



## **Project reporting in FP6**

Guidance notes for Integrated Projects, Networks of Excellence,  
Specific Targeted Research or Innovation Projects, Coordination Actions,  
Specific Support Actions, Co-operative Research Projects and  
Collective Research Projects\*

Version 1, October 2004

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\* Reporting guidance notes for other types of projects will be available separately

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# 1 Introduction

Project monitoring in FP6 consists of a review of the reports and of the deliverables which are submitted by the project coordinator on behalf of the consortium. This document provides guidance and instructions to assist the consortium in preparing these reports and deliverables. It also describes the procedure for their submission to the Commission and contains a brief explanation of the review procedure.

The document is based on the reporting requirements as stipulated mainly in Articles II.7, II.8 and II.10.3 of the model contract, as well as Articles III.1 and III.3 for IPs and Articles III.1 and III.4 for NoEs. Annex I to the contract may also stipulate specific reporting requirements.

**These Guidance notes do not supersede the rules and conditions laid out, in particular, in Council and Parliament Decisions relevant to the Sixth Framework Programme, the relevant Specific Programme, the Rules for Participation, the Financial Regulation applicable to the general budget of the European Communities and its implementing rules or the contract and its annexes.**

*This introductory section summarises all types of reports and deliverables that need to be submitted during the lifetime of the project. More details on content and structure can be found in the main body of the document.*

**Periodic reports** are required and must be submitted at the end of each reporting period as defined in Article 6 of the contract. These are:

**The periodic activity report**, containing an overview of the activities carried out during the reporting period, describes the progress in relation to the project objectives, the progress towards the milestones and deliverables set for the period, and any problems encountered and corrective actions taken.

It also includes a **Publishable executive summary** and, as an Annex, an updated **Plan for using and disseminating the knowledge** (for the last reporting period this annex is not necessary) (Article II.7.2.a of the contract).

**The periodic management report** includes a detailed justification of the costs incurred and of the resources deployed by each contractor linking them to activities implemented and justifying their necessity, the financial statements (Form C) from each contractor (which may require an *Audit certificate*<sup>2</sup>) and a summary financial report consolidating the costs of the contractors (Article II.7.2.b of the contract).

**The periodic report on the distribution of the Community's contribution** records the distribution of funding to each contractor during that period (Article II.7.2.c of the contract).

**The draft planning for next 18 months** (*only for IPs and NoEs*) (Article III.3 of the contract for IPs; Article III.4 of the contract for NoEs).

**The interim science and society reporting questionnaire** (*for all projects*) to be completed on-line by the co-ordinator *at the end of the first reporting period only* (Article II.10.3 of the contract).

<sup>2</sup> if provided for under Article 7.2 of the contract

**The interim reporting on the implementation of the gender action plan** (*only for IPs and NoEs*) consists of a questionnaire to be completed on-line by the co-ordinator and by each contractor *at the end of the first reporting period only* (Article III.1 of the contract for IPs; Article III.1.3 of the contract for NoEs).

**The interim reporting questionnaire on workforce statistics** (*for all projects except IPs and NoEs*) to be completed on-line by each contractor *at the end of the first reporting period only* (Article II.10.3 of the contract).

**The interim socio-economic reporting questionnaire** (*for all projects*) to be completed on-line by each contractor *at the end of the first reporting period only* (Article II.10.3 of the contract).

**Supplementary reports**, as specified in the annexes to the contract (Article II.7.2.d of the contract).

**Interim activity reports** may be required, *if specified in Annex I to the contract*. These are brief reports submitted at e.g. 2, 3 or 6 months intervals and are intended to regularly inform the Commission Project officer about the progress of the work.

**Project deliverables.** The schedule of Deliverables to be submitted to the Commission is specified in Annex I to the contract. They are approved normally with the periodic reviews of project progress.

**Final reports.** *In addition to the periodic reports for the last reporting period*, the consortium shall submit the following final reports to the Commission after the end of the project. These final reports summarise the project's activities over its full duration.

**A publishable final activity report**, covering main aspects of the work, objectives, results and conclusions, including the **publishable results of the final plan for using and disseminating the knowledge**. If the final activity report is not in a publishable form, a publishable summary should be included as well (Article II.7.4.a of the contract).

**A final plan for using and disseminating the knowledge** (Article II.7.4.a of the contract).

**A final management report** for the full duration of the project consolidating the claimed costs of all the contractors in an aggregate form covering the entire duration of the project, including the last reporting period (Article II.7.4.b of the contract).

**A final report on the distribution of the Community's contribution** consolidating the funding distributed to each contractor over the entire duration of the project (Article II.7.4.d of the contract).

**A final science and society reporting questionnaire** (*for all projects*) to be completed on-line by the co-ordinator (Article II.10.3 of the contract).

**A final reporting on the implementation of the gender action plan** (*only for IPs and NoEs*) consists of a questionnaire to be completed on-line by the co-ordinator and by each contractor (Article III.1 of the contract for IPs; Article III.1.3 of the contract for NoEs).

**A final reporting questionnaire on workforce statistics** (*for all projects except IPs and NoEs*) consists of a questionnaire to be completed on-line by each contractor (Article II.10.3 of the contract).

**A final socio-economic reporting questionnaire** (*for all projects*) to be completed on-line by each contractor (Article II.10.3 of the contract).

**Supplementary final reports** may be required, as specified in the annexes to the contract (Article II.7.4.c to the contract).

**Other data requested by the Commission.** Contractors are reminded of Article II.3.1.d of the contract – “The consortium shall provide all detailed data requested by the Commission for the purposes of the proper administration of this project”.

Reports must be submitted **in writing** by means of registered mail with acknowledgement of receipt to the addresses given in Article 11 of the contract and **must also be transmitted by electronic means** (file formats must be Word-compatible or PDF) to the functional mailbox address specified in Article 11 of the contract (or to any other addresses later communicated by the Commission to the project coordinator) (Article II.7.5 of the contract).

If Interim activity reports are required, these are also delivered on paper and electronically as above, unless otherwise specified in Annex I to the contract.

Reports are delivered<sup>3</sup> (Article II.7.1 of the contract) and approved (Article II.8) according to the following schedule:

<b>Delivery</b>	<b>Delivery – Calendar days after end of reporting period</b>	<b>Approval – Calendar days after arrival</b>
Periodic activity report	45	Normally 45 (90=tacit approval)
Periodic management report	45	Normally 45
Periodic report on the distribution of the Community's contribution	45	N/A
Draft planning for next 18 months ( <i>only for IPs and NoEs</i> )	45	Normally 45
Interim science and society reporting questionnaire ( <i>for all projects</i> )	45	Normally 45
Interim reporting on the implementation of the gender action plan ( <i>only for IPs and NoEs</i> )	45	Normally 45
Interim reporting questionnaire on workforce statistics ( <i>for all projects except IPs and NoEs</i> )	45	Normally 45
Interim socio-economic reporting questionnaire ( <i>for all projects</i> )	45	Normally 45
Supplementary reports	45	Normally 45
Interim activity reports ( <i>if required in Annex I</i> )	45	Normally 45

<sup>3</sup> The Delivery deadlines are based on the time of arrival of the *paper* version

Deliverables	45	Normally with project periodic review
Publishable final activity report	45 <sup>4</sup>	Normally 45
Final plan for using and disseminating the knowledge	45 <sup>4</sup>	Normally 45
Final management report	45 <sup>4</sup>	Normally 45
Final report on the distribution of the Community's contribution	60 <sup>5</sup>	N/A
Final science and society reporting questionnaire ( <i>for all projects</i> )	45	Normally 45
Final reporting on the implementation of the gender action plan ( <i>only for IPs and NoEs</i> )	45	Normally 45
Final reporting questionnaire on workforce statistics ( <i>for all projects except IPs and NoEs</i> )	45	Normally 45
Final socio-economic reporting questionnaire ( <i>for all projects</i> )	45	Normally 45
Supplementary final reports	45	Normally 45

The Commission staff will assess **periodic activity reports** within 45 days after reception. These reports will be deemed approved by the Commission if no comments or requests for changes and corrections are communicated to the consortium within 90 days after the receipt of each of these reports (Article II.8.2 of the contract).

For all other reports, the Commission will assess these within 45 days upon their reception. However no tacit approval is implied even if no response is received from the Commission within 45 days. The Commission reserves the right to reject such reports at any time, even after the 90 day interval for making the payment has expired (Article II.8.3 of the contract).

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<sup>4</sup> May be extended to 90 days after the end of the project, if a substantiated request is made to the Project Officer (Article 7.3 of the contract)

<sup>5</sup> Sixty days after receipt of final payment by the coordinator

## 2 Periodic reports

### 2.1 Periodic activity report

The Periodic activity report is submitted after each reporting period as defined by Article 6 of the contract (once per year for IPs and NoEs). It is based on relevant information from Annex I of the contract. It comprises a number of sections:

**Front page** (example in Appendix 3)

**Publishable executive summary** (*not needed for the last reporting period*)

Normally not more than four pages and of suitable quality to enable direct publication by the Commission. It should include a summary description of project objectives, contractors involved, co-ordinator contact details, work performed, results achieved so far and expected end results, intentions for use and impact. It should contain the main elements of the publishable results of the plan for using and disseminating the knowledge. Include if available diagrams or photos illustrating the work of the project, a project logo and a reference to the project public website.

**Section 1 – Project objectives and major achievements during the reporting period**

- Give an overview of general project objectives, show the project's current relation to the state-of-the-art
- Summary of recommendations from previous reviews (if any) and brief description of how they have been taken up by the consortium
- Summarise the objectives for the reporting period, work performed, contractors involved and the main achievements in the period
- If applicable, comment on the most important problems during the period including the corrective actions undertaken

**Section 2 – Workpackage progress of the period**

Provide an overview of the actions carried out in the reporting period, based on the workpackages<sup>6</sup> which were active or planned to be active during the period.

For **each workpackage**, present information under the following headings:

- Workpackage objectives and starting point of work at beginning of reporting period
- Progress towards objectives – tasks worked on and achievements made with reference to planned objectives, identify contractors involved
- Deviations from the project workprogramme, and corrective actions taken/suggested: identify the nature and the reason for the problem, identify contractors involved
- List of deliverables, including due date and actual/foreseen submission date (see Appendix 2, Table 1)
- List of milestones, including due date and actual/foreseen achievement date (see Appendix 2, Table 2)

**Section 3 – Consortium management**

This section should summarise the status of the project, its management and follow-up activities, including information on:

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<sup>6</sup> The workpackage on Project management should not be reported here but under Section 3

- Consortium management tasks and their achievement; problems which have occurred and how they were solved
- Contractors: Comments regarding contributions, changes in responsibilities and changes to consortium itself<sup>7</sup>, if any
- Project timetable and status, including an updated, frontlined barchart (see Appendix 2, Table 5). Clarify changes and impact on the planned milestones, if any
- The section should also provide short comments and information on co-ordination activities in the period, such as communication between partners, project meetings, possible co-operation with other projects/programmes etc.

#### **Section 4 – Other issues**

*Projects which were subject to requirements and/or recommendations concerning ethical issues*

Describe actions undertaken in the implementation of the requirements and/or recommendations made during contract negotiations concerning **ethical issues** in the project's work

*IP or NoE projects which carried out a competitive call for additional contractors*

Describe actions in implementation of the **competitive call**, indicating how the call was publicised, the response, the selection procedure employed and the outcome of the call.

*Co-operative Research Projects*

Describe the overall contributions of the group of SMEs, of RTD performers, and of other enterprises and end-users. In particular the extent to which the work of the RTD performers has provided benefits to the SMEs and the balance of the work/resources between the RTD performers and all other contractors.

*Collective Research Projects*

Describe the overall contributions of the group of Industrial Associations/Groupings, of RTD performers and of the SME core group. In particular the extent to which the work of the RTD performers have expanded the knowledge base of large communities of SMEs and improved their general standard of competitiveness and the balance of the work/resources between the RTD performers and all other contractors.

#### **Annex – Plan for using and disseminating the knowledge**

See format in Appendix 1.

##### **The electronic version of the Periodic activity report must be submitted as follows**

A complete file containing the whole report, including the Annex on the Plan for using and disseminating the knowledge

A separate file containing the Publishable Executive Summary

A separate file containing the Plan for using and disseminating the knowledge

A separate file containing the Publishable results of the Plan for using and disseminating the knowledge

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<sup>7</sup> Changes to the consortium membership must be addressed in a specific request for an amendment to the contract



## 2.2 Periodic management report

The Periodic management report is submitted after each reporting period at the same time as the Periodic activity report.

