



# **GUIDELINES FOR CONTRACT PREPARATION**

***'GROWTH 2000'***

**Shared-cost RTD, Demonstration and Combined Project  
&  
Concerted Action/Thematic Network**

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**COMPETITIVE AND SUSTAINABLE GROWTH**

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# 1. Introduction

This document is provided for proposers who have been invited for negotiation following the evaluation of proposals received in the 2nd Call of the "Competitive and Sustainable Growth" (GROWTH) Programme within the EC's Fifth Framework Programme of research, technological development and demonstration for the period 1998-2002. It outlines the work necessary in the preparation of a contract under this programme for Shared-cost RTD projects, Demonstration projects, and Concerted Actions/Thematic Networks. The procedures for other types of action are documented elsewhere.

**An invitation to commence negotiation does not under any circumstance guarantee funding of a project.**

This document continues in Section 2 with an overview of the process whereby a GROWTH research contract is negotiated and signed.

Section 3 describes the completion of the Contract Preparation Forms (CPFs).

Section 4 covers the preparation of Annex 1 to the Contract, the "Description of Work", which is the detailed description of the scope of work. Section 4 contains separate chapters describing the layout and requirements for preparing annex 1 for R&D/Demonstration projects and for Concerted Action/Thematic Networks.

Section 5 gives a brief overview of the requirements concerning the later management and administration of the contract.

## 2. Overview of the contract preparation process

The negotiation and contract preparation phase is the last phase of the evaluation procedure, following immediately after the evaluation by external experts, but preceding the final selection by the Commission of successful proposals. Adherence to deadlines and correct and expedient preparation of all necessary documents is therefore a pre-requisite for arriving at a successful conclusion of this process.

### 2.1 Invitation to negotiation

Following selection by the Commission of a proposal for negotiation, and the first definition of an appropriate budget for the work, the contact person for the proposing consortium is informed by letter that they are invited for negotiations.

**As negotiations are now part of the evaluation and selection procedure, they must be completed as quickly as possible and no later than 2 months after the date of this letter. Failure to respect this deadline may be considered by the Commission as a wish not to continue contract negotiations.**

Further to this an E-mail will be sent with details about the negotiation. This will also include the following general information and instructions on how these must be distributed to the other partners:

- the present document,
- the “Contract Preparation Forms” (CPFs) with notes,
- the “Guidelines on Major Financial Provisions”, and
- the “Model Contract”

**The co-ordinator should urgently forward this information to the other partners, in order to allow them to familiarise themselves with the procedure and documents and prepare for immediate response to all actions required in the following few weeks.**

The appointed Commission Programme Officer in charge of the evaluation will then take direct contact to the co-ordinator, and will in an introduction letter also include a list of detailed requirements and comments to the proposal, based on the recommendations of the independent experts, which needs addressing during the negotiation phase.

#### The Model Contract

Before commencing negotiation, proposers must carefully read the model contract (which will become annex II to a contract) and financial guidelines, which are supplied to them; they describe in detail the way the project will be funded and managed.

### 2.2 Contract Preparation Forms

The CPFs supply the information which the Commission needs in order to prepare the administrative (as opposed to the technical) parts of the contract, and to check the legal and financial viability of the participants (see also chapter 3). They will to a large extent be providing information similar to the financial information provided with the proposal, but taking into account requirements for changes, including changes to the proposed budget.

The Commission may require further information in the course of negotiations and contract preparation, particularly for the organisation proposing to act as project co-ordinator, including in some cases a form of a financial guarantee. SMEs may be required to prove SME status.

The co-ordinator may in some cases be contacted directly by the Commission’s Contract service to clarify specific administrative, contractual or legal matters. Note that the Commission can only negotiate with and offer contracts to currently existing entities: **the legal existence of your organisation must pre-date the start of negotiations.**

A first draft of the revised budget is to be submitted not later than 5 working days in advance of the first meeting with the Commission Programme Officer. This first draft may, if agreed with the Programme Officer, be submitted in the form of a revised “Summary Partner Cost Breakdown” table as provided with the proposal, together with the necessary details on the individual cost items of all partners (ref. proposal part C, chapter C8.2), but should be followed by the full set of CPFs for all partners as soon as possible, and not later than 3 weeks after receiving the first invitation letter from the Commission.

## 2.3 Appointment of negotiators

The Commission appoints one of its Programme Officers as responsible for the negotiation and contract preparation. The Programme Officer invites the proposers to a first meeting, which normally will be in Brussels.

