

THE SIXTH FRAMEWORK PROGRAMME

The Sixth Framework Programme covers Community activities in the field of research, technological development and demonstration (RTD) for the period 2002 to 2006

GUIDE FOR PROPOSERS

**participating in a competitive call for additional
Contractors in Integrated Project
SUSTAINPACK – NMP3-CT-2004-500311**

Paper submission only

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1 Introduction

1.1 Projects in the Sixth Framework programme

The participants in the consortium managing an Integrated project funded by the *Sixth Framework programme of the European Community for research, technological development and demonstration activities contributing to the creation of the European research area and to innovation (2002-2006)* can, during their initial contract negotiation with the Commission, reserve a portion of the project budget for specific tasks to be carried out by a new contractor or contractors which will join the consortium at a later date. These later-joining contractors are selected by means of competitive calls.

This Guide for Proposers contains the basic information needed to guide you in preparing a proposal to join an existing Integrated project. It shows examples of the proposal forms which comprise Part A of a proposal, and gives instructions on how to write Part B. Both parts are required to make a complete proposal¹. It also describes how the proposal should be submitted, and the criteria on which it will be evaluated.

A overview of what an Integrated project comprises and how such a project is implemented is found at

http://europa.eu.int/comm/research/fp6/instruments_en.html, or at
<http://www.cordis.lu/fp6/instruments.htm>

Conditions of participation and funding are those of the Sixth Framework programme, as defined principally in

- **Decision No. 1513/2002/EC** of the European Parliament and the Council concerning the sixth framework programme for research, technological development and demonstration activities
- **Council decision 2002/834/EC** adopting a specific programme for research, technological development and demonstration: "Integrating and strengthening the European Research Area" (2002-2006)
- **Regulation (EC) No 2321/2002** of the European Parliament and of the Council of 16 December 2002 concerning the rules for the participation of undertakings, research centres and universities in, and for the dissemination of research results for, the implementation of the European Community Sixth Framework Programme (2002-2006).

Other documents which you should consult during the preparation of your proposal are:

¹ Incomplete proposals will be ineligible and therefore will not be evaluated

- **The call text.** This text is prepared by the existing project. It describes in detail the tasks within the project which are open for proposals from additional partners, and gives the deadline and address for proposal submission..
- **The model contract and its annexes for Integrated projects.** This specifies the contractual terms and conditions with the Commission, to which your organisation must agree if you are selected to join the project consortium.
- **The consortium agreement.** This specifies the agreements made between the existing contractors concerning the management of this project.

All of the above documents may be found at:

<http://www.cordis.lu/fp6/find-doc.htm>, with the exception of the call text and the consortium agreement. Copies of these may be obtained from the existing project, at the web page www.sustainpack.com.

The proposer, which is selected to join the consortium, will be required to complete the Form B, which is annexed to the contract and its attachments, in order to accede to the contract. They will also be required to sign the pre-existing consortium agreement. Proposers are strongly recommended therefore to familiarise themselves with the model contract for Integrated projects and the consortium agreement for this project, before deciding whether they wish to proceed with a proposal.

This Guide for Proposers does not supersede the rules and conditions laid out, in particular, in Council and Parliament Decisions relevant to the Sixth Framework Programme, the Specific Programme, the Workprogramme for [NMP-priority], the Call for proposals or the Guidelines on evaluation and selection of proposals.

1.2 Funding of participation

Participation as a contractor in an FP6 Integrated project is on a cost-shared basis, the Commission making a contribution to the total cost of the work.

The call for proposals in SUSTAINPACK – NMP3-CT-2004-500311 is only open for

- *SME as defined by EU*
(http://sme.cordis.lu/docs/sme_definition_leaflet_en.pdf)
- *Demonstration activities which may receive a grant of up to 35% of eligible costs*

The funding scheme is described in more detail in the documents referenced in Section I above. Funding may be granted to any organisation or individual

established in a Member States of the EU, or in a state associated with the Sixth Framework programme. The EU Member States are: Austria, Belgium, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Slovakia, Slovenia, Spain, Sweden, United Kingdom. The states associated with the Sixth Framework programme are Bulgaria, Iceland, Israel, Liechtenstein, Norway, Romania, Switzerland and Turkey.

