

**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



**Contract Preparation  
Forms (CPF)  
and explanatory notes**

for

**Coordination Actions for  
Research Infrastructures  
(CA Infrastructures)**

October 2003 Version III

# Contract Preparation Forms



EUROPEAN COMMISSION  
6<sup>th</sup> Framework Programme on  
Research, Technological  
Development and Demonstration

Support for Research Infrastructures  
Integrating Activities

**Co-ordination Action**

# A1

Proposal Number <sup>1</sup>		Proposal Acronym <sup>2</sup>	
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## GENERAL INFORMATION ON THE PROPOSAL

Proposal Title <sup>3</sup>			
Duration in months <sup>4</sup>		Call (part) identifier <sup>5</sup>	
Activity code(s) most relevant to your topic <sup>6</sup>			
Keyword code 1 <sup>7</sup>			
Keyword code 2 <sup>7</sup>			
Keyword code 3 <sup>7</sup>			
Class of infrastructure <sup>8</sup>			

Abstract<sup>9</sup> (max. 2000 char.)

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# Contract Preparation Forms



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6<sup>th</sup> Framework Programme on  
Research, Technological  
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Support for Research Infrastructures  
Integrating Activities  
**Co-ordination Action**

# A2a

Proposal Number <sup>1</sup>		Proposal Acronym <sup>2</sup>		Participant number <sup>34</sup>	
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## INFORMATION ON PARTICIPANTS 1 OF 3 (ONE FORM PER PARTICIPANT)

<b>Participating organisation</b>					
Organisation legal name <sup>10</sup>					
Organisation short name <sup>11</sup>					
<b>Legal address</b>					
PO Box <sup>12</sup>		Postal Code		Cedex <sup>12</sup>	
Street name and number <sup>12</sup>					
Town		Country <sup>13</sup>			
Internet homepage					
Legal registration number <sup>14</sup>				VAT number <sup>15</sup>	
If necessary, legal trade register <sup>16</sup>					
Activity Type <sup>18</sup> HE, RES, IND, OTH					
<b>Legal status</b> <sup>19</sup>					
Is your organisation governmental or "private" <sup>20</sup> ? (GOV/PRIV)					
If your organisation is governmental, is it an international (intergovernmental) or a national governmental organisation <sup>24</sup> ? (INO/NAO)					
If your organisation is an international governmental organisation, is it an international European interest organisation <sup>25</sup> ? (YES/NO)					
If your organisation is "private", is it a public body <sup>23</sup> ? (YES/NO)					
If your organisation is "private" and is not a public body, is its participation guaranteed by a Member State or an Associated State? (YES/NO)					
Is your organisation commercial (i.e. engaged in an economic activity) or non-commercial <sup>21</sup> ? (C/NC)					
If your organisation is "private" commercial, please specify the type <sup>22 17</sup>					

If your organisation is "private" commercial, please complete the following table						
Annual turnover (in euro)		Number of employees		Balance sheet total (in euro)		Year
Is your organisation controlled by 25% or more by one or several legal entity(ies)? <sup>26</sup> (YES/NO)						

Is your organisation an SMEs (Industrial) Association/Grouping <sup>28</sup> ? (YES/NO)	
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Cost model: Full Costs(FC), Full cost flat rate (FCF), Additional Costs (AC) <sup>41</sup>	
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Are there dependencies between your organisation and (an) other participant(s) in the proposal? <sup>27</sup> (YES / No)		
If yes, participant number		If yes, organisation short name
If yes, participant number		If yes, organisation short name
If yes, participant number		If yes, organisation short name

Total R&D expenditure (in euro)		Number of R&D personnel	
Number of researchers and engineers	Female		Male

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# A2b

Proposal Number <sup>1</sup>		Proposal Acronym <sup>2</sup>		Participant number <sup>34</sup>	
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## INFORMATION ON PARTICIPANTS 2 OF 3 (ONE FORM PER PARTICIPANT)

### Administrative official authorised to sign the contract

Name			First name(s)		
Title <sup>30</sup>		Position <sup>31</sup>			Sex <sup>32</sup> : Female = F, Male = M
Phone <sup>33</sup>			Fax <sup>33</sup>		
e-mail					

### Second administrative official authorised to sign the contract

Name			First name(s)		
Title <sup>30</sup>		Position <sup>31</sup>			Sex <sup>32</sup> : Female = F, Male = M
Phone <sup>33</sup>			Fax <sup>33</sup>		
e-mail					

### Main department/faculty/institute/laboratory carrying out the work<sup>29</sup>

Department/Faculty/Institute /Laboratory name					
Address (if different from legal address)					
PO Box <sup>12</sup>		Postal Code		Cedex <sup>12</sup>	
Street name and number <sup>12</sup>					
Town			Country <sup>13</sup>		

### Authorised contact person / Team leader<sup>35</sup>

Name			First name(s)		
Title <sup>30</sup>		Position <sup>31</sup>			Sex <sup>32</sup> : Female = F, Male = M
Phone <sup>33</sup>			Fax <sup>33</sup>		
Email					

### Other major department/faculty/institute/laboratory carrying out the work (if necessary)<sup>29</sup>

Department/Faculty/Institute /Laboratory name					
Address (if different from legal address)					
PO Box <sup>12</sup>		Postal Code		Cedex <sup>12</sup>	
Street name and number <sup>12</sup>					
Town			Country <sup>13</sup>		

Previously submitted similar proposals or signed contracts?<sup>36</sup> (YES / NO)

If yes, programme name(s) and year

If yes, proposal or contract number(s)

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Optional section: If requested during negotiation, please complete the following table:

Does your project include socio-economic research activities <sup>37</sup> ? (YES/NO)	
If Yes, what is the estimated allocated total cost of resources and means that address these activities <sup>38</sup> ? (in euro)	
Does your project include foresight methods? (YES/NO)	
How many person months of the tasks in this project are allocated to scientists with a prevailing educational background in social, economic and/or human sciences?	

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# A2c

Proposal Number <sup>1</sup>		Proposal Acronym <sup>2</sup>		Participant number <sup>34</sup>	
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## INFORMATION ON PARTICIPANTS 3 OF 3 (ONE FORM PER PARTICIPANT)

### Certified Declaration by each participant (including the coordinator - participant n°1)

I certify that the information relating to our organisation set out in forms A2, A3 and A5 is accurate and correct, that the estimated costs meet the criteria for eligible costs for FP6 projects, as established by the EC contract and our normal cost accounting principles, and that they reflect the estimated costs expected to be incurred in carrying out the work described in Annex I (description of work).

