



THE FIFTH FRAMEWORK PROGRAMME

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

GUIDE FOR PROPOSERS

INFORMATION SOCIETY TECHNOLOGIES

IST PROGRAMME

(USER-FRIENDLY INFORMATION SOCIETY)

3rd IST CALL

PART 2B

“Fixed deadline proposals - for Take-up Actions”

**Proposals for
Take Up Actions
Call part identifier IST-00-3-1B**



Foreword – PART 2B

This PART 2B of the IST Guide for Proposers for the 3rd IST call of 10th February 2000 contains information specific to the part of the call with a fixed deadline of 10th May 2000 for Take-up Actions (*Call part identifier: IST-00-3-1B*).

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

- Check the Workprogramme. The 2000 Workprogramme for the IST Programme explains which action types are applicable to the Action Line that you intend to address.
- Check the Call for Proposals as published in the Official Journal of the European Communities. This indicates which Action Lines and action types are currently open for proposals and related deadlines for submission.

The guides available are:

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

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

In preparing your proposal, you should also consult the Evaluation Manual, The IST specific Annex and the Guidelines for Evaluators. These documents will provide details on the criteria that will be used in the evaluation of proposals, the weight attributed to each of the criteria and where appropriate the threshold to be attained in order to be retained. You can use the evaluation manual and the guidelines as a checklist for the completeness of your proposal.

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

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

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PART 2B

IV. Specific information for the 3rd call in the IST programme Published 10th February, 2000: Fixed deadline proposals - for Take-Up Actions (10 May, 2000)

IV.1 Introduction

This section describes the submission procedure for proposals for Take-Up actions (Assessment, Best Practice, Trials) in the 3rd IST call published on 10th February, 2000 with a “fixed deadline” of 10 May, 2000. The Action Lines opened for Take-Up actions are specified in the Call for Proposals published in the Official Journal of the European Communities, and their objectives and scope are defined in the IST 2000 Workprogramme.

IV.1.1 Take-Up Actions

The Action Lines opened for **Take-Up Actions** can be addressed by proposals for **Assessment, Best Practice or Trials as further described in the work programme.**

Take-Up Actions are established to encourage take up of technologies or methodologies in a co-operation between users and suppliers. They are more focused and have a shorter duration than RTD projects. The typical consortium has one contractor and other participants (if any) are members. There is normally **no requirement for a multinational consortium**. An individual Take-Up action can therefore consist of one contractor, or a contractor and one or more members from the same country. All individual Take-Up actions must include dissemination activities and must be prepared in due course to co-operate with other actions in a co-ordination framework.

Individual Take up actions may be co-ordinated through **clusters** as referred to under VIII.1.1 of the IST Workprogramme 2000 (open in this call) or **Take up Support Nodes** (which may be called either through Calls for Tender or calls for Proposals). Successful proposers from individual Take-Up actions may be requested to join such specific contracts.

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

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

IV.1.2 Assessment Measures

Assessment Measures should examine the suitability of technology for take-up within an industrial (production) context. Assessments may be conducted by potential industrial users at either of two stages of development:

i) *Assessment of the technology under close-to-production conditions*

Focus is primarily on the following themes: equipment and materials for production, novel processes, architectures, and specialised equipment necessary for low-cost production. Equipment and materials supporting these themes can be included. Their contribution to the main Assessment theme needs to be highlighted by the proposer.

ii) *Proof of Concept Equipment Tests*

Equipment Tests are reduced assessments at an early development stage (alpha type) which may take place at equipment suppliers' premises. Equipment Tests are also designed to extend the process capabilities of existing state of the art equipment to new applications.

Assessment Measures will in due course be co-ordinated to gain optimal benefit from the tests themselves, and through the dissemination of results. Each action should involve close and effective user-supplier co-operation. One or more industrial users must be involved in each Assessment action, depending on the maturity of the equipment or material to be assessed or tested.

