European Commission

Proposal submission forms for

**Financial support from the EC for
shared-cost RTD actions:**

Support for Access to Research Infrastructures
(LARGE SCALE FACILITIES)

Including guidelines on how to complete the proposal submission forms

How to complete the proposal submission forms

Introduction

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 support for access to research infrastructures.

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.
>
> This tool provides on-line help facilities, and provides instructions for entering and submitting the required information electronically. **If you choose to submit electronically there is no need to read the remainder of these notes**.
>
> **Submitting on paper:** There is a front page (A0) and five forms numbered A1, A2, A3, A4 and A5. 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 forms, please keep a photocopy for your own file.

The forms are designed to provide the administrative information concerning your proposal which 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 part B, i.e. the scientific/technical content of the proposal. Incomplete proposals will be ineligible and will not be evaluated.

How to complete the forms

Forms A0 to A5 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 A5 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.

Where to send the forms
You should send the original (with original signatures) and 5 copies to the European Commission at the address specified in the Call for Proposals.

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 forms,
- The work programme for the relevant Community programme,
- The evaluation manual with its programme specific annexes.

Other sources of information which contain relevant full information are:

- The model contracts for Community activities in the field of access to research infrastructures,
- The rules for participation and dissemination of research rules 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 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 A5).

1. **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.

2. **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.

3. **Thematic Priorities of the Research Programme(s)**
   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 digits indicate the programme (in bold) and the two or three last digits indicate the thematic priorities. You should use all five or six digits as identifier of 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.

4. **Contact Person for the Proposal**
   The name and contact details of the infrastructure manager responsible for the proposal.

5. **Gender (F(emale) / M(ale))**
   This information is required for statistical purposes only. Please indicate with a cross as appropriate.

6. **Organisation Legal Name**
   You must use the complete legal name of the organisation which operates the infrastructure. If applicable, name under which the organisation is registered in the official trade registers.

7. **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.

8. **P. O. Box**
   If applicable: Indicate number of Post Office Box for surface mail delivery.

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

10. **Cedex**
    If applicable, indicate Cedex for surface mail delivery.

11. Country Code / Name

Use the relevant country code as indicated in the list in Annex 2 to this form: "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.

12. Telephone and Fax numbers

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).

13. Proposal Abstract

The proposal abstract should be a short and precise presentation of the main features of the project. Briefly characterise your infrastructure, give the total amount of access which is being offered for the full period of the project and the number of individual users who are expected to benefit from it. 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.

14. Project Duration

Project duration in months.

15. Total estimated Eligible Costs

The total estimated eligible costs of the project in euro as in form A5

16. EC Contribution Requested

The total contribution requested by the project from the European Community in euro, as in form A5.

17. Similar Proposal

If you are submitting 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 thematic priorities in Annex 1 if the programme is part of the fifth framework programme, in all other cases, write the name of the programme.

18. Proposal Summary

The proposal summary form (A2) should provides a short summary describing the principal characteristics of the infrastructure proposed, its Community interest, the access which is being offered and the number of European researchers who will benefit. 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.

19. 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.

20. Short Name
This should normally not be more that 20 characters.

21. 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.

22. Activity Type
Indicate the habitual activity of your organisation. Please use one of the following codes:
REC: Research;
HES: Higher Education;
OTH: Others.

23. Legal Status
Please use one of the following codes:
GOV: Governmental;
INO: International Organisation;
JRC: Joint Research Centre;
PUC: Public Commercial Organisation;
PRC: Private Commercial Organisation including Consultant;
EEI: European Economic Interest Group;
PNP: Private Organisation, Non Profit.

24. 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, …).

25. 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.
For example: 80 for Universities (Code for Education);73 for Research and Development

26. User/Supplier
Already completed.

27. Cost Basis
You should use one of the following cost model (see Chapter 8 in Guide for Proposers).
    UF: User Fee system.
    AC: Additional Cost;

Community financing is intended to cover 100% of the travel and subsistence costs of visits to the infrastructure by research teams working in Member States and Associated States other than the state where the owner and operator of the infrastructure is located. Community funding will also cover up to 100% of the eligible costs of providing such research teams with access to the infrastructure; such costs will be calculated either on the basis of the User Fee system (UF), which include a composite rate to be negotiated with each infrastructure operator and to be derived from its actual operating costs, or on the basis of the actual additional costs (AC) connected with making the infrastructure available to the visiting teams. Allowable access costs shall exclude all capital and infrastructural costs and the procurement of durable equipment.

