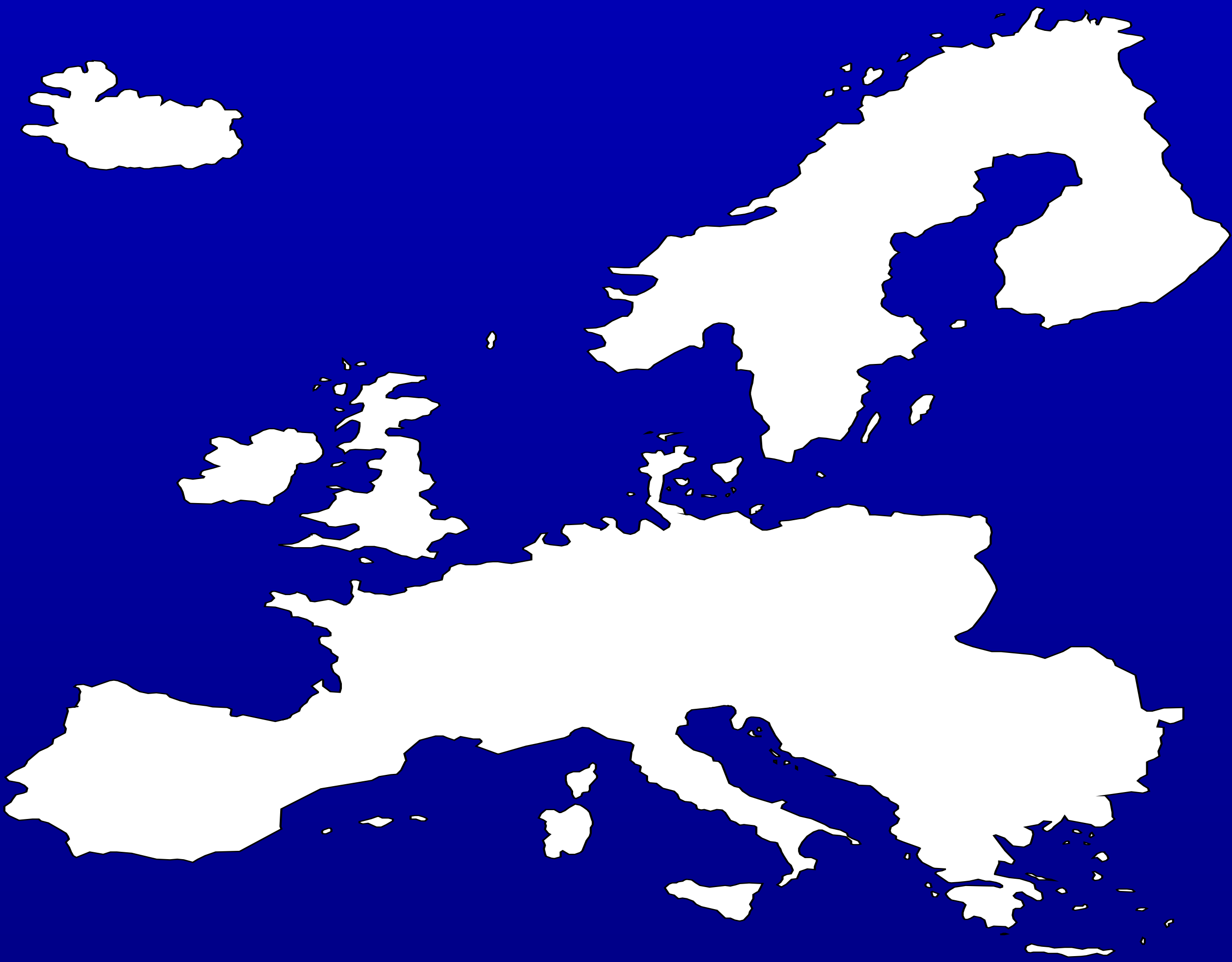

The European Union's Sixth Framework Programme

A Layperson's Guide to Funding

Tactical Technology Collective, Amsterdam

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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 (http://www.tacticaltech.org/fp6).

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.

The Seventh FP (FP7) will be fully operational from January 1, 2007. For an introduction to FP7, go to Appendix 11. As more information becomes available about FP7, it will be covered by this Guide.

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 aadministered 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, Croatia, 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.europa.eu/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.europa.eu/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, Croatia, 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 SMEs. 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*)* – SMEs 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 Israel 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.

The Seven Thematic Priority Areas

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:

2. Life sciences, genomics and biotechnology for health - Integrating post-genomic research into the more established biomedical and biotechnological approaches.
3. 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
4. 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
5. Aeronautics and space – R&D efforts in the context of the Advisory Council for Aeronautics Research in Europe and the European Strategy for Space
6. 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.
7. 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
8. 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 SMEs	Research intended to benefit SMEs
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.

<u>Who can participate</u>: 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. SMEs 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 SMEs

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

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 SMEs, 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, SMEs) 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. SMEs 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.europa.eu/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.europa.eu/

Other sources of information for finding partners are:

- Find a Partner (CORDIS) – http://fp6.cordis.europa.eu/fp6/partners.cfm
- Find a Partner in Candidate States - http://fp6.cordis.europa.eu/fp6/partners_cs.cfm
- Technology Marketplace – http://www.cordis.europa.eu/marketplace/
- National Contact Points in each Member and Associated State – http://www.cordis.europa.eu/fp6/ncp.htm
- National Contact Points for SMEs – http://sme.cordis.europa.eu/assistance/NCPs.cfm
- Network of Innovation Relay Centres – http://irc.cordis.europa.eu/
- 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://cordis.europa.eu/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.europa.eu/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.

Summary of Useful Tips

As mentioned several times before, it is absolutely essential that the team writing the proposal, especially the coordinator, be completely familiar with all the documentation provided with the call.

It is, however, useful to summarise the most important aspects that must be given due consideration when preparing, writing and finalising the proposal. Here is a checklist of important points that will help you in preparing a competitive proposal.

- **Understand the scope of the call** - no matter how well the proposal is written, if it is not within the scope it will not be evaluated. Read the work programme to fully understand the specific objectives
- **Choose the correct instrument** - using the wrong instrument will also result in disqualification
- **Match your project proposal to the instrument** - the evaluators have different criteria for the different instruments. It is therefore important to understand what is expected in terms of scale of the project, originality, scientific excellence, cooperation requirements, work implementation plan, duration, flexibility.
    - *IPs* - must demonstrate ambition in its goals, must cover the full range of activities in the development chain, must include key industry players with a sufficiently large consortium, must generate significant industry impact.
    - *NoEs* - must involve an area where research is fragmented, must involve a sufficiently large network of research participants exhibiting clear intentions of establishing durable integration, must involve restructuring of research efforts to achieve the integration
    - *CAs* - must involve networking activities that clearly add value to IST
    - *STREPs* - must involve original research exhibiting scientific excellence, must be well-focussed and well explained, must improve the state-of-the-art
    - *SSAs* - must be well-planned, clearly demonstrating support of IST policy
- **Make sure the consortium matches the eligibility criteria** - if the minimum number of partners with the required diversity is not met, this serves as grounds for immediate disqualification
- **Match your first draft to the Guidance notes for evaluators -** evaluating your proposal according to the criteria set out will help you identify the weaknesses and missing aspects. Consider the following:
    - *Relevance* - it is not enough for you to think your project is relevant. The relevance must be stated very clearly with references to the IST priority and its objectives.
    - *Potential impact* - impact of the project must be clearly described, and if possible quantified.
    - *Scientific excellence and quality* - the scientific excellence of the project must set it apart from projects done before. Moreover, the impact on the advancement of state-of-the-art must be clearly stated.
    - *Degree of integration* - This is particularly important for NoEs and CAs. The permanence of the integration created by the project must be demonstrated.
    - *Quality of the consortium* - Needless to say, the quality of the consortium must be demonstrated with supporting documents. However, the choice of consortium partners must also be related directly to the objectives of the project.
    - *Quality of management* - The Project Workplan must be clear, transparent, flexible and able to cover contingencies. It should also demonstrate a well thought out plan for dissemination and exploitation.
    - *Mobilisation of resources* - Resource projections must neither be under nor over-estimated.

