

**FP6**  
**Specific Programme**  
**“Integrating and Strengthening the European Research Area”**

**Priority 7:**  
**Citizens and Governance**  
**in a knowledge based society**  
**Work Programme 2004 – 2006**

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## 7.1 Introduction

This Work Programme is the basic text for ensuring communication between the Commission and the research community in relation to the implementation of Priority 7 "Citizens and governance in the knowledge based society". Its aim is to "translate" the requirements of this part of the EU RTD Framework Programme and of the Specific Programme into a research agenda and an operational plan of activities for the implementation of this agenda. This plan is shaped by three factors: the objectives of integrating research capacity at a European scale and in view of the European Research Area (ERA) in the social sciences and humanities (SSH), the necessity to mobilise the social sciences and humanities research communities across Europe in addressing major socio-economic challenges for the EU; the importance of ensuring an appropriate correspondence between the scope of the Specific Programme and the available budgetary means.

The Work Programme aims to be of interest and relevance to researchers from all *relevant disciplines* especially in the social sciences and humanities; it is open to and welcomes *a wide range of approaches*.

## 7.2. Overall objectives, Structure, and Approach

### Objectives of the Work Programme

The activities carried out in this thematic priority are intended to mobilise in a coherent effort, in all their wealth and diversity, European research capacities in economic, political, social sciences and humanities that are necessary to develop an understanding of, and to address issues related to, the emergence of the knowledge-based society and new forms of relationships between its citizens, on one hand, and between its citizens and institutions, on the other.

### Structure

This Work Programme consists of two main sections. The first section (7.2) provides an overall introduction and context to the Work Programme. The second part (Section 7.3) specifies the technical content. The latter consists of Research Topics which address the Research Areas for this Priority in the Specific Programme (research areas 1 to 7), as well as a number of activities which respond to the overall objectives of the Framework and Specific Programmes (research area 8).

### Instruments which may be used to implement this Work Programme

This Work Programme is to be implemented by using five different types of instruments, each of which are briefly explained below. More detailed information on each of these instruments is provided in the Guide for Proposers.

*Networks of Excellence (NoE)* are intended to support in-depth integration of research programmes and activities in a given thematic area. They promote the development of a variety of joint activities in the context of the thematic content of the Research Topic in question; these activities may extend significantly beyond the core research activities. Within Priority 7, the community contribution to be envisaged for Networks of Excellence will range approximately from 3.0 to 4.0 Million € for a duration of up to five years.

*Integrated Projects (IP)* are the prime instrument to undertake major research endeavours with clearly specified objectives and project deliverables by bringing together the most suitable high quality research teams from a variety of countries. The emphasis is on strategic impact, generation of significant new knowledge and critical mass of research. Within Priority 7, the community contribution to be envisaged for Integrated Projects will range approximately from 3.0 to 4.0 Million € for a duration of up to five years.

*Specific Targeted Research Projects (STREP)* contribute to the objective of Priority 7 by bringing together a high quality research teams in order to address through a collaborative research effort a specific research issue of high relevance. In this context, innovative approaches and fresh views are particularly encouraged. Within this Priority, the community contribution to be envisaged for Specific Targeted Research Projects will range approximately from 0.7 to 1.2 Million € for a duration of up to three years.

*Coordination Actions (CA)* promote the creation of added value by bringing together ongoing research activities in a given field and in this way, providing a European dimension to those research activities in the different participating countries. Within this priority, the community contribution to be envisaged for Coordination Actions will range approximately from 0.6 to 0.9 Million € for a duration of up to three years.

*Specific Support Actions (SSA)* are particularly geared towards innovative and exploratory activities which provide more general support to the programme objectives. They could cover various activities, like the organisation of strategic workshops, the support to expert groups, or the financing of feasibility studies. SSAs can be implemented through calls for proposals, as well as through calls for tenders and expert groups (to be constituted provided for by Art 9.2b and Art 11 of the Rules for Participation).

### **Submission and evaluation of Proposals**

As a new element, proposals for *Networks of Excellence* and *Integrated Projects* will undergo a *two stage submission* procedure:

For the first stage, applicants will be requested to submit a document of a maximum 25 pages (for full technical details, please refer to the relevant Guide for Proposers). This document should give an outline of the envisaged activities and allow in particular a thorough evaluation against two groups of evaluation criteria, namely “Relevance” and “Integration” for Networks of Excellence and “Relevance” and “S&T quality” for Integrated Projects.

Following the first evaluation and selection process, only a limited number of proposals which have passed the first stage evaluation thresholds will be retained; only proposers of these applications will receive an invitation to submit a full proposal for the second deadline. In the second stage, the full proposals will be evaluated against all groups of evaluation criteria applicable to the respective type of instrument.

As in the past, for *STREPs* and *Coordination Actions*, a *one-stage submission* procedure will continue to be used. Fully developed proposals for Specific Targeted Research Projects, Coordination Actions and Specific Support Actions should be submitted for the deadline indicated in the Call for Proposals, and will be evaluated against all evaluation criteria relevant for the respective type of instrument. Some SSA’s will be implemented by Calls for Tenders.

### **Evaluation Criteria**

Full information on the evaluation criteria, relative weightings, and relevant thresholds for each of the five types of instruments foreseen in this priority is given in Annex B.

The following indications are intended to assist in the understanding of important aspects of some of the evaluation criteria in the specific context of Priority 7 (to be read in combination with the formal evaluation criteria):

*Relevance* clearly refers to the objectives of this Work Programme, as indicated both in this section as well as in the detailed description of topics in section 7.3. (in terms of objectives as well as research issues to be addressed).

*Potential impact* refers to the capacity to address the issues in a comprehensive and coherent manner with clear European added value and the ability to support relevant policies and to stimulate societal debate on issues of considerable importance for Europe.

*S&T excellence* (for Integrated Projects) refers to a methodologically sound approach to reach well defined and realistic objectives. This includes the capacity to integrate different approaches and disciplines and the ambition to go substantially beyond the state-of-the-art.

*Degree of integration and joint programme of activities* (for Networks of Excellence) refers to a convincing programme proposed by the consortium to move towards durable integration of programmes and sustainable cooperation with a view to achieving a critical mass of expertise and resource.

### **The contribution of individual proposals to the European Research Area**

The continuing development of the European Research Area in the social sciences and humanities will significantly enhance the capability of the social sciences and humanities to contribute to the core objective of the specific programme. In this perspective, proposals addressing the research areas 1 to 7 in section 7.3 should include, to the degree appropriate and possible, the following dimensions:

- Improve the state-of-the-art and make demonstrable progress towards comparative research in terms of methodology, data, and significant coverage at European scale (for Integrated Projects, Specific Targeted Research Projects)
- Achieve real and meaningful co-operation within and between disciplines to the degree required by the issues being addressed (particularly Networks of Excellence and Integrated Projects).
- Develop, as appropriate, common and/or shared research infrastructures, methodologies, indicators, statistics, databases, etc. (particularly Networks of Excellence, Integrated Projects)
- Develop and disseminate reviews of state-of-the art that may be used for research and teaching as well as for policy makers and more general audiences (all instruments).
- Contribute to strengthening the scientific knowledge-bases for policies particularly, but not exclusively, at the EU level, including policy development, analysis (including prospective dimensions) and assessment. Specific provisions should be made to allow research to respond quickly to, and provide evidence on, issues arising in policy agendas (particularly Networks of Excellence and Integrated Projects)
- Map research competencies in Europe and beyond in the field being addressed (all instruments except Specific Support Actions)
- Develop links with major national level research programmes or activities in the area(s) addressed by the proposal (Networks of Excellence and Integrated Projects)
- Involve, as appropriate, users and stakeholders in the implementation of the project, and develop clear, and targeted dissemination and valorisation strategies, addressing not only scientific audiences, but also policy-makers, other key actors and, where appropriate, the general public (all instruments except Specific Support Actions)
- Remain open and outward looking and make appropriate provisions (budgetary and procedural) to assist those, from within and outside the EU, and especially from New Member States and Candidate Countries, who may wish and be able to join during the implementation period (Networks of Excellence and Integrated Projects).
- Contribute to the development of training programmes including particular provisions for young scientists (Networks of Excellence)

In addition, area 8 of section 7.3 of this Work Programme includes a set of measures aiming at mobilising the social sciences and humanities communities as a whole, beyond the specific thematic content of Priority 7. This mobilisation includes, where appropriate, relevant policy-makers and other stakeholders.

### 7.3 Technical content

#### **Introduction: How to use the guidance provided in the description of each research topic in this section in the preparation of proposals.**

Within each of the 8 research areas, those research topics which may be addressed by proposals for a *Network of Excellence* or an *Integrated Project* are specified first. Proposers can decide which of these two instruments they wish to employ in addressing the research topic in question. For each research topic, proposals for a Network of Excellence or for an Integrated Project **must clearly address the core objectives** as outlined in the description of that particular topic. Furthermore, the scientific/integration programme of any proposal for an IP or NoE should include a **significant coverage of the issues and challenges highlighted in the description of that topic**. It is envisaged that more than one proposal may be funded within most topics, and there will be competition between proposals for IPs and those for NoE within a particular topic.

Within each Research Area, the topics for NoE and IP are followed by presentations of the topics for *Specific Targeted Research Projects* and *Co-ordination Actions*. Proposals for Specific Targeted Research Projects and Co-ordination Actions must make a **clear and important contribution to the objectives** outlined in the description of that particular topic. Proposals should also make an **important contribution to the research challenges** and/or issues highlighted in the description for each topic. It is envisaged that several proposals will be funded within each of the topics, and there will competition between proposals for STREPs and those for CA within a particular topic.

The intention is to finance for each topic the proposals which received the highest ranking during the evaluation. At the same time, the overall selection decision will also take into consideration the potential impact on the European Research Area of the selected proposals as a whole as well as the balanced representation of the different topics and research approaches addressed.

Finally, Specific Support Actions will be used only in parts of research area 8. The description in this section clearly indicates those topics where Specific Support Actions will be implemented following a Call for Proposals and those topics for which an implementation through Expert Groups and / or Call for tenders is envisaged.

#### ***Research Area 1: Improving the generation, distribution and use of knowledge and its impact on economic and social development.***

The objective of the Research Area is to improve significantly understanding of the characteristics of knowledge and its functioning as a public and private good, and to provide the bases for policy formulation and decision making.

##### **1.1. Topics for Networks of Excellence and Integrated Projects**

###### **1.1.1 Knowledge based policies for the knowledge based society: policy learning and the sources of policy knowledge**

Knowledge acquisition, management and deployment are increasingly important for policy decisions, policy design and policy implementation. **The objective is to understand the ways in which policy-making organisations learn and to assess the role of knowledge in the**

## **formulation and implementation of policies, with a view to promote policy learning and knowledge based policies.**

IPs and/or NoE should address the processes involved in policy learning, and their consequences for the efficiency, effectiveness and accountability of different policies; the channels whereby policy “taps-into” different knowledge bases (scientific, professional, political, etc.); how policy learning functions within democratic policy-making processes; how power and politicisation of knowledge production influence policy learning –including different ways of resorting to ‘knowledge as power’; how controversies and uncertainties in the knowledge base are tackled in the selection and use of knowledge itself for policy choice; how the different knowledge-bases can be improved to facilitate more effective policy learning; how effective are good-practice spreading initiatives in generating policy learning, and what are the factors that determine their effectiveness. The role of data and indicators, as well as established professional techniques (e.g. foresight, evaluation, impact analysis, use of scientific expertise) in policy-learning processes should be included. Proposals for innovative research and/or networking efforts should also address how issues such as transparency, evidence, integrity, objectivity and bias are dealt with in different policy learning contexts.

### **1.1.2. Growth, employment and competitiveness in a knowledge based economy**

Reconciling growth, employment and competitiveness objectives requires a sound knowledge of their dynamics. **The objective is to develop improved concepts and theories on the knowledge based economy, and provide a comprehensive understanding of its characteristics and of the determinants of competitiveness, economic growth, aggregate demand and conditions for full employment.**

IPs and/or NoE should examine the specificities of the growth regimes (industrial specialisation, productivity growth, aggregate demand, role of intangible investment, demand for labour) of a knowledge based economy, including the relationships between different knowledge investments and growth as well as what sources/types of financing of the additional investment are most appropriate. The programme should address the implications of a knowledge based economy on economic growth and whether it is possible to have different types of knowledge based economies, for example with respect to different levels of technology. It should also address the role of competitiveness in its different main senses and of different degrees of competition in growth. Research should also explore the extent to which knowledge economies may be more volatile, more risky and have more market and systemic failures and how economic policy should address such issues. The relationship between micro and macro policies and potential conflicts or synergies between them may be identified as well as what types of policies are needed to support the moves towards a knowledge based economy. The implications for social cohesion and equal opportunities policies should be taken into account. Account should be also taken of recent progress at micro economic and industry levels on knowledge, diffusion, learning, networks and globalisation of innovation activities and link them to economic growth.

## **1.2 Topics for Specific targeted research projects and Co-ordination Actions**

### **1.2.1. Emerging dynamic growth regions and their role in a global economy**

A number of world regions are playing an increasingly significant role in the world economy, with important implications for Europe. **The objective is to analyse emerging growth regions in terms of the factors underlying their growth performances as well as shifting comparative advantages and changing roles in the world economy, with special attention to the role of knowledge and the implications for the EU.**

STREPs and/or CAs should examine in a comparative perspective the specific development strategies of such growth regions (possibly, e.g., China, India, South-East Asia, Brazil, South Africa, Russia) in relation to the role of research, innovation, education, access to knowledge, social

and competitiveness policies, labour markets, financial markets, governments' role), institutional reforms and historical background and in the context of a global economy and related knowledge issues. The research needs also to address the possible risks of these development strategies, for example in terms of volatility, sustainability, inequalities. It should also assess the impact of the new growth regions on the world economy as competitors to and partners with (i.e. new supply and demand for products, new types of cooperation) developing countries as well as industrialised countries -in particular the countries of the enlarged EU- both up to present and in the future. Research could also examine the possibilities of convergence or divergence between the new growth regions, less developed countries and advanced economies, as well as what international reforms (e.g. the debt issue of the developing countries, differential access to knowledge, IPRs, labour standards), and national adjustment strategies could be effective for promoting a growing and more sustainable (in economic, social and environmental terms) world economy in the 21<sup>st</sup> century.

