

**WORK PROGRAMME: 2003**  
***STRUCTURING THE ERA***

**SCIENCE AND SOCIETY**  
**(section 4)**

*Modified in line with Commission Decision*  
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## 4.1 INTRODUCTION

In a knowledge-based society, both policy makers and citizens should be equipped to make informed choices from the ever-growing range of options thrown up by scientific and technological progress.

The aim of this part of the programme is to help develop the environment in which this can be achieved, by seeking both a better integration of science in society *and* society in science.

Based on the objectives and activities outlined in the Specific Programme<sup>1</sup>, the work programme represents in large part the Commission's response to the Council's Resolution on Science and society and women in science,<sup>2</sup> which called on both the Commission and the Member States to take a range of new initiatives in these domains. At the same time, the work programme will help implement the Commission's Action Plan on Science and Society<sup>3</sup>.

## 4.2 OBJECTIVES, STRUCTURE AND OVERALL APPROACH

The guiding principle of this work programme is to stimulate structural links, within the European Research Area, for a more dynamic interaction between scientists, policy-makers and society at large.

A range of policy initiatives and research topics are organised along three axes. The first aims to bring research closer to society; the second is concerned with promoting responsible research and application of science and technology; the third seeks to step up the science/society dialogue, and addresses also the role of women in science. These axes are naturally interrelated and many initiatives will be crosscutting in nature. Resources will be used to catalyse and trigger actions with the potential for wide and enduring impact. These actions will often involve broad sections of society, and may embrace actors from across and beyond the European continent. The challenges and opportunities offered by the impending enlargement of the EU will provide an important focus to the work.

The work programme sets out activities envisaged for 2003 and indicative topics for 2004. In many areas, work will also continue and build on activities started in 2003 to reach the overall objectives specified.

In addition, an invitation for expressions of interest covering all topics will be launched in the first quarter of 2003 to help prepare the work programme for 2004.

The work programme will be implemented through a mix of instruments according to the objectives. Unless otherwise specified in the topic descriptions, the following activities will be supported:

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<sup>1</sup> Council decision of 30 September 2002 adopting a specific programme for research, technological development and demonstration: "structuring the European Research Area" (2002-2006) 2002/835/EC

<sup>2</sup> 2363rd Council meeting (Research), Luxembourg, 26 June 2001, OJ C 199/1 of 14.7.2001

<sup>3</sup> COM /2001/714 of 4 December 2001

- Establishment and support to the operation of networks involving academia, government actors, civil society bodies, industry and other interested parties, as appropriate. The focus will be on exchanging information, mapping and analysing current practices, identifying lessons learned, promoting good practices and monitoring developments. (Co-ordination actions and specific support actions).
- Conferences, seminars, workshops and working groups to foster a dynamic interchange between actors on critical topics. (Specific support actions – proposals must be submitted at least 6 months before the planned event).
- Research actions (specific targeted research projects, co-ordination actions) – in particular, dedicated policy-related research on ethics in relation to science, technology developments and their applications will be carried out in this work programme.
- Comparative assessments, methodological development (including design of indicators), surveys, impact assessments, studies (Specific support actions, specific targeted research projects and tender procedure – nb: this work programme does not exhaustively list all the studies which may be carried out in accordance with 9.2 (b) of the Rules for Participation)
- Prizes and other flagship actions in recognition of outstanding achievements. (Specific support actions and tender procedure).
- Information, communication and dissemination actions, and operational support. (Specific support actions or tender procedure)

The work programme will be the main European Commission tool for implementing the Science and Society Action Plan. In many cases, topics in the work programme flow directly from specific actions announced in the Action Plan. A number of cross-cutting initiatives will support the broad objectives of the Action plan, including a major inaugural event in 2004, of high quality and visibility, which should lead to a sustained platform for a Europe-wide dialogue between scientists stakeholders and the public. The Commission will also promote ways for improving science communication.

Parallel initiatives will ensure that the issues of Science and Society are properly embedded in all activities of the Framework Programme (“mainstreaming”), and studies will be launched to monitor and assess their impact. Meanwhile, links will be established with other EU policy areas addressing science-related issues, such as in the fields of education and innovation.

There will be a cross-fertilisation between the work envisaged here and ERA benchmarking actions (based on previous results and possible future actions in the ‘Integrating’ programme), especially those relating to the promotion of RTD culture and public awareness of science. Finally, in the spirit of ‘open co-ordination’, this work programme will support and stimulate initiatives undertaken by groups of European countries, particularly those initiatives triggered by the Action Plan.

## 4.3 TECHNICAL CONTENT

### **PART A: BRINGING RESEARCH CLOSER TO SOCIETY**

#### 4.3.1 Scientific advice, governance and reference systems

Objective: To create conditions under which policy decisions in multi-level governance are more effective in meeting society's needs, more soundly based on science and, at the same time, through inclusive participation take account of the relationship between technological innovation and social change, as well as the aspirations and concerns of civil society.

##### 4.3.1.1 Creating a more dynamic interface between science and policy making<sup>4</sup>

- a) Strengthening synergies between national strategies and approaches for mobilising expertise in policy-making, and for improving the quality and impact of advice received, whilst ensuring wide involvement, openness and accountability.

***Implementation in 2003:** The focus will be on assessing the functioning of policy-making processes in Europe, and major industrialised countries world-wide, directed towards exchanging experiences and promoting good practices. Emphasis will be put on activities to assist the promotion of the European Commission's guidelines on the collection and use of expert advice as the basis for a common approach in Europe<sup>5</sup>.*

*(Instrument: Co-ordination action and specific support action for networks, studies, communication tools and events – see call fiche1)*

*A study will be launched through a tender procedure on the impact of science advice in policy development and implementation in Member States and candidate countries on selected topics having a wide economic or social impact.*

***Outlook in 2004 :** The work will be extended to measures for the rapid mobilisation of expertise in times of crisis or critical events, and the feasibility of establishing networks of scientific help desks. Support is envisaged for innovative initiatives promoting the assessment of the impact of science and its use in policy-making; methodologies will be developed for comparative indicators and analysis on its impact throughout Europe.*

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<sup>4</sup> Including the development of principles and procedures for establishing European Common Scientific Reference Systems to support EU policy-making.