The proposers will identify from amongst themselves their co-ordinating contractor (co-ordinator), normally the person who co-ordinated the proposal writing and submission. This person will lead the negotiation on the proposers' side<sup>1</sup>.

The co-ordinator will be the channel for submitting all documents and for general liaison and communication between the contractors and the Commission.

The co-ordinator will also receive in trust for the contractors all future payments from the Commission and distribute them among the contractors according to their finance plan. For this reason, the Commission negotiator will particularly seek evidence of the financial viability and probity of the co-ordinating organisation, and may veto the proposers' choice of co-ordinator.<sup>2</sup>

## 2.4 Stages of the negotiation

**The negotiation phase will be subject to strict deadlines in order to allow the Commission to draw up a complete, final list for adoption of the evaluation results. Failing to comply with set deadlines can therefore mean that a proposal will lose its chances for being selected, even if having passed the first part of the evaluation by the external experts.**

In principle, two stages of negotiation and contract preparation, and possibly two meetings, may be needed. Normally the co-ordinator attends all meetings. It will be decided on an individual basis if all participants are required to be present, or if it may be agreed that the co-ordinator, alone or together with key partners, represents the consortium.

### Stage 1

The first step is for the Commission to communicate to the co-ordinator the result of the evaluation (ref. chapter 2.1).

The appointed Commission Programme Officer will provide the co-ordinator with all necessary information to prepare for the first meeting, where the results of the evaluation, including requirements for modifications to the technical and financial parts of the proposal, will be discussed.

The proposers should bring with them to the first meeting the completed draft set of the **CPFs**, together with a suggestion on how to revise the proposal, taking into account the comments provided by the Programme Officer, for this to become annex I to a future contract, entitled "Description of Work" (see also chapter 4)

*The proposers must carefully prepare for this first meeting and ensure that sufficient information is brought to the meeting to be able to agree on all required technical as well as financial changes to the proposal. The Commission Programme Officer may stop the meeting at that point, and reconvene it for a later date, if conclusions can not be drawn at the meeting. The deadline for completion of negotiations will remain unchanged, however.*

Normally this stage ends at the meeting with an agreement on the final adjustments to the scope, the **CPFs** and the "Description of Work", and a deadline is agreed, within the 2 month limit, for completing these documents and any other issues to be resolved.

### Stage 2

After this first meeting the consortium should now be in a position to elaborate a full "Description of Work", which within the agreed time period should be sent to the Commission Programme Officer for review and approval.

During this stage all major contractual (technical, administrative and financial) issues to be resolved are discussed, and a second meeting may in some cases be required, to reach an agreement on the "Description of Work" and to present the final, signed versions of the **CPFs**.

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<sup>1</sup> The co-ordinating organisation must be located in an EU member state or associated state

<sup>2</sup> The proposers could then exercise the option of splitting the administrative and financial co-ordination from the responsibility for the scientific co-ordination and day-to-day management.

Stage 2 ends with the Commission proceeding to adopting the results of the evaluation, which now includes the outcome of the negotiation and contract preparation phase. Only then can the preparing of a contract commence.

## **2.5 Contract signature**

When an agreement has been reached, and the “Description of Work” (Annex I) and the budget (CPFs) are finalised the Commission proceeds to having the results of the evaluation and subsequent negotiation and contract preparation adopted, followed immediately by the drawing up of a contract to be sent for signature to each contracting partner.

The Commission offers a single contract for the project as a whole (two separate contracts will be issued in the case of a combined R&D and Demonstration project, where the two are clearly separable), for which all proposed contractors are jointly and severally responsible. This has a number of important consequences:

- All contractors must sign - if one fails to sign then the contract is not concluded<sup>3</sup>
- If a contractor subsequently withdraws from the contract, either voluntarily or involuntarily, the other contractors remain responsible for the completion of the work, including the part allotted to the withdrawn contractor

The offered contract will normally be for the full duration of the foreseen work, but will have its continuation after the contractual mid-term assessment milestone depending on the successful result of this assessment, conducted by the Commission.

When all contractors have returned their signed copies (2) of the contract via the co-ordinator, the designated Commission official signs the contract and it comes into force from the first day of the following month, or on a predetermined date set by the contract.

Where delegation of signature is proposed for some or any contractors the co-ordinator will sign on their behalf.

