

## ***Work Programme***

*for the specific programme for research,  
technological development and  
demonstration:*

*"Integrating and strengthening the  
European Research Area"*

# Table of Contents

## **0. GENERAL INTRODUCTION**

## **I. FOCUSING AND INTEGRATING COMMUNITY RESEARCH**

### *Priority thematic areas of research*

1. Life sciences, genomics and biotechnology for health
2. Information Society technologies
3. Nano-technologies and nano-sciences, knowledge-based multifunctional materials, and new production processes and devices
4. Aeronautics and space
5. Food quality and safety
6. Sustainable development, global change and ecosystems
  - (i) Sustainable Energy Systems
  - (ii) Sustainable surface transport
  - (iii) Global change and ecosystems
7. Citizens and governance in a knowledge-based society

### *Specific activities covering a wider field of research*

8. Policy support and anticipating scientific and technological needs
9. Horizontal research activities involving SMEs
10. Specific measures in support of international co-operation

## **II. STRENGTHENING THE FOUNDATIONS OF THE EUROPEAN RESEARCH AREA**

11. Support for the co-ordination of activities
12. Support for the coherent development of policies

## **III. GENERAL ANNEXES**

- A. Overview of Calls for Proposals**
- B. Common evaluation criteria for evaluating proposals**
- C. List of groups of target countries for specific measures in support of International Co-operation**
- D. Specific Support Actions for Candidate Countries**

## 0. GENERAL INTRODUCTION

### 1. General

Following the adoption of the specific programme for research, technological development and demonstration: "Integrating and strengthening the European Research Area"<sup>1</sup> and the rules of participation and dissemination<sup>2</sup> under the EC Treaty, the Commission has adopted, with the assistance of the programme committee, this work programme which sets out in greater detail the objectives and technological priorities and the timetable for implementation of the specific programme, in particular for the first year of operation.

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

The new instruments referred to will be used from the start in each theme and, where deemed appropriate, as a priority means, while maintaining the use of specific targeted projects and co-ordination actions. In particular, a smooth transition with previous programmes will be ensured.

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

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

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

Concerning **Strengthening the Foundations of the European Research Area**, the implementation will mostly take the form of specific targeted research projects and co-ordination actions.

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

In drawing up this work programme, the Commission has relied on advice from advisory groups and, for the Priority Thematic Areas of Research, on the results of a call for expressions of interest, which was launched in early 2002.

---

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

<sup>2</sup> OJ L 355, 30.12.2002, p. 23.

More information on this, including the list of members of the advisory groups and the results of the call for expressions of interest, is available on Cordis.

## 2. Scope of Work Programme

The scope of this work programme corresponds to that defined in the specific programme. The calls for proposals planned within this work programme are those foreseen to close in 2003 along with, in many cases, an indication of those calls intended to close in 2004. Annex A gives an overview of these calls. Some topics in the specific programme have been left until a later stage and these will be addressed in future revisions of the work programme.

## 3. Cross Cutting Issues

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

- a) This work programme places special emphasis on the needs of small and medium-sized enterprises (SMEs). In particular, at least 15% of the funding allocated to the Priority Thematic Areas of Research is foreseen for SMEs. In order to reach this objective, special actions are foreseen such as SME specific calls for proposals in the context of the new instruments, reinforcement of National Contact Points, and specific training and take-up measures. In addition, the involvement of SMEs is taken into account in the evaluation criteria particularly for the new instruments. Also the fact that enterprise groupings which represent large communities of SMEs may play an active role in the new instruments will contribute to reaching the above-mentioned objective.
- b) Proposers based in Associated States may take part in this programme on the same footing and with the same rights and obligations as those based in Member States. In addition, this work programme underlines the importance of involving associated candidate countries in the Community's research policy and in the European Research Area. Specific support actions will also be implemented to stimulate, encourage and facilitate the participation of organisations from the candidate countries in the activities of the priority thematic areas. These will comprise information, awareness and training activities, promotion of candidate country competencies, support to researchers from these countries to participate in conferences and to prepare proposals, establishment and reinforcement of networks or centres of excellence between Member States and candidate countries, and between centres of excellence of candidate countries and within candidate countries, measures in support of SMEs in candidate countries to better participate, evaluation of RTD

systems and policies in a particular field, the screening of research establishments active in a particular field, and prospective studies aimed at defining research policies and organisation of research systems in a particular field. See Annex D for details of the specific support actions to be implemented for associated candidate countries.

- c) International co-operation represents an important dimension of the Sixth Framework Programme. As a contribution to a European Research Area open to the world, it will be implemented in the Sixth Framework Programme through three major routes:
- The opening of “Focusing and Integrating Community Research” to third country organisations with substantial funding,
  - Specific measures in support of international co-operation, and
  - International activities under the heading of Human Resources in the specific programme for research, technological development and demonstration "structuring the European Research Area".

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

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

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

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

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

Participants from all third countries<sup>3</sup> and from international organisations may take part in all activities under this heading in addition to the minimum number of participants required.

