European Commission

Proposal submission forms for financial support from the EC for:

Concerted Actions & Thematic Networks

Including guidelines on how to complete the proposal submission form

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How to complete the proposal submission forms

Introduction

Proposals for a **Concerted Action or a Thematic Network** can be submitted by either a **single contractor** (the contractor) together with a body of members, or proposals can be submitted by a **consortia of contractors** (one being the co-ordinator) together with a body of members.

This document provides guidance on how to complete the attached administrative forms. These forms will be an integral part ('Part A') of your proposal for a concerted action or a thematic network project.

The forms may be submitted either electronically or on paper. You are strongly advised to submit the forms electronically.

Submitting electronically:

You must use the Proposal Preparation Tool, which can be downloaded free-of-charge from the Internet site:

http://www.cordis.lu/fp5/protool

This tool provides on-line help facilities, and provides instructions for entering and submitting the required information electronically.

Submitting on paper:

There is a front page (A0) and four forms numbered A1, A2, A3 and A4. You should detach and complete these forms, or you may use photocopies of them providing the quality is good. Alternatively, you can download the forms from the World Wide Web at the address given above. When you have completed the form, please keep a photocopy for your own file.

The forms are designed to collect the administrative information on the consortium or contractor making the proposal. This information is necessary for the Commission services to evaluate the proposal. A minimal amount of extra information is requested for statistical purposes only.

In addition to the administrative information provided in part A, a proposal must also contain parts B and C, describing the content and the management of your proposed project. Incomplete proposals will be ineligible and will not be evaluated. The lay-out and structure of parts B and C are described in the Guide for Proposers for the relevant call.

How to complete the forms

The forms should be completed as follows:

For single participant proposals for concerted actions and thematic networks:

- The principal contractor fills in forms A0, A1, A2, A3 and A4 form
- The members fill in one A3 form each.

For multi participant proposals for concerted actions and thematic networks:

- The co-ordinator fill in forms A0, A1, A2, A3, and A4;
- The principal contractors fill in one A3 form each.
- The members fill in one A3 form each.

Subcontractors and other participants are not required to fill the A3 form and should not appear separately on the A4 form.

Explanatory notes are appended to each form.

Forms A0 to A4 may be machine-read at the Commission, so to minimise the possibilities of your proposal details being read incorrectly, we would kindly ask you to read and follow these notes carefully.

Please fill in the forms by typewriter. A photocopy of the original may be used if the quality is good.

Please keep Forms A0 to A4 as clean as possible and do not fold, staple or amend them with correction fluid.

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

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

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

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

Please remember to indicate the proposal short name (acronym) and proposal number (if a number has been allocated before submission) at the top of the form (part A) where indicated, and on every page of the other parts (part B and C), including any annexes.

All costs must be given in euro (and not kilo euro) and must exclude value added tax (VAT).

Signatures of the forms

For multi participant proposals the contractors and members should send their completed A3 form to the proposal co-ordinator. They should confirm their organisation's agreement to participate in the proposal either by signing this form, or by providing a letter of commitment to the co-ordinator before the deadline.

The proposal co-ordinator should check that the forms have been filled in correctly and that there is consistency between the information in the various forms and the rest of the proposal. The co-ordinator must have in his possession either the signed A3 forms from the contractors or letters of commitment, but he/she does not have to include the originals in the proposal. If submitting the proposal on paper, the co-ordinator has to sign form A1 before sending it. The co-ordinator should then send one original proposal with a signed A1 form and the required number of copies to the European Commission. The number of copies is specified in the Guide for Proposers and the address is specified in the Call for Proposals.

If it is submitted electronically, electronic signature must be provided. The co-ordinator has to have in his position either the original signatures of the participants who would contribute to the funding of a project (i.e. potential contractors and members) on form A3or commitment letters from the participants stating that the co-ordinator is authorised to submit the proposal on behalf of the consortium and that the proposal is agreed to by the partners. The Commission can ask the co-ordinator to produce these forms at any time if needed.

Additional information

The notes accompanying the forms are intended to help you complete them correctly. However, you should also read the other parts of the Guide for Proposers, and other documents provided in the information pack, where you will find more complete descriptions of the principles used to implement the programme. Specifically, the following documents are essential to submit a proposal:

- The call for proposals published in the Official Journal,
- The Guide for Proposers for the call,
- The proposal submission form for the type of action you apply for,
- The work programme for the relevant Community programme,
- The evaluation manual with its programme specific annexes.

Other sources of information which contain relevant information are:

- The model contracts for concerted actions and thematic networks,
- The rules for participation and dissemination of research results of the fifth framework programme.

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

How to complete the administrative forms (Part A - Forms A0 to A4).

