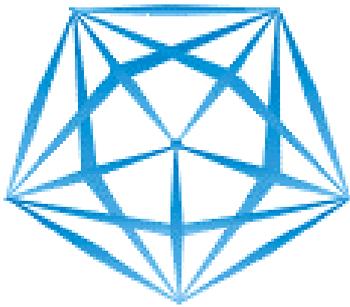




RESEARCH
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COMMISSION



RESEARCH TRAINING NETWORKS

**IMPROVING HUMAN RESEARCH
POTENTIAL AND THE
SOCIO-ECONOMIC
KNOWLEDGE BASE
(1999 – 2002)**

GUIDE FOR PROPOSERS

*Second Call 2000/2001
Call Identifier: IHP-RTN-00-2*

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PREFACE

This document is intended as a Guide for Proposers to the **Research Training Networks** activity in the Human Potential Programme. It sets out the ethos of the activity and explains the application procedure.

Chapter 1 provides a description of the overall Fifth Framework Programme and of the Human Potential programme, which includes Research Training Networks, a more detailed description of which is given in Chapter 2. Chapters 3 to 6 inclusive explain the various rules and the procedure for submitting a proposal. The procedure for the evaluation of proposals is explained in Chapter 7 and Chapter 8 provides information concerning contract negotiation for successful proposals. Finally, useful sources for information and assistance are provided in Chapter 9, whilst the annexes contain the proposal forms and a checklist.

Copies of this guide may be downloaded from the Research Training Networks section of the following Internet site:

<http://www.cordis.lu/improving>

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

1. INTRODUCTION

The Fifth Framework Programme

Objectives

The Fifth Framework Programme, adopted on 22 December 1998, defines the Community activities in the field of research, technological development and demonstration (hereafter referred to as “RTD”) for the period 1998-2002.

The Fifth Framework Programme differs from its predecessors. It has been conceived to help **solve problems** and to respond to major **socio-economic challenges** facing the European Union. It focuses on a limited number of objectives and areas combining technological, industrial, economic, social and cultural aspects.

Priorities have been chosen according to three basic principles which will apply for all levels: the Framework Programme as a whole, the Specific Programmes implementing it and the RTD activities covered by those programmes.

- *European “value added” and the subsidiarity principle, for example, to reach a critical mass in terms of human, material and other resources or contribute to solving problems of a European dimension,*
- *Social objectives, such as quality of life, employment or protection of the environment in order to meet the expectations and concerns of the Union’s citizens,*
- *Economic development and scientific and technological prospects in order to contribute to the harmonious and sustainable development of the European Union as a whole.*

Structure and contents

The Fifth Framework Programme consists of seven Specific Programmes, of which four are Thematic Programmes and three Horizontal Programmes.

The Thematic Programmes are:

- **Quality of life and management of living resources**
- **User-friendly information society**
- **Competitive and sustainable growth**
- **Energy¹, environment and sustainable development.**

In line with the provisions set out in the EC Treaty, the widely ranging Horizontal Programmes underpin and complement these Thematic Programmes.

The Horizontal Programmes are:

- **Confirming the international role of Community research**
- **Promotion of innovation and encouragement of participation of small and medium-sized enterprises (SMEs)**
- **Improving human research potential and the socio-economic knowledge base.**

One essential new characteristic of the Fifth Framework Programme is the **integrated, problem-solving approach**. Integration is strengthened at three levels:

- By the **key action concept** in the Thematic Programmes. Key actions are major innovations of the Fifth Framework Programme. They will enable the many and varied aspects of the economic and social issues to be targeted, by integrating the entire spectrum of activities and disciplines needed to achieve the objectives.

¹ Activities carried out in this area will be closely co-ordinated, as appropriate, with the activities of the Fifth Euratom Framework Programme for research and training. The specificity of the latter will be described in a separate information brochure.

➤ **By integration between Horizontal and Thematic Programmes objectives.**

International co-operation

Participation by entities of third countries and international organisations will be possible in all Programmes in addition to opportunities for participating in the Horizontal Programme “Confirming the international role of Community research”. Conditions for participation, including possible financial arrangements, are specified in Chapter 3 of this document. Box 1 describes the opportunities for bursaries for young researchers from developing countries.

Innovation and participation of SMEs

Measures encouraging SME participation in RTD activities will be carried out in all Thematic Programmes and the Innovation and SME Programme. Details on SME stimulation measures will be found in a special information brochure devoted to them. In addition, each Thematic Programme will interface with the Horizontal Programme “Promotion of innovation and encouragement of SME participation” in order to develop awareness and help technology transfer and use of the results of the Thematic Programme.

Socio-economic and training aspects

Socio-economic research can be funded by both the Thematic Programmes and by the key action on “Improving the socio-economic knowledge base” of the Horizontal Programme “Improving the human research potential and the socio-economic knowledge base”. Socio-economic research is present in the Thematic Programmes as an integral part of the technological research activities. Training opportunities for researchers are ensured through the Marie Curie system of fellowships in the Human Potential and Thematic Programmes as well as by other specific training activities in the Human Potential Programme. The fellowships system is described schematically in Box 2.

➤ **By integration between Thematic Programmes.** Complementary and synergistic interactions will be ensured in implementing the Programmes.

Implementation

Work Programme

A Work Programme has been drawn up for each Specific Programme, describing the specific activities and the various research areas. The Work Programme will be revised regularly with the assistance of Advisory Groups of independent experts to ensure its continued relevance in the light of evolving needs and developments. Potential proposers should therefore ensure they are consulting the **current** version of the Work Programme when planning a proposal. The Work Programme appearing at the Specific Programme Website is always the current version.

The Work Programme includes an indicative timetable or “*roadmap*”, which indicates which parts of the Work Programme will be opened, by calls for proposals, and deadline(s) involved. This provides a means of focusing attention on areas or sub-areas, thereby optimising opportunities for launching collaborative projects and establishing thematic networks.

The Commission will manage the Specific Programmes to ensure that links in thematic content between the programmes are exploited in a synergistic way. This may occasionally require joint or synchronised calls for proposals. Where necessary, co-ordination measures such as these will be indicated in the announcement of the calls for proposals, and in the Work Programme.

Types of actions supported

The Community will contribute financially to the RTD¹ activities, carried out under the Specific Programmes implemented within the Fifth Framework Programme.

¹ It will also carry out research and development activities conducted by the Joint Research Centre.

The general rules¹ are as follows:

(a) Shared-cost actions

- **Research and technological development projects²** – projects obtaining new knowledge intended to develop or improve products, processes or services and/or to meet the needs of Community policies (financial participation: 50 % of total eligible costs³)
- **Demonstration projects²** – projects designed to prove the viability of new technologies offering potential economic advantage but which cannot be commercialised directly (financial participation: 35 % of total eligible costs³)
- **Combined R&D and demonstration projects²**– projects combining the above elements (financial participation: 35 to 50 % of total eligible costs³)
- **Support for access to research infrastructures** – actions enhancing access to research infrastructures for Community researchers. Support will cover maximum of 100 % of the eligible costs necessary for the action
- **“SME Co-operative” research projects²** – projects enabling at least three mutually independent SMEs from at least two Member States or one Member State and an Associated State to jointly commission research carried out by a third party (financial participation: 50 % of total eligible project costs)
- **“SME Exploratory” awards** – support of 75 % of total eligible costs⁴ for an exploratory phase of a project of up to 12 months (e.g. feasibility studies, validation, partner search).

(b) Training fellowships

Marie Curie fellowships are either fellowships where individual researchers apply directly to the Commission, or host fellowships, where institutions apply to host a number of researchers (financial participation: maximum of 100 % of the additional eligible costs necessary for the action⁵).

(c) Research Training Networks and thematic networks

Research Training Networks for promoting training-through-research, especially of researchers at pre-doctoral and at post-doctoral level, - *and thematic networks* for bringing together e.g. manufacturers, users, universities, research centres around a given S&T objective. Support will cover maximum 100 % of the eligible costs necessary for setting up and maintaining such networks.

(d) Concerted actions

Actions co-ordinating RTD projects already in receipt of funding, for example to exchange experiences, to reach a critical mass, to disseminate results etc. (financial participation: maximum of 100 % of the eligible costs necessary for the action). These include co-ordination networks between Community funded projects.

(e) Accompanying measures

Actions contributing to the implementation of a Specific Programme or the preparation of future activities of the programme. They will also seek to prepare for or to support other indirect RTD actions (financial participation: maximum of 100 % of total eligible costs).

¹ In the Decisions adopting the Specific Programmes, there can be no derogation from the financial participation rates set out here, with the exception of duly justified special cases.

² The rates may need to be adjusted in individual cases to comply with the Community framework for State aid for R&D (O.J. C 45, 17.2.1996) and with article 8 of the WTO Agreement on subsidies and countervailing measures (O.J. L 336, 23.12.1994).

³ In the special case of legal entities which do not keep analytical accounts, the additional eligible costs generated as a result of the research will be financed at the rate of 100 %.

⁴ EC funding up to maximum of EUR 22,500

⁵ In the case of industry host fellowships, this will normally approximate to 50 % of the total eligible costs.

Clusters¹

The cluster is a defined group of RTD projects. Its aim is to guarantee complementarity among projects, to maximise European added value within a given field and to establish a critical mass of resources at the European level.

An integrated approach towards research fields and projects financed is needed to solve complex multidisciplinary problems effectively. The clusters reflect this **problem-solving approach**. Indeed, in a cluster, projects are joined together because they complement each other in addressing major objectives in the context of a key action or a generic activity (sometimes even across different key actions or specific programmes). Clusters are expected to optimise scientific networking, management, co-ordination, monitoring, the exchange of information and, on voluntary basis, the exploitation and dissemination activities. The cluster may thus become a natural process to generate European added value, wherever it makes sense, beyond the limited resources of an isolated project.

All types of projects can be assembled and integrated within a cluster, including those funded by different EU RTD activities (key action, generic activity, infrastructure). By the same token, and as part of an overall European approach, relevant activities under other research frameworks (notably EUREKA, COST) could also be taken into account whenever this can reinforce synergy.

Gender equal opportunities

In line with the Commission's strategic approach of mainstreaming equal opportunities in all of the Union's policies, particular account is taken in the Fifth Framework Programme of the need to promote the participation of women in the fields of research and technological development. Therefore women are encouraged to participate in proposals for the above mentioned RTD activities.

¹ Clusters are **not** applicable to Human Potential Research Training Networks.

Box 1 - Bursaries for young researchers from Developing Countries

These bursaries are not applicable for Research Training Networks funded under the Human Potential Programme and the following details are provided for information only.

When preparing a joint research proposal¹ or concerted action proposal for submission to any of the programmes, a consortium may, if it wishes, include an application for an international co-operation training bursary. These bursaries will be funded from the budget of the Specific Programme 'Confirming the International Role of Community Research' and are intended to allow young researchers from Developing Countries, including Emerging Economies and Mediterranean Partner Countries² to work for up to 6 months in a European research institute participating in a FP-5 project. The bursaries will be granted for training activities only (e.g. to allow the applicant to learn a new scientific technique or for work on a particular experiment or set of experiments where the host institution has particular expertise and which cannot be performed in the home institution of the candidate).

The bursary application must be submitted together with the proposal application and will be evaluated together with it. Spontaneous, individual bursary applications will not be accepted. Inclusion of a bursary application will neither enhance nor detract from the chances of success of the proposal. Only if the whole proposal is selected for funding and the bursary application is highly rated, will the bursary be granted. A poor bursary application can be rejected without harming the chances of success of the proposal.

In order to be eligible, the **bursary applicant** must not be more than 40 years of age at the time of application, must be a national of one of the eligible countries and be established and working in that country and intending to return there at the end of the training period. She/he must also have a good knowledge of a working language of the host institute. Applications from female researchers are encouraged.

The **host institute** must be established in an EU Member State or in a State Associated to FP-5³ and must be a member of the consortium proposing the research project or concerted action.

Eligible bursary applications will be evaluated according to the excellence of the scientific and/or training objectives of the application, its potential value to the applicant and his/her institute and to the project as a whole, as well as the experience and professional training of the candidate.

The 6 month training period may start at any time up to 12 months from the Commission signature of the main project contract. A fixed sum will be granted to cover the cost of one (apex) return fare from the place of origin of the candidate to the host institute, and a daily allowance for the duration of the training period (based on the rates for Marie Curie Fellowships, see the corresponding brochure for applicants).

¹ Research and Technological Development projects, Demonstration projects and Combined projects.

² Developing countries are: African, Caribbean, Pacific (ACP) countries, Asian and Latin American (ALA) countries, Mediterranean countries (MC).

³ For the list of Associated States, see Table 1 in Chapter 3.

Box 2 – The System of Marie Curie Fellowships

As described below, there are two types of application for a Marie Curie Fellowship: **individual fellowships**, where individual researchers apply to the Commission for a fellowship; and **host fellowships**, where institutions apply to the Commission to host a number of researchers.

Individual Fellowships:

Marie Curie Individual Fellowships

Fellowships for young researchers at post-doctoral level or equivalent

Marie Curie Return Fellowships

Fellowships for Marie Curie Fellows, originating from a less-favoured region, to return to a less favoured region of their home country after their initial two year post-doctoral fellowship

Marie Curie Experienced Researchers Fellowships

Fellowships for experienced researchers: for the transfer of expertise and technology between (i) industry and academia and (ii) towards less-favoured regions of the European Community.

Host Fellowships:

Stays at Marie Curie Training Sites

Giving young researchers pursuing doctoral studies the opportunity to spend part of their studies within an internationally recognised group, in their specialised area of research.

Marie Curie Development Host Fellowships

Fellowships for institutions located in less-favoured regions, which are active in research and have a need to develop new areas of research competence, to host post-doctoral level researchers in the area of competence required.

Marie Curie Industry Host Fellowships

Awarded to enterprises, including SMEs, for the training of young researchers, at postgraduate and post-doctoral level, in an industrial or commercial environment. These fellowships particularly aim at providing research training opportunities for young researchers without any previous industrial experience.

Further information on the system of Marie Curie Fellowships and application forms may be obtained from its website (see <http://www.cordis.lu/improving>).