The Periodic management report includes the following sections:

**Front page** (example in Appendix 3)

### Section 1 - Justification of major cost items and resources

Provide a justification of the major costs incurred and resources deployed by each contractor, linking them to activities implemented by each contractor and explaining their necessity.

This should include the following:

- A brief description of the work performed by each contractor during the period. This should be addressed at the workpackage level, and the work specification should be detailed enough to justify the resources employed - “Contributing to workpackage X” or “Contributing YY% to workpackage X” is too unspecific. Rather e.g. “Developed the ... module for...in workpackage X”.
- Explanatory note on any major cost items such as important equipment purchases, major travel costs, large consumable items etc., justifying their necessity to the project.
- A tabular overview of budgeted costs and actual costs, by contractor and by major cost item including personnel (see Appendix 2, Table 3).  
For AC contractors, a tabular overview of all resources employed on the project and a global estimate of all costs.
- A tabular overview of budgeted person-months and actual person-months, by contractor and by workpackage (see Appendix 2, Table 4). The budgeted person-months should normally be taken from Annex I to the contract.  
For AC contractors, in addition estimate the number of person-months of permanent staff working on the project<sup>8</sup>.
- A summary explanation of the impact of major deviations from cost budget and from person-month budget, with reference to Section 2 “Workpackage progress” of the accompanying Periodic activity report where the reasons for deviation from plan have been explained.

### Section 2 – Form C Financial statement per activity for the contractual reporting period, to be completed by each contractor (see Appendices 5-11)

Provide for each contractor in the project the Form C Financial statement as set out in Annex VI to the contract. *(If special clause 23 has been used then financial statements from members of the organisation should also be provided and the summary financial statement from the contractor).*

**Audit certificates** are to be submitted with the Form C if required for this period in Article 7 of the contract (or for any contractor whose EC contribution is more than € 750,000 for the period). Audit certificates must cover the costs incurred during all precedent periods for which audit certificates have not been provided.

For instructions to contractors on the correct completion of the Form C see the [Guide to financial issues](#).

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<sup>8</sup> even if not eligible for funding

### **Section 3 – Summary financial report** (see Appendices 5-11)

Include a summary report of total (direct + indirect) costs in euros as claimed by each contractor and activity type, for the reporting period (i.e. a summary of the individual contractor's Form C information).

Note that for contractors subject to special clause 23, a summary financial report must be provided consolidating data from contractors' and members' Form C.

### **2.3 Periodic report on the distribution of the Community's contribution**

The periodic report on the distribution of the Community's contribution is submitted after each reporting period (annually for IPs and NoEs), at the same time as the Periodic activity report.

It shows the distribution (in euros<sup>9</sup>) of funds made by the coordinator to contractors during the reporting period (see Appendix 12).

You may include dated columns of "Repayments", of funding returned to the coordinator for re-distribution to other contractors, if the case arises<sup>10</sup>.

### **2.4 Draft planning for next 18 months<sup>11</sup>**

*IPs and NoEs only*

Provide a detailed Implementation Plan (IPs) or detailed Joint Programme of Activities (NoEs) for the next 18 months<sup>12</sup> of the project, using the format, tabulations etc. of the previous 18 months plan, as included within Annex I to the contract.

### **2.5 Interim science and society reporting questionnaire**

*All projects*

The questionnaire has been designed to monitor how Science & Society has been embedded in the project. It is completed on-line by the co-ordinator **at the end of the first reporting period only**. Instructions on how to complete the questionnaire will be communicated by the Commission Project Officer (Appendix 13 contains a paper version of the questionnaire for easy reference).

### **2.6 Interim reporting on the implementation of the gender action plan**

*IPs and NoEs only*

This reporting consists of the completion of a questionnaire on the activities undertaken and the progress made in implementing the project's Gender Action Plan. It is completed on-line by the co-ordinator (parts 1, 2, 5 and 6) and by each contractor (parts 1, 3 and 4) **at the end of the first reporting period only**. Instructions on how to complete the questionnaire will be communicated by the Commission Project Officer (Appendix 14 contains a paper version of the questionnaire for easy reference).

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<sup>9</sup> not thousands of euros

<sup>10</sup> For example, if one contractor leaves the project and another takes his place

<sup>11</sup> See section 5 "Periodic reviews"

<sup>12</sup> Or up to the end of the project if less than 18 months remaining

## **2.7 Interim reporting questionnaire on workforce statistics**

*All projects except IPs and NoEs*

This questionnaire has been designed to collect gender statistics on the project workforces. It is completed on-line by each contractor **at the end of the first reporting period only**. Instructions on how to complete the questionnaire will be communicated by the Commission Project Officer (Appendix 15 contains a paper version of the questionnaire for easy reference).

## **2.8 Interim socio-economic reporting questionnaire**

*All projects*

The purpose of this questionnaire is to get data on the integration of the socio-economic (and foresight) aspects of the research in the project. It is completed on-line by each contractor **at the end of the first reporting period only**. Instructions on how to complete the questionnaire will be communicated by the Commission Project Officer (Appendix 16 contains a paper version of the questionnaire for easy reference).

## **2.9 Supplementary reports**

Any Supplementary reports which have been specified in any annex of the contract to be prepared at each periodic reporting period will also now be submitted.

<p><b>All periodic reports described in Sub-sections 2.1-2.9 shall be submitted <i>within the same deadline</i> of 45 days following the end of the reporting period in question. The delivery date is the time of arrival of the paper version of the complete set of reports.</b></p>
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### 3 Interim activity reports

*Interim activity reports are only required if this has been specified in Annex I of the contract.* The Interim activity report will consist of brief information on key project actions. The overall length of the report depends on the complexity of the project, the number of contractors, workpackages etc., and the duration of the reporting period, so this should in all cases be discussed and agreed with the Commission Project Officer. The nature and timing of these reports will be indicated in Annex I to the contract but the contents should include:

**Front page** (example in Appendix 3)

#### **Section 1 – Project objectives and major achievements during the reporting period**

#### **Section 2 – Workpackage progress of the period**

Provide an overview of the actions carried out, based on the workpackages<sup>13</sup> which were active or planned to be active during the period.

For **each workpackage**, present the following information:

- Progress towards objectives – tasks worked on and achievements made with reference to planned objectives, identify contractors involved
- Deviations from the project workprogramme, and corrective actions taken/suggested: identify the nature and the reason for the problem, identify contractors involved

#### **Section 3 – Consortium management**

This section should summarise the status of the project and its management activity, including information on:

- Consortium management tasks and their achievement; problems which have occurred and how they were solved
- Contractors: Comments regarding contributions, changes in responsibilities and changes to consortium itself<sup>14</sup>, if any
- Short comments and information on co-ordination activities in the period, such as communication between partners, project meetings, possible co-operation with other projects/programmes etc.

#### **Section 4 – Other issues**

#### **Annex – Use and dissemination**

Explain any activities undertaken in relation to the use or dissemination of project results, including publications made, press releases, brochures etc. or any other dissemination activities carried out, such as presentations at conferences etc. This could include the identification of any results which are to be published, made freely available, patented etc.

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<sup>13</sup> The workpackage on Project management should not be reported here but under Section 3

<sup>14</sup> Changes to the consortium membership must be addressed in a specific request for an amendment to the contract

## 4 Project deliverables

A project deliverable represents a verifiable output of the project which is subject to review by the Commission. Normally, each workpackage will produce one or more deliverables during its lifetime.<sup>15</sup> The deliverables and the timing of their submission are specified in Annex I to the contract.

Deliverables are often written reports but can also take another form, for example the completion of a prototype, etc. In such cases the deliverable should nevertheless also be documented in a written record of the achievement of the deliverable<sup>16</sup>, including any available supporting material (e.g. photos of the prototype, the report of the conference....).

Deliverables are submitted to the Commission electronically and on paper as for project reports, unless otherwise specified in Annex I to the contract. Each deliverable has a standard front page (see Appendix 4).

Deliverables should be submitted on the due date as specified in Annex I, with a maximum contractually permitted delay of 45 days after the end of the reporting period. Any delay in the submission of a deliverable must be reported in the Interim activity report (if one is required) or the Periodic activity report, in the section “**Workpackage progress of the period**”, where both the due date and the actual submission date (or the foreseen date, if the deliverable is not yet submitted) are reported.

The formal approval of deliverables by the Commission services forms part of the Periodic review process (see following section).<sup>17</sup>

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<sup>15</sup> With the exception of the “Project management” workpackage which normally supports the execution of the project as a whole without a specific deliverable

<sup>16</sup> In addition to being listed as an achieved deliverable in the Interim and Periodic activity reports

<sup>17</sup> In the case of an unsatisfactory deliverable, the Commission Project officer may give an informal feedback and permit the contractors to submit a revised version in time for the Project review

## 5 Periodic Reviews

Periodic project reviews will be organised by the Commission, normally at the end of a Reporting Period to assess the work carried out during all precedent reporting periods for which a periodic review has not been carried out, or, in those cases where a mid-term review is foreseen in the contract at the time foreseen.

The review may be carried out by the Commission services alone, or by the Commission services with the support of external experts appointed by the Commission. If external experts are used in the process, their names will be communicated to the consortium beforehand, with the right to make (well-founded) objection to any particular individual proposed on grounds of commercial confidentiality.

The review may be based only on the written material submitted by the project (reports and deliverables), or may additionally involve a “hearing and/or review procedure” with project representatives. If a review meeting is employed, fuller details of the procedure for the review/hearing will be communicated to the consortium in good time for them to prepare for their participation.

The review will principally assess

- the degree of fulfilment of the project work plan for the period
- the degree of fulfilment of the deliverables
- the necessity of the resources that the contractors have employed
- the management aspects of the project
- the likelihood to achieve the results aimed at by the project
- the planning of the next period (18 months for IPs and NoEs)
- the plan for using and disseminating the knowledge

The exact timing for performing the review, including any hearing, will be fixed in such a way that the 45/90 days deadline for approval can be met<sup>18</sup>.

In all cases the outcome of the review will be communicated in writing to the project coordinator. This may include technical recommendations to be taken into account in the project’s planning for the work of the next period. For IPs and NoEs the review may recommend amendments to the draft 18-month plan, in which case the consortium will present an amended plan which, on approval by the Commission Project officer, will be appended to Annex I to the contract<sup>19</sup>.

If, as a result of the review, there is reason to believe that the project has deviated from its declared aims or is in some other way unable to achieve its goals, the outcome of the review might involve continuation of Commission financial support being made conditional on a re-focusing of the project on modified goals, or it may recommend the suspension of part or all of the project in accordance with Article II.5 of the contract or the termination of the contract, or of the participation of any contractor, according to Articles II.15 and II.16 of the contract.

The final project review will be similar.

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<sup>18</sup> see Table in Section 1

<sup>19</sup> If no recommendations are made, then the original 18-month plan as submitted with the Periodic reports will be appended to the contract Annex I.

## 6 Final reports

**At the end of the project, the consortium shall submit the periodic reports for the last reporting period as at the close of all the previous periods (with the exception of the update of the plan for using and disseminating the knowledge and the draft planning for the next 18 months).**

**In addition there are final reports to be provided covering the whole duration of the project.**

### **6.1 Publishable final activity report**

The Publishable final activity report is submitted at the same time as the last Periodic activity report i.e. within 45 days of the end of the project.<sup>20</sup>

It resembles an expanded version of the Publishable Executive Summary which was provided with each Periodic activity report, but in its final form it cumulates and summarises the project activities and results over the full duration. It is of suitable quality to enable direct publication by the Commission. While not excluding technical language, it should be broadly comprehensible to an interested general reader.

**Front page** (example in Appendix 3)

#### **1. Project execution**

It should include a summary description of project objectives, contractors involved, work performed and end results, elaborating on the degree to which the objectives were reached. It briefly describes the methodologies and approaches employed and relates the achievements of the project to the state-of-the-art. It should explain the impact of the project on its industry or research sector. It includes, if available, diagrams or photos illustrating the work of the project, a project logo and a reference to the project website.

