



European Commission
Research Directorate General
Human Resources and Mobility

Negotiation Guidance Notes for

MARIE CURIE RESEARCH TRAINING NETWORKS (MCRTN)

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Foreword

Please note that this document supersedes the previous version of the MCRTN Negotiation Guidance Notes (June 2005). The main changes to this version are:

- On the CPF form A2b an additional field requesting the Position of the Authorised to sign Official is now requested
- Update of the information in the exploratory Notes point 26, Under independence of an organisation (SME Criteria)

NOTE:

Page 38 is a blank page

Text watermarks were also added on the CPF forms as these forms are intended to be used as reference only. Data entry should be done in the electronic version of the CPF forms.

Introduction

This document is provided for proposers who have been invited to enter into negotiation following the evaluation of proposals for Marie Curie Research Training Networks (MCRTN) within the EC's Sixth Framework Programme (FP6) of research, technological development and demonstration for the period 2002-2006. It outlines the information and work necessary in the preparation of a contract for Research Training Networks under FP6.

You will be requested to provide:

- Legal and financial documents (see section 1.5).
- Contract Preparation Forms (see appendix 2).
- A "Description of Work" (see appendix 1).

An invitation to commence negotiation does not under any circumstance guarantee funding of a project. Among the problems which commonly arise:

- The funding of the proposal may be dependent on the acceptance of changes requested by the Commission Services. These changes are intended to ensure the best possible quality of training, research and networking activities and that the contract is feasible.
- The amount of Commission funding contribution will be fixed during the negotiation according mainly to the total number of person-months to be delivered. The proposers may be requested to reduce the Commission contribution due to budgetary constraints.
- Project funding is offered under specific conditions of reporting, dissemination, etc. These are fixed in the model contract and are non-negotiable. These are in addition to the normal project deliverables of training, research and transfer of knowledge activities.
- Individual participants within a proposed network may wish to withdraw during the course of negotiations. If the Commission judges that this has removed a significant justification for supporting the work, or a vital resource, it may withdraw the offer of negotiation, or suspend it, giving the proposers a fixed time limit to find an acceptable solution.
- Each potential signatory to a Commission contract is subject to an eligibility assessment, which may include a financial check by Commission Services. In some cases the Commission may not be able to enter into a contract with certain organisations or physical persons based on financial insecurity, lack of certification of the organisation's financial and general condition as required by the Commission's Financial Regulation, or for reasons of irregularity or violation of fundamental ethical principles. However, in such cases, the network may be offered the possibility to start the project either with a reduced number of participants or to replace an ineligible participant.
- Funding for the project must be committed promptly. If negotiations cannot be completed on a timely basis, the Commission may terminate negotiations. Your letter of invitation to negotiations will have specified the time limit in your case.

1. Overview of Negotiations

1.1. Introduction

The main purpose of the negotiations is to establish an agreement on the work and training to be carried out under the contract, the amount of the corresponding EC financial contribution, and to collect the administrative, legal and financial information necessary to establish the contract. The negotiations will take as the starting point the submitted proposal, taking into account any recommendation for adjustments following its evaluation, as contained in the Evaluation Summary Report and the "Framework for negotiation" (see Appendix 1).

1.2. Invitation to negotiations

Following the positive evaluation of a proposal for negotiation, the co-ordinator for the proposed network is invited to commence negotiations with the Commission in order to prepare a contract. He/she will have received beforehand the Evaluation Summary Report which summarises the results of the Evaluation Panel. Proposals that have undergone an ethical review will also receive an Ethical Review Report (ERR), which may contain further recommendations to be taken into account in the negotiations.

As part of the invitation letter, the "Framework for Negotiation" incorporates, as appropriate, further recommendations from the expert evaluators regarding specifically the negotiations, as well as any requests for changes to the proposed project from the Commission Services, which also need to be taken into account in the negotiations.

The letter of invitation identifies one of the Commission's staff as "Project Officer" who will lead the contract negotiations on the Commission side. It provides the proposal co-ordinator with a deadline by which the network must provide the legal and financial documents, drafts of Annex I ("Description of Work") and of the Contract Preparation Forms, including any supporting documents. The letter of invitation also indicates a deadline by which negotiations must be fully completed. **In the event that negotiations are not satisfactorily completed by that time, the Commission may terminate the process.** Please note that the Commission reserves the right to terminate negotiations at any time and to reject the proposal, in the event of inadequate progress in negotiations.

1.3. Preparatory Work

To ensure that the negotiations proceed as efficiently as possible, it is recommended that the proposal co-ordinator undertakes preparatory work immediately upon receipt of the invitation to enter negotiations. To this effect, it is recommended:

- To carefully read this document;

- To read and where necessary ask for clarifications regarding the contractual conditions, as contained in the model contract and its annexes II (General conditions) and III (Specific Conditions)¹;
- To study the guidelines and supporting notes for the completion of the Annex I ("Description of Work") and Contract Preparation Forms (CPFs);
- To examine ways of implementing the points raised in the Evaluation Summary Report and Framework for Negotiation.

Other documents, which provide useful background information for the contract negotiation, include the following:

- The consortium agreement checklist²;
- The Marie Curie Research Training Networks "Handbook"³.

It would be advisable for the co-ordinator to pass on the relevant information to the other participants directly, pointing out the contributions which are required from them.

1.4. Process of Negotiations

Negotiations take place principally via telephone, fax and e-mail between the Commission's Project Officer and proposal co-ordinator. It is therefore **very important to establish contact as soon as possible with the Project Officer whose contact details are provided in the letter that invites proposers to enter into negotiations.**

Several formal administrative steps can be carried out in parallel with the negotiation of Annex I ("Description of Work"), and in order to save time we recommend that the following approach be taken by the proposal co-ordinator:

- To immediately request legal documents from the network participants concerned (as detailed in section 1.5). These should be collated by the network co-ordinator for submission as a complete package to the Commission;
- To circulate the A2 and A4a Contract Preparation Forms (CPF) via e-mail to all project participants for completion and return to the co-ordinator (electronic and signed paper versions);
- To establish a Euro bank account (for the co-ordinator institute only), if not already done, and provide the necessary details on the CPF form A6.
- In parallel, to complete the remaining CPFs and eventually circulate them to all project participants for approval; and

¹ Marie Curie model contracts can be downloaded from:

http://europa.eu.int/comm/research/fp6/working-groups/model-contract/index_en.html

² The Commission's consortium agreement checklist is available from:

http://europa.eu.int/comm/research/fp6/working-groups/model-contract/index_en.html

³ For a complete overview of the purpose of a Marie Curie Research Training Network please consult the relevant "Handbook" at the following internet address:

<http://europa.eu.int/mariecurie-actions>

- prepare the Annex I (“Description of Work”) based upon the template, the information contained in the original proposal, the Evaluation Summary Report, the negotiation framework, and any further discussions with the Commission’s Project Officer.

One normally expects that there are one or two iterations of draft versions of the Annex I and CPFs between the proposal co-ordinator and Commission Services before they are finalised. This should be carried out via e-mail or fax, with submission of the final paper versions only once finalised.

1.5. Supporting Legal and Financial Documents

Several supporting legal documents are required in order to prepare the contract and provide the necessary security for the Commission Services. These include the following:

- Legal status: copy of any official document proving the legal existence of each **non-public** contracting organisation (e.g. Charter/Act of foundation/law extract; official registration number with national authority; registered statutes; extracts from the Official Journal; VAT registration, etc.). These documents must be provided with translation if the original document is not in an official language of the EU. Organisations which have already provided these documents to the European Commission within the last 6 months are requested to provide the clear references (e.g. contract number) of their previous sending unless their status has changed since the documents were provided, in which case the information should be updated.
- Authorisation to sign: for **all contracting organisations**, a copy of any official document evidencing that the authorised administrative official indicated in the CPF (Form A2) is a person within the contracting organisation with authority to sign the EC contract/Form A (e.g. Nomination Act, Board official minutes, etc.);
- Banking information: form A6 should be filled and signed by the co-ordinator, stamped and countersigned by the bank. An exception is made however in the following cases: the bank stamp and signature are not requested for accounts at the Bank of England, Central Bank of Ireland and Trésor Public ACCT (France).
- Simplified balance sheets for each **non-public** contracting organisation (Forms A7 and A8). In addition, financial data (certified balance sheets) must be provided for the last three years.

In addition, if a Joint Research Unit (JRU/UMR) is involved in the project, a mandate from all the other members of the JRU to the participant representing them as well as a document establishing the existence of the JRU (like the “fiche de contractualisation” for French organisations concerned) will have to be provided. The CPF forms should be filled by the participant who has the mandate from the other members. However, all members of the JRU will be mentioned in Annex I and will be considered as third parties.

