



**THE SIXTH FRAMEWORK PROGRAMME**

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

# **GUIDE FOR PROPOSERS**

## **New and Emerging Science and Technology (NEST)**

*Integrating and Strengthening the European Research Area*

Fixed deadline call for proposals  
*Call identifier FP6-2005-NEST-PATH*

Specific Targeted Research Project  
**STREP**

**Electronic submission only**

October, 2005  
FP6-2005-NEST-PATH

Three different instruments are available to fund activities in NEST. These instruments are described in the brochure “The 6<sup>th</sup> Framework Programme in Brief” and at <http://www.cordis.lu/fp6/instruments/>:

- Specific Targeted Research Projects (STREP)
- Coordination Actions (CA)
- Specific Support Actions (SSA)

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

**This version of the Guide for Proposers concerns:**

### **Specific Targeted Research Projects (STREP)**

**This version of the Guide for Proposers concerns:**

### **NEST FP6-2005-NEST-PATH PATHFINDER STREP**

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

## Key recommendations for submitting a proposal to NEST

- **Priorities and objectives:** Check that your proposed work does indeed address the research objectives as described in the current NEST Work Programme. This guide for proposers is for the call FP6-2005-NEST-PATH covering NEST PATHFINDER initiatives. Section I.2 of this Guide gives an introduction to NEST. If the major part of your proposal concerns objectives of any other Calls of the Framework Programme, it should be submitted to the relevant other Call.  
Important further information on NEST and its action lines can be consulted at: <http://www.cordis.lu/nest.htm>
- **Completeness:** Proposals must comprise a Part A, containing the administrative information (including participant and project cost details) on standard forms; and a Part B, containing the scientific and technical description of your proposal, (as described in Annex 2). Check that your proposal contains both parts.
- **Use of correct forms and instrument:** The proposal forms for Part A and the structure of Part B vary according to the different instruments.  
Check that you have chosen the correct instrument for the type of work you are proposing.  
Check in the Work Programme that the call is actually open for instruments of this type in the particular type of research you wish to propose.  
Check on the call page that you are using the version of the Guide for Proposers specific for this instrument and call.
- **Eligible partnership:** Confirm that you and your partners are indeed eligible for participation in NEST. The minimum requirements for the makeup of your consortium can be found in the Work Programme and the call text, and organisations must have a registered legal existence.
- **Evaluation criteria:** All proposals are evaluated according to fixed sets of criteria, depending on the type of instrument, which are defined in the NEST work Programme and further described in the Guidelines for Evaluators. Be sure that your proposal clearly addresses each of the evaluation criteria used for this instrument. Be aware that there are threshold scores on the criteria, which must be achieved, or else the proposal fails.
- **Ethical, safety and regulatory issues:** Clearly indicate any potential ethical, safety or regulatory aspects of the proposed research and the way they will be dealt with in your proposed project. An ethical check will take place during the evaluation and an ethical review will take place for proposals dealing with specific sensitive issues. Proposals will fail if they do not respect the ethical rules for FP6.
- **Gender issues:** Clearly indicate the way in which these issues are taken into account (see Proposal Part B and Annex 4)
- **Presentation:** Proposals should be precise and concise. They should present the objectives and the expected results, how the participants intend to disseminate or exploit these results and how the project contributes to integrating and structuring the European research area. Proposals should assemble the necessary critical mass of activities, expertise and resources to achieve the proposed objectives.
- **Competition:** There will be strong competition. Therefore edit your proposal tightly, strengthen or eliminate weak points. Arrange for your draft to be evaluated by experienced colleagues, using the

evaluation criteria for the type of action you are proposing, before sending it in. Then use their advice to improve it before submission.

- **Deadlines:** Call deadlines are absolutely firm and are strictly enforced. Proposals must be received before or on the deadline as it is specified in the Call for proposals. Proposers are reminded that it is their own responsibility to ensure the timely submission of their proposal.  
PROPOSALS ARRIVING AT THE COMMISSION AFTER THE DEADLINE ARE NOT ELIGIBLE FOR EVALUATION. NO EXTENUATING CIRCUMSTANCES WILL BE TAKEN INTO CONSIDERATION.

## Contents

<b>I INTRODUCTION .....</b>	<b>6</b>
I.1 STRUCTURE AND CONTENT OF THE GUIDE FOR PROPOSERS .....	6
I.2 SPECIFIC INFORMATION FOR THIS CALL .....	8
<b>II PROPOSAL PREPARATION .....</b>	<b>9</b>
II.1 PROPOSAL SUBMISSION AS APPLIED IN THE CURRENT CALL .....	9
II.2 CONSORTIUM COMPOSITION .....	9
II.3 STRUCTURE OF A PROPOSAL .....	9
II.4 PROPOSAL LANGUAGE .....	10
II.5 PRE-PROPOSAL CHECK .....	10
II.5.1 <i>Scope of check</i> .....	10
II.5.2 <i>Conditions of the service</i> .....	10
II.5.3 <i>Submission of pre-proposals</i> .....	10
II.6 NOTIFICATION OF INTENTION TO SUBMIT A PROPOSAL.....	11
II.7 NATIONAL CONTACT POINTS.....	11
<b>III SUBMISSION OF PROPOSALS .....</b>	<b>12</b>
III.1 ONLINE PREPARATION AND SUBMISSION .....	12
III.2 PROPOSAL PREPARATION AND SUBMISSION USING THE EPTOOL.....	14
III.3 ERRORS IN SUBMITTED PROPOSALS .....	15
III.4 DEADLINE FOR RECEPTION .....	15
III.5 ACKNOWLEDGEMENT OF RECEIPT .....	15
<b>IV EVALUATION AND NEGOTIATION .....</b>	<b>17</b>
IV.1 TIMETABLE OF EVALUATION .....	17
IV.2 CONTRACT NEGOTIATIONS .....	18
IV.3 SUBMISSION, EVALUATION AND NEGOTIATION SUMMARY TIMETABLE .....	19
<b>V CHECK LIST FOR PROPOSERS .....</b>	<b>20</b>
<b>VI SUPPORT TO PROPOSERS.....</b>	<b>21</b>
VI. NEST INFORMATION DESK .....	21
VI.2 EPSS HELPDESK AND USER GUIDES .....	21
VI.3 PARTNER SEARCH FACILITIES.....	21
VI.4 NATIONAL CONTACT POINTS .....	21
VI. INFORMATION DAYS.....	22
VI.6 THE INTELLECTUAL PROPERTY RIGHTS HELPDESK.....	22
VI.7 ETI ACTIONS.....	22
<b>VII REFERENCES.....</b>	<b>23</b>
<b>ANNEX 1 - PROPOSAL PART A: FORMS AND INSTRUCTIONS.....</b>	<b>25</b>
<b>ANNEX 2 - PROPOSAL PART B: GUIDELINES FOR DRAFTING .....</b>	<b>36</b>
<b>ANNEX 3 – ETHICAL RULES FOR FP6 PROJECTS.....</b>	<b>45</b>
<b>ANNEX 4 - INTEGRATING THE GENDER DIMENSION .....</b>	<b>47</b>
<b>ANNEX 5 – CLASSIFICATION OF THE FP6 INSTRUMENTS.....</b>	<b>49</b>
<b>ANNEX 6 – PRE-PROPOSAL CHECK FORM.....</b>	<b>53</b>