The Human Potential Programme

Objective: Improving Human Research Potential and the Socio-economic Knowledge Base

The Human Potential Programme was designed with the following aims:

- Providing the next generation of researchers with the means to complement and improve their scientific training and to enhance their career prospects through Research Training Networks and Marie Curie Fellowships.
- Sponsoring new opportunities for transnational access to major research infrastructures of Community-wide interest and to stimulate infrastructure operators and users to work together.
- Promoting scientific and technological excellence through high-level scientific conferences, distinctions for high-level scientific work and raising public awareness for science.
- Strengthening the socio-economic knowledge base. This includes, in particular, the improvement of our understanding of the structural changes in Europe, in order to identify ways of managing change, and to involve European citizens more actively in shaping their own futures.
- Creating a knowledge base through strategic analysis of policy issues, such as globalisation of research, and developing technology and science indicators, thus enabling research policy makers to take valid decisions.

The low representation of women in science is a great concern for the European Commission since it represents a loss for science as well as for European society as a whole. In line with its general policy on equal opportunities, the European Commission therefore wishes to encourage the participation of women in all activities and actions described below.

Programme strategy

The three main criteria laid down for the entire Fifth Framework Programme shall be addressed by the Human Potential Programme in the following way:

European added value: the very essence of this programme is to foster the mobility of European scientists by enabling them to pursue their research activities in European countries other than their country of origin. The aims are to promote the creation of European networks of scientists, to make Europe an attractive location for researchers and to facilitate the understanding of the key problems facing European society, by means of a key action dedicated to socio-economic research.

Social objectives: an entire key action is devoted to this objective which aims at improving our understanding of the structural changes in Europe. This key action covers a number of subjects linked to the general objectives of the Framework Programme and aims at defining the base for employment-generating social, economic and cultural development and at building a European knowledge society.

European competitiveness: knowledge is at the base of competitiveness. Therefore, the quality of Europe's researchers, engineers and technicians is a crucial element for industrial and economic success. Improved training and mobility, as well as a sound socio-economic knowledge base, will contribute to strengthen Europe's competitive edge.

Programme structure and content

The Human Potential Programme is divided into five actions. The first three actions have in common a bottom-up approach, inviting projects conceived by scientists themselves. Proposals can be made in all fields of scientific research that contribute to the Community's objectives in research, technological development and demonstration as described above. Action 4 is a key action designed to improve the socio-economic knowledge base and action 5 shall foster the development of scientific and technology policies in Europe.

Action 1 – Supporting Training and Mobility of Researchers

The first action has two distinct lines: Research Training Networks and Marie Curie Fellowships.

Research Training Networks: these are structures where every researcher, young or experienced, is part of an international research training project led by a co-ordinator and proposed by scientists themselves. Added value is gained through the opportunities for secondment and interaction with a large number of scientists, in a variety of countries, all working on the common project.

Marie Curie Fellowships: there are three schemes available where the applicant researcher submits a proposal and is individually evaluated by the Commission, and three schemes where host organisations apply to the Commission and individual fellows are evaluated and selected by the organisation. The scheme for individual applicants is as follows: (i) fellowships for young, typically post-doctoral level, researchers; (ii) fellowships for fellows from less favoured regions, for return upon completion of a post-doctoral fellowship; (iii) fellowships for experienced researchers. The scheme for host organisations is made up of: (i) fellowships for industrial or commercial enterprises, including small and medium-sized enterprises; (ii) fellowships for research institutions in less-favoured regions; (iii) fellowships for internationally recognised research groups providing doctoral training under the Marie Curie Training Sites scheme.

Action 2 - Enhancing Access to Research Infrastructures

This action targets research infrastructures as well as researchers wishing to use them. The action is implemented primarily by “buying time” on infrastructures, which redistribute this time to individual researchers or groups. Under this action it is also possible for infrastructure operators and users to join in Co-operation Networks or RTD projects in order to make more effective use of the research infrastructures and hence to improve the service they provide to the research community.

Action 3 - Promoting Scientific and Technological Excellence

The third action has three distinct lines:

High-level Scientific Conferences: provide mainly young researchers with the opportunity to attend EuroConferences, EuroLabCourses, EuroWorkshops, Euro Summer Schools, standard large conferences, PhD EuroConferences and Electronic EuroConferences (meetings in cyberspace). This activity also supports keynote speakers and conference organisers hosting such an event.

Distinctions for High-level Research Work: the best European researchers shall receive public recognition through one of the following:

- Descartes Prize for outstanding scientific work within a collaborative research project,
- Archimedes Prize for undergraduate students having developed original scientific concepts to advance European science,
- European Union Contest for Young Scientists catering for the age group from 15-20 years.

Raising Public Awareness: aimed at raising the awareness of the public regarding science and its benefits for society. This shall primarily be achieved through networking; bringing together scientists, science communicators and professionals and representative bodies; the promotion of science through a European Science Week; and the development of information services.

Action 4 - Key Action : Improving the Socio-Economic Knowledge Base

The fourth action is the Key Action “Improving the Socio-Economic Knowledge Base”. The overall objective of this key action is to improve understanding of the structural changes taking place in Europe, to identify options for the management of change and to involve European citizens more actively in shaping their own futures. This will require the analysis of the main trends giving rise to these changes; of the relationships between technology, employment and society, the re-appraisal of participation mechanisms for collective action at all levels of governance and the elaboration of new development strategies fostering growth employment and economic and social cohesion.

Within this overall framework, a number of Research Tasks have been selected for each Call for Proposals. For further details, applicants should consult the Work Programme and the evaluation manual which are included in the information package.

Action 5 - Support for the development of scientific and technology policies Europe

The fifth action is designed to provide policy makers with a solid foundation on which to base their decisions in the field of science and technology and to anticipate changes in the world of science. The strategic analysis part of this action is directed towards experts or groups of experts working in fields such as technological change, globalisation of research, new forms of competition, job-creation and social cohesion. The part dedicated to science, technology and innovation indicators aims to provide a common base of relevant and comparable indicators required for the design, co-ordination and assessment of RTD strategies in Europe. This part will be implemented essentially through accompanying measures.

Synergies with other programmes

In addition to the five actions described above, this programme has an important co-ordination role within the Fifth Framework Programme. This is especially true for the Marie Curie Fellowships, which are offered by other thematic programmes but co-ordinated within the Human Potential Programme. Furthermore, the Enhancing Access to Research Infrastructures Activity will be closely co-ordinated with similar activities undertaken elsewhere in the Framework Programme. Activities on raising the public awareness of science and technology will draw broadly on related activities across the Framework Programme. Finally, the Socio-economic Key Action will also co-ordinate and support the socio-economic research activities of the other thematic programmes in order to ensure that the socio-economic dimension is consistently taken into account by the thematic programmes.

References and information sources

All calls for proposals are announced in the Official Journal of the European Communities and on our Internet site: <http://www.cordis.lu/improving>.

This Guide for Proposers contains all information and help that you need to make a proposal for the action **Research Training Networks**. Please read it carefully. The application forms are annexed to this guide and can also be downloaded from the Internet (address see above). We wish you every success.

2. HUMAN POTENTIAL RESEARCH TRAINING NETWORKS: DESCRIPTION OF THE ACTIVITY

Rationale and Objectives

The primary objective of Research Training Networks is to promote training-through-research, especially of young researchers, both pre- and post-doctoral level, within the frame of high quality transnational collaborative research projects, including those in emerging fields of research.

In addition to their primary role of training young researchers, Research Training Networks are also intended to encourage:

- the interaction between different disciplines,
- the combination of different technologies,
- the dissemination of results,
- co-operation between academia and industry.

Each network will be required to define an appropriate training programme for its young researchers, taking advantage of the international nature of the network and, when relevant, the multidisciplinary of its joint project, the complementarity of its teams and the network's connections with industry. All networks will be required to offer equal opportunities to male and female researchers.

It will be the task of each network, by means of appropriate project management, to distribute research responsibilities between its teams and to co-ordinate its activities in such a way that co-operation and communication are as open and efficient as possible. In this respect, networks would be expected to take advantage of the capabilities and potential of modern telematics and Internet-based services, whenever appropriate.

Each network will be expected to publish the results of its joint research in the open literature and should also ensure the diffusion of their principal results by, for example, the timely publication of brochures and overview articles. Once the work of a network has started, arrangements should be made, where relevant, for establishing regular dialogue with industry¹, including SMEs, that could exploit the research findings or participate in an extension of the research towards new objectives.

Research Fields

Networks may be supported in all fields of scientific research that contribute to the Community's objectives in research, technological development and demonstration, for projects chosen freely by the participants themselves. In the selection of projects, there will be no pre-established targets in terms of scientific discipline or topic - the selection will be made on the criteria outlined in Chapter 7 of this guide.

Implementation

While the participants within a network are expected to use their own resources to finance the actual research work, Community funding will cover up to 100% of the additional eligible costs connected with the temporary appointment of young researchers, both pre- and post-doctoral, who are of different nationality and coming from a different country from that in which a particular institute is based, and with co-ordinating the joint project on which the network is based. At least 60% of the contribution for each network will be attributed to the costs of appointing young researchers. A full discussion of allowable costs is given in Chapter 8 of this document.

The age limit for young researchers will be 35 years at the date of appointment under the network contract, though allowances will be made for compulsory military or civil service and childcare.

¹ Or, when appropriate, Community networks developed within the framework of the enterprise policy of the European Union.

Calls for Proposals

The first Call for Proposals, with an indicative budget of EURO 220 million, was published on 16 March 1999, with a closing date of 2 June 1999.

The second Call for Proposals, with an indicative budget of EURO 230 million, was published on 15 December 2000, with a closing date of **4 May 2001**.

Calls for Proposals are issued by the Commission and published in the Official Journal of the European Communities.

Roadmap

Publication of Call	Deadline for the Reception of Proposals	Expected Date for Start of First Contracts	Areas covered by the call	Type of projects covered by the call	Indicative budget as % of the total budget available for calls
16 March 1999	2 June 1999	February 2000	All	Research Training Networks	50%
15 December 2000	4 May 2001	February 2002	All	Research Training Networks	50%

3. PARTICIPANTS

Introduction

This section describes the conditions of participation in activities within the Research Training Networks activity, and is based on Annex IV of the decision on the Fifth Framework Programme¹, the decision on the rules of participation², and the Council Decision establishing the Human Potential Programme³.

From Member States

Participation in the Human Potential Research Training Networks Activity is open to all legal entities established in the Member States of the European Union – e.g. individuals, industrial and commercial firms, including SMEs, universities, research organisations, etc. Each research team working on the collaborative project must be under the responsibility of the participating legal entity, with which any resulting contract would be concluded.

From States Associated with the Programme

The Programme is also open to all legal entities established in any of the other States associated to the Programme (see Table 1). For each of these countries, institutions may participate and be funded with similar rights and responsibilities to EU Member State participants, once the Association Agreements come into force.

The association agreement for Malta and Switzerland is expected sometime in 2001. Proposals with participants from these countries will be treated in the evaluation process as if they are already associated. Until the association agreement for Switzerland comes into force, justification that participation is in conformity with the interests of the Community must be provided in the proposal. Proposals containing participants from Switzerland are advised to go to <http://www.cordis.lu/inco2/src/p-swiss.htm>, where full information regarding the phasing-in of Switzerland for full participation in the Fifth Framework Programme may be found.

From non-EU/Associated Countries and International Organisations

Participation is also open to entities from non-EU/Associated countries and to International Organisations (see Table 1). The opportunities fall into two categories and in all cases, the third country/international organisation participant must be included as a partner in the original proposal submitted.

(i) **Non-Associated European Countries; Mediterranean Partner Countries; Countries with which the EU has a Co-operation Agreement; International Organisations**

Participation from these countries and international organisations is encouraged as engagement in such international co-operation activities contributes to the successful implementation of the Human Potential programme. Proposers are reminded, however, that such participation is normally on a self-financing, project-by-project basis. In all cases the participation must be shown to be *in conformity with the interests of the Community*.

(ii) **All other countries**

For countries not covered by the above categories, participation in FP-5 projects on a self-financing basis, will be possible if the participation is *in conformity with the interest of the Community* and is of *substantial added value* for implementing all or part of the specific programme. *The interests of the Community and the substantial added value* must be clearly indicated in the proposal.

Whether a proposal is in conformity with the *interests of the Community* will be assessed with particular regard to the contribution to one or more of the following (as laid down in the Council Decision):

¹ European Parliament and Council Decision No 1999/182/EC of 22 December 1998 concerning the Fifth Framework Programme of the European Community for research, technological development and demonstration activities (1998-2002).

² Council Decision 1999/65/EC of 22 December 1998 concerning the rules for the participation of undertakings, research centres and universities and for the dissemination of research results for the implementation of the Fifth Framework Programme of the European Community (1998-2002).

³ Council Decision of 25 January 1999, adopting the specific programme for research, technological development and demonstration on Improving the Human Research Potential and Socio-economic Knowledge Base.

- the needs of other Community policies in support of which the RTD actions are carried out;
- providing appropriate incentives for maintaining and creating jobs in the Community;
- promoting sustainable development and improving the quality of life in the Community;
- strengthening the international competitiveness of Community industry and the existence of co-operation agreements between the Community and third countries or international organisations.

Substantial added value may refer, for example, to cases where the third country partner is a generally recognised, top-level specialist in the field of the proposal or has access to unique resources, which are of great importance to the project but which are not available in Europe, or where the third country partner offers the prospect of opening up new markets for the European partners.

In exceptional cases, financing for a third country participant, up to €0.03million, may be provided by the programme if it is **essential for achieving the objectives of the project**, i.e. if the contribution of the participant cannot be provided by any other means and the project cannot be carried out without that partner. For International Organisations, Community funding, in exceptional cases and to a greater extent is possible, if it is essential for achieving the objectives of the project.

For further details on this and on which countries fall into which categories, see Table 1 and check for updated information in Box 4 at <http://www.cordis.lu/fp5/management/particip/v-gfpbox4.htm>.

How Many Participants Constitute a Network?

As a general rule, a Research Training Network should involve at least five mutually independent¹ legal entities which are established in at least three Member States of the Community or Associated States. At least one of these legal entities must be established in a Community Member State.

Networks of smaller size working in emerging and novel interdisciplinary fields of science and technology may exceptionally be supported, and, in this case, at least two must be mutually independent legal entities established in two different Member States or, in a Member State and an Associated State.