- **Ensure that the Project Workplan is well thought-out** - inconsistencies in what you have written and what the Project Workplan says will lose you many points. The Project Workplan must reflect your implementation strategy without any ambiguity.
- **Check whether electronic submission (EPSS) is compulsory** - for IST calls, paper submission is no longer accepted
- **Strive for perfection in the quality of the proposal** - competition for FP6 research funding is very stiff and every extra effort to improve the proposal counts. Remember, the evaluator must want to give you high scores. A well-structured proposal written in clear and concise language will make your proposal radiate quality.
- **Before submission**:
  - *Check for inconsistencies* in numbers, references, administrative details (e.g. spellings of names of partners), typos etc.
  - Proposals are often written by several people and at the last minute all the contributions are just pasted together. This makes the final document look like a patchwork quilt and will make it difficult for the evaluator to make sense of it. The proposal coordinator should ensure that there is enough time to *seamlessly integrate the different contributions*, making changes if necessary to create a logical flow ensuring that the evaluator grasps your message completely.
  - This might sound obvious, but *make sure the proposal is complete* - i.e. both Parts A and B must be completed. A surprising number of proposals get rejected due to incompletenesss.
- If submitting using EPSS, **do not wait till the last day to enter the forms** - start entering the forms early on in the preparation process so that you always have a submitted version. Remember, the EC will consider the last version submitted before the deadline so it doesn't matter how many versions have been submitted before.
- **Submit the proposal on time** - the time deadline is adhered to very strictly. If you are using EPSS, you should submit the proposal each time you make a change to it to ensure that the most recent version has been submitted.

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://cordis.europa.eu/era/

Appendix 2: The Seven Thematic Priority Areas

Thematic Priority Area	Areas Covered
1. Life sciences, Genomics and Biotechnology for Health **http://cordis.europa.eu/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://cordis.europa.eu/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://cordis.europa.eu/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://cordis.europa.eu/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://cordis.europa.eu/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://cordis.europa.eu/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://cordis.europa.eu/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 SMEs	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	
Particip ant 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://cordis.europa.eu/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.