## New and Emerging Science and Technology Specific Targeted Research Projects (STREP)

### Specific information for Specific Targeted Research Projects in the call FP6-2005-NEST-PATH, published in October 2005. Fixed deadline call

#### I Introduction

##### *I.1 Structure and content of the Guide for Proposers*

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

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

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

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

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

**The current NEST Work Programme.** The Work Programme provides a detailed description of the strategic objectives of the call. It also gives an indicative timetable for the implementation (“roadmap”) and details on the evaluation criteria.

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

Additional documents, which you should review, are:

**The Guidelines on Proposal Evaluation and Selection Procedures.** This document describes the general principles and the procedures, which will be used in the evaluation and selection of proposals.

**The NEST Guidance Notes for Evaluators.** This describes in detail how proposals will be evaluated in NEST. You may use the Guidance notes for evaluators as a checklist to ensure the quality of your proposal.

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

**The background document on the STREPs.** Details of what a STREP comprises and how such a project should be implemented are given at [http://europa.eu.int/comm/research/fp6/instruments\\_en.html](http://europa.eu.int/comm/research/fp6/instruments_en.html) or at <http://www.cordis.lu/fp6/instruments.htm>.

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

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

## *1.2 Specific information for this call*

NEST provides a means to anticipate scientific and technological opportunities and needs in new and emerging areas. It supports visionary and anticipatory research which cuts across or lies outside the thematic priority areas of FP6, with a particular emphasis on highly interdisciplinary and/or multidisciplinary research.

This call for proposals (FP6-2005-NEST-PATH) addresses five lines of action:

- Tackling complexity in science
- Synthetic Biology
- Measuring the Impossible
- Cultural Dynamics
- What it Means to Be Human

Reference documents on each of these activities are available on the NEST web-site <http://www.cordis.lu/nest.htm>. Proposers are strongly encouraged to consult the reference documents on each of the above initiatives when preparing proposals for the call.

PATHFINDER proposals are submitted in a single stage procedure; see section II.

## II Proposal preparation

### *II.1 Proposal submission as applied in the current call*

Proposals for STREP in NEST - PATHFINDER are submitted in a single stage – by submitting a complete proposal application as set out in the Call for proposals as published in the Official Journal of the European Union. Proposals must be received by the Commission by the closing date of the call.

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

### *II.2 Consortium composition*

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

The EU Member States are: Austria, Belgium, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Slovakia, Slovenia, Spain, Sweden, United Kingdom. International organisations of European interest<sup>1</sup>, and the European Commission's Joint Research Centre (JRC) are considered on the same footing as legal entities established in an EU Member state.

The Associated candidate countries are: Bulgaria, Romania, Turkey and Croatia<sup>2</sup>. The Associated States are: Iceland, Israel, Liechtenstein, Norway and Switzerland.

Organisations from countries which are on the FP6 INCO (International Cooperation) target list which are taking part in a project will be funded on the same basis as organisations from the EU<sup>3</sup>. This list includes the countries of the former Soviet Union, the Western Balkans, the Mediterranean partner countries and developing countries elsewhere in the world. (Potential participants should confirm the exact situation of all these countries at the FP6 International Cooperation website, see Section VII).

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

Co-operation with international organisations with intergovernmental agreements is welcomed.

### *II.3 Structure of a proposal*

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

- **Part A** is a set of forms which collect necessary administrative information about the proposal and the proposers e.g. proposal name, proposers' names and addresses, brief description of the work, total funding requested by type of activity, etc. This information will be encoded in a structured database for further computer processing to produce statistics, evaluation reports etc., and also to support the experts and Commission during the evaluation process.

---

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

<sup>2</sup> The association agreement with Croatia is expected to come into force in 2006. Potential applicants should confirm the exact situation at the FP6 International Cooperation website (see Section VII).

<sup>3</sup> Up to the limit of the amount of funding reserved for this action

- **Part B** comprises a structure or list of headings, which should be followed to describe the scientific, and technical content of a proposal (see Annex 2), rather than a pre-prepared form. It describes among other things the nature of the proposed work, the participants and their roles in the proposed project. It describes the reasons for carrying out the work, and the benefits, which would come from it. A recommended / maximum length is specified for the different sections of Part B.

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

## ***II.4 Proposal language***

Proposals may be submitted in any official language of the European Union. If your proposal is not in English, a translation would be of assistance to the evaluators, and an English translation of the abstract must be included in Part B of the proposal.

## ***II.5 Pre-proposal check***

In the current Call the Commission offers a facility to allow a proposer to check on the appropriateness of their proposed action and the eligibility of the proposed consortium.

### ***II.5.1 Scope of check***

Advice and guidance will be given concerning

- the conditions for participation (e.g. eligibility of consortium)
- the suitability of the proposed work with respect to the scope and content of the objective
- any other aspects which may assist in supporting the eligibility of the eventual proposal (including ethical issues)

### ***II.5.2 Conditions of the service***

Pre-proposals may be submitted at any time up to three weeks before the call deadline.

The advice given by the Commission is strictly informal and non-binding. The advice provided through the pre-proposal check does not in any way engage the Commission with respect to acceptance or rejection of the proposal when it is formally submitted at a later stage. The evaluators who later evaluate your proposal will not be informed of the results of the pre-proposal check, nor even that a pre-proposal check was carried out.

The Commission will only assess one pre-proposal per potential proposal; if a second “refined” pre-proposal is submitted the Commission does not undertake to review it. The Commission does not undertake to engage in further discussion about your proposal beyond the official pre-proposal reply form. The pre-proposal service is not intended to assist with the identification of possible participants for your consortium.

### ***II.5.3 Submission of pre-proposals***

A form for submitting a pre-proposal by fax is annexed to this Guide for Proposers.

**(This pre-proposal assessment service is entirely optional. Any proposal can always be submitted directly to the call without a pre-proposal check.)**

## ***II.6 Notification of intention to submit a proposal***

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

## ***II.7 National Contact Points***

In order to maintain contact with and to support organisations which are preparing proposals, NEST manages a network of National Contact Points. It is highly recommended that you inform the National Contact Point for your country of your participation in this call. See Section VII.

