



THE FIFTH FRAMEWORK PROGRAMME 1998-2002

INNOVATION & SME

GUIDE FOR PROPOSERS

Part 2

Call of 23 March 1999

Call for proposals for Innovation Projects and Accompanying
Measures



Call identifier
(1999/C80/07)

FOREWORD – PART 2

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

Part 2 of the Guide for Proposers contains the call specific information you need to make your proposal. It can however not be read independently from part 1, where you find the explanations on the rules of participation and the guidelines on how to make a proposal.

PART 1

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

Section II describes the priorities and objectives of the Specific Programme on INNOVATION & SME

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

Section IV details how proposals should be prepared and submitted.

PART 2

Section V provides detailed information for the **CALL FOR PROPOSALS FOR THE SPECIFIC PROGRAMME “INNOVATION & SME” OF MARCH 23, 1999.**

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

The Work Programme for the Specific Programme you are applying for. The Work Programme provides the description of the content of the action lines that are open for proposals, and an indicative timetable for programme implementation (“roadmap”).

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

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

This Guide also contains references to other documents, reports, forms and software tools that are of assistance in the preparation of proposals.

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

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PART 2

V. Specific information for the "Innovation and SME Programme" First Call, for INNOVATION projects and Accompanying Measures, published in 1999

V.1. Introduction

This section details the submission procedure required for proposals for INNOVATION projects and Accompanying Measures.

V.2. Implementation measures requested

V.2.1. INNOVATION projects

INNOVATION projects are "combined R&D and demonstration projects" as described in chapter I.3.2 and Box 6.

The call for proposals is addressed to transnational consortia, having identified innovation needs, to which technology transfer can provide a solution. Such technology transfer should not stem from thematic Programmes and provide funding opportunities for trans-national technology transfer. INNOVATION projects will deal with methodological "research elements" to produce new knowledge on economic, social and organisational aspects of innovation in combination with "demonstration elements" of technology transfer. Since innovation is a process with a much wider scope than just technical activities, consortia must also consider the "non-technical issues". Proposals should therefore include technical and non-technical activities to tackle the proposed innovation in a holistic way, which is the basis for successful implementation.

The **research elements** explore the "non-technical issues" of the innovation process, such as novel approaches to training, management, co-ordination, communication, regulatory issues, exploitation, diffusion, etc. Research should lead to obtaining new knowledge, developing skills, products, processes or services, facilitating harmonisation between Members states and exploring new channels for the diffusion of information.

The demonstration elements are the identification, adaptation, validation and documentation of technology transfer and as such include implementation of the innovation for the targeted user sector with the aim at satisfying user needs.

The following points must be addressed in all INNOVATION projects:

- ◆ A clearly described technology transfer which is the basis of the project. This innovation should not come from the Thematic Programmes of the European Commission
- ◆ The innovativeness of the approach, technology, etc. must be described in comparison with the state of the art.
- ◆ The partnership should include all necessary competencies and the financial capabilities to perform the stated tasks in order to fulfil the project objectives. Proposers should consider the inclusion of partners such as industries, interest organisations, authorities, or groupings that need to be convinced of the benefits of the new technology or may play a future role in its acceptance.
- ◆ The benefits (technical, economic, social, etc.) of the innovation must be described together with its added value in comparison with established and competing alternatives.
- ◆ The strategy for implementation, exploitation and diffusion of the project results must be clearly described.

- ◆ The partners must take into account all legal, ethical and regulatory aspects, that might have a bearing on future implementation of the technology.
- ◆ Intellectual Property Right (IPR) aspects should be addressed (see Box 8).

The INNOVATION projects intend to implement an integrated approach towards projects in order to solve complex multidisciplinary innovation issues effectively. The **cluster approach** will reflect this methodology.

INNOVATION projects may be clustered around specific themes and common "non-technical issues" with the assistance and support of Accompanying Measures.

V2.2. Accompanying Measures

Accompanying Measures are not projects. They are distinct and separate actions, designed to work alongside and for the benefit of the consortia in the projects themselves and the achievement of the goals of the overall Action Line. There will only be a limited number of Accompanying Measures funded.

Three types of Accompanying Measures (AM) are planned.

- a) A number of **Project Cluster Accompanying Measures (AM Clusters)** are planned to assist INNOVATION projects by facilitating the exchange of experience on "non-technical issues". The AM would provide specific support and expertise in topics such as management; strategies, regulatory issues, exploitation, diffusion, finance, IPR-protection, training, etc. Additionally the AM will extract lessons learned in the projects, identify barriers to innovation, explore adequate solutions, identify opportunities for exploitation and facilitate co-operation with international programmes.

