



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

**Networks of Excellence
(NoE)**

October 2003 Version III

Contract Preparation Forms



EUROPEAN COMMISSION

6th Framework Programme on
Research, Technological
Development and Demonstration

Network of Excellence

A1

Proposal Number ¹		Proposal Acronym ²	
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GENERAL INFORMATION ON THE PROPOSAL			
Proposal Title ³			
Duration in months ⁴		Call (part) identifier ⁵	
Activity code(s) most relevant to your topic ⁶			
Keyword code 1 ⁷			
Keyword code 2 ⁷			
Keyword code 3 ⁷			
Free keywords ⁸			
Abstract ⁹ (max. 2000 char.)			

Contract Preparation Forms



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A2a

Proposal Number ¹		Proposal Acronym ²		Participant number ³⁵	
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INFORMATION ON PARTICIPANTS 1 OF 3 (ONE FORM PER PARTICIPANT)					
Participating organisation					
Organisation legal name ¹⁰					
Organisation short name ¹¹					
Legal address					
PO Box ¹²		Postal Code		Cedex ¹²	
Street name and number ¹²					
Town		Country ¹³			
Internet homepage					
Legal registration number ¹⁴			VAT number ¹⁵		
If necessary, legal trade register ¹⁶					
Activity Type ¹⁸ HE, RES, IND, OTH					
Legal status					
Is your organisation governmental or "private" ²⁰ ? (GOV/PRIV)					
If your organisation is governmental, is it an international (intergovernmental) or a national governmental organisation ²⁴ ? (INO/NAO)					
If your organisation is an international governmental organisation, is it an international European interest organisation ²⁵ ? (YES/NO)					
If your organisation is "private", is it a public body ²³ ? (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 ²¹ ? (C/NC)					
If your organisation is "private" commercial, please specify the type ^{22, 17}					

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)? ²⁶ (YES/NO)							

Is your organisation an SMEs (Industrial) Association/Grouping ²⁷ ? (YES/NO)	
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Cost model: Full Costs(FC), Full cost flat rate (FCF), Additional Costs (AC) ²⁸	
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Are there dependencies between your organisation and (an)other participant(s) in the proposal? ²⁹ (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 ¹		Proposal Acronym ²		Participant number ³⁵	
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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 ³¹		Position ³²		Sex ³³ : Female = F, Male = M	
Phone ³⁴			Fax ³⁴		
e-mail					

Second administrative official authorised to sign the contract

Name			First name(s)		
Title ³¹		Position ³²		Sex ³³ : Female = F, Male = M	
Phone ³⁴			Fax ³⁴		
e-mail					

Main department/faculty/institute/laboratory carrying out the work³⁰

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

Authorised contact person / Team leader³⁶

Name			First name(s)		
Title ³¹		Position ³²		Sex ³³ : Female = F, Male = M	
Phone ³⁴			Fax ³⁴		
Email					

Other major department/faculty/institute/laboratory carrying out the work (if necessary)³⁰

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

Previously submitted similar proposals or signed contracts?³⁷ (YES / NO)

If yes, programme name(s) and year

If yes, proposal or contract number(s)

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

Does your project include socio-economic research activities ³⁸ ? (YES/NO)	
If Yes, what is the estimated allocated total cost of resources and means that address these activities ³⁹ ? (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 ¹		Proposal Acronym ²		Participant number ³⁵	
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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.

I also certify that:

Organisation legal name¹⁰

- is committed to participate in the above mentioned project;
- has stable and sufficient sources of funding to maintain its activity throughout its participation in the project and to provide any counterpart funding necessary.
- 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:

- 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;
- it has been convicted of an offence concerning its professional conduct by a judgement which has the force of *res judicata*;
- it has been guilty of grave professional misconduct proven by any means which the contracting authority can justify;
- 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;
- 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;
- 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).

