

How to complete the administrative forms (Pages A1 – B4).

1. Proposal Full Name

Use a clear, self explanatory title of not more than 20 words, providing guidance as to the contents of the proposal.

2. 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.

3. Thematic Priorities of the Research Programmes

The thematic priorities addressed by your proposal as indicated in this list. Full descriptions of these priorities are given in the workprogrammes of each thematic programme available at <http://www.cordis.lu/fp5/src/programmes.htm>. The list is organised so that the first three or four characters indicate the programme (in bold) and the last digit indicates 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.

QOL	Quality of Life and Management of Living Resources
QOL-1.	Key action Food, Nutrition and Health
QOL-2.	Key action Control of Infectious Diseases
QOL-3.	Key action The "Cell factory"
QOL-4.	Key action Environment and Health
QOL-5.	Key action Sustainable Agriculture, Fisheries and Forestry
QOL-6.	Key action The Ageing Population and Disabilities
QOL-7.	Chronic and degenerative diseases, cancer, diabetes, cardiovascular diseases and rare diseases
QOL-8.	Research into genomes and diseases of genetic origin
QOL-9.	Neurosciences
QOL-10.	Public health and health services research
QOL-11.	Research relating to the persons with disabilities
QOL-12.	Biomedical ethics and bioethics in the context of respect for fundamental human values
QOL-13.	Socio-economic aspects of life sciences and technologies
QOL-14.	Support for research infrastructures
IST	User-friendly Information Society (IST)
IST-1.	Key action Systems and services for the citizen
IST-2.	Key action New Methods of Work and Electronic Commerce
IST-3.	Key action Multimedia Content and Tools
IST-4.	Key action Essential Technologies and Infrastructures
IST-5.	Cross programme themes
IST-6.	Generic activities: Future and emerging technologies
IST-7.	Support for research infrastructures: research networking
IST-8.	IST support measures
GROW	Competitive and Sustainable Growth
GROW-1.	Key action: Innovative products, processes and organisation
GROW-2.	Key action: Sustainable mobility and intermodality
GROW-3.	Key action: Land transport and marine technologies
GROW-4.	Key action: New perspective in aeronautics
GROW-5.	RTD activities of a generic nature : Materials and their technologies for production and transformation and new and improved materials and production technologies in the steel field
GROW-6.	RTD activities of a generic nature : Measurement and testing
GROW-7.	Support for research infrastructures
EESD	Energy, Environment and Sustainable Development
Part A.	Environment and Sustainable Development
EESD-1.	Key action Sustainable Management and Quality of Water
EESD-2.	Key action Global Change, Climate and Biodiversity
EESD-3.	Key action Sustainable Marine Ecosystems
EESD-4.	Key action City of Tomorrow and Cultural Heritage
Part B.	Energy
EESD-5.	Key action Cleaner Energy Systems, including Renewable Energies
EESD-6.	Key action Economic and Efficient Energy for a Competitive Europe
EESD-7.	RTD activities of a generic nature related to environment
EESD-8.	RTD activities of a generic nature related to energy
EESD-9.	Support for research infrastructures

4. Information on Cooperative Research (CRAFT)

The form A1 “Cooperative Research Proposal (CRAFT) - Overview” is to be completed by the SME Co-ordinator submitting the proposal on behalf of the consortium.

5. SME Co-ordinator Organisation Legal Name

You must use the complete legal name of the organisation which acts as SME Co-ordinator. Use the same legal name as in form A2.1. The SME Co-ordinator acts as a contact on behalf of the consortium after the evaluation of the proposal. Payment of the EC contribution is made to the SME Co-ordinator.

6. Project Duration

Project duration in months. Minimum 12 and maximum 24 months.

7. Summary

This table should summarise the information contained in the forms A2.2 “Participant Profile/Information”. The SME Co-ordinator should appear as participant A1. Where a proposal has more participants than can be accommodated for in this table, please add a second form A1, but continue to number participants consecutively (e.g. A7, A8, etc. for SME Proposers or B4, B5, etc. for RTD Performers), write “CONTINUED” in the SUBTOTALS row on the first form A1 and repeat your proposal acronym on the second form A1.

8. Organisation Short Name

The short name chosen by the participant for this proposal. This should normally not be more than 20 characters.