Unlike the previous Framework Programme (FP5) all participants in the network are expected to sign the contract with the Commission, which explains why legal and financial details are required from all non-public participants. The authorisation to sign is requested from public and private entities. As already indicated, the co-ordinator should request these documents immediately when starting negotiations, as experience shows that this might unduly delay the completion of the negotiations.

Note that the Commission can only negotiate with and offer contracts to currently existing entities: i.e. the legal existence of a contracting organisation must pre-date the contract signature/accession to the contract.

Also note that in case a Joint Research Centre of the Communities (JRC) is involved in a project, a separate special agreement will be signed between the Commission and the JRC in addition to the contract signed between the other participants and the Commission.

1.6. Contract Preparation Forms (CPFs)

At the time of writing, a Contract Preparation Forms editor is available. This editor is obtainable from the Commission's Project Officer and is supplied with a full set of explanatory notes.

A copy of the Contract Preparation Forms is attached in Appendix 1 of this document.

These forms, together with the documents mentioned in point 1.5 above, contain the information that the Commission needs to prepare the administrative part of the contract, to check financial and legal aspects of the participants, and to gather certain programme-wide statistical information, which is required by Council and Parliament. It also contains (Forms A4a/b, A9) some of the deliverables required under the contract and the calculation of the EC financial contribution (Form A5a).

Forms should be **completed by all participants, even participants not being funded by the European Commission**, since the Commission must assess the capacities of all participants to assure the success of the action⁴. Note that the CPFs include a certified declaration to be signed by a person authorised to sign the contract and commit the participant (see Form A2).

As stated above, some of these forms should be circulated at the start of negotiations to each of the partners, in particular, the A2 and A4a forms. The former should be completed, signed by the participants' authorised administrative official and returned to the proposal co-ordinator as soon as possible. The remaining CPF forms should be completed by the co-ordinator and agreed with the other participants before submission to the Commission.

⁴ The CPFs, although not part of the contract, may be used as a base of reference when receiving financial statements regarding the costs as incurred during the lifetime of the action. It is therefore essential that the information in the forms is complete and accurate as possible.

Draft versions of the CPFs can be completed and supplied to the Commission Project Officer for any comments.

The forms are compatible with those used for proposal submission and part of the information from these may be transferred into the CPFs. Proposers have a duty, however, to check for accuracy, and in particular for any changes since the proposal was prepared (e.g. changes of address, contact names, phone numbers etc.) or any changes they need to make following the recommendations of the Commission. A more detailed description of the CPFs is provided in section 3 of this document.

Note: While the final version of the CPFs are required to be sent on paper form signed by all project participants, signatures are not required on draft electronic versions which may be produced during the negotiation process, as these are not yet final documents.

1.7. Financial Aspects (A5 Forms)

Besides the formal administrative requirements, the primary objective of the negotiation is to reach agreement on the work to be carried out, its objectives and deliverables, the number and distribution of the person-months of training in particular.

Under MCRTNs, the expenses related to the recruitment of Early-Stage (ESR) and Experienced Researchers (ER) are determined according to pre-determined rates and must account for at least 65% of the overall EC contribution. However, at the proposal submission stage, only a limited amount of financial information was requested and it is not known, for instance, if Type B fellowships or Type A employment contracts will be used. It is for these reasons that the EC financial contribution is not provided at the start of contract negotiations.

It is thus advisable to adopt a two-step approach in completing A4 and A5 forms. At the beginning, the negotiations will be conducted mainly on the basis of the project deliverables in terms of the number and distribution of person-months between ESRs and ERs. Once this is agreed upon and additional information (e.g. number of Type B fellowships versus number of Type A contracts) is obtained from the CPF forms A4a, the level of the EC financial contribution can be estimated.

The only financial aspects which remain to be negotiated at this stage relate to any special provision for additional expenditures to carry out the joint research/training plan (the justification for durable equipment if any, in particular) and the distribution of these additional expenditures among participants.

This allows one to proceed with the calculations of form A5b, providing the financial distribution among participants, including the funding available for real cost items related to networking, execution of the project, management, etc.

1.8. Technical Negotiations and the Annex I (“Description of Work”)

Annex I (“Description of work”) will describe in a concise but precise way the work to be carried out, its objectives and deliverables. It will incorporate the tables contained in Forms A4b and A5b of the CPF.

Based upon the Evaluation Summary Report and Framework for Negotiation, and any further discussion with the Commission Project Officer, the proposal co-ordinator should make a first draft of the Annex I and circulate it to the other participants for approval, with the option to already send it in parallel to the Commission Project Officer for "preliminary comments". The final version of this document will form an integral part of the contract. The requirements for the production and layout of this Annex I are given in section 4 of this document.

1.9. Final submission

At the end of the negotiations, agreement should be reached on the contents of Annex I to the contract and the proposal co-ordinator should be in a position to prepare and send a final version for approval by the Commission Project Officer. In parallel, the proposal co-ordinator should have collected all the necessary administrative information, supporting legal documents and Contract Preparation Forms duly completed and signed by all contracting organisations.

The co-ordinator should dispatch all these documents as a single package to the Project Officer **prior to the deadline provided in the invitation letter**. This permits the Project Officer to review the entire information in detail and request additional information, if required. Note that this should comprise one unbound copy of the final Annex I, one unbound copy of the final CPFs, on white paper, with original signatures, and also an electronic version of each.

2. Other Issues

2.1. Consortium composition

Participants who are not yet fully committed to the network should make up their minds quickly! A participant pulling out at the last minute could nullify all the negotiations up to that point and will jeopardise the contract for everyone.

If one or more of the organisations that participated in your proposal wish to withdraw during the course of negotiation, the Commission will judge, in the light of the evaluators' reports, whether the withdrawing participant was marginal to the proposed project (in which case negotiations may continue) or vital to the proposed project (in which case negotiations might be terminated and your proposal rejected, or may be suspended pending the network finding an acceptable substitute).

In the course of negotiations, you may find it also necessary to propose changes in the composition of the consortium. The Commission Project Officer will consider these, but the evaluation result must in all cases be respected - if your revised consortium differs to the extent that the evaluation

might have yielded a different result, the Commission will stop the negotiation and reject the proposal.

Subcontracting - The Commission must also ensure that work subcontracted does not affect the rights of the contractors with regard to the use and dissemination of knowledge that are deemed to be the contractor's property. In addition, the Commission must ensure that any subcontract is performed at a reasonable cost. Based on these elements, the Commission might require that a proposed subcontractor become a contractor. In addition, the need for the continued presence of a contractor intending to subcontract significant parts of the work will be questioned, since it puts into question the contractor's capacity to perform the tasks required by the project.

2.2. Consortium agreement

Consortium agreements are optional for Marie Curie Research Training Networks. However, the proposers are advised to carefully consider whether one should be completed since it provides the legal basis for the relationship and responsibilities between the participants for the duration of the work, beyond those established by the EC contract. It is particularly important to settle such matters as the technical management of the project, the sharing of intellectual property rights, set out the procedures for distribution of the grant, for settling of disputes etc. Proposers should be aware that such agreements do not affect the rights of the Commission arising from the EC contract and the corresponding individual and/or collective obligations of the participants as contractors.

A checklist for Consortium Agreements may be consulted on the Commission's model contract website:

http://europa.eu.int/comm/research/fp6/working-groups/model-contract/index_en.html

2.3. Contract signature

When agreement has been reached on Annex I, all the necessary information required by the CPFs has been received, and the Commission has validated it, the Commission Services will draw up a contract which is sent for signature to the co-ordinator in two copies.

At the time of signature, the contract is structured along the following lines⁵:

- a **core** text containing: the scope, duration, maximum Community contribution, deliverables, payment modalities;
- **Forms A** of accession to the contract of all participants except the co-ordinator;
- **Form C** – Model Financial Statement;
- **Annex I “Description of Work”**;
- **Annex II “General Conditions”** covering standard legal and administrative provisions, the IPR regime and standard financial provisions among others;

⁵ http://europa.eu.int/comm/research/fp6/working-groups/model-contract/index_en.html

- **Annex III “Specific Conditions to the Marie Curie Research Training Network”**, for example, the obligations of the Host Organisation, the rates of Community support etc.;

The contract is concluded between the Commission and all the participants. The signature process is, however, divided in two steps:

- The co-ordinating organisation and the Commission sign the core contract:

The co-ordinating institute signs the two copies of the contract and returns them to the Commission. The Commission signs these once all necessary internal procedures have been completed, and returns one copy to the co-ordinator. The contract always enters into force on the date of signature of the contract by the Commission⁶

- The other participants identified in the contract accede to the contract by signing form A.

