European Commission

THE FIFTH FRAMEWORK PROGRAMME

The Fifth Framework Programme focuses on Community activities in the field of research, technological development and demonstration (RTD) for the period 1998 to 2002

CONTRACT PREPARATION FORMS (CPF)

for

Financial support from the EC

for:

Research Training Networks

Including guidelines on how to complete the contract preparation forms (CPF)

This document can be downloaded from: http://www.cordis.lu/improving/networks/home.htm
Under “Contract Negotiation documents”

Version, 15 October 2001
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HOW TO COMPLETE THE CONTRACT PREPARATION FORMS

Introduction

This document provides guidance on how to complete the attached contract preparation forms for a **research training network project.**

The contract preparation forms (CPF) consist of 6 forms numbered A0, A1, A2, A3, A4, A5 (A5 has several parts), and one annex. The forms are ordered in **two** sections, one for the principal contractor and one for all participants (principal contractor and members).

The forms are designed to elicit essential information for use during negotiations with the European Commission for a research training network project. Information provided at the proposal stage can be used as the basis for these forms but must be adjusted in the light of any comments, remarks or recommendations made as a result of the proposal evaluation. In addition, further information is necessary to finalise contract negotiations. Contract preparation forms for shared cost actions, co-operative research, thematic networks and concerted actions, accompanying measures and for other actions etc. are variations of this form and are available at the CORDIS website for 5th Framework Programme contract preparation (http://www.cordis.lu/improving/networks/home.htm) under "Contract Negotiation documents".

Please note that **the completion of these forms does not in any way commit the European Commission to conclude a contract with the proposer**.

Justification for all costs is required.
The European Commission may require supplementary information and may in some cases, where appropriate to ensure the economic interests of the Community, require that contractors establish a bank guaranty or in other ways guarantee their part of the financing of the project.

How to complete the forms

The forms should be completed as follows:

- The **Principal Contractor** fills in forms A0, A1, A2, A3, A4 **and** A5.
- The **Members** must fill in one form A5 each.

Explanatory notes are appended to the forms. **For "research bodies" that is "organisations" or "partnerships" which are not officially legal entities (e.g. Unité Mixte de Recherche and other similar types of groupings)** see note 34.

Please complete the forms using the application programme for completion of the CPF forms, which can be downloaded from the CORDIS website for 5th Framework Programme contract preparation, or tear out the forms from this document and fill them in either by typewriter or by hand in block capitals.

Please remember to indicate the project short name (acronym if appropriate) and proposal number at the top of each form and on the top of each page of any annexes.

If you fill in the forms by typewriter or by hand, please follow the following instructions:

A photocopy of the original may be used if the quality is good. Please keep the forms 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, duration, percentages, person-months), please round to the nearest whole number. Do not insert any character or space to separate the digits in a number.

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

Do not forget to sign the final version of the forms. The final version of the forms sent to the European Commission when the negotiations have been successfully completed must have original signatures.

Additional information

The notes accompanying the forms are intended to help you complete them correctly. However, you should also be familiar with the following documents:

- Model contract for research training networks.
- The decision concerning the rules for participation and dissemination of research results of the Fifth Framework Programme.
- The regulation on the implementation of 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 can be downloaded from the WWW at the following address: http://www.cordis.lu/improving/networks/home.htm

If you require assistance in completing the form, please contact first the **principal contractor** and then, only if necessary, the responsible Officer in the European Commission.

Legal status of the CPF forms

The form A2 (Cost Summary) will, when the negotiations have finished be included in the contract as the table of the estimated budget following the signatures.

The forms A0 and A1 will be used either directly or in an edited form to provide information on the project to the public. They should therefore be written in such a way that a non professional public at a glance can get adequate information on the project's goals and expected achievements.

The rest of the information in the CPF forms will not be a formal part of the contract. The information provided on these forms are for the internal use of the Commission services and will be kept confidential within the Commission. The information will be used to complete the contract and as justification for the cost and financial contribution defined in the contract. Over the lifetime of the contract this information will be used as control data for the cost claims submitted by the participants. It is therefore mandatory that these data be provided correctly.

Where to send the CPF forms

Members should send their signed A5 forms to the principal contractor.

The principal contractor should check that all necessary information is provided on the forms, that they are filled in formally correct and that there is consistency between the information in the various forms and the project work description in Annex 1 to the contract, especially concerning role of partners and budget.

The principal contractor should then send the complete package to the European Commission's Officer **(Mrs. Deborah Hall, see address on page 11)** within the time frame given by the Commission in the letter inviting the consortium to enter into negotiations. Failure to respect this deadline shall after a reminding letter be considered by the Commission as a wish not to enter into the contract negotiations and therefore to withdraw your proposal.

CONTRACT SIGNATURE PROCESS

Subject to a positive outcome of the negotiations, two copies of the contract will be sent to the principal contractor for signature. The contracts must be signed by the person having the capacity and authority, in accordance with the internal rules of the organisation, legally to commit the participating organisation to a research contract **and whose name has been identified in the form A5.1 and in the contract.** The principal contractor returns the signed two copies of the contract to the Commission services.

PLEASE REMEMBER TO MENTION THE PROPOSAL NUMBER AND, WHEN ATTRIBUTED, THE CONTRACT NUMBER ON ALL CORRESPONDENCE WITH THE EUROPEAN COMMISSION.

- A –

ADMINISTRATIVE FORMS

Principal Contractor's Section

Contract Preparation Forms
(CPF forms A0 – A4)

EUROPEAN COMMISSION RESEARCH DIRECTORATES GENERAL RTN CPF FORMS	EN A 1 FP5RTN FOR COMMISSION USE ONLY	

Contract Preparation forms for financial support from the EC for

RESEARCH TRAINING NETWORKS

If possible, these forms should be prepared using the application for completion of the CPF forms, which can be downloaded from the CORDIS website for FP5 contract preparation. However contractors and members may also use the forms in this guide. The forms should be printed out and returned on paper together with and electronic version - preferably using the application for completion.

