



THE SIXTH FRAMEWORK PROGRAMME

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

GUIDE FOR PROPOSERS

Sub-Priority 1.1.6.3.

SUB-PRIORITY GLOBAL CHANGE AND ECOSYSTEMS

Integrating and Strengthening the European Research Area

SUB-PRIORITY 1.1.6.3. Call 4

Fixed deadline call for proposals
Call identifier FP6-2005-Global-4

NETWORK OF EXCELLENCE

Electronic submission only

Five different instruments are available to fund activities in the Global Change and Ecosystems Sub-Priority. These instruments are described in the brochure “The 6th Framework Programme in Brief” and at <http://www.cordis.lu/fp6/instruments/>:

- Integrated Projects (IP)
- Networks of Excellence (NoE)
- Specific Targeted Research Projects (STREP)
- Coordination Actions (CA)
- Specific Support Actions (SSA)

A summary table has been produced setting out the classification of the type of instruments according to their objectives and specific characteristics (see Annex 5). If you are uncertain of the instrument you should use within this Call, have a look at this table before you start preparing your proposal.

This version of the Guide for Proposers concerns:

NETWORK OF EXCELLENCE

This version of the Guide for Proposers concerns:

Sub-Priority Global Change and Ecosystems Call FP6-2005-Global-4

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

Before you start preparing a proposal for a **Network of Excellence (NoE)**
PLEASE READ THIS FIRST

Understand their purpose: NoEs are an instrument to overcome the fragmentation of the European research landscape with the objective to strengthen European excellence in a given area. Their purpose is to reach a durable restructuring/shaping and integration of efforts and institutions or parts of institutions (labs, departments, units, teams...) in areas where this is necessary.

The **success** of an NoE is not measured in terms of scientific results but by the extent to which the social fabric for researchers and research institutions in a given field has changed due to the project and the extent to which the existing capacities become more competitive as a result of this change.

Justify the need for integration and restructuring: NoEs are to be used in scientific areas where the research efforts in Europe are scattered and fragmented. Proposals must demonstrate that this is actually the case in the area under concern and explain how restructuring/shaping and integration will lead to higher scientific excellence and more efficient use of resources.

Scientific excellence – a necessary condition for being successful: The **scientific excellence** of the participants and their research activities is **imperative**. Proposers have to demonstrate that the participants belong to the key players in Europe in the scientific area concerned and that the science they are doing is world class. However, just bringing together excellent scientific groups around an exciting topic is not enough for an NoE. Each participant (institution) involved has to convincingly show its commitment to durable integration (beyond the period for which the Community support is requested), restructuring and organisational change.

The Joint Programme of Activities (JPA): NoEs are expected to induce and to manage processes of change: to remove mental, financial, technical and legal barriers to integration; to durably "institutionalise" the links between the institutions involved, which will imply the restructuring of the research portfolios and of the existing organisational structures. The JPA must provide the actions to implement these processes. The JPA must show the **serious commitment** of all participants to **organisational change**.

The **integrating activities** should include (non-exhaustive list; for a description of other types of activities in the JPA (research, management, spreading of excellence) see http://www.cordis.lu/fp6/instr_noe.htm):

- discussing and establishing mechanisms for coordinating and finally merging the research portfolios of the different participants
- staff exchange schemes or complete re-location of staff
- establishment of shared and mutually accessible research equipment, managerial and research infrastructures, facilities and services
- exploring the legal circumstances and possibilities for durable integration
- setting up joint supervisory bodies
- measures for joint public relations

Research as part of the JPA: Jointly executed research is an obligatory part of the JPA. These research activities must aim at achieving the purpose of durable integration, e.g. by developing common tools, or at filling gaps in the collective knowledge portfolio of the network.

Apart from this, the participants in an NoE will of course pursue their own institutional research portfolios in the area covered by the NoE. This research **cannot form** part of the JPA.

Involve the appropriate levels of decision-making: Structural and organisational changes need strategic decision making at the highest institutional level and sometimes even beyond (financing bodies, supervisory boards etc.). Proposers have to demonstrate the active involvement and commitment of the appropriate levels of decision making of each participating organisation

The size of an NoE: The objective of far-reaching and durable integration requires serious and long-lasting commitment from all participants. The depth of integration aimed at is the decisive criterion, not the size of a network. It is impossible that the necessary change processes can be managed in very big networks comprising several tens or more of participating organisations. Proposers intending to coordinate large networks in a looser way without the ambition of far-reaching organisational change and durable integration should consider applying for a Coordination Action.

Calculation of the grant for integration

The EC financial contribution to NoEs is a grant for integration that is calculated on the basis of the number of researchers to be integrated into the network. These researchers must be identifiable by name at the time of the deadline for the submission to the Commission of the proposal. Doctoral students inscribed on a programme in one of the participating institutions can also be taken into account in the calculation of the maximum EC contribution. The maximum amount of the grant for integration based on these factors will be indicated in Article 5 of the EC contract. The annual amount of the grant will be indicated in Annex I to the EC contract.

Payment of the grant for integration

The annual payment of the grant for integration can only be made if the eligible costs of carrying out the work defined in the joint programme of activities (Annex I to the EC contract) for that reporting period are greater than or equal to the annual amount of the grant. For example, if the annual grant is €1 million that amount will be paid if the eligible costs are €1.2 million, €5 million or €10 million. The distribution of the EC financial contribution between the contractors has to be determined by them in their consortium agreement; this is particularly important where the grant does not cover all eligible costs.

All contractors claim their costs based on the cost reporting model used by their organisation. Contractors using the additional cost model (AC) can only claim additional eligible costs. In this model the costs of permanent staff can only be claimed for the management of the consortium activity.

In addition, Article III.2 .2.3 of Annex III to the network of excellence contract indicates that: *"At the end of the project, the eligible costs incurred in implementing the joint programme of activities over the full duration of the project must exceed the grant for integration. If this is not the case, the payment for the last scientific period shall be limited to 95% of the eligible costs incurred in that period."*

In other words, if the total eligible costs incurred in implementing the JPA are at least equal to the Community financial contribution requested per period (see Annex I to the contract) and if, at the end of the project, the total eligible costs incurred in implementing the JPA for the whole duration of the project exceed the maximum Community financial contribution mentioned in article 5.2 of the contract, the grant for integration is paid in full. Thus payment of the grant is conditional upon the participants incurring costs that are greater than the amount of the grant itself.

"Litmus test" for NoEs

D

If the participants are going to continue to work as they have always done with no significant changes of structures, portfolios and organisations, your proposal is most probably not an NoE.

C

If the research area is fragmented and would gain in excellence by re-structuring; and if all the participants intend to undertake a major effort to re-structure and re-organise the way research in the area under concern is carried out in Europe and, to this end, establish durable integration of their research capacities, your proposal might be a good candidate for an NoE.

Key recommendations for submitting a proposal to the Global Change and Ecosystems Sub-Priority

- **Priorities and objectives:** Check that your proposed work does indeed address topics open in the current Call and as described in the current Global Change and Ecosystems Sub-Priority Workprogramme. Multidisciplinary proposals addressing several objectives may be submitted. Any proposal submitted in response to this call should however have a centre of gravity in one objective open in the current Call. If the major part of your proposal concerns an objective of another Call, it should be submitted to that other Call. PROPOSALS CANNOT BE ACCEPTED IF THEY ARE NOT FOCUSED ON THE PRIORITIES OF THE FRAMEWORK PROGRAMME; THE MULTIDISCIPLINARY NATURE OF A PROPOSAL DOES NOT REMOVE THIS REQUIREMENT.
- **Completeness:** Proposals must comprise a Part A, containing the administrative information (including participant and project cost details) on standard forms; and a Part B, containing the scientific and technical description of your proposal, (as described in Annex 2). Check that your proposal contains both parts.
- **Use of correct forms and instrument:** The proposal forms for Part A and the structure of Part B vary according to the different instruments.
 - Check that you have chosen the correct instrument for the type of work you are proposing.
 - Check in the Work Programme that the call is actually open for instruments of this type in the particular topic in which you propose to work.
 - Check on the call page that you are using the version of the Guide for Proposers specific for this instrument and call.
- **Eligible partnership:** Confirm that you and your partners are indeed eligible for participation in the Global Change and Ecosystems Sub-Priority - The minimum requirements for the makeup of your consortium can be found in the Work Programme and the call text, and organisations must have a registered legal existence.
- **Evaluation criteria:** All proposals are evaluated according to fixed sets of criteria, depending on the type of instrument, which are defined in Annex B of the Workprogramme and further described in the Guidance notes for Evaluators. Be sure that your proposal clearly addresses each of the evaluation criteria used for this instrument. Be aware that there are threshold scores on the criteria, which must be achieved, or else the proposal fails.
- **Ethical, safety and regulatory issues:** Clearly indicate any potential ethical, safety or regulatory aspects of the proposed research and the way they will be dealt with in your proposed project. An ethical check will take place during the evaluation and an ethical review will take place for proposals dealing with specific sensitive issues. Proposals will fail if they do not respect the ethical rules for FP6.
- **Gender issues:** Clearly indicate the way in which these issues are taken into account (see Proposal Part B and Annex 4)
- **Presentation:** Proposals should be precise and concise. They should present the objectives and the expected results, how the participants intend to disseminate or exploit these results and how the project contributes to integrating and structuring the European research area. Proposals should assemble the necessary critical mass of activities, expertise and resources to achieve the proposed objectives.

- **Competition:** There will be strong competition. Therefore edit your proposal tightly, strengthen or eliminate weak points. Arrange for your draft to be evaluated by experienced colleagues, using the evaluation criteria for the type of action you are proposing, before sending it in. Then use their advice to improve it before submission.
- **Deadlines:** Call deadlines are absolutely firm and are strictly enforced. Proposals must be received before or on the deadline as it is specified in the Call for proposals. Proposers are reminded that it is their own responsibility to ensure the timely submission of their proposal.
PROPOSALS ARRIVING AT THE COMMISSION AFTER THE DEADLINE ARE NOT ELIGIBLE FOR EVALUATION. NO EXTENUATING CIRCUMSTANCES WILL BE TAKEN INTO CONSIDERATION.

