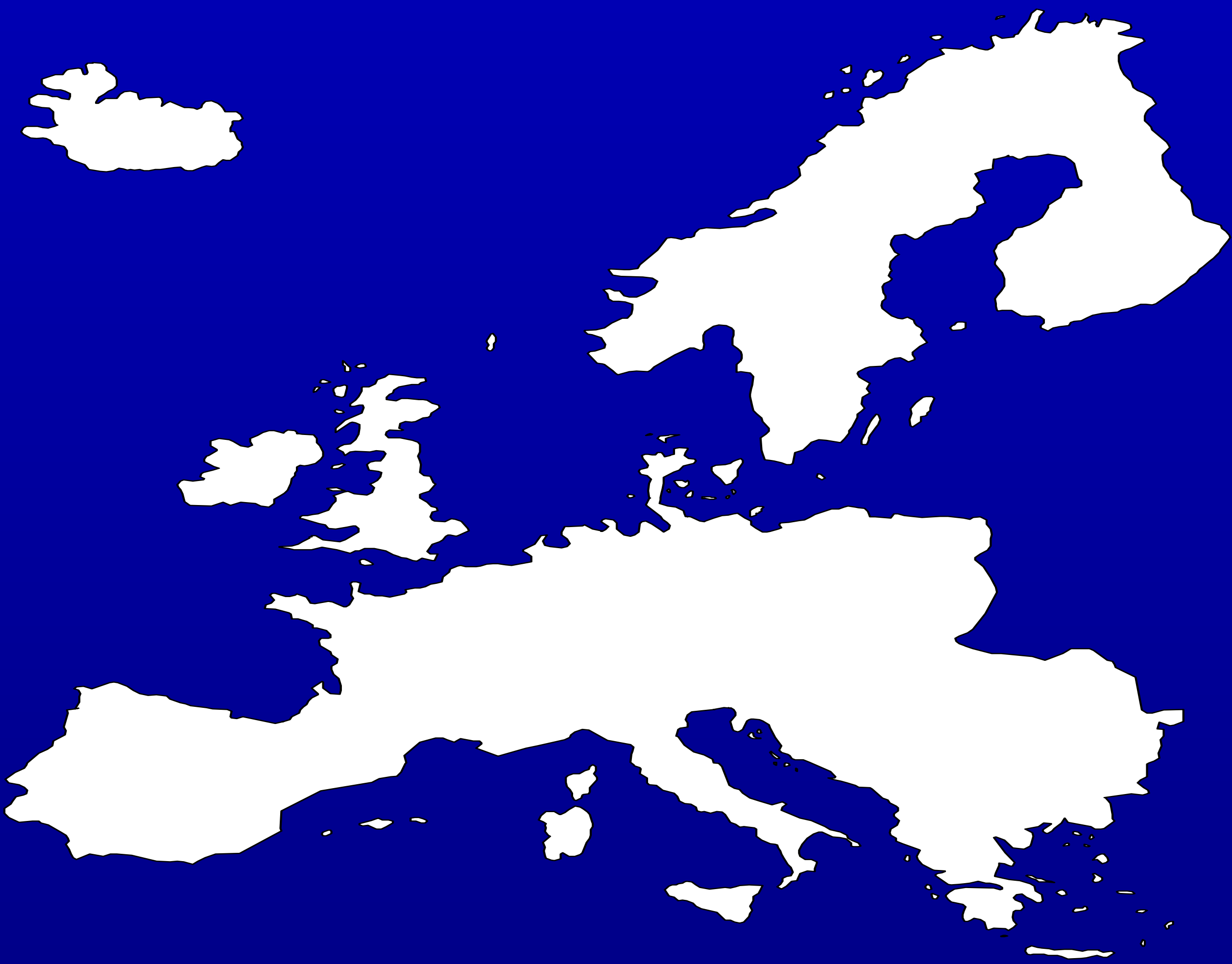

The European Union's Sixth Framework Programme

A Layperson's Guide to Funding

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The Sixth Framework Programme of the European Union: A Layperson's Guide to Funding

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About the Guide

European Union Funding in the Sixth Framework Programme is the single largest source of research funding within the EU. However, it is not easy to access these resources, as there are complicated procedures and rules governing the distribution of these funds. This Guide to Funding attempts to explain these procedures and rules in a simple and straightforward way.

Funding in the Sixth Framework Programme is open to NGOs and companies in the new EU member states. Most potential applications from the new member states will be seeking funding for the first time and this Guide was commissioned by the Open Society Institute to help them. In addition to the original version of this Guide, updates will be available every six months from the same source as this Guide.

This Guide is meant to serve primarily as a beginners' handbook. However, the detailed yet structured information will be useful as a ready reference for just about any person interested in Sixth Framework funding.

Using the Guide

This Guide is structured to deal with the logical flow of questions that a beginner would have. It starts with an introduction to the Framework Programme and then goes on to discuss the "first questions" that a first-time applicant would ask. After briefly answering these questions, the Guide proceeds to deal with each question in a separate chapter, sometimes dedicating more than one chapter per question.

The Guide also contains a set of appendices that provide more information on several topics. Most importantly, the appendices include a list of additional sources of information (primarily websites), a list of current and future calls for proposals, and a glossary.

Although this Guide starts off as being simple, there is a certain amount of jargon that is essential for potential applicants to be familiar with. This jargon is ***highlighted*** the first time it is used and explained in the Glossary of terms

Chapter 1: Introduction to FP 6

What is FP6?

The European Union’s (EU) research *Framework Programme* (FP) is its main method of funding research in Europe. FPs have been implemented since 1984. Each FP runs for a period of five years with the last year of one FP and the first year of the following FP overlapping. The Sixth FP (FP6) was fully operational as of January 1, 2003 (FP5 ended on December 31, 2002) and it will continue till December 31, 2006.

A Brief Overview of FP6

Objectives of FP6

Past FPs (particularly FPs 4 and 5) have focussed on the development of advanced science and technologies and have helped to develop scientific and technological co-operation between different EU countries. FP6 aims to take this co-operation to the next step, with its main focus being the creation of a “*European Research Area*” (ERA). FP6 has been divided into two specific programmes. The first programme has two objectives - ‘Focusing and Integrating Research’ and ‘Strengthening the ERA’; while the second Programme has the objective ‘Structuring the ERA’.

Who runs FP6?

The European Commission (EC) is the institution that manages and implements EU policies and the EU budget. Thus, FPs are implemented and FP funds are administered by the EC.

How are FP6 funds allocated?

FP funds are allocated after evaluation of proposals submitted in response to the “*calls for proposals*” that the EC regularly publishes. Each “call for proposals” describes in detail the priorities of that call and only projects that reflect those priorities in their scope and objectives will be eligible for funding. Thus, FP funds may only be used for carefully described work or research developments and not as a general source of subsidies for research projects.

The budget for FP6 is €17.5 billion. The biggest part of this amount (around €12 billion) will be spent on activities for ‘focusing and integrating research’ around seven *thematic priority areas*. (Go to Appendix 3 for the full FP6 budget break-up). Funds are allocated using *funding instruments*.

What are the thematic priorities under FP6?

The seven thematic priority areas (also called programmes) are:

1. Life sciences, genomics and biotechnology for health
2. Information society technologies (IST)
3. Nanotechnologies, multifunctional materials and new production processes
4. Aeronautics and space
5. Food quality and safety
6. Sustainable development, global change and ecosystems (including energy and transport research)
7. Citizens and governance in a knowledge-based society

They are often referred to by number, e.g. Priority 2 for IST.

Chapter 2: The First Questions

Am I eligible for funding?

Any legal entity or individual from any country in the world can participate in the FP6 programme. A legal entity is any organisation, institution, company etc. that is legally registered with a national authority. Natural persons (legally registered individuals) are also considered as legal entities.

Countries have been categorised according to their relation to the EU. Members of the different categories can participate to a different extent in FP6. As such each "call for proposals" specifies clearly who can participate and what restrictions, if any apply.

The different categories are:

- *Member States* (MS) – These include the 25 EU Member States including the 10 *New Member States* (NMS). In some documentation a distinction is made between the 15 "old" Member States and the 10 New Member States.
- *Associated States* – These are countries that make a financial contribution to FP6. They include:
  - *Associated Candidate Countries* (ACC) – These are countries that have been acknowledged as candidates for (future) accession to the EU. At present these countries are Bulgaria, Romania and Turkey
  - *Associated States* (AS) – In addition to the ACC countries, there are five other countries that have special agreements with the EU and thus qualify as associated states. They are Iceland, Israel, Liechtenstein, Norway, and Switzerland
- *Third Countries* – A third country is a country that is neither a Member State nor an Associated State.

If your organisation (or yourself as an individual) belongs to either one of the Member States or one of the Associated Candidate Countries, you can participate quite freely in FP6. Of course, certain restrictions might apply depending on the specific nature of the call. Members of the Associated States face some restrictions, while members from Third Countries face even higher restrictions. That said, the opportunities for funding in FP6 are extensive and the international dimension of the European Research Area is promoted by opening participation in various areas to institutions from third countries.

Chapter 3: Who can participate covers this in more detail.

What can be funded?

FP6 funds cannot be used to subsidise or otherwise pay for the regular / ongoing research or related activities of an individual or organisation. FP6 funding is strictly for specific research or supporting activities as defined in a call for proposals. The activities supporting research could include collaborative efforts, workshops, conferences, networks, studies, dissemination of information, fellowships etc.

Most FP6 funded research must fit into one of the thematic priority areas. However, certain activities within the objectives of strengthening and structuring the European Research Area can be implemented in any field of scientific research and technology.

Since most of the funding available in FP6 (about 80%) is for activities within the seven thematic priority areas, it is important to understand them well before embarking on a fund seeking expedition. Chapter 4: Funding Opportunities in FP6 covers this in more detail.

Funding within FP6 is almost always in response to a "call for proposals". However, you can also receive EU funds by responding to a "call for tenders" (public procurement). The

EC uses tenders when specific tasks have to be fulfilled, whether it is an order for pencils, a large computer network for the police system or a study about the value of patents for society. Tenders are not used for research activities but for goods or services that the EC requires to support its activities or daily functioning. Tenders fall outside the normal FP6 funding mechanism and are not the focus of this Guide. However, some information about tenders can be found in Appendix 8: Other Methods of Funding – Public Procurement (Tenders)

How much funding can I get?

The basic principle of funding in FP6 is that only costs are funded. There is no provision for a profit margin. The amount of funding you can receive depends on mainly two factors:

- the type of legal entity you are e.g. public sector organisation, non-profit organisation, company, individual etc.
- the funding instrument for which you apply (see Chapter 5: Funding Instruments) and the activity therein (research and development, management etc.)

In general, public bodies including academic and research institutions and in many cases non-profit organisations receive 100%, i.e. full funding, for all costs incurred (including personnel and overhead costs) in conducting the activities of the funded project. Commercial enterprises, on the other hand, normally receive 50% of costs incurred in conducting activities of the funded project although this may extend to 100% for certain funding instruments.

More details on funding methods are covered in Chapter 6: Financial Matters

Can I apply for funding alone or do I need to be part of a group?

In general a project proposal must be submitted by a group of proposers, always referred to as the "*consortium*". In most cases, the consortium must contain a minimum of three members, each from a different Member State or Associated Candidate Country. Further restrictions may be specified for individual calls for proposals – a minimum number of public bodies in the consortium, for example. Rules for participation are always clearly specified in each call and must be carefully considered when putting together a consortium.

For certain types of proposals (*Specific Support Actions* and Marie Curie Fellowships) a single organisation or individual is eligible for funding and a consortium is not required.

However, since the purpose of FP6 is to fund activities at a European rather than at a national or local level, the EC gives preference to projects that involve several partners from different countries.

It is often difficult to find the right partners for a consortium, especially if you are inexperienced at applying for EU funding. There are a number of services that provide assistance in this regard. Some services are specially tailored towards the New Member States and the Associated Candidate Countries – see Chapter 7 for details.

If applying as a group, what are the rules for co-operation?

Under FP6, a group of proposers is known as a consortium. In each consortium, there is one partner that plays a leading and administrative role. This partner is called the *coordinator* of the project. Usually the project contract is signed only between the EC and the coordinator, and not with each of the individual partners. The coordinator, in turn, signs an agreement with all the partners of the consortium – this is known as the *consortium agreement*. A consortium agreement is a legal agreement between the partners governing all aspects of their collaboration in the proposed project. It specifies clearly the working rules and responsibilities between the members of the consortium and all members must plan accordingly, in order to fulfil their roles in the consortium. See Chapter 7 for more information.

How do I apply for funding?

You apply for funding by submitting a proposal in response to a "call for proposals". The proposal itself is a two-part form that must be completed in entirety. You will also be required to provide several supporting documents along with the two-part form. However, before you actually start writing your proposal for funding, there are several steps that you must follow:

- First of all you must identify the thematic priority area that you are interested in e.g.: Information Society Technologies.
- Then look for the next "call for proposals" within that area. All calls are published in the *Official Journal of the European Communities* as well as on the FP6 website.
- Next, you must choose the funding instrument within the restrictions of the call.
- Consider the rules and restrictions on participation carefully. You might need several partners to build a consortium.
- Read all the documentation that is published with the call.

After you have found your partner(s), you need to collaborate with them on the actual writing of the proposal. The completed proposal must be submitted to the EC before the published deadline. Each proposal is then evaluated according to several established criteria by three independent evaluators. The text of the call usually specifies when the results of the evaluation will be made public.

More details on proposal writing, evaluation criteria and application procedure are in Chapter 7: Applying for Funding

When will I get the money?

After the results of the evaluation are announced, the selected project(s) are invited by the EC for negotiations to draw up a *contract*. The contract specifies, amongst other things, the payment schedule for the project. After the contract is signed, the first payment is made. Typically, projects receive 85% of the budget for the first 18 months of the project as the first payment. The rest of the money is released according to the payment schedule (usually once a year). It must be noted, however, that it can easily take ten months from the call deadline before the selected project(s) receives the first payment.

What results or products will I have to deliver or produce?

All the partners of the consortium must understand very clearly what responsibilities they are required to fulfil and what work they must carry out (as specified in the Consortium Agreement). However, it is not enough to just do the work. The results and products of the activities and work must be made available to the EC in order to justify the money received. After the first payment is made all following payments are made according to performance and timely submission of the results and products, known as '*deliverables*'. There are strict rules for submission of deliverables and these rules are set out in the project contract. See Chapter 7 for more details on the project contract and the model contract.

Where can I find more information?

The first website that any potential applicant must visit is the official FP6 website: www.cordis.lu/fp6.
It is exhaustive and carries full details of every aspect of the funding and application

process. It has a variety of tools and services that can help a potential applicant with keeping abreast of new developments, finding a consortium partner, etc.

Another source of official information is the National Contact Point (NCP) in each Member State and Associated State. NCPs will provide help on all aspects of FP6 in the national language. To find a National Contact Point in a particular country, go to: http://www.cordis.lu/fp6/ncp.htm

There are also a number of other useful websites and sources of information about funding under FP6 and the various aspects involved. Some of this information is provided by commercial agencies that charge a fee for it, through expensive guides to proposal writing, workshops on funding and so on.

Appendix 10: Sources of Additional Information provides a list of important websites.

Chapter 3: Who can participate

Any legal entity or individual from any country in the world can participate in the FP6 programme. A legal entity is any organisation, institution, company etc. that is legally registered with a national authority. Natural persons (legally registered individuals) are also considered as legal entities.

Participants in the FP6 programme are categorised according to the country to which they belong as well as the nature of their activity i.e. what kind of legal entity they are.

Countries have been categorised according to their relation to the EU. Members of the different categories can participate to a different extent in FP6. The amount of funding they receive is also dependent on the category they belong to. As such, each "call for proposals" specifies clearly who can participate and what restrictions, if any, apply. The different categories are:

A) Member States (MS) – These are the 25 EU Member States including the 10 New Member States (NMS). In some documentation a distinction is made between the 15 "old" Member States and the 10 New Member States. The 25 Member States are: Austria, Belgium, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, The Netherlands, Poland, Portugal, Slovak Republic, Slovenia, Spain, Sweden, and United Kingdom.