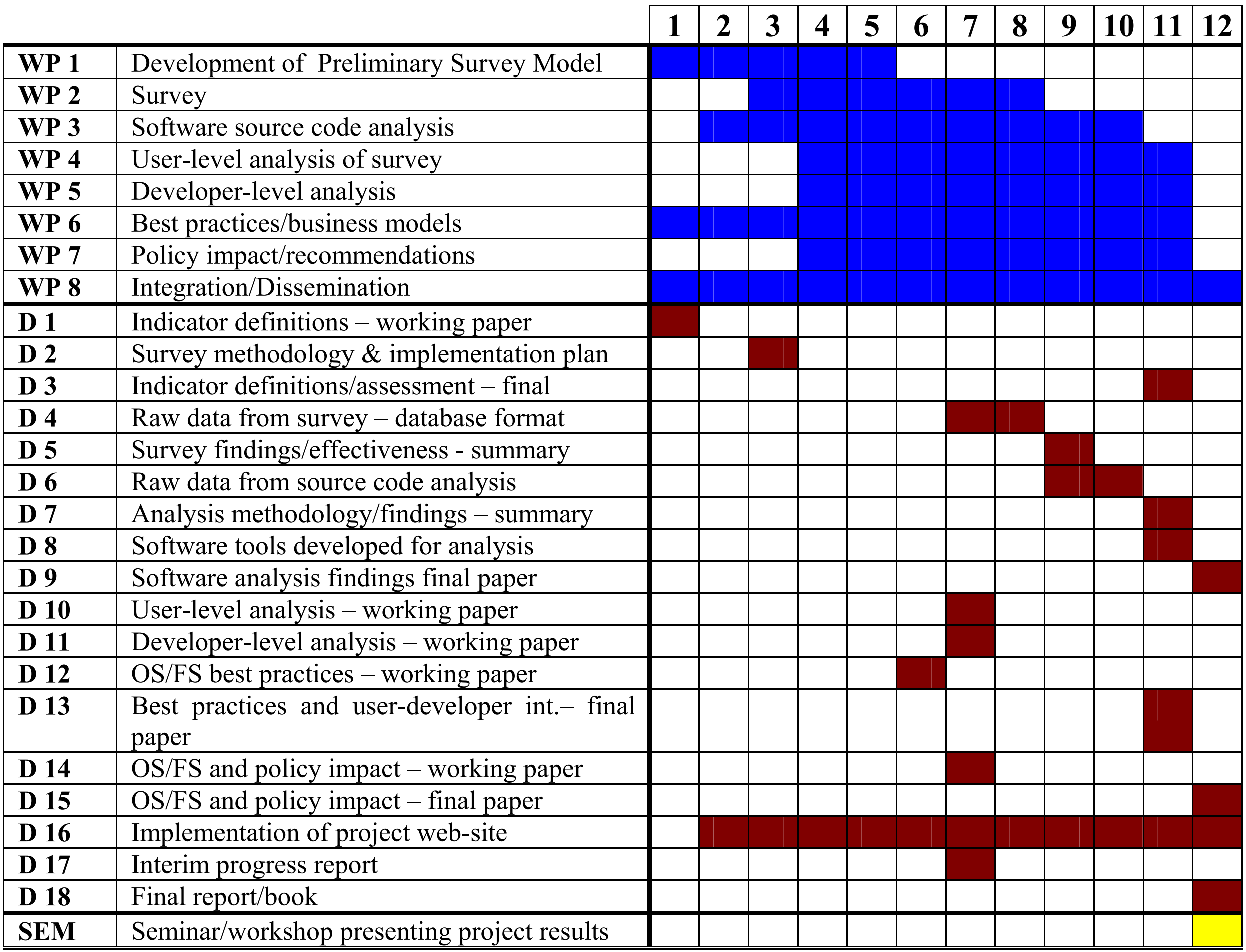
B.7 Other issues

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

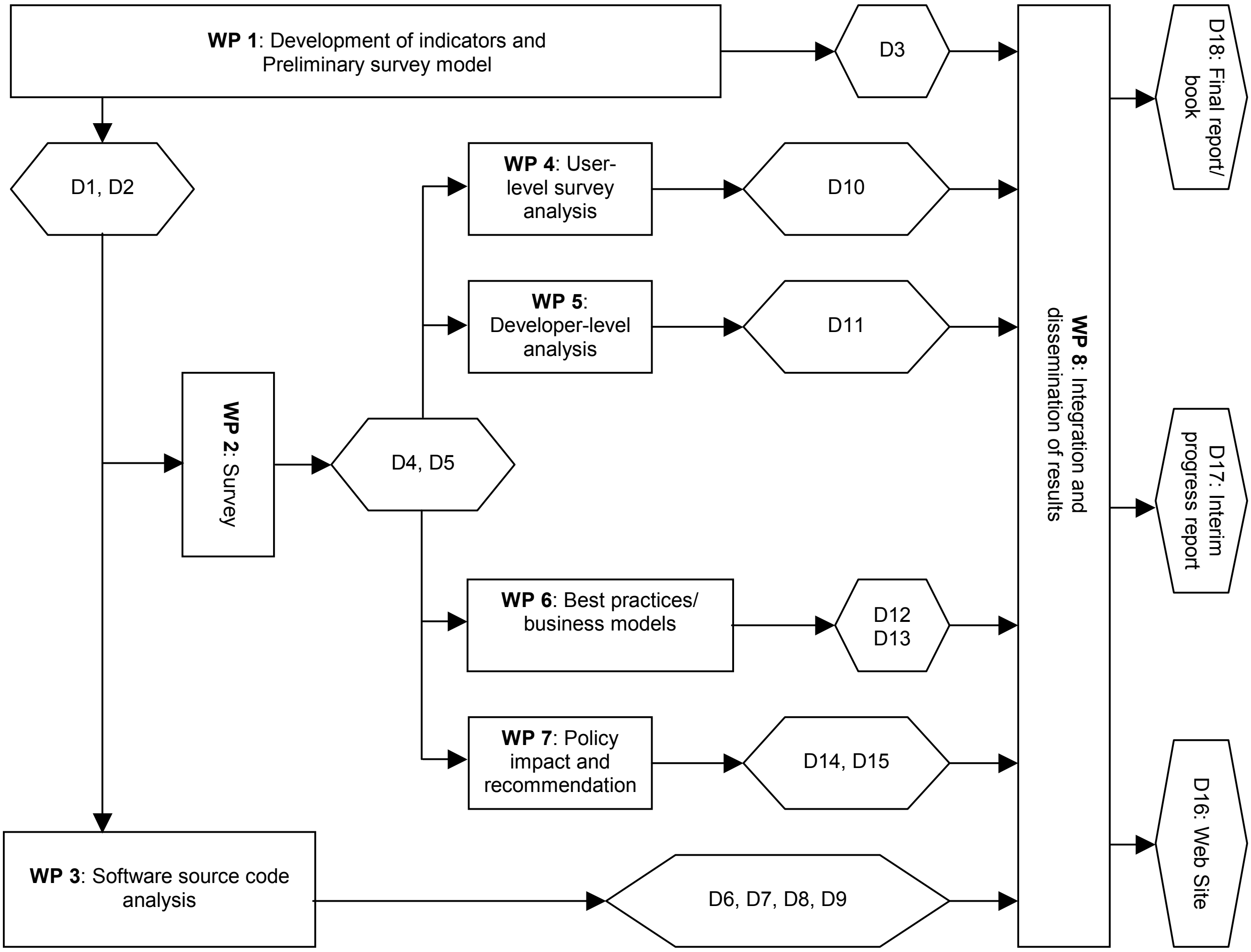


Source: FLOSS project funded under FP5

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://cordis.europa.eu/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 update to the Guide all FP6 calls had been closed. Calls under FP7 are likely to be launched in early 2007.

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 (including the possibility of making a profit through the price charged). 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.europa.eu/

More information on tenders is available at:

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

Appendix 9: Funding for SMEs

Under FP6 a special focus has been placed on Small and Medium-sized Enterprises or SMEs. 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 SMEs is:
http://sme.cordis.europa.eu/home/index.cfm

SMEs 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 SMEs. 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 SMEs 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. The second call closed on 6 April 2004. A third call was published on 15 December 2004 and closed on 26 May 2005 (first stage).

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 published a third call on 15 December 2004 with a closing date of **14 September 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) - http://cordis.europa.eu/fp6/

CORDIS News

CORDIS has recently undergone a facelift. All the earlier links still work as usual, but the interface has changed - it has been made more user-friendly and a few useful additions have been made to ease the process of locating information.

Some specific CORDIS links:

Online mini-guide - a ready reference to some of the significant aspects of the CORDIS service. The guide is available as both a website (in 6 languages) as well as a downloadable PDF file (only in English). The mine-guide website is: http://cordis.europa.eu/guidance/guide.htm

NEW Themed Brochures - CORDIS has published 12 new themed brochures to introduce readers to the wealth of content and services available. The new materials allow users to quickly identify which content is relevant to them through keywords, and to indicate where to look for it on CORDIS. http://cordis.europa.eu/guidance/brochures.htm

Gateway to National and Regional activities - http://cordis.europa.eu/guidance/services3.htm

Specific Programmes

Thematic Priority Areas

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

Information society technologies - http://cordis.europa.eu/ist/

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

Aeronautics and space - http://cordis.europa.eu/fp6/aerospace.htm

Food quality and safety - http://cordis.europa.eu/food/home.html

Sustainable development, global change and ecosystems - http://cordis.europa.eu/sustdev/

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

Specific activities covering a wider field of research

Horizontal research activities involving SMEs - http://cordis.europa.eu/fp6/sme.htm

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

Strengthening the foundations of ERA

Co-ordination of European Research - http://cordis.europa.eu/coordination/home.html

Structuring the European Research Area

Research and innovation - http://cordis.europa.eu/fp6/innovation.htm

Human resources and mobility (Marie Curie actions) - http://cordis.europa.eu/fp6/mobility.htm

Research infrastructures - http://cordis.europa.eu/infrastructures/

Science and society - http://cordis.europa.eu/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://cordis.europa.eu/fp6/instr_noe.htm

Integrated Project - http://cordis.europa.eu/fp6/instr_ip.htm

Specific Targeted Research Project - http://cordis.europa.eu/fp6/instr_strp.htm

Co-ordination Action - http://cordis.europa.eu/fp6/instr_ca.htm

Specific Support Action - http://cordis.europa.eu/fp6/instr_ssa.htm

Specific projects for SMEs - http://cordis.europa.eu/fp6/instr_sme.htm

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

Legal, Financial Matters and Cost Models

Model Contract - http://cordis.europa.eu/fp6/find-doc.htm#modelcontracts

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

Consortium agreement checklist – http://cordis.europa.eu/fp6/consortiumchecklist/

Contract preparation forms – http://cordis.europa.eu/fp6/contractpreparation/

IPR Helpdesk – www.ipr-helpdesk.org

Making and Submitting a Proposal

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

Understanding the call for proposals - http://cordis.europa.eu/fp6/stepbystep/call_proposals.htm

Workprogrammes - http://cordis.europa.eu/fp6/find-doc.htm#wps

Who can participate - http://cordis.europa.eu/fp6/stepbystep/who.htm

Choosing the instrument - http://cordis.europa.eu/fp6/stepbystep/choo_instrument.htm

