

GUIDE FOR PROPOSERS

PART 1

This second edition introduces no substantial changes concerning the informations given to proposers in the March 1999 edition. Improvements are the results of experience with the use of the March 1999 edition.

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COMPETITIVE AND SUSTAINABLE GROWTH

Foreword

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

PART 1

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

Section II describes the priorities and objectives of the Specific Programme on **Competitive and Sustainable Growth**.

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

PART 2

Section IV provides detailed information for the **call for proposals for the Growth Programme, as well as proposal submission forms**.

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

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

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

The Evaluation Manual (as well as programme specific guidelines that may be included in Part 2 of this Guide). These documents provide details of which criteria will be used in the evaluation of proposals, which weight is attributed to each of the criteria and where appropriate the threshold to be attained in order to be retained. You can use the Evaluation Manual and the guidelines as a checklist to ensure the completeness of your proposal.

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

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

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PART 1

I. THE FIFTH FRAMEWORK PROGRAMME¹

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 apply for all levels: the Framework Programme as a whole, the Specific Programmes implementing it and the RTD activities covered by those programmes.

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

I.2. Structure and contents

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

The Thematic Programmes are:

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

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

The Horizontal Programmes are:

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

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

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

- By **integration between Horizontal and Thematic Programmes objectives.**

International co-operation

Participation by entities of third countries and international organisations is possible in all Programmes in addition to opportunities for participation 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 of SME stimulation measures will be found in a dedicated special information brochure. 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 facilitate technology transfer and the 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 System of Marie Curie 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 the 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 RTD² activities, carried out under the Specific Programmes implemented within the Fifth Framework Programme. The general rules³ are as follows:

(a) **Shared-cost actions**

- **Research and technological development (R&D) projects⁴** – 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^{4,5})
- **Demonstration projects⁴** – 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 costs⁵)
- **Combined R&D and demonstration projects⁴** – projects combining the above elements (financial participation: 35 to 50 % of total eligible costs^{4,5})
- **Support for access to research infrastructures** (only implemented under “Improving the human research potential and the socio-economic knowledge base” – IHP Programme) – actions enhancing access to research infrastructures for Community researchers. Support will cover a maximum of 100 % of the eligible costs necessary for the action
- **“SME Co-operative” research projects⁴** – 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 costs⁴)
- **“SME Exploratory” awards** – support of 75 % of total eligible costs⁶ 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 action⁷). See Box 2 .

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

(c) **Research training networks and thematic networks**

- *Training networks* for promoting training-through-research especially of researchers at pre- and post-doctoral level (these are only implemented under the IHP programme);

- *and thematic networks* for bringing together e.g. manufacturers, users, universities, research centres around a given S&T objective. These include co-ordination networks between Community funded projects. Support will cover a 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 national funding, for example to exchange experiences, to reach a critical mass, to disseminate results etc. (financial participation: maximum of 100 % of the eligible costs necessary for the action).

(e) Accompanying measures

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

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

1.3.3 Clusters

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

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

1.3.4. Gender equal opportunities

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

Box 1 - Bursaries for Young Researchers from Developing Countries

When preparing a joint research proposal¹ 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 bursary². 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 Countries³ 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 countries³ 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-5⁴ and must be a member of the consortium proposing the research project or concerted action.

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

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

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

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

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

4 For the list of Associated States, see box 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>) or from the IHP Programme's information desk .

II. The Competitive and Sustainable Growth Programme

II.1. Programme objectives

The main targets of the **Competitive and Sustainable Growth Programme** are:

- to produce, disseminate and use the knowledge and technologies needed to design and develop processes and produce high quality, environment- and consumer-friendly products which will be competitive on tomorrow's market;
- to help increase economic growth, maintain and/or create new jobs in Europe;
- to sustain the continuing innovation and modernisation efforts of manufacturing, processing and services enterprises (including SMEs) so as to improve their competitiveness;
- to support the development and implementation of Community policies that enable competitive and sustainable development.

This goes hand in hand with the development of related services, including transport, which are economic, safe and protective of the environment and quality of life as well as with the development of quality materials, reliable measurement and testing methods and the optimal use of specific research infrastructures.

Competitiveness and sustainability require a "systems approach" in which research activities support the development of coherent, interconnected and eco-efficient industrial and social systems, responding to both market and social needs.

II.2. Programme strategy

The programme supports research activities contributing to competitiveness and sustainability, particularly where these two objectives interact.

- *Answering to socio-economic needs*: by stimulating holistic approaches, by strengthening the innovative capacity of the European industrial system and by fostering the creation of businesses and services built on emerging technologies and new market opportunities, the programme will help to face the major challenges of society, in particular employment. In parallel, research into sustainable mobility and environmentally and consumer friendly processes, products and services will contribute to improving the quality of life and working conditions.
- *Stimulating European added value*: Activities to solve the cross-border problems arising in connection with the various key actions have a clear European dimension, as does the development of norms and standards in support of Community policies. Achieving the critical mass needed to attain concrete and tangible results in cost-intensive technologies will also necessitate mobilising national and other RTD Community resources.
- *Supporting European competitiveness*: Europe suffers from a recognised gap compared with its major competitors, inasmuch as it is less able to translate its scientific knowledge into innovation. Not only research but also innovation in respect

of new concepts (e.g. eco-industries) should be fostered to boost competitiveness and productivity.