Contents – Network of excellence

I INTRODUCTION.....	8
I.1 STRUCTURE AND CONTENT OF THE GUIDE FOR PROPOSERS	8
I.2 SPECIFIC INFORMATION FOR THIS CALL	10
II PROPOSAL PREPARATION	12
II.1 PROPOSAL SUBMISSION AS APPLIED IN THE CURRENT CALL	12
II.2 CONSORTIUM COMPOSITION	12
II.3 STRUCTURE OF A PROPOSAL	13
II.4 PROPOSAL LANGUAGE.....	13
II.5 PRE-PROPOSAL CHECK	13
II.6 NOTIFICATION OF INTENTION TO SUBMIT A PROPOSAL	13
III SUBMISSION OF PROPOSALS	14
III.1 ONLINE PREPARATION AND SUBMISSION	14
III.2 PROPOSAL PREPARATION AND SUBMISSION USING THE EPTOOL.....	16
III.3 ERRORS IN SUBMITTED PROPOSALS	17
III.4 DEADLINE FOR RECEPTION	17
III.5 ACKNOWLEDGEMENT OF RECEIPT.....	18
IV EVALUATION AND NEGOTIATION.....	19
IV.1 TIMETABLE OF EVALUATION	19
IV.2 CONTRACT NEGOTIATIONS.....	19
IV.3 SUBMISSION, EVALUATION AND NEGOTIATION SUMMARY TABLE FOR THIS CALL	20
V CHECK LIST FOR PROPOSERS.....	21
VI SUPPORT TO PROPOSERS.....	22
VI.1 GLOBAL CHANGE AND ECOSYSTEMS INFORMATION DESK	22
VI.2 EPSS HELPDESK AND USER GUIDES	22
VI.3 PARTNER SEARCH FACILITIES	22
VI.4 NATIONAL CONTACT POINTS	22
VI.6 THE INTELLECTUAL PROPERTY RIGHTS HELPDESK	23
VI.7 ETI ACTIONS	23
VI.8 ADDITIONAL FINANCIAL SUPPORT FROM THE STRUCTURAL FUNDS (BONUS)	23
VII REFERENCES	24
ANNEX 1 - PROPOSAL PART A: FORMS AND INSTRUCTIONS.....	26
ANNEX 2 - PROPOSAL PART B: GUIDELINES FOR DRAFTING.....	35
ANNEX 3 – ETHICAL RULES FOR FP6 PROJECTS	49
ANNEX 4 - INTEGRATING THE GENDER DIMENSION	51
ANNEX 5 – CLASSIFICATION OF THE FP6 INSTRUMENTS	53

Global Change and Ecosystems Sub-Priority Network of excellence (NoE)

Specific information for Network of excellence in the fourth call of the Sub-Priority 1.1.6.3 – Global Change and Ecosystems published on 19. July 2005. Fixed deadline call.

I Introduction

1.1 Structure and content of the Guide for Proposers

This Guide for Proposers contains the basic information needed to guide you in preparing a proposal.

It shows examples of the proposal forms which comprise Part A of a proposal, and gives instructions on how to write Part B. Both parts are required to make a complete proposal. Incomplete proposals will be ineligible and therefore will not be evaluated.

It describes the procedure for the online submission of proposals. It contains references to other documents, reports, forms and software tools that are of assistance in the preparation of proposals.

Other documents which constitute, together with this guide, the **Information Package for Network of excellence** and which you will need to consult during the preparation of your proposal are:

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

The current Global Change and Ecosystems Sub-Priority Work Programme. The Work Programme provides a detailed description of the content of the topics which are open for proposals, and indicates which types of instruments may be used for each. It also gives an indicative timetable for the implementation (“roadmap”) and details on the evaluation criteria.

The Call for proposals (“the Call text”) as published in the Official Journal of the European Union. This will tell you which topics are open for proposals for Networks of excellence, and what is the deadline for proposal submission.

Additional documents, which you should review, are:

The Guidelines on proposal evaluation and selection procedures. This document describes the general principles and the procedures, which will be used in the evaluation and selection of proposals.

The Global Change and Ecosystems Sub-Priority Guidance notes for evaluators. This describes in detail how proposals will be evaluated in the Global Change and Ecosystems Sub-Priority. You may use the Guidance notes for evaluators as a checklist to ensure the quality of your proposal.

The model contract and its annexes for Network of excellence. This specifies the contractual terms and conditions to which your consortium will be expected to agree if your proposal is selected for funding.

The background document on the Network of excellence. Details of what a Network of excellence comprises and how such a project should be implemented are given at

http://europa.eu.int/comm/research/fp6/instruments_en.html or at
<http://www.cordis.lu/fp6/instruments.htm>.

All these documents, as well as additional information if any, may be found at: the CORDIS call page for this call (see reference in section VII).

This Guide for Proposers does not supersede the rules and conditions laid out, in particular, in Council and Parliament Decisions relevant to the Sixth Framework Programme, the Specific Programme, the Work programme for the Global Change and Ecosystems Sub-Priority, the Call for proposals or the Guidelines on evaluation and selection of proposals.

1.2 Specific information for this call

This call for proposals invites the submission of Networks of excellence **under Sub-Priority 6.3 “Global Change and Ecosystems”**.

Proposals must address the **topics** listed in the call itself and detailed in the part of the work programme related to this Sub-Priority. You are strongly recommended to refer to the work programme of Sub-Priority 6.3 when preparing your proposal.

Submission of Network of excellence proposals under this call follows a **two stage procedure** as detailed in both this Guide and the work programme relating to Sub-Priority 6.3 “Global Change and Ecosystems”.

Table with opened topics for all instruments addressed by this Call:

Activity code	Research area / topic	Instrument
SUSTDEV-3.1	Impact and mechanisms of greenhouse gas emissions and atmospheric pollutants on climate, ozone depletion and carbon sinks	
SUSTDEV-3.1.1	Carbon and Nitrogen cycles: sources and sinks	
SUSTDEV-2005-3.I.1.1	Regional carbon and greenhouse gas budgets	STREP, CA
SUSTDEV-3.1.2	Atmospheric pollutants and their regional impacts	
SUSTDEV-2005-3.I.2.1	Atmospheric composition change: Methane, NitrousOxide and Hydrogen	STREP, CA
SUSTDEV-2005-3.I.2.2	Atmospheric aerosols and climate forcing	IP
SUSTDEV-3.1.3	Prediction of climatic change and its impacts	
SUSTDEV-2005-3.I.3.1	Climate change impacts in the Mediterranean area	IP
SUSTDEV-2005-3.I.3.2	Climate changes in central-eastern Europe	STREP, CA
SUSTDEV-3.2	Water cycle, including soil-related aspects	
SUSTDEV-3.2.1	Hydrology and climate processes	
SUSTDEV-2005-3.II.1.1	Global water cycle, water resources and droughts	IP
SUSTDEV-2005-3.II.1.2	Flash-flood forecasting	STREP, CA
SUSTDEV-3.2.2	Ecological impact of global change, soil functioning and water quality	
SUSTDEV-2005-3.II.2.1	Integrated risk-based management of the water-sediment-soil system at riverbasin scale	STREP, CA
SUSTDEV-3.2.3	Integrated management strategies and mitigation technologies	
SUSTDEV-2005-3.II.3.1	Source control of priority substances	STREP, CA
SUSTDEV-2005-3.II.3.2	New concepts and processes in wastewater treatment	STREP
SUSTDEV-2005-3.II.3.3	Advanced technologies for locating, maintaining and rehabilitating buried infrastructures	STREP, CA
SUSTDEV-2005-3.II.3.4	Advances in desalination	STREP, CA
SUSTDEV-2005-3.II.3.5	Water in Agriculture: new systems and technologies for irrigation and drainage	STREP, CA
SUSTDEV-2005-3.II.3.6	Twinning European/third countries river basins	STREP, CA
SUSTDEV-2005-3.II.3.7	Sustainable sanitation in Africa	STREP, CA
SUSTDEV-2005-3.II.3.8	A knowledge network for solving real-life water problems in developing countries	CA
SUSTDEV-3.2.4	Scenarios of water demand and availability	
SUSTDEV-2005-3.II.4.1	Water scenarios for Europe and for neighbouring countries	IP
SUSTDEV-3.3	Biodiversity and ecosystems	
SUSTDEV-3.3.1	Assessing and forecasting changes in biodiversity, structure, function and dynamics of ecosystems and their services, with emphasis on marine ecosystems functioning	
SUSTDEV-2005-3.III.1.1	Develop model(s) and simulation(s) to assess and forecast changes in terrestrial biodiversity and ecosystems	IP
SUSTDEV-2005-3.III.1.2	Assess and forecast changes in the Mediterranean and Black seas ecosystems and their ability to provide services	IP
SUSTDEV-3.3.2	Relationships between society, economy, biodiversity and habitats	
SUSTDEV-2005-3.III.2.1	Shaping biodiversity conservation strategies for terrestrial and freshwater ecosystems	CA
SUSTDEV-3.4	Mechanisms of desertification and natural disasters	
SUSTDEV-3.4.1	Mechanisms of desertification	
SUSTDEV-2005-3.IV.1.1	Combat land degradation and desertification	IP
SUSTDEV-3.4.2	Natural disasters	
SUSTDEV-2005-3.IV.2.1	Reduction of seismic risks	STREP, CA
SUSTDEV-2005-3.IV.2.2	Assessment and reduction of tsunami risk in Europe	STREP, CA

SUSTDEV-3.5	Strategies for sustainable land management, including coastal zones, agricultural land and forests	
SUSTDEV-3.5.1	Sustainable use of land	
SUSTDEV-2005-3.V.1.1	Strategies for sustainable urban, peri-urban and rural land use relationships, with emphasis on understanding, planning and forecasting tools.	IP
SUSTDEV-2005-3.V.1.2	Development of tools for impact assessment of land uses policies on the sustainable development of developing countries	STREP, CA
SUSTDEV-2005-3.V.1.3	Sustainable development and Integrated Coastal Zone Management	IP
SUSTDEV-3.6	Operational forecasting and modelling including global climatic change observation systems	
SUSTDEV-3.6.1	Development of observing and forecasting systems	
SUSTDEV-2005-3.VI.1.1	European underwater ocean observatory system	NoE
SUSTDEV-2005-3.VI.1.2	Integrated development of European coastal and regional seas forecasting systems	IP
SUSTDEV-2005-3.VI.1.3	European atmospheric observation systems	IP
SUSTDEV-2005-3.VI.1.4	Framework for economic and social aspects of the implementation plan of the GEO	STREP, CA
SUSTDEV-3.7	Complementary research	
SUSTDEV-3.7.1	Development of advanced methodologies for risk assessment	
SUSTDEV-2005-3.VII.1.1	Intelligent testing strategy for chemicals	IP
SUSTDEV-2005-3.VII.1.2	Life-Cycle Analysis	CA
SUSTDEV-3.7.2	Appraisal of environmental quality, population health and monitoring tools	
SUSTDEV-2005-3.VII.2.1	Validating, disseminating and exploiting best practices and decision-support tools for environment and health assessment and policy support	CA
SUSTDEV-2005-3.VII.2.2	Development of methods and tools for environment and health impact assessment) and cost-benefit analysis for building and assessing future environment and health scenarios	IP
SUSTDEV-2005-3.VII.2.3	Health, economic and social impacts of extreme events	IP
SUSTDEV-3.8	Cross-cutting issue: Sustainable Development concepts and tools	
SUSTDEV-3.8.1	Estimating thresholds of sustainability and externalities	
SUSTDEV-2005-3.VIII.1.1	Elaboration of new accounting frameworks of environmental externalities	IP
SUSTDEV-2005-3.VIII.1.2	Verification and testing networks	STREP, CA
SUSTDEV-3.9	Specific Support Actions	
SUSTDEV-2005-3.IX	Specific support actions in Global Change and Ecosystems	SSA

II Proposal preparation

II.1 Proposal submission as applied in the current call

Proposals for Networks of excellence in the Global Change and Ecosystems Sub-Priority are submitted in two stages. In the two-stage procedure, proposers initially present their idea to the Commission as an outline proposal, which Part B shall be of maximum 15 pages including all annexes (written in 12-point character size). The outline proposal is submitted as set out in the Call for proposals as published in the Official Journal of the European Union. Proposals must be received by the Commission by the closing date of the call.