9. Country Code / Name

Please use the country codes as indicated below:

<i>EU Member States</i>	<i>Country code</i>	<i>Associated States or countries likely to become so</i>	<i>Country code</i>
Austria	A	Bulgaria	BG
Belgium	B	Switzerland	CH
Denmark	DK	Cyprus	CY
Finland	FIN	Czech Republic	CZ
France	F	Estonia	EE
Germany	D	Hungary	HU
Greece	EL	Israel	IL
Ireland	IRL	Iceland	IS
Italy	I	Liechtenstein	LI
Luxembourg	L	Lithuania	LT
Netherlands	NL	Latvia	LV
Portugal	P	Malta	MT
Spain	E	Norway	NO
Sweden	S	Poland	PL
United Kingdom	UK	Romania	RO
		Slovenia	SI
Other	Specify	Slovakia	SK

For any country not included in this list, please indicate the full name of the country in the “Country Name” on form A2.1 and leave the “Country Code” blank.

10. Number of employees

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 (see Glossary) according to the following classification. The owner is not considered as an employee.

If you are an eligible SME:

- S1:** 0 employee (single person company)
- S2:** 1 – 9 employees
- S3:** 10 – 49 employees
- S4:** 50 – 249 employees

If you are an RTD Performer:

- S1:** 0 employee (single person company)
- S2:** 1 – 9 employees
- S3:** 10 – 49 employees
- S4:** 50 – 249 employees
- S5:** 250 – 499 employees
- S6:** 500 – 1999 employees
- S7:** 2000+ employees

11. Eligible Costs

For SME Proposers, enter the amount of estimated eligible costs specified in their form A2.2 “Participant Profile/Information” (in euro). For RTD Performers, enter the amount of estimated costs specified in their form A2.2 “Participant Profile/Information” (in euro).

12. EC Contribution Requested

For the SME Proposers, enter the amount of EC contribution requested specified in their form A2.2 “Participant Profile/Information” (in euro). The amount of EC contribution requested cannot exceed 50% of the total estimated eligible cost, excluding the costs related to SME Proposers from third States.

13. SME Proposer

SME Proposers must be eligible SMEs. See cover of this information brochure for the definition of eligible SME.

14. Subtotals

Subtotal A must not exceed 60% of the total estimated eligible cost.

15. RTD Performer

RTD Performers must have adequate R&D means and can be universities, research organisations, industrial companies, etc. An RTD Performer must not be affiliated to any SME Proposer of the same project.

16. Subtotals

Subtotal B (RTD Performers’ costs) must be at least 40% of the total estimated eligible cost. Subtotal D is the EC contribution requested to cover the RTD Performers’ costs.

17. Total EC Contribution Requested

Up to 50% of the total estimated eligible cost. In determining the EC contribution, only the costs of participants from Member States or Associated States are taken into account.

18. Total Cash Input Required from SME Proposers

Cash input is required if the EC contribution requested (C+D) is not sufficient to cover the RTD Performers’ estimated costs (B). In such cases, no EC contribution can be allocated to any of the SME Proposers.

19. Prepared with Help of an Exploratory Award

If you have prepared your CRAFT proposal with the help of an Exploratory Award, you should indicate the details here. Please answer the question by writing a cross in the box to the right of your selected answer.

Example:

Y		N	✗
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20. 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. Please answer the question by writing a cross in the box to the right of your selected answer. In the field programme name, you should use the code in the list of thematic priorities if the programme is part of the 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.

21. Individual Participant Profile/Information

Although the RTD Performer as subcontractor is not legally a “participant”, each SME proposer and each RTD Performer should fill in its own A2 forms “Participant Profile/Information”. Make sure that the form is signed by a person in your organisation authorised to sign research proposals. Keep a photocopy or an electronic copy of the completed form for your own files before sending it to the SME Co-ordinator.

22. Participant Code/ No.

Use the same participant number as in the summary table on form A1.
Example: SME Co-ordinator = A1; second SME = A2; first RTD Performer = B1, etc.

23. Eligible SME

See Glossary for the definition of eligible SME. Please indicate with a cross in the box to the right of your selected answer.

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

In case the organisation has already received a registration number under the Fifth Framework Programme, please enter it here, and only give the organisation details if they have changed since the registration number is received. Please note that this registration number is not the same as the proposal number. **This registration number will only be issued once the organisation has been validated during the negotiation of a contract with the Commission.**

Please note that this registration number is not the same as the proposal number.

25. Organisation Legal Name

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

26. Legal Registration No

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

27. 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 Fifth Framework Programme according to the 2-digit or 3-digit NACE Rev. classification, listed on the sheet enclosed within this information brochure. You should identify the principal activity of your organisation, or, in the case of a larger organisation, of the executive division of your organisation making the proposal.