I also certify that

**Organisation legal name<sup>10</sup>**

is committed to participate in the above mentioned project;

- a) has stable and sufficient sources of funding to maintain its activity throughout its participation in the project and to provide any counterpart funding necessary.
- b) has or will have the resources as and when needed to carry out its involvement in the above mentioned project.

As required by Article 93 of Council Regulation (EC, Euratom) N° 1605/2002 of 25 June 2002 on the Financial Regulation applicable to the general budget of the European Communities [OJ L248, 16.09.2002, p. 1], I certify that none of the following cases apply to our organisation:

- a) it is bankrupt or being wound up, is having its affairs administered by the courts, has entered into an arrangement with creditors, has suspended business activities, is the subject of proceedings concerning those matters, or is in any analogous situation arising from a similar procedure provided for in national legislation or regulations;
- b) it has been convicted of an offence concerning its professional conduct by a judgement which has the force of *res judicata*;
- c) it has been guilty of grave professional misconduct proven by any means which the contracting authority can justify;
- d) it has not fulfilled obligations relating to the payment of social security contributions or the payment of taxes in accordance with the legal provisions of the country in which it is established or with those of the country of the contracting authority or those of the country where the contract is to be performed;
- e) it has been the subject of a judgement which has the force of *res judicata* for fraud, corruption, involvement in a criminal organisation or any other illegal activity detrimental to the Communities' financial interests;
- f) following another procurement procedure or grant award procedure financed by the Community budget, it has been declared to be in serious breach of contract for failure to comply with its contractual obligations.

I understand that any potential contractor who has committed an irregularity in the implementation of any other indirect action may be excluded from the selection procedure at any time, with due regard being given to the principle of proportionality (as provided for in Article 10.5 of the Rules for participation and dissemination of results of the Sixth Framework Programmes).

<b>Name<sup>39</sup></b>		<b>First name (s)</b>	
<b>Date</b> DD/MM/YYYY		<b>Signature of the administrative official</b> <i>authorised to sign the contract or to</i> <i>commit the organisation</i>	

The participant organisation is aware that:

- a) any potential contractor who can not certify that none of the above situations apply, shall be excluded from participation in any future contract;
- b) any potential contractor having been found guilty of misrepresentation in supplying the information required as a condition for participation in the contract or failing to supply such information shall be excluded from participation in any future contract;

<b>Only for non-public bodies:</b> Legal documents establishing the organisation are attached YES/NO <sup>40</sup>	
If NO, date (dd/mm/yyyy) and Commission programme name for delivery of legal documents during last six months or confirmation that the information provided more than six months ago has not changed (and the date and name of Commission programme to which information was provided)	

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# A3.1

Proposal Number <sup>1</sup>		Proposal Acronym <sup>2</sup>	
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Financial information – whole duration of the project								
Participan <sup>o</sup>	Organisation short name	Cost model used <sup>41</sup>	Estimated eligible costs and requested EC contribution (whole duration of the project)		Costs and EC contribution per type of activities <sup>41</sup>		Total (3)=(1)+(2)	Total receipts <sup>41</sup>
					Coordination activities <sup>42</sup> (1)	Consortium Management activities <sup>43</sup> (2)		
			Eligible costs	Direct costs (a)				
				of which subcontracting				
				Indirect costs (b)				
				Total eligible costs (a)+(b)				
			Requested EC contribution					
			Eligible costs	Direct costs (a)				
				of which subcontracting				
				Indirect costs (b)				
				Total eligible costs (a)+(b)				
			Requested EC contribution					
			Eligible costs	Direct costs (a)				
				of which subcontracting				
				Indirect costs (b)				
				Total eligible costs (a)+(b)				
			Requested EC contribution					
			Eligible costs	Direct costs (a)				
				of which subcontracting				
				Indirect costs (b)				
				Total eligible costs (a)+(b)				
			Requested EC contribution					
TOTAL <sup>44</sup>			Eligible costs					
			Requested EC contribution					

# Contract Preparation Forms



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# A3.2

Proposal Number <sup>1</sup>		Proposal Acronym <sup>2</sup>	
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Estimated breakdown of the EC contribution per reporting period				
Reporting Periods	Start month	End month	Estimated Grant to the Budget	
			Total	In which first six months
Reporting Period 1	1			
Reporting Period 2				
Reporting Period 3				
Reporting Period 4				
Reporting Period 5				
Reporting Period 6				
Reporting Period 7				





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# A5

Proposal Number <sup>1</sup>		Proposal Acronym <sup>2</sup>	
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## Confirmation of additional financial information annexed to the contract preparation forms

**For the coordinator (information is obligatory, except for public bodies<sup>23</sup> and for contractors whose participation is guaranteed by a Member State/Associated State):**

Audited financial accounts for the last three full financial years (certified profit and loss accounts + balance sheets) YES/NO

Financial information for the last full financial year in the format enclosed in Form A6 YES/NO

**For contractors other than the coordinator (information obligatory under certain circumstances<sup>45</sup>)**

Participant number of contractor concerned

Audited financial accounts for the last three full financial years (certified profit and loss accounts + balance sheets) YES/NO

Financial information for the last full financial year in the format enclosed in Form A6 YES/NO

If the answer to the above two questions is NO, Commission programme name and contract number to which the information has been supplied in the last 12 months

## Certified declaration by the coordinator (participant n°1)

I certify that the information set out in forms A1, A3, A4 and A5 is accurate and correct and agreed by all contractors (if applicable). I also confirm that our organisation is committed to participate to the above-mentioned project and to act as coordinator for the project.