A0. Information on the Project [1]

Project Full Name					
Project Acronym [2]			**Proposal No** [3]		
Call Identifier [4]	IHP-RTN-00-2		**Type of Action** [5]	RTN	
Research Programme(s) [6]	1.4.1				
Thematic priorities [6]	1.4.1.- 1.1				
Principal Contractor [7]					
Title (Dr., Prof., ...)			**Gender** [8]	**F**	**M**
Family Name			**First Name**		
Organisation Legal Name [9]					
Institute/Department /Laboratory Name [10]					
PO Box [11]					
Street Name and N°					
Post Code [12]			**Cedex** [13]		
Town/City					
Country Code [14]		**Country Name** [14]			
Telephone No[15]			**Fax No** [15]		
E-mail					
Project Duration (in Months)[16]		**Total Estimated Eligible Costs (in Euro)**[17]		**EC Contribution requested (in Euro)**[18]	

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CONTRACT NUMBER **Reception date / /**

EUROPEAN COMMISSION
RESEARCH DIRECTORATES GENERAL
RTN CPF FORMS

EN B 1 FP5RTN

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Project Acronym [2]		Proposal No [3]	

A1. Project Summary [19]

Research Objectives and Content (maximum 2000 characters)

Training Content (maximum 1000 characters)

RTN CPF Form– Form A2

EUROPEAN COMMISSION
RESEARCH DIRECTORATES GENERAL
RTN FORMS

EN C 1 FP5RTN

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Project Acronym [2]		Proposal No [3]	

A2. Cost Summary in Euro [20]

Participant Role [21]	Participant N° [22]	Participant Short Name [23]	Young researchers' person/months [24,25]	Personnel Costs for young researchers [25]	Costs Linked to Networking [25]	Overhead Costs [25]	Total Costs [26]	Requested Contribution from the Commission [27]
	1							
		TOTALS :						

YOU MAY DUPLICATE THIS PAGE IF NECESSARY

EUROPEAN COMMISSION
RESEARCH DIRECTORATES GENERAL
RTN CPF FORMS

EN D 1 FP5RTN

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Project Acronym [2]		Proposal No [3]	

A3. Yearly Cost Summary in Euro [28] YEAR

Participant Role [21]	Participant No [22]	Participant Short Name[23]	Young researchers' person/months[24,25]	Personnel Costs for young researchers [25]	Costs linked to Networking [25]	Overhead Costs [25]	Total Costs [26]	Requested Contribution from the Commission [27]
	1							
		TOTALS :						

YOU MAY DUPLICATE THIS PAGE IF NECESSARY

	EUROPEAN COMMISSION RESEARCH DIRECTORATES GENERAL RTN CPF FORMS

EN E 1 FP5RTN FOR COMMISSION USE ONLY		

Project Acronym [2]		Proposal No [3]	

A4. Principal Contractor's Banking Information [29]

(This information is only used for EU payment procedure)

Principal Contractor (=holder of the bank account)

Participant Role [21]	PC	Participant No [22]	1

Principal Contractor's name (=holder of the bank account)

Address

Banking Information

Name of the Bank

Address

SWIFT CODE [30]	
Sort Code	
Account Number[31]	

Date		***Please return this form to the European Commission***
Principal Contractor's signature[32]		***Deborah Hall European Commission DG RDT – SDME 3/14 Rue de la Loi, 200 B – 1049 BRUXELLES***
Stamp[33]		

How to complete the principal contractor's administrative forms
(Part A - Forms A0 to A4)

Project Information Form (A0)

1. **'Project information and administrative overview forms' (A0 and A1)**

   These forms are to be completed by the principal contractor on behalf of the participants.

2. **Project Acronym**

   Provide a short title or acronym of no more than 20 characters, to be used to identify the project. Do not change the acronym used in the proposal submission unless directly asked to do so.

3. **Proposal No**

   The proposal number you were given by the Commission Services. The proposal number must be identified in each page of the contract preparation forms.

4. **Call Identifier**

   The call identifier is the reference number in the call to which your proposal was addressed, as indicated in the publication of the call in the Official Journal.

5. **Type of Action**

   The type of action that your project concerns. Already filled in.

   RTN : Research Training Network

6. **Research Programme and Thematic Priorities**

   Already filled in.

7. **Principal Contractor**

   The name, contact details and information on the scientific network co-ordinator /organisation responsible for the co-ordination of the project and who acts as a contact during the negotiations of the project.

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 organisation is registered in the official trade registers.

10. **Institute / Department / Laboratory Name**

    Name of the institute, department or laboratory in the organisation, which will be carrying out the work and for which the scientific network co-ordinator is working. The address details given in the following fields must be for the department/laboratory/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 as indicated in the list given in the proposal submission forms under the heading “Country Codes”. For any country not included in this list, 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. Project Duration

Indicate the project duration in months.

17. Total Estimated Eligible Costs

The total estimated eligible costs of the project in Euro as in form A2, adjusted as a result of the evaluation and negotiation. Eligible costs are defined in Part C of Annex II, General Conditions to the model contract for research training networks.

18. EC Contribution requested

The total contribution requested for the project from the European Community in Euro, as in form A2.

Project Summary Form (A1)

19. Project Summary

The project summary form should be filled in by the principal contractor only. You should not use more than 3,000 characters. The project summary should, at a glance, provide the reader with a clear understanding of the project 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 project in publications to the general public 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. The Project Summary must be written in English.

Unless there are changes as a result of the evaluation you may use the same abstract submitted with the proposal.

Cost Summary Form (A2)

20. Cost Summary in Euro

The A2 form corresponds to the information given in the tables of sections 9 and 13 of Part C (Proposal Description) of the proposal submission forms. The A2 form should be filled in by the principal contractor based on the budget distribution agreed with the participants and described in the individual participant forms (A5.1-A5.3). It should only contain the estimated eligible costs. **All figures should be in Euro and <u>not</u> kilo Euro**. For detailed information on eligible cost categories, please refer to part C of the Annex II, General Conditions of the model contract for research training networks.

Where a project includes more than 7 participants, please add a second page A2 for the remaining participants. Remember to continue numbering 8, 9, etc .

21. Participant Role

The role of the participants within the research training network project. This role should also be used on form A5.1. The following codes are to be used :

CO: Principal Contractor (scientific, administrative and financial network co-ordination), who will sign the research training network contract with the Commission.