#### **2. Dissemination and use**

Publishable results of the Final plan for using and disseminating the knowledge (see format in Appendix 1).

### **6.2 Final plan for using and disseminating the knowledge**

See format in Appendix 1.

### **6.3 Final management report**

The coordinator will also submit within 45 days of the end of the project a Final management report consolidating the costs of all the contractors taking into account any adjustments made by the Commission, in an aggregate form covering the entire duration of the project. The format for this report is the same as the format used for the Periodic management report Section 2.

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<sup>20</sup> May be extended to 90 days after the end of the project, if a substantiated request is approved by the Project Officer

#### **6.4 Final report on the distribution of the Community's contribution**

The coordinator will submit within 60 days after receipt of the final payment by the Commission a Final report on the distribution of the Community's contribution reporting the final, cumulative distribution of funds made to each contractor. The report shows the net payment made to each contractor over the entire duration of the project. The format for this report is the same as the format of the Periodic report on the distribution of the Community's contribution (see Appendix 12).

#### **6.5 Final science and society reporting questionnaire**

*All projects*

The questionnaire has been designed to monitor how Science and Society has been embedded in the project. It is completed on-line by the co-ordinator. Instructions on how to complete the questionnaire will be communicated by the Commission Project Officer (Appendix 13 contains a paper version of the questionnaire for easy reference).

#### **6.6 Final reporting on the implementation of the gender action plan**

*IPs and NoEs only*

This reporting consists of the completion of a questionnaire on the activities undertaken and the progress made in implementing the project's Gender Action Plan. It is completed on-line by the co-ordinator (parts 1, 2, 5 and 6) and by each contractor (parts 1, 3 and 4). Instructions on how to complete the questionnaire will be communicated by the Commission Project Officer (Appendix 14 contains a paper version of the questionnaire for easy reference).

#### **6.7 Final reporting questionnaire on workforce statistics**

*All projects except IPs and NoEs*

This questionnaire has been designed to collect gender statistics on the project workforces. It is completed on-line by each contractor. Instructions on how to complete the questionnaire will be communicated by the Commission Project Officer (Appendix 15 contains a paper version of the questionnaire for easy reference).

#### **6.8 Final socio-economic reporting questionnaire**

*All projects*

The purpose of this questionnaire is to get data on the integration of the socio-economic (and foresight) aspects of the research in the project. It is completed on-line by each contractor. Instructions on how to complete the questionnaire will be communicated by the Commission Project Officer (Appendix 16 contains a paper version of the questionnaire for easy reference).

#### **6.9 Supplementary final reports**

Any Supplementary reports which have been specified in any annex of the contract to be prepared at the end of the project will also now be submitted.



## 6.10 Residual obligations

Contractors have a number of obligations which remain in force after the end of the project and the delivery of the final reports.

They are required by Article II.34 of the contract to use or cause to be used the knowledge which has arisen from the project, normally within two years after the end of the project. This may involve a Commission review of their actual implementation of the plans described in the final *Plan for using and disseminating the knowledge*.

Contractors are required by Article II.10.1 of the contract to provide, at any time up to five years after the end of the project, any data necessary for:

- The continuous and systematic review of the Sixth Framework Programme and of the specific priority concerned
- The evaluation and impact assessment of funded activities

Such data may also be published by the Commission in the form of anonymous statistics.

The Commission or the Court of Auditors may also, according to Article II.29 of the contract, at any time during the contract and up to five years after the end of the project, arrange for audits to be carried out, either by outside scientific or technological reviewers or financial auditors, or by the Commission departments themselves including OLAF<sup>21</sup>. Such audits may cover scientific, financial, technological and other aspects (such as financial, accounting and management principles) relating to the proper execution of the project and the contract.

For these reasons, contractors are required by Article II.29.3 of the contract to keep all documentation relating to the contract for **up to five years** from the end of the project.

Contractors also remain bound to certain undertakings of confidentiality, as described in Article II.9 of the contract, and requirements concerning access rights (licences and user rights), as described in Article II.35 of the contract.

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<sup>21</sup> Office européen de Lutte Anti-Fraude / European Anti-Fraud Office

## **7 Appendices**

## 7.1 Appendix 1 – Plan for using and disseminating the knowledge<sup>22</sup>

In the plan for using and disseminating the knowledge the contractors will set out in a detailed and verifiable manner, the terms of use and dissemination of the knowledge arising from the project, which they own, in accordance with their interests (Article II.34.1 of the contract). It is an evolving document which should be regularly updated (annually for IPs and NoEs) to give a cumulative overview of the project's undertaken and planned activities, and submitted at the end of each reporting period.

The final plan for using and disseminating the knowledge, as required at the end of the project, will therefore provide a complete picture of all activities undertaken and most importantly will provide information on the future route to full use (exploitation or use in further research) and dissemination of the knowledge.

The document should include the following three sections (*Contractors concerned are only expected to fill in sections which are RELEVANT to the project*):

### Section 1 - Exploitable knowledge and its Use

This section will only present exploitable results, defined as knowledge having a potential for industrial or commercial application in research activities or for developing, creating or marketing a product or process or for creating or providing a service.

It should provide an overview, **per exploitable result**, of how the knowledge could be exploited or used in further research (if relevant). This should be created by the project coordinator obtaining input from each contractor that owns the knowledge and has an active role in its exploitation.

Both past and planned future activities should be included.

Where applicable please also include an explanation of why planned activities mentioned in previous reports have been discontinued or altered.

#### Overview table

Exploitable Knowledge (description)	Exploitable product(s) or measure(s)	Sector(s) of application	Timetable for commercial use	Patents or other IPR protection	Owner & Other Partner(s) involved
<i>1. New superconductive Nb-Ti alloy</i>	<i>MRI equipment</i>	<i>1. Medical 2. Industrial inspection</i>	<i>2008 2007</i>	<i>A materials patent is planned for 2006</i>	<i>Partic. X (owner) Partic. Y, Partic. Z, Poss. licensing to equipment manuf. xyz</i>

<sup>22</sup> **Knowledge:** means the results, including information, whether or not they can be protected, arising from the *project* governed by this *contract*, as well as copyrights or rights pertaining to such results following applications for, or the issue of patents, designs, plant varieties, supplementary protection certificates or similar forms of protection (Article II.1.14 of the contract)

**The overview table should be accompanied by a short text per exploitable result, addressing the following issues (only when relevant)<sup>23</sup>:**

- What the exploitable result is (functionality, purpose, innovation etc.);
- Partner(s) involved in the exploitation, role and activities
- How the result might be exploited (products, processes) - directly (spin offs etc) or indirectly (licensing) – on an individual basis or as a consortium/group of partners;
  - any technical and economic market considerations – commercial and technical thresholds etc.
  - any obstacles identified which might prove to be barriers to commercialization
    - the existence or development of similar or competing technologies / solution elsewhere
    - third party rights (eg patents belonging to competitors), standards,...
    - analysis of any (potential) non-technical obstacles
  - any form of non-commercial use or impact, relating e.g. to the development of new standards or policies
- Further additional research and development work, including need for further collaboration and who they may be;
- Intellectual Property Rights protection measures (patents, design rights, database rights, plant varieties, etc – include references and details);
- Any commercial contacts already taken, demonstrations given to potential licensees and/or investors and any comments received (market requirements, potential etc.);
- Where possible, also include any other potential impact from the exploitation of the result (socio-economic impact).

## Section 2 – Dissemination of knowledge

The dissemination activities section should include past and future activities and will normally be in the form of a table maintained by the coordinator or any other person charged with controlling the dissemination activities.

### Overview table

Planned /actual Dates	Type	Type of audience	Countries addressed	Size of audience	Partner responsible /involved
	<i>Press release(press/radio/TV)</i>	<i>General public</i>			
	<i>Media briefing</i>	<i>Higher education</i>			
	<i>Conference</i>	<i>Research</i>			
	<i>Exhibition</i>	<i>Industry ( sector x)</i>			
	<i>Publications</i>				
	<i>Project web-site</i>				
	<i>Posters</i>				
	<i>Flyers</i>				
	<i>Direct e-mailing</i>				
	<i>Film/video</i>				

The overview table should be accompanied by a short description for each major activity (conference, exhibition, etc.) having taken place or planned since the last report.

<sup>23</sup> If exceptionally a contractor does not wish to disclose the text to the other contractors due to its commercial sensitivity, then they are asked to send the information directly to the Project Officer.

Relevant details, such as references of journal publications and conferences, website addresses, dates, quantitative data, etc. should be explicitly mentioned.

Completed as well as future activities should be mentioned with their actual or planned date.

Useful guidance on how to disseminate the knowledge generated under the project can be found in the Commission publication entitled [A guide to successful communications](#)<sup>24</sup>.

### Section 3 - Publishable results

This section provides a publishable summary of **each exploitable result** the project has generated, and should therefore be included **only when** the consortium is ready to publicise and have taken the appropriate measures to protect their IPR<sup>25</sup>.

For each exploitable result, this section should indicate:

- Result description (product(s) envisaged, functional description, main advantages, innovations)
- Possible market applications (sectors, type of use ..) or how they might be used in further research (including expected timings)
- Stage of development (laboratory prototype, demonstrator, industrial product...)
- Collaboration sought or offered (manufacturing agreement, financial support or investment, information exchange, training, consultancy, other)
- Collaborator details (type of partner sought and task to be performed)
- Intellectual property rights **granted** or published
- Contact details

These data will be entered in the CORDIS Results database which is open to the public and may be used by the Commission in its own promotional material. CORDIS will provide a template to collect the data and ensure that the required fields are filled (see <http://www.cordis.lu/marketplace/about.htm#summ>).

By the end of the project, this section of the final Plan for using and disseminating the knowledge will include a complete set of all publishable exploitable knowledge.

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<sup>24</sup> [http://europa.eu.int/comm/research/conferences/2004/cer2004/pdf/rtd\\_2004\\_guide\\_success\\_communication.pdf](http://europa.eu.int/comm/research/conferences/2004/cer2004/pdf/rtd_2004_guide_success_communication.pdf)

<sup>25</sup> Please beware that only information which is readily available in the public domain should be included as this might affect the owner's right to seek protection (eg patent) the results.

## 7.2 Appendix 2 – Standard reporting templates

The following templates may be employed if appropriate in summarising information for the activity and management reports.

**Table 1: Deliverables List**

List all deliverables, giving date of submission and any proposed revision to plans.

Del. no.	Deliverable name	Workpackage no.	Date due	Actual/Forecast delivery date	Estimated indicative person-months *)	Used indicative person-months *)	Lead contractor

\*) if available

**Table 2: Milestones List**

List all milestones, giving date of achievement and any proposed revision to plans.

