<b>NOTES.....41</b>	



## PART 1

### I. THE FIFTH FRAMEWORK PROGRAMME

#### *I.1. Objectives*

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

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

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

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

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

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

The Thematic Programmes are:

- **Quality of life and management of living resources**
- **User-friendly information society**
- **Competitive and sustainable growth**
- **Energy<sup>1</sup>, environment and sustainable development.**

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

The Horizontal Programmes are:

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

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

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

#### *International co-operation*

Participation by entities of third countries and international organisations will be possible in all Programmes in addition to opportunities for participating in the Horizontal Programme “Confirming the international role of Community research”. Conditions for participation, including possible financial arrangements, are specified in section III of this document. Box 1 describes the opportunities for bursaries for young researchers from developing countries.

#### *Innovation and participation of SMEs*

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

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

Socio-economic research can be funded by both the Thematic Programmes and by the key action on “Improving the socio-economic knowledge base” of the Horizontal Programme “Improving the human research potential and the socio-economic knowledge base”. Socio-economic research is present in the Thematic Programmes as an integral part of the technological research activities. Training opportunities for researchers are assured through the Marie Curie system of fellowships that can be implemented by Thematic Programmes as well as by other specific training activities in the Human Potential Programme. The fellowships system is described schematically in Box 2.

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

## ***1.3. Implementation***

### *1.3.1. Work Programme*

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



the work programme when planning a proposal. The Work Programme appearing at the Specific Programme Website is always the current version.

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

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

### *1.3.2. Types of actions supported*

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

#### (a) Shared-cost actions

- **Research and technological development (R&D) projects** – projects obtaining new knowledge intended to develop or improve products, processes or services and/or to meet the needs of Community policies (financial participation: 50 % of total eligible costs<sup>4,5</sup>)
- **Demonstration projects** – projects designed to prove the viability of new technologies offering potential economic advantage but which cannot be commercialised directly (financial participation: 35 % of total eligible costs<sup>4,5</sup>)
- **Combined R&D and demonstration projects**– projects combining the above elements (financial participation: 35 to 50 % of total eligible costs<sup>4,5</sup>)
- **Support for access to research infrastructures** – actions enhancing access to research infrastructures for Community researchers. Support will cover maximum of 100 % of the eligible costs necessary for the action
- **“SME Co-operative” research projects** – projects enabling at least three mutually independent SMEs from at least two Member States or one Member State and an Associated State to jointly commission research carried out by a third party (financial participation: 50 % of total eligible project costs<sup>4</sup>)
- **“SME Exploratory” awards** – support of 75 % of total eligible costs<sup>6</sup> for an exploratory phase of a project of up to 12 months (e.g. feasibility studies, validation, partner search).

#### (b) Training fellowships

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

(c) Research training networks and thematic networks

*Training networks* for promoting training-through-research especially of researchers at pre-doctoral and at post-doctoral level - *and thematic networks* for bringing together e.g. manufacturers, users, universities, research centres around a given S&T objective. Support will cover maximum 100 % of the eligible costs necessary for setting up and maintaining such networks.

(d) Concerted actions

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

(e) Accompanying measures

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

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

### 1.3.3 Clusters

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

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

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

#### *1.3.4. Gender equal opportunities*

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

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

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

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

In order to be eligible, the **bursary applicant** must not be more than 40 years of age at the time of application, must be a national of one of the eligible countries<sup>2</sup> and be established and working in that country and intending to return there at the end of the training period. She/he must also have a good knowledge of a working language of the host institute. Applications from female researchers are encouraged.

The **host institute** must be established in an EU Member State or in a State Associated to FP-5<sup>3</sup> and must be a member of the consortium proposing the research project or concerted action.

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

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

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

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

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

## **Box 2 – The System of Marie Curie Fellowships**

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

### **Individual Fellowships:**

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

Fellowships for young researchers at post-doctoral level or equivalent

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

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

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

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

### **Host Fellowships:**

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

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

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

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

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

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

*Further information on the system of Marie Curie Fellowships and application forms may be obtained from its website (<http://www.cordis.lu/improving/home.html>).*

## **II. THE SPECIFIC PROGRAMME (IST)**

### ***II.1 Programme objective: A User-friendly information society***

The strategic objective of the Information Society Technologies (IST) Programme is to realise the benefits of the information society for Europe both by accelerating its emergence and by ensuring that the needs of individuals and enterprises are met. It is managed by the European Commission, with the assistance of the IST Committee consisting of representatives of each Member and Associated State. The Commission and the IST Committee are supported in their work by an IST Advisory Group of some 25 members who are highly experienced in this field. They provide independent expert advice concerning the content of the IST Workprogramme.

The IST Programme has four inter-related specific objectives. For the private individual, the objective is to meet the need and expectation of high-quality affordable general interest services. For Europe's enterprises, workers and consumers, the objective is to enable individuals and organisations to innovate and be more effective and efficient in their work, thereby providing the basis for sustainable growth and high added-value employment while also improving the quality of working life. In the sector of multimedia content, the key objective is to confirm Europe as a leading force, realising its full potential. For the enabling technologies which are the foundations of the information society, the programme objective is to drive their development, enhance their applicability and accelerate their take-up in Europe.

The Programme follows on from the ESPRIT, ACTS and Telematics Applications Programmes, which were carried out by the Community within the 4th Framework Programme. It is based on a new, integrated approach which reflects the increasing convergence of the information and communications technologies which were addressed individually by those programmes.

### ***II.2 Programme strategy***

Community-funded research in information and communication technology is integral to the overall strategy of the European Union for the Information Society.

Socio-economic needs. Work will target the benefits that information society technologies offer in all industrial and societal activities, from more competitive methods of working and doing business to higher-quality lower-cost general interest services or new forms of leisure and entertainment.