ME: Member, who will sign a membership agreement with the Principal Contractor.

CF: Principal Contractor (administrative and financial network co-ordination) who will sign the research training network contract with the Commission.

CS: Member, who will sign a membership agreement with the Principal Contractor, but who will assure the scientific network co-ordination on behalf of the Principal Contractor.

(*Please note: The special configuration that one of the members takes over the scientific co-ordination of the research network will only be approved by the Commission in the most exceptional cases).*

22. Participant No

The number allocated to the participant for this project. The Principal Contractor of a project has always the number one. You should, if possible, for the Members use the ordering which was given in the proposal.

23. Participant short name

The short name as chosen by the participant in form A5.1.

24. Young researchers

Indicate the total number of training months for young researchers that will be offered by each participant concerned.

25. Young researchers and the participants' costs

The figures for these columns should be transferred from the individual participant's forms A5.2 and A5.3.

The explanations of cost categories are in the notes pertaining to these forms. Eligible costs are also defined in Part C of Annex II, General Conditions to the model contract for research training networks

26. Total costs

The sum of the total estimated eligible costs for each participant.

27. Requested contribution from the Commission

This will normally be equal to 100% of the eligible project costs. Normally, EC contributions can only be requested by participants from Member States and Associated States. For participants from countries, which do not qualify for EC Contribution, the percentage for EC contribution is to be set to zero (0). For cases where participants from other countries may receive EC Contribution, please refer to the relevant Guide for Proposers for details on which countries can receive EC contribution.

Yearly Cost Summary Form (A3)

28. Yearly Cost Summary in Euro.

The principal contractor fills in the form A3. One form is needed for each year's duration of the project. The year should clearly indicate the project years. Year 1 being the first project year. Year 2 being the second project year etc.. The figures for the form are transferred from the relevant information from the participant's data in forms A5.2 and A5.3. The yearly breakdowns of costs must be in accordance with the overall cost summary given in form (A2).

Principal Contractor's Banking Information Form (A4)

29. Principal contractor's banking information

The form A4 is filled by the principal contractor. It gives information on the valid bank account to be used for payments by the Commission towards the project.

30. Swift code

Swift code for the bank in the format defined by the bank.

31. Format of bank account numbers per country

GERMANY

	BLZ BANK CODE											ACCOUNT N° (including check digit)									
	x	X	x		x	x	x		x	x		x	x	x	x	x	x	x	x	x	x
POSITION	1	2	3		4	5	6		7	8		1	2	3	4	5	6	7	8	9	10

AUSTRIA

	BLZ						ACCOUNT N°										
	x	X	x	x	x		x	x	x	x	x	x	x	x	x	x	x
POSITION	1	2	3	4	5		1	2	3	4	5	6	7	8	9	10	11

BELGIUM

	BANK				ACCOUNT N°								C.D.	
	x	X	x	-	x	x	x	x	x	x	x	-	x	x
POSITION	1	2	3	-	1	2	3	4	5	6	7	-	1	2

FINLAND

	BLZ					ACCOUNT N°						
	x	X	x	x		x	x	x	x	x	x	x
POSITION	1	2	3	4		1	2	3	4	5	6	7

or

	BLZ						ACCOUNT N°						
	x	X	x	x	x		x	x	x	x	x	x	x
POSITION	1	2	3	4	5		1	2	3	4	5	6	7

DENMARK

	NUMERO REGISTRE					ACCOUNT N° (including check digit)									
	x	X	x	x		x	x	x	x	x	x	x	x	x	x
POSITION	1	2	3	4		1	2	3	4	5	6	7	8	9	10

FRANCE

	CODE ETABLISSEMENT						CODE GUICHET						NUMERO DE COMPTE												RIB	
	x	X	x	x	x		x	x	x	x	x		x	x	x	x	x	x	x	x	x	x	x		x	x
POSITION	1	2	3	4	5		1	2	3	4	5		1	2	3	4	5	6	7	8	9	10	11		1	2

UNITED KINGDOM

	SORT CODE									ACCOUNT N°							
	x	X		x	x		x	x		x	x	x	x	x	x	x	x
POSITION	1	2		3	4		5	6		1	2	3	4	5	6	7	8

IRELAND

	SORT CODE									ACCOUNT N°							
	x	X		x	x		x	x		x	x	x	x	x	x	x	x
POSITION	1	2		3	4		5	6		1	2	3	4	5	6	7	8

SPAIN

	ENTIDAD					OFICINA					D.C.			ACCOUNT NUMBER									
	x	X	x	x		x	x	x	x		x	x		x	x	x	x	x	x	x	x	x	x
POSITION	1	2	3	4		1	2	3	4		1	2		1	2	3	4	5	6	7	8	9	10

ITALY

	CODE ABI (Ets)						Code CAB (Guichet)							Numéro de Compte											
	x	X	x	x	x		x	x	x	x	x	x		x	x	x	x	x	x	x	x	x	x	x	x
POSITION	1	2	3	4	5		1	2	3	4	5	6		1	2	3	4	5	6	7	8	9	10	11	12

LUXEMBOURG

	ACCOUNT N°									
	x	X	x	x	x	x	x	x	x	x
POSITION	1	2	3	4	5	6	7	8	9	10

NORWAY

	NUMERO REGISTRE					ACCOUNT N° (including check digit)						CD	
	x	X	x	x		x	x	x	x	x	x	x	x
POSITION	1	2	3	4		5	6	7	8	9	10		11

THE NETHERLANDS

	ACCOUNT N°								
	x	X	x	x	x	x	x	x	x
POSITION	1	2	3	4	5	6	7	8	9

SWEDEN

	BLZ					ACCOUNT N°											
	x	X	x	x		x	x	x		x	x	x	x		x	x	x
POSITION	1	2	3	4		1	2	3		4	5	6	7		8	9	10

or

	BLZ						ACCOUNT N°											
	x	X	x	x	x		x	x	x		x	x	x	x		x	x	x
POSITION	1	2	3	4	5		1	2	3		4	5	6	7		8	9	10

GREECE

	ACCOUNT N°													
	x	X	x	x	x	x	x	x	x	x	x	x	x	x
POSITION														

For Greece there is no specific structure

PORTUGAL

	ENTIDADE					AGENCIA					CD			ACCOUNT N°										
	x	X	x	x		x	x	x	x		x	x		x	x	x	x	x	x	x	x	x	x	x
POSITION	1	2	3	4		1	2	3	4		1	2		1	2	3	4	5	6	7	8	9	10	11

32. Principal Contractor’s signature

The form should be signed by the person authorised to sign on behalf of the principal contractor’s organisation.