<sup>5</sup> In accordance with the White Paper on European Governance (COM(2001)428) and the Science and Society Action Plan (COM(2001)714).

- b) Development and implementation of appropriate means for channelling scientific advice to policy-makers capable of providing, for example, knowledge dissemination, scientific information, opinions, and advice, early warning of new opportunities and hazards ('horizon scanning'), and fora for information exchange and dialogue.

**Implementation in 2003:** *The focus in 2003 will be to advance the electronic network "Scientific Information for Policy Support in Europe" (SINAPSE) to a pilot trial phase, initially involving the European Commission, other Community Institutions and a limited number of European scientific organisations. The continued operation, update and maintenance of SINAPSE - based on user needs - will be supported through a tender procedure .*

*A study will be launched on the need, viability and use of open access e-systems for scientific publication and communication to complement existing scientific journals in Europe, and the steps to be put in place for launching and operating such systems, including through SINAPSE.*

**Outlook in 2004 :** *The SINAPSE project will be extended to scientific organisations throughout Europe and globally, including links to other appropriate electronic networks.*

- c)

European Research Advisory Board (EURAB).

**Implementation in 2003:** *The programme will support the work of EURAB in the performance of its tasks.*

#### 4.3.1.2 Encouraging the active participation of society at large in policy development

Development of principles and methodologies for triggering and conducting - from local to European levels - participatory procedures that help bring together policy-makers, experts, civil society, interested parties and the public at large (e.g. consensus conferences, stakeholder dialogues, citizen's juries, etc.) as a normal and integral part of the policy making process; stimulating and supporting (including through networking local, regional and national initiatives) specific participatory events on critical scientific issues of European interest.

**Implementation in 2003:** *The focus will be on the dissemination of know-how and supporting good practice on participatory procedures for policy formulation and implementation, including the compilation of illustrative case studies, with particular emphasis on the application of such participatory mechanisms in policy-making at Community level; innovative initiatives aimed at promoting and conducting inclusive participatory dialogue on scientific issues at a trans-national level.*

*(Instrument: co-ordination action and specific support action for events, networks, studies, information and communication tools – see call fiche1).*

*There will be a follow-up to the comparative study launched by the European Commission at the end of 2002 on the role of civil society in governance in the European research Area. This will take the form of a major conference involving experts, industry, civil society, policy-makers and other stakeholders to reach conclusions and recommendations on the conditions needed for effective civil society involvement in policy-making.*

**Outlook in 2004** *The work programme will be extended to initiatives for more effective science communication to assist participation by civil society, including identifying science communicators<sup>6</sup>. Support is envisaged for pilot initiatives at the European level, enhancing civil society participation in Community research policy development.*

## **PART B: RESPONSIBLE RESEARCH AND APPLICATION OF SCIENCE AND TECHNOLOGY**

### **4.3.2 Ethics**

**Objective:** Conduct research on ethics (including legal, social, economic, and cultural impacts) in relation to science, technology developments and their applications; and ensure that rapidly advancing progress in science is in harmony with fundamental ethical principles, through a process of dialogue, networking, capacity building, monitoring and early warning.

#### 4.3.2.1 Dialogue and information exchange between groups concerned with ethical issues<sup>7</sup>

a) Fostering networking and dialogue between ethics bodies in and beyond Europe

**Implementation in 2003:** *The focus will be on:*

*i) Helping European ethics councils or committees responsible for policy advice on ethics in research at the national level (including the European Group on Ethics) to improve information exchange and promote better understanding of topics and methodologies;*

*ii) Encouraging co-operation between local ethics committees in Europe dealing with humans, data protection and animals in research, to improve understanding of the cross-national and cross-cultural European dimension of research ethics. Activities should lead to the identification of good practices for research evaluation and related methodological aspects. Topics to be addressed should focus on newly emerging questions in the ethical assessment process with particular emphasis on the requirements of the European regulatory framework, international regulation and/or the differences or similarities between national legislation in Europe;*

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<sup>7</sup> Close co-operation is envisaged with the European Group of Ethics, with the Council of Europe and with other International Organisations and Non-Governmental Organisations.

*iii) Promoting an international dialogue with other regions of the world on ethical issues arising from new scientific developments. Proposals should address ethical questions relating to emerging technologies.*

*For developing countries, activities should help improve training and the development of local ethical review capacity, concentrating on topics relevant to the Europe/ Developing Country Clinical Trials Platform research co-operation (cross reference priority 1)*

*(Instrument: co-ordination action and specific support action for training events, workshops, conferences or networks – see call fiche 1)*

- b) Creating a systematic information tool on ethical issues in science, with access to information in various languages on legislation, codes of conduct, best practices, and the ethical debates taking place in different European countries. The groundwork for such an information and documentation system has already been laid through a 5<sup>th</sup> FP EU funded project (EURETHNET) which is starting to link together the most important documentation centres on bioethics in Europe.

