



THE FIFTH FRAMEWORK PROGRAMME

The Fifth Framework Programme focuses on Community activities in the field of research, technological development and demonstration (RTD) for the period 1998 to 2002

CONTRACT PREPARATION FORMS (CPF)

for

**Financial support from the EC
for shared-cost RTD actions:
research and technological development projects,
demonstration projects,
and
combined projects ***

Including guidelines on how to complete the contract preparation forms (CPF)



This document can be downloaded from URL: <http://www.cordis.lu/fp5/cpf.htm>

Version 2, 15 March, 2000
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* *Separate forms are available for **cooperative research, accompanying measure, thematic networks/ concerted action** projects and other types of projects. See the CORDIS webpage for CPF: www.cordis.lu/fp5/cpf.htm*

FOREWORD

Version 2 differs from Version 1 on the following points:

Forms A3 and A5: The order of the cost categories have changed.

Form A6: A field for the name of the bank account holder has been included for the cases where the name of the bank account holder differs from the financial/administrative co-ordinator.

Form A7: New fields for person months and overhead percentage for co-ordination have been added.

Forms A7, A8 and A9: The forms have been changed to include year 4 and 5 of projects.

Note 5 on Thematic Priorities have changed. The identification of programmes has been changed from numeric to character codes; a year code has been introduced for the thematic priority.

Note 22 on participant role have been changed so that the co-ordinator is always the financial/administrative co-ordinator. The code CF has been deleted.

Note 26 has been changed so that it is clear that the co-ordinator must be from an EU member state or an associated country.

Note 29 has been made more precise on calculation of person months.

Note 56. A new Activity Type has been added: IND for industry. Definitions of the types has been added.

Note 61 on Cost Basis has been made more precise.

Note 72 on Independence has been made more precise.

Note 79 on Second Authorised administrative official has been made more precise.

Note 103 on Total allowable costs is new. It is included to make clear what the field covers. All subsequent notes have moved.

Note 107 is new and sets out the principles for calculation of overheads for the additional cost model.

Note 111 on Human resource information is new. It describes which information should be submitted in this section.

Note 114 on Annual reports and balance sheets has been changed so that copies only has to be delivered for the last 2 financial years.

Annex 1: It has been made clear that the mandate for delegation of signature is optional.

Annex 2 on Financial Information has been changed so that the organisations only are asked to provide information for two years, the current year and the year before.

HOW TO COMPLETE THE CONTRACT PREPARATION FORMS

Introduction

This document provides guidance on how to complete the attached contract preparation forms for a research and technology development project, demonstration project, or combined research and demonstration project.

The contract preparation forms (CPF) consist of 10 forms numbered A0, A1, A2, A3, A4, A5, A6, A7, A8 and A9 (A3, A5, A7, A8 and A9 have several parts), and two annexes. The forms are ordered in three sections, one for the co-ordinator, one for the contractors, and one for the subcontractors. Contractors must ensure that their subcontractors complete the subcontractor forms if required.

The forms are designed to elicit essential information for use during negotiations with the European Commission for a shared cost contract for a research and technology development project, demonstration project, or combined research and demonstration project. The information provided at the proposal submission stage can be used as the basis for preparing these forms but must be adjusted in the light of any comments, remarks, recommendations made as a result of the evaluation. In addition, further information is necessary to finalise contract negotiations. Contract preparation forms for other shared cost actions such as access to large infrastructure, cooperative research, accompanying measures and for other actions such as concerted actions, thematic networks etc. are variations of this form and are available at the CORDIS website for 5th Framework programme contract preparation (<http://www.cordis.lu/fp5/cpf.htm>).

Please note that **the completion of these forms does not in any way commit the European Commission to conclude a contract with the proposers.**

Justification for all costs is required.

The European Commission may require supplementary information and may in some cases, where appropriate to protect the economic interests of the Community, require that contractors establish a bank guaranty or in other ways guarantee their part of the financing of the project.

How to complete the forms

The forms should be completed as follows:

- The **financial and administrative co-ordinator** fills in forms A0, A1, A2, A3, A4, A5, A6, A7 and A8, and if applicable one Annex 2 form.
- The **principal contractors** fill in one A8.1, A8.2, A8.3, A8.4 and if applicable one Annex 2 form each.
- The **assistant contractors** fill in one A8.1, A8.2, A8.3, A8.4 and if applicable one Annex 2 form each.
- Contractors must ensure that **subcontractors**, who fall into the categories requiring Commission approval, fill in one A9.1 and A9.2 form each. The categories of subcontractors who have to fill in the forms A9.1. and A9.2 are: subcontractors where the cumulative amount of the subcontracts for the contractor exceeds 20% of his estimated eligible costs or 100,000 EUR, whichever amount is the lower; and subcontractors established in a third country, unless the contractor concerned is also established there.

For "research bodies", "organisations" or "partnerships" which are not officially legal entities (e.g. Unité Mixte de Recherche and other similar types of groupings) see note 50.

Explanatory notes are appended to the forms. **NB. Note that there are special provisions for the INCO programme for some of the cost categories. Participants in the INCO programme will receive the special provisions for the INCO programme together with the invitation to negotiate.**

Please complete the forms using the application program for completion of the CPF forms, which can be downloaded from the CORDIS website for 5th Framework programme contract preparation, or tear out the forms from this document and fill them in either by typewriter or by hand in block capitals.

Please remember to indicate the project short name (acronym if appropriate) and proposal number at the top of each form and on the top of each page of any annexes.

If you fill in the forms by typewriter or by hand, please follow the following instructions:

A photocopy of the original may be used if the quality is good. Please keep the forms as clean as possible and do not fold, staple or amend them with correction fluid.

Please enter your data only in the white space on the forms, do not type outside the boundaries or the data is likely to be truncated in the Commission's database. For questions requiring a choice between different boxes, please enter X in the appropriate space. You may find it easier to do this by hand in black ink, rather than try to line up a single typed character.

When appropriate when completing the form, please replace the characters listed below by the corresponding double characters:

Ø	OE	Ä	AE	Ö	OE
ø	oe	ä	ae	ö	oe
Æ	AE	Ü	UE	Å	AA
æ	ae	ü	ue	å	aa
ß	ss				

For numbers, (amount, duration, percentages, person-months), please round to the nearest whole number. Do not insert any character or space to separate the digits in a number.

All costs must be given in Euro (**not thousands of Euro**) and must exclude value-added tax (VAT).

Do not forget to sign the final version of the forms. The final version of the forms sent to the European Commission when the negotiations have been successfully completed must have original signatures.

Additional information

The notes accompanying the forms are intended to help you complete them correctly. However, you should also be familiar with the following documents:

- Model contract for research and development projects, demonstration projects or combined projects
- Guidelines on Major Financial Provisions.
- The decision concerning the rules for participation and dissemination of research results of the Fifth Framework Programme.
- The regulation on the implementation of the rules for participation and dissemination of research results of the Fifth Framework Programme.

Copies of these documents can be requested from the information desk of the Commission services (mentioned in the Guide for Proposers for the call) or can be downloaded from the WWW at the following address: <http://www.cordis.lu/fp5/cont-prep.htm>.

If you require assistance in completing the form, please contact first the project co-ordinator and then, only if necessary, the responsible Officer in the European Commission.

Legal status of the CPF forms

The form A3 (estimated budget summary) will, when the negotiations have finished be included in the contract as the table of the estimated budget following the signatures.

The forms A1 and A2 will be used either directly or in an edited form to provide information on the project to the public. They should therefore be written in such a way that a non professional public at a glance could get adequate information on the project's goals and expected achievements.

The rest of the information in the CPF forms (forms A4 to A9 and the annexes) will not be a formal part of the contract. The information provided on these forms are for the internal use of the Commission services and will be kept confidential within the Commission. The information will be used to complete the contract and as justification for the cost and financial contribution defined in the contract. Over the lifetime of the contract this information will be used as control data for the cost claims submitted by the contractors. It is therefore mandatory that these data be provided correctly.

Where to send the CPF forms

The subcontractors should send their signed A9.1 and A9.2 forms to the contractor who has subcontracted them. The principal contractors and assistant contractors should send their completed A8.1 to A8.4 forms, their completed Annex 2 forms and if applicable the completed A9.1 and A9.2 forms from their subcontractors to the project co-ordinator. They should confirm the correctness of the information of their organisation by signing the form A8.1.

The project co-ordinator should check that all necessary information is provided on the forms, that they are filled in formerly correct and that there is consistency between the information in the various forms and the project work description in Annex 1 to the contract, especially concerning role of partners and budget. The co-ordinator should sign form A1 before sending it.

The co-ordinator should then send the **complete package to the European Commission's Officer** responsible for the Project within the time frame given by the Commission in the letter inviting the consortium to enter into negotiations. Failure to respect this deadline shall after a reminder letter be considered by the Commission as a wish not to enter into the contract negotiations and therefore to withdraw your proposal.

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CONTRACT SIGNATURE PROCESS

Subject to a positive outcome of the negotiations, two copies of the contract will be sent to the co-ordinator for distribution to the contractors for signature or it might be sent directly to the contractors. The contracts must be signed by the person having the capacity and authority, in accordance with the internal rules of the organisation, legally to commit the participating organisation to a research contract **and whose name has been identified in the form A8.1 and in the contract**. The contractors return the signed contracts to the co-ordinator, who returns the full package to the Commission services. If the contractors of a consortium wish to delegate the signature of the contract to the co-ordinator, two signed copies of a mandate for the co-ordinator to sign the contract on behalf of the contractor(s) must be sent in lieu of their signed contracts, which in this case will only be signed by the co-ordinator. A standard model mandate for delegation of contract signature to the co-ordinator is included in Annex 1 to the CPF forms.

If the contracts are send directly to the contractors, they will be sent to the person who has been indicated on form A8.1 as **contact person** for the project.

PLEASE REMEMBER TO MENTION THE PROPOSAL NUMBER AND, WHEN ATTRIBUTED, THE CONTRACT NUMBER ON ALL CORRESPONDENCE WITH THE EUROPEAN COMMISSION.

- A -

ADMINISTRATIVE FORMS

Co-ordinator's Section
Contract Preparation forms
(CPF forms A0 - A7)



EN A 1 FP5RTD

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For guidelines see the notes in this document

Contract Preparation forms for
financial support from the EC for
shared-cost RTD actions:
research and technological development projects,
demonstration projects,
and
combined projects

If possible, these forms should be prepared using the application for completion of the CPF forms, which can be downloaded from the CORDIS website for FP5 contract preparation. However contractors and major subcontractors may also use the forms in this guide. The forms should be printed out, signed and returned on paper. Some programmes may also require an electronic version - preferably using the application program for completion.

Information on the Project ¹

Project Full Name				
Project Acronym ²		Proposal No ³		
Call Identifier ⁴				
Research Programme(s) ⁵				
Thematic priorities ⁵				

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CONTRACT NUMBER

Reception date / /

Shared Cost RTD CPF Form – Form A1



EUROPEAN COMMISSION
RESEARCH DIRECTORATES
GENERAL
SHARED COST
RTD CPF FORMS

EN B 1 FP5RTD

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Project Acronym ²		Proposal No ³	
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A1. Project Administrative Overview ¹

Thematic priorities ⁵				
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Type of Action ⁶	
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Project Full Name	
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Project Co-ordinator ⁷

Title (Dr, Prof., ...)		Gender ⁸	F		M	
------------------------	--	---------------------	---	--	---	--

Family Name	
-------------	--

First Name	
------------	--

Organisation Legal Name ⁹	
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Institute/Department /Laboratory Name ¹⁰	
---	--

PO Box ¹¹	
----------------------	--

Street Name and Number	
------------------------	--

Post Code ¹²		Cedex ¹³	
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Town/City	
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Country Code ¹⁴		Country Name ¹⁴	
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Telephone No ¹⁵		Fax No ¹⁵	
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E-mail	
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Project abstract (maximum 1000 characters) ¹⁶

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Project duration (in Months)		Total Eligible Cost (in Euro) ¹⁷		EC Contribution requested (in Euro) ¹⁸	
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Keywords ¹⁹			
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Shared Cost RTD CPF Form – Form A2



EUROPEAN COMMISSION
RESEARCH DIRECTORATES
GENERAL
SHARED COST
RTD CPF FORMS

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Project Acronym ²

Proposal No ³

A2.