33. Stamp

If applicable. Official stamp of the principal contractor’s organisation.

PARTICIPANTS' Section
(Principal contractor and Members)

Contract Preparation Forms
(A5.1-A5.3)

EUROPEAN COMMISSION
RESEARCH DIRECTORATES GENERAL
RTN CPF FORMS

EN F 1 FP5RTN

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Project Acronym [2]		Proposal No [3]	

A5.1 Participant Profile/Information (1 form per participant) (part 1/2) [34]

Legal information on the participating organisation							
Participant Role [21]		Participant No [22]					
Registration No with the European Commission's Research Programmes [35]							
Organisation Legal Name [36]							
Short Name [37]							
Legal Registration No [38]			VAT No [39]				
Activity Type [40]		Legal Status [41]		If 'PRC', Specify [42]			
Business Area [43] (NACE)							
Legal Address of the organisation [44]							
PO Box [11]							
Street Name and Number							
Post Code [12]			Cedex [13]				
Town/City							
Country Code [14]		Country Name [14]					
Organisation details [45]							
Year of Reference [46]							
Annual turnover[47]		Annual Balance Sheet Total[48]		Total R&D expenditure[49]			
Number of employees [50]			Number of R&D Personnel [51]				
Number of researchers and engineers [52]			Female researchers and engineers [53]				
Is Your Organisation independent [54]				Y		N	
If No, please indicate legal name(s) of owner(s) who own 25 % or more [55]							
Is your Organisation affiliated to any other participant(s) in the project [56]?				Y		N	
If Yes, please indicate Participant No, Short Name(s) and character of affiliations(s) (D / I) [57]							
Address of the main Institute/ Department/ Laboratory carrying out the work[58]							
Institute/Department/ Laboratory Name [10]							
PO Box [11]							
Street Name and Number							
Post Code [12]			Cedex [13]				
Town/City							
Country Code [14]		Country Name [14]					

EUROPEAN COMMISSION RESEARCH DIRECTORATES GENERAL RTN CPF FORMS	EN G 1 FP5RTN FOR COMMISSION USE ONLY

Project Acronym [2]		Proposal No [3]	

A5.1 Participant Profile/Information (1 form per participant) (part 2/2)[34]

Participant Role [21]		Participant No [22]			

Authorised administrative official for the purpose of signing the contract /membership agreement[59]							
Title (Dr., Prof., ...)			Gender [8]	F		M	
Function [60]							
Family Name							
First Name							
Telephone No [15]		Fax No [15]					
E-mail							
Scientific Person in charge of the project [61]							
Title (Dr, Prof., ...)			Gender [8]	F		M	
Function [60]							
Family Name							
First Name							
Telephone No [15]		Fax No [15]					
E-mail							
Authorised contact person [62]							
Title (Dr., Prof., ...)			Gender [8]	F		M	
Function [60]							
Family Name							
First Name							
Telephone No [15]		Fax No [15]					
E-mail							

I certify that the information set out in forms A5.1 to A5.3 and in Annex 2 is accurate and correct and that the estimated costs conform with the European Commission's allowable costs for RTD support and our normal cost accounting principles and reflect the costs expected to be incurred in carrying out the approved Annex 1 to the contract description of work. I also confirm that our organisation is committed to participate to the above mentioned project.

Date (DD/MM/YYYY)		
Signature of authorised contact person		

RTN CPF Form – Form A5.2

EUROPEAN COMMISSION RESEARCH DIRECTORATES GENERAL RTN CPF FORM	EN H 1 FP5RTN FOR COMMISSION USE ONLY

Project Acronym [2]		Proposal No [3]	

A5.2 Participant Profile/Information (1 form per participant) Costs [34]

Participant Role [21]		Participant No [22]			

Personnel Costs (in Euro) [63]				
Pre-doctoral young researchers	Monthly employment costs :			
Post-doctoral young researchers	Monthly employment costs :			
	Expected average increases of employment costs per year :	%	Base year for the calculation of increases :	

Employment costs for young researchers[64] (in EURO)

	Year 1		Year 2		Year 3		Year 4		Total	
	Number of person months	Employ ment costs	Number of person months	Employ ment costs	Number of person months	Employ ment costs	Number of person months	Employ ment costs	Number of person months	Employ ment costs
Pre-docs										
Post-docs										
Total										

Mobility costs for young researchers (in EURO)

	Year 1	Year 2	Year 3	Year 4	Total
Relocation costs					
Travel costs to the home scientific community					
Total					

Total amount of personnel costs for young researchers[65]

	Year 1	Year 2	Year 3	Year 4	Total
Total					

Costs linked to Networking (in Euro)[66]

Cost categories	Year 1	Year 2	Year 3	Year 4	Total
Travel and Subsistence					
Subcontracting					
Consumables					
Computing					
Protection of knowledge					
Durable equipment					
Other specific costs					
Total					

EUROPEAN COMMISSION **RESEARCH DIRECTORATES GENERAL** **CA & TN CPF FORMS**	EN I 1 FP5RTN FOR COMMISSION USE ONLY

Project Acronym [2]		**Proposal No** [3]	

A5.3 Participants Profile/Information (1 form per contractor) Costs [34]

Participant Role [21]		**Participant No** [22]			

Indirect Costs (in EURO) [67]					
	Year 1	**Year 2:**	**Year 3:**	**Year 4:**	**Total:**
Overheads					

Participant's Summary (in EURO) [68]

	Year 1	Year 2	Year 3	Year 4	Total
Number of young researchers' training months					
Personnel costs for young researchers					
Costs linked to Networking					
Indirect Costs (Overheads)					
Total estimated costs					
EC contribution in percentage[69]					
Total EC contribution					

Conversion rate used	
National Currency[70]	Conversion Rate to EURO[71]:

Link of subcontractor(s)		
O NO O YES	Nature of link:	
Are any of the subcontractors linked to the participant?		