The Community contribution to *Assessment Measures* are: Up to 100 % of eligible costs for cost categories Personnel, Subcontracting, Travel and Subsistence, Consumables, Co-ordination Costs and Other specific Costs (for prototypes in close to production conditions). No contribution will be made to cost categories Durable equipment, Computing, IPR costs and Overheads.

Keyword¹: ASSESS

IV.1.3 Best Practice Actions

Best Practice Actions allow users to identify and promote improvements in the practices, processes and operations in industry and services through the take-up of well-founded, mature and established - but insufficiently deployed - methods and technologies, so as to achieve greater efficiency, higher quality and greater economy in the user organisation.

The aim of each individual measure is to demonstrate the benefits of best practice adoption through a controlled, limited and well-focused experiment (or timely improvement action). The approach is to make best use of currently available methods and technologies, in the way most appropriate to the business or administrative needs of the user organisations. Experimentation must be done in the context of a well-defined baseline project, i.e. a real business case or administrative initiative (business project, process, product, operation, etc.). This must explicitly acknowledge that the successful take-up of new methodologies, technologies and/or tools often necessitates considerable changes in the organisational process as well as the skills of the professionals involved. The benefits of implementing a Best Practice Action must be measurable e.g. in terms of enhanced efficiency, reduced cost, improved quality, and increased competitiveness. Metrics must be specified at the outset and, to the extent possible, should include technological, business, organisational and operational performance parameters.

The transfer of experience and its subsequent internal and external reuse is an essential aspect of Best Practice Actions. They are therefore required to address the transferability of results, i.e. the potential for replication of resulting experience and outcomes by other organisations. The dissemination of results (in terms of experience gained and lessons learned) and technological and economic benefits is mandatory (a contractual obligation) for each individual Best Practice Action.

The Community contribution to *Best Practice Actions* is: up to 100 % of eligible costs for cost categories Personnel, Co-ordination and other Specific Costs. Up to 50% of eligible costs for cost categories Subcontracting, Travel and Subsistence, Consumables, Computing Costs (only invoiced costs paid to third parties) and Durable Equipment (hardware costs are excluded in the area of technologies and engineering for software, systems and services). No contribution will be made to the cost categories of IPR costs and Overheads.

EC contributes only to **the actual costs directly incurred in carrying out the best practice experiment itself**. It excludes any normal operational costs (i.e. costs of the target application related to the underlying baseline project) which remains the financial responsibility of the user organisation.

Keyword: BESTP

¹ Keywords for the proposal submission form A1 Keyword box.

IV.1.4 Trials

Trials (for users and suppliers) aim at the adaptation and introduction of leading edge technology (promising but not yet fully established) in industrial/service applications and its joint evaluation (by supplier and user). In order to exploit synergies, to accelerate wider adoption and to overcome barriers for exploitation. Individual Trials are obliged to disseminate results and exchange experiences across borders and industrial/service sectors and in due course to participate to co-ordination frameworks.

In Trials user-supplier co-operation is essential: the use of leading edge technology in a trial presents the user organisation(s) with new possibilities for obtaining early competitive advantage, the suppliers with the possibility to timely pass the barriers to successful exploitation. Such technologies are typically either promising but yet unproven and new (maturity may range from prototype/proof of concept or close to commercial availability stage) or a novel combination/integration of existing technologies. The new technology must be used in a real case within the user organisation, either e.g. to develop new target applications in the users' domain area, or to substitute/complement obsolete technology.

Trials do normally not involve research and technology development work as such, but support the objectives of the programme by enhancing the effects of RTD work. Therefore **the development work within a Trial is restricted to the adaptation, fine-tuning, customisation and improvement of already available methods and technologies** towards the users' needs, and a subsequent evaluation of the technological and economic benefits of the innovative use of the respective technology within the products, processes and operations in industry and services. The execution of a plan to disseminate the know how resulting from the trial as well as the technological and economic benefits, and to effect a broad technology transfer is mandatory for each individual trial. The commitment of the user regarding further use of the experience gained, as well as the ability and commitment of the provider to re-deploy and exploit the technology, should be clearly defined and plans properly described in the proposal. Broadly speaking, each Trial should in effect lead to technology transfer.