Please note that in all cases:

- participation by Joint Research Centres is equivalent to Member State participation;
- participation from third countries and International Organisations must take place with the minimum number of legal entities from the Community and/or Associated States.

¹ An organisation is not considered independent if:

It is under the same direct or indirect control as another organisation, or

It directly or indirectly controls another organisation, or

It is directly or indirectly controlled by another organisation.

Control:

Company A controls company B if:

A, directly or indirectly, holds more than 50% of the share capital of B, *or*

A, directly or indirectly, holds more than 50% of the shareholders' voting rights of company B, *or*

A has, directly or indirectly, the decision making powers within company B.

Table 1 – Participation of non-EU legal entities to FP5¹

ASSOCIATED STATES may participate WITH COMMUNITY FUNDING	CANDIDATES FOR EU-MEMBERSHIP	BULGARIA, REPUBLIC OF CYPRUS, CZECH REPUBLIC, ESTONIA, HUNGARY, LATVIA, LITHUANIA, POLAND, ROMANIA, SLOVAKIA, SLOVENIA : in force. MALTA ³ : an agreement is expected to enter into force in 2001 <i>For TURKEY, please see footnote 4</i>
	EFTA-EEA	ICELAND, LIECHTENSTEIN, NORWAY : in force.
	OTHERS	ISRAEL : in force. SWITZERLAND ² : entry into force expected in 2001.
THIRD STATES ⁶ may participate WITHOUT COMMUNITY FUNDING (exceptionally with Community funding when duly justified as being essential for achieving the objectives of the project)	OTHER EUROPEAN	ALBANIA, BOSNIA-HERZEGOVINA, FORMER YUGOSLAV REPUBLIC OF MACEDONIA, SWITZERLAND ² MALTA ³ and TURKEY ⁴ are also shown under Mediterranean Partnership. MICROSTATES AND TERRITORIES IN EUROPE ⁵
	EUROPEAN NIS	ARMENIA, AZERBAIJAN, BELARUS, GEORGIA, MOLDOVA, RUSSIA, UKRAINE.
	MEDITERRANEAN PARTNERSHIP	ALGERIA, EGYPT, JORDAN, LEBANON, MALTA ³ , MOROCCO, PALESTINE AUTHORITY, SYRIA, TUNISIA, TURKEY ⁴ . <i>All above countries may participate on a project-by-project basis if in conformity with the interests of the Community and on a self-financing basis.</i>
	COUNTRIES WITH CO-OPERATION AGREEMENT	AUSTRALIA, CANADA, CHINA, RUSSIA, SOUTH AFRICA, USA : in force. ARGENTINA : conclusion under way BRAZIL : negotiations under way <i>The above countries may participate in the fields covered by the Co-operation Agreement, once in force, and on a self-financing basis (until then, Russia may participate as a European NIS).</i>
	ANY OTHER COUNTRY	<i>May participate project by project if in conformity with the interests of the Community and on a self-financing basis, only if its participation is also of substantial added value for implementing all or part of the specific programmes in accordance with its objectives.</i>
INTERNATIONAL ORGANISATIONS ⁷	<i>May participate project by project if in conformity with the interests of the Community and on a self-financing basis.</i>	

Participation from third States and of International Organisations must take place together with the minimum number of legal entities from the Community and any Associated States.

- 1 Different rules apply for the specific programme 'Confirming the international role of Community research' (except for Associated States) and the EURATOM Framework Programme.
- 2 This association agreement is expected to enter into force sometimes in 2001, but with financial implications no sooner than 1.1.2002. Once associated, that status shall take precedence over any other and Switzerland shall not be considered as an "Other European" country anymore. For more information on Swiss participation, www.cordis.lu/inco2/src/p-swiss.htm.
- 3 Pending the effective entry into force of the agreement, proposals with Maltese partners will be treated in the evaluation process as if Malta was already associated (eligibility, evaluation of management and resources aspects, contribution to Community policy, etc.). Once associated, that status shall take precedence over any other and Malta shall not be considered as an "Other European" country nor as a "Mediterranean partner" anymore. For latest information, please consult Box 4 at <http://www.cordis.lu/fp5/management/particip/v-gfpbox4.htm>.
- 4 Turkish research entities participate to the activities of FP5 as "other European". They are also shown under Mediterranean Partnership. For latest news, Box 4 at <http://www.cordis.lu/fp5/management/particip/v-gfpbox4.htm>.
- 5 Andorra, Monaco, San Marino, Vatican City State (Holy See), Faeroe Islands (DK), Channel Islands (GB), Isle of Man (GB), Svalbard and Jan Mayen Islands (NO).
- 6 In the case of a country becoming associated to FP-5, that status takes precedence over any other.
- 7 Community funding may also be granted if it is foreseen to use the facilities of an international organisation that are based in a third country, should this use be essential for achieving the objectives of the project.

4. FINANCIAL GUIDELINES

The following guidelines are provided in order to assist applicants in formulating their proposals for financial support:

Contract Size

Contracts are expected to have the following profile:

- for each network, the financial support to its research teams from Member States and Associated States should not exceed € 0.2 million per team, when averaged over all such teams in the network;
- a team in a third country may exceptionally be supported by up to € 0.03 million;
- network contracts will normally not exceed €1.5 million in terms of Community financing. However, larger contracts may be concluded where the proposed work is of special interest to the Community in a field of research of particular importance for training.

The duration of a contract should normally not exceed 48 months.

Balance Between the Teams

Major imbalances between the teams in terms of the financing requested should be justified in the proposal (particularly where it is proposed that one of the teams is to receive more than twice the average rate of financing requested for the network partners as a whole). In terms of international balance, no more than 40% of the contribution requested (except in the case of twinings) should be allocated to the teams of one country.

Justification of the Financial Request

As a general rule, where proposals that are selected for funding have both conformed to these guidelines and have adequately justified the level of financing requested, they will be granted the level of financial support requested in the proposal. Proposals that do not contain an adequate justification for the level of financing requested, risk being rejected for that reason alone.

The Reference Rates for Marie-Curie Fellows (see overleaf) have been set in accordance with National Governments and may be used as an indicative guide for determining the personnel costs of young researchers employed in a network, if so desired. At least the local pay and conditions at a particular institute should be used, i.e. a young researcher should be paid at least as much as other colleagues with similar qualifications and experience at the same institute. Due consideration should be given to ensuring that salaries are competitive, since, if appointment costs are set at an unrealistically low level, a participant is likely to encounter recruitment difficulties.

Reference Rates for Marie-Curie Fellows

This table sets out the total monthly salary costs paid to post-docs in the Member or Associated State where the host organisation is established. These costs have been proposed by each Member and Associated State for the Marie Curie Fellowship schemes. However, to assist proposers, they may be used as an indicative guide for determining the personnel costs of young researchers employed in a Research Training Network, if so desired.

COUNTRY	Total monthly subsistence allowance costs for post-docs* (in EURO)
Austria	4 280
Belgium	5 000
Bulgaria	2 565
Cyprus	2 629
Czech Republic	3 166
Denmark	4 373
Estonia	2 625
Finland	3 807
France	3 600
Germany	4 500
Greece	3 100
Hungary	4 318
Iceland	3 752
Ireland	3 062
Israel	3 875
Italy	3 813
Latvia	2 541
Liechtenstein	4 243
Lithuania	2 625
Luxembourg	3 955
Netherlands	4 225
Norway	4 302
Poland	3 310
Portugal	3 841/3 104**
Romania	3 029
Slovakia	2 778
Slovenia	3 981
Spain	3 342
Sweden	4 621
Switzerland	4 243
United Kingdom	3 128

* Pre-doc young researchers are normally allocated 70% of the reference rate

** Lower rate applicable for host institutions in the public sector

5. HOW TO PREPARE AND WRITE A PROPOSAL

It is **essential** that the application procedures and the requirements for forms and deadlines are followed by all applicants.

Co-ordination of the Proposal

Before starting to write the proposal, the main features of the network should be agreed between all the participants. In particular, the participants should decide which of them will be the co-ordinating partner and who, inside the co-ordinating partner, will be the individual to act as proposal co-ordinator.

The person chosen as proposal co-ordinator should expect to continue to act as network co-ordinator for the project, should the proposal be selected for financing. The proposal co-ordinator should assume full responsibility for the preparation of the proposal, the accuracy of the information it contains and for ensuring that it is delivered to the correct address on or before the deadline.

Note that proposals **must** be delivered on or before the deadline. Proposals post-marked before the deadline but arriving after this date are no longer accepted.

The Proposal Form

The completed Proposal Form (see Annex 1) will contain the necessary information concerning the participants and the network project for which you seek funding. It is the sole basis on which your proposal will be either selected or rejected. The Network Proposal Form includes the following parts:

A and B. ADMINISTRATIVE FORMS

- A0.** A cover page giving the full name and acronym for the proposed Research Training Network
- A1.** General Proposal Information
- A2.** Partnership Summary
- A3.** Proposal Summary
- A4.** Previous Proposals and Contracts
- B.** Individual Participant Profile/Information

C. PROPOSAL DESCRIPTION

D. ACKNOWLEDGEMENT OF RECEIPT FORM

Please read and follow carefully the Notes for Completing the Forms, which are integrated within the Proposal Form.

Cover Page

The cover page is standardised for all Commission research programmes and serves as the proposal identifier containing:

- Name of the activity, from which financing is requested;
- Call identifier¹;
- A short title or acronym that will be used to identify the proposal;
- Proposal Number²;
- Code of the research programme; here the Human Potential Programme;
- Code of the “thematic area”, in this case the Research Training Networks activity.

¹ For the second call for Research Training Networks this is: **IHP-RTN-00-2**

² Allocated by Commission upon receipt of proposal.

These latter two have already been entered and the displayed codes identify the Human Potential Programme (1.4.1) and its Research Training Networks activity (1.4.1.-1.1).

A1. General Proposal Information

Part A1 of the Proposal Form contains further general information on your proposal, notably:

- The Panel which you consider most appropriate to evaluate your proposal;
- The discipline(s) to which the proposal belongs;
- Name, postal address and contact details of the co-ordinator.

A2. Partnership Summary

Part A2 of the Proposal Form provides:

- Details of all the network participants, including the level of training offered, the Community contribution requested by each partner and whether any researchers are ex-international post-doc fellows active in participant teams established in less-favoured regions of the Community (see B. below).
- Project duration (normally not exceeding 48 months).

The proposal co-ordinator is responsible for ensuring full compatibility between this part of the Form and the Individual Participant Profile/Information Sheets.

It is important to emphasise that this form must be signed by the proposal co-ordinator.

A3. Proposal Summary

Part A3 of the Proposal Form provides a brief summary of the networks' scientific/technical objectives and on the content of the joint research project (maximum 2000 characters). It should also describe the training content of the proposed network (maximum 1000 characters). This summary should be written in the third person, in plain typed text.

The summary should not take the form of an abstract of the proposal, but rather of a self-contained description of the network project that would result if the proposal were to be funded. It should be informative to people working in related fields and, insofar as possible, understandable to a scientifically literate lay reader. It should also be suitable for publication.

The summary is an important part of each application. It helps Programme staff and evaluators to distinguish easily between the many proposals received. The summary also gives a quick reference to the specifics of your proposal and often gives evaluators a first impression of its quality.

A4. Previous Proposals and Contracts

Part A4 of the Proposal Form requires information about whether the same or a similar proposal has been submitted before to other Community research programmes. It is particularly important that the relevant reference number is given, if your proposal is a resubmission of a proposal rejected under the current Human Potential programme, or one of the TMR network selection rounds in the Fourth Framework Programme, or, if your proposal represents a continuation of a network already financed in the frame of the predecessor TMR Programme.

B. Individual Participant Profile/Information

The Individual Participant Profile/Information forms must be completed separately for each participant, including the co-ordinating institute. There are two forms per participant.

On form B(1/2), the first section concerns legal information on the participating organisation. The second section on "Organisation Details" contains entries which are for statistical purposes only, and some entries may

not be relevant to public research organisations, such as universities. Applicants are therefore advised to consult carefully the notes relating to each field. The last section requires the address of the legal entity.

On form B(2/2), entries required are the address of the department/institute/laboratory where the work will be carried out, the name of the scientific official in charge of the work, the number of young researcher person-months of training offered by that participant and the EC contribution requested.

For a participant situated in one of the current Less-Favoured Regions (LFR) of the Community (see Annex 1 for details), it also asks whether any “ex-international post-doc Fellows are active in LFR team”¹. This is important, since these researchers may qualify the research team for Community support to purchase durable equipment. For further information see Chapter 8.

It is essential that the data provided in this section is fully compatible with the data in the Proposal Description. If the two sets of data do not match, this is likely to hinder the evaluation of a proposal and may lead to its rejection.

To ensure that applications have the full support of all participant organisations, each Individual Participant Profile/Information form, including the proposal co-ordinator’s, must be certified and signed by an authorised signatory. Copies of signatures (including faxed ones) are acceptable. Alternatively, a signed declaration from the proposal co-ordinator that he/she is authorised to send the proposal and that the proposal is agreed to by the participants, is acceptable. The text of the declaration could be, for example, **“I, the proposal co-ordinator, certify that I am authorised to send this proposal and that it is agreed to by all the Participants listed in the proposal.”**

C. Proposal Description

Part C - the Proposal Description is that part of the Proposal Form on which the scientific/technical/training evaluation will be based and is therefore the most important part of the application. It is structured to correspond to the selection criteria discussed in Chapter 7 of this document. Applicants are advised to thoroughly familiarise themselves with this Chapter before attempting to complete the Proposal Description, since evaluators will have been instructed to give low markings to proposals that do not demonstrably fulfil the necessary criteria.

It should be emphasised, once again, that data in this section should correspond exactly to that provided in the Individual Participant Profile/Information section. If not there is a risk that this will negatively influence the evaluation process.

Applicants are asked to keep the size of their Proposal Description within the given guidelines. It should be unnecessary, and could be counterproductive, to submit an excess of information.

D. Acknowledgement of receipt form

The acknowledgement form is designed to inform those applicants, who intend to submit their application on paper, that their proposal has been received by the Commission. As such, it is not a compulsory part of the proposal form, but applicants are strongly advised to use this service and return the completed acknowledgement form, together with the completed proposal, to the Commission.