B) Associated Candidate Countries (ACC) – These are countries that have been acknowledged as candidates for (future) accession to the EU. At present these countries are Bulgaria, Romania and Turkey

C) Associated States (AS) – These include five other countries that contribute to FP6 funds and have special agreements with the EU. They are Iceland, Israel, Liechtenstein, Norway, and Switzerland. Associated Candidate Countries (ACC) are also included within Associated States (AS) when no distinction is made between these terms.

Third Countries – A third country is a country that is neither a Member State nor an Associate State. Here a further division has been made into:

D) Third Countries having a scientific co-operation agreement with the EU - Argentina, Australia, Brazil, Canada, China, Chile, India, Japan, Kazakhstan, Russia South-Africa, Ukraine, USA

E) Targeted Third Countries - Russia, New Independent States, Mediterranean Countries, Western Balkans, Developing countries (including many of the countries under D).

F) Other Third Countries – all countries not included in any of the above categories.

Some potential participants in FP6 according to nature of activity are:

- A research group at a university or at a research institute - Research institutions are one of the main target groups of FP6. They can find possibilities in virtually all funding instruments of FP6, from participation in research projects to becoming hosts for *mobility and training actions*.
- A company intending to innovate - Companies are one of the main target groups of FP6, in particular SME's. Companies can take part in all research activities. They can also become hosts for mobility and training actions.
- A *small or medium-sized enterprise* (SME) – SME's are encouraged to take part in all thematic areas. 15% of the entire FP6 budget is reserved for them.
- Non-governmental organisations – There are several funding possibilities for non-governmental organisations. They can play a variety of roles within the different funding instruments.
- Public administrations: local, regional or national governments.

- Early stage researchers (post-graduate) - Special mobility and training schemes are available in FP6 for early-stage researchers.
- Experienced researchers - Special mobility actions are available in FP6 for experienced researchers (having a PhD or 4 years research experience).
- Institutions running a research facility of transnational interest
- Organisations and persons from a Third Country - International co-operation (i.e. co-operation with Third Countries) is an integral part of FP6, with the following three complementary routes for participating and funding:
  1. The opening of the bulk of research activities to Third Country organisations
  2. Specific measures in support of international co-operation
  3. International mobility of researchers (fellowships to and from Third Countries)

Participation is most clearly defined within each "call for proposals"

Every "call for proposals" specifies

- Minimum number of participants – here the minimum number of participants is stated according to funding instrument along with the minimum requirements in terms of country of origin. Usually, there are no restrictions to additional participants beyond the stated minimum as long as the additional participants are from any of the countries in categories A to E above.
- Restrictions to participation – here restrictions to the nature of the participating organisations are stated.

The following examples will help in understanding this better

Example 1

Minimum number of participants[1]

Objective	**Minimum number**
All objectives	For Co-ordination Actions: Three independent legal entities from three different MS or AS, with at least two MS or ACC. For Specific Support Actions: One legal entity.

1MS = Member States of the EU; AS (incl. ACC) = Associated States; ACC: Associated candidate countries. Any legal entity established in a Member State or Associated State and which is made up of the requested number of participant may be the sole participant in an indirect action.

Source: Call 3 of the IST priority published on 15/06/2004

According to this call for proposals, for the *Co-ordination Actions* instrument, a minimum of three independent partners from three different Member States or Associated States is required. Moreover, two of the partners must be from Members States or Associated Candidate Countries. Therefore, a consortium with three organisations from Germany (MS), Bulgaria (ACC) and Israel (AS) respectively would match the requirements, but a consortium with partners from Germany (MS), Switzerland (AS) and Israel (AS) would not. However, a team of Germany, Bulgaria, Switzerland and Isreal would work!

For the *Specific Support Actions*, any legal entity from any Member State or Associated State can apply. Thereafter a second participating organisation can be from any category of countries excepting the "Other Third Countries".

Example 2

Restriction to participation

Objective	Restriction
2.3.6.1 and 2.3.6.2	No restriction.
2.3.6.3	For Co-ordination Actions: The minimum number of participants must include only: (i) public bodies responsible for financing or managing research activities carried out at national or regional level, (ii) other national or regional organisations that finance or manage such research activities, or (iii) bodies operating at European level that include as part of their mission the pan-European co-ordination of nationally-funded research. The following legal entities may participate without restriction in addition to the minimum number of participants: (a) charities or other private organisations, which also manage research programmes that are strategically planned and executed at national or regional level, or (b) key participants in national or regional research activities who bring technical expertise in support of activities such as roadmapping or development of long-term shared visions. For Specific Support Actions: No restriction.

Source: Call 3 of the IST priority published on 15/06/2004

This text shows that for the Co-ordination Actions instrument under a specific objective, 2.3.6.3, restrictions have been placed on the nature of organisation for the minimum number of participants as mentioned in the previous example. Additional participants also have some restrictions. For Specific Support Actions, this call places no restrictions on the nature of the participant.

Opportunities for Participation

At present, there are several funding opportunities for participants from the New Member States and the Associated Candidate Countries. For example, the objective of one of the areas in Call 3 of the IST priority (published 15/06/2004) is stated as *"To stimulate, encourage and facilitate the participation of organisations from the New Member States (NMS) and the Associated Candidate Countries (ACC) in the activities of IST"*

The focus on International Co-operation (with Third Countries) has also opened up funding possibilities for participants from Third Countries. For example, the objective of one of the areas in Call 3 of the IST priority (published 15/06/2004) is stated as "*To prepare for future international co-operation in IST."*

See Appendix 7 for information on current and future calls for proposals

Chapter 4: Funding Opportunities in FP6

FP6 funding is strictly for specific research or supporting activities that fulfil the objectives as stated in each “call for proposals”. To understand better what activities can be funded under FP6, it would be useful to take a closer look at the objectives of FP6. Take a look at Appendix 3 for the FP6 Budget.

The main objective of FP6 is to contribute to the creation of the European Research Area (ERA) by improving integration and co-ordination of research in Europe, which is so far quite fragmented. At the same time, research will be targeted at strengthening the competitiveness of the European economy, solving major societal questions and supporting the formulation and implementation of other EU policies

FP6 is made up of three main blocks of activities grouped in two *specific programmes*.

- The objective for the first specific programme is "Integrating and Strengthening the European Research Area".
- The objective for the second specific programme is “Structuring the European Research Area”.

FRAMEWORK PROGRAMME 6: THREE MAIN BLOCKS OF ACTIVITIES		
SPECIFIC PROGRAMME 1		**SPECIFIC PROGRAMME 2**
Block 1: Focusing and Integrating European Research		**Block 2: Structuring the ERA**
Seven Thematic Priority Areas	Specific Activities Covering a Wider Field of Research	
Block 3: Strengthening the foundations of ERA		

The largest part of FP6 funds has been allocated for Block 1, specifically for research under the Seven Thematic Priority Areas. We will now look at the two specific programmes separately.

Specific Programme 1: “Integrating and Strengthening the European Research Area”

In this specific programme, activities are divided into two categories - “Focusing and Integrating European Research” and “Strengthening the foundations of ERA”

Focusing and Integrating European Research

Activities here mostly fall under seven thematic priority areas. Some funds are available for specific activities covering a wider field of research:

- Supporting policies and anticipating Community Needs
- *Horizontal Research Areas* involving SMEs
- Specific measures in support of international co-operation (with entities from Third Countries)

However, since about 80% of all FP6 funding is for activities within the thematic areas, this guide will focus on funding in that context.

<u>The Seven Thematic Priority Areas</u>

It was decided that the bulk of FP6 funded research be focused on specific themes that are strategically important to Europe's future. The themes have been devised in the light of political debate, expert advice, and public consultation. They are not structured from the starting point of traditional research disciplines, but as strategic themes that will be achieved through combinations of scientific disciplines. As one of the measures to implement the international dimension of FP6, substantial funding has been included in the budget for thematic funding for participation by organisations from Third Countries.

The FP6 priority themes with their main objectives are:

1. Life sciences, genomics and biotechnology for health - Integrating post-genomic research into the more established biomedical and biotechnological approaches.
2. Information Society Technologies (IST) - Direct contribution to European policies for the knowledge society and the e-Europe Action Plan; medium and long term RTD on the future generation of technologies integrating computers and networks into the everyday environment; placing the individual at the centre
3. Nanotechnologies and nanosciences, knowledge-based multifunctional materials, and new production processes and devices - Contribution to the creation of the scientific base for the transition of European production industry from resource-based towards knowledge-based, more environment-friendly approaches
4. Aeronautics and space – R&D efforts in the context of the Advisory Council for Aeronautics Research in Europe and the European Strategy for Space
5. Food quality and safety - Improve health and well-being of European consumers through a higher quality of food, improved control of food production and of related environmental factors.
6. Sustainable development, global change, and ecosystems - Strengthening the S&T capacities needed for Europe to be able to implement a sustainable development model in the short and in the long term, integrating its social, economic and environmental dimensions; contributing to international efforts mitigating adverse trends in global change
7. Citizens and governance in a knowledge-based society - Mobilisation of European research in economic, political, social sciences and humanities that are necessary to develop an understanding of, and to address issues related to, the emergence of a knowledge –based society, new forms of relationships between citizens, and between citizens and institutions.

Take a look at Appendix 2 for more information on the thematic areas covered.

Strengthening the foundations of ERA

The objective of this action is to stimulate the coherent development of research and innovation policy in Europe by supporting programme coordination and joint actions conducted at national and regional level as well as among European organisations. Activities may be implemented in any scientific and technological area. The two actions here are:

- Co-ordination of European Research
- Networking of National Research Activities

Specific Programme 2: "Structuring the European Research Area"

In this specific programme, activities seek to attack the structural weaknesses that affect European research. Although research may often be part of an activity, this objective is not concerned with the research itself, but the environment in which research has to exist. Activities within this programme are applicable to all fields of research and technology.

There are four activities:

- Research and innovation
- Human resources and mobility (Marie Curie actions)
- Research infrastructures
- Science and society

Chapter 5: Funding Instruments

Funding under FP6 is categorised according to: the activity within the funding instrument that is used; and the type of legal entity you are e.g.: public sector organisation, non-profit organisation, company, individual, etc

In EU usage "instrument" is defined as the method or the way in which something is done. In FP6 a "funding instrument" is a method of funding, or in other words, the type of contract used to implement a research project. Here onwards, the term will refer to a specific type of contract.

There are nine different funding instruments in FP6. They differ in terms of size of funding, scope, number of participants, time scheme etc.

Type of Instrument	Brief Description
Networks of Excellence (NoE)	Large research network for academic institutions
Integrated Projects (IP)	Large research and technology development project
Participation in programmes undertaken by several Member States (Article 169)	Coordinated Project by several Member States
Specific Targeted Research Projects (STREP)	Small research project
Specific Research Projects for SME's	Research intended to benefit SME's
Co-ordination Actions (CA)	Medium-sized research network, can fund activities similar to SSA
Specific Support Actions (SSA)	Can fund studies, workshops, conferences, dissemination etc.
Marie-Curie Actions	Training, fellowships and exchange programmes for researchers
Integrated Infrastructure Initiatives	Support for research infrastructures

Within each instrument there are several different categories of activities that can be carried out:

- Research and technological development (RTD) and innovation-related activities
- Demonstration activities such as pilot projects implementing a technology
- Training activities
- Management activities (project management, consortium management)
- Other specific activities (e.g. surveys)

Let us now look at some of these instruments in more detail. Inexperienced proposers from New Member States and Associated Candidate Countries are advised to start off small – initiate SSAs, CAs or Marie Curie Fellowships or participate in proposals coordinated by organisations more experienced with the EU funding process.

1. Networks of Excellence (NoE)

Networks of Excellence are designed to strengthen scientific and technological excellence on a particular research topic. They are multi-partner projects that integrate at European level the critical mass of resources and expertise needed to provide European leadership and to be a world force in a given domain. NoEs must spread excellence beyond the boundaries of the partnership.

Who can participate: Participants are usually research entities with an established area of expertise. They could include research centres, universities, (commercial) enterprises including SMEs, and research and technology organisations. *Individual researchers may not be participants in a network of excellence.*

Number of participants: Networks of Excellence usually require a minimum of three partnering institutions from three different Member States or Associated States, of which two must be Member States or Associated Candidate Countries, but the minimum for each network is specified in the "call for proposals". Some Networks of Excellence involve hundreds of researchers while others are much smaller but the important thing to keep in mind is that the NoE must pursue ambitious goals and mobilise the critical mass needed to achieve these goals.

Project duration: Typically up to 5 years with a maximum of 7 years

Expected funding: Several million euros. There is no minimum threshold.

Type of funding: Funding is in the form of a fixed grant for integration. The amount of funding is dependent on a number of factors, especially the number of researchers in the network.

Payment schedule: The fixed grant is distributed in annual instalments. At the start of the contract, the Commission will make an advance payment for the first one-and-a-half years equivalent to 85% of its estimated grant for that 18-month period. Thereafter, payments will be made annually depending primarily on the network's progress.

Activities that can be carried out: Management of the consortium activities, specific activities to fulfil NoE goals such as strengthening research collaboration.

Application of the instrument: NoEs will be applied in the seven thematic priority areas.

Example of an NoE:

Project name	**Network of Excellence on Digital Libraries (DELOS)**
Thematic Priority Area	Information Society Technologies
Action-line	Technology-enhanced learning and access to cultural heritage
Duration	48 months
Contract Type	Network of Excellence
Project Funding	6.00 million euro
Number of participants	over 40 participants (including 2 from New Member States and 1 from Associated States)

The proposed Network intends to conduct a joint program of activities (JPA) aimed at integrating and coordinating the ongoing research activities of the major European teams working in [digital library]-related areas with the goal of developing the next generation DL technologies.

The following excerpts from the DELOS project workplan (from the project website at www.delos.info) illustrate the sort of activities that can be funded within an NoA: organisation of workshops, development of surveys, feasibility studies, development of benchmarks, running experiments, dissemination activities, and of course project management.

WP1 Digital library architecture: To achieve the goals [of this work package], the following activities will be carried out: organisation of workshops on digital library architectures, developments of surveys …, perform a comparison and feasibility study on the adoption of a set of common standards and protocols, development of a benchmark for the evaluation of digital library architectures, running experiments to find out the strengths and weaknesses of different architectures.

WP6 Digital Preservation Cluster: The DELOS Preservation Cluster will thus aim to: (inter)connect people (researchers, stakeholders, suppliers, vendors etc.), organisations and projects that can deliver this research agenda; co-ordinate and promote research and projects; enable identification, collection, and dissemination of information, knowledge and expertise.

2. Integrated Projects (IP)

Integrated Projects are instruments designed to generate the knowledge required to implement the seven priority themes, in other words, to support objective-driven research, where the primary product is new knowledge. IPs are multi-partner projects that bring together a critical mass of resources to reach ambitious goals aimed either at increasing Europe's competitiveness or at addressing major needs in society. Most projects are expected to be multidisciplinary in nature. Projects must contain a research component. They may also focus on technological development, contain demonstration components and contain a training component. A single project may span over the whole research spectrum (i.e. from basic to applied research).

<u>Who can participate</u>: Participants are primarily organisations active in the research field: (commercial) enterprises, whatever their size, research institutes and universities. SME's are strongly encouraged to participate in Integrated Projects

<u>Number of participants</u>: Integrated Projects usually require a minimum of three partnering institutions from three different Member States or Associated States, of which two must be Member States or Associated Candidate Countries, but the minimum for each IP is specified in the "call for proposals". In practice, a consortium is likely to have a substantially higher number of partners than the minimum specified, in order to achieve 'ambitious' objectives.

<u>Project duration</u>: Typically 3 to 5 years, however there is no maximum time limit.

<u>Expected funding</u>: several million euros. There is no minimum threshold.

<u>Type of funding</u>: Funding is in the form of a grant to the budget as a percentage of the total costs of the projects with specified maximum rates (percentage) of funding for the different types of activity within the project. The extent of funding differs according to the nature of the activity to be funded (consortium management, innovation-related activity, demonstration activity, training activity etc.) as well as the nature of the partner organisation (university, company etc.).