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

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

Consortium Building - http://cordis.europa.eu/fp6/stepbystep/building.htm

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

FP6 Project Management - http://cordis.europa.eu/fp6/project-management.htm

Finding Partners

Cordis Partners - http://partners-service.cordis.europa.eu/

Find a Partner (CORDIS) – http://fp6.cordis.europa.eu/fp6/partners.cfm

Find a Partner in Candidate States - http://fp6.cordis.europa.eu/fp6/partners_cs.cfm

Technology Marketplace – http://cordis.europa.eu/marketplace/

National Contact Points in each Member and Associated State – http://cordis.europa.eu/fp6/ncp.htm

National Contact Points for SMEs – http://sme.cordis.europa.eu/assistance/NCPs.cfm

Network of Innovation Relay Centres – http://irc.cordis.europa.eu/

Euro Info Centres – http://ec.europa.eu/enterprise/networks/eic/eic.html

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

News and Publications

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

Cordis Express - http://cordis.europa.eu/express/

Cordis Focus - http://cordis.europa.eu/focus/en/home.html

Euroabstracts - http://cordis.europa.eu/euroabstracts/en/home.html

Innovation and Technology Transfer - http://cordis.europa.eu/itt/itt-en/

Cordis Guidance: Email alert - http://cordis.europa.eu/guidance/email.htm

Cordis Focus supplements - http://cordis.europa.eu/focus/en/src/supplements.htm

Euroabstracts - http://cordis.europa.eu/euroabstracts/en/home.html

Finding information

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

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

Innovation Relay Centres - http://irc.cordis.europa.eu/

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

Other useful websites

Europa - http://europa.eu/
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.europa.eu/news/public/default_en.htm

Council of the European Union - http://www.consilium.europa.eu

European Commission - http://ec.europa.eu/index_en.htm

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

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

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

Magazine on European Research - http://ec.europa.eu/research/rtdinfo/index_en.html

Enterprise Europe Newsletter - http://ec.europa.eu/enterprise/library/ee_online/index.htm

European Research Area - http://cordis.europa.eu/era/

Calls for tenders - http://ted.europa.eu/

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

Gate2Growth - http://www.Gate2Growth.com

List of Association and Cooperation agreements in FP6 as of 10/05/2006 - http://ec.europa.eu/research/iscp/pdf/agreements_en.pdf#pagemode=none

FP7 and related information on CORDIS and other sites

CORDIS has launched a new service designed to follow the developments in the procedure towards the approval, adoption and launch of FP7 - http://cordis.europa.eu/fp7/

FP7 - Roadmap and Timeline - http://cordis.europa.eu/fp7/roadmap.htm

FP7 - Specific Programmes - http://cordis.europa.eu/fp7/spe_programmes.htm

FP7 - Research Themes - http://cordis.europa.eu/fp7/research.htm

FP7 on Europa - http://ec.europa.eu/research/fp7/

FP7 on the IST site - http://cordis.europa.eu/ist/about/fp7.htm

Technology Platforms - http://cordis.europa.eu/technology-platforms/home_en.html

New thematic priority - Security research - http://cordis.europa.eu/security/home.html

FP7 information on Euractiv news site - http://www.euractiv.com/en/science/7th-research-framework-programme-fp7/article-117494

Programme 'People' - The future of the Marie Curie Actions in the 7th Framework Programme - http://www.mariecurie.org/index.php?frame2=/fp7/MC_Actions_in_FP7.html

Competitiveness and Innovation Framework Programme (CIP) - http://cordis.europa.eu/fp7/cip.htm and http://cordis.europa.eu/innovation/en/policy/cip.htm

ERA-NET and FP7 - http://cordis.europa.eu/coordination/fp7.htm

European Research Council - http://erc.europa.eu/index_en.cfm

FP7 Rules for Participation - Proposal for a Regulation - http://cordis.europa.eu/fp7/space.htm

Appendix 11: The Seventh Framework Programme

An Introduction to FP7

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.

The next FP - FP7 - will be fully operational as of January 1, 2007. All previous FPs ran for a period of five years each. FP7, however, is proposed to run for seven years till December 31, 2013 (synchronised with the duration of the EU's financial perspective).

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. The objective of FP6 was to take this co-operation to the next step, with its main focus being the creation of a "*European Research Area*" (ERA). FP7 is designed with the specific objective of building on the achievements of FP6 towards the creation of the European Research Area. It has been identified as one of the most important elements in realising the Lisbon agenda for growth and competitiveness and will aid in bringing Europe closer to the goal of a knowledge economy and society in Europe.

In a Communication on 'Science and technology, the key to Europe's future - Guidelines for future European Union policy to support research' adopted on 16 June 2004, the European Commission, outlined the main priorities for FP7. These ideas formed the basis for an extensive public debate and open stakeholder (including scientific community, industry and other EU institutions) consultation which took place in Autumn 2004. Thereafter, the European Commission presented its official proposal for FP7 on 6 April 2005. Following a public consultation process, amendments by the European Parliament, subsequent amendments by the Commission, and agreement by the Council, the budget for the framework programme has currently been presented as €50.52 billion. Although the earlier amount proposed by the EC was somewhat bit higher (€72.72 billion), this revised figure is also considerably higher than the budget for FP6 (€ 17.88 billion) and is in line with the key contribution that FP7 is designed to make to the Lisbon strategy.

Although FP7 will begin officially at the end of 2006, the European Commission will launch the Seventh Framework Programme at a major research event titled "Today is the Future"[1] in Brussels on 7 March 2007.

This edition of the Guide provides further details and descriptions of the rules for participation, funding schemes and funding models based on publicly available official sources. This information is, however, subject to revision as the Framework Programme is still undergoing the codecision process and the work programmes are yet to be adopted by the European Commission. It is expected that all aspects of FP7 will be finalised and announced by the end of 2006 so that calls for proposals can be launched as early as the end of 2006.

[1] http://ec.europa.eu/research/fp7/events/

A Brief Overview of the FP7 proposal

The European Commission's official proposal for FP7 "Building the Europe of Knowledge" describes, in considerable detail, the objectives, budget, and structure. This proposal is now being treated by the codecision[2] process of the European Parliament and the Council of the European Union[3].

How will FP7 be structured?

The proposed Seventh Framework Programme will be somewhat different in structure from FP6. It will be organised in four programmes (also called operational objectives) corresponding to four basic components of European research. Each of these programmes will be the subject of a Specific Programme. In addition, there will be a Specific Programme for the Joint Research Centre (non-nuclear activities) and one for Euratom nuclear research and training activities.

1. Cooperation

In this programme, support will be given to the whole range of research activities (divided into nine thematic areas similar to the seven FP6 thematic priorities) carried out in trans-national cooperation at every scale across the EU and beyond, from collaborative projects and networks to the coordination of national research programmes. There is a special focus on International cooperation in this action. The objective is to establish leadership in important scientific and technology areas by active cooperation across border by universities, research centres, industry and public authorities.

This Cooperation programme will be organised into themed sub-programmes for which nine thematic areas, have been determined. Each of these sub-programmes will be operationally autonomous as far as possible. Special attention will be given to priority scientific areas that cut across themes. Moreover, joint cross-thematic approaches to technology and research will be encouraged.