Independent experts will then evaluate the submitted outlined proposals, following the evaluation criteria as described in the Global Change and Ecosystems Sub-Priority Workprogramme and the Guidance notes for evaluators.

Only coordinators of proposals retained in stage 1 will be invited to submit a complete stage 2 proposal. The proposers retained for submission in stage 2 should complement the first stage proposal with the detailed workplan for the first 18 months, clarification on budget and consortium. Stage 2 proposals will also be evaluated by independent experts following all evaluation criteria..

Favourable evaluation of the outline proposal does not oblige the proposers to subsequently submit a Stage 2 proposal, nor does it commit the Commission to supporting a subsequent project.

Submission of proposals in this call should be made by electronic means (see Call text).

II.2 Consortium composition

Proposals must be presented by a consortium comprising a minimum number of mutually-independent legal entities (organisations or individuals) established in different Member States of the EU, Associated candidate countries or Associated States, of which a certain number must be Member States/Associated Candidate Countries. These numbers are set out in the Call for proposals. Organisations from other countries may additionally take part, provided these minimum requirements have been met.

The EU Member States are: Austria, Belgium, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Slovakia, Slovenia, Spain, Sweden and United Kingdom. International organisations of European interest¹, and the European Commission's Joint Research Centre (JRC) are considered on the same footing as legal entities established in an EU Member state.

The Associated Candidate Countries are: Bulgaria, Romania and Turkey. The Associated States are: Iceland, Israel, Liechtenstein, Norway and Switzerland.

Organisations from countries which are on the FP6 INCO (International Cooperation) target list which are taking part in a project will be funded on the same basis as organisations from the EU². This list includes the countries of the former Soviet Union, the Western Balkans, the Mediterranean partner countries and developing countries elsewhere in the world. It also includes Croatia, which is a candidate to join the European Union but which is not at present an Associated Candidate Country for FP6. (Potential participants should confirm the exact situation of all these countries at the FP6 International Cooperation website, see Section VII).

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

² Up to the limit of the amount of funding reserved for this action

Organisations from countries other than these may also in some cases receive a Community financial contribution, as defined in the Rules of Participation in FP6 (see address in Section VII).

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

II.3 Structure of a proposal

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

- **Part A** is a set of forms which collect necessary administrative information about the proposal and the proposers e.g. proposal name, proposers' names and addresses, brief description of the work, numbers of researchers and students involved etc. (see Annex 1). This information will be encoded in a structured database for further computer processing to produce statistics, evaluation reports etc., and also to support the experts and Commission during the evaluation process.
- **Part B** comprises a structure or list of headings, which should be followed to describe the scientific, and technical content of a proposal (see Annex 2), rather than a pre-prepared form. It describes among other things the nature of the proposed work, the participants and their roles in the proposed project. It describes the reasons for carrying out the work, and the benefits, which would come from it. **The length of the Part B of the stage 1 outline proposals should not exceed 15 pages. The length of the Part B of stage 2 complete proposals should not exceed 200 pages, all annexes and tables included.**

Any additional material sent with the proposal (company brochures, supporting documents and reports, videos etc.) will be disregarded. In proposals submitted electronically, other embedded material (audio, video multimedia etc.), attached files or hyperlinks to other documents will be disregarded. Evaluations will be based on black-and-white paper copies of the A forms and the Part B of the proposal.

II.4 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 must be included in Part B of the proposal.

II.5 Pre-proposal check

No facility for a pre-proposal check is provided for the current Call.

II.6 Notification of intention to submit a proposal

As part of the Electronic Proposal Submission system, proposers register their intention to submit a proposal. Registration information is indicative only. The information that you provide at this stage will help the Commission to prepare for evaluation of the call. The details that you give need not be final and will not form part of your eventual proposal. Only the details you provide in the final proposal when you make the submission will be evaluated.

III Submission of proposals

Proposals for this call are invited to be submitted only as an electronic proposal via the web-based Electronic Proposal Submission System (EPSS), which is reached **via the CORDIS call page** to prepare and submit your proposal online.

Alternatively an offline version of the tool - called the EPTool (EPT) - may be downloaded to prepare a proposal offline. The user must also download special software and a set of forms appropriate to the instrument and call. Once the proposal has been prepared with the EPTool, the user returns to Electronic Proposal Submission System to submit the proposal file that he has prepared.

In both cases the tool distinguishes between the participant who is taking the lead in the preparation of the proposal (the “proposal coordinator”), and the other participants in the consortium (the “partners”).

Note to the proposers invited to submit a complete stage-2 proposal:

Changing preparation mode between the first stage and the second stage is not possible:

- if you have used the **online** submission procedure for the first stage, you must use the same **online** procedure for the second stage;
- if you have used the **offline** submission procedure for the first stage, you must use the same **offline** procedure for the second stage;

III.1 Online preparation and submission

The following instructions briefly outline the principal steps for online proposal preparation and submission. A detailed “EPSS Online preparation and submission guide” is available on CORDIS (see Section VI).

The online EPSS is a Web-based system, i.e. you do not have to install special software on your computer. You only need a standard Web browser and a username and password. All the data that you upload is securely stored on a Web server, to which only the participants in the proposal have access (not even the Commission before submission), providing a common online workspace for the preparation of the proposal.

Request for username and password (by the proposal coordinator):

- Go to the CORDIS call page for the current call
- On the call page, go to the box “Prepare and submit a proposal for this call”
- Choose the instrument you want to apply for from the dropdown list and press “Go”. You will arrive at the EPSS start page
- Click on “Register” for **ONLINE preparation and submission**, fill in the registration form and submit it. This form asks for a few brief details about the proposal, to assist the Commission in planning the evaluation³.
- The EPSS will send you by return email a username and password as proposal coordinator. They will also send a (different) username and password for your partners. In case of problems in receiving these, contact the EPSS helpdesk (reference see section VII)
- If you make an error concerning the call you have registered for, the type of instrument, or the choice between online or offline preparation, you must abandon this registration and register again
- The usernames and passwords are linked to only one proposal (for the call and for the instrument you have chosen). For each proposal you want to prepare you have to register again.

Using the online system (coordinator):

Once you have received your username and password, you can start building a proposal. Access to the system is again via the CORDIS call page for the current call. By entering your coordinator username and password you will now reach the EPSS main menu for your proposal. At the first login, you will be invited to reset your own password and the other partner’s password.

³ Please complete as many fields as possible, even if only with preliminary data - the information you give does not involve you in any commitment

As a coordinator you can then:

- set up (and modify) your consortium by adding/removing partners
- complete all Part A forms (NB: for the first stage outline proposal, only the co-ordinator shall complete a A2 form, see in Annex I the instructions for completing the forms A)download the document template for writing Part B of the proposal, and when it is completed, upload the finished Part B
- submit the proposal Part A and Part B.

Using the online system (partners):

The other participants in the proposal receive their partner username and password directly from the coordinator. For entering the EPSS see above. As a partner (not coordinator) they can:

- complete their own A2 form for the stage-2 proposal (NB: for the first stage outline proposal, only the co-ordinator shall complete a A2 form, see in Annex I the instructions for completing the forms A)
- download the document template for writing Part B of the proposal, in order to assist the coordinator in preparing it (however only the coordinator can upload the finished version)
- view the whole proposal.

Submitting the proposal online

Completing the Part A forms in the EPSS and uploading a Part B does **not** yet mean that your proposal is submitted. **Once there is a consolidated version of the proposal the coordinator must expressly submit it by pressing the “SUBMIT” button.** Only the coordinator is authorised to submit the proposal.

On submission, the EPSS performs an automatic validation of the proposal (e.g. confirms if all mandatory fields are completed, that there appears to be the eligible minimum number of participants etc.) and informs the coordinator of any apparent problems with the proposal. The coordinator may decide to submit the proposal even when apparent problems have been indicated by the EPSS. This automatic validation does not replace the more detailed eligibility check later carried out by the Commission.

All files are also subject to a check for viruses. Files which are found to contain viruses will not be accepted, the coordinator will instead receive a message to remove the virus and to try submission again. Also files which are found subsequently to be unreadable or unprintable cannot be evaluated.

Note there is a 10 Mbyte limit to the total size of proposal file (Part A and Part B) which may be submitted. Excessively large files will not be accepted, the coordinator will instead receive a message to reduce the size of the file and try again.

If successfully submitted, the coordinator receives a message that indicates that the proposal has been received. The coordinator may continue to modify the proposal and submit revised versions overwriting the previous one (by pressing the “SUBMIT button” each time!) right up until the call closure.

For the proposal Part B you must use exclusively PDF (“portable document format”, compatible with Adobe version 3 or higher, with embedded fonts). Other file formats will not be accepted by the system. Also zipped or otherwise compressed archives will not be accepted - as PDF is self-compressing there is nothing to be gained by zipping.

Only a single PDF file comprising the complete Part B can be uploaded. Unless specified in the call, any further files with annexes or additional information (company brochures, supporting documentation, reports, audio, video, multimedia etc.) will be rejected.

Using only PDF format for submission of Part B - Why?

This format of text documents is supported by the vast majority of computer platforms; it bears a minimum risk of viruses; it is self-compressing. Allowing any possible format would require that the Commission maintain an arsenal of software and even then readability could not be guaranteed in 100% of the cases. The

other advantage of saving as a PDF file is that the contents are “locked” and the original formatting (margins, page breaks, etc.) will always be maintained when the file is printed. (WYSIWYG).