An individual trial must involve at least one technology user and one technology supplier. Where appropriate and adding value to an individual action more users and/or suppliers may be involved. The geographical distribution of participating organisations should be chosen for efficient realisation of the project objectives. They need not necessarily contain organisations from more than one EU Member or Associated State. However, the actions *are* expected to demonstrate the European dimension through dissemination of the experience to other organisations across Europe.

The Community contribution to *Trials* is: up to 100 % of eligible costs for cost categories Personnel, Co-ordination and other Specific Costs. Up to 50% of eligible costs for cost categories Subcontracting, Travel and Subsistence, Consumables, Computing Costs (only invoiced costs paid to third parties) and Durable equipment. No contribution will be made to cost categories IPR costs and Overheads.

Keyword: TRIALS

IV.1.5 Summary of eligible costs

Take up measure	Cost categories									
	Personnel	Durable equipment	Consumables	Travel and Subsistence	Computing	Subcontracting	IPR protection	Other costs	Overheads	Co-ordination
Assessment	100%	0%	100%	100%	0%	100%	0%	100%	0%	100%
Best Practice	100%	50%	50%	50%	*50%	50%	0%	100%	0%	100%
Trials	100%	50%	50%	50%	*50%	50%	0%	100%	0%	100%

Notes:

➤ * Computing costs: only invoiced costs paid to third parties

- Eligible cost categories are the same for all participants, including industry and universities
- All overheads are excluded from eligible costs
- 100% for Co-ordination costs means that 100% of the cost categories that are reimbursed at 100% and 50% of the cost categories that are reimbursed 50% will be reimbursed by the EC.

Warning: In completing Form A4, proposers should only give details of the cost categories that are stated here as being eligible for the type of Take-up Action. The full costs should be stated and the EC contribution calculated based on the percentages set out above. Data provided for non-allowable costs will be disregarded, leading to an associated risk of confusing the proposal.

IV. 2 Proposal preparation

IV.2.1 Proposal language

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

IV.2.2 Proposal structures and submission forms

A proposal for a **Take-Up Action (Assessment, Best Practice or Trials)** has three parts:

- **Part A** collects administrative information about the proposal and the proposers (e.g. proposal name, proposers' names and addresses, brief description of the work, total funding requested by type of expense etc.). This information will assist in the preparation of a contract if the proposal is successful. It is subject to verification by the Commission services.
- **Part B** (which unlike Part A is in the form of a structure or list of topics which should be followed, rather than a pre-prepared form) describes in detail the nature of the proposed work. For Take-Up actions this section is not anonymous, that is it may contain information which reveals the identity of participants. The instructions for Part B are in Appendix 1.
- **Part C** (which is also in the form of a structure to be followed) identifies and describes the partners and their role in the consortium and in the proposed project. It also describes the European added value of the proposed project, its contribution to social policies, the dissemination and if relevant the exploitation plans. The instructions for Part C are in Appendix 1.

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

The form for acknowledgement of receipt (Appendix 3) must be attached to the proposal in order to ease confirmation of receipt of the proposal.

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

IV.2.3 Proposal preparation Tool (Pro-Tool)

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

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

ProTool is available on CORDIS <http://www.cordis.lu/fp5/protocol/>.

IV.2.4 Notification of intention to propose - Pre-registration

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

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

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

IV.3 Submission of proposals

IV.3.1 Introduction

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

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

The co-ordinator must have in his possession:

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

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

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

A submission checklist is provided in section IV.6.

IV.3.2 Electronic submission

IV.3.2.1 Certification

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

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

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

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

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

A request for certification is made by using the ProTool.