These Accompanying Measures would suit transnational consortia with expertise and skills in the "non-technical issues" of the INNOVATION process.

- b) One "**Common Promotional Structure**" (**AM Promo**) is planned to ensure the "showcase" function of the action by co-ordinating the promotion activities of the clusters, securing a "corporate image" of the Action Line and involving other community actions such as CORDIS and the IRCs.

Transnational consortia with a broad experience in the communication sector, internet, publications, conferences, technology brokerage etc. should consider to submit a proposal. It is intended to implement this measure through one single contract.

- c) One "**Innovation Policy Interface**" (**AM Policy**) will ensure the extraction of policy lessons from the clusters, feed-back policy priorities into the design of the clusters, advise on benchmarking methods, set up expert panels and organise visiting schemes.

Multicultural, interdisciplinary and transnational consortia with expertise and skills in INNOVATION policy, benchmarking, visiting schemes, are invited to apply. It is intended to implement this measure through one single contract.

V.3. Proposal requirements

Proposals must conform to the descriptive and qualifying conditions given in this guide. Proposers may use the Proposal Preparation Tool supplied by the Commission in order to structure the administrative part of their proposal, however use of the tool is not compulsory provided the format and forms below are used.

V.3.1. Proposal structure

Application forms for the preparation of a proposal are appended to this document. There should be a clear distinction between the research and demonstration elements. The proposal structure should reflect the issues referred to in each bloc of criteria, specific to this call, so that quality and relevance can be assessed during the evaluation procedure.

V.3.2. Proposal anonymity

For proposals in this Call anonymity is not applied.

V.4. Addresses for submission of proposals

The address of the Evaluation Office, to which proposals may be submitted on paper is given in the announcement of the Call in the Official Journal of the European Communities.

The Proposal Preparation Tool contains the necessary information for electronic submission to the Commission.

V.5. Deadline for submission of proposals

The deadline for receipt of proposals for the 1st "Innovation & SME" Call for projects and Accompanying Measures is as specified in the announcement of the Call in the Official Journal.

Proposals sent by express courier service or delivered by hand must arrive by this deadline. Proposals sent by mail must be clearly postmarked before this deadline as specified in the announcement of the Call in the Official Journal

In the case of electronic submission, the validation file, which identifies the proposal file uniquely, must be sent (electronically or by fax) before the deadline. The proposal file must then be received electronically as specified in the announcement of the Call in the Official Journal.

V.6. Support for Proposers

V.6.1. Innovation Relay Centres

A list of IRCs can be found in CORDIS under the address: <http://www.cordis.lu>

V.6.2. Partner search facilities

CORDIS in Luxembourg (<http://www.cordis.lu>) offers a number of services and information sources which may be useful in partner search for participation in this programme, as well as a list of organisations which have already expressed an interest in participating in this programme.

V.6.3. National contact points

National Contact Points can be helpful to organisations from their country in finding partners from other countries, and should be contacted for further information for the country concerned.

V.6.4. Programme Information Days

The Programme envisage to organise a number of Information Days, where those interested in proposing may attend, for a presentation of the programme and of the general Framework Programme, to obtain documentation and proposal software (the Proposal Preparation Tool), to ask questions etc. and to meet potential consortium partners.

The latest information on planned Information Days is obtainable from the website given in the references below.

V.7. References

Potential proposers should consult the following documents:

Decision on the 5 th Framework Programme	O.J. L 26 of 01.02.99, p. 1	http://www.cordis.lu/fp5/src/decisions.htm
Decision on the "Innovation & SME" Programme	O.J. L 64 of 12.03.99, p.91	http://www.cordis.lu/fp5/src/decisions.htm
Call text	O.J. C 80 of 23.03.99, p 12	http://www.cordis.lu/innovation-smes/calls/calls.htm
Workprogramme		http://www.cordis.lu/innovation-smes/home.html
Evaluation Manual		http://www.cordis.lu/fp5/src/evalman.htm
Proposal Submission Forms	Attached	http://www.cordis.lu/fp5/src/forms_a.htm
National contact points		http://www.cordis.lu/fp5/src/ncps.htm
Information Days calendar		http://www.cordis.lu/innovation-smes/calls/calls.htm
Innovation Relay Centres	Attached	http://www.cordis.lu/irc/
Proposal preparation tool		http://www.cordis.lu/fp5/ptool/home.html
Last-minute information		http://www.cordis.lu/innovation-smes/calls/calls.htm

Appendix 1: Application Forms

Proposal Submission form is in general in three parts:

- **Part A**, which contains legal and administrative information concerning the proposers, and a summary of the funding requested;
- **Part B**, which describes the work to be carried out;
- **Part C**, which describes the European added value, the contribution to social policies, the consortium, the management of the projects, the exploitation and dissemination plan and ethical and safety issues.