International organisations of European interest², and the European Commission's Joint Research Centre (JRC) are considered on the same footing as legal entities established in an EU Member state.

Organisations from countries on FP6 INCO (International Cooperation) target list will be funded on the same basis as organisations from the EU³. These include the countries of the former Soviet Union, the Western Balkans, the Mediterranean partner countries and developing countries elsewhere in the world. It also includes Croatia, which is a candidate to join the European Union but which is not at present an Associated candidate country for FP6. (Potential participants should confirm the exact situation of all these countries at the FP6 International Cooperation website, see Section VII).

Organisations from certain other countries may also receive a Community financial contribution, as defined in the Rules of Participation in FP6.

² International organisations, the majority of whose members are European Union Member States or Associated States, and whose principal objective is to promote European scientific and technological co-operation

³ Up to the limit of the amount of funding reserved for this action

2 How to prepare a proposal

2.1 One stage submission

Proposals for selection as an additional contractor in an FP6 Integrated project are submitted in a single stage, by submitting a complete proposal application which is prepared as described in this document.

Existing participants in the project may not respond to this call.

2.2 The structure of a proposal

A proposal has two parts. Full details about preparing these parts are annexed to this Guide.

- **Part A** is a set of forms which collect necessary administrative data about the proposal and the proposer e.g. proposer's name and address, brief description of the work, total funding requested by type of activity etc.
- **Part B** comprises a structure or list of headings which should be followed, rather than a preprepared form. It describes among other things the nature of the proposed work, the participant and his role in the project. A recommended /maximum length is specified for the different sections of Part B.

2.3 Proposal language

The proposal must be prepared in the working language of the project which you wish to join. This is identified in the Call text.

3 Submission of proposals

Proposals may only be submitted on paper to the address given in the call text.

Proposals must be received by the closing date of the call. Late proposals will not be evaluated.

3.1 Submission on paper

Proposal Part A – We recommend you to complete the forms electronically using the facilities provided at www.sustainpack.com then print out the completed forms for submission.

Proposal Part B – Prepare a text document following the outline supplied as an annex to this Guide.

- each page of Part B **must** be numbered (preferably in the format “page X of Y”).
- each page of Part B **must** be headed with the acronym SUSTAINPACK

Your proposal should be submitted as one complete unbound Part A and one complete unbound Part B. We will reproduce the number of copies needed by the evaluators, therefore:

- Print your proposal on white A4 paper, 80 g/m²
- Print on one side of the paper only; no two-sided copies please
- Do not convey information using colour; the copies will be made in black and white
- Do not use glossy or surfaced paper
- Do not include paper clips or staples
- Do not include front or back covers of plastic, card etc.
- Do not bind your proposal

You are strongly advised to securely retain an additional complete unbound copy of your proposal.

3.2 Multiple submissions

Proposer may submit more than one version of their proposal, for example if an error is discovered and you wish to send a corrected version before the call closes. If multiple paper versions are submitted, the one which was last to arrive before the close of call will be evaluated.

3.3 Deadline for reception

Proposers are reminded that it is their own responsibility to ensure the timely submission of their proposal.

Paper submission

Proposals submitted on paper must be received before the deadline **at the address specified in the call**. If you send or deliver your proposal to any other address, its time of receipt is still based on its time of arrival at the address specified in the call, there is a high probability it will not reach that address in time.

3.4 Acknowledgement of receipt

As soon as possible after the close of call, an Acknowledgment of receipt will be mailed to you. The sending of an Acknowledgement of receipt does not imply that a proposal has been accepted as eligible for evaluation.