- *Ethical framework*: Full respect of human rights and fundamental ethical principles will be ensured throughout all activities in the specific programme in accordance with Article 6 of the European Parliament and Council Decision on the 5th Framework Programme.

II.3. Programme structure and content

The Programme is structured in three main interconnected elements:

A) A set of four Key Actions, helping to develop critical technologies, concepts and policies to solve clearly identified problems. The four Key Actions are:

- **Key Action 1- Innovative products, processes and organisation**: medium-term goals to which this Key Action should contribute significantly include: (a) modernisation of industry and adaptation to change; (b) substantially improve overall quality; (c) minimise resource consumption.
- **Key Action 2 - Sustainable mobility and intermodality**: the three RTD priorities of this Key Action, which contribute to achieving the policy goal of sustainable mobility, reflect the three main components of a modern integrated transport system: (a) a regulatory and accountable framework reflecting socio-economic objectives; (b) an interoperable infrastructure which allows the operation of attractive, environmentally friendly and efficient transport means; (c) modal and intermodal systems for managing operations and providing services.
- **Key Action 3 - Land transport and marine technologies**: the research efforts will be considered and organised around (a) the development of critical technologies and (b) their integration and validation around advanced industrial concepts in order to attain the following main deliverables: (i) improved fuel efficiency and reduction of emissions ; (ii) improved performance and (iii) improved system competitiveness.
- **Key Action 4 - New perspectives in aeronautics**: the aim is to strengthen the competitiveness of the European aeronautical industry, while ensuring sustainable growth of air transportation with regard to environmental and safety issues. RTD efforts will be centred around two strands of work: (a) development of critical technologies, and (b) technologies integration and validation, with the technical objectives of (i) reducing aircraft procurement costs, (ii) improving their efficiency and performance, (iii) reducing their impacts related to noise and climate, and (iv) improving their operational capability.

B) Research and technological development activities of a generic nature, with potential multi-sectoral applications, helping to develop the scientific and technological base in a limited number of critical areas. These encompass:

- **materials and their technologies for production and transformation**: the main specific objectives are to: (a) support advanced materials applications needed for improved quality of life; (b) develop sustainable materials production and transformation technologies; (c) improve safety and reliability; (d) promote the efficient use and reuse of materials.
- **new and improved materials and production technologies in the steel field**: the objective is to reduce costs, improve user satisfaction, and increase value added to

the benefit of both the iron and steel industry and suppliers, end-users and other research partners.

- **measurements and testing:** the three socio-economic objectives are: (a) prenormative research and technical support to standardisation; (b) the fight against fraud; (c) improvement of quality.

C) Support for research infrastructures. This action will stimulate infrastructure operators to co-operate and pool resources among themselves, as well as with users of the infrastructure. In addition it will help to provide a relevant networked environment in the fields covered by the Programme. The programme will not use the access contract .

Detailed objectives and RTD priorities are specified in the Work Programme as well as in the Call text.

Be sure that you are consulting the current version, since the Work Programme is revised periodically. The Call text identifies which parts of the Work Programme are open for proposals.

II.4. Synergies with other programmes

RTD activities will be integrated and co-ordinated as necessary within and between the different Key Actions and Specific Programmes, as well as with the Joint Research Centre. Examples of co-ordination areas are given in the section 4.3 of the Work Programme.

A close co-ordination with the Horizontal Programmes will also be set up.

II.5. Implementation of the Programme

II.5.1. Type of calls

The implementation of RTD activities is carried out through **Calls for proposals**. The following types of **Calls for proposals** are envisaged:

* **Periodic calls (calls for proposals with fixed deadline dates):** these are open for submission of proposals within a defined scope and with fixed deadlines. The scope is defined, for each call, in the sections “Strategy and priorities for the calls for proposals” of the Work Programme and specified in the call published in the Official Journal. These calls invite the submission for shared-cost research, demonstration and combined projects and co-ordination activities (Thematic Networks and Concerted Actions) and may also include accompanying measures related to Key Action 2.

Calls for proposals with fixed deadline dates will usually be accompanied by a non-mandatory, non-committing ‘pre-proposal check’ of outline proposals.

* **Open calls:** these have been published on March 16,1999 in the Official Journal N° C 72 for SME Specific Measures, (Exploratory Awards and ‘CRAFT’ co-operative research), Marie Curie Fellowships, Accompanying Measures and IMS. They remain open until the last year of the Framework Programme, with periodic evaluations (2 or 3 per year). The above mentioned call also invites the submission of Expressions of Interest (EoIs) for the needs

of the European research community and in support for Research Infrastructures.

* **Dedicated calls:** these are published once or twice a year and will be restricted to a number of specific topics and/or activities, with supporting documents available to specify in depth the objectives of required activities. This modality enables the programme to focus on well identified research or infrastructure needs in Europe, providing a flexible and efficient approach both in targeting resources and in assisting proposers in directing their efforts. The Commission has published on March 16, 1999 – Official Journal N° C72, a call for Expressions of Interest inviting interested parties to suggest ideas for topics (RTD and infrastructure related needs) in some of the areas to be covered by these calls. Dedicated calls will be devoted to policy-driven research, feasibility studies for Certified Reference Materials and support of research infrastructures.

Additional information may be provided at the announcement of a call, in particular on tasks to be launched in relation to Key Action2.

The indicative calendar of future Calls for Proposals is provided in the Work Programme.