Name <sup>39</sup>		First name (s)	
Date DD/MM/YYYY		Signature of the administrative official authorised to sign the contract or to commit the organisation	

# Contract Preparation Forms



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# A6

Proposal Number <sup>1</sup>		Proposal Acronym <sup>2</sup>		Participant number <sup>34</sup>	
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## Simplified balance sheet and profit and loss account<sup>46</sup>

Closing date <sup>47</sup> t0 (dd/mm/yyyy)		Duration <sup>47</sup> t0 (months)		Closing date <sup>47</sup> t-1 (dd/mm/yyyy)		Duration <sup>47</sup> t-1 (months)	
Less than three annual balance sheets YES/NO				Currency			

### Balance sheet

Assets	t0	t-1
1. Subscribed capital unpaid		
<b>2. Fixed assets (2.1+2.2+2.3)</b>		
2.1 Intangible fixed assets		
2.2 Tangible fixed assets		
2.3 Financial assets		
<b>3. Current assets (3.1+3.21+3.22+3.3+3.4)</b>		
3.1 Stocks		
3.2.1 Debtors due within one year		
3.2.2 Debtors due after one year		
3.3 Cash at bank and in hand		
3.4 Other current assets		
<b>Total assets (1.+2.+3.)</b>		
Liabilities	t0	t-1
<b>4. Capital and reserves (4.1+4.2+4.3+4.4)</b>		
4.1 Subscribed capital		
4.2 Reserves		
4.3 Profit and loss brought forward		
4.4 Profit and loss brought forward for the financial		
<b>5. Creditors (5.1.1+5.1.2+5.2.1+5.2.2)</b>		
5.1.1 Long term non-bank debt		
5.1.2 Long term bank debt		
5.2.1 Short term non-bank debt		
5.2.2 Short term bank debt		
<b>Total liabilities (4.+5.)</b>		

### Profit and loss

	t0	t-1
6. Turnover		
7. Variation in stocks		
8. Other operating income		
9. Costs of material and consumables		
10. Other operating charges		
11. Staff costs		
<b>12. Gross operating profit (6.+7.+8.-9.-10.-11.)</b>		
13. Depreciation and value adjustments on non-financial assets		
<b>14. Net operating profit (12.-13.)</b>		
15. Financial income and value adjustments on financial assets		
16. Interest paid		
17. Similar charges		
<b>18. Profit/loss on ordinary activities (14.+15.-16.-17.)</b>		
19. Extraordinary income and charges		
20. Taxes on profits		
<b>21. Profit/loss for the financial year (18.+19.-20.)</b>		

# How to complete the contract preparation forms

## Introduction

This document provides guidance on how to complete the attached administrative forms. More information useful for negotiating and managing a contract can be found in the FP6 Financial Guidelines (see [http://www.europa.eu.int/comm/research/fp6/working-groups/model-contract/index\\_en.html](http://www.europa.eu.int/comm/research/fp6/working-groups/model-contract/index_en.html)) and in the Negotiation Guidance Notes (see <http://www.cordis.lu/fp6/contractpreparation>).

The contract preparation forms will be an integral part ('Part A') of your contract negotiation documents for a Coordination Action. Forms can be pre-filled with information from your proposal. Modifications are possible for most of the fields. **It is recommended to prepare and send the contract preparation forms electronically, using a software tool provided by the Commission (CPF Editor).** In addition a paper copy with original signatures has to be sent to the Commission officer indicated in the letter opening the negotiation.

## How to complete the forms

- The coordinator fills in forms A1, A3.1, A3.2, A4 and A5
- The contractors (including the coordinator) fill in one A2a, one A2b and one A2c form each
- Some contractors, to be identified in form A5, fill in form A6 (see note 45)

Subcontractors are not required to fill in forms.

## Signatures

Draft versions of the contract preparation forms, serving as starting point for the negotiation, can be sent to the Commission electronically, i.e. without original signatures. The final version of the contract preparation forms agreed at the end of the negotiations with the Commission has to be signed in the following way:

- For each contractor (including the coordinator), one of the three persons indicated in form A2b signs the A2c form; the person signing must be entitled to legally commit his/her organisation.
- For the coordinator, one of the three persons indicated in form A2b signs the A5 form, certifying the honorary declaration preceding the signature field. This means, **the coordinator has to sign twice**: as a participant like all the others on its A2c form and as the coordinator on form A5. The person signing must be entitled to legally commit his/her organisation.

## Electronic CPF editor

For completing the forms, the CPF editor for your proposal will be available for download at a Commission website with the contract preparation forms pre-filled with data from your proposal. Details are explained in the letter to start negotiation.

## Filling paper forms

Please keep forms A1 to A6 as clean as possible and do not fold, staple or amend them with correction fluid. Enter your data only in the white space on the forms, and do not type outside the boundaries or use more characters than the maximum indicated for certain fields as the data then may be truncated in the Commission's database. **In particular in forms A3.1, A3.2, do not add any lines or columns to the cost tables. Use additional copies of the A3 sheets if there are more participants than the number of lines allows for.**

For questions requiring a choice between different boxes, please enter X in the appropriate space. In case of paper submission, you may find it easier to do this by hand in black ink, rather than try to line up a single typed character. For numbers, (amount, duration, etc.), please round to the nearest whole number. Do not insert any character or space to separate the digits in a number. Please remember to indicate the proposal acronym and proposal number in all sheets of the forms (part A) where indicated, and on every page of the other parts, including any annexes. All costs must be given in € (euro) (and not kilo € (euro)) and must exclude value-added tax (VAT).

**In addition to the administrative information provided in the forms (part A), contract preparation documents must also contain a part B, describing the content and the management of your proposed project. The layout and structure of part B are described in the Negotiation Guidelines. The final part B will become the Annex I of the contract (the Description of Work).**

**Moreover, under certain circumstances, financial documents on contractors have to be annexed as listed in form A5 (see also note 45).**

## **1 Proposal number**

The proposal number has been assigned by the Commission as the unique identifier for your project. It cannot be changed. The proposal number **should appear on each page of the contract preparation documents (part A and part B)** to prevent errors during its handling.

## **2 Proposal acronym**

Use the proposal acronym as given in the submitted proposal. It cannot be changed unless agreed so during the negotiations. The **same acronym should appear on each page of the contract preparation documents (part A and part B)** to prevent errors during its handling.

## **3 Proposal Title**

Use the title (no longer than 200 characters) as given in the submitted proposal. Minor corrections are possible if agreed so during the negotiation. It should be understandable also to the non-specialist in your field.

## **4 Duration**

Insert the estimated duration of the project in full months. Deviations from the duration in the original proposal must be justified.