Project Summary ²⁰

Objectives (maximum 1000 characters)

Description of the work (maximum 2000 characters)

Milestones and expected results (maximum 500 characters)



Shared Cost RTD CPF Form – Form A3 (1/2)

EN D 1 FP5RTD

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Project Acronym ² Proposal No ³

A3. Cost Summary in Euro (part 1/2) ²¹

Participant Role ²²	Participant No ²³	Assistant to Contractor No ²⁴	Participant Short Name ²⁸	Number of person months ²⁹	Personnel Costs ²⁹	Durable Equipment ²⁹	Subcontracting ²⁹	Travel and Subsistence ²⁹	Consumables ²⁹	Computing ²⁹	Protection of knowledge ²⁹	Subtotal part 1/2 ³⁰
CO	1	²⁵										
CO	1	²⁶	Co-ordination									
CO	1	²⁷	Total co-ordinator costs									
			TOTAL ³¹									

YOU MAY DUPLICATE THIS PAGE IF NECESSARY



Shared Cost RTD CPF Form – Form A5 (1/2)

EN G 1 FP5RTD

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Project Acronym ² Proposal No ³

A.5 Yearly Cost Summary in Euro ⁴² (part 1/2) YEAR:

Participant Role ²²	Participant No ²³	Assistant to Contractor No ²⁴	Participant Short Name ²⁸	Number of person months ²⁹	Personnel Costs ²⁹	Durable Equipment ²⁹	Subcontracting ²⁹	Travel and Subsistence ²⁹	Consumables ²⁹	Computing ²⁹	Protection of knowledge ²⁹	Subtotal part 1/2 ³⁰
C	1	²⁵										
C	1	²⁶	Co-ordination									
C	1	²⁷	Total co-ordinator costs									
			TOTAL ³¹									

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Shared Cost RTD CPF Form – Form A5 (2/2)

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Project Acronym ⁵ _____ Proposal No ⁶ _____

A.5 Yearly Cost Summary in Euro ⁴² (part 2/2) YEAR: _____

Participant Role ²²	Participant No ²³	Assistant to Contractor No ²⁴	Participant Short Name ²⁸	Subtotal of part 1/2 ³⁰	Other Specific project Costs ²⁹	Overhead Costs ²⁹	Total Costs ³²	Costs Basis : FC/FF/AC ²⁹	% Requested from the Community ²⁹	Requested Contribution from the Community ²⁹	Adjusted Contribution from the Community ³³
C	1	25									
C	1	26	Co-ordination								
C	1	27	Total co-ordinator costs								
TOTAL ³¹											

YOU MAY DUPLICATE THIS PAGE IF NECESSARY



EN	I	1	FP5RTD	<input type="text"/>	<input type="text"/>
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Project Acronym ²	<input type="text"/>	Proposal No ³	<input type="text"/>
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A6 Co-ordinator's Banking information ⁴³

(This information is only used for EU payment procedure)

Financial Co-ordinator (=holder of the bank account)

Participant Role ²²	<input type="text"/>	Participant No ²³	<input type="text"/>
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Financial Co-ordinator's name (=holder of the bank account)

Address of Financial Co-ordinator

Banking Information

Name of the Bank

Address of the Bank

<i>SWIFT CODE ⁴⁴</i>	<input type="text"/>
<i>Sort Code</i>	<input type="text"/>
<i>Account Number ⁴⁵</i>	<input type="text"/>
<i>Name of Account holderr ⁴⁵</i>	<input type="text"/>

<i>Date</i>	<input type="text"/>	<input type="text"/>
<i>Financial Co-ordinator's signature ⁴⁶</i>	<input type="text"/>	<input type="text"/>
<i>Stamp ⁴⁷</i>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

Shared Cost RTD CPF Form – Form A7 1/2



EN J 1 FP5RTD

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Project Acronym ²	Proposal No ³
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A7 Co-ordinator's direct co-ordination costs (part 1/2: Personnel/overhead)⁴⁸

Co-ordinator's Personnel and overhead costs ⁴⁹

Categories of staff to work on the co-ordination: 1:

2:

3:

Personnel co-ordination Costs Year 1 Overhead Costs Year 1

Staff Cat.:	Hours on Project	Hourly Rate (Euro)	Personnel costs (Euro)	Hourly overhead rate (Euro)	Overhead costs (Euro)
1.					
2.					
3.					

Total co-ordination Personnel costs year 1: Total overhead y 1:

Personnel co-ordination Costs Year 2 Overhead Costs Year 2

Staff Cat.:	Hours on Project	Hourly Rate (Euro)	Personnel costs (Euro)	Hourly overhead rate (Euro)	Overhead costs (Euro)
1.					
2.					
3.					

Total co-ordination Personnel costs year 2: Total overhead y 2:

Personnel co-ordination Costs Year 3 Overhead Costs Year 3

Staff Cat.:	Hours on Project	Hourly Rate (Euro)	Personnel costs (Euro)	Hourly overhead rate (Euro)	Overhead costs (Euro)
1.					
2.					
3.					

Total co-ordination Personnel costs year 3: Total overhead y 3:

Personnel co-ordination Costs Year 4 Overhead Costs Year 4

Staff Cat.:	Hours on Project	Hourly Rate (Euro)	Personnel costs (Euro)	Hourly overhead rate (Euro)	Overhead costs (Euro)
1.					
2.					
3.					

Total co-ordination Personnel costs year 4: Total overhead y 4:

Personnel co-ordination Costs Year 5 Overhead Costs Year 5

Staff Cat.:	Hours on Project	Hourly Rate (Euro)	Personnel costs (Euro)	Hourly overhead rate (Euro)	Overhead costs (Euro)
1.					
2.					
3.					

Total co-ordination Personnel costs year 5: Total overhead y 5:

Total co-ordination Personnel costs: Total Overhead

Hourly Rates are based on: Actual Salaries: Average Salaries⁸⁶:

Base year for the rates are: Average increases per year In percent: %

Number of person months for co-ordination: Year 1 Year 2 Year 3 Year 4 Year 5 Total

Number of person months for co-ordination:

Overhead percentage for direct co-ordination costs: %

For Additional Cost Participants only: Overhead on direct co-ordination costs (in Euro)¹⁰⁷

Overhead for Additional Cost Participants:	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Overhead - direct co-ordination costs						

Shared Cost RTD CPF Form – Form A7 2/2



EN K 1 FP5RTD

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Project Acronym ²

Proposal No ³

A7

Co-ordinator's direct co-ordination costs (part 2/2: Other costs)⁴⁸

Durable Equipment costs (Euro)⁸⁹

Description ⁹⁰	Month of purchase ⁹¹	Cost of purchase [C] (Euro) ⁹²	Period of use (months) [A] ⁹³	Depreciation period (months) [B] ⁹⁴	% usage on the project [D] ⁹⁵	Amount charged to project (Euro) ⁹⁶
Total						

Consumables costs (Euro)⁹⁷

Description:	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Total						

Travel / subsistence costs (Euro)⁹⁸

Description:	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Total						

Computing costs (Euro)⁹⁹

Description:	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Total						

Other significant project costs (Euro)¹⁰¹

Description:	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Total						

Protection of knowledge (Euro)¹⁰²

Description:	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Total						

	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Total allowable direct co-ordination costs ¹⁰³						
EC contribution in percentage ¹⁰⁴						
Total EC contribution						

How to complete the co-ordinator's administrative forms (Part A - Forms A0 to A7).

Project Information and Administrative Overview Forms (A0, A1)

1. 'Project information and administrative overview forms' (A0 and A1)

These forms are to be completed by the project co-ordinator on behalf of the consortium.

2. Project Acronym

Provide a short title or acronym of no more than 20 characters, to be used to identify the project. Do not change the acronym used in the proposal submission unless asked to do so by the Commission Services.

3. Proposal No

The proposal number you were given by the Commission Services. The proposal number must be identified in each page of the contract preparation forms. Normally, this will subsequently become the contract number.

4. Call Identifier

The call identifier is the reference number in the call to which your proposal was addressed, as indicated in the publication of the call in the Official Journal.

5. Research Programmes and Thematic Priorities

The thematic priorities addressed by your project as indicated in the list in Annex 1 of Appendix 1, the proposal submission forms for the call your proposal addressed: "Structure of the thematic priorities of the 5th Framework Programme 1998-2002 (indirect actions)".

The list is organised so that the first three or four characters indicate the programme (in bold), the next four digits indicate the year of the workprogramme, and the two or three last digits indicate the thematic priorities (action lines or research objectives).

When you fill in the box(es) for the research programme in form A0, you should only use the abbreviated name of the programme(s), (e. g. QOL, IST, GROW, etc).

When you fill in the box(es) for the thematic priorities on form A0 and A1, you should use the abbreviated name of the programme (the first three or four characters), followed by the year, and the two or three digits that identify the thematic priorities. If more than one thematic priority is addressed, indicate them in priority order, so that the main priority addressed by the proposal is mentioned first (e. g. QOL-2000-1.3.4).

If the thematic priorities you address have been changed as a result of the evaluation, please indicate in a footnote the thematic priority originally addressed in the proposal.

6. Type of Action

The type of action your project concerns. For research, demonstration and combined projects you should use one of the following codes:

RS: Research and Technological Development Projects;

DM: Demonstration Projects;

CM: Combined Research and Demonstration Projects.

7. Project Co-ordinator

The name, contact details and information on signature for the person/organisation responsible for the co-ordination of the project and who acts as a contact on behalf of the consortium during the negotiations of the project.

8. Gender (F(emale) / M(ale))

This information is required for statistical purposes only. Please indicate with a cross as appropriate.

9. Organisation Legal Name

You must use the complete legal name of the organisation. This is the name under which the organisation is registered in the official trade registers, if applicable. You should only use the English form of the name if this name is officially registered.

10. Institute / Department / Laboratory Name

Name of the institute, department and/or laboratory in the organisation, which will be carrying out the work and for which the contact person is working. The address details given in the following field must be for the institute / department / laboratory and not the legal address of the organisation.

11. P. O. Box

If applicable, indicate number of Post Office Box for surface mail delivery.

12. Post Code

If applicable, enter numerical (alphanumeric for United Kingdom and The Netherlands) post code without being prefixed by the country identifier, e.g. 1000 and not B-1000 or SW1H 9AS and not UK-SW1H 9AS.

13. Cedex

If applicable, indicate Cedex for surface mail delivery.

14. Country Code / Name

Use the relevant country code and country name as indicated in the list in Annex 2 of Appendix 1, the proposal submission forms: "Country Codes". For any country not included in the list in Annex 2, please indicate the full name of the country in the "Country Name" and leave the "Country Code" blank.

15. Telephone No and Fax No

Please give the telephone and fax numbers in the following format; for example (a European Commission telephone number in Brussels, Belgium) (32-2)2988888 (32 being the country code number; 2 the area code number for international calls; 2988888 the subscriber's number).

16. Project Abstract

The project abstract should be a very short and precise presentation of the main features of the project. Why is it proposed and what problem is it solving? What are the objectives? How will the objectives be achieved? What results are expected? This project abstract will be used together with the project

summary description in form A2 in the publications and communications about the projects to the general public and other interested parties (Commission services and programme committees, etc.). Please use plain typed text, avoiding formulae and other special characters. If the project is written in a language other than English, please include in form A1 an English version of the abstract.