Using only PDF format for submission of Part B- How?

The possibility of converting a text file into PDF is integrated into some word processors. In case this is not implemented in the word processor you are using, you can download special conversion software (commercial software or downloadable freeware) from the web. Conversion into PDF is the last step in preparing a document for submission; since PDF documents are then locked, they cannot be edited like normal text files.

III.2 Proposal preparation and submission using the EPTool

The following instructions briefly outline the principal steps for offline proposal preparation and online submission. A detailed “Offline Electronic Proposal Tool (EPT) User Guide” is available on CORDIS (see Section VI).

Downloading the EPTool

The offline EPTool is a software programme running on your computer to create a proposal for later upload to the online EPSS. For preparing a proposal you have to download two components:

- the EPTool itself i.e. the basic software
- the package of forms and templates specific to the call and instrument you want to apply for.

The following steps are necessary for the proposal coordinator:

- Go to the CORDIS call page for the current call (reference see section VII)
- On the call page, go to the box “Prepare and submit a proposal for this call”
- Choose the instrument you want to apply for from the dropdown list and press “Go”. You will arrive at the EPSS start page
- Click on “Register” for **OFFLINE preparation and online or offline submission**
- Fill in the registration form and submit it. This form asks for a few brief details about the proposal, to assist the Commission in planning the evaluation⁴
- The EPSS will send you by return email a username and password. You will need this for subsequent online submission of the proposal. In case of problems in receiving these, contact the EPSS helpdesk (reference see section VII)
- Click on “Download EPT”, then choose one of the two options presented, depending on your computer platform, and follow the instructions for download and installation
- Go back to the EPSS start page (via the CORDIS call page) and click on “Download forms package”. You will be able to download the package (a compressed .zip file) applicable to the call and instrument you have chosen. You have later to remember the directory on your hard disk to which you saved the package
- If you make an error concerning the call you have registered for, the type of instrument, or the choice between online or offline preparation, you must abandon this registration and the downloaded package of forms and templates and register again
- The username and password are linked to only one proposal (for the call and for the instrument you have chosen). For each proposal you want to prepare you have to register again.

Working with the EPTool:

- Unzip the downloaded forms package to a separate directory indicating call and instrument
- If you have downloaded the EPTool with the Java runtime attached, find the directory ...\\EPTool that has been created on your hard disk during installation of the tool. In this directory you find a pdf file “EPSS-EPT-user-guide” with instructions how to use the application. Otherwise locate the EPT files you have downloaded, extract them to a directory. We recommend using the ...\\EPTool directory.

⁴ Please complete as many fields as possible, even if only with preliminary data - the information you give does not involve you in any commitment

- In the subdirectory ...EPTool\bin you find the file “Runme.bat” (Windows) or “runme.sh” (Unix), a batch or shell script file. Run this file to open the application, use the programme following the instructions in the “Offline Electronic Proposal Tool (EPT) User Guide”.

Online submission of a proposal created with the EPTool

Once the proposal coordinator, with the assistance of his partners, has created and packaged a proposal with the offline tool following the instructions in the “Offline Electronic Proposal Tool (EPT) User Guide”, submission is carried out uploading the package to the EPSS. **For this you will need the username and password which you obtained at registration.** Control for viruses and excessive file size is applied as in the case of online preparation and submission.

Software problems with the EPTool are not considered as extenuating circumstances for call deadlines. It is therefore advisable to test the functioning of the system well in advance of the deadline, and, as for the EPSS online version, submit a first consolidated version of the proposal well in advance of the deadline (i.e. at least several days before), so that in case of technical or other problems close to the deadline there is a valid version already submitted.

Disclaimer: The offline EPTool is a software tool to be installed and running on your own computer system. Although designed for maximum compatibility, its proper functioning, as for any software, depends on proper installation and on your computer environment and settings and therefore cannot be guaranteed. The Commission cannot be held liable for any malfunction of the EPTool on your computer nor can it give technical assistance on problems related with your local computer environment.

III.3 Errors in submitted proposals

Errors discovered in proposals submitted by the EPSS (with either online preparation in the EPSS or offline preparation using the EPTool) can be rectified by simply submitting a corrected version. As long as the call is not yet closed, the new submission will overwrite the previous one.

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

III.4 Deadline for reception

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

Proposals must be submitted to the EPSS system before the call deadline, at which time the access to the EPSS for this call will close. Proposers using online preparation should note that **submission is the point at which you have completed the upload of your proposal and have pressed the “Submit” button.** It is not the point at which you commence the upload. If you wait until too near to the close of call to commence uploading your proposal, there is a high probability you will not be able to submit in time.

The submission of a proposal requires some knowledge of the EPSS system, a detailed knowledge of the contents of the proposal and the authority to make last-minute decisions on behalf of the consortium if problems arise. **Do not delegate the job of submitting your proposal !**

If you have wrongly registered and submitted your proposal to another call which closes after this call, the Commission will not receive it until it is discovered in the download of this later call. **It will therefore be declared as ineligible because of late arrival.**

III.5 Acknowledgement of receipt

Shortly after the closure of call, the Commission will despatch by electronic mail an Acknowledgement of receipt to the e-mail address of the proposal coordinator (the individual named as “person in charge” on the A2 form of participant no. 1). The sending of an Acknowledgement of receipt by the Commission does not imply that a proposal has been accepted as eligible for evaluation.

Proposers who have not received an Acknowledgement of receipt by 5 working days after call deadline should urgently contact the Global Change and Ecosystems Sub-Priority Information Desk (see section VI.1).

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

IV Evaluation and negotiation

IV.1 Timetable of evaluation

All proposals that fulfil the eligibility criteria are evaluated to determine their quality. Independent experts will evaluate the eligible proposals, following the criteria of the Global Change and Ecosystems Sub-Priority Workprogramme and the Global Change and Ecosystems Sub-Priority Guidance Notes for Evaluators.

The experts' conclusions are examined by the Commission with the support of the Global Change and Ecosystems Sub-Priority Programme Committee, which comprises representatives of Member and Associated States.

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

Stage 1 Outline proposals

The evaluation of outline proposals in stage 1 will take place in December 2005. Co-ordinators of retained proposals following stage 1 will be notified by the end of December 2005 and will receive the Evaluation Summary Report with remarks and an overall statement on passed thresholds. They will be invited to submit their stage 2 proposals by the respective deadline, envisaged for 2 March 2006.

Proposers failing to pass all thresholds will receive before end of January 2006 an Evaluation Summary Report with the outcome of the evaluation including comments, marks per criteria and the overall score of their proposal. Unsuccessful proposals will subsequently receive a formal notification of the Commission Decision not to retain their proposal, normally within 3 months after the closing date of the call.

Stage 2 Complete proposals

The evaluation of proposals in stage 2 is planned to take place in April 2006. After the completion of the evaluation of proposals in stage 2, the proposers, whether successful or unsuccessful, will receive an Evaluation Summary Report with the outcome of the evaluation. These reports will be sent out no later than 2 months after the deadline.

Remote evaluation

For the current call, the Commission may opt to have proposals evaluated remotely. For this, independent experts are invited to carry out the evaluation fully or partially at their home or place of work. In general, remote assessment of proposals is used for the individual reading and evaluation of proposals by individual independent experts.

The fact of using remote evaluation for any step of the overall evaluation process does not change in any way the provisions on confidentiality or conflict of interest set out in the code of conduct for independent experts. Independent experts working remotely are also required to fill in and sign the declaration on confidentiality and non-conflict of interest before beginning work.

IV.2 Contract negotiations

If the proposal has been successful in the evaluation and has been selected for possible funding, contract negotiation will start through an official letter sent by the Commission in May 2006.

Negotiations apply at two levels: scientific and technological, and administrative and financial. The officials conducting these negotiations on behalf of the Commission will be working within a predetermined budget envelope for the proposal and also within the framework of any recommendations which the evaluators may have made concerning modifications to the work presented in the proposal.

Members of the proposal consortium will/may be asked to come to Brussels to facilitate the negotiation. This may involve several meetings which would take place from June 2006.

Proposers should familiarise themselves well before these meetings with the content of the model contract for this instrument, and its annexes. This contract can be downloaded from the Internet (see address in Section VII).

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

Proposers should note that projects for IP and NoE resulting from this call in the Global Change and Ecosystems Sub-Priority must also set up a Consortium agreement. The Consortium agreement should be finalised as early as possible, and at the latest at the same time as the contract. A checklist, which may assist you in drawing up a Consortium agreement, is available on the Internet (see address in Section VII).

If the negotiation is successful, a Commission Decision approving the funding is foreseen in a timeframe starting October 2006. The project may begin work in accordance with the provisions in the contract signed with the Commission regarding the project start date.

In the event of budget availability (due e.g. to failure of negotiations of initially selected proposals, or to negotiations concluded at a lower level of funding than originally anticipated), proposers from a short reserve list may be contacted to start negotiations.

IV.3 Submission, evaluation and negotiation summary table for this call

Publication of call	<i>19 July 2005</i>
Deadline for submission of stage 1 proposals	<i>3 November 2005, 17:00 Brussels time</i>
Evaluation of stage 1 proposals	<i>December 2005</i>
Invitation letter to successful coordinators to submit Stage 2 proposals	<i>December 2005</i>
Evaluation Summary Reports sent to proposal coordinators;	<i>January 2006</i>
Deadline for submission of stage 2 proposals	<i>2 March 2006 17:00 Brussels time</i>
Evaluation of stage 2 proposals	<i>April 2006</i>
Evaluation Summary Reports sent to 1 coordinators	<i>April 2006</i>
Invitation letter to successful coordinators to launch contract negotiations with Commission services	<i>May 2006</i>
Signature of first contracts	<i>October 2006</i>

V Check list for proposers

- ⇐ Have you informed your National Contact Point of your intention to submit a proposal?
- ⇐ Do you have the necessary authorisations from each member of the consortium to submit this proposal on their behalf (the Commission does not prescribe in which form the authorisations are made and will not check them; this is a matter of internal organisation of the Consortium)?
- ⇐ Have you completed both a Part A and a Part B?
- ⇐ Is your Part B prepared in the approved file format (PDF), including no material in other formats?
- ⇐ Have you virus-checked your Part B, using up-to-date anti-virus software?
- ⇐ Have you printed out your A3 form and checked the figures you are submitting to us?
- ⇐ Have you printed out the PDF file of your Part B, to check if it is complete, printable and readable? **After the call close it will not be possible to replace any sections of your proposal which are missing or unreadable**
- ⇐ Is your proposal file within the size limit of 10 Mbytes?
- ⇐ Are you submitting to the correct call, **FP6-2005-Global-4**?
- ⇐ Last but not least: Have you pressed the **SUBMIT** button?

