THE FIFTH FRAMEWORK PROGRAMME

The Fifth Framework Programme focuses on Community activities in the field of research, technological development and demonstration (RTD) for the period 1998 to 2002

GUIDE FOR PROPOSERS

INFORMATION SOCIETY TECHNOLOGIES
IST PROGRAMME
(USER-FRIENDLY INFORMATION SOCIETY)

3rd IST CALL and ADDITIONAL IST CALL

PART 2A
"Fixed deadline proposals - for RTD"

Proposals for
RTD actions *(including INCO Bursaries)*
Call part identifiers IST-00-3-1A and IST-99-ADD

Foreword – PART 2A

This PART 2A of the IST Guide for Proposers for the 3rd IST call and for the Additional call for proposals for systems and services for independent living under the IST programme of 10th February 2000 contains information specific to the part of the call with a fixed deadline of 10th May 2000 for RTD actions (*Call part identifiers: IST-00-3-1A and IST-99-ADD)[1]*.

There are similar guides for other types of action. To decide which is appropriate for your proposal, you should:

➢ Check the Workprogramme. The 2000 Workprogramme for the IST Programme explains which action types are applicable to the Action Line that you intend to address.

➢ Check the Call for Proposals as published in the Official Journal of the European Communities. This indicates which Action Lines and action types are currently open for proposals and related deadlines for submission.

The guides available are:

ACTION TYPE	TITLE	PART
RTD, Demonstration, and combined RTD/Demonstration projects	Fixed deadline proposals - for RTD	2A
Take-up (assessment, best practice, trials)	Fixed deadline proposals - for Take-up Actions	2B
Accompanying Measures, Concerted Actions and Thematic Networks	Fixed deadline proposals - for Support Measures OR	2C
	Continuous Submission Scheme - for Support Measures	2E
FET Open Actions (short and full proposals)	Continuous Submission Scheme - for FET Open	2D
Grants (conferences, seminars, exhibitions and workshops)	Applications for Grants	2F

These guides must be read with PART 1 of the IST Guide for Proposers, which contains information on the Fifth Framework Programme, the IST programme and the rules for participation together with some general information on the proposal submission process.

In preparing your proposal, you should also consult the Evaluation Manual, The IST specific Annex and the Guidelines for Evaluators. These documents describe the criteria that will be used in the evaluation of proposals; the weight 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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[1] The additional call refers to the IST workprogramme of 1999. See appendix 6 for more information.

Contents – PART 2A – "Fixed deadline proposals - for RTD"

PART 2A

IV Specific information for the 3rd call in the IST programme Published 10th February, 2000: Fixed Deadline Proposals - for RTD (10 May 2000)

IV.1 Introduction

This section describes the submission procedure for proposals for RTD actions (research, demonstration and combined research and demonstration actions) in the 3rd IST call and in the Additional call for proposals for systems and services for independent living under the IST programme, both published on 10th February, 2000 with a "fixed deadline" of 10th May 2000. The Action Lines opened for RTD actions are specified in the Call for Proposals published in the Official Journal of the European Communities, and their objectives and scope are defined in the IST 2000 Workprogramme.[1]

Proposals for RTD actions may be accompanied by proposals for Bursaries for young researchers from developing countries (INCO bursaries).

IV.1.1 RTD Actions

Research projects aim at obtaining new knowledge or are intended to develop or improve products, processes or services and at the same time support the implementation of Community policies. Proposals for research projects should therefore focus more on the innovation aspects and on how they will bring forward the state of the art in their specific research or application areas.

Demonstration projects are designed to prove the viability of new technologies offering potential economic advantage but which cannot be commercialised directly. Proposals for demonstration projects should therefore focus more on validation, involvement of users, possibilities to create market opportunities and on exploitation plans.

Combined research and demonstration projects combine the two above elements in a single project. Proposals for combined projects must therefore focus on the most important part of the proposal, and clearly state the research and demonstration objectives, and describe how each of them will be obtained.

Summary of eligible costs - RTD Actions

The RTD actions described above use the same eligible cost categories: **Personnel, Durable equipment, Consumables, Travel and Subsistence, Computing, Subcontracting, IPR protection, Other costs, Overheads, Coordination costs.**

The EC contribution depends on the type of project, the cost model of the organisation and the country of organisation. The EC contribution to research projects is up to 50% of the total eligible costs for full cost participants (FC or FF model). The EC contribution to demonstration projects is up to 35% of the total eligible costs for full cost participants (FC or FF model). The EC contribution to combined research and demonstration projects is up to 35-50% of the total eligible costs for full cost participants (FC or FF model). The EC contribution to all organisations using the additional cost model is up to 100% of the total eligible costs. EC contribution is normally only paid to member states of the EU or the associated states. (See Guide for proposers, Part 1, section 3 for more detailed explanations).

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[1] Proposers for the Research Area 1.2, "Persons with special needs, including the disabled and elderly", in Key Action 1, should note that an Additional Call for proposals for 'Systems and services for independent living' is being opened on 10 February. Proposers for this area should consult the complementary information for this area in Appendix 6.

IV.1.2 Bursaries for young researchers from developing countries

Proposers for research, demonstration and combined research and demonstration projects may include applications for **Bursaries for young researchers from developing countries** (INCO Bursaries) in conjunction with their RTD proposals, using the special application form supplied in Appendix 1B.

In addition to the actions included here, the IST Programme also welcomes applications for Marie Curie Industry Host Fellowships and measures established for SME participation.

Guides for Proposers for these actions are available on the CORDIS website:
http://www.cordis.lu/fp5/home.html

IV.2 Proposal preparation

IV.2.1 Proposal language

Proposals may be submitted in any official language of the European Union. If your proposal is not in English, a translation of the full proposal would be of assistance to the evaluators and an English translation of the abstract and proposal summary should be included in part A of the Proposal Submission Form.

IV.2.2 Proposal structures and submission forms

A proposal for **RTD (research, demonstration or combined projects)** has three parts:

- **Part A** collects 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 expense etc.). This information will assist in the preparation of a contract if the proposal is successful. It is subject to verification by the Commission services.

- **Part B** (which unlike Part A is in the form of a structure or list of topics which should be followed, rather than a pre-prepared form) describes in detail the nature of the proposed work. This section must be anonymous, that is it may contain no information which reveals the identity of participants. The instructions for Part B are in Appendix 1A.

- **Part C** (which is also in the form of a structure to be followed) then identifies and describes the partners and their role in the consortium and in the proposed project. It also describes the European added value of the proposed project, its contribution to social policies, the dissemination and - if relevant - the exploitation plans. Only after the evaluators have recorded their scores for Part B are they given Part C to review. The instructions for Part C are in Appendix 1A.