Name	80, 88 or 104	First name (s)	81, 89 or 105
Date DD/MM/YYYY	149	Signature of the administrative official authorised to sign the contract or to commit the organisation	150

The participant organisation is aware that:

- any potential contractor who can not certify that none of the above situations apply, shall be excluded from participation in any future contract;
- 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;

Only for non-public bodies: Legal documents establishing the organisation are attached YES/NO⁴⁰

If NO, date (dd/mm/yyyy) and Commission programme name for delivery of legal documents during last 6 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 ¹		Proposal Acronym ²	
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Estimated breakdown of the requested EC contribution per reporting period			
Reporting Periods	Month x – Month y	Requested Grant for Integration ⁴⁶	
		Total	In which first six months
Reporting Period 1	M1 – M12		
Reporting Period 2	M13-M24		
Reporting Period 3	M25-M36		
Reporting Period 4	M37-M48		
Reporting Period 5	M49-M60		
Reporting Period 6	M61-M72		
Reporting Period 7	M73-M84		
Total	Full duration		

Estimated costs of the Joint Programme of Activities ⁴⁷	
Estimated costs for the full duration	
Estimated costs for the first 18 months	

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A5

Proposal Number ¹		Proposal Acronym ²	
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Confirmation of additional financial information annexed to the contract preparation forms

For the coordinator (information is obligatory, except for public bodies²³ 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 circumstances⁴⁸)

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 ⁴¹		First name (s)	
Date DD/MM/YYYY		Signature of the administrative official authorised to sign the contract or to commit the organisation	

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A6

Proposal Number ¹		Proposal Acronym ²		Participant number ³⁵	
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Simplified balance sheet and profit and loss account⁴⁹

Closing date ⁵⁰ t0 (dd/mm/yyyy)		Duration ⁵⁰ t0 (months)		Closing date ⁵⁰ t-1 (dd/mm/yyyy)		Duration ⁵⁰ t-1 (months)	
Less than three annual balance sheets YES/NO				Currency			

Balance sheet		
Assets	t0	t-1
1. Subscribed capital unpaid		
2. Fixed assets (2.1+2.2+2.3)		
2.1 Intangible fixed assets		
2.2 Tangible fixed assets		
2.3 Financial assets		
3. Current assets (3.1+3.21+3.22+3.3+3.4)		
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		
Total assets (1.+2.+3.)		
Liabilities	t0	t-1
4. Capital and reserves (4.1+4.2+4.3+4.4)		
4.1 Subscribed capital		
4.2 Reserves		
4.3 Profit and loss brought forward		
4.4 Profit and loss brought forward for the financial		
5. Creditors (5.1.1+5.1.2+5.2.1+5.2.2)		
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		
Total liabilities (4.+5.)		
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		
12. Gross operating profit (6.+7.+8.-9.-10.-11.)		
13. Depreciation and value adjustments on non-financial assets		
14. Net operating profit (12.-13.)		
15. Financial income and value adjustments on financial assets		
16. Interest paid		
17. Similar charges		
18. Profit/loss on ordinary activities (14.+15.-16.-17.)		
19. Extraordinary income and charges		
20. Taxes on profits		
21. Profit/loss for the financial year (18.+19.-20.)		

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://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 Network of Excellence. 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.
- Some contractors, to be identified in form A5, fill in form A6 (see note 48)

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 negotiation 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 A2c 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 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 48).

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 in part B.

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 Free keywords

Use the free keywords from your original proposal. Changes and additions are possible. (maximum 100 characters including spaces, commas etc.).

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. If the proposal is written in a language other than English, please include an English version of the abstract in part B.

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 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 or other entity made up of several independent legal entities, 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 or other entity made up of several independent legal entities (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 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.

28 Cost model

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) - Only non-commercial or non-profit organisations or international organisations not having an accounting system allowing to distinguish the share of their direct and indirect 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.

29 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.

30 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.