### III Submission of proposals

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

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

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

**Failure of your proposal to arrive in time for any reason, including communications delays, is not acceptable as an extenuating circumstance**

#### III.1 Online preparation and submission

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

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

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

- Go to the CORDIS call page for the current call
- On the call page, go to the box “Prepare and submit a proposal for this call”
- Choose the instrument you want to apply for from the dropdown list and press “Go”. You will arrive at the EPSS start page
- Click on “Register” for **ONLINE preparation and submission**, fill in the registration form and submit it. This form asks for a few brief details about the proposal, to assist the Commission in planning the evaluation<sup>4</sup>
- The EPSS will send you by return email a username and password as proposal coordinator. They will also send a (different) username and password for your partners. In case of problems in receiving these, contact the EPSS helpdesk (reference see section VII)
- If you make an error concerning the call you have registered for, the type of instrument, or the choice between online or offline preparation, you must abandon this registration and register again
- The usernames and passwords are linked to only one proposal (for the call and for the instrument you have chosen). For each proposal you want to prepare you have to register again.

##### **Using the online system (coordinator):**

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

As a coordinator you can then:

- set up (and modify) your consortium by adding/removing partners
- complete all Part A forms

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

- download the document template for writing Part B of the proposal, and when it is completed, upload the finished Part B
- submit the complete proposal Part A and Part B.

**Using the online system (partners):**

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

- complete their own A2 form
- download the document template for writing Part B of the proposal, in order to assist the coordinator in preparing it (however only the coordinator can upload the finished version)
- view the whole proposal.

**Submitting the proposal online**

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

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

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

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

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

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

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

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

This format of text documents is supported by the vast majority of computer platforms; it bears a minimum risk of viruses; it is self-compressing. Allowing any possible format would require that the Commission maintain an arsenal of software and even then readability could not be guaranteed in 100% of the cases. The other advantage of saving as a PDF file is that the contents are “locked” and the original formatting (margins, page breaks, etc.) will always be maintained when the file is printed. (WYSIWYG).

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

The possibility of converting a text file into PDF is integrated into some word processors. In case this is not implemented in the word processor you are using, you can download special conversion software (commercial software or downloadable freeware) from the web. Conversion into PDF is the last step in

preparing a document for submission; since PDF documents are then locked, they cannot be edited like normal text files.

### ***III.2 Proposal preparation and submission using the EPTool***

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

#### **Downloading the EPTool**

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

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

The following steps are necessary for the proposal coordinator:

- Go to the CORDIS call page for the current call (reference see section VII)
- On the call page, go to the box “Prepare and submit a proposal for this call”
- Choose the instrument you want to apply for from the dropdown list and press “Go”. You will arrive at the EPSS start page
- Click on “Register” for **OFFLINE preparation and online or offline submission**
- Fill in the registration form and submit it. This form asks for a few brief details about the proposal, to assist the Commission in planning the evaluation<sup>5</sup>
- The EPSS will send you by return email a username and password. You will need this for subsequent online submission of the proposal. In case of problems in receiving these, contact the EPSS helpdesk (reference see section VII)
- Click on “Download EPT”, then choose one of the two options presented, depending on your computer platform, and follow the instructions for download and installation
- Go back to the EPSS start page (via the CORDIS call page) and click on “Download forms package”. You will be able to download the package (a compressed .zip file) applicable to the call and instrument you have chosen. You have later to remember the directory on your hard disk to which you saved the package
- If you make an error concerning the call you have registered for, the type of instrument, or the choice between online or offline preparation, you must abandon this registration and the downloaded package of forms and templates and register again
- The username and password are linked to only one proposal (for the call and for the instrument you have chosen). For each proposal you want to prepare you have to register again.

#### **Working with the EPTool:**

- Unzip the downloaded forms package to a separate directory indicating call and instrument
- If you have downloaded the EPTool with the Java runtime attached, find the directory ...\\EPTool that has been created on your hard disk during installation of the tool. In this directory you find a pdf file “EPSS-EPT-user-guide” with instructions how to use the application. Otherwise locate the EPT files you have downloaded, extract them to a directory. We recommend using the ...\\EPTool directory.
- In the subdirectory ...EPTool\\bin you find the file “Runme.bat” (Windows) or “runme.sh” (Unix), a batch or shell script file. Run this file to open the application, use the programme following the instructions in the “Offline Electronic Proposal Tool (EPT) User Guide”.

#### **Online submission of a proposal created with the EPTool**

---

<sup>5</sup> Please complete as many fields as possible, even if only with preliminary data - the information you give does not involve you in any commitment

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

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

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

### ***III.3 Errors in submitted proposals***

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

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

### ***III.4 Deadline for reception***

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

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

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

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

### ***III.5 Acknowledgement of receipt***

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

**Proposers who have not received an Acknowledgement of receipt 12 working days after the deadline should urgently contact the NEST Information Desk through email to [rtd-nest@cec.eu.int](mailto:rtd-nest@cec.eu.int).**

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

## IV Evaluation and negotiation

### IV.1 Timetable of evaluation

#### Legal framework

All proposals that fulfil the eligibility criteria and which, where relevant, fulfil the conformity requirements will be evaluated by independent experts. The experts will apply the blocks of criteria and corresponding detailed criteria as described in the NEST Work Programme. They will work in compliance with the official Guidelines for Evaluation and Selection of Proposals (note Annex E therein), and more specifically within the procedural framework described in the NEST Guidance Notes for Evaluators. Evaluation in NEST involves individual assessment of proposals by remote referees. The use of remote evaluation does not change in any way the provisions on confidentiality or conflict of interest set out in the code of conduct for independent experts. Remote experts are also required to fill in and sign the declaration on confidentiality and non-conflict of interest before they may receive proposals.

#### The mandate of NEST

The mandate of NEST is to operate in “New and Emerging” areas of science and technology, which “cut across or lie outside” the Thematic Priorities. Proposals therefore should address scientific topics that are clearly not covered by the Thematic Priorities, or simple combinations thereof. The evaluating experts addressing this issue will be briefed accordingly, and are encouraged to apply these arguments based on broad programmatic coverage, and irrespective of specific topics and / or topic / instrument combinations for which the Thematic Priority calls may or may not currently be open. Therefore proposals not satisfying this element have a very low probability of success. In the case of PATHFINDER, proposers should read carefully the relevant Reference Document related to the PATHFINDER initiative in question, available on the NEST web site (<http://www.cordis.lu/nest/home.html>) .

#### Evaluation procedures specific to NEST

The evaluation procedure in NEST, and consequently the feedback that proposers will receive, differs somewhat from the procedures used in most elements of the Framework Programme.