***Implementation in 2003:*** *The focus will be on preparatory work to develop an observatory on ethical issues, extending the scope of EURETHNET to other fields of ethics, connected to other relevant information centres in the world. Work must build on other research networks on ethics, such as those on food and agro research, environment, legal issues, data protection etc.*

*(Instrument: specific support action for feasibility or exploratory studies on techniques and methodologies that can improve the structure and the management of information content; support for integration of networks, improving communication links - see call fiche 1)*

#### 4.3.2.2 Raising the awareness of researchers on ethical issues

Development of cross-cultural training material and training programmes for researchers on ethics in science and technology; identification and development of Codes of Conduct for research in evolving technologies, promotion of research integrity and transparency of research results.

***Implementation in 2003:*** *The focus will be on analysing current provisions and on identifying solutions to improve codes of conduct on research ethics and cross-cultural teaching and training material suitable also for developing countries.*

*(Instrument: co-ordination action and specific support action for studies, surveys, dissemination, information and communication mechanisms - call fiche 1).*



#### 4.3.2.3 Deepening the understanding of ethical issues

Comparative research, foresight and impact studies on ethical issues in relation to science and technology developments and their applications. The emphasis is on cross-cutting questions relevant to a number of research areas (e.g. information society, nanotechnologies, human genetics and biomedical research in food technologies), that cannot be addressed within the integrated projects of the relevant thematic priorities.

***Implementation in 2003:** The focus will be on addressing emerging ethical questions in research, and on developing recommendations on how to address them in order to improve understanding of ethics in the European Research Area.*

*(Instruments: specific targeted research projects and co-ordination actions-see call fiche 2)*

***Outlook in 2004 :** A new call is planned in 2004, concentrating on research into ethical issues related to science and technology in the context of co-operation with developing countries, and with industrialised countries, particularly in relation to intercultural dialogue and to shared benefit on research and patenting in a world-wide context. The call in 2004 may also address items that have been insufficiently covered by the response to the 2003 call.*

### **4.3.3 Uncertainty, risk, and implementing the precautionary principle**

**Objective:** To systemically address scientific uncertainty, risk governance and the precautionary principle in policy making

#### 4.3.3.1 Strengthening synergies between national approaches through promoting methodologies for addressing scientific uncertainty, risk governance and the precautionary principle in policy-making.

- a) Development of common approaches for improved risk governance (assessment, management and communication) on cross-cutting policy issues<sup>8</sup>,

***Implementation in 2003:** The focus will be on co-ordinated national approaches for dialogue on risk communication and how such information is received throughout all stages of policy-making and implementation; and how to involve all key actors - including stakeholders and civil society – in a more dynamic risk governance culture. Where appropriate, these activities may be co-ordinated with those envisaged as part of European Science Week 2004 (see 4.3.4.1 (b))*

*(Instruments: Co-ordination action and specific support action instruments to establish fora and networks for dialogue at the European level, studies, and awareness events. – see call fiche1).*

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<sup>8</sup> For example, handling uncertainty, the precautionary principle, risk communication, 'how safe is safe enough?', comparing costs and benefits, the risk-risk paradigm.

- b) Assessment of the implications of the precautionary principle for research and technological development policy in Europe (including evaluation of concepts such as ‘precautionary research’ and ‘post-normal science’).

*Implementation in 2003: A study will be launched through a tender procedure to undertake comparative assessments of different approaches in Europe and major industrialised countries on the understanding and use of the precautionary principle in policy-making for research and technological development.*

## **PART C: STEPPING UP THE SCIENCE/SOCIETY DIALOGUE AND WOMEN IN SCIENCE**

### **4.3.4 Scientific and technological culture, young people, science education and careers**

Objective: To increase public awareness of scientific and technological advances, and their societal impacts; to raise the awareness among scientists of the concerns and interests of citizens; to promote young people’s interest in science, and to encourage critical and creative ways of thinking; and to improve science education and the uptake of scientific careers.

#### 4.3.4.1 Promoting science and scientific culture, particularly among young people

- a) Improve communication and dialogue between the scientific community and the public on issues of European relevance, emphasising the role of audio-visual media.

*Implementation in 2003: The focus will be on setting up working groups and networks to exchange experiences between the scientific and media communities, and with science communicators.*

*(Instruments: co-ordination action and specific support action instruments – see call fiche 1)*

- b) Activities for the European Science Week 2004 to promote increased public scientific culture, especially among the young, of the impact and benefits of science and its uses on the daily lives of European citizens; and associated measures for improving the exchange of experiences and resources among organisers of national events to enhance the European dimension and added value of these activities.

*Implementation in 2003: The focus will be on activities, or groups of activities, for the European Science Week 2004; and for facilitating synergies (exchanges of experience, resources and good practices) between national science events, and with the European Science Week.*

*Proposals may address any field of science, including the economic, social and human sciences. Proposed activities should present scientific topics in an*

*interactive manner. They should concentrate on scientific innovation, showing how science addresses the concepts of uncertainty and risk for the benefit of citizens. Activities demonstrating the benefits of European co-operation in research will be particularly welcome.*

*The precise date for the week will be fixed in the period mid-September to mid-October 2004 and proposals must include adequate preparatory measures to respect this timetable.*

*The applicants should demonstrate an appropriate level of experience in the area of science communication and dialogue with the public, and a good understanding of the popular media and a practical knowledge of how to use them.*

*(Instruments: specific support action or co-ordination action - see call fiche 3)*

**Outlook in 2004** : *Specific Support Action and Co-ordinated Action instruments for European Science Weeks in 2005 and 2006, with the emphasis on the co-ordination of similar national events.*

- c) Impact analyses of activities for raising public awareness of science at the European (including European Science Week), national and regional levels

**Implementation in 2003:** *Call for tender (to be published separately) for comparative assessments of the effectiveness of measures, in terms of their cost and impact, across Europe.*

#### 4.3.4.2 Awards for scientific achievements, collaboration and communication

- a) Public recognition of outstanding achievements through the organisation of annual “René Descartes” prizes for (i) excellent trans-national collaborative research, and (ii) exemplary efforts in scientific communication and scientific journalism.