**In the course of your meetings, the Commission negotiator will discuss with you many of the important terms and conditions of your contract. She cannot however mention them all. Review the offered contract thoroughly. You are bound by what you sign.**

## **2.6 Common problems**

Among the problems which commonly arise:

- The independent external evaluators or the Commission may request changes in the proposed project workplan, to improve it or its “fit” into the rest of the programme. These changes may be unacceptable to the proposers
- The level of funding which the Commission is able to offer may be unacceptable to the proposers
- Funding is offered under very specific conditions of reporting, dissemination, sharing of intellectual property rights etc. These are fixed for the programme and are non-negotiable.
- Individual contractors within a proposing consortium may wish to drop out in the course of negotiations. If the Commission judges that this has removed a significant justification for doing the work, or a vital necessary resource, it may withdraw the offer of negotiation
- All potential signatories to a Commission contract are subject to a background check by Commission services. In some cases the Commission may choose not to offer a contract to certain organisations or individuals
- Funding must be committed promptly. If negotiations are too lengthy, the Commission will terminate negotiations and commit the money elsewhere. Your letter of invitation to negotiations will have specified the time limit in your case

**In the case of shared-cost RTD actions, in the course of negotiations the Commission seeks assurances and if necessary financial guarantees that the project contractors are indeed able to provide their share of the funding. If the Commission cannot be assured of this, no contract will be offered.**

<sup>3</sup> The Commission may choose to draw up and offer another contract to the remaining contractors if, in the opinion of the Commission, the project remains viable despite the missing Contractor and the deadline for contract signature has not passed

## **3. Contract Preparation Forms**

### **3.1 General**

The Contract Preparation Forms will be available in Adobe and Word format from the CORDIS internet service of the Commission in separate versions for “R&D Projects including Demonstration”, for “Concerted Actions/Thematic Networks” and for “Accompanying Measures”:

<http://www.cordis.lu/fp5/cont-prep.htm>

The Contract Preparation Forms will also be forwarded directly to the co-ordinator for distribution to all partners, in WORD format, and in 4 parts to simplify the handling:

- General Introduction, Notes, Annex 1/Mandate
- Co-ordinator part (forms)
- Contractor part (forms) and Annex 2/Financial information
- Sub-contractor part (forms)

The “General Introduction, Notes and Annexes” part must be forwarded to all contractors, together with the relevant set of forms, as provided in the three separate documents

### **3.2 Electronic version of the CPFs**

An EXCEL application, which may help in completing the CPFs and calculating the summaries required, is also available and may be downloaded from CORDIS from the same address as given above. Its use is generally recommended.

This tool allows the co-ordinator to establish an EXCEL workbook for the project with the number of sheets required holding the complete set of CPF forms for all contractors. It is then possible to generate copies of the relevant sheets for E-mailing to each partner, who can complete these electronically and return the resulting sheets to the co-ordinator. The co-ordinator can then complete the exercise by importing the completed sheets received from the partners into the master workbook, where the resulting summaries will be generated automatically.

The result can finally be printed by each contractor, for signing and forwarding to the Commission via the co-ordinator.

### **3.3 Submission of the CPFs**

The CPFs should be prepared for submission to the Commission negotiator in two unbound copies on white paper with original signatures and in electronic format either using the templates provided in the Word version of the CPF or the Excel application. Any required supporting documentation should also be in two copies.

The CPF should normally be completed before the first negotiation round. Information used to verify the legal and financial status of the contractors should be considered final at this stage. The proposal abstract and summary on forms A1 and A2 and the budget information will at this stage still be a draft to be completed only after the negotiations on the content has been finalised.

The budget summary on form A3 will be included in the contract. The form A2 will be included in the Annex I to the contract. A description and budget information on subcontractors, travel outside the EU Member States and Associated States, protection of knowledge and other specific costs will be included in Annex 1 to the contract.

The CPF in its entirety will, although it is not a formal part of the contract, be used as a background document to verify and control the cost claims during the life time of the project. It is therefore important that the information in the forms is provided as precisely as possible.

Explanatory notes are appended to the forms, where the following is also explained in more detail:

### **RTD/Demonstration Projects.**

The contract preparation forms (CPF) consist of 10 forms numbered A0, A1, A2, A3, A4, A5, A6, A7, A8 and A9 (A3, A5, A7, A8 and A9 have several parts), and two annexes. The forms are ordered in three sections, one for the co-ordinator, one for the contractors, and one for the subcontractors. Contractors must ensure that their subcontractors complete the subcontractor forms if required.