## **5 Call (part) identifier**

The call (part) identifier is the reference number given in the call or part of the call you were addressing, as indicated in the publication of the call in the Official Journal of the European Union. You have to use the identifier given by the Commission in the letter opening the negotiation.

## **6 Activity code(s) most relevant to your topic**

Use as the first activity code the one set out in the letter opening the negotiation followed by the code(s) given in your proposal – if any. Changes are possible in case of material errors (for the list see <http://www.cordis.lu/fp6/activitycodes>).

## **7 Keyword codes from thesaurus**

Use the codes from your original proposal. Changes are possible (see hierarchical list available at <http://www.cordis.lu/fp6/keywords>.)

## **8 Class of Infrastructures**

Choose the one of the following classes most appropriate to the infrastructure related to your proposal:

Analytical Facilities  
Astrophysics  
Bio NMR  
Biological Sciences  
Biomedical Sciences  
Communication Network Development  
Energy  
Environment  
Free Electron Lasers  
High Magnetic Fields  
Hydraulics  
Lasers  
Manufacturing  
Mathematics  
Nanotechnologies  
Neutrons, Muons  
Nuclear Physics  
Oceanography  
Socio-economic Sciences and Humanities  
Structural Engineering  
Supercomputers  
Synchrotrons  
Transport  
Other

## **9 Abstract**

Use the abstract from your original proposal. Changes are possible.

You should not use more than 2,000 characters. The abstract should, at a glance, provide the reader with a clear understanding of the objectives of the proposal and how the objectives will be achieved, and their relevance in the context of the objectives of the specific programme and the work programme. This summary will be used as the short description of the project for the public following contract signature and in communications to the programme management committees and other interested parties. It must therefore be short and precise and should not contain confidential information. Please use plain typed text, avoiding formulae and other special characters.

## 10 Organisation legal name

Official name of participant organisation. If applicable, name under which the participant is registered in the official trade registers.

## 11 Organisation short name

The short name chosen by the participant for this proposal. This should normally not be more than 20 characters and the same should be used for the participant in all documents relating to the proposal.

## 12 Address data

Fill in only the fields forming your complete postal address . If your address is specified by an indicator of location other than a street name and number, please insert this instead.

## 13 Country

Insert the name of the country as commonly used.

## 14 Legal registration number

If applicable, insert the organisation's legal national registration number.

## 15 VAT number

If applicable, insert the organisation's Value Added Tax (VAT) number from the VAT register.

## 16 Legal trade register

If necessary to obtain a complete identification of your organisation, insert code of the legal trade register, e.g. the Chambers of Commerce register or the business register.

## 17 European Economic Interest Group (EEIG) or other legal entity made up of several independent legal entities

The EEIG is a flexible and light transnational structure, which enables its members to interlink some of their economic activities while retaining their economic and legal independence. The formation of an EEIG gives rise to an independent legal entity with legal capacity, eligible to propose as a single participant if the members fulfil the minimum consortium criterion. If a participant has the legal status of an EEIG or a similar legal entity made up of several independent legal entities, a document on the composition of the EEIG has to be added to part B of the contract preparation documents, in order to allow the Commission to check the eligibility criterion of the minimum consortium (see Evaluation Manual and call text).

## 18 Activity Type

Please insert the abbreviation for the activity type most appropriate to the organisation (only one), according to the following explanations:

- **HE-Higher Education:** organisations only or mainly established for higher education/training, e. g. universities, colleges
- **RES-Research:** organisations only or mainly established for carrying out research activities
- **IND-Industry:** industrial organisations private and public, both manufacturing and industrial services – such as industrial software, design, control, repair, maintenance;
- **OTH-Others:** Organisations not fitting in one of the above categories

## 19 Legal Status

The legal status of contractors in FP6 has to be characterised in several aspects, which are summarized in the set of questions:

Governmental or private?  
Commercial or non-commercial?

In addition:

- private organisations have to specify if they are public bodies in the sense of the FP6 rules for participation;
- governmental organisations have to specify if they are international (i.e. intergovernmental) or national; if they are international they have to further specify if they are international **European Interest** organisations
- private commercial organisations have to specify the exact type (e.g. SA, Ltd., GmbH, EEIG, physical person).

The complete legal status will be deduced from the replies to the set of questions. Thus, the combinations reflected in the following overview are, in principle, possible:

Legal entity							
Governmental				Private			
Commercial		Non-commercial		Commercial		Non-commercial	
National	International (European interest Yes/No)	National	International (European interest Yes/No)	Public body	Non-public body	Public body	Non-public body

## 20 Governmental or private organisation

A governmental organisation is one owned by the state and/or acts on behalf of and represents the state or whose legal personality cannot be distinguished from the state. A private organisation is one whose legal personality is independent from the state (or any organ of that state) in which it is established.

Please insert “GOV” for governmental or “PRIV” for private, as applicable.

## 21 Commercial or non-commercial organisation

A commercial organisation is any legal entity engaged in an economic activity. This includes those whose primary activity is industry, trade or provision of services with a view to generating a revenue, either in order to distribute it to its shareholders or owners (profit making organisations) or to use it in the implementation of its activities (non-profit making organisations like foundations or associations)

A non-commercial organisation is one which is not commercial.

Please insert “C” for commercial or “NC” for non-commercial, as applicable.

## 22 Type of private commercial organisation

If you are a private commercial organisation, please indicate the exact type of organisation (e.g.: SA, Ltd., GmbH, AG, EEIG (see note 17), physical person, foundations, associations etc.).

## 23 Public body

In the sense of the FP6 participation rules, a public body is a public sector body or a legal entity governed by private law with a public service mission providing adequate financial guarantees. Please insert “YES” or “NO”, as applicable to your organisation.

Governmental organisations are public bodies by definition. These should insert ” - “.

## 24 National or international governmental organisations

Governmental organisations can be national or international (i.e. intergovernmental, such as ESA, CERN, EMBL). Please insert “NAO” for national or “INO” for international organisation.

The question is **not applicable to private organisations**. These should insert “ – “. (multinational private companies or international private non-profit organisations are **not** regarded as international organisations in the above sense).