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

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

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

Electronic submission with Class II certificates, on the contrary, are encrypted.

Due to export restrictions of the encryption enabler library, Class II certificates can only be requested from the following countries:

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

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

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

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

IV.3.2.3 Procedure

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

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

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

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

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

IV.3.2.4 Electronic submission fall-back procedure

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

IV.3.3 Submission on paper

IV.3.3.2 Procedure

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

IV.3.3.3 Number of copies

Paper proposals should be prepared:

- with five bound copies of Part A
- with five bound copies of Part B
- with five bound copies of Part C,

- with one complete unbound paper original with original signature of the co-ordinator on A1.

IV.3.3.4 Packaging and delivery

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

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

The package should also contain a completed “*Acknowledgement of receipt*” form (see Appendix 3) so that the Commission can return notification of safe arrival of the proposal.

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

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

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

IV.3.4. Acknowledgement of receipt

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

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

IV.3.5 Submission addresses

Proposals must be submitted by one of the following methods:

- Electronically using the Proposal Preparation Tool (ProTool). ProTool contains the necessary information for electronic submission to the Commission.
- Post, preferably registered, as confirmed by the postmark, or courier¹ or hand-delivery, as confirmed by acknowledgement of receipt, to:

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

IV.3.6 Deadlines

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

10 May, 2000

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

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

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

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

IV.3.7 Results

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

IV.4 Support for Proposers

IV.4.1 Programme Information desk

The address of the IST Programme Infodesk is:

*European Commission
The IST Information Desk
Directorate General Information Society, Unit F7
Rue de la Loi/Wetstraat 200, BU 29 04/19
B-1049 Brussels, Belgium*

*Email: ist@cec.eu.int
Fax: +32-2-296.8388
Web: www.cordis.lu/ist*

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

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

IV.4.2 Partner search facilities

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

IV.4.3 National contact points

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

IV.4.4 IDEALIST: Support for potential proposers

The IDEALIST service helps potential proposers and newcomers to the IST Programme to find the right partners across international boundaries. IDEALIST offers:

- a partner brokerage service, targeted on particular calls and Action Lines, that pools the local knowledge of partners from 19 countries
- international partner brokerage events
- general support for potential proposers
- special workshops and seminars.

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

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

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

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

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

IV.4.6 Programme Information Days

The IST Programme, EU Member States and Associated States frequently organise Information Days, where those interested in proposing may attend for a presentation of the programme and of the general Framework Programme, to obtain documentation and proposal preparation software (ProTool), to ask questions etc. and to meet potential consortium partners.

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

IV.4.7 Other help facilities

IV.4.7.1 The Intellectual Property Rights Helpdesk

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

IPR-Helpdesk
64-66 avenue Victor Hugo

L-1750 Luxembourg
Tel. +352-47-11-11-1
Fax +352-47-11-11-60
e-mail: info@ipr-helpdesk.org
URL: <http://www.cordis.lu/ipr-helpdesk>

IV.4.7.2 The Improving Human Potential Programme Helpdesk

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

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

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

IV.4.7.3 The SME Programme Helpdesk

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

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

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

IV.5 References

Potential proposers could consult the following documents:

Decision on the Fifth Framework Programme		http://www.cordis.lu/fp5/src/decisions.htm
Decision on the IST Programme		http://www.cordis.lu/fp5/src/decisions.htm
FP5 Rules of Participation and dissemination		http://www.cordis.lu/fp5/src/decisions.htm
FP5 Implementation modalities		http://www.cordis.lu/fp5/src/decisions.htm
IST Call text, 10.02.2000		http://www.cordis.lu/ist/calls/200001.htm
IST Workprogramme 2000		http://www.cordis.lu/ist/wp
Evaluation Manual		http://www.cordis.lu/fp5/src/evalman
IST Guidelines for Evaluators		http://www.cordis.lu/ist/calls
Proposal Submission Forms (Part A)		http://www.cordis.lu/fp5/src/forms_a.htm
Proposal Submission Forms (Part B and C)	Attached	http://www.cordis.lu/fp5/src/forms_a.htm
Model Contracts for AM -Technology Take-up		http://www.cordis.lu/fp5/mod-cont.htm
National contact points	Appendix 4	http://www.cordis.lu/fp5/src/ncps.htm
Information Days calendar		http://www.cordis.lu/ist/events.htm
Organisations expressing interest in Call		http://www.cordis.lu/ist/eoi.htm
Innovation Relay Centres		http://www.cordis.lu/innovation-smes/src/suppnet.htm
Information and forms on Marie-Curie fellowships		http://cordis.lu/improving
SME-specific measures		http://www.cordis.lu/sme
INCO-web site (Bursaries, international co-operation)		http://www.cordis.lu/inco
Other programme web sites accessible via		http://www.cordis.lu/fp5
IPR helpdesk		http://www.cordis.lu/ipr-helpdesk
List of countries for certificate II		http://www.cordis.lu/fp5/protocol/submission
Proposal Preparation Tool (ProTool)		http://www.cordis.lu/fp5/protocol/
IDEALIST		http://www.ideal-ist.net/
IDEALIST EAST		http://www.idealist-east.net/
Latest information (IST)		http://www.cordis.lu/ist

IV.6 Checklist for submission

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

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

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

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

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

Appendix 1 - Proposal Submission Forms for Take-Up Actions

Take-Up Actions cover:

- Assessment
- Best Practice
- Trials

Proposals for Take-Up actions have three parts:

- **Part A**, which contains legal and administrative information concerning the proposers, and a summary of the funding requested. Take-Up actions are a special kind of Accompanying Measure. They use the same Part A as Accompanying Measures. In the keywords section of Part A in form A1, proposers should insert either "ASSESS" (for Assessment) or "BESTP" (for Best Practice) or "TRIAL" (for Trials), to indicate the type of Take up Accompanying Measure involved.
- **Part B**, which presents the overall objectives of the project. It describes the underlying problem addressed by this project and the progress to be expected with regard to the state of the art (or to the current state of technology and/or practices in certain take-up measures), as well as the different tasks to be carried out.
- **Part C**, which describes the European added value, the contribution to social policies, the consortium, the management of the projects, the exploitation and dissemination plan and ethical and safety issues.

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

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

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

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

Part B – Take Up Actions: Description of scientific/technological objectives and workplan

NB! THERE IS NO ANONYMITY REQUIREMENT FOR ACCOMPANYING MEASURES / TAKE UP ACTIONS

B1. Title page

Proposal full title
 Proposal acronym
 (Date of preparation)
 Proposal number (if applicable)

B2. Content list (Part B only)

B3. Objectives.

This section, which should not exceed two pages, describes the **scientific/technological objectives** of the proposal. They should be achievable within the project, not through subsequent development, and should be stated in a measurable and verifiable form. The progress of the Take-Up Action will be measured against these objectives in later reviews and assessments.

For Trials the specific technical and business targets to be achieved should be included in this section.

For Best Practice actions this section should clearly specify in addition to the technical objectives - also the quantified business objectives and how they are measured.

B4. Contribution to programme/Key Action objectives

This section, which should not exceed more than one page, describes how the proposed Take-Up Action will contribute to the objectives of the programme and Key Action. This can be done by describing how the proposal meets the objectives and focus of the Action Line, which it addresses.

B5. Innovation

This section, not exceeding two pages, describes the innovative aspects of the proposed project.

For Assessments proposals, this should include a description of the initial status of the equipment or material on which a factory acceptance test would be carried out. The degree of innovation of the equipment or material to be assessed should be described. The users should also indicate target specifications for a site acceptance test as well as final target specifications. Specifications would normally comprise process, handling/cleanliness, reliability and cost parameters.