Forms have been prepared which collect the administrative information required for Part A of the proposal - the Proposal Submission Forms. These are designed both to ensure that all necessary information is collected and to allow a fair and equal comparison between proposals. There are several versions, differing according to the types of action proposed (RTD projects, Accompanying Measures, Concerted Actions etc.). Research, demonstration and combined research and demonstration projects use the same shared cost RTD forms. **Proposers must ensure they are using the appropriate form for part A for the type of action they are proposing.**

Proposals for either a research or a demonstration project need only one proposal description.

For combined research and demonstration projects, the general rule is that the proposal should be made in two parts, one describing the research part and one covering the demonstration part. The proposing consortium must in this case make two separate descriptions of part B and C and also two A4 cost sheets, one for each part. In the cases where it is impossible to separate clearly the research and demonstration parts of the proposal, the consortium may make one proposal description, but must in the A4 cost sheet use a percentage for funding that reflects the relative weight of the two phases in the project.

The form for acknowledgement of receipt (Appendix 4) must be attached to the proposal in order to ease confirmation of receipt of the proposal.

The proposal submission forms are available electronically on CORDIS http://www.cordis.lu/fp5/src/forms.

IV.2.3 Proposal preparation Tool (Pro-Tool)

To help proposers prepare the administrative and financial information for a proposal (part A) in conformity with the appropriate Proposal Submission Form, the Commission provides a software tool (the Proposal Preparation Tool or "ProTool"). ProTool is used chiefly by the Co-ordinator. Other participants can also use ProTool to prepare their contribution and communicate it electronically to the Co-ordinator.

ProTool assists in making the forms complete and consistent and in assembling part A with parts B and C. It supports proposers and the Commission services with high quality and efficient entry of administrative data. Once the proposal has been prepared with the tool, it may be sent either electronically or on paper, as preferred by the proposers.

ProTool is available on CORDIS http://www.cordis.lu/fp5/protool/.

IV.2.4 Proposal anonymity

Part B of the proposals for RTD actions must be anonymous. In this part, which contains the description of the content of the proposed project, there must be no reference to the names of the organisations involved in the consortium or any information by which they may be identified, including proposers names in bibliographic references (those could be in part C of the proposal). Participants must be referred to by the codes and numbers assigned in the Proposal Submission Form Part A, sheet A3 (i.e. CO1, CR3, AC4, etc.)

IV.2.5 Optional pre-proposal check

The Commission services will check a proposal summary for the eligibility of the consortium and that the proposed work falls within the scope of the current call. In the current call, this service is open only for proposers to action line IST-2000-6.2.1 (FET Proactive Initiative P1). Forms are in Appendix 3.

Please read the information on the FET Proactive Initiative P1 at www.cordis.lu/ist/fethome before writing a proposal. Pre-proposals for FET P1 should be faxed to +32.2.296.83.90 or sent by e-mail to istfet@cec.eu.int at any time up to 31 March, 2000 at 17.00.

IV.2.6 Notification of intention to propose - Pre-registration

> **The IST programme strongly encourages proposal co-ordinators to pre-register their intention to submit a proposal.**

Proposal co-ordinators can request a proposal number using the pre-registration form (Appendix 2), to be sent to the Commission services via fax, letter or electronic mail **no later than 19 April, 2000**. In return they will receive, within a few working days, and at the latest on 28 April, 2000, a proposal number from the Commission services, to be quoted in the full proposal when it is submitted.

The pre-registration of a proposal does not commit the proposers to submit a full proposal or an identical proposal. Proposals without a proposal number will not be excluded from the evaluation. However pre-registration allows the Commission to notify proposers of any further information or issues arising during the Call, and it also assists the Commission services in preparing for the evaluation.

IV.3 Submission of proposals

IV.3.1 Introduction

If the proposal has been prepared on paper following the format given in the appropriate Proposal Submission Form, it may be submitted on paper to the European Commission. If the proposal is made with the Pro-Tool and is then printed out on paper, this paper version may also be submitted.

If the proposal has been made with the Pro-Tool it may be submitted electronically. This electronic submission may be made by any member of the consortium (not only the Co-ordinator). The participant who makes the submission must obtain certification (see below) so that electronic submission can be carried out securely.

The co-ordinator must have in his possession:

- either the original signatures of the participants - principal contractors and assistant contractors - who would contribute to the funding of a project
- or the signed commitment letters from the participants stating that the co-ordinator is authorised to submit the proposal on behalf of the consortium and that the proposal is agreed by the participants.

Proposers should submit either on paper or electronically, not both. If a proposal is submitted in both forms, the Commission will evaluate the electronic version.

When preparing a proposal on paper, the proposer must indicate the proposal short name (acronym), the proposal number (if a number has been allocated before submission by the Commission) and the date of preparation at the top of every page of the parts B and C, and on all annexes. Pages must be clearly numbered.

A submission checklist is provided in section IV.6.

IV.3.2 Electronic submission

IV.3.2.1 Certification

To send a proposal electronically to the Commission, the co-ordinator (or other participant who is submitting the completed proposal) must request in advance a certificate which will allow him to sign the proposal digitally. A standard certificate (Class-II) or a one-time certificate (Class-I) can be requested. Both are provided free of charge.

> **Standard certificates (Class-II)** can be obtained by downloading, installing and using the ProTool. Proposers are requested to complete and sign a request form and to send this to the Framework Five Certification Service Provider (FP5-CSP). Once the FP5-CSP has received and accepted the form, a certificate will be provided. This certificate allows electronic submission of proposals for the duration of the certificate (normally one year, but extendible), without any further exchange of paper information.

> This form of certificate will allow encryption of the proposal. (It should be noted that national regulations may impose certain conditions on the use of the encryption software. It is the responsibility of the proposers to ensure that such national regulations are adhered to).

> **One-time certificates (Class-I)** can also be obtained from the FP5-CSP, by use of the ProTool. This form of certificate allows electronic submission of only one proposal, for those co-ordinators who want to try the system out, or who expect not to send another proposal soon. Electronic submission with this certificate requires in addition the sending of a manually signed form A.1 from Part A of the Proposal Submission Form on paper to the Commission before the deadline set out in the relevant Call for Proposals.

This form of certificate does not provide encryption. Security is restricted to the standard available on the secure servers used (SSL).

A request for certification is made by using the ProTool.

IV.3.2.2 List of countries in which electronic submission is possible

Although electronic submission is possible from any country in the world, not all certificate classes are allowed in all countries.