It is strongly advised to submit a first version of the proposal well in advance of the deadline (i.e. at least several days before), and then to continue to improve it with regular resubmissions, so that in case of technical or other problems close to the deadline there is a valid version already submitted.

In the event of a failure of the EPSS service due to breakdown of the Commission server during the last 24 hours of this call, the deadline will be extended by a further 24 hours. This will be notified by email to all proposal coordinators who had registered for this call by the time of the original deadline, and also by a notice on the Call page on Cordis and on the Call page on the EPSS.

Such a failure is a rare and exceptional event, therefore do not assume that there will be an extension to this call. If you have difficulty in submitting your proposal, you should not assume that it is because of a problem with the Commission server, since this is rarely the case. Check whether a notice of extension has been published on the Call page on the EPSS and on CORDIS, or telephone the EPSS helpdesk.

Please note that the Commission will not extend deadlines for system failures that are not its responsibility. In all circumstances, you should aim to submit your proposal well before the deadline to have time to solve any problems.

VI Support to proposers

VI.1 *Global Change and Ecosystems Information Desk*

The coordinates of the Global Change and Ecosystems Information Desk is:

European Commission
The Global Change and Ecosystems Information Desk
Directorate General RTD
CDMA 0/28
B-1049 Brussels

Email: rtd-sustainable@cec.eu.int

Fax: +32-2-295 20 97

Web: <http://www.cordis.lu/sustdev/environment/home.html>

The desk is open 09h00 - 17h00 (Brussels time), Monday to Friday.

**Links to all the necessary information to prepare a proposal are available on the CORDIS call page for the current call (see Section VII)
Proposers should periodically check this for latest information**

VI.2 *EPSS helpdesk and user guides*

This software-related technical helpdesk treats exclusively technical questions on the use of the electronic proposal submission system (EPSS):

EPSS Helpdesk

E-mail: support@epss-fp6.org

Phone: +32 2 233 37 60

EPSS and EPTool user guides are available at <http://www.cordis.lu/fp6/find-doc.htm#userguides>.

VI.3 *Partner search facilities*

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

VI.4 *National Contact Points*

The Global Change and Ecosystems Sub-Priority supports a network of National Contact Points (NCPs), which can be helpful to organisations from their country both in general advice (particularly on preparing proposals) and in finding participants from other countries. Organisations should contact the NCP of their own country for further information. It is highly recommended that the proposal coordinator informs his National Contact Point of his intention to submit a proposal at as early a stage as possible. (see CORDIS at: <http://www.cordis.lu/fp6/ncp.htm>).

VI.6 The Intellectual Property Rights Helpdesk

The Intellectual Property Rights Helpdesk aims at assisting current and potential participants in RTD EU funded projects. The IPR Helpdesk provides advice in intellectual property issues, in particular on topics regarding dissemination and exploitation of results.

The IPR Helpdesk operates a free-of-charge helpline offering a basic legal assistance on IPR related issues. The helpline is run in English, French, Italian, German, Polish and Spanish.

Website

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

Helpline (detailed queries)

ipr-helpdesk@ua.es

VI.7 ETI actions

As part of the special support for SME participation in European research activities, the Sixth Framework Programme funds a range of Economic and Technological Intelligence (ETI) projects. The goal of these projects is to facilitate the participation of SMEs in FP6 proposals. The existing ETI projects already cover most of the Priority Thematic Areas and are establishing extensive networks of SMEs, and thus they offer a unique source of information and contacts.

There is more information at:

http://sme.cordis.lu/economic/eti_projects.cfm

VI.8 Additional Financial Support from the Structural Funds (Bonus)

The “Bonus” mechanism allows eligible FP6 project partners established in Objective 1 Regions to get access to additional financial contribution from the Structural Funds. The additional financial support from the Bonus allows beneficiaries to reduce their own contribution to the project’s budget.

It has to be stressed, however, that, it is the competent Management Authority of the Structural Funds for each programme in the respective Member State which is responsible for deciding whether a specific FP6 contractor should or should not be awarded a bonus from the Structural Funds, and on the level of this award. Therefore proposers have to possess adequate resources either on their own or from third parties to carry out their tasks under the FP6 project without the bonus being taken into account. In any case this bonus cannot lead to situations where the consortium receives more funding than the eligible total claimed costs since this would lead to a profit.

More information is available at:

<http://www.cordis.lu/era/regions.htm>

VII References

Potential proposers could consult the following documents:

Legal decisions

Decision on the Framework Programme	http://www.cordis.lu/fp6/find-doc.htm
Rules of Participation in FP6	
Specific Programme “Integrating and strengthening the European Research Area”	
(includes the Global Change and Ecosystems Sub-Priority)	

Call information

Call for proposals	http://fp6.cordis.lu/fp6/call_details.cfm?CALL_ID=211
Brochure “The Fp6 in Brief”	
Guides for Proposers	
Global Change and Ecosystems Workprogramme	
Global Change and Ecosystems] Guidance notes for evaluators	
Organisations expressing interest in this Call	
Gateway to the Electronic Proposal Submission System	

Supporting information

CORDIS FP6 service	http://www.cordis.lu/fp6
National Contact Points	http://www.cordis.lu/fp6/ncp.htm
Electronic submission: EPSS and EPTool user guides	http://www.cordis.lu/fp6/find-doc.htm#userguides
IPR helpdesk	http://www.ipr-helpdesk.org
CORDIS partner search facility	http://partners-service.cordis.lu/
Innovation Relay Centres:	http://irc.cordis.lu
International cooperation	http://www.cordis.lu/fp6/inco.htm
Science and Society action plan	http://europa.eu.int/comm/research/science-society/action-plan/action-plan_en.html
Guidelines on techniques for science communicating with the public	http://www.cordis.lu/fp6/society.htm ;
Guidelines on Innovation in FP6	http://www.cordis.lu/fp6/find-doc.htm#innoguide
ETI actions	http://sme.cordis.lu/economic/eti_projects.cfm
European Investment Bank	http://www.eib.org/

Contractual information

Consortium agreement checklist	http://www.cordis.lu/fp6/find-doc.htm#modelcontracts
Contract preparation forms	
Model contracts	
Guidelines for reporting	http://www.cordis.lu/fp6/find-doc-management.htm#reporting

Annexes

Annex 1 - Proposal Part A: forms and instructions

Annex 2 - Proposal Part B: outline, headings, instructions

Annex 3 - Ethical rules for FP6 projects

Annex 4 - Integrating the gender dimension

Annex 5 – Classification of the FP6 instruments

Annex 1 - Proposal Part A: forms and instructions

Proposals in this call must be submitted electronically, using the Commission's Electronic Proposal Submission System. The forms on the following pages are therefore for information only.

Proposal Submission Forms



EUROPEAN COMMISSION

6th Framework Programme for
Research, Technological
Development and Demonstration

Network of Excellence

A1

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

GENERAL INFORMATION ON THE PROPOSAL			
Proposal Title ³ (max. 200 char.)			
Duration in months ⁴		Call (part) identifier ⁵	
Activity code(s) most relevant to your topic ⁶			
Keyword code 1 ⁷			
Keyword code 2 ⁷			
Keyword code 3 ⁷			
Free keywords ⁸			
Abstract ⁹ (max. 2000 char.)			

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

Proposal Submission Forms



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

Network of Excellence

A2

Proposal Number ¹	<input type="text"/>	Proposal Acronym ²	<input type="text"/>
------------------------------	----------------------	-------------------------------	----------------------

INFORMATION ON PARTICIPANTS (IN STAGE 1 ONLY COORDINATOR)

Participant number ²⁶				<input type="text"/>
Participant organisation				
Organisation legal name ¹¹		<input type="text"/>		
Organisation short name ¹²		<input type="text"/>		
Legal address				
PO Box ¹³	<input type="text"/>	Postal Code ¹³	<input type="text"/>	
Street name and number ¹³		<input type="text"/>		
Town ¹³	<input type="text"/>	Country ¹⁴	<input type="text"/>	
Internet homepage <input type="text"/>				
Activity Type HE, RES, IND, OTH ¹⁵		Legal Status GOV, INO, JRC, PUC, PRC, EEIG ¹⁷ , PNP ¹⁶		
If Legal Status "PRC", specify ¹⁸ <input type="text"/>				
Are you an SME according to the new definition as described in the Commission Recommendation 2003/361/EC? ¹⁹			YES/NO <input type="text"/>	
Are there dependencies between the organisation and (an)other participant(s) ? ²⁰			YES/NO <input type="text"/>	
If yes, participant number <input type="text"/>		If yes, participant short name <input type="text"/>		
Character of dependence SG, CLS, CLB ²¹ <input type="text"/>				
If yes, participant number <input type="text"/>		If yes, participant short name <input type="text"/>		
Character of dependence SG, CLS, CLB ²¹ <input type="text"/>				
If yes, participant number <input type="text"/>		If yes, participant short name <input type="text"/>		
Character of dependence SG, CLS, CLB ²¹ <input type="text"/>				
Person in charge²²				
Name	<input type="text"/>	First name(s)	<input type="text"/>	
Title ²³	<input type="text"/>	Sex: Female=F, Male=M ²⁴ <input type="text"/>		
Department/Faculty/Institute/ Laboratory name <input type="text"/>				
Address (if different from above)				
PO Box ¹³	<input type="text"/>	Postal Code ¹³	<input type="text"/>	
Street name and number ¹³		<input type="text"/>		
Town ¹³	<input type="text"/>	Country ¹⁴	<input type="text"/>	
Phone 1 ²⁵	<input type="text"/>	Phone 2 ²⁵	<input type="text"/>	
e-mail	<input type="text"/>	Fax ²⁵	<input type="text"/>	

Previously submitted similar proposals or signed contracts? ¹⁰	YES/NO <input type="text"/>
If yes, programme name(s) and year	<input type="text"/>
If yes, proposal number(s) or contract number	<input type="text"/>

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

How to complete the proposal submission forms

Introduction

This section provides guidance on how to complete the attached submission forms for first-stage (“outline”) and second stage (“complete”) proposals in a two-stage procedure (**Some instructions are different between first and second stage!**). These forms are an integral part (Part A) of your proposal.

How to complete the forms

First-stage - the outline proposal:

- The coordinator fills in the form A1, one form A2 (only for his own organisation) and the form A3. On form A3 the full budget of the project is shown on the line of the coordinator as at this stage no breakdown by participant is required in the A forms.