The **Nine ResearchThemes (or Thematic Priority Areas)** that have been determined are as follows:

1. Health
2. Food, agriculture and biotechnology
3. Information and communication technologies
4. Nanosciences, Nanotechnologies, Materials and new Production Technologies
5. Energy
6. Environment (including climate change)
7. Transport (including aeronautics)
8. Socio-economic sciences and the humanities
9. Security and Space (to be split, potentially, into two separate themes)

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[2] http://cordis.europa.eu/fp7/flowchart.htm

[3] As of the publication of the September 2006 update to this Guide the Council of the European Union has reached political agreement on the Framework Programme. The Council will now will establish its common position to be forwarded to the European Parliament for a second reading. The final administrative stages in the co-decision process for adoption of FP7 are to be completed by the end of 2006 in preparation for the launch of the framework programme.

The above themes have been defined broadly to enable them to be adapted to evolving research needs over the lifetime of the Framework Programme.

Across the above nine themes, support for trans-national cooperation will be implemented through the following four priorities:

- *Collaborative research* will constitute the bulk and the core of EU research funding. A range of funding schemes (described later in this appendix) is available: Collaborative projects, Networks of excellence, Co-ordination and support actions.
- *Technology Platforms* in the form of established European Technology Platforms (ETPs) will be supported under the Cooperation programme. ETPs have been set up in a number of areas where Europe's competitiveness, economic growth and welfare depend on important research and technological progress in the medium to long term. The Cooperation programme will support the implementation of the Strategic Research Agenda (SRA) of these ETPs in areas where they constitute true European added value.
- *Joint Technology Initiatives* will mainly be created on the basis of the work undertaken by the European Technology Platforms described above. They will be long term public private partnerships and will cover one or a small number of selected aspects of research in their field combining private sector investment with national and European public funding.
- *Coordination between national research programmes* will use two main tools: the ERA-NET scheme and the participation of the Community in jointly implemented national research programmes. This action is designed to cover subjects not directly linked to the nine themes (see above) as far as they have a sufficient EU added value. The action will also be used to enhance the complementarity and synergy between FP7 and activities carried out under intergovernmental structures.

  In addition, International Co-operation actions will include the opening of all activities in the thematic areas to researchers and research institutions from Third Countries, and specific cooperation actions in each thematic area dedicated to Third Countries

While building on earlier FPs, the Cooperation programme also introduces some new elements that are intended to facilitate European research cooperation:

- Ambitious pan-European public-private partnerships facilitated through the Joint Technology Initiatives;
- Continuation of the ERA-NET scheme, which will be implemented within each research theme, in order to assist the strengthening of the coordination of national research programmes;
- Enhanced complementarity and synergies of research programmes across Europe through 'Article 169 initiatives' whereby the European Community participates in jointly implemented national research programmes;
- More targeted approach to international cooperation within each theme and across themes;
- More flexible means to react to emerging needs and unforeseen policy needs;
- Optimal participation of SME across all themes.

2. Ideas

The main objective of this programme is to enhance the dynamism, creativity and excellence of European research at the frontier of knowledge. This will be done through the establishment of an autonomous European Research Council (ERC) which will support "investigator-driven" research projects carried out across all fields by individual teams competing at the European level. Projects will be funded on the basis of proposals presented by researchers on subjects of their choice and evaluated on the sole criterion of excellence as judged by peer review.

The Ideas programme will support "frontier research" which is a new approach to basic research that is, by virtue of its nature, risky and cuts across established disciplinary boundaries and national borders. By promoting this cutting-edge research, the programme aims to put European research in a leading position, opening the way to creating new scientific and technological results and probably unexpected results.

The European Research Council (ERC) will be composed of a scientific governing council and a dedicated organisational structurefor the implementation of EU frontier research activities. Research areas covered will be independent of the thematic orientations of other parts of the Framework Programme, and will include engineering, social sciences and the humanities.

The Scientific Council is responsible for the governance of the ERC and consists of 22 representatives of the European scientific community at the highest level, nominated by the Commission following the final report of the independent ERC Identification Committee.

he ERC's Scientific Council has already published its outline strategy for the launch of the ERC in which it refers to two funding streams operating on a 'bottom up' basis across all research fields, to be the core of the ERC's operations for the duration of FP7.

- An ERC *Starting Independent Research Grant scheme*, that will be given first priority, aiming to provide support to the independent careers of excellent researchers at the stage of establishing their first research team or pursuing independent research for the first time.
- A second funding stream, the *Advanced Investigator Research Grant* scheme, that will be established as soon as feasible thereafter.

The first calls under the Ideas programme are expected to be published as soon as FP7 is approved, early-2007 at the latest.

3. People

This programme aims at the strengthening, quantitatively and qualitatively, of the human potential in research and technology in Europe. It plans to do achieve this by stimulating people to enter into research professions, encouraging European researchers to stay in Europe, and making Europe more attractive to the best researchers from the entire world. At the same time, training and career development of researchers will be actively supported.

This will be done by putting into place a coherent set of Marie Curie actions, addressing researchers at all stages of their professional lives, from initial research training to life long learning and career development. There will be a strong focus on training and keys aspects of skills and career development, building co-operation between academia and industry, and strengthening the international dimension.

The People programme will build upon the positive experiences of the Marie Curie programme and will place an increased focus on three aspects:

- *Better structuring*: European co-funding (based on open calls) for regional, national and international (non-Community) programmes, which are often limited in their European dimension, could bring a better structure and reduce fragmentation;
- *Industrial participation*: FP7 will introduce a stronger focus on training and career development (especially in the private sector). There will be a stronger emphasis on developing the complementary skills needed to better understand research in enterprises and on an active role for industrial actors, especially SMEs.

- *A stronger international dimension*: FP7 will reinforce cooperation with researchers from third countries and introduce new dimensions for collaboration with the EU's neighbouring countries. 'Scientific diasporas' of European researchers abroad and foreign researchers in Europe will also be supported.

4. Capacities

This objective of this programme is to enhance research and innovation capacities throughout Europe through optimising support for research infrastructures, encouraging research for the benefit of SMEs and improving the research potential of European regions. It also aims to stimulate the realisation of the full research potential of the enlarged Union and build an effective and democratic European Knowledge society.

The activities identified in this field are listed below, with a description for the focus areas of particular interest to SMEs, Candidate Countries and other non-EU countries.

- *Research infrastructures* - This activity aims to ptimise the use and development of the best research infrastructures existing in Europe, and help to create new research infrastructures of pan-European interest in all fields of science and technology. The Capacities programme will therefore provide support for facilities, resources or services needed by the European research community in all scientific and technological fields. Support can be provided for actions in the following areas, provided that they contribute significantly to the development of European research capacities:
  - Major equipment or sets of instruments used for research purposes
  - Knowledge-based resources such as collections, archives, structured information or systems related to data management, used in scientific research
  - Enabling ICT-based infrastructures such as Grid, computing, software and communications
  - Any other entity of a unique nature used for scientific research.