For Best Practice Actions, progress beyond the state of current practices within a user organisation should be described. The individual action steps must be described in the context of the real business case. A separate description of this underlying baseline project/target application - in terms of technical and business parameters - must be included. Choice and justification for each of the new practices including the supporting technologies (with comparison of not chosen options) should be given (e.g. new methodologies, technologies, hardware and/or software tools, subcontracted experts, etc. - whatever is applicable for the experiment).

For Trials, the degree of innovative use and progress beyond the state-of-the-art should be described. The status of the technology, which is trialed, should be specified, together with its degree of innovation. A description of current practice should be provided along with the new solution to be introduced. There must also be a separate description of the user business case(s) and the supplier business case, which is driving the Trial - in terms of technical and business parameters. The text should clearly specify where the innovation lies, keeping in mind that innovation can be in the form of novel technologies or novel applications of technology (e.g. new solutions, new operational practices etc.).

B6. Project workplan:

This section concisely describes the work planned to achieve the objectives of the proposed Take-Up Action. The recommended length, excluding the forms specified below, is up to 10 pages. An introduction should explain the structure of the workplan and how the workplan will lead the participants to achieve the objectives of the proposal. The workplan must be broken down into workpackages (WPs) which should follow the logical phases of the project's life cycle, and include management of the project and assessment of progress and results.

For all three types of Take-Up actions: There must be a separate workpackage each for 'measurement and evaluation of results', which should give an indication how the results of the action will be measured; this may be achieved by introducing metrics (for technical, organisational and business parameters) together with activities for collection and evaluation of resulting data.

Essential elements of the workplan are:

- a) Introduction – explaining the structure of the workplan and the overall methodology used to achieve the objectives;
- b) Project plan, showing the timing of the different WPs and their components (Gantt chart)
- c) Graphical presentation of the project's components, showing their interdependencies (Pert diagram)
- d) Detailed project description broken down into workpackages:
 - Workpackage list (use Workpackage list form below);
 - Deliverables list (use Deliverables form below);
 - One page description of each workpackage (use Workpackage description form below).

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

Workpackage list

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

¹ Workpackage number: WP 1 – WP n.

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

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

⁴ Relative start date for the work in the specific workpackages, month 0 marking the start of the project, and all other start dates being relative to this start date.

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

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

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

Deliverables list

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

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

² Month in which the deliverables will be available. Month 0 marking the start of the project, and all delivery dates being relative to this start date.

³ Please indicate the nature of the deliverable using one of the following codes:

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

⁴ Please indicate the dissemination level using one of the following codes:

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

Workpackage description

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

Objectives

Description of work

Deliverables

Milestones¹ and expected result

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

Part C – Take Up Actions: Description of contribution to EC policies, economic development, management and participants.

THERE IS NO ANONYMITY REQUIREMENT FOR PART C.

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

C1. Title page

Proposal full title

Proposal acronym

(Date of preparation)

Proposal number (if applicable)

C2. Content list (part C only)

C3. Community added value and contribution to EC policies.

This section, which should not exceed two pages, should identify which issue at the European level the proposal is addressing. It should also describe how the experience will be transferred to other organisations across Europe.

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

For all three types of Take-Up actions this section must include a description of the European dimension of their action, in terms of the profile of the wider community which will benefit from the results of their action. This will help define the European level issue addressed by the proposal.

Participants in Assessment, Trials and Best Practice Actions should be prepared to be grouped under a Support Node or Cluster, to ensure that those not directly involved can benefit from the results. In this way, the Take-Up Actions will generate European added value, beyond the limit achievable through individual projects.

C4. Contribution to Community social objectives.

This section, not exceeding two pages, should describe how the proposed project will contribute to meeting the social objectives of the Community, and should for Best Practice actions and Trials particularly focus on the contribution of the project to improving employment prospects and the use and development of skills in Europe.