Electronic submission with Class I certificates is allowed from any country in the world because the submission files are not encrypted.

Electronic submission with Class II certificates, on the contrary, are encrypted.
Due to export restrictions of the encryption enabler library, Class II certificates can only be requested from the following countries:

Argentina, Australia, Austria, Belgium, Bulgaria, Canada, Czech Republic, Denmark, Finland, France, Germany, Greece, Hungary, Israel, Italy, Japan, Luxembourg, Netherlands, New Zealand, Norway, Poland, Portugal Rep. Of Korea, Romania, Russian Federation, Singapore, Slovak Republic, South Africa, Spain, Sweden, Switzerland, Taiwan, Turkey, Ukraine, United Kingdom, and United States.

Therefore, if the country from which you want to submit in not listed above, you cannot use a Class II certificate. However, you may still submit electronically using a Class I certificate.

Check the Protool website for the latest list of countries: http://www.cordis.lu/fp5/protool/submission

Senders are warned that the Commission cannot be held liable for unlawful use of the encryption tools provided, the use of which may be forbidden in some circumstances in some Member States.

IV.3.2.3 Procedure

The ProTool software contains the tool for sealing the proposal. This tool is used by the co-ordinator to package the administrative and technical proposal information parts A, B and C into one file and produce a "fingerprint" or validation file of the proposal, which uniquely identifies the proposal file. Submission of the validation file signifies the time of proposal submission. In case of communication problems this file can be printed and faxed before the deadline of the Call. The proposal itself must be received electronically no more than 48 hours after the Call deadline. While the sender will be returned an electronic message indicating successful transfer of file, this is not the formal acknowledgement of receipt of proposal.

The files containing **parts B and C** of the proposal should be clearly identified as such in the file name. These files should have the format type, **pdf, rtf, postscript or word** (the latter is the least desirable due to local format settings). **The Commission reserves the right not to consider files with other formats than defined above**.

Holders of a Class-II certificate will also be able to encrypt the proposal file. The precise method is explained in the sealing tool.

On receipt, the Commission will electronically archive, under secure conditions, the validation and proposal file as received. After decryption and unpacking, a copy of the proposal as provided to evaluators will be archived electronically under the same conditions, together with the necessary information on the tools and information used to decrypt and unpack.

If the Commission receives multiple electronic versions of the same proposal, it will evaluate only the last version received before the Call deadline, and discard the others.

IV.3.2.4 Electronic submission fall-back procedure

Failure in downloading or an inability to decrypt or read a proposal file will result in a fallback procedure being initiated by the Commission. The Commission will within 24 hours request those proposers to submit a back-up copy of their proposal. The back up should arrive within 48 hours and must be identical to the file produced during sealing, which will be checked by use of the unique identifier, provided in the validation file. (Proposers planning electronic submission are recommended to prepare such a back-up copy in advance, for use if called for).

IV.3.3 Submission on paper

IV.3.3.1 Procedure

In some cases, national regulations concerning the sending of data do not permit the use of encryption, and thus confidential transmission cannot be ensured. In others, proposers may prefer to submit proposals on paper. In either case, proposals may be prepared using the ProTool then printed out on paper, or may be fully prepared on paper using the appropriate Proposal Submission Form.

IV.3.3.2 Number of copies

Paper proposals should be prepared:
- with five bound copies of Part A
- with five bound copies of Part B
- with five bound copies of Part C,
- with one complete unbound paper original with original signature of the co-ordinator on A1.

IV.3.3.3 Packaging and delivery

The complete set of proposal documentation should be placed in an envelope or envelopes, marked "*Commercial-in-confidence*" with the following information in addition:

- The name of the Programme to which it is submitted, the date of publication of the Call and the Call identifier;
- The proposal acronym and number (if one has been issued by the Commission);
- A reference to the work addressed by the proposal (the name and number of the key action, action line etc., as given in the Work Programme or Call for Proposals).

The package should also contain a completed "*Acknowledgement of receipt*" form (see Appendix 4) so that the Commission can return notification of safe arrival of the proposal.

This envelope/these envelopes should then be sealed within a second envelope or packaging, which is addressed to the Commission office for receipt of proposals given as specified in the call text.

Proposals on paper may be sent to the Commission by mail, by trusted delivery service or by hand as described in the call text.

If you use more than one package, please clearly mark them 1 of x, 2 of x….

IV.3.4 Acknowledgement of receipt

Once a proposal, either electronic or paper, has been received and registered by the Commission, an acknowledgement of receipt will be despatched.

Proposers who do not receive an acknowledgement of receipt within three weeks after the deadline should contact the programme Infodesk. Proposers are reminded that it is their own responsibility to ensure the safe delivery of their proposal.

IV.3.5 Submission addresses

Proposals must be submitted by one of the following methods:

- Electronically using the Proposal Preparation Tool (ProTool). ProTool contains the necessary information for electronic submission to the Commission.

- Post, preferably registered, as confirmed by the postmark, or courier[1] or hand-delivery, as confirmed by acknowledgement of receipt, to:

   The IST Programme
   The Research Proposal Office
   Square Frère Orban/Frère Orbanplein 8
   B-1040 Brussels, Belgium

IV.3.6 Deadlines

The deadline for submission of proposals for the this Call is:

10 May, 2000

Proposals sent by express Courier service or delivered by hand must arrive by 17h00 Brussels time on this date.

Proposals sent by mail must be clearly postmarked on or before this date, and then must arrive no more than 10 working days after it.

In the case of electronic submission, the validation file, which identifies the proposal file uniquely, must be received (electronically or by fax) on this date at 17h00 Brussels time on this date. The proposal file must then be received electronically no more than 48 hours after the deadline.

IV.3.7 Results

Proposers for this call can expect to be notified of the result of the evaluation of their proposals in the autumn. Successful proposers will be asked to prepare their draft contract Annex 1 "Description of Work" and Contract Preparation Forms for negotiation with the Commission services in August/September with the aim to finalise the negotiations by end of October. Please bear in mind this timetable so that you already at the proposal stage have prepared the IPR and consortium agreements and so that your consortium is prepared to work in this period.

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[1] For courier services that require a telephone number for the recipient, please use +32-2-2960245.

IV.4 Support for Proposers

IV.4.1 IST Programme Information desk

The address of the IST Programme Infodesk is:

> *European Commission*
> *The IST Information Desk*
> *Directorate General Information Society, Unit F7*
> *Rue de la Loi/Wetstraat 200, BU 29 04/19*
> *B-1049 Brussels, Belgium*
>
> *Email: ist@cec.eu.int*
> *Fax: +32-2-296.8388*
> *Web: www.cordis.lu/ist*

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

Proposers should periodically check the IST Call Website: http://www.cordis.lu/ist for the latest information.