4 Proposal evaluation and selection

The consortium will evaluate proposals received in the light of the criteria that governed the Commission's original evaluation and selection of their project, using the attached forms and with the assistance of two experts who are independent of any member of the consortium and of any proposer. The experts will be taken from the fields of science and/or industry and/or have experience in the field of innovation and also with the highest level of knowledge, and be internationally recognised authorities in the relevant specialist area. The experts will record their individual opinion of each proposal on the attached "individual" evaluation forms. They will then meet or communicate together to prepare a "consensus" form for each proposal. Using the scores given on the consensus form, the consortium will normally select the highest scoring proposal. However, the consortium is not obliged to select the highest scoring proposal where it has objective grounds for objecting to the participant, for example commercial competition. In this case, the choice may pass to the next-ranked proposal. In addition, the consortium may conclude that even the highest scoring proposal is of inadequate quality, in which case it will make no selection. In the event of no selection being made, the consortium may or may not re-open the call at a later date.

5 Proposer checklist

For **PAPER** submission of your proposal you must check the following:

- ? Have you completed both a Part A and a Part B?
- ? Does the instrument type on the header of each of your forms (Part A) indicate “Integrated project”?
- ? Is each page of your proposal headed with the project acronym?
- ? Is each of the pages numbered (page X of Y)?
- ? Is your proposal prepared as one complete unbound single-sided paper copy (plus one additional copy for you to hold in reserve)?
- ? Is the copy of your proposal complete, with no pages missing?
- ? Is the complete set of proposal documentation placed in a package, correctly addressed using the address given in the call text?
- ? Last but not least, have you made all possible arrangements to ensure that the proposal arrives before the deadline?

6 Support to proposers

6.1 Information Desk for the call

The address from where you can get further information on the call is:

STFI-Packforsk AB, Co-ordinator
Drottning Kristinas Väg 61
P O Box 5604
SE-114 86 Stockholm
Sweden
Tel: +46 8 67 67 000

Contact persons:

Lars Erik Johansson, Email: larserik.johansson@stfi.se

Kennert Johansson, Email : kennert.johansson@stfi.se

6.2 Website

<http://www.sustainpack.com>

6.3 National Contact Points

The [NMP] Priority supports a network of National Contact Points (NCPs), which can be helpful to organisations from their country both in general advice and particularly on preparing proposals. Organisations should contact the NCP of their own country for further information (see Section 7).

6.4 The Intellectual Property Rights Helpdesk

The IPR-Helpdesk has as its main objective to assist potential and current contractors taking part in Community funded projects on Intellectual Property Rights issues, and in particular on Community diffusion and protection rules and issues relating to IPR in international projects. Another objective is to raise awareness in the European research community on IPR issues, emphasising their European dimension.

It operates a free helpline, offering a first line assistance on IPR related issues. The helpline is run in English, French, Italian, German and Spanish.

Website: <http://www.ipr-helpdesk.org>

Helpline (detailed queries): ipr-helpdesk@ua.es

tel +34 96 590 97 18; fax +34 96 590 97 15

7 References

Potential proposers could consult the following documents:

Legal decisions

Decision on the Framework Programme Participation rules Specific decision "Integrating and strengthening the European Research Area" (includes the NMP Priority)	http://www.cordis.lu/find-doc.htm
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General information

Existing NMP projects	http://www.cordis.lu/[Priority abbreviation]/projects/projects.htm
Brochure "The FP6 in Brief" Guides for Proposers NMP Workprogramme	http://www.cordis.lu/[Priority abbreviation]
Information on instruments	http://www.cordis.lu/fp6/instruments/

Supporting information

CORDIS FP6 service	http://www.cordis.lu/fp6/
Document search	http://www.cordis.lu/fp6/find-doc.htm
National Contact Points	http://www.cordis.lu/fp6/ncp.htm
NMP Information Days and other events	http://fp6.cordis.lu/[Priority abbreviation]/events/events.cfm
IPR helpdesk	http://www.ipr-helpdesk.org
IPR issues	http://www.cordis.lu/fp6/ipr-issues
ETI actions	http://sme.cordis.lu/economic/eti_projects.cfm
International co-operation (INCO) target countries	http://www.cordis.lu/fp6/inco.htm

Contractual information

Contract Preparation Forms Model contracts	http://europa.eu.int/comm/research/fp6/workinggroups/model-contract/index_en.html
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Annex 1 – Demonstrators

The Sustainpack –project is intended to achieve a number of Demonstrators. These Demonstrators will show the ability to perform packaging based on renewable resources.