Unless there are changes as a result of the evaluation you may use the same abstract submitted with the proposal.

17. Total estimated Eligible Costs

The total estimated eligible costs of the project in Euro as in form A3, adjusted as a result of the evaluation and agreed during the negotiation. Eligible costs are defined in Part C of Annex II, General conditions to the model contract.

18. EC Contribution requested

The total contribution requested for the project from the European Community in Euro, as in form A3.

19. Keywords

If applicable, the keywords to be filled in these fields will be defined in the Guide for Proposers, Part 2, Section IV, "Call specific information", for the calls according to the needs of the specific programmes.

Project Summary Form (A2)

20. Project Summary

The project summary form, (A2) should be filled in by the co-ordinator only. You should not use more than 3,500 characters. The project summary should, at a glance, provide the reader with a clear understanding of the project objectives and how the objectives will be achieved, and their relevance in the context of the objectives of the specific programme. This summary may be used as an alternative to the project abstract, as the description of the project in the publications to the general public and in communications to the programme management committees and other interested parties. It must therefore be short and precise. Please use plain typed text, avoiding formulae and other special characters. If the project is written in a language other than English, please include in form A2 an English version of the project summary.

Unless there are changes as a result of the evaluation you may use the same summary submitted with the proposed.

Cost Summary in Euro Form (A3)

21. Cost Summary in Euro, form A3

The A3 form corresponds to the A4 form in the proposal submission forms. The A3 form consists of two pages. Each page must be filled in. The A3 form should be filled in by the co-ordinator based on the budget distribution agreed by the consortium as described in the Participant forms (A8.1-A8.3). It should only contain the eligible costs. All figures should be in Euro, **not thousands of Euro**. For more detailed information on eligible costs categories for the cost shared RTD actions, please refer to the notes to the forms A8.1 - A8.3 below and to part C of the Annex II, General conditions of the model contract.

For projects concerned with only research or only with demonstration, only one A3 form should be submitted.

For combined research and demonstration projects where it is possible to make a clear distinction between the research and demonstration parts of the project, **two different A3 forms** should be submitted, one for the research part and one for the demonstration part of the project, and the total of these should be repeated on form A1.

For combined research and demonstration projects where it is not possible to make a clear distinction between the research and demonstration parts of the project, only one A3 form should be filled in, and the requested percentage for Community contribution should be a weighted average between the research and demonstration part.

Where a project has **more than 12 participants**, please either add a second page A3 or add a separate annex in the same format as the table on this page, but remember to continue numbering 13, 14, etc.

22. Participant Role

The role for the participant as defined by the consortium for this project. This role should also be used on form A8.1. The following codes should be used for role:

CO: scientific, administrative and financial co-ordinator, or only administrative and financial co-ordinator;

CS: only scientific co-ordinator

CR: principal contractor (other than the co-ordinator);

AC: assistant contractor.

23. Participant No

The number allocated by the consortium to the participant for this project. The co-ordinator (or in case of a split between administrative/financial and scientific co-ordination, the administrative co-ordinator) of a project is always number one. Assistant contractors should have numbers following the principal contractors whom they are working with. In case the assistant contractor is assisting more than one principal contractor, the assistant contractor should have a number following the first principal contractor listed. Ex: AC 3 assists CR 2, the following CR is number 4, etc.

24. Assistant to Principal Contractor No (Participant No)

Only for assistant contractors: Indicate the number(s) of the principal contractor(s), whom the assistant contractor is assisting.

25. Costs of the co-ordinator

In row 26, the project co-ordinator should include only the costs for the performance of its part of the research under the project. If the project co-ordinator is able to identify the direct costs of the administrative/financial co-ordination, such costs may be indicated separately in row 26 (see note 26). Contractors participating on a full cost actual overhead basis (FC) must exclude these costs from their overheads. If the roles of co-ordination are split between administrative/financial and scientific co-ordinator, only the financial/administrative co-ordinator may charge co-ordination costs directly. In this case the code CF should be used instead of CO.

Alternatively the costs of the administrative/financial co-ordination may be included in the overheads of the research work in row 25 (col. Overheads).

26. Co-ordination costs (Administrative / Financial co-ordination)

The financial/administrative co-ordinator of a project has to be an organisation situated in a Member State or an associated state and not in a third country.

Project co-ordinators may be required to perform considerable administrative / financial co-ordination tasks directly related to the co-ordination of the project and to incur the associated costs. Such costs will be considered as eligible costs only for the co-ordinator (in case of split between scientific/technical and

financial/administrative co-ordination, only for the financial/administrative co-ordinator). Co-ordination costs may include costs falling under all categories of costs, except subcontracting. They may cover in particular:

Personnel: remuneration of administrative and clerical personnel for performing co-ordination tasks for a specific project. Contractors participating on an additional cost basis (AC) must use additional staff to carry out these tasks if they are charged directly.

Durable equipment, consumables and computing: expenditure used strictly for co-ordination purposes in the project.

Travel and subsistence: related to administrative and clerical personnel performing co-ordination tasks specific to the project.

Other specific costs: project specific co-ordination costs other than those charged under the categories mentioned above.

Overheads on co-ordination: Overheads may be charged on co-ordination costs at a real rate by co-ordinators participating on a full cost actual overhead basis (FC) if these costs have not already been included in the overhead for the scientific/technical work (in row 25). Co-ordinators working on fixed overhead basis (FF) may charge up to 80% of personnel costs as an overhead on co-ordination costs and co-ordinators working on additional cost basis (AC) may charge up to 20% of direct co-ordination costs as an overhead on co-ordination costs.

The co-ordinator may decide not to charge the co-ordination costs as direct costs in row 26, and may in this case include them in the overhead costs in row 25 (see note 25).). If the administrative or financial coordination is subcontracted, the related costs can only be considered as indirect costs.

Costs related to scientific/technical co-ordination can not be charged as direct co-ordination costs. This is considered to be part of the regular scientific work of the project, and the costs for it are distributed over such headings as Personnel costs, Travel and subsistence etc. as is the rest of the project's scientific work.

27. Total co-ordinator costs

The total costs of the project co-ordinator for the scientific/technical tasks (row 25) and the administrative / financial co-ordination task (row 26) (i.e. the sum rows 25 and 26 above). Where the co-ordination function is split between two co-ordinators only the administrative and financial co-ordinator may charge co-ordination costs directly.

28. Participant short name

The short name chosen by the participant in this project from form A8.1.

29. Number of person months and all cost categories

The figures for these columns should be transferred from the individual participant's forms A8.2 and A8.3. The number of person months should be calculated as the sum of the person months for the participants including their subcontractors. The number of person months should for Additional Cost (AC) participants not include the number of person months spend by permanent staff. The explanations of the cost categories are in the notes to the forms A8.2 and A8.3. See these notes for more explanation.

30. Subtotal part 1/2

The sum of the cost categories in columns Personnel to Other specific costs. The sum is transferred to page 2/2.

31. Total

The sum of each cost category from the rows above including row 27, total co-ordinator costs, but not rows 25 and 26.

32. Total costs

The sum of all the cost categories.

33. Adjusted Community Contribution

If applicable: The EC contribution to a contractor which is a private profit making organisation may have to be adjusted according to the Rules for State Aid if the total public support (i.e. national, regional, local and Community) for private partners exceed 75% for the shared-cost RTD projects and 50% for the demonstration projects. If the total public support are above these thresholds, the EC contribution will be reduced to bring the total public support within the above mentioned thresholds. This calculation and subsequent adjustment will be made at the final stages of the contract negotiations. See form A4 and note 108.

34. Advance payment

This field will be finalised after the negotiations of the consortium with the Commission services have been concluded. However the indicative breakdown of the initial agreed advance payment between the participants should be entered.

Public/Private funds in Euro. Form (A4)

35. Public/private funds in Euro

The form A4 should be filled in only if there is information from any of the participants under the heading financial information on the participating organisation's contribution to the contract (State Aid) in form A8.4.

This form should be filled in by the co-ordinator, based on the information given by the contractors in form A8.4. The information on this form is used to ensure that the rules for state aid for research activities as described in the Community framework for State aid for R&D are respected. (See note 108).

36. Total costs

The total costs for each participant from the total cost column in form A3.

37. Own contribution

The participant's contribution to the work under the contract from its own funds. Transferred from form A8.4.

38. Community contribution

The Community contribution for the participants transferred from the form A3.

39. Other Public funds

Public funds contribution **other than the Community research contribution to this contract.**
Transferred from form A8.4.

40. Public contribution in total

The total of the Community contribution (col. 38) and the other public funds (col. 39).

41. Public contribution in percentage

Calculated for each participant individually and for the project globally.

Calculated by multiplying the figure in col. 40 with 100 and dividing by the total costs in col. 36.

For the exact application of all rules on the cumulation of various public contributions for RTD projects, demonstration projects and combined projects under the EC and EURATOM 5th Framework-programme for R&D, see note 108 for further information.

Yearly Cost Summary in Euro. Form (A5)

42. Yearly Cost Summary in Euro.

The co-ordinator fills in the form A5. One form is needed for each year's duration of the project. The year should clearly indicate the project years. Year 1 being the first project year. Year 2 being the second project year etc.. The figures for the form are transferred from the relevant information from the participant's data in forms A8.2 and A8.3 (and for the co-ordinator form A7).

Co-ordinator's banking information. Form (A6)

43. Co-ordinator's banking information

The form A6 is filled by the co-ordinator of the project. It gives information on the valid bank account to be used for payments by the Commission towards the project. Where the scientific and administrative/financial co-ordination has been split, only the latter should complete this form.

44. Swift code

If applicable: Swift code for the bank in the format defined by the bank.

45. Format of bank account numbers per country

The bank account number should be entered in the format set out in the table below for the different countries.

If the name of the bank account holder is different from the legal name of the financial co-ordinator, the name of the account holder should be entered in the field for: Name of bank account holder.

GERMANY

	BLZ BANK CODE								ACCOUNT N° (including check digit)												
	x	x	x		x	x	x		x	x		x	x	x	x	x	x	x	x	x	
POSITION	1	2	3		4	5	6		7	8		1	2	3	4	5	6	7	8	9	10

AUSTRIA

	BLZ					ACCOUNT N°														
	x	x	x	x	x		x	x	x	x	x	x	x	x	x	x	x	x	x	x
POSITION	1	2	3	4	5		1	2	3	4	5	6	7	8	9	10	11			

BELGIUM

	BANK				ACCOUNT N°								C.D.	
	x	x	x	-	x	x	x	x	x	x	x	-	x	x
POSITION	1	2	3	-	1	2	3	4	5	6	7	-	1	2

FINLAND

	BLZ				ACCOUNT N°								
	x	x	x	x		x	x	x	x	x	x	x	x
POSITION	1	2	3	4		1	2	3	4	5	6	7	8

POSITION	1	2	3	4		1	2	3	4	5	6	7
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or

	BLZ					ACCOUNT N°							
	x	x	x	x	x	x	x	x	x	x	x	x	x
POSITION	1	2	3	4	5	1	2	3	4	5	6	7	

DENMARK

	NUMERO REGISTRE					ACCOUNT N° (including check digit)									
	x	x	x	x	x	x	x	x	x	x	x	x	x		
POSITION	1	2	3	4		1	2	3	4	5	6	7	8	9	10

FRANCE

	CODE ETABLISSEMENT					CODE GUICHET					NUMERO DE COMPTE										RIB						
	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
POSITION	1	2	3	4	5	1	2	3	4	5	1	2	3	4	5	6	7	8	9	10	11					1	2

UNITED KINGDOM

	SORT CODE						ACCOUNT N°										
	x	x		x	x		x	x		x	x	x	x	x	x	x	x
POSITION	1	2		3	4		5	6		1	2	3	4	5	6	7	8