IV.4.2 Partner search facilities

The Commission's CORDIS server in Luxembourg (http://www.cordis.lu/ist/eoi) 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 the programme.

IV.4.3 National contact points

National Contact Points for the IST Programme (see Appendix 5) can be helpful to organisations from their country in finding partners from other countries. Organisations should contact the NCP of their country for further information.

IV.4.4 IDEALIST: Support for potential proposers

The IDEALIST service helps potential proposers and newcomers to the IST Programme to find the right partners across international boundaries. IDEALIST offers:
- a partner brokerage service, targeted on particular calls and Action Lines, that pools the local knowledge of partners from 19 countries
- international partner brokerage events
- general support for potential proposers
- special workshops and seminars.

The IDEALIST partners, many of whom are also official National Contact Points for the IST Programme, represent Austria, Belgium, Denmark, Finland, France, Germany, Greece, Iceland, Ireland, Israel, Italy, Luxembourg, Netherlands, Norway, Portugal, Spain, Sweden, Switzerland, and the United Kingdom. To find out more, contact ideal-ist@dlr-de or access http://www.ideal-ist.net/, or contact the NCP of your country.

IV.4.5 IDEALIST-EAST: promoting CEEC/NIS involvement

The objective of the IDEALIST-EAST network is to foster co-operation in the IST Programme between organisations from Central and Eastern European Countries (CEEC) and the Newly Independent States (NIS) of the former Soviet Union on the one hand, and the EU Member and Associated States on the other.

Specific aims are to:
- increase the awareness in the ICT community in the West of the opportunities for collaboration with organisations in the East
- increase the competence of the Eastern partners who give advice to industry and researchers on participation in the IST Programme
- enhance partner search for IST collaborators between East and West.

The IDEALIST-EAST partners, many of whom are also official National Contact-Points for the IST Programme, represent Austria, Belarus, Bulgaria, Czech Republic, Denmark, Estonia, Georgia, Germany, Hungary, Iceland, Italy, Lithuania, Poland, Russian Federation, Slovakia, Slovenia, Ukraine, and the United Kingdom. To find out more, contact idealist-east@dlr.de or access http://www.idealist-east.net/

IV.4.6 Programme Information Days

The IST Programme, EU Member States and Associated States frequently organise 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 preparation software (ProTool), to ask questions etc. and to meet potential consortium partners.

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

IV.4.7 Other help facilities

IV.4.7.1 The Intellectual Property Rights Helpdesk

The IPR-Helpdesk has been set up to support participants in RTD programmes seeking information on Intellectual Property Rights (IPR) and related contractual issues. The activity will also aid participants in locating the assistance necessary to register, protect, and exploit their inventions. The IPR-Helpdesk offers information on these issues and guides users to the services available from national patent offices, patent agents, and lawyers in their country.

IPR-Helpdesk
64–66 avenue Victor Hugo
L-1750 Luxembourg
Tel. +352–47-11-11-1
Fax +352–47-11-11-60
e-mail: info@ipr-helpdesk.org
URL: http://www.cordis.lu/ipr-helpdesk

IV.4.7.2 The Improving Human Potential Programme Helpdesk

For specific information relating to the Marie Curie Industry Host Fellowship scheme, proposers should use the following:

European Commission
Marie Curie Fellowships (Unit RTD-F2)
Directorate General Research
Rue de la Loi/Wetstraat 200
B-1049 Brussels, Belgium

Email: Improving@cec.eu.int
Fax: +32-2-2969926
Web: http://www.cordis.lu/improving

IV.4.7.3 The SME Programme Helpdesk

For specific information relating to SME specific measures (i.e., exploratory awards and co-operative research) proposers can get more information from the SME Helpdesk:

European Commission
SME Helpdesk
Directorate General Research
Rue de la Loi/Wetstraat 200
B-1049 Brussels, Belgium

Email: sme@cec.eu.int
Fax: +32-2-2957110
Web: http://www.cordis.lu/sme

IV.5 References

Potential proposers could consult the following documents:

Decision on the Fifth Framework Programme		http://www.cordis.lu/fp5/src/decisions.htm
Decision on the IST Programme		http://www.cordis.lu/fp5/src/decisions.htm
FP5 Rules of Participation and dissemination		http://www.cordis.lu/fp5/src/decisions.htm
FP5 Implementation modalities		http://www.cordis.lu/fp5/src/decisions.htm
IST Call text, 10.02.2000		http://www.cordis.lu/ist/calls/200001.htm
IST Workprogramme 2000		http://www.cordis.lu/ist/wp
Evaluation Manual		http://www.cordis.lu/fp5/src/evalman
IST Guidelines for Evaluators		http://www.cordis.lu/ist/calls/
Proposal Submission Forms (Part A)		http://www.cordis.lu/fp5/src/forms_a.htm
Proposal Submission Forms (Part B and C)	Appendix 1	http://www.cordis.lu/fp5/src/forms_a.htm
Model Contracts for RTD		http://www.cordis.lu/fp5/mod-cont.htm
Guidelines on major financial provisions -RTD		http://www.cordis.lu/fp5/mod-cont.htm
Participant's Choice of Cost Reimbursement system for RTD		http://www.cordis.lu/fp5/cont-admin.htm
FET Information (FET P1)		http://www.cordis.lu/ist/fethome.htm
Persons with special needs		http://www.cordis.lu/ist/ka1
National contact points	Appendix 5	http://www.cordis.lu/fp5/src/ncps.htm
Information Days calendar		http://www.cordis.lu/ist/events.htm
Organisations expressing interest in Call		http://www.cordis.lu/ist/eoi.htm
Innovation Relay Centres		http://www.cordis.lu/innovation-smes/src/suppnet.htm
Information and forms on Marie-Curie fellowships		http://cordis.lu/improving
SME-specific measures		http://www.cordis.lu/sme
INCO-web site (Bursaries, international co-operation)		http://www.cordis.lu/inco
Other programme web sites accessible via		http://www.cordis.lu/fp5
IPR helpdesk		http://www.cordis.lu/ipr-helpdesk
Proposal Preparation Tool (ProTool)		http://www.cordis.lu/fp5/protool/
List of countries for certificate II		http://www.cordis.lu/fp5/protool/submission
IDEALIST		http://www.ideal-ist.net/
IDEALIST EAST		http://www.idealist-east.net/

Latest information (IST)		**http://www.cordis.lu/ist**

IV.6 Checklist for submission

In order to avoid last-minute problems with submission, there are a number of checks, which you should carry out.