II.5.2. Implementation modalities

This programme is implemented through the following types of action:

- R&D, demonstration and combined projects
 - SME Specific Measures
 - Exploratory Awards
 - Co-operative Research projects
 - Marie Curie Fellowships
 - Industry host fellowships
 - Experienced Researcher Fellowships
 - INCO Bursaries
 - Co-ordination activities
 - Thematic Networks
 - Concerted Actions
 - Accompanying measures.
- **R&D, demonstration and combined projects** are carried out by industrial or service organisations, universities and research centres covering research targeted on strategic objectives with significant potential for socio-economic and industrial impact, demonstrated by a real participation of economic entities whenever appropriate as well as potential for new policy options and Community policy. SME participation in RTD actions is encouraged and special attention will be given to the utilisation and diffusion of technologies developed under RTD projects.

Whereas **research projects** are designed to obtain new knowledge likely to be useful to support the development of products, processes, services and policies, **demonstration projects** are projects, which are designed to prove the technical viability of technologies, methodologies or services that cannot be commercialised directly or to test the feasibility of innovative policy measures.

As much as possible, demonstration projects should be associated with user groups that need to be convinced of the benefits of the new technology or

innovative measures or may play a future role in its acceptance. This can constitute a powerful tool to overcome the non-scientific hurdles to dissemination and to prepare the ground for future exploitation. The user groups should normally not be included as contractors within the project, as they are not expected to play any active role in a research project.

The duration of the demonstration projects will be established on a case by case basis (taking into account parameters such as market situation and trends, time needed for prototype building and validation, etc.). The normal duration is 24 months. In principle it can not exceed 48 months.

Combined projects are projects which include research and demonstration activities as described above. In the case of combined projects the proposal should clearly distinguish the R&D and Demonstration parts.

RTD, demonstration and combined projects need to respond to the objectives specified in the call and detailed in the Work programme.

“*Clustering*” of projects is encouraged in order to achieve greater critical mass and impact (see paragraph I.3.3 and Co-ordination activities below).

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

These measures consist of:

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

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

Co-operative Research proposals and Exploratory Awards proposals aimed at Co-operative Research (CRAFT) may fall within the overall objectives of the thematic programme. In other words, they do not have to relate to the specific objectives and priorities of the key actions and generic technologies. As such, these measures

allow for a 'bottom up' character since proposals may be submitted for the objectives and priorities of the thematic programme in its entirety.

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

A separate information brochure is available via the "SME" Infodesk: Tel: + 32-2-295 71 75; Fax: + 32-2-295 71 10; E-mail: sme@dg12.cec.be; web-site: <http://www.cordis.lu/sme>

- **Marie Curie training fellowships** – consisting of
 - **Industry Host Fellowships:** these are awarded to registered companies for the training of young post-graduate and post-doctoral researchers in an industrial environment and
 - **Experienced Researcher Fellowships** (category 40): these allow experienced researchers to transfer knowledge and technology between industry and academia or to contribute to the scientific development of institutions in less-favoured regions.

An overview of the Marie Curie fellowships is provided in Box 2. *A separate guide is available via the Marie Curie Fellowships Infodesk: Tel:+ 32-2-295 08 43; Fax:+ 32-2-296 99 26; email: improving@dg12.cec.be or the web site: <http://www.cordis.lu/improving/home.htm>*

- **INCO Bursaries:** Short-term training grants (6 months) to give young researchers from Developing Countries the opportunity to collaborate in ongoing RTD projects and concerted actions are implemented jointly with the Programme on Confirming the International Role of Community Research. An overview of the INCO bursaries is provided in Box 1. *A separate guide is available via the INCO Fellowships Infodesk: e-mail: inco@dg12.cec.be or the web site: <http://www.cordis.lu.inco/home.htm>*

- **Co-ordination Activities**

Thematic Networks and **Concerted Actions** are designed to facilitate networking of organisations, co-ordination of activities and exchange and dissemination of knowledge so as to optimise research efforts, reach critical mass and enhance impacts at European level. They bring together industry, universities, research centres, users, research infrastructures and other relevant stakeholders around a common S&T objective related to the priorities of the programme.

Please note that Thematic Networks and Concerted Actions can not provide funding for actual RTD activities.

- **Thematic Networks** are used to :
 - a) to **co-ordinate** a group (“*cluster*”) of projects funded at Community level. This may include relevant projects from more than one Key Action and from other EU programmes and, where appropriate, activities funded at national level or in other European frameworks. Participation is on a voluntary basis. The Thematic Network proposal may be submitted simultaneously with the group of project proposals, or at a later stage if intended to co-ordinate on-going projects. Following a call for proposals, the GROWTH Programme itself may encourage the formation of project *clusters* linking several successful projects with common or interrelated objectives, and where the co-ordination of their activities would lead to clear added value.
 - b) to carry out activities addressing the objectives set out in the section "**Support for Research Infrastructures**", which is implemented through a 2-stage process (Expressions of Interest and dedicated calls).
 - c) to establish and develop **networking activities** other than those defined above, which can contribute significantly to achieving the objectives of the Key Actions and Generic Technologies.

Concerted Actions are used for the co-ordination of research activities already funded within individual Member states, in order for instance to channel efforts efficiently, to exchange and complement experience, to disseminate results.