European added-value. Carrying out research and technology development collaboratively across Europe is important in a number of ways; for example to reach a critical mass in terms of skills or other scarce resources; to establish the consensus necessary for standardisation; or to assist with issues such as interoperability.

European competitiveness. Information society technologies support a rapidly increasing range of products and processes throughout the economy. To be competitive in the global marketplace, Europe needs to master both the supply and use of such technologies.

Key considerations which guide programme planning are integration - the need for a single integrated programme reflecting the convergence of technologies and media, industries and markets; and flexibility - ensured by using a "rolling" Workprogramme which refocuses over time in response to industrial, social and technological changes.

Key new features in the programme are the development of Cross-programme themes and project clusters. These two features are described in detail later in this section.

## ***II.3 Programme structure and contents***

### ***II.3.1. Key actions***

The IST Programme contains four inter-related key actions, which define the research priorities.

**(i) Systems and services for the citizen** – to meet the needs and expectations of European citizens for high quality and affordable services of general interest. RTD will be carried out in the fields of health, persons with special needs (including the elderly and disabled), administrations, environment and transport.

**(ii) New methods of work and electronic commerce** – to enable both individuals and organisations to innovate and be more effective and efficient in their work and businesses, thus increasing their competitiveness while improving the quality of the individual's working life and consumer confidence. RTD will support the identification of new organisational paradigms made possible through the convergence of information and communications technology, provide technologies to enhance trust and confidence, and develop tools required by individuals and groups to operate in new organisational environments.

**(iii) Multimedia content and tools** – to confirm Europe as a leading force in this field and enable it to realise the potential of its creativity and culture. It will address issues such as interactive electronic publishing, digital heritage and cultural content, education and training, human language technologies and information access, filtering and handling.

**(iv) Essential technologies and infrastructures** – to further the development of these technologies and infrastructures common to more than one application, enhance their applicability and accelerate their take-up in Europe. RTD will cover areas such as the convergence of information technology and communications; mobile and personal communications; microelectronics; technologies and engineering for software, systems and services; simulation and visualisation technologies; novel multisensory interfaces; and the development of peripherals, subsystems and microsystems.

### **Cross-programme themes**

The programme structure also includes "cross-programme themes" that aim to support the integration of work at the programme level for topics which cut across the programme architecture. Two types of theme are included in the workprogramme. The first are the set of "cross-programme actions" (CPAs) which are specified in the workprogramme and for which RTD proposals are invited. The second are "cross-programme clusters" - an open mechanism - which invites proposals that help focus,

co-ordinate and/or integrate activities amongst related, ongoing RTD projects throughout the programme.

### *II.3.2. Future and emerging technologies*

In order to ensure that the programme remains open to new research ideas for tomorrow, the four key actions are balanced with a future and emerging technologies (FET) action, with a visionary and exploratory perspective. This involves research of a longer-term or particularly high risk nature, but which promise major advance and potential for significant industrial and societal impact. FET can be seen as a “nursery” for novel and emergent ideas which may later become mainstream topics. As such, FET is not constrained by the priorities of the key actions but rather aims to open new possibilities and to set new trends for future research.

### *II.3.3. Activities in support of research infrastructures*

The programme will support activities involving the broadband interconnection of existing national research and education networks, and also the integration of leading-edge European experimental testbeds.

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

The nature of information society technologies requires close coordination with various Community and other programmes and policy initiatives in areas where their deployment plays a critical role. This includes programmes concerning manufacturing, transport, the environment and healthcare. Cofunding of research and non-research activities could for example include demonstration projects carried out in conjunction with activities funded from Community structural funds.

Satellite related activities will be coordinated with other initiatives in the context of the Commission’s Space Coordination Group. The important element of international cooperation will be ensured by close links with the programme “Confirming the international role of European research”, and with other relevant international initiatives.

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

### *II.5.1. Types of Calls*

Most activities within the programme will employ the mechanism of periodic calls, in which proposals will be invited for submission within a defined timeframe (“**fixed deadline proposals**”).

Certain specific activities within the Workprogramme will be subject to a continuous submission procedure without fixed deadlines. Proposals will be batched and the batches evaluated at intervals that depend on the number of proposals received, but which will not exceed 3 months.

### *II.5.2. Specific implementation modalities*

The programme’s goals imply that continuous efforts are required in research, technological development, demonstration and technology take-up. Each key action will, as appropriate, have a balance of the complete range of RTD activities from basic research to demonstration and take-up actions. To accelerate the realisation of knowledge as innovation, the programme must integrate with basic research and



technological development measures to stimulate the take-up of these information society technologies, so as to ensure that the conditions and requirements for their use can be met. In addition to demonstrations and trials, these include actions to stimulate the development and diffusion of the skills necessary to take-up research and development results (such as validations, assessments, awareness building, first-user actions and best-practice initiatives) and consensus building and standardisation activities.

#### *II.5.3. For training and workshops*

The IST Programme will also support Marie Curie Industry Host Fellowships and will co-operate with the programme “Improving the human research potential and the socio-economic knowledge base” with regard to other categories of fellowships offered by that programme. The Programme will initiate other training actions and workshops according to need during the lifetime of the programme.

#### *II.5.4. Other implementation strategies*

### **The IST Workprogramme**

The IST Workprogramme describes in detail the objectives and the RTD priorities of the IST Programme. The Workprogramme will be adapted each year to ensure its continued relevance in the light of evolving needs and developments.

The Workprogramme includes an indicative timetable or “roadmap”. This indicates which parts of the Workprogramme will be opened by Calls for Proposals in the current year, and it also gives an outline plan for the following year. The implementation of a timetable procedure of this sort provides a means of focusing attention on areas or sub-areas, thereby optimising opportunities for launching cross-key action projects and improving programme coherence, including for example the establishment of thematic networks or of project clusters (see below).