**Implementation in 2003:** *Specific Support Action for prizes for teams having achieved outstanding scientific or technological results from European collaborative research in any field of science, including the economic, social and human sciences (see call fiche 4); call for tender relating to the management aspects to be published separately*

- b) Stimulation of interest among secondary school students through support for the “European Contest for Young Scientists”, based on proposals from members of the committee of national organisers, supported by the corresponding national authorities.

**Implementation in 2003:** *The 15<sup>th</sup> contest in 2003 will be supported by a specific support action to the Hungarian Association for Innovation (MISZ).*

#### 4.3.4.3 Promoting young people's interest in science, enhancing science education<sup>9</sup> and monitoring scientific careers

- a) Establish a pan-European initiative to enhance science teaching in schools, to raise the interest and motivation of boys and girls in science and technology.

***Implementation in 2003:** The focus will be on providing a mechanism for allowing science teachers, science professionals, education specialists and associated expertise from across Europe to exchange ideas, techniques, and methods to supplement existing science curricula and educational strategies in order to increase the attractiveness and relevance of science studies at schools. The action must involve existing science teachers networks and the use of internet resources to ensure the widest possible dissemination of the shared and newly acquired knowledge among the science teaching profession and associated professions. Proposals must provide an openly accessible resource infrastructure.*

*Applicants must also be able to demonstrate an understanding of how science is taught, and must be able to combine expertise across relevant professions (science education, research, technology, industry). Proposals should take a broad view of science, including its social context.*

*It is envisaged to support an integrated approach, either through a single project, or a number of projects which will be clustered.*

*(Instrument: specific support action or co-ordination action -see call fiche 5)*

- b) European level monitoring of the dynamics and characteristics of the uptake of scientific careers, the provision of career related information, and the need for S&T professionals in Europe.

***Implementation in 2003:** Studies and data collection to be implemented by a call for tender.*

#### **4.3.5 Women and science**

Objective: To boost gender equality in research, through stimulating the participation of women in science and technological development; and fostering the integration of the gender dimension throughout European research.

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<sup>9</sup> Including development of European study courses at university level on science, technology and their historical, cultural and economic environments.

#### 4.3.5.1 Stimulating the policy debate at national and regional level and mobilisation of women scientists

- a) Development of synergies between national and regional actions and policies, building upon the work of the Helsinki Group on Women and Science<sup>10</sup> and of the expert group on women scientists in Central and Eastern Europe and in the Baltic States (ENWISE)<sup>11</sup>.

*Implementation in 2003: The focus will be on encouraging co-ordinated approaches; exchanging experience and good practice; transferring know-how; comparing and evaluating existing policy measures; and on highlighting success stories about the contribution of women to scientific excellence, through events, working groups, networks, studies, surveys, dissemination, information and communication tools.*

*(Instrument: co-ordination action and specific support action - see call fiche 1)*

- b) Strengthening the participation of women in industrial research.<sup>12</sup>

*Implementation in 2003: The focus will be on changing working cultures, promoting better work/life balances, encouraging diversity as good business practice, and supporting networking and mentoring initiatives, through events, working groups, studies, surveys, dissemination, information and communication tools.*

*(Instrument: co-ordination action and specific support action – see call fiche 1)*

- c) Defining strategies for mainstreaming gender equality in scientific institutions and enterprises.

*Implementation in 2003: The focus will be on analysing: the career paths of women and men (including longitudinal analyses); the working culture and existing practices in the recruitment and employment of scientists; highlighting areas of potential bias; developing monitoring systems; and establishing guidelines of good practice, through working groups, studies, and surveys.*

*(Instrument: co-ordination action and specific support action – see call fiche 1)*

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<sup>10</sup> The Helsinki Group is a group of national civil servants and/or gender experts from the EU Member States and the countries associated with the Framework Programme, involved in promoting women in scientific research at national level.

<sup>11</sup> More information available at [http://europa.eu.int/comm/research/science-society/women-science/women-science\\_en.html](http://europa.eu.int/comm/research/science-society/women-science/women-science_en.html)

<sup>12</sup> More information available at [http://europa.eu.int/comm/research/science-society/women-science/industrial\\_en.html](http://europa.eu.int/comm/research/science-society/women-science/industrial_en.html)

- d) Establishment of a European platform of women scientists, bringing together networks of women scientists and other organisations committed to promoting gender equality in science, in order to improve the participation of women in scientific research and make their voice heard in the policy process at regional, national and European level.

***Implementation in 2003** The focus is on the establishment of a European platform of women scientists. The platform should be a democratic and inclusive structure, and should develop activities designed to promote women scientists and involve them more actively in shaping the science policy debate at national and European levels.*

*The applicant will be selected on the basis of a detailed description of the structure, its membership and decision-making processes, and the activities that the platform would undertake. The proposals must also cover organisational and co-ordination aspects, demonstrating an approach designed to promote networking between women and science associations and groups, at regional, national and European levels, and within and between scientific disciplines and sectors (academic, industrial, etc.).*

*The single call will cover the co-ordination and activities of the platform during the launch phase from 2004 to 2006. Community support will, in principle, be limited to this launch phase. Proposals must therefore present a convincing strategy for the long-term sustainability of the platform after this period.*

*(Instrument: specific support action – see call fiche 6)*

#### 4.3.5.2 Developing a better understanding of the gender issue in scientific research.

- a) Research to increase knowledge of the gender issue in science. Aspects to be addressed include the measurement and qualification of women's presence in scientific research; analysis of the functioning of the scientific system, in order to understand and challenge horizontal and vertical segregation; analysis of policies implemented to promote gender equality in scientific research; history, sociology and philosophy of science to the extent that it improves the understanding of the gender issue in science

***Implementation in 2003:** Invitation for expressions of interest.*

## **4.4 LINKS TO RESEARCH TOPICS IN THE FRAMEWORK PROGRAMME**

Science and society issues permeate the entire framework programme, and a special 'mainstreaming' effort will be made to emphasise synergies. This will include keeping track of key indicators, helping to trigger new actions in other programme components, and ensuring issues related to outreach, ethics, education and gender are considered at project level in line with the Framework Programme Rules for Participation.