The evaluation is carried out under the responsibility of a panel of senior scientists covering the areas of science for the PATHFINDER initiatives in question, with a broad outlook and an open eye for novelty and multi-disciplinarity.

The panel bases its judgement on individual assessments (typically between four and five per proposal), carried out by remote, specialised, referees. Panel members themselves also participate in the individual assessment of proposals.

The panel meeting in Brussels, subsequent to the remote individual assessment, is responsible for the outcome of the evaluation, i.e. for the retained / rejected decisions and for the ranked list. The panel considers each proposal and its individual assessments. The panel comes to coherent decisions across the wide range of proposals and the wide disciplinary coverage, with a particular (but not exclusive) attention to the NEST Relevance criterion. In doing so, while taking serious account of the individual assessments, the panel may not always follow the opinions expressed in these.

#### Feedback to proposers

Feedback to proposers is given in the form of the Evaluation Summary Report (ESR). The ESR contains the final marks awarded by the panel, and a comment by the panel. Especially in cases where the position of the panel differs from that of (most or all of) the referees, the panel documents this position. The ESR subsequently contains the comments given by each of the individual referees, subject to very mild editing (corrections of English, editing of unnecessarily impolite or clearly misleading language).

#### Evaluation details: PATHFINDER STREP PROPOSALS

- The objective is to make a thorough evaluation of the proposals against the full set of evaluation criteria, to retain and rank the proposals that are of the best overall quality and relevance.

- Independent experts will evaluate the proposals against the full set of criteria - given in the NEST Work Programme.
- All proposers will receive an Evaluation Summary Report (ESR) with the outcome of the evaluation.
- Proposers of ineligible or unsuccessful proposals will receive a formal notification of a Commission decision not to retain their proposal.
- Proposers of successful proposals will be invited to start negotiation.

#### **Subsequent to the evaluation**

In addition to the ESR for each proposal, the panel will make a list of the proposals ranked in order of merit for consideration by the Commission. The experts' conclusions are examined by the Commission with the support of the relevant Programme Committee, which comprises representatives of Member and Associated States.

Successful proposals that involve ethical issues will go through an ethical review prior to the contract negotiation. This may raise issues that may need clarification prior to or during the negotiations.

### ***IV.2 Contract negotiations***

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

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

Members of the proposal consortium will/may be asked to come to Brussels to facilitate the negotiation. This may involve several meetings..

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

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

Proposers should note that for NEST - STREPs a consortium agreement is not required.

If the negotiation is successful, the project may begin work in accordance with the provisions in the contract signed with the Commission regarding the project start date.

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

***IV.3 Submission, evaluation and negotiation summary timetable***

<b><i>Date</i></b>	<b><i>Event Description</i></b>	<b><i>Please remember...</i></b>
<b>27 October 2005</b>	<b>Publication</b> of the Call <b>FP6-2005-NEST-PATH</b>	Check regularly our website <a href="http://www.cordis.lu/nest">http://www.cordis.lu/nest</a> for future information and updates regarding this call
<b>25 January 2006</b>	<b>Closure of the pre-proposal check service</b>	The submission of pre-proposal checks by potential applicants is strongly encouraged.
<b>15 February 2006</b>	<b>Closure</b> date for the receipt of proposals	Electronic submission <b>ONLY</b> .
<b>8 March 2006</b>	Acknowledgement of receipt	Proposers who have <b>not</b> received an Acknowledgement of receipt by this time <b>should</b> urgently contact the NEST Information Desk
<b>April / May 2006</b>	Evaluation of proposals	Remote individual assessments plus a panel meeting.
<b>June 2006</b>	Feedback to proposers.	All proposers receive the evaluation summary report.
<b>June 2006</b>	Starting of contract <b>negotiation</b> through an <b>official letter</b> .	Only if the proposal has been <b>successful</b> in the evaluation <b>and</b> has been selected for possible funding.
<b>July / August 2006</b>	<b>Negotiation meeting</b> .	Proposers should familiarise themselves well before these meetings with the model contract and its annexes (downloadable from the Internet, see address in Section VII).
<b>October 2006 – January 2007</b>	Signature of <b>contracts</b> .	Only if the negotiation is successful.

## V Check list for proposers

- Have you informed your National Contact Point of your intention to submit a proposal?
- Do you have the necessary authorisations from each member of the consortium to submit this proposal on their behalf?
- Have you completed both a Part A and a Part B?
- Is your Part B prepared in portable document format (PDF), including no material in other formats?
- Have you printed out the PDF file of your Part B, to check if it is complete, printable and readable? After the call closes it will not be possible to replace any sections of your proposal which are missing or unreadable.
- Is your proposal file within the size limit of 10 Mbytes?  
Have you virus-checked your PC, using up-to-date anti-virus software?
- Are you submitting to the correct call, **FP6-2005-NEST-PATH** and are you using the **correct instrument forms and Part B format**?<sup>6</sup>
- Have you pressed the **SUBMIT** button?

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

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

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

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

---

<sup>6</sup> If you have in error registered for the wrong call or instrument, discard the registration (passwords, etc) and re-register and resubmit correctly.

## VI Support to proposers

### *VI. NEST Information Desk*

The coordinates of the NEST Information Desk is:

European Commission  
The NEST Information Desk  
Directorate General Research  
B-1049 Brussels

Email: [rtd-nest@cec.eu.int](mailto:rtd-nest@cec.eu.int)  
Fax: +32-2-299 3173  
Web: [www.cordis.lu/nect](http://www.cordis.lu/nect)

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

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

### *VI.2 EPSS helpdesk and user guides*

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

EPSS Helpdesk

E-mail: [support@epss-fp6.org](mailto:support@epss-fp6.org)  
Phone: +32 2 233 37 60

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

### *VI.3 Partner search facilities*

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

### *VI.4 National Contact Points*

NEST supports a network of National Contact Points (NCPs), which can be helpful to organisations from their country both in general advice (particularly on preparing proposals) and in finding participants from other countries. Organisations should contact the NCP of their own country for further information. It is highly recommended that the proposal coordinator informs his National Contact Point of his intention to submit a proposal at as early a stage as possible.

(see CORDIS at: <http://www.cordis.lu/fp6/ncp.htm>).

## ***VI. Information Days***

NEST, EU Member States and Associated States frequently organise Information Days, where those interested in proposing may attend for a presentation of NEST and of the general Framework Programme, to obtain documentation, to ask questions and to meet potential consortium participants.

The latest information on planned Information Days is obtainable on the Internet (see address in Section VII).