Proposal Information and Administrative Overview Forms (A0, A1)

1. ‘Proposal information and administrative overview forms’ (A0 and A1)

These forms are to be completed by the proposal co-ordinator on behalf of the consortium for multi participant proposals, and by the contractor for single participant proposals.

2. Thematic Priorities of the Research Programmes

The thematic priorities addressed by your proposal as indicated in the list in Annex 1 of Appendix 1, the proposal submission forms: “Structure of the thematic priorities of the 5th Framework Programme 1998-2002 (indirect actions)”. The list is organised so that the first three or forur characters indicate the programme (in bold) , the next four digits indicate the year of the workprogramme, and the two or three last digits indicate the thematic priorities (action lines or research objectives).

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

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

3. Call Identifier

The call identifier is the reference number given in the call you are addressing, as indicated in the publication of the call in the Official Journal.

4. Type of Action

This details the type of action you are applying for. You should use the following code:

CA: Concerted Action

TN: Thematic Network

5. Proposal Acronym

Provide a short title or acronym of no more than 20 characters, to be used to identify the proposal. The same acronym should appear on each page of the proposal in order to prevent errors during its handling.

6. Proposal No

The proposal number you were given at pre-registration by the Commission services, where this service was applicable. If you have not received a proposal number, you should leave this field blank. In this case, the Commission services will allocate a proposal number after reception. This number will be communicated to you on the acknowledgement of receipt form.

7. Contact person for the proposal

The name and contact details for the person responsible for the proposal who acts as a contact on behalf of the consortium after the evaluation of the proposal, normally the proposal co-ordinator.

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

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

9. Organisation Legal Name

You must use the complete legal name of the organisation. If applicable, name under which the participant is registered in the official trade registers.

10. Department / Institute Name

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

11. P. O. Box

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

12. Post Code

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

13. Cedex

If applicable, indicate Cedex for surface mail delivery.

14. Country Code / Name

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

15. Telephone No and Fax No

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

16. Proposal Abstract

The proposal abstract should be a very short and precise presentation of the main features of the proposal. Why is it proposed and what problem is it solving? What are the objectives? How will the objectives be achieved? What results are expected? This proposal abstract will be used together with the proposal summary description in form A2 in the evaluation process and in communications about the proposals to the interested parties (Commission services and programme committees etc.). Please use plain typed text, avoiding formulae and other special characters. If the proposal is written in a language other than English, please include in form A1 an English version of the abstract.

17. Project Duration

Project duration in months.

18. Total estimated Eligible Costs

The total estimated eligible costs of the project in euro as in form A4.

19. EC Contribution requested

The total contribution requested for the project from the European Community in euro, as in form A4.

20. Keywords

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

21. Similar Proposal

If you have previously submitted the same proposal or one similar in content to any European Community programme, you should indicate the details here. In the field programme name, you should use the code in the list of research areas / thematic priorities in Annex 1 of Appendix 1, the proposal submission forms if the programme is a fifth framework programme, in all other cases, write the name of the programme. If more than one proposal has been or is being submitted, please list these in part B of the proposal.

Proposal Summary Form (A2)

22. Proposal Summary

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

Participant Profile / Information Form (A3)

23. Form A3

Form A3 should be filled in by principal contractors (including the co-ordinator) and members only. Make sure that the form is signed by a person in your organisation authorised to sign the proposal. Keep a photocopy or an electronic copy of the completed form for your own files before sending it to your proposal co-ordinator.

24. Participant Role

The role for the participant as defined by the consortium for this proposal. This role should also be used on form A4. The following codes should be used for role:

CO: co-ordinator for multi participant proposals and for single participant proposals, the principal contractor;
CR: principal contractor for multi participant proposals (other than the co-ordinator);
MB: member (where applicable).

25. Participant No

Only applicable to multi participant proposals. The number allocated by the consortium to the participant for this proposal. The co-ordinator of a multi participant proposal is always number one. Members should have numbers following the contractor to whom they are linked, if they are linked to a specific contractor.

26. Linked to Principal Contractor No (Participant No)

Only for members: Indicate the number of the principal contractor, to whom the member is linked.

27. Registration No with the European Commission's Research Programmes

In case the organisation has already received a registration under the fifth Framework Programme, please enter it here, and only give the organisation details if they have changed since the registration number is received. **This registration number will only be issued once**

the organisation has been validated during the negotiation of a contract with the Commission.

28. Organisation Legal Name

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

29. 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 the A4 form

30. Legal Registration No

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

31. Activity Type

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

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

32. Legal Status

Please use one of the following codes:

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

33. Legal Status : 'If 'PRC', Specify'

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

34. Business Area (NACE)

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

35. User/Supplier

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

36. Organisation details

This section is for statistical information only. The fields should be filled by all private organisations and other participants who have an analytical accountancy system, but public research institutions, like universities only have to fill field 40 (see the notes to the fields in this section).