Second-stage – the full proposal:

- The coordinator fills in the form A1 and the form A3. In this case the form A3 shows the full budget breakdown per participant
- The participants already identified at the time of full proposal submission (including the coordinator) each fill in one A2 form.

For potential future participants not yet identified at the time of submission of the full proposal but foreseen to join the consortium at a later stage, no A2 forms have to be filled. Their role, profile and tasks are described in Part B of the proposal, but the estimated budget foreseen for these future participants is not shown separately in form A3 but should be added to the coordinator’s budget.

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

For numbers, (amount, duration, etc.), please round to the nearest whole number. All costs are given in €(not thousands of €) and must exclude value-added tax.

1 Proposal number

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

2 Proposal Acronym

Provide a short title or acronym of no more than 20 characters to be used to identify the proposal (use standard alphabet and numbers only; no symbols or special characters please). The **same acronym should appear on each page of the proposal (part A and part B)** to prevent errors during its handling.

3 Proposal Title

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

4 Duration

Insert the estimated duration of the project in full months. In no case may it exceed 84 months.

5 Call Identifier

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

6 Activity code(s) most relevant to your topic

Please insert the code for the activity of FP6 that is addressed by your proposal (for the list see <http://www.cordis.lu/fp6/activitycodes>). If you consider that your proposal aims at more than one activity of

FP6, you can indicate several codes (maximum three), starting with the most relevant one. This first code **must refer to an activity open in the call you are addressing**.

7 Keyword codes from thesaurus

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

8 Free keywords

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

9 Abstract

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

10 Previously submitted similar proposals or signed contracts

Has your organisation signed contracts with the European Commission or any other funding body for projects on this subject?; Have you submitted or are you currently submitting another proposal on this subject to the European Commission or any other funding body? If so, answer YES, otherwise NO. If yes, give the programme name, year of submission and proposal number or contract number.

11 Organisation legal name

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

12 Organisation short name

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

13 Address data

Fill in only the fields forming your complete postal address. If your address is specified by an indicator of location other than a street name and number, please insert this instead.

14 Country

Insert the name of the country as commonly used.

15 Activity Type

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

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

16 Legal status

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

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

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

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

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

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

EEIG: European Economic Interest Group;

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

17 Legal Status: If “EEIG”

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

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

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

19 Small or Medium Sized Enterprise (SME)

Please note that a new definition of SME enters into force on 1 January 2005. According to this, an SME (Micro, Small or Medium-sized Enterprise) is an enterprise which:

- has fewer than 250 employees,
- has an annual turnover not exceeding 50 million euro,
and/or
- an annual balance-sheet total not exceeding 43 million euro.

Please be aware that according to the new SME definition, you may have to take into account possible relationships with other enterprises when calculating the data for your enterprise.

For further information please consult the [SME definition](http://europa.eu.int/comm/enterprise/enterprise_policy/sme_definition/index_en.htm) (Commission Recommendation 2003/361/EC of 6 May 2003), in particular Articles 1-6 of the Annex on

http://europa.eu.int/comm/enterprise/enterprise_policy/sme_definition/index_en.htm

20 Dependencies between participants

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

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

Control:

Legal entity A controls legal entity B if:

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

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

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

21 Character of dependence

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

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

22 Person in charge

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

23 Title

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

24 Sex

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

25 Phone and fax numbers

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

26 Participant number

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

27 Number of researchers to be integrated

For a Network of Excellence, the number of researchers that the participants intend to integrate will be calculated on the following basis:

- **“researchers”:** means research staff with at least four years of research experience or those in possession of a doctoral degree. Additionally, a “researcher” must either be an employee of one of the contractors or be working under its direct management authority in the frame of a formal agreement between the contractor and that researcher’s employer;
- **“number of researchers”:** means the headcount of those “researchers” that both (a) are identifiable by name at the time of the deadline for the submission to the Commission of the original proposal for this network of excellence and (b) constitute the research capacities of the contractors within the frame of the then proposed network of excellence;
- this initial set of names must be auditable.

28 Number of doctoral students in the network

For a Network of Excellence, the number of registered doctoral students will be calculated on the following basis:

- **“doctoral students”**: means students who are enrolled on a recognised course of doctoral studies run by one of the contractors and who do not meet the conditions to be considered as a “researcher”;
- **number of doctoral students”**: means the headcount of those “doctoral students” that are both (a) identifiable by name at the time of the deadline for the submission to the Commission of the original proposal for this network of excellence and (b) engaged on research activities within the frame of then proposed network of excellence;
- this initial set of names must be auditable.

29 Requested grant for integration

The model contract (Annex III) contains a table to convert the overall “number of researchers” to be integrated into an average annual grant that a successful network is entitled to receive (deviations from this standard table can be defined in the work programmes):

:

50 researchers	€1 million/year
100 researchers	€2 million/year
150 researchers	€3 million/year
250 researchers	€4 million/year
500 researchers	€5 million/year
1000 researchers and above	€6 million/year

The grant for an intermediate number N of researchers would be calculated by linear interpolation:

A - nearest lower given number, B – nearest upper given number, G_A – given grant for A researchers, G_B – given grant for B researchers:

Grant for N researchers: $G_N = G_A + [(G_B - G_A) / (B - A)] * (N - A)$

Show the total (not annual) figure in the box “Requested grant for integration”

The bonus for “doctoral students” will be equivalent to €4,000/year multiplied by the “number of “doctoral students”, up to a maximum of 10 % of the grant for the “researchers”.

By way of illustration, a network of 100 “researchers” and 5 “doctoral students” being supported over 4 years would be granted a fixed amount totalling €8.08 million, which the network would eventually receive provided, of course, that the eligible costs incurred by the consortium in implementing the joint programme of activities turn out to be greater than this amount.

“Researchers” and “doctoral students” of a participant established in a third country shall be included in the calculation of the “number of researchers” and “number of doctoral students” only when the participant may receive a Community financial contribution.

The consortium, when taking into account aspects such as the characteristics of the field of research concerned, may request a lower grant for integration than that resulting from the method described above. In such cases, this lower amount will be the basis for any contract.

The grant awarded to the network can be paid to the consortium only to the extent that the payments are less than the eligible costs incurred by the consortium in implementing the joint programme of activities.

30 (Sub-)Total (Applies only for second-stage (“complete”) proposals)

In a second-stage (“full”) proposal, if the number of lines in the table on form A3 is not sufficient for your consortium, please use additional copies of A3. Do not add lines to the table. Indicate at the bottom the total number of A3 sheets used and the number of each sheet. On each sheet, except on the last one, insert the total values per sheet. On the last sheet, insert the overall totals.

Annex 2 - Proposal Part B: guidelines for drafting

Networks of Excellence (NoE) - Application forms part B
STAGE 1 - OUTLINE PROPOSAL

All proposals should respect the number of 15 pages maximum for the outline proposal Part B.

Proposals for Networks of excellence submitted in stage 1 - Outline Proposal will be assessed against a **limited set of criteria** only: therefore Form B for stage 1 must be structured according to the 3 major headings B1, B2 and B3 below. **Part B submitted in stage 1 should not be longer than 15 pages**, including title and tables, written using at least font size of 12. The Commission should reserve the right to discard any extra pages and to discard proposals submitted in small letter types.

In addition to the technical information provided in Part B, a proposal must also contain a Part A, containing basic information on the proposal and the consortium making the proposal⁵. The forms for Part A are provided in this Guide. Incomplete proposals, i.e. those for which Part A is missing, are not eligible and *will not be evaluated*. (NB: for the first stage outline proposal, only the co-ordinator shall complete an A2 form)

Documents that fully detail what a Network of Excellence comprises and how such a network should be implemented can be found at <http://www.cordis.lu/fp6/instruments.htm> . Proposers should study these documents thoroughly before commencing the preparation of their proposal Part B.

Part B differs between Stages 1 and 2: be sure that the right forms are used to submit your proposal under the Global Change and Ecosystems Sub-Priority

CONTENT OF PART B STAGE 1 - OUTLINE PROPOSAL

Title page and Partnership

Proposal full title

Proposal acronym

Sub-Priority 6.3 – Global Change and Ecosystems

Sub-priority research area(s) and topic(s) – see the sub-priority work programme

Type of instrument: **Network of excellence (NoE)**

Co-ordinator name

Co-ordinator organisation name

Co-ordinator e-mail and fax

Partnership

Provide an overview of the core participants already committed at the time of the submission of the stage 1 proposal. Use the format below. Participant 1 is the co-ordinator.

Participant number	Participant organization name	Country
1		
2		
Etc.		

Contents page

show contents list

B.1 Relevance to the objectives of this Sub-Priority

⁵ In the event of inconsistency between information given in Part A and that given in Part B, the Part A version will prevail

Describe how the proposed project addresses the scientific, technical and wider societal and policy objectives of the Global Change and Ecosystems Sub-Priority in the specific areas concerned. Explain the effectiveness of using a Network of Excellence, referring to its aim of reduction of fragmentation, creation of progressive and durable integration and its contribution to generate knowledge.

B.2 Degree of integration and the Joint Programme of Activities (JPA)

Give a clear outline of the indented JPA. The JPA should clearly describe the indented joint programme of specific integration activities, the programme of jointly executed research and the programme for dissemination. The JPA should demonstrate that a high level of lasting integration beyond the period of Community financial support would result from its implementation.

Give evidence of the endorsement of the organisations involved of the intended resources sharing and structural and organisational changes arising from the implementation of the JPA. Give evidence that the appropriated level of decision making within each organisation is actively involved and committed.

Networks of Excellence (NoE) - Application forms part B
STAGE2 - COMPLETE PROPOSAL

**ONLY RETAINED STAGE 1 PROPOSALS ARE INVITED TO SUBMIT
A COMPLETE STAGE 2 PROPOSAL**

Please note that your **STAGE 2 - COMPLETE PROPOSAL** has to be prepared on the basis of the information provided in your retained **STAGE 1 - OUTLINE PROPOSAL**. The estimated number of pages of the Part B should not exceed 200 pages, all annexes and tables included.

Please also note that the information provided in your **STAGE 2 - COMPLETE PROPOSAL** will represent the basis for a possible negotiation.

Be aware that under FP6 the Consortium Agreement has become mandatory, hence the information you provide in your **STAGE 2 - COMPLETE PROPOSAL** should also represent a basis for your Consortium Agreement.

Documents which fully detail what a Network of Excellence comprises and how such a network should be implemented can be found at <http://www.cordis.lu/fp6/instruments.htm>. Proposers should study these documents thoroughly before commencing the preparation of their proposal Part B.