<u>Payment schedule</u>: At the start of the contract, the Commission will pay an advance (pre-financing) of up to 85% of its estimated financial contribution for the first 18 months of the project based on the project's approved financial plan. Thereafter, payments are made annually subject to approval of the annual financial report and the plan for the forthcoming period.

<u>Activities that can be carried out</u>: Research and technological development and innovation-related activities, Demonstration activities, Training activities, Management of the consortium activities

<u>Application of the instrument</u>: IPs will be applied in the seven thematic priority areas.

<u>Example of an IP</u>:

Project name	**European Learning GRID infrastructure (ELEGI)**
Thematic Priority Area	Information Society Technologies
Action-line	Technology-enhanced learning and access to cultural heritage
Duration	48 months
Project Cost	9.03 million euro
Contract Type	Integrated Project
Project Funding	7.47 million euro
Number of participants	over 20 participants (including 1 from New Member States)

The European Learning Grid Infrastructure (ELEGI) project has the ambitious goal to develop software technologies for effective human learning. The central aspect of ELEGI is social learning, i.e. collaboration amongst students, teachers and tutors.

The following excerpt from the ELEGI project activities list (from the project website at www.elegi.org) illustrates the sort of activities that can be funded within an IP: software design, dissemination activities, and of course project management.

Research, Technological Development And Innovation Activities: ELEGI software architecture design and implementation, dissemination, social impact analysis and exploitation strategies.

3. Specific Targeted Research Projects (STREP)

Specific Targeted Research Projects are multi-partner research, technological development, demonstration or innovation projects of a more limited scope and ambition than IPs. STREPs will aim at improving European competitiveness and meeting the needs of society or Community policies. They should be sharply focused and will take either of the following two forms, or a combination of the two:

- a research technology development project designed to gain new knowledge either to improve existing or develop new products, processes or services.
- a demonstration project designed to prove the viability of new technologies.

Who can participate: Participants are primarily organisations active in the research field: research institutes, universities and (commercial) enterprises, whatever their size.

Number of participants: STREPs usually require a minimum of three partners from three different Member States or Associated States, of which two must be Member States or Associated Candidate Countries. The minimum for each STREP is specified in the "call for proposals".

Project duration: Typically 2 to 3 years, however in exceptional cases may be extended beyond 3 years

Expected funding: from a few hundred thousand to a few million euros.

Type of funding: Funding is in the form of a grant to the budget acting as a ceiling for the Commission's financial contribution. The extent of funding differs according to the estimated costs of the activities to be funded, the nature of each activity to be funded (consortium management, innovation-related activity, demonstration activity, training activity etc.) as well as the nature of the partner organisation (university, company etc.).

Payment schedule: At the start of the contract, the Commission will usually pay an advance (pre-financing) of up to 85% of its estimated financial contribution for the first 18 months of the project based on the project's approved financial plan. Thereafter, payments are made according to auditing requirements.

Activities that can be carried out: Research and technological development and innovation-related activities, Demonstration activities, Management of the consortium activities

Application of the instrument: STREPs will be applied in the seven thematic priority areas as well as in other research areas such as specific international co-operation research activities.

Example of a STREP:

Project name	**A Consortium for studying, evaluating, and supporting the introduction of Open Source software and open data standards in the Public Administration (COSPA)**
Thematic Priority Area	Information Society Technologies
Action-line	Networked business and governments
Duration	24 months
Project Cost	4.03 million euro
Contract Type	Specific Targeted Research Project
Project Funding	2.61 million euro
Number of participants	15 participants (including 2 from New Member States)

The Consortium aims at introducing, analysing, and supporting the use of Open Data Standards (ODS) and Open Source (OS) software for personal productivity and document management in European Public Administrations (PA).

The following excerpts from the COSPA project workplan (from the project website at www.cospa-project.org) illustrate the sort of activities that can be funded within a STREP: research studies, pilot (demonstration) projects, dissemination activities, and of course project management.

WP2 Collection of requirements for OS applications: This work package intends to gather and analyse user requirements from [public administrations] in order to devise possible [open source software] solutions.

WP6 Run pilot introductions: The objective here is to run experiments on the introduction of [open source] in the partner [public administrations], and to benchmark the effectiveness of the deployed OS solutions through a statistical and cost/benefit analysis…

WP8 Exploitation and Dissemination: … series of workshops at regional and European level, with the aim of stimulate: exchange and sharing of knowledge among the partners of the Consortium, public and business' awareness on the project and on [open source] in general. Exploitation aims at creating a sustainable market for offering OSS-based services to Public Administrations.

WP1 Management of the Consortium: This work package concerns the entire project coordination and management. The objectives are to carry out the project on time and on budget, to ensure quality and to maintain the oversight over the other work packages.

4. Specific Research Projects for SME's

FP6 attaches great importance to the participation of SME's. At least 15% of the budget (approximately 1.7 billion euros) relating to the Thematic Priority Areas of FP6 is to be dedicated to SME's. Under FP6, there are two specific research projects intended to benefit SME's. They are: Collective Research and Co-operative Research. For more information on these two types of research projects, go to Appendix 9: Funding for SME's.

5. Co-ordination Actions (CA)

Co-ordination Actions are intended to promote and support the networking and co-ordination of research and innovation activities. A CA can provide financial support only for the additional activities that are needed to achieve the networking or co-ordination of the research and innovation activities of the operators involved. The research and innovation activities themselves should be funded from other sources. CAs do not support research and development activities on their own. They cover activities such as: conferences, studies, exchange of personnel, exchange and dissemination of good practices, setting up common information systems and expert groups. A single project may span the whole research spectrum. The difference between CAs and Networks of Excellence is that the objective of a CA is networking or co-ordination of activities while in an NoE the objective is the lasting integration of the research capacities of the organisations involved – NoEs, therefore, are much larger in size and budget.

Who can participate: Participants are primarily organisations active in the research field: research institutes, universities, public bodies and (commercial) enterprises, whatever their size. Other participants can include organisations that possess specific competence in management, dissemination and transfer of knowledge, and potential users.

Number of participants: CAs usually require a minimum of three partners from three different Member States or Associated States, of which two must be Member States or Associated Candidate Countries. The minimum for each CA is specified in the "call for proposals".

Project duration: Typically 2 years, however in exceptional cases may be extended beyond 3 years.

Expected funding: from several hundreds of thousands to a few million euros

Type of funding: Funding is in the form of a grant to the budget up to 100% of the project budget. The extent of funding differs according to the estimated costs of the activities to be funded, the nature of each activity to be funded (consortium management, innovation-related activity, demonstration activity, training activity etc.) as well as the nature of the partner organisation (university, company etc.).

Payment schedule: At the start of the contract, the Commission will usually pay an advance (pre-financing) of up to 85% of its estimated financial contribution for the first 18 months of the project based on the project's approved financial plan. Thereafter, payments are made according to auditing requirements.

Activities that can be carried out: Training activities, Management of the consortium activities, Other specific activities

Application of the instrument: CAs can be used in all the FP6 activities.

Examples of a CA:

Project name	**Co-ordination Action for Libre Software Engineering for Open Development (CALIBRE)**
Thematic Priority Area	Information Society Technologies
Action-line	Open development platforms for software and services
Duration	24 months
Project Cost	1.5 million euro
Contract Type	Co-ordination Action
Project Funding	1.5 million euro
Number of participants	11 participants (including 1 from New Member States and 1 from Third Countries)

CALIBRE is an interdisciplinary Co-ordination Action with the leading authorities on libre software, and is primarily focused on the direct participants of the open development platform Strategic Objective (SO) of the IST Programme, but also for European industry, researchers and academia in general.

The following excerpt from the CALIBRE project workplan illustrates the sort of activities that can be funded within a CA: exchanges, training activities, dissemination activities, and of course project management.

WP4 Co-ordination, Collaboration and Dissemination: To create and co-ordinate a virtual collaboration and communication infrastructure for CALIBRE that seamlessly integrates the efforts and competencies of geographically distributed individuals and institutions; also to promote physical and virtual exchanges and collaborations within this cluster, and to develop relationships between group members and the wider public; and finally to support the spreading of excellence through publication training and other forms of dissemination.

6. Specific Support Actions (SSA)

Specific Support Actions are intended to support the implementation of the Framework Programme by contributing actively to the analysis and dissemination of results or the preparation of future activities. A significant emphasis has been placed on SSAs to promote and facilitate the dissemination, transfer, exploitation, assessment and/or broad take-up of past and present programmes; to contribute to strategic objectives (e.g. pilot initiatives on benchmarking, mapping, networking, etc.) and to prepare future community RTD activities, (e.g. via prospective studies, exploratory measures or pilot action).

Within the priority themes, SSAs will support, for example, conferences, seminars, studies and analyses, working groups and expert groups, operational support and dissemination, information and communication activities, or a combination of these as appropriate. However, awareness and information exchange activities such as annual workshops and conferences that would take place anyway even without Commission support, should not be proposed unless they serve the FP6 strategic objectives.

SSAs can also be implemented to stimulate, encourage and facilitate the participation of SME's, small research teams, newly developed and remote research centres, as well as organisations from the new member states and the candidate countries in the activities of the thematic priority areas, in particular in the networks of excellence and the integrated projects – so an SSA could coordinate efforts from new member states to identify and participate in Networks of Excellence.

Who can participate: Participants are primarily organisations active in the research field: research institutes, universities and (commercial) enterprises, whatever their size. Other participants can include organisations that possess specific competence in management, dissemination and transfer of knowledge, and potential users.

Number of participants: SSAs can be proposed by a single participant or by a consortium of several participants. The minimum for each SSA is specified in the "call for proposals".

Project duration: Typically some months to 2 years, however in exceptional cases may be extended beyond 3 years.

Expected funding: Up to several hundreds of thousands of euros.

Type of funding: Funding is in the form of a grant to the budget up to 100% of the project budget. The extent of funding differs according to the estimated costs of the activities to be funded, the nature of each activity to be funded (consortium management, innovation-related activity, demonstration activity, training activity etc.) as well as the nature of the partner organisation (university, company etc.).

Payment schedule: At the start of the contract, the Commission will usually pay an advance (pre-financing) of up to 85% of its estimated financial contribution for the first 18 months of the project based on the project's approved financial plan. Thereafter, payments are made according to auditing requirements.

Activities that can be carried out: Management of the consortium activities, Other specific activities as defined for SSAs – studies, dissemination, exploitation and coordination as described at the beginning of this section.

Application of the instrument: SSAs can be used in all the FP6 activities. SSAs are also used for tenders.

Examples of an SSA:

Project name	Free/Libre/Open Source Software - Policy Support (FLOSSPOLS)
Thematic Priority Area	Information Society Technologies
Action-line	Networked business and governments
Duration	24 months
Project Cost	450000.00 euro
Contract Type	Specific Support Action
Project Funding	450000.00 euro
Number of participants	4 participants

This support action aims to fill in important gaps in the understanding of free and open source software, thus supporting the objectives of the work-programme and maintaining the EU's lead in this domain. FLOSSPOLS (www.flosspols.org) will work on three specific tracks: government policy towards open source; gender issues in open source; and the efficiency of open source as a system for collaborative problem solving.

The following excerpt from the FLOSSPOLS project workplan illustrates the sort of activities that can be funded within an SSA: survey, workshop, and of course project management.

WP2 EGovernment survey*: Design a methodology for and implement a comprehensive survey of government authorities across Europe (with a large sample size of at least 1000 respondents across at least 10 European countries). Survey results should provide a picture of attitudes and behaviour towards open source in governments, as well as towards interoperability and open standards. Determine appropriate policies towards e-government and open source based on needs expressed in the survey.*

WP14 Workshop: gender: The presentation of results of the gender study to relevant constituencies and effective generation of feedback and discussion from participants in a workshop on gender issues in open source.

7. Marie-Curie Actions

Training and exchange schemes for researchers (early-stage, experienced and top-level) supported via the Marie Curie actions aim to widen researchers' career prospects, improve mobility and promote excellence in European research.

The Marie Curie Actions can be broadly divided into:

Host-Driven Actions: These actions are designed to help research networks, research organisations and enterprises (including, in particular, SME's) provide well-structured schemes for training and mobility of researchers, and develop competencies in research. The Marie Curie host-driven actions include:

- Marie Curie research training networks
- Marie Curie host fellowships for early stage research training
- Marie Curie host fellowships for the transfer of knowledge
- Marie Curie conferences and training courses.

Individual-driven actions: The actions are focussed on individual researchers and are designed to help them in their particular needs and to develop their competencies. The Marie Curie individual-driven actions are:

- Marie Curie intra-European fellowships;
- Marie Curie outgoing international fellowships;
- Marie Curie incoming international fellowships.

Excellence promotion and recognition instruments: These actions are focussed on the promotion and recognition of excellence in European research. They aim at promoting European research teams and at highlighting personal achievements of European researchers. The instruments used here are:

- Marie Curie grants for excellence teams
- Marie Curie excellence awards
- and Marie Curie chairs.

Marie Curie Actions are a very useful tool for funding for researchers at every stage of their career. It is worthwhile for researchers to become more familiar with these actions so that they can make best use of these opportunities. The main website on Marie Curie Actions is: http://europa.eu.int/mariecurie-actions/

Note: The work programme for the Marie Curie Actions is currently being revised. Calls based on the revised programme are likely to be published between August and December 2004.

Chapter 6: Financial Matters

The financial side of funding under FP6 can be rather complicated and intimidating. However the following overview of funding models and some basic rules should make it easier to understand.

When a legal entity wants to participate in research funding under FP6, it has to consider the following aspects that will have a bearing on the amount and extent of funding it will receive:

- The activity within the funding instrument that will be used – e.g. research and development, management of the consortium etc. Since there is no possibility for profits in research funding, only costs relating to the project are covered. In some cases all costs related to the project are funded, while in others there is a maximum limit or ceiling to funding. Moreover, each activity has clearly defined categories of activities that can be funded, as well as tasks that cannot be funded.
- The nature of the legal entity – e.g. university, non-profit organisation, commercial enterprise etc. Public bodies such as universities, research institutes and, in many cases, non-profit organisations usually receive 100% funding for the costs incurred due to the project (including personnel and overhead costs). Commercial enterprises, on the other hand, normally receive 50% of costs incurred in conducting the funded project although this may extend to 100% for certain funding instruments.
- The *cost model* - the third important factor is the cost model used by the legal entity. There are three cost models and access to a particular cost model depends on the type of organisation (nature of the entity) and how it is able to account for "indirect costs".

Eligible Costs

Before we take a look at the three cost models, we should first understand what costs are eligible for funding. Costs are eligible for funding under FP6, if they fulfil all the following criteria:

- they are actual, economic and necessary for the implementation of the project;
- they are determined in accordance with the usual accounting principles of the contractor;
- they are incurred during the duration of the project ;
- they are recorded in the accounts of the contractors (or third parties where third party resources have been agreed).
- they exclude indirect taxes, duties, interest, costs related to other EU-funded projects
- and, importantly, they do not give rise to profits.

We will now take a closer look at the aspects that determine the type and extent of funding. The easiest way to understand this is by looking at all aspects with reference to the three cost models.

Cost models for FP6

The three Cost Models are:

- Full Cost (FC)
- Full Cost Flat Rate (FCF)
- Additional Cost (AC)

In principle, you can use only one Cost Model within FP6 (for all contracts) i.e. once you have selected a Cost Model, you are obliged to use the same model for future FP6 projects.

Exception: Under some circumstances it is possible to make a change from: AC to FCF or FC and from FCF to FC.

Full Cost with actual indirect costs (FC)

For this model, all eligible direct and indirect costs can be charged.

Direct Costs

Direct costs for this model are eligible costs that are associated directly to the project, and are determined by the participant in accordance with its usual accounting practices. They include personnel costs (not only the salary, but the total cost to employer) in addition to the other usual direct costs e.g. travel costs, registration costs and fees for attending conferences, costs of books and literature etc.

*Indirect Costs**

Indirect costs are all eligible costs, which are not directly related to the project but are incurred in relation to the direct costs of the project also known as *overheads*. These overheads are determined by the participant in accordance with its usual internal accounting practices. Overheads can include costs such as office rental, administrative costs etc.