### **Integration**

Integration at the programme level will be an important feature of the IST programme. Firstly, the issues of usability, interoperability, dependability and affordability will be addressed ubiquitously throughout the Programme. Secondly, clustering (see below) and concertation will be used to focus, coordinate and integrate activities. Thirdly, Cross-programme actions will be initiated which will focus on a limited number of specific issues relevant to the entire Programme.

### **Clustering**

Given the integrated nature of the programme, projects are encouraged to work together, to pool and to collectively build on their individual results whenever it makes sense to do so. Project clusters, each with their own specific objective, will be actively supported and encouraged in so far as they add value to the results of the IST programme seen as a whole. Whilst remaining a voluntary activity, it is anticipated that projects will find it to be in their own interest - and so worthwhile - to actively contribute to the work of specific clusters.

Clusters may centre on a specific Action Line or Key Action, but most are expected to be Cross Programme in nature. These will span more than one Key Action, and may include one or more external bodies as target recipients for their results. Individual clusters may be awarded a supplementary contract to support their work, where their participants have collectively submitted a proposal requesting this.

## ***II.6. References***

Decision on the 5th Framework Programme	<a href="http://www.cordis.lu/fp5/src/decisions.htm">http://www.cordis.lu/fp5/src/decisions.htm</a>
Decision on the IST Thematic Programme	<a href="http://www.cordis.lu/fp5/src/decisions.htm">http://www.cordis.lu/fp5/src/decisions.htm</a>
IST Workprogramme	<a href="http://www.cordis.lu/ist">http://www.cordis.lu/ist</a>
IST Evaluation Manual	<a href="http://www.cordis.lu/ist/src/library.htm">http://www.cordis.lu/ist/src/library.htm</a>
Marie Curie Industry Host Fellowships	<a href="http://www.cordis.lu/improving">http://www.cordis.lu/improving</a>

### III. PARTICIPATION IN ACTIVITIES IN THE FIFTH FRAMEWORK PROGRAMME

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

It is based on the Annex IV of the decision on the Fifth Framework Programme<sup>8</sup>, the decision on the rules of participation<sup>9</sup>, and other subsequent texts or documents<sup>10</sup>.

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

##### III.1.1. *Who ?*

The Framework Programme, with its corresponding financial support, is open to all legal entities established in the Member States of the European Union – e.g. individuals, industrial and commercial firms, universities, research organisations, etc.. including SMEs. The Programme is also open to all legal entities established in any of the other States associated to the Programme (see box 4).

Participation and financing for legal entities established in other countries ('third countries') is governed by common conditions which are applied throughout the Fifth Framework Programme (see boxes 3 and 4), with the exception of the Programme '*Confirming the international role of Community research*' under which some entities are entitled to full participation depending of their country of origin<sup>11</sup>.

##### III.1.2. *How many?*

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

However, certain actions may vary from this general rule - either by requiring more participants or by permitting a single one (see box 6).

##### III.1.3. *Role of the participants*

Participants in a proposal fall into a number of different legal categories, according to the type of activity proposed and the nature of a participant's role in it (see box 6).

- For **Research and Technological Development (R&D) projects, Demonstration projects and Combined projects**, a participant who has a wide-ranging role in the project throughout its lifetime is normally a **principal contractor**. A participant whose role is largely in support of one or several of these principal contractors is termed an **assistant contractor**.
- For **access to research infrastructure**, the infrastructure is a **principal contractor**<sup>12</sup>.

- For **SME co-operative research projects**, SMEs benefiting from the project are **principal contractors**. Organisations performing the research are named **RTD performers** and, as such, are not considered to be "participants"<sup>13</sup>.
- For **Exploratory awards**, SMEs are **principal contractors**.
- **Concerted Actions, Research Training Networks and Thematic Networks** distinguish between the **principal contractor(s)**<sup>14</sup> who lead the action, and the **members** who are associated with them.
- For **Accompanying Measures**, the participants role shall vary according to the nature of the action (see box 6). In general, participants are all **principal contractors**. By way of exception, some can be **members**.

The participants designate amongst themselves a single co-ordinating principal contractor ("**co-ordinator**"), who takes the leading role in representing the proposal during the selection procedure.

For specific tasks of a fixed duration, a proposal may also include **sub-contractors**, who are not considered to be "participants".

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

#### *III.2.1. The call for proposals*

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

A Call may address the full programme, a key action, one or several research themes (areas, sectors, action lines, topics,...). In order to ensure co-ordination among the Specific Programmes, common Calls may be published. The objectives to be achieved may also be fully detailed, for example in the case of key actions or dedicated calls<sup>15</sup>.

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

Certain Accompanying Measures may however be based on unsolicited proposals or on a call for tender, and shall therefore be subject to a different process<sup>16</sup>.

#### *III.2.2. Submission*

Participants should complete the appropriate Proposal Submission Form corresponding to the type of action involved, preferably using the software tool that the Commission supplies.

They should submit the proposal electronically, or by mail with notice of receipt, or deliver it by hand before the deadline given in the Call for Proposals.

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

#### ***III.3.1. General principles***

The evaluation of proposals will be based on the fundamental principles of transparency and equality of treatment. The entire selection process is described in detail in the Evaluation Manual (see also box 5). Appendix 6 in PART 2 of this Guide gives a short overview of the process and describes in detail the criteria on which the proposals will be evaluated.

***In general, and in order to help the Commission,*** panels of independent, external experts<sup>17</sup> will be constituted covering a wide range of relevant expertise, without linguistic or geographic bias. Proposers' confidentiality will be fully respected, both to avoid conflicts of interest and to preserve the impartiality of the independent experts.