Part 2 of this Guide for Proposers contains only the programme specific forms for Part B and Part C. Printed versions of the Part A forms, including machine readable forms (A0-A4), Guidelines and Annexes, are a separate part of the Information Package. They may also be downloaded from the web or obtained through the National Contact Points or the Programme Helpdesk.

If your Information Package does not contain the Part A form for the type of action you want to submit a proposal for, please download them from the programme web site or contact the National Contact Points or the programme helpdesk. If you plan to submit a proposal for an SME Specific Measure (Exploratory Award, CRAFT) or Marie Curie Fellowships, we strongly advice to request the Guide for Proposers (including forms) that are specific to these actions.

In Appendix 1A and 1B you find the following B and C forms:

- APPENDIX 1A - PROPOSAL SUBMISSION FORMS FOR SHARED-COST RTD PROJECTS¹
- APPENDIX 1 B - PROPOSAL SUBMISSION FORMS FOR ACCOMPANYING MEASURES

¹ *Innovation projects* are combined R&D and demonstration shared-cost RTD projects.

Appendix 1A - Proposal Submission Forms for shared-cost RTD projects

Innovation projects are combined R&D and demonstration projects (*shared-cost RTD projects*).

Introduction

Combined R&D and demonstration projects (*Innovation projects*) are projects that combine the two above elements in a single project. The description of a combined project must focus on the part that is most relevant to the project, but should state clearly the R&D and demonstration objectives, and describe how each of them will be fulfilled.

A more detailed description of the above modality can be found in chapter II of Part 1, and in chapter V of this Part 2 of the “Guide for Proposers”.

Proposal structure and description.

The description of the content of a proposal has two parts:

- **Part B** presents the objectives and summarises the scientific/technological background to the project. It describes the progress to be expected with regard to the state of the art, as well as the different tasks to be carried out. It is possible to indicate background references supporting the work and presented later in a list annexed to part C. (e.g.: *in the past years, partner H has established that this phenomenon was caused by conditions X and Y [publication 04], the partnership has a strong experience in this specific field [publications 06 to 10], and the industrial partner G owns three major patents in the area [patents 12 to 14]*). The evaluation of the scientific & technical merits of the proposal will be performed exclusively on the basis of this part B and might result in the rejection of the proposal without any further evaluation of the other parts.
- **Part C** describes the European added value of the project, the contribution(s) to the social policies, ethical and legal considerations, the consortium, the management of the project and the exploitation and/or dissemination plans.

Proposal that may raise ethical questions must give detailed information in order to:

- Justify the methodology of the research:
- Explain how ethical requirements will be fulfilled:
- Indicate the relevant national legal requirements of the Member States where the research take place (See detailed information in section IV.2.2 of the “Guide to Proposers”).

Please remember to indicate the proposal’s short name (acronym) and proposal number and the date at the top of every page of parts B and C, and on all annexes.

Proposals should specifically address each of the two elements (R&D and demonstration). In particular, that one of non technological nature (R&D element), built around the technology transfer process (demonstration element), should be described in detail, both in terms of opportunities and obstacles and of the strategy/methodology proposed to tackle them. Proposals which can not yet identify a concrete strategy/methodology should state their commitment to adhere to a cluster accompanying measure (chapter V.2) and quantify the level of resources they plan to allocate to this part of the project.

For financial transparency reasons, part A is prepared with two A4 cost forms, one summarising the costs of the R&D element and one summarising the costs of the demonstration element (two levels of funding, 50% and 35% respectively). Normally, one single part B and C should be filled in with the two elements to be evaluated as a whole. Only if major constraints, duly justified, would recommend so, part B of the proposals could be filled in in two separate forms.

Proposers should note that proposals that would not contain all three parts of the proposal, the administrative part (form A) and the proposal description in part B and C, will not be eligible.

Part B: Description of scientific/technological objectives and workplan.

B1. Title page

Proposal full title

Proposal acronym

Date:

B2. Table of Contents (*main headings, page numbers*)

B3. Objectives and expected achievements

This section, which should not exceed two pages, should describe the **scientific/technological objectives** of the proposed **project** in a measurable and verifiable form. The progress of the project work will be measured against these criteria in reviews and assessments. Please specify, whether this project belongs to a cluster.

B4. Contribution to programme/specific action objectives

This section, which should not exceed one page, describes in what respect the proposed project will contribute to fulfil the objectives of the programme and/or specific action.