### **1.2.2. Understanding knowledge**

“Knowledge”, as the foundation of the knowledge based society, is becoming a core issue and challenge for an increasing spectrum of stakeholders; many of those stakeholders consider knowledge as key in achieving social and economic objectives such as wealth, innovation, cohesion and quality of life. **The objective here is to examine the public and private good characteristics of knowledge and to better understand its functions in the European economy and society.**

STREPs and/or CAs could address the public and private good properties of knowledge and the sources of those properties, whether linked to specific content or types (codified, narrative, tacit, etc.) of knowledge, to particular institutional arrangements (e.g. scientific institutions, universities, communities of practice, corporate laboratories). Of particular interest is the relationship between the institutional and organisational conditions that promote knowledge creation and learning (e.g. scientific infrastructures, R&D investment, IPR regimes, learning by doing, flexible organisation), and shape important aspects of the knowledge itself (validity, reliability, credibility, truth, context dependence, scientific excellence, etc.). Concepts such as information, belief, norms, values, rationality, culture, etc. could be particularly relevant to such an analysis. Research could also address different aspects and conditions of knowledge creation and use from cognitive aspects of individual learning, through education and training, to organisational norms and values. Implications for policies regarding investment in knowledge production and infrastructures, research activities, as well as for regulatory processes and institutions, should be drawn out.

### ***Research Area 2: Options and choices for the development of a knowledge-based society.***

The objective of this Research Area is to develop an integrated understanding of how a knowledge-based society can promote the societal objectives of the EU set at the Lisbon summit and subsequent European Councils of sustainable development, social and territorial cohesion and improved quality of life, with due consideration to the variety of social models in Europe and taking into account aspects relating to the ageing of the population.

## **2.1. Topics for Networks of Excellence and Integrated Projects**

### **2.1.1 The relations between the labour market, employment and welfare regimes**

Major changes in the labour market and employment and their interactions with welfare regimes give rise to important issues including (in)security, career development, the smooth functioning of the labour market as well as the ability of welfare regimes to cope. **The objective is to significantly improve understanding of these relations, how they operate within different social models, the roles played by knowledge, and how policies might better take account of these relations.**

IPs and/or NoE should address the key relationships between the labour market, employment and welfare regimes (state, family, market, associations). These include the effect(s) of labour market and welfare developments on people's capabilities and underlying resources (e.g. human, social, cultural capital); whether welfare is a productive factor; crucial labour market transitions by people; whether protected flexibility or "flexicurity" is possible outside countries where it currently exists; the longer-term effects of activation measures; empirical assessments of the incentive/disincentive effects of welfare; the role of the quality of employment (e.g. effect on welfare requirements, on retirement choices by older people); the possibilities for good quality jobs for the low-skilled; the relation between social and personal risks, the extent to which responsibility is being placed on the individual and its consequences; whether there are changes in values relevant to welfare (e.g. solidarity, individualism) in the population at large; the role of knowledge; challenges for the new Member States. Research could also address issues such as the extent to which external pressures (e.g. globalisation or Single Market) leave room for manoeuvre by different firms to choose "high road" employment approaches; the politics of employment and welfare policy. Gender should be considered as an important aspect of the analysis; at the same time policy perspectives are essential throughout.

### **2.1.2. Educational strategies for inclusion and social cohesion and their relation to other policies.**

Education and learning build the critical foundation for developing knowledge based society for combating social exclusion; links between education and other areas of policy are crucial to achieving both aims. **The objective is to assess the role of education and training, in interaction with other areas of social policy in addressing social inequalities, vulnerability, marginalisation, disengagement and as a means of fostering social cohesion.**

IP and/or NoE may address: assessment of trends in education and learning, including lifelong learning, their interactions with other social policies and practices, and their implications for individuals and social groups; the role of education and training as a key factor in conceptualising social inequality and social cohesion and in building social capital; the impacts of specific and mixed interventions at different stages of the life-cycle; the impact of educational reform on social inequalities and exclusion and the possibilities and limits of formal education and training for individual, community and organisational learning; mapping of conditions to maximise the impact of educational measures in developing a knowledge based society; identification of strategies for related educational and social interventions that can prevent or reduce inequalities, combat exclusion, foster social integration and promote social justice and empowerment; ways of involving communities in learning to minimise disadvantage or the risk of disadvantage; the economic benefits of integrated strategies over the short, medium and longer term.

## **2.2 Topics for Specific targeted research projects and Co-ordination Actions**

### **2.2.1. Societal trends, quality of life and public policies.**

Societal trends and public policies interact strongly with individuals' quality of life. Public policies, also carry strong impacts on the ways in which people try to pursue their aims and personal goals, and their possibilities of achieving them. **The objective is to expand the knowledge base concerning the relations between, on the one hand, current societal and policy trends, and on the other, the quality of life (or well-being) of individual citizens, as well as the implications of these relations for public policies.**

STREPs and/or CAs should address the effects of societal trends and of policies on quality of life. Such trends may include: changes in demographic trends related to population ageing and low fertility rates; in gender roles; in social or family relations; in the organisation of care for children, the sick or the growing demand for the elderly in need of care; in work and use of time (e.g. "24

hour society”); in division of labour and income. Another important aspect of research includes the relation between public policies (e.g. social, care, employment, education, environment and health) and people’s coping strategies throughout their lifespan. Research could also address the relationships between traditional economic indicators of welfare, such as GDP, and innovative measures of the quality of life including subjective and objective indicators of the quality of life. Gender aspects of these issues should be examined and a comparative approach is also highly appropriate.

### **2.2.2 Inequalities in society and their consequences**

Social inequalities present major challenges to many European and other societies and may affect their cohesion as well as their social and economic development. **The objective is to understand how inequalities in society change, are reproduced, and their economic and social consequences.**

STREPs and/or CAs should address the effects of production and reproduction of social inequalities and their rise or fall; how such inequalities and their consequences vary between different European societies and in other regions of the world, including differences in social mobility. Other aspects which may be addressed include: the relations between social inequalities and economic and social performance (e.g. growth, productivity, quality of life, crime, social cohesion and the “quality of society”); cultural issues of inequality including the impact of inequalities on attitudes to others. The changing role of knowledge-related factors in inequalities - e.g. of knowledge aspects of cultural and social capital acquired by individuals, of qualifications of particular kinds, of access to knowledge-producing institutions, to training, acquisition of capabilities in seeking out relevant information - may be explored. Inequalities of various kinds and their interrelations should be considered. The actual and potential role of policies in relation to the above issues should be assessed, and gender perspectives should be included. Improvements of measures of inequality, including how changes in the use of public services and of public facilities which are “free” or heavily subsidised could be included in the assessment of trends in inequality.

### **2.2.3. The dynamics of youth in the context of intergenerational relations in European society**

Europe’s demographic outlook includes the tendency of 'postponed adulthood' and also the growing ageing population. The related changes in intergenerational relations have important implications for the whole social fabric as well as for policy formulation. **The objective is to examine and provide a better understanding of the social, economic and cultural issues that affect intergenerational relations with particular focus on the attitudes, lifestyles and forms of participation adopted by European youth and on their consequences for European society and the economy.**

STREPs and/or CAs should examine the factors leading to solidarity or tensions in intergenerational relations -for example, concerning social safeguards, gender roles, family structures, lifestyles and transmission of knowledge between generations. Research should highlight the criteria, indicators and/or processes used in defining age groups (e.g. in terms of distinct values, behaviour, demographic aspects), particularly in defining youth across different countries and policy contexts; the ways youth identity is (re)constructed along social and cultural patterns should be considered in this regard. Comparative research should also address the economic and societal consequences of young people entrance into the labour market and its impacts, especially on family formation and fertility rates. The changing forms of social capital and political, social and economic participation of young people by means of voluntary activities, civic engagement, formal/non-formal learning and employment as well as their impact should be examined, taking into consideration class, gender and ethnicity. A comparison of different youth policies and of policies targeted to the management of intergenerational relations at national and European levels should be undertaken and good practices identified.

### **Research Area 3: The variety of paths towards a knowledge society.**

The objective of this Research Area is to provide comparative perspectives across Europe and thus provide an improved basis for the formulation and implementation of transition strategies towards a knowledge society at the national and regional levels.

#### **3.1. Topics for Networks of Excellence and Integrated Projects**

##### **3.1.1. Linguistic diversity in a European knowledge based society**

The enlarged European Union is characterised by a considerable linguistic diversity – a key component of broader cultural diversity. This diversity may carry important implications for European policies and choices towards a knowledge based society. **The objective is to examine the role and implications of linguistic diversity in European populations, specifically in view of the efforts to create a European knowledge based society which respects cultural diversities and cross-cultural understanding.**

IPs and/or NoE should address the historical, political and cultural developments which have shaped the current linguistic situation in Europe and which are important for its development in the future. Important factors, promoting or constraining linguistic diversity in Europe and likely developments should be identified and analysed. The role of language in European society, economy and culture needs to be considered. Special attention should be paid to the reasons for, and consequences of choices of a language as '*lingua franca*' in economic, political, scientific, cultural and other contexts. The importance of foreign languages as a "new basic skill" in a diverse and cohesive European knowledge based society should be examined. In this context, the role of language not only as communication tool, but also as a carrier of cultural content should be assessed. Possible relations between multilingualism and openness and tolerance towards other cultures are of interest.

#### **3.2. Topics for Specific targeted research projects and Co-ordination Actions**

##### **3.2.1 Development models to meet combined societal and economic objectives**

European societies have historically attempted to combine a number of objectives, and these are reflected to a significant degree in their socio-economic development models; at the present time there are particular challenges to these aims. **The objective is to assess the past achievements and future potential of various development models in terms of combining the political objectives of quality of life, growth, employment, social and territorial cohesion, and sustainable development.**

STREPs and/or CAs may include a comparison of Europe, the USA and other relevant regions of the world, as well as of the variety of socio-economic models within Europe. Historical and institutional assessments of the models should be carried out; this might include their historical origins, their basis in, for example, culture, values, law, implicit or explicit social contracts, development of a welfare state, industrial relations systems, financial regulation, corporate governance in the wider sense, and gender relations. The relevance of these historically-developed characteristics to current conditions and those of the foreseeable future, in terms of meeting the combined objectives, and the usefulness of traditional indicators of (economic and other) performance should be assessed in this context. Research on change or path-dependency of models is encouraged, including an understanding of the conditions for and processes of institutional change, and the role of the EU in this.

#### **Research Area 4: The implications of European integration and enlargement for governance and the citizen.**

The objective of this Research Area is to clarify the key interactions between European integration and enlargement, and issues of democracy, institutional arrangements and citizens' well-being.

#### **4.1 Topics for Networks of Excellence and Integrated Projects**

##### **4.1.1. Democracy in a supranational context**

Issues related to the ‘democratic deficit’ and on how the European Union can be ‘democratised’ are at the core of analytical, political and media debate. At the same time the workings of democracy within countries is also experiencing important changes. **The objective is to provide policy relevant perspectives of the pressures on and challenges to democracy in Europe and beyond and to help identify options for strengthening democracy at various levels as well as for engaging citizens.**

IPs and/or NoE should examine the interplay between local, national and European democratic developments, in particular the transition to and consolidation of democracy during the current wave of EU enlargement, and the challenges to both ‘older’ and ‘newer’ democracies. The assessment of different forms, changes in, and impacts of systems of balance of powers could be undertaken in this regard, and instruments and indicators to monitor and evaluate the state of democracy at various levels should be refined. The democratisation of the EU as connected to, but distinct from, developments in national contexts should be analysed, including the implications of the constitutionalisation process and its outcomes for the development of a supranational democracy. Research should also inquire into the factors that lead to citizens’ engagement and trust in, or disaffection from, political participation and ways of addressing them; the relations between representative institutions, citizens and civil society organisations, use of participatory procedures, impact of interest organisations and lobbying, different approaches to the mediation of different interests and values; gendered approaches to democracy and decision making. The relations between democracy and democratisation processes in Europe and in other parts of the world could be explored, as well as the relations between democracy and globalisation processes.

#### **4.2 Topics for specific targeted research projects and Co-ordination Actions**

##### **4.2.1. New EU borders, new visions of neighbourhood**

Following 1 May 2004, the European Union’s external borders have moved beyond the historical ‘east/west’ divide; at the same time, debate on future enlargement challenges straightforward geographical notions of Europe. **The objective is to identify the challenges and prospects related to the management and perceptions of the EU new external borders and of policies and visions of proximity and neighbourhood.**

STREPs and/or CAs should examine the use of concepts of ‘neighbourhood’ and ‘proximity’ versus ‘fortress’ in the debate accompanying and following EU enlargement; the interplay between geopolitical, cultural, linguistic, economic and mental ‘maps’; the relations between the new borders and European identities; the processes of re/de-bordering. Research should highlight the potential and problems related to different approaches and policies in selected fields of cross-border cooperation such as –for instance- economic development and trade, social policy, migration and asylum, border management, fight against organised crime, civil society empowerment, and/or state capacity and institution building. The identification of incentives and barriers to the acceptance and implementation of cross-border cooperation would be especially useful. While specific geopolitical, economic, cultural or functional borders between current EU member states and other countries (e.g. Russia and other former USSR countries, and/or South Mediterranean countries) can be

selected for in-depth analysis, an analytical justification for selection and a comparative perspective are part of the research task.

#### **4.2.2. Governance for sustainable development.**

The EU is committed both to improve its governance and to foster sustainable development. While ‘good governance’ and ‘sustainable development’ are broad concepts with broad political and public support they also involve possible tensions and conflicts. **The objective is to explore the interactions between governance modes and sustainable development objectives in view of identifying what governance processes and institutions can best foster sustainable development within a European knowledge based society.**

STREPs and/or CAs should examine the relations between local, national, European (including implications of EU enlargement), and global governance in the management of environmental resources and in implementing sustainability; environmental security and options to deal with vulnerability of social groups and economic sectors to global environmental change. Research could also analyse how current policy ‘sectoralisation’ provides obstacles to, or can accommodate, an integrated approach to sustainable development (that is the pursuit of environmental, economic and social sustainability); the relations between different cycles –e.g. political, administrative and investment cycles- of short/medium term and the long-term perspective required by sustainable development approaches. Sustainable development also raises specific research issues in relation to democracy and the knowledge based society, e.g. citizens participation in setting sustainable development objectives and related policies, the role of knowledge in fostering sustainable development, corporate social responsibility, the tackling of distributive aspects across generations and social groups as well as between wealthy and poor countries (e.g. governance implications of concepts of inter- and intra-generational justice, and international fairness).

#### ***Research Area 5: Articulation of areas of responsibility and new forms of governance.***

The objective of this Research Area is to support the development of forms of multi-level governance, which are accountable, legitimate, and sufficiently robust and flexible to address societal change including integration and enlargement, and to assure the effectiveness and legitimacy of policy making.

#### **5.1. Topics for Networks of Excellence and Integrated Projects**

There are no topics for Networks of Excellence and Integrated Projects in this area.