#### ***III.3.2. Conformity check and eligibility***

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

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

#### ***III.3.3. Evaluation***

Proposals will be evaluated according to criteria grouped into five categories, as laid down in the Work Programme applicable to the relevant call. The content and the respective weighting of the criteria are described in the Evaluation manual. Ethical aspects have to be taken into account in the process.

#### ***III.3.4. Outcome of the evaluation***

The experts examine proposals individually, then meet as a panel to agree a ranking. At this stage, they may recommend, that certain proposals should be combined into larger projects such as clusters (see section I.3.3).

Following the evaluation, and according to the interest of the Community's policies, the Commission will establish a list of proposals in order of priority. Late or ineligible proposals, those of inadequate quality or for which there is not adequate budget will be subject to a "non-retained" decision by the Commission. This information, with the main reason for non-retention, will be communicated to the proposers concerned.

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

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

A brief report on the evaluation prepared by the Commission will be sent to the proposers via the proposal co-ordinator, and further administrative and financial information will be required to assess the viability of the proposed project.

Hence, participants will have to demonstrate that they have all the necessary resources<sup>18</sup> needed for carrying out the project. The Commission will check these, and may seek to safeguard its interest by asking a bank guarantee or by other measures.

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

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

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

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

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

#### *III.5.1. The various types of contracts*

Research contracts from the Commission fall into five main groups. They each have their own detailed conditions, appropriate to the types of action and the activities to which they refer. (see boxes 6, 7 and 8).

#### *III.5.2. The subject of the contract*

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

In return, the Commission undertakes to contribute financially to the realisation of the project, normally by reimbursing a certain percentage of the project costs<sup>19</sup>.

#### *III.5.3. Rights and obligations of participants*

Participants in an action supported by the Community are individually subject to all rights obtained, and all obligations incurred towards the Commission. However, these may vary according to the nature of the action or the category of participant:

- **For Research and Technological Development projects, Demonstration projects and Combined projects**, principal contractors are distinguished from assistant contractors in two main ways:
  - ◆ Only the principal contractors share joint and several responsibility for the execution of the contract, to the maximum of their capacity;
  - ◆ Principal contractors are required to share freely between themselves the know-how necessary to the execution of the project. An assistant contractor only benefits from this right with respect to his principal contractor. (see box 8)

- **For access to research infrastructure**, the principal contractor is responsible for the implementation of the action.
- **For SME Co-operative research projects and SME Exploratory awards**, principal contractors share joint and several responsibility and have the same access to intellectual property rights. It should be noted that **RTD performers**, although they are not considered to be "participants", can have access to the know how that are necessary to perform the research, and, in specific cases, to the knowledge resulting from the projects (see box 8).
- **For Concerted Actions, Research Training Networks and Thematic Networks**, principal contractor(s)<sup>20</sup> sign a membership contract with their members, with the prior agreement of the Commission and in conformity to their own Commission contract, and share with them joint and several responsibility. This distinction has no incidence concerning intellectual property rights.
- **For Fellowships**, the Commission's contract is normally offered to the host institution, which then signs an agreement with the Fellow, conforming to the terms of the Commission's contract. Exceptionally, in the case of Fellowships for Community Researchers (INCO), the Commission contract may be with the Fellow personally. In general, intellectual property rights shall be addressed in the agreement signed with the Fellow and according to the national legislation of the host institution.
- **For Accompanying Measures**, principal contractors and eventual members share joint and several responsibility.

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

#### *III.5.4. The co-ordination of the project*

Within a consortium, participants shall designate one of the principal contractors to warrant the co-ordination function<sup>21</sup>.

The co-ordinator is subject to supplementary rights and obligations towards the Commission, due to his functions as liaison between the participants and the Commission, responsible for collecting, integrating and submitting project deliverables, and for distributing the funds received from the Commission.

The costs incurred by the co-ordinator in the fulfilment of his responsibilities may be reimbursed under certain conditions (see boxes 6 and 7).

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

### *III.5.5. External services*

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

Sub-contractors make no financial investment in the project, and they therefore do not benefit from any intellectual property rights arising from its achievements (see boxes 6 and 7).

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

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

These reports will be analysed by Commission services in the light of the criteria, which lead to the original selection of the proposal, to ensure the project conforms to the conditions associated with the Community financial contribution, and that the progress foreseen actually takes place. The reports are also used to assess whether and in what manner the project should continue to be supported.

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

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

In exchange for the execution of the research project by the participants, and their use of the results, the Commission undertakes a financial contribution to the work.

With the exception of those cases where the Commission's contribution takes the form of a lump sum, payment consists in the reimbursement of eligible costs incurred by participants following a predetermined calculation method. Payment is made in instalments at regular intervals.

#### *III.7.1. Incurred eligible costs*

In order that the Commission fulfils this obligation, participants are required to identify and declare their eligible costs by the submission of interim and final cost statements. Participants must retain supporting documents, which justify these costs, for at least 5 years from the end of the contract, to permit inspection by Commission services or other institutions, particularly the Court of Auditors.

The different categories of costs that are eligible for Commission funding differ according to type of contract (see boxes 6 and 7).



### *III.7.2. Calculation methods*

A number of different methods for calculating the Commission funding are applied, depending on the type of action involved and on the participant's capacity to identify his incurred costs (see boxes 6 and 7).

### *III.7.3. Payment of the contribution*

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

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

### Box 3 - Co-operation with non-EU Countries and International Organisations

#### *Opportunities for participation in proposal consortia*

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

(i) Countries associated to FP-5: For each of these countries, institutions may participate and be funded, with similar rights and responsibilities to EU Member State participants, once the Association Agreements come into force (see box 4).