Thematic Network and Concerted Action proposals submitted **in response to periodic calls** are not restricted to the priorities published in the call, and therefore can address any research objective specified in the work programme (except *Support for Research Infrastructure*, in which case proposals can only be submitted in response to a dedicated call). In the case of Key Action 1, they may only address the *Targeted Research Actions*.

Thematic Network and Concerted Action proposals submitted **in response to a dedicated call** must address the objectives specified in the call.

- **Accompanying measures**

Accompanying measures⁸ are aimed at contributing to the implementation of the programme, to the up-dating of the Work programme, the preparation of future activities and the dissemination of results.

For the specific case of accompanying measure proposals consisting of policy-driven research studies contributing to the specific objectives of the Key Action 2 “Sustainable mobility and intermodality“, these proposals must be submitted in response to periodic calls and conform to the priorities specified in these calls.

Accompanying measures on very specific topics may be included in dedicated calls.

An open call for Accompanying measures proposals has been published in the Official Journal N° C72 on March 16, 1999. It covers the following types of measures:

- **Measure 1. Studies contributing to the implementation of Key Actions, Generic activities or Support for Research Infrastructures:** prospective, impact assessment, or strategic studies addressing scientific, technical, socio-

economic, and policy dimensions related to a specific objective or activity (e.g. targeted research action, technology platform) of the programme⁹

- **Measure 2. Studies in preparation of future activities:** proposals should address, with a European perspective, broad cross-cutting RTD policy issues related to *industrial competitiveness and sustainable growth* or focus on important specific socio-economic problems/needs, emerging technologies, technological systems, industrial sectors, or changing techno-industrial clusters. They should include as appropriate a combination of the following: socio-economic challenges and opportunities, driving forces and directions of change, short/medium/long term goals for technological innovation, technological bottlenecks and research roadmaps, prospective assessment of the impacts of new technologies, comparative assessment of European capabilities, needs and opportunities for European and international RTD cooperation, technical and non-technical barriers to technology deployment, and implications for European RTD and other policies.
- **Measure 3. Innovation support actions to promote and facilitate the diffusion, transfer, exploitation and broad use of results,** particularly in SMEs, through a variety of mechanisms, including, innovation support networks and events (e.g. investment fora, technology brokerage events), promotion of best practices regarding the use of well-founded and established methods and technologies, assessment actions (e.g. user needs), publications, web sites, and other dissemination actions and means aimed at various user communities (including policy makers, standardisation bodies). Actions addressing not only the technical aspects of innovation but also, where appropriate, social, organisational, management and skill related aspects are encouraged.

Take-up measures involving significant technical work (e.g. trials, first user actions, and assessment and qualification actions) are not funded through Accompanying Measures. They should be included in or submitted as Cooperative Research, R&D, demonstration or combined R&D/demonstration projects submitted in response to relevant calls for proposals.

- **Measure 4. Awareness, assistance and information exchange actions:** to increase awareness about specific objectives or activities of the programme and encourage the participation of particular communities (e.g. users and socio-economic researchers in RTD activities, SMEs in the Marie Curie fellowship schemes); to promote exchange of information between the research community, users and other stakeholders. Actions may include conferences, seminars, workshops or other scientific and technical meetings, publications, web sites, etc.

Information and assistance actions to promote the participation of SMEs in SME specific measures (Exploratory Awards and Co-operative research projects) will normally be supported by the horizontal programme “Innovation and participation of SMEs”. Exchange of information and collaboration within network of projects is supported via Thematic Networks or Concerted Actions.

- **Measure 5. Training actions in support of RTD activities** of the programme (other than Marie Curie Fellowships), addressing researchers and users.

Proposals consisting of the organisation of an event (e.g. conference, workshop, exhibitions, etc.) (Measure 3 and 4) should be submitted sufficiently in advance of the planned date for evaluation (the time between the deadline for receipt of proposals and the date of the event should be at least 6 months).

Actions devoted to the commercialisation of products, processes or services, marketing activities and sales promotion are excluded. Proposed actions must have a clear European dimension and well defined and significant contribution to the relevant objective or activity of the programme and be of interest to a wider group of organisations than the proposers themselves.

Financial participation can be up to 100% of the total eligible costs if the action is of broad interest and the proposers do not benefit directly from the results of the action; up to 75% for studies and up to 50% for the other types of actions if the proposers benefit directly from the results of the action¹⁰.

II.5.3. Implementation strategies

The Work Programme includes an indicative timetable or “roadmap”. This indicates which parts of the Work Programme 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 projects and improving programme coherence, including for example the establishment of thematic networks or other types of project clusters.

II.6. References

Decision on the 5th Framework Programme	http://www.cordis.lu/growth/src/leg-docs.htm
Decision on the Growth Thematic Programme	http://www.cordis.lu/growth/src/leg-docs.htm
Growth homepage	http://www.cordis.lu/growth/home
Growth calls for proposals	http://www.cordis.lu/growth/src/callmain.htm
Growth Work Programme	http://www.cordis.lu/growth/src/cwp_en.htm
Growth documents	http://www.cordis.lu/growth/src/library.htm
Growth Information and Assistance	Http://www.cordis.lu/growth/src/info.htm
Marie Curie Fellowship homepage	http://www.cordis.lu/improving/
INCO Bursaries homepage	Http://www.cordis.lu/inco
SME specific measures homepage	http://www.cordis.lu/sme

III. PARTICIPATION IN ACTIVITIES OF THE FIFTH FRAMEWORK PROGRAMME

This section describes the conditions for participation in activities within the Fifth Framework Programme, the process whereby the Commission selects from 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 Programme¹¹, the decision on the rules of participation¹², and other subsequent texts or documents¹³.