- Forms A0 to A7 are completed by the financial/administrative co-ordinator for the project as a whole.
- Form A8 (which is in four parts A8.1 to A8.4) is completed by every principal and assistant contractor, including the financial/administrative co-ordinator that completes it for his/her own organisation.
- Form A9 (which is in two parts A9.1 and A9.2) is completed by subcontractors in certain cases. The forms are supplied with a full set of explanatory notes.

### **Concerted Action/Thematic Network Project.**

Concerted action and thematic network contracts may be structured in two ways:

- a single principal contractor together with a body of members or
- a consortium of principal contractors (one of which being the co-ordinator) each with a body of members

The contract preparation forms (CPF) for a concerted action or a thematic network project consist of 7 forms numbered A0, A1, A2, A3, A4, A5 and A6 (A5 and A6 have several parts), and two annexes. The forms are ordered in three sections, one for the co-ordinator, one for the contractors, and one for members. They should be used as follows, dependent on how the contract is to be structured:

- By a single principal contractor together with a body of members
  - The principal contractor fills in forms A0, A1, A2, A3, A4 and A5.
  - Members must fill in one form A6 each.For single contractor contracts, where reference in these forms is made to the co-ordinator, this should be taken to mean the single principal contractor
- By a consortium of principal contractors (one of which being the co-ordinator) each with a body of members.
  - The co-ordinator fills in forms A0, A1, A2, A3, A4 and A5 and Annex 2
  - The principal contractors fill in one form A5 each.
  - Members must fill in one form A6 each.

### **Importance of details and accuracy:**

The contractually defined financial rules to be followed when calculating and later charging the project costs are explained in the document "Financial Provisions Guideline". This document includes information such as which costs that are eligible/non-eligible for funding under the contract, methods for calculating personnel costs and overheads, durable equipment depreciation rules and other information on the different cost items. This document should be carefully read before completing the CPFs.

An advance payment of up to 40% will be fixed in the contract and paid after its signature. The exact amount will normally reflect the expected expenditure for the first 15 months of the project.

The advance will be recuperated before the end of the project by deducting it from the last payment or earlier as required by the Commission. Deductions may take place from every year's payment if the annual costs reported by each contractor are less than the costs budgeted for any one year. It is hereby important to provide an annual break-down of the budget costs as accurate as possible.

**Payments are made against the real costs actually incurred, in accordance with the progress identified in the technical reports - not against forecast figures.**



## 4. Structure of “Description of Work” (annex I to the contract)

### 4.1 Introduction

The “Description of Work” will be attached as a formally binding “Annex I” to the Contract with the Commission. It is a very important document, which will be frequently consulted by all the contractors and the Commission services. It defines the project work scope and the responsibilities of the contractors, and is the basis for managing the project and following its progress.

The “Description of Work” is based on the “Proposal Submission Forms, Part B and Part C (or part B for concerted actions/thematic networks) that was submitted to the Call for Proposals. However, it may need to be amended to take into account the comments and requirements from the evaluators and the Commission, as a result of the evaluation and as discussed during the contract negotiations.

In some cases the chapter explaining the scope of work (B5 "Project Workplan" for RTD projects, B11 “Workplan” for concerted actions/thematic networks) will have to be more detailed compared to the proposal. The description may also have to be updated, taking into account new developments that took place since the submission of the proposal.

**It is assumed in the following that the proposal on which the contract negotiations is based, has been made in accordance with Part 2 of the “Guide for Proposers”.**  
**It is especially important that there are compliance with the requirement for the contract scope, as defined by the objectives, the workpackages/tasks and the associated milestones and deliverables, to be clearly *quantified* and *measurable*, allowing for the follow-up and verification of the technical *and* socio-economic achievements during the contract, by the project management as well as the Commission**

### 4.2 Preparation of “Description of Work” – General Information

Generally the following must be observed:

- A header should be provided on each page, with the project acronym, proposal number and the **revision date**. For an example please refer to the example header shown on the “Table of Contents” (see the enclosed “Example 2”)
- All pages must be numbered.

The resulting, agreed “Description of Work” should be sent to the EC Programme Officer in **two unbound copies** on white paper, when the negotiation has reached the stage where the preparation of the contract can take place (see chapter 2.4 above).

**Note on Confidentiality:**  
**A publishable summary is to be submitted separately as part of the “Contract Preparation Forms” (based on Part A of the Proposal Submission Forms, chapter A2). Only this summary will be published, while the entire information given in the “Description of Work” will be kept strictly confidential.**

The revisions and amendments required to the proposal text for this to become Annex 1 “Description of Work” to the Contract is described in detail for the different types of actions in the following chapters.