Participants from developing countries, Mediterranean partner countries, Western Balkan countries, as well as Russia and the new independent states (see the list of countries in Annex C) can be funded in all activities under this heading<sup>4</sup>. Other third country participants can also be funded in those areas where the relevant part of this work programme makes reference to this possibility or if it is essential for carrying out the research activity.

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

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

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

International co-operation with third country partners and international organisations will be actively fostered on all topics which will benefit from such co-operation. Furthermore, third country entities and international organisations can benefit from Community financial contribution. To this end, topics for international co-operation will be specified, where appropriate, in calls. This applies particularly to those third countries with whom co-operation agreements have been concluded.

- d) Research activities carried out under this work programme must respect fundamental ethical principles and the requirements as stipulated in the decision on the specific programme for research, technological development and demonstration: "Integrating and strengthening the European Research Area". More information on the review procedure is foreseen in the “Guidelines on Proposal Evaluation and Project Selection Procedures” (<http://www.cordis.lu/fp6/eval-guidelines>). Annex B to this work programme also details the issues to be covered in any ethical review.

---

<sup>3</sup> There is currently no co-operation with Afghanistan, Iraq, Iran, Libya, Myanmar, or North Korea. This situation is subject to review, in line with the Community's external policies. Please check on Cordis for updates.

<sup>4</sup> 285 million euro has in fact been allocated for participation from the targeted third countries (see Annex C) within the Priority Thematic Areas of Research and specific activities covering a wider field of research.

- e) As much as possible and in association with the specific programme for research, technological development and demonstration "Structuring the European Research Area", the mobility of researchers will be promoted, particularly with a view to the successful creation of the European Research Area.
- f) This work programme attempts, where possible, to reinforce and increase the place and role of women in science and research both from the perspective of equal opportunities and gender relevance of the topics covered.
- g) A particular effort will be carried out to take into consideration the ethical, social, legal, regulatory and wider cultural aspects of the research including socio-economic research, and innovation, resulting from the possible deployment, use and effects of the newly developed technologies or processes and scenarios covered by each of the thematic priorities. This effort will be complemented by socio-economic research carried out within the priority addressing 'Citizens and governance in a knowledge-based society'.
- h) In the context of the regular report to be submitted to the European Parliament and the Council, the Commission will report in detail on progress in implementing the specific programme, and, in particular, progress towards achieving its objectives and meeting its priorities.
- i) The promotion of innovation is a cross-cutting issue, relevant to the whole European Community RTD Framework Programme. This issue aims to meet the Treaty objective of strengthening the scientific and technological bases of Community industry *and encouraging it to become more competitive at international level*<sup>5</sup>.

In this context, an important goal is to promote exploitation of the results of those projects which include R&D components<sup>6</sup>. To this end, consortia should pay sufficient attention to the management of knowledge and pursuit of innovation in their projects. These issues should be well integrated in the proposals through the work content and consortium composition, and will be taken into account during their evaluation<sup>7</sup>. Projects should involve, where appropriate, end-users and other stakeholders to ensure relevance of the research and effective take-up of results.

In particular, the participants should include in their projects "innovation-related activities", that may be supported by EC funding. Examples of such activities include the protection and management of knowledge and intellectual property, the analysis of socio-economic factors affecting the exploitation of the project's results, feasibility studies for the creation of

---

<sup>5</sup> EC Treaty, Art. 163.1

<sup>6</sup> As confirmed in the Council decision of 30.9.2002 relating to the specific RTD programme for "Integrating and strengthening the European Research Area" (Annex, section 1.1 – OJ L 294/7)

<sup>7</sup> As stated in Art. 10.1.e of the rules of participation (OJ L 355/28)

spin-offs, and other activities to promote knowledge transfer between public research and industry.

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

Besides these central project-level activities, specific mechanisms will ensure that there is exchange of information and experience between the activities of the different work programmes as regards their innovation dimension, and that the innovation-related achievements be properly analysed, monitored, and evaluated<sup>8</sup>.

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

Proposals should be submitted under the terms of a call for proposals<sup>9</sup>. In order to submit a proposal, a proposer should consult the following:

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

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

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

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

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

Cross-cutting proposals may be categorised as follows:

---

<sup>8</sup> cf. OJ L 294/50, section 2.f of the Annex

<sup>9</sup> Proposals for specific support actions, which do not fall within the scope of a call for proposals, may be submitted to the Commission only when it is provided for in this work programme.

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

## 6. Evaluation Criteria and Related Issues

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

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

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

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

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

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

## **7. Specific Support Actions**

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

- to promote and facilitate the dissemination, transfer, exploitation, assessment and/or broad take-up of past and present programme results (over and above the standard diffusion and exploitation activities of individual projects);
- to contribute to strategic objectives, notably regarding the European research area (e.g. pilot initiatives on benchmarking, mapping, networking, etc.);
- to prepare future community RTD activities, (e.g. via prospective studies, exploratory measures. pilot actions etc.);

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

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