IRELAND

	SORT CODE						ACCOUNT N°										
	x	x		x	x		x	x		x	x	x	x	x	x	x	x
POSITION	1	2		3	4		5	6		1	2	3	4	5	6	7	8

SPAIN

	ENTIDAD				OFICINA				D.C.		ACCOUNT NUMBER															
	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
POSITION	1	2	3	4	1	2	3	4	1	2	1	2	3	4	5	6	7	8	9	10						

ITALY

	CODE ABI (Ets)					Code CAB (Guichet)						Número de Compte														
	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
POSITION	1	2	3	4	5	1	2	3	4	5	6	1	2	3	4	5	6	7	8	9	10	11	12			

LUXEMBOURG

	ACCOUNT N°									
	x	x	x	x	x	x	x	x	x	x
POSITION	1	2	3	4	5	6	7	8	9	10

NORWAY

	NUMERO REGISTRE				ACCOUNT N° (including check digit)						CD	
	x	x	x	x	x	x	x	x	x	x	x	x
POSITION	1	2	3	4	5	6	7	8	9	10	11	

THE NETHERLANDS

	ACCOUNT N°								
	x	x	x	x	x	x	x	x	x
POSITION	1	2	3	4	5	6	7	8	9

SWEDEN

	BLZ				ACCOUNT N°											
	x	x	x	x	x	x	x		x	x	x	x		x	x	x
POSITION	1	2	3	4	1	2	3		4	5	6	7		8	9	10

or

	BLZ					ACCOUNT N°											
	x	x	x	x	x	x	x	x		x	x	x	x		x	x	x

POSITION	1	2	3	4	5	1	2	3	4	5	6	7	8	9	10
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GREECE

	ACCOUNT N°														
	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
POSITION															

For Greece there is no specific structure

PORTUGAL

	ENTIDADE				AGENCIA				CD		ACCOUNT N°															
	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
POSITION	1	2	3	4	1	2	3	4	1	2	1	2	3	4	5	6	7	8	9	10	11					

46. Financial co-ordinator’s signature

The form should be signed by the person authorised by the organisation to be the financial co-ordinator.

47. Stamp

If applicable. Official stamp of the financial co-ordinating organisation.

Co-ordinator’s direct co-ordination costs. Form (A7)

48. Direct Co-ordination costs

If the financial/administrative co-ordinator decides to charge the co-ordination costs directly, the eligible costs for co-ordination should be reported on form A7. The form has two parts, 1/2 for the personnel and overhead costs and part 2/2 for the other eligible cost categories.

NB! Subcontracting is not an eligible cost category for direct co-ordination costs.

The co-ordinator must transfer the total co-ordination costs to form A3 , row 26, and the yearly co-ordination costs to form A5, row 26. (See also notes 25, 26 and 27).

49. Co-ordination personnel cost

The costs of the personnel directly working with the co-ordination. Typically it is categories of staff like: administrative and financial officers, clerks, secretaries etc. which can be charged directly as co-ordination costs. Contractors working on the additional cost basis (AC) may charge administrative personnel as direct co-ordination costs if the additional cost requirements for personnel are met.

Contractor's Section
Contract Preparation forms
(A8.1-A8.4)



EN L 1 FP5RTD

FOR COMMISSION USE ONLY

Project Acronym ²	Proposal No ³
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A8.1 Participant Profile/Information (1 form per participant) (part 1/2) ⁵⁰

Legal information on the participating organisation									
Participant Role ²²		Participant No ²³		Assistant to Contractor No ²⁴					
Registration No with the European Commission's Research Programmes ⁵¹									
Organisation Legal Name ⁵²									
Short Name ⁵³									
Legal Registration No ⁵⁴				VAT No ⁵⁵					
Activity Type ⁵⁶		Legal Status ⁵⁷			If 'PRC', Specify ⁵⁸				
Business Area ⁵⁹ (NACE)		User/Supplier ⁶⁰ (U / S)			Cost Basis ⁶¹ (FC / FF / AC)				
Legal Address of the organisation ⁶²									
PO Box ¹¹									
Street Name and Number									
Post Code ¹²				Cedex ¹³					
Town/City									
Country Code ¹⁴		Country Name ¹⁴							
Organisation details ⁶³									
Year ⁶⁴									
Annual turnover ⁶⁵		Annual Balance Sheet Total ⁶⁶			Total R&D Expenditure ⁶⁷				
Number of employees ⁶⁸			Number of R&D Personnel ⁶⁹						
Number of researchers and engineers ⁷⁰				Female researchers and engineers ⁷¹					
Is Your Organisation independent ⁷²								Y	N
If No, please indicate legal name(s) of owner(s) who own 25 % or more ⁷³									
Is Your Organisation affiliated to any other participant(s) in the project ⁷⁴ ?								Y	N
If Yes, please indicate Participant No, Short Name(s) and character of affiliations(s) (D / I) ⁷⁵									
Address of the main Institute/ Department/ Laboratory carrying out the work ⁷⁶									
Institute/Department/ Laboratory Name ¹⁰									
PO Box ¹¹									
Street Name and Number									
Post Code ¹²				Cedex ¹³					
Town/City									
Country Code ¹⁴		Country Name ¹⁴							



EN M 1 FP5RTD	<input type="text"/>	<input type="text"/>
FOR COMMISSION USE ONLY	<input type="text"/>	<input type="text"/>

Project Acronym ²	<input type="text"/>	Proposal No ³	<input type="text"/>
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A8.1 Participant Profile/Information (1 form per participant) (part 2/2)⁵⁰

Participant Role ²²	<input type="text"/>	Participant No ²³	<input type="text"/>	Assistant to Contractor No ²⁴	<input type="text"/>
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Authorised administrative official for the purpose of contract signature ⁷⁷

Title (Dr, Prof., ...)	<input type="text"/>	Gender ⁸	F	<input type="checkbox"/>	M	<input type="checkbox"/>
Function ⁷⁸	<input type="text"/>					
Family Name	<input type="text"/>					
First Name	<input type="text"/>					
Telephone No ¹⁵	<input type="text"/>	Fax No ¹⁵	<input type="text"/>	<input type="text"/>		
E-mail	<input type="text"/>					

Second Authorised administrative official for the purpose of contract signature ⁷⁹

Title (Dr, Prof., ...)	<input type="text"/>	Gender ⁸	F	<input type="checkbox"/>	M	<input type="checkbox"/>
Function ⁷⁸	<input type="text"/>					
Family Name	<input type="text"/>					
First Name	<input type="text"/>					
Telephone No ¹⁵	<input type="text"/>	Fax No ¹⁵	<input type="text"/>	<input type="text"/>		
E-mail	<input type="text"/>					

Scientific Person in charge of the project ⁸⁰

Title (Dr, Prof., ...)	<input type="text"/>	Gender ⁸	F	<input type="checkbox"/>	M	<input type="checkbox"/>
Function ⁷⁸	<input type="text"/>					
Family Name	<input type="text"/>					
First Name	<input type="text"/>					
Telephone No ¹⁵	<input type="text"/>	Fax No ¹⁵	<input type="text"/>	<input type="text"/>		
E-mail	<input type="text"/>					

Authorised contact person ⁸¹

Title (Dr, Prof., ...)	<input type="text"/>	Gender ⁸	F	<input type="checkbox"/>	M	<input type="checkbox"/>
Function ⁷⁸	<input type="text"/>					
Family Name	<input type="text"/>					
First Name	<input type="text"/>					
Telephone No ¹⁵	<input type="text"/>	Fax No ¹⁵	<input type="text"/>	<input type="text"/>		
E-mail	<input type="text"/>					

I certify that the information set out in forms A8.1 to A8.4 (Annex 2) is accurate and correct and that the estimated costs conform with the European Commission's allowable costs for RTD support and our normal cost accounting principles and reflect the costs expected to be incurred in carrying out the approved Annex 1 to the contract description of work. I also confirm that our organisation is committed to participate to the above mentioned research project.

Date (DD/MM/YYYY)	<input type="text"/>
Signature of authorised contact person	<input type="text"/>



Shared Cost RTD CPF Form – Form A8.2 2/2



EN N 1 FP5RTD	<input type="text"/>	<input type="text"/>
FOR COMMISSION USE ONLY	<input type="text"/>	<input type="text"/>

Project Acronym ²	<input type="text"/>	Proposal No ³	<input type="text"/>
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A8.2 Participant Profile/Information (1 form per participant) Personnel costs/overhead 2/2⁵⁰

Participant Role ²²		Participant No ²³		Assistant to Contractor No ²⁴	
Personnel Costs⁸⁴ Year 4			Overhead Costs⁸⁵ Year 4		
Staff Cat.:	Hours on Project	Hourly Rate (Euro)	Personnel costs (Euro)	Hourly overhead rate (Euro)	Overhead costs (Euro)
1.					
2.					
3.					
4.					
Total Personnel costs year 4:				Total overhead y 4:	
Personnel Costs Year 5			Overhead Costs Year 5		
Staff Cat.:	Hours on Project	Hourly Rate (Euro)	Personnel costs (Euro)	Hourly overhead rate (Euro)	Overhead costs (Euro)
1.					
2.					
3.					
4.					
Total Personnel costs year 5:				Total overhead y 5:	

Shared Cost RTD CPF Form – Form A8.3 1/2



EN O 1 FP5RTD

FOR COMMISSION USE ONLY

Project Acronym ² Proposal No ³

A8.3 Participant Profile/Information (1 form per participant) Other costs (part 1/2)⁵⁰

Participant Role ²² Participant No ²³ Assistant to Contractor No ²⁴

Durable Equipment costs (Euro) ⁸⁹						
Description ⁹⁰	Month of purchase ⁹¹	Cost of purchase [C] (Euro) ⁹²	Period of use (months) [A] ⁹³	Depreciation period (months) [B] ⁹⁴	% usage on the project [D] ⁹⁵	Amount charged to project (Euro) ⁹⁶
Total						

Consumables costs (Euro) ⁹⁷							
Description:	Year 1	Year 2	Year 3	Year 4	Year 5	Total	
1:							
2:							
3:							
4:							
Total							

Travel / subsistence costs (Euro) ⁹⁸						
Description:	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Total						

Computing costs (Euro) ⁹⁹						
Description:	Year 1	Year 2	Year 3	Year 4	Year 5	Total
1:						
2:						
3:						
4:						
Total						

Shared Cost RTD CPF Form – Form A8.3 2/2



EN P 1 FP5RTD

FOR COMMISSION USE ONLY

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Project Acronym ²	Proposal No ³
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A8.3 Participant Profile/Information (1 form per participant) Other costs (part 2/2)⁵⁰

Participant Role ²²	Participant No ²³	Assistant to Contractor No ²⁴
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Subcontracting costs (Euro) ¹⁰⁰								
Subcontractors (names)	Country Code	Work service	Year 1	Year 2	Year 3	Year 4	Year 5	Total
1:								
2:								
3:								
4:								
Total								

Other specific project costs (Euro) ¹⁰¹							
Description:	Year 1	Year 2	Year 3	Year 4	Year 5	Total	
1:							
2:							
3:							
4:							
Total							

Protection of knowledge (Euro) ¹⁰²							
Description:	Year 1	Year 2	Year 3	Year 4	Year 5	Total	
1:							
2:							
3:							
4:							
Total							

	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Total allowable costs ¹⁰³						
EC contribution in percentage ¹⁰⁴						
Total EC contribution						

Conversion rate used	
Currency ¹⁰⁵ :	Conversion Rate to Euro ¹⁰⁶ :

For additional cost participants only: Overhead (in Euro) ¹⁰⁷						
Overhead for Additional Cost Participants: Overhead percentage multiplied with all cost categories except Subcontracting	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Overhead						

Shared Cost RTD CPF Form – Form A8.4



EN Q 1 FP5RTD	<input type="text"/>	<input type="text"/>
FOR COMMISSION USE ONLY	<input type="text"/>	<input type="text"/>