28. 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

29. Legal Status

Please use one of the following codes:

If you are an eligible SME:

PRC= Private Commercial Organisation (i.e. any commercial organisation owned by individuals either directly or by shares)

PNP= Private Organisation, non profit (i.e. any privately owned non profit organisation such as a cooperative, a private hospital, an orchestra, ...)

If you are an RTD Performer:

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 Consultants (i.e. any commercial organisation 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 such as a cooperative, a private hospital, an orchestra, ...)

30. 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,...).

31. P. O. Box

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

32. Post Code

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

33. Cedex

If applicable, indicate Cedex for surface mail delivery.

34. Annual turnover

Indicate the turnover (in euro) of the most recent accounting year. The figures should be given for the organisation as a whole and not just for the department carrying out the work. The following codes for intervals should be used:

T1: $0 \leq$ EUR 7 million (Annual turnover less than or equal to EUR 7 million)

T2: $>$ EUR 7 million or \leq EUR 40 million (Annual turnover more than EUR 7 million but less than or equal to EUR 40 million)

T3: $>$ EUR 40 million (Annual turnover more than EUR 40 million).

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

35. Annual Balance Sheet Total

Indicate annual balance sheet total of most recent accounting year (in euro). The figures should be given for the organisation as a whole and not just for the department carrying out the work. 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 million \leq EUR 27 million (Annual balance sheet total more than EUR 5 million but 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. universities) please write **N/A**

36. Independence

An organisation is independent if less than 25% of the capital or 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 details of the company(ies) which own(s) 25% or more of the organisation (see note 37).

Please indicate with a cross in the box to the right of your selected answer.

37. Owners

Please provide the legal name(s), annual turnover, annual balance sheet total and the number of employees of the organisation(s) controlling the organisation by 25% or more (on issue of control, see note 38). If this information cannot be accommodated in this form, please add a second form A2. In this case, you should indicate the name of your organisation and your participant role again. The type of affiliation should be explained further in the Proposal Description (Part B, Section 5).

38. 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.

Please indicate with a cross in the box to the right of your selected answer.

39. Affiliated Organisations

Please provide the participant code/no, 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.

40. Department carrying out the work

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

41. Authorised person

This is a person with authority to commit the organisation to participate in a research project.

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

This information is required for statistical purposes only. Please indicate with a cross in the box to the right of your selected answer.

43. 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).

44. Cost Basis

Not applicable for RTD Performers.

Each SME Proposer should indicate one of the following cost participation models:

FC: Full costs, actual overhead rate (i.e., you will contribute at least 50% of the full costs of the project);

FF: Full costs, flat overhead rate (i.e., you will contribute at least 50% of the full costs of the project).

Please ensure that you indicate the correct cost participation model and that your department uses the same cost model if you submit more than one proposal. **For more information on cost participation models, see note 55.**

The cost categories and the definition of the cost categories only strictly apply to the SME Proposers.

45. Cost Categories

The administrative/financial **co-ordination costs** may be charged exclusively by the SME Co-ordinator under one or more of the following costs categories: personnel costs, travel and subsistence, subcontracting, durable equipment, consumables, protection of knowledge and other specific costs. If the SME Co-ordinator can justify that he does not possess the required skills or resources, the co-ordination costs can be subcontracted to a third party but not to an RTD performer in this project. More information on cost categories can be found at <http://www.cordis.lu/fp5/src/guideline.htm>

46. Number of person/months

Total number of person/months for the participants. 1 person/month equals approx. 135 workable hours.

47. Personnel costs

Labour costs for the participant (including consultants 'intra-murals'), but excluding overheads and labour costs of subcontractor(s). For RTD projects, only the costs of the actual hours worked by the persons directly carrying the scientific and technical work under the project may be charged to the contract; subject to the contractual terms, costs of freelancers directly engaged by the participant for the projects may be considered as eligible costs. Administrative and secretarial staff must not be charged directly (except for the administrative co-ordination costs of the co-ordinator, see note 45), but should be included in the overhead costs. Examples of personnel categories that can be charged to the projects are: scientist, engineer, technician, etc.

48. Travel and Subsistence

The amount for travel and subsistence costs of personnel categories working for the project, calculated on the basis of the usual practices of the participant. The prior agreement of the Commission will be required at the contract stage for any destination outside the territory of a Member State, an Associated state or a third country where a principal contractor or assistant contractor is established.