For **ELECTRONIC** submission of your IST proposal you should check the following items:

➜ Have you ordered your certificate (using ProTool with an electronic request, and by sending the full written and signed forms) well in advance of the deadline (at least 3 weeks before is recommended)?
➜ Have you imported this certificate to ProTool successfully?
➜ Have you requested a proposal number (at least three weeks before the deadline)?
➜ Are all parts of the proposal (A-B-C) duly completed?
➜ Have you integrated all parts (A-B-C and the filled out acknowledgement of receipt form) of the proposal into the file to be submitted?
➜ Have you checked the address of the server to which to upload the proposal?
➜ Have you checked that the proposal prints out correctly in one of the formats: PDF, RTF, Postscript or Word, and that it does not include files of another format (do not use picture, photo, voice or video formats, or MS Project, or similar tools)?
➜ Last but not least: Is your proposal submitted before the deadline for electronic submission?

For **PAPER** submission of your IST proposal you should check the following items:

➜ Have you requested a proposal number (at least three weeks before the deadline)?
➜ Are all parts of the proposal (A-B-C) duly completed?
➜ Is your proposal prepared with five bound copies of part A, five bound copies of part B, five bound copies of part C, and one complete unbound paper original?
➜ Does the A1 form contain the original signature of the Co-ordinator? (A3 "Participant Profile/Information" forms can be printed either from ProTool or using the pdf forms. They do not need to be submitted with original signatures and should not be submitted as faxes).
➜ Is the complete set of proposal documentation placed in an envelope, marked "Commercial-in-confidence", with the following information:
  ➜ "IST Programme" and date of publication of the call?
  ➜ The Call part identifier (see call text)?
  ➜ The proposal number (if one has been issued)?
  ➜ A reference to the Key Action(s) and Action Line(s) addressed by the proposal (as given in the Work Programme)?
➜ Have you completed the "Acknowledgement of Receipt" form and included it in the package?
➜ If you use more than one Package, are the packages clearly marked parcel 1 of X, 2 of X, etc.? Is each parcel clearly marked as described above?
➜ Is the address on the package complete and correct (see call text or Guide for Proposers)?
➜ Last but not least: Is your proposal sent on time for the closing date of the call?

Appendix 1 - Proposal Submission Forms

This appendix contains:

APPENDIX 1A - PROPOSAL SUBMISSION FORMS FOR SHARED-COST RTD PROJECTS
APPENDIX 1B - PROPOSAL SUBMISSION FORMS FOR INCO BURSARIES

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

Shared-cost RTD projects cover:

- Research and development (R&D) projects,
- Demonstration projects,
- Combined R&D and demonstration projects.

Proposals for shared cost RTD project have 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 project, the dissemination and - if relevant - the exploitation plan and ethical and safety issues.

This document contains only the IST Programme-specific forms for Part B and Part C.

The Part A forms are general to the whole Framework Programme and form a separate part of the Information Package. They include machine-readable forms (A0-A4), Guidelines and Annexes. If your Information Package does not contain the appropriate Part A form, please download it from the programme web site or contact the National Contact Points or the programme helpdesk.

Proposal structure and description.

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

- **Part B** is **anonymous**. It presents the objectives and summarises the scientific 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. There must in this part be no reference to the names of the organisations involved in the consortium. The participants must only be referred to by the codes and numbers assigned to the participants in the administrative form, (sheet A3, i. e. CO1, CR3, AC4, etc.). It is, however, 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 CR2 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 CO1 owns three major patents in the area [patents 12 to 14]*). Proposals in which the identity of any of the applicants is indicated will be rejected. Independently of this, it must be clear that 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,** which is not anonymous, 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, the dissemination and - if relevant - the exploitation 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.
For **Research** or for **Demonstration** projects the proposers should make a proposal description consisting of Parts A, B and C.

However, for **Combined research and demonstration** projects the general rule is that the proposal should treat the two elements separately. That is:

A single Part A is prepared, with however two A4 cost forms, one summarising the costs of the research element and one summarising the costs of the demonstration element of the work.

Two Part Bs (separating the research and demonstration elements)

Two Part Cs (separating the research and demonstration elements)

Only in the case where it is **impossible** to separate clearly the research and demonstration parts of the proposal may the consortium make one proposal description (i.e. one Part A, one Part B and one Part C), but the consortium must then in the A4 cost sheet use a percentage for funding (between 35-50%), that accurately reflects the relative weight of the two phases in the project.

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

Part B – RTD Proposals: Description of scientific/technological objectives and workplan

NB! PART B MUST BE ANONYMOUS
Part B should not reveal the names of the proposers nor otherwise reveal their identity e. g. through inclusion of corporate logos references to existing products, etc.

B1. Title page
Proposal full title
Proposal acronym
(Date of preparation)
Proposal number (if applicable)

B2. Content list (Part B only)

B3. Objectives.
This section, which should not exceed two pages, describes the **scientific/technological objectives** of the proposal. They should be achievable within the project, 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 objectives in later reviews and assessments.

B4. Contribution to programme/Key Action objectives
This section, which should not exceed one page, describes how the proposed project will contribute to the objectives of the programme and/or Key Action. This can be done by describing how the proposal meets the requirements of the Action Line, which it addresses.

B5. Innovation
This section, not exceeding four pages, describes the innovative aspects of the proposed project, detailing proposed advances in the state of the art.
Innovation can be in the form of novel products/services/applications. It can range from the development of novel techniques/systems/environments to the integration of new generation technologies in original ways. It can include development of novel business processes, new organisational practices or, more generally, novel forms of interaction between people and information, whether at work or in daily life.
Proposers should clearly identify the novelty of their proposed results, for example by including a comparison with the 'state of the art' (world-wide).

B6. Project workplan:
This section concisely describes the work planned to achieve the objectives of the proposed project. The recommended length, excluding the forms specified below, is up to 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. It should also identify significant risks and contingency plans. The workplan must be broken down into workpackages (WPs) which should follow the logical phases of a project's life cycle and include management of the project and assessment of progress and results. 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 plan, showing the timing of the different WPs and their components (Gantt chart)
   c) Graphical presentation of the project's components, showing their interdependencies (Pert diagram)

d) Detailed project description broken down into workpackages:
Workpackage list (use Workpackage list form below);
Deliverables list (use Deliverables list form below);
One page description of <u>each</u> workpackage (use Workpackage description form below):

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

Workpackage list

Work-package No[1]	Workpackage title	Lead contractor No[2]	Person-months[3]	Start month[4]	End month[5]	Phase [6]	Deliv-erable No[7]
	TOTAL						

---

[1] Workpackage number: WP 1 – WP n.