28. 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 31 (see the notes to the fields in this section).

29. Annual Turnover
This field is for statistical information only. It should be filled in by all participants who use the full cost participation model or the full cost flat overhead rate participation model, and also for those research organisations, which are able to provide the figures, but normally not for universities. Information from the most recent accounting year should be used. The figures should be given for the organisation as a whole and not just for the subsidiary company or the department carrying out the work. The following codes for intervals should be used:
    T1: $0 \leq$ EUR 7 million (Annual turnovers less than or equal to EUR 7 million)
    T2: $>$ EUR 7 million or $\leq$ EUR 40 million (Annual turnovers more than EUR 7 million or less than or equal to EUR 40 million
    T3: $>$ EUR 40 million (Annual turnovers more than EUR 40 million).
If not applicable (e.g., for universities) please write **N/A.**

30. Annual Balance Sheet Total
This field is for statistical information only. It should be filled in by all participants who use the full cost model or the full cost, flat overhead rate model, and also by those research organisations, which are able to provide the figures, but normally not for universities. The figures should be given for the organisation as a whole and not just for the subsidiary company or the department carrying out the work. Information from the most recent accounting year should be used. The following codes for intervals should be used:
    B1: $0 \leq$ EUR 5 million (Annual balance sheet total less than or equal to EUR 5 million)
    B2: $>$ EUR 5 $\leq$ 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**

31. 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

32. Independence

Is 25% or more of the capital or the voting rights 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 33).

33. Owners

Please provide the legal name(s) of the organisation(s) controlling the organisation by 25% or more. 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 <u>simple majority</u> of the share capital, or the voting rights, of Company B may be sufficient to create a controlling relationship.

34. Travel and Subsistence

Travel and subsistence may be charged to the contract in accordance with the normal internal rules and procedures of the contractor for the following categories of mission:

- for researchers within user groups given access under the contract to the infrastructure, provided that:
(a) the researcher is normally working in one of the Member States of the Community or Associated States and (b) the researcher is not working for the legal entity(ies) who own(s) or operate(s) the Infrastructure.
- for members of the Users Selection Panel when travelling in connection with their duties as Panel Members;

- for representatives of the contractor when travelling to Round-Tables or similar meetings at the request of the Programme management.

All missions involving travel outside the Community and the Associated States shall require the prior written approval of the Commission, unless such travel is specified in the project programme.

35. Access Costs based on User Fee system (UF)

Provided that the system of accounting used by the contractor enables the actual operating costs of the infrastructure to be established with sufficient precision, access costs may be calculated on the basis of the User Fee system, which includes a composite rate to be negotiated with the infrastructure operator and to be derived from its actual operating costs. Please read carefully Chapter 8 of the Guide for Proposers, particularly the section on Community Financing, part (2a).

36. Access Costs based on Additional Cost (AC)

If the accounting system used by the contractor does not enable, in the view of the Commission, to establish with sufficient precision the actual operating costs of the infrastructure, access costs shall be calculated on the basis of the actual additional costs connected with making the infrastructure available to the visiting teams. In this case, allowable costs are certain (i) personnel costs, (ii) subcontracting, (iii) consumables including utilities, (iv) computing, (v) other specific project costs, and (vi) overheads. Please read carefully the Guide for Proposers, particularly the section on Community Financing, section III.

37. Total estimated Eligible Costs

The sum of all the cost categories, i.e. line 2 plus 3 if you are using the system based on User Fees (UF) or column 2 plus columns 4, 5, 6, 7, 8 and 9 if you are using the system based on Additional Costs (AC).

38. EC Contribution Requested

Community contribution will cover up to 100% of the eligible costs.