31 Title

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

32 Position

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

33 Sex

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

34 Phone and fax numbers

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

35 Participant number

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

36 Authorised contact person / Team leader

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.

37 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.

38 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).

39 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).

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 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.

42 Number of researchers to be integrated

For a Network of Excellence, the number of researchers that the participants intend to integrate will be calculated on the following basis:

- **“researchers”**: means research staff with at least four years of research experience or those in possession of a doctoral degree. Additionally, a “researcher” must either be an employee of one of the contractors or be working under its direct management authority in the frame of a formal agreement between the contractor and that researcher’s employer;
- **“number of researchers”**: means the headcount of those “researchers” that both (a) are identifiable by name at the time of the deadline for the submission to the Commission of the original proposal for this network of excellence and (b) constitute the research capacities of the contractors within the frame of the then proposed network of excellence;
- this initial set of names must be auditable.

43 Number of doctoral students in the network

For a Network of Excellence, the number of doctoral students will be calculated on the following basis:

- **“doctoral students”**: means students who are enrolled on a recognised course of doctoral studies run by one of the contractors and who do not meet the conditions to be considered as a “researcher”;
- **number of doctoral students**: means the headcount of those “doctoral students” that are both (a) identifiable by name at the time of the deadline for the submission to the Commission of the original proposal for this network of excellence and (b) engaged on research activities within the frame of then proposed network of excellence;
- this initial set of names must be auditable.

44 Total

If the number of lines in the table on form A3.2 is not sufficient for your consortium, please use additional copies of A3.2. **Do not add lines to the table.** Indicate at the bottom the total number of A3 sheets used and the number of each sheet. On each sheet, except on the last one, leave the “Total” line empty. On the last sheet, insert the overall totals.

45 Maximum allowable EC contribution (Grant for integration)

The model contract (Annex III) contains a table to convert the overall “number of researchers” to be integrated into a maximum average annual grant that a successful network is entitled to receive:

50 researchers	€1 million/year
100 researchers	€2 million/year
150 researchers	€3 million/year
250 researchers	€4 million/year
500 researchers	€5 million/year
1000 researchers and above	€6 million/year

The grant for an intermediate number of researchers is calculated by linear interpolation.

$$\text{Grant for N researchers: } G_N = G_A + [(G_B - G_A) / (B - A)] * (N - A)$$

Where:

A - nearest lower given number,

B – nearest upper given number,

G_A – given grant for A researchers,

G_B – given grant for B researchers:

The bonus for “doctoral students” will be equivalent to €4,000/year multiplied by the number of “doctoral students”, up to a maximum of 10 % of the grant for the “researchers”.

By way of illustration, a network of 200 “researchers” and 50 “doctoral students” being supported over 5 years would be granted a maximum fixed amount totalling €18.5 million, which the network would eventually receive provided, of course, that the eligible costs incurred by the consortium in implementing the joint programme of activities turn out to be greater than this amount.

“Researchers” and “doctoral students” of a participant established in a third country shall be included in the calculation of the “number of researchers” and “number of doctoral students” only when the participant may receive a Community financial contribution.

The consortium, when taking into account aspects such as the characteristics of the field of research concerned and the estimated costs for the joint programme of activities, may request a lower grant for integration than that resulting from the method described above. In such cases, this lower amount will be the basis for any contract (see also note 46).

The grant awarded to the network can be paid to the consortium only to the extent that the payments are less than the eligible costs incurred by the consortium in implementing the joint programme of activities.

46 Requested grant for integration

The actually requested EC contribution (grant for integration) for a Network of Excellence may be lower than the amount calculated on the basis of the numbers of researchers and doctoral students to be integrated (see note 45). Please be reminded that the total eligible costs incurred in implementing the joint programme of activities must exceed the grant for integration. If this is not the case, the contract imposes a penalty.

47 Estimated costs of the Joint Programme of Activities

Please insert the estimated costs for the Joint Programme of Activities for the full duration of the project and for the first 18 months. The way by which the total amount has been estimated has to be explained in the Description of Work (see Guidelines for Contract Preparation).