[2] Number of the contractor leading the work in this workpackage.

[3] The total number of person-months allocated to each workpackage.

[4] 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.

[5] Relative end date, month 0 marking the start of the project, and all ends dates being relative to this start date.

[6] Only for combined research and demonstration projects: Please indicate R for research and D for demonstration.

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

Deliverables list

Deliverable No[1]	Deliverable title	Delivery date [2]	Nature [3]	Dissemination level [4]

[1] Deliverable numbers in order of delivery dates: D1 – Dn

[2] 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.

[3] Please indicate the nature of the deliverable using one of the following codes:
R = Report
P = Prototype
D = Demonstrator
O = Other

[4] Please indicate the dissemination level using one of the following codes:
PU = Public
PP = Restricted to other programme participants (including the Commission Services).
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).

Workpackage description

Workpackage number :		Start date or starting event:					
Participant number:							
Person-months per participant:							

Objectives

Description of work

Deliverables

Milestones[1] and expected result

---

[1] 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.

Part C – RTD Proposals: Description of contribution to EC policies, economic development, management and participants.

NB! PART C IS NOT ANONYMOUS

Part C describes the contribution of the proposed work to EC policies and social objectives, and to economic development, the project management plan, the consortium structure, the participating organisations in the consortium, the key personnel and individual and collective plans for dissemination and - if relevant - the exploitation of the results.

C1. Title page
Proposal full title
Proposal acronym
(Date of preparation)
Proposal number (if applicable)

C2. Content list (part C only)

C3. Community added value and contribution to EC policies.
This section, which should not exceed two pages, should identify which issue at the European level the proposal is addressing. It should also describe why the proposed project should be carried out at European level instead of at national level, for example if there is a need to create a critical mass in human or financial terms, or whether the project will bring together complementary expertise existing in different organisations.

If appropriate, this section should also describe how the proposed project will contribute to the implementation or evolution of one or more of the EC's policies or address problems connected with standardisation and regulation.

C4. Contribution to Community social objectives.
This section, not exceeding two pages, should describe how the proposed project will contribute to meeting the social objectives of the Community such as: improving the quality of life and health and safety (including working conditions) and/or how it will contribute to improving employment, and/or to preserving or enhancing the environment and natural resources. This might include the contribution of the proposed work to meeting relevant regulatory requirements. Where applicable, the description should also cover the proposed project's compliance with ethical requirements.

C5. Project management

This section, not exceeding two pages, should describe how the proposed project will be managed, the decision making structures to be applied, the communication flow within the consortium and the quality assurance measures which will be implemented, and show how changes will be controlled and conflicts resolved. If applicable, this section should also show how legal and ethical obligations; for example concerning encryption or security of personal data will be met.

C6. Description of the consortium

One page description of the consortium stating who the participants are, what their roles and functions in the consortium are, and how they complement each other.

C7. Description of the participants

Short description of the participating organisations including (no more than two pages 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 EC projects. *(Each CV no more than 10 lines)*

C8. Economic development and scientific and technological prospects

This section, which should not exceed five pages, should describe the plans for the dissemination and -if relevant - exploitation of the results for the consortium as a whole and for the individual participants in concrete terms. It should describe the tools and/or means to be used to disseminate the results, and any user groups and how they will be involved. It should detail the exploitation strategies in particular for the commercial/industrial organisations involved in the proposal. Strategic impact of the proposed project in terms of improvement of competitiveness or creation of market opportunities for the participants should be described. This could, where appropriate, include assessment of market size, competition, the benefits from using the products or services based on the results, pricing and potential sales.

Appendix 1B - Proposal Submission Forms for INCO bursaries for young researchers from developing countries

The proposal forms for INCO bursaries for young researchers from developing countries - Part A (administrative forms) including instructions for how to describe the application (part B) - may be downloaded from the programme web site, or may be obtained via your National Contact Point or the programme helpdesk. The application does not contain a Part C.
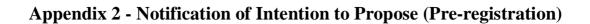
INCO bursaries: Consortia preparing a research, demonstration or a combined research and demonstration proposal or a concerted action proposal for any of the specific programmes may include an application for bursaries for young researchers from developing countries. If successful, the bursary will be funded from the budget of the specific programme "Confirming the International Role of Community Research". The following procedures apply to all such bursaries under all specific programmes of the EC fifth framework programme.

More details on INCO bursaries may be found in Box 1 of PART 1 of this guide for proposers. The evaluation and selection process is described in the Guidelines for evaluators for the IST programme.

Bursary procedure

Following a positive evaluation of both the bursary application and the main project proposal, the co-ordinator of the proposal will be notified. Once the negotiation of the main project contract has been successfully completed, a complementary contract for the bursary will be prepared for signature by the host institute. (No negotiations are foreseen for this complementary contract, since the costs are fixed). The bursary contract may start at any time within 12 months of the signature of the main project contract.

Once the bursary contract is signed, 80% of the funding will be transferred to the host institute one month before the arrival of the bursary recipient. The host institute will then forward a pre-paid return travel ticket to the bursary recipient and transmit the remainder of the funding to the bursary recipient as soon as he/she arrives in the host institute. The final 20% will be transferred upon acceptance of the final report of the bursary recipient.

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

THE IST PROGRAMME STRONGLY ENCOURAGES ALL PROPOSERS TO PRE-REGISTER

Request for Proposal Number for the 3rd call of the IST programme
Fax to: +32 2 296.8388

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) _____

List of Participants (company name and country, proposal co-ordinator first)

Name of organisation:	Country Code

Information on proposal:

Proposal full name	
Proposal acronym	
Proposal abstract (3 lines)	

Our intended Proposal is related to the following thematic priorities/research area(s)*:

_____

Proposal language (if not English) _____

Type of Action*: _____

Name of Requester: _____

Signature: _____ **Date:** _____

(For Commission use only:)
Your proposal has been registered with the following number:

(Signed for the IST programme)

Please use the reference(s) for thematic priorities and Type of actions in Part A of the relevant proposal submission form (Annex 1)

Appendix 3 – Pre-proposal Screening Forms

PRE-PROPOSAL SCREENING IS IN THE 3RD IST CALL ONLY OPEN FOR FET PROACTIVE ACTION LINE P1.

Pre-proposal consultation - Confidential information

1. Co-ordinator:

Name (first name, family name)	
Female /Male	
Organisation	
Department	
Address (street, building no, P. O. Box, CEDEX, Postcode, Country)	
Telephone:	
Fax:	
E-mail	

Please answer all the following questions (in approximately 1200 words for questions 9 to 11). The Commission Services reserve the right to return without comment any incomplete pre-proposals.