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

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

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

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

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

For country groupings, see box 4

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

### Box 4 - Participation from non-EU countries in FP5 <sup>1</sup>

<b>ASSOCIATED STATES</b>  may participate <b>WITH COMMUNITY FUNDING</b> once the Association Agreement is in force <sup>2</sup>	<b>CANDIDATES FOR EU-MEMBERSHIP</b>	<b>BULGARIA, REPUBLIC OF CYPRUS, CZECH REPUBLIC, ESTONIA, HUNGARY, LATVIA, LITHUANIA, POLAND, ROMANIA, SLOVAKIA, SLOVENIA .</b> Association Agreements are expected to enter into force in 1999.
	<b>EFTA-EEA</b>	<b>ICELAND, LIECHTENSTEIN, NORWAY:</b> association to FP5 is part of the extension of the EEA agreement; entry into force expected in 1999.
	<b>OTHERS</b>	<b>ISRAEL :</b> Association Agreement in force.  <b>SWITZERLAND :</b> Negotiations finalised.
<b>Third countries / International Organisations</b>  may participate on a project by project basis if in conformity with the interests of the Community  <b>WITHOUT COMMUNITY FUNDING</b>  (exceptionally with Community financing if financing is duly justified as being essential for achieving the objectives of the project)	<b>OTHER EUROPEAN</b>	<b>ALBANIA, BOSNIA-HERZEGOVINA, FORMER YUGOSLAV REPUBLIC OF MACEDONIA</b> <b>MALTA and TURKEY</b> are also shown under Mediterranean Partnership. <b>MICROSTATES AND TERRITORIES IN EUROPE<sup>3</sup></b>
	<b>EUROPEAN NIS</b>	<b>ARMENIA, AZERBAIJAN, BELARUS, GEORGIA, MOLDOVA, RUSSIA, UKRAINE.</b>
	<b>MEDITERRANEAN PARTNERSHIP</b>	<b>ALGERIA, REPUBLIC OF CYPRUS<sup>4</sup>, EGYPT, , JORDAN, LEBANON, MALTA, MOROCCO, PALESTINE AUTHORITY, SYRIA, TUNISIA, TURKEY.</b> <i>All above countries may participate project by project on a self financing basis.</i>
	<b>COUNTRIES WITH COOPERATION AGREEMENT</b>	<b>SOUTH AFRICA, USA :</b> Agreement in force (FP5). <b>CANADA:</b> The Agreement widening the 1996 S&T Agreement to new research areas is signed <b>CHINA:</b> Agreements signed (first activity FP5) <b>AUSTRALIA:</b> Negotiations for the widening of the 1994 S&T Agreement to new research areas are finalised <b>ARGENTINA, RUSSIA :</b> Negotiations finalised (first activity FP5).  <i>The above countries may participate project by project on a self financing basis in the fields covered by the Co-operation Agreement, once in force (until then, Russia may participate as an European NIS, the others as "any country").</i>
	<b>ANY OTHER COUNTRY</b>	<i>May participate project by project on a self financing basis only if its participation is also of substantial added value for implementing all or part of the specific programmes in accordance with the objectives of the programme .</i>
	<b>INTERNATIONAL ORGANISATIONS</b>	<i>May participate project by project on a self financing basis.</i>

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

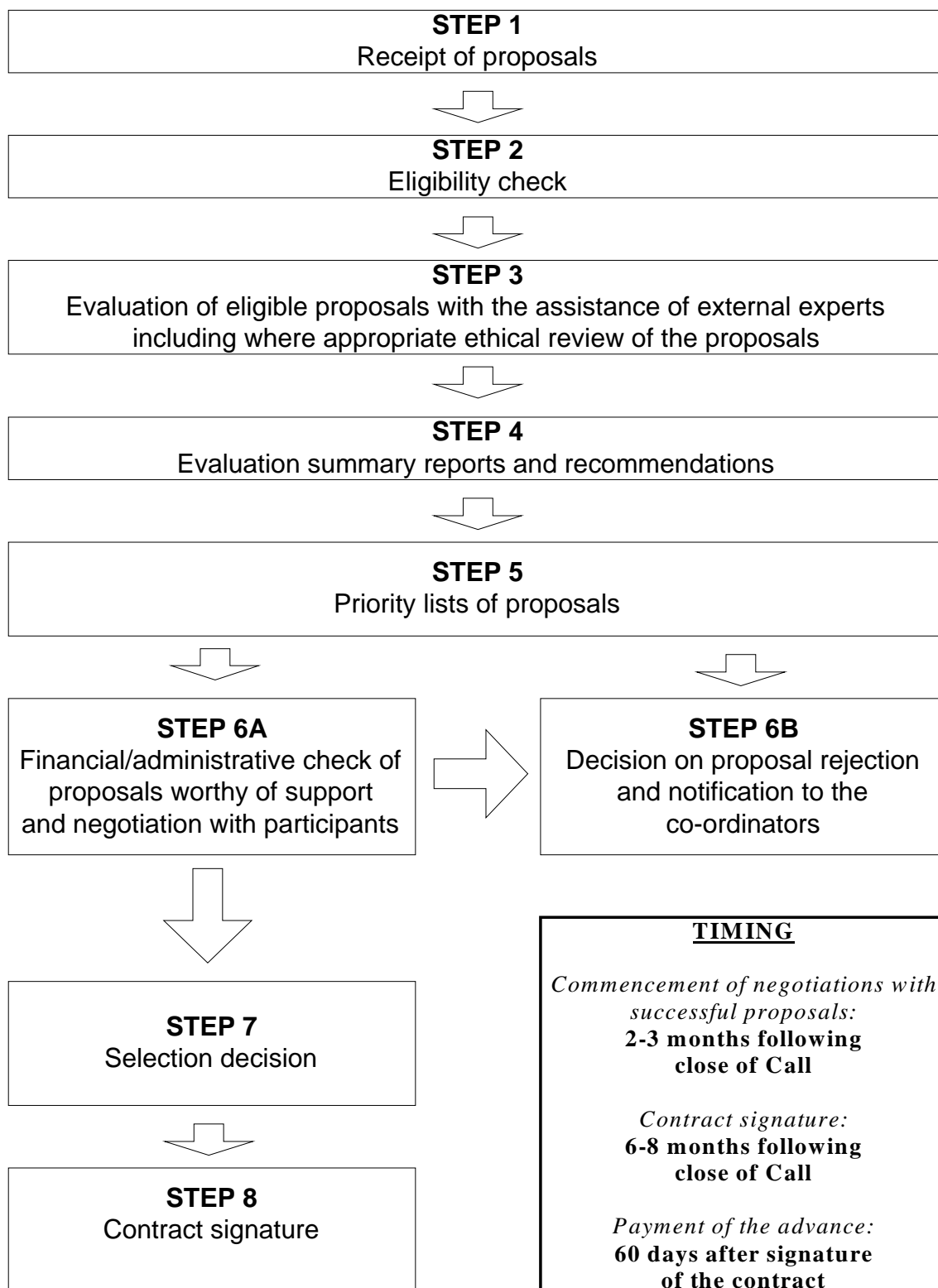
1. Different rules apply for the Specific Programme 'Confirming the international role of Community research' (EXCEPT FOR ASSOCIATED STATES) and the EURATOM Framework Programme