  The human resources required for actions in any of these areas is also covered by the programme. Supportive actions proposed in the Capacities programme can be divided into three main categories:
  - Support to existing research infrastructures
  - Support to new research infrastructures of pan-European interest

- *Research for the benefit of SMEs* - This activity aims to strengthen the innovation capacity of European SMEs and to encourage and support trans-national research while complementing and enhancing the impact of actions undertaken at national and regional level.. Specific actions to support SMEs will be carried out in the entire field of science and technology, with financial means allocated through two schemes:
  - Research for SMEs - under this action, relatively short term projects can be supported if they are intended to solve common or complementary technological problems of small groups of innovative SMEs. Projects must be centred on the SME's innovation needs and must have a clear exploitation potential for the concerned SMEs.
  - Research for SME associations - is intended to support SME associations in solving problems common to large numbers of SMEs, for example to conform to European standards or to meet regulatory or health and safety as well as environmental requirements. Projects can last for several years and must involve not only the SME association, but also a number of individual SMEs.

- *Regions of Knowledge* - This initiative aims to strengthen the research potential of European regions by encouraging trans-national networks of regions and research-driven clusters. It will help to improve regional competitiveness and R&D/knowledge absorption capacities by assisting regions in increasing their capacity for investing in R&D.

  These activities will be implemented in close relationship with the EU's regional policy and the Competitiveness and Innovation framework Programme (CIP - see Glossary).

- *Research potential of Convergence Regions* - Convergence Regions are those regions of the EU where the per capita GDP is under 75% of the EU average. This includes almost all regions of the New Member States. FP7 aims to achieve the full research potential of the enlarged Union by developing the research potential in the EU's Convergence Regions. The actions in this area will include support for trans-national exchange of research staff, acquisition and development of research equipment, organisation of workshops and conferences, and opportunities for research centres to obtain independent expert evaluation, thus helping to strengthen the capacities of their researchers to successfully participate in research activities at EU level.

- *Science in Society* - This initiative is intended to stimulate a harmonious integration of scientific and technological endeavour and associated research policies in the European social structure. This will help to lend support to:
  - Strengthening and improving the European science system, including "self regulation";
  - Broader engagement of researchers and the general public in science-related questions;
  - Reflection and debate on science and technology and their place in society;
  - Gender research, including the integration of the gender dimension in all areas of research
  - An environment that triggers curiosity for science in young people, reinforcing science education at all levels;
  - Development of a policy on the role of universities;
  - Improved communication between the scientific world and the wider audience of policy-makers, the media and the general public.

- *Support to the coherent development of research policies* - Through this action, the Commission aims to increase the effectiveness and coherence of national and Community research policies and improve the impact of public research and its links with industry. The activities funded under this section should be complementary to coordination activities under the Cooperation programme with the overall goal to create better framework conditions for research. The activities will be the following:
  - Monitor and analyse research related public policies and industrial strategies;
  - Strengthen the coordination of research policies.

- *International Cooperation* - This focus area offers opportunities for cooperation with third countries.

  Theme-oriented international cooperation actions will be carried out under the "Cooperation" programme.

International actions in the area of human potential will be under the "People" programme.

What is the budget of FP7?

The budget for FP7 as agreed upon by the Council of the European Union in July 2006 is **€50.52 billion.**[4] Of this approximately 64% is for the programme Cooperation. About 15% has been allocated to the Ideas programme, and 9% each for the programmes People and Capacities.

Budget breakdown[5] of the Seventh Framework Programme of the European Community (EC) (2007-2013) and Euratom (2007-2011) (in EUR million)

COOPERATION	Themes (Using all funding schemes. Including international cooperation.)	
	Health	**6050**
	Food, Agriculture and Biotechnology	**1935**
	Information and Communication Technologies	**9110**
	Nanosciences, Nanotechnologies, Materials and new Production Technologies	**3500**
	Energy	**2300**
	Environment (including Climate Change)	**1900**
	Transport (including Aeronautics)	**4180**
	Socio-economic Sciences and the Humanities	**610**
	Space	**1430**
	Security	**1350**
Total COOPERATION		**32365**
IDEAS	European Research Council	**7460**
PEOPLE	Marie Curie Actions	**4728**
CAPACITIES	Research Infrastructures	**1850**
	Research for the benefit of SMEs	**1336**
	Regions of Knowledge	**126**
	Research Potential	**370**
	Science in Society	**280**
	Coherent development of research policies	**70**
	Activities of International Co-operation	**185**
TOTAL CAPACITIES		**4217**
Non-nuclear actions of the Joint Research Centre		**1751**
TOTAL EC		**50521**
Euratom for nuclear research and training activities		**2700**

Source: European Commission website http://www.cordis.europa.eu/fp7/breakdown.htm

[4] Earlier the Commission proposed amounts of € 72.72 billion (in April 2005) and amended that figure to € 50.52 billion in May 2006. At the Council meeting held in July 2006, the specific break up was revised somewhat from the Commission recommendation to separate activities under Security and Space and to introduce a new area "coherent development of research policies".

[5] Budget breakdown as agreed upon by the Council of the European Union on 24 July 2006.

What is new in FP7?

FP7 is designed to build upon the successes of FP6 and work towards integration of European research. FP7, which aims to be more than "just another" framework programme has a number of key features that set it apart from past FPs. These features are as follows:

- Significant simplification of its operation - this aspect was highlighted from the beginning as an important focus for the programme. Despite the attempts at simplification of the process in FP6, enormous administrative and procedural burdens have made it difficult for potential projects to participate in the programme. Therefore, a special emphasis on simplification has been made in FP7 with the proposal of a series of measures including the following:
  - Making the programme as straightforward as possible
  - Simpler set of funding instruments
  - Less bureaucratic and more user-friendly languages
  - Reducing number and size of documents
  - Reducing the number of request to participants
  - Setting up a light submission procedure
  - Reducing a priori controls (i.e. controls before the project is approved)
  - Increasing the autonomy of consortia
  - Streamlining the selection process
  - Exploring new modes of funding and simplifying the cost-based funding system.
- Focuses more on themes than on instruments - the programme will, as a result, be more flexible and adaptable as well as straightforward for participants.
- Focus on developing research through the work of Technology Platforms and the new "Joint Technology Initiatives"
- Establishment of a "European Research Council" funding the best of European science, identifying the very best of European research wherever and however it is carried out
- Integration of international cooperation into all four programmes, allowing projects to be carried out with international partners.
- Development of regions of knowledge to bring together research partners in a region to strengthen their research potential.
- A Risk-Sharing Finance Facility aimed at fostering private investment in research by improving access to European Investment Bank (EIB) loans for large European research actions.

Participation in FP7 - the first questions

As the currently ongoing political procedure for the approval and adoption of FP7 progresses, details on the practical working and implications are slowly being made available. We are now in a position to identify answers to a first few questions - who can participate in FP7, what sorts of activities can be funded?, what are the funding instruments, and what cost models will be available?. Although the information is still at a preliminary stage and subject to revision, this will give a clearer idea of how FP7 is likely to be implemented and allow potential participants to start preparing for the calls to be launched by the end of 2006.

Who can participate in FP7?

As with FP6, funding in FP7 will be for collaborative projects, known as indirect actions[6], with a certain required number of participants forming a consortium. Any company, university, research centre, organisation or individual, legally established in any country (be it a Member State, an Associated State, or a third country), may participate in an FP7 collaborative project.

A legal entity (also called legal person) is any organisation, institution, company etc. that is legally registered with a national authority or created under Community law or international law. Natural persons (legally registered individuals) are also considered as legal entities.