## 25 International European Interest Organisation

These are international organisations (INO, see note 24), 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

## 26 Independence of an organisation (SME Criteria)

In compliance with the Commission Recommendation 96/280/EC [ OJ L 107, 30.4.1996, p. 4.] relating to the definition of an SME, your answer to this question will be:

### NO:

- if your organisation is not owned as to 25% or more of the capital or the voting rights by one enterprise, or jointly by several enterprises, falling outside the definition of an SME;

or

- if your organisation is held by public investment corporations, venture capital companies or institutional investors, provided no control is exercised either individually or jointly ;

or

- if the capital of your organisation is spread in such a way that it is not possible to determine by whom it is held and if your organisation declares that it can legitimately presume that it is not owned as to 25 % or more by one enterprise, or jointly by several enterprises, falling outside the definitions of an SME or a small enterprise, whichever may apply.

or

- if your organisation controls 25% or more of the capital or of the voting rights of other enterprises and/or if your organisation is owned as to 25% or more of your capital or voting rights by one enterprise or jointly by several enterprises, and if by cumulating the data of your organisation and these enterprises, the following figures are not exceeded:
  - number of personnel: fewer than 250 employees (annual working units).
  - either annual turnover: not exceeding € 40 million ; or annual balance-sheet total: not exceeding € 27 million.



**YES:** in any other cases.

## **27 Dependencies between participants**

Two participants (legal entities) are dependent on each other where there is a controlling relationship between them.

To be regarded as independent, a legal entity must not be in a controlling relationship with another legal entity. A controlling relationship shall exist where one legal entity directly or indirectly controls the other or one legal entity is under the same direct or indirect control as the other.

Legal entity A controls legal entity B if:

- A, directly or indirectly, holds more than 50% of the share capital or a majority of voting rights of the shareholders or associates of B,
- or
- A, directly or indirectly, holds in fact or in law the decision-making power in B

Direct or indirect holding of more than 50% of the nominal value of the issued share capital in a legal entity or a majority of voting rights of the shareholders or associates of the said entity by public investment corporations, institutional investors or venture-capital companies and funds shall not in itself constitute a controlling relationship.

Ownership or supervision of legal entities by the same public body shall not in itself give rise to a controlling relationship between them.

## **28 SMEs (Industrial) Association/Grouping**

Industrial Associations/Groupings are enterprise groupings, meaning any legal entity made up, directly or indirectly, for the most part of SMEs and representing their interests. Examples of these are sectoral industrial associations, regional industrial associations, chambers of commerce, etc.

## **29 Department/faculty/institute/laboratory carrying out the work**

If in bigger organisations the legal address of the legal entity is different from the address(es) of the organisational unit(s) carrying out the project, please indicate here the address(es) of the organisational unit(s) involved. The address of the “main department” should be the address of the “Authorised contact person” in form A2b.

## **30 Title**

Please choose one of the following: Prof., Dr., Mr., Ms.

## **31 Position**

Please indicate the position in your organisation eg. Rector, President, Chief Executive Officer, Director etc.

## **32 Sex**

This information is required for statistical purposes. Please indicate with an F for female or an M for male as appropriate.

### **33 Phone and fax numbers**

Please insert the full numbers including country and city/area code. Example +32-2-2991111.

### **34 Participant number**

The number allocated by the consortium to the participant for this proposal. The **coordinator** of a proposal is always **number one**.

### **35 Authorised contact person**

Please insert in this section the data of the main scientist or team leader in charge of the proposal for the participant. For participant number 1 (the coordinator), this will be the regular contact for the Commission concerning all issues of implementation of the contract.

The address of this person should be the one of the “Main department/faculty/institute/laboratory carrying out the work” in form A2b.

### **36 Previously submitted similar proposals or signed contracts**

If one or several of the participants have submitted or are in the process of submitting the same or a similar proposal to other public funding programmes insert YES, else NO. If yes, give the programme name, year of submission and proposal number or contract number.

### **37 Socio-economic research activities**

Any type of non technological related activity research that analysis « a posteriori » or « a priori » (or contribute to such analysis) the socio-economic impact or the potential to induce changes in societal and/or economic values, in the organisation and welfare of society for example through changes in the overall availability of economic resources. This approach therefore includes on one side, any type of socio-economic research including the understanding of societal and economic phenomena (research in social sciences and humanities) and on the other side any type of activity involving scientific with a specific background in social, political sciences or in economy (discipline approach).

### **38 Estimated allocated total cost of resources and means addressing socio-economic research activities**

Estimated allocated total cost of resources and means addressing socio-economic research activities covers:

- estimated direct and indirect eligible costs of contractors using the AC, FCF and FC cost model; and
- estimated costs of the resources employed on the project by contractors using the AC cost model which are not eligible for Community financial contribution (ie: recurring or non additional costs).

### **39 Name of the person signing**

The final version of the contract preparation forms agreed at the end of the negotiations must be signed (A2c by each contractor, A5 by the coordinator) by one of the three persons whose details have been completed in form A2b, i.e. either by the authorised contact person or by the first or the second administrative official authorised to sign the contract. Please insert the name of the person who is actually signing. The person signing must be entitled to legally commit his/her organisation.

## 40 Legal documents establishing the organisation

Participants (except public bodies) must provide up to date copies of the legal documents establishing the organisation, i. e. certificate of registration and (if applicable) articles of association.

If the participating organisation has not sent to the European Commission during the last six months, or if its status has changed since the documents were provided, then you must provide copies of these legal documents

If the participating organisation has already sent the documents earlier and there are no changes, you do not have to send the documents again. In this case, please give the date and programme name for which this information was provided to the Commission.

## 41 Requested grant to the budget and cost models

The **Community grant** requested for a proposal depends on the cost model applicable to each participant, on the maximum rate of reimbursement per type of activity and on the estimated eligible costs for the different activities. For the purpose of contract negotiation, direct and indirect costs as well as receipts to the project have to be broken down by type of activity and by participant. There are no pre-defined cost categories. In establishing their budget participants should follow their own accounting rules.

Maximum contributions by activity type as percentage of the respective costs are as follows:

	Maximum grant as percentage of full costs (participants applying the FC or FCF model)	Maximum grant as percentage of additional costs (participants applying the AC model)
Coordination activities (see note 42)	100%	100%
Consortium management activities ( see note 43)	100% (up to a maximum percentage of 7% of the Community contribution)	100% (up to a maximum percentage of 7% of the Community contribution) (* )

(\*) One derogation to the definition of eligible costs, relates to the costs incurred for management activities by contractors using the AC model. They may charge their eligible direct costs of permanent personnel (non additional) to this activity, on condition that they can identify and justify them precisely.