37. Annual turnover

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

- **T1**: 0 ≤ EUR 7 million (Annual turnover less than or equal to EUR 7 million)
- **T2**: > EUR 7 million or ≤ EUR 40 million (Annual turnover more than EUR 7 million or less than or equal to EUR 40 million
- **T3**: > EUR 40 million (Annual turnover more than EUR 40 million).

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

38. Annual Balance sheet Total (i.e., total of assets or total of liabilities)

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

- **B1**: 0 ≤ EUR 5 million (Annual balance sheet total less than or equal to EUR 5 million)
- **B2**: > EUR 5 ≤ EUR 27 million (Annual balance sheet total more than EUR 5 million or less than or equal to EUR 27 million)
- **B3**: > EUR 27 million (Annual balance sheet total more than EUR 27 million)

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

39. Number of employees

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

S1: 0 employee
S2: 1 – 9 employees
S3: 10 – 49 employees
S4: 50 – 249 employees
S5: 250 – 499 employees
S6: 500 – 1999 employees
S7: 2000+ employees

40. Independence

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

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

An SME (small and medium-sized enterprise) is defined as an entity that has less than 250 full time equivalent employees, has an annual turnover not exceeding EUR 40 million, or an annual balance sheet total not exceeding EUR 27 million, and is not controlled by 25% or more by a company which is not an SME (on the issue of control, see note 42).

41. Owners

Please provide the legal name(s) of the organisation(s) controlling the organisation by 25% or more (on the issue of control, see note 42).

42. Affiliation

An organisation is affiliated to another organisation if:
It is under the same direct or indirect control as another organisation, or
It directly or indirectly controls another organisation, or
It is directly or indirectly controlled by another organisation.

Control:

Company A controls company B if:

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

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

43. Affiliated Organisations

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

D: Direct control;
I: Indirect control.

44. Department carrying out the work

Provide here the name and address of the department carrying out the work

45. Authorised Person

This is a person with authority to commit the organisation to participate to a concerted action or a thematic network project.

Cost Summary in euro Form (A4)

46. Cost Summary in euro, form A4

For single participant proposals the A4 form should be filled by the contractor. For multi participant proposals the A4 form should be filled in by the co-ordinator based on the budget distribution agreed by the consortium. It should only contain the eligible costs. All figures should be in euro and not kilo euro. For more detailed information on eligible costs categories for the concerted actions and thematic networks please refer to the notes below and to section 3 of the Guide for Proposers.

47. Participant short name

The short name chosen by the participant in this proposal from form A3.

48. Number of person/months

Number of person-months for the participants. If applicable person-months allocated to subcontractor(s) shall be included in the number of person months for the participant, but also indicated in parentheses.

49. Personnel costs

For a Concerted Action or Thematic Network project only costs for administration, management and coordination are eligible costs and can be charged to the project; the costs of unskilled personnel, administrative personnel and secretarial personnel shall be included in the overhead costs.

Personnel costs shall be charged in respect of the actual time undertaken by the participant.

For specific programme INCO see Annex 4 of Appendix 1.

50. Travel and subsistence

The amount for travel and subsistence costs of personnel working on the project, calculated on the basis of the usual practices of the participant. These costs may include the costs of attendance at meetings of some or all of the participants; travel costs related to visits to other participants; short-term exchanges between participants (not exceeding two months); and visits to meetings, organised by participants, by experts invited by the co-ordinator. The prior agreement of the Commission will be required at the contract stage for any destination outside the territory of a Member State, an Associated state or a third country where a contractor or member is established.

51. Computing

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

52. Subcontracting

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

53. Other specific costs

Other significant specific project costs necessary to carry out the work, and which do not fall under any of the other defined cost categories or under overheads, may be charged under this category. Costs under this category will be subject to prior written agreement from the Commission at the contract stage.

54. Overhead costs

For concerted actions and thematic networks, up to 20 % of all cost categories except subcontracting can be charged as overheads.

Note: Other methods of overhead calculation used in other Community funded actions are not applicable to concerted actions or thematic networks.

55. Total costs

The sum of all the cost categories.

56. Requested contribution from the Community

This will normally be equal to 100% of the additional eligible costs.
As a rule, EC contributions can only be requested by participants from Member States and Associated States. For participants from countries, which do not qualify for EC funding, the percentage for EC contribution is set to zero (0).
For cases where participants from other countries may receive EC funding, please refer to the relevant Guide for Proposers for details on which countries can receive EC contribution.
For the specific programme INCO see Annex 4 of Appendix 1.

57. Total

The sum of each cost category from the rows above.