### ***VI.6 The Intellectual Property Rights Helpdesk***

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

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

**Website**

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

**Helpline (detailed queries)**

[ipr-helpdesk@ua.es](mailto:ipr-helpdesk@ua.es)

### ***VI.7 ETI actions***

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

There is more information at:

[http://sme.cordis.lu/economic/eti\\_projects.cfm](http://sme.cordis.lu/economic/eti_projects.cfm)

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

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

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

More information is available at:

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

## VII References

Potential proposers could consult the following documents:

### Legal decisions

Decision on the Framework Programme	<a href="http://www.cordis.lu/fp6/find-doc.htm">http://www.cordis.lu/fp6/find-doc.htm</a>
Rules of Participation in FP6	
Specific Programme “Integrating and strengthening the European Research Area” (includes NEST)	

### Call information

Call for proposals	<a href="http://fp6.cordis.lu/fp6/calls.cfm">http://fp6.cordis.lu/fp6/calls.cfm</a>
Brochure “The Fp6 in Brief”	
Guides for Proposers	
NEST Workprogramme	
NEST Guidance notes for evaluators	
Organisations expressing interest in this Call	
Gateway to the Electronic Proposal Submission System	

### Supporting information

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

### Contractual information

Consortium agreement checklist	<a href="http://www.cordis.lu/fp6/find-doc.htm#modelcontracts">http://www.cordis.lu/fp6/find-doc.htm#modelcontracts</a>
Contract preparation forms	
Model contracts	

## Annexes

- Annex 1 - Proposal Part A: forms and instructions
- Annex 2 - Proposal Part B: outline, headings, instructions
- Annex 3 - Ethical rules for FP6 projects
- Annex 4 - Integrating the gender dimension
- Annex 5 – Classification of the FP6 instruments
- Annex 6 – Pre-proposal check form

## **Annex 1 - Proposal Part A: forms and instructions**

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

# Proposal Submission Forms



EUROPEAN COMMISSION  
6<sup>th</sup> Framework Programme for  
Research, Technological  
Development and Demonstration

**Specific Targeted  
Research or Innovation  
Projects**

# A1

Proposal Number <sup>1</sup>		Proposal Acronym <sup>2</sup>	
------------------------------	--	-------------------------------	--

## GENERAL INFORMATION ON THE PROPOSAL

Proposal Title <sup>3</sup> (max. 200 char.)			
Duration in months <sup>4</sup>	Call (part) identifier <sup>5</sup>		
Activity code(s) most relevant to your topic <sup>6</sup>			
Keyword code 1 <sup>7</sup>			
Keyword code 2 <sup>7</sup>			
Keyword code 3 <sup>7</sup>			
Free keywords <sup>8</sup>			

Abstract<sup>9</sup> (max. 2000 char.)

--	--	--	--

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

# Proposal Submission Forms



EUROPEAN COMMISSION  
6<sup>th</sup> Framework Programme for  
Research, Technological  
Development and Demonstration

**Specific Targeted  
Research or Innovation  
Projects**

# A2

Proposal Number <sup>1</sup>		Proposal Acronym <sup>2</sup>	
------------------------------	--	-------------------------------	--

## INFORMATION ON PARTICIPANTS

Participant number <sup>26</sup>						
<b>Participant organisation</b>						
Organisation legal name <sup>11</sup>						
Organisation short name <sup>12</sup>						
Legal address						
PO Box <sup>13</sup>		Postal Code <sup>13</sup>		Cedex <sup>13</sup>		
Street name and number <sup>13</sup>						
Town <sup>13</sup>			Country <sup>14</sup>			
Internet homepage						
Activity Type HE, RES, IND, OTH <sup>15</sup>			Legal Status GOV, INO, JRC, PUC, PRC, EEIG <sup>17</sup> , PNP <sup>16</sup>			
If Legal Status "PRC", specify <sup>18</sup>						
Are you an SME according to the new definition as described in the Commission Recommendation 2003/361/EC? <sup>19</sup>					YES/NO	
Are there dependencies between the organisation and (an) other participant(s) ? <sup>20</sup>					YES/NO	
If yes, participant number		If yes, participant short name				
Character of dependence SG, CLS, CLB <sup>21</sup>						
If yes, participant number		If yes, participant short name				
Character of dependence SG, CLS, CLB <sup>21</sup>						
If yes, participant number		If yes, participant short name				
Character of dependence SG, CLS, CLB <sup>21</sup>						
<b>Person in charge<sup>22</sup></b>						
Name			First name(s)			
Title <sup>23</sup>		Sex: Female=F, Male=M <sup>24</sup>				
Department/Faculty/Institute/ Laboratory name						
Address (if different from above)						
PO Box <sup>13</sup>		Postal Code <sup>13</sup>		Cedex <sup>13</sup>		
Street name and number <sup>13</sup>						
Town <sup>13</sup>			Country <sup>14</sup>			
Phone 1 <sup>25</sup>			Phone 2 <sup>25</sup>			
e-mail			Fax <sup>25</sup>			

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

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



# Proposal Submission Forms



EUROPEAN COMMISSION  
6<sup>th</sup> Framework Programme for  
Research, Technological  
Development and Demonstration

## Specific Targeted Research or Innovation Projects

# A3

Proposal Number <sup>1</sup>		Proposal Acronym <sup>2</sup>	
------------------------------	--	-------------------------------	--

**IMPORTANT NOTE:** given the mandate of NEST to operate in New and Emerging areas of science, it is unlikely that grants for “Demonstration activities” will be requested.

### Financial Information (Specific Targeted Project)

Participan <sup>n</sup> <sub>e</sub> <sup>26</sup>	Cost model <sup>27</sup>	RTD <sup>28</sup> or innovation-related <sup>30</sup> activities		Demonstration activities <sup>29</sup>		Consortium activities <sup>31</sup>	Management	Total	
		Costs (€)	Requested grant to the budget <sup>27</sup> (€)	Costs	Requested grant to the budget <sup>27</sup> (€)	Costs (€)	Requested grant to the budget <sup>27</sup> (€)	Costs (€)	Requested grant to the budget <sup>27</sup> (€)
1									
(Sub-)Total <sup>32</sup> (€)									

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

Form A3: page ... of ...

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

---

## How to complete the proposal submission forms

### Introduction

This section provides guidance on how to complete the attached submission forms. These forms are an integral part (Part A) of your proposal.

### How to complete the forms

- The coordinator fills in the form A1 and the form A3;
- The participants (including the coordinator) each fill in one A2 form.

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

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

### 1 Proposal number

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

### 2 Proposal Acronym

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

### 3 Proposal Title

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

### 4 Duration

Insert the estimated duration of the project in full months.