The Open Call is intended to link to the project SME, able to contribute to the Development of Demonstrators.

A description of each Demonstrator and the envisaged development knowledge needed is to be found in the Demonstrator document on www.sustainpack.com

Annex 2 – Proposal Part A

See Contract Preparation Forms displayed on www.sustainpack.com.

Annex 3 – Proposal Part B

Instructions for preparing part B of a proposal for inclusion as an additional partner in Sustainpack NMP3-CT-2004-500311

Front page

Full title of the existing project you wish to join

Acronym of the existing project

Contract number of existing project

Type of instrument in this case: Integrated project

Date of preparation of your proposal

Your organisation's name

Name of contact person in your organisation

Contact person's telephone number

Contact person's email

Contact person's fax

Contents page

Show contents list

Proposal summary page

Full title of the existing project you wish to join

Acronym of the existing project

Proposal abstract

B.0 Tasks addressed

Indicate which Demonstrator(s) within the call this proposal addresses. See Demonstrator document.

B.1 Outline implementation plan

Then describe in detail as many of the following as are relevant to your proposal:

Demonstration activities: Describe in detail how you could contribute to the development of the respective Demonstrator project in which you apply to participate. Show the relevance and contribution of each to the work elements you would like to undertake. (Recommended length for the whole section B.1 – two pages per Demonstrator).

Examples of how a company may contribute to the project are:

- **Provision of converting expertise and equipment** – a key requirement for many of the demonstrator projects will be to evaluate the potential for scale-up from laboratory to pilot and commercial production. SME's who can provide relevant converting equipment, either on a pilot scale or on commercial scale for pre-competitive production/conversion trials, will be considered
- **Filling equipments** – it is anticipated that some demonstrator projects will progress as far as filling trials. SMEs that can provide access to appropriate filling equipment, either on a pilot scale or on a commercial scale for pre-competitive filling trials will be considered. This may include SME brand owner companies, SME contract fillers/contract packers, or other SME organisations with access to appropriate filling equipment
- **Production or provision of tooling** – for some of the materials new tooling to adapt existing converting/filling lines may be required. This could include moulds for producing packaging samples from thermoformable or injection moulded fibre-based polymer matrices. This tooling may be required for either pilot production (to evaluate both processability of the materials and pack performance) and for scaled-up (but pre-competitive) production trials
- **Scale-up expertise** – SMEs with specific expertise or experience in the scale-up of laboratory materials/processes to pilot and/or pre-competitive full-scale production could potentially contribute to the skills base of the demonstrator project teams.
- **Additional (novel) materials** – applications will be considered in instances where an applicant can show that a demonstrator project may be enhanced or improved by combining the Sustainpack materials with other novel packaging materials or additives. In such instance, the applicant would be applying for funding for their effort and contribution to the project through materials and process development, trials, testing, etc. Funding would not be available to simply cover the cost of purchasing materials.

The examples suggested here are not exhaustive. The Sustainpack team welcomes innovative thinking and approaches, and applicants should not limit their thinking to the areas described here.

Your application should explain how your organisation will bring new skills and/or facilities to the Sustainpack Demonstrator project teams which will enhance the ability of Sustainpack to deliver strong Demonstrator projects. In particular, you should highlight where your company can add value or bring novel techniques, materials or expertise to the project.

B.2 Description of the participant

Describe your organisation. Demonstrate that you are capable of achieving the objectives, and how you are suited and are committed to the tasks, which will be assigned to you. Show complementarity between yourself and the existing participants. (Recommended length for the whole section B.2 – two pages)

Other countries: If you are based outside of the EU Member and Associated states, explaining terms of the project's objectives why you should be included, describe the level of importance of your contribution to the project and the unique skills or qualities which you bring from outside the EU/AS. (Recommended length –one page).

B.3 Project resources

IP Project Effort Form. Complete an IP Project Effort Form (given below) to show your person-months associated with each activity identified in the sections above (As a solo participant, you complete the column for “Participant no. 1” and then insert identical figures in the column “Total participants”).