Self Assessment of the Proposal

A checklist of questions, which should help you to judge the chances of being funded, is given in Annex 2.

¹ An "Ex International Post-doc Fellow Active in LFR Team" is a researcher who has been trained abroad for a minimum duration of one year at a post-doctoral level, appointed to an established position in a legal entity situated in a less-favoured region of the Community and who will be active in the Human Potential network project. In order to target support towards research teams appointing researchers at the start of their scientific career, only those researchers having held an established post for five years or less are eligible for the research teams reimbursement of durable equipment. An established staff member is defined (i) as having been working at his or her institution continuously for the last 3 years, or (ii) as holding a work contract of at least 3 years with his or her institution.

6. HOW TO SUBMIT A PROPOSAL

Submission by the Proposal Co-ordinator

The proposal co-ordinator is responsible for the internal management and administration of the proposal and for submitting it to the Commission.

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

Proposal Preparation Tool

Applicants must prepare their proposals in the format of the appropriate Proposal Form. To assist in this, the Commission has prepared the software package ProTool (Proposal Preparation Tool) which is available at the Fifth Framework Programme Website at <http://www.cordis.lu/fp5/protocol>. ProTool helps applicants to prepare the administrative and technical information of a proposal in conformity with the appropriate Proposal Form. Please check on the above website for updates of the description of ProTool given in this chapter.

ProTool includes help-texts and references, as well as assistance in making the forms complete and consistent. Its use provides applicants, as well as the Commission services, with high quality and efficient entry of administrative data.

Once the proposal has been prepared with ProTool, it may be sent either electronically or on paper, as preferred by the applicants.

The version of the Proposal Form for Research Training Networks is set out in Annex 1 of this Guide (see also Chapter 5). These forms may be obtained from ProTool by going to <http://www.cordis.lu/fp5/protocol> and clicking on “Download”. From there, go to “Steps to obtain ProTool and ProTool forms” and follow the instructions. The forms to download are for those listed under “Improving Human Potential” and called “Research Training Networks”. It is recommended that the proposal co-ordinator download all the forms (A0 to A4 and B forms inclusive), whilst other participants download the B forms only and, once completed, send them, by e-mail, to the proposal co-ordinator. It is then possible to incorporate these completed B forms into the overall Proposal File.

Notification of Intention to Propose

A request for a proposal number prior to submission is **not required** for Research Training Networks. The proposal should be sent without a proposal number. A proposal number will be attributed upon receipt by the Commission and communicated back to the proposer together with the Acknowledgement of Receipt (Form D in Annex 1). Until then, please use the co-ordinator’s name, the short title of the proposal and, if available, the identification code assigned by ProTool as a reference for any correspondence concerning your proposal.

Certification

Before a proposal can be sent electronically to the Commission, the co-ordinator must request, in advance, a certificate which will allow him/her to digitally sign the proposal. A request for certification is made using ProTool.

The Commission has subcontracted the issuing of certificates to the *Fifth Framework Programme Certification Service Provider* (FP5-CSP). The address will be made available in ProTool, as well as on the programme website.

A co-ordinator can request either a standard certificate (Class-II) or a one-time certificate (Class-I). Both are provided free of charge.

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

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

One-time certificates (Class-I) can also be obtained from the FP5-CSP, by use of the ProTool and electronic communication only. This form of certificate allows electronic submission of only one proposal, for those co-ordinators who want to try the system out, or who expect not to send another proposal soon. However, electronic submission with this simple certificate requires, in addition, the sending of a set of signed A1 and A2 Forms on paper to the Commission before the deadline.

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

Submission of a Proposal by Electronic Means

ProTool should also be used by the co-ordinator to package the Administrative Forms (parts A and B) and the Proposal Description (part C) into one big file, the Proposal File. This process additionally produces a small Validation File, which provides basic information on the proposal and a unique identification code. Submission of the Validation File defines the time of proposal submission. In case of communication problems this file can be printed and faxed before the deadline for receipt of proposals to a number provided in ProTool or on <http://www.cordis.lu/fp5/protocol>.

Holders of a Class-II certificate will also be able to encrypt the proposal file. The precise method is explained in the sealing software, which is either integrated into ProTool or available as a separate program at the same website.

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

Submission of a Proposal on Paper

Where national regulations concerning the sending of encrypted data do not permit the use of the sealing software, and thus confidential transmission cannot be ensured, or where proposers, for some other reason, would like to avoid electronic submission, proposals may be prepared from the outset on paper.

The relevant forms (A0 to A4 and B inclusive) in both WORD- (doc-file) and ADOBE-format (pdf-file) may be downloaded from the Internet home page of the Human Potential Programme at <http://www.cordis.lu/improving>, look under "Research Training Networks". The forms may then be completed on your PC using either WORD or ACROBAT Reader (public domain software) and printed. Note that Part C of the proposal will also need to be completed.

The **original** of the proposal should be submitted along with **five** complete photocopies, which should be of good quality since they will be used for the scientific evaluation, **in a single package**. Please staple the copies, but leave the original unstapled.

For applications sent by post (registered or courier¹ service recommended), the package should be delivered to:

**European Commission
The Research Proposal Office (ORBN 8)
Research Training Networks
Square/Plein Frère Orban, 8
B-1040 BRUXELLES/BRUSSEL
BELGIUM**

¹ For courier services which require a telephone number for the recipient, please use + 32 2 296 02 45.

All packages should be clearly marked with the call identifier “**IHP-RTN-00-2**”.

Proposals must **not** be sent in several parts, as the Commission will not assemble a proposal that has been split into separate packages.

Do **not** send proposals by fax or normal e-mail¹ (not even to announce proposals that are in the paper mail). Applications sent by fax or normal e-mail will not be accepted and they will not be acknowledged.

Deadlines

For the 2nd Call, proposals must be submitted before or on **17h00 (Brussels local time) on 4 May 2001**.

In the event of electronic submission, the Validation File must be sent to the European Commission before or on this deadline. The Proposal File, containing the proposal, must be received unmodified, as verifiable from the unique identification code, not later than 48 hours after this deadline.

Note that proposals **must** be delivered on or before the deadline. Proposals post-marked before the deadline but arriving after this date are no longer accepted.

Proposals submitted by courier service or hand-delivered must be received before or on the deadline of **17h00 (Brussels local time) on 4 May 2001**.

Proposers are requested to use only one of the methods, described above, by which to submit proposals, and to only submit one version of any given proposal. In the case of an eligible proposal being received in both paper and electronic formats, only the electronic version will be retained.

In all correspondence (e.g. when requesting information, or submitting a proposal) please make sure to cite the call identifier IHP-RTN-00-2 as published in the relevant call for proposals in the Official Journal of the European Communities.

Acknowledgement of Receipt

If the proposal co-ordinator intends to submit the proposal on paper, he or she is strongly advised to complete part D of the forms in Annex 1 and send it together with the proposal to the Commission.

Proposers who do not receive an acknowledgement of receipt within three weeks after the deadline should contact the Networks activity (see Chapter 9). **Proposers are reminded that it is their responsibility to ensure the safe and timely delivery of their proposal.**

¹ i.e. only electronic mail generated using ProTool will be considered as valid electronic submission of a proposal.

7. EVALUATION AND SELECTION OF PROPOSALS

The Commission will ensure a confidential, fair and equitable evaluation of proposals. This evaluation will have due regard to the criteria set below and will be carried out under the responsibility and co-ordination of the Commission, assisted by external independent experts chosen by the Commission. Further details on the evaluation procedure can be found in the “Guide for Evaluators” of Human Potential Network Proposals via the Research Training Networks Homepage on the Internet at the following address:

<http://www.cordis.lu/improving>

Evaluation Criteria

The quality of a proposal is to be measured against the following ten primary evaluation criteria, grouped under three blocks - scientific merit of the collaborative research project, quality of the network partnership, organisation and management, and quality and content of the network’s training programme. Each proposal is also measured against two secondary criteria, marked from 0 to 10, that will only be taken into account for ranking proposals of otherwise equal merit.

Primary Evaluation Criteria	Score Range for criteria	Score Range for blocks
1. Scientific merit of the collaborative research project		0-40
(a) Research topic and project objectives	0-10	
(b) Scientific originality	0-10	
(c) Research method	0-10	
(d) Work plan	0-10	
2. Quality of the network partnership, organisation and management		0-30
(a) Collective expertise	0-10	
(b) Quality of the collaboration	0-10	
(c) Organisation and management	0-10	
3. Quality and content of the network’s training programme		0-30
(a) Training need	0-10	
(b) Training programme	0-10	
(c) Justification of the appointment of the young researchers	0-10	
TOTAL		0-100
Secondary Criteria		
(a) Training in a context promoting interactions between different disciplines and/or in complementary research teams	0-10	
(b) Training in an industrially relevant context.	0-10	

The following notes, explaining the meaning of these criteria, have been written as guidance for the experts who will carry out the primary assessment of the proposals received. These notes are being reproduced here in the Guide for Proposers in order to help applicants to prepare their proposals and to present them in the best possible light.

1. Scientific merit of the collaborative research project

(a) **Research topic and project objectives.** The expert should award a high score for the proposed research topic and project objectives only:

- when there is a strong scientific, technological or socio-economic reason for carrying out research in the field covered by the project;
- when the proposed research is timely;
- when it is clear from the proposal that the participants are committed to a joint research project that has well-defined and realistic objectives;
- when these objectives are challenging;
- when a major breakthrough could be expected.

(b) **Scientific Originality.** A high quality project must be innovative, in other words, it must represent a significant step forward beyond the current state-of-the-art. The expert should therefore award a high score for scientific originality only:

- when the applicants have first demonstrated a sound knowledge of the current international state-of-the-art;
- when they have explained convincingly that the proposed research will represent a significant step forward.

(c) **Research Method.** Research Training Networks are intended to encourage interaction between different disciplines, the combination of different technologies and the transfer of technologies from one scientific domain to another. The expert should therefore award a high score for the proposed research network only:

- when the methodological approach is appropriate and consistent with the objectives;
- when it integrates complementary techniques in an effective manner.

(d) **Work Plan.** The expert should award a high score for the proposed work plan only:

- when the schedule and milestones of the proposed joint project are realistic and compatible with the resources that the participants will put into the collaboration;
- when there is a well-considered distribution of tasks and responsibilities among the participants.

2. Quality of the network partnership, organisation and management

(a) **Collective Expertise.** Networks are intended to encourage interaction between research participants with complementary expertise and competence. The expert should therefore award a high score for the collective experience of the partners only:

- when the participants collectively have the necessary expertise and competence to carry out the proposed joint project;
- when their contributions address different aspects of the joint project;
- when at least three of the participants (the so-called “core teams”) are already established in the area of the proposed research, are of high quality and are from different countries of the Community and Associated States.

Please note that networks containing less experienced, but promising teams should not be penalised in the marking, provided that the participants collectively have the necessary expertise and competence.

(b) **Quality of the collaboration.** One of the main objectives of networks is to encourage research teams to work together on high-quality joint research projects. The expert should therefore award high marks for the intended collaboration only:

- when it is clear from the proposal that the collaboration between the teams at the working level will be meaningful, interactive and mutually beneficial for the researchers taking part;

- when there is a convincing explanation of how any less experienced teams will be properly integrated into the project.

Low marks should be awarded to networks where the interaction between the teams is limited to the exchange of information and staff. Meaningful working-level collaboration around a joint project is an essential feature of a good network.

(c) **Organisation and management.** Good management is an essential component of a successful network. The expert should therefore award high marks for network organisation and management only:

- when the organisation and management proposed for the network is well-adapted to the scope and complexity of the joint project and when all participants take responsibility for the organisation and management;
- when the techniques proposed for co-ordinating the joint project are considered to be sufficient and suitable;
- when the network co-ordinator has demonstrated the necessary scientific and organisational competence (for example, in putting together the proposal itself);
- when it is clear that the network has a carefully planned strategy for effective dissemination of the project results both during and after completion of the contract.

Please note that networks of more than eight participants should be particularly closely scrutinised to ensure that they will have the structures necessary to provide an effective co-ordination and integration of their joint activities.

3. Quality and content of the network's training programme

(a) **Training need.** The main objective of networks is to promote the training through research of young scientists within the frame of high quality transnational projects. If the requested funding for the network is higher than EURO 1.5 million, this criteria is of particular importance. The expert should award high marks for training need only:

- when there is a special interest or need, at the Community level, to promote the training of young researchers, in the research areas covered by the joint project;
- when it is clear that the European human potential in the research field will benefit from the training delivered in the project, and the career prospects of the young researchers will be enhanced.

(b) **Training programme.** The young researchers appointed with network funds should receive training that goes beyond simply being employed to work in a research team of another country. The expert should therefore award high marks for the quality of the training only:

- where the training programme proposed for the young researchers takes advantage of the international nature of the network, and is sufficiently detailed in terms of special measures that the network intends to take to ensure training is delivered;
- when the research teams in the network offer to provide an appropriate training environment and demonstrate that gender aspects have been adequately integrated into the proposed training programme for the young researchers (balance of men/women in teams, in the decision-making process, etc).

(c) **Justification of the appointment of the young researchers.** The network must justify first, the overall total of person-months promised in the proposal and second, the proposed split between pre- and post-doctoral researchers in each of the participant nodes, and requested length of appointment. The expert should award high marks for justification only:

- when the resources allocated to the project are sufficient for the number of young researchers to be trained (as specified in the proposal), in terms of staff available and previous training experience;
- when it is clear that the network participants have taken into account the training opportunities offered in each node in their choice of pre- or post-doctoral researchers;

- when the network has a well thought out strategy for publicising vacancies and the salaries offered by the research teams are sufficient (notwithstanding any legal constraints) to ensure a high level of interest in the vacancies;
- when special measures are foreseen to promote equal opportunities for male and female researchers in terms of the appointment of young researchers.

Training threshold

The minimum score required for block 3 (quality and content of the network's training programme) is **23/30** for a proposal to be considered for funding.