*Maximum extent of funding according to type of activity – for all funding instruments except SSA and CA**

- for research and technological development activities: 50% of eligible costs;
- for demonstration activities : 35% of eligible costs;
- for training activities : 100% of eligible costs;
- for management of the consortium activities : 100% of eligible costs (funding for this activity can not exceed 7% of the total EC financial contribution to project);
- for other specific activities : 100% of eligible costs.

*For Specific Support Actions (SSA) and Co-ordination Actions (CA)

- 100% of all eligible direct costs can be charged
- Indirect costs, or overheads, are charged at a flat rate of 20% of the direct costs.

Who uses this model

- All legal entities can use the Full Cost model with the exception of individuals
- Non-commercial or non-profit organisations and international organisations may choose any one of the three models.
- Legal entities defined as SMEs have the choice between the Full Cost and Full Cost Flat Rate models.

All organisations that can precisely and accurately calculate their overheads use this model. Companies usually use this model. Public and non-profit organisations sometimes use this model.

Full Cost with indirect flat rate costs (FCF)

For this model, all eligible direct costs and a flat rate for indirect costs are charged. The flat rate is 20% of all direct eligible costs minus the cost of sub-contracts.

Direct Costs

Direct costs are eligible costs that are associated directly to the project, and are determined by the participant in accordance with its usual accounting practices. They include all personnel costs (not only the salary, but the total cost to employer) in addition to the other usual direct costs e.g. travel costs, registration costs and fees for attending conferences, costs of books and literature etc.

Indirect Costs

Indirect costs, or overheads, are charged at a flat rate of 20% of the direct costs (excluding costs of subcontracts).

Maximum extent of funding according to type of activity – for all funding instruments

- for research and technological development activities: 50% of eligible costs;
- for demonstration activities : 35% of eligible costs;
- for training activities : 100% of eligible costs;
- for management of the consortium activities : 100% of eligible costs (funding for this activity can not exceed 7% of the total EC financial contribution to project);
- for other specific activities : 100% of eligible costs.

Who uses this model

- Non-commercial or non-profit organisations and international organisations may choose any one of the three models.
- Legal entities defined as SMEs have the choice between the FC and FCF model.

Organisations that cannot precisely and accurately calculate their overheads can use this model. Since this model also allows personnel costs to be charged, it is sometimes used by public research bodies and non-profit organisations. SME's sometimes use this model too.

Additional Costs with indirect flat rate costs (AC)

For this model, all eligible direct additional costs and a flat rate for indirect costs are charged. The flat rate is 20% of all direct additional costs minus the cost of sub-contracts.

Direct Costs

Direct costs for this model are eligible costs that are associated directly to the project, and are determined by the participant in accordance with its usual accounting practices. They only include additional direct costs e.g. travel costs, registration costs and fees for attending conferences, costs of books and literature etc.

Direct Additional Costs – personnel costs

Unlike in the other two models, not all personnel costs can be charged. Only additional costs for personnel can be charged. The following example will illustrate the point.

Example: An organization is participating in an EC funded project. This organization has three employees whose costs it would like to charge:

Employee X is a permanent employee of the organisation

Employee Y was hired specially for the EC funded project, for the duration of the project.

Employee Z is an employee (either temporary or permanent) whose employment contract depends wholly or partially on external project funding.

Of these three employees, the organization can charge costs for the salaries of employees Y and Z since both of them signify "additional" costs to the organisation. Employee X, however, is not an additional cost and therefore his / her salary cannot be charged.

Exception: Permanent personnel involved in management of consortium activities can be charged

Indirect Costs

Indirect costs, or overheads, are charged at a flat rate of 20% of the direct costs (excluding costs of subcontracts)

Maximum extent of funding according to type of activity – for all funding instruments

100% of their *additional* costs whatever those activities might be.

Who uses this model

- Individuals are obliged to use the Additional Cost model;
- Non-commercial or non-profit organisations and international organisations may choose any one of the three models.

Organisations that cannot precisely and accurately calculate their overheads can use this model. Individuals are also obliged to use this model for the same reason. However, this model does not cover all personnel costs so it is usually used by universities and public organisations.

Subcontracting

The *subcontracting* of certain tasks of a project is allowed under certain circumstances when it is more economic or efficient to do so. Individual subcontractors must be named in the proposal or must be selected on transparent grounds, e.g. with public tenders.

Subcontractors are not considered as project participants and have no rights to the results generated. Usually subcontractors are used to carry out tasks, such as organisation of a conference, that are not directly connected to the main activities of the project.

One reason for the restriction on subcontracting is that subcontractors always get 100% of their costs funded, possibly including a profit margin.

Chapter 7: Applying for Funding

An organisation (or individual) can apply for funding under FP6 by responding to an official "call for proposals" (or "call for tenders" for public procurement – see Appendix 8). All calls for proposals are published in the *Official Journal of the European Communities* as well as on the FP6 website (www.cordis.lu/fp6). Each call clearly mentions the deadline for submission of proposals. Along with the call, a number of supporting documents are made available to help the applicant to prepare the proposal and to understand the different procedures and guidelines. Funding is only obtained after a competitive evaluation procedure where each proposal is evaluated according to strict rules and high quality standards. Therefore it is important that the members of the consortium study all the available documentation to get a clear idea of what is expected of them.

Identifying the right "call for proposals"

Before you start looking for the right call for proposals, it is important to identify the thematic priority area that your activities would fall under. Sometimes you might find more than one theme appropriate. It is useful to read the work programmes (available on the FP6 website) of the thematic areas you are interested in since they describe in detail the research topics that will be covered in the calls for proposals. This will help you orient yourself towards the right topics. Multidisciplinary proposals addressing several topics may be submitted. Any proposal submitted in response to a call should however have a centre of gravity on one topic open in that call.

After deciding on the thematic area, you need to look out for calls for proposals. Often there are 'open' calls, which are open the year round with cut-off dates several times a year. Proposals submitted for open calls are evaluated after the next cut-off date i.e. if you submit your proposal after one of the cut-off dates, it will not be evaluated until the next cut-off date. Most calls for proposals in the seven thematic areas, however, have a specified deadline after which no more proposals will be accepted.

When a call for proposals is published, a number of documents are made available alongside:

- Call text – This is the main "call for proposals" – the legal notification. It provides a summary of the practical requirements including, most importantly, the deadline. It also mentions the budget, the objectives of the call, the instruments of funding available, the minimum number of participants, and the restrictions, if any, to participation. It also mentions when the evaluation results are likely to be available.
- *Work programme* (or an update, if there is one) – this is the work programme for the thematic priority area under which the call falls. If a work programme update that is specifically relevant to the call is available, it will be included here.
- Guide for proposers – a separate guide for proposers is available for every funding instrument in the call. This document contains information on preparing a proposal, submission of a proposal, evaluation, negotiation, support information, and the actual proposal forms (Parts A and B).
- Guidelines on Proposal Evaluation and Selection Procedures – a document exclusively about the evaluation rules and procedures. Proposers must read this document before they start writing the proposal since it will give them an idea of the process and criteria that the evaluators will use.
- Guidance notes for evaluators – a call specific document. Proposers must also read this before writing the proposal.
- Model Contract – is the basis for the contract that you will sign with the EC as coordinator of a project if your project is selected. There is almost no scope for

making changes to the contract so the proposer must take a look at this to get a fair idea of the final legal obligations and rules. It provides the legal framework for the functioning of the project.

- Financial Guidelines – is a detailed document with all the financial information that a proposer will need.

Matching your planned activity to the call priorities

There are two scenarios for matching an activity to a call

- *The proposer has identified a call and is developing an activity for it.* In this case, the proposer needs to make sure that the activity closely meets the calls but also builds upon the proven skills and experience of the proposer. Where such skills and experience are lacking, it is extremely important to identify the right partners and build a consortium. The proposer must of course choose the instrument to be used and check the consortium requirements for it - a consortium is necessary to meet the eligibility requirements for most instruments. Even in SSAs where a single entity can make the proposal, a consortium representing several EU states is likely to be evaluated more favourably, as can be seen by looking at the evaluator's guidelines.

- *The proposer already has an activity in mind and is looking for a way to fund it*. In this case, the proposer must look very carefully at the work programme and the call objectives to make sure that the activity fits in with the requirements of the call as well as matches the priorities of the programme. One of the instruments available in the call must match the activity. Proposals corresponding to aspects of the work programme that are not covered by the call will not be accepted. At the same time, a project that seems to fit in with the objectives of the call must also be reviewed from the work programme point of view. A consortium is necessary to meet the eligibility requirements for most instruments and one of the evaluator guidelines is the quality of the consortium. It is therefore important that the activities planned reflect the abilities and interests of all partners in the consortium and not only of the coordinator.

Finding Partners and Forming a Consortium

It is obvious that the best consortium consists of partners who have collaborated with each other in the past and have experience with EC-funded projects. Given that that is unlikely to be the case for most proposers, the best way to go about building a consortium is to try and partner with organisations you have collaborated with before and organisations that have experience with EC funding. The consortium should be balanced so that partners complement each other's skills and strengths and there is a clear division of labour in the planned activities of the consortium.

Where to look for partners

There are a number of services that provide assistance in this regard, some of which are specially tailored towards the New Member States and the Associated Candidate Countries. The most important of these is the CORDIS Partners Service – http://partners-service.cordis.lu/

Other sources of information for finding partners are:

- Find a Partner (CORDIS) – http://fp6.cordis.lu/fp6/partners.cfm
- Find a Partner in Candidate States - http://fp6.cordis.lu/fp6/partners_cs.cfm
- Technology Marketplace – http://www.cordis.lu/marketplace/
- National Contact Points in each Member and Associated State – http://www.cordis.lu/fp6/ncp.htm

- National Contact Points for SME's – http://sme.cordis.lu/assistance/NCPs.cfm
- Network of Innovation Relay Centres – http://irc.cordis.lu/
- Euro Info Centres – http://europa.eu.int/comm/enterprise/networks/eic/eic.html
- Ideal-IST - http://www.ideal-ist.net/

The Consortium Agreement

In each consortium, there is one partner that plays a leading and administrative role. This partner is called the coordinator of the project. The project contract is signed between the EC and the coordinator. In turn, the coordinator signs an agreement with all the partners of the consortium – the consortium agreement – covering the rules governing project management, distribution of work, ownership of intellectual property, and settling of disputes.

Thus, a consortium agreement is a *legal* agreement between the partners governing all aspects of their collaboration in the proposed project. The conclusion of a consortium agreement is obligatory for most of the instruments (in particular for Networks of Excellence and Integrated Projects). The consortium agreement specifies clearly the working rules and responsibilities between the members of the consortium and all members must work accordingly, in order to fulfil their roles in the consortium. The European Commission will not be a party within this agreement and will not have to give its approval to it. It will however provide a checklist with points potentially to be covered by a consortium agreement (can be found at: http://www.cordis.lu/fp6/stepbystep/building.htm). Models of the Consortium Agreement can be found at http://www.ipr-helpdesk.org

Writing the Proposal

Before starting to write the proposal, make sure that you read all the supporting documents. In this way you will make sure that you have not missed any important aspects that you should consider when applying for FP6 funding. These documents will also help you develop the proposal since, as stated in the Guide for Proposers, "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."

Under FP6, the proposal consists of two parts:

- Part A – consists of numbered forms (A1, A2 etc.) containing administrative information on the project and the consortium as well as a short description
- Part B – also consists of numbered sections that contain the actual content of the project proposal including the work plan

Proposals may be prepared in any of the 20 official languages 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.

Let us now look at each part individually:

Part A

- *Form A1* – this form should be filled in by the coordinating partner (coordinator) of the consortium. Other members of the consortium need not fill in this form. This form requires the title of the proposal, the acronym and a short description. It also requires the call identifier of the call to which this proposal will be submitted. It also requires a list of thematic keywords relating to the proposal topic, which are used as an aid to identify evaluators to examine the proposal.

- *Form A2* – this form needs to be filled in by every partner in the consortium including the coordinating partner. This form requires administrative information on each partner.
- *Form A3* – this form should be filled in by the coordinating partner of the consortium. This form requires financial information about the proposal. It contains, for each consortium partner, the cost model to be applied, the costs for every activity carried out (e.g. research and development activity, management of the consortium activity etc.) and the requested funding per activity (limited by the cost model and instrument, as discussed in the chapter on financial matters).

Part B

This is the main body of the proposal. The sections in Part B differ according to instrument and sometimes according to the call as well. The following description based on a Co-ordination Action (CA) for Call 3 of the IST priority published on 15/06/2004 will give you an idea of what is required. By and large the sections are the same though occasionally sections are added, removed or rearranged so the numbering can change.

- Section B1 - Scientific and technological objectives of the project and state of the art – here you need to describe the projects scientific objectives.
- Section B2 - Relevance to the objectives of the IST Priority – here you need to describe how the project’s objectives fit into the FP6 programme specifically the relevance to the goals of the action line in the text of the call to which you are responding as well as to the thematic priority e.g. IST and other EU policies.
- Section B3 - Potential impact – here you need to describe the impact of the project – technical, economic, policy, environmental and social impact - in the area concerned.
- Section B4 - The consortium and project resources – here you need to describe the roles of the different consortium partners as well as their specific skills. You need to demonstrate that they have the experience and expertise they need to fulfil the roles they’ve been assigned in the proposal and that they complement rather than duplicate each other.
- Section B5 - Project management – here you need to describe the organisation, management and decision making structures of the project.
- Section B6 - Detailed Implementation plan – this section forms the main bulk of the proposal. Here you need to describe the work planned to achieve the objectives of the proposed project. An introduction should explain the structure of this workplan and how the plan will lead the participants to achieve the objectives. The plan must be broken down according to types of activities (e.g. research and development activity, management of the consortium activity etc.). Within each activity the workplan should be broken down into workpackages. There are several different elements in this section:
    - Detailed Implementation plan introduction
    - Work planning – *Gantt Chart*
    - Graphical presentation of the components showing their interdependencies – *Pert Diagram*
    - Detailed work description broken down into workpackages:
        - Workpackage list;
        - Deliverables list;
        - Description of each workpackage.

- *Section B7 - Other issues* – here you need to describe any ethical or gender issues or any EU-policy issues and how they have been taken into account

These forms (Parts A and B) as well as an example of a Gantt Chart and a Pert Diagram can be found in Appendix 5: Proposal Forms

The best way to start writing the proposal is for the coordinator to draft sections B1, B2 and B3 and discuss them with the other consortium partners. Although the coordinator takes responsibility for the proposal and has to do the bulk of the work in getting the proposal together, all consortium partners must be involved at the proposal stage itself. Not only does this reduce the workload on the coordinator but it also ensures tat the proposal adequately reflects the interests, abilities and intentions of the entire consortium.

The proposal can be created either using the Electronic Proposal Submission System (EPSS) or on paper. The next section will tell you more about this.

Methods of Proposal Preparation and Submission

Before submitting a proposal, make sure that all the formal and administrative criteria are satisfied: number of copies, authorised signatures, legal and accounting information – the Guide for Proposers accompanying each call has an exhaustive checklist. If any of these criteria are not met, the proposal will not be evaluated.

EPSS – The Electronic Proposal Submission System

This is the preferred way for preparing and submitting proposals under FP6. EPSS is available in both online and offline versions.

- Online version – this is perhaps the most convenient method to use (though it might take some getting used to). To use the online system, the project coordinator has to register to receive a login and password, accessing a call- and instrument-specific instance of the system via the respective CORDIS call page. Logins and passwords are sent by post so it is advisable to register well in advance of the deadline of the call. Proposals can be amended and changed as many times as required till the call closes.

- Offline version – proposers not wanting to, or not able to, use the online system can use an offline version of EPSS. The offline version can be installed on your computer by downloading special software (called EPT) from the Internet (http://fp6.cordis.lu/fp6/subprop_about.cfm). In addition, a call- and instrument specific set of forms and templates has to be downloaded. Access to the software is via the respective CORDIS call page. The offline EPSS produces a special package of files for part A and part B of a proposal that can either be uploaded to the online EPSS (login and password for online EPSS required) or be saved to a diskette or CD-ROM and then sent by post or courier service to the EC (for submission on CD-ROM or diskette, a paper copy has always to be included).