#### **5.2. Topics for specific targeted research projects and Co-ordination Actions**

##### **5.2.1 Privatisation and public policy in different contexts**

Considerable experience has been gained of the implication of privatisation policies and of various forms of ownership and control. **The objective is to examine and assess the functioning and impacts of various forms of privatisation and liberalisation of public services (or “services of general interest”) in different economic, political and institutional contexts.**

STREPs and/or CAs should analyse why, how and by whom privatisation policies were/are initiated; the impact of various forms of privatisation and liberalisation, including a comparison before and after the main changes were introduced; the impacts on the various stakeholders, including on the needs of different sections of the population. Research should address the functioning of different forms of ownership and control in different national contexts (and sub-national where relevant); differences in, for example, the economic performance of the service to be privatised, the public administration system, the political system and political culture (transparency,

patronage, etc.), public finance approach, history of public and private law, corporate governance and regulation – with a view to understanding their implications for effectiveness, efficiency and democratic oversight of the services. The links between privatisation policies and other aspects of liberalisation in the context of the completion of the EU internal market and of global trade agreements should be examined; a range of experience from relevant countries, both inside the EU (including new member states) as well as other -developed and developing- countries could be considered. A range of services should be included, with some coverage of the major kinds of services (e.g. network, social services). Lessons for policy should be drawn, research on methodologies for assessing the impacts is welcomed, and multidisciplinary is required.

### **5.2.2. Regulatory processes and the use of impact assessment.**

Law making and policy making are undergoing important changes in Europe and worldwide; various approaches for improving regulatory environment (better regulation) are being developed and strong justification –in terms of economic, social and/or other costs, risks and benefits- is often required to initiate regulatory measures. **The objective is to explore the political, economic, legal and other factors involved in current trends in regulation and to examine the role of impact assessment in regulatory processes and outcomes.**

STREPs and/or CAs should inquire the processes of regulation, de-regulation and re-regulation which are taking place in Europe within and across different sectors and levels of governance; this could also include alternatives to regulation like coregulation and self-regulation; where relevant, a comparison with countries outside Europe could be considered. The changing roles of the private and public sectors in regulatory policy making –including shared responsibility and/or regulatory capture should be examined, as well as the role of regulatory authorities and information requirements for effective regulation. The increasing use of impact assessment techniques and processes (e.g. regulatory impact assessment, extended impact assessment, sustainability impact assessment) in the policy process, with focus on the planning and initiation stage should be assessed; for example, arguments and actors involved in the provision of impact assessment and in advocacy (e.g. for or against initiating or not legislative and policy proposals) could be examined. Important dimensions such as accountability, legitimacy, efficiency and effectiveness should be incorporated in the analysis of regulatory approaches and use of impact assessment; the relative ‘weight’ of such dimensions, and of possible trade-offs between them, should be highlighted.

### **5.2.3. Economic governance, articulation of competences and role of expertise.**

Economic governance is a key area for policy making at all levels, including the EU, and affects all other policies. It is also an area characterised by the handling of highly technical issues, with related issues on the reciprocal roles of experts, politicians and the wider public. **The objective here is to improve the knowledge base concerning the functioning of economic governance, the differences and similarities to other policy areas and options to enhance the public understanding of and appropriate involvement in economic decisions.**

STREPs and/or CAs should examine the articulation of levels in economic governance within the EU, compare the functioning of governance in the field of the economy with that in other areas, and address the distinctiveness and similarities –namely in terms of the complexity of issues and the degree of importance for the general interest of the decisions taken. The particular nature and range of expertise mobilised for economic policies in the broad sense (e.g. competition, fiscal, industrial, monetary, trade policies) should be addressed, including how such expertise is selected in view of policy advice (transparency) and how the differences in experts’ assessment are taken into account in the decision-making process (accountability). The interactions between experts, decision makers and other actors should be explored –including an identification of procedures and criteria by which other actors are allowed to participate, how they do so, and the degree of transparency, accountability and legitimacy of the process. The roles of independent agencies and authorities

and/vs the role of policies in the process of decision-making in this field –with emphasis on the relations between local, national and EU levels- may be also explored. The strategies of social partners and other stakeholders in assuming their roles in economic governance in a knowledge society could be also investigated.

### **Research Area 6: Issues connected with the resolution of conflicts and restoration of peace and justice**

The objective of this Research Area is to support the development of institutional and social capacity in the field of conflict resolution, identify factors leading to success or failure in preventing conflict, and develop improved options for conflict mediation.

#### **6.1. Topics for Networks of Excellence and Integrated Projects**

##### **6.1.1. Approaches to conflict analysis: prevention and resolution of violent conflicts**

Preventing, managing, transforming and resolving armed, violent conflicts can be significantly enhanced by an in-depth understanding of their causes, impacts and long-term effects. **The objective is to increase knowledge in the field of conflict analysis in Europe by examining the full cycle of violent conflicts and to help identify policy relevant options to address these issues.**

IPs and/or NoE should provide a synthesis of current knowledge and possibly develop an integrated assessment of the social, psychological, institutional, economic, historical, environmental or other factors contributing to violent conflicts. Specific issue to be addressed in this context include: notions of conflict and reconciliation developed in different contexts and research traditions; learning processes, e.g. how and which lessons are learnt from previous conflicts or conflicts in other regions, as well as from political, humanitarian or military intervention; indicators of social, economic or institutional vulnerability to eruption of violent conflicts; causes of escalation of conflicts and factors that lead to early warnings being followed up or ignored; gender roles, relations and perspectives in situations of conflict; relations between political elites, governmental and international (e.g. UN) institutions, non-governmental organisations, citizens' initiatives, grassroots activists in the prevention and transformation of conflict; role of 'third parties' in conflict mediation as well as in monitoring and verification of peace settlements; long-term impacts of conflicts. Incorporation of 'local' knowledge of the areas under examination can be especially useful in addressing the above issues.

#### **6.2. Topics for specific targeted research projects and Co-ordination Actions**

##### **6.2.1. Transnational terrorism, security and rule of law.**

The European Union is engaging in political discourse and policy actions related to the enhancement of 'security', considered in a broad sense. Trans-national terrorism is identified as a key security threat, to be responded to by the EU within a democratic framework and according to the rule of law. **The objective here is to examine the nature and significance of the threat of transnational terrorism, and the appropriateness and effectiveness of response options in the EU and beyond.**

STREPs and/or CAs should analyse: the development and use of broad notions of security (e.g. 'human security', 'civilian security', 'comprehensive security', 'security and stability'); what such notions include and exclude concerning coverage and options for action –particularly with regard to terrorism; how terrorism is defined –e.g. how this is distinct or linked to other phenomena of political violence and organised crime; terrorism and/vs resistance and liberation movements; terrorism as domestic and as international phenomenon, also in historical perspective; different forms of terrorism; factors that contribute to the emergence, escalation or abandoning of terrorism;

threat perception and role of the media; use of religious or civilisation narratives; assessment of vulnerability of economic activities and social groups; states, terror and rule of law –including safeguarding of fundamental rights; terrorism and war; comparative analysis of options for fighting terrorism, including legal and normative aspects as well as relations with social, economic and other policies.

### **6.2.2. Human rights and conflicts**

Protection of human rights is generally considered a universal value and of utmost importance in democratic societies; at the same time, violation of human rights continues to occur, especially in situations of violent conflict and war. **The objective is to examine the social, political, cultural and other factors that lead to violation of human rights and identify options for better safeguarding the rights of individuals and populations at risk.**

STREPs and/or CAs could examine the philosophical, juridical and other foundations of human rights principles and conventions (including European Charter of Fundamental Rights), focusing on their application to conditions of conflict and war; perceptions of human rights and their violation in conflicts occurring in different social, cultural, psychological and political contexts; relations between universalistic and gendered analysis human rights, and human rights associated with especially vulnerable groups (e.g. women, children, minorities); conduct in wartime, torture, genocide, ethnic cleansing and international justice (including role of the International Criminal Court); human rights in European foreign policy as well as in home affairs policies (e.g. status and treatment of migrants, asylum seekers and refugees).

### **6.2.3. Crime and criminalisation.**

Some social conflicts –e.g. between different communities in disadvantaged areas- may be associated with socially deviant behaviours and to their ‘criminalisation’; the latter, in turn may influence the capability to address the roots of such behaviours as well as the possibilities of resolving the conflicts themselves. **The objective is to identify the social, political, economic, legal and cultural factors in Europe conducive to the perception of crime and to the practice of socially deviant behaviours, and to examine the implications for crime prevention policies within the EU.**

STREPs and/or CAs should consider how ‘new’ and ‘old’ forms of violence have (re)defined the notion of crime and highlight the relevance of class, race, gender, age and location in understanding these phenomena; the distinctiveness of socially deviant behaviour as compared to organised crime, as well as possible relations between them (e.g. the first as recruitment field for the second); the causes and consequences of criminalisation and marginalisation together with the dynamics of socio-political, economic and media actors responsible for constructing feelings of insecurity. The challenges that measures such as detention and repatriation face in reproducing and preventing further crime -and in safeguarding or violating human rights- should be critically examined; the role of negative social stereotyping could also be considered in this regard. A comparison of different criminal law regimes and crime prevention and social integration policies implemented across national and European levels should be undertaken and good practises should be identified.

### ***Research Area 7: New forms of citizenship and cultural identities.***

The objective of this Research Area is to promote citizens' involvement and participation in European policy making, to understand perceptions and impacts of citizenship and human rights provisions in Europe and to identify factors that allow mobility and coexistence of multiple identities.

## **7.1. Topics for Networks of Excellence and Integrated Projects**

### 7.1.1. Towards a European public sphere

The possibilities for public debate are important features of democracy and of the current development of the EU; whether and how debate occurs in relation to European issues, across different European countries, at different levels, raise important challenges for the building of a European polity. **The objective is to provide integrated perspectives on the roles of different social and political actors and assess their contributions towards the articulation of diverse public communicative spaces in Europe, as components of the broader public sphere.**

IPs and/or NoE should provide innovative perspectives and foster syntheses of ongoing research efforts in relation to: the contribution and impact of elites, political parties, social movements, citizens' initiatives and expertise in constructing different discourses at multiple levels; the factors encouraging and obstructing diverse spheres from becoming both 'European' and 'public'; national, trans-national and European public spheres; the interplay between politics, democratisation and the development of a European public sphere; how processes of European integration and globalisation as well as linguistic diversity are reflected in and shape the public sphere. The role of electronic and print media should be examined in terms of agenda setting and generating debate and controversy in relation to cultural, societal, political and economic matters, with particular emphasis on European issues; the implications of media concentration or variations for the pluralism and integrity of information could be examined in this regard. Research should examine how key events such as critical historical junctures, summits and international crises have influenced the content and structure of the public sphere.

### 7.1.2. Gender and Citizenship in a Multicultural Context.

Gender relations influence and at the same time are affected by different notions and practices shaped by diverse cultures. **The objective is to develop significant new perspectives on how different and changing notions and practices of citizenship relate to gender issues in Europe's multicultural context and the implications for policies.**

IPs and/or NoE should examine how current notions of citizenship and multiculturalism incorporate a gender perspective, with focus on the European context; the relations between gender, race, ethnicity, class and different notions and practices of citizenship; what are the differences, and why, between women's and men's participation and engagement in political and civil life –with focus on possible differences or similarities in more homogeneous or more multicultural settings; different access to and exercise of political, economic, civil and social rights –including how different institutions and governance modes enable, or hamper, equal participation and the access of gender issues on the political agenda; perceptions of 'nationality', 'European citizenship' and 'cosmopolitanism' from a gender perspective; impacts of notions and practices of citizenship and multiculturalism on policies which actively address issues of gender and on women's quality of life (e.g. family, work, local community); gender aspects in processes of exclusion from / inclusion for citizenship - and the roles of social, political, legal and other factors in shaping them.

## 7.2. Topics for specific targeted research projects and Co-ordination Actions

### 7.2.1. Values and religions in Europe

European societies have a long history of dialogue and coexistence as well as of tensions between different cultures, values and religions **The objective is to better understand the significance and impact of values and religions in societies across Europe and their roles in relation to changes in society and to the emergence of European identities.**

STREPs and/or CAs should explore the role of different values, religions and cultures in European societies from an historical perspective; their different perceptions within and across communities

(e.g. ethnic, religious, national minorities, immigrant communities) -including gender aspects- either as an enrichment or a threat to their own identities. The processes leading to tolerance or intolerance and xenophobia -and their relation to changes in society- could be examined in this regard. The role of symbols and cultural heritage in the transmission and diffusion of different values (secular and religious) could be examined as well. Research could also explore how religion is sometimes being used as a political instrument and a factor in social mobilisation, solidarity or discrimination. The challenges posed by religious, ethnic and cultural diversity to legal, educational and political systems in European countries and possible ways to ensure peaceful coexistence of different value systems should be examined. The differing ways in which European countries address these issues and implement various policies and practices in this context could be examined in a comparative perspective as well as their degrees of success in achieving them.

***Research Area 8: Actions to promote the European Research Area in the social sciences and humanities and their contribution to the knowledge based society in Europe.***

The objective of this Research Area is to promote the establishment of a European Research Area (ERA) in the Social Sciences and Humanities with a view to maximising the potential of social sciences and humanities to address the key challenges and issues involved in the transition towards a European knowledge based society. The achievement of this objective is pursued by means of a comprehensive package of actions in four inter-related domains as follows:

- **Enhancing the coherence of policies with regard to social sciences and humanities in the European Research Area**  
Activities in this domain aim to develop strategic analysis, intelligence, and an effective dialogue between policy makers (international, national and regional) as well as other stakeholders (organisations of researchers, private foundations, policy research programmes and institutes, etc.) in social sciences and humanities research (tasks 8.2.1., 8.4.1. and 8.4.2.)
- **Assisting the development of European infrastructures for comparative research in the social sciences and humanities**  
Activities in this domain aim to facilitate the further development of European infrastructures for comparative research in the SSH, through targeted actions that add value to the creation of infrastructures and facilitate their use over and beyond the specific needs of particular themes and disciplines (tasks 8.2.2., 8.3.1. and 8.4.3.). In this way, these activities are intended to complement relevant initiatives in the context of the programme Structuring the European Research Area, Support for Research Infrastructures
- **Improving the dissemination and exploitation of research in social sciences and humanities in relation to key European challenges**  
Activities in this domain aim to enhance the dissemination and exploitation of the European SSH research in support of key policy challenges at national and European levels (tasks 8.3.2. and 8.4.4.).
- **New and emerging challenges and opportunities for social sciences and humanities**  
Activities in this domain aim to address new and emerging opportunities and challenges for SSH with a forward looking perspective and to prepare the research community to respond to these opportunities and challenges, within the perspective of the transformations to a European knowledge-based society (tasks 8.3.3., 8.3.4., 8.4.5., 8.4.6., and 8.4.7.)