Overall score necessary for selection

The minimum total score, from the primary evaluation criteria, is **70/100** for a proposal to be considered for funding. Experience suggests that, given the likely degree of over-subscription, proposals that receive an overall score of 75/100 or less are unlikely to be selected for funding. Potential applicants, who consider that their proposal would be unlikely to reach this threshold, should question whether the time and effort needed to prepare the proposal is worthwhile.

Secondary criteria

While respecting the overriding primary criteria described above throughout the selection process, proposals successfully demonstrating the incorporation of the two criteria listed below, will be favoured at the margin over other proposals of equal merit.

- Training in a context promoting interactions between different disciplines and/or in complementary research teams.*** One of the secondary aims of the networks' activity is to encourage the exploitation of the multidisciplinary and/or complementary aspects of a network proposal for the **explicit purpose of training young researchers**. Therefore, where network proposals can clearly demonstrate that the multidisciplinary/complementary nature of their network will be exploited in the programme of training for young researchers, the network proposal will be judged at an advantage over other proposals of equal merit.
- Training in an industrially relevant context.*** An equally important secondary criterion is enhanced co-operation between academia and industry in the training of the young researchers, whether or not the industrial connection is a signatory party. For that reason, the expert should judge whether any connections to industry, as stated in the network proposal, are **exploited to enhance the network's training programme**. Only under these circumstances will connections to industry be deemed to give a particular network proposal an advantage over other proposals of equal merit.

Applications from existing networks

When applying to the Programme, existing TMR networks supported under the predecessor programme Training and Mobility of Researchers will be treated on an equal basis with new applications. Existing networks should, however, take special care to highlight the originality of the new proposal compared to the previously funded network in the appropriate section of the Proposal Description (see Annex 1).

Evaluation Process

The eligibility of the proposals will be verified by the Programme management.

All proposals that have fulfilled the minimum eligibility criteria are evaluated by a peer review system carried out by panels of independent experts. There are seven such panels (Chemistry; Economic, Social & Human Sciences; Engineering Sciences; Environmental and Geosciences; Life Sciences; Mathematics and Information Sciences; and Physics). Each proposal will be allocated to the disciplinary panel specified in the proposal. A small multidisciplinary group of experts will finalise the evaluation of the proposals that are judged too wide to fall in the scope of a single disciplinary panel.

In the initial evaluation phase, each proposal is assessed against primary and secondary evaluation criteria, by at least three panel members chosen from the relevant evaluation panels acting as independent referees. The

panel members are independent experts sought through a call for applications published in the Official Journal of the European Communities and open for the duration of the Fifth Framework Programme. Copies of the proposals are sent by mail to the panel members, who carry out their assessment at their normal place of work.

Each panel, during a plenary session, then discusses and analyses the individual evaluations of the proposals assigned to that panel and awards, to each proposal, a final score that will be used to rank the proposals. The plenary session may also decide that the proposal must be further examined by the multidisciplinary group.

The Commission appoints the chairperson and vice-chairperson for each panel from among the panel members, with the vice-chairperson of a panel acting as chairperson in any matter with which the chairperson is institutionally, or otherwise indirectly, involved.

For each panel, the Commission appoints a panel co-ordinator from among the Programme staff. His/her role is to help the chairperson to assign proposals to panel members for evaluation and to organise the evaluation following the principles and procedures described in Guide for Evaluators.¹ He/she will not attempt to influence the panel's opinion for or against any proposal.

Selection of Proposals

Following completion of the evaluation process, the selection of proposals will proceed as follows:

On the basis of the recommendations of the panels, the Commission services will draw up, for each panel, one final ranked list of proposals that pass the required thresholds.

In drawing up the final ranked lists, the Commission also takes into account the programme priorities and may decide not to follow the panel's priority order. In this instance, the reasons for overriding the advice of the panels will be fully justified in writing by the services concerned at the time of the final ranking.

Based on the final ranked lists, the Commission services then draw up a priority list of proposals, for each panel, that can normally be funded as a result of falling inside the panel's available budget. In addition, a reasonable number of proposals are kept on a reserve list for each panel, to allow for withdrawal of proposals and/or savings to be made during contract finalisation.

The Commission services also generates a single list of proposals (all panels together) to be rejected including:

- proposals found to be ineligible during the evaluation (the proposals rejected following eligibility checks have been dealt with earlier)
- proposals failing either the training threshold or the overall threshold
- proposals falling below a certain ranking that cannot be funded for budgetary reasons (not retained on the priority lists, nor on the reserve lists)

Following an appropriate consultation of other Commission services on the final ranking and the rejection list, the decision on proposal rejection is taken at the level of the Commission. Immediately after this decision, co-ordinators of successful and rejected proposals are informed in writing of the Commission's decision. A summary report of the evaluation of their proposal is also included.

¹ More detailed information on the evaluation procedure can be obtained from the Research Training Networks section of the programme website: <http://www.cordis.lu/improving>

8. CONTRACTS: PROCEDURES AND PRINCIPLES

Negotiation of Contracts

Immediately after the evaluation process has been completed, the Commission Services will ask successful applicants to provide:

- more detailed administrative information from the participants, particularly concerning costs for the appointment of young researchers under the network contract;
- an appropriate description of the research and training programme based on the proposal. This will be incorporated into the network contract as its official project programme.

The Commission may also ask for changes to the proposed project on the basis of the evaluation. Unless such changes are requested, the project programme must not offer less than was offered in the proposal, especially in relation to the qualitative and quantitative aspects of the training programme for young researchers.

The negotiation process will be completed as quickly as possible, but may still take some months, depending on the complexity of the project and on the nature of any technical or financial modifications required by the Commission. Successful applicants should therefore plan their work accordingly. The Community will not contribute to any costs incurred before the formal commencement date of the network project specified in the contract.

During this period, network co-ordinators will be invited to a one-day workshop in Brussels in order to discuss with Programme staff any aspect of contract negotiation, implementation or follow-up that concerns them. Topics discussed will include the role and functions of the network co-ordinator, definitions of allowable costs, reporting requirements, contract monitoring and the mid-term review. Network co-ordinators are strongly advised to attend.

In order to facilitate the negotiation process, you should:

- reach early agreement between the participants on the architecture of the network and their respective roles in it;
- be familiar with the allowable costs that can be reimbursed under the network contract;
- provide rapidly all the detailed information requested, and submit it through the network co-ordinator.

These steps will help to get the network started as quickly as possible and contribute to the effectiveness of its management.

Note: The negotiation process may be terminated by the Commission if:

- *the partnership seeks to modify substantially the proposal, or*
- *the negotiation process cannot be completed within the agreed time, or any of the participants' research teams withdraws from the network after the evaluation of the proposal.*

The Role of the Participants

Among the various participants in a network, there will be the co-ordinating partner, the **contractor**, with whom the Commission signs the network contract, and the other participants in the network who, as network **members**, do not sign the contract with the Commission, but instead conclude a **membership agreement** with each other and with the contractor. The **contractor** and the network **members**, referred to collectively as the **participants**, will be jointly and severally responsible for carrying out the project programme.

The Contractor

All network projects must have a co-ordinating partner, the **contractor**, with whom the Commission negotiates and signs the network contract. The organisation that has been chosen to act as co-ordinating partner for the submission of the proposal should normally also act as the contractor for the contract.

Network co-ordinator

The **network co-ordinator** is that person on the staff of the **contractor** who is given the tasks of co-ordinating the activities of the network, to ensure good communication between its participants, and to monitor and report progress. The **network co-ordinator** should therefore have the appropriate management expertise, as well as the technical expertise.

The **network co-ordinator**'s tasks also include administrative matters, such as arranging for the **membership agreement** to be concluded between all the participants, general liaison with the Commission, the submission of all documents, including cost statements and technical reports, and the distribution of the financial contribution of the Community. This administrative support function may be carried out by the **network co-ordinator** personally or may be delegated in whole or in part. Regardless of how the administrative support is carried out, the responsibility for it will rest with the **network co-ordinator**.

Members

Other participants in the network will be **members**. The contractor is required to conclude a **membership agreement** with all the members binding the parties together to act jointly and severally, to perform the scientific work and training programme foreseen under the contract with the Commission. The **membership agreement** normally follows a model format annexed to the contract and provides for the **members** to enjoy the same rights and to have the same obligations as those documented in the contract. The **membership agreement** must be approved by, and a copy lodged with, the Commission before any payment can be made under the contract.

Subcontractors

Third parties who are fully reimbursed for their work by any of the participants should be treated as **subcontractors**. Prior approval is required from the Commission for the subcontracting of project work outside the Community or an Associated State or when the total of all the subcontracts of a particular participant exceed 20% of that participants estimated allowable costs.

Human Potential Network Contracts: Main Principles

Procedures

The Commission will prepare a contract setting out the conditions for Community contribution. The project programme will be included as its technical annex. A financial table included in the contract will present an estimated breakdown of allowable costs between the participating institutions.

Two copies of the contract will be sent to the contractor for signature. The Commission will sign these documents on their return. Only one language version of the contract will be prepared for signature. The applicable law to the contract will usually be that of the competent authorising officer, and in the case of the Research Training Networks, this will normally be the law of Belgium.

The commencement date of the network project will normally be the first day of the month following the Commission's signature of the contract.

Payments

All payments will be made in EURO to the contractor in trust for the participants. The contractor will be expected to transfer the appropriate amount of each payment to the network members without undue delay.

The advance payment will be made as soon as the Commission has received a copy of the membership agreement duly signed by all the participants. Periodic payments, normally at 12 monthly intervals, will depend on the submission and approval of progress reports and associated cost statements. A retention of 15% of the Community contribution is withheld until all the final documents (technical and financial) have been received and approved by the Commission.

Participants must retain supporting documents, which justify these costs, for up to five years from the end of the contract, to permit inspection by Commission services or other institutions, particularly the Court of Auditors.

Allowable Costs

While the organisations within a network are expected to use their own resources (national funds, private funds, etc) to finance the actual research work, Community funding will cover up to 100% of the additional eligible costs connected with the temporary appointment of young researchers and with co-ordinating the joint project on which the network is based. The following costs are allowable in terms of reimbursement by the Community.

- (A) **Personnel and mobility costs related to the temporary appointment of young researchers.** Personnel costs refer to the additional costs relating to the reinforcement of research staffs through the temporary appointment of young researchers. They are to be calculated using the actual salaries or grants paid to the appointed young researchers; and may include social charges, pension contributions, and registration and tuition fees, but must exclude any contribution to overheads. The Reference Rates for Marie-Curie Fellows (see Chapter 4) have been set in accordance with National Governments and may be used as an indicative guide for determining the personnel costs of young researchers employed in a network, if so desired. At least the local pay and conditions at a particular institute should be used, i.e. a young researcher should be paid at least as much as other colleagues with similar qualifications and experience at the same institute. Due consideration should be given to ensuring that salaries are competitive, since, if appointment costs are set at an unrealistically low level, a participant is likely to encounter recruitment difficulties.

Mobility costs related to the appointment of young researchers include relocation costs upon appointment by a participant and travel costs for visits to maintain contact with their home scientific community¹ (one visit per nine-monthly period of their appointment by a participant).

Personnel and mobility costs are to be charged in accordance with the internal rules (including pay and conditions) of the participant concerned.

To be eligible for an appointment under a network contract the young researchers must meet all of the following conditions:

Age. They must be aged 35 years or less at the time of their appointment by a participant. An allowance to this age limit will be made for the actual time spent in compulsory military or civil service or childcare (a maximum of two years per child for the actual time spent off work).

Qualifications. They must be holders of a doctoral degree or of a degree that qualifies them to embark on a doctoral degree.

Nationality. They must be nationals of a Community Member State or an Associated State or must have resided² in the Community for at least five years immediately prior to their appointment by a participant in the frame of the network contract.

International Mobility. They must **not** be nationals of the state in which the participant's research team appointing them is located and must **not** have carried out their normal activities in that state for more than 12 of the 24 months immediately prior to their appointment.

Content of Work. They must be appointed specifically to carry out research in the context of the project programme or to assist the network co-ordinator in the scientific co-ordination of the Human Potential network project.

- (B) **Costs linked to Networking.** Costs in this category include the mobility costs associated with the activities of the network, in particular those of staff exchanges, organisation of network meetings, conference fees, costs of exchanging information and materials and of publishing joint results, use of external scientific facilities, scientific computing, use of high-bandwidth communication networks, consumables, subcontracts and costs for the protection and exploitation of scientific results (see also below for further comments on this latter aspect).

¹ Only applicable for travel within the Member States and Associated States.

² Young researchers from 3rd countries applying the 5 year residence rule should ensure that they are able to fulfil the immigration and visa requirements for the Member State or Associated State in which they are to be appointed.

Mobility costs for travel and subsistence should be charged to the contract in accordance with the normal internal procedures of the participant concerned. Mobility costs are normally restricted to travel between the Community Member States and Associated States. Travel outside (to or from) the territory of the Member and Associated States or a third country where a participant is established is possible, normally with the prior agreement of the Commission. Such travel is usually for the presentation of the networks' results at, for example, international conferences and workshops.

Community support will normally not be granted to procure durable equipment or to contribute to infrastructural costs. The only exception will be made in the case of funds used to equip a participant's research team situated in a less-favoured region of the Community in which a researcher who has been trained abroad for a minimum duration of one year at a post-doctoral level, is appointed to an established¹ position in that legal entity and will be active in the Human Potential network project. In order to target support towards research teams appointing researchers at the start of their scientific career, only those researchers having held an established post for five years or less are eligible for the research teams reimbursement of durable equipment. The equipment must have been purchased or leased after the commencement date of the network contract and depreciation will be calculated over three years for computer equipment costing less than EURO 25,000 and over five years for all other equipment.

- (C) **Overheads**. A fixed contribution to the indirect general costs of up to a maximum of 20% of the total of the allowable costs in categories A and B, excluding costs for subcontracts, may be charged to the contract.

At least 60% of the Community contribution to the network must be spent on those costs associated with the appointment of young researchers (i.e. category A).

A financial table annexed to the contract will give the estimated breakdown of the total allowable costs for each of the participants. All participants must have agreed this initial breakdown. The distribution may be changed as the project progresses. Decisions on redistributions are to be taken by the contractor in consultation with all the participants, and in agreement with those participants directly concerned by any redistribution. However, any redistribution that changes the initial breakdown of allowable costs to one of the participants by more than a threshold value, as detailed in the network contract, will require the approval of the Commission.