B5. Innovation aspects

This section, not exceeding two pages should justify, for the demonstration component, in what respect the technology has reached an appropriate degree of maturity to allow for demonstration or generated innovation opportunities justifying trans-national technology-transfer. This section should reflect that the consortium has sufficient knowledge to implement the demonstration. It also describes the state of the art in the R&D component of the project, the scientific and technological basis for the project and in what respect the project will contribute to advance the state of the art in the area.

B6. Project workplan:

This section should concisely describe the work planned to achieve the objectives of the project. The maximum length, excluding the forms specified below, is 10 pages. An introduction should explain the structure of the workplan and how the workplan will lead the participants to achieve the objectives of the proposal. The workplan must be broken down into workpackages (WPs) which should follow the logical phases of a project's life cycle. Essential elements of the workplan are:

- a) Introduction – explaining the structure of the workplan and the overall methodology used to achieve the objectives;
- b) Project planning and time table; (Gantt chart), with an indication of all relevant milestones
- c) Graphical presentation of the project's components; (Pert diagram)
- d) Detailed project description broken down into workpackages:

Workpackage list (form WP1)²;

Deliverables list (form DL);

One page description of each workpackage with the following information (Form WP2):

Workpackage number;

Start date or starting event;

Participant code (for the participant responsible for the work package)

Participant codes (for the other participants involved for the work package)

Person-months per partner;

Workpackage description:

Objectives; Methodology / work description; Deliverables; Relevant corresponding milestones³

² The number of workpackages used must be appropriate to the complexity of the work and the overall value of the project. Each workpackage should be a major sub-division of the project and should also have at least one verifiable end-point (normally an important milestone in the overall workplan). For combined R&D-Demonstration projects, the (main) nature of the work-package (demonstration, research) should be indicated in the beginning of the *Objectives* section

³ The milestones indicated should also be found under the time table section. These milestones constitute "landmark" results, or « end-points » that are to be achieved during the project's life and are crucial to the successful continuation of the project and also to reliable periodic progress assessments of the project. They should not be confused with the workpackages themselves (the tasks and sub-tasks) or their corresponding

WP1.	Workpackage list
-------------	-------------------------

Work- package No ⁴	Workpackage title	Respon- sible particip- ant No ⁵	Person- months No ⁶	Start month ⁷	End month ⁸	Phase ⁹	Deliver- able(s) No ¹⁰
	TOTAL						

deliverables. A milestone could correspond to one or more workpackages (or tasks), whereas a workpackage (research task) is merely a step towards the completion of a milestone.

⁴ Workpackage number: WP 1 – WP n.

⁵ Number of the participant leading the work in this workpackage.

⁶ The total number of person-months allocated to each workpackage, including all participants.

⁷ 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.

⁸ Relative end date, month 0 marking the start of the project, and all end dates being relative to this start date.

⁹ Only relevant for combined project. Please indicated « RS» for a research phase and « DM » for a demonstration phase

¹⁰ Deliverable number: Number for the deliverable(s)/result(s) mentioned in the workpackage: D1 - Dn.

DL. Deliverables list

Deliverable No ¹¹	Deliverable title	Delivery date 12	Nature 13	Dissemination level 14

¹¹ Deliverable numbers in order of delivery dates: D1 – Dn

¹² Month in which the deliverables will be available. Month 0 marking the start of the project, and all delivery dates being relative to this start date.

¹³ Please indicate the nature of the deliverable using one of the following codes:

- R** = Report
- P** = Prototype
- D** = Demonstrator
- O** = Other

¹⁴ Please indicate the dissemination level using one of the following codes:

- PU** = Public
- RE** = Restricted to a group specified by the consortium (including the Commission Services).
- CO** = Confidential, only for members of the consortium (including the Commission Services).

WP2.

Workpackage description

Workpackage number :
Start date or starting event:
N° of the partner responsible
N°s of other partners involved
Person-months per partner:

Objectives (max. 900 characters/200 words)

Description of work (max. 1500 characters/350 words)

Deliverables (max. 900 characters/200 words)

Milestones and expected results (max. 900 characters/200 words)

Part C: Description of contribution to EU policies, economic development, management and participants.

Part C describes the contribution to EU policies and social policies, ethical and legal considerations; the economic development, the management, the consortium, the participants, the key personnel and their individual and collective plans for dissemination and/or exploitation of the results.