Networks of Excellence may be implemented in two ways:

- The network participants and the Joint Programme of Activities are known from the beginning.
- The objectives and the JPA are known; but it is anticipated that further participants will be added later in the network.

In both cases the proposal must contain a description of the proposal and the JPA for the full duration of the project (Sections B.1-B.7, see below) and a description of the JPA for the first 18 months (Section B.8, see below).

The Proposal Part B fulfils two main purposes. Sections B.1 to B.7 provide an overall description of the joint programme of activities. It indicates how it corresponds to the various criteria, which will be used in its evaluation, and describes the work planned in terms of its major elements (“activities”). In these sections, proposers should demonstrate:

- that their plans are well worked out, their partnership is adequate, and that they will be able to react flexibly to unexpected development which might occur during the lifetime of the network or
- that the tasks to be carried out by new participants are clear and well defined, and can be expected to be fulfilled without difficulties

Section B.8 provides a more detailed plan for the joint programme of activities foreseen in the first 18 months of the network, described down to the level of individual work packages and the contributions of consortium members to each.

All proposals must have concrete plans for a workable network for the whole duration of the Community support and with a higher degree of detail for the first 18 months.

CONTENT OF PART B STAGE 2 COMPLETE PROPOSAL

Front page

Proposal full title

Proposal acronym

Sub-Priority 6.3 – Global Change and Ecosystems

Sub-priority research area(s) – see the sub-priority work programme

Type of instrument: **Network of Excellence (NOE)**

Co-ordinator name

Co-ordinator organisation name

Table of contents page

B 1 Confidential proposal summary and objectives

This part should contain:

- a description of the overall objectives of the NOE and an explanation of the manner it addresses the goal of overcoming fragmentation, restructuring/reshaping of research in that particular field in Europe;
 - a description how the proposal intends to achieve a **lasting integration**;
 - explanations of the **appropriateness of using an NOE** (in particular real needs for EU industry and society to integrate activities and research teams in the field) and a description of its different components and resources integrated across the project;
 - the evidence of the excellence and appropriateness of the **partnership** and structure of the consortium (including complementarity and cross-frontier co-operation) and the overall management structure
 - indication of the **potential impact** on: long-term structuring
- q training and education activities
- q spreading excellence beyond the NOE

B.2 Relevance to the objectives of the Global Change and Ecosystems Sub-Priority

- q Describe in detail the manner in which the proposed network's integration goals address the scientific, technical, socio-economic and policy objectives of the 6.3 Sub-Priority in the areas concerned. (Emphasis should be given to European competitiveness and sustainable development).
- q Explain the appropriateness of using a NOE describing:
- the contribution to generate **knowledge**
 - the reduction of fragmentation and the creation of **progressive and durable integration** of the EU research capacities;
 - its overall **structure**, specifying its various components:
 - Activities to be integrated
 - Jointly executed research
 - Spreading of excellence;
 - the **links between these components**, and relating them to the project's main objectives.

Be clear regarding the degree of ambition to overcome the fragmentation of European research in the field.

B.3 Potential impact

Indicate how the NOE will solve the problem of **fragmentation** of effectively integrate research capacities in Europe and its **long-term structuring** impact on the particular topic and the European Research Area.

- q Describe how the NOE will effectively address problems of knowledge of tomorrow, in particular in the context of a knowledge-based society and knowledge-based enterprises.
- q Describe how the proposal will aim at **spreading excellence**, exploiting results and disseminating knowledge inside and outside the network, in particular at international level.
- q Describe the potential impact in Europe of **training and education** activities needed to improve or develop new skills and/or expertise.
- q Indicate the contribution of the NOE in terms of **Community societal objectives** (quality of life, health, safety, working conditions, employment; environment, training and education, etc.) and where relevant, in supporting EU policies in the field concerned.
- q Describe contributions to national or international standards, which may be made by the network, if any

Explain the proposed activities for knowledge management beyond the consortium.

B.4 Degree of integration and the Joint Programme of Activities

Describe the joint programme of activities and show how the Joint Programme of Activities brings about the expected degree of integration and restructuring/shaping of the existing research capacities. Describe the overall JPA broken down to the level of activities and the components of each of the activities. Show how this integrates the various components to a coherent network. Use the form NoE List of activities, given below, to summarise the participation of the various members of the network.

Then describe the following activities in detail:

B.4.1 Integrating activities: Explain how the integration effort of the network is comprised of a number of different activities (major elements or blocks of work). Describe each of these activities; identify who will be involved in carrying out the different integrating activities. Show the importance and contribution of each to the integration process, in particular in relation with the qualitative and quantitative performance indicators that you propose when submitting your proposal. (*Integrating activities are all those activities to pursue structural change and reorganisation towards the overall goal of durable integration. In other words, integrating activities are those aimed at structuring and shaping the way that the participants carry out research on the topic concerned. Examples (non-exhaustive list):*

- *establishing mechanisms for coordinated programming of the participants' research activities in order to enhance complementarity and mutual specialisation (of course built on strengths and shrinking weaknesses)*
- *establishing mechanisms for coordinating and finally merging research portfolios of the different participants*
- *exploring the legal circumstances and feasibility for durable integration*
- *staff mobility and exchanges, relocation of staff, perhaps of whole teams and equipment*
- *setting up joint supervisory bodies*
- *shared use or establishment of new research and managerial infrastructure, equipment facilities and/or services for common use*
- *development/reinforcement of joint electronic communication and data sharing networks to support interactive working between the teams involved*
- *preparation of new joint projects, joint training programmes, joint management of knowledge and IPR...)*

B.4.2 Programme for jointly executed research activities: Describe the jointly executed research activities that will be undertaken by the network. Demonstrate that these activities are new or re-oriented compared to those that would have been undertaken by the participants in the absence of the network. (*Jointly executed research is an obligatory part of the JPA. These research activities must aim at achieving the purpose of durable integration or at filling gaps in the collective knowledge portfolio of the network. Examples (non-exhaustive list):*

- *development of research tools, instruments, methods for common use by the participants,*
- *new research activities aimed at filling the gaps of the collective research portfolio of the network....)*

*Apart from the jointly executed research as described above, the participants in an NoE will of course pursue their own institutional research portfolios in the area covered by the NoE. This research **cannot form** part of the JPA.)*

B.4.3 Activities to spread excellence: Describe the activities planned by the network for spreading the excellence beyond the network members, with a particular emphasis on the training activities addressed to research staff and other key staff, including outside the network. Describe the involvement of doctoral students (if any) in the research activities of the network. Describe the plan for management of knowledge and intellectual property, as well as the plan for dissemination of the results beyond the network and, if appropriate, the plan for innovation. Describe the activities foreseen for raising awareness of science and research in the general public.

B.4.4 Management activities: Describe each of these components, identify who will carry out each. Show the relevance and contribution of each to the project's organisation and management plans described in section B.7 below. Show how the management will contribute to the progress towards durable integration of the activities of participants. Demonstrate that the management structure allows for an active involvement of each participating institution.

B.5 Description of the consortium and of the excellence of the participants

- q Provide an **overview of the core partners** specifying:
- the name of the organisation and the type (Higher education; Research; Industry; others);

- the country;
 - the number of researchers to be integrated;
 - the role in the project.
- q If there are as-yet-unidentified participants in the network, the expected competencies, the role of the potential partners and their integration into the network should be described. Comment on the quality of the grouping; indicate past experience of partners in networking;
- q Describe the qualification of the **key personnel** assigned to the project.
- q Justify how the **expertise and the experience** of the researchers together with their **complementarity** are well suited to their role in the project.
- q If one or more of the participants is based outside of the EU and Associated states, explain in terms of the network's objectives why this/these participants have been included, describe the level of importance of their contribution to the network
- .. Include appropriate declarations of intent from the participating organisations to an institutional commitment towards both a meaningful and lasting integration of their research activities on the topic.

B.6 Quality of the integration

Demonstrate that the JPA is designed to achieve the expected degree of integration and that the participants have made a **commitment** towards a deep and durable integration continuing beyond the period of Community financial support; give evidence of endorsement of top-management with respect to the sharing of human resources, infrastructures and activities. Describe the **level of undertaking** of the participants towards a deep and durable integration beyond the period of Community support. Provide a list of quantitative and qualitative performance indicators in respect to the degree of integration to be achieved and the restructuring of the European research landscape in your field of research that could be applied during the annual independent reviews regarding the progress towards integration..

(Such indicators could include (non-exhaustive list):

- *number of exchanges of personnel*
- *number or state of development/modification/acquisition of tools/equipment/infrastructure/facilities/services for common use by the participants*
- *degree of change to research portfolios and degree of merging of portfolios*
- *degree of specialisation and complementarity of participants*
- *number of joint training programme*
- *number of joint new projects and initiatives launched...*)

B.7 Organisation and management

- q Present the **organisational, management and governance structure** as well as the decision-making mechanisms in order to demonstrate the ability to undertake the complexity of the NOE and the degree of integration required. Do not forget to mention the conditions for evolution of partnership during the course of the project.
- q Give evidence that the **researchers** to be integrated (number and qualification) will be suited and necessary to the NOE objectives.
- q Explain the conditions to ensure proper **management of knowledge**, intellectual property rights and dissemination of the knowledge generated within and beyond the partnership during the life of the project as well as the range of applications and potential target user groups.
Justify the **adequacy of the requested grant** with respect to the degree of integration, the characteristics of the research field and the Joint Programme of Activities.
- .. Describe the decision making process to avoid bottlenecks in the execution, any anticipated legal problem and how to address emerging needs in the relevant S&T field.
- .. Indicate any plans concerning possible partnership expansion during the life of the project and any implications this may have on the management structure and on the budget.
- .. Provide information on the progress made in establishing a consortium agreement at the time of stage 2 proposal submission.