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 receive Community funding depending on their country of origin¹⁴.

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).

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 and III.5.3.).

III.2. Proposal submission

III.2.1. Call for proposals

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

A Call may address the full programme, a key action, one or several research themes, areas, sectors, action lines, objectives, topics. In order to ensure co-ordination among the Specific Programmes, common Calls may be published. The objectives to be achieved may also be fully detailed, for example in the case of key actions or dedicated Calls¹⁵.

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 process¹⁶.

III.2.2. Submission

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

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

In addition, experience in previous Calls shows that a number of other general recommendations, provided in Box 9, may be helpful. Participants have the choice to submit the proposal either electronically or on paper.

Submission takes place in the following steps, which are detailed in the Guide Part 2:

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

III.3. Proposal evaluation

III.3.1. General principles

The evaluation of proposals will be based on the fundamental principles of transparency and equality of treatment. The entire selection process and the description of the criteria by which the proposal will be evaluated are presented in the Evaluation Manual (see also Box 5).

In general, and in order to help the Commission, panels of independent, external experts¹⁷ 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 maintain 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. Programme specific information on evaluation may also be explained if appropriate in Part 2 of this Guide. Ethical aspects have to be taken into account in the process.

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

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

III.4. Proposal selection

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

A brief report on the evaluation prepared by the Commission will be sent to the proposers via the proposal co-ordinator. 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

resources¹⁸ needed for carrying out the project. The Commission will check these, and may seek to safeguard its interest by asking for a bank guarantee or by other measures.

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

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

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

III.5. The contract

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

III.5.1. The various types of contracts

Research contracts from the Commission fall into five main groups. They each have their own detailed conditions, appropriate to the types of action and the activities to which they refer. (see Boxes 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 costs¹⁹.

III.5.3. Rights and obligations of participants

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

- For **Research and Technological Development (R&D) projects, Demonstration projects and Combined projects**, a participant who has a wide-ranging role in the project throughout its lifetime is normally a **principal contractor**²⁰. A participant whose role is largely in support of one or several of these principal contractors is termed an **assistant contractor**. Principal contractors are distinguished from assistant contractors in two main ways:
 - all the principal contractors are collectively responsible to the Commission for the execution of the project and shall use reasonable endeavours to obtain the expected results;
 - principal contractors have rights of access to the results of the project and any pre-existing know how. Assistant contractors have limited rights. (see Box 8)
- For **support for access to research infrastructure**, the host infrastructure is a **principal contractor**, who is responsible for the implementation of the action.
- For **SME co-operative research projects**, SMEs benefiting from the project

are **principal contractors**. Organisations performing the research, named **RTD performers, are subcontractors** and, as such, are not considered to be "participants"²¹.

- For **Exploratory awards**, SMEs are **principal contractors**.

For both **SME Co-operative research projects and SME Exploratory awards**, principal contractors share responsibility and have the same access to intellectual property rights. It should be noted that **RTD performers**, although they are not considered to be "participants", can have access to the know-how necessary to perform the research, and, in specific cases, to the knowledge resulting from the projects (see Box 8).

- **Concerted Actions, Research Training Networks and Thematic Networks** distinguish between the **principal contractor(s)**²² who lead the action, and the **members** who are associated with them. Principal contractor(s)²³ sign a membership contract with their members, with the prior agreement of the Commission and in conformity to their own Commission contract, and share with them joint and several responsibility in relation to the carrying out of the project. This distinction does not affect intellectual property rights.
- For **Accompanying Measures**, the participants role shall vary according to the nature of the action (see Box 6). Principal contractors share joint and several responsibility. In Accompanying Measures specific to technology take-up **members can participate**.
- **For Fellowships**, the Commission contract is normally offered to the host institution, which then signs an agreement with the Fellow, in conformity with the terms of the Commission contract. Exceptionally, in the case of bursaries for Community Researchers (INCO 2), the Commission contract may be with the individual personally. In general, intellectual property rights shall be addressed in the agreement signed with the individual and according to the national legislation of the host institution.

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

III.5.4. The co-ordination of the project

Within a consortium, participants shall designate one of the principal contractors to carry out the co-ordination function.²⁴

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

The costs incurred by the co-ordinator in the fulfilment of his responsibilities can be claimed as direct or indirect costs (see Boxes 6 and 7).

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

III.5.5. Subcontractors

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

Sub-contractors make no financial investment in the project, and they therefore do not benefit from any intellectual property rights arising from its achievements (see Boxes 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 led to the original selection of the proposal. This will ensure the project conforms to the conditions associated with the Community financial contribution, and that the progress foreseen actually takes place. The reports are also used to assess whether and in what manner the project should continue to be supported.

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

III.7. Financial contribution of the Community

The Commission undertakes a financial contribution to the work.

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

III.7.1. Incurred eligible costs

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

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

III.7.2. Calculation methods

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

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

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

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

For Concerted Actions and Thematic Networks, all participants use the additional cost model (AC), so overheads are calculated as 20% of all direct costs (except subcontracting).

Use of permanent staff is allowed for all types of organisations if accurate time records are kept.