2. Proposals for projects comprising partners from these states will be treated, in the evaluation process, as if these states were already associated (eligibility, evaluation of management and resources aspects, contribution to Community policy,...). However, when taking its selection decision on any such project, the Commission shall only take into account those association agreements that will be in force at that time. This also applies to fellowships. **For latest information on entry into force of these agreements, please consult [www.cordis.lu/fp5/src/3rdcountries.htm](http://www.cordis.lu/fp5/src/3rdcountries.htm)**

3. Andorra, Monaco, San Marino, Vatican City State (Holy See), Faeroe Islands (DK), Channel Islands (GB), Isle of Man (GB), Svalbard and Jan Mayen Islands (NO).

4. In the case of a country becoming associated to FP5, that status takes precedence over any other.

### Box 5 - Main milestones of the selection process



### BOX 6 – Indicative Typology of Contracts

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

\* FC = Full Costs/ FF= Full costs Fixed rate/AC= Additional Costs/ UF = User Fee. For more information, see Box 7.

<sup>1</sup> Direct costs, excluding subcontracting costs

<sup>2</sup> Up to maximum of □22,500

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

<sup>4</sup> Organisation costs (see specific Guide for Proposers)

## Box 7 - Methods for the calculation of EC funding

### Full cost (FC)

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

### Full costs Flat rate (FF)

The participants who may participate on a full cost participation basis may elect the overhead to be charged on a flat rate basis, 80 % of the direct personnel cost.

### Additional cost (AC)

Subject to the specific contract terms, the Commission shall only take into account those direct costs that are not covered by a recurrent funding. **AC = total direct additional costs + x% overhead on direct costs (excluding subcontracting) (for x% see box 6).**

### User Fee (UF)

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

### **COSTS CATEGORIES**

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

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

### BOX 8 - Intellectual Property Rights

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

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

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

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

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

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

## **IV. HOW PROPOSALS ARE PREPARED AND SUBMITTED**

This section contains general information on how to prepare and submit a proposal for the Fifth Framework Programme. The specific information concerning particular calls within an individual programme (e.g. the types of work requested in the call, the deadline for submission etc.) is dealt with separately in PART 2 of this Guide).

### ***IV.1. Scope of Call***

#### *IV.1.1. Content of Call*

The broad fields of activity required by a Call are identified in the announcement in the Official Journal of the European Communities. Proposers should then refer to the current Work Programme, which gives fuller details of the work required.

Proposals corresponding to other parts of the Work Programme than the parts, which are opened by the Call in the Official Journal, will not be evaluated.

#### *IV.1.2. Duration and scope of projects*

Proposers are normally free to define the timescale and resources required to carry out their proposed work, unless guidelines are supplied in the Call for Proposals or the Work Programme, depending on the type of activity to be carried out.

#### *IV.1.3. Special conditions*

Special conditions may be applied to proposals in response to a Call. If this is the case, they are detailed in the Call for Proposals or the Work Programme.

#### *IV.1.4. Optional pre-proposal check*

In some cases where specified in the Call for Proposals, the Commission services may offer an optional pre-proposal checking service. These checks are an informal advisory service offered by the Commission services to the research community. Their purpose is to advise potential proposers on whether their proposals would fulfil formal eligibility criteria and on whether they appear to be within the scope of the calls for proposals. The submission of such a pre-proposal is not obligatory, and the feedback provided by the Commission services does not commit the Commission to accept, nor oblige the proposer subsequently to submit, a proposal.

A form for pre-proposal checking is supplied in PART 2 of this document (see Appendix 3) if the Call concerned includes this service.

### ***IV.2. Proposal preparation***

#### *IV.2.1. General recommendations*

Proposals must be structured according to the appropriate Proposal Submission Form, and must be submitted either electronically or on paper as described in the Call for Proposals by the deadline given. In addition, experience in previous Calls shows that a number of other general recommendations may be helpful (see Box 9).



