

**FIFTH FRAMEWORK PROGRAMME OF THE EUROPEAN COMMUNITY
FOR RESEARCH, TECHNOLOGICAL DEVELOPMENT
AND DEMONSTRATION ACTIVITIES**

PROPOSAL FOR FINANCIAL SUPPORT FROM THE EC FOR

Exploratory Awards (Step 1)

Acknowledgement of receipt form

Part A: Application forms

Part B: Proposal description



It is obligatory to fill in all application forms by typewriter or by computer.

Exploratory Award – Form A0



EN A 1 FP5EXA

--	--

FOR COMMISSION USE ONLY

--	--

--

Name and address of the SME Co-ordinator *

--

Fax number of the SME Co-ordinator *

--

EXPLORATORY AWARD (STEP 1) – ACKNOWLEDGEMENT OF RECEIPT

We are pleased to acknowledge receipt of your Exploratory Award proposal entitled:

Exploratory Award (Step 1) Identification *

Proposal Full Name ¹			
Proposal Acronym ²			
Thematic Priority(ies) ³			

This Exploratory Award has been given a unique reference number (see label in top right hand corner).

You are kindly requested to always mention this reference number in all future correspondence relating to this proposal. Please ensure that your partner is also aware of this reference number.

Your proposal will be evaluated by the services of the Commission with the assistance of experts. The result of this evaluation will be communicated to you in due course.

We thank you for your proposal and your interest in EC RTD programmes.

* To be completed by the SME Co-ordinator

FOR COMMISSION USE ONLY

Post stamp

--	--	--	--	--	--	--	--

Reception date

--	--	--	--	--	--	--	--

Proposal received by: _____



EN B 1 FP5EXA

FOR COMMISSION USE ONLY

Proposal Acronym ²**A1. Exploratory Award (Step 1) – Administrative Overview ^{4 *}**Thematic Priority(ies) ³Proposal Full Name ¹**SME Co-ordinator of the Exploratory Award**Organisation Legal
Name ⁵Proposal abstract (maximum 1000 characters) ⁶Project Duration ⁷
(in months)Total Eligible Cost
(in euro) ⁸EC Contribution
requested (in euro) ⁹**Intended Step 2 project**Type of Step 2 project envisaged ¹⁰

(Choose one)

Cooperative Research (CRAFT) RTD Project (Collaborative Research) Demonstration Project Combined R&D and Demonstration Project Innovation Project **Profile of participants you are looking for (optional)**Business areas (NACE) ¹¹
(in priority order)

Comments

Have you or your partner, previously or currently, submitted this proposal or one similar in content to any Community Programme? If yes, please give details of the proposal ¹²

Y

N

Programme Name

Proposal No

* All participants should accept the obligations which are explained in the information brochure before signing this proposal.



EN C 1 FP5EXA

FOR COMMISSION USE ONLY

Proposal Acronym ²	
-------------------------------	--

A2. Participant Profile/Information (1 sheet per participant) ^{13*}

Participant role

SME Co-ordinator <input type="checkbox"/>	Second SME Proposer <input type="checkbox"/>	Non-SME End User* <input type="checkbox"/>
---	--	--

Is the participant an eligible SME? ¹⁴	Y		N	
---	---	--	---	--

Participant's legal information and address

Registration No with the European Commission's Research Programmes ¹⁵	
--	--

Organisation Legal Name ¹⁶	
---------------------------------------	--

Short Name ¹⁷	Legal Registration No ¹⁸
--------------------------	-------------------------------------

Activity Type ¹⁹	Legal Status ²⁰	If 'PRC', Specify ²¹
-----------------------------	----------------------------	---------------------------------

Business area (NACE) ¹¹	PO Box ²²
------------------------------------	----------------------

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

Post Code ²³	Cedex ²⁴
-------------------------	---------------------

Town/City	
-----------	--

Country Code ²⁵	Country Name ²⁵
----------------------------	----------------------------

Internet homepage	
-------------------	--

Participant details

Annual turnover ²⁶	Annual Balance Sheet Total ²⁷	Number of employees ²⁸
-------------------------------	--	-----------------------------------

Is Your Organisation independent? ²⁹	Y		N	
---	---	--	---	--

If No, please indicate Legal Name(s), Annual Turnover, Annual Balance Sheet and number of employees of owner(s) who own 25% or more ³⁰	
---	--

Legal Name	
------------	--

Annual turnover ²⁶	Annual Balance Sheet Total ²⁷	Number of employees ²⁸
-------------------------------	--	-----------------------------------

Legal Name	
------------	--

Annual turnover ²⁶	Annual Balance Sheet Total ²⁷	Number of employees ²⁸
-------------------------------	--	-----------------------------------