## 4.2.1 “Description of Work” – R&D, Demonstration and Combined Projects

The contents of Annex I “Description of Work” is based on part B and C, which now must be combined into one single document.

- The actual names of the contractor organisations must be substituted in the chapters B1 to B5 since the “Description of Work” is obviously not anonymous.

**TITLE PAGE** (see enclosed “Example 1”)

**TABLE OF CONTENTS** (page 1 of \_\_) (see the enclosed “Example 2”)

Combine the two tables of contents in the proposal chapters B2 and C2; in order to provide a single table of contents for the complete “Description of Work”. Chapters should now be numbered sequentially. Please refer to the enclosed example, which should be extended to show all relevant sub-chapters.

### 1 **CONFIDENTIAL PROJECT SUMMARY**

Use the corresponding chapter B3 of the proposal.

If the project is identified to be performing its research within a cluster of research projects this should be briefly summarised, including the planned research interactions and other cluster activities.

### 2 **SCIENTIFIC/TECHNICAL OBJECTIVES AND INNOVATION**

Use the corresponding chapter B4 of the proposal. Note that all statements concerning scope, objectives, expected achievements and innovation aspects must be quantified and verifiable.

### 3 **PROJECT WORKPLAN**

This chapter is based on the corresponding chapter B5 of the proposal, but may need expanding and further detailing of the tasks.

Special emphasis needs to be placed on preparing a concise and complete, quantified and verifiable description of the work to be carried out and on the definition and quantification of the deliverables and critical milestones in order to allow for a proper monitoring of the progress of the project. Also a critical appraisal of the level of the technical risk and any relevant factors which may influence the chances of success should be discussed.

As the GROWTH Programme is publicly funded, a reasonable number of non-confidential deliverables suitable for publication should be foreseen. Non-confidential deliverables should therefore be clearly identified. Do not include in the list the regular reports which the Commission requires (the 6-monthly, annual, mid-term and final reports), since these are standard for all projects.

The number of pages in this chapter may have to be increased, depending on the size and complexity of the project, the level of information that was already provided in the proposal and the comments resulting from the evaluation. Project Workplan tasks may have to be subdivided into more subtasks compared to the proposal. An indication of the size of this chapter is about 10 pages for a project with 4-6 partners and 200-300 man-months, to 20 pages for a project with 8-10 partners and 400-500 man-months, including the tables required, as specified in “Guide for Proposers (part 2)” which should be consulted again.

### 4 **CONTRIBUTION TO OBJECTIVES OF PROGRAMME / CALL**

Use the corresponding chapter C3 of the proposal.

The progress of the project work will be measured against the quantified criteria in later reviews and assessments.

### 5 **COMMUNITY ADDED VALUE AND CONTRIBUTION TO EU POLICIES**

Use the corresponding chapter C4 of the proposal.

Note the importance of describing all in a **measurable** and **verifiable** form, including identification of the planned activities, which will ensure the foreseen impact in these areas, and the responsible contractors/persons.

## 6 CONTRIBUTION TO COMMUNITY SOCIAL OBJECTIVES

Use the corresponding chapter C5 of the proposal, together with its sub-chapters C5.1, C5.2 and C5.3, to prepare the following:

- 6.1 Employment, Education, Training and Working Conditions
- 6.2 Environment
- 6.3 Quality of Life, Health and Safety of the Citizens

Activities and responsibilities for ensuring the maximum impact of the project on Community social objectives results must be identified and expected results quantified, allowing for the project progress to be assessed.

## 7 ECONOMIC DEVELOPMENT AND S&T PROSPECTS

Use the corresponding chapter C6 of the proposal, together with its sub-chapters C6.1, C6.2 and C6.3 to prepare the following:

- 7.1 Exploitation and Dissemination of Results, IPR
  - Main project output
  - Contractor exploitation plans
  - Dissemination and technology transfer
  - Intellectual Property Rights and patenting
- 7.2 Economic Growth
- 7.3 Scientific and Technological Prospects

Special attention should be made to covering all aspects as also explained in the “Guide for Proposers (part 2)”. Plans for use and dissemination, as also required by the Contract, must be detailed for all results - for the consortium as a whole and for the individual participants, in concrete terms.

A final “**Technology Implementation Plan**” (TIP) is contractually required, by the end of the project, and in draft in advance of the mid-term assessment. The TIP formats and guideline should be consulted when preparing this chapter (see chapter 5 of this guide).