Financial and accounting rules used by the Participant [72]	
A) Has information on your organisation's cost accounting principles and systems (in particular for calculating the personnel) already been supplied to the Research Programmes of the Commission?	☐ NO ☐ YES ____________________ Specify the most recent Commission contract number ☐ X = Annex on Financial and Accounting Rules attached

Documents (X = Annex Attached)

- ☐ Legal documents establishing organisation [73] Research programme
- ☐ Annual reports and balance sheets[74]
- ☐ Organisation structure[75]

If not attached, please specify most recent contract number where supplied

How to fill in the Participant Profile / Information Forms (A5.1, A5.2 and A5.3)

34. Participant profile/information

All participants (the principal contractor and each member) must fill in the information requested on the forms A5.1, A5.2 and A5.3. In addition all private companies must also if applicable supply the information requested in the form in Annex 2. The notes to the different sections and fields will indicate which participants need to fill in which fields.

Make sure that the form A5.1 is signed by a person in your organisation authorised to commit the organisation to participate in research projects. Keep a photocopy or an electronic copy of the completed forms for your own files before sending the signed original to the principal contractor of the RTN project.

For "research bodies", that is "organisations" or "partnerships" which are not officially legal entities (e.g. Unité Mixte de Recherche and other similar types of groupings) each participating organisation to the project in the "research body" must complete a full set of contractors forms (A5.1. -A5.3). In addition a note must be included with the Contract Preparation Forms indicating the link between the legal entities in the "research body" for the project. The note must also clearly state which legal entity is the lead organisation representing the "research body" and this lead entity should provide clear evidence of the mandate from the other legal entities to negotiate the contract on behalf of the "research body". During the contract negotiations a number of issues relating to contract signature, cost claims and payments will have to be addressed.

35. Registration No with the European Community's Research Programmes

If applicable. If 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 was received. The number will be provided after the Commission services have done the financial and legal viability control of the contractors.

36. Organisation Legal Name

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

37. Short Name

The short name chosen by the participant for this project. This should normally not be more than 20 characters and the same should be used for the participant in the A2 and A3 forms.

38. Legal Registration No

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

39. VAT No

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

40. Activity Type

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

REC: Research;
HES: Higher Education (e.g. Universities);
OTH: Others (e.g. enterprises)

41. Legal Status

Please use one of the following codes:

GOV: Governmental (e.g. Public Universities);
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.

42. 'If 'PRC', Specify'

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

43. 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 project.

44. Legal address of the organisation

Provide here the address where the organisation is legally registered.

45. Organisation details

This section is for statistical information. 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 fields 53-56 (see the notes to the fields in this section).

46. Year of reference

The year for which the figures in this section are provided. Information from the most recent accounting year should be provided.

47. Annual turnover

This field is for statistical information. 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 ≤ EUR 7 million (Annual turnovers less than or equal to EUR 7 million)
T2: > EUR 7 million or ≤ 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.**

48. Annual Balance Sheet Total (i.e., total of assets or total of liabilities)

This field is for statistical information. 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 ≤ 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**

49. Total R&D Expenditure

This field is for statistical information. 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 for total R&D expenditure 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:

- **R1**: 0 ≤ EUR 5 million (Annual balance sheet total less than or equal to EUR 5 million)
- **R2**: > EUR 5 ≤ EUR 27 million (Annual balance sheet total more than EUR 5 million or less than or equal to EUR 27 million)
- **R3**: > EUR 27 million (Annual balance sheet total more than EUR 27 million)

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

50. Number of employees

This field is for statistical information. 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

51. Number of R&D Personnel

This field is for statistical information. 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 R&D personnel according to the following classification:

- **D1**: 0 R&D employee
- **D2**: 1 – 9 R&D employees
- **D3**: 10 – 49 R&D employees
- **D4**: 50 – 249 R&D employees
- **D5**: 250 – 499 R&D employees
- **D6**: 500 – 1999 R&D employees
- **D7**: 2000+ R&D employees

52. Number of researchers and engineers

This field is for statistical information. 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 researchers and engineers according to the following classification:

- **E1**: 0 Researchers and engineers
- **E2**: 1 – 9 Researchers and engineers
- **E3**: 10 – 49 Researchers and engineers
- **E4**: 50 – 249 Researchers and engineers
- **E5**: 250 – 499 Researchers and engineers
- **E6**: 500 – 1999 Researchers and engineers
- **E7**: 2000+ Researchers and engineers

53. Number of female researchers and engineers

This field is for statistical information. 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 female research and engineering personnel according to the following classification:

F1: 0 Female researchers and engineers
F2: 1 – 9 Female researchers and engineers
F3: 10 – 49 Female researchers and engineers
F4: 50 – 249 Female researchers and engineers
F5: 250 – 499 Female researchers and engineers
F6: 500 – 1999 Female researchers and engineers
F7: 2000+ Female researchers and engineers

54. 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 fewer 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 59 and 60).

55. Owners

Please provide the legal name(s) of the organisation(s) controlling the organisation by 25% or more (on the issue of control, see notes 59 and 60).

56. 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.

57. 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.

58. Address of department carrying out the work

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

59. Authorised administrative official

This is a person within the organisation with authority to sign the EC contract / the membership agreement.

60. Function

The function, which the person has within the organisation, for example: director, vice-president, managing director, vice chancellor, etc.

61. Scientific officer in charge of the project

Details concerning the scientific officer in the organisation of the participant responsible for the execution of the project.

In the case that the participant is the Principal Contractor this officer may be the scientific network co-ordinator or another scientist working for the Principal Contractor who is charged specifically with this task . Please fill in accordingly.

62. Authorised contact person

This is the person within the organisation who acts as contact person for the organisation regarding the specific research project under negotiation and who has the authority to verify that the information given in the forms is correct and that the organisation is committed to participate in the research training network project. Please attach business card if available.