C1. Title page

Proposal full title

Proposal acronym

Date:

Could this project be associated to a cluster? YES¹⁵: NO:

C2. Table of Contents (main headings , page numbers)

C3. Management and resources

Please note that this section is highly important, as failure to be ranked in the « very good » category with regard to these aspects will automatically lead to rejection of the proposal, irrespective of any positive results concerning other evaluation criteria.

a) Project management

This section, not exceeding 2 pages, should describe how the project will be managed, the decision-making structures, the communication flow within the consortium and the quality assurance and progress monitoring measures that will be implemented (including the assessment criteria to be used for the review). It must also indicate and, if necessary, clarify how the legal aspects (e.g. intellectual property, regulations, and safety) have been taken into account.

b) The partnership

Summarise the role and contribution of each of the partners and associated partners, their qualifications for their role, their capacity to provide their contribution to the project, the experience and knowledge which they will contribute and why their qualifications and experience make them particularly suited for the work allocated to them. Financial or legal links between partners, if any, should be indicated.

Each partner should also supply a list of the principal scientific or technical personnel involved and their relevant experience, indicating who will be responsible for each work package. List no more than five recent publications and/or patents relevant to the project. If it is intended to subcontract any of the work this must be mentioned in the profile of each partner and an indication should be given of the proposed subcontractor and the degree to which that particular partner's contribution will be subcontracted. In particular, any details of subcontractors should include their name and type of organisation, country, and type and cost of service provided, if known.

(Maximum of 1 A4 page per participant).

C4. Community added value and contribution to EU policies.

This section, which should not exceed one page, describes the European dimension of the problem to be solved. It should identify which problem at European level the proposal is addressing and how the proposal will contribute to the implementation or evolution of one or more of the EU policies. It should also describe why the project should be carried out at European level instead of national level, indicating, for example, the need to create a critical mass in human or financial terms, or if the project addresses problems connected with standardisation and regulation.

¹⁵ If yes, please provide under section C3 a brief description of the most appropriate cluster it should be associated to.(not more than 30 lines in total)

C5. Contribution to Community social objectives.

This section, not exceeding one page, should identify and quantify where possible any contribution to social objectives of the Community such as: the quality of life and health, safety (including working conditions), employment, preservation or enhancement of the environment and natural resources, opportunities for education and training, cohesion in the Union (such as opportunities for technology transfer to less developed regions), rural development, etc.

C6. Economic development and scientific and technological prospects –Exploitation and dissemination plans

This section should describe plans for the dissemination and/or exploitation of the results for the consortium as a whole and for the individual participants in concrete terms, for example by describing the dissemination and/or exploitation strategies, the user groups to be involved and how they will be involved, the tools and/or means to be used to disseminate the results to the user groups and the strategic impact of the proposal in terms of improvement of competitiveness or creation of market opportunities for the participants

This section should demonstrate the credibility of the partnership for exploitation of the results and explain the partnership's policy in respect of securing patents or granting licences for the technology (if applicable). It should deal with any possible agreements between the partners to extend their co-operation in the diffusion phase and with relevant agreements with companies, in particular users, external to the partnership. Apart from the possible exploitation above, there may be exploitation at policy level (e.g. employment) and/or job creation, vocational training (or equivalent) level. If so, please clarify your strategic plans.

It should reflect the consortium's commitment and strategy to ensure the exploitation of and/or transfer the technology and know-how through the demonstration project, with all hurdles to- and appropriate targets and strategies for- dissemination and exploitation identified. A contingency plan should be presented, which implies a substantial risk study (technical, commercial, managerial, and financial). This rubric is also appropriate for describing the extended audience of the project as well as the resources and strategy that will be used within the partnership to interact with it. (The Extended Audience being the ensemble of all potential users, interest groups and other relevant bodies that might have an influence on the adoption of the technology under demonstration).

C7. Ongoing projects and previous proposals

If the same or a similar application has been made within one of the previous programmes of the European Union, please indicate, where ever appropriate: the proposal reference, the title of the proposal, the partners involved, whether the proposal was accepted or not; and any other relevant information.

Appendix 1B - Proposal Submission Forms for Accompanying Measures

This section contains only the Parts B and C of the Proposal submission forms for Accompanying Measures. Part A (administrative forms) may be downloaded from the programme web site, or may be obtained via your National Contact Point or the programme helpdesk.

Accompanying Measures

Accompanying Measures are not projects. They are distinct and separate actions, designed to work alongside and for the benefit of the consortia in the projects themselves and the achievement of the goals of the overall Action Line. There will only be a limited number of Accompanying Measures funded.

A contribution of up to 100% of the eligible costs of the measures can be granted to applicants that can show a clear link to the relevant RTD area and a sufficiently European dimension for their activity. Financial participation may be 100% of the total eligible costs if the action is of broad interest and the proposers do not benefit directly from the result.

The description of the implementation modalities of the “Accompanying Measures” type of action can be found in Part 1, section II of the “Guide for proposers”.

Proposal structure and description.