Project Acronym ²	<input type="text"/>	Proposal No ³	<input type="text"/>
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A8.4 Participant Profile/Information (1 form per participant) ⁵⁰

Participant Role ²²	<input type="text"/>	Participant No ²³	<input type="text"/>	Assistant to Contractor No ²⁴	<input type="text"/>
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Financial information on the contractor's own contribution and other public sector contributions to the contract ¹⁰⁸	
Other public sector contributions towards the participation under the contract (in Euro) ¹⁰⁹ :	<input type="text"/>
Participant's own contribution towards the participation under the contract (in Euro) ¹¹⁰ :	<input type="text"/>

Human resources information ¹¹¹	
Total person hours agreed for the proposed participation to the contract:	<input type="text"/>
Of which researchers and engineers (RSE) person hours (total number of RSE hours on the contract):	<input type="text"/>
Of which number of female RSE hours (total number of female RSE hours on the contract):	<input type="text"/>

Link of subcontractor(s) ^{72, 74}		
Are any of the subcontractors linked to a contractor or associated contractor?	<input type="radio"/> NO <input type="radio"/> YES	Nature of link:

Financial and accounting rules used by the Participant (X = Annex Attached) ¹¹²	
Has information on your organisation's cost accounting principles and systems (in particular for calculating the personnel costs and allocating overheads) already been supplied to the Research Programmes of the Commission?	<input type="checkbox"/> NO <input type="checkbox"/> YES _____ Specify the most recent Commission contract number <input type="checkbox"/> X = Annex on Financial and Accounting Rules attached <input type="checkbox"/> X = Annex on Overhead calculation attached

Documents (X = Annex Attached)	
<input type="checkbox"/> Legal documents establishing organisation ¹¹³ <input type="checkbox"/> Annual reports and balance sheets ¹¹⁴ <input type="checkbox"/> Organisation structure ¹¹⁵	
If applicable and not attached, please specify most recent Research Programme contract number where supplied.	

How to fill the Participant Profile / Information Forms (A8.1, A8.2, A8.3 and A8.4)

Participant profile information. Form (A8.1)

50. Participant profile/information

All participants (principal and assisting contractors) must each fill in the information requested on the forms A8.1, A8.2, A8.3 and A8.4. The notes to the different sections and fields will indicate which participants need to fill in which fields. In addition all private companies (those contractors that use the cost models FC or FF, except for universities and public organisations) must also supply the information requested in the form in Annex 2.

Make sure that the form A8.1 is signed by a person in your organisation authorised to commit the organisation to participate in research projects. Keep a photocopy or an electronic copy of the completed forms for your own files before sending the signed original to your project co-ordinator.

For "research bodies", that is "organisations" or "partnerships" which are not officially legal entities (e.g. Unité Mixte de Recherche and other similar types of groupings) each participating organisation to the project in the "research body" must complete a full set of contractors forms (A8.1-A8.4). In addition a note must be included with the Contract Preparation Forms indicating the link between the legal entities in the "research body" for the project. The note must also clearly state which legal entity is the lead organisation representing the "research body" and this lead entity should provide clear evidence of the mandate from the other legal entities to negotiate the contract on behalf of the "research body". During the contract negotiations a number of issues relating to contract signature, cost claims and payments will have to be addressed.

51. Registration No. with the European Community's Research Programmes

If applicable. If the organisation has already received a registration number under the Fifth Framework Programme, please enter it here, and only give the organisation details if they have changed since the registration number was received. A large organisation may have more than one registration number. If this is the case, please make sure that you use the one relevant to your legal address. **A registration number will only be issued once the organisation has been validated during the negotiation of a contract with the Commission.**

52. Organisation Legal Name

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

53. Short Name

The short name chosen by the participant for this project. This should normally not be more than 20 characters and the same should be used for the participant in the A3, A4 and A5 forms.

54. Legal Registration No

If applicable, please provide the organisation's legal national registration number or code the legal trade register, e.g. the Chambers of Commerce register or the business register.

55. VAT No

If applicable, please provide the organisation's Value Added Tax (VAT) number in the VAT register.

56. Activity Type

Indicate the principal activity of your organisation. Please use one of the following codes:

REC: Research (i. e. organisations only or mainly established for research purposes);

- HES:** Higher Education (i. e. organisations only or mainly established for higher education/training, e. g. universities, colleges);
- IND:** Industry (i. e. industrial organisations private and public, both manufacturing and industrial services – such as industrial software, design, control, repair, maintenance);
- OTH:** Others.

57. Legal Status

Please use one of the following codes:

- GOV:** Governmental (local, regional or national public or governmental organisations e. g. libraries, hospitals, schools);
- INO:** International Organisation (i. e. an international organisation established by national governments);
- JRC:** Joint Research Centre (i. e. the Joint Research Centre of the European Commission);
- PUC:** Public Commercial Organisation (i. e. commercial organisation established and owned by a public authority) ;
- PRC:** Private Commercial Organisation including Consultant (i. e. any commercial organisations owned by individuals either directly or by shares);
- EEI:** European Economic Interest Group;
- PNP:** Private Organisation, Non Profit (i. e. any privately owned non profit organisation).

58. 'If 'PRC', Specify'

If you are a Private Commercial Organisation (PRC), please indicate the type of organisation (e.g.: SA, Ltd., GmbH, independent person...).

59. Business Area (NACE)

For statistical purposes, the Commission services need to classify the principal economic activity of each participant. This is done for the programmes in the 5th Framework programme according to the 2-digit or 3-digit NACE Rev. 1 classification, listed in Annex 3 of Appendix 1, the proposal submission forms. (NACE is "Nomenclature générale des activités économiques dans les Communautés européennes"). You should identify the single principal economic activity of your organisation, or, in the case of a larger organisation, of the executive division of your organisation making the project.

60. User/Supplier

Only if applicable. Please indicate whether the participant is principally a user (i. e., a participant in the project who participates as a user of the project's result) or a supplier (i. e., a participant in the project who provides the solution or result to solve the users problem) in this project.

61. Cost Basis

You should indicate one of the following cost participation models.

- FC:** Full costs, actual overhead rate (i.e., you will contribute at least 50% of the full costs of your participation in the project);
- FF:** Full costs, flat overhead rate (i.e., you will contribute at least 50% of the full costs of your participation in the project);
- AC:** Additional costs (i.e., you do not have an accounting system, which allows you to separate the direct and indirect costs of the project or does not allow you to identify your direct costs. You will contribute to the costs of the project through your normal operating budget. The additional costs for your participation in the project will be reimbursed at 100%).

Please ensure that you indicate the correct cost participation model and that your organisation uses the same cost model in all the research projects the organisation participates in.

The method of recovery of general indirect costs depends on the cost model under which your organisation will participate. The available cost models are as follows:

Full Cost, actual overhead rate (FC) model:

This model applies to organisations, which have an accounting system that allows the share of their direct and indirect costs relating to the project to be distinguished and which can identify their **real overhead costs**. For these organisations, overheads are calculated according to the organisation's normal practice and on a basis considered reasonable by the Commission. They may be charged in full.

Full cost, Flat overhead rate (FF) model:

This model applies to organisations, which may participate on a FC basis but choose to charge the overheads on a flat rate basis (80% of the eligible personnel costs). It also applies to organisations which have an accounting system that allows the identification of the direct costs relating to research, including their permanent personnel, but which cannot identify overheads with a sufficient degree of precision. A contractor may request a lower percentage when this is required, for instance, by his internal rules.

Additional Cost (AC) model:

This model applies to organisations which do not have an accounting system that allows the share of their direct and indirect costs relating to the project to be distinguished or which cannot identify their real direct costs. The extra costs, incurred as a result of their participation in the project are identifiable (i.e., additional, non-recurrent costs). An example of additional costs, would be the costs of the temporary personnel engaged specifically to perform work on the project, but not the personnel costs charged to the organisation's recurrent budget. These organisations may charge up to 20% of **all direct cost categories, except subcontracting**, as overheads.

For more information on the eligible cost categories see the explanations in the Annex II, General Conditions to the Model Contract for RTD, Combined or Demonstration projects.

62. Legal address of the organisation

Provide here the address where the organisation is legally registered.

63. Organisation details

This section is for statistical information. The fields should be filled by all private organisations and other participants who have an analytical accountancy system, but public research institutions, such as universities, only have to fill fields 69, 70, 71 and 72 (see the notes to the fields in this section).

64. Year

The year for which the figures in this section are provided. Information from the most recent accounting year should be provided.

65. Annual turnover

This field is for statistical information. It should be filled in by all participants who use the full cost participation model or the full cost flat overhead rate participation model, and also for those research organisations, which are able to provide the figures, but normally not for universities. Information from the most recent accounting year should be used. The figures should be given for the organisation as a

whole and not just for the subsidiary company or the department carrying out the work. The following codes for intervals should be used:

T1: $0 \leq \text{EUR } 7 \text{ million}$ (Annual turnovers less than or equal to EUR 7 million)

T2: $> \text{EUR } 7 \text{ million or } \leq \text{EUR } 40 \text{ million}$ (Annual turnovers more than EUR 7 million or less than or equal to EUR 40 million)

T3: $> \text{EUR } 40 \text{ million}$ (Annual turnovers more than EUR 40 million).

If not applicable (e.g., for universities) please write **N/A**.

66. Annual Balance Sheet Total (i.e., total of assets or total of liabilities)

This field is for statistical information. It should be filled in by all participants who use the full cost model or the full cost, flat overhead rate model, and also by those research organisations, which are able to provide the figures, but normally not for universities. The figures should be given for the organisation as a whole and not just for the subsidiary company or the department carrying out the work. Information from the most recent accounting year should be used. The following codes for intervals should be used:

B1: $0 \leq \text{EUR } 5 \text{ million}$ (Annual balance sheet total less than or equal to EUR 5 million)

B2: $> \text{EUR } 5 \leq \text{EUR } 27 \text{ million}$ (Annual balance sheet total more than EUR 5 million or less than or equal to EUR 27 million)

B3: $> \text{EUR } 27 \text{ million}$ (Annual balance sheet total more than EUR 27 million)

If not applicable (e.g. for universities) please write **N/A**

67. Total R&D Expenditure

This field is for statistical information. It should be filled in by all participants who use the full cost model or the full cost, flat overhead rate model, and also by those research organisations, which are able to provide the figures, but normally not for universities. The figures for total R&D expenditure should be given for the organisation as a whole and not just for the subsidiary company or the department carrying out the work. Information from the most recent accounting year should be used. The following codes for intervals should be used:

R1: $0 \leq \text{EUR } 5 \text{ million}$ (Annual balance sheet total less than or equal to EUR 5 million)

R2: $> \text{EUR } 5 \leq \text{EUR } 27 \text{ million}$ (Annual balance sheet total more than EUR 5 million or less than or equal to EUR 27 million)

R3: $> \text{EUR } 27 \text{ million}$ (Annual balance sheet total more than EUR 27 million)

If not applicable (e.g. for universities) please write **N/A**

68. Number of employees

This field is for statistical information. All participants should fill it in. The figures should be for the legal organisation as a whole - not only for the department carrying out the work. The contribution of part-time staff should be accounted as the equivalent number of full-time staff – as full-time equivalents. Please indicate the number of full-time equivalent employees according to the following classification:

S1: 0 employee

S2: 1 – 9 employees

S3: 10 – 49 employees

S4: 50 – 249 employees

S5: 250 – 499 employees

S6: 500 – 1999 employees

S7: 2000+ employees

69. Number of R&D Personnel

This field is for statistical information. All participants should fill it in. The figures should be for the legal organisation as a whole - not only for the department carrying out the work. The contribution of part-time

staff should be accounted as the equivalent number of full-time staff – as full-time equivalents. Please indicate the number of full-time equivalent R&D personnel according to the following classification:

- D1:** 0 R&D employee
- D2:** 1 – 9 R&D employees
- D3:** 10 – 49 R&D employees
- D4:** 50 – 249 R&D employees
- D5:** 250 – 499 R&D employees
- D6:** 500 – 1999 R&D employees
- D7:** 2000+ R&D employees

70. Number of researchers and engineers

This field is for statistical information. All participants should fill it in. The figures should be for the legal organisation as a whole - not only for the department carrying out the work. The contribution of part-time staff should be accounted as the equivalent number of full-time staff – as full-time equivalents. Please indicate the number of full-time equivalent researchers and engineers according to the following classification:

- E1:** 0 Researchers and engineers
- E2:** 1 – 9 Researchers and engineers
- E3:** 10 – 49 Researchers and engineers
- E4:** 50 – 249 Researchers and engineers
- E5:** 250 – 499 Researchers and engineers
- E6:** 500 – 1999 Researchers and engineers
- E7:** 2000+ Researchers and engineers

71. Number of female researchers and engineers

This field is for statistical information. All participants should fill it in. The figures should be for the legal organisation as a whole - not only for the department carrying out the work. The contribution of part-time staff should be accounted as the equivalent number of full-time staff. Please indicate the number of full-time equivalent female research and engineering personnel according to the following classification:

- F1:** 0 Female researchers and engineers
- F2:** 1 – 9 Female researchers and engineers
- F3:** 10 – 49 Female researchers and engineers
- F4:** 50 – 249 Female researchers and engineers
- F5:** 250 – 499 Female researchers and engineers
- F6:** 500 – 1999 Female researchers and engineers
- F7:** 2000+ Female researchers and engineers

72. Independence

An organisation is independent if less than 25% of the capital or the voting rights is owned by one enterprise or jointly by several enterprises falling outside the definition of an SME (except public investment corporations, venture capital companies and institutional investors, provided no control is exercised either individually or jointly).

If the organisation is not independent, you should provide the name(s) of the company(ies) which own(s) 25 % or more of the organisation.

An SME (small and medium-sized enterprise) is defined as an entity that has fewer than 250 full time equivalent employees, has an annual turnover not exceeding EUR 40 million, or an annual balance sheet total not exceeding EUR 27 million, and is not controlled by 25% or more by a company which is not an SME (on the issue of control, see note 74 and 75).

73. Owners

Please provide the legal name(s) of the organisation(s) or person(s) controlling the organisation by 25% or more (on the issue of control, see notes 74 and 75).

74. Affiliation

An organisation is affiliated to another organisation if:

It is under the same direct or indirect control as another organisation, or

It directly or indirectly controls another organisation, or

It is directly or indirectly controlled by another organisation.

Control:

Company A controls company B if:

- A, directly or indirectly, holds more than 50% of the share capital of B, *or*,
- A, directly or indirectly, holds more than 50% of the shareholders' voting rights of company B, *or*,
- A has, directly or indirectly, the decision-making powers within company B.

It should be noted that Company A's holding a simple majority of the share capital, or the voting rights, of Company B may be sufficient to create a controlling relationship.

75. Affiliated Organisations

Please provide the participant number, short name(s) of the organisation(s) to which your organisation is affiliated and use the codes below to describe the character of the affiliation(s):

D: Direct control;

I: Indirect control.

76. Address of Institute/ Department/ Laboratory carrying out the work

Provide here the name and address of the institute/ department/ laboratory carrying out the work

77. Authorised administrative official

This is a person within the organisation with authority to sign the research contract with the European Commission.

78. Function

The function, which the person has within the organisation, for example: director, vice-president, managing director, vice chancellor, etc.

79. Authorised administrative official

If applicable: The second person within the organisation with authority to sign the research contract with the European Commission. Please indicate with an X in A if the organisation requires two persons to sign a research contract with the European Commission on behalf of the organisation, or with a X in O if the second person is authorised to sign instead of the person mentioned in section 77.

80. Scientific officer in charge of the project

If applicable. If the contact person is NOT the scientific person responsible for the project, please provide here the details for the scientific officer in the organisation responsible for the project in the organisation.

81. Authorised contact person

This is the person within the organisation who acts as contact person for the organisation regarding the specific research project under negotiation and who has the authority to verify that the information given in the forms is correct and that the organisation is committed to participate in the research project. Please attach business card if available.

Participant profile information - Personnel and overhead costs. Form (A8.2)

82. Personnel costs and overheads

This form contains information regarding the personnel and overheads costs for the participants.

The Commission actively promotes the participation of women in European research actions financed by the Union, with the aim of significantly increasing the number of women involved in research during the Fifth Framework Programme. To this end, and to the extent possible, efforts should be made to employ women to carry out research tasks financed by this project.

83. Categories of staff

You should identify each category or grade in a clear and unambiguous manner to enable the European Commission to monitor the labour resources allocated to the Project, to analyse cost claims and to carry out audits.

You may charge only research, technical and specialised staff; administrative and secretarial staff may not be charged directly, but can be included in the overheads, except for the financial and administrative co-ordinator, who may charge administrative and secretarial staff carrying out the co-ordination of the project as direct costs (see notes 25, 26 and 27). If the co-ordinator charges the co-ordination costs as direct costs, the details of the staff categories must be provided on form A7.

Examples of staff categories are: scientist, engineer, technician, etc.

Organisations participating on the additional cost basis (most universities) – see note 61 – can only charge for additional scientific and technical personnel employed specifically for the Project. Permanent staff (such as professors) cannot be charged.

Generally the number of productive hours per month is about 135 hours. Please note that the number of productive months in the Project work programme should be consistent with the figure inserted in this form.

84. Personnel costs

Costs of the scientific and technical personnel of the participant excluding overheads. For RTD projects, only the costs of the actual hours worked by the persons directly carrying the scientific and technical work under the project may be charged to the contract. Subject to the contractual terms, costs of persons directly engaged by the participant on work contracts (see Financial Guidelines for definition of work contracts) for the projects may be considered as eligible personnel costs. Administrative and secretarial staff **must not** be charged directly (except for the administrative co-ordination costs of the co-ordinator, see notes 25, 26 and 27), but should be included in the overhead costs.

Personnel costs include social charges. You should include all direct employment costs in the hourly rate (e.g. salary, social charges, such as pension contributions or unemployment insurance, etc.). See also notes 85, 86, 87 and 88.

Organisations that participate on the additional cost basis (see note 61), can only charge for additional scientific and technical personnel employed specifically for the project. Personnel costs paid from the recurrent budget (i.e., for permanent personnel) cannot be charged.

NB! See special notes for the INCO programme. (CORDIS website: <http://www.cordis.lu/inco2/cont-prep.htm>).

85. Overhead costs

Only contractors using the full cost models (FF or FC) should fill in the columns for overhead on personnel costs. These contractors should also fill in the percentage and make sure that the overhead percentage match the rates reported.

Contractors using the additional cost model (AC) should NOT fill in figures in the overhead columns, but only provide the overhead percentage they use (up to 20%), as overheads for

contractors on the AC cost model is calculated on the basis of all direct costs except subcontracting. (See note 61).

Overheads are intended to cover general indirect costs needed to employ, manage, accommodate and support directly or indirectly the cost of personnel performing the work on the project. Overheads should primarily relate to on-site infrastructure and RTD support services of the cost centre (that is, the department carrying out the work in the project) and must exclude those items chargeable separately as direct costs. Overhead calculation and allocation must be justified for the contractors using the full cost real overhead (FC) model.

Please note that certain items **cannot** be charged either in direct costs or indirectly in overheads, for instance costs such as: any interest or return on capital employed; provisions for possible future losses or charges; interest; provisions for doubtful debts; contributions in kind; unnecessary or extravagant expenses; marketing, sales and distribution costs for products and services; indirect taxes and duties - including VAT; resources made available to the organisation free of charge; any cost incurred in respect of another project except of the unused depreciation period of equipment (see notes 89 to 96) or, reimbursed by third parties.

Co-ordinators can choose to include the costs of the administrative / financial co-ordination of the project in the overhead costs as an alternative to charging them directly (see notes 25-27).

NB! See special notes for the INCO programme. (CORDIS website: <http://www.cordis.lu/inco2/cont-prep.htm>).

86. Average salaries

Rates based on average salaries (see Part C of Annex II to the Model Contract) may be used for a single category of staff, or for a combination of several different categories, if they fairly reflect the grades working on the Project. In either case, the average must reasonably reflect the cost of personnel on the Project.

87. Productive hours per year

This is the average number of chargeable, productive hours per month normally available for recharging purposes (i.e. after allowances for holidays, sickness etc.) for each employee and for 12 months per year. A full-time employee contributes 12 man-months per year. The personnel costs per year for this employee therefore normally amount to: 12 x (the number of productive hours per month) x (the personnel costs per hour).

In order to obtain an hourly rate, the total productive personnel costs have to be divided by the total productive hours. Total productive hours can be obtained either from time sheets or from summaries of time records, or on the basis of the total workable hours according to the employment contract, less a certain provision for non-chargeable time such as sickness, holidays, etc. In the latter case, an example for determining the total productive hours per year could be as follows:

Days/year	365 days
Less 52 weekends	<u>104 days</u>
Subtotal	261 days
Less:	
Annual holidays	21 days
Statutory holidays	15 days
Illness/other	<u>15 days</u> <u>51 days</u>
Total = Productive days	<u>210 days</u>
Productive hours/year (210 days x 7 hrs/day)	1470 hrs
Productive hours/year (210 days x 7.5 hrs/day)	1575 hrs
Productive hours/year (210 days x 8 hrs/day)	1680 hrs.

As a general rule, no overtime may be charged to Commission projects, unless this element has also been taken into account in the calculation of the total productive hours, or this is reimbursed specifically by the organisation.

NB! See special notes for the INCO programme. (CORDIS website: <http://www.cordis.lu/inco2/cont-prep.htm>).

88. Additional Cost participants

Only applicable to participants using the additional cost model. These participants should here provide the number of hours the different categories of permanent staff contribute to the project per year. The figures should together with the number of hours described above for the temporarily employed staff, add up to the total contribution of these participants as recorded in the resources for each workpackage.

Participant profile information - Other cost categories. Form (A8.3)

89. Durable equipment

Cost of equipment purchased or leased to buy for the purpose of the project. The amount you can charge to the project is calculated in the following way:

$$(A/B) \times C \times D$$

where:

- A. = the period in months during which the durable equipment is used for the *project* after invoicing;
- B. = the depreciation period for the durable equipment: 36 months for computer equipment costing less than 25 000 EUR or 60 months for other equipment;
- C. = the actual cost of the durable equipment;
- D. = the percentage of usage of the durable equipment for the *project* expressed as a fraction of 1 (e.g. 70% corresponds to 0.7).

Costs for durable equipment may be eligible if the equipment has been purchased or leased (i) within 6 months before the starting date of the project, or (ii) for the performance of a contract previously concluded with the Community and provided that the depreciation period has not lapsed. In the last case, the eligible costs will depend on the length of the remaining depreciation period.

Note that costs related to rented equipment should be charged under "Subcontracting".

90. Description (of equipment)

Give a brief description of the equipment to be purchased specifically for use under the project.

91. Month of purchase

This is the expected month of purchase after the start (commencement date) of the project (month 0), e.g. month -6 for equipment bought 6 months before the commencement date of the project, month 14 for equipment bought 14 months after the commencement date, etc.

92. Cost of purchase (euro)

This is the purchase price of the equipment in euro (excluding VAT) or the total value of the contract for equipment acquired under a lease to buy agreement.

93. Period of use (months)

This is the period (in months) during which the equipment is to be used for the project after its delivery.

94. Depreciation period (months)

Equipment must be depreciated on a linear basis over a depreciation period of either 36 months (for computing equipment with a value of less than 25,000 Euro) or 60 months (in the case of all other equipment).