Some of these functions will apply across the board, for example:

- Monitoring the progress of Integrated Projects and Networks of Excellence addressing ethically sensitive issues.
- Appraising and tracking public outreach actions (awareness, understanding and dialogue) performed as part of Integrated Projects and Networks of Excellence, in line with action 10 of the Science and Society Action Plan.
- Promotion of gender equality by monitoring the gender action plans set out within Integrated Projects and Networks of Excellence; and by establishing a strategic database, accessible to the public, on women's participation in assemblies, panels, proposals, and projects, action plans and other relevant information.

At the same time, bilateral co-operation and possible joint actions will be organised wherever necessary with related activities carried out elsewhere in the Framework Programme. Given the nature of the research area, particular attention will be given to the thematic priority 7 (*Citizens and governance in a knowledge-based society*). Where there are common objectives, the policy-related initiatives under 'Science and Society' will be implemented in co-operation with the research activities to be carried out under the thematic priority 7.

Close links on specific topics will also be established with other areas on a case-by-case basis, for instance with the areas dealing with life sciences, food safety, sustainable development and research for policy support. Finally, there will be a close co-ordination with the direct research undertaken by the Joint Research Centre on themes of common interest.

#### **4.5 IMPLEMENTATION PLAN AND RELATED ISSUES**

A series of calls for proposals on specific topics will be published during the course of the programme, designed to meet the programme objectives according to a fixed schedule. In parallel, an 'open' call will allow submission of proposals of general interest to the various topics at any time. Funds will be allocated to proposals submitted to this open call by ensuring a measure of competition *between* as well as *within* topics. A summary of the calls for proposals published in 2003 is given below.

<i>Summary of calls announced in this work programme release</i>				
<b>Programme area</b>	<b>Instruments<sup>13</sup></b>	<b>Call published</b>	<b>Deadline</b>	<b>Indicative budget for the calls in 2003 (€m)</b>
4.3.1, 4.3.2 4.3.3 4.3.4 4.3.5 (Selected topics only: see call fiche*)	CA SSA	17/12/2002	9/12/2003 (open call)	4
4.3.2.3 Deepening the understanding of ethical problems	CA STRP	1/3/2003	5/6/2003	5
4.3.4.1 (b) European Science Week Initiative	CA or SSA	17/12/2002	13/5/2003	3
4.3.4.2 (a) i René Descartes Prize	SSA	17/12/2002	13/5/2003	1 (minimum amount for a prize: €200,000)
4.3.4.3 (a) Science Education in Europe	CA or SSA	1/3/2003	8/10/2003	7
4.3.5.1 (d) European Platform of Women Scientists	SSA	9/9/2003	9/12/2003	2

\*Proposed activities should normally cover a broad theme, likely to have a catalytic effect by creating a wide and enduring impact.

The Commission reserves the right not to consider proposals for specific support actions related to conferences, seminars, workshops, working groups and similar activities if these are submitted less than 6 months before the planned event.

Proposals for specific support actions will be evaluated by Commission staff, supported by external experts where necessary, in accordance with article 10.6 of the Rules for Participation.

<sup>13</sup> CA = co-ordination actions; SSA = specific support actions; STRP = specific targeted research projects



## 4.6 CALL INFORMATION

### CALL FICHE 1

- 1) **Specific programme**: Structuring the ERA
- 2) **Activity**: Science and Society
- 3) **Call title**: Programme support and networking
- 4) **Call identifier**: FP6-2002-Science and society-1
- 5) **Date of publication**: 17 December 2002
- 6) **Closure date**: 27.05.2003, 28.08.2003 and 09.12.2003, all at 17:00 (Brussels local time). Proposals received before 01.04.2003 may be evaluated individually or in batches, according to possible urgency and to the numbers received.
- 7) **Total indicative budget**: 4 Million €in 2003.

Instrument <sup>14</sup>	€(millions)
CA and SSA	4

### 8) **Area & instruments**:

<b><u>Area</u></b>	<b><u>Instruments</u></b>
4.3.1.1 (a) 4.3.1.2 4.3.2.1 (a), (b) 4.3.2.2 4.3.3.1 (a) 4.3.4.1 (a) 4.3.5.1 (a), (b), (c)	CA and SSA

### 9) **Minimum number of participants**<sup>15</sup>:

<b><u>Instrument</u></b>	<b><u>Minimum number</u></b>
CA	3 independent legal entities from 3 different MS or AS, with at least 2 MS or ACC

<sup>14</sup> STREP = Specific targeted research project; CA = Coordination action; SSA = Specific support action

<sup>15</sup> MS = Member States of the EU ; AS (incl. ACC) = Associated States ; ACC : Associated candidate countries.

Any legal entity established in a Member State or Associated State and which is made up of the requested number of participant may be the sole participant in an indirect action.

SSA	1 legal entity from 1 MS or AS
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10) **Restriction to participation:** None. Furthermore, any legal entity established in a third country not covered by article 6(2) of the Rules for Participation (entities in countries having concluded an S&T agreement with the Community may participate by right) may also participate in this call providing that such an involvement would be beneficial or essential to the proposed activity, and is over and above the specified minimum number of participants from Member State or associated countries. The Community may contribute towards the costs of such participation.