The description of the content of a proposal has two parts:

- **Part B** presents the overall objectives of the accompanying measure. It describes underlying problem addressed with this project and the progress to be expected with regard to the state of the art, as well as the different tasks to be carried out. It should be pointed out that the evaluation of the merits of the proposal will be performed exclusively on the basis of this part B and might result in the rejection of the proposal without any further evaluation of the other parts.
- **Part C** describes the European added value of the accompanying measure, the contribution(s) to the social policies, ethical and legal considerations, the consortium, the management of the project and the exploitation and/or dissemination plans.

Please remember to indicate the proposal’s short name (acronym) and proposal number and the date at the top of every page of parts B and C, and on all annexes.

Proposers should note that proposals that would not contain all three parts of the proposal, the administrative part (form A) and the proposal description in part B and C, will not be eligible.

Part B: Description of scientific/technological objectives and workplan.

Please use the Part B forms given in Appendix 1A for combined shared-cost RTD projects (Innovation projects), BUT exchange item B3 and B5 by the ones given below.

B3. Objectives and expected achievements

This section, which should not exceed two pages, should describe the general objectives of the **accompanying measure** and its relation to the **scientific/technological objectives** of the specific area of the Work Programme that it addresses in a measurable and verifiable form. The progress of the project work will be measured against these criteria in reviews and assessments.

B5. Relations to the programme

This section, not exceeding two pages, describes how the **accompanying measure** will relate to projects/actions etc. which the measure accompanies, or the programme as a whole, what co-operation will be required and how it will be achieved.

Part C: Description of contribution to EU policies, economic development, management and participants.

Part C describes the contribution to EU policies and social policies, ethical and legal considerations; the economic development, the management, the consortium, the participants, the key personnel and their individual and collective plans for dissemination and/or exploitation of the results.

Please use the Part C forms given in Appendix 1A for shared-cost RTD projects (combined Innovation projects), BUT exchange item C3 by the one given below.

C3. Management and resources

Please note that this section is highly important, as failure to be ranked in the « very good » category with regard to these aspects will automatically lead to rejection of the proposal, irrespective of any positive results concerning other evaluation criteria.

a) Project management

This section, not exceeding 2 pages, should describe how the accompanying measure will be managed, the decision-making structures, the communication flow within the consortium and the quality assurance and progress monitoring measures that will be implemented (including the assessment criteria to be used for the review). It must also indicate and, if necessary, clarify how the legal aspects (e.g. intellectual property, regulations, and safety) have been taken into account.

b) The partnership

Summarise the role and contribution of each of the partners and associated partners, their qualifications for their role, their capacity to provide their contribution to the accompanying measure, and how they complement each other. Financial or legal links between partners, if any, should be indicated. For a single partner proposal, the qualifications and capacities to carry out the project should be demonstrated.

This section should contain a short description of the participating organisations including (no more than one page per organisation): the expertise and experience of the organisation, short CVs of the key persons to be involved indicating relevant experience, expertise and involvement in other EU projects.

Appendix 2 - Notification of Intention to Propose (Pre-registration)

Please note that the specific programme "Innovation & SME" will not handle any notification of intention to propose UNLESS it specifically requests the sealing software tool.

Request for Proposal Number and Sealing Software
Fax to: +32 2 299 1860

Title _____ First Name _____ Surname _____		
Function _____		
Organisation _____		
Internal Address _____		
Street and Number _____		
Postal Code _____	City _____	Country _____
Fax _____	Fax (alternative) _____	
Tel. _____	Tel. (alternative) _____	
E-mail _____	E-mail (alternative) _____	

We are considering to submit a Proposal in response to the 06 March Call 1999. For this purpose, we would like to ask for _____ proposal numbers.

Our intended Proposal(s) is/are related to the following activities*

**Please use the reference(s) given in the "Innovation & SME" Work Programme*

Also provide us with the sealing software tool ** Yes No

****It is the proposers' responsibility to ensure that national regulations relating to the use of encryption software are adhered to**

Name of Requester: _____

Signature:

Date:

Appendix 3 – Acknowledgement of receipt form



EUROPEAN COMMISSION
Directorate-General XIII

Luxembourg,

Please write the name and full postal address to which this acknowledgement of receipt should be sent in the box

Dear Madam/Sir

We are pleased to acknowledge receipt of your proposal*:

To be completed by Coordinating Partner			
Programme(s):			
Research Area(s):			
Proposal Title:			
Proposal Acronym:			

This proposal has been given the following reference number (To be completed by the Commission):

Date of reception:

Proposal registration number:

* Please make sure to use the same information as on sheet A0 of Part A of the application forms.