B.8 Joint Programme of Activities – first 18 months

This section describes in detail the Joint Programme of Activities which is planned for the first 18 months. An introduction should explain the structure of this 18-month JPA and describe how the plan will lead the participants to achieve the level of integration and objectives aimed for by that time. It should also identify significant risks, and contingency plans for these. The plan must be broken down into workpackages (WPs) which should follow the logical phases of the integration of the network during this period, and include management of the network and assessment of progress and results for this point. Essential elements of the plan are:

- a) JPA plan introduction – explaining the structure of this plan and the overall methodology used to achieve the objectives in the first 18 months.
- b) Work planning, showing the timing of the different WPs and their components (Gantt chart or similar).
- c) Graphical presentation of the components, showing their interdependencies (Pert diagram or similar).
- d) Detailed activity description broken down into workpackages:
 - Workpackage list (use Workpackage list form below);
 - Deliverables/milestones list (use Deliverables/milestones list form below);
 - Description of each workpackage (use Workpackage description form below, one per workpackage):

Note: The number of workpackages used must be appropriate to the complexity and the overall size of the proposed network. Each workpackage should be a major sub-division of the activities of the network and should also have a verifiable end-point (normally an important milestone in the construction of the Network of Excellence or a more concrete deliverable arising from the joint work of the network). The list of performance indicators, both qualitative and quantitative that has to be provided when submitting the proposal should be consistent with the milestones concerning the progress towards durable integration. The planning should be sufficiently detailed to justify the proposed effort and allow progress monitoring by the Commission – the day-to-day management of the network by the consortium may require a more detailed plan.

B.9 Description of the resources necessary to implement the joint programme of activities

Describe which resources (human, material, financial) will be necessary to implement the Joint Programme of Activities. Make sure that the total eligible costs of the JPA will be higher than the grant for integration requested as resulting from the application of the conversion table to the number of researchers constituting the participants' research capacities in the topic of the network. (see note 29 to the Part A forms in Annex 1 to this guide).

B.10 Other issues

B.10.1 Ethical issues If there are ethical issues associated with the activities of the network, show how they have been taken into account - indicate which national and international regulations are applicable and explain how they will be respected. Explore potential ethical aspects of the implementation of network results. Include the Ethical issues checklist given below⁶

B.10.2 Policy issues: Are there other EC-policy related issues, and are they taken into account? Describe how the network will engage with actors beyond the network to help spread awareness and knowledge and to explore wider societal implications. If relevant set out synergies with education at all levels.

B.11 Gender issues

B.11.1 Gender Action plan. Write a summary action plan indicating actions and activities that will be developed to assure gender equality among participants in the network.

⁶ See Annex 3 for more information on ethical issues

Write an action plan indicating actions and activities that will be developed to promote gender equality in all forms within your project. (for further explanation see Annex 4).

B.11.2 Gender issues. If there are gender issues associated with the subject of the proposal, show how they have been adequately taken into account.

NoE List of activities**Full duration of project**

(tick boxes for activities in which participants are involved)

Project acronym -

	Participant 1 short name	Participant 2 short name	Participant 3 short name	Participant 4 short name	Participant 5 short name	etc	TOTAL PARTICIPANTS
Integrating activities							
Activity name							
Activity name							
Activity name							
Activity name							
etc.							
Joint research programme							
Activity name							
Activity name							
Activity name							
Activity name							
etc.							
Spreading of excellence activities							
Activity name							
Activity name							
Activity name							
Activity name							
etc.							
Consortium management activities							
Activity name							
Activity name							
Activity name							
Activity name							
etc.							

Workpackage description (18 month plan)

Workpackage number		Start date or starting event:	
Workpackage title			
Participant id			

Objectives

Description of work

Deliverables

Milestones¹⁶ and expected result

¹⁶ Milestones are control points at which decisions are needed; for example concerning which of several technologies will be adopted as the basis for the next phase of the project.

Ethical issues checklist

Table A. Proposers are requested to fill in the following table

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

If you answer “YES” to any of the above, please include in your proposal section B10.1 the more detailed version of Table A (“Crucial information”) obtained from:

http://europa.eu.int/comm/research/science-society/ethics/rules_en.html

and also incorporate in section B.10.1 and in other appropriate parts of your proposal comments corresponding to the detailed instructions given in sections C-D at the above address

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

- Research activity aimed at human cloning for reproductive purposes,
- Research activity intended to modify the genetic heritage of human beings which could make such changes heritable¹⁷
- Research activity intended to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.

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

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

¹⁷ Research relating to cancer treatment of the gonads can be financed

Annex 3 – Ethical rules for FP6 projects

National legislation

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

EU legislation

Participants must conform to relevant EU legislation such as:

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

International conventions and declarations

Participants should respect the following international conventions and declarations:

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

Opinions of the European Group on Ethics

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

Protection of Animals

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

Ethical review at EU level

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

Fields of research which are excluded from the programme

Certain fields of research are excluded:

- Research activity aiming at human cloning for reproductive purposes;
- Research activity intended to modify the genetic heritage of human beings which could make such changes heritable¹;
- Research activities intended to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.

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

¹ Research relating to cancer treatment of the gonads can be financed.

Annex 4 - Integrating the gender dimension

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

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

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

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

In concrete terms, this proposal is expected to contribute to promote gender equality through the following means:

1. Action plan to promote gender equality

Due to their expected structuring effect on scientific research, NoEs and IPs are requested to design and implement an action plan to promote gender equality within the frame of the project.

The action plan is a set of measures *chosen* by the contractor, according to its analysis of what is appropriate in the frame of the project, and on the basis of its comprehension of the gender issue in science.

The action plan can include measures such as (examples only, other measures welcome):

- taking special action to bring more women into the project,
- linking with networks of women scientists in the field of the project,
- linking with schools and universities to trigger the interest of women in the project (“girl's day”),
- hiring gender experts to review/audit/monitor the gender dimension of the project,
- organising a seminar/conference/workshop to raise awareness about the need to increase gender equality in the field of the project,
- conduct surveys/analysis,

These action plans should not be considered confidential. The Commission will take note of these action plans, make them available through a database on the web, monitor their implementation, and organise a discussion with the scientific community on the different measures proposed and implemented by the contractors.

2. Gender issues in research

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

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

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

- life sciences
- information society
- energy
- environment
- international co-operation
- SME and innovation
- Mobility and socio-economic research.

The reports can be requested at rtd-sciencesociety@cec.eu.int

Annex 5 – Classification of the FP6 instruments

The Instruments have been classified into three different groups on the basis of their purpose:

- The first group comprises the instruments aimed at generating, demonstrating and validating new knowledge through research and development, and is composed of Integrated Projects (IPs) and Specific Targeted Research Projects (STREPs);
- The second group is composed only of the Networks of Excellence (NoEs), an instrument aimed at the durable integration of the participants' activities/capacities;
- The third group comprises the instruments aimed at supporting collaboration and coordination, and other activities (such as conferences and studies) and is composed of Coordination Actions (CAs) and Specific Support Actions (SSAs).

Figures shown in the table are averaged over all priorities in FP6. Individual priorities may show significant variation in some cases.

Instruments aimed at generating, demonstrating and validating new knowledge										
Instrument	Purpose	“Target ” audience	Activities covered by EU contribution	Funding mechanism	Indication on value of EU contribution ¹	Average duration	“Optimum” size of consortium ²	Flexibility	Enlargement of partnership within the initial budget	Specific characteristics
Integrated Project (IP)	Ambitious objective-driven research dealing with different issues through a “programme approach”	Industry, including SMEs Research institutes Universities (Possibly) Potential end-users	<u>One or more of:</u> Research Demonstration Training Innovation linked activities Management of the consortium	Cost based	€10 million €4-25 million	36-60 months	10-20 participants	Yearly update of work plan	Possible through “competitive calls”	“Programme approach”, focussing on multiple issues As a rule several components Often multi-disciplinary
Specific Targeted Research Projects (STREP)	Objective-driven research more limited in scope than IPs and usually focussed on a single issue	Industry, including SMEs Research institutes Universities	<u>One or more of:</u> Research Demonstration Innovation linked activities Management of the consortium	Cost based	€1.9 million € 0.8-3 million	18-36 months	6-15 participants	Fixed overall work plan	Possible	“Project approach”, focussing on a single issue As a rule one component Often mono-disciplinary

¹ overall average of the lowest and the highest averages per project in the various thematic priorities under FP 6 so far

² not a legal requirement, but provides an indication of the number of partners the Commission services consider likely to allow the achievement of the project’s objectives.

Instrument aimed at the durable integration of the participants' research activities/capacities										
Instrument	Purpose	"Target" audience	Activities covered by EU contribution	Funding mechanism	Indication on value of EU contribution ¹	Indicative average duration	"Optimum" size of consortium ²	Flexibility	Enlargement of partnership (within the initial budget)	Specific characteristics
Network of Excellence (NoE)	Durable integration of the participants' research activities	Research institutes Universities Mainly indirectly: Industry (possibly through steering committees, governing boards, scientific committees) SMEs (possibly through take-up actions)	<u>Joint programme of activities (JPA):</u> Integrating activities Joint research programme Spreading of excellence <u>And</u> Management of the consortium	<u>Calculation of the grant</u> Maximum grant calculated on the basis of the number of researchers <u>And</u> Possibility for the participants to request a lower amount <u>Payment of the grant</u> Based on actual costs for implementing the JPA <u>And</u> On basis of the progress towards durable integration	€7 million €4-15 million	48-60 months	6-12 participants	Yearly update of the work plan	Possible through "competitive calls"	Institutional commitment at strategic level from the very start and for the whole duration As a rule limited number of partners

¹ overall average of the lowest and the highest averages per project in the various thematic priorities under FP 6 so far

² not a legal requirement, but provides indication on the number of partners the Commission services consider likely to allow the achievement of the project's objectives.

Instruments aimed at supporting collaboration and coordination and other activities (such as conferences and studies)										
Instrument	Purpose	“Target” audience	Activities covered by EU contribution	Funding mechanism	Indication on value of EU contribution ¹	Average duration	“Optimum” size of consortium ²	Flexibility	Enlargement of partnership (within the initial budget)	Specific characteristics
Coordination Action (CA)	Coordination, networking	Research institutes Universities Industry including SME	Activities intended to improve and effect the coordination of research carried out in another context that can include: programmes of meetings, seminars, workshops, working groups, studies, analyses, exchanges of personnel, exchange and dissemination of good practices, setting up of information systems Management of the consortium	Cost based	€1 million € 0.5-1.8 million	18-36 months	13-26 participants	Fixed overall work plan	Possible	No funding of research activities Consistent set of activities focussing on coordination (“programme” approach)
Specific Support Action (SSA)	Preparation of future actions, support to policy, dissemination of results	Research institutes Universities Industry including SMEs	Individual meetings, seminars, workshops, studies, publications, scientific awards and competitions Management of the consortium	Cost based Public procurement (payment of a price following a call for tender) when provision of service to the Commission	€0.5 million €0.03-1 million	9-30 months	1-15 participants	Fixed overall work plan	Possible	No funding of research activities “Project” approach Possibility of one single participant

¹ overall average of the lowest and the highest averages per project in the various thematic priorities under FP 6 so far

² not a legal requirement, but provides indication on the number of partners the Commission services consider likely to allow the achievement of the project’s objectives.