Milestone no.	Milestone name	Workpackage no.	Date due	Actual/Forecast delivery date	Lead contractor

Table 3: Budget vs. Actual Costs

<b>Cost Budget Follow-up Table</b>									
Contract N°:			Acronym:				Date:		
PARTI-CIPANTS	TYPE of EXPENDITURE (as defined by participants)	BUDGET e	ACTUAL COSTS (EUR)				Pct. spent Total	Remaining Budget (EUR) e-e1	
			Period 1 a1	Period 2 b1	Period 3 c1	Period 4 d1			Total e1
Part. 1.....	<b>Total Person-month</b>						0	0%	0
	Personnel costs						0	0%	0
	Major cost item 'x'						0	0%	0
	Major cost item 'y'						0	0%	0
	Other costs ('the rest')						0	0%	0
	<b>Total Costs</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0%</b>	<b>0</b>
Part. 2.....	<b>Total Person-month</b>						0	0%	0
	Personnel costs						0	0%	0
	Major cost item 'x'						0	0%	0
	Major cost item 'y'						0	0%	0
	Other costs ('the rest')						0	0%	0
	<b>Total Costs</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0%</b>	<b>0</b>
Part. 3.....	<b>Total Person-month</b>						0	0%	0
	Personnel costs						0	0%	0
	Major cost item 'x'						0	0%	0
	Major cost item 'y'						0	0%	0
	Other costs ('the rest')						0	0%	0
	<b>Total Costs</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0%</b>	<b>0</b>
Part. x.....	<b>Total Person-month</b>						0	0%	0
	Personnel costs						0	0%	0
	Major cost item 'x'						0	0%	0
	Major cost item 'y'						0	0%	0
	Other costs ('the rest')						0	0%	0
	<b>Total Costs</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0%</b>	<b>0</b>
<b>TOTAL</b>	<b>Total Person-month</b>						0	0%	0
	Personnel costs						0	0%	0
	Major cost item 'x'						0	0%	0
	Major cost item 'y'						0	0%	0
	Other costs ('the rest')						0	0%	0
	<b>Total Costs</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0%</b>	<b>0</b>

Table 4: Person-Months Status Table<sup>26</sup>

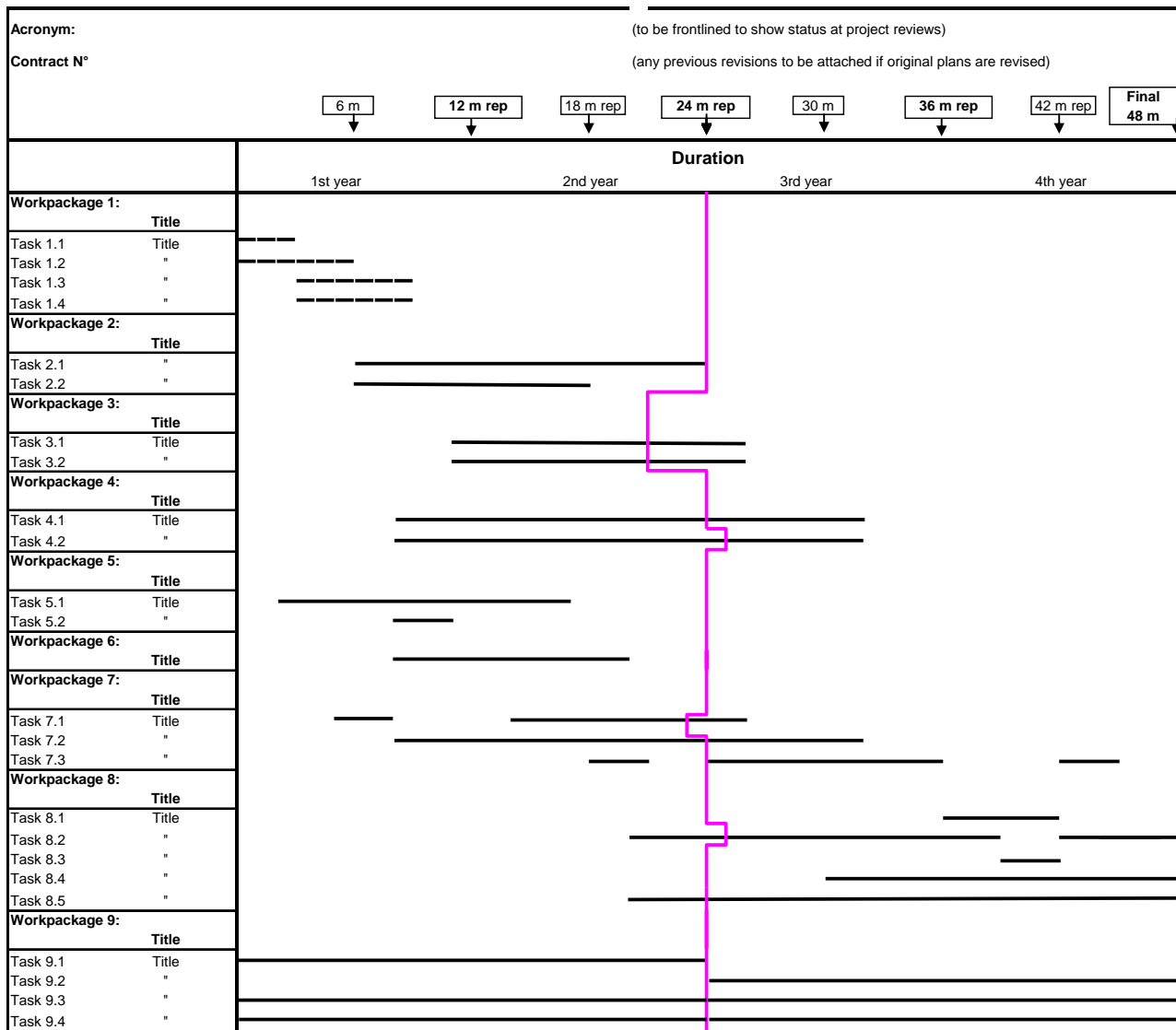
Person-Month Status Table																
CONTRACT N°:			Partner - Person-month per Workpackage										AC - own staff			
ACRONYM:																
PERIOD:																
			TOTALS	Coord.	Partic. 1	Partic. 2	Partic. 3	etc...				AC TOTALS	AC partic. x	AC partic. y		
Workpackage 1:	Title	Actual WP total:	0	Update with end of period WP totals										0		
		Planned WP total:	0											0		
Workpackage 2:	Title	Actual WP total:	0											0		
		Planned WP total:	0											0		
Workpackage 3:	Title	Actual WP total:	0											0		
		Planned WP total:	0											0		
Workpackage 4:	Title	Actual WP total:	0											0		
		Planned WP total:	0											0		
Workpackage 5:	Title	Actual WP total:	0											0		
		Planned WP total:	0											0		
Workpackage 6:	Title	Actual WP total:	0											0		
		Planned WP total:	0											0		
Workpackage 7:	Title	Actual WP total:	0											0		
		Planned WP total:	0											0		
Workpackage 8:	Title	Actual WP total:	0											0		
		Planned WP total:	0											0		
Workpackage 9:	Title	Actual WP total:	0											0		
		Planned WP total:	0											0		
		Actual total:	0	0	0	0	0	0	0	0	0	0	0	0	0	
Total Project Person-month		Planned total:	0	0	0	0	0	0	0	0	0	0	0	0	0	

<sup>26</sup> For AC contractors, a tabular overview of all resources employed on the project and a global estimate of all costs



**Table 5: Workpackages - Plan and Status Barchart**

**PROJECT BARCHART and STATUS**



### 7.3 Appendix 3 – Front page for reports

Project logo (optional)

Priority logo (or FP6 General logo<sup>27</sup> if none)

Project no.

Project acronym

Project title

Instrument

Thematic Priority

#### **Title of report**

Period covered: from            to

Date of preparation:

Start date of project:

Duration:

Project coordinator name

Project coordinator organisation name

Revision [draft, 1, 2, ...]

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<sup>27</sup> The FP6 logo can be found at [http://europa.eu.int/comm/research/fp6/images/imgsite/fp6-home\\_01.gif](http://europa.eu.int/comm/research/fp6/images/imgsite/fp6-home_01.gif)

## 7.4 Appendix 4 – Front page for deliverables

Project logo (optional)

Priority logo (or FP6 General logo<sup>28</sup> if none)

Project no.

Project acronym

Project title

Instrument

Thematic Priority

### Deliverable reference number and title

Due date of deliverable:

Actual submission date:

Start date of project:

Duration:

Organisation name of lead contractor for this deliverable

Revision [draft, 1, 2, ...]

Project co-funded by the European Commission within the Sixth Framework Programme (2002-2006)		
Dissemination Level		
<b>PU</b>	Public	
<b>PP</b>	Restricted to other programme participants (including the Commission Services)	
<b>RE</b>	Restricted to a group specified by the consortium (including the Commission Services)	
<b>CO</b>	Confidential, only for members of the consortium (including the Commission Services)	

<sup>28</sup> The FP6 logo can be found at [http://europa.eu.int/comm/research/fp6/images/imgsite/fp6-home\\_01.gif](http://europa.eu.int/comm/research/fp6/images/imgsite/fp6-home_01.gif)

## **7.5 Appendix 5 – Financial forms for Integrated Projects<sup>29</sup>**

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<sup>29</sup> Financial forms are provided for information; please contact the Project Officer for instructions on how to complete the forms

**Form C - Model of Financial Statement per Activity for an Integrated Project**  
(to be completed by each contractor)

Type of instrument	<b>Integrated Project</b>	Type of Action (if necessary)	<b>N.A.</b>
Project Title (or Acronym)		Contract n°	
Contractor's Legal Name			
Legal Type			
Contact Person		Telephone	
Telecopy		E-mail	
Cost model used (AC//FC or FCF)		Indirect costs (Real or Flat Rate of 20% of Direct costs, except subcontracting)	
Period from		To	

**1- Resources (Third party(ies))**

Are there any resources made available on the basis of a prior agreement with third parties identified in Annex I of the contract? (Yes / No)				
If Yes, please provide the following information				
Third Party 1 (Y1)	Legal Name		Cost model used	
Third Party 2 (Y2)	Legal Name		Cost model used	
Third Party 3 (Y3)	Legal Name		Cost model used	
Third Party 4 (Y4)	Legal Name		Cost model used	

If necessary add another Form C.

**2- Declaration of eligible costs (in €)**

Please complete only the activity covered by the relevant instrument (and type of action) indicated above and as mentioned in Article II.25 and/or in Annexes I and III of the contract.

If you are a contractor using the additional cost model (AC):

- indicate only your additional eligible costs, except for Management of the Consortium Activity for which you may indicate your full eligible costs;

- do not declare eligible direct additional costs specifically covered by contributions from third parties as mentioned in Articles II.20 and II.23.a and b of the contract.

If you are a contractor using a full cost model (FC/FCF), indicate your full eligible costs.

The costs declared should distinguish between direct and indirect costs.

If necessary, adjustments to previous period(s) may be included where appropriate.

	Type of Activity											
	Research and Technological Development / Innovation (A)		Demonstration (B)		Training (C)		Management of the Consortium (D)		Other Specific Activities (E)		Total (F) = (A)+(B)+(C)+(D)+(E)	
	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)
Direct costs												
Of which subcontracting												
Indirect costs												
Adjustments to previous period(s)												
Total costs												

**3- Declaration of receipts (in €)**

If you are a contractor using the additional cost model (AC), indicate only receipts covered by Article II.23.c of the contract.

If you are a contractor using a full cost model (FC/FCF), indicate receipts covered by Article II.23 of the contract.

If a receipt is not allocated to an activity

	Type of Activity											
	Research and Technological Development / Innovation (A')		Demonstration (B')		Training (C')		Management of the Consortium (D')		Other Specific Activities (E')		Total (F') = (A')+(B')+(C')+(D')+(E')	
	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)
<b>Total receipts</b>												

#### 4- Declaration of interest generated by the pre-financing (in €)

To be completed only by the coordinator.

Did the pre-financing (advance) you received by the Commission for this period earn interest? (Yes / No)

If yes, please indicate the amount (in €)

#### 5- Request of FP6 Financial contribution (in €)

For this period, the FP6 Community financial contribution requested is equal to (amount in €).

#### 6- Audit certificates

According to the contract, does this Financial Statement need an audit certificate (or several in case of Third party(ies)) delivered by independent auditor(s)? (Yes / No)

If Yes, does this(those) audit certificate(s) cover only this Financial Statement per Activity? (Yes / No)

If No, what are the periods covered by this(those) audit certificate(s) ?

From – To

What is the total cost of this(those) audit certificate(s) (in €) per independent auditor(s) ?

##### Audit certificate of the contractor (X)

Legal name of the audit firm

Cost of the certificate

##### Audit certificate(s) of the third party(ies) (Ys) (if necessary)

Y1 : Legal name of the audit firm

Cost of the certificate

Y2 : Legal name of the audit firm

Cost of the certificate

Y3 : Legal name of the audit firm

Cost of the certificate

Y4 : Legal name of the audit firm

Cost of the certificate

If necessary add another Form C.

Total (Z) = (X) + (Ys)

Reminders:

The cost of an audit certificate is included in the costs declared under the activity "Management of the Consortium".

The required audit certificate(s) is(are) attached to this Financial Statement.

#### 7- Conversion rates

Costs incurred in currencies other than EURO shall be reported in EURO.

Please mention the conversion rate used (only one choice is possible) – Please note that the same principle applies for receipts.

##### Contractor

- Conversion rate of the date of incurred actual costs? (YES / NO)

- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)

##### Third Party(ies) (if necessary)

##### Third Party 1 (Y1)

- Conversion rate of the date of incurred actual costs? (YES / NO)

- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)

##### Third Party 2 (Y2)

- Conversion rate of the date of incurred actual costs? (YES / NO)

- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)

##### Third Party 3 (Y3)

- Conversion rate of the date of incurred actual costs? (YES / NO)

- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)	
<b>Third Party 4 (Y4)</b>	
- Conversion rate of the date of incurred actual costs? (YES / NO)	
- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)	

If necessary add another Form C.