11) **Consortium agreement:** Participants in RTD actions resulting from this call are not required to conclude a consortium agreement.

12) **Evaluation procedure:**

- The Commission reserves the right not to evaluate proposals for SSA related to conferences, seminars, workshops, working groups and similar activities if these are submitted less than 6 months before the planned event.
- The evaluation shall follow a single stage procedure
- Proposals will not be evaluated anonymously
- Proposals for SSA will be evaluated by Commission staff, supported by external experts where necessary (in accordance with article 10.6 of the Rules for Participation)

13) **Evaluation criteria:**

- See Annex B of the work programme for the applicable criteria (including their individual weights and thresholds and the overall threshold) per instrument.

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

- Evaluation results: The timing of results for proposals will depend upon the evaluation round within which they fall.
- Conclusion of contracts: It is estimated that the first contracts related to this call will come into force within 9 months of submission.

## CALL FICHE 2

- 1) **Specific programme**: Structuring the ERA
- 2) **Activity**: Science and Society
- 3) **Call title**: Deepening the understanding of ethical problems
- 4) **Call identifier**:<sup>16</sup>
- 5) **Date of publication**<sup>17</sup>: 1 March 2003
- 6) **Closure date**<sup>18</sup>: 5 June 2003, 17:00 (Brussels local time)
- 7) **Total indicative budget**: 5 Million €

Instrument <sup>19</sup>	€(millions)
STREP and CA	5

- 8) **Area & instruments**:

<b><u>Area</u></b>	<b><u>Instruments</u></b>
4.3.2.3	STREP and CA

- 9) **Minimum number of participants**<sup>20</sup>:

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

10) **Restriction to participation**: None. Furthermore, any legal entity established in a third country not covered by article 6(2) of the Rules for Participation (entities in countries having concluded an S&T agreement with the Community may participate by right) may also participate in this call providing that such an involvement would be beneficial or essential to the proposed activity, and is over and above the specified minimum number of participants from Member State or associated countries. The Community may contribute towards the costs of such participation.

11) **Consortium agreement**: Participants in RTD actions resulting from this call are not required to conclude a consortium agreement.

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<sup>16</sup> The call identifier shall be given in the published version of this call.

<sup>17</sup> The director-general responsible for the call may publish it up to one month prior or after the envisaged date of publication.

<sup>18</sup> Where the envisaged of publication is either advanced or delayed (see previous footnote), closure date(s) will be adjusted accordingly in the published call for proposals.

<sup>19</sup> STREP = Specific targeted research project; CA = Coordination action; SSA = Specific support action

<sup>20</sup> MS = Member States of the EU ; AS (incl. ACC) = Associated States ; ACC : Associated candidate countries.

Any legal entity established in a Member State or Associated State and which is made up of the requested number of participant may be the sole participant in an indirect action.

12) **Evaluation procedure:**

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

13) **Evaluation criteria:**

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

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

- evaluation results: Estimated to be available within some 4 months after the closure date.
- conclusion of contracts: It is estimated that the first contracts related to this call will come into force before the end of 2003

### CALL FICHE 3

- 1) **Specific programme**: Structuring the ERA
- 2) **Activity**: Science and Society
- 3) **Call title**: European Science Week 2004
- 4) **Call identifier**: <sup>21</sup>
- 5) **Date of publication**<sup>22</sup>: 17 December 2002
- 6) **Closure date**<sup>23</sup>: 13 May 2003, 17:00 (Brussels local time)
- 7) **Total indicative budget**: 3 Million €

Instrument <sup>24</sup>	€(millions)
CA and SSA	3

- 8) **Area & instruments**:

<u>Area</u>	<u>Instruments</u>
4.3.4.1 (b)	CA and SSA

- 9) **Minimum number of participants**<sup>25</sup>:

<u>Instrument</u>	<u>Minimum number</u>
CA	3 independent legal entities from 3 different MS or AS, with at least 2 MS or ACC
SSA	1 legal entity from 1 MS or AS

- 10) **Restriction to participation**: None.
- 11) **Consortium agreement**: Participants in RTD actions resulting from this call are not required to conclude a consortium agreement.

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<sup>21</sup> The call identifier shall be given in the published version of this call.

<sup>22</sup> The director-general responsible for the call may publish it up to one month prior or after the envisaged date of publication.

<sup>23</sup> Where the envisaged of publication is either advanced or delayed (see previous footnote ), closure date(s) will be adjusted accordingly in the published call for proposals.

<sup>24</sup> STREP = Specific targeted research project; CA = Coordination action; SSA = Specific support action

<sup>25</sup> MS = Member States of the EU ; AS (incl. ACC) = Associated States ; ACC : Associated candidate countries.

Any legal entity established in a Member State or Associated State and which is made up of the requested number of participant may be the sole participant in an indirect action.

12) **Evaluation procedure:**

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

13) **Evaluation criteria:**

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

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

- evaluation results: Estimated to be available within some 4 months after the closure date
- conclusion of contracts: It is estimated that the first contracts related to this call will come into force before the end of 2003

## CALL FICHE 4

- 1) **Specific programme**: Structuring the European Research Area
- 2) **Activity**: Science and Society
- 3) **Call title**: “René Descartes” prize for excellent trans-national collaborative research
- 4) **Call identifier**: FP6-2002-Science and Society-3
- 5) **Date of publication**: 17 December 2002
- 6) **Closure date**: 13 May 2003, at 17:00 (Brussels local time)
- 7) **Total indicative budget**: 1 Million €(minimum amount for a prize: 200,000 EURO)

Instrument <sup>26</sup>	€(millions)
SSA	1

### 8) **Area & instruments**:

<b><u>Area</u></b>	<b><u>Instruments</u></b>
4.3.4.2 (a)i of the work programme	SSA

### 9) **Minimum number of participants**<sup>27</sup>:

<b><u>Instrument</u></b>	<b><u>Minimum number</u></b>
SSA	2 legal entities from 2 different MS or AS, and including at least one MS or ACC.