2. Proposal title   ....

3. Proposal acronym   ....

4. Project duration (approx.)

5. Funding
   Amount requested in EURO ....
   Percentage of costs to be funded ....

6. Main Programme   ....

6.1. Research Area(s)   ....

7. Other Programme(s)   ....
        ....
7.1. Research Area(s)   ....

 8. Participants

Organisation name	Postcode + city/town	Country

Pre-proposal consultation - Confidential information

Give a short description of the work:
9. Objectives:

10. Description of the work:

11. Milestones and expected result:

Appendix 4 – Acknowledgement of receipt form

EUROPEAN COMMISSION
Directorate-General Information Society

Information Society Technologies: Technological Developments of a Generic Nature and Horizontal Actions
Operational aspects of the programme

Brussels,

Please write the name, full postal address, faxnumber 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 Co-ordinating Partner			
Programme(s):	IST Programme		
Thematic priorities:			
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: ………………………………...

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,

5FP Evaluation Co-ordinator

Appendix 5 – National contact points

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Lithuania

IST Programme - Guide for Proposers - Part 2A - Final Edition, February, 2000 - "Fixed Deadline Proposals - for RTD"

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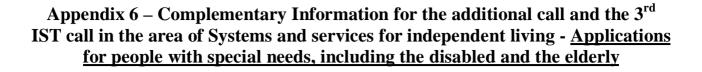(WUIC)
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Appendix 6 – Complementary Information for the additional call and the 3rd IST call in the area of Systems and services for independent living - <u>Applications for people with special needs, including the disabled and the elderly</u>

COMPLEMENTARY INFORMATION to Calls for proposals in the area, *Persons with special needs, including the disabled and the elderly*, February 2000

The following information complements the two Calls for Proposals in the area, "Applications for persons with special needs, including the disabled and the elderly" within the Information Society Technologies Programme Key Action 1. Systems and Services for the Citizen.

The calls referred to are:

I.3.1   Systems and services for independent living, (1999 IST Workprogramme) [Call identifier: IST-99-ADD]

I.2.1   Intelligent assistive systems and interfaces to Compensate for Functional Impairments (IST 2000 Workprogramme 2000). [Call identifier: IST-00-1-1A].

ACTION LINES

1999 WORKPROGRAMME

I.3   Persons with special needs, including the disabled and the elderly

I.3.1   Systems and services for independent living

Objective: To develop and demonstrate new tools, systems and services to enable people with special requirements to live independently. The work will address personal care, mobility and communication, and will enable improved access to a wider range of services, and greater participation in social and community activities for people with reduced mobility or impaired functions, including extending employment and learning opportunities. Support for independent living will include personal devices for tele-support, the design of systems for the home environment, and advanced solutions for professional and informal carers. Within this Action
Line, design-for-all tools and methods are to be further developed and applied to provide a focus on affordable, universal access to mainstream products and services. Particular improvements are sought in user modelling so that systems and user interfaces can be more easily configured to and by the individual, and to the tasks being undertaken and the environment.   *[Call identifier: IST-99-ADD]*

2000 WORKPROGRAMME

1.2   Persons with special needs, including the disabled and the elderly

1.2.1   Intelligent assistive systems and interfaces to Compensate for Functional Impairments.

Objectives: To enable citizens with specific impairments, especially those related to ageing, to benefit as fully as possible from intelligent assistive systems

Focus:

The work will cover innovative assistive systems for supporting mobility, orientation, transportation, manipulation, vision and hearing and secure home and living environments. This work will capitalise on recent advances in intelligent user-interfaces and personal devices, both capable of self-adaptation and/or easy customisation (the application domains will also cover interfaces for improved ease of access to common IST and non-IST devices). Longer-term research, based on an improved and detailed understanding of the nature of cognitive and sensory processes, is also required into how advanced interfaces can increasingly compensate for the effects of impaired functionality on human performance. Significant industrial participation is required to ensure commercial exploitation. Proposals will be expected to address industrial consensus on common specifications as well as establishing or enhancing standards where appropriate. Furthermore, consensus building between the relevant authorities should be addressed.

Type of action addressed: RTD.

Links with WP99: New Action Line   *[Call identifier: IST-00-1-1A]*

MAKING A PROPOSAL

The information and documentation necessary to make a proposal under the IST programme are available from the CORDIS IST website at the following address:
http://www.cordis.lu/ist/particip.htm

Calls for proposals under Action Line I.3.1 (Workprogramme 1999) and Action Line I.2.1 (Workprogramme 2000)

Proposers intending to submit proposals under the Additional Call (1999) I.3.1 **or** under the Call (2000) I.2.1 are advised to study carefully:

- The relevant *Workprogramme* (WP 1999 **or** WP 2000)

- The *Guide for Proposers Part 1 and*

- *The Guide for proposers Part 2A "Fixed Deadline Proposals – for RTD" [IST-00-31-1A]* and, in particular, **Annex 6** of this document.

- The *IST Guidelines for Evaluators,* including *Appendices.*

These documents provide guidance for preparing proposals for the IST programme. They may be downloaded from the following address:
http://www.cordis.lu/ist

- The Complementary Information (**Part 2A**, **Annex 6**), which is included below.

IMPORTANT - PLEASE NOTE:
Proposers may only submit their proposal to ONE of the two Action Lines, I.2.1 OR I.3.1. It is the responsibility of proposers to identify the centre of gravity of their proposal, based on the objectives of each Action Line, and clearly address the proposal to ONLY ONE ACTION LINE.

COMPLEMENTARY INFORMATION

In order to support the preparation of *high quality* proposals, appropriate to the IST programme and to the specific objectives of the calls in the area, "Applications for people with special needs, including the disabled and the elderly", additional information is provided below.

This information focuses especially on *1. Proposal eligibility* and *2. The Evaluation process and Criteria* which will be used to evaluate the proposals in the independent peer review process.

1. PROPOSAL ELIGIBILITY

Proposals will first be screened in order to establish the *eligibility* of the consortia and partners, and to see that the proposed work addresses the objectives of the Action Line. Proposals should usually involve at least two legal entities, independent of each other and established in two Member States, or one member State and one Associated State.

Proposers must identify their proposal as being in response to the specific Action Line in the area: *Persons with special needs, including the disabled and the elderly.* Proposals which do not address one or more of the objectives described in the Call text, **will not be evaluated.**

Anonymity rule, Proposal Part B.
Part B of the proposal must be *anonymous.* It should contain *no* references to either the identity of proposers or to costs.