## 8 THE CONSORTIUM

The corresponding chapter C7 of the proposal, together with sub-chapters C7.1 and C7.2 forms the basis for the following:

- 8.1 Overview of the Consortium
- 8.2 Description of the Contractors

## 9 PROJECT MANAGEMENT AND ADMINISTRATION

- 9.1 Project Management

Use the corresponding information provided in chapters C8.1 (Project Management)

It is specially important to ensure that a “mid-term assessment clause” is included, as required by the “Guide for proposers (part 2)”, using the exact wording as provided and completing this with the required details

- 9.2 Information on Resources

The information provided in the proposal, chapter C8.2 (Information on Resources and Budget) should be removed. The “Summary of partners cost break-down” will now be replaced by the summary information in the CPFs.

The extra pages with details about each partners costs, as provided in chapter 8.2 should still be updated and included as an annex to the CPFs, providing the necessary details about the individual cost items and their relation to the technical tasks.

## 10 OTHER INFORMATION

- 10.1 List of References
- 10.2 Related Projects

Use the corresponding chapter C9 of the proposal.

Only references, which are directly relevant to the research of the project, should be included.

- 10.3 Clustering with other projects

Projects identified, as participating to a cluster of research projects should further detail their planned interactions with other projects in the cluster. This should be based on any information given in the proposal (if provided - ref. chapter C9, annex on “ex-ante” clustered proposals), together with any recommendations resulting from the evaluation.

Information should include

- List of other projects and their relevance for the present project, and the expected interactions and input from and output to these projects.
- Detailed planning of these interactions, including timing, revised resource allocations etc.
- Proposed management structure

#### 4.2.2 “Description of Work” – Demonstration Projects – Additional Comments

Generally the same layout and content is required for Demonstration or Combined projects as for R&D projects. The following instructions, given in the “Guide for Proposer (part 1)” should however be taken into consideration:

- Demonstration projects are projects, which are designed to prove the technical viability of technologies, methodologies or services that cannot be commercialised directly or to test the feasibility of innovative policy measures (as opposed to research projects which are designed to obtain new knowledge likely to be useful to support the development of products, processes, services and policies).
- Demonstration projects should as much as possible be associated with user groups, that need to be convinced of the benefits of the new technology or innovative measures, or may play a future role in its acceptance. This can constitute a powerful tool to overcome the non-scientific hurdles to dissemination and to prepare the ground for future exploitation. The user groups should normally not be included as contractors within the project.
- The duration of the demonstration projects will be established on a case by case basis (taking into account parameters such as market situation and trends, time needed for prototype building and validation, etc.). The normal duration is 24 months. In principle it can not exceed 48 months.
- Combined projects are projects, which include research and demonstration activities as described above.
- In the case of combined projects the proposal should clearly distinguish the R&D and Demonstration parts.

These comments should be incorporated into the preparation of the “Description of Work” wherever relevant, in chapters concerning the scope and work-description, as well as the expected impact.

It is important to note that it must be possible to clearly distinguish between the R&D and the demonstration scope, in the work-description as well as the administration and management of the project.

### 4.2.3 “Description of Work” – Concerted Actions/Thematic Networks

The content of Annex I “Description of Work” is based on part B of the proposal.

- All pages must be numbered.
- A header should be provided on each page, with the project acronym, proposal number and the **revision date**. Please refer to the example header shown on the enclosed “Table of Contents” (see enclosed “Example 2”)

**TITLE PAGE** (see enclosed “Example 1”)

**TABLE OF CONTENTS** (to be numbered “page 1 of \_\_”)

Please refer to the enclosed “Example 2”, which should be revised to show any relevant chapters and sub-chapters required, also according to the following:

#### 1 **CONFIDENTIAL PROJECT SUMMARY**

Use the corresponding chapter B3 of the proposal.

#### 2 **OBJECTIVES AND INNOVATIVE CHARACTER**

Use the corresponding chapter B4 of the proposal.

This chapter must justify a European action in accordance with the GROWTH programme and its general objectives. All statements concerning the planned objectives of the Concerted Action/Thematic Network, its co-ordination activities, the expected implications and achievements and the innovative aspects must be supported by full details.

- Special emphasis needs to be placed on preparing a concise and complete, quantified and verifiable description of the objectives of the Concerted Action/Thematic Network.
- The innovative aspects of the work must be explained by the novelty and complementarity of the proposed activity in relation to any other actions in the field.
- Expected implications and achievements from the networking must be quantified and verifiable, all in order to allow for a proper follow-up and management of the Concerted Action/Thematic Network.