### 5 Call (part) Identifier

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

### 6 Activity code(s) most relevant to your topic

Please insert the code for the activity of FP6 that is addressed by your proposal (for the list see <http://www.cordis.lu/fp6/activitycodes>) If you consider that your proposal aims at more than one activity of FP6, you can indicate several codes (maximum three), starting with the most relevant one. **This first code must refer to an activity open in the call you are addressing.**

### 7 Keyword codes from thesaurus

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

### 8 Free keywords

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

### 9 Abstract

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

characters. If the proposal is written in a language other than English, please include an English version of the proposal abstract in part B.

### **10 Previously submitted similar proposals or signed contracts**

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

### **11 Organisation legal name**

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

### **12 Organisation short name**

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

### **13 Address data**

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

### **14 Country**

Insert the name of the country as commonly used.

### **15 Activity Type**

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

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

### **16 Legal status**

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

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

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

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

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

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

**EEIG:** European Economic Interest Group;

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

### **17 Legal Status: If “EEIG”**

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

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

If you are a Private Commercial Organisation (PRC), please indicate the type of organisation

(e.g.: SA, LTD, GmbH, physical person etc.).

## 19 Small or Medium Sized Enterprise (SME)

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

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

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

For further information please consult the SME definition (Commission Recommendation 2003/361/EC of 6 May 2003), in particular Articles 1-6 of the Annex on

[http://europa.eu.int/comm/enterprise/enterprise\\_policy/sme\\_definition/index\\_en.htm](http://europa.eu.int/comm/enterprise/enterprise_policy/sme_definition/index_en.htm)

## 20 Dependencies between participants

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

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

### **Control:**

Legal entity A controls legal entity B if:

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

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

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

## 21 Character of dependence

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

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

## 22 Person in charge

Please insert in this section the data of the main scientist or team leader in charge of the proposal for the participant. For participant number 1 (the co-ordinator), this will be the person the Commission will contact

concerning this proposal (e.g. for additional information, invitation to hearings, sending of evaluation results, convocation to negotiations).

### 23 Title

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

### 24 Sex

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

### 25 Phone and fax numbers

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

### 26 Participant number

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

### 27 Requested grant to the budget and cost models

The **Community grant** requested for a proposal depends on the cost model applicable to each participant and on the costs for the different activities. At the proposal stage, costs and requested Community contribution have to be broken down by type of activity and by participant. There are no pre-defined cost categories. In establishing their budget participants should follow their own accounting rules.

Maximum contributions by activity type as percentage of the respective costs are as follows:

	Maximum grant as percentage of full costs (participants applying the FC or FCF model)	Maximum grant as percentage of additional costs (participants applying the AC model)
RTD activities (see note 28)	50%	100%
Demonstration activities (see note 29)	35%	100%
Innovation-related activities (see note 30)	50%	100%
Consortium management activities (see note 31)	100% (up to a maximum percentage of 7% of the Community contribution)	100% (up to a maximum percentage of 7% of the Community contribution)

The **cost models** to be applied by the participants are:

- **FC**: a full-cost model in which all actual eligible direct and actual eligible indirect costs may be charged to the contract;
- **FCF**: a simplified variant of the full-cost model, in which all actual eligible direct costs may be charged to the contract, together with a flat rate for indirect costs. This flat rate is equal to 20% of all direct eligible costs minus the costs of subcontracts;
- **AC**: an additional-cost model, covering all eligible direct costs that are additional to the recurring costs of a participant (with the exception of consortium management for which recurring costs would also be eligible), together with a flat rate for indirect costs. This flat rate is equal to 20% of all eligible direct additional costs minus the costs of subcontracts.

### Which cost model to use

Which cost model to use depends on the type of legal entity concerned and the accounting system:

Cost model	Who can use it ?
FC	- All legal entities except physical persons
FCF	- Non-commercial or non-profit organisations - International organisations (like CERN, ESA, EMBL) - Small or Medium-Sized Enterprises (SMEs)
AC	- Physical persons (only cost model open to physical persons) - <b>Only</b> non-commercial or non-profit organisations or international organisations <b>not</b> having an accounting system allowing them to distinguish the share of their direct and indirect costs

Each contractor shall apply the same cost reporting model in all contracts established under the Sixth Framework Programme. As a derogation to this principle:

- any legal entity which is eligible to opt for the AC model in a first contract can change to the FCF or the FC model in a later contract (except physical persons). If it does so, it must then use the new cost reporting model in subsequent contracts;
- any legal entity which is eligible to opt for the FCF model in a first contract can change to the FC model in a later contract. If it does so, it must then use the new cost reporting model in subsequent contracts.

### Eligible costs

Eligible costs for FP6 contracts must be:

- actual, economic and necessary for the implementation of the project;
- determined in accordance with the usual accounting principles of the contractor;
- incurred during the duration of the project ;
- recorded in the accounts of the contractors (or third parties where third party resources have been agreed).

They exclude indirect taxes, interest, provisions for future losses or charges, exchange losses, costs related to other Community projects, return on capital, debt and debt service charges, excessive and reckless expenses and any cost which does not meet the criteria in the first four bullets.

### 28 RTD activities

RTD activities are all activities directly aimed at creating new knowledge. They form the core of the Specific Targeted Research Projects.

### 29 Demonstration activities

Specific Targeted Research Projects may contain a demonstration component to prove the viability of new technologies that offer a potential economic advantage, but which cannot be commercialised directly (e.g. testing of product-like prototypes).

### 30 Innovation-related activities

Projects should include activities relating to the protection and dissemination of knowledge, and, when relevant, studies on the wider societal impact of that knowledge, activities to promote the exploitation of the results, and "take-up" actions. These activities are inter-related and should be conceived and implemented in a coherent way:

- **intellectual property protection:** protection of the knowledge resulting from the project (including patent searches, filing of patent (or other IPR) applications, etc.);
- **dissemination activities** beyond the consortium: publications, conferences, workshops and Web-based activities aiming at disseminating the knowledge and technology produced;
- **studies on socio-economic aspects:** assessment of the expected socio-economic impact of the knowledge and technology generated, as well as analysis of the factors that would influence their exploitation (e.g. standardisation, ethical and regulatory aspects, etc.);

- **activities promoting the exploitation of the results:** development of the plan for the use and dissemination of the knowledge produced, feasibility studies for the creation of spin-offs, etc, "take-up" activities to promote the early or broad application of state-of-the-art technologies. Take-up activities include the assessment, trial and validation of promising, but not fully established, technologies and solutions, easier access to and the transfer of best practices for the early use and exploitation of technologies. In particular, they will be expected to target SMEs.

### **31 Consortium management activities**

Over and above the technical management of individual work packages, an appropriate management framework linking together all the project components and maintaining communications with the Commission will be needed.