### **8- Contractor's Certificate**

We certify that:

- the costs declared above are directly related to the resources used to reach the objectives of the project ;
- the receipts declared above are directly related to the resources used to reach the objectives of the project ;
- the costs declared above fall within the definition of eligible costs specified in Articles II.19, II.20, II.21, II.22 and II.25 of the contract, and, if relevant, in Annex III and Article 9 (special clauses) of the contract ;
- the receipts declared above fall within the definition of receipts specified in Article II.23 of the contract ;
- the interest generated by the pre-financing declared above falls within the definition of Article II.27 of the contract ;
- the necessary adjustments, especially to costs reported in previous Financial Statement(s) per Activity, have been incorporated in the above Statement ;
- the above information declared is complete and true ;
- there is full supporting documentation to justify the information hereby declared. It will be made available at the request of the Commission and in the event of an audit by the Commission and/or by the Court of Auditors and/or their authorised representatives.

Contractor's Stamp	Name of the Person responsible for the work	Name of the duly authorised Financial Officer
	Date	Date
	Signature	Signature

Summary Financial Report

Type of Instrument		IP	Project Title (or Acronym)										Contract N°			Page 1/1									
Reporting period number			From (dd/mm/yyyy)										To (dd/mm/yyyy)												
Contractor n°	Organisation Short Name	Cost model used	Eligible costs (in €)	Type of activities															Total eligible costs (F)=(A)+(B)+(C)+(D)+(E)			Receipts			
				Research and Technological Development / Innovation (A)			Demonstration (B)			Training (C)			Management of the consortium (D)			Other Specific Activities (E)			Contractor	AC Third party(ies)	FC/FCF Third party(ies)	Contractor	AC Third party(ies)	FC/FCF Third party(ies)	
				Contractor	AC Third party(ies)	FC/FCF Third party(ies)	Contractor	AC Third party(ies)	FC/FCF Third party(ies)	Contractor	AC Third party(ies)	FC/FCF Third party(ies)	Contractor	AC Third party(ies)	FC/FCF Third party(ies)	Contractor	AC Third party(ies)	FC/FCF Third party(ies)							
1			Direct eligible costs																0.00	0.00	0.00				
			<i>of which direct eligible costs of subcontracting</i>																	0.00	0.00	0.00			
			Indirect eligible costs																	0.00	0.00	0.00			
			Adjustment on previous period(s)																	0.00	0.00	0.00			
Total eligible costs			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00					
2			Direct eligible costs																0.00	0.00	0.00				
			<i>of which direct eligible costs of subcontracting</i>																	0.00	0.00	0.00			
			Indirect eligible costs																	0.00	0.00	0.00			
			Adjustment on previous period(s)																	0.00	0.00	0.00			
Total eligible costs			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00					
3			Direct eligible costs																0.00	0.00	0.00				
			<i>of which direct eligible costs of subcontracting</i>																	0.00	0.00	0.00			
			Indirect eligible costs																	0.00	0.00	0.00			
			Adjustment on previous period(s)																	0.00	0.00	0.00			
Total eligible costs			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00					
4			Direct eligible costs																0.00	0.00	0.00				
			<i>of which direct eligible costs of subcontracting</i>																	0.00	0.00	0.00			
			Indirect eligible costs																	0.00	0.00	0.00			
			Adjustment on previous period(s)																	0.00	0.00	0.00			
Total eligible costs			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00					
5			Direct eligible costs																0.00	0.00	0.00				
			<i>of which direct eligible costs of subcontracting</i>																	0.00	0.00	0.00			
			Indirect eligible costs																	0.00	0.00	0.00			
			Adjustment on previous period(s)																	0.00	0.00	0.00			
Total eligible costs			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00					
Total eligible costs			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00		
Requested EC contribution for the reporting period (in € without taking into account receipts)			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00				
Requested EC contribution for the reporting period (in € taking into account receipts [=Periodic Invoice])																		0.00							
Amount of the financial interests generated by the prefinancing																					251.00				



## **7.6 Appendix 6 – Financial forms for Networks of Excellence<sup>30</sup>**

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<sup>30</sup> Financial forms are provided for information; please contact the Project Officer for instructions on how to complete the forms

**Form C - Model of Financial Statement per Activity for a Network of Excellence***(to be completed by each contractor)*

Type of instrument	<b>Network of Excellence</b>	Type of Action <i>(if necessary)</i>	<b>N.A.</b>
Project Title (or Acronym)		Contract n°	
Contractor's Legal Name			
Legal Type			
Contact Person		Telephone	
Telecopy		E-mail	
Cost model used (AC//FC or FCF)		Indirect costs (Real or Flat Rate of 20% of Direct costs, except subcontracting)	
Period from		To	

**1- Resources (Third party(ies))**

Are there any resources made available on the basis of a prior agreement with third parties identified in Annex I of the contract? (Yes / No)

If Yes, please provide the following information

Third Party (Y1)	Legal Name	Cost model used
Third Party 2 (Y2)	Legal Name	Cost model used
Third Party 3 (Y3)	Legal Name	Cost model used
Third Party 4 (Y4)	Legal Name	Cost model used

If necessary add another Form C.

**2- Declaration of eligible costs (in €)**

Please complete only the activity covered by the relevant instrument (and type of action) indicated above and as mentioned in Article II.25 and/or in Annexes I and III of the contract.

If you are a contractor using the additional cost model (AC):

- indicate only your additional eligible costs, except for Management of the Consortium Activity for which you may indicate your full eligible costs;

- do not declare eligible direct additional costs specifically covered by contributions from third parties as mentioned in Articles II.20 and II.23.a and b of the contract.

If you are a contractor using a full cost model (FC/FCF), indicate your full eligible costs.

The costs declared should distinguish between direct and indirect costs.

If necessary, adjustments to previous period(s) may be included where appropriate.

	Type of Activity			
	Joint Programme of Activities (A)		Of which Management of the Consortium	
	Contractor	Third Party(ies)	Contractor	Third Party(ies)
Direct costs				
<i>Of which subcontracting</i>				
Indirect costs				
Adjustments to previous period(s)				
Total costs				

**3- Declaration of receipts (in €)**

If you are a contractor using the additional cost model (AC), indicate only receipts covered by Article II.23.c of the

contract.

If you are a contractor using a full cost model (FC/FCF), indicate receipts covered by Article II.23 of the contract.

	Type of Activity			
	Joint Programme of Activities (A')		Of which Management of the Consortium	
	Contractor	Third Party(ies)	Contractor	Third Party(ies)
<b>Total receipts</b>				

**4- Declaration of interest generated by the pre-financing (in €)**

To be completed only by the coordinator.

Did the pre-financing (advance) you received by the Commission for this period earn interest? (Yes / No)

If yes, please indicate the amount (in €)

**5- Request of FP6 Financial contribution (in €)**

For this period, the FP6 Community financial contribution requested is equal to (amount in €)

**6- Audit certificates**

According to the contract, does this Financial Statement need an audit certificate (or several in case of Third party(ies)) delivered by independent auditor(s)? (Yes / No)

If Yes, does this(those) audit certificate(s) cover only this Financial Statement per Activity? (Yes / No)

If No, what are the periods covered by this(those) audit certificate(s) ?

From – To

What is the total cost of this(those) audit certificate(s) (in €) per independent auditor(s) ?

**Audit certificate of the contractor (X)**

Legal name of the audit firm

Cost of the certificate

**Audit certificate(s) of the third party(ies) (Ys) (if necessary)**

Y1 : Legal name of the audit firm

Cost of the certificate

Y2 : Legal name of the audit firm

Cost of the certificate

Y3 : Legal name of the audit firm

Cost of the certificate

Y4 : Legal name of the audit firm

Cost of the certificate

If necessary add another Form C.

Total (Z) = (X) + (Ys)

Reminders:

The cost of an audit certificate is included in the costs declared under the activity "Management of the Consortium".

The required audit certificate(s) is(are) attached to this Financial Statement.

**7- Conversion rates**

Costs incurred in currencies other than EURO shall be reported in EURO.

Please mention the conversion rate used (only one choice is possible) – Please note that the same principle applies for receipts.

**Contractor**

- Conversion rate of the date of incurred actual costs? (YES / NO)

- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)

**Third Party(ies) (if necessary)****Third Party 1 (Y1)**

- Conversion rate of the date of incurred actual costs? (YES / NO)

- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)

**Third Party 2 (Y2)**

- Conversion rate of the date of incurred actual costs? (YES / NO)

- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)

**Third Party 3 (Y3)**

- Conversion rate of the date of incurred actual costs? (YES / NO)

- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)

**Third Party 4 (Y4)**

- Conversion rate of the date of incurred actual costs? (YES / NO)	
- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)	

If necessary add another Form C.

### **8- Contractor's Certificate**

We certify that:

- the costs declared above are directly related to the resources used to reach the objectives of the project ;
- the receipts declared above are directly related to the resources used to reach the objectives of the project ;
- the costs declared above fall within the definition of eligible costs specified in Articles II.19, II.20, II.21, II.22 and II.25 of the contract, and, if relevant, in Annex III and Article 9 (special clauses) of the contract ;
- the receipts declared above fall within the definition of receipts specified in Article II.23 of the contract ;
- the interest generated by the pre-financing declared above falls within the definition of Article II.27 of the contract ;
- the necessary adjustments, especially to costs reported in previous Financial Statement(s) per Activity, have been incorporated in the above Statement ;
- the above information declared is complete and true ;
- there is full supporting documentation to justify the information hereby declared. It will be made available at the request of the Commission and in the event of an audit by the Commission and/or by the Court of Auditors and/or their authorised representatives.

Contractor's Stamp	Name of the Person responsible for the work	Name of the duly authorised Financial Officer
	<b>Date</b>	<b>Date</b>
	<b>Signature</b>	<b>Signature</b>

Summary Financial Report																	
Type of Instrument		NoE	Project Title (or Acronym)			Contract N°			Page			1/1					
Reporting period number		From (dd/mm/yyyy)			To (dd/mm/yyyy)												
Contractor n°	Organisation Short Name	Cost model used	Eligible costs (in €)	Type of activities						Total eligible costs (A)			Receipts				
				Joint Programme of Activities (A)			of which Management of the consortium			Contractor	AC Third party(ies)	FC/FCF Third party(ies)	Contractor	AC Third party(ies)	FC/FCF Third party(ies)		
Contractor	AC Third party(ies)	FC/FCF Third party(ies)	Contractor	AC Third party(ies)	FC/FCF Third party(ies)	Contractor	AC Third party(ies)	FC/FCF Third party(ies)	Contractor							AC Third party(ies)	FC/FCF Third party(ies)
1			Direct eligible costs							0.00	0.00	0.00					
			<i>of which direct eligible costs of subcontracting</i>									0.00				0.00	0.00
			Indirect eligible costs									0.00				0.00	0.00
			Adjustment on previous period(s)									0.00				0.00	0.00
			Total eligible costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00					
2			Direct eligible costs							0.00	0.00	0.00					
			<i>of which direct eligible costs of subcontracting</i>									0.00				0.00	0.00
			Indirect eligible costs									0.00				0.00	0.00
			Adjustment on previous period(s)									0.00				0.00	0.00
			Total eligible costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00					
3			Direct eligible costs							0.00	0.00	0.00					
			<i>of which direct eligible costs of subcontracting</i>									0.00				0.00	0.00
			Indirect eligible costs									0.00				0.00	0.00
			Adjustment on previous period(s)									0.00				0.00	0.00
			Total eligible costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00					
4			Direct eligible costs							0.00	0.00	0.00					
			<i>of which direct eligible costs of subcontracting</i>									0.00				0.00	0.00
			Indirect eligible costs									0.00				0.00	0.00
			Adjustment on previous period(s)									0.00				0.00	0.00
			Total eligible costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00					
5			Direct eligible costs							0.00	0.00	0.00					
			<i>of which direct eligible costs of subcontracting</i>									0.00				0.00	0.00
			Indirect eligible costs									0.00				0.00	0.00
			Adjustment on previous period(s)									0.00				0.00	0.00
			Total eligible costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00					
<b>Total eligible costs</b>				0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00		
<b>Requested EC contribution for the reporting period (in € without taking into account receipts)</b>				0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00						
<b>Requested EC contribution for the reporting period (in € taking into account receipts [=Periodic Invoice])</b>										0.00	0.00	0.00					
<b>Amount of the financial interests generated by the prefinancing</b>																	

## **7.7 Appendix 7 – Financial forms for STREPs<sup>31</sup>**

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<sup>31</sup> Financial forms are provided for information; please contact the Project Officer for instructions on how to complete the forms

## Form C - Model of Financial Statement per Activity for a Specific Targeted Research or Innovation Project

(to be completed by each contractor)

<b>Type of instrument</b>	<b>Specific Targeted Project</b>	<b>Type of Action (if necessary)</b>	<b>N.A.</b>
<b>Project Title (or Acronym)</b>		<b>Contract n°</b>	
<b>Contractor's Legal Name</b>			
<b>Legal Type</b>			
<b>Contact Person</b>		<b>Telephone</b>	
<b>Telecopy</b>		<b>E-mail</b>	
<b>Cost model used (AC//FC or FCF)</b>		<b>Indirect costs (Real or Flat Rate of 20% of Direct costs, except subcontracting)</b>	
<b>Period from</b>		<b>To</b>	

### 1- Resources (Third party(ies))

Are there any resources made available on the basis of a prior agreement with third parties identified in Annex I of the contract? (Yes / No)

If Yes, please provide the following information

Third Party (Y1)	Legal Name	Cost model used
Third Party 2 (Y2)	Legal Name	Cost model used
Third Party 3 (Y3)	Legal Name	Cost model used
Third Party 4 (Y4)	Legal Name	Cost model used

If necessary add another Form C.