#### *IV.2.2. Proposal language*

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

#### *IV.2.3. Proposal Submission Forms*

Forms have been prepared which collect the information required for each proposal - the Proposal Submission Forms. These are designed both to ensure that all necessary information is collected and also to allow a fair and equal comparison between proposals. There are several versions, differing according to the types of action proposed (RTD projects – including Demonstration projects, Accompanying measures, Concerted Actions.....etc.). **Proposers must ensure they are using the appropriate form for the type of action they are proposing.**

#### *IV.2.4. Proposal Preparation Tool*

The Commission has prepared a software tool (the Proposal Preparation Tool or “ProTool”) which is available at the Fifth Framework Programme or the Specific Programme website or on request to the programme Infodesk. This tool helps proposers to prepare the administrative and financial information of a proposal in conformity with the appropriate Proposal Submission Form. This tool is therefore used by the Coordinating Partner. A version of the tool is also available for participants, allowing them to prepare their contribution electronically for electronic communication to the Coordinating Partner.

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

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

#### *IV.2.5. Structure of Proposal Submission Forms*

The Proposal Submission Form **for shared-cost RTD projects** (including demonstration and combined projects) is as follows.

The RTD Proposal Submission Form is in three parts. Part A collects necessary administrative information about the proposal and the proposers (e.g. proposal name, proposers’ names and addresses, brief description of the work, total funding requested by type of expense etc.). This information is collected to assist in the preparation of a contract if the proposal is successful. It is subject to verification by the Commission services.

Part B (which unlike Part A is in the form of a structure or list of topics which should be followed, rather than a pre-prepared form) describes in detail the nature of the work which will be undertaken. This section must be “anonymous”, except if otherwise specified, that is to say, it may contain no information which reveals the identity of participants. In special cases the anonymity requirement may be lifted. The Call-specific PART 2 of this Guide details the anonymity requirement for the particular Call.

Part C (which is also in the form of a structure to be followed) then identifies and describes fully the partners and their role in the consortium and in the proposed project. Only after the evaluators have recorded their scores for Part B are they given Part C to review, except if otherwise specified.

Forms for **Accompanying measures** and for **Concerted actions/Thematic networks** are similarly divided into Parts A, B and C.

**When preparing a proposal on paper, the proposer must indicate the proposal short name (acronym), the proposal number (if a number has been allocated before submission by the Commission) and the date of preparation at the top of every page of the parts B and C, and on all annexes. Pages must be clearly numbered.**

There are special forms for Bursaries for young researchers from developing countries which are requested in conjunction with an RTD proposal. Marie Curie Fellowship applications and applications for the SME-specific measures included in the Fifth Framework Programme also have their own forms, which are included in the specific Guides to Proposers that have been prepared for these actions.

### ***IV.3. Submission of proposals***

#### ***IV.3.1. Introduction***

If the proposal has been prepared on paper following the format given in the appropriate Proposal Submission Form, it may be submitted on paper to the European Commission. If the proposal is made with the ProTool and is then printed out on paper, this paper version may also be submitted.

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

Submission takes place in the following steps, which are detailed in the rest of this section:

<i>The proposer may be required in the Call for Proposals to submit a request for a proposal number. This form (Notification of Intention to Propose) is sent to the Commission services via fax or electronic mail.</i>	
<i>The requested proposal number is sent back to the proposer by fax or electronic mail from the Commission.</i>	
<i>The proposal is prepared either in electronic or paper form, preferably using ProTool.</i>	
<i>The co-ordinator checks the proposal against the key recommendations (Box 9)</i>	
<i>The co-ordinator requests a pre-proposal check from the Commission, if this service is offered for the call concerned.</i>	
<b><i>Electronic submission</i></b>	<b><i>Paper submission</i></b>
<i>The submitting partner in the consortium seeks certification for the Programme.</i>	<i>The proposal is sent to the Commission in the form of bound and unbound paper copies.</i>
<i>The proposal is submitted electronically following the instructions given with ProTool.</i>	

#### *IV.3.2. Notification of intention to propose*

If stated as a procedure in the Call specific part of this guide (see PART 2), the co-ordinating contractor (Co-ordinator) of the proposal should prepare a request for a proposal number using the appropriate form, which is sent to the Commission services via fax or electronic mail. The requested proposal number is sent back to the proposer by fax or electronic mail from the Commission. This proposal number is used to identify the proposal throughout the evaluation process.

#### *IV.3.3. Certification*

In order that a proposal can be sent electronically to the Commission, the co-ordinator (or other partner who is submitting the completed proposal) must request in advance a certificate which will allow him to digitally sign the proposal (see Box 10). A request for certification is made by using the ProTool.

#### *IV.3.4. Submission of a proposal by electronic means*

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

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

On receipt, the Commission will electronically archive, under secure conditions, the validation and proposal file as received. After decryption and unpacking also a copy of the

proposal as provided to evaluators will be archived electronically under the same conditions, together with the necessary information on the tools and information used to decrypt and unpack.

If the Commission receives multiple electronic versions of the same proposal, it will evaluate only the last version received before the Call deadline, and discard the others.

Senders are warned that the Commission cannot be held liable for unlawful use of the encryption tools provided, the use of which may be forbidden in some circumstances in some Member States.

#### *IV.3.5. Electronic submission fall-back procedure*

Failure in downloading or an inability to decrypt or read a proposal file will result in a fall-back procedure being initiated by the Commission. The Commission will within 24 hours request those proposers to submit a back-up copy of their proposal. The back-up should arrive within 48 hours and must be identical to the file produced during sealing, which will be checked by use of the unique identifier provided in the validation file. (Proposers planning electronic submission are recommended to prepare such a back-up copy in advance, for use if called for).

#### *IV.3.6. Submission of a proposal on paper*

Where national regulations concerning the sending of data do not permit the use of encryption, and thus confidential transmission cannot be ensured; or where proposers for some other reason prefer it, proposals may be prepared using the ProTool then printed out on paper, or may be fully prepared on paper using the appropriate Proposal Submission Form (see Appendix 1 in PART 2).

ProTool permits preparation of proposals for the main types of activity within the Fifth Framework Programme. In exceptional cases an appropriate version of ProTool may not be available, in which case only paper submission will be possible. The Proposers Guide for the call concerned will indicate the structure of the proposal required, and Adobe forms will be made available).