You are kindly requested to quote this reference number in all future correspondence relating to this proposal. Please ensure that all your partners are also made aware of this reference number.

After a check for eligibility, your proposal will be evaluated. It is expected that the final result of the evaluation will be communicated to you three to four months after the deadline for submission of proposals.

On behalf of the Commission we thank you for your proposal and your interest in the research programmes.

Yours faithfully,
FP5 Evaluation Coordinator

Appendix 4 – Implementation modalities: Overview

Modalities	Definition	Type of call	Participation	Range of support	Duration
Combined R&D and demonstration projects	Projects combining the above 2 modalities	Periodic calls within a defined scope with fixed deadlines	At least two non-affiliated participants from different EU Member States (or one Member State and an Associated State)	35% - 50% of total eligible costs	in general up to 36 months
Accompanying measures	Actions contributing to the implementation of a Specific Programme or the preparation of future activities such as workshops, publications, studies, meetings etc.	Periodic calls within a defined scope with fixed deadlines	The nature of solicited AM recommends large consortia commensurate with the broad range of experiences and skills necessary and the necessary wide geographic coverage	Maximum 100% of total eligible costs	in general up to 36 months

Appendix 5 – Contact points

Appendix 5A Contacts points within the European Commission

Innovation Help Desk

DG XIII D4

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Fax: +352-4301.32084

Web: <http://www.cordis.lu/fp5/src/cont-cec.htm>

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Appendix 6 - Evaluation Guidelines

This section briefly describes the evaluation of shared-cost R&D combined Innovation projects, and Accompanying Measures proposals, as well as the criteria used in the evaluation process:

The evaluation will follow the rules set out in the *Manual of Proposal Evaluation Procedures for the Fifth Framework Programme*¹⁶. Additional information on the evaluation process, including a *Vade Mecum for Project Evaluators* and the evaluation forms will be available on the Internet in due time.

Innovation projects promote the transfer of technologies not stemming from the thematic programmes

Type of actions:

- a) Projects
- b) Three types of accompanying measures

- “Cluster support measures” (AM clusters)
- “Common Promotional Structure” (AM promo)
- “Common Policy Interface (AM policy)
- **Pre-proposal checks** : no
- **Pre-registration** : no
- **Receipt of proposals** : the electronic submission will be registered in Brussels and transferred to Luxembourg. The paper copies will be registered in Brussels, copied into the electronic database and transferred to Luxembourg. It will not be an “open” call

6.1. BASIC PRINCIPLES¹⁷

- **Transparency.** Proposals will be evaluated by experts, working as independent consultants¹⁸ to the Commission under a specific agreement that requires the experts to maintain confidentiality and to withdraw from the evaluation process should a conflict of interest occur. The evaluation will be carried out in accordance with the procedure established in advance and available to all in the above mentioned documents.
- **Multi-disciplinarity.** The necessary expertise for assessing all relevant aspects of the proposal will be present during the evaluation process.
- **High quality.** The evaluation will be based, first, on the scientific and technical excellence of the proposals, as well as on the ability of the consortium to carry out the objectives proposed. Proposals failing to reach the required level on either of these two aspects will be rejected.
- **Relevance.** For the proposals retained, the experts will next assess the « relevance » of the proposal that is the likely contribution of the proposed work to the Programme objectives and to the Community social and economic objectives, and its coherence with relevant current and future Community policies.
- **Equity and impartiality** of the ranking. A final mark for each proposal, based on the marks attributed for each criterion by the panel of independent peer reviewers¹⁹, will constitute the main basis, together with an interdisciplinary panel discussion, for establishing a priority order between all proposals eventually recommended for funding by the experts.

¹⁶ <http://www.cordis.lu/fp5>

¹⁷ corresponding to the criteria set in the Evaluation Manual and presented here under section 6.3

¹⁸ Experts are selected via a specific call for experts published in the Official Journal of the European Communities and open for the duration of the Framework Programme

¹⁹ using a weighting method detailed under section 6.3

6.2. ELIGIBILITY CHECKS

The objective of the evaluation procedure is to obtain ranked lists of proposals in order of priority for funding (“priority lists”). The evaluation procedure will be carried out in different stages:

The Commission staff will first check the eligibility of the proposals, taking into account purely administrative aspects (all required completed forms present, date of submission, transnationality requirement, etc.).

After this step, the experts will answer a set of questions designed to check that each proposal complies with the scientific scope of the programme, in particular with the specifications set out in the call. The following questions will be addressed:

- Does the proposal address the parts of the work programme open for the particular call? Are the appropriate policy issues addressed? If the proposal is only partly in line with the call, does it have sufficient merit to be considered in its entirety or in part?
- Have the relevant ethical issues been adequately taken into account? Regarding Community policies, have the necessary safeguards and impact assessments (e.g. on the environment) been adequately considered?
- Does the proposal follow the requirements for layout as detailed in the call?