Consortium management activities include:

- coordination of the technical activities of the project;
- the overall legal, contractual, ethical, financial and administrative management;
- coordination of knowledge management;
- overseeing the promotion of gender equality in the project;
- overseeing science and society issues related to the research activities conducted within the project;
- obtaining audit certificates by each of the participants;
- maintenance of any consortium agreement;
- obtaining any financial security such as bank guarantees when requested by the Commission.

### **32 (Sub-)Total**

If the number of lines in the table on form A3 is not sufficient for your consortium, please use additional copies of A3. Indicate at the bottom the total number of A3 sheets used and the number of each sheet. On each sheet, except on the last one, insert the total values per sheet. On the last sheet, insert the overall totals.

## Annex 2 - Proposal Part B: guidelines for drafting

# Instructions for preparing Part B of a proposal for a **NEST PATHFINDER STREP**

*(Proposal for a Specific Targeted Research Project in NEST PATHFINDER INITIATIVES)*

**Part B of the proposal provides the scientific and / or technical information. It is forwarded to the evaluating experts.**

*In addition to Part B, a proposal must also contain a Part A<sup>1</sup>, containing administrative information on the proposal and the consortium. The forms for Part A are provided elsewhere in this Guide. Incomplete proposals are not eligible and will not be evaluated.*

**Specific Targeted Research Projects** 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) a research and technological development project designed to gain new knowledge either to improve or develop new products, processes or services or to meet other needs of society and Community policies;

b) a demonstration project designed to prove the viability of new technologies offering potential economic advantage but which cannot be commercialised directly.

**Note: given the mandate of NEST to operate in new and emerging areas of science, it is not likely that “demonstration” elements will be included.**

Specific targeted research projects are described in the NEST work programme, and complete details of their characteristics and their application within FP6 are at: <http://www.cordis.lu/fp6/instruments.htm>

Proposers should note that only research, demonstration and project management activities are funded in STREPs. Training activities cannot be included among the eligible costs of projects.

**Please note that part B of a NEST PATHFINDER STREP proposal is NOT anonymous.**

**Proposers are strongly advised to consult the reference documents on the NEST PATHFINDER activities, available at [www.cordis.lu/next](http://www.cordis.lu/next), which provides a concise overview of the objectives of these actions. This document contains also the precise evaluation criteria.**

<sup>1</sup> In the event of inconsistency between information given in Part A and that given in Part B, the Part A version will prevail.

**PROPOSAL LAYOUT****Front page**

Proposal full title

Proposal acronym

*Please give this in big capital letters and repeat the acronym at the top of every page.*

Date of preparation

Version no. (optional)

Type of instrument

*In this case: STREP (Specific Targeted Research Project)*

Submission stage

*In this case: FULL proposal*

Activity code addressed

*In this case: "NEST-2005-Path-COM" (for Tackling Complexity in Science)**or: "NEST-2005-Path-SYN" (for Synthetic Biology)**or: "NEST-2005-Path-IMP" (for Measuring the Impossible)**or: "NEST-2005-Path-CUL" (for Cultural Dynamics)*

Coordinator

*Title/NAME/first name*

Coordinator email

Coordinator fax

List of participants

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

*etc. (Check this participant numbering is reflected in the A2 Form of each participant!)***Contents page**

Include a contents list

**Proposal summary page**

Proposal full title

Proposal acronym

Activity code addressed

*In this case: "NEST-2005-Path-COM" (for Tackling Complexity in Science)**or: "NEST-2005-Path-SYN" (for Synthetic Biology)**or: "NEST-2005-Path-IMP" (for Measuring the Impossible)**or: "NEST-2005-Path-CUL" (for Cultural Dynamics)*

Proposal abstract

*copied from Part A (if not in English, include an English translation)***Proposal body**

The total length of the proposal body should not exceed 20 pages, excluding the header pages mentioned above, the forms specified below, and the work packages. Please pay attention to the coherence of the overall document, so that duplication of information between sections is avoided.

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

Describe in detail the proposed project's S&T objectives. The objectives should be challenging but not unrealistic, achievable within the project - i.e. not through subsequent development - and 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.

An adequate description of the worldwide state-of-the-art and a clear demarcation of the novel elements should support the claim to novelty of the proposed work. This should include any competing research approaches.

Describe in detail the proposed approach / methodology, and describe how it will enable the project to achieve its objectives.

### **B.2 Relevance to the objectives of NEST**

Describe how the proposal addresses the objectives of the NEST activity and in particular how it relates to the scope and objectives of the relevant PATHFINDER initiative.

### **B.3 Potential impact**

Describe the strategic impact of the proposed project. Indicate how the potential long term benefits are sufficiently large to justify the level of risk of the project. Describe the added-value in carrying out the work at a European level; as appropriate; indicate what account is taken of other national or international research activities.

**B.3.1 Contributions to standards:** If appropriate, describe contributions to national or international standards which may be made by the project, if any.

### **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 the complementarity and the interactions between participants. Include a STREP Project Effort Form, as shown below, covering the full duration of the project, to show how the participants contribute to the different work-packages.

For the key personnel, please include a brief CV (not exceeding 30 lines, including references to a few most prominent publications). Explain briefly how the project contributes to the personal and institutional interests of the participants.

Describe the resources, human and material, that will be deployed for the implementation of the project. Demonstrate that the foreseen resources (personnel, equipment, finance...) are necessary and sufficient for success; indicate how the resources will be convincingly integrated to form a coherent project.

Indicate how the project resources will be divided over commonly used main expenditure categories such as personnel, equipment, travel, etc. For any particularly significant (non- personnel) expenditure items, please supply a short justification of its necessity for the project. If appropriate, this can be done in tabular form.

**B.4.1 Sub-contracting:** If any part of the work is foreseen to be sub-contracted by the participant responsible for it, describe the work involved and explain why a sub-contract approach has been chosen for it.

**B.4.2 Other countries:** If one or more of the participants is based outside of the EU Member states, Associated Candidate Countries and Associated states, explain in terms of the project's objectives why this/these participants have been included, describe the level of importance of their contribution to the project.

### **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 innovation-related activities arising in the project.

## B.6 Detailed Implementation plan

This section concisely describes the work planned to achieve the objectives of the proposed project. An introduction should explain the structure of this work plan and how the plan will lead the participants to achieve the objectives. It should also identify significant risks, and contingency plans, should these risks be realised.

The plan must be broken down into activities (research and management). Each activity should be broken down into workpackages (WPs) which should follow the logical phases of the project. If possible, please group together all management activity into a single management workpackage.

Essential elements of the plan are:

- a) 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 each 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. A work package is a major sub-division of the proposed project with 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.

Please do not include as deliverables the standard contractually required reports to the Commission. Please note that in general, tangible deliverables would be preferred over reports, except if the particular report has a clear role in the proposals dissemination strategy.