49. Subcontracting

Costs for all subcontracting specific to the project (goods, supplies and services), but excluding the RTD Performers. The role of subcontractors other than the RTD Performers has to be described under item 5.2 of the Proposal Description in Part B.

50. Durable Equipment

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

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

where:

- A. = the number of months that the equipment is to be used in the project, after the date of its invoicing;
- B. = the depreciation period (for computer equipment that cost less than EUR 25,000, the depreciation period is 36 months; for all other equipment, the depreciation period is 60 months);
- C. = the actual cost of the equipment;
- D. = the percentage usage of the equipment in the project expressed as a fraction of 1 (e.g. 70% corresponds to 0.7).

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

Note that costs related to rented equipment should be charged under “Subcontracting” (note 49).

51. Consumables

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

52. 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).

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

53. Other specific project costs

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

54. Protection of knowledge and facilitation of knowledge exploitation

The costs for intellectual property right (IPR) protection (e.g. patents) may be considered eligible costs. Such costs must have been foreseen in the project proposal and in particular, in the plan for dissemination and exploitation. They must also be incurred during the project period, and they must satisfy the basic cost eligibility terms and conditions of the contract. Cost under this category will be subject to prior written agreement from the Commission at the contract stage.

55. Overhead costs

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

Please note that certain items cannot be charged either in direct costs or indirectly in overheads, for instance costs such as: any interest or return on capital employed; provisions for possible future losses or charges; interest; provisions for doubtful debts; contributions in kind; unnecessary or extravagant expenses; marketing, sales and distribution costs for products and services; indirect taxes and duties - including VAT; resources made available to the organisation free of charge; any cost incurred in respect of another project (subject to note 50) or, reimbursed by third parties.

SME Co-ordinators can choose to include the costs of the administrative / financial co-ordination of the project in the overhead costs.

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

Full Cost, actual overhead rate (FC) model:

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

Full cost, Flat overhead rate (FF) model:

This model applies to organisations, which may participate on a FC basis but choose to charge the overheads on a flat rate basis (80% of the eligible personnel costs). It also applies to organisations which have an accounting system that allows the identification of the direct costs relating to research, including their permanent personnel, but which cannot identify overheads with a sufficient degree of precision.

56. EC Contribution Requested

Not applicable for RTD Performers.

EC contribution to an SME Proposer must not exceed 50% of its own costs. If any SME Proposer brings in cash to cover the costs of the RTD Performers, none of the SME Proposers can receive EC contribution (see also note 57). EC contribution has priority use for paying the RTD Performers.

57. Cash Input

Not applicable for RTD Performers.

Cash input is required if the EC contribution requested is not sufficient to cover the RTD Performers' costs. In such cases, no EC contribution can be allocated to any of the SME Proposers.

58. External Sources of Funding

Please indicate clearly (using an extra sheet if necessary) all external sources of funding included in your cash input (e.g. private "sponsors", complementary public funding, etc.).

Please keep in mind that the percentage of EC contribution requested may need to be adjusted in individual cases to comply with the Community Framework for State Aid for R&D (O.J. C 45, 17.2.1996) and with article 8 of the WTO Agreement on subsidies and countervailing measures (O.J. L 336, 23.12.1994). This implies that other public funding for the proposed project, already obtained or which will be requested from other public funding sources, added to the financing requested from the Community Research Programme, does not exceed the ceilings provided in the aforementioned texts.

59. Authorised signatory

Please indicate the name and contact details of the person with authority to commit the organisation to participate to a research project.

60. Proposal Summary

The proposal summary form (B1) should be filled in by the SME co-ordinator only. 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 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 B1 an English version of the proposal summary.

61. Cost Summary

This table should summarise the information contained in the forms A2.2 "Participant Profile/Information". It should contain the estimated eligible costs in euro. The SME Co-ordinator should appear as participant A1. Where a proposal has more participants than can be accommodated in this table, please add a second form B3, but continue to number participants consecutively (e.g. A9, A10, etc.) and write "CONTINUED" in the SUBTOTALS row on the first form B3.

62. Overview of costs and funding

This table should summarise the information contained in the forms A2.2 "Participant Profile/Information". It should contain the estimated eligible costs in euro. The SME Co-ordinator should appear as participant A1. Where a proposal has more participants than can be accommodated in this table, please add a second form B4, but continue to number participants consecutively (e.g. A7, A8, B5, etc.) and write "CONTINUED" in the SUBTOTALS row on the first form B4.