### 2- Declaration of eligible costs (in €)

Please complete only the activity covered by the relevant instrument (and type of action) indicated above and as mentioned in Article II.25 and/or in Annexes I and III of the contract.

If you are a contractor using the additional cost model (AC):

- indicate only your additional eligible costs, except for Management of the Consortium Activity for which you may indicate your full eligible costs;
- do not declare eligible direct additional costs specifically covered by contributions from third parties as mentioned in Articles II.20 and II.23.a and b of the contract.

If you are a contractor using a full cost model (FC/FCF), indicate your full eligible costs.

The costs declared should distinguish between direct and indirect costs.

If necessary, adjustments to previous period(s) may be included where appropriate.

	Type of Activity											
	Research and Technological Development / Innovation (A)		Demonstration (B)		Training (C)		Management of the Consortium (D)		Other Specific Activities (E)		Total (F) = (A)+(B)+(C)+(D)+(E)	
	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)
<b>Direct costs</b>												
<i>Of which subcontracting</i>												
<b>Indirect costs</b>												
<b>Adjustments to previous period(s)</b>												
<b>Total costs</b>												

### 3- Declaration of receipts (in €)

If you are a contractor using the additional cost model (AC), indicate only receipts covered by Article II.23.c of the

contract.

If you are a contractor using a full cost model (FC/FCF), indicate receipts covered by Article II.23 of the contract.

	Type of Activity											
	Research and Technological Development / Innovation (A')		Demonstration (B')		Training (C')		Management of the Consortium (D')		Other Specific Activities (E')		Total (F') = (A')+(B')+(C')+(D')+(E')	
	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)
<b>Total receipts</b>												

**4- Declaration of interest generated by the pre-financing (in €)**

To be completed only by the coordinator.

Did the pre-financing (advance) you received by the Commission for this period earn interest? (Yes / No)

If yes, please indicate the amount (in €)

**5- Request of FP6 Financial contribution (in €)**

For this period, the FP6 Community financial contribution requested is equal to (amount in €)

**6- Audit certificates**

According to the contract, does this Financial Statement need an audit certificate (or several in case of Third party(ies)) delivered by independent auditor(s)? (Yes / No)

If Yes, does this(those) audit certificate(s) cover only this Financial Statement per Activity? (Yes / No)

If No, what are the periods covered by this(those) audit certificate(s) ?

From – To

What is the total cost of this(those) audit certificate(s) (in €) per independent auditor(s) ?

**Audit certificate of the contractor (X)**

Legal name of the audit firm

Cost of the certificate

**Audit certificate(s) of the third party(ies) (Ys) (if necessary)**

Y1 : Legal name of the audit firm

Cost of the certificate

Y2 : Legal name of the audit firm

Cost of the certificate

Y3 : Legal name of the audit firm

Cost of the certificate

Y4 : Legal name of the audit firm

Cost of the certificate

If necessary add another Form C.

Total (Z) = (X) + (Ys)

Reminders:

The cost of an audit certificate is included in the costs declared under the activity "Management of the Consortium".

The required audit certificate(s) is(are) attached to this Financial Statement.

**7- Conversion rates**

Costs incurred in currencies other than EURO shall be reported in EURO.

Please mention the conversion rate used (only one choice is possible) – Please note that the same principle applies for receipts.

**Contractor**

- Conversion rate of the date of incurred actual costs? (YES / NO)

- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)

**Third Party(ies) (if necessary)****Third Party 1 (Y1)**

- Conversion rate of the date of incurred actual costs? (YES / NO)

- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)

**Third Party 2 (Y2)**

- Conversion rate of the date of incurred actual costs? (YES / NO)

- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)

**Third Party 3 (Y3)**

- Conversion rate of the date of incurred actual costs? (YES / NO)

- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)

**Third Party 4 (Y4)**



- Conversion rate of the date of incurred actual costs? (YES / NO)	
- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)	

If necessary add another Form C.

### **8- Contractor's Certificate**

We certify that:

- the costs declared above are directly related to the resources used to reach the objectives of the project ;
- the receipts declared above are directly related to the resources used to reach the objectives of the project ;
- the costs declared above fall within the definition of eligible costs specified in Articles II.19, II.20, II.21, II.22 and II.25 of the contract, and, if relevant, in Annex III and Article 9 (special clauses) of the contract ;
- the receipts declared above fall within the definition of receipts specified in Article II.23 of the contract ;
- the interest generated by the pre-financing declared above falls within the definition of Article II.27 of the contract ;
- the necessary adjustments, especially to costs reported in previous Financial Statement(s) per Activity, have been incorporated in the above Statement ;
- the above information declared is complete and true ;
- there is full supporting documentation to justify the information hereby declared. It will be made available at the request of the Commission and in the event of an audit by the Commission and/or by the Court of Auditors and/or their authorised representatives.

<b>Contractor's Stamp</b>	<b>Name of the Person responsible for the work</b>	<b>Name of the duly authorised Financial Officer</b>
	<b>Date</b>	<b>Date</b>
	<b>Signature</b>	<b>Signature</b>

Summary Financial Report

Type of Instrument		STReP	Project Title (or Acronym)		Contract N°																
Reporting period number			From (dd/mm/yyyy)			To (dd/mm/yyyy)			Page			1/1									
Contractor n°	Organisation Short Name	Cost model used	Eligible costs (in €)	Type of activities									Total eligible costs (F)=(A)+(B)+(C)+(D)+(E)			Receipts					
				Research and Technological Development / Innovation (A)			Demonstration (B)			Training (C)			Management of the consortium (D)			Other Specific Activities (E)			Contractor	AC Third party(ies)	FC/FCF Third party(ies)
				Contractor	AC Third party(ies)	FC/FCF Third party(ies)	Contractor	AC Third party(ies)	FC/FCF Third party(ies)	Contractor	AC Third party(ies)	FC/FCF Third party(ies)	Contractor	AC Third party(ies)	FC/FCF Third party(ies)	Contractor	AC Third party(ies)	FC/FCF Third party(ies)			
1			Direct eligible costs													0.00	0.00	0.00			
			<i>of which direct eligible costs of subcontracting</i>													0.00	0.00	0.00			
			Indirect eligible costs													0.00	0.00	0.00			
			Adjustment on previous period(s)													0.00	0.00	0.00			
			Total eligible costs	0.00	0.00	0.00	0.00	0.00	0.00				0.00	0.00	0.00						
2			Direct eligible costs													0.00	0.00	0.00			
			<i>of which direct eligible costs of subcontracting</i>													0.00	0.00	0.00			
			Indirect eligible costs													0.00	0.00	0.00			
			Adjustment on previous period(s)													0.00	0.00	0.00			
			Total eligible costs	0.00	0.00	0.00	0.00	0.00	0.00				0.00	0.00	0.00						
3			Direct eligible costs													0.00	0.00	0.00			
			<i>of which direct eligible costs of subcontracting</i>													0.00	0.00	0.00			
			Indirect eligible costs													0.00	0.00	0.00			
			Adjustment on previous period(s)													0.00	0.00	0.00			
			Total eligible costs	0.00	0.00	0.00	0.00	0.00	0.00				0.00	0.00	0.00						
4			Direct eligible costs													0.00	0.00	0.00			
			<i>of which direct eligible costs of subcontracting</i>													0.00	0.00	0.00			
			Indirect eligible costs													0.00	0.00	0.00			
			Adjustment on previous period(s)													0.00	0.00	0.00			
			Total eligible costs	0.00	0.00	0.00	0.00	0.00	0.00				0.00	0.00	0.00						
5			Direct eligible costs													0.00	0.00	0.00			
			<i>of which direct eligible costs of subcontracting</i>													0.00	0.00	0.00			
			Indirect eligible costs													0.00	0.00	0.00			
			Adjustment on previous period(s)													0.00	0.00	0.00			
			Total eligible costs	0.00	0.00	0.00	0.00	0.00	0.00				0.00	0.00	0.00						
<b>Total eligible costs</b>				0.00	0.00	0.00	0.00	0.00	0.00				0.00	0.00	0.00				0.00	0.00	0.00
<b>Requested EC contribution for the reporting period (in € without taking into account receipts)</b>				0.00	0.00	0.00	0.00	0.00	0.00				0.00	0.00	0.00				0.00		
<b>Requested EC contribution for the reporting period (in € taking into account receipts [=Periodic Invoice])</b>																<b>0.00</b>					
<b>Amount of the financial interests generated by the prefinancing</b>																					

## **7.8 Appendix 8 – Financial forms for Coordination Actions<sup>32</sup>**

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<sup>32</sup> Financial forms are provided for information; please contact the Project Officer for instructions on how to complete the forms

**Form C - Model of Financial Statement per Activity for a Coordination Action***(to be completed by each contractor)*

Type of instrument	<b>Coordination Action</b>	Type of Action <i>(if necessary)</i>	<b>N.A.</b>
Project Title (or Acronym)		Contract n°	
Contractor's Legal Name			
Legal Type			
Contact Person		Telephone	
Telecopy		E-mail	
Cost model used (AC//FC or FCF)		Indirect costs (Real or Flat Rate of 20% of Direct costs, except subcontracting)	<b>Flat Rate of 20% of Direct Costs, except subcontracting</b>
Period from		To	

**1- Resources (Third party(ies))**

Are there any resources made available on the basis of a prior agreement with third parties identified in Annex I of the contract? (Yes / No)

If Yes, please provide the following information

Third Party (Y1)	Legal Name	Cost model used
Third Party 2 (Y2)	Legal Name	Cost model used
Third Party 3 (Y3)	Legal Name	Cost model used
Third Party 4 (Y4)	Legal Name	Cost model used

If necessary add another Form C.

**2- Declaration of eligible costs (in €)**

Please complete only the activity covered by the relevant instrument (and type of action) indicated above and as mentioned in Article II.25 and/or in Annexes I and III of the contract.

If you are a contractor using the additional cost model (AC):

- indicate only your additional eligible costs, except for Management of the Consortium Activity for which you may indicate your full eligible costs;

- do not declare eligible direct additional costs specifically covered by contributions from third parties as mentioned in Articles II.20 and II.23.a and b of the contract.

If you are a contractor using a full cost model (FC/FCF), indicate your full eligible costs.

The costs declared should distinguish between direct and indirect costs.

If necessary, adjustments to previous period(s) may be included where appropriate.

	Type of Activity											
	Research and Technological Development / Innovation (A)		Demonstration (B)		Training (C)		Management of the Consortium (D)		Other Specific Activities : Coordination (E)		Total (F) = (A)+(B)+(C)+(D)+(E)	
	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)
Direct costs												
Of which subcontracting												
Indirect costs												
Adjustments to previous period(s)												
Total costs												

**3- Declaration of receipts (in €)**

If you are a contractor using the additional cost model (AC), indicate only receipts covered by Article II.23.c of the contract.