III.7.3. Payment of the contribution

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

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

III.8. Assistance available to proposers

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

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

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

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

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

The Commission’s CORDIS server in Luxembourg (<http://www.cordis.lu/fp5/>) offers a number of services and information sources which may be useful in particular to support partner search activities. It also contains details of organisations which have already expressed an interest in participating to the different programmes under the Fifth Framework Programme. In addition, the Cordis website offers targeted information concerning both implementation modalities of the specific programmes as well as financial and administrative management aspects.

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

Opportunities for participation in proposal consortia

In planning an 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. This 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 project¹, 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

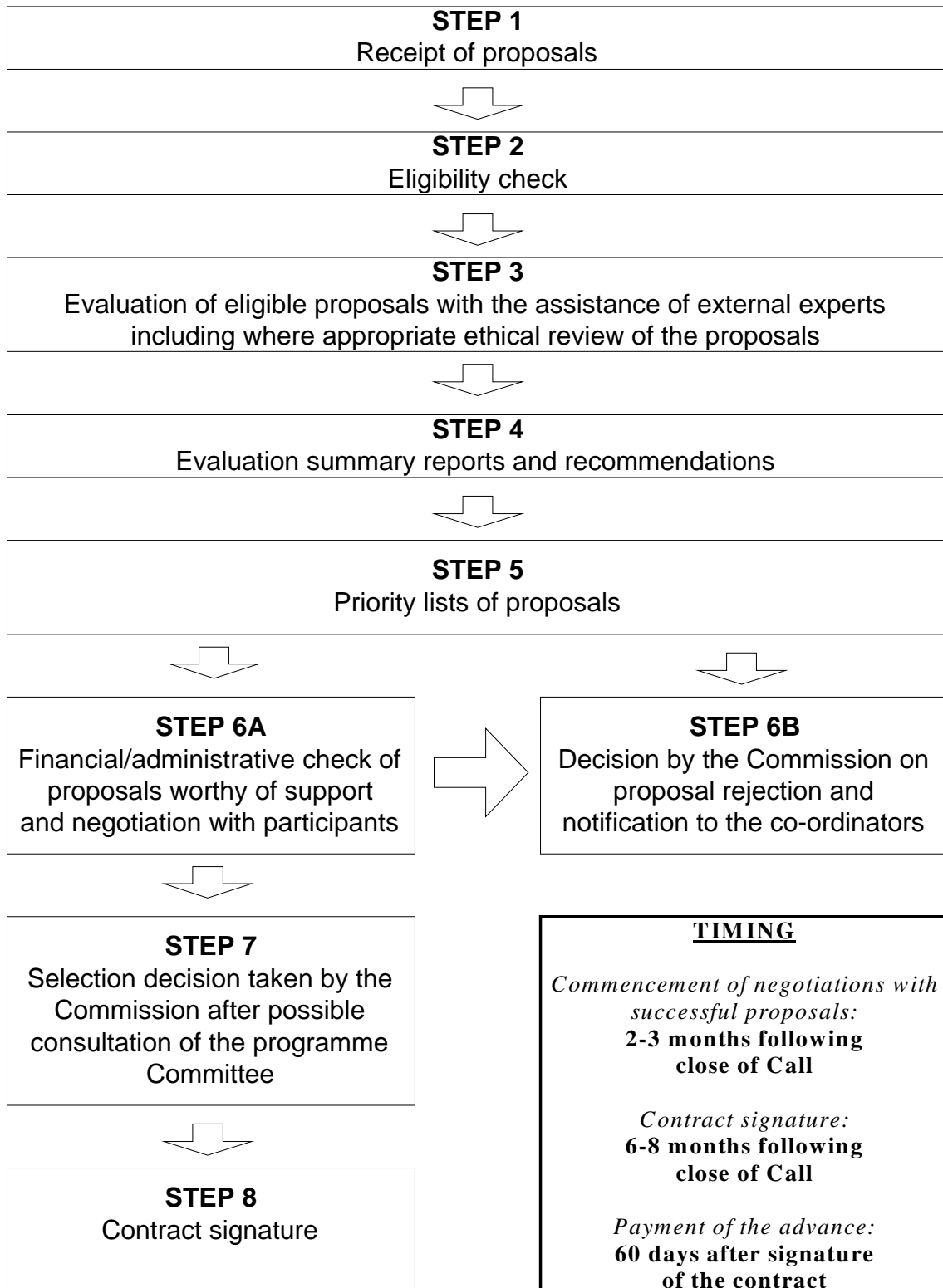
¹ Additional rules are foreseen in the Specific Programme "*Energy, environment and sustainable development*" which provide for financial support to those entities where their participation is beneficial and offers added value for achieving the objectives of the Programme.