At the same time the co-ordinator signs the core contract, it *must* distribute a copy of the contract to the other participants, along with the Form A. Three duly completed originals of Form A are signed by each participant and returned to the co-ordinator for the co-ordinator’s signature. When the co-ordinator has signed all of the A forms he/she sends one original of the A Forms to each participant which thus becomes a contractor and one original to the Commission.

The Commission contract is for the project as a whole and the technical implementation of the project will be the collective responsibility of the participants. This has a number of important consequences:

- All the other participants must sign the Form A to accede to the contract - if one fails to sign then the contract is not concluded.
- If one prospective contractor fails to sign the contract, it is up to those who have signed the contract to ensure that the work is implemented. This is either by reallocating the work of the missing contractor amongst them or by proposing to the Commission the accession to the contract of a new contractor. The Commission may terminate the contract if it considers that due to this change the project is no longer viable or has been fundamentally changed compared to the proposal.
- If a contractor subsequently withdraws from the contract, the others remain responsible for the completion of the work, including the part allotted to the withdrawn contractor.

In the course of the negotiations, the Commission Project Officer will be available to further clarify, as needed, any terms and conditions of the MCRTN contract. The co-ordinator and other contractors are invited to review the offered contract thoroughly, as they will be bound by what they sign.

⁶ Note the difference between the *Date of entry into force of the contract* (upon signature of the contract by the Commission and the contractor and the *Start date* (Date upon which the project (not the contract) begins). The options available for the *Start date* are explained in section 2.4).

2.4. Start of the Contract and start of the project

As stated above, when the co-ordinator returns the signed contract, the responsible Commission official signs the contract and it comes into force.

The start date of the project is part of the negotiation and will be included in the contract (Article 4.2). Four options are possible:

- the start date corresponds to the date of signature of the contract;
- the first day of the month following the signature of the contract by the Commission;
- a fixed start date;
- the effective start date of the project to be notified by the co-ordinator within 6 months of the date the contract enters into force.

Costs can be incurred on the project from the start date of the project but not before. However, where this date is prior to the contract coming into force, future contractors take the risk that the contract may not be signed in which case these costs will not be reimbursed by the Community.

Please note that the Commission does not fund costs related to the effort expended by the proposers in preparing the proposal or conducting the negotiations.

2.5. Initial pre-Financing (Advance payment)

Once the contract is in force, the Commission services can start processing the pre-financing (advance payment) in accordance with the conditions of Article 8 of the contract.

The Commission will advance up to 80%⁷ of the planned budget contribution for the first reporting period (12 months) plus the first 6 months of the second reporting period, as indicated in the table of estimated yearly cost breakdown in Annex I.

The exact relevant provisions of Article 8 of your contract will be determined as a result of the negotiations. There are four options.

Within 45 days from:

- the first day of the month after the contract signature by the Commission;
- a fixed starting date;
- the date of signature of the contract by all contractors involved;
- the effective starting date notified by the contractor, which must be within 6 months from the date the contract enters into force.

The contractor(s) should be extremely careful in the negotiation of the option for initial pre-financing as well as the distribution of their budget over the whole period of the project. Since the Commission's financial contribution is

⁷ This percentage can be increased up to 85% if a bank guarantee is provided by each contractor.

based on pre-financing, it is important that the contractors plan the expenditures accordingly. This will minimise the risk of continuous modifications of the budget and the need of financial auditing at every periodic report.

The period covered by and the amount of the pre-financing may be adjusted for projects of duration of less than three years.

The co-ordinator can distribute the Community financial contribution to the other contractors only after the co-ordinator and/or minimum number of participants has acceded to the contract and then only to those contractors that have signed Form A and acceded to the contract. In certain contracts, the Commission may retain the pre-financing until the minimum number of participants has acceded to the contract or all contractors have acceded. This will be discussed during negotiations and indicated in the contract.

2.6. Applicable law

The contract will be subject to Belgian or Luxembourg law. In some special cases where international organisations participate, a different law may be applicable to the contract. This will be identified in the contract.

2.7. Host-Researcher Agreement

Whilst the contract itself is concluded between the Commission and the Host institution, the latter is required in turn to conclude a written agreement with each of the recruited researchers.

Within 20 days of the appointment of the *researcher*, the *contractor* shall transmit to the *Commission*, via the *co-ordinator*, a signed declaration on the conformity of the *agreement* with the *contract*. A template for this declaration of conformity is downloadable from the RTN Project Management page (see reference in section 2.8)

The European Commission has adopted a European Charter for Researchers and a Code of Conduct for the Recruitment of Researchers. These two documents are key elements in the EU's policy to make research an attractive career, which is a vital feature of its strategy to stimulate economic and employment growth. Participants in the Marie Curie Actions are encouraged to adhere to the principles of the Charter and Code of Conduct in the implementation of these actions (The documents may be downloaded from <http://europa.eu.int/eracareers/europeancharter>)

2.8. What's next?

As a Marie Curie contractor you will be subject to a number of requirements, eg. to report regularly to the Commission on the progress of your activities, to publish your vacancies using the Commission's vacancy tool etc. Information about the practical implementation of these requirements along with a number of other useful documents, tools and links have been collated for your convenience on the dedicated page for RTN contractors: <http://www.cordis.lu/mariecurie-actions/rtn/manage.htm>

Appendix 1

Templates for the Description of Work

GUIDELINES FOR THE PREPARATION OF THE ANNEX I "DESCRIPTION OF WORK" FOR MARIE CURIE RESEARCH TRAINING NETWORKS (MCRTNs)

INTRODUCTION

The Annex I is an integral part of the MCRTN contract. Non-compliance or non-fulfilment of its content will have the same legal consequences as for any default of the other contractual conditions. It should be negotiated between the co-ordinator, on behalf of all members of the consortium, and the Commission Project Officer for inclusion as annex to the contract.

It must be based on the proposal as submitted for evaluation by the experts, on any recommendations contained in the Evaluation Summary Report and in the Framework for Negotiation. It should also take into consideration any financial and technical issues that may arise during contract negotiation.

Although certain parts of the proposal description can be taken as the basis for the drafting of this description of work, it should exclude all background material in support of the selection of the proposal, and not essential for the implementation of the selected project. For example, references to publications and state-of-the-art or to previous work undertaken and future intentions of the consortium should be excluded. Any reference to "the proposal" should be omitted.

It should be written in a clear, precise and concise manner. It should specify all the tasks to be undertaken and the corresponding deliverables, but with sufficient flexibility in order to be able to modify the work arrangements so as to achieve the stated objectives, should this be necessary, without the need for a formal modification of the text (i.e. contractual amendment). This flexibility is required both for the European Commission as well as for the network consortium.

It must be written in the third person and should be typically of about ten pages in length, excluding tables and diagrams. The network acronym should be used as a header on all but the first page. It should be printed on single-sided, numbered A4 pages in Times New Roman 12 point (the font used here) or similar font according to the following instructions and guidelines.

Instructions and Guidelines for the drafting of MCRTN “Description of Work” (Annex I)

All sentences in Italics are "explanatory notes" and should be deleted from the final version of the document

PART A: CONTRACT DETAILS AND OBJECTIVES

1: **Full Title:** *should be exactly the same as indicated on the letter of acceptance of your proposal*

Short Title (i.e. Project Acronym):

2: **Proposal Number:**

Contract Number:

3: **Duration of the project:** [XXX] Months

4: **Contractors and Place(s) of Implementing the Project**

This part specifies the names of the Contractors who are collectively responsible for execution of the work defined in this Annex. It should be presented as follows:

The Co-ordinator and other Contractors listed below shall be collectively responsible for execution of work defined in this Annex:

The Co-ordinator

1. (Name of Legal Entity) [Acronym] established in (name of state)

Other Contractors

2. (Name of Legal Entity) [Acronym] established in (name of state);

3. etc.

*(List in this way all Contractors. Please use the **same order** as in the administrative Contract Preparation Forms A2)*

The Co-ordinator and other Contractors are referred to jointly as “the Consortium”.

Contractors should have the same acronym as in the Contract Preparation Forms. Contractors from the same legal entity should be listed together (e.g. as 3a and 3b) but with a specific acronym. These acronyms may be used to identify the consortium members in the rest of this Annex.