IP management level justification of resources and budget. Describe the resources needed to carry out the work (personnel, equipment, finance...). Demonstrate how you will mobilise the critical mass of resources necessary for success; show how the resources will be integrated to form a coherent whole, and show that your financial plan for your contribution to the project is adequate. (Recommended length –two pages).

B.4 Other issues

If relevant to your work package, show how you will contribute to the project's efforts to engage with actors beyond the research community, to help spread awareness and knowledge and to explore wider societal implications. If relevant set out synergies with education at all levels. If there are gender issues associated with the work package, show how they have been adequately taken into account.

If there are ethical issues associated with your activities within the network, show how they have been taken into account - indicate which national and international regulations are applicable and explain how they will be respected. Explore

potential ethical aspects of the implementation of network results. In all cases include the Ethical issues checklist given below.

IP Project Effort Form

Full duration of project

(insert person-months for activities in which participants are involved)

IP Effort Form⁴

Project number (acronym): Sustainpack

<i>IP Activity Type</i>	Participant						TOTAL PARTICIPANTS
-------------------------	-------------	--	--	--	--	--	--------------------

Demonstration activities							
Demonstrator no							
Demonstrator no							
Demonstrator no							
Demonstrator no							
TOTAL ACTIVITIES							

⁴ Specify efforts in person months

Ethical issues checklist**Table A. Proposers are requested to fill in the following table**

Does your proposed research raise sensitive ethical questions related to:	YES	NO
Human beings		
Human biological samples		
Personal data (whether identified by name or not)		
Genetic information		
Animals		

If you answer “YES” to any of the above, please include in your proposal section B.4 the more detailed version of Table A (“Crucial information”) obtained from:

http://europa.eu.int/comm/research/science-society/ethics/rules_en.html

and also incorporate in section B.4 and in other appropriate parts of your proposal comments corresponding to the detailed instructions given in sections C-D at the above address

Table B. Proposers are requested to confirm that the proposed research does not involve:

- Research activity aimed at human cloning for reproductive purposes,
- Research activity intended to modify the genetic heritage of human beings which could make such changes heritable⁷
- Research activity intended to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.

	YES	NO
Confirmation: The proposed research involves none of the issues listed in Table B		

Further information on ethics requirements and rules are given at the science and ethics website at

http://europa.eu.int/comm/research/science-society/ethics/ethics_en.html

Annex 4 – Evaluation forms

Individual Assessment Report for an Integrated Project

Proposal id: SUSTAINPACK NMP3-CT-2004-500311

1 – poor: 2 – fair: 3 – good: 4 - very good: 5 – excellent

0 -the proposal fails to address the issue/cannot be judged against the criterion due to missing or incomplete information

Half marks may be given

1. S&T excellence (<i>Threshold 4/5</i>)	Mark:
2. Quality of the proposer (<i>Threshold 3/5</i>)	Mark:

<p>3. Mobilisation of the resources (<i>Threshold 3/5</i>)</p>	<p>Mark:</p>
<p>Overall score (<i>Threshold 12.5/15</i>)</p>	<p>Mark:</p>

I declare that, to the best of my knowledge, I have no direct or indirect conflict of interest in the evaluation of this proposal

Name	
Signature	
Date	

Consensus Report for an Integrated Project

Proposal id:

1 – poor: 2 – fair: 3 – good: 4 - very good: 5 – excellent

0 -the proposal fails to address the issue/cannot be judged against the criterion due to missing or incomplete information

Half marks may be given

<p>1. S&T excellence (<i>Threshold 4/5</i>)</p>	<p>Mark:</p>
<p>2. Quality of the proposer (<i>Threshold 3/5</i>)</p>	<p>Mark:</p>

<p>3. Mobilisation of the resources (<i>Threshold 3/5</i>)</p>	<p>Mark:</p>
<p>Overall score (<i>Threshold 12.5/15</i>)</p>	<p>Mark:</p>

	Evaluator	Evaluator
Name		
Signature		
Date		