Proposal preparation and submission on paper

The EC is trying to encourage the use of EPSS and many current and future calls may not allow submissions on paper. Read the call text carefully so that you are not surprised later with any restrictions on the mode of submission. Proposals can be prepared on paper by using for part A the forms included in the Guides for Proposers and by producing a part B with a text editor. Paper proposals must be sent (by courier or delivered in person) to the address specified in the Call for Proposals in one single-sided black-and-white unbound copy using standard white paper (no staples or paper clips!). The completed proposal must be submitted to the EC before the deadline published in the call text. The EC is very strict about the deadline and proposals received even the same day of the deadline but after the published deadline time (usually 1700 hrs) will not be accepted.

Whether you plan to submit your proposal electronically or on paper, you are required to register your intention to submit a proposal. You can do this from the respective CORDIS call page.

Evaluation of Proposals

After the call deadline, each submitted proposal is checked for completeness and incomplete proposals are rejected. Complete proposals are then evaluated according to several established criteria by three independent evaluators. The call-specific document 'Guidance notes for evaluators' lists these criteria and should be consulted while writing the proposal.

The Project Contract

After the results of the evaluation are announced, the selected project(s) are invited by the EC for negotiations to draw up a contract. This contract is signed between the coordinator and the EC and it specifies the payment schedule as well as the deliverable submission schedule for the project.

All the partners of the consortium must understand very clearly what responsibilities they are required to fulfil and what work they must carry out (as specified in the Consortium Agreement). However, it is not enough to just do the work. The results and products of the work must be made available to the EC in order to justify the money received. After the first payment is made, all following payments are made according to performance and timely submission of the results and products known as 'deliverables'. There are strict rules for submission of deliverables and these rules are set out in the project contract.

A Model Contract is always provided along with the call for proposals. There is almost no scope for making changes to the contract so the proposer must take a look at this to get a fair idea of the final legal obligations and rules. It provides the legal framework for the functioning of the project. You will find one core model contract in Appendix 6.

Appendix 1: The European Research Area

Europe has a long-standing tradition of excellence in research and innovation, and European teams continue to lead progress in many fields of science and technology. However, its centres of excellence are scattered across the Member States and all too often their efforts fail to add up in the absence of adequate networking and co-operation. The idea of a European Research Area (ERA) grew out of the realisation that research in Europe suffers from three weaknesses: insufficient funding, lack of an environment to stimulate research and exploit results, and the fragmented nature of activities and the dispersal of resources.

ERA implements the European Union's declared ambition of achieving a genuine common research policy. This includes the indispensable and long-awaited integration of Member States' scientific and technological capacities. The basic idea underpinning the ERA is that the issues and challenges of the future cannot be met without much greater 'integration' of Europe's research efforts and capacities. The objective is to move into a new stage by introducing a coherent and concerted approach at EU level from which genuine joint strategies can be developed. Without this political will, Europe is condemned to increasing marginalisation in a global world economy. With the ERA, on the other hand, Europe is giving itself the resources with which to fully exploit its exceptional potential, and thus to become – in the words of the Lisbon European Summit of March 2000 – 'the world's most competitive and dynamic knowledge-based economy'.

For more information on the ERA, go to: http://www.cordis.lu/era/

Appendix 2: The Seven Thematic Priority Areas

Thematic Priority Area	**Areas Covered**
1. Life sciences, Genomics and Biotechnology for Health http://www.cordis.lu/fp6/lifescihealth.htm rtd-genomics-biotec@cec.eu.int rtd-diseases@cec.eu.int	***Advanced genomics and its application for health:*** • gene expression and proteomics • structural genomics • comparative genomics and population genetics • bioinformatics • multidisciplinary functional genomics approaches to basic biological processes • new, safer, more effective drugs including pharmaco-genomics approaches • new diagnostics • new in vitro tests to replace animal experimentation • new preventive and therapeutic tools, such a somatic gene and cell therapies and immunotherapies • post-genomics with high potential for application ***Combating major diseases:*** • application-oriented genomic approaches to major diseases • combating cancer • confronting the major communicable diseases linked to poverty
2. Information Society Technologies http://www.cordis.lu/ist/ ist@cec.eu.int	***Applied IST research addressing major societal and economic challenges:*** • trust and security • ambient intelligence, e-inclusion • e-business, e-government, e-Work systems, e-learning • complex problem solving ***Communication, computing and software technologies*** • communication and network technologies • software techologies ***Components and Microsystems*** • micro, nano ands optoelectronics • micro- and nanotechnologies, microsystems, displays ***Knowledge and interface technologies*** • knowledge technologies and digital content • intelligent interfaces and surfaces ***IST future and emerging technologies*** • new IST-related science and technology fields
3. Nano-technologies and nano-sciences, knowledge-based functional materials, new production processes and devices http://www.cordis.lu/fp6/nmp.htm rtd-nmp@cec.eu.int	***Nano-technologies and nano-sciences:*** • long-term interdisciplinary research into understanding phenomena, mastering processes and developing research tools • nanobiotechnologies • nanometre scale engineering techniques • handling and control devices • applications ***Knowledge-based multifunctional materials*** • development of fundamental knowledge • technologies for production, transformation and processing • engineering support for materials development ***New production processes and devices*** • new processes and flexible and intelligent manufacturing systems • systems research and hazard control • optimising life-cycles
4. Aeronautics and Space http://www.cordis.lu/aerospace/ rtd-aerospace@cec.eu.int	***Aeronautics*** • strengthening competitiveness by reducing development costs, aircraft direct operating costs and improving passenger comfort • emissions and noise • aircraft safety • increasing operational capacity and safety of the air transport system ***Space*** • Galileo: development of multisectorial systems, equipment, tools and

	user equipment • GMES: stimulate evolution of satellite-based information services by development of technologies (e.g. sensors, data and information models, services for global environment, land-use, desertification, disaster management) • Satellite telecommunications
5. Food Quality and Safety **http://www.cordis.lu/fp6/food/** **rtd-food@cec.eu.int**	• Epidemiology of food-related diseases and allergies • Impact of food on health • Traceability processes all along the production chain • Methods of analysis, detection and control • Safer and environmentally friendly production methods and technologies and healthier foodstuffs • Impact of animal feed on human health • Environmental health risks
6. Sustainable Development, Global Change and Ecosystems **http://www.cordis.lu/sustdev/** **rtd-energy@cec.eu.int** **rtd-sustainable@cec.eu.int** **rtd-transport@cec.eu.int** **tren-energy@cec.eu.int**	***Sustainable energy systems*** • short term impact (clean energy sources, savings and efficiency, alternative motor fuels) • long term impact (fuel cells, carriers/transport storage, renewable energy technologies, capture and sequestration of CO2 ***Sustainable surface transport*** • environmentally friendly and competitive transport systems • safer, more effective and competitive rail and maritime transport ***Global change and ecosystems*** • greenhouse gas • water cycle and soil • biodiversity • desertification, natural disasters • sustainable land management • operational forecasting and modelling • complementary research
7. Citizens and Governance in a knowledge-based society **http://www.cordis.lu/fp6/citizens/** **rtd-citizens@cec.eu.int**	***Knowledge based society and social cohesion*** • improving the generation, distribution and use of knowledge and its impact on economic and social development • options and choices for the development of a knowledge-based society • the variety of paths towards a knowledge society ***Citizenship, democracy and new forms of governance*** • implications of European integration and enlargement for governance and the citizen • articulation of areas of responsibility and new forms of governance • issues connected with resolution of conflicts and restoration of peace • new forms of citizenship and cultural identities

Source: European Commission brochure "The 6th Framework Programme in brief", December 2002 edition

Appendix 3: FP6 Budget

	EUR million
EC Framework Programme	**16 270**
1. Focusing and integrating Community research	13 345
1.1 Thematic priorities:	11 285
1.1.1 Life sciences, genomics and biotechnology for health	2 255
1.1.2 Information society technologies	3 625
1.1.3 Nanotechnologies and nanosciences, knowledge-based multifunctional materials and new production processes and devices	1 300
1.1.4 Aeronautics and space	1 075
1.1.5 Food quality and safety	685
1.1.6 Sustainable development, global change and ecosystems	2 120
1.1.7 Citizens and governance in a knowledge-based society	225
1.2 Specific activities covering a wider field of research	1 300
1.2.1 Policy support and anticipating scientific and technological needs	555
1.2.2 Horizontal research activities involving SMEs	430
1.2.3 Specific measures in support of international co-operation	315
1.3 Non-nuclear activities of the Joint Research Centre	760
2. Structuring the European Research Area	2 605
2.1 Research and innovation	290
2.2 Human resources and mobility	1 580
2.3 Research infrastructures	655
2.4 Science and society	80
3. Strengthening the foundations of the European Research Area	320
3.1 Support for the co-ordination of activities	270
3.2 Support for the coherent development of policies	50
Euratom Framework Programme	***1 230***
Total	**17 500**

Source: European Commission brochure "The 6th Framework Programme in brief", December 2002 edition

Appendix 4: Extent of funding for different activities under different funding instruments

Maximum reimbursement rates of eligible costs	Research and technological development or innovation activities	Demonstration activities	Training activities	Management of the consortium activities	Other specific activities (*)
Network of Excellence				100% (up to 7% of the contribution) (AC: eligible direct costs)	100%
Integrated Project	FC/FCF: 50% AC: 100%	FC/FCF: 35% AC: 100%	100%	100% (up to 7% of the contribution) (AC: eligible direct costs)	
Specific Targeted Research or Innovation Project	FC/FCF: 50% AC: 100%	FC/FCF: 35% AC: 100%		100% (up to 7% of the contribution) (AC: eligible direct costs)	
Specific research project for SME's	FC/FCF: 50% AC: 100%		100% (for collective research only)	100% (up to 7% of the contribution) (AC: eligible direct costs)	
Integrated Infrastructure Initiative	FC/FCF: 50% AC: 100%	FC/FCF: 35% AC: 100%		100% (up to 7% of the contribution) (AC: eligible direct costs)	100%
Co-ordination Action			100% (FC indirect costs: flat rates (**))	100% (up to 7% of the contribution) (AC: eligible direct costs) (FC indirect costs: flat rates (**))	100% (FC indirect costs: flat rates (**))
Specific Support action				100% (up to 7% of the contribution) (AC: eligible direct costs) (FC indirect costs: flat rates (**))	100% (FC indirect costs: flat rates (**))

(*): Other specific activities means:

- for Network of Excellence : Joint Programme of Activities, except management of the consortium activities.
- for Integrated infrastructures initiative: any "specific activity" covered by Annex I, including transnational access to infrastructures
- for Coordination Action: Coordination activities, except management of the consortium activities
- for Specific support action: any "specific activity" covered by Annex I, including transnational access to infrastructures

(**): Flat rate for FC indirect costs: 20% of all their eligible direct costs minus the eligible direct costs of sub-contracts.

Source: European Commission document "Guide to Financial Issues relating to Indirect Actions of the Sixth Framework Programmes", version April 2004

Appendix 5: Proposal Forms

The proposal forms for each call are available in the Guide for Proposers. The proposal forms are by and large common for all instruments and calls but some sections of Part B are occasionally different - sections might be added, removed or rearranged, so the numbering can change.

The following sample forms are taken from the Guide for Proposers for the Co-ordination Action (CA) instrument for Call 3 of the IST priority published on 15/06/2004.

After the samples of the different forms you will find one example each of a Gantt Chart and a Pert Diagram.

Part A

Proposal Submission Forms

EUROPEAN COMMISSION

6th Framework Programme for Research, Technological Development and Demonstration

Coordination Action

A1

Proposal Number		Proposal Acronym	

GENERAL INFORMATION ON THE PROPOSAL

Proposal Title (max. 200 char.)			
Duration in months		*Call (part) identifier*	
Activity code(s) most relevant to your topic			
Keyword code 1			
Keyword code 2			
Keyword code 3			
Free keywords			

Abstract (max. 2000 char.)

Proposal Submission Forms

EUROPEAN COMMISSION

6th Framework Programme for Research, Technological Development and Demonstration

Coordination Action

A2

Proposal Number		Proposal Acronym	

INFORMATION ON PARTICIPANTS

Participant number					
Participant organisation					
Organisation legal name					
Organisation short name					
Legal address					
PO Box		*Postal Code*		*Cedex*	
Street name and number					
Town		*Country*			
Internet homepage					
Activity Type HE, RES, IND, OTH		*Legal Status GOV, INO, JRC, PUC, PRC, EEIG, PNP*			
If Legal Status "PRC", specify					
Is the organisation a Small or Medium-Sized Enterprise (SME)?	YES/NO				
Are there dependencies between the organisation and (an)other participant(s) ?	YES/NO				
If yes, participant number		*If yes, participant short name*			
Character of dependence SG, CLS, CLB					
If yes, participant number		*If yes, participant short name*			
Character of dependence SG, CLS, CLB					
If yes, participant number		*If yes, participant short name*			
Character of dependence SG, CLS, CLB					
Person in charge					
Name		*First name(s)*			
Title		*Sex: Female=F, Male=M*			
Department/Faculty/Institute/ Laboratory name					
Address (if different from above)					
PO Box		*Postal Code*		*Cedex*	
Street name and number					
Town		*Country*			
Phone 1		*Phone 2*			
e-mail		*Fax*			
Previously submitted similar proposals or signed contracts?	YES/NO				
If yes, programme name(s) and year					
If yes, proposal number(s) or contract number					

Proposal Submission Forms

EUROPEAN COMMISSION

6th Framework Programme on Research, Technological Development and Demonstration

Coordination Action

A3

Proposal Number	.	Proposal Acronym	

Financial Information

		Consortium Management activities		Co-ordination activities		Total	
Participant n°	Cost model	Costs (€)	Requested grant to the budget (€)	Costs (€)	Requested grant to the budget (€)	Costs (€)	Requested grant to the budget (€)
1							
(Sub-)Total (€)							

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

Form A3: page … of ….

Part B

Instructions for preparing proposal Part B for Coordination actions in the IST Priority

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

Coordination actions are intended to promote and support the coordinated initiatives of a range of research and innovation operators aiming at improved integration. They will cover activities such as the organisation of conferences, meetings, the performance of studies, exchanges of personnel, the exchange and dissemination of good practices, setting up information systems and expert groups, and may, if necessary, include support for the definition, organisation and management of joint or common initiatives.
Proposers should particularly note that the purpose of Coordination actions is to co-ordinate other projects. The Coordination action itself does not include any research, demonstration or training element.
Information which fully details what a Coordination action comprises and how such a project should be implemented can be found at http://www.cordis.lu/fp6/instrument-ca/

Front page

Proposal full title
Proposal acronym
Date of preparation
Type of instrument
in this case: Coordination actions
List of participants

Participant no.	Participant name	Participant short name
1 (coordinator)		
2		
3		
4		

etc. *(Check this participant numbering is reflected in the form A2 of each participant!)*
Name of the coordinating person
Coordinator organisation name
Coordinator email
Coordinator fax

Contents page

show contents list

Proposal summary page

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

B.1 Scientific and technological objectives of the project and state of the art

Describe the proposed project's S&T objectives. The objectives should be stated in a measurable and verifiable form. The progress of the project work will be measured against these goals in later reviews and assessments. Describe the current state-of-the-art in the area concerned and how the proposed project will enhance the current state-of-the-art in the area. (Recommended length – three pages)

B.2 Relevance to the objectives of the IST Priority

Describe the manner in which the proposed project's objectives contribute to the scientific, technical, wider societal and policy objectives of the IST Priority in the areas concerned. (Recommended length – three pages)

B.3 Potential impact

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

B.3.1 Contributions to standards: Describe contributions to national or international standards which may be made by the project, if any. (Recommended length – one page)

B.4 The consortium and project resources

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

If one or more of the participants is based outside of the EU Member and Associated states, explain in terms of the project's objectives why this/these participant(s) have been included, describe the level of importance of their contribution.