Prior to commencing the expert evaluation process, Part B of each proposal will be screened by Commission staff for *anonymity.* Proposers should be careful to avoid reference to any names which may identify individual proposers, their companies or consortium. For example, proposers' company names or proposers' product names (including, for example, proposers' brand-name software packages) *should not be used.*

In Part B, *names* or *acronyms of proposers' previous projects* should *not* be used. In describing the State-of-the-Art and the proposed work of the consortium, proposers must avoid references which may identify members of the consortium. Actual names and references to literature may be given in Part C, as described in the "Guide for Proposers", Appendix 1A.

Any proposal which has clearly disregarded the anonymity rule in Part B **will not be evaluated.**

2. THE EVALUATION PROCESS AND SPECIFIC EVALUATION CRITERIA 1 – 5

Evaluation procedure
Proposals will be evaluated by three independent experts, according to *five specific evaluation criteria*, as described in the *Guidelines for Evaluators.*

Criterion no.	Criteria themes	Threshold/ Minimum score*
1	Scientific/Technological quality and innovation	3
2	Community added value and contribution to EC policies	2
3	Contribution to Community social objectives	-
4	Economic development and S & T prospects	3
5	Management and resources	2

* The threshold scores shown here apply to shared-cost R & D projects and demonstration projects. Other thresholds apply to other types of projects. See the 'Guidelines for Evaluators' for further details.

Only those proposals which reach the threshold scores on **all** the criteria in a consensus meeting of the three evaluators will go forward to the full Panel of Key Action Evaluators to be considered for ranking.

First, Part B is read by the three evaluators and only the first criterion, *Scientific / Technological Quality and Innovation,* is assessed. Proposals for shared cost Research and Technological Development (RTD) projects that do not meet the threshold ("3" – "Good" for RTD projects) will be discussed in a consensus meeting of the three evaluators. **If their combined assessment confirms that the proposal is below threshold on criterion 1, the evaluation is terminated at this point.** In these cases, Parts A and C will not be read. Alternatively, if there is not a clear consensus among the evaluators (e.g. a wide range of scores on criterion 1), the evaluators may decide to proceed to reading Parts A and C in order to establish the merits of the proposal.

Evaluation criteria
The additional information, below, refers to requirements which proposals should seek to satisfy in order to meet the threshold scores on each of the 5 criteria.
(Note: The examples given are intended as illustrations only).

Criterion 1. Scientific/Technological quality and innovation
- Quality: show that the proposal is sound and meets the scientific / technological needs of RTD for the target groups of persons with special needs, including the disabled and the elderly:
  - Explain why the chosen approach is the most relevant or appropriate for the targeted objectives
  - Show that possible alternatives have been addressed
  - Provide evidence of the checks and balances that will be applied to measure and verify the progress of the project work.
  Innovation and risk: demonstrate that the proposal is going beyond "state-of-the-art", i.e. that it will lead to an advanced system which does not already exist in the EU market. Innovative aspects of the proposed work should be clearly described. The proposal may seek, for example, to develop innovative Information Society technologies or an innovative application of existing information/communication technology or an innovative service using leading-edge IS technologies and systems.
  - Demonstrate a thorough awareness of the limits of current knowledge and/or solutions, and justify which direction(s) for development may be plausible

- Ensure that the proposal addresses the feasibility of the proposed work and its relation to the application environment
- Make reference to previous work which clarifies the risk or supports the likelihood of success in the proposed area(s) of work
- Give detail of intentions to conduct risk analysis or assessment.

- Adequacy: show that the approach, methodology and workplan being proposed will meet the Scientific & Technological objectives. Show that the IST system to be developed will solve the real problems which the proposal addresses.

Criterion 2. Community added value and contribution to EC policies
- European dimension: show that the proposal addresses European-wide issues, (e.g. developing solutions which address carers, families or end-users across Europe and which can interface with the variety of existing, national, regional or local care and service delivery systems).
- European added value: show how the proposal will have impact at the European level.
- EC policy: Where the proposal contains a policy element, explain which EU policies are addressed, for example the Amsterdam Treaty ("non-discrimination" clause), employment and "mainstreaming" of disability   issues.
  Note: other policies may also be relevant to specific proposals. Please examine the website of the Employment   and   Social   Affairs   DG   for   further   information
  http://EUROPA.EU.INT/comm/dg05/soc-prot/disable/index_en.htm   and
  http://europa.eu.int/comm/dg05/soc-prot/disable/policies_en.htm
- Address regulation and standardisation issues where relevant.

Criterion 3. Contribution to Community social objectives
    Where relevant, ensure that the proposal addresses the following:
- Quality of life: show how the proposal will improve the quality of life and health and safety for the target groups of users.
- Employment: show how the proposal will improve general employment prospects and/or develop the skills of individuals.
- Conservation: show how the project contributes to the EU policy relating to preserving and enhancing the environment and the minimum use/conservation of natural resources.

Criterion 4. Economic development and Scientific & Technological prospects
    Exploitation: show that the proposal has a well structured plan for applying the expected results to the domain of application beyond the consortium and wherever possible, European wide. The longer term the RTD proposal is, the less detailed will be such a plan. Show how the consortium work/composition will make it possible to have the results exploited beyond the sole partners of the consortium. Also, show, in each case, that there is *genuine commitment* by partners to exploit the results, that there are *clearly formulated plans* for achieving this, and that the partners are *capable* of meeting the demands of the exploitation plans. Where the party responsible for exploitation is not a member of the consortium, it should be shown precisely how it is intended that the exploitation will take place.
- Strategic impact: show where the proposal will improve competitiveness and/or create markets for the sector (e.g. industrial/commercial organisations). Document the size and value of the targeted market(s) and show how the proposal will use the most effective means to develop the market and satisfy the demands of the target user group(s).
- Dissemination: show how the proposal will contribute to European S & T progress and how the chosen dissemination strategies will meet the information needs of the particular target groups. Show how materials will be presented, ensuring that the appropriate media and accessible formats are used.

Criterion 5. Management and resources
- Quality of the management: identify the project management tools to be used and show clearly how the management will effectively co-ordinate the project.

- Quality of partnership, involvement of users and other actors: show that the individual partners have complementary expertise and roles and that industrial or other partners are capable of delivering the intended product or service to the users.
- Appropriateness of resources: show that the resources requested match the objectives, tasks and the effort required (justify that they are neither over- nor under-estimated). Evaluators will carefully assess the overall balance of resources requested by the consortium.

Legal and ethical issues: If applicable, show how legal and ethical issues will be addressed.