If these conditions are not respected, experts will be required to provide comments to justify their answers. On the basis of the experts’ remarks, the Commission may decide not to continue with the evaluation of any proposal that does not fulfil any of the above requirements. The result of these checks may appear at any stage of the evaluation.

If a proposal is finally rejected because it does not comply with the scientific scope of the programme or for similar reasons, the applicants will be informed of the specific reason(s) for rejection via an evaluation summary report.

- **Proposal marking** : the identity of the proposers will be revealed to the evaluators from the outset. The relevance of research in clarifying “non-technical” aspects of innovation, its degree of innovation and the proposed methodology is closely linked to the involvement of appropriate partners (competence, expertise, complementarity). Moreover the two criteria “Economic Development” and “Management and Resources” which account for the majority of the weighting, depend substantially on the identity of the proposers. Therefore the “anonymous” part should not be taken into consideration in this call. This will be mentioned in the Call specific Brochure.

6.3. CRITERIA USED FOR PROPOSAL EVALUATION

- **Evaluation criteria** : in addition to the criteria outlined in the general manual, the following criteria will also be taken into consideration:
 - Does the proposal cover the adoption of technologies not stemming from the thematic programmes ?
 - Does the proposal provide funding opportunities for transnational technology transfer ?

The workprogramme provides the details of the criteria. The indication of weightings to be used for each block of criteria is given in the table hereunder. Thresholds are not applicable for this call.

Additional information on the criteria (including examples) will be given in the Call specific Brochure.

This call for proposals will not allow for a two step-approach, only one single submission will be accepted. Remote evaluation is not applicable for this call.

Selection criteria (specific interpretations, weightings):

CRITERIA	Relative weightings of blocks of criteria			
	Projects	AM clusters	AM promo	AM policy
<p>1. Scientific/Technological quality and innovation.</p> <p>a) The <u>relevance</u> of the research in clarifying “non-technical” aspects of innovation and its contribution to achieve the objectives of the Programme.</p> <p>b) The <u>degree of innovation</u> of the methods applied to solve “non-technical” innovation problems.</p> <p>c) The <u>appropriateness</u> of the chosen approach, methodology and workplan (tasks, responsibilities, timing, milestones, deliverables) in addressing the technology transfer described in the proposal.</p>	10	20	30	10
<p>2. Community Added Value</p> <p>a) The potential of the technology transfer described in the proposal to contribute to <u>solving technical problems at European level</u>.</p> <p>b) The transnational <u>combination of complementary expertise</u> put forward by the proposal.</p> <p>c) The potential of the proposal to contribute to the implementation of <u>EU policies</u>, in particular EU innovation policy.</p>	20	20	10	40
<p>3. Community social objectives.</p> <p>a) The potential of the proposal to contribute to improving the <u>quality of life and health/safety</u>.</p> <p>b) The potential of the proposal to contribute to improving the <u>employment</u> prospects and the development of <u>skills</u>.</p> <p>c) The potential of the proposal to contribute to <u>preserve</u> and enhance the <u>environment</u> and to the conservation of natural resources.</p>	10	10	10	20
<p>4. Economic development and S&T prospects.</p> <p>a) The potential of the proposal to contribute to economic growth, in particular through the <u>wealth of applications</u> and the <u>quality of the exploitation plans</u>.</p> <p>b) The fit of the “non-technical” aspects of the proposal with the <u>strategic interest</u> of the consortium and its potential to improve <u>competitiveness</u>.</p> <p>c) The expected efficiency of the <u>dissemination strategies</u> proposed.</p>	30	10	30	20
<p>5. Resources, partnership and management.</p> <p>a) The <u>quality of the management and proposal execution</u> proposed, in particular means to assist multi-cultural and multi-disciplinary partnership, ensuring good communication within the proposal consortium and with the respective target groups.</p> <p>b) The <u>quality of the partnership</u> and involvement of appropriate partners to assure the competence, expertise and complementarity required for performing technology transfer and assessing methodologies on non-technical issues.</p> <p>c) The <u>appropriateness of the resources</u> in view of own contribution to the proposed proposal, the availability of the manpower effort, allocation of budget and expertise to perform the technology transfer related non-technical issues.</p>	30	40	20	10

- **Contract preparation and finalisation** : among the items to be dealt with in the contract preparation and finalisation phase will be, additional to the details set out in this manual, the contractual obligation of including a GO/NO GO decision, 6 months after starting the contract for the project. Additional information will be given in the Call specific Brochure.