10) **Restriction to participation**: None. Furthermore, any legal entity established in a third country not covered by article 6(2) of the Rules for Participation (entities in countries having concluded an S&T agreement with the Community may participate by right) may also participate in this call providing that such an involvement would be beneficial or essential to the proposed activity, and is over and above the specified minimum number of participants from Member State or associated countries. The Community may contribute towards the costs of such participation.

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<sup>26</sup> SSA = Specific support action

<sup>27</sup> MS = Member States of the EU ; AS (incl. ACC) = Associated States ; ACC : Associated candidate countries. Any legal entity established in a Member State or Associated State and which is made up of the requested number of participant may be the sole participant in an indirect action.

11) **Consortium agreement**: Participants in RTD actions resulting from this call are not required to conclude a consortium agreement.

12) **Evaluation procedure**:

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

13) **Evaluation criteria**:

The following evaluation criteria will apply:

1. Excellence and quality of the proposal (threshold score 4 out of 5; weighting = 3)

- quality and novelty of the results achieved;
- contribution to addressing key scientific and technological issues.

2. European added value (threshold score 4 out of 5; weighting = 1)

The extent to which:

- the results of the research can only be achieved if carried out at European level and beyond;
- the proposal addresses key issues of the European Research Area (ERA).

Overall threshold score after application of the weightings: 17 out of 20.

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

- evaluation results: Estimated to be within some 4 months after the closure date
- conclusion of contracts: It is estimated that the prize will be awarded before the end of 2003.



## CALL FICHE 5

- 1) **Specific programme**: Structuring the ERA
- 2) **Activity**: Science and Society
- 3) **Call title**: European Science Education Initiative
- 4) **Call identifier**:<sup>28</sup>
- 5) **Date of publication**<sup>29</sup>: 1.3.2003
- 6) **Closure date**<sup>30</sup>: 8 October 2003, at 17:00 (Brussels local time)
  
- 7) **Total indicative budget**: 7 Million €

Instrument <sup>31</sup>	€(millions)
CA and SSA	7

- 8) **Area & instruments**:

<b><u>Area</u></b>	<b><u>Instruments</u></b>
4.3.4.3 (a)	CA and SSA

- 9) **Minimum number of participants**<sup>32</sup>:

<b><u>Instrument</u></b>	<b><u>Minimum number</u></b>
CA	3 independent legal entities from 3 different MS or AS, with at least 2 MS or ACC
Specific support actions	1 legal entity from 1 MS or AS

- 10) **Restriction to participation**: None.
- 11) **Consortium agreement**: Participants in RTD actions resulting from this call are not required to conclude a consortium agreement.

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<sup>28</sup> The call identifier shall be given in the published version of this call.

<sup>29</sup> The director-general responsible for the call may publish it up to one month prior or after the envisaged date of publication.

<sup>30</sup> Where the envisaged of publication is either advanced or delayed (see footnote 1), closure date(s) will be adjusted accordingly in the published call for proposals.

<sup>31</sup> STREP = Specific targeted research project; CA = Coordination action; SSA = Specific support action

<sup>32</sup> MS = Member States of the EU ; AS (incl. ACC) = Associated States ; ACC : Associated candidate countries.

Any legal entity established in a Member State or Associated State and which is made up of the requested number of participant may be the sole participant in an indirect action.

12) **Evaluation procedure:**

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

13) **Evaluation criteria:**

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

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

- evaluation results: Estimated to be within some 4 months after the closure date
- conclusion of contracts: It is estimated that the first contracts related to this call will come into force 8 within months of the closure date

## CALL FICHE 6

- 1) **Specific programme**: Structuring the ERA
- 2) **Activity**: Science and Society
- 3) **Call title**: European Platform of Women Scientists
- 4) **Call identifier**:<sup>33</sup>
- 5) **Date of publication**<sup>34</sup>: 9.9.2003
- 6) **Closure date**<sup>35</sup>: 9 December 2003, at 17:00 (Brussels local time)
- 7) **Total indicative budget**: 2 Million €

Instrument <sup>36</sup>	€(millions)
SSA	2

- 8) **Area & instruments**:

<u>Area</u>	<u>Instruments</u>
4.3.5.1 (d)	SSA

- 9) **Minimum number of participants**<sup>37</sup>:

<u>Instrument</u>	<u>Minimum number</u>
SSA	1 legal entity from 1 MS or AS

- 10) **Restriction to participation**: None.
- 11) **Consortium agreement**: Participants in RTD actions resulting from this call are not required to conclude a consortium agreement.

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<sup>33</sup> The call identifier shall be given in the published version of this call.

<sup>34</sup> The director-general responsible for the call may publish it up to one month prior or after the envisaged date of publication.

<sup>35</sup> Where the envisaged of publication is either advanced or delayed (see footnote 1), closure date(s) will be adjusted accordingly in the published call for proposals.

<sup>36</sup> STREP = Specific targeted research project; CA = Coordination action; SSA = Specific support action

<sup>37</sup> MS = Member States of the EU ; AS (incl. ACC) = Associated States ; ACC : Associated candidate countries.

Any legal entity established in a Member State or Associated State and which is made up of the requested number of participant may be the sole participant in an indirect action.

12) **Evaluation procedure:**

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

13) **Evaluation criteria:**

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

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

- evaluation results: Estimated to be within some 4 months after the closure date
- conclusion of contracts: It is estimated that the first contracts related to this call will come into force by the end of 2004.