**8.1. Topics for Networks of Excellence and Integrated Projects**

There are no topics for Networks of Excellence and Integrated Projects in this area.

## **8.2. Topics for Specific Targeted Research Projects and Coordination Actions**

### **8.2.1. Understanding and measuring social sciences and humanities and their impact**

**The objective is to develop knowledge about social sciences and humanities in Europe, particularly as regards their institutional context, knowledge content, functions and contributions in the economy and society, with a view to enabling the design of better policies for SSH in Europe.**

STREPs and/or CAs should address the mechanisms whereby research in the SSH creates value and returns (private and public, economic, social, political, scientific etc.). This may include the relations between research in the SSH and innovation (broadly defined innovation to include technical, organizational, social and other forms of innovation which may be relevant to different economic activities, industries, as well as social and political functions). The diversity within the social sciences and humanities, in terms of content, methods, institutional loci, links with professions and communities of practice etc, should be taken into account. The role of the private sector (including industry, services as well as foundations and interest groups) in funding research and using results of social science and humanities should be also assessed.

### **8.2.2. Promotion and support for comparative research, methodologies and data generation**

**The objective is to promote and support comparative research through the development and diffusion of tools, methodologies, research designs and large scale data-sets of wide applicability for comparative research and across disciplines.**

STREPs and/or CAs should address one or more of the following issues:

The development of new (or improvement of existing) methods and tools (quantitative / qualitative) for comparative research. These need to be generic methods and/or tools of wide applicability in different fields and disciplines. Proposals may usefully address the challenges and opportunities posed by rapidly expanding data-recording and processing capacities. Methods and tools dealing with the context-dependency of data and the challenges this poses in the accumulation of data over time. Challenges and opportunities arising from the use of new types of data (e.g. video) can also be addressed. Proposals could also aim at promoting the diffusion of good practice in comparative research and deriving evidence (e.g. by developing protocols and standards). The need for large scale comparative data-sets of wide applicability for social sciences and humanities research can be covered by proposals to this topic.

## **8.3. Topics for Specific Support Actions to be implemented by a Call for Proposals**

### **8.3.1. Increasing the visibility and impact of research infrastructures and activities for social sciences and humanities in Europe**

**The objective is to facilitate the mobilisation of research communities and to promote the use of research infrastructures by increasing the visibility of national and European infrastructures and research activities.**

Studies can be proposed to examine the feasibility and cost-effectiveness of virtual laboratories, electronic portals and other specialised instruments (e.g. citation indexes, on-line data-bases, virtual networks of researchers, etc.) for improved accessibility and diffusion of data, methods, archived material etc. Appropriate implementation plans and pilots could be developed as part of the studies.

### **8.3.2. New approaches for policy-research dialogues in the ERA: targeted dissemination of EU research in national and multi-national contexts**

**The objective of this activity is to increase the impact of SSH research results on national, regional and local levels.**

Proposals should address the organisation of specific events to disseminate the findings of research activities in the social sciences and humanities on important topics of particular policy relevance and interest for the countries involved. These can take the form of seminars or conferences, and should aim at addressing specific needs of particular users (e.g. advisors to policy makers, journalists, specific interest groups, etc.). The dissemination days should contribute appropriate research results in a targeted and user-friendly way. The topics to be addressed must bring to bear research results from the projects funded under FP4, FP5 and FP6, as well as, where appropriate, research projects funded by other sources (national or international).

This activity is especially addressed to National Contact Points or other relevant organisations, with strong and broad links to their research and policy communities, who are invited to submit proposals aiming at organizing these targeted dissemination days for individual or groups of countries.

### **8.3.3. Promoting international research and policy co-operation in social sciences and humanities**

**The objective is to promote international co-operation on themes of common interest in the field of social sciences and humanities.**

Proposals are called for the organisation of targeted conferences and workshops involving researchers from both European and INCO countries (for a complete list of INCO countries, please refer to Annex 3), on important themes and topics of mutual (European and INCO countries) interest in the Social Sciences and Humanities. Proposals could involve important scientific meetings where INCO country researchers could exchange findings and results with their European counterparts in a structured way. In such cases proposals should bring together European research projects with similar projects from groups of INCO countries. Proposals could also address policy oriented meetings on the development of common research agendas on important themes of interest for Europe as well as individual and groups of INCO countries.

### **8.3.4. New converging technologies and their wider implications for a European knowledge based Society**

**The objective is to launch an initiative that cuts across the Thematic Priorities of FP6, to develop an integrated approach to phenomena of technological convergence, their shaping and implications.**

Such a "Knowledge for Humankind Initiative" (KHI) aims at developing in the long term a framework for society to assess and shape the systemic implications of technological convergence (between Nano-, Bio-, Information technologies, Cognitive sciences and Social sciences and Humanities). Proposals for workshops, meetings, state-of-the-art studies, network-stimulation and formation activities, or combinations of the above are expected from researchers interested in this convergence from a social sciences and humanities point of view (eventually integrating other sciences as well).

## **8.4. Topics for Specific Support Actions to be implemented by calls for tenders or expert groups**

Please note that these topics are not open for a call for proposals. The Commission services will provide more detailed guidance as part of the call for tenders procedures.

#### **8.4.1. Providing the basis of European R&D indicators and statistics in the field of social sciences and humanities**

**The objective is to develop appropriate indicators to support policies for social sciences and humanities in Europe**, in co-operation with statistical agencies and other established fora in the field of Science and Technology Indicators. Work will include studies and the establishment of expert groups.

#### **8.4.2. Stimulating the coherence of social sciences and humanities within Europe and the mobilization of its research communities**

**The objective is to establish an inclusive and comprehensive multi-stakeholder forum which could evolve into a European Observatory of the SSH.** Specific Support Actions will be implemented through expert groups) and call for tender procedures. A structure for the forum will be developed through workshops with particular stakeholder communities (e.g. public and private research funders, professional associations; targeted national programmes and research institutes, etc.). A major conference on SSH in Europe in 2005 will combine the work of the forum with strategic analyses to examine the potential for a European Observatory of the SSH.

#### **8.4.3. Enhancing the linkages between European data archives in social sciences and humanities**

**The objective is to examine the needs for, and the feasibility of linking the different national data archives in Europe.** An expert group will be established to identify important research areas in which national data archives can work together to strengthen data exchange and to develop common standards and tools for data documentation and data-archiving in Europe.

#### **8.4.4. Integrating the contributions of individual projects through “clustering” in order to address key policy challenges for the EU**

**The objective is to improve significantly both the policy and scientific impact of the research conducted in research programmes in the field of social sciences and humanities** (Framework Programmes 4, 5 and 6), by bringing projects together in clusters around important themes, to integrate complementary research outputs, to take advantage of synergies, provide “critical mass” of results, consolidate results and findings, and improve confidence and impact on policy as well as science. Topics will be chosen on the basis of their importance in policy and scientific terms and the amount and nature of research material at hand.

#### **8.4.5. Improving and exploiting the knowledge base of social sciences and humanities in support of the knowledge based economy in Europe**

**The objective here is to identify, bring together and assess existing research within Europe, and to identify gaps in knowledge and research**, in relation to the transition towards a knowledge based economy and the relevant accompanying changes in Europe, including the EU research policies and instruments that will support the Lisbon strategy.

#### **8.4.6. Enhancing the integration of socio-economic dimension in European research**

**The objective is to assure appropriate co-ordination of the integration of socio-economic research and foresight elements across the Framework Programme, the Specific and associated Work Programmes, at all stages of the definition and execution processes of the research activities.**

SSAs may be implemented to support the monitoring, analysis and reporting, publication and dissemination of the integration of the socio-economic dimension in FP6. The results will include two Synthesis Reports during the course of and at the end of FP6.

#### **8.4.7. Promoting the participation of the humanities in the European Research Area**

##### **The objective here is to promote the participation and integration of the humanities in the European Research Area.**

SSA will be launched to promote the awareness of the potential contributions of humanities researchers in addressing important issues for Europe, in cooperation with other disciplines. This may include information campaigns, other means of increasing the visibility of EU research in humanities communities, as well as work on combining methods and approaches in the humanities and social sciences into co-operation between disciplines and sciences.

#### **7.4. Links to other research topics**

In addition to the specific activities outlined above, further activities may be undertaken as required to assure appropriate co-ordination of socio-economic research and foresight elements across all the priorities of this Specific Programme. Links will be further developed with the activities of the programme Structuring the European Research Area, especially in research infrastructures, human resources and mobility and international co-operation. As regards the relations with science and society, where there are shared objectives, activities will be implemented through an appropriate co-operative approach. Co-ordination may include exchanges of information, common reporting on socio-economic aspects of research, as well as possible joint initiatives on topics of common interest, in order to ensure a coherent interface with the research community in the social sciences and humanities.

#### **7.5. Implementation Plan, roadmap and Related Issues**

According to Art 15 of the Internal Implementing Rules on the General Budget of the European Communities for 2004 (Decision SEC/2004/102 of 11 March 2004), this Work Programme will constitute the decision for the financing of chapter 08.07 "Citizens and governance in a knowledge based society" of the 2005 Budget.

Any call budget information relating to 2006 is provided as advance information only. A new financing decision to cover the 2006 budget will be requested at the appropriate time next year. Any call budget information relating to 2005 is provided under the condition that the draft budget for that year is adopted, without adjustments, by the budgetary authority."

This Work Programme will be implemented predominantly through three calls for proposals:

- The call CITIZENS-4 will be open exclusively for NoE and IP.
- The call CITIZENS-5 will be open exclusively for STREP and CA.
- The call CITIZENS-6 will be open exclusively for SSA.
- **Evaluation procedure:**
  - **Two**-stages for Networks of Excellence and Integrated Projects (Call CITIZENS-4).
  - **One**-stage for STREPs, CAs, SSAs (Calls CITIZENS-5 and CITIZENS-6).

Indicative budgetary implementation of the calls for proposals:

CALL	Title	M€	Budget
A	CITIZENS-4	60.000	B 2006
B	CITIZENS-5	51.500	B 2005
B	CITIZENS-5	0.500	B 2006
C	CITIZENS-6	4.000	B 2005

Over and above the three major calls for proposals, the activities of area 8.4 of the technical content will be implemented through calls for tenders and Expert Groups.

Indicative budgetary implementation of calls for tender and expert-groups:

Domain	type	Title	M€	Date
8.4.1	Tender	Basis for R&D indicators in the SSH (studies)	0.400	2 <sup>nd</sup> semester 2005
8.4.1	Expert group(s)	Basis for R&D indicators in the SSH	0.100	2 <sup>nd</sup> semester 2005
8.4.2	Tender	The observatory for SSH (conference)	0.200	1st semester 2005
8.4.2	Expert group(s)	The observatory for SSH	0.400	1st semester 2005
8.4.3	Expert group(s)	Data archives	0.150	1st semester 2005
8.4.4	Tender	Organisation of project clusters	3.000	1st semester 2005
8.4.5	Expert group(s)	SSH and knowledge based economy	0.100	2 <sup>nd</sup> semester 2005
8.4.6	Expert group(s)	Socio economic dimension	0.150	1st semester 2005
8.4.7	Expert group(s)	Humanities	0.500	2 <sup>nd</sup> semester 2005
<b>Total</b>			<b>5.000</b>	

In exceptional cases, Art. 9.2.c of the Rules of Participation may be used for functions related to the overall implementation of this thematic priority.

## 7.6. Call Information

### Call fiche A

- 1) **Specific programme:** Integrating and strengthening the European Research Area
- 2) **Thematic priority/Domain:** Priority 7
- 3) **Call title:** Priority 7 - Second Call - Part A
- 4) **Call identifier:** CITIZENS-4
- 5) **Date of publication<sup>1</sup>:** 8 December 2004
- 6) **Closure dates<sup>2</sup>:** 13 April 2005, at 17:00 (Brussels local time) for submission of first stage proposals

<sup>1</sup> The director-general responsible for the call may publish it up to one month prior or after the envisaged date of publication

7) **Total indicative budget:** 60 Million €

Instrument <sup>3</sup>	€ (millions)
NoE and IP	60

8) **Area & instruments:**

Proposals are invited for the following topics, which are indicated using their reference number only. For the full title and definition of topic, applicants must refer to the Work Programme (Section 7.3 Technical Content). The evaluation of proposals will be based on the full definition of topic as described in the Work Programme. For each topic the types of instruments to be used are indicated.

<b><u>Area</u></b>	<b><u>Instruments</u></b>
1.1.1.	NoE and IP
1.1.2.	NoE and IP
2.1.1.	NoE and IP
2.1.2.	NoE and IP
3.1.1.	NoE and IP
4.1.1.	NoE and IP
6.1.1.	NoE and IP
7.1.1.	NoE and IP
7.1.2.	NoE and IP

9) **Minimum number of participants<sup>4</sup>:**

<b>Instruments</b>	<b>Minimum number</b>
IP and NoE	3 independent legal entities, from 3 MS or AS, with at least 2 MS or ACC

10) **Restriction to participation:** None

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<sup>2</sup> Where the envisaged date of publication is either advanced or delayed, closure date(s) will be adjusted automatically in the published call for proposals.

<sup>3</sup> IP = Integrated project; NOE = Network of excellence; STREP = Specific targeted research project; CA = Coordination action; SSA = Specific support action

<sup>4</sup> MS = Member States of the EU ; AS (incl. ACC) = Associated States ; ACC : Associated candidate countries. Any legal entity established in a Member State or Associated State and which is made up of the requested number of participant may be the sole participant in an indirect action.

11) **Consortium agreement:**

- Participants in IP and NOE are required to conclude a consortium agreement.

12) **Evaluation procedure:**

- The evaluation shall follow a two-stage procedure. An outline proposal (stage 1) shall be submitted at the closure date mentioned under item 6 above. Proposals having passed the minimum thresholds required in the first stage will be retained for the second stage (“go” proposals).
- Coordinators of “go” proposals will be requested to provide a complete proposal. The closure date for the second submission will be included in the invitation to complete the proposal (indicative closure date: **26 October 2005**).
- proposals will not be evaluated anonymously

13) **Evaluation criteria:**

- see Annex B of the Work Programme for the applicable criteria (including their individual weights and thresholds and the overall threshold) per instrument.