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

**Paper proposals should be prepared with five bound copies of Part A, five bound copies of Part B and five bound copies of Part C, and one complete unbound paper original with original signatures.**

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

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

The package should also contain a completed “Acknowledgement of receipt” form (see Appendix 4 of PART 2) so that the Commission can return notification of safe arrival of the proposal.

This envelope/these envelopes should then be sealed within a second envelope or packaging, which is addressed to the Commission office for receipt of proposals given in Section V of this guide.

Proposals on paper may be sent to the Commission by mail, by trusted delivery service or by hand as described in Section V.

#### *IV.3.7. Acknowledgement of receipt*

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

Proposers who do not receive an acknowledgement of receipt within three weeks after the deadline, and fear their proposal is lost, should contact the programme Infodesk. **Proposers are reminded that it is their own responsibility to ensure the safe delivery of their proposal.**

#### *IV.4. Assistance available to proposers*

The EC carries out a range of activities in support of potential proposers. These vary as appropriate according to the nature of the call and the specific programme concerned, and therefore they are detailed in Section V of this document.

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

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

The certification service provider has established a EU-wide support network for proposers in the national languages. Details are given on the web page relating to this service.

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

To support partner search activities, the Commission’s CORDIS server in Luxembourg (<http://www.cordis.lu/fp5/>) offers a number of services and information sources which may be

useful in this respect. The CORDIS website also contains a list of organisations which have already expressed an interest in participating to the different programmes under the Fifth Framework Programme, with a number of supporting details about each.

## Box 9 - Key recommendations

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

### Final Advice:

Arrange for your draft proposal to be evaluated by experienced colleagues before sending it, using the evaluation criteria described in Appendix 6 (PART 2). Use their advice to improve it before submission.

### Box 10 - The certificates for electronic submission

The Commission has subcontracted the issuing of certificates to the ***Fifth Framework Programme Certification Service Provider*** (FP5-CSP). The address will be made available in ProTool, as well as on the programme website.

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

***Standard certificates*** (Class-II) can be obtained by downloading, installing and using the ProTool (in the version to be launched early April 1999). Proposers are requested to complete and sign a request form and to send this to the FP5-CSP. Once the FP5-CSP has received and accepted the form, a certificate will be provided. This certificate allows electronic submission of proposals for the duration of the certificate (normally one year, but extendible), without any further exchange of paper information.

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

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

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



## Notes

- 
- <sup>1</sup> Activities carried out in this area will be closely co-ordinated, as appropriate, with the activities of the Fifth Euratom Framework Programme for research and training. The specificity of the latter will be described in a separate information brochure.
- <sup>2</sup> It will also carry out research and development activities conducted by the Joint Research Centre
- <sup>3</sup> In the Decisions adopting the Specific Programmes, there can be no derogation from the financial participation rates set out here, with the exception of duly justified special cases
- <sup>4</sup> The rates may need to be adjusted in individual cases to comply with the Community framework for State aid for R&D (O.J. C 45, 17.2.1996) and with article 8 of the WTO Agreement on subsidies and countervailing measures (O.J. L 336, 23.12.1994). If the project is supported financially by a Member State or one of its public bodies, the cumulation rule applies, according to item 5.12 of the above mentioned Community framework.
- <sup>5</sup> In the special case of legal entities which do not keep analytical accounts, the additional eligible costs generated as a result of the research will be financed at the rate of 100 %
- <sup>6</sup> EC funding up to maximum of €22,500
- <sup>7</sup> In the case of industrial host fellowships, this will normally approximate to 50 % of the total eligible costs
- <sup>8</sup> European Parliament and Council Decision N° 1999/182/EC of 22 December 1998 concerning the Fifth Framework Programme of the European Community for research, technological development and demonstration activities (1998-2002)
- <sup>9</sup> Council Decision 1999/65/EC of 22 December 1998 concerning the rules for the participation of undertakings, research centres and universities and for the dissemination of research results for the implementation of the Fifth Framework Programme of the European Community (1998-2002)
- <sup>10</sup> Council Decisions on the specific programmes, Commission Regulation implementing the Council Decision 1999/65/EC concerning the rules of participation, Work Programmes of the specific programmes, model contracts, Evaluation Manual,...
- <sup>11</sup> See the Work Programme of the Specific Programme “*Confirming the international role of Community research*” and its corresponding Guide for Proposers.
- <sup>12</sup> Anywhere where it is possible for easy reading, the word “contractor” may be used.
- <sup>13</sup> Specific rules related to their participation in this type of action can be found in the ad hoc information brochure devoted to SMEs.
- <sup>14</sup> A single contractor is possible in the case of Concerted Actions, Thematic and Training Networks
- <sup>15</sup> Such calls are based on Community need to support certain of its policies (standardisation, anti-fraud actions...)
- <sup>16</sup> See Vademecum on grant management and the rules for public procurement
- <sup>17</sup> Experts shall be selected following a Call for candidates. However, in exceptional cases, the evaluation process may be conducted without them. The Commission's services shall however follow the rules set out in the Evaluation Manual.
- <sup>18</sup> These include human resources, infrastructure, financial resources and, where appropriate, intangible property.
- <sup>19</sup> In certain exceptional cases by paying a fixed lump sum.
- <sup>20</sup> A single contractor is possible in the case of Concerted Actions, Thematic and Training Network Actions, where he carries out the co-ordinator role.
- <sup>21</sup> This role may in exceptional cases be carried by two contractors, with one responsible for the scientific co-ordination, and the other responsible for financial matters (e.g.: if the scientific co-ordinator is unable to receive Community funding due to his status, his location, his uncertain financial standing, or because he is unable to distribute funds to participants in due time).