Here are some examples of types of organisations that could participate in a consortium requesting FP7 funding:

- A research group at a university or at a research institute (national level)
- A research group at an international research facility or scientific organisation
- A company intending to innovate
- Companies that can provide infrastructural support
- A *small or medium-sized enterprise (*SME*)*
- Non-governmental organisations
- Public administrations: local, regional or national governments
- Individual researchers - both early stage as well as experienced researchers
- Organisations and persons from a Third Country

The FP7 "Rules for Participation" lays down minimum requirements of the number of participants and conditions of the place of establishment (country where the participant is registered). These requirements have been established according to the type of action. However, specific programmes or work programmes may lay down conditions regarding the minimum number of participants, or additional conditions on the type of participant or place of establishment.

Eligible countries

As with FP6, countries have been categorised according to their relation to the EU. Members of the different categories can participate to a different extent in FP7. FP7 has, however, simplified the eligibility rules for non-EU countries in comparison with FP6 and the main distinctions drawn are between countries that have an association or cooperation agreement with the EU and those that do not. The different categories are:

A) **Member States (MS)** – These are the 25 EU Member States: 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 Countries (AC)** – These include five other countries that have science and technology cooperation agreements that involve contributing to the framework programme budget of the EU. They are Iceland, Israel, Liechtenstein, Norway, and Switzerland.

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[6] Indirect since the EC is funding, to a limit, research being conducted by a third party.

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

*For the purpose of this document, Candidate Countries and Associated Countries are together referred to as the **Associated States (AS)** when no distinction is made between these terms.*

D) **Third Countries** – A third country is a country that is neither a Member State nor an Associate State. The participation of organisations or individuals established in third countries needs to be justified in terms of the enhanced contribution to the objectives of FP7.

Eligible consortia

Funding for FP7 is sought by a consortium of partners submitting a proposal in response to a call for proposals. The eligibility of these consortia varies according to the type of action or instrument.

The minimum conditions for the eligibility of a consortium are as follows:

- **For all indirect actions**
    1. At least three partners (legal entities - either organisations or individual researchers) must participate, each of which is from a Member State or an Associated State and no two of which are from the same MS or AS;
    2. All three partners must be independent of each other, meaning they are not subsidiaries of the same organisation or of each other.
- **For indirect actions concerning international cooperation partner countries** - special conditions apply for collaborative projects addressing the participation of international cooperation partner countries in parity with Member States or Associated States. These minimum conditions, mainly relevant to the international cooperation activities under the specific programme for Capacities are the following:
    1. At least four partners must participate;
    2. At least two of the partners mentioned in point 1 above must be from either an MS or an AS but no two may be from the same MS or AS;
    3. At least two of the partners mentioned in point 1 above must be from international cooperation partner countries (defined in the call) but no two may be from the same international cooperation partner country;
    4. All four (or more) legal entities must be independent of each other, meaning they are not subsidiaries of the same organisation or of each other.
- **For coordination and support actions, and training and career development of researchers**
    - The minimum condition is the participation of one legal entity
- **For investigator-driven ''frontier'' research projects**
    - The minimum condition is the participation of one legal entity established in an MS or an AS.
- **In the case of sole participants** - where the minimum conditions for an indirect action are satisfied by a number of legal entities, which together form one legal entity, the latter may be the sole participant provided that it is established in an MS or an AS.

What can be funded under FP7?

The rules for what can be funded in FP7 are similar to those for FP6. The Framework Programme is designed to promote research, innovation and advancement of knowledge. Therefore, it is not the source for funding regular or ongoing research, business or related activities of an individual or organisation (although it does provide several avenues for the funding of cutting-edge "frontier research"). FP7 funding is strictly for specific research or supporting activities as defined in a call for proposals.

Regarding the extent and nature of funding, the rule of thumb is that only eligible costs can be funded. The requirements of eligible costs are, as described earlier in this Guide with respect to FP6, as follows:

- they must be actual;
- they must have been incurred during the duration of the action, with the exception of final reports when provided for in the grant agreement;
- they must have been determined in accordance with the usual accounting and management principles and practices of the participant and used for the sole purpose of achieving the objectives of the indirect action and its expected results, in a manner consistent with the principles of economy, efficiency and effectiveness;
- they must be recorded in the accounts of the participant and paid and, in the case of any contribution from third parties, they must be recorded in the accounts of the third parties;
- they exclude indirect taxes, duties, interest, costs related to other EU-funded projects and, importantly, they do not give rise to profits

In addition we can define *direct* and *indirect* eligible costs as follows:

<u>Direct Costs</u>

Direct costs are eligible costs that are attributable directly to the project, and are determined by the participant in accordance with its usual accounting practices.

They may 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.

<u>Indirect Costs</u>

Indirect costs are all eligible costs, which are not directly attributable to the project but are incurred in direct relationship to the direct costs of the project. Indirect costs are also sometimes 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

The concepts of *direct* and *indirect* costs are central to the understanding of FP7 funding. The extent of coverage of these two forms of costs will dictate the amount of funding that will be received. Generally speaking, funding under FP7 is designed to be more straightforward using a more efficient cost based system. Details of the planned cost models are in a later section of this Appendix.

What are the "Funding Schemes"?

In FP6, funding was carried out by way of "funding instruments" which are the different methods of funding, or in other words, the type of contract used to implement a research project.

The proposal for FP7 describes "funding schemes" as the main method of funding. A range of schemes has been developed. These schemes can be used either alone or in combination to fund different categories of actions.

One of the main aspects of FP7 is this new approach based on a simpler set of funding instruments, now called funding schemes.

The funding schemes are the following:

1. **Collaborative projects** - Support to research projects carried out by consortia with participants from different countries, aimed at developing new knowledge, new technology, products or common resources for research.

   The size, scope and internal organisation of collaborative projects can vary (from small or medium-scale focused research actions to larger integrating projects).
2. **Networks of excellence** - Support to joint research programmes implemented by a number of research organisations integrating their activities in a given field, research teams aimed at longer term co-operation.

   This entails a formal commitment to integrate resources.
3. **Coordination and support actions** - Support to activities aimed at coordinating or supporting research activities and policies (networking, exchanges, trans-national access to research infrastructures, studies, conferences, etc). These actions may also be implemented by means other than calls for proposals.
4. **Individual projects** - Support to projects carried out by individual research teams.
5. **Support for training and career development of researchers**.
6. **Research for the benefit of specific groups (in particular SMEs)** - Support to research projects where the bulk of the research is carried out by universities, research centres or other legal entities, for the benefit of specific groups, in particular SMEs or associations of SMEs.

In addition to the above funding schemes, Community contribution to the financing of large-scale initiatives from multiple sources will be available in the form of:

- Community funding of the joint implementation of national research programmes
- Funding of Joint Technology Initiatives that mobilise a combination of different types of funding from different sources, private and public, European and national.
- Funding of new infrastructures of European interest

Indications of funding schemes by theme

Under the *Cooperation* programme: Support to trans-national cooperation will be implemented, across all the themes below, by:

- Collaborative research -
    - Collaborative projects
    - Networks of Excellence
    - Co-ordination/support actions
    - Actions to promote and develop human resources and mobility

- Joint Technology Initiatives -
  - mainly resulting from the work of European Technology Platforms
- Coordination of research programmes -
  - ERA-NET scheme and Treaty Article 169

Under the Ideas programme: Through the European Research Council.