95. Percentage usage on the project

This is the percentage of time for which the equipment is used for this Project in relation to its total usage (i.e. including usage for other purposes) during the same period.

For example, if the equipment is used for 6 months and in that time the equipment is used for a total of 300 hours for the Project, but for no other purposes, then the percentage usage is 100%.

However, if during the same period the equipment is used for 300 hours for the Project and is also used for 100 hours for purposes other than the research Project, then the percentage usage is 75%.

96. Amount charged to project (euro)

Only the depreciated value in euro of the equipment as calculated according to the formula in note 86 may be charged to the project.

97. Consumables costs

According to the usual practises of the participant, these costs may be included in overhead costs for contractors using the full cost, actual overhead rate model. Otherwise, the amount for consumables can be entered here.

98. Travel / subsistence costs

The amount for travel and subsistence costs of personnel categories working for the project, calculated on the basis of the usual practices of the participant. The prior agreement of the Commission will be required for any destination outside the territory of a Member State, an Associated state or a third country where a principal contractor or assistant contractor is established. The inclusion of such costs in this form does not constitute a request for such approval. Upon successful completion of the contract negotiations a short description of these travels and the estimated costs, agreed between the consortium and the Commission officer, should be included in Annex I to the contract. Any subsequent travel, not included in the list in Annex I to the contract, must be agreed in writing with the scientific project officer.

The travels should be briefly described, for example, travels inside the EU and associates states and travels outside the EU and associated states, and the total amount(s) should be entered in this line.

99. Computing costs

The costs for using own computing facilities or services (to be established in accordance with usual applicable rules, including, for instance, recorded computer usage).

For full cost participants charging actual overhead rates, such costs may, in accordance with the usual practice of such participants, be charged as part of the overheads.

100. Subcontracting costs

Costs for all subcontracting and external services specific to the project (goods, supplies and services). Such costs must be in accordance with usual market costs.

External services are those performed by third parties outside the participating organisation and outside the project consortium.

NB! subcontractors should also fill in forms A9.1 and A9.2 where the cumulative amount of the subcontracts for the contractor exceeds 20% of its estimated eligible costs or 100,000 Euro, whichever amount is the lower; and if the subcontractors are established in a third country, unless the contractor concerned is established there.

If the organisation to be awarded a subcontract is not yet known, then the name may be left open but you should give a brief description of the work/service to be provided.

Upon successful completion of the contract negotiations a short description of the subcontractors and the estimated budget agreed between the consortium and the Commission officer and mentioned in the forms A9.1 must be included in Annex I to the contract. Any subsequent addition of subcontractors not mentioned in Annex I requires the approval of the Commission project officer if the above mentioned rules apply to the contractor.

101. Other specific project costs

Other specific project costs necessary to carry out the research, and which do not fall under any of the other defined cost categories or under overheads, may be charged under this category with the prior written approval of the Commission. Upon successful completion of the contract negotiations a short description of the other specific project costs and the estimated budget agreed between the consortium and the Commission officer must be included in Annex I to the contract. Any subsequent other specific costs not described in Annex 1 require the approval of the Commission project officer.

102. Protection of knowledge

The costs for intellectual property right (IPR) protection (e.g., patents) may be considered eligible costs. Such costs should have been foreseen in the project proposal and in particular, in the plan for dissemination and exploitation. They must be incurred during the project period for knowledge resulting from the project, and they must satisfy the basic cost eligibility terms and conditions of the contract. Costs under this category will be subject to prior written agreement from the Commission. NB! There is a maximum EC contribution of €4,000 per intellectual property right for legal counsel related to the protection of that right. See the provisions of Part C of Annex II of the model contracts.

Upon successful completion of the contract negotiations a short description of costs for protection of knowledge and the estimated budget agreed between the consortium and the Commission officer must be included in Annex I to the contract. Costs from this category can not be moved to another cost category. It is therefore very important that costs in this category are carefully considered during the negotiations.

103. Total allowable costs

The sum of all cost categories including personnel and overhead costs.

104. EC contribution in percentage

The percentage of the total cost requested by each participant from the European Community for this project. The percentage, which can be requested from the European Community, depends on the funding model used by the organisations, the type of project and the country of the participant.

Organisations using the full cost model or the full cost, flat overhead rate model can request up to 50% of the total eligible costs for research projects and up to 35% of the total eligible costs for demonstration projects.

Organisations using the additional cost model can request 100% of the total additional eligible costs for the project, irrespective of whether it is a research or demonstration project.

As a rule, EC contributions can only be requested by participants from Member States and Associated States. For participants from countries, which do not qualify for EC Contribution, the percentage for EC contribution is set to zero (0).

For cases where participants from other countries may receive EC Contribution, please refer to the relevant Guide for Proposers for details on which countries can receive EC contribution.

Please keep in mind that the percentage may need to be adjusted in individual cases to comply with the Community Framework for State Aid for R&D (O.J. C 45, 17.2.1996).

This implies that other public funding for the proposed project, already obtained or which will be requested from other public funding sources, added to the financing requested from the Community Research Programme, does not exceed the ceilings provided in the aforementioned texts. (See note 108)

105. Currency codes

Please use the following currency codes

<i>Country</i>	<i>Currency Code</i>	<i>Country</i>	<i>Currency Code</i>
Austria	ATS	Iceland	ISK
Belgium	BEF	Liechtenstein	CHF
Denmark	DKR	Norway	NOK
Finland	FIM		
France	FRF	Albania	ALL
Germany	DEM	Bulgaria	BGL
Greece	GRD	Czech. Rep.	CZK
Ireland	IEP	Estonia	EEK
Italy	ITL	Hungary	HUF
Luxembourg	LUF	Latvia	LVL
Netherlands	NLG	Lithuania	LTL
Portugal	PTE	Poland	PLZ
Spain	ESP	Romania	ROL
Sweden	SEK	Slovak. Rep.	SKK
United Kingdom	GBP	Slovenia	SIT
Euro		EUR	
Armenia	AMD	Cyprus	CYP
Azerbaijan	AZM	Malta	MTL
Belarus	BYB	Switzerland	CHF
Georgia	RUR	Turkey	TRL
Moldova	MDL	Israel	ILS
Russia	RUR		
Ukraine	UAK	Other	OTH

For any country not included in this list, please use the Other category for the currency and write out the full name of the currency at the bottom of the page.

106. Conversion rate to Euro

The conversion rate that you have used to convert national currency into Euro should be set out here.

107. For additional cost participants only: Overhead (in Euro)

Participants using the Additional Cost model may charge up to 20% of **all direct cost categories, except subcontracting**, as overheads.

Participant profile information - Other information. Form (A8.4)

108. Financial information on cumulation of public sector contributions

The information supplied in this box does not constitute a notification of State aid in the meaning of article 88.3 of the Amsterdam Treaty.

The following table gives all applicable cumulation ceilings for FP5 EC and EURATOM RTD projects, demonstration projects and combined projects depending on their adequation with the various definitions of research under the Community framework for State aid for R&D (CFSA for R&D hereafter in the table).

FP5 RTD Indirect actions	Category of research under CFSA R&D	FP5 Annex IV rate of participation	Maximum aid intensity ("cumulation") under CFSA for R&D	Difference between FP5 rate of participation and maximum aid intensity under CFSA for R&D
RTD project	Fundamental ^a	50%	100%	+ 50%
RTD project	Industrial ^b	50%	75%	+ 25%
RTD project	Pre-competitive ^c	50%	50%	0%
Demonstration project	Pre-competitive ^c	35%	50%	+ 15%
Combined project	Combination industrial/pre-competitive ^{b,c}	Weighted average between 35% and 50%	Weighted average between 50% and 75%	From + 15% to + 25%

a) "The public financing of **fundamental research** that is normally independently carried out by non-profit-making higher-education or research establishments does not constitute State aid within the meaning of Article 92 (1) of the EC Treaty. In exceptional cases where fundamental research is carried out by or for firms, the aid would fall within Article 92 (1) of the EC Treaty but, since this type of research is far from the market and its results are in principle widely available for exploitation on a non-discriminatory basis and at market rates, it may be awarded at a gross aid intensity of up to 100 %. To qualify as fundamental research, the work should not be linked to any industrial or commercial objectives of a particular enterprise, and a wide dissemination of the results of the research must be guaranteed" [Community framework for State aid for R&D O.J N° C 45 of 17.02.96, item 5.2].

b) "**Industrial research**" is "planned research of critical investigation aimed at the acquisition of new knowledge, the objective being that such knowledge may be useful in developing new products, processes or services or in bringing about a significant improvement in existing products, processes or services" [Community framework for State aid for R&D, O.J. N° C 45 of 17.02.96, annex I].

c) "**Precompetitive development activity**" is "the shaping of the results of industrial research into a plan, arrangement of design for new, altered or improved products, processes or services, whether they are intended to be sold or used, including the creation of an initial prototype which could not be used commercially. This may also include the conceptual formulation and design of other products, processes or services and initial demonstration projects or pilot projects, provided that such projects cannot be converted or used for industrial applications or commercial exploitation. It does not include the routine or periodic changes made to products, production lines, manufacturing processes, existing services and other operations in progress, even if such changes may represent improvements" [Community framework for State aid for R&D O.J. N° C 45 of 17.02.96, annex I].

109. Public sector contributions (other than the EC contribution)

This is financing which comes directly or indirectly from public sources (for example, international organisations, national, regional or local governments, government agencies, etc.), and must be identified by each partner.

110. Participant's own contribution

This is the participant's financing from its own funds.

111. Human resources information

This block is for statistical information only.

The first row is the sum of total person months worked on the project from form A8.2. For organisations using the Additional Cost Model, hours of permanent staff should also be included. For co-ordinators the person hours from form A7.2 should also be included.

The second row is the sum of the hours worked on the project by researchers and engineers.

The third row is the sum of hours worked on the project by female researchers and engineers.

112. Financial and accounting rules used

The information mentioned in this section should only be provided by organisations that use the full cost, real overhead (FC) model. Is so:

You must enclose an annex on your financial and accounting rules used:

- if the information has not been previously supplied to the Commission for another RTD contract , or
- if the systems have changed since the information was provided, or
- if 3 years or more have elapsed since the information was last provided.

This annex should be a concise free-format description to be marked “financial and accounting rules”. The name of the organisation, the Project number and the date should appear at the top. The description of the main rules and principles applied should include the following:

- the main cost categories included in the overhead rates
- the method of apportioning the overhead costs (e.g. surface areas, staff numbers, etc.)
- details of overhead charged on cost categories other than personnel
- the method of recording personnel time spent on the Project.

If your annex contains confidential information, you may attach it in a sealed envelope marked “Confidential: for use by the European Commission only”.

113. Legal documents establishing the organisation

If the participating organisation has had no previous contracts with the European Commission, or if its status has changed since the documents were provided, then you must provide copies of these legal documents, i. e. certificate of registration and (if applicable) articles of association, or give the date on which this information was provided to the Commission during the negotiations. This is not applicable to public organisations (e. g. universities).

114. Annual reports and balance sheets

If applicable: Only for organisations not public funded using the FC and FF cost models.

You must provide the annual reports and balance sheets for the last 2 financial years or give the date provided to the Commission during negotiations:

- if you have had no previous contracts with the Commission, or
- if one financial year or more have elapsed since the financial reports were last provided.

The annual financial reports should be accompanied by information on the turnover, profit and loss, and balance sheets.

If these documents contain confidential or non-published information, you may attach them in a sealed envelope marked “Confidential: for use by the European Commission only”.

115. Organisation’s structure

You should provide a document showing the participating organisation structure:

- if it has had no previous contracts with the Commission, or
- if the structure has changed since the document was last provided, or
- if three or more years have elapsed since the document was last provided.

The document should normally indicate, using diagrams where appropriate, the controlling organisation (see note 74 and 75), the affiliated organisations, as well as those affiliates which will be participating in the contract as such, and the main departments, divisions or institutes of the participating organisation.