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

All closure dates refer to 2003, unless otherwise specified.

1. Research and Innovation	N/A
2. Human Resources	<p>12 calls to be published:</p> <ul style="list-style-type: none"> <li>(i) open, closures April 3 and November 19, budget 230 Meuro (*),</li> <li>(ii) open, closures April 2 and February 11, 2004, budget 130 Meuro (*),</li> <li>(iii) open, closures May 22 and May 19, 2004, budget 85 Meuro (*),</li> <li>(iv) open, closures April 1 and April 20, 2004, budget 20 Meuro (*),</li> <li>(v) open, closures March 12 and February 18, 2004, budget 110 Meuro (*),</li> <li>(vi) open, closures May 21 and February 12, 2004, budget 28 Meuro (*),</li> <li>(vii) open, closures May 21 and February 12, 2004, budget 20 Meuro (*),</li> <li>(viii) open, closures May 20 and May 18, 2004, budget 55 Meuro (*),</li> <li>(ix) open, closures May 20 and May 18, 2004, budget 0.5 Meuro (*),</li> <li>(x) open, closures May 20 and January 21, 2004, budget 10 Meuro (*),</li> <li>(xi) open until June 2004, budget 39 Meuro (*),</li> <li>(xii) open until June 2004, budget 17 Meuro (*).</li> </ul>
3. Research Infrastructures	<p>Four calls to be published:</p> <ul style="list-style-type: none"> <li>(i) closure April 15, budget 190 Meuro (*),</li> <li>(ii) closure May 6, budget 50 Meuro (*),</li> <li>(iii) closure September 2, budget 100 Meuro.</li> <li>(iii) closure October 15, budget 70 Meuro.</li> </ul>
4. Science and Society	<p>Five calls to be published:</p> <ul style="list-style-type: none"> <li>(i) open until December 9, budget 4 Meuro (*),</li> <li>(ii) closure June 5, budget 5 Meuro,</li> <li>(iii) closure May 13, budget 3 Meuro (*),</li> <li>(iv) closure May 13, budget 1 Meuro (*),</li> <li>(v) closure October 8, budget 7 Meuro,</li> <li>(vi) closure December 9, budget 2 Meuro.</li> </ul>

(\* ) Calls marked with a single asterisk are intended for publication on December 17, 2002.

**Common evaluation criteria for evaluating proposals**

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

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

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

- a) “For integrated initiatives relating to infrastructure, the prospects of the initiative’s continuing long term after the end of the period covered by the Community’s financial contribution.”

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

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

The criteria for the actions to promote and develop human resources and mobility implemented in the area of “Human resources and mobility” are dealt with in that part of the programme. Criteria for the actions implemented in the area of “Research infrastructure” are also dealt with in that part of the programme.

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

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

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

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

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

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

## Specific Targeted Research Projects or Innovation Projects

The following set of issues is intended to be a common basis for the evaluation of proposals for (1) Specific Targeted Research Projects or (2) Specific Targeted Innovation Projects.

### 1. Relevance (threshold score 3 out of 5)

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

### 2. S&T excellence (threshold score 4 out of 5)

The extent to which:

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

### 3. Potential impact (threshold score 3 out of 5)

The extent to which:

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

### 4. Quality of the consortium (threshold score 3 out of 5)

The extent to which:

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



5. Quality of the management (threshold score 3 out of 5)

The extent to which:

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

6. Mobilisation of resources (threshold score 3 out of 5)

The extent to which:

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

Overall threshold score 21 out of 30.

## Coordination Actions

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

### 1. Relevance (threshold score 3 out of 5)

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

### 2. Quality of the coordination (threshold score 4 out of 5)

The extent to which:

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

### 3. Potential impact (threshold score 3 out of 5)

The extent to which:

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

### 4. Quality of the consortium (threshold score 3 out of 5)

The extent to which:

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

5. Quality of the management (threshold score 3 out of 5)

The extent to which:

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

6. Mobilisation of resources (threshold score 3 out of 5)

The extent to which:

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

Overall threshold score 21 out of 30.

## Specific Support Actions

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

### 1. Relevance (threshold score 4 out of 5)

The extent to which

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

### 2. Quality of the support action (threshold score 3 out of 5)

The extent to which:

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

### 3. Potential impact (threshold score 3 out of 5)

The extent to which:

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

### 4. Quality of the management (threshold score 3 out of 5)

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

### 5. Mobilisation of resources (threshold score 3 out of 5)

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

Overall threshold score 17.5 out of 25.

## **The ethical review of proposals**

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

The ER panel assesses the following elements:

- The awareness of the proposers of the ethical aspects of the research they propose
- Whether the researchers respect the ethical requirements of the 6<sup>th</sup> Framework Programme.
- Whether the proposers have taken into account the legislation, regulations and/or guidelines in place in the country(ies) where the research takes place
- Whether the relevant international conventions and declarations are taken into account<sup>38</sup>
- Whether the relevant Community Directives are taken into account.
- Whether the proposer is seeking the approval/favourable opinion of relevant local ethics committees

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

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

For research involving isolated or banked human embryonic stem cells in culture and foetal tissues and cells, the ER panel assesses in particular:

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

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<sup>38</sup> Charter of Fundamental Rights of the European Union, signed in Nice, 7 December 2000  
Convention on Human rights and Biomedicine – Oviedo, 4.04. 1997 - Council of Europe  
and the Additional protocol on the prohibition of Cloning of human beings (1998)  
Universal declaration on the Human genome and human rights - Unesco - 11 November 1997  
Declaration of Helsinki (in its latest version) - World Medical Association  
Convention on the Rights of the Child – United Nations - 20 November 1989  
Amsterdam protocol on an animal protection and welfare

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

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