5: Project Overview

Provide an outline of the project to be undertaken in terms of overall objectives, approach and methodology.

5.1 Overall Objectives

5.2 Overall Approach and Methodology

PART B: IMPLEMENTATION

1. Description of the joint Research/Training Project

In this section the descriptions, tables and charts should allow one to assess the progress of the joint Research and Training programme at periodic intervals, in particular for the drafting of the periodic, mid-term Review and final report. Stated milestones and deliverables will be summarised in the CPF Form A9.

- **Research**

*Explain the key elements of the **research methodology** that will be followed, also considering **ethical and other relevant issues**, where appropriate. If relevant, describe how complementary methods will be integrated and how novel approaches will be validated and implemented.*

*Provide a detailed description of the joint work programme, highlighting the research **milestones** and **deliverables**, using tables or charts wherever possible, and indicating breakdown of tasks amongst Contractors. [Do not mention the names of the people involved.]*

If there are any other links to institutions that are not contractors but will be involved in the project, their role should also be described [please note that the estimated maximal costs of the subcontracts should be given in Part D of this document].

*The **schedule** should be in terms of number of months elapsed from the start of the network project (do not use calendar dates).*

- **Training and Transfer of Knowledge (ToK)**

Person-months of Early Stage Researchers (ESR) and Experienced Researchers (ER)

This refers to the table contained in Part C of this document, which provides the overall number of person-months of ESR and ER financed by the contract, the breakdown of this overall number among the participants as well as the structure of recruitment in terms of number of researchers and status (Type B fellowship or Type A employment contract). The number of person-months of ESR and ER ultimately provided by the network, in conformance with the relevant Articles of the model contracts (in particular Art. III.2.1a), Art III.2.1f) and Art. III 2.2.o)) will be considered as an essential quantitative target for the network as a whole and the following standard sentence should therefore be inserted here:

The network as a whole undertakes to provide a minimum of [XXX] person-months of Early Stage and Experienced Researchers whose appointment will be financed by the contract. Quantitative progress on this, with reference to the table contained in Part C and in conformance with relevant contractual provisions, will be regularly monitored at the consortium level.

Further specify the training and ToK elements of the joint programme, how it relates to the recruitment of ESR and ER, as well as to the **overall schedule, milestone and deliverables** of the joint research programme.

For each contractor describe the contents and the **schedule** of their specific contribution to the training/ToK plan [list major milestones wherever possible, i.e. goals by which the progress of the training/ToK can be assessed, in particular at the time of the mid-term review and the final report.]

The training/ToK plan should include the following elements:

- how the network will combine specialist local training at individual network nodes with visits and secondments to other teams in the network and with network-wide training/ToK activities (e.g. summer schools, workshops, courses and conferences attended by all or a majority of network researchers)
- how the network will combine and exploit the complementary expertise of network members and of institutions outside the network, e.g. between academia and industry, in order to develop multidisciplinary/intersectorial knowledge and knowledge transfer (e.g. secondments between participants, multidisciplinary workshops, ad-hoc knowledge transfer schemes, short training/ToK placements in company premises assistance in training/ToK by industry staff etc)
- how the network will ensure the effective integration and mentoring/tutoring of the appointed ESR and ER, including informing them in due time of their contractual rights and obligations, on the possibilities offered to them to contribute to network-wide training events, conferences, etc
- how the network will ensure the production of Career Development Plans by the ESR and ER
- how the network will support the ESR and ER on practical matters relating to their mobility
- how the network will provide training/ToK in broader complementary skills such as communication, language skills, project management, ethics etc.
- how the network will provide training/ToK on specialised instruments/equipment, as appropriate

2. Management

Further specify the **overall organisation and management structure of the network** including:

- rules and network teams' support for **co-ordination** of the activities, for reporting and for **decision making**, e.g. contingency plans
- methods and tools for ensuring good **communication** between the contractors (including meetings' policy, email, internet homepage, newsletters, phone and video conferences)
- task delegation to team leaders or managers as well as to young researchers
- strategy for the publication of **vacancies and appointment** of ERS and ER and measures foreseen to overcome possible difficulties in recruiting researchers
- special measures foreseen to promote **equal opportunities** (e.g. for male and female researchers) in the appointments
- the methods and tools that will be in place for **monitoring and reporting** on the activities in compliance with the relevant contractual obligations.
- the measures that will be taken to ensure effective **dissemination of the results**, inside and outside of the network, both during the project duration and after completion of the contract (including possible special arrangements regarding

IPRs; network's policy on publications) and as appropriate measures taken for dissemination of results to the general public.

- *the system(s) for **financial management and control** of the project (including audit certification and procedure for decision making regarding possible re-adjustments of the network initial budget)*

3. Indicators of Progress and Success

3.1 Quantitative Indicators of progress and success to be used to monitor the project

*Please specify which are the quantitative data and information ("indicators") that the network **will** provide in its periodic, mid-term review and final reports in order to allow Commission Services to assess progress with respect to (i) the research and (ii) the training and transfer of knowledge. To this end please examine - and edit as appropriate - the lists given in the following sub-sections, given the nature of your project and the intended programme of work as described above. Feel free to add any other relevant indicators, which might not have been identified a priori.*

3.1.1 Research Activities

In reporting on progress with the implementation of its research plan the network will provide information and data on the following:

- organisation of or participation in and presentations to external specialist workshops and conferences (number; dates, places, title of event)
- specialist exchange among network teams (number, nature, when, where, who)
- individual and joint publications, directly related to the work undertaken within the contract (number, references)
- patents or patent applications directly related to the contract (number, references)
- development of new scientific and/or industrial collaborations (number, references)
- scientific awards and prizes obtained from the work directly related to the contract (number, details)
- interest expressed in the networks' dedicated Website (number of hits; number of participants to the scientific forum, if any)
- visit of Senior Researchers from inside and/or outside the network (number, name, place and time of visit)
- contacts with relevant users groups whether academic or industrial/commercial (number, name)
- ...

3.1.2 Training / Transfer of Knowledge (ToK) Activities

In reporting on progress with the implementation of its training and ToK Plan the network will provide information and data on the following:

- the rate of recruitment of ESR and ER for each participant and for the network as a whole (ratio person-months filled/offered)

- the nature and justification for adjustments, if any, to the original overall number of person-months of ESR and ER as well as to the breakdown of this overall number among the participants (see table contained in Part C)
- the time and duration of each individual appointment. [*Please note that these must be from 3 up to 36 months. Short visits and secondments although part of the training/ToK programme are not counted as appointments, but as part of the networking activities.*]
- the number, names and level of involvement of senior researchers directly associated with the tutoring/supervision of the recruited ESR or ER, at each participant
- the number of ESR that are expected to present their PhD thesis and when
- the number and place of the short visits and secondments, placement in company premises undertaken by each individual ESR or ER either within or outside of the network
- number of visits of the ESR and ER to their home scientific community
- attendance at network meetings by the ESR and ER (number, names, place, date)
- participation in and presentations to workshops and conferences by ESR and ER (number, names, place, date)
- organisation of training events (e.g. schools, training workshop/seminar, hands-on training session on specialised instrument/techniques) at individual participant sites (number, attendees' names, place, date)
- organisation of network-wide training events (number, attendees' names, place, date)
- participation in training events organised outside the network (number, attendees' names, place, date)
- number of internet tutorial and computer based training courses developed/used
- number, place, purpose of any meeting (e.g. workshop) organised by the ESR or ER themselves

3.2 Qualitative Indicators of progress and success to be used to monitor the project

*Please specify which are the qualitative data and information ("indicators") that the network **will** provide in its periodic, mid-term review and final reports in order to allow Commission Services to assess progress with respect to (i) the research, (ii) the training and transfer of knowledge and (iii) the management. To this end please examine - and edit as appropriate - the lists given in the following sub-sections, given the nature of your project and the intended programme of work as described above. Feel free to add any other relevant indicators, which might not have been identified a priori.*

3.2.1 Research Activities

In reporting on progress with the implementation of its research plan the network will provide information and data on the following:

- general progress with research activities programmed at individual, participant team and network level
- highlights on more particularly innovative developments (novel concepts, approaches, methods and / or products)

- citation index for individual and joint publications directly related to the work undertaken within the contract
- expected scientific / technological breakthroughs
- overall progress and possible problems encountered with individual work packages and/or network-wide research activities
- nature and justification for adjustments, if any, to the original research work plan and/or timetable
- progress on cross interaction among disciplines represented within the network
- progress on cross interaction between academic and industrial partners
- progress regarding interaction with industrial/commercial/economic interests outside the network
- access to / use of state-of-the-art infrastructure and facilities
- highlights on wider societal and/or ethical components of the project, such as public outreach activities
- highlights on the scientific community recognition of the network research contribution (awards, invitation to conferences, ...)