If you are a contractor using a full cost model (FC/FCF), indicate receipts covered by Article II.23 of the contract.

	Type of Activity											
	Research and Technological Development / Innovation (A')		Demonstration (B')		Training (C')		Management of the Consortium (D')		Other Specific Activities : Coordination (E')		Total (F') = (A')+(B')+(C')+(D')+(E')	
	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)
<b>Total receipts</b>												

#### 4- Declaration of interest generated by the pre-financing (in €)

To be completed only by the coordinator.

Did the pre-financing (advance) you received by the Commission for this period earn interest? (Yes / No)

If yes, please indicate the amount (in €)

#### 5- Request of FP6 Financial contribution (in €)

For this period, the FP6 Community financial contribution requested is equal to (amount in €)

#### 6- Audit certificates

According to the contract, does this Financial Statement need an audit certificate (or several in case of Third party(ies)) delivered by independent auditor(s)? (Yes / No)

If Yes, does this(those) audit certificate(s) cover only this Financial Statement per Activity? (Yes / No)

If No, what are the periods covered by this(those) audit certificate(s) ?

From – To

What is the total cost of this(those) audit certificate(s) (in €) per independent auditor(s) ?

##### Audit certificate of the contractor (X)

Legal name of the audit firm

Cost of the certificate

##### Audit certificate(s) of the third party(ies) (Ys) (if necessary)

Y1 : Legal name of the audit firm

Cost of the certificate

Y2 : Legal name of the audit firm

Cost of the certificate

Y3 : Legal name of the audit firm

Cost of the certificate

Y4 : Legal name of the audit firm

Cost of the certificate

If necessary add another Form C.

Total (Z) = (X) + (Ys)

Reminders:

The cost of an audit certificate is included in the costs declared under the activity "Management of the Consortium".

The required audit certificate(s) is(are) attached to this Financial Statement.

#### 7- Conversion rates

Costs incurred in currencies other than EURO shall be reported in EURO.

Please mention the conversion rate used (only one choice is possible) – Please note that the same principle applies for receipts.

##### Contractor

- Conversion rate of the date of incurred actual costs? (YES / NO)

- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)

##### Third Party(ies) (if necessary)

##### Third Party 1 (Y1)

- Conversion rate of the date of incurred actual costs? (YES / NO)

- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)

##### Third Party 2 (Y2)

- Conversion rate of the date of incurred actual costs? (YES / NO)

- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)

##### Third Party 3 (Y3)

- Conversion rate of the date of incurred actual costs? (YES / NO)

- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)

**Third Party 4 (Y4)**

- Conversion rate of the date of incurred actual costs? (YES / NO)

- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)

*If necessary add another Form C.***8- Contractor's Certificate**

We certify that:

- the costs declared above are directly related to the resources used to reach the objectives of the project ;
- the receipts declared above are directly related to the resources used to reach the objectives of the project ;
- the costs declared above fall within the definition of eligible costs specified in Articles II.19, II.20, II.21, II.22 and II.25 of the contract, and, if relevant, in Annex III and Article 9 (special clauses) of the contract ;
- the receipts declared above fall within the definition of receipts specified in Article II.23 of the contract ;
- the interest generated by the pre-financing declared above falls within the definition of Article II.27 of the contract ;
- the necessary adjustments, especially to costs reported in previous Financial Statement(s) per Activity, have been incorporated in the above Statement ;
- the above information declared is complete and true ;
- there is full supporting documentation to justify the information hereby declared. It will be made available at the request of the Commission and in the event of an audit by the Commission and/or by the Court of Auditors and/or their authorised representatives.

<b>Contractor's Stamp</b>	<b>Name of the Person responsible for the work</b>	<b>Name of the duly authorised Financial Officer</b>
	<b>Date</b>	<b>Date</b>
	<b>Signature</b>	<b>Signature</b>

Summary Financial Report

Type of Instrument		CA	Project Title (or Acronym)										Contract N°			Page 1/1								
Reporting period number			From (dd/mm/yyyy)										To (dd/mm/yyyy)											
Contractor n°	Organisation Short Name	Cost model used	Eligible costs (in €)	Type of activities															Total eligible costs (F)=(A)+(B)+(C)+(D)+(E)			Receipts		
				Research and Technological Development / Innovation (A)			Demonstration (B)			Training (C)			Management of the consortium (D)			Other Specific Activities : Coordination (E)			Contractor	AC Third party(ies)	FC/FCF Third party(ies)	Contractor	AC Third party(ies)	FC/FCF Third party(ies)
				Contractor	AC Third party(ies)	FC/FCF Third party(ies)	Contractor	AC Third party(ies)	FC/FCF Third party(ies)	Contractor	AC Third party(ies)	FC/FCF Third party(ies)	Contractor	AC Third party(ies)	FC/FCF Third party(ies)	Contractor	AC Third party(ies)	FC/FCF Third party(ies)	Contractor	AC Third party(ies)	FC/FCF Third party(ies)			
1			Direct eligible costs																0.00	0.00	0.00			
			<i>of which direct eligible costs of subcontracting</i>																0.00	0.00	0.00			
			Indirect eligible costs																0.00	0.00	0.00			
			Adjustment on previous period(s)																0.00	0.00	0.00			
			Total eligible costs							0.00	0.00	0.00		0.00	0.00	0.00		0.00	0.00	0.00				
2			Direct eligible costs																0.00	0.00	0.00			
			<i>of which direct eligible costs of subcontracting</i>																0.00	0.00	0.00			
			Indirect eligible costs																0.00	0.00	0.00			
			Adjustment on previous period(s)																0.00	0.00	0.00			
			Total eligible costs							0.00	0.00	0.00		0.00	0.00	0.00		0.00	0.00	0.00				
3			Direct eligible costs																0.00	0.00	0.00			
			<i>of which direct eligible costs of subcontracting</i>																0.00	0.00	0.00			
			Indirect eligible costs																0.00	0.00	0.00			
			Adjustment on previous period(s)																0.00	0.00	0.00			
			Total eligible costs							0.00	0.00	0.00		0.00	0.00	0.00		0.00	0.00	0.00				
4			Direct eligible costs																0.00	0.00	0.00			
			<i>of which direct eligible costs of subcontracting</i>																0.00	0.00	0.00			
			Indirect eligible costs																0.00	0.00	0.00			
			Adjustment on previous period(s)																0.00	0.00	0.00			
			Total eligible costs							0.00	0.00	0.00		0.00	0.00	0.00		0.00	0.00	0.00				
5			Direct eligible costs																0.00	0.00	0.00			
			<i>of which direct eligible costs of subcontracting</i>																0.00	0.00	0.00			
			Indirect eligible costs																0.00	0.00	0.00			
			Adjustment on previous period(s)																0.00	0.00	0.00			
			Total eligible costs							0.00	0.00	0.00		0.00	0.00	0.00		0.00	0.00	0.00				
<b>Total eligible costs</b>										0.00	0.00	0.00		0.00	0.00	0.00		0.00	0.00	0.00	0.00	0.00	0.00	
<b>Requested EC contribution for the reporting period (in € without taking into account receipts)</b>										0.00	0.00	0.00		0.00	0.00	0.00		0.00	0.00	0.00	0.00			
<b>Requested EC contribution for the reporting period (in € taking into account receipts [=Periodic Invoice])</b>																			<b>0.00</b>					
<b>Amount of the financial interests generated by the prefinancing</b>																								

## **7.9 Appendix 9 – Financial forms for Specific Support Actions<sup>33</sup>**

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<sup>33</sup> Financial forms are provided for information; please contact the Project Officer for instructions on how to complete the forms



**Form C - Model of Financial Statement per Activity for a Specific Support Action***(to be completed by each contractor)*

Type of instrument	<b>Specific Support Action</b>	Type of Action <i>(if necessary)</i>	<b>N.A.</b>
Project Title (or Acronym)		Contract n°	
Contractor's Legal Name			
Legal Type			
Contact Person		Telephone	
Telecopy		E-mail	
Cost model used (AC//FC or FCF)		Indirect costs (Real or Flat Rate of 20% of Direct costs, except subcontracting)	<b>Flat Rate of 20% of Direct Costs, except subcontracting(*)</b>
Period from		To	

(\*) Except otherwise agreed in Article 9 [special clauses] of the contract.

**1- Resources (Third party(ies))**

Are there any resources made available on the basis of a prior agreement with third parties identified in Annex I of the contract? (Yes / No)

If Yes, please provide the following information

Third Party (Y1)	Legal Name	Cost model used
Third Party 2 (Y2)	Legal Name	Cost model used
Third Party 3 (Y3)	Legal Name	Cost model used
Third Party 4 (Y4)	Legal Name	Cost model used

If necessary add another Form C.

**2- Declaration of eligible costs (in €)**

Please complete only the activity covered by the relevant instrument (and type of action) indicated above and as mentioned in Article II.25 and/or in Annexes I and III of the contract.

If you are a contractor using the additional cost model (AC):

- indicate only your additional eligible costs, except for Management of the Consortium Activity for which you may indicate your full eligible costs;

- do not declare eligible direct additional costs specifically covered by contributions from third parties as mentioned in Articles II.20 and II.23.a and b of the contract.

If you are a contractor using a full cost model (FC/FCF), indicate your full eligible costs.

The costs declared should distinguish between direct and indirect costs.

If necessary, adjustments to previous period(s) may be included where appropriate.

	Type of Activity											
	Research and Technological Development / Innovation (A)		Demonstration (B)		Training (C)		Management of the Consortium (D)		Other Specific Activities (E)		Total (F) = (A)+(B)+(C)+(D)+(E)	
	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)
Direct costs												
Of which subcontracting												
Indirect costs												
Adjustments to previous period(s)												
Total costs												

**3- Declaration of receipts (in €)**

If you are a contractor using the additional cost model (AC), indicate only receipts covered by Article II.23.c of the contract.

If you are a contractor using a full cost model (FC/FCF), indicate receipts covered by Article II.23 of the contract.

	Type of Activity											
	Research and Technological Development / Innovation (A')		Demonstration (B')		Training (C')		Management of the Consortium (D')		Other Specific Activities (E')		Total (F') = (A')+(B')+(C')+(D')+(E')	
	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)
<b>Total receipts</b>												

#### 4- Declaration of interest generated by the pre-financing (in €)

To be completed only by the coordinator.

Did the pre-financing (advance) you received by the Commission for this period earn interest? (Yes / No)

If yes, please indicate the amount (in €)

#### 5- Request of FP6 Financial contribution (in €)

For this period, the FP6 Community financial contribution requested is equal to (amount in €)

#### 6- Audit certificates

According to the contract, does this Financial Statement need an audit certificate (or several in case of Third party(ies)) delivered by independent auditor(s)? (Yes / No)

If Yes, does this(those) audit certificate(s) cover only this Financial Statement per Activity? (Yes / No)

If No, what are the periods covered by this(those) audit certificate(s) ?

From – To

What is the total cost of this(those) audit certificate(s) (in €) per independent auditor(s) ?

##### Audit certificate of the contractor (X)

Legal name of the audit firm

Cost of the certificate

##### Audit certificate(s) of the third party(ies) (Ys) (if necessary)

Y1 : Legal name of the audit firm

Cost of the certificate

Y2 : Legal name of the audit firm

Cost of the certificate

Y3 : Legal name of the audit firm

Cost of the certificate

Y4 : Legal name of the audit firm

Cost of the certificate

If necessary add another Form C.

Total (Z) = (X) + (Ys)

Reminders:

The cost of an audit certificate is included in the costs declared under the activity "Management of the Consortium".

The required audit certificate(s) is(are) attached to this Financial Statement.

#### 7- Conversion rates

Costs incurred in currencies other than EURO shall be reported in EURO.

Please mention the conversion rate used (only one choice is possible) – Please note that the same principle applies for receipts.