Is your organisation affiliated to the other participant in this Exploratory Award? ³¹	Y		N	
---	---	--	---	--

If yes, please describe the character of affiliation ³² (D / I)	
--	--

Has your organisation already received an Exploratory Award under the Fifth EC RTD Framework Programme?	Y		N	
---	---	--	---	--

Authorised person ³³

Title (Dr, Prof., ...)	Gender ³⁴	F	M
------------------------	----------------------	---	---

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

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

Telephone No ³⁵	Fax No ³⁵
----------------------------	----------------------

E-mail	
--------	--

Declaration by Authorised Person

I certify that the above information is accurate and that my organisation has agreed to participate in this Exploratory Award. **

Date (DD/MM/YYYY)	
-------------------	--

Signature	
-----------	--

* Only in the case of biomedical research.

** All participants should accept the obligations which are explained in the information brochure before signing this form.

How to complete the Proposal Description (Parts B1 and B2).

THIS PAGE CONTAINS INSTRUCTIONS ONLY. DO NOT SUBMIT THIS PAGE WITH YOUR PROPOSAL
USE THE LAYOUT AND STRUCTURE AS SUGGESTED BELOW TO WRITE YOUR PROPOSAL.

B1.	Description of the intended project under Step 2 (max 5 A4 pages)
PART B1	
PROPOSAL FULL NAME¹ AND ACRONYM²	
1. Scientific/Technological objectives, novelty and contents	
<ul style="list-style-type: none">• Describe the main project objectives :<ul style="list-style-type: none">- <i>industrial/economic/social problem to overcome, opportunities offered and their relevance to the SME proposers</i>- <i>description and quantification of the goals of the research and of foreseen deliverables</i>- <i>conformity with the general scope and objectives of the thematic programme covering the main thematic priority</i>• Describe the novelty of the proposal :<ul style="list-style-type: none">- <i>overview of the state of the art and degree of innovation(See the RTD projects database or the IPR-Helpdesk on the CORDIS server – www.cordis.lu – for information on already financed projects or existing patents</i>- <i>technical limitations of existing products/processes/services or techniques.</i>• Give a brief outline of the research approach for the technical work intended under Step 2. Include the main RTD tasks, indicative estimates of timing, resources and funding needed, allocation of tasks among the participants, if already known.	
2. Community added value and contribution to EU policies	
<ul style="list-style-type: none">• The European dimension of the problem. In what aspects does the project have an impact bigger than the sum of national ones? Does it contribute to solving problems at the European level?• The European added value for the consortium of bringing together complementary skills and interests.• The project's contribution to the implementation or the evolution of one or more EU policies, or to standardisation and regulation (contribution to European social and economic cohesion and other Community policies, dissemination of best practices, development of new standards, etc.). A description of all EU policies can be found at http://europa.eu.int/pol/index-en.htm.	
3. Contribution to Community social objectives	
<ul style="list-style-type: none">• Contribution to improving the quality of life and health and safety (including working conditions), taking into account ethical issues where relevant• Contribution to improving employment prospects and the level of skills in Europe or to favour activities of women entrepreneurs• Contribution to preserving and/or enhancing the environment and natural resources	
4. Economic impact and exploitation potential	
<ul style="list-style-type: none">• Economic impact, usefulness and range of applications and foreseen exploitation plans<ul style="list-style-type: none">- <i>expected measurable economic and industrial benefits for the SME proposers, other organisations and other sectors</i>- <i>intentions and capabilities of the SME proposers to exploit the results</i>• The strategic impact of the proposed project for the SME proposers and other users of the RTD results• The contribution to European technological progress and in particular the dissemination strategies for the expected results, choice of target groups, etc.	
5. Management, partnership and resources	
<ul style="list-style-type: none">• Justify the type of research project envisaged (cooperative research, RTD (collaborative research), demonstration, combined R&D and demonstration, or innovation project) and its appropriateness with regard to project objectives and profile of the SME proposers• The structure of the anticipated partnership (role of the SME proposers, description of expected partners and profile of additional partners sought) and the foreseen management approach	

B2.	Description & Justification of the Exploratory Phase (max 3 A4 pages)
PART B2	
PROPOSAL FULL NAME¹ AND ACRONYM²	
<i>Present a profile of the two participants and of any additional organisation involved in the Exploratory Award : organisation name, type (i.e. SME, large enterprise, university, research organisation, industrial association, etc.), full range of business activities (identifying the core business, and specifying products, services, etc.) and contractual role (e.g. SME Co-ordinator, Second SME Proposer, End-user etc..).</i>	
<i>The Exploratory Phase must include detailed project planning and writing of the Step 2 proposal. It may comprise up to four additional elements related to the preparation of a Step 2 proposal:</i>	
<ul style="list-style-type: none">• Feasibility check (Use desk studies, literature survey, risk analysis, <u>not technical research</u> to determine if the project is realisable.)• Market analysis to assess possible exploitation• Novelty verification (Including a mandatory world-wide patent search*)• Search for additional participants.	
<i>Please describe and justify each element selected in terms of objectives, duration, cost estimate, and credentials of any external organisation to be involved.</i>	
MAKE A FORMAL REQUEST FOR FINANCIAL SUPPORT AT THE END OF THIS PART B-2 (see note 9).	
(e.g. <Name of SME Co-ordinator> hereby requests, also on behalf of the second SME proposer, the contribution of <X> euro from the EC in order to undertake the work described.)	