The **cost models** to be applied by the participants are:

- **FC**: a full-cost model in which all actual eligible direct and actual eligible indirect costs may be charged to the contract;
- **FCF**: a simplified variant of the full-cost model, in which all actual eligible direct costs may be charged to the contract, together with a flat rate for indirect costs. This flat rate is equal to 20% of all direct eligible costs minus the costs of subcontracts.;
- **AC**: an additional-cost model, covering all eligible direct costs that are additional to the recurring costs of a participant (with the exception of consortium management for which recurring costs would also be eligible), together with a flat rate for indirect costs. This flat rate is equal to 20% of all direct additional costs minus the costs of subcontracts.

## Which cost model to use

Which cost model to use depends on the type of legal entity concerned and the accounting system:

Cost model	Who can use it ?
FC	- All legal entities except physical persons
FCF	- Non-commercial or non-profit organisations - International organisations (like CERN, ESA, EMBL) - Small or Medium-Sized Enterprises (SMEs)
AC	- Physical persons (only cost model open to physical persons) - <b>Only</b> non-commercial or non-profit organisations or international organisations <b>not</b> having an accounting system allowing to distinguish the share of their direct and indirect costs

**For Coordination Actions, a flat rate for indirect costs is applied for all contractors using the FC model to calculate the EC contribution. This flat rate is equal to 20% of the eligible direct costs minus the costs of sub-contracts. This means that FC contractors, when calculating their total costs, shall use this flat rate in order to calculate their indirect eligible costs.**

Each contractor shall apply the same cost model in all contracts established under the Sixth Framework Programme. As a derogation to this principle:

- any legal entity which is eligible to opt for the AC model in a first contract can change to the FCF or the FC model in a later contract (except physical persons). If it does so, it must then use the new cost reporting model in subsequent contracts;
- any legal entity which is eligible to opt for the FCF model in a first contract can change to the FC model in a later contract. If it does so, it must then use the new cost reporting model in subsequent contracts.

## Eligible costs

Eligible costs for FP6 contracts must be:

- actual, economic and necessary for the implementation of the project;
- determined in accordance with the usual accounting principles of the contractor;
- incurred during the duration of the project (*except for the costs incurred in drawing up the final reports, which may be incurred during the period of up to 45 calendar days after the end of the project or the date of termination whichever is earlier*);
- recorded in the accounts of the contractors (or third parties where third party resources have been agreed).

They exclude indirect taxes, interest, provisions for future losses or charges, exchange losses, costs related to other Community projects, return on capital, debt and debt service charges, excessive and reckless expenses and any cost which does not meet the criteria in the first four bullets.

## Receipts

For determining the Community financial contribution, not only costs but also the following three kinds of receipts to the project have to be taken into account:

- Financial transfers or their equivalent from third parties that are made specifically to co-finance the project or a resource used by the contractor in the project (not if their use is at the management discretion of the contractor)

- Contributions in kind from third parties, if they are contributed specifically for the use on the project (not if their use is at the management discretion of the contractor)
- Income generated by the project (except income generated by the use of knowledge created in the project)

Participants using the additional cost model (AC):

- only charge their additional direct eligible costs that are not covered by any other contribution (financial contributions or contributions in kind) by third parties
- only declare their receipts taking the form of income generated by the project itself.

Details are explained in the FP6 model contract (Annex II, article 23, see [http://europa.eu.int/comm/research/fp6/working-groups/model-contract/index\\_en.html](http://europa.eu.int/comm/research/fp6/working-groups/model-contract/index_en.html)) and in the FP6 Financial Guidelines (see <http://www.cordis.lu...>).

## **42 Coordination activities**

Co-ordination actions are meant to complement other Framework Programme instruments in contributing toward integrating research at European level through well-planned networking or co-ordination activities. As such, they should consist of a coherent set of components.

Each CA shall therefore define a work plan containing a whole range of medium- to long-term types of networking or co-ordination activities, such as:

- performance of studies, analyses, benchmarking exercises;
- exchange and dissemination of information;
- exchange and dissemination of good practices;
- exchanges of personnel;
- organisation of conferences, seminars, meetings;
- setting up of common information systems;
- setting up of expert groups;
- definition, organisation and management of joint or common initiatives.

The co-ordination activities could address tasks such as establishing joint memoranda of understandings, pre-standardisation and standardisation activities in specific fields, or establishing a roadmap for research in specific topics. This would most likely involve meetings, but also preparatory work like studies, analysis and report writing, establishment of specifications for common information systems and the development of such systems.

## **43 Consortium management activities**

Projects will require particular attention by the consortium to overall management and co-ordination issues. Over and above the technical management of individual work packages, an appropriate management framework linking together all the project components and maintaining communications with the Commission will be needed. Depending on the size and scope of a project, a specially constituted management team with dedicated staff covering a range of skills may need to be set up.

Consortium management activities include:

- obtaining audit certificates by each of the contractors.
- implementation of competitive calls by the consortium for the participation of new contractors, in accordance with the provisions of the contract.