#### 3 **WORKPLAN**

Use the corresponding chapter B11 of the proposal.

This chapter must provide a clear understanding of the planned co-ordination, networking and dissemination activities, including a breakdown in work-packages and tasks and clear definition of the roles of all members. The presentation must follow the requirements defined in “Guide for Proposers (part 2)”, including aspects such as:

- Members’ research activities to be co-ordinated must be clearly identified.
- Planned activities relative to the of the Concerted Action/Thematic Network management and to each individual member of the Concerted Action/Thematic Network must be described.
- Deliverables and critical milestones must be identified in order to allow for a proper monitoring of the progress and management of the project.
- The number of pages in this chapter may have to be increased, depending on the size and complexity of the Concerted Action/Thematic Network, the level of information that was already provided in the proposal and the comments resulting from the evaluation.
- The progress of the project work will be measured against the criteria laid down in this chapter, in later reviews and assessments, as well as they should form an important basis for the Concerted Action/Thematic Network management’s own project control.

#### 4 **CONTRIBUTION TO PROGRAMME / KEY ACTION PRIORITIES**

Use the corresponding chapter B5 of the proposal.

#### 5 **COMMUNITY ADDED VALUE AND CONTRIBUTION TO EU POLICIES**

Use the corresponding chapter B6 of the proposal.

It is important that all statements are supported by sufficient detailed evidence, including identification of the planned activities and partners/persons responsible for, or involved in these.

## **6 CONTRIBUTION TO COMMUNITY SOCIAL OBJECTIVES**

Use the corresponding chapter B7 of the proposal, together with its sub-chapters B7.1, B7.2 and B7.3 to prepare the following sub-chapters:

- 5.1 Employment, Education and training, Working Conditions
- 5.2 Environment
- 5.3 Quality of Life, Health and Safety of the Citizens

It is important to clearly identify all planned activities and the responsibilities for ensuring the maximum impact of the project results on the Community social objectives.

## **7 ECONOMIC DEVELOPMENT AND S&T PROSPECTS**

Use the corresponding chapter B8 of the proposal, together with its sub-chapters B8.1, B8.2 and B8.3, to prepare the following sub-chapters:

- 6.1 Exploitation and Dissemination of Results, IPR
  - Main concerted action/thematic network output
  - Member organisations' exploitation plans
  - Dissemination and technology transfer
  - Intellectual Property Rights and patenting
- 6.2 Economic Growth
- 6.3 Scientific and Technological Prospects
  - Note especially that plans for use and dissemination of results must be detailed for all results, and the necessary actions planned, for the Concerted Action/Thematic Network in general and for the individual member organisations
  - Efficient and wide dissemination of the work and results of the Concerted Action/Thematic Network is important, and mechanisms for ensuring this must be clearly identified, including a reasonable number of non-confidential deliverables suitable for publication (do not include in the list the regular reports which the Commission requires)
  - Please also follow the requirements as laid down for the "Technology Implementation Plan" (TIP) required to be developed throughout the life of the Concerted Action/Thematic Network. A complete, draft version must be presented in advance of the mid-term assessment. The TIP formats and guideline should be consulted when preparing this chapter (see chapter 5).

## **8 CONCERTED ACTION/THEMATIC NETWORK ORGANISATION**

Use the corresponding chapter B9 of the proposal, together with its sub-chapters B9.1 and B9.2, to prepare the following sub-chapters:

- 7.1 Description of the Consortium
- 7.2 Description of the Member Organisations

Concentrate on providing Concerted Action/Thematic Network relevant information, as also required in the "Guide for Proposers (part 2)"

## **9 CONCERTED ACTION/THEMATIC NETWORK MANAGEMENT**

Use the corresponding chapter B10 of the proposal.

It is specially important to ensure that a "mid-term assessment clause" is included, as required by the "Guide for proposers (part 2)", using the exact wording as provided and completing this with the required details

## **INFORMATION ON RESOURCES AND BUDGET**

Information on Resources and Budget as provided in the proposal, chapter B12, should be removed. The "Summary of partners cost break-down" will now be replaced by the summary information given in the CPFs. The additional budget information in chapter B12, providing "further sufficient explanation and justification" of the costs of the individual partners should still be updated. Please include this information as an annex to the CPFs.

## **10 OTHER INFORMATION**

- 10.1 List of References
- 10.2 Related projects or concerted actions/thematic networks

Use the corresponding chapter B12 of the proposal.