3.2.2 Training / Transfer of Knowledge Activities

In reporting on progress with the implementation of its training plan and ToK the network will provide information and data on the following:

- general progress with training and ToK activities programmed at individual, participant team and network level (type of guidance, supervision, coaching or mentoring in place to support ESR and ER)
- highlights on the development of more particularly innovative approaches to training and ToK (e.g. specific training packages of network-wide relevance)
- highlights on the exploitation of the "complementarities" between network participants with respect to training and ToK
- nature and justification for adjustments, if any, to the original training / ToK plan and/or timetable (e.g. opportunities for new collaborations regarding training activities)
- career development plans as elaborated by the ESR and ER involved in the project
- career development opportunities/prospects for ESR and ER involved in the project
- achievements regarding the acquisition of complementary skills such as communication, language skills, computer skills, project management, ethics, team building, etc.
- achievements regarding the training/ToK on specialised instruments/equipment's
- level of satisfaction of the trainees (e.g. as expressed in response to questionnaires)

3.2.3 Management

In reporting on progress with its management the network will provide information and data on the following:

- effectiveness of the "internal" communication and decision making between the co-ordinator, team leaders, supervisors, down to the ESR and ER, including feedback processes

- effectiveness of the communication between the network and the Commission Services (frequency, efficiency, timely feedback's), particularly regarding the conformance with contractual provisions and the implementation of contingency plans where needed
- effectiveness of network communication with industrial and other stakeholders (anticipation of outcomes and possible end-users interests, contact preparation, follow-up and contractual agreement where appropriate)
- network self-assessment through benchmarking activities (exchange of best practices among participants and/or development of ad hoc performance indicators regarding cost management, staff selection, measurement of research/training/ToK outputs, young researchers' involvement, etc.)
- overall quality and efficiency of the "external" communication strategy of the network (Cordis; personal, team and network web sites updates; newsletters; etc.)
- effectiveness of the recruitment strategy of the network in terms of equal opportunities (including gender balance) and open competition at international level
- development of any specific planning and management tool(s) and databases
- management of intellectual property and commercialisation of network research output

PART C: CONTRACT DELIVERABLES (from A4b of the CPF forms)

Proposal Number	1	Proposal Acronym	2
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OVERALL INDICATIVE PROJECT DELIVERABLES BY PARTICIPANT						
Participant No. 32	Early Stage Researchers			Experienced Researchers (4-10 years – MCRTN only)		
	Full-time Person Months	Indicative number of researchers	Type B fellowship (%)	Full-time Person Months	Indicative number of researchers	Type B fellowship (%)
Sub-Total						

PART D: COMMUNITY CONTRIBUTION (from A5b of the CPF forms)

Proposal Number	1	Proposal Acronym	2
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OVERALL MAXIMUM COMMUNITY CONTRIBUTION										
	Eligible expenses for the activities carried out by the researchers					Eligible expenses related to the activities of the host organisations				Maximum EC contribution (in euros)
Year 39	-A- Monthly Living Allowance	Transnational Mobility		-D- Career Exploratory Allowance	-E- Participation expenses of the eligible researchers	-F- Research/training/ transfer of knowledge	-G- Management and Audit Certification	-H- Overheads	-I- Other types of eligible expenses	
	Costs (in euros)	-B- Travel Allowance	-C- Mobility Allowance	Costs (in euros)	Costs (in euros)	Costs (in euros)	Costs (in euros)	Costs (in euros)	Costs (in euros)	
Total										

Appendix 2
Sample of the Contract Preparation Forms

Contract Preparation Forms



EUROPEAN COMMISSION

6th Framework Programme on
Research, Technological
Development and Demonstration

Marie Curie Actions
**Research Training
Networks (RTN)**

A1

Proposal Number 1	Proposal Acronym 2
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GENERAL INFORMATION ON THE PROPOSAL

<i>Proposal Title 3</i>			
<i>Marie Curie action-code 3.1</i>		<i>Scientific Panel 6</i>	
<i>Total duration in months 4</i>		<i>Call identifier 5</i>	
<i>Keyword code 1 7</i>			
<i>Keyword code 2 7</i>			
<i>Keyword code 3 7</i>			
<i>Requested project start date 7.1</i>			
<i>Free keywords 8</i>			

Abstract 9 (max. 2000 char.)

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Contract Preparation Forms



EUROPEAN COMMISSION
6th Framework Programme on
Research, Technological
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Marie Curie Actions
**Research Training
Networks (RTN)**

A2a

Proposal Number 1		Proposal Acronym 2		Participant number 32	
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INFORMATION ON PARTICIPANTS 1 OF 3 (ONE FORM PER PARTICIPANT)

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

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

Are there dependencies between your organisation and (an) other participant(s) in the proposal? 27 (YES / No)		
If yes, participant number		If yes, organisation short name
If yes, participant number		If yes, organisation short name
If yes, participant number		If yes, organisation short name

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

Contract Preparation Forms



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Marie Curie Actions
**Research Training
Networks (RTN)**

A2b

Proposal Number 1		Proposal Acronym 2		Participant number 32	
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INFORMATION ON PARTICIPANTS 2 OF 3 (ONE FORM PER PARTICIPANT)

Administrative official authorised to sign the contract 36

Name		First name(s)	
Title 29		Position 29bis	Sex 30: Female = F, Male = M
Phone		Fax 31	
e-mail			

Second administrative official authorised to sign the contract 37

Name		First name(s)	
Title 29		Position 29bis	Sex 30: Female = F, Male = M
Phone 31		Fax 31	
e-mail			

Main department/faculty/institute/laboratory carrying out the work 28

Department/Faculty/Institute /Laboratory name			
Address (if different from legal address)			
PO Box 12	Postal Code	Cedex 12	
Street name and number 12			
Town	Country 13		
Scientist-in-Charge 35			
Name		First name(s)	
Title 29			Sex 30: Female = F, Male = M
Phone 31		Fax 31	
Email			

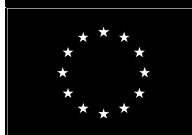
Other major department/faculty/institute/laboratory carrying out the work (if necessary) 28

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

Previously submitted similar proposals or signed contracts? 34 (YES / NO)

If yes, programme name(s) and year	
If yes, proposal or contract number(s)	

Contract Preparation Forms



EUROPEAN COMMISSION
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Marie Curie Actions
**Research Training
Networks (RTN)**

A2c

Proposal Number 1		Proposal Acronym 2		Participant number 32	
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INFORMATION ON PARTICIPANTS 3 OF 3 (ONE FORM PER PARTICIPANT)

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

I certify that the information relating to our organisation set out in forms A2, A4 and A5a is accurate and correct. I also certify that

Organisation legal name 10

is committed to participate in the above mentioned project;

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

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

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

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

<i>Name 36</i>		<i>First name (s)</i>	
<i>Date DD/MM/YYYY</i>		<i>Signature of the administrative official authorised to sign the contract or to commit the organisation</i>	

The participant organisation is aware that:

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

Only for non-public bodies: Legal documents establishing the organisation are attached ³⁸ YES/NO	
If NO, date (dd/mm/yyyy) and Commission programme name for delivery of legal documents during last six months or confirmation that the information provided more than six months ago has not changed (and the date and name of Commission programme to which information was provided)	

Contract Preparation Forms



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Marie Curie Actions
Research Training Networks (RTN)

A4a

Proposal Number 1		Proposal Acronym 2		PARTICIPANT NUMBER 32	
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INDICATIVE PERIODIC PROJECT DELIVERABLES BY PARTICIPANT

Year 39	Early Stage Researchers 46 (< 4 years)				Experienced Researchers 47 (4-10 years - RTN only)					
	Full-time Person Months 41	Indicative number of researchers				Full-time Person Months 41	Indicative number of researchers			
		Total Active during period 42	Newly appointed for 43		Total Active during period 42		Newly appointed for 43			
			<12 months	≥12 months			<12 months	≥12 months		
Totals										

% of Early-Stage Researchers with Type B Fellowships 44		% of Experienced Researchers with Type B fellowships 44	
Average Travel Allowance (Euro) 45			

Contract Preparation Forms



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Marie Curie Actions
Research Training Networks (RTN)

A4b

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Proposal Number 1		Proposal Acronym 2	
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OVERALL INDICATIVE PROJECT DELIVERABLES BY PARTICIPANT