48 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.

The consortium consists only of public bodies and/or organisations whose participation is guaranteed by a Member State/Associated State	YES ⇒	No action
↓ NO		
Among the non-public body contractors whose participation is not guaranteed by a Member State/Associated State, there is one entitled to receive more than 50% of the requested EC contribution to all non-public body contractors whose participation is not guaranteed by a Member State/Associated State	NO ⇒	No automatic action, however, the Commission services may request additional financial information, in which case, complete form A6 and attach additional financial information required by A5.
↓ YES		
The requested EC contribution for this contractor exceeds, by more than €300,000, 50% of the requested EC contribution to all non-public body contractors whose participation is not guaranteed by a Member State/Associated State	NO ⇒	No automatic action, however, the Commission services may request additional financial information, in which case, complete form A6 and attach additional financial information required by A5.
↓ YES		
This contractor has already supplied the additional financial information to the Commission (under one of its policies) in the last 12 months	YES ⇒	Indicate the Commission programme name and contract number to which the information has been supplied
↓ NO		
Complete form A6. Attach the additional financial information requested in form A5		

In addition, during the negotiation, the Commission may, 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.

49 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 48). 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 4th Accounting Directive is attached to these notes.

50 $t-1$, $t0$

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 certified historical balance sheet. *Duration $t-1$* is the number of months covered by the penultimate certified historical balance sheet.

FORM A6
BALANCE SHEET
ASSETS
1. Subscribed capital unpaid
2. Fixed assets
2.1. Intangible fixed assets
2.2. Tangible fixed assets
2.3. Financial assets
3. Current assets
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
Total assets

CORRESPONDANCE 4th ACCOUNTING DIRECTIVE	
ASSETS / 4th ACCOUNTING DIRECTIVE (Article 9)	
A. Subscribed capital unpaid	A. Subscribed capital unpaid (including unpaid capital)
C. Fixed Assets	
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)
D. Currents assets	
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
Total assets	

LIABILITIES
4. Capital and reserves
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
5. Creditors
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
Total liabilities

LIABILITIES / 4th ACCOUNTING DIRECTIVE (Article 9)	
A. Capital and reserves	
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
C. Creditors	
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
Total Liabilities	

PROFIT AND LOSS ACCOUNT

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

6. Turnover	1. Net turnover	1. Net turnover
7. Variation in stocks	2. Variation in stock of finished goods and in work in progress	2. Variation in stocks of finished goods and in work in progress
8. Other operating income	3. Work performed by the undertaking for its own purposes and capitalized. 4. Other operating income	3. Work performed by the undertaking for its own purposes and capitalized 4. Other operating income
9. Costs of material and consumables	5. (a) Raw materials and consumables 5. (b) Other external charges	5. (a) Raw materials and consumables 5. (b) Other external charges
10. Other operating charges	8. Other operating charges	8. Other operating charges
11. Staff costs	6. (a) Wages and salaries 6. (b) social security costs, with a separate indication of those relating to pensions	6. (a) Wages and salaries 6. (b) social security costs, with a separate indication of those relating to pensions
12. Gross operating profit	Gross operating profit	.
13. Depreciation and value adjustments on non financial assets	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
14. Net operating profit	Gross operating profit - Depreciation and value adjustments on non-financial assets	
15. Financial income and value adjustments on financial assets	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
16. Interest paid	Interest paid	13. Interest payable and similar charges
17. Similar charges	Similar Charges	
18. Profit or loss on ordinary activities	Profit or loss on ordinary activities	15. Profit or loss on ordinary activities after taxation
19. Extraordinary income and charges	Extraordinary income and charges	16. Extraordinary income 17. Extraordinary charges
20. Taxes on profits	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
21. Profit or loss for the financial year	Profit or loss for the financial year	21. Profit or loss for the financial year