Reports

The network co-ordinator must provide periodic progress reports, including a mid-term assessment and final report, giving an overview of the implementation of the contract in order to assist the Commission in monitoring the networks' research, networking and training activities, as outlined in the contract.

The final report should summarise the main scientific, networking and training results carried out under the contract.

Research teams taking part in networks are expected to publish the scientific results of their work in the open literature. For that reason, the Commission will not require network contractors to submit detailed scientific reports.

The Mid-Term Review

The Commission will conduct a mid-term review exercise, in which the implementation of the network contract will be assessed, in particular the training and networking aspects. The structure of the network and the work programme will also be reviewed and, if necessary, contract modifications defined. Networks which are judged by the Commission to have performed unsatisfactorily in the mid-term review may have their contracts terminated.

Ownership and Dissemination of Results

The results arising from a network contract shall be the property of the network participants in accordance with a framework for the ownership and dissemination of results that will be set out in the contract. Network participants may wish to consider the generation of a prior agreement between themselves with regard to any possible patents which may arise. The European Commission's Intellectual Property Rights (IPR) Helpdesk is

¹ An established staff member is defined (i) as having been working at his or her institution continuously for the last 3 years, or (ii) as holding a work contract of at least 3 years with his or her institution.

available to help any participants or networks who require further advice on this matter. The contact details for the IPR-Helpdesk are:

IPR-Helpdesk
64-66 Avenue Victor Hugo
L-1750 Luxembourg
Telephone: +352 4711 111
Fax: +352 4711 1160
e-mail: info@ipr-helpdesk.org
Website: <http://www.cordis.lu/ipr-helpdesk>

This service is tailored specifically to the needs of contractors in Community supported Research, Technological development and Demonstration (RTD) projects and the multilingual team of experts are available to answer specific questions on a broad range of Europe-wide IPR issues.

9. INFORMATION AND ASSISTANCE

Research Training Networks on the Internet

The Human Potential Programme has a homepage on the Internet, at <http://www.cordis.lu/improving>. The following information can be found under the heading “Research Training Networks”

- Guide for Proposers - for the call for proposals published on 15 December 2000
- Proposal Forms¹ - including templates in WORD (.doc) and Adobe format (.pdf) suitable for downloading and completing on your PC
- Guide for Evaluators of Research Training Network Proposals

Legal Texts

For those applicants who wish to consult the legal bases for the programme activity, these documents (or hyperlinks) can also be found on the Research Training Networks’ homepage:

- European Parliament and Council Decision establishing the Fifth Framework Programme
- Council Decision establishing the Human Potential Programme
- Text of the Call for Proposals
- Work Programme text for the Human Potential Programme

Current 4th Framework Training and Mobility of Researchers (TMR) and 5th Framework Human Potential (IHP) networks

Further useful information can be found concerning Research Training Networks supported under the predecessor TMR programme, as well as IHP networks funded from the 1st call. This is also available at <http://www.cordis.lu/improving>. Information includes:

- List and Short Description of Existing TMR and IHP Networks - those selected as a result of the two selection rounds in the Fourth Framework Programme and the 1st call in the Fifth Framework Programme.
- Network Vacancies for young researchers in existing TMR and IHP networks.

Research Training Networks Contact Details

For information and publications concerning Research Training Networks, please contact:

EUROPEAN COMMISSION
RESEARCH DIRECTORATE GENERAL
Directorate F - Human potential and mobility
Research Training Networks
Rue de la Loi/Wetstraat 200,
B-1049 Bruxelles/Brussel

Network Telephone: +32-2-295 76 99
Network Fax: +32-2-296 21 36
Network E-mail: improving@cec.eu.int (“Networks” in mail subject)

Human Potential Programme Contact Details

For more general information on the Human Potential Programme and on its other activities, please contact:

Human Potential Help-Line Fax: +32-2-296 32 70
Human Potential Help-Line E-mail: improving@cec.eu.int

¹ These forms are in addition to the ProTool package for the electronic submission of proposals. After completion they can only be printed, signed and sent as paper mail to the Commission.

National Contact Points

In the Member States and the Associated States, the following National Contact Points are available to help you, if you have any questions concerning Research Training Networks, or more specifically concerning the preparation or presentation of network proposals.

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ANNEX 1 PROPOSAL FORM

Before filling in the forms, please read thoroughly the relevant parts of the Guide for Proposers. The forms may also be downloaded directly from the Internet available from the Research Training Networks section of the following internet site:

<http://www.cordis.lu/improving>

Parts	Pages
A and B. ADMINISTRATIVE FORMS¹	
Cover Page. Proposal identifier	55i
A1. General Proposal Information	55ii
A2. Partnership Summary	55iii
A3. Proposal Summary	55iv
A4. Previous Proposals and Contracts	55v
B. Individual Participant Profile/Information	55vi-vii
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Discipline Codes	63
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Please note: a complete network proposal consists of parts A, B and C. Incomplete proposals will be rejected. Part D is not mandatory but is strongly recommended for applicants submitting proposals on paper to the Commission.

¹ In the event that this Guide for Proposers is obtained in electronic format - the Administrative Forms, as well as their explanatory notes, are not part of the file containing the main text, and are available separately from the Research Training Networks section of: <http://www.cordis.lu/improving>

C. PROPOSAL DESCRIPTION

The Proposal Description should be submitted on single-sided A4 pages. Please print the proposal short title as a header to each page. All pages should be numbered in a single series to prevent errors during handling.

If your proposal is selected for financing, all factual information included in parts 1b, 3, 4, 7, 9, 10 and, if relevant, 11 and 12, shall be the basis for the subsequent contract to be signed with the Commission. Therefore for each section, please try to separate factual information, which should be drafted as formally as possible, from justification and arguments in favour of the proposal, which will not be retained in the contract.

1a. RESEARCH TOPIC (*maximum one A4 page*)

Describe the scientific, technological or socio-economic reasons for carrying out further research in the field covered by the project.

1b. PROJECT OBJECTIVES (*maximum two A4 pages*)

State the research objectives of the joint programme of work to be undertaken by the participants in the network, and explain if a major breakthrough could be anticipated.

2. SCIENTIFIC ORIGINALITY (*maximum two A4 pages*)

Outline the current international state-of-the-art in the field covered by the project and explain the contribution that the project is expected to make to advance the state-of-the-art.

3. RESEARCH METHOD (*maximum two A4 pages*)

Explain the methodological approach that will be employed in the project and justify this approach in relation to the project objectives. For any untried technique, explain why the novel approach is likely to succeed.

4. WORK PLAN (*maximum two A4 pages, plus tables and charts*)

Provide a work plan in which the overall project is broken down into tasks and indicate which research team will be involved in each task.

If a participant intends to subcontract a significant part of its work (see Chapter 8 of this Guide to Proposers), this must be mentioned here. The extent of any subcontracts should be justified.

Describe the schedule to be followed in terms of number of months elapsed from the start of the network project (not in terms of calendar dates). List major milestones, i.e. goals by which the progress of the joint work can be assessed, in particular at the time of the Mid-Term Review and the Final report.

Indicate, using the table shown below, the likely size of the professional research effort (person-months) that each participant will contribute to the joint programme of work, differentiating between the young researchers whose salaries would be financed by the subsequent network contract and researchers financed from other sources. Indicate also the total number of individual researchers in each participant team who are likely to contribute to the joint activities of the network (do not mention any person by name).

Professional research effort on the network project			
Participant	Young researchers to be financed by the contract (person-months) (a)	Researchers to be financed from other sources (person-months) (b)	Researchers likely to contribute to the project (number of individuals) (c)
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			
11.			
12.			
13.			
14.			
15.			
Totals			

Please note that for each participant:

- Column (a) should be identical to the person-months declared in sections A2 and B of the Proposal Forms.
- Column (c) should indicate the total number of all researchers, whether financed from the requested budget itself or from other sources.

5. COLLECTIVE EXPERTISE (*maximum one A4 page per participant*)

Summarise the role of each of the research teams in the network, explaining how their expertise and competence make them particularly suited for the tasks allocated to them. Describe clearly the complementarity of the teams.

Existing research linkages between the teams should be mentioned here. Also describe any existing connections between the participants and industry that are relevant to the project.

Each team should supply a list of the key scientific staff who will be involved in the research and note, for each person, the foreseen extent of their involvement (in percentage of full time employment).

List the two most significant recent publications for each of the research teams in the network.

Project-by-project participation on a self-financing basis

a) Non-Associated European Countries; Mediterranean Partner Countries; Countries with a co-operation agreement; International Organisations. For each of the research teams from these countries or international organisations (see Table 1 in Chapter 3) that intend to take part in the network on a project-by-project basis, it is vital that the proposed participation is shown to be **in conformity with the interests of the Community**, set out in Chapter 3. This justification should be set out on a separate page to facilitate proposal evaluation.

b) All other countries. For all other third countries who intend to participate, it is essential to justify, on a separate page, not only that the proposed participation is **in conformity with the interests of the Community**, but that the participation is of **substantial added value** (for definition, see Chapter 3).

Funding for non-EU/Associated States and International Organisations

In all cases where the network applies for funding for teams from non-EU/Associated States or International Organisations, it is necessary to show, on a separate page, that this funding is **essential for achieving the objectives of the project**. This funding will only be granted in exceptional circumstances, i.e. if the contribution of the participant cannot be provided by any other means and the project **cannot be carried out** without that partner.

6. COLLABORATION (*maximum one A4 page*)

Explain how, in practical terms, the research teams will collaborate and interact, bearing in mind that meaningful, working-level collaboration around joint tasks is an essential feature of Research Training Networks.

Explain the strategy for integrating less experienced teams into the network project.

7. ORGANISATION AND MANAGEMENT (*maximum one A4 page, plus charts*)

Describe, using charts if appropriate, the organisation and management structure of the network and the techniques to be used to co-ordinate its activities. In particular, the methods for ensuring good communication between the research teams and for monitoring and reporting progress should be identified.

The proposed network co-ordinator should also specify any relevant project management experience. If the proposal co-ordinator comes from an institute based in Switzerland, the network participants may wish to consider having a substitute co-ordinator from an institute based in a Member or current Associated State, in case there are any complications, during the contract negotiation phase, with the full participation of Switzerland in the Fifth Framework programme.

Outline the practical steps the network would take to ensure effective dissemination of the results of the joint project, both during the project duration and after completion of the contract.

Note that all participants should take responsibility for the organisation and management of the network.

8. TRAINING NEED (*maximum one A4 page*)

Explain why there is a special interest or need at the European level to promote the training of young researchers in the research areas covered by the project.

Demonstrate how the European human potential in the research field will benefit from the training delivered as a result of the project. Explain why and to which extent the young researchers will have better chances to find work after their training in the network.

9. JUSTIFICATION OF THE APPOINTMENT OF YOUNG RESEARCHERS (*maximum two A4 pages, plus table*)

Quantify, in person-months, the minimum overall total of young researchers whose employment will be financed by the subsequent contract. A clear statement of this minimum total should be given here. Please note that this overall total will be considered as a **deliverable** under the contract.

Provide, using the table below, an indicative breakdown of this overall total showing for each participant:

- the person-months of pre-doctoral researchers
- the person-months of post-doctoral researchers
- the scientific speciality in which training of young researchers will be provided

Young researchers to be financed by the contract				
Participant	Young pre-doctoral researchers to be financed by the contract (person-months) (a)	Young post-doctoral researchers to be financed by the contract (person-months) (b)	Total (a+b) (c)	Scientific specialities in which training will be provided (d)
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				
11.				
12.				
13.				
14.				
15.				
Totals			Overall Total	

Please note that:

- It is essential to carefully estimate the costs associated with the appointment of young researchers before filling in this table (see section 13 below), taking into account any legal constraints and the need to set such costs at a competitive level. Specifically, if appointment costs are set at an unrealistically low level the participant is likely to encounter recruitment difficulties.
- The totals for each participant in column (c) should equal the person-months declared in section A2 and B of the Proposal Forms.
- In column (d) you should use the sub-discipline codes listed at the end of this Annex.

Justify, for each participant, in terms of own staff available and previous training experience, the requested person-months of pre- and post-doctoral researchers.

Indicate how vacancies will be published and the extent to which it is intended to find young researchers through exchanges between the participants. Indicate also the typical length of their appointments. If any difficulties are anticipated in recruiting young researchers, please outline the measures foreseen to overcome these difficulties.

Explain any special measure foreseen to promote equal opportunities for male and female researchers in the appointment of young researchers.

10. TRAINING PROGRAMME (*maximum one A4 page*)

State the training objectives of the project. Explain how you intend to exploit the network potential and complementarity to add value to the training of the young researchers over and above that which could be provided within a national context.

Detail the distinct special measures that will be taken to train, respectively, the young pre-doctoral and post-doctoral researchers as well as the other staff working on the project, taking into account their differing training needs. The measures should emphasise the scientific and technical training but also show clearly whether the young researchers will have training in broader skills, such as communication and project management skills. A demonstration that gender aspects have been adequately integrated

into the proposed training programme for the young researchers (balance of men/women in teams, in the decision-making process, etc) should also be given. Particular attention should be paid, for example, to training through visits and secondments to other teams in the network, training on specialised instruments, participation in and presentations to workshops and conferences, and any envisaged contact with relevant users of the research, whether academic or industrial/commercial.

Describe the envisaged ratio between individual training (training through visits and secondments to other teams in the network, training on specialised instruments) and common training (topical modules, workshops and conferences). It is essential to include a description of foreseen training measures that will be undertaken on a network-wide basis.

11. MULTIDISCIPLINARITY IN THE TRAINING PROGRAMME (*maximum half an A4 page*)

If relevant to the project, explain the measures the network will take to exploit multidisciplinary in the training programme.

12. CONNECTIONS WITH INDUSTRY IN THE TRAINING PROGRAMME (*maximum half an A4 page*)

If your network activity includes meaningful connections to industrial or commercial enterprises and you intend to exploit these connections in the training programme, please explain how. Indicate, for example, access to technological excellence or unique equipment, short training placements in company premises, assistance in training by industry staff, and modules for common training on subjects of entrepreneurial relevance, such as innovation and intellectual property or industrial project management.