(Recommended length – five pages)

B.5 Project management

Describe the organisation, management and decision making structures of the project. Describe the plan for the management of knowledge, of intellectual property and of other activities arising in the project. (Recommended length –three pages)

B.6 Detailed Implementation plan

This section describes in detail the work planned to achieve the objectives of the proposed project. The recommended length, excluding the forms specified below, is up to 15 pages. An introduction should explain the structure of this workplan plan and how the plan will lead the participants to achieve the objectives. It should also identify significant risks, and contingency plans for these. The plan must be broken down according to types of activities: co-ordination activities and management activities. Within each activity the workplan should be broken down to workpackages (WPs) which should follow the logical phases of the project, and include management of the project and assessment of progress and results. Essential elements of the plan are:

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

Note: The number of workpackages used must be appropriate to the complexity of the work and the overall value of the proposed project. Each workpackage should be a major sub-division of the proposed project and should also have a verifiable end-point (normally a deliverable or an important milestone in the overall project). 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 project by the consortium may require a more detailed plan.

B.7 Other issues

B.7.1. If there are ethical or gender issues associated with the subject of the proposal, show they have been adequately taken into account - indicate which national and international regulations are applicable and explain how they will be respected. Explore potential ethical aspects of the implementation of project results. Include the Ethical issues form given below.

B.7.2. Are there other EC-policy related issues, and are they taken into account? Demonstrate a readiness to engage with actors beyond the research to help spread awareness and knowledge and to explore the wider societal implications of the proposed work; if relevant set out synergies with education at all levels.

(No recommended length – depends on the number of such other issues which the project involves).

Example of a Gantt Chart

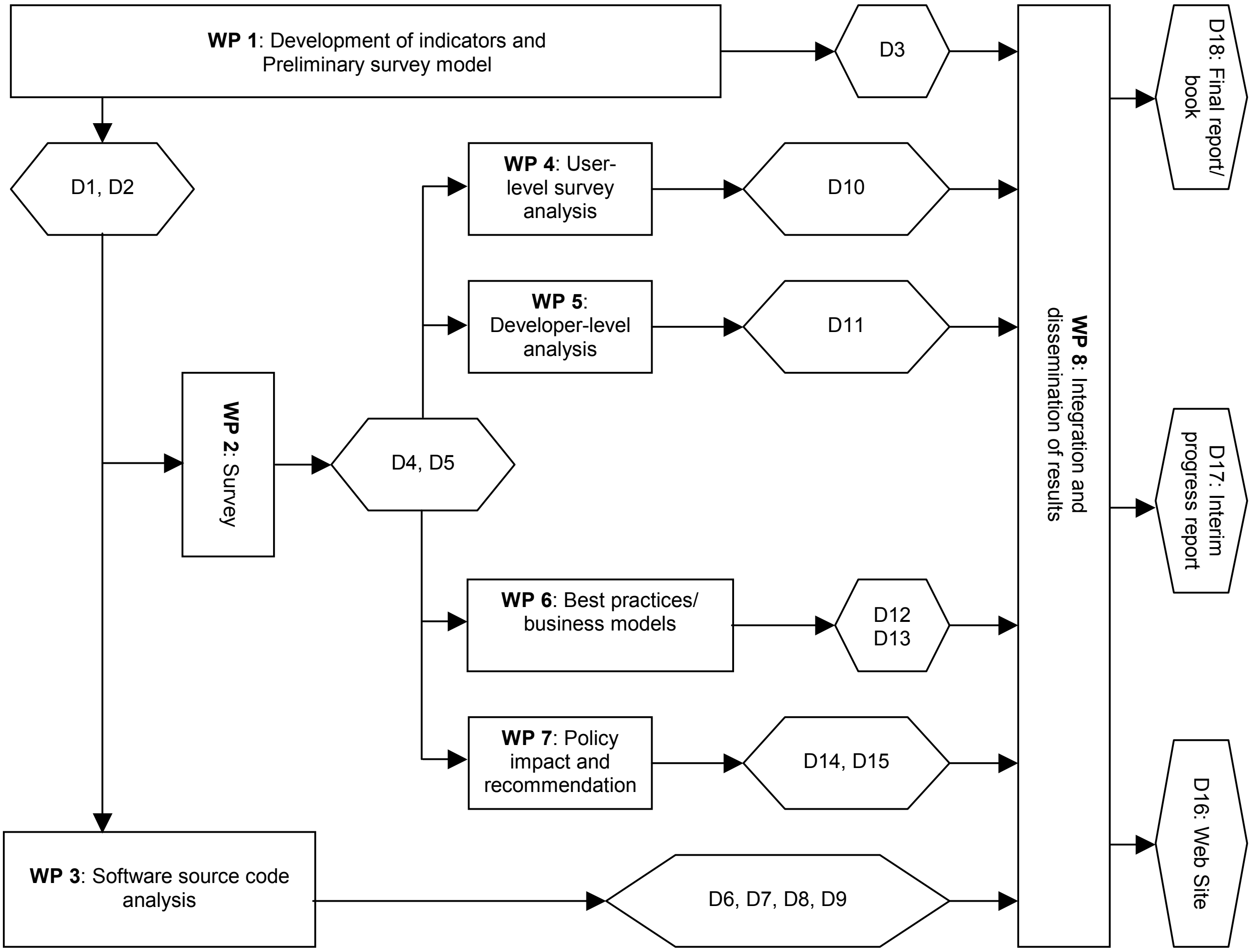
		1	2	3	4	5	6	7	8	9	10	11	12
WP 1	Development of Preliminary Survey Model												
WP 2	Survey												
WP 3	Software source code analysis												
WP 4	User-level analysis of survey												
WP 5	Developer-level analysis												
WP 6	Best practices/business models												
WP 7	Policy impact/recommendations												
WP 8	Integration/Dissemination												
D 1	Indicator definitions – working paper												
D 2	Survey methodology & implementation plan												
D 3	Indicator definitions/assessment – final												
D 4	Raw data from survey – database format												
D 5	Survey findings/effectiveness - summary												
D 6	Raw data from source code analysis												
D 7	Analysis methodology/findings – summary												
D 8	Software tools developed for analysis												
D 9	Software analysis findings final paper												
D 10	User-level analysis – working paper												
D 11	Developer-level analysis – working paper												
D 12	OS/FS best practices – working paper												
D 13	Best practices and user-developer int.– final paper												
D 14	OS/FS and policy impact – working paper												
D 15	OS/FS and policy impact – final paper												
D 16	Implementation of project web-site												
D 17	Interim progress report												
D 18	Final report/book												
SEM	Seminar/workshop presenting project results												

Source: FLOSS project funded under FP5

A Gantt chart is a horizontal bar chart developed in 1917 by Henry L. Gantt. Frequently used in project management, a Gantt chart provides a graphical illustration of the time schedule of a project

In this case, the Gantt chart provides an overview of the different workpackages (WPs) and their components in the form of deliverables.

Example of a Pert Diagram



Source: FLOSS project funded under FP5

Pert (Programme Evaluation and Review Techniques) diagrams are widely used in project planning and management.

In this case, the Gantt chart provides an overview of dependencies and the organisation of different workpackages (WPs) and their components in the form of deliverables.

Appendix 6: A Model Contract

The following core model contract is taken from the FP6 website:
http://www.cordis.lu/fp6/find-doc.htm#modelcontracts.
(Footnotes have been left out)

This document has been approved by the Commission on 23 October 2003
Decision C(2003)3834 dated 23.10.03

CONTRACT No __________

(*INSTRUMENT type)*

The [**European Community] [European Atomic Energy Community]** (the "*Community*"), represented by the **Commission of the European Communities** (the "*Commission*"), itself represented for the signature of this *contract* by (*name)*, Director-General for (*name of the DG)* or [his] [her] duly authorised representative, of the **one part**, **and (*name of the coordinator and legal form)* ((*acronym))***, established in *(full address city/state/province/country)*, represented by (name of legal representative), (function), or her/his/their authorised representative the *contractor* acting as *coordinator* of the *consortium,* **(** the **"***coordinator***")** *[RTD Performer/ SME/ Enterprise grouping]* and the other *contractors* identified in Article 1.2 below, of the **other part**
HAVE AGREED to the following terms and conditions established in this contract and its annexes ("the *contract*").

Article 1 – Scope

1. The *Community* agrees to grant a financial contribution for the implementation of a *project* called (*name of project*) within the framework of the specific research and technological development programme (*name of specific RTD programme)* (the "specific programme").
2. The *consortium* is composed of the *contractor* acting as *coordinator* and the following legal entities, who shall accede to the *contract* in accordance with the procedure referred to in Article 2, as *contractors* assuming the rights and obligations established by the *contract* with effect from the date on which it enters into force:
- **(full name and legal form of the *contractor* [*RTD Performer/ SME/ Enterprise grouping/Other enterprise or end user*]** established in *(full address city/state/province/country* represented by (name of legal representative), (function), or her/his/their authorised representative ("*contractor*"*)*,
- (full name and legal form of the *contractor* [*RTD Performer/ SME/ Enterprise grouping / Other enterprise or end usee*] established in *(full address city/state/province/country)* represented by (name of legal representative), (function), or her/his/their authorised representative ("*contractor")*,
- (…)
(hereinafter referred to as the "*contractors*")
3. The *consortium* shall carry out the work set out in Annex I to this *contract* (the "*project*") [up to the milestone specified in Annex I] [up to *(specify the milestone)*] in accordance with the conditions set out in this *contract*.
4**.** ***[Option A: When consortium agreement is required– e.g. at least IP, NOE & SME specific projects]*** The *contractors* are deemed to have concluded a *consortium agreement* regarding the internal operation and management of the *consortium.* The *consortium agreement* shall include all aspects necessary for the management of the *consortium* and the implementation of the *project* as well as any necessary intellectual property provisions.
[Option B: When consortium agreement is optional - other instruments where exempted by call]
The *consortium* shall make appropriate arrangements for its internal operation and management which may include any intellectual property provisions. To this end, a *consortium agreement* may be established, which will cover any other additional aspects necessary for the *consortium* management and the implementation of the *project*.

Article 2 – Constitution of the *consortium*

1. The *coordinator* shall ensure that the legal entities identified in Article 1.2 complete the formalities for them to accede to the *contract*. At the latest [30][45][60] calendar days after the entry into force of the *contract*, the *coordinator* shall send to the *Commission* one of the three duly completed and signed originals of Form A (set out in Annex IV), which shall be obtained from each of the *contractors* identified in Article 1.2. The two remaining signed originals shall be kept by the *coordinator* and the *contractor* concerned and be made available for consultation at the request of any other *contractor*.
2. Should any legal entity identified in Article 1.2 fail or refuse to accede to the *contract* within the deadline established in the previous paragraph, the *Commission* is no longer bound by its offer to contract with the said legal entity(ies). The *Commission* may terminate the *contract* in accordance with Article II.15.5, where any legal entity identified in Article 1.2 does not accede to the *contract* in accordance with the provisions established by the *Commission*.
3. However, the *consortium* may propose appropriate solutions to the *Commission* to ensure the implementation of the *project* including, where necessary, the accession to the *contract* of legal entities other than those identified in Article 1.2 in accordance with the provisions in Article 3.

4. In the case of termination, no costs incurred by the *consortium* under the *project* up to the date of *contract* termination can be approved or accepted as eligible for reimbursement by the *Community* financial contribution. Any *pre-financing* provided to the *consortium* and any interest generated by the *pre-financing* must be returned in full to the *Commission* within 30 days of notification of termination.

Article 3 - Evolution of the *consortium*

The *consortium* may be enlarged to include other legal entities, which shall accede to the *contract* by means of Form B (set out in Annex V). The *Commission* is deemed to have accepted this legal entity as a *contractor* in the *consortium*, if it does not object within six weeks of receipt of Form B. Any new *contractor* shall comply with the participation rules established by the *Rules for Participation*. This is subject to any condition required by the *Financial Regulation* or other formalities that may be required by any other provision of this *contract*.

They shall assume the rights and obligations of *contractors* as established by the *contract* with effect from the date of their accession to the *contract. Contractors* leaving the *consortium* shall be bound by the provisions of the *contract* regarding the terms and conditions applicable to the termination of their participation.

Article 4 – Entry into force of the *contract* and duration of *project*

1. This *contract* shall enter into force on the day of its signature by the *coordinator* and the *Commission*.
2. The duration of the *project* shall be [*insert number*] months from [the first day of the month after the signature by the *Commission*] [fixed starting date *(insert date)/(date to be communicated by Commission – cooperative and collective research only)*] [the date of signature of this *contract*] [the effective starting date notified by the *coordinator/contractor*, which must be within [*insert number*] months from the date the *contract* enters into force] (hereinafter referred to as the "*start date*"). This *contract* shall be completed once the rights and obligations of all the parties to the *contract* have been met. The implementation and payment phases relating to the *project* must be completed by the *final implementation date* of the *contract*.

The provisions set out in Articles II.7, II.9, II.10, II.11, II.29, II.30, II.31 and Part C of Annex II shall continue to apply after the *final implementation date* as well as any provisions in Annex III which specifically state that they shall continue to apply after the *final implementation date.*

Article 5 – *Community* financial contribution

The *Community* financial contribution shall be in the form of a [lump sum][grant to the budget][grant for integration].

[Option 1: *When the Community contribution is in the form of grant to the budget and grant for integration*] The maximum *Community* contribution to the *project* shall be EUR (*insert amount in words XXXXXX EURO*). The *Community* financial contribution shall be limited to the maximum rates of contribution to the activities identified in Part B of Annex II, as modified by any provision of Annex III. Annex I indicates the estimated breakdown of costs and activities to be carried out under the *project*.]

[Option 2: *When the Community contribution is a lump sum*] The maximum *Community* financial contribution shall be EUR (*insert amount in words XXXXXX EURO*).]

Article 6 – Reporting periods

The *project* is divided into reporting periods of the following duration:

- P1: from month 1 to month X
- P2: from month X+1 to month Y
- P3: from month Y+1 to month Z
- (…)
- [final]: from month [N+1] to the last month of the *project*

Article 7 – Reports

1. [Option 1: (*for projects with more than one reporting period*): Reports referred to in Article II.7.2 shall be submitted for each reporting period identified in Article 6 within 45 days of the end of the period in question. Reports shall be submitted in [*language*]]

[Option 2: (*for projects with only one reporting period*): Reports shall be submitted to the *Commission* at the latest 45 days after the end of the *project,* except for the report referred to in Article II.7.4.d.

This delay may be increased by 45 days at the request of the *consortium.* Where the work is completed before the end of the duration of the *project*, the related activity and financial reports shall cover the period up to that date. The final reports referred to in Article II.7.4 shall include the information required under Article II.7.2 for the whole period covered by the *project*. Reports shall be submitted in [*language*]]

2. [*not applicable to lump sum contracts*]

[Option 1:(*optional for all instruments and compulsory for IPs and NoEs*): Reports referred to in Article II.7.3 covering each period shall be submitted at the latest 45 days after the end of each reporting period]

[Option 2 (*applicable to instruments other than IPs and NoEs*): Reports referred to in Article II.7.3 shall be submitted at the latest 45 days after the end of the following periods:

P(x) covering reporting periods from P1 to P(x)

P(y) covering reporting periods from P(x+1) to P(y)

P(z) covering reporting periods from P(y+1) to P(z)

P(last) covering reporting periods from P(n+1) to the last reporting period of the *project*]

3. [(*for projects with more than one reporting period*) In addition to the reports for the last period, final activity and financial reports referred to in Article II.7.4 (except for the report referred to in Article II.7.4.d) shall be submitted to the *Commission* at the latest 45 days after the end of the *project*.
This delay may be increased by 45 days at the request of the *consortium*. Where the work is completed before the end of the duration of the *project*, the related activity and financial reports shall cover the period up to that date.]