Box 4 - Participation of non-EU legal entities to FP5 ¹

ASSOCIATED STATES may participate WITH COMMUNITY FUNDING	CANDIDATES FOR EU-MEMBERSHIP	BULGARIA, REPUBLIC OF CYPRUS, CZECH REPUBLIC, ESTONIA, HUNGARY, LATVIA, LITHUANIA, POLAND, ROMANIA, SLOVAKIA, SLOVENIA : in force. <i>For MALTA and TURKEY, please see footnote 3 and 4</i>
	EFTA-EEA	ICELAND, LIECHTENSTEIN, NORWAY : in force.
	OTHERS	ISRAEL : in force. SWITZERLAND ² : entry into force expected on the 1.1.2001.
THIRD STATES ⁶ may participate WITHOUT COMMUNITY FUNDING (exceptionally with Community funding when duly justified as being essential for achieving the objectives of the project)	OTHER EUROPEAN	ALBANIA, BOSNIA-HERZEGOVINA, FORMER YUGOSLAV REPUBLIC OF MACEDONIA, SWITZERLAND ² MALTA ³ and TURKEY ⁴ are also shown under Mediterranean Partnership. MICROSTATES AND TERRITORIES IN EUROPE⁵
	EUROPEAN NIS	ARMENIA, AZERBAIJAN, BELARUS, GEORGIA, MOLDOVA, RUSSIA, UKRAINE.
	MEDITERRANEAN PARTNERSHIP	ALGERIA, EGYPT, JORDAN, LEBANON, MALTA³, MOROCCO, PALESTINE AUTHORITY, SYRIA, TUNISIA, TURKEY⁴. <i>All above countries may participate project by project if in conformity with the interests of the Community and on a self financing basis.</i>
	COUNTRIES WITH CO-OPERATION AGREEMENT	ARGENTINA (1st activity of FP5), AUSTRALIA (1st activity of FP5), CANADA (1st activity of FP5), CHINA (1st activity of FP5), SOUTH AFRICA (FP5), USA (FP5) : in force. RUSSIA (1st activity of FP5): Agreement signed. <i>The above countries may participate in the fields covered by the Co-operation Agreement, once in force, and on a self financing basis (until then, Russia may participate as an European NIS).</i>
	ANY OTHER COUNTRY	<i>May participate project by project if in conformity with the interests of the Community and on a self financing basis, only if its participation is also of substantial added value for implementing all or part of the specific programmes in accordance with its objectives..</i>
	INTERNATIONAL ORGANISATIONS ⁷	<i>May participate project by project if in conformity with the interests of the Community and on a self financing basis.</i>

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

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

Box 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	Subcontracting	Travel and subsistence	Consumables	Computing	Protection of knowledge	Other specific costs	Co-ordination costs	Access	RTD performer	Overheads
SHARED COST ACTIONS⁷																	
<i>R&D project</i>	min 2	yes		FC, FF and AC	FC, FF: 50% AC: 100%	Yes	yes	yes	yes	yes	yes	yes	yes	yes			FC: (actual rate)x(personnel) FF: 80%x(personnel) AC: 20% ¹
<i>Combined project</i>					FC, FF: 35 or 50% AC: 100%												
<i>Demonstration project</i>					FC, FF: 35% AC: 100%												
<i>Support for access to research infrastructures</i>	1			AC	Up to 100%	yes		yes	yes	yes	yes		yes				20% ¹
				UF	Up to 100%				yes						yes		
<i>SME co-operative (CRAFT)</i>	min 3 SME			FC, FF	50%	yes	yes	yes	yes	yes	yes		yes			yes	(actual rate)x(personnel)
<i>Exploratory awards</i>	min 2 SME			Fixed amount	75% ²												
TRAINING FELLOWSHIPS																	
<i>Marie Curie Host Fellowships</i>	institution		min 1 fellow	Fixed amount													
<i>Marie Curie Individual Fellowships</i>			1 fellow														
<i>Developing countries Fellowships</i>			1 fellow														
<i>Fellowships for Community Researchers</i>	fellow																
SUPPORT TO NETWORK																	
<i>Thematic network</i>	min 1		yes	AC	Up to 100%	Yes		yes	yes		yes		yes				20% ¹
<i>Training network</i>	1		min. 4	AC	Up to 100%							yes					20% ¹
CONCERTED ACTIONS	min 1		yes	AC	Up to 100%	Yes		yes	yes		yes		yes				20% ¹
ACCOMPANYING MEASURES																	
<i>Accompanying measures³</i>	min 1				Up to 100%	Yes	yes	yes	yes	yes	yes	yes	yes	yes			yes ⁵
<i>Euro conference</i>	1				Up to 100%	Yes		yes	yes	yes			yes ⁴	yes			None
<i>Technology Take-up</i>	min 1		yes		Up to 100%	Yes	yes	yes	yes	yes	yes	yes	yes	yes			yes ⁶

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

1 Direct costs, excluding subcontracting costs

2 Up to maximum of €22,500

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

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

5 Overhead is calculated as a lump sum of the personnel costs (not exceeding 80%), defined in the relevant Guide for Proposers, Part 2.

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

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

Box 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.

Full costs Flat rate (FF)

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

Additional cost (AC) in R&D projects

Subject to the specific contract terms, the Commission shall only take into account the project's additional (non recurrent) costs. **AC = total direct additional costs + x% overhead on direct costs (excluding subcontracting) (for x% see box 6).**

Additional costs (AC) – in Concerted Actions/Thematic Networks and Euroconferences

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

COSTS CATEGORIES

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

Personnel costs: scientific and technical personnel; time devoted to the project shall be recorded.

Durable equipment: 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.

Subcontracting: external services.

Travel and subsistence: travel outside the European Union or an Associated State needs the prior approval of the Commission, except for visiting a participant.

Consumables: only project specific items.

Computing: only project specific items.

IPR costs: subject to contract terms, only with prior approval of the Commission

Other specific costs any cost necessary for the project, not falling within a defined category and having received the prior approval of the Commission

Co-ordination costs: costs for the financial/administrative administration (personnel, travel and all other cost categories apart from subcontracting) incurred only by the co-ordinator – the financial /administrative co-ordinator in case of split between scientific and administrative co-ordinator - in order to fulfil his tasks.