Where applicable the description should also cover how the proposed measure contributes to improving quality of life and health and safety (including working condition), and/or to preserving or enhancing the environment and natural resources. This might include the contribution of the proposed work to meeting relevant regulatory requirements.

C5. Management

This section, not exceeding two pages, should describe how the Take-Up Action will be managed, the decision making structures to be applied, the communication flow within the consortium and the quality assurance measures which will be implemented, and how legal and ethical obligations, for example concerning encryption or security of personal data, will be met.

The clustering of Assessment projects will allow effective co-ordination, early agreement –between users and suppliers - on globally accepted assessment metrics and on competitive specifications, the timely delivery of relevant and measurable results of assessments and their dissemination to other users world-wide.

For Best Practice Actions management of an action is linked to the management of the underlying business case (target application, baseline project), for Trials it is also linked to a real business context. Relations and dependencies including the risks involved should also be described. Being linked under a Support Node or Cluster will require co-operation with other actions.

C6. Description of the consortium

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

Where subcontractors (e.g. know-how, training or consultancy providers) are involved, they should be clearly identified, and the scope and nature of their work needs to be justified.

C7. Description of the participants

Short description of the participating organisations including (no more than two pages per organisation):

The expertise and experience of the organisation,

Short CVs of the key persons to be involved indicating relevant experience, expertise and involvement in other EC projects. *(Each CV no more than 10 lines).*

For Best Practice Actions and Trials this section should include a brief description of the main business of the proposer(s) (or consortium, if applicable), including their business motivation for the proposed action, and the business relevance.

For Best Practice Actions, it should be clear from this section what the user's current practices are, which improvements are introduced during the course of the action, and what the required and expected business practice upon completion of the action is.

C8. Economic development and scientific and technological prospects

This section, which should not exceed three pages, should describe plans for the dissemination and - if relevant - the exploitation of the results for the consortium as a whole and for the individual participants in concrete terms.

For Assessment actions the participants provide a competitive and market analysis. The consortium should also describe the planned dissemination actions at project level, keeping in mind that dissemination actions should also be carried out at the level of

clustered projects and beyond – see also C3 and C5.

For Best Practice Actions and for Trials this section must include an explanation of the potential for - internal and external - replication, redeployment and/or reuse of results of the action. It should a) describe in detail how the anticipated results will be used internally within the participating organisations and what decisions may be taken upon successful completion of the action, and b) identify the business communities sharing the problem to be solved by the action and describe a plan how the results achieved, benefits obtained and lessons learnt (including key competencies acquired, deficiencies removed, lasting changes) will be disseminated/communicated and transferred to those communities.

For suppliers involved in Trials this includes a strategy and a plan for exploitation. This could, where appropriate, include assessment of market size, competition, the benefits from using the products or services based on the results, pricing and potential sales.

Given that the real benefits of an action may only become apparent several months after completion of the action, proposers should indicate expected benefits in the longer term (including measures that will be taken to assess them).

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

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

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

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

Name of organisation:	Country Code

Information on proposal:

Proposal full name	
Proposal acronym	
Proposal abstract (3 lines)	

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

Proposal language (if not English) _____

Type of Action*: _____

Name of Requester: _____

Signature: _____ **Date:** _____

(For Commission use only:)

Your proposal has been registered with the following number:

(Signed for the IST programme)

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

Appendix 3 – Acknowledgement of receipt form



EUROPEAN COMMISSION
 Directorate-General Information Society

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

Brussels,

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

Dear Madam/Sir

We are pleased to acknowledge receipt of your proposal:

To be completed by Co-ordinating Partner			
Programme(s):	IST Programme		
Thematic Priority(ies):			
Proposal Title:			
Proposal Acronym:			

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

Date of reception:

Proposal registration number:

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

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

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

Yours faithfully,

5FP Evaluation Co-ordinator

Appendix 4 – National contact points

EU MEMBER STATES:**Austria**

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