13. FINANCIAL INFORMATION (*maximum one A4 page, plus table*)

Summarise, using the table shown below, how the total EC contribution will be distributed between the participants, giving, for each participant, a breakdown between the three main expenditure categories (see Chapter 8 of this Guide for Proposers for definitions of allowable costs).

Please explain how the figures in the table are calculated and justify in particular, any deviations from the financial guidelines set out in Chapter 4 of this Guide for Proposers.

As stated in Chapter 4, the Reference Rates for Marie-Curie Fellows have been set in accordance with National Governments and may be used as an indicative guide for determining the personnel costs of young researchers employed in a network, if so desired. At least the local pay and conditions at a particular institute should be used, i.e. a young researcher should be paid at least as much as other colleagues with similar qualifications and experience at the same institute. Due consideration should be given to ensuring that salaries are competitive, since, if appointment costs are set at an unrealistically low level, a participant is likely to encounter recruitment difficulties.

If it is anticipated to use funds (from networking costs) to procure durable equipment for a participant situated in a less-favoured region of the Community (containing an ex-international post-doc Fellow as an active member of staff, see Chapter 8), justify the amount to be spent and the equipment to be purchased.

Financial information on the network project				
Participant	Personnel and mobility costs related to the appointment of young researchers (Euro) (A)	Costs linked to networking (Euro) (B)	Overheads (Euro) (C)	Totals (Euro)
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				
11.				
12.				
13.				
14.				
15.				
Totals				Grand Total

Please note that the totals for each participant and the Grand Total should equal the EC contribution requested in sections A2 and B of the Proposal Forms.

Applicants are reminded that at least 60% of the total Community contribution requested must be devoted to the costs associated with appointing young researchers (Category A). Proposals not respecting this rule will be rejected.

D. ACKNOWLEDGEMENT OF RECEIPT

If the Proposal co-ordinator posts the proposal to the Commission and wishes to receive acknowledgement of receipt, then parts (a) and (b) of this form needs to be completed and sent to the Commission along with the proposal .

(a) Write your name and address in the box below:

EUROPEAN COMMISSION

Research Directorate General
Directorate F - Human potential and mobility
Research Training Networks
Rue de la Loi/Wetstraat 200,
B-1049 Bruxelles/Brussel

Dear Sir or Madam,

We are pleased to acknowledge receipt of your proposal with the following short title (b):

This proposal has been given the following reference number (c):

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

After a check for eligibility, your proposal will be evaluated. It is expected that the final result of the evaluation will be communicated to you towards the end of 2001.

On behalf of the Commission, we would like to thank you for your proposal and your interest in IHP Research Training Networks.

Yours faithfully,

Proposal registered on (d) _____ by _____

(a) Name and postal address of the proposal co-ordinator - to be completed by the applicant

(b) Short title of the proposal - to be completed by the applicant

(c) Reference number of the proposal - to be completed by the Commission

(d) Date of registration of the proposal - to be completed by the Commission

Discipline Codes

Panel Code	Sub-discipline Code	MATHEMATICS AND INFORMATION SCIENCES
MAT	M-01	Statistics and Probability
	M-02	Algebra and Number Theory
	M-03	Geometry and Topology
	M-04	Analysis and Partial Differential Equations
	M-05	Applied Mathematics and Mathematical Physics
	M-06	Discrete Mathematics and Computational Mathematics
	M-07	Logic and Semantics
	M-08	Algorithms and Complexity
	M-09	Signals, Speech and Image Processing
	M-10	Computer Graphics, Human Computer Interaction, Multimedia
	M-11	Information Systems, Software Development and Databases
	M-12	Knowledge Engineering and Artificial Intelligence
	M-13	Systems, Control, Modeling and Neural Networks
	M-14	Parallel and Distributed Computing, Computer Architecture
M-99	Other Mathematics and Information Sciences	
Panel Code	Sub-discipline Code	PHYSICS
PHY	P-01	Elementary Particles and Fields
	P-02	Nuclear Physics
	P-03	Atomic and Molecular Physics
	P-04	Optics and Electromagnetism
	P-05	Fluids and Gases
	P-06	Plasmas and Electric Discharges
	P-07	Statistical Physics and Thermodynamics
	P-08	Astronomy, Astrophysics and Cosmology
	P-09	Condensed Matter- Mechanical and Thermal Properties
	P-10	Condensed Matter- Electronic Structures, Electrical and Magnetic Properties
	P-11	Condensed Matter- Optical and Dielectric Properties
	P-12	Surface Physics
	P-13	Physics of Superconductors
	P-14	Physical Chemistry, Soft Matter and Polymer Physics
	P-15	Biophysics and Medical Physics
	P-16	Non Linear Dynamics and Chaos Theory
P-99	Other Physics	
Panel Code	Sub-discipline Code	CHEMISTRY
CHE	C-01	New Synthesis, Combinatorial Chemistry
	C-02	Homogeneous and Heterogeneous Catalysis
	C-03	Reaction Mechanisms and Dynamics
	C-04	Biological, Pharmaceutical and Medicinal Chemistry
	C-05	Instrumental Techniques, Analysis and Sensors
	C-06	Theoretical and Computational Chemistry
	C-07	Surface Science and Colloids
	C-08	Molecular Aspects of New Materials, Macromolecules, Supramolecular Structures, Nanochemistry
	C-09	Environmental Chemistry
C-99	Other Chemistry	

Panel Code	Sub-discipline Code	LIFE SCIENCES
LIF	L-01	Macromolecular Structures and Molecular Biophysics
	L-02	Metabolism of Cellular Macromolecules
	L-03	Biological Membranes
	L-04	Enzymology
	L-05	Bioenergetics
	L-06	Metabolic Regulation and Signal Transduction
	L-07	Genomics and General Genetics
	L-08	Computational Biology and Bioinformatics
	L-09	Genetic Engineering
	L-10	Developmental Biology
	L-11	Physiology
	L-12	Cell Biology
	L-13	Microbiology and Parasitology
	L-14	Virology
	L-15	Immunology
	L-16	Cancer Research
	L-17	Pharmacology and Toxicology
	L-18	Neurosciences (incl. Psychiatry and Clinical Psychology)
	L-19	Biomedicine, Public Health and Epidemiology
	L-20	Medical Pathology
L-99	Other Life Sciences	
Panel Code	Sub-discipline Code	ENVIRONMENT AND GEOSCIENCES
ENV	E-01	Pollution, Waste Disposal and Ecotoxicology
	E-02	Ecology and Evolution (incl. Population Biology)
	E-03	Biodiversity and Conservation
	E-04	Agriculture, Agroindustry and Forestry
	E-05	Fisheries and Aquaculture
	E-06	Environmental Engineering and Geotechnics
	E-07	Natural Resources Exploration and Exploitation
	E-08	Soil and Water Processes
	E-09	Stratigraphy, Sedimentary Processes and Paleontology
	E-10	Geophysics, Tectonics, Seismology and Volcanology
	E-11	Geochemistry and Mineral Sciences
	E-12	Marine Sciences
	E-13	Climatology, Climate Change, Meteorology and Atmospheric Processes
	E-14	Physical Geography, Earth Observation and Remote Sensing
E-99	Other Environment and Geosciences	
Panel Code	Sub-discipline Code	ENGINEERING SCIENCES
ENG	I-01	Mechanical Engineering
	I-02	Transport Engineering
	I-03	Civil Engineering
	I-04	Electrical Engineering
	I-05	Electronics
	I-06	Telecommunications
	I-07	Automation, Computer Hardware, Robotics
	I-08	Chemical Engineering
	I-09	Bioengineering
	I-10	Materials Engineering
I-99	Other Engineering Sciences	

Panel Code	Sub-discipline Code	ECONOMICS, SOCIAL AND HUMAN SCIENCES
ESH	S-01	Law
	S-02	Political Sciences
	S-03	Sociology
	S-04	Psychology
	S-05	Education and Training
	S-06	Linguistics
	S-07	Media and Mass Communication
	S-08	Philosophy of Science
	S-09	Other Social and Human Sciences
	S-10	Microeconomics
	S-11	Macroeconomics
	S-12	International Economics
	S-13	Financial Sciences
	S-14	Industrial Economics (incl. Technology and Innovation)
	S-15	Public Sector Economics
	S-16	Urban and Regional Economics (incl. Transport Economics)
	S-17	Natural Resources and Environmental Economics
	S-19	Labour Economics
	S-20	Social Economics
	S-21	Management of Enterprises (incl. Marketing)
	S-22	Quantitative Methods
	S-99	Other Economic Sciences

Country Codes

Code	Country	Code	Country	Co	Country
B	Belgium	FJ	Fiji Islands	NI	Nicaragua
DK	Denmark	FM	Micronesia	NO	Norway
D	Germany	GA	Gabon	NP	Nepal
EL	Greece	GD	Grenada	NR	Nauru
E	Spain	GE	Georgia	NZ	New Zealand
F	France	GH	Ghana	OM	Oman
IRL	Ireland	GM	The Gambia	PA	Panama
I	Italy	GN	Guinea	PE	Peru
L	Luxembourg	GQ	Equatorial Guinea	PG	Papua New Guinea
NL	Netherlands	GT	Guatemala	PH	Philippines
A	Austria	GW	Guinea-Bissau	PK	Pakistan
P	Portugal	GY	Guyana	PL	Poland
FIN	Finland	HN	Honduras	PS	Occupied Palestinian Territory
S	Sweden	HR	Croatia	PW	Palau
UK	United Kingdom	HT	Haiti	PY	Paraguay
AD	Andorra	HU	Hungary	QA	Qatar
AE	United Arab Emirates	ID	Indonesia	RO	Romania
AF	Afghanistan	IL	Israel	RU	Russia
AG	Antigua and Barbuda	IN	India	RW	Rwanda
AL	Albania	IQ	Iraq	SA	Saudi Arabia
AM	Armenia	IR	Iran	SB	Solomon Islands
AO	Angola	IS	Iceland	SC	Seychelles
AR	Argentina	JM	Jamaica	SD	Sudan
AU	Australia	JO	Jordan	SG	Singapore
AZ	Azerbaijan	JP	Japan	SI	Slovenia
BA	Bosnia and Herzegovina	KE	Kenya	SK	Slovakia
BB	Barbados	KG	Kyrgyzstan	SL	Sierra Leone
BD	Bangladesh	KH	Cambodia	SM	San Marino
BF	Burkina Faso	KI	Kiribati	SN	Senegal
BG	Bulgaria	KM	The Comoros	SO	Somalia
BH	Bahrain	KN	Saint Kitts and Nevis	SR	Suriname
BI	Burundi	KP	North Korea	ST	São Tomé and Príncipe
BJ	Benin	KR	South Korea	SV	El Salvador
BN	Brunei	KW	Kuwait	SY	Syria
BO	Bolivia	KZ	Kazakhstan	SZ	Swaziland
BR	Brazil	LA	Laos	TD	Chad
BS	The Bahamas	LB	Lebanon	TG	Togo
BT	Bhutan	LC	Saint Lucia	TH	Thailand
BW	Botswana	LI	Liechtenstein	TJ	Tajikistan
BY	Belarus	LK	Sri Lanka	TM	Turkmenistan
BZ	Belize	LR	Liberia	TN	Tunisia
CA	Canada	LS	Lesotho	TO	Tonga
CD	Democratic Republic of the Congo	LT	Lithuania	TR	Turkey
CF	Central African Republic	LV	Latvia	TT	Trinidad and Tobago
CG	Congo	LY	Libya	TV	Tuvalu
CH	Switzerland	MA	Morocco	TW	Taiwan
CI	Côte d'Ivoire	MC	Monaco	TZ	Tanzania
CL	Chile	MD	Moldova	UA	Ukraine
CM	Cameroon	MG	Madagascar	UG	Uganda
CN	China	MH	Marshall Islands	US	United States
CO	Colombia	MK	Former Yugoslav Republic of Macedonia	UY	Uruguay
CR	Costa Rica	ML	Mali	UZ	Uzbekistan
CU	Cuba	MM	Myanmar	VA	Vatican City
CV	Cape Verde	MN	Mongolia	VC	Saint Vincent and the Grenadines
CY	Cyprus	MR	Mauritania	VE	Venezuela
CZ	Czech Republic	MT	Malta	VN	Vietnam
DJ	Djibouti	MU	Mauritius	VU	Vanuatu
DM	Dominica	MV	Maldives	WS	Samoa
DO	Dominican Republic	MW	Malawi	YE	Yemen
DZ	Algeria	MX	Mexico	YU	Yugoslavia
EC	Ecuador	MY	Malaysia	ZA	South Africa
EE	Estonia	MZ	Mozambique	ZM	Zambia
EG	Egypt	NA	Namibia	ZW	Zimbabwe
ER	Eritrea	NE	Niger		
ET	Ethiopia	NG	Nigeria		

NACE codes for business activities

Division	Description
<i>Section A</i>	<i>Agriculture, hunting and forestry</i>
01	Agriculture, hunting and related service activities
02	Forestry, logging and related service activities
<i>Section B</i>	<i>Fishing</i>
05	Fishing, operation of fish hatcheries and fish farms; service activities incidental to fishing
<i>Section C</i>	<i>Mining and quarrying</i>
10	Mining of coal and lignite; extraction of peat
11	Extraction of crude petroleum and natural gas; service activities incidental to oil and gas extraction, excluding surveying
12	Mining of uranium and thorium ores
13	Mining of metal ores
14	Other mining and quarrying
<i>Section D</i>	<i>Manufacturing</i>
15	Manufacture of food products and beverages
16	Manufacture of tobacco products
17	Manufacture of textiles
18	Manufacture of wearing apparel; dressing and dyeing of fur
19	Tanning and dressing of leather; manufacture of luggage, handbags, saddlery, harness and footwear
20	Manufacture of wood and of products of wood and cork, except furniture; manufacture of articles of straw and plaiting materials
21	Manufacture of pulp, paper and paper products
22	Publishing, printing and reproduction of recorded media
23	Manufacture of coke, refined petroleum products and nuclear fuel
24	Manufacture of chemicals and chemical products
25	Manufacture of rubber and plastic products
26	Manufacture of other non-metallic mineral products
27	Manufacture of basic metals
28	Manufacture of fabricated metal products, except machinery and equipment
29	Manufacture of machinery and equipment n.e.c.
30	Manufacture of office machinery and computers
31	Manufacture of electrical machinery and apparatus n.e.c.
32	Manufacture of radio, television and communication equipment and apparatus
33	Manufacture of medical, precision and optical instruments, watches and clocks
34	Manufacture of motor vehicles, trailers and semi-trailers