63. Personnel costs

Personnel costs relate to the actual costs of reinforcing the research staffs of the p*articipants* through the temporary appointment of *young researchers,* and shall be limited to:

- the actual salaries or grants paid to the *young researchers,*
- any social charges and pension costs related to their appointment,
- any registration or tuition fees specific to their appointment,

- relocation costs of the *young researchers* when taking up the appointment at a *participant,*
- travel costs (public transport costs only) for one visit to their home scientific community, per nine-monthly period of their appointment by a *participant*, only in the case of travel to a Member State or *Associated State*.

A "young researcher" refers to a researcher aged 35 years or less at the time of his appointment by a *participant* in the frame of the research training network contract. An allowance to this age limit may be made for the actual time spent in compulsory military or civil service or child care (a maximum of two years per child for the actual time spent off work).

For the personnel costs of a *young researcher* to be charged to the *project*, the following conditions must be satisfied:

- the *young researcher* must be a holder of a doctoral degree or of a degree, obtained from a university or equivalent institution of higher education, which qualifies him to embark on a doctoral degree; and
- his appointment must be temporary and for a fixed-term starting after the *project commencement date* of the contract; and
- he must be appointed specifically either to carry out research associated with the *project* or to assist the *principal contractor* in the scientific co-ordination of the *project*; and

- he must be a national of a Member State of the Community or of an *Associated State* or residing in the Community for at least five years prior to his appointment by a *participant* in the frame of the contract; and

- he must not be a national of the state in which the *participant's* research team appointing him is located and he must not have carried out his normal activities in that state for more than 12 of the 24 months prior to his appointment; and
- in the case of a national of a third country, he is not permitted to move to a host country in which he was residing for more than two years in the last five years immediately prior to the appointment date.

The appointment of *young researchers* does not require the prior approval of the Commission. Personnel costs related to the appointment of a *young researcher* are to be charged to the contract in accordance with the internal rules (including pay and conditions) of the *participant* concerned. Personnel costs exclude the costs of all other persons employed by or working in the research teams of the *participants*.

The Commission actively promotes the participation of women in European research actions financed by the Union, with the aim of significantly increasing the number of women involved in research during the Fifth Framework Programme. To this end, and to the extent possible, efforts should be made to appoint female young researchers in the network.

While an individual participant may spent less than 60% of its total eligible costs for the appointment of *young researchers,* the principal contractor must ensure that at least 60% of the total estimated eligible costs of the *project*, is used to support personnel costs for the appointment of *young researchers*.

64. Calculation of employment costs

The calculation of the yearly costs for the appointment of young researchers should be based on the expected annual average increases of employment costs (salary/grants; plus any social charges and pension costs; plus any registration or tuition fees).

65. Total amount of personnel costs for young researchers

The total amount of personnel costs is the sum of employment costs and mobility costs for young researchers.

66. Costs linked to Networking

The cost categories summarised under this heading may be charged to the project only to the extent that they relate to the networking of the research work associated with the project.

<u>Travel and Subsistence</u>

For research staff and technical support staff, working on the *project* in the *participants'* teams, travel and subsistence costs can be charged to the project if they relates to :

- meetings with other *participants* in the *project*,
- secondments between the *participants* of *young researchers*,
- secondments between the *participants* of more experienced researchers and technical support staff not exceeding three months,
- representation of the *project* at international workshops, seminars and conferences;
- interviewing prospective *young researchers* for an appointment by a *participant;*
- *young researchers* who are or had previously been appointed by a *participant* and who are invited to take part in the Mid -Term Review Meeting .
- invited external experts participating in a network meeting, seminar or workshop of the *participants*

Travel and subsistence shall be charged to the *project* in accordance with the normal internal rules and procedures of the *participant* concerned. Travel and subsistence costs may not be charged for mobility within a single state, unless the mobility concerns a *young researcher* or a meeting of the *project* at which all *participants* are to be represented.

The prior agreement of the Commission shall be required for any travel outside (to or from) the territory of the Member States and the *Associated States* or a *third country* where a *participant* is established, unless it is provide for in Annex I to this contract. The approval of the Commission shall be deemed as given in the absence of observations within one month of receipt of the request made by the *principal contractor*.

Subcontracting

These are costs for all subcontracting and external services specific to the project (goods, supplies and services). Such costs must be in accordance with usual market costs. External services are those performed by third parties outside the participating organisation and outside the research training network. They include the costs of subcontracts.

NB Where the costs of the subcontractors for a contractor exceeds 20% of his estimated eligible costs or 50 000 EUR, whichever amount is the lowest; and if the subcontractors are established in a third country, unless the contractor concerned is established there, the specific consent of the Commission is required. Upon successful completion of the contract negotiations a short description of the subcontractors mentioned above and their estimated budget agreed between the participant and the Commission officer should be included in Annex I to the contract. Any subsequent addition of subcontractors not mentioned in Annex I requires the approval of the Commission project officer if the above mentioned rules apply to the contractor. If the organisation to be awarded a subcontract is not yet known, then the name may be left open but you should give a brief description of the work/service to be provided.

Consumables

Costs for consumables are eligible if they are necessary for the execution of the *project*. However, costs of day-to-day telephone and postal services as well as the costs for routine and minor usage of computing and consumables are not eligible, as they are deemed to be included in the contribution to indirect costs (overheads).

Computing

Computing costs, including the costs resulting from the use of computer services and media at the disposal of *participants*, may be charged to the *project*. They must be substantiated in accordance with the rules applicable to the participants.

Protection of knowledge

These costs relate to the protection and exploitation of the scientific results which are generated in the framework of the *project.* They comprise the actual costs necessary for adequate and effective protection for such *knowledge*, taking into account the *interests of the Community*. They are eligible only in so far as the Commission has given its prior written approval to the principal contractor and in so far as the competition rules, in particular those under the Community framework for State aid to research and development, are complied with. They comprise:

- the costs of documentary research preliminary to the filing of an application for the granting of an industrial property right,
- the fees paid to the competent authorities that are necessary with a view to the granting of an industrial property right or its territorial extension, provided that prior documentary research has been carried out,
- the fees paid to the competent authorities to extend the duration of the industrial property right.