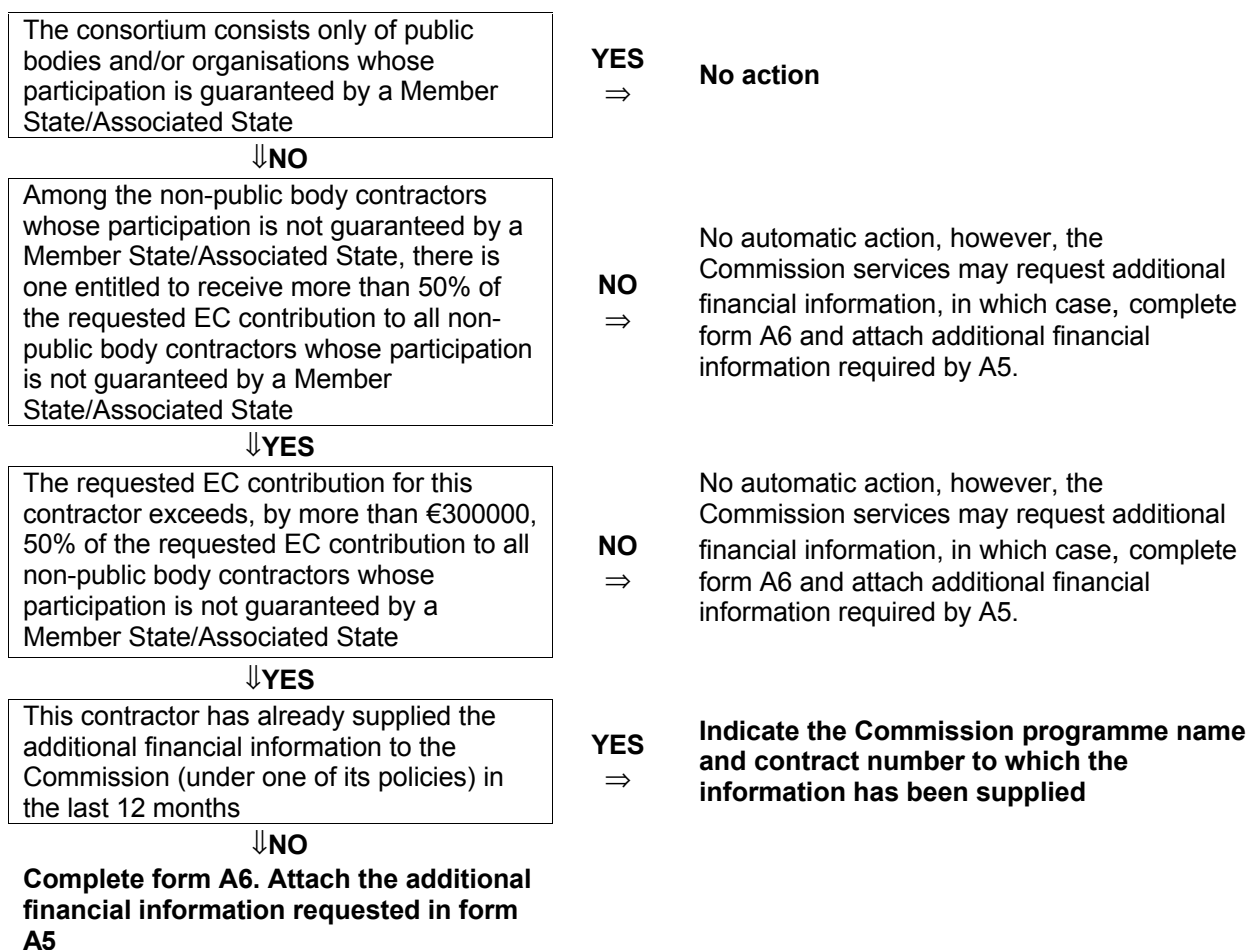
- maintenance of the consortium agreement if it is obligatory
- obtaining any financial security such as bank guarantees when requested by the Commission ;
- any other management activities at the consortium level not covered by any other activity, such as:
  - coordination of the technical activities of the project;
  - the overall legal, contractual, ethical, financial and administrative management;
  - coordination of knowledge management and other innovation-related activities;
  - overseeing the promotion of gender equality in the project;
  - overseeing science and society issues related to the research activities conducted within the project;
- any other management activities foreseen by the annexes of the contract.”

#### 44 Total

On forms A3.1, insert here the totals per column (sum for all partners). If you use more than one A3.1 sheet (because the number of partners is bigger than 4), fill in the TOTAL row only in the last sheet; leaving the row empty on the preceding sheets.

#### 45 Additional financial information on contractors

To verify the financial capacity of contractors, in certain cases and for certain types of contractors the Commission asks regularly for documents as listed in form A5. These documents have to be sent together with the contract preparation forms. Contractors concerned can be identified by following the decision tree below.



In addition, the Commission may during the negotiation, depending on its analysis of management risks, request the information listed in form A5 from other participants.

Public bodies need not provide additional financial information.

## **46 Simplified balance sheet and profit and loss account**

Form A6 has to be completed only for the contractors identified in form A5 (see also note 45). Within form A6 financial data based on the company's balance sheet are collected in a standardised form. A correspondence table giving an explanation on the regrouping of different accounts with respect to the 4<sup>th</sup> Accounting Directive is attached to these notes.

## **47 t-1 and t0**

The abbreviation *t0* represents the last certified historical balance sheet and profit and loss account; *t-1* is the balance sheet prior to the last certified one. Consequently, the *closing date t0* is the closing date of the last certified historical balance sheet; the *closing date t-1* is the closing date of the balance sheet prior to the last one. *Duration t0* is the number of months covered by the last historical balance sheet. *Duration t-1* is the number of months covered by the penultimate certified historical balance sheet.

<b>FORM A6</b>
<b>BALANCE SHEET</b>
<b>ASSETS</b>
<b>1. Subscribed capital unpaid</b>
<b>2. Fixed assets</b>
2.1. Intangible fixed assets
2.2. Tangible fixed assets
2.3. Financial assets
<b>3. Current assets</b>
3.1. Stocks
3.2.1. Debtors due after one year
3.2.2. Debtors due within one year
3.3. Cash at bank and in hand
3.4. Other current assets
<b>Total assets</b>