Participant No. 32	Early Stage Researchers 46 (< 4 years)			Experienced Researchers 47 (4-10 years – RTN only)		
	Full-time Person Months 41	Indicative number of researchers	Stipend (%) Type B fellowship 44	Full-time Person Months 41	Indicative number of researchers	Stipend (%) Type B fellowship 44
Sub-Total						

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Contract Preparation Forms



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**Research Training
Networks (RTN)**

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Proposal Number 1	Proposal Acronym 2
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Banking information			
Account holder			
Name of Account holder <i>(as registered with the bank)</i>			
Full address of Account holder <i>(as registered with the bank)</i>			
PO Box 12		Postal Code	Cedex 12
Street name and number 12			
Town		Country13	
VAT number 15			
Contact person of the account holder			
Name		First name(s)	
Phone 31		Fax 31	
e-mail			

Bank name			
Branch address (full address – PO box not accepted)			
Postal Code		Cedex12	
Street name and number 12			
Town		Country13	

Structure of bank account	
Belgique/België	<input type="text"/> - <input type="text"/> - <input type="text"/>
Danmark	<input type="text"/>
Deutschland	<input type="text"/>
Greece	<input type="text"/>
España	<input type="text"/>
France	<input type="text"/>
Ireland/UK	<input type="text"/>
Italia	<input type="text"/>
Luxembourg	<input type="text"/>
Nederland	<input type="text"/>
Norway	<input type="text"/>
Österreich	<input type="text"/>
Portugal	<input type="text"/>
Suomi/Finland	<input type="text"/>
Sverige	<input type="text"/>
NORDBANKEN	<input type="text"/>
Other Countries	<input type="text"/>

IBAN (if appl.) * obligatory for IT, LU, SE, NL, GR, NO, CH, E	<input type="text"/>
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We certify that above information declared is complete and true.

BANK STAMP + SIGNATURE BANK REPRESENTATIVE (1) <i>(both obligatory)</i>	DATE + SIGNATURE ACCOUNT HOLDER <i>(Obligatory)</i>
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(1) The Bank stamp and the signature of the bank representative are not required when this financial form is sent with a copy of the bank account extract. The signature of the account holder is required in that case.

Contract Preparation Forms



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**Research Training
Networks (RTN)**

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

For the coordinator (information is obligatory, except for public bodiesError! Reference source not found.23 and for contractors whose participation is guaranteed by a Member State/Associated State):

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

Financial information for the last full financial year in the format enclosed in Form A8 YES/NO

For contractors other than the coordinator (information obligatory under certain circumstances51)

Participant number of contractor concerned

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

Financial information for the last full financial year in the format enclosed in Form A8 YES/NO

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

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Certified declaration by the coordinator (participant n°1)

I certify that the information set out in forms A1, A4, A5, A6, A7, A9 and A10 is accurate and correct and agreed by all contractors (if applicable). I also confirm that our organisation is committed to participate to the above-mentioned project and to act as coordinator for the project.

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

Contract Preparation Forms



EUROPEAN COMMISSION
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Development and Demonstration

Marie Curie Actions
**Research Training
Networks (RTN)**

A8

Proposal Number1		Proposal Acronym2		Participant number 32	
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Simplified balance sheet and profit and loss account 52

Closing date 53 t0 (dd/mm/yyyy)		Duration53 t0 (months)		Closing date53 t-1 (dd/mm/yyyy)		Duration 53 t-1 (months)	
Less than three annual balance sheets YES/NO				Currency			

Balance sheet		
Assets	t0	t-1
1. Subscribed capital unpaid		
2. Fixed assets (2.1+2.2+2.3)		
2.1 Intangible fixed assets		
2.2 Tangible fixed assets		
2.3 Financial assets		
3. Current assets (3.1+3.21+3.22+3.3+3.4)		
3.1 Stocks		
3.2.1 Debtors due within one year		
3.2.2 Debtors due after one year		
3.3 Cash at bank and in hand		
3.4 Other current assets		
Total assets (1.+2.+3.)		
Liabilities	t0	t-1
4. Capital and reserves (4.1+4.2+4.3+4.4)		
4.1 Subscribed capital		
4.2 Reserves		
4.3 Profit and loss brought forward		
4.4 Profit and loss brought forward for the financial		
5. Creditors (5.1.1+5.1.2+5.2.1+5.2.2)		
5.1.1 Long term non-bank debt		
5.1.2 Long term bank debt		
5.2.1 Short term non-bank debt		
5.2.2 Short term bank debt		
Total liabilities (4.+5.)		
Profit and loss		
	t0	t-1
6. Turnover		
7. Variation in stocks		
8. Other operating income		
9. Costs of material and consumables		
10. Other operating charges		
11. Staff costs		
12. Gross operating profit (6.+7.+8.-9.-10.-11.)		
13. Depreciation and value adjustments on non-financial assets		
14. Net operating profit (12.-13.)		
15. Financial income and value adjustments on financial assets		
16. Interest paid		
17. Similar charges		
18. Profit/loss on ordinary activities (14.+15.-16.-17.)		
19. Extraordinary income and charges		
20. Taxes on profits		
21. Profit/loss for the financial year (18.+19.-20.)		

Contract Preparation Forms



EUROPEAN COMMISSION

6th Framework Programme on
Research, Technological
Development and Demonstration

Marie Curie Actions
Research Training Networks (RTN)

A10

Proposal Number 1		Proposal Acronym 2	
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PROJECT QUALITY INDICATORS

Actions	Host Driven Actions				Yes/No
	RTN	EST	TOK	SCF/LCF	
Project Quality Indicators 59					
<i>Contract deviation</i>	Ratio Person-Month filled / offered	Ratio Person-Month filled / offered	Ratio Person-Month filled / offered	Ratio events organised/ planned and participants attending/expected	
<i>Level of satisfaction (assessment questionnaire)</i>	Level of satisfaction of the trainees	Level of satisfaction of the fellows	Level of satisfaction of the fellows	Level of satisfaction of the participants	
	Career prospective of the participants	Career prospective of the participants	Career prospective of the participants	Career prospective of the participants	
<i>Career development (follow-up questionnaire)</i>	Career development of the fellows	Career development of the fellows	Career development of the fellows		
<i>International aspects (periodic report & assessment questionnaire)</i>	No of partners per network			No of partners per project	
	Joint research proposals and publication beyond contract	No of international cooperation in EST		International balance or participants	
<i>Scientific achievements and dissemination (periodic/final report, questionnaire)</i>	Scientific results achieved (by type)	Scientific results achieved (by type)	Scientific results achieved (by type)	Dissemination of the results	
<i>Multidisciplinarity (periodic report & questionnaire)</i>	Inter-sectorial collaboration		Inter-sectorial collaboration	Inter-sectorial collaboration	
<i>Miscellaneous (mid term review, periodic report & assessment questionnaire)</i>	Ability to recruit fellows	Ability to recruit fellows		Participants' contribution to the event	
	Frequency and level of networking (final report)				
	Level of attendance at the network wide events				

Explanatory Notes

Before entering data into the CPF Forms it is also recommended to read the “Readme file” that is sent with the CPF application

1. Proposal number

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

2. Proposal acronym

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

3. Proposal Title

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

3.1. Marie Curie action-code

The abbreviation for the Marie Curie Research Training Network actions is “MRTN”.

4. Total duration in months

The estimated duration of the project in full months (normally 48 months).

5. Call Identifier

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

6. Scientific Panel

This is the code chosen at the proposal stage from the table below. The code indicates the main scientific area of relevance to your proposal.

Description	Code
Chemistry	CHE
Social and Human Sciences	SOC
Economic Sciences	ECO
Engineering and information sciences	ENG
Environment and geosciences	ENV
Life sciences	LIF
Mathematics sciences	MAT
Physics	PHY

7. Keyword codes from thesaurus

These are the **codes** (maximum 3) from your original proposal for keywords characterising your project from the hierarchical list available at <http://www.cordis.lu/fp6/keywords>. Changes are possible.

7.1. Requested project start date

The project start date is *the date by which the project activities will begin*. The start date will not necessarily coincide with the date of entry into force of the contract (which is by default the day of its signature by the coordinator and the Commission). The start date will have an incidence on the timing of the pre-financing and the reporting requirements and you are therefore advised to give this matter careful consideration.

There are *four options*:

According to Art.2 of the monocontractor HRM core contract and Art. 4 of the pluricontractor HRM core contract, the project start date is one of the following dates:

- the first day of the month after the signature by the Commission
- a fixed starting date
- the date of signature of the contract
- the effective starting date notified (according to Art. 3.3 (a) of the general conditions) by the coordinator/contractor, which must be within 6 months from the date the contract enters into force.