## B.7 Other issues

**B.7.1. Ethical issues:** If there are ethical issues associated with the subject of the proposal, show how 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 checklist given below<sup>2</sup>

**B.7.2 Gender issues:** If there are gender issues associated with the subject of the proposal, show how they have been adequately taken into account (For gender issues see Annex 4).

**B.7.3. Policy issues:** 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/maximum length – depends on the number of such other issues which the project involves).

---

<sup>2</sup> See Annex 3 and 4 for more information on the ethics and gender issues .

**STREP Project Effort Form**

**Full duration of project**

(insert person-months for activities in which participants are involved)

Project acronym -

	Participant 1 short name	Participant 2 short name	Participant 3 short name	Participant 4 short name	Participant 5 short name	etc	TOTAL PARTICIPANTS
Research/innovation activities							
WP name							
WP name							
WP name							
etc.							
Total research/innovation							
Consortium management activities							
Management							
TOTAL ACTIVITIES							

**Workpackage list (full duration of project)**

Work-package No <sup>1</sup>	Workpackage title	Lead contractor No <sup>2</sup>	Person-months <sup>3</sup>	Start month <sup>4</sup>	End month <sup>5</sup>	Deliverable No <sup>6</sup>
	<b>TOTAL</b>					

<sup>1</sup> Workpackage number: WP 1 – WP n.  
<sup>2</sup> Number of the contractor leading the work in this workpackage.  
<sup>3</sup> The total number of person-months allocated to each workpackage.  
<sup>4</sup> Relative start date for the work in the specific workpackages, month 0 marking the start of the project, and all other start dates being relative to this start date.  
<sup>5</sup> Relative end date, month 0 marking the start of the project, and all ends dates being relative to this start date.  
<sup>6</sup> Deliverable number: Number for the deliverable(s)/result(s) mentioned in the workpackage: D1 - Dn.



**Workpackage description (full duration of project)**

<b>Workpackage number</b>		<b>Start date or starting event:</b>					
<b>Workpackage title</b>							
<b>Participant id</b>							
<b>Person-months per participant:</b>							

**Objectives**

**Description of work**

**Deliverables**

**Milestones<sup>1</sup> and expected result**

---

<sup>1</sup> Milestones are control points at which decisions are needed; for example concerning which of several technologies will be adopted as the basis for the next phase of the project.

## Ethical issues checklist

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

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

*If you answer "YES" to any of the above, please include in your proposal section B.7.1 the more detailed version of Table A ("Crucial information") obtained from:*

*[http://europa.eu.int/comm/research/science-society/ethics/rules\\_en.html](http://europa.eu.int/comm/research/science-society/ethics/rules_en.html)*

*and also incorporate in section B.7.1 and in other appropriate parts of your proposal comments corresponding to the detailed instructions given in sections C-D at the above address*

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

- Research activity aimed at human cloning for reproductive purposes,
- Research activity intended to modify the genetic heritage of human beings which could make such changes heritable<sup>1</sup>
- Research activity intended to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.

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

*Further information on ethics requirements and rules are given at the science and ethics website at [http://europa.eu.int/comm/research/science-society/ethics/ethics\\_en.html](http://europa.eu.int/comm/research/science-society/ethics/ethics_en.html)*

---

<sup>1</sup> Research relating to cancer treatment of the gonads can be financed

## **Annex 3 – Ethical rules for FP6 projects**

### **National legislation**

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

### **EU legislation**

Participants must conform to relevant EU legislation such as:

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

### **International conventions and declarations**

Participants should respect the following international conventions and declarations:

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

### **Opinions of the European Group on Ethics**

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

### **Protection of Animals**

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

### **Ethical review at EU level**

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

**Fields of research which are excluded from the programme**

Certain fields of research are excluded:

- Research activity aiming at human cloning for reproductive purposes;
- Research activity intended to modify the genetic heritage of human beings which could make such changes heritable<sup>1</sup>;
- Research activities intended to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.

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

---

<sup>1</sup> Research relating to cancer treatment of the gonads can be financed.

## **Annex 4 - Integrating the gender dimension**

## **Integrating the gender dimension in FP6 projects**

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

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

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

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

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

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

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

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

The reports can be requested at [rtd-sciencesociety@cec.eu.int](mailto:rtd-sciencesociety@cec.eu.int).

## **Annex 5 – Classification of the FP6 instruments**

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

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

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

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

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

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

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

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

<b>Instruments aimed at supporting collaboration and coordination and other activities (such as conferences and studies)</b>										
<b>Instrument</b>	<b>Purpose</b>	<b>“Target” audience</b>	<b>Activities covered by EU contribution</b>	<b>Funding mechanism</b>	<b>Indication on value of EU contribution<sup>1</sup></b>	<b>Average duration</b>	<b>“Optimum” size of consortium<sup>2</sup></b>	<b>Flexibility</b>	<b>Enlargement of partnership (within the initial budget)</b>	<b>Specific characteristics</b>
<b>Coordination Action (CA)</b>	Coordination, networking	Research institutes Universities Industry including SME	Activities intended to improve and effect the coordination of research carried out in another context that can include: programmes of meetings, seminars, workshops, working groups, studies, analyses, exchanges of personnel, exchange and dissemination of good practices, setting up of information systems  Management of the consortium	Cost based	€ 1 million  € 0.5-12 million	18-36 months	13-26 participants	Fixed overall work plan	Possible	No funding of research activities  Consistent set of activities focussing on coordination (“programme” approach)
<b>Specific Support Action (SSA)</b>	Preparation of future actions, support to policy, dissemination of results	Research institutes Universities Industry including SMEs	Individual meetings, seminars, workshops, studies, publications, scientific awards and competitions Management of the consortium	Cost based  Public procurement (payment of a price following a call for tender) when provision of service to the Commission	€ 0.5 million  € 0.03-1 million	9-30 months	1-15 participants	Fixed overall work plan	Possible	No funding of research activities  “Project” approach  Possibility of one single participant

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

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

## **Annex 6 – Pre-proposal check form**

## Pre-proposal check form for NEST PATHFINDER

- 1 -

Fax to: +32-2-299-3173 (*without cover page*)

First Name \_\_\_\_\_ Surname \_\_\_\_\_ Gender M / F

Organisation name \_\_\_\_\_

Country \_\_\_\_\_

Reply Fax \_\_\_\_\_ Reply Fax (alternative) \_\_\_\_\_

E-mail \_\_\_\_\_ Telephone number \_\_\_\_\_

Proposal acronym			
Proposal full name			
Proposal Research objective(s) ( <i>PATHFINDER Initiative</i> )			
Instrument type ( <i>please circle one only</i> )	STREP	CA	SSA
Approximate total cost ( <i>optional information</i> )	€		

Detailed proposal objectives	
------------------------------	--