<b>CORRESPONDANCE 4th ACCOUNTING DIRECTIVE</b>	
<b>ASSETS / 4th ACCOUNTING DIRECTIVE (Article 9)</b>	
<b>A. Subscribed capital unpaid</b>	A. Subscribed capital unpaid (including unpaid capital)
<b>C. Fixed Assets</b>	
B. Formation expenses as defined by national law	B. Formation expenses as defined by national law
C. I. Intangible fixed assets	C.I.1. Cost of research and development C.I.2. Concessions, patents, licences, trade marks and similar rights and assets, if they were: (a) acquired for valuable consideration and need not be shown under C (I) (3); or (b) created by the undertaking itself C.I.3. Goodwill, to the extent that it was acquired for valuable consideration C.I.4. Payments on account
C.II. Tangible fixed assets	C.II.1. Land and buildings C.II.2. Plant and machinery C.II.3. Other fixtures and fittings, tools and equipment C.II.4. Payment on account and tangible assets in course of construction
C.III. Financial assets	C.III.1. Shares in affiliated undertakings C.III.2. Loans to affiliated undertakings C.III.3. Participating interests C.III.4. Loans to undertakings with which the company is linked by virtue of participating interest C.III.5. Investments held as fixed assets C.III. 6. Other loans C.III.7. Own shares (with an indication of their nominal value or, in the absence of a nominal value, their accounting par value)
<b>D. Currents assets</b>	
D.I. Stocks	D.I.1. Raw materials and consumables D.I.2. Work in progress D.I.3. Finished products and goods for resale D.I.4. Payment on account
D.II. Debtors, due and payable after more than one year	D.II.1. Trade debtors D.II.2. Amounts owed by affiliated undertakings D.II.3. Amounts owed by undertakings with which the company is linked by virtue of participating interest D.II.4. Others debtors D.II.6. Prepayments and accrued income
D.II. Debtors due and payable within a year	D.II.1. Trade debtors D.II.2. Amounts owed by affiliated undertakings D.II.3. Amounts owed by undertakings with which the company is linked by virtue of participating interest D.II.4. Others debtors D.II.6. Prepayments and accrued income
D.IV. Cash at bank and in hand	D.IV. Cash at bank and in hand
D.III. Investments	D.III.1. Shares in affiliated undertakings D.III.2. Own shares (with an indication of their nominal value or, in the absence of a nominal value, their accounting par value) D.III.3. Other investments
<b>Total assets</b>	



<b>LIABILITIES</b>
<b>4. Capital and reserves</b>
4.1. Subscribed capital
4.2. Reserves
4.3. Profit and loss brought forward from the previous years
4.4. Profit and loss for the financial year
<b>5. Creditors</b>
5.1.1 Long term non-bank debt
5.2.1. Long term bank debt
5.1.2. Short term non-bank debt
5.2.2. Short term bank debt
<b>Total liabilities</b>

<b>LIABILITIES / 4th ACCOUNTING DIRECTIVE (Article 9)</b>	
<b>A. Capital and reserves</b>	
A.I. Subscribed capital	A.I. Subscribed capital
A.II. Share premium account	A.II. Share premium account
A.III. Revaluation reserve	A.III. Revaluation reserve
A.IV. Reserves	A.IV.1. Legal reserve, in so far as national law requires such a reserve A.IV.2. Reserve for own shares A.IV.3. Reserves provided for by the articles of association A.IV.4. Other reserves
A.V Profit and loss brought forward from the previous years	A.V Profit and loss brought forward from the previous years
A.VI. Profit or loss for the financial year	A.VI. Profit or loss for the financial year
<b>C. Creditors</b>	
B. Provisions for liabilities and charges (> one year)	B.1. Provisions for pensions and similar obligations B.2. Provisions for taxation B.3. Other provisions
C. Creditors (> one year)	C.1. Debenture loans, showing convertible loans separately C.3. Payments received on account of orders in so far as they are not shown separately as deductions from stocks C.4. Trade creditors C.6. Amounts owed to affiliated undertakings C.7. Amounts owed to undertakings with which the company is linked by virtue of participating interests C.8. Other creditors including tax and social security C.9. Accruals and deferred income
C. Creditors "credit institutions" (> one year)	C.2. Amounts owed to credit institutions C.5. Bills of exchange payable
B. Provisions for liabilities and charges (= one year)	B.1. Provisions for pensions and similar obligations B.2. Provisions for taxation B.3. Other provisions
C. Creditors (= one year)	C.1. Debenture loans, showing convertible loans separately C.3. Payments received on account of orders in so far as they are not shown separately as deductions from stocks C.4. Trade creditors C.6. Amounts owed to affiliated undertakings C.7. Amounts owed to undertakings with which the company is linked by virtue of participating interests C.8. Other creditors including tax and social security C.9. Accruals and deferred income
C. Creditors "credit institutions" (= one year)	C.2. Amounts owed to credit institutions C.5. Bills of exchange payable
<b>Total Liabilities</b>	

**PROFIT AND LOSS ACCOUNT**

**PROFIT AND LOSS ACCOUNT / 4th ACCOUNTING DIRECTIVE (Article 23)**

<b>6. Turnover</b>
7. Variation in stocks
8. Other operating income
9. Costs of material and consumables
10. Other operating charges
11. Staff costs
<b>12. Gross operating profit</b>
13. Depreciation and value adjustments on non financial assets
<b>14. Net operating profit</b>
15. Financial income and value adjustments on financial assets
16. Interest paid
17. Similar charges
<b>18. Profit or loss on ordinary activities</b>
19. Extraordinary income and charges
20. Taxes on profits
<b>21. Profit or loss for the financial year</b>

<b>1. Net turnover</b>	1. Net turnover
2. Variation in stock of finished goods and in work in progress	2. Variation in stocks of finished goods and in work in progress
3. Work performed by the undertaking for its own purposes and capitalized.	3. Work performed by the undertaking for its own purposes and capitalized
4. Other operating income	4. Other operating income
5. (a) Raw materials and consumables	5. (a) Raw materials and consumables
5. (b) Other external charges	5. (b) Other external charges
8. Other operating charges	8. Other operating charges
6. Staff costs	6. (a) Wages and salaries 6. (b) social security costs, with a separate indication of those relating to pensions
<b>Gross operating profit</b>	.
7. Depreciation and value adjustments on non financial assets	7. (a) Value adjustments in respect of formation expenses and of tangible and intangible fixed assets 7. (b) Value adjustments in respect of current assets, to the extent that they exceed the amount of value adjustments which are normal in the undertaking concerned
<b>Gross operating profit - Depreciation and value adjustments on non-financial assets</b>	
Financial income and value adjustments on financial assets	9. Income from participating interests 10. Income from other investments and loans forming part of the fixed assets 11. Other interest receivable and similar income 12. Value adjustments in respect of financial assets and of investments held as current assets
Interest paid	13. Interest payable and similar charges
Similar Charges	
<b>Profit or loss on ordinary activities</b>	15. Profit or loss on ordinary activities after taxation
Extraordinary income and charges	16. Extraordinary income 17. Extraordinary charges
Taxes	14. Tax on profit or loss on ordinary activities 19. Tax on extraordinary profit or loss 20. Other taxes not shown under the above items
<b>Profit or loss for the financial year</b>	21. Profit or loss for the financial year