Access: only for *Support for access to research infrastructure*; user fee related to visiting scientist.

RTD performer only for *SME co-operative research project*; cost of research performed by a non-participant.

<u>Overheads:</u>	subject to the contract terms, either an actual rate (FC), or a flat rate (FF) calculated on personnel costs or on the direct additional costs (AC) excluding subcontracting, or as a lump sum of personnel costs (Accompanying Measures).
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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	
		<i>Access rights for the execution of the project</i>	<i>Use*</i>	<i>Access rights for the execution of the project</i>	<i>Use</i>
Research and technological development Project	<i>Principal Contractor</i>	Royalty-free	Royalty-free (1) to all knowledge	Favourable conditions	Favourable conditions
	<i>Assistant Contractor (2)</i>	Royalty-free / Favourable Conditions	Favourable Conditions/ Market conditions (1)	Favourable Conditions/ Market conditions	/
	<i>Principal Contractor of the same Specific Programme</i>	Favourable Conditions	Market conditions		
Demonstration Project	<i>Principal Contractor</i>	Royalty-free	Favourable Conditions for Exploitation only, to all knowledge	Favourable conditions	Favourable conditions for Exploitation only
	<i>Assistant Contractor (2)</i>	Royalty-free / Favourable Conditions	Favourable Conditions/ Market conditions for Exploitation only	Favourable Conditions/ Market conditions	/
Combined R&D/ Demonstration Project	<i>Principal Contractor</i>	In general, IPR rules for R&D projects shall be applied to R&D workpackages, and IPR rules for Demonstration projects to Demonstration workpackages. If the identification of the various workpackages is impossible, IPR rules for R&D projects shall apply if the total EC contribution to the project as a whole is superior to 42,5% of its total cost. If the figure is equal or inferior to 42,5%, IPR rules for Demonstration projects shall then be applied.			
	<i>Assistant Contractor (2)</i>				
SME co-operative Research Project	<i>Principal Contractor (SME)</i>	Co-ownership (3)	Co-ownership (3) for Exploitation only	Royalty-free	Favourable Conditions for Exploitation only
	<i>RTD performer (non- participant)</i>	Royalty-free		Royalty-free	
Concerted Action	<i>Principal Contractor</i>	The knowledge which is suitable for dissemination will be disseminated			
	<i>Member</i>				
Networks	<i>Principal Contractor</i>	The knowledge which is suitable for dissemination will be disseminated			
	<i>Member</i>				
Fellowships	<i>Host Institution</i>	The ownership of knowledge will be determined by the Host Institution according to the applicable law. The knowledge which is suitable for dissemination will be disseminated			
	<i>Grant holder</i>				
Accompanying Measures	<i>Principal Contractor & in particular cases Members</i>	The ownership of knowledge will be determined regarding to the Community financing level. As the case may be, use or dissemination will prevail.			

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

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

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

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

Box 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 industryetc.)
- ✓ **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 disseminate 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.

Last but not least:

Arrange for your draft proposal to be evaluated by experienced colleagues before sending it, using the evaluation criteria described in the Evaluation Manual and, if appropriate, in Part 2 of this Guide. Use their advice to improve it before submission.

Notes Part 1

¹ On the 22/12/98, the Council also decided on the Fifth Euratom Framework Programme for research and training (<http://www.cordis.lu/fp5>). The specificity of the latter will be described in a separate information document.

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

³ 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

⁴ 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.

⁵ 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 %

⁶ EC funding up to maximum of €22,500

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

⁸ In addition to calls for proposals, certain accompanying measures will be implemented through other processes. Services to the Commission (e.g. studies) will be carried out following specific calls for tenders, to be launched as appropriate. In particular cases (see Work programme, Objective 7.4), Certified Reference Materials can be produced via a modality being developed for this purpose in co-operation with JRC-IRMM. Recourse to external experts will be based on calls for candidates. Exceptionally, unsolicited applications for a subsidy may also be supported.

⁹ Note that the integration of socio-economic research in proposals for R&D, demonstration or combined R&D/demonstration projects, is encouraged where appropriate to complement or support technical research.

¹⁰ With regards to the financial participation in Accompanying Measures covered by Periodic and Dedicated calls, details will be indicated in the additional information on the content of these calls.

¹¹ 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)

¹² 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)

¹³ 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,...

¹⁴ See the Work Programme of the Specific Programme “*Confirming the international role of Community research*” and its corresponding Guide for Proposers.

¹⁵ Such calls are based on Community need to support certain of its policies (standardisation, anti-fraud actions...)

¹⁶ See Vademecum on grant management and the rules for public procurement

¹⁷ 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.

¹⁸ These include human resources, infrastructure, financial resources and, where appropriate, intangible property.

¹⁹ In certain exceptional cases by paying a fixed lump sum.

²⁰ Anywhere where it is possible for easy reading, the word “contractor” may be used.

²¹ Specific rules related to their participation in this type of action can be found in the ad hoc information brochure devoted to SMEs.

²² A single contractor is possible in the case of Concerted Actions, Thematic and Training Networks

²³ A single contractor is possible in the case of Concerted Actions, Thematic and Training Network Actions, where he carries out the co-ordinator role.

²⁴ 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).