14) **Indicative evaluation and selection delays:**

- evaluation results: estimated to be available within some 5 months after the closure date
- contract signature: it is estimated that the first contracts related to this call will come into force 12 months after the closure date

**Call Fiche B:**

- 1) **Specific programme:** Integrating and strengthening the European Research Area
- 2) **Thematic priority/Domain:** Priority 7
- 3) **Call title:** Priority 7 - Second Call - Part B
- 4) **Call identifier:** CITIZENS-5
- 5) **Date of publication<sup>5</sup>:** 08 December 2004
- 6) **Closure date(s)<sup>6</sup>:** 13 April 2005, at 17:00 (Brussels local time)
- 7) **Total indicative budget:** 52 Million €

Instrument <sup>7</sup>	€ (millions)
STREPs and CA	52

8) **Area & instruments:**

Proposals are invited for the following topics, which are indicated using their reference number only. For the full title and definition of topic, applicants must refer to the Work Programme (Section

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<sup>5</sup> The director-general responsible for the call may publish it up to one month prior or after the envisaged date of publication

<sup>6</sup> Where the envisaged date of publication is either advanced or delayed, closure date(s) will be adjusted automatically in the published call for proposals.

<sup>7</sup> IP = Integrated project; NOE = Network of excellence; STREP = Specific targeted research project; CA = Coordination action; SSA = Specific support action

7.3 Technical Content). The evaluation of proposals will be based on the full definition of topic as described in the Work Programme. For each topic the types of instruments to be used are indicated.

<b><u>Area</u></b>	<b><u>Instruments</u></b>
1.2.1.	STREP and CA
1.2.2.	STREP and CA
2.2.1.	STREP and CA
2.2.2.	STREP and CA
2.2.3.	STREP and CA
3.2.1.	STREP and CA
4.2.1.	STREP and CA
4.2.2.	STREP and CA
5.2.1.	STREP and CA
5.2.2.	STREP and CA
5.2.3.	STREP and CA
6.2.1.	STREP and CA
6.2.2.	STREP and CA
6.2.3.	STREP and CA
7.2.1.	STREP and CA
8.2.1.	STREP and CA
8.2.2.	STREP and CA

9) **Minimum number of participants**<sup>8</sup>:

<b>Instruments</b>	<b>Minimum number</b>
STREP and CA	3 independent legal entities, from 3 MS or AS, with at least 2 MS or ACC

<sup>8</sup> MS = Member States of the EU ; AS (incl. ACC) = Associated States ; ACC : Associated candidate countries.  
Any legal entity established in a Member State or Associated State and which is made up of the requested number of participant may be the sole participant in an indirect action.

10) **Restriction to participation:** None

11) **Consortium agreement:**

- Participants in RTD actions resulting from this call are encouraged, but not required, to conclude a consortium agreement.

12) **Evaluation procedure:**

- the evaluation shall follow a single stage procedure
- proposals will not be evaluated anonymously

13) **Evaluation criteria:**

- see Annex B of the Work Programme for the applicable criteria (including their individual weights and thresholds and the overall threshold) per instrument.

14) **Indicative evaluation and selection delays:**

- evaluation results: estimated to be available within some 5 months after the closure date
- contract signature: it is estimated that the first contracts related to this call will come into force 12 months after the closure date

## Call fiche C:

1) **Specific programme:** Integrating and strengthening the European Research Area

2) **Thematic priority/Domain:** Priority 7

3) **Call title:** Priority 7 - Second Call - Part C

4) **Call identifier:** CITIZENS-6

5) **Date of publication**<sup>9</sup>: 08 December 2004

6) **Closure date(s)**<sup>10</sup>: 13 April 2005, at 17:00 (Brussels local time)

7) **Total indicative budget:** 4 Million €

Instrument <sup>11</sup>	€ (millions)
SSA	4

8) **Area & instruments:**

Proposals are invited for the following topics, which are indicated using their reference number only. For the full title and definition of topic, applicants must refer to the Work Programme (Section 7.3 Technical Content). The evaluation of proposals will be based on the full definition of topic as described in the Work Programme. For each topic the types of instruments to be used are indicated.

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<sup>9</sup> The director-general responsible for the call may publish it up to one month prior or after the envisaged date of publication

<sup>10</sup> Where the envisaged date of publication is either advanced or delayed (see previous footnote), closure date(s) will be adjusted automatically in the published call for proposals.

<sup>11</sup> IP = Integrated project; NOE = Network of excellence; STREP = Specific targeted research project; CA = Coordination action; SSA = Specific support action

<u>Area</u>	<u>Instruments</u>
8.3.1.	SSA
8.3.2.	SSA
8.3.3.	SSA
8.3.4.	SSA

9) **Minimum number of participants**<sup>12</sup>:

<b>Instruments</b>	<b>Minimum number</b>
SSA	1 legal entity from a MS or AS

10) **Restriction to participation:** None

11) **Consortium agreement:**

- Participants in SSA resulting from this call are encouraged, but not required, to conclude a consortium agreement.

12) **Evaluation procedure:**

- the evaluation shall follow a one stages procedure
- proposals will not be evaluated anonymously

13) **Evaluation criteria:**

- see Annex B of the Work Programme for the applicable criteria (including their individual weights and thresholds and the overall threshold) per instrument.

14) **Indicative evaluation and selection delays:**

- evaluation results: estimated to be available within some 5 months after the closure date
- contract signature: it is estimated that the first contracts related to this call will come into force 12 months after the closure date

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<sup>12</sup> MS = Member States of the EU ; AS (incl. ACC) = Associated States ; ACC : Associated candidate countries.  
Any legal entity established in a Member State or Associated State and which is made up of the requested number of participant may be the sole participant in an indirect action.

## **ANNEXES**

### **Annex 1: General Introduction to the Workprogramme of the Specific Programme “Integrating and strengthening the European Research Area”.**

*Priority 7 “Citizens and Governance in a knowledge-based society”, is a priority of the specific programme “Integrating and strengthening the European Research Area”. The workprogramme above is an extract from the entire workprogramme for this specific programme. The general introduction to the workprogramme of the specific programme is provided below. It presents the general context and framework for RTD activities in the whole of the specific programme including priority 7.*

#### **0. GENERAL INTRODUCTION**

##### **1. General**

Following the adoption of the specific programme for research, technological development and demonstration: "Integrating and strengthening the European Research Area"<sup>13</sup> and the rules of participation and dissemination<sup>14</sup> under the EC Treaty, the Commission adopted and updated as appropriate, with the assistance of the programme committee, this work programme which sets out in greater detail the objectives and technological priorities and the timetable for implementation of the specific programme.

As regards the **Priority Thematic Areas of Research**, integrated projects and networks of excellence are recognised as being an overall priority means to attain the objectives of critical mass, integration of the research capacities, management simplification and European added value.

These instruments are being used in each theme and, where deemed appropriate, as a priority means, while maintaining the use of specific targeted projects and co-ordination actions.

In terms of participation of the Community in programmes undertaken by several Member States (Article 169 of the Treaty), this is only foreseen, at this stage, in the priority thematic area of research addressing ‘Life sciences, genomics and biotechnology for health’.

More information on the provisions for implementing the new instruments (integrated projects and networks of excellence) is available on Cordis (<http://www.cordis.lu/fp6/instruments.htm>).

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<sup>13</sup> OJ L 294, 29.10.2002, p. 1.

<sup>14</sup> OJ L 355, 30.12.2002, p. 23.

*Regarding research activities in areas involving **Specific Activities Covering a Wider Field of Research**, these are being implemented, at this stage, using specific targeted research projects, co-ordination actions, and specific research projects for small and medium sized enterprises (SMEs).*

*Concerning **Strengthening the Foundations of the European Research Area**, the implementation is mostly done through specific targeted research projects, specific support actions, and co-ordination actions.*

Specific support actions, including calls for tender, and co-ordination actions may be applied throughout the programme.

In updating this work programme, the Commission has relied on advice mainly from advisory groups. More information on the list of members of the advisory groups is available on Cordis. These groups of independent high-level experts have been set up to advise on the implementation of Community research policy. The experts are renowned for their knowledge, skills and top-level experience in the field or regarding the issues to be dealt with by the groups.

## **2. Scope of Work Programme**

The scope of this work programme corresponds to that defined in the specific programme. The calls for proposals planned within this work programme are those foreseen to close in 2004 and 2005 along with, in many cases, an indication of those calls intended to close in 2006. Annex A gives an overview of these calls.

## **3. Cross Cutting Issues**

There are several issues that are important to all parts of the work programme. These are addressed here and, as appropriate, elaborated in the various parts. Please note that the work related to statistics in this work programme will be implemented in close co-operation with EUROSTAT, in particular the parts relating to the priority thematic areas “Information society technologies” and “Citizens and governance in a knowledge-based society”, as well as the part addressing policy-oriented research under the heading “Specific activities covering a wider field of research”.

- a) This work programme places special emphasis on the needs of small and medium-sized enterprises (SMEs). In particular, at least 15% of the funding allocated to the Priority Thematic Areas of Research is foreseen for SMEs. In order to reach this objective, special actions are foreseen such as SME specific calls for proposals in the context of the new instruments, reinforcement of National Contact Points, and specific training and take-up measures. In addition, the involvement of SMEs is taken into account in the evaluation criteria particularly for the new instruments. Also the fact that enterprise groupings which represent large communities of SMEs may play an active role in the new instruments will contribute to reaching the above-mentioned objective.

- b) Proposers based in Associated States may take part in this programme on the same footing and with the same rights and obligations as those based in Member States. In addition, this work programme underlines the importance of involving associated candidate countries in the Community's research policy and in the European Research Area. Further specific support actions will also be implemented to stimulate, encourage and facilitate the participation of organisations from the remaining candidate countries in the activities of the priority thematic areas. Annex D provides details of these specific measures (in particular that relate to the reinforcement of the Associated Candidate Countries research capacities).
- c) International co-operation represents an important dimension of the Sixth Framework Programme. As a contribution to a European Research Area open to the world, it will be implemented in the Sixth Framework Programme through three major routes:
- The opening of “Focusing and Integrating Community Research” to third country organisations with substantial funding,
  - Specific measures in support of international co-operation, and
  - International activities under the heading of Human Resources in the specific programme for research, technological development and demonstration "structuring the European Research Area".

The first two, as part of the specific programme “Integrating and strengthening the European Research Area”, are covered by the present work programme. They also correspond to the second activity referred to in Article 164 of the Treaty, which covers co-operation with third countries and international organisations.

- *Opening of “Focusing and Integrating Community Research” to third country organisations*

Funding is available for the participation of researchers, teams and institutions from third countries in projects within the seven Priority Thematic Areas of Research, as well as under “Specific activities covering a wider field of research”. Under this heading, the activities in question have the following overall objectives:

- To help European researchers, businesses and research organisations in the European Union and in the countries associated with the Framework programme to have access to knowledge and expertise existing elsewhere in the world, and
- To help ensure Europe’s strong and coherent participation in the research initiatives conducted at international level in order to push back the boundaries of knowledge or help to resolve the major global issues.

Any particular issue concerning the international dimension of the seven Priority Thematic Areas of Research and of the Specific activities concerning a wider field of research is set out in the relevant chapter of this work programme. Annex E on the other hand provides details on the

specific measures that are envisaged for the promotion of co-operation with targeted third countries.

Participants from all third countries<sup>15</sup> and from international organisations may take part in all activities under this heading in addition to the minimum number of participants required.

Participants from developing countries, Mediterranean partner countries, Western Balkan countries, as well as Russia and the new independent states (see the list of countries in Annex C) can be funded in all activities under this heading<sup>16</sup>. Other third country participants can also be funded in those areas where the relevant part of this work programme makes reference to this possibility or if it is essential for carrying out the research activity.

- *Specific measures in support of international co-operation*

315 million Euro will fund “Specific measures in support of international co-operation”. In support of the external relations, including the development policy, of the Community, these measures target the following groups of third countries: Developing countries, Mediterranean partner countries, Western Balkan countries, and Russia and the new independent states. The activities and calls for proposals under this heading, which are complementary to the opening of the Priority Thematic Areas of Research, are presented in Chapter 10 of this work programme. Requirements for consortium composition are set out in this part.

- *Participation and funding for third country entities under the heading “Strengthening the European Research Area”*

International co-operation with third country partners and international organisations will be actively fostered on all topics which will benefit from such co-operation. Furthermore, third country entities and international organisations can benefit from Community financial contribution. To this end, topics for international co-operation will be specified, where appropriate, in calls. This applies particularly to those third countries with whom co-operation agreements have been concluded. As mentioned above, Annex E provides details on the specific measures that are envisaged for the promotion of co-operation with targeted third countries.

- d) Research activities carried out under this work programme must respect fundamental ethical principles and the requirements as stipulated in the decision on the specific programme for research, technological development and demonstration: "Integrating and strengthening the European Research Area". More information on the review procedure is foreseen in the “Guidelines on Proposal Evaluation and Project Selection

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<sup>15</sup> Please check on Cordis for further details, including regularly updated information.

<sup>16</sup> 285 million euro has in fact been allocated for participation from the targeted third countries (see Annex C) within the Priority Thematic Areas of Research and specific activities covering a wider field of research.

Procedures” (<http://www.cordis.lu/fp6/eval-guidelines>). Annex B to this work programme also details the issues to be covered in any ethical review.

- e) As much as possible and in association with the specific programme for research, technological development and demonstration "Structuring the European Research Area", the mobility of researchers will be promoted, particularly with a view to the successful creation of the European Research Area.
- f) This work programme attempts, where possible, to reinforce and increase the place and role of women in science and research both from the perspective of equal opportunities and gender relevance of the topics covered.
- g) A particular effort will be carried out to take into consideration the ethical, social, legal, regulatory and wider cultural aspects of the research including socio-economic research, and innovation, resulting from the possible deployment, use and effects of the newly developed technologies or processes and scenarios covered by each of the thematic priorities. This effort will be complemented by socio-economic research carried out within the priority addressing ‘Citizens and governance in a knowledge-based society’.
- h) In the context of the regular report to be submitted to the European Parliament and the Council, the Commission will continue to report in detail on progress in implementing the specific programme, and, in particular, progress towards achieving its objectives and meeting its priorities.
- i) The promotion of innovation is a cross-cutting issue, relevant to the whole European Community RTD Framework Programme. This issue aims to meet the Treaty objective of strengthening the scientific and technological bases of Community industry *and encouraging it to become more competitive at international level*<sup>17</sup>.

In this context, an important goal is to promote exploitation of the results of those projects which include R&D components<sup>18</sup>. To this end, consortia should pay sufficient attention to the management of knowledge and pursuit of innovation in their projects. These issues should be well integrated in the proposals through the work content and consortium composition, and will be taken into account during their evaluation<sup>19</sup>. Projects should involve, where appropriate, end-users and other

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<sup>17</sup> EC Treaty, Art. 163.1

<sup>18</sup> As confirmed in the Council decision of 30.9.2002 relating to the specific RTD programme for “Integrating and strengthening the European Research Area” (Annex, section 1.1 – OJ L 294/7)

<sup>19</sup> As stated in Art. 10.1.e of the rules of participation (OJ L 355/28)

stakeholders to ensure relevance of the research and effective take-up of results.