Under the *People* programme:

- Marie-Curie actions
- Support for training and career development of researchers.

Under the *Capacities* programme:

- Research for the benefit of specific groups (in particular SMEs)

How will the funding be carried out (cost models)?

FP7 will work with a considerably simplified grant structure. Three forms of grants are proposed for the Community financial contribution.

The definition of eligible costs has been simplified and the three, complex, "cost models" for eligible costs, as we know them from FP6, have been abandoned.

This means that participants can charge *all* their direct and indirect costs and have the option of a flat rate for indirect costs. Costs will be determined according to the usual accounting and management principles of the participants to achieve the project objectives based on principles of economy, efficiency and effectiveness.

In addition two new grant structures have been identified. The three forms of grants are:

- **Reimbursement of eligible costs** - Direct as well as Indirect. For the reimbursement of indirect costs, there is the option for a participant to opt for a flat-rate of the total direct costs (minus costs of subcontractors). The exact details for this option (the applicable flat rate) are not yet known but could be likened to the 20% as in the Full Cost Flat Rate (FCF) model of FP6.
- **Lump sums** - a fixed amount for the full action
- **Flat-rate financing** - could be based on scale of unit costs but may also include flat rates for indirect costs

These above three grant forms may be used to cover the entire Community financial contribution for a funding scheme or more than one may be used in combination.

It is likely that for most funding schemes, *reimbursement of eligible costs* will continue to be the preferred method (as in FP6 but without the complexity of the three cost models), particularly at the beginning of FP7. Lump sum and flat rate financing will be introduced gradually and if successful will be used more extensively.

For "frontier research" actions, the ERC's Scientific Council will propose appropriate funding modalities within the terms of current EU regulations

How much funding can I get?

The following limits for the maximum extent of funding (using the *reimbursement of eligible costs* scheme) have been defined, according to type of activity, in the "rules for participation":

- Research and technological development activities:
    - Maximum of 50% of eligible costs (minus receipts)
    - For SMEs, public bodies, secondary and higher education institutions and non-profit research organisations there would be a top up (an additional amount above the 50%) of a maximum of 25% for research activities making it a maximum of 75% of eligible costs
- Demonstration activities:
    - Maximum of 50% of eligible costs (minus receipts)
- Frontier research actions funded through the ERC - Maximum of 100% of total eligible costs for all entities
- Co-ordination and support actions, and actions for the training and career development of researchers - Maximum of 100% of total eligible costs for all entities
- Management and audit certificates and all other activities not covered above - Maximum of 100% of total eligible costs for all entities

When either a part or whole of the financial contribution for an action is carried out using *lump sum* and *flat rate financing*, the upper limit amounts are the same as the corresponding *reimbursement of eligible costs* limits for the same action as described above.

There is however one exception - Networks of Excellence would use a special lump sum system that is a fixed amount per integrated researcher per year (€23 500).

When will the calls for proposals be launched?

It is expected that the first FP7 calls for proposals will be launched at the end of 2006. These calls will define clearly the requirements laid down in the relevant specific programmes and work programmes.

The submission and evaluation procedures for FP7 have also been simplified. FP7 will introduce two-stage submission and evaluation procedures. Electronic submission will be established as the standard method of submission.

- Where a call for proposals specifies a two-stage submission procedure, only those proposals that pass the evaluation criteria for the first stage shall be requested to submit a complete proposal in the second stage.
- Where a call for proposals specifies a two-step evaluation procedure, only those proposals that pass the first step, based on the evaluation of a limited set of criteria, shall go forward for further evaluation.

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.

European research landscape with the objective to strengthen European excellence in a given area. More information is at: http://cordis.europa.eu/fp6/instr_noe.htm *18*

New Member States - In some documentation a distinction is made between the 15 "old" Member States and the 10 New Member States. The 10 New Member States are: Cyprus, Czech Republic, Estonia, Hungary, Latvia, Lithuania, Malta, Poland, Slovak Republic, and Slovenia. *12*

Pert diagram - Pert (Programme Evaluation and Review Techniques) diagrams are widely used in project planning and management to provide an overview of dependencies. *50*

small or medium-sized enterprise – A small or medium-sized enterprises or SME is defined as 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. More information is at: http://cordis.europa.eu/sme/ *58*

specific programmes - FP6 is subdivided into two sub-programmes: "Integrating and Strengthening the European Research Area" and "Structuring the European Research Area". These 2 sub-programmes are called specific programmes. *15*

specific targeted research projects – Specific Targeted Research Projects are one of the funding instruments to implement FP6. They are multi partner research or demonstration projects and are used in implementing the priority thematic areas, in other areas supporting Community policies and anticipating scientific and technological needs, in specific international co-operation research activities, and in research activities developing harmonious relations between science and society. More information is at: http://cordis.europa.eu/fp6/instrument-strp/ *21*

specific support actions – Specific Support Actions are one of the funding instruments to implement FP6, aiming to contribute actively to the implementation of activities of the work programme, the analysis and dissemination of results or the preparation of future activities, with a view to enabling the Community to achieve or define its RTD strategic objectives. More information is at: http://cordis.europa.eu/fp6/instrument-ssa/ *24*

subcontracting – A subcontract is an agreement to provide services relating to tasks required for the project which cannot be carried out by the contractor (project participant) itself, concluded between a contractor and one or more subcontractors for the specific needs of the project. Subcontracting is a deviation from the general rule and limited to situations where the work cannot be carried out by the contractor itself. A subcontractor is therefore, a third party carrying out minor tasks related to the project, by means of a subcontract with one or more of the contractors. *30*

thematic priority areas – The bulk of FP6 funded research is focused within specific thematic priority areas that are strategically important to Europe's future. There are seven thematic priority areas. *15*

Third Countries - A third country is a country that is neither a Member State nor an Associated State. *12*

work programme - Work programmes are plans drawn up by the EC for the implementation of the specific programmes of FP6. They comprise detailed descriptions of the activities (thematic priorities, instruments used, evaluation procedures and criteria, deadlines, roadmaps) and are revised at least annually. They provide all information necessary to launch calls for proposals. The extent to which a proposal addresses the objectives of the work programme is an evaluation criterion, i.e. in order to prepare a successful proposal, one has to read carefully the work programme related to the call addressed. More information is at: http://cordis.europa.eu/fp6/find-doc.htm#wps *31*

Acronyms

AC – Additional Cost model
ACC – Associated Candidate Countries
AS – Associated States
CA – Co-ordination Action
CC – Candidate Countries
CIP - Competitiveness and Innovation Programme
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
ERC - European Research Council
ESFRI - European Strategy Forum on Research Infrastructures
ETP - European Technology Platform
EU – European Union
EURAB - European Research Advisory Board
FC – Full Cost model
FCF – Full Cost Flat Rate model
FP – Framework Programme
FP6 – Sixth Framework Programme
FP7 – Seventh Framework Programme
INCO – International Co-operation activities
INO – International Organisation
IP – Integrated Project
IPR – Intellectual Property Rights
IST – Information Society Technologies
JTI - Joint Technology Initiative
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
RFP - Rules of Participation
RTD – Research and Technological Development
SME – Small or Medium-sized Enterprise
SSA – Specific Support Action
STREP – Specific Targeted Research Project