Durable Equipment

Cost relating to the purchase or leasing with option to buy of durable equipment may be charged to the contract with the prior written approval of the Commission, but only if it is used to equip a *participant's* research team situated in a *Less-Favoured Region* of the Community in which a researcher who has been trained abroad for a minimum duration of one year at a post-doctoral level is appointed to an established position in that legal entity and will be active in the *project*. Only those researchers having held an established position for 5 years or less are eligible for the research team's reimbursement of durable equipment.

The *eligible costs* for durable equipment leased with option to buy shall not exceed the costs that would have been incurred if the equipment had been purchased, taking account of the formula below.

The costs to be charged to the contract shall be calculated according to the following formula:

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

A = the period in months during which the durable equipment is used for the *project* after invoicing,
B = the depreciation period for the durable equipment: 36 months for computer equipment costing less than EUR 25 000 or 60 months for other equipment,
C = the actual cost of the durable equipment,
D = the percentage of usage of the durable equipment for the *project*.

The durable equipment may have been purchased or leased with option to buy:

- within the six months preceding the *project commencement date* as indicated in the research training network contract,
- for a previous contract concluded with the Community, provided that the depreciation period has not been exceeded. Only the costs relating to the unexpired depreciation period may be charged.

Other Specific Costs

Other significant specific project costs which are necessary to carry out the *project*, and which do not fall under any of the other defined cost categories, may be charged under this category and comprise:

- Costs of the organisation of the network meetings of the *participants.*

- International workshop, seminar and conference fees for research staff of the *participants* when representing the *project* at such events.

- Costs of exchanging information between the *participants*, including the costs of setting up and maintaining a site on the Internet, the use of high-bandwidth communication networks, the access to electronic-based information transfer systems and the costs of newsletters.

- Costs of joint publications, aimed at disseminating the collective results of the *project* (the costs of publishing the results of an individual *participant* will not be supported).

- User fees for the access to external scientific research facilities.

- Costs of exchanging materials and reference products between the *participants.*

67. Indirect costs (Overheads)

A maximum fixed rate of 20% of the direct costs excluding subcontracting costs may be charged to the *project*. Overheads are designed to cover in particular the costs of administrative and secretarial staff not eligible as a direct costs, the depreciation of buildings and of equipment, water, electricity, telecommunications and postal services, office equipment.

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

68. Participant's Summary

The principal contractor should use this table as a basis to complete the consolidated cost summary forms (A2 and A3).

69. EC contribution in percentage

This will normally be equal to 100% of the eligible costs. Normally, EC contributions can only be requested by participants from Member States and Associated States. For participants from countries, which do not qualify for EC Contribution, the percentage for EC contribution is to be set to zero (0). For cases where participants from other countries may receive EC Contribution, please refer to the relevant Guide for Proposers for details on which countries can receive EC contribution.

70. National currency codes

Please use the following currency codes

Country	*Currency Code*	*Country*	*Currency Code*
Austria	ATS	Iceland	ISK
Belgium	BEF	Liechtenstein	CHF
Denmark	DKR	Norway	NOK
Finland	FIM		
France	FRF	Albania	ALL
Germany	DEM	Bulgaria	BGL
Greece	GRD	Czech. Rep.	CZK
Ireland	IEP	Estonia	EEK
Italy	ITL	Hungary	HUF
Luxembourg	LUF	Latvia	LVL
Netherlands	NLG	Lithuania	LTL
Portugal	PTE	Poland	PLZ
Spain	ESP	Romania	ROL
Sweden	SEK	Slovak. Rep.	SKK
United Kingdom	GBP	Slovenia	SIT
EURO		EUR	
Armenia	AMD	Cyprus	CYP
Azerbaijan	AZM	Malta	MTL
Belarus	BYB	Switzerland	CHF
Georgia	RUR	Turkey	TRL
Moldova	MDL	Israel	ILS
Russia	RUR		
Ukraine	UAK	Other	OTH

For any country not included in this list, please use the Other category for the currency and write out the full name of the currency at the bottom of the page.

71. Conversion rate to EURO

The conversion rate that you have used to convert national currency into EURO should be set out here.

72. Financial and accounting rules used

You must enclose an annex on your financial and accounting rules used:

if the information has not been previously supplied to the Commission for another RTD contract, or
if the systems have changed since the information was provided, or
if 3 years or more have elapsed since the information was last provided.

This annex should be a concise free-format description to be marked “financial and accounting rules”. The name of the organisation, the Project number and the date should appear at the top. The description of the main rules and principles applied should include the following:

- the main cost categories included in the overhead rates
- the method of apportioning the overhead costs (e.g. surface areas, staff numbers, etc.)
- details of overhead charged on cost categories other than personnel
- the method of recording personnel time spent on the Project.

If your annex contains confidential information, you may attach it in a sealed envelope marked “Confidential: for use by the European Commission only”.

73. Legal documents establishing the organisation

If the participating organisation has had no previous contracts with the European Commission, or if its status has changed since the documents were provided, then you must provide copies of these legal documents, i. e. certificate of registration and (if applicable) articles of association, or give the date on which this information was provided to the Commission during the negotiations. This is not applicable to public organisations (e. g. universities).

74. Annual reports and balance sheets

If applicable: Only for participants using an accurate accountancy system, except for public organisations and universities. You must provide these for the last 3 financial years or give the date provided to the Commission during negotiations:

- if you have had no previous contracts with the Commission, or
- if one financial year or more have elapsed since the financial reports were last provided.

The annual financial reports should be accompanied by information on the turnover, profit and loss, and balance sheets. If these documents contain confidential or non-published information, you may attach them in a sealed envelope marked “Confidential: for use by the European Commission only”.

75. Organisation's structure

You should provide a document showing the participating organisation structure:

- if it has had no previous contracts with the Commission, or
- if the structure has changed since the document was last provided, or
- if three or more years have elapsed since the document was last provided.
-

The document should normally indicate, using diagrams where appropriate, the controlling organisation, the affiliated organisations, as well as those affiliates which will be participating in the contract as such, and the main departments, divisions or institutes of the participating organisation.