Division	Description
35	Manufacture of other transport equipment
35.1	Building and repairing of ships and boats
35.2	Manufacture of railway and tramway locomotives and rolling stock
35.3	Manufacture of aircraft and spacecraft
a	<i>Manufacture of helicopter</i>
b	<i>Manufacture of aeroplanes for the transport of goods or passengers, for use by the defence forces, for sports or other purposes</i>
c ¹	<i>Manufacture of parts and accessories of the aircraft of this class</i>
d ²	<i>Others</i>
36	Manufacture of furniture; manufacturing n.e.c.
37	Recycling
Section E	<i>Electricity, gas and water supply</i>
40	Electricity, gas, steam and hot water supply
41	Collection, purification and distribution of water
Section F	<i>Construction</i>
45	Construction
Section G	<i>Wholesale and retail trade; repair of motor vehicles, motorcycles and personal and household goods</i>
50	Sale, maintenance and repair of motor vehicles and motorcycles; retail sale of automotive fuel
51	Wholesale trade and commission trade, except of motor vehicles and motorcycles
52	Retail trade, except of motor vehicles and motorcycles; repair of personal and household goods
Section H	<i>Hotels and restaurants</i>
55	Hotels and restaurants
Section I	<i>Transport, storage and communication</i>
60	Land transport; transport via pipelines
61	Water transport
61.1	Sea and coastal water transport
e	<i>Transport of passenger or freight over water</i>
f	<i>Operation of excursion, cruise or sightseeing boats</i>
g	<i>Operation of ferries, water taxis, etc.</i>
62	Air transport
h	<i>Transport of passenger or freight by airlines</i>

¹ Includes: major assemblies such as fuselages, wings, doors, control surfaces, landing gear, fuel tanks, nacelles, airscrews, helicopter rotors and propelled rotor blades, motors and engines of a kind typically found on aircraft, parts of turbojets and turbopropellers

² This includes: manufacture of gliders, hang-gliders, manufacture of dirigibles and balloons, manufacture of spacecraft and spacecraft launch vehicles, satellites, planetary probes, orbital stations, shuttles, manufacture of aircraft launching gear, deck arresters, etc., manufacture of ground flying trainers. However 35.3 should **exclude**: manufacture of parachutes, military ballistic missiles, ignition parts and other electrical parts for internal combustion engines, instruments used on aircraft, and air navigation systems.

Division	Description
63	Supporting and auxiliary transport activities; activities of travel agencies
63.1	<i>Cargo handling and storage</i>
63.2	<i>Other supporting transport activities</i>
i	<i>Operation of terminal facilities such as harbours and piers, waterway locks etc.</i>
j	<i>Airport and air-traffic control activities</i>
63.3	Activities of travel agencies and tour operators; tourist assistance activities n.e.c.
63.4	Activities of other transport agencies
k	<i>Forwarding of freight</i>
64	Post and telecommunications
<i>Section J</i>	<i>Financial intermediation</i>
65	Financial intermediation, except insurance and pension funding
66	Insurance and pension funding, except compulsory social security
67	Activities auxiliary to financial intermediation
<i>Section K</i>	<i>Real estate, renting and business activities</i>
70	Real estate activities
71	Renting of machinery and equipment without operator and of personal and households goods
72	Computer and related activities
73	Research and development
l	<i>Research and experimental development on natural sciences and engineering</i>
m	<i>Research and experimental development on social sciences and humanities</i>
74	Other business activities
<i>Section L</i>	<i>Public administration and defence; compulsory social security</i>
75	Public administration and defence; compulsory social security
<i>Section M</i>	<i>Education</i>
80	Education
<i>Section N</i>	<i>Health and social work</i>
85	Health and social work
<i>Section O</i>	<i>Other community, social and personal service activities</i>
90	Sewage and refuse disposal, sanitation and similar activities
91	Activities of membership organisations n.e.c.
92	Recreational, cultural and sporting activities
93	Other service activities
<i>Section P</i>	<i>Private households with employed persons</i>
95	Private households with employed persons
<i>Section Q</i>	<i>Extra-territorial organisations and bodies</i>
99	Extra-territorial organisations and bodies

Less-Favoured Regions

For the purposes of Research Training Networks, the less-favoured regions⁽¹⁾ include the less-favoured regions of the Community (**the Objective 1 regions**).

These regions are currently the following:

OBJECTIVE 1 REGIONS⁽²⁾

Austria	Burgenland
Finland	Itä-Suomi, Väli-Suomi, Pohjois-Suomi
France	Guadeloupe, Martinique, Guyane, Réunion
Germany	Brandenburg, Mecklenburg-Vorpommern, Chemnitz, Dresden, Leipzig, Dessau, Halle, Magdeburg, Thüringen
Greece	Anatoliki Makedonia, Thraki, Kentriki Makedonia, Dytiki Makedonia, Thessalia, Ipiros, Ionia Nisia, Dytiki Ellada, Sterea Ellada, Peloponnisos, Attiki, Vorio Aigaio, Notio Aigaio, Kriti
Ireland	Border, Midlands and Western
Italy	Basilicata, Calabria, Campania, Puglia, Sardegna, Sicilia
Portugal	Norte, Centro, Alentejo, Algarve, Açores, Madeira
Spain	Andalucía, Asturias, Castilla-Léon, Castilla-La Mancha, Ceuta y Melilla, Comunidad Valenciana, Extremadura, Galicia, Islas Canarias, Murcia
Sweden	Norra Mellansverige, Mellersta Norrland, Övre Norrland
The United Kingdom	South Yorkshire, West Wales and The Valleys, Cornwall, Isles of Scilly, Merseyside

Notes:

(1) The above lists were correct at the time of preparing this Guide for Proposers. They are however subject to change and should be considered as indicative only.

(2) Objective 1 regions in Council Regulation (EC) No. 1260/1999, OJ n°L 194/42, p. 53, 27.07.99, Annex 1.

ANNEX 2 CHECKLIST FOR PROPOSALS

A checklist for proposals is included below and provides you with an opportunity to test your own proposal against the eligibility and evaluation criteria presented earlier in this Guide for Proposers.

The main purpose of this auto-evaluation is to help you improve your proposal by indicating where the scientific/technical content, for example, or the network partnership may need strengthening.

This section has been drawn up for a network project where a minimum of five mutually independent legal entities from at least three countries are participants. It should not, therefore, be used to judge proposals in emerging areas of science and technology, where smaller networks are allowable.

Eligibility Criteria

	YES	NO
1. LOCATION		
Are legal entities from at least 3 Community Member States/Associated States involved?	<input type="checkbox"/>	<input type="checkbox"/>
Is at least one legal entity from a Community Member State involved?	<input type="checkbox"/>	<input type="checkbox"/>
Is the co-ordinator from a Community Member State/Associated State?	<input type="checkbox"/>	<input type="checkbox"/>
2. SIZE		
Are there at least 5 mutually independent legal entities from the Community Member States/Associated States in the network?	<input type="checkbox"/>	<input type="checkbox"/>
3. DURATION		
Is the requested duration up to 48 months?	<input type="checkbox"/>	<input type="checkbox"/>
4. FINANCING		
Is the financing requested from the Programme for each participant less than EURO 200 000, when averaged over all participants?	<input type="checkbox"/>	<input type="checkbox"/>
5. BALANCE		
Is less than 40% of the total financing requested attributed to the teams of one country?	<input type="checkbox"/>	<input type="checkbox"/>
6. COSTS ASSOCIATED WITH EMPLOYING YOUNG RESEARCHERS		
Is at least 60% of the total requested EC financing attributed to the costs of employing young researchers?	<input type="checkbox"/>	<input type="checkbox"/>
7. COMPLETENESS		
Are all compulsory parts of the proposal form (Parts A, B and C) completed?	<input type="checkbox"/>	<input type="checkbox"/>
Have all the necessary signatures or equivalent authorisations been obtained?	<input type="checkbox"/>	<input type="checkbox"/>

If the answer to questions 1-5 is "No", your proposal will fall outside the norm as defined by the guidelines. This does not necessarily imply that your proposal is ineligible. It does, however, mean that you must take

particular care to explain and justify why your proposal could not be made to fit inside the guidelines. If the answer to any of the parts of questions 6 and 7 is “No” please re-check and adjust your proposal as necessary.

Please note that, as a general rule, where proposals that are selected for funding have both conformed to the guidelines and adequately justified the level of financing requested, they will be granted the level of financial support requested in the proposal. Proposals that do not contain an adequate justification for the level of financing requested, risk being rejected for that reason alone.

Evaluation Criteria

	YES	NO
Scientific merit of the collaborative research project		
<i>(a) Research topic and project objectives</i>		
Are you able to demonstrate a strong scientific, technological or socio-economic reason for carrying out research in the field covered by the project?	<input type="checkbox"/>	<input type="checkbox"/>
Is the proposed research timely?	<input type="checkbox"/>	<input type="checkbox"/>
Is it clear from the proposal that the network is based on a joint research project that has well-defined realistic objectives?	<input type="checkbox"/>	<input type="checkbox"/>
Are the objectives challenging?	<input type="checkbox"/>	<input type="checkbox"/>
Can a major breakthrough be expected?	<input type="checkbox"/>	<input type="checkbox"/>
<i>(b) Scientific Originality</i>		
Has your proposal demonstrated a sound knowledge of the current international state-of-the-art?	<input type="checkbox"/>	<input type="checkbox"/>
Have you explained convincingly that the proposed research represents a significant step forward?	<input type="checkbox"/>	<input type="checkbox"/>
<i>(c) Research Method</i>		
Have you explained in the proposal the reasons why the methodological approach is consistent with the project objectives?	<input type="checkbox"/>	<input type="checkbox"/>
Will the project integrate complementary techniques in an effective manner?	<input type="checkbox"/>	<input type="checkbox"/>
<i>(d) Work Plan</i>		
Will the schedule and milestones be seen as realistic and compatible with the resources that the participants will put into the collaboration?	<input type="checkbox"/>	<input type="checkbox"/>
Is there a well-considered distribution of tasks and responsibilities among the participants?	<input type="checkbox"/>	<input type="checkbox"/>
Quality of the network partnership, organisation and management		
<i>(a) Collective Experience</i>		
Does the proposal demonstrate that the participants collectively have the necessary expertise and competence to carry out the project?	<input type="checkbox"/>	<input type="checkbox"/>
Do the contributions of the partners address different aspects of the joint project?	<input type="checkbox"/>	<input type="checkbox"/>
Are at least three of the teams of high quality, with a strong, scientific record and from different countries of the Community Member States/Associated States?	<input type="checkbox"/>	<input type="checkbox"/>

	YES	NO
(b) <i>Quality of the collaboration</i>		
Is it clear from the proposal that there will be a working-level collaboration between the teams that will be meaningful, interactive and mutually beneficial for the researchers taking part?	<input type="checkbox"/>	<input type="checkbox"/>
Have you given a convincing explanation of how any less experienced teams will be properly integrated into the project?	<input type="checkbox"/>	<input type="checkbox"/>
(c) <i>Organisation and management</i>		
Is it clear from the proposal that the organisation and management of the network will be well adapted to the scope and complexity of the joint project?	<input type="checkbox"/>	<input type="checkbox"/>
Does the proposal show that the network co-ordinator has the necessary scientific and organisational competence?	<input type="checkbox"/>	<input type="checkbox"/>
Have you described the practical steps the network will take to ensure effective dissemination of the project results both during the project and after the end of the contract?	<input type="checkbox"/>	<input type="checkbox"/>
Do all the participants take responsibility for the organisation and management of the joint project?	<input type="checkbox"/>	<input type="checkbox"/>
Quality and content of the network's training programme		
(a) <i>Training need</i>		
Are you able to demonstrate that there is a special interest or need, at the European level, to promote the training of young researchers in the research areas covered by the joint project?	<input type="checkbox"/>	<input type="checkbox"/>
Is it clear that the European human potential in the research field will benefit from the training delivered in the project, and that the career prospects of the young researchers will be enhanced?	<input type="checkbox"/>	<input type="checkbox"/>
(b) <i>Training programme</i>		
Does the training programme proposed for these young researchers take advantage of the international nature of the network?	<input type="checkbox"/>	<input type="checkbox"/>
Is the training programme sufficiently detailed in terms of special measures the network intends to take to ensure that training is delivered?	<input type="checkbox"/>	<input type="checkbox"/>
Is there a good integration of the gender dimension for the young researchers?	<input type="checkbox"/>	<input type="checkbox"/>
(c) <i>Justification of the appointment of the young researchers</i>		
Have you demonstrated that each node has suitable resources available to devote to the training needs of the young researchers?	<input type="checkbox"/>	<input type="checkbox"/>
Have you carefully justified your choice of pre- or post-doctoral researchers?	<input type="checkbox"/>	<input type="checkbox"/>
Have you shown clearly how you will publicise vacancies in the network, and is it clear that the projected salaries are competitive and will attract good quality candidates?	<input type="checkbox"/>	<input type="checkbox"/>
If you have foreseen special measures to promote equal opportunities in terms of the recruitment of male and female researchers, have you adequately detailed your plans?	<input type="checkbox"/>	<input type="checkbox"/>

If the answer to any of the above questions is “No”, your proposal will be at a disadvantage.

Secondary Criteria

While the following criteria are not crucial to your Proposal, if relevant, they will enable you to gain extra marks at the margins over proposals of otherwise equal merit.

	YES	NO
(a) <i>Training in a context promoting interactions between different disciplines and/or in complementary research teams</i>		
Have you demonstrated that the multidisciplinary /complementary nature of your network will be exploited in the network’s training programme to the benefit of young researchers?	<input type="checkbox"/>	<input type="checkbox"/>
(b) <i>Training in an industrially relevant context</i>		
Have you demonstrated that any connections to industry stated in the network proposal are exploited in the network’s training programme to the benefit of young researchers?	<input type="checkbox"/>	<input type="checkbox"/>