In particular, the participants should include in their projects “innovation-related activities”, that may be supported by EC funding. Examples of such activities include the protection and management of knowledge and intellectual property, the analysis of socio-economic factors affecting the exploitation of the project's results, feasibility studies for the creation of spin-offs, and other activities to promote knowledge transfer between public research and industry.

During a project, the participants will be requested to report periodically on these issues, in particular by developing and updating throughout the project a *plan for using and disseminating the knowledge*. This plan should describe the innovation-related activities already implemented and those being planned, as well as their actual or expected impact.

Besides these central project-level activities, specific mechanisms will ensure that there is exchange of information and experience between the activities of the different work programmes as regards their innovation dimension, and that the innovation-related achievements be properly analysed, monitored, and evaluated<sup>20</sup>.

#### **4. Submitting a Proposal**

Proposals should be submitted under the terms of a call for proposals<sup>21</sup>. In order to submit a proposal, a proposer should consult the following:

- This work programme,
- The relevant call for proposals as it is published in the *Official Journal of the European Union*, and
- The relevant Guide for Proposers.

These and a number of other useful texts, including the rules for participation and details on the contracts, are available on Cordis (as referred to above).

#### **5. Cross Cutting Proposals**

Proposals are invited to be submitted on the basis of calls for proposals, which are, in the case of the Priority Thematic Areas of Research organised thematically. Proposals that address more than one thematic area will be accommodated by the Commission, provided the proposal addresses areas covered by this work programme.

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<sup>20</sup> cf. OJ L 294/50, section 2.f of the Annex

<sup>21</sup> Proposals for specific support actions, which do not fall within the scope of a call for proposals, may be submitted to the Commission only when it is provided for in this work programme.

The specific programme is focused on a number of thematic priorities. They encompass a wide range of disciplines and proposals that cut across the boundaries of themes are to be expected. The criterion of relevance to the objectives of the specific programme is a *sine qua non* for the further consideration of such proposals. Furthermore, proposals will not be accepted if they do not fall within the scope of the work programme.

Cross-cutting proposals may be categorised as follows:

- **Proposals with a clear “centre of gravity”.** Given the nature of research carried out today, a large proportion of proposals contain some degree of multi-disciplinarity. These are handled by normal submission and evaluation procedures. For proposals which contain a significant technological or thematic element from a different part of the programme, the procedure involves the proposal being treated by the thematic area represented by the greatest proportion of the proposal (ie, its “centre of gravity”). For proposals where the centre of gravity is not immediately obvious, the Commission will examine the proposal content and decide in which thematic area the proposal is best handled. If a proposal is transferred to a thematic area other than the one to which it was submitted, it will be handled in the framework of the new thematic area. However, if the new centre of gravity does not have an open call at the time of transfer, the proposal will be held over, with the agreement of the proposers, until a suitable call is open, but only if such a call is explicitly foreseen by the work programme. If successful, the proposal will be handled and funded by the thematic centre of gravity.
- **Joint calls for proposals.** In certain fields, it is clear that proposals will always contain a high proportion of interest for different thematic areas. In this instance, the Commission uses calls for proposals issued jointly by two or more programme/thematic areas, with a pooling of budget. This procedure only occurs for well-defined areas where the cross cutting nature of the proposals to be received can be clearly identified in advance.
- **Proposals with horizontal interest.** These relate to proposals which are of general interest to all parts of the specific programme but of no specific interest to an individual part. If such proposals are truly innovative and ground breaking, there is the possibility of referring them to the work programme part that addresses “anticipating scientific and technological needs”, once this part is open for the receipt of such proposals. Proposals with a horizontal interest which do not meet this criterion may, if applicable, be handled like proposals with a centre of gravity (see first bullet point).

## 6. Evaluation Criteria and Related Issues

The “Guidelines on Proposal Evaluation and Project Selection Procedures” describes the basic procedures to be followed by all programmes under the Sixth Framework Programme of the European Community.

The set of criteria applicable to this work programme is given in Annex B. Any complementary criteria are clearly stated in the relevant part of this work programme. Evaluation thresholds for each set of criteria are given in Annex B and apply unless otherwise clearly stated. In addition, Annex B outlines how the following will be addressed: gender issues, ethical and/or safety aspects, and the education dimension.

All proposals before they are selected for funding and which deal with ethical issues and any proposal for which ethical concerns have been identified during the scientific evaluation may be reviewed by a separate ethical review panel. The “Guidelines on Proposal Evaluation and Project Selection Procedures” gives more details on the evaluation procedure as a whole as well as details of the ethical review procedure.

Furthermore, the work programmes, and consequently their calls for proposals, may specify and restrict the participation of legal entities in an indirect action according to their activity and type, according to the instrument deployed and to take into account specific objectives of the Framework Programme.

Calls for proposals may involve a two-stage evaluation procedure. When such a procedure is employed, this is stated clearly in the call for proposals. More information on this process is given in the “Guidelines on Proposal Evaluation and Project Selection Procedures”.

Finally, when evaluating proposals received in response to a call, the Commission may opt to send the proposals to external experts or make proposals available by electronic means, so that the experts can carry out their examination at their home or place of work.

## 7. Specific Support Actions

Support activities are more limited in scope than the accompanying measures of the previous Framework Programmes. These projects aim to **contribute actively** to the implementation of activities of the work programme, the analysis and dissemination of results or the preparation of future activities, with a view to enabling the Community to achieve or define its RTD strategic objectives. Therefore, a significant emphasis has been placed on Support Actions:

- to promote and facilitate the dissemination, transfer, exploitation, assessment and/or broad take-up of past and present programme results (over and above the standard diffusion and exploitation activities of individual projects);

- to contribute to strategic objectives, notably regarding the European research area (e.g. pilot initiatives on benchmarking, mapping, networking, etc.);
- to prepare future community RTD activities, (e.g. via prospective studies, exploratory measures. pilot actions etc.);

as opposed to awareness and information exchange activities, e.g. annual Workshops and Conferences, that would take place anyway without Commission support. The latter activities will not be welcome if they do not **serve** the programme's strategic objectives, (in the sense of the European Research Area, improved co-ordination, public awareness, preparation of future Community initiatives, etc.).

A limited number of specific support actions may be funded, where such a request does not fall within the scope of a call for proposals, when they have particular characteristics and value to the objectives and the scientific and technological content of the specific programme. Such requests for grants must be for actions of European significance and could, for example, provide support for major policy-related workshops in the context of activities of the rotating Presidency of the Union. They should be submitted at least five months in advance of the event for which support is requested. The evaluation criteria will be those applicable to specific support actions as laid down in this work programme.

## ANNEX A Overview of Calls for Proposals foreseen in this Work Programme (see relevant work programme part for details) - SP1

1. Life sciences, genomics and biotechnology for health	<p>(i) FP6-2002-Lifescihealth - publication 17/12/2002; closure 25/03/2003; budget 513 M€  (ii) FP6-2003-Lifescihealth-I - publication 15/07/2003; closure 13/11/2003; budget 411 M€  (iii) FP6-2003-Lifescihealth-II - publication 15/07/2003; closure 15/04/2004; budget 4 M€  (iv) FP6-2003-Lifescihealth-3 - publication 13/12/2003; closure 24/03/2004; budget 12 M€  (v) FP6-2004-Lifescihealth-4 – publication 15/06/2004; closure 09/09/2004; budget 4M€  (vi) FP6-2004-Lifescihealth-5 – publication 15/06/2004; closure 17/11/2004; budget 540M€</p>
2. Information Society technologies	<p>(i) FP6-2002-IST-1- publication 17/12/2002; closure 24/04/2003; budget 1070 M€  (ii) FP6-2002-IST-FET Open domain-publication 17/12/2002; closing 31/12/2004; budget 60 M€  (iii) FP6-2002-IST-NMP-1 (joint) - publication 17/12/2002; closing 24/04/2003; budget 60 M€  (iv) FP6-2002-IST-2- publication 17/06/2003; closure 15/10/2003; budget 525 M€  (v) FP6-2004-IST-3- publication 8/06/2004; closure 22/09/2004; budget 28 M€  (vi) FP6-2004-IST-NMP-2 (joint) - publication 8/06/2004; closing 14/10/2004; budget 180 M€  (vii) FP6-2004-IST-FET Proactive initiatives-publication 8/06/2004; closing 22/09/2004; budget 80 M€  (viii) FP6-2004-IST-4 - publication 16 Nov 2004; closure 22/03/2005; budget 1120 M€  (ix) FP6-2004-IST-5 - publication 17 May 2005; closure 21/09/2005; budget 638 M€  (x) FP6-2004-IST-C publication Nov 2004; closure 20/09/2005; budget 60 M€</p>
3. Nano-technologies and nano-sciences, knowledge-based multifunctional materials, and new production processes and devices	<p>(i) FP6-NMP-1- publication 17/12/2002; closures 6/03/2003 and 10/04/2003; budget 400 M€  (ii) FP6-2002-IST-NMP-1-(joint) publication 17/12/2002; closing 24/04/2003; budget 60 M€  (iii) FP6-NMP-2- publication 17/12/2002; closure 10/04/2003; budget 40 M€  (iv) FP6-2003-NMP-NI-3- publication 13/12/2003; closure 02/03/2004; budget 245 M€  (v) FP6-2003-NMP-TI-3- publication 13/12/2003; closure 12/05/2004; budget 105 M€  (vi) FP6-2003-NMP-SME-3- publication 13/12/2003; closure 02/03/2004; budget 80 M€  (vii) FP6-2002-STEEL-3(joint) - publication 13/12/2003; closing 17/03/2004; budget 25 M€ (with 20 M€ from FP6, the balance from the Research Fund for Coal and Steel)  (viii) FP6-2004-IST-NMP-2 (joint) - publication 8/06/2004; closing 14/10/2004; budget 180 M€  (ix) FP6-2004-NMP-NSF-1 - publication 8 June 2004; closing 14/10/2004; budget 6 M€  (x) FP6-2004-NMP-NI-4 - publication Dec 2004; closing 17/03/2005; budget 150 M€  (xi) FP6-2004-NMP-TI-4 - publication Dec 2004; closing 15/09/2005; budget 120 M€  (xii) FP6-2004-NMP-SME-4 - publication Dec 2004; closing 17/03/2005; budget 100 M€</p>
4. Aeronautics and space	<p>(i) FP6-Aero-1- publication 17/12/2002; closure 20/03/2003; budget 240 M€  (ii) FP6-Aero-2- publication 17/12/2002; closure 20 March 2003 and 23 September 2003; budget 7 M€  (iii) FP6-2002-TREN-1 (joint)-publication 17/12/2002; closures 18,20/03/2003 and 15/04/2003; budget 140 M€  (iv) FP6-2003-TREN-2 (joint)-publication 17/06/2003 closure 17/12/2003; budget 175 M€  (v) FP6-2002-Space-1- publication 17/12/2002; closure 20/03/2003; budget 60 M€  (vi) FP6-2003-Aero-1- publication 13/12/2003; closure 31/3/2004; budget 300 M€  (vii) FP6-2003-Aero-2 - publication 13/12/2003; closure 31/3/2004, and 28/9/2004; budget 7 M€  (viii) FP6-2003-Space-1 - publication 13/12/2003; closure 31/3/2004; budget 60 M€  (ix) FP6-2003-TREN-3 (joint)- publication 8/06/2004; closure 8/12/2004; budget 252 M€  (x) FP6-2004-Hydrogen-1 (joint) - publication 8/06/2004; closure 8/12/2004; budget 35 M€  (xi) FP6-2004-Hydrogen-2 (joint) - publication 8/06/2004; closure 8/12/2004; budget 4.5 M€</p>

5. Food quality and safety	<ul style="list-style-type: none"> <li>(i) FP6-2002-Food-1 - publication 17/12/2002; closure 15/04/2003; budget 204 M€</li> <li>(ii) FP6-2003-Food-2A &amp; B - publication 5/11/2003; closures 5/02/2004 and 29/09/2004.; budget 197 M€</li> <li>(iii) FP6-2004-Food-3-A - publication 24/7/2004; closure 7/10/2004; budget 152 M€</li> <li>(iv) FP6-2004-Food-3-B - publication 24/7/2004; closure 8/02/2005; budget 59 M€</li> <li>(v) FP6-2004-Food-3-C - publication 24/7/2004; closure 7/09/2005; budget 5 M€</li> </ul>
6.Sustainable development, global change and ecosystems	<ul style="list-style-type: none"> <li>(a) Sustainable Energy Systems: <ul style="list-style-type: none"> <li>(i) FP6-2002-TREN-1(joint)-publication 17/12/2002; closures 18.20/03/2003 and 15/04/2003; budget 140 M€</li> <li>(ii) FP6-2002-Energy 1- publication 17/12/2002; closure 18/03/2003; budget 198 M€</li> <li>(iii) FP6-2003-TREN-2(joint)- publication 17/06/2003; closure 17/12/2003; budget 175 M€</li> <li>(iv) FP6-2003-Energy-2- publication 4/10/2003; closure 17/12/2003; budget 3 M€</li> <li>(v) FP6-2003-TREN-3 (joint)- publication 8/06/2004; closure 8/12/2004; budget 252 M€</li> <li>(vi) FP6-2004-Hydrogen-1 (joint) - publication 8/06/2004; closure 8/12/2004; budget 35 M€</li> <li>(vii) FP6-2004-Hydrogen-2 (joint) - publication 8/06/2004; closure 8/12/2004; budget 4.5 M€</li> <li>(viii) FP6-2004-Energy-3 - publication 8/09/2004; closure 8/12/2004; budget 190 M€</li> </ul> </li> <li>(b) Sustainable surface transport: <ul style="list-style-type: none"> <li>(i) FP6-2002-TREN-1(joint)-publication 17/12/2002; closures 18.20/03/2003 and 15/04/2003; budget 140 M€</li> <li>(ii) FP6-2003-TREN-2 (joint)-publication 17/06/2003 closure 17/12/2003; budget 175 M€</li> <li>(iii) FP6-2002-Transport 1- publication 17/12/2002; closure 15/04/2003; budget 170 M€</li> <li>(iv) FP6-2002-Transport 2- publication 17/12/2002; closure 3 April 2003 and 23 September 2003, budget 5 M€</li> <li>(v) FP6-2003-Transport-3 - publication 13/12/2003; closure 6/4/ 2004; budget 150 M€</li> <li>(vi) FP6-2003-Transport-2 - publication 13/12/2003; closure 6/4/2004 and 22 September 2004; budget 5 M€</li> <li>(vii) FP6-2003-TREN-3 (joint)- publication 8/06/2004; closure 8/12/2004; budget 252 M€</li> <li>(viii) FP6-2004-Hydrogen-1 (joint) - publication 8/06/2004; closure 8/12/2004; budget 35 M€</li> <li>(ix) FP6-2004-Hydrogen-2 (joint) - publication 8/06/2004; closure 8/12/2004; budget 4.5 M€</li> </ul> </li> <li>(c) Global change and ecosystems: <ul style="list-style-type: none"> <li>(i) FP6-2002-Global 1-publication 17/12/2002; closure 8/4/2003; budget 170 M€</li> <li>(ii) FP6-2003-Global 2-publication 3/07/2003; closure 9 October 2003 and 17 February 2004; budget 180 M€</li> <li>(iii) FP6-2004- Global 3-publication 16/06/2004; closure 26 October 2004; budget 205 M€</li> </ul> </li> </ul>
7. Citizens and governance in a knowledge-based society	<ul style="list-style-type: none"> <li>(i) FP6-2002-Citizens 1-publication 17/12/2002; closure 15/04/2003; budget 20 M€</li> <li>(ii) FP6-2002-Citizens 2-publication 17/12/2002; closure 15/04/2003, budget 33 M€</li> <li>(iii) FP6-2002-Citizens 3-publication 17/12/2002; closure 10/12/2003; budget 48 M€</li> <li>(iv) FP6-2002-Citizens-4-publication 8/12/2004; closure 13/04/2005; budget 60 M€</li> <li>(v) FP6-2002-Citizens-5-publication 8/12/2004; closure 13/04/2005; budget 52 M€</li> <li>(vi) FP6-2002-Citizens-6-publication 8/12/2004; closure 13/04/2005; budget 4 M€</li> </ul>
8. Policy support and anticipating scientific and technological needs	<ul style="list-style-type: none"> <li>(a) Policy-oriented research: <ul style="list-style-type: none"> <li>(i) FP6-2002-SSP 1 - publication 17/12/2002; closure 13/03/2003; budget 149,1 M€</li> <li>(ii) FP6-2003-SSP-SARS 1 - publication 3/7/2003; closure 30/09/2003; budget 9 M€</li> <li>(iii) FP6-2003-SSP3 - publication 4/10/2003; closure 5/01/2004; budget 83.1 M€</li> <li>(iv) FP6-2004-SSP-4 - publication 28 Oct 2004; closure 1/2/2005; budget 77.8 M€</li> </ul> </li> <li>(b) New and Emerging S&amp;T problems and opportunities: <ul style="list-style-type: none"> <li>(i) FP6-2003-NEST-A-publication 26/02/2003; closure 22/10/2003; budget 28M€</li> <li>(ii) FP6-2003-NEST-B1, B2, B3, B4 - publication 17/12/2003; closure 14/4/2004 and 15/9/2004; budget 30M€</li> <li>(iii) FP6-2003-NEST-Path - publication 17/12/2003; closure 14/4/2004; budget 35M€</li> <li>(iv) FP6-2004-NEST-Path - publication 01/12/2003; closure 13/4/2005; budget 35M€</li> <li>(v) FP6-2004-NEST-C1, C2, C3, C4 - publication 01/12/2003; closure 13/4/2005; budget 30M€</li> </ul> </li> </ul>