8. Free keywords

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

9. Abstract

This is the abstract from your original proposal.

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

10. Organisation (or Account Holder) legal name

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

11. Organisation short name

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

12. Address data

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

13. Country

The name of the country as commonly used.

14. Legal registration number

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

15. VAT number

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

16. Legal trade register

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

17. Internet homepage

If available please provide your internet homepage address

18. Activity Type

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

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

19. Legal Status

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

Governmental or private?
Commercial or non-commercial?

In addition:

- private organisations have to specify if they are public bodies in the sense of the FP6 rules for participation;

- governmental organisations have to specify if they are international (i.e. intergovernmental) or national; if they are international they have to further specify if they are international **European Interest** organisations
- private commercial organisations have to specify the exact type (e.g. SA, Ltd., GmbH, physical person).

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

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

20. Governmental or private organisation

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

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

21. Commercial or non-commercial organisation

A commercial organisation is one whose primary activity is trade, commerce, or provision of services with a view to generating a profit, either in order to distribute it to its shareholders or owners (commercial and profit making organisations) or to use it in the implementation of its activities (commercial and non-profit making organisations like foundations).

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

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

22. Type of private commercial organisation

If you are a private commercial organisation, please indicate the exact type of organisation (e.g.: SA, Ltd., GmbH, AG, EEIG (see note 16), physical person etc.).

23. Public body

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

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

24. National or international governmental organisations

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

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

25. International European Interest Organisation

These are international organisations (INO), the majority of whose members are European Union Member States or Associated States, and whose principal objective is to promote European scientific and technological co-operation

26. Independence of an organisation (SME Criteria)

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

NO:

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

or

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

or

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

or

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

YES: in any other cases.

27. Dependencies between participants

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

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

Legal entity A controls legal entity B if:

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

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

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

28. Department/faculty/institute/laboratory carrying out the work

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

29. Title

One of the following: Prof., Dr., Mr., Ms.

29^{bis} Position

Please enter the official position of the Administrative official authorised to sign

30. Sex

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

31. Phone and fax numbers

Please insert the full numbers including country and city/area code. Example +32-2-2992040.

32. Participant number

The number allocated to each of the participants in the proposal.

A participant is defined in Article 7 of the applicable Regulation on the rules for participation and would be a signatory to the contract with the Commission for the purpose of the proposed project, contrary to a partner institution.

In proposals with only one participant, the single participant is always number one. In proposals that have several participants, the co-ordinator of a proposal is always number one.

33.

N.A.

34. Previously submitted similar proposals or signed contracts

At the proposal stage you were asked to indicate if you (the participant) had submitted or were in the process of submitting the same or a similar proposal for funding under RTD Framework Programmes and/or have any contract(s) under such programmes by inserting a YES or a NO. If yes, you were asked to give the programme name, year of submission and proposal number or contract number.

Please check the correctness of the information you provided and add any new information of relevance.

35. Scientist in charge

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

The address of this person should be the one of the “Main department/ faculty/ institute/ laboratory carrying out the work” in form A2a.

36. Name of the person signing

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

37. Second administrative official

Please insert in this section the data of an additional official authorised to sign the contract by duly documented delegation from the first Administrative Official authorised to sign the contract, if applicable. This will be an additional contact for the Commission concerning the contract.

The address of this person should be the one of the “Main department/ faculty/ institute/ laboratory carrying out the work” in form A2a.

38. Legal documents establishing the organisation

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

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

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

39. Year

This refers to periods of 12 months starting from the project start date (see note). (Values: 1, 2, 3, 4, 5....). The form(s) will be pre-filled with global figures for your project for which you are asked to provide a more detailed breakdown by year/period.

40. Indicative Project Deliverables by Participant

In this form each participant will provide information on the project deliverables in terms of the number of person-months of Early-Stage and Experienced Researchers (one form per participant). This information provides the basis by which the expenses for the activities carried out by the researchers as presented in columns A to E of form A5a can be determined.

41. Full-time Person Months

This parameter is used for the calculation of the living and mobility allowances.

42. Total Active during period

This field is used to estimate the EC financial contribution that is associated with number of annual travel allowances that will be paid to the fellows.

43. Newly appointed during <12 or ≥12 months

This field is used to estimate the EC financial contribution that is associated with the Career Exploratory Allowances that will be paid to the fellows.

44. Stipend % (Type B fellowship)

According to the HRM Work Programme (Edition August 2004), please note that Stipend % has been renamed fixed-amount fellowship or Type B fellowship.

The eligible researchers can be recruited either under an employment contract/fellowship with full social security coverage (**Type A**) or on the basis of a fixed-amount fellowship with minimum social security (**Type B**), depending on the legal and/or administrative situation of the host organisation and/or researcher (for more information see section 2.8.1. of the HRM Work Programme.) However, it is expected that Experienced Researchers (i.e. with more than 4 years of research experience) will be recruited on Type A employment contracts. Any recruitment on the basis of a Type B must be duly justified

This is the (estimated) percentage of the requested full-time person months for which the Type B fellowship will be applied. The value which appears in this field is the value which has been used by the Commission to estimate the EC contribution (living allowance).

Please note:

- A Type B % of 100 means that all of the researcher months in a given period will be paid according to Type B rates;
- A Type B % of 0 means that all the researcher months in a given period will be paid according to Type A employment rates.

45. Average Travel Allowance (Euro)

In order to estimate the travel allowance for the appointed researchers (for whom the place of origin is usually not known at the proposal & negotiation stages) an average distance travelled has been defined for each work location. On the basis of this

distance the appropriate amount for the travel allowance has been selected from table 2 in section 2.8 of the Work Programme and appears for your information in the field 'Average Travel Allowance'.

46. Early-stage Researchers

Means researchers who have at the time of the appointment no more than 4 years (full-time equivalent) research experience since obtaining the diploma which gives them direct access to doctoral studies in the country in which the diploma was obtained and who do not have a doctoral degree.

47. Experienced Researchers (4-10 years)

Means researchers who have at the time of the appointment a doctoral degree or a (full-time equivalent) research experience of 4-10 years since obtaining the diploma which gives them direct access to doctoral studies in the country in which the diploma was obtained.

48. Overall Indicative Project Deliverables by Participant

This table should be derived from the A4a forms and provides a summary of the deliverables in terms of the person-months over all four years of the project for each participant (only one form per project). This table will form part of the Annex I ("Description of Work").

49. Maximum Community Contribution per Participant

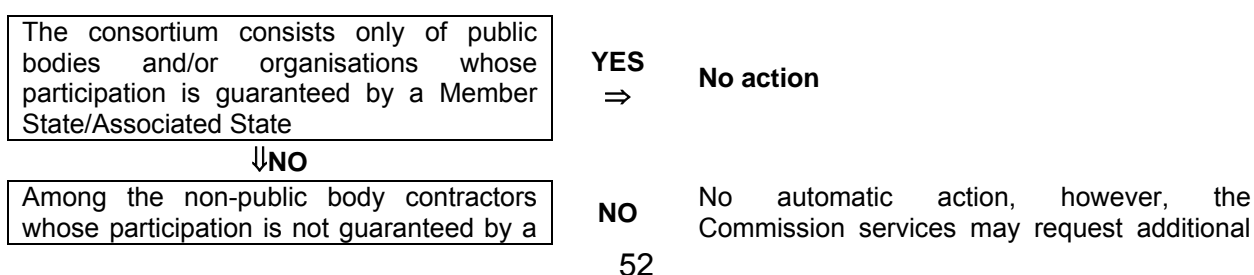
This table shows the EC contribution per participant according to the different types of expenses that are associated with the project. The expenses in columns A-E will depend upon the information provided in table A4a and are a function of the number of person months along with other pre-defined parameters. The other types of expenses (F-I) are on a real cost basis but must be chosen such that the sum of columns A-E represents 65% of the total EC contribution.

50. Overall Maximum Community Contribution

The values shown in this table should be derived from the information in the A5a forms and provides an overview of the maximum Community contribution for each year of the project (one form per project). This table will form part of the Annex I ("Description of Work") and will also be used to determine the level of pre-financing that can be received.

51. Additional financial information on contractors

To verify the financial capacity of contractors, in certain cases and for certain types of contractors the Commission asks regularly for documents as listed in form A7. These documents have to be sent together with the contract preparation forms. The coordinator has always to send these documents (except for public bodies). Other contractors concerned can be identified by following the decision tree below.