Subcontractor's section
Contract Preparation forms
(A9.1 - A9.2)

Shared Cost RTD CPF Form – Form A9.1



EN R 1 FP5RTD	<input type="text"/>	<input type="text"/>
FOR COMMISSION USE ONLY	<input type="text"/>	<input type="text"/>

Project Acronym ²	<input type="text"/>	Proposal No ³	<input type="text"/>
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A9.1 Subcontractor Profile/Information (1 form per subcontractor) ¹¹⁶

Legal information on the subcontracting organisation									
Subcontractor to Contractor No ¹¹⁷					Subcontractor No ¹¹⁸			S	
Registration No with the European Commission's Research Programmes ⁵¹									
Organisation Legal Name ⁵²									
Short Name ⁵³				Legal Registration No ⁵⁴					
Activity Type ⁵⁶			Legal Status ⁵⁷			If 'PRC', Specify ⁵⁸			
Business Area ⁵⁹ (NACE)			User/Supplier ⁶⁰ (U / S)						
Legal Address of the organisation ⁶²									
PO Box ¹¹									
Street Name and Number									
Post Code ¹²					Cedex ¹³				
Town/City									
Country Code ¹⁴			Country Name ¹⁴						
Organisation details ⁶³									
Is Your Organisation independent ⁷²							Y	N	
If No, please indicate legal name(s) of owner(s) who own 25 % or more ⁷³	<input type="text"/>								
	<input type="text"/>								
	<input type="text"/>								
Is Your Organisation affiliated to any other participant(s) in the project ⁷⁴ ?							Y	N	
If Yes, please indicate Participant No, Short Name(s) and character of affiliations(s) (D / I) ⁷⁵	<input type="text"/>								
	<input type="text"/>								
	<input type="text"/>								
Address of the main Institute/ Department/ Laboratory carrying out the work ⁷⁶									
Institute/Department/ Laboratory Name ¹⁰									
PO Box ¹¹									
Street Name and Number									
Post Code ¹²					Cedex ¹³				
Town/City									
Country Code ¹⁴			Country Name ¹⁴						
Authorised administrative official for the purpose of contract signature by the subcontractor									
Title (Dr, Prof., ...)					Gender ⁸			F	M
Function ⁷⁸									
Family Name									
First Name									
Telephone No ¹⁵					Fax No ¹⁵				
E-mail									
I certify that the information set out in forms A9.1 and A9.2 is accurate and correct for the services specified in the subcontract.									
Date (DD/MM/YYYY)					<input type="text"/>				
Signature of authorised person									



How to fill the Subcontractor profile/information. Form (A9.1 and A9.2)

116. Subcontractor information

All subcontractors that require the approval of the Commission must fill the forms A9.1 and A9.2: The categories of subcontractors who have to fill in the forms A9.1 and A9.2 are:

- All subcontractors actors where the cumulative amount of the subcontracts for the contractor exceeds 20% of his estimated eligible costs or 100,000 EUR, whichever amount is the lower.
- All subcontractors established in a third country, unless the contractor concerned is established there. (see Guide for Proposers, Part 1, section III, for a definition of third countries)

117. Subcontractor to contractor No

Please provide here the number of the contractor to whom you are a subcontractor.

118. Subcontractor No

If applicable. Should be filled if a contractor has more than one subcontractor. The numbering should be sequential.

119. Description of the subcontracted work

This is a short description of the work that has been subcontracted. In case of an individual carrying out work on a subcontract basis, a very short CV (5 lines) should be included in the description.

120. Estimated price for the service elements

The subcontract should be broken down into its main elements and an estimated price for each element should be given, with a short - one or two word description of the service elements together with the estimated amounts pr. year and in total (for example: personnel costs, materials costs, etc.).

121. Estimated total person months for subcontracting

The estimated total number of person months for the subcontractor as reported in the workpackages for the subcontractor.

Annex 1

**Mandate for contractors' delegation of signature of contract to co-ordinator
(Optional)**

Project Acronym ²	Proposal No ³
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Annex 1 Mandate (1 form per participant) ¹²²

Participant Role ²²	Participant No ²³	Assistant to Contractor No ²⁴	
Organisation Legal Name ⁵²			

[Place.....]

[Address of Co-ordinating organisation

.....]

The contractor [.....]¹, represented for the purpose hereof by [.....]², grants power of attorney to the co-ordinating organisation [.....]³ to act in its name and for its account in signing the contract corresponding to the project

[.....]
 [.....]
 [.....]⁴

concluded with the Commission of the European Communities.

[.....]⁵
 legal representative of
 [.....]⁶

[.....]⁷
 [.....]⁸

[.....]⁹

¹ The contractor (legal name of the organisation)
² The legal representative of the contractor (person holding signatory powers)
³ The co-ordinator (legal name of the organisation)
⁴ Title of the project and number of the proposal
⁵ The legal representative of the contractor (person holding signatory powers)
⁶ The contractor (legal name of the organisation)
⁷ Date
⁸ Signature of legal representative
⁹ Contractor's seal

Optional Mandate for contractors' delegation of signature of contract to co-ordinator
(Annex 1)

122. Note on guidance for the use of the mandate

The mandate is used by the contractor to appoint the co-ordinator as attorney for the purpose of signing a contract in its name, if he wishes. Two signed copies are required.

When signing the contract, the co-ordinator must send the two signed mandates of each contractor to the Commission of the European Communities together with the two copies of the contract signed by the co-ordinator..

The purpose of the mandate is to give the power to the co-ordinator to sign the contract in the name of, and on behalf of one or several contractors participating in the same project.

This speeds up the process of signing the contract, and thus enables the project to start at an earlier date.

This is of particular interest in cases where there are a great number of contractors.

To speed up the process of signing the contract, the mandates should be prepared as soon as possible, in order to be used when the co-ordinator receives the contract (to be signed) from the Commission.

The mandates must be signed by a person who has the legal power to commit its institution in a contractual link, that is the person identified by each contractor on form A8.1, section 77 (and in some cases 79).

The mandate must be given to the organisation having the role of co-ordinator and not to a person. This is because it is not always clear who will actually sign the contract on behalf of the co-ordinator, as it is not always necessarily the scientific officer.

Annex 2
Financial data

Shared Cost RTD CPF Form – Annex 2 Part 1/2



EN U 1 FP5RTD

FOR COMMISSION USE ONLY

Project Acronym ² Proposal No ³

Annex 2 Financial Data (1 form per participant) ¹²³

Participant Role ²² Participant No ²³ Assistant to Contractor No ²⁴

Organisation Legal Name ⁵²

Currency used

Currency ¹⁰⁵:

Company	Historical data	
	t-1	t0
BALANCE SHEET (Balance Sheet Currency)		

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		

LIABILITIES

4. Capital and reserves		
4.1. Subscribed capital		
4.2. Reserves		
4.3. Profit and loss brought forward		
5. Creditors		
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		

Shared Cost RTD CPF Form – Annex 2 Part 2/2



EN V 1 FP5RTD	<input type="text"/>	<input type="text"/>
FOR COMMISSION USE ONLY	<input type="text"/>	<input type="text"/>

Project Acronym ²	<input type="text"/>	Proposal No ³	<input type="text"/>
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Annex 2 Financial Data (1 form per participant) ¹²³

Participant Role ²²	<input type="text"/>	Participant No ²³	<input type="text"/>	Assistant to Contractor No ²⁴	<input type="text"/>
Organisation Legal Name ⁵²	<input type="text"/>				

Currency used	
Currency ¹⁰⁵ :	<input type="text"/>

Company	Historical data	
	t-1	t0
BALANCE SHEET (Balance Sheet Currency)		

PROFIT AND LOSS ACCOUNT

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

APPLICATION FORM	ASSETS "4th ACCOUNTING DIRECTIVE (Article 9)"	
1. Subscribed capital unpaid	A. Subscribed capital unpaid	A. Subscribed capital unpaid (including unpaid capital)
2. Fixed assets	C. Fixed Assets	
2.1. Intangible fixed assets	B. Formation expenses as defined by national law C. I. Intangible fixed assets	B. Formation expenses as defined by national law 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
2.2. Tangible fixed assets	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
2.3. Financial assets	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
3. Current assets	D. Currents assets	
3.1. Stocks	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
3.2.1. Debtors, due and payable after more than one year	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
3.2.2. Debtors, due and payable within a year	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
3.3. Cash at bank and in hand	D.IV. Cash at bank and in hand	D.IV. Cash at bank and in hand
3.4. Other current assets	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	Total assets	

APPLICATION FORM	LIABILITIES / 4 th ACCOUNTING DIRECTIVE (Article 9)	
4. Capital and reserves	A. Capital and reserves	
4.1 Subscribed capital	A.I. Subscribed capital A.II. Share premium account	A.I. Subscribed capital A.II. Share premium account
4.2. Reserves	A.III. Revaluation reserve A.IV. Reserves	A.III. Revaluation reserve 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
4.3. Profit and loss brought forward	A.V Profit and loss brought forward from the previous years A.VI. Profit or loss for the financial year	A.V Profit and loss brought forward from the previous years A.VI. Profit or loss for the financial year
5. Creditors	C. Creditors	
5.1.1. Long term non-bank debt	B. Provisions for liabilities and charges (> one year) C. Creditors (> one year)	B.1. Provisions for pensions and similar obligations B.2. Provisions for taxation B.3. Other provisions C.1. Debenture loans C.3. Payments received on accounts of orders in so far as they are not shown separately as deductions from stocksTrade creditor
5.1.2. Long term bank debt	C. Creditors "credit institutions" (> one year)	C.2 Amounts owed to credit institutions C.5. Bills of exchange payable
5.2.1. Short term non-bank debt	B. Provisions for liabilities and charges (< or = one year) C. Creditors (< or = one year)	B.1. Provisions for pensions and similar obligations. B.2. Provisions for taxation. B.3. Other provisions. C.1. Debenture loans C.3. Payments received on accounts of orders in so far as they are not shown separately as deductions from stocksTrade credit
5.2.2. Short term bank debt	C. Creditors "credit institutions" (< or = one year)	C.2 Amounts owed to credit institutions C.5. Bills of exchange payable
Total liabilities	Total Liabilities	

APPLICATION FORM	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 stock of finished goods and in work in progress
8. Other operating income	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
9. Costs of material and consumables	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
10. Added value	Added value = 1+2+4-(5a+5b)	
11. Staff costs	6. Staff costs	6. (a) Wages and salaries 6. (b) social security costs
12. Gross operating profit	Added value - staff costs = [1+2+4-(5a+5b)] - 6	
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
14. Net operating profit	(Added value - staff costs) - Depreciation and value adjustments on non-financial assets = [1+2+4-(5a+5b)] - 7	
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 investment 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 ass
16. Interest paid	Interest paid	13. Interest and similar charge
17. Similar Charges	Similar Charges	
18. Profit or loss on ordinary activities	Profit or loss on ordinary activities = [1+2+4-(5a+5b)] - 7 + [(9+10+11)-(12+13)]	
19. Extraordinary income and charges	Extraordinary income and charges	16. Extraordinary income 17. Extraordinary charges
20. Taxes	Tax on profit or loss on ordinary activities Tax on extraordinary profit or loss	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
22. Profit or loss for the financial year + Depreciation	Profit or loss for the financial year + Depreciation	

Financial Data. Form (Annex 2)

123. Financial data

All private organisations and individuals participating under the FC and FF cost models must fill in this form. It provides the basis for the calculation by the Commission services to verify that the organisation has the necessary human and financial resources to carry out the work. The explanations to the form are provided immediately after the form. The t stands for time, so that t_0 is the latest year for which account is available and $t-1$ the year preceding.

The form should be filled in the currency used by the organisation for their balance sheets.

Annex 2 is not completed by government organisations, universities or other such public bodies