9. Horizontal research activities involving SMEs	(i) FP6-2002-SME 1-publication 17/12/2002; closure 27/11/2003; budget 155 M€ (ii) FP6-2002-SME 2-publication 17/12/2002; closure 6/03/2003; budget 40 M€ (iii) FP6-2003-SME 1-publication 17/12/2002; closure 21/10/2004; budget 75 M€ (iv) FP6-2003-SME 2-publication 17/12/2003; closure 6/04/2004; budget 41 M€ (v) FP6-2003-SME 3-publication 17/12/2003; closure 6/04/2004; budget 2 M€ (vi) FP6-2004-SME-COOP-publication 15/12/2004; closure 14/09/2005; budget 75 M€ (vii) FP6-2004-SME-COLL-publication 15/12/2004; closure 26/05/2005; budget 65 M€
10. Specific measures in support of international co-operation	(i) FP6-2002-INCO- DEV 1- publication 17/12/2002; closure 11/09/2003, budget 50 M€ (ii) FP6-2002-INCO- MPC 1-publication 17/12/2002; closure 7/05/2003; budget 25 M€ (iii) FP6-2002-INCO- WBC1-publication 17/12/2002; closure 7/05/2003, budget 13.5 M€ (iv) FP6-2002-INCO- DEV/SSA 1 - published 17/12/2002; open call; final closure 6/03/2006; budget 1 M€ for 2003, 1.9 M€ for 2004 (v) FP6-2002-INCO- MPC/SSA 2 - published 17/12/2002; open call; final closure 6/03/2006; budget 0.6 M€ for 2003, 0.9 M€ for 2004 (vi) FP6-2002-INCO- WBC/SSA3 - published 17/12/2002; open call; final closure 6/03/2006; budget 0.6 M€ for 2003, 0.9 M€ for 2004 (vii)FP6-2002-INCO-Russia+NIS/SSA-4 - published 17/12/2002; open call; final closure 6/03/2006; budget 0.6 M€ for 2003, 0.9 M€ for 2004 (viii) FP6-2002-INCO-COMultilatRTD/SSA 5 - published 17/12/2002; open call; final closure 6/03/2006; budget 0.6 M€ for 2003, 1.5 M€ for 2004 (ix) FP6-2003-INCO-DEV-2 - publication 17/12/2003; closure 14/09/2004, budget 36.2 M€ (x) FP6-2003-INCO-MPC-2 - publication 17/12/2003; closure 14/9/2004; budget 27.1 M€ (xi) FP6-2003-INCO-Russia+NIS-1 - publication 17/12/2003; closure 27/4/2004, budget 14 M€ (xii) FP6-2004-INCO-DEV-3 - publication 17/12/2004; closure 13/9/2005, budget 60 M€ (xiii) FP6-2004-INCO-MPC-3 - publication 17/12/2004; closure 13/9/2005, budget 10 M€ (xiv) FP6-2004-INCO-WBC-SSA-3- publication 17/12/04; closure 07/03/2005, budget 3 M€
11. Support for the co-ordination of activities	(i) FP6-2002-ERA-NET-1-CA-SSA - publication 17/12/2002; open call; final closure 4/10/2005; budget, 71 M€ for 2004, and 58.6 M€ for 2005
12. Support for the coherent development of policies	(i) FP6-2005-KNOW-REG-2 - publication 01/12/04; closure 02/05/2005, budget 8 M€
D. Promotion of co-operation with Associated Candidate Countries: "Reinforcement of the Associated Candidate Countries' Research Capacities"	(i) FP6-2003-ACC-SSA-General - publication 26/03/2003; closure 26/06/2003, budget 9 M€ (ii) FP6-2003-ACC-SSA-NMP; FP6-2003-ACC-SSA-Aero-Space; FP6-2003-ACC-SSA-Food; FP6-2003-ACC-SSA-Energy; (iii) FP6-2003-ACC-SSA-Transport - publication 26/03/2003; closure 26/06/2003, budget up to 4 M€ (iv) FP6-2004-ACC-SSA-2 - publication 15/06/2004; closure 14/10/2004, budget 19.8 M€
E. Promotion of co-operation with targeted third countries	(i) FP6-2004-TC-SSA-General - publication 15/06/2004; closure 14/10/2004, budget 2.9 M€

## Annex B

### Common evaluation criteria for evaluating proposals

A number of evaluation criteria are common to all the programmes of the Sixth Framework Programme and are set out in the European Parliament and the Council Regulations on the Rules for Participation (Article 10). These are:

- a) “Scientific and technological excellence and the degree of innovation;
- b) Ability to carry out the indirect action successfully and to ensure its efficient management, assessed in terms of resources and competences and including the organisational modalities foreseen by the participants;
- c) Relevance to the objectives of the specific programme;
- d) European added value, critical mass of resources mobilised and contribution to Community policies;
- e) Quality of the plan for using and disseminating the knowledge, potential for promoting innovation, and clear plans for the management of intellectual property.”

Furthermore, in applying paragraph (d) above, the following criteria are also to be taken into account:

- a) “For networks of excellence, the scope and degree of the effort to achieve integration and the network’s capacity to promote excellence beyond its membership, as well as the prospects of the durable integration of their research capabilities and resources after the end of the period covered by the Community’s financial contribution;
- b) For integrated projects, the scale of the ambition of the objectives and the capacity of the resources to make a significant contribution to reinforcing competitiveness or solving societal problems;
- c) For integrated initiatives relating to infrastructure, the prospects of the initiative’s continuing long term after the end of the period covered by the Community’s financial contribution.”

As set out in the Rules for Participation, the calls for proposals determine, in accordance with the type of instruments deployed or the objectives of the RTD activity, how the criteria set out above are applied by the Commission.

The purpose of this annex is to indicate how these criteria shall be applied. In particular, as the Sixth Framework Programme contains a differentiated set of instruments, the way in which each criterion translates into the issues to be examined as the basis for marking proposals will differ. In evaluating against these criteria, the checklists of issues set out in the following pages are intended to be universal for each type of instrument.

Unless otherwise specified in the relevant parts of this work programme, the principal issues set out below (i.e. the main numbered headings) will be given equal weighting in the evaluation. For each principal issue, a minimum score to be achieved is also indicated as well as a minimum overall score for each instrument. Proposals that fail to achieve these minimum threshold scores shall be rejected. Any departures from these threshold scores are indicated in the relevant part of this work programme.

In addition to the basic checklists below and any specific criteria or interpretations of the criteria required for a call, the following issues are also addressed for all proposals at any appropriate moment in the evaluation:

- Are there **gender** issues associated with the subject of the proposal? If so, have they been adequately taken into account?
- Have the applicants identified the potential **ethical** and/or **safety** aspects of the proposed research regarding its objectives, the methodology and the possible implications of the results? If so, have they been adequately taken into account in the preparation of the proposal?

An ethical check will take place for all proposals during the evaluation. A specific ethical review will be implemented following the evaluation for proposals recommended for funding and which deal with specific sensitive issues or whenever recommended following the ethical check during the evaluation. To this end, additional information on ethical aspects may be requested from proposers to allow the specific ethical review to be carried out. (See the section “The ethical review of proposals” below for more details on the criteria to be applied).

When appropriate, the following additional issues may also be addressed during the evaluation:

- To what extent does the proposal demonstrate a readiness to engage with actors beyond the research community and the public as a whole, to help spread awareness and knowledge and to explore the wider **societal implications** of the proposed work?
- Have the synergies with **education** at all levels been clearly set out?
- If **third country participation** is envisaged in the proposal, is it well justified and the participation well integrated in the activities?

## ***Integrated Projects (IP)***

The following set of issues is intended to be a common basis for the evaluation of proposals for integrated projects.

1. RELEVANCE (THRESHOLD SCORE 3 OUT OF 5)

- The extent to which the proposed project **addresses the objectives** of the work programme.

2. POTENTIAL IMPACT (THRESHOLD SCORE 3 OUT OF 5)

The extent to which:

- the proposed project is **suitably ambitious** in terms of its strategic impact on **reinforcing competitiveness (including that of SMEs) or on solving societal problems**.
- the innovation-related activities and exploitation and/or dissemination plans are adequate to ensure **optimal use of the project results**.
- the proposal demonstrates a clear **added value** in carrying out the work at European level and takes account of research activities at national level and under European initiatives (e.g. Eureka).

3. S&T EXCELLENCE (THRESHOLD SCORE 4 OUT OF 5)

The extent to which:

- the project has **clearly defined objectives**.
- the objectives represent **clear progress beyond the current state-of-the-art**.
- the **proposed S&T approach** is likely to enable the project to achieve its objectives in research and innovation.

4. QUALITY OF THE CONSORTIUM (THRESHOLD SCORE 3 OUT OF 5)

The extent to which:

- the participants collectively constitute a **consortium of high quality**.
- the participants are **well-suited and committed to the tasks** assigned to them.
- there is **good complementarity** between participants.
- the **profiles** of the participants, including those to be included later, have been clearly described.
- the real involvement of **SMEs** has been adequately addressed.

5. QUALITY OF THE MANAGEMENT (THRESHOLD SCORE 3 OUT OF 5)

The extent to which:

- the **organisational structure** is well matched to the complexity of the project and to the degree of integration required.
- the **project management** is demonstrably of high quality.
- there is a satisfactory plan for the **management of knowledge**, of intellectual property and of other innovation-related activities.

6. MOBILISATION OF RESOURCES (THRESHOLD SCORE 3 OUT OF 5)

The extent to which:

- the project mobilises the minimum **critical mass of resources** (personnel, equipment, finance...) necessary for success.
- the **resources** are **convincingly integrated** to form a coherent project.
- the overall **financial plan** for the project is adequate.

Overall threshold score 24 out of 30.

## **Networks of Excellence (NoE)**

The following set of issues is intended to be a common basis for the evaluation of proposals for networks of excellence.

1. RELEVANCE (THRESHOLD SCORE 3 OUT OF 5)

- The extent to which the proposed project **addresses the objectives** of the work programme.

2. POTENTIAL IMPACT (THRESHOLD SCORE 3 OUT OF 5)

The extent to which:

- Europe has a **strategic need to strengthen S&T excellence on the topic** by means of a restructuring of the existing research capacities and the way research is carried out.
- the goals of the network are, in that connection, **suitably ambitious** particularly, in terms of achieving European leadership and acting as a world force on this topic.
- the proposal demonstrates a clear **added value** in carrying out the work at European level and takes account of research activities at national level and under European initiatives (e.g. Eureka).
- there is an effective plan for **spreading excellence**, exploiting results and disseminating knowledge, including to SMEs and to those outside the network.
- the proposed **approach is likely to have a durable structuring impact** on European research.

3. EXCELLENCE OF THE PARTICIPANTS (THRESHOLD SCORE 3 OUT OF 5)

The extent to which:

- the **participants are** currently conducting **excellent research** relevant to the topic of the network or are capable of important contributions to the joint programme of activities.
- the participants are **well suited to the tasks** assigned to them.
- they **collectively have the necessary critical mass of expertise and resources** to carry out the joint programme of activities successfully.

4. DEGREE OF INTEGRATION AND THE JOINT PROGRAMME OF ACTIVITIES (THRESHOLD SCORE 4 OUT OF 5)

The extent to which:

- the expected **degree of integration** justifies supporting the proposal as a network of excellence.
- the **joint programme of activities is** sufficiently well designed to achieve the expected degree of integration.
- the participating organisations have made a convincing commitment towards a **deep and durable integration** continuing beyond the period of Community support.

5. ORGANISATION AND MANAGEMENT (THRESHOLD SCORE 3 OUT OF 5)

The extent to which:

- the organisational structure of the network provides a **secure framework for any necessary structural decisions** to be taken

- the **management of the network** is demonstrably of high quality.
- there is a well-considered plan for **promoting gender equality** in the network.

Overall threshold score 20 out of 25.