Article 8 – Payment modalities

1. The *Community* financial contribution to the *project* shall be paid to the *coordinator* on behalf of the *contractors* in accordance with the following provisions:
a) the *consortium* shall determine the allocation of each tranche of the *Community* financial contribution between the *contractors*, in accordance with this *contract* and any relevant provisions in their *consortium agreement*.
b) the payment of the *Community* financial contribution to the *coordinator* discharges the *Commission* from its obligation to make this payment to the *contractors*.
c) the *coordinator* shall distribute the *Community* financial contribution without unjustified delay. [However, the initial *pre-financing* shall not be distributed to the *contractors* until the minimum number of *contractors* required by the *Rules for Participation* have acceded to the *contract*.]
2. The *Community* financial contribution shall be paid in accordance with the provisions of Article II.28 and the following:

[Option A: projects with one single reporting period]

(a) *pre-financing* of [amount of XXXX Euro][up to 80% to 85%] of the estimated *Community* financial contribution indicated in the table of estimated breakdown of costs for this period in Annex I within 45 days following [the date of entry into force of the *contract*][the date the *Commission* is informed of the accession of the last *contractor* required to constitute the minimum number of participants established by *the Rules for Participation,* and as detailed in the call for proposals to which the *project* is related][the date the *Commission* is informed of accession to the *contract* of all the *contractors* identified in Article 1.2]
(b) the outstanding balance shall be paid within 45 days following the approval by the *Commission* of the reports referred to in Article II.7. This payment shall be considered as final, subject to the results of any audit or review, which may be carried out pursuant to the provisions of Article II.29. Where the amount justified and accepted is less than the *pre-financing* the *Commission* shall recover the difference.

[Option B: projects with more than one reporting period]

(a) *pre-financing* of [amount of XXXX Euro] [85%][...<85%] of the estimated *Community* financial contribution corresponding to the first reporting period and the first six months of the subsequent reporting period indicated in the table of estimated breakdown of costs for this period in Annex I, within 45 days following [the date of entry into force of the *contract*][the date the *Commission* is informed of the accession of the last *contractor* required to constitute the minimum number of participants established by *the Rules for Participation*, and as detailed in the call for proposals to which the *project* is related][the date the *Commission* is informed of accession to the *contract* of all the *contractors* identified in Article 1.2];

[Option B 1: Projects with more than one reporting period with an audit certificate for each period:]

(b) within 45 days following approval by the *Commission* of the reports related to each reporting period:
i) a payment which settles the amounts justified and accepted during the reporting period. ii) *pre-financing* of [85%][...<85%] of the estimated *Community* financial contribution corresponding to the subsequent period and the first six months of the period following, indicated in the table of estimated breakdown of costs for this period in Annex I. Where the amount justified and accepted for the reporting period is less than the *prefinancing* already paid to the *consortium*, that part of the *pre-financing* is re-qualified as a payment and the *Commission* shall deduct the difference from the subsequent *pre-financing*.
Where the amount justified and accepted for the reporting period is more than the *prefinancing* already paid to the *consortium*, the *pre-financing* is re-qualified as a payment and the *Commission* shall add the difference as a complementary payment at the time of the payment of the subsequent *pre-financing*.

[Option B 2: Projects with more than one reporting period but without an audit certificate for each period:]

(b) - within 45 days following approval by the *Commission* of the reports relating to each reporting period:
If an audit certificate has been submitted:
i) a payment to settle the amounts justified and accepted during the reporting period; and
ii) an intermediate *pre-financing* of [85%][...<85%] of the estimated *Community* financial contribution corresponding to the subsequent period and the first six months of the period following, indicated in the table of estimated breakdown of costs for this period in Annex I.
Where the amount justified and accepted for the reporting period is less than the *prefinancing* already paid to the *consortium*, that part of the *pre-financing* is re-qualified as a payment and the *Commission* shall deduct the difference from the subsequent *pre-financing*.
Where the amount justified and accepted for the reporting period is more than the *prefinancing* already paid to the *consortium*, the *pre-financing* is re-qualified as a payment and the *Commission* shall add the difference as a complementary payment at the time of the payment of the subsequent *pre-financing*.

If an audit certificate has not been submitted:
i) an intermediate *pre-financing* of [85%][…<85%] of the estimated *Community* financial contribution corresponding to the subsequent period and the first six months of the period following, indicated in the table of estimated breakdown of costs for this period in Annex I.
Where the amount justified and accepted for the reporting period is less than the *prefinancing* already paid to the *consortium*, the *Commission* shall deduct the difference from the subsequent *pre-financing.*
Where the amount justified and accepted for the reporting period is more than the *prefinancing* already paid to the *consortium*, the *Commission* shall add the difference to the subsequent *pre-financing*, within the limits established by the *Financial Regulation.*
[For B1 and B2 - all projects with more than one reporting period]
(c) within 45 days following approval by the *Commission* of the reports relating to the last period and the final reports referred to in Article II.7, the *Commission* shall pay a final payment for that period.
[For all projects except option C]
(d) Any payment at the end of a reporting period accompanied by an audit certificate shall be considered as final, subject to the results of any audit or review, which may be carried out pursuant to the provisions of Article II.29.
[Total *pre-financing* may not exceed 80% of the *Community* financial contribution or, where final payments referred to in paragraph d have been effected, of the difference between the *Community* financial contribution and those final payments.]
[Where less than 70% of a *pre-financing* has been used at the end of a reporting period, and notwithstanding the approval by the *Commission* of the related reports, subsequent intermediate *prefinancing* may be paid only:
(i) if an audit certificate is provided for that reporting period; or
(ii) on the basis of a complementary periodic management report referred to in Article II.7.2 b that shall be submitted to the *Commission* once the above-mentioned spending rate has been achieved.]
(e) Where no comments, changes or substantial corrections to any of the *project* activity reports or financial statements are required or where the *Commission* approves the reports more than 45 days after reception, the *Commission* shall make the appropriate payment within 90 days of receipt of the *project* activity reports and associated financial statements.
Where substantial comments, changes, further information or adjustments are requested by the *Commission* within this period, the delay is suspended upon notification by the *Commission*. The remainder of the 90 day payment period begins again only after submission by the *contractors* of the required information.
Option C : Community contribution = lump sum for projects with one single reporting period]
(a) *pre-financing* of [amount of XXXX Euro *(total pre-financing may not exceed 80% of the Community financial contribution unless bank guarantee(s)is (are)provided, in which case a maximum of 85% is possible)*] within 45 days following [the date of entry into force of the *contract*][the date the *Commission* is informed of the accession of the last *contractor* required to constitute the minimum number of participants established by *the Rules for Participation,* and as detailed in the call for proposals to which the *project* is related][the date the *Commission* is informed of accession to the *contract* of all the *contractors* identified in Article 1.2].
(b) the outstanding balance shall be paid within 45 days following the approval by the *Commission* of the reports referred to in Articles II.7.4.a and II.7.4.c. This payment shall be considered as final, subject to the results of any audit or review, which may be carried out pursuant to the provisions of Article II.29.
(c) Where no comments, changes or substantial corrections to the *project* activity reports are required or where the *Commission* approves the reports more than 45 days after reception, the *Commission* shall make the appropriate payment within 90 days of receipt of the *project* activity reports. Where substantial comments, changes, further information or adjustments are requested by the *Commission* within this period, the delay is suspended upon notification by the *Commission*. The remainder of the 90 day payment period begins again only after submission by the *contractors* of the required information.

Article 9 – Special clauses

[No special condition applies to this *contract*.]
[The following special conditions apply to this *contract*:]

Article 10 - Amendments

Any request for amendment to the *contract* shall be submitted in accordance with Article 11.
Proposals for amendments submitted by the *coordinator* are requested on behalf of the *consortium*. The *coordinator* shall ensure that adequate proof of the *consortium's* agreement to such a request exists and is made available in the event of an audit.
The *Commission* shall undertake to approve or reject any request for an amendment within 45 days of its receipt. The absence of a response from the *Commission* within 45 days of receipt of such a request, or any other period provided for in the *contract*, does not constitute approval of the request, except for any modification or evolution of the *consortium* as foreseen in Article 3.
All amendments to the *contract* shall be in writing.

Article 11 – Communication

1. Requests for amendments and any communication foreseen by the *contract* shall identify the nature and details of the request or communication and be submitted in writing by means of registered mail with acknowledgement of receipt to the following addresses:
For the *Commission*: Commission of the European Communities
DG [name]
[B-1049 Brussels
Belgium] [Luxembourg]
For the *coordinator*: [contact address]
2. Where the *contract* foresees that information or documents are to be transferred by electronic means, the following functional mailboxes shall be used:
For the *Commission*:
For the *coordinator*:
3. The bank account of the *coordinator* to which all payments of the *Community* financial contribution shall be made is:
Name of account holder:
Name of bank:
Account reference: IBAN/sort code and number
4. Each party to the *contract* shall inform the other parties without delay of any changes in the names or addresses identified in paragraphs 1 and 2 above.
Article 12 - Applicable law
The law of [Belgium/Luxembourg] shall govern this *contract*.
Article 13 - Jurisdiction
The Court of First Instance or the Court of Justice of the European Communities, as is appropriate in the specific case, shall have sole jurisdiction to hear any disputes between the *Community* and the *contractors* as regards the validity, the application or any interpretation of this *contract*.
Article 14 - Annexes forming an integral part of this *contract*:
1. The following annexes form an integral part of this *contract*:
Annex I - Description of work
Annex II - General conditions
[Annex III - Specific provisions related to [this instrument]]
[Annex IV - Form A - consent of *contractor*s to accede to the *contract*]
[Annex V - Form B – accession of new legal entities to the *contract*]
[Annex VI - Form C – financial statement per instrument]
2. In the event of any conflict between the provisions of the Annexes to this *contract* and any provision of this part of the *contract*, the latter shall take precedence. The provisions of Annex III shall take precedence over the provisions of Annex II, and both shall take precedence over the provisions of Annex I.
3. The special conditions set out in Article 9 shall take precedence over any other provisions of this *contract*.
Done at [Brussels][Luxembourg], in [language]

Appendix 7: Current and Future Calls for Proposals

At the time of writing of this Guide there were over 40 open calls for proposals. Here we will focus on the calls in a limited number of categories.

Thematic priority area: Information Society Technologies

Call Identifier: FP6-2004-IST-3

Call publishing date: 15 June 2004

Call title: Call 3 of the IST priority

Closing Date(s): 22 September, at 17:00 (Brussels local time)

Budget: € 28 million – of which € 10 million for 2.3.6.1, € 8 million for 2.3.6.2 and € 10 million for 2.3.6.3

Area(s) addressed:

objective 2.3.6.1: to stimulate, encourage and facilitate the participation of organisations from the New Member States (NMS) and the Associated Candidate Countries (ACC) in the activities of IST,

objective 2.3.6.2: to prepare for future international cooperation in IST,

objective 2.3.6.3: to progress towards the achievement of the objectives of a European Research Area in a given IST field.

Instrument(s): for 2.3.6.1 - SSAs, for 2.3.6.2 and 2.3.6.3 – CAs and SSAs

Special note about this call:

This is a unique call since a substantial part of the resources are for projects that focus on the New Member States and Associated Candidate Countries. There is also a special focus on developing countries. For these reasons, it is a good opportunity for organisations from these categories to apply for funding.

Here are excerpts from the IST Work Programme Update of 10 June 2004 that describe in full detail the three objectives of this call:

Objective 2.3.6.1 – The focus is on (i) the establishment and reinforcement of networks of research organisations from the NMS and the ACC with organisations from the other Member States, (ii) information and awareness events, and (iii) the promotion of research competencies in the NMS and the ACC.
Activities could include (i) the organisation of brokerage events and seminars where researchers - industrial and academic - from the NMS and the ACC can meet researchers from the other Member States with a view to participating in proposals, (ii) the organisation of conferences with researchers from across Europe, and (iii) the creation, maintenance, promotion and linking of databases of researchers and industrial and academic research organisations in the NMS and the ACC which contain information that would facilitate partner searching for the creation of consortia.
Activities are expected to have a pan-European focus on thematic issues related to one or several IST Strategic Objectives.

Objective 2.3.6.2 - The objectives are (i) to enable European researchers to access knowledge, skills, technology and facilities available outside the EU, (ii) to strengthen Europe's participation in international R&D activities and accompanying measures, and (iii) to exploit R&D and policy complementarities so as to explore mutual benefits of the co-operation and increase access to market opportunities.

Emphasis is put on activities which are relevant to the following groups of third countries: Developing countries; Mediterranean partner countries; Russia and the other New Independent States; and Western Balkan countries.

Activities could include organisation of workshops or other regional/local events to build constituencies and raise awareness; dissemination, benchmarking and validation of research results in IST; promotion of European technologies; exchange of best practices; technology watch exercises; mapping of R&D resources and capabilities; and activities related to standards and interoperability issues.

Activities are expected to focus on thematic issues related to one or several IST Strategic Objectives.

Objective 2.3.6.3 - Support is provided for the improved networking and co-ordination of national, regional and European research policies, programmes and funding schemes related to one or several IST Strategic Objectives, aiming at improved integration of European IST research.

Activities could include benchmarking of national, regional, European and third country research, roadmapping, development of long-term shared visions for research and exploitation, stimulation of future co-ordinated or common programme proposals, and opening up of national programmes.

As an indication of the granularity of a field and the scale of operations and ambition, the expectation is that a total of 10-15 fields, related to one or several IST Strategic Objectives, will be addressed by the selected actions. Fields that cut across objectives and disciplines are encouraged.

Call Identifier: FP6-2002-IST-C

Call publishing date: 17 December 2002

Call title: Future and Emerging Technologies – Open domain (Continuous submission).

Closing Date(s): 31 December 2004, proposals are receivable from 10 February 2003

Budget: € 60 million

Area(s) addressed: Future and Emerging Technologies – Open domain.

Instrument(s): STREPs, CAs, SSAs

Call Identifier: FP6-2004-IST-FETPI

Call publishing date: 15 June 2004

Call title: Future and Emerging Technologies-Proactive initiatives

Closing Date(s): 22 September, at 17:00 (Brussels local time)

Budget: € 80 million

Area(s) addressed: Quantum information processing and communications, Global computing, Emerging nanoelectronics, Bio-inspired intelligent information systems.

Instrument(s): IPs, Networks of Excellence

Thematic priority area: Citizens and Governance in a knowledge-based society

At present, there are no open calls for this priority. The first call for proposals was launched in 2003. The second call for proposals will be published at the end of 2004.

Horizontal Research activities involving SME's

Call Identifier: FP6-2003-SME-1

Call publishing date: 17 December 2003

Closing Date(s): 21 October 2004, at 17:00 (Brussels local time)

Budget: € 75 million

Area(s) addressed: Co-operative Research (all areas of science and technology)

Instrument(s): Co-operative Research (CRAFT)

Specific measures in support of international co-operation

Call Identifier: FP6-2002-INCO-DEV/SSA-1 (open call)

Call publishing date: 17 December 2002

Closing Date(s): 08 September 2004, 07 March 2005, 07 September 2005 and 06 March 2006, at 17.00 (Brussels local time)

Budget: € 1.94 million in 2004

Area(s) addressed: Specific Support Actions (SSA) for Developing countries (DEV)

Instrument(s): SSAs

Call Identifier: FP6-2002-INCO-MPC/SSA-2 (open call)

Call publishing date: 17 December 2002

Closing Date(s): 08 September 2004, 07 March 2005, 07 September 2005 and 06 March 2006, at 17.00 (Brussels local time)

Budget: € 0.9 million in 2004

Area(s) addressed: Specific Support Actions (SSA) for Mediterranean Partners Countries (MPC)

Instrument(s): SSAs

Call Identifier: FP6-2002-INCO-WBC/SSA-3 (open call)

Call publishing date: 17 December 2002

Closing Date(s): 08 September 2004, 07 March 2005, 07 September 2005 and 06 March 2006, at 17.00 (Brussels local time)

Budget: € 0.9 million in 2004

Area(s) addressed: Specific Support Actions (SSA) for Western Balkan countries

Instrument(s): SSAs

Call Identifier: FP6-2002-INCO-Russia+NIS/SSA-4 (open call)

Call publishing date: 17 December 2002

Closing Date(s): 08 September 2004, 07 March 2005, 07 September 2005 and 06 March 2006, at 17.00 (Brussels local time)

Budget: € 0.9 million in 2004

Area(s) addressed: Specific Support Actions (SSA) for Russia and other NIS

Instrument(s): SSAs

Call Identifier: FP6-2002-INCO-COMultilatRTD/SSA-5 (open call)

Call publishing date: 17 December 2002

Closing Date(s): 08 September 2004, 07 March 2005, 07 September 2005 and 06 March 2006, at 17.00 (Brussels local time)

Budget: € 1.5 million in 2004

Area(s) addressed: Specific Support Actions (SSA) for Multilateral co-ordination of national RTD policies and activities

Instrument(s): SSAs

Call Identifier: FP6-2003-INCO-DEV-2

Call publishing date: 17 December 2003

Closing Date(s): 14 September 2004, at 17.00 (Brussels local time)

Budget: € 36.2 million in 2004

Area(s) addressed: Specific Targeted Research Projects (STREP) and Coordination Actions (CA) for Developing countries (DEV)

Instrument(s): STREPs and CAs

Call Identifier: FP6-2003-INCO-MPC-2

Call publishing date: 17 December 2003

Closing Date(s): 14 September 2004, at 17.00 (Brussels local time)

Budget: € 27.1 million in 2004

Area(s) addressed: Specific Targeted Research Projects (STREP) and Coordination Actions (CA) for Mediterranean Partner Countries (MPC)

Instrument(s): STREPs and CAs

Call Identifier: FP6-2004-TC-SSA-General

Call publishing date: 15 June 2004

Closing Date(s): 14 October 2004, at 17.00 (Brussels local time)

Budget: € 2.9 million in 2004

Area(s) addressed: Specific Support Actions (SSA) for targeted Countries

Instrument(s): SSAs

Call Identifier: FP6-2004-ACC-SSA-2

Call publishing date: 15 June 2004

Closing Date(s): 14 October 2004, at 17.00 (Brussels local time)

Budget: € 19.8 million in 2004

Area(s) addressed: Specific Support Actions (SSA) for Associated Candidate Countries (ACC)

Instrument(s): SSAs

Appendix 8: Other methods of funding – public procurement (tenders)

Funding under FP6 can take one of the two following forms:

• Public procurement, by means of a *call for tenders*

• Grant, generally by means of a *call for proposals*

According to the EC document “Guide to Financial Issues relating to Indirect Actions of the Sixth Framework Programmes”, version April 2004, “*Public [procurement] contracts are contracts for pecuniary interest concluded in writing by a contracting authority within the meaning of Articles 104 and 167, in order to obtain, against payment of a price paid in whole or in part from the budget, the supply of movable or immovable assets, the execution of works or the provision of services [to the Commission]. These contracts comprise: (a) contracts for the purchase or rental of a building; (b) supply contracts; (c) works contracts; (d) service contracts*.”