Annex 2

Financial data

RTN CPF Form – Annex 2 Part 1/2

EUROPEAN COMMISSION
RESEARCH DIRECTORATES GENERAL
RESEARCH TRAINING NETWORKS

EN U 1 FP5RTN

FOR COMMISSION USE ONLY

Project Acronym [2]		Proposal No [3]	

Annex 2 Financial Data (1 form per participant) [76]

Participant Role [21]		Participant No [22]			

Company	Historical data t-2	Historical data t-1	Historical data t0	Budget data (without EC contribution) t+1
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				
LIABILITIES				
4. Capital and reserves				
4.1. Subscribed capital				
4.2. Reserves				
4.3. Profit and loss brought forward				
5. Creditors				
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				

EUROPEAN COMMISSION RESEARCH DIRECTORATES GENERAL RESEARCH TRAINING NETWORKS	EN V 1 FP5RTN FOR COMMISSION USE ONLY

Project Acronym [2]		Proposal No [3]	

Annex 2 Financial Data (1 form per participant) [76]

Participant Role [21]		Participant No [22]			

Company	Historical data t-2	Historical data t-1	Historical data t0	Budget data (without EC contribution) t+1
BALANCE SHEET				
PROFIT AND LOSS ACCOUNT				
6. Turnover				
7. Variation in stocks				
8. Other operating income				
9. Costs of material and consumables				
10. Added value				
11. Staff costs				
12. Gross operating profit				
13. Depreciation and value adjustments on non financial assets				
14. Net operating profit				
15. Financial income and value adjustments on financial assets				
16. Interest paid				
17. Similar charges				
18. Profit or loss on ordinary activities				
19. Extraordinary income and charges				
20. Taxes on profits				
21. Profit or loss for the financial year				
22. Profit or loss for the financial year + Depreciation				

APPLICATION FORM	ASSETS "4th ACCOUNTING DIRECTIVE (Article 9)"	
1. Subscribed capital unpaid	**A. Subscribed capital unpaid**	A. Subscribed capital unpaid (including unpaid capital)
2. Fixed assets	**C. Fixed Assets**	
2.1. Intangible fixed assets	B. Formation expenses as defined by national law C. I. Intangible fixed assets	B. Formation expenses as defined by national law C.I.1. Cost of research and development C.I.2.Concessions, patents, licenses, trade marks and similar rights and assets, if they were: (a) acquired for valuable consideration and need not be shown under C
2.2. Tangible fixed assets	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
2.3. Financial assets	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
3. Current assets	**D. Currents assets**	
3.1. Stocks	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
3.2.1. Debtors, due and payable after more than one year	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
3.2.2. Debtors, due and payable within a year	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
3.3. Cash at bank and in hand	D.IV. Cash at bank and in hand	D.IV. Cash at bank and in hand
3.4. Other current assets	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	**Total assets**	

APPLICATION FORM	LIABILITIES / 4th ACCOUNTING DIRECTIVE (Article 9)	
4. Capital and reserves	**A. Capital and reserves**	
4.1 Subscribed capital	A.I. Subscribed capital A.II. Share premium account	A.I. Subscribed capital A.II. Share premium account
4.2. Reserves	A.III. Revaluation reserve A.IV. Reserves	A.III. Revaluation reserve 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	A.V Profit and loss brought forward from the previous years A.VI. Profit or loss for the financial year	A.V Profit and loss brought forward from the previous years 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 C.3. Payments received on accounts of orders in so far as they are not shown separately as deductions from stocksTrade creditor
5.1.2. Long term bank debt	C. Creditors "credit institutions" (> one year)	C.2 Amounts owed to credit institutions C.5. Bills of exchange payable
5.2.1. Short term non-bank debt	B. Provisions for liabilities and charges (< or = one year) C. Creditors (< or = one year)	B.1. Provisions for pensions and similar obligations. B.2. Provisions for taxation. B.3. Other provisions. C.1. Debenture loans C.3. Payments received on accounts of orders in so far as they are not shown separately as deductions from stocksTrade credit
5.2.2. Short term bank debt	C. Creditors "credit institutions" (< or = one year)	C.2 Amounts owed to credit institutions C.5. Bills of exchange payable
Total liabilities	**Total Liabilities**	

APPLICATION FORM	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 stock of finished goods and in work in progress
8. Other operating income	3. Work performed by the undertaking for its own purposes and capitalized. 4. Other operating income	3. Work performed by the undertaking for its own purposes and capitalized. 4. Other operating income
9. Costs of material and consumables	5. (a) Raw materials and consumables 5. (b) Other external charges 8. Other operating charges	5. (a) Raw materials and consumables 5. (b) Other external charges 8. Other operating charges
10. Added value	**Added value =1+2+4-(5a+5b)**	

11. Staff costs	6. Staff costs	6.(a) Wages and salaries 6.(b) social security costs
12. Gross operating profit	**Added value - staff costs = [1+2+4-(5a+5b)] - 6**	
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
14. Net operating profit	**(Added value - staff costs) - Depreciation and value adjustments on non-financial assets = [1+2+4-(5a+5b)] - 7**	
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 investment 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 ass
16. Interest paid	Interest paid	13. Interest and similar charge
17. Similar Charges	Similar Charges	
18. Profit or loss on ordinary activities	**Profit or loss on ordinary activities =[[1+2+4-(5a+5b)] - 7] + [(9+10+11)-(12+13)]**	
19. Extraordinary income and charges	Extraordinary income and charges	16. Extraordinary income 17. Extraordinary charges
20. Taxes	Tax on profit or loss on ordinary activities Tax on extraordinary profit or loss	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
22. Profit or loss for the financial year + Depreciation	**Profit or loss for the financial year + Depreciation**	

Financial Data Form (Annex 2)

76. Financial data

This form must be filled in by the principal contractor, if the principal contractor is using an accurate accountancy system**, but not by public organisations or universities**. It provides the basis for the calculation by the Commission services to verify that the organisation has the necessary human and financial resources to carry out the work. The explanations to the form are provided immediately after the form. The t stands for time, so that t0 is the latest year for which account is available, t-1 and t-2 the two years preceding and t+1 is the current year (estimated or budget amounts).