* It is strongly recommended that participants perform a novelty and state-of-the-art search within their Exploratory Award, preferably by the European or National Patent Offices or any other professional search organisation. More information on why to undertake patent searches, how it can be done and what can be obtained through different type and level of searches can be found on the "Quick Scan" page at the SME website (<http://www.cordis.lu/sme/src/helptool.htm>). Such a search can also be helpful to find RTD partners and determine the competitive position of the proposal

B3. Analytical table of Estimated Eligible Costs (use the form on the next page)

Please fill in the table on the next page precisising the project budget, indicating for each of the foreseen activities how the total estimated eligible costs (i.e. the costs of all partners) will be ventilated between cost-categories.

This will facilitate the preparation of a contract in case that your proposal is retained for funding.

Definitions of the eligible cost categories:

General principles concerning the Project Estimated Eligible Costs

The Exploratory Award is a fixed contribution contract. Therefore, particular emphasis is placed at the stage of negotiation, during which the estimated costs are assessed by the Commission services. The assessment is on the basis of the project budget indicated on the Analytical Table of estimated eligible costs.

Estimated Eligible Cost categories

1. Personnel

Only the estimated costs of the scientific and administrative personnel directly employed by the participants and assigned wholly or partially with the work under the project (gross remuneration and related charges), may be indicated. The estimated personnel costs shall be based on the rates used in accordance with the normal practices of the participants and the estimated hours required for the work under the project, provided that such costs are regarded as being reasonable by the Commission.

2. Travel and subsistence

The estimated travel and related subsistence costs for personnel working on the project may be indicated. Such costs shall be based on the usual rules of the participants.

3. Subcontracting

Please indicate the estimated costs of subcontracts related to the project, provided that such costs are based on the principles of subcontracts that are awarded and concluded in accordance with the usual procedures of the participants and are in accordance with market prices.

4. Computing

The estimated computing costs, including estimates resulting from the use of computer services and infrastructure at the disposal of the participants, may be indicated. They must be based on the usual rules applicable to the participants.

5. Overheads

*Participants may include in the project budget a **maximum lump sum of 20%** of the estimated eligible personnel costs referred to in point 1. above, in respect of indirect costs.*



Please note that the total estimated eligible costs indicated in the Analytical Table on the next page must be identical to the Total Eligible Cost estimate provided in the Administrative Overview Form A1.



B3. Analytical table of Estimated Eligible Costs *

ACTIVITIES	ELIGIBLE COSTS CATEGORIES (Cfr. Previous page for definition)					TOTAL
	PERSONNEL	TRAVEL & SUBSISTENCE	SUBCONTRACTING	COMPUTING	OVERHEADS	
DETAILED PROJECT PLANNING & WRITING OF THE STEP 2 PROPOSAL						
FEASIBILITY CHECK						
MARKET ANALYSIS						
NOVELTY VERIFICATION						
PARTNER SEARCH						
Total :						

GENERAL ELIGIBILITY CONDITIONS FOR COSTS	
<p>Eligible costs shall fulfil the following conditions: be necessary for the <i>project</i>; be strictly intended for the purposes of the project; are foreseen to be incurred during the <i>duration of the project</i>; the corresponding actual costs will be recorded in the accounts or in the tax documents; exclude any profit margin.</p>	<p>Non-eligible costs are in particular the following: any interest, or return on capital employed; provisions for possible future losses, charges, interest owed or doubtful debts; value of contributions in kind; unnecessary or ill-considered costs; marketing, sales and distribution costs for products and services; indirect taxes and duties, including VAT; resources to be made available to the participants free of charge; entertainment or hospitality costs, except such reasonable costs accepted as wholly and exclusively necessary for carrying out the work under the contract; any cost incurred or reimbursed, in particular in respect of another Community, international or national <i>project</i>.</p>

SPECIAL NEGOTIATION REQUIREMENTS (for Commission use only)	
SIGNATURE OF THE SME COORDINATOR	SIGNATURE OF THE SECOND PARTICIPANT

* Please pay particular attention to the General Eligibility Conditions given in the relevant box; the costs indicated in the Analytical Table must fulfil these conditions.