## Specific Targeted Research Projects

The following set of issues is intended to be a common basis for the evaluation of proposals for (1) Specific Targeted Research Projects.

1. RELEVANCE (THRESHOLD SCORE 3 OUT OF 5)

- The extent to which the proposed project **addresses the objectives** of the work programme.

2. S&T EXCELLENCE (THRESHOLD SCORE 4 OUT OF 5)

The extent to which:

- the project has clearly **defined and well focused objectives**.
- the objectives represent **clear progress beyond the current state-of-the-art**.
- the **proposed S&T approach** is likely to enable the project to achieve its objectives in research and innovation

3. POTENTIAL IMPACT (THRESHOLD SCORE 3 OUT OF 5)

The extent to which:

- the proposed project is likely to have an **impact on reinforcing competitiveness or on solving societal problems**.
- the proposal demonstrates a clear **added value** in carrying out the work at European level and takes account of research activities at national level and under European initiatives (e.g. Eureka).
- exploitation and/or dissemination plans are adequate to ensure **optimal use of the project results**.

4. QUALITY OF THE CONSORTIUM (THRESHOLD SCORE 3 OUT OF 5)

The extent to which:

- the participants collectively constitute a **consortium of high quality**.
- the participants are **well-suited and committed to the tasks** assigned to them.
- there is **good complementarity** between participants.
- the opportunity of involving SMEs has been adequately addressed.

5. QUALITY OF THE MANAGEMENT (THRESHOLD SCORE 3 OUT OF 5)

The extent to which:

- the **project management** is demonstrably of high quality.
- there is a satisfactory plan for the **management of knowledge**, of intellectual property and of other innovation-related activities.

6. MOBILISATION OF RESOURCES (THRESHOLD SCORE 3 OUT OF 5)

The extent to which:

- the project foresees the **resources** (personnel, equipment, financial...) necessary for success.
- the **resources** are **convincingly integrated** to form a coherent project.
- the overall **financial plan** for the project **is adequate**.

Overall threshold score 21 out of 30.

## Coordination Actions

The following set of issues is intended to be a common basis for the evaluation of proposals for coordination actions.

1. RELEVANCE (THRESHOLD SCORE 3 OUT OF 5)

- The extent to which the proposed project **addresses the objectives** of the work programme.

2. QUALITY OF THE COORDINATION (THRESHOLD SCORE 4 OUT OF 5)

The extent to which:

- the research actions/programmes to be coordinated are of **demonstrably high quality**.
- the **coordination mechanisms** proposed are sufficiently **robust** for ensuring the goals of the action

3. POTENTIAL IMPACT (THRESHOLD SCORE 3 OUT OF 5)

The extent to which:

- the proposal demonstrates a clear **added value** in carrying out the work at European level and takes account of research activities at national level and under European initiatives (e.g. Eureka).
- the Community support would have a real impact on the action and its scale, ambition and outcome.
- the project mobilises a critical mass of resources in Europe
- exploitation and/or dissemination plans are adequate to ensure **optimal use of the project results**, where possible beyond the participants in the project.

4. QUALITY OF THE CONSORTIUM (THRESHOLD SCORE 3 OUT OF 5)

The extent to which:

- the participants collectively constitute a **consortium of high quality**.
- the participants are **well-suited to the tasks** assigned to them.
- the project combines the **complementary expertise** of the participants to generate added value with respect to the individual participants' programmes.

5. QUALITY OF THE MANAGEMENT (THRESHOLD SCORE 3 OUT OF 5)

The extent to which:

- the **project management** is demonstrably of high quality.
- there is a satisfactory plan for the **management of knowledge**, of intellectual property and of other innovation-related activities.

6. MOBILISATION OF RESOURCES (THRESHOLD SCORE 3 OUT OF 5)

The extent to which:

- the project provides for the **resources** (personnel, equipment, financial...) necessary for success.
- the **resources** are **convincingly integrated** to form a coherent project.
- the overall **financial plan** for the project **is adequate**.

Overall threshold score 21 out of 30.

## Specific Support Actions

The following set of issues is intended to be common to all parts of FP6 for the evaluation of proposals for specific support actions.

### 1. RELEVANCE (THRESHOLD SCORE 4 OUT OF 5)

The extent to which

- the proposal addresses key issues to defined in the work programme/call, specific programmes or ERA, as appropriate.

### 2. QUALITY OF THE SUPPORT ACTION (THRESHOLD SCORE 3 OUT OF 5)

The extent to which:

- the proposed objectives are sound and the proposed approach, methodology and work plan are of a sufficiently high quality for achieving these objectives.
- the applicant(s) represent(s) a high level of competence in terms of professional qualifications and/or experience.
- the proposed activities are innovative and original (*if applicable*).

### 3. POTENTIAL IMPACT (THRESHOLD SCORE 3 OUT OF 5)

The extent to which:

- the impact of the proposed work can only be achieved if carried out at European level.
- the Community support would have a substantial impact on the action and its scale, ambition and outcome.
- exploitation and/or dissemination plans are adequate to ensure **optimal use of the project results**, where possible beyond the participants in the project.

### 4. QUALITY OF THE MANAGEMENT (THRESHOLD SCORE 3 OUT OF 5)

- The extent to which the management structure is credible in terms of professional qualifications, experience, track record and capacity to deliver.

### 5. MOBILISATION OF RESOURCES (THRESHOLD SCORE 3 OUT OF 5)

The extent to which :

- the project provides for the **resources** (personnel, equipment, financial...) necessary for success.
- the overall **financial plan** for the project **is adequate**.

Overall threshold score 17.5 out of 25.

## The ethical review of proposals

In accordance with Article 3 of the Framework Programme and Article 10 of the Rules for Participation, the evaluation procedure includes a check of any ethical issues raised by proposals. A specific ethical review of proposals involving sensitive ethical issues may take place after the evaluation and before any selection decision by the Commission. For this purpose, an ethical review (ER) panel may be convened.

The ER panel assesses the following elements:

- The awareness of the proposers of the ethical aspects of the research they propose
- Whether the researchers respect the ethical requirements of the 6<sup>th</sup> Framework Programme. In this respect, a declaration to the minutes of the Council meeting of 30.09.2002 was made; this is set out at the end of this section.
- Whether the proposers have taken into account the legislation, regulations and/or guidelines in place in the country(ies) where the research takes place
- Whether the relevant international conventions and declarations are taken into account<sup>22</sup>
- Whether the relevant Community Directives are taken into account.
- Whether the proposer is seeking the approval/favourable opinion of relevant local ethics committees

For research involving human beings, the ER panel assesses in particular:

- The information which is given to the participants (healthy volunteers, tissue donors, patients, etc.)
- Measures taken to protect participants' personal data (including genetic data) and privacy
- Recruitment criteria and means by which the recruitment is to be conducted
- Level of care offered to participants

For research involving isolated or banked human embryonic stem cells in culture and foetal tissues and cells (for which restrictions apply, see the declaration to the Council minutes below) the ER panel assesses in particular:

- Whether the proposers have taken into account the legislation, regulations and/or codes of conduct in place in the country(ies) where the research using human embryonic stem cells in culture will take place. The procedures for obtaining informed consent
- The source of the human embryonic and foetal tissues/cells.
- Measures taken to protect personal data (including genetic data) and privacy

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<sup>22</sup> Charter of Fundamental Rights of the European Union, signed in Nice, 7 December 2000  
Convention on Human rights and Biomedicine – Oviedo, 4.04. 1997 - Council of Europe  
and the Additional protocol on the prohibition of Cloning of human beings (1998)  
Universal declaration on the Human genome and human rights - Unesco - 11 November 1997  
Declaration of Helsinki (in its latest version) - World Medical Association  
Convention on the Rights of the Child – United Nations - 20 November 1989  
Amsterdam protocol on an animal protection and welfare

- The nature of financial inducements, if any.

For research involving animals, the ER panel assesses in particular:

- Whether the proposers are applying the ‘Three Rs’ principle: Replacement, Reduction and Refinement, and in particular:
  - ◆ Are animal experiments replaced by alternatives whenever possible?
  - ◆ Is animal suffering avoided or kept to a minimum?
  - ◆ Is animal welfare guaranteed and are the principles of biodiversity respected?

With respect to research involving human embryonic stem cells (as mentioned above), the relevant declaration to the minutes of the Council meeting of 30 September 2002 is as follows:

“The Council and the Commission agree that detailed implementing provisions concerning research activities involving the use of human embryos and human embryonic stem cells which may be funded under the 6<sup>th</sup> Framework Programme shall be established by 31 December 2003. The Commission states that, during that period and pending establishment of the detailed implementing provisions, it will not propose to fund such research, with the exception of the study of banked or isolated human embryonic stem cells in culture. The Commission will monitor the scientific advances and needs as well as the evolution of international and national legislation, regulations and ethical rules regarding this issue, taking into account also the opinions of the European Group of Advisers on the Ethical Implications of Biotechnology (1991–1997) and the opinions of the European Group on Ethics in Science and New technologies (as from 1998), and report to the European Parliament and the Council by September 2003.

The Council states that it intends to discuss this issue at a meeting in September 2003.

In the review of any subsequent proposal submitted to Council when applying Article 5 of the Decision 1999/468/EC the Commission recalls its statement concerning Article 5 of Decision 1999/468/EC, according to which the Commission, in order to find a balanced solution, will act in such a way as to avoid going against any predominant position which might emerge within the Council against the appropriateness of an implementing measure (cf. OJ C 203, 17.7.1999, p. 1).

The Council notes the intention of the Commission to submit to the programme Committee, established under the specific Research programme "Integrating and strengthening the ERA", procedural modalities concerning research involving the use of human embryos and human embryonic stem cells, in accordance with Article 6, paragraph 3, first indent.

The Council further notes the intention of the Commission to present to Council and Parliament in Spring 2003 a report on human embryonic stem cell research which will form the basis for discussion at an inter-institutional seminar on bioethics.

Taking into account the seminar's outcome, the Commission will submit, based on article 166 (4) of the Treaty, a proposal establishing further guidelines on principles for deciding on the Community funding of research projects involving the use of human embryos and human embryonic stem cells.

The Council and the Commission will do their utmost, counting on the support of the European Parliament, to complete the legislative procedure as early as possible and at the latest in December 2003.

The Council and the Commission expect that the above mentioned seminar will contribute, as suggested by the European Parliament, to a Europe-wide and well-structured discussion process on the ethical issues of modern biotechnology, particularly on human embryonic stem cells, in order to enhance public understanding.

The Council and the Commission note that the ethical acceptability of various research fields is related to the diversity among Member States, and is governed by national law in accordance with the principle of subsidiarity. Moreover, the Commission notes that research using human embryos and human embryonic stem cells is allowed in several Member States, but not in others.”

## **Annex C : List of Groups of target countries for specific measures in support of International Co-operation**

### **DEVELOPING COUNTRIES (ACP, ASIA, LATIN AMERICA)**

#### **-ACP**

##### **AFRICAN**

- Angola
- Benin
- Botswana
- Burkina-Faso
- Burundi
- Cameroon
- Cape Verde
- Central African Republic
- Chad
- Comoros
- Congo (Republic)
- Congo (Democratic Rep. of)
- Côte d'Ivoire
- Djibouti
- Equatorial Guinea
- Eritrea
- Ethiopia
- Gabon
- Gambia
- Ghana
- Guinea
- Guinea-Bissau
- Kenya
- Lesotho
- Liberia
- Madagascar
- Malawi
- Mali
- Mauritania
- Mauritius
- Mozambique
- Namibia
- Niger
- Nigeria
- Rwanda
- Sao Tome and Principe
- Senegal
- Seychelles
- Sierra Leone
- Somalia
- South Africa
- Sudan
- Swaziland
- Tanzania
- Togo
- Uganda
- Zambia
- Zimbabwe

##### **CARIBBEAN**

- Antigua and Barbuda
- Bahamas
- Barbados
- Belize\*
- Cuba\*
- Dominica

- Dominican Rep.
- Grenada
- Guyana\*
- Haiti
- Jamaica
- Saint Kitts and Nevis
- Saint Lucia
- Saint Vincent and Grenadines
- Suriname\*
- Trinidad and Tobago

**PACIFIC**

- Cook Islands
- East Timor \*\*
- Fiji
- Kiribati
- Marshall Islands
- Micronesia, Federal States of
- Nauru
- Niue
- Palau
- Papua New Guinea\*\*
- Solomon Islands
- Tonga
- Tuvalu
- Vanuatu
- Western Samoa

**- ASIA**

- Bangladesh
- Bhutan
- Brunei
- Cambodia
- China\*\*\*
- India\*\*\*
- Indonesia
- Lao (People's Democratic Rep. of)
- Malaysia
- Maldives
- Mongolia
- Nepal
- Pakistan
- Philippines
- Singapore
- Sri Lanka
- Thailand
- Vietnam

**- LATIN AMERICA**

- Argentina
- Bolivia
- Brazil
- Chile
- Colombia
- Costa Rica
- Ecuador
- El Salvador
- Guatemala
- Honduras
- Mexico
- Nicaragua
- Panama
- Paraguay
- Peru
- Uruguay

- Venezuela

#### **MEDITERRANEAN PARTNER COUNTRIES<sup>1</sup>**

- Algeria
- Egypt
- Jordan
- Lebanon
- Morocco
- Syrian Arab Rep.
- Tunisia
- West Bank and Gaza Strip

#### **RUSSIA AND THE OTHER NEW INDEPENDENT STATES**

- Armenia
- Azerbaijan
- Belarus
- Georgia
- Kazakhstan
- Kyrgyzstan
- Moldova
- Russia \*\*
- Tajikistan
- Turkmenistan
- Ukraine
- Uzbekistan

#### **WESTERN BALKAN COUNTRIES**

- Albania
- Bosnia-Herzegovina
- Croatia
- Former Yugoslav Republic of Macedonia (FYROM)
- Serbia and Montenegro<sup>2</sup>

\*For participation in the « Specific measures in support of international co-operation », these countries can be considered both in ACP and Latin American region

\*\*For participation in the « Specific measures in support of international co-operation », these countries can be considered both in ACP and Asian regions

\*\*\*For participation in the « Specific measures in support of international co-operation » China, India and Russia may be considered individually as a region, however, in this case, at least 3 different partners from different provinces or states within China, India or Russia are necessary

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<sup>1</sup> Mediterranean partner countries are the 12 countries involved in the Barcelona process: Algeria, Cyprus, Egypt, Israel, Jordan, Lebanon, Malta, Morocco, Syrian Arab republic, Tunisia, Turkey, West bank and Gaza strip. However, Cyprus, Malta, Turkey and Israel are now associated countries to FP6

<sup>2</sup> Including Kosovo as defined by UNSC resolution 1244 of 10 June 1999