Only references, which are directly relevant to the research of the project, should be provided, and the chapter may provide information such as:

- Describe any other project, concerted action/thematic network, their relevance and the expected interactions with these projects.
- Detailed planning of these interactions etc.
- Proposed management structure

## **5. Other management related information**

For the management of your project, the Commission will normally appoint the same official who acted as chief negotiator to be Programme Officer. This person is your project's key link to the Commission for any problems, which may arise during the execution of the work.

Certain tasks concerning contract management, cost claims or legal matters may be handled by specialist staff within the Commission, normally through the Programme Officer.

The Commission has established certain guidelines and requirements, which will be explained by the Programme Officer to the extent possible. It is further recommended, and necessary, to make use of the various documents available from our services.

### **5.1 Coordinator Guidelines and Progress Reporting**

The co-ordinators tasks, including reporting requirements supply reports at 6-monthly intervals are explained in the separate GROWTH guidelines – the “Guidelines for Coordinators” and the “Reporting Guideline” outlining the various requirements. These guideline are available from the CORDIS/GROWTH homepage, on the following address (which also provides forms for cost statements):

<http://www.cordis.lu/growth/src/manage.htm>

### **5.2 Cost claims**

Contractors will, via the co-ordinator, be required to submit cost claims annually, together with their contribution to the annual report. Against these claims the Commission will make interim payments. Final cost claims and payments are made following the completion of the work.

The formats to be used are included with the “Model Contract” (see below), and further guidance is given in the “Financial Provisions Guideline” (see previous chapter 3 “Contract Proposal Forms”), which will be provided by our services at the contract negotiation and preparation phase.

The Financial Provisions Guideline is also available from the following address:

[www.cordis.lu/fp5/financial-guides.htm](http://www.cordis.lu/fp5/financial-guides.htm)

### **5.3 Model Contract**

The “Model Contract” is the basis for all research contracts, and is available from the Commission services, or it may be downloaded from the following address:

<http://www.cordis.lu/fp5/mod-cont.htm>

Model contracts for the following actions are all available from this address:

- RTD Projects
- Accompanying Measures
- Accompanying Measures specific to technology take-up measures
- Concerted Actions/Thematic Networks
- Marie Curie Individual Fellowships
- Exploratory Awards
- Co-operative Research (CRAFT)

### **5.4 Technology Implementation Plan**

RTD projects are required to prepare a “Technology Implementation Plan” (TIP) to be finalised before the end of the project. This shall indicate all potential foreground rights and intentions for use and dissemination of the results, including a timetable. A first version of this report must be presented before the mid-term assessment of the project.

A detailed format for the Technology Implementation Plan will be provided by our services, or it may be downloaded from the following address:

<http://www.cordis.lu/fp5/tip.htm>

### **5.5 Consortium Agreement and IPR**

Information and guidance is available from the Commission IPR help-desk which may be consulted on the following address:

<http://www.cordis.lu/ipr-helpdesk>

The site contains various information, including a “checklist for a Consortium Agreement” as required to be made early in most projects.

### **5.6 Other useful information**

Further information about the GROWTH programme, ongoing research and networking, the workprogramme and future calls for proposals etc., can be consulted on the GROWTH homepage at the following address:

<http://www.cordis.lu/growth/home.html>

Note: This site is presently being revised to include direct access to documentation required for contract preparation as well as the managing of research contracts.

### **5.7 Actions against fraud**

The Commission is alert to fraudulent cost claims and, in the case of shared-cost RTD, for failure on the consortium’s side to contribute matching funds.

These matters will be the subjects of regular checks, both in cases where suspicion is aroused and on a random basis. These checks may take any form, up to and including unannounced visits to contractors’ premises, and may be verifying both accounting practices, actual technical contributions and their conformity with the contractual scope defined in the “Description of Work”, and methods for recording resource consumption and costs in relation to the workscope.



**COMPETITIVE AND SUSTAINABLE GROWTH  
(GROWTH)  
PROGRAMME**



**Contract for:** *(select as appropriate)*

**Shared-cost RTD  
and  
Demonstration project  
Concerted Action/Thematic Network**

***Annex 1 “Description of Work”***

Proposal number:

Project acronym:

Project full title:

Duration:           xx Month

Project

Co-ordinator:       (full name of the co-ordinating organisation)

Contractors:

(full names of the organisations)

(country code)

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...

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**Document Revision Date:**

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**Note: Additional chapters and especially sub-chapters should be added in accordance with the resulting structure of the “Description of Work” and type of action.**