In public procurement, the funding covers 100% of the price of the product or service. Moreover, the outcome and results of the public procurement procedure belong to the EC in entirety.

The formal procedure for tenders is far more complex with strict financial and legal requirements. Competition is often from large service firms and consultancies. However, there may be frequently a cost advantage for applicants from New Member States who can offer more competitive prices.

Current calls for tenders

Calls for tenders can be found on the Tenders Electronic Daily (TED) website - http://ted.publications.eu.int/official/

Some current calls for tenders are listed below

What are patents actually worth?

Document Reference: OJ No S 125-105318 of 30.6.2004

Benchmarking national policies in support of e-learning for SMEs

Document Reference: OJ No S 130-109856 of 7.7.2004

Study on the supply and demand of e-skills in Europe

Document Reference: OJ No S 130-109853 of 7.7.2004

More information on tenders is available at:

http://www.europa.eu.int/publicprocurement/index_en.htm

Appendix 9: Funding for SME's

Under FP6 a special focus has been placed on Small and Medium-sized Enterprises or SME's. According to FP6 rules, an SME is a company with: fewer than 250 employees; either with an annual turnover which does not exceed €40 million or with an annual balance sheet total which does not exceed €27 million; no more than 25% of its capital controlled by an organisation which is not itself an SME.

The website dedicated to information for SME's is: http://www.cordis.lu/sme/

SME's are encouraged to participate in the activities implemented under the seven thematic priority areas with an allocation of at least 15% of the budget for thematic areas. The funding instruments that they can use include: Networks of Excellence, Integrated Projects, Specific Targeted Research Projects, and Specific Support Actions.

In addition, there are two specific research projects – Collective Research and Co-operative Research - targeted at SME's. As one of the measures to implement the international dimension of FP6, the SME actions are open to participation by organisations from third countries with funding included in the budget.

Collective Research is a type of research carried out by R&D performers (for example, research centres, universities, etc.) on behalf of industrial associations or groupings, in sectors where SME's are prominent, in order to expand the knowledge base and improve the overall competitiveness of large communities of SMEs.

Collective Research projects can include the following type of activities:

- Research and innovation-related activities: based on well-defined and sharply focused research objectives;
- Consortium management activities: includes the overall coordination of the project by one of the industrial partners, groupings or RTD performers;
- Training activities: particularly the training of SME managers and technical staff on the use of the knowledge produced by the project.

Collective Research projects are selected following a call for proposals published in the Official Journal of the European Union and on the CORDIS website. The first call for stage one proposals closed on 6 March 2003. Two additional calls are expected, one in 2004 and another in 2005.

Co-operative Research ("CRAFT") activities support SMEs with a capacity to innovate but without their own research facilities. In this scheme, a number of SMEs from different countries with particular R&D problems or needs, assign a significant part of the research activities to R&D 'performers', such as universities and research centres. Under FP6, €320 million has been allocated to finance Co-operative Research activities.

Under the Co-operative Research scheme, two types of activities are eligible for funding:

- Research and innovation-related activities on any science and technology topic.
- Consortium management activities. This covers all the coordination costs related to the project.

Co-operative Research projects are also selected following a call for proposals published in the Official Journal of the European Union and on the CORDIS website. The first call was published in December 2002. The second call was published in December 2003 with a closing date of **21 October 2004.** The European Commission plans to issue at least one call for proposals each year until 2005

Appendix 10: Sources of Additional Information

FP6 on the CORDIS server

The main source of information on FP6 is the Community Research and Development Information System (CORDIS) - www.cordis.lu/fp6/

Specific Programmes

Thematic Priority Areas

Life sciences, genomics and biotechnology for health - http://www.cordis.lu/lifescihealth/home.html

Information society technologies - http://www.cordis.lu/ist/

Nanotechnologies and nanosciences, multifunctional materials and new production processes and devices - http://www.cordis.lu/nmp/home.html

Aeronautics and space - http://www.cordis.lu/fp6/aerospace.htm

Food quality and safety - http://www.cordis.lu/food/home.html

Sustainable development, global change and ecosystems - http://www.cordis.lu/sustdev/

Citizens and governance in a knowledge-based society - http://www.cordis.lu/citizens/home.html

Specific activities covering a wider field of research

Horizontal research activities involving SMEs - http://www.cordis.lu/fp6/sme.htm

Specific measures in support of international co-operation - http://www.cordis.lu/fp6/inco.htm

Strengthening the foundations of ERA

- Co-ordination of European Research - http://www.cordis.lu/coordination/home.html

Structuring the European Research Area

- Research and innovation - http://www.cordis.lu/fp6/innovation.htm
- Human resources and mobility (Marie Curie actions) - http://www.cordis.lu/fp6/mobility.htm
- Research infrastructures - http://www.cordis.lu/infrastructures/

Science and society - http://www.cordis.lu/science-society/home.html

Theme / Action Infodesk Email Contacts

Life sciences, genomics and biotechnology for health - rtd-genomics-biotec@cec.eu.int

Information society technologies - ist@cec.eu.int

Nanotechnologies and nanosciences, multifunctional materials and new production processes and devices – rtd-nmp@cec.eu.int

Aeronautics and space - rtd-aerospace@cec.eu.int

Food quality and safety - rtd-food@cec.eu.int

Sustainable development, global change and ecosystems - rtd-sustainable@cec.eu.int

Citizens and governance in a knowledge-based society - rtd-citizens@cec.eu.int

Horizontal research activities involving SMEs - research-sme@cec.eu.int

Specific measures in support of international co-operation - rtd-inco@cec.eu.int

Funding Instruments

Network of Excellence - http://www.cordis.lu/fp6/instr_noe.htm

Integrated Project - http://www.cordis.lu/fp6/instr_ip.htm

Specific Targeted Research Project - http://www.cordis.lu/fp6/instr_strp.htm

Co-ordination Action - http://www.cordis.lu/fp6/instr_ca.htm

Specific Support Action - http://www.cordis.lu/fp6/instr_ssa.htm

Specific projects for SME's - http://www.cordis.lu/fp6/instr_sme.htm

Marie Curie Actions: http://www.cordis.lu/fp6/instr_mariecurie.htm; Work programme: http://www.cordis.lu/fp6/mobility.htm; Online eligibility check tool: http://europa.eu.int/comm/research/fp6/mariecurie-actions/action/level_en.html

Legal, Financial Matters and Cost Models

Model Contract - http://www.cordis.lu/fp6/find-doc.htm#modelcontracts

Models of Consortium Agreement - http://www.ipr-helpdesk.org

Consortium agreement checklist – http://www.cordis.lu/fp6/consortiumchecklist/

Contract preparation forms – http://www.cordis.lu/fp6/contractpreparation/

IPR Helpdesk – www.ipr-helpdesk.org

Making and Submitting a Proposal

Calls for proposals – http://fp6.cordis.lu/fp6/calls.cfm

Understanding the call for proposals - http://www.cordis.lu/fp6/stepbystep/call_proposals.htm

Workprogrammes - http://www.cordis.lu/fp6/find-doc.htm#wps

Who can participate - http://www.cordis.lu/fp6/stepbystep/who.htm

Choosing the instrument - http://www.cordis.lu/fp6/stepbystep/choo_instrument.htm

Guide to Successful Communications - http://www.europa.eu.int/comm/research/science-society/science-communication/index_en.htm

EPSS - https://www.epss-fp6.org/epss/welcome.jsp

Consortium Building - http://www.cordis.lu/fp6/stepbystep/building.htm

Guidance note for evaluators - http://www.cordis.lu/fp6/find-doc.htm#evalguide

Finding Partners

Cordis Partners - http://partners-service.cordis.lu/

- Find a Partner (CORDIS) – http://fp6.cordis.lu/fp6/partners.cfm
- Find a Partner in Candidate States - http://fp6.cordis.lu/fp6/partners_cs.cfm
- Technology Marketplace – http://www.cordis.lu/marketplace/
- National Contact Points in each Member and Associated State – http://www.cordis.lu/fp6/ncp.htm
- National Contact Points for SME's – http://sme.cordis.lu/assistance/NCPs.cfm
- Network of Innovation Relay Centres – http://irc.cordis.lu/
- Euro Info Centres – http://europa.eu.int/comm/enterprise/networks/eic/eic.html

- Ideal-IST - http://www.ideal-ist.net/

News and Publications

Cordis News - http://dbs.cordis.lu/news/en/home.html

Cordis Express - http://www.cordis.lu/express/

Cordis Focus - http://www.cordis.lu/focus/en/home.html

Euroabstracts - http://www.cordis.lu/euroabstracts/en/home.html

Innovation and Technology Transfer - http://www.cordis.lu/itt/itt-en/

Cordis Guidance: Email alert - http://www.cordis.lu/guidance/email.htm

Finding information

National Contact Points - NCPs will provide help on all aspects of FP6 in the national language. http://www.cordis.lu/fp6/ncp.htm

National R&D and Innovation Information Service – Candidate Countries - http://www.cordis.lu/national_service/en/candidate_countries.htm

Innovation Relay Centres - http://irc.cordis.lu/

Archives of projects on which press releases have been issued: http://www.cordis.lu/innovation-smes/vips/en/home.html

Other useful websites

Europa - http://www.europa.eu.int
Europa is the European Union's main public information site. It carries information about the structure of the EU and its institutions, and about the work of the research Programmes.

European Parliament - http://www.europarl.eu.int/home/default_en.htm

Council of the European Union - http://ue.eu.int

European Commission - http://europa.eu.int/comm/index_en.htm

Court of Justice of the European Communities - http://curia.eu.int/en/index.htm

Europa Newsletter – http://www.europa.eu.int/newsletter/index_en.htm

European Research News Centre - http://www.europa.eu.int/comm/research/news-centre/index_en.html

Magazine on European Research - http://europa.eu.int/comm/research/rtdinfo_en.html

Enterprise Europe Newsletter - http://www.europa.eu.int/comm/enterprise/library/enterprise-europe/index.htm

European Research Area - http://www.cordis.lu/era/

Calls for tenders - http://ted.publications.eu.int/official/

National liaison offices - http://www.iglortd.org/

Gate2Growth - http://www.Gate2Growth.com

Glossary / Index

In this glossary/index, each term is accompanied by a brief definition followed by the number of the page where it is described in detail.

Associated Candidate Countries - These are countries that have been acknowledged as candidates for (future) accession to the EU. At present these countries are Bulgaria, Romania and Turkey *11*

Associated States - These include five other countries that contribute to FP6 funds and have special agreements with the EU. They are Iceland, Israel, Liechtenstein, Norway, and Switzerland. Associated Candidate Countries (ACC) are also included within Associated States (AS) when no distinction is made between these terms *11*

calls for proposals - A legal text calling interested parties to submit proposals for projects. The text defines the necessary specifications to prepare and submit a proposal. Calls are published in the Official Journal of the European Union in all EU languages. They are also published on CORDIS at: http://fp6.cordis.lu/fp6/calls.cfm *30*

consortium – A consortium means all the participants in the same project. The majority of FP6 projects are multi-partner projects requiring a minimum number of participants from different Members States and/or Associated States. More information is at: http://www.cordis.lu/fp6/stepbystep/building.htm *31*

consortium agreement – A consortium agreement is an agreement that all members of the project consortium conclude amongst themselves for the implementation of a research activity. More information is at: http://www.cordis.lu/fp6/stepbystep/consortium_agreement.htm *32*

contract – A contract is a legal agreement between the EC and the participants concerning the implementation of a selected project. It establishes rights and obligations between the EC and the participants. More information is at: http://www.cordis.lu/fp6/find-doc.htm#modelcontracts *35*

co-ordination actions - Coordination actions are one of the funding instruments to implement FP6. They are intended to promote and support the networking and coordination of research and innovation activities. More information is at: http://www.cordis.lu/fp6/instrument-ca/ *21*

coordinator - The coordinator is one participant appointed by all participants of a consortium and accepted by the Commission, having specific additional obligations arising out of the contract, such as management of consortium activities, distributing project funds to other participants, reporting to the Commission etc. More information is at: http://www.cordis.lu/fp6/stepbystep/building.htm *32*

cost model - For the reporting of costs in FP6 contracts, participants have to use a cost model. There are three cost models available: Full Cost (FC), Full Cost with indirect flat rate cost (FCF), and Additional Cost with indirect flat rate cost (AC). Access to a particular cost model depends on the type of organisation and how it is able to account for indirect costs. More information is at: http://europa.eu.int/comm/research/fp6/working-groups/model-contract/pdf/cost_model_en.pdf *26*

deliverables – A deliverable is essentially something that can be delivered. In the context of funding, a deliverable is a product of a development process or the result of a project activity. Deliverables can include: conferences, workshop, surveys, and software products. *35*

European Research Area - This is a general concept designed to overcome the present fragmentation of Europeean efforts in the area of research and innovation. The concept comprises organising co-operation at different levels, co-ordinating national or European policies, networking teams and increasing the mobility of individuals and ideas. More

Acronyms

AC – Additional Cost model
ACC – Associated Candidate Countries
AS – Associated States
CA – Co-ordination Action
CORDIS - Community Research and Development Information System
CRAFT - Co-operative research projects
DG – Directorate General
EC – European Commission
EPSS - Electronic Proposal Submission System
ERA – European Research Area
EU – European Union
FC – Full Cost model
FCF – Full Cost Flat Rate model
FP – Framework Programme
FP6 – Sixth Framework Programme
INCO – International Co-operation activities
INO – International Organisation
IP – Integrated Project
IPR – Intellectual Property Rights
IST – Information Society Technologies
MS – Member States
NCP – National Contact Point
NMS – New Member States
NoE – Network of Excellence
PNP - Private Organisation, Non Profit
PRC - Private Commercial Organisation including Consultant
PUC - Public Commercial Organisation
RTD – Research and Technological Development
SME – Small or Medium-sized Enterprise
SSA – Specific Support Action
STREP – Specific Targeted Research Project