Member State/Associated State, there is one entitled to receive more than 50% of the requested EC contribution to all non-public body contractors whose participation is not guaranteed by a Member State/Associated State	⇒	financial information, in which case, complete form A8 and attach additional financial information required by A7.
↓YES		
The requested EC contribution for this contractor exceeds by more than € 300,000 50% of the requested EC contribution to all non-public body contractors whose participation is not guaranteed by a Member State/Associated State	NO ⇒	No automatic action, however, the Commission services may request additional financial information, in which case, complete form A8 and attach additional financial information required by A7.
↓YES		
This contractor has already supplied the additional financial information to the Commission (under one of its policies) in the last 12 months	YES ⇒	Indicate the Commission programme name and contract number to which the information has been supplied
↓NO		
Complete form A8. Attach the additional financial information requested in form A7		

In addition, during the negotiation, the Commission may, depending on its analysis of management risks, request the information listed in form A8 from other participants.

Public bodies need not provide additional financial information.

52. Simplified balance sheet and profit and loss account

Form A8 has to be completed only for the contractors identified in form A7 (see also note 51). Within form A8 financial data based on the company's balance sheet are collected in a standardised form. A correspondence table giving an explanation on the regrouping of different accounts with respect to the 4th Accounting Directive is attached to these notes.

53. t-1 and t0

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

FORM A8
BALANCE SHEET
ASSETS
1. Subscribed capital unpaid
2. Fixed assets
2.1. Intangible fixed assets
2.2. Tangible fixed assets
2.3. Financial assets
3. Current assets
3.1. Stocks
3.2.1. Debtors due after one year
3.2.2. Debtors due within one year
3.3. Cash at bank and in hand
3.4. Other current assets
Total assets

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

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

PROFIT AND LOSS ACCOUNT		PROFIT AND LOSS ACCOUNT / 4th ACCOUNTING DIRECTIVE (Article 23)	
6. Turnover		1. Net turnover	1. Net turnover
7. Variation in stocks		2. Variation in stock of finished goods and in work in progress	2. Variation in stocks of finished goods and in work in progress
8. Other operating income		3. Work performed by the undertaking for its own purposes and capitalized.	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
10. Other operating charges		8. Other operating charges	8. Other operating charges
11. Staff costs		6. (a) Wages and salaries	6. (a) Wages and salaries
		6. (b) social security costs, with a separate indication of those relating to pensions	6. (b) social security costs, with a separate indication of those relating to pensions
12. Gross operating profit		Gross operating profit	.
13. Depreciation and value adjustments on non financial assets		7. Depreciation and value adjustments on non financial assets	7. (a) Value adjustments in respect of formation expenses and of tangible and intangible fixed assets 7. (b) Value adjustments in respect of current assets, to the extent that they exceed the amount of value adjustments which are normal in the undertaking concerned
14. Net operating profit		Gross operating profit - Depreciation and value adjustments on non-financial assets	
15. Financial income and value adjustments on financial assets		Financial income and value adjustments on financial assets	9. Income from participating interests 10. Income from other investments and loans forming part of the fixed assets 11. Other interest receivable and similar income 12. Value adjustments in respect of financial assets and of investments held as current assets
16. Interest paid		Interest paid	13. Interest payable and similar charges
17. Similar charges		Similar Charges	
18. Profit or loss on ordinary activities		Profit or loss on ordinary activities	15. Profit or loss on ordinary activities after taxation
19. Extraordinary income and charges		Extraordinary income and charges	16. Extraordinary income 17. Extraordinary charges
20. Taxes on profits		Taxes	14. Tax on profit or loss on ordinary activities 19. Tax on extraordinary profit or loss 20. Other taxes not shown under the above items
21. Profit or loss for the financial year		Profit or loss for the financial year	21. Profit or loss for the financial year

54. Reporting period

According to the contract the project is divided into reporting periods. For the contractually defined reporting periods the coordinator will be required to supply reports. For MCRTNs, each reporting period is of one year duration.

At the start of negotiations the form A9 will be pre-filled with the relevant number and (the relative) periodicity of reporting periods. When the 'Requested project start date' is entered on the A1 form during negotiations the relative periods will automatically be converted into real dates

55. Delivery Date

This is the date by which the stated deliverable/milestone shall take place.

56. Type & Subject

Please choose the most suitable labels to describe your deliverables/milestones according to the table below **BUT do not enter** any periodic reporting activities (e.g. periodic Activity Report, Periodic Management Report, Final Activity Report, Final Management Report, Financial Statement) these milestones will be created automatically in the Commission management tool based on the starting date of the project.

Milestones & deliverables:	
Type	Subject
Meeting	Information meeting
	Kick-off meeting
	Mid Term Review
	Annual meeting
	Other (free text field)
Workshop	Free text field
Report	Initial Outline Report
	Updated Outline Report
	Final Outline Report
	Mid Term Review Report
	Free text field
Document	Audit Certificate
	Publication
	Proceedings
	Other (free text field)
Other	Free text field

57. Responsible

Please choose between the following:

Milestones & deliverables:
Responsible
Participant 1 (coordinator)
Participant 2
....
Participant N
Commission

58. Comments

Free text field. Please provide any information relevant for a better understanding of the milestone/deliverable concerned.

59. Project Quality Indicators

Please enter Yes or No for the project Quality Indicators that you will accept for the monitoring of the project.

Appendix 3

Negotiation of ethical issues

Negotiation of ethical issues

General introduction

If there are ethical issues associated with a project the proposers must describe how these will be dealt with in Annex I.

Ethical issues are to be addressed by project proposals that involve experimentation with humans (including clinical trials), human tissue, the collection or processing of personal information, experimentation with animals, genetic information etc. (see “crucial information for proposers” on http://europa.eu.int/comm/research/sciencesociety/ethics/ethics_en.html). Project proposals with serious ethical issues together with those that did not address ethical issues adequately, will have been identified by the scientific evaluation as needing additional attention by an ethical review panel.

If a project has been subject to ethical review, contract negotiation should not be concluded without taking full account of the ethical review report which should also form part of the technical annex to the contract.

Ethical review within FP6 has two important functions:

1. To ensure that the EU can be confident that it is not funding any research that is ethically unsound.
2. To continually raise awareness amongst researchers of ethical issues that may be raised by their research and enable them to adequately address these. This is particularly important for new and developing areas of research and technology (Genomics, IT and Nanotechnology for example), which previously may have had little need to address ethical issues in research projects but where new developments are leading to innovative research in areas where ethical considerations become important.

Normally ethical review will have been carried out and the Ethical Review Report (ERR) will be available by the time contract negotiations begin. However, for some proposals requiring ethical review this may not be the case. In this event the coordinator should be informed that an ethical review is still in progress and that the outcome of the ethical review will need to be taken into account and may change or may add to the final result of the scientific evaluation.

If the proposal contravenes the fundamental ethical rules of FP6 and this is unable to be resolved, the project may be stopped at any point in the evaluation process¹.

¹ REGULATION (EC) No 2321/2002 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 16 December 2002 concerning the rules for the participation of undertakings, research centres and universities in, and for the dissemination of research results for, the implementation of the European Community Sixth Framework Programme (2002-2006), article 10, 5

Management

Where ethical issues are addressed by the project proposal, appropriate management of these issues should be guaranteed in the overall project management. This can be done in different ways, such as by involving one or more ethicist in the management board, by creating a separate management board for the ethical issues, by adding a workpackage to analyse in depth the important ethical issues involved or by working on an ethical impact assessment of the project. Sometime it might be advisable to choose a mixture of these measures.

Reporting

The annual report should devote a section to describing the handling of the ethical aspects of the project.

The Ethical Review Report in Contract Negotiation

The ethical review report has four elements that have to be taken into account in the negotiation of Annex I.

Requirements

These conditions have been identified as necessary in order to fulfil FP6 ethical rules. The requirements will refer to the individual WPs in which they must be incorporated. Annex I must demonstrate that these conditions have been accepted and are followed by the consortium.

Where additional information is required such as the approval of a national authority or a local ethics committee, the co-ordinator has to certify that this has been received before the start of the related research activities.

If other requirements have been identified the annual report will have to report on these issues.

Recommendations

Recommendations from the ER panel for improving the ethical soundness of the project should be subject to the negotiation process.

Reporting Obligations

Identifies any further information required to confirm or clarify the handling of ethical aspects of the research and issues to be followed in the annual reports.

Follow Up

Identification of any aspects of the project where ethical issues may need to be considered or reconsidered at a later stage.