##### Contractor

- Conversion rate of the date of incurred actual costs? (YES / NO)

- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)

##### Third Party(ies) (if necessary)

##### Third Party 1 (Y1)

- Conversion rate of the date of incurred actual costs? (YES / NO)

- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)

##### Third Party 2 (Y2)

- Conversion rate of the date of incurred actual costs? (YES / NO)

- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)

##### Third Party 3 (Y3)

- Conversion rate of the date of incurred actual costs? (YES / NO)

- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)

**Third Party 4 (Y4)**

- Conversion rate of the date of incurred actual costs? (YES / NO)

- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)

*If necessary add another Form C.***8- Contractor's Certificate**

We certify that:

- the costs declared above are directly related to the resources used to reach the objectives of the project ;
- the receipts declared above are directly related to the resources used to reach the objectives of the project ;
- the costs declared above fall within the definition of eligible costs specified in Articles II.19, II.20, II.21, II.22 and II.25 of the contract, and, if relevant, in Annex III and Article 9 (special clauses) of the contract ;
- the receipts declared above fall within the definition of receipts specified in Article II.23.1 of the contract ;
- the interest generated by the pre-financing declared above falls within the definition of Article II.27 of the contract ;
- the necessary adjustments, especially to costs reported in previous Financial Statement(s) per Activity, have been incorporated in the above Statement ;
- the above information declared is complete and true ;
- there is full supporting documentation to justify the information hereby declared. It will be made available at the request of the Commission and in the event of an audit by the Commission and/or by the Court of Auditors and/or their authorised representatives.

<b>Contractor's Stamp</b>	<b>Name of the Person responsible for the work</b>	<b>Name of the duly authorised Financial Officer</b>
	<b>Date</b>	<b>Date</b>
	<b>Signature</b>	<b>Signature</b>

Summary Financial Report

Type of Instrument		SSA	Project Title (or Acronym)		Contract N°			Page			1/1										
Reporting period number			From (dd/mm/yyyy)			To (dd/mm/yyyy)															
Contractor n°	Organisation Short Name	Cost model used	Eligible costs (in €)	Type of activities									Total eligible costs (F)=(A)+(B)+(C)+(D)+(E)			Receipts					
				Research and Technological Development / Innovation (A)			Demonstration (B)			Training (C)			Management of the consortium (D)			Other Specific Activities (E)			Contractor	AC Third party(ies)	FC/FCF Third party(ies)
				Contractor	AC Third party(ies)	FC/FCF Third party(ies)	Contractor	AC Third party(ies)	FC/FCF Third party(ies)	Contractor	AC Third party(ies)	FC/FCF Third party(ies)	Contractor	AC Third party(ies)	FC/FCF Third party(ies)	Contractor	AC Third party(ies)	FC/FCF Third party(ies)			
1			Direct eligible costs													0.00	0.00	0.00			
			<i>of which direct eligible costs of subcontracting</i>													0.00	0.00	0.00			
			Indirect eligible costs													0.00	0.00	0.00			
			Adjustment on previous period(s)													0.00	0.00	0.00			
			Total eligible costs							0.00	0.00	0.00			0.00	0.00	0.00				
2			Direct eligible costs													0.00	0.00	0.00			
			<i>of which direct eligible costs of subcontracting</i>													0.00	0.00	0.00			
			Indirect eligible costs													0.00	0.00	0.00			
			Adjustment on previous period(s)													0.00	0.00	0.00			
			Total eligible costs							0.00	0.00	0.00			0.00	0.00	0.00				
3			Direct eligible costs													0.00	0.00	0.00			
			<i>of which direct eligible costs of subcontracting</i>													0.00	0.00	0.00			
			Indirect eligible costs													0.00	0.00	0.00			
			Adjustment on previous period(s)													0.00	0.00	0.00			
			Total eligible costs							0.00	0.00	0.00			0.00	0.00	0.00				
4			Direct eligible costs													0.00	0.00	0.00			
			<i>of which direct eligible costs of subcontracting</i>													0.00	0.00	0.00			
			Indirect eligible costs													0.00	0.00	0.00			
			Adjustment on previous period(s)													0.00	0.00	0.00			
			Total eligible costs							0.00	0.00	0.00			0.00	0.00	0.00				
5			Direct eligible costs													0.00	0.00	0.00			
			<i>of which direct eligible costs of subcontracting</i>													0.00	0.00	0.00			
			Indirect eligible costs													0.00	0.00	0.00			
			Adjustment on previous period(s)													0.00	0.00	0.00			
			Total eligible costs							0.00	0.00	0.00			0.00	0.00	0.00				
Total eligible costs										0.00	0.00	0.00			0.00	0.00	0.00	0.00	0.00	0.00	
Requested EC contribution for the reporting period (in € without taking into account receipts)										0.00	0.00	0.00			0.00	0.00	0.00	0.00			
Requested EC contribution for the reporting period (in € taking into account receipts [=Periodic Invoice])																0.00					
Amount of the financial interests generated by the prefinancing																					

## **7.10 Appendix 10 – Financial forms for Co-operative Research Projects<sup>34</sup>**

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<sup>34</sup> Financial forms are provided for information; please contact the Project Officer for instructions on how to complete the forms

## Form C - Model of Financial Statement per Activity for a Specific Cooperative Research Project for SMEs

(to be completed by each contractor)

<b>Type of instrument</b>	<b>Specific Research Project for SMEs</b>	<b>Type of Action (if necessary)</b>	<b>Cooperative Research (CRAFT)</b>
<b>Project Title (or Acronym)</b>		<b>Contract n°</b>	
<b>Contractor's Legal Name</b>			
<b>Legal Type</b>			
<b>Contact Person</b>		<b>Telephone</b>	
<b>Telecopy</b>		<b>E-mail</b>	
<b>Cost model used (AC//FC or FCF)</b>		<b>Indirect costs (Real or Flat Rate of 20% of Direct costs, except subcontracting)</b>	
<b>Period from</b>		<b>To</b>	

### 1- Resources (Third party(ies))

Are there any resources made available on the basis of a prior agreement with third parties identified in Annex I of the contract? (Yes / No)

If Yes, please provide the following information

Third Party (Y1)	Legal Name	Cost model used
Third Party 2 (Y2)	Legal Name	Cost model used
Third Party 3 (Y3)	Legal Name	Cost model used
Third Party 4 (Y4)	Legal Name	Cost model used

If necessary add another Form C.

### 2- Declaration of eligible costs (in €)

Please complete only the activity covered by the relevant instrument (and type of action) indicated above and as mentioned in Article II.25 and/or in Annexes I and III of the contract.

If you are a contractor using the additional cost model (AC):

- indicate only your additional eligible costs, except for Management of the Consortium Activity for which you may indicate your full eligible costs;

- do not declare eligible direct additional costs specifically covered by contributions from third parties as mentioned in Articles II.20 and II.23a and b of the contract.

If you are a contractor using a full cost model (FC/FCF), indicate your full eligible costs.

The costs declared should distinguish between direct and indirect costs.

If necessary, adjustments to previous period(s) may be included where appropriate.

	Type of Activity											
	Research and Technological Development / Innovation (A)		Demonstration (B)		Training (C)		Management of the Consortium (D)		Other Specific Activities (E)		Total (F) = (A)+(B)+(C)+(D)+(E)	
	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)
<b>Direct costs</b>												
<i>Of which subcontracting</i>												
<b>Indirect costs</b>												
<b>Adjustments to previous period(s)</b>												
<b>Total costs</b>												

**3- Declaration of receipts (in €)**

If you are a contractor using the additional cost model (AC), indicate only receipts covered by Article II.23.1.c of the contract.

If you are a contractor using a full cost model (FC/FCF), indicate receipts covered by Article II.23.1 of the contract.

	Type of Activity											
	Research and Technological Development / Innovation (A')		Demonstration (B')		Training (C')		Management of the Consortium (D')		Other Specific Activities (E')		Total (F') = (A')+(B')+(C')+(D')+(E')	
	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)
<b>Total receipts</b>												

**4- Declaration of interest generated by the pre-financing (in €)**

To be completed only by the coordinator.

Did the pre-financing (advance) you received by the Commission for this period earn interest? (Yes / No)

If yes, please indicate the amount (in €)

**5- Request of FP6 Financial contribution (in €)**

For this period, the FP6 Community financial contribution requested is equal to (amount in €)

**6- Audit certificates**

According to the contract, does this Financial Statement need an audit certificate (or several in case of Third party(ies)) delivered by independent auditor(s)? (Yes / No)

If Yes, does this(those) audit certificate(s) cover only this Financial Statement per Activity? (Yes / No)

If No, what are the periods covered by this(those) audit certificate(s) ?

From – To

What is the total cost of this(those) audit certificate(s) (in €) per independent auditor(s) ?

**Audit certificate of the contractor (X)**

Legal name of the audit firm

Cost of the certificate

**Audit certificate(s) of the third party(ies) (Ys) (if necessary)**

Y1 : Legal name of the audit firm

Cost of the certificate

Y2 : Legal name of the audit firm

Cost of the certificate

Y3 : Legal name of the audit firm

Cost of the certificate

Y4 : Legal name of the audit firm

Cost of the certificate

If necessary add another Form C.

Total (Z) = (X) + (Ys)

Reminders:

The cost of an audit certificate is included in the costs declared under the activity "Management of the Consortium".

The required audit certificate(s) is(are) attached to this Financial Statement.

**7- Conversion rates**

Costs incurred in currencies other than EURO shall be reported in EURO.

Please mention the conversion rate used (only one choice is possible) – Please note that the same principle applies for receipts.

**Contractor**

- Conversion rate of the date of incurred actual costs? (YES / NO)

- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)

**Third Party(ies) (if necessary)****Third Party 1 (Y1)**

- Conversion rate of the date of incurred actual costs? (YES / NO)

- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)

**Third Party 2 (Y2)**

- Conversion rate of the date of incurred actual costs? (YES / NO)

- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)

Third Party 3 (Y3)	
- Conversion rate of the date of incurred actual costs? (YES / NO)	
- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)	
Third Party 4 (Y4)	
- Conversion rate of the date of incurred actual costs? (YES / NO)	
- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)	

If necessary add another Form C.

### **8- Contractor's Certificate**

We certify that:

- the costs declared above are directly related to the resources used to reach the objectives of the project ;
- the receipts declared above are directly related to the resources used to reach the objectives of the project ;
- the costs declared above fall within the definition of eligible costs specified in Articles II.19, II.20, II.21, II.22 and II.25 of the contract, and, if relevant, in Annex III and Article 9 (special clauses) of the contract ;
- the receipts declared above fall within the definition of receipts specified in Article II.23.1 of the contract ;
- the interest generated by the pre-financing declared above falls within the definition of Article II.27 of the contract ;
- the necessary adjustments, especially to costs reported in previous Financial Statement(s) per Activity, have been incorporated in the above Statement ;
- the above information declared is complete and true ;
- there is full supporting documentation to justify the information hereby declared. It will be made available at the request of the Commission and in the event of an audit by the Commission and/or by the Court of Auditors and/or their authorised representatives.

Contractor's Stamp	Name of the Person responsible for the work	Name of the duly authorised Financial Officer
	Date	Date
	Signature	Signature



Summary Financial Report																					
Type of Instrument		CRAFT	Project Title (or Acronym)										Contract N°			Page	1/1				
Reporting period number		From (dd/mm/yyyy)										To (dd/mm/yyyy)									
Contractor n°	Organisation Short Name	Cost model used	Eligible costs (in €)	Type of activities												Total eligible costs (F)=(A)+(B)+(C)+(D)+(E)			Receipts		
				Research and Technological Development / Innovation (A)			Demonstration (B)			Training (C)			Management of the consortium (D)			Other Specific Activities (E)			Contractor	AC Third party(ies)	FC/FCF Third party(ies)
				Contractor	AC Third party(ies)	FC/FCF Third party(ies)	Contractor	AC Third party(ies)	FC/FCF Third party(ies)	Contractor	AC Third party(ies)	FC/FCF Third party(ies)	Contractor	AC Third party(ies)	FC/FCF Third party(ies)	Contractor	AC Third party(ies)	FC/FCF Third party(ies)			
1			Direct eligible costs													0.00	0.00	0.00			
			<i>of which direct eligible costs of subcontracting</i>													0.00	0.00	0.00			
			Indirect eligible costs													0.00	0.00	0.00			
			Adjustment on previous period(s)													0.00	0.00	0.00			
			Total eligible costs	0.00	0.00	0.00				0.00	0.00	0.00				0.00	0.00	0.00			
2			Direct eligible costs													0.00	0.00	0.00			
			<i>of which direct eligible costs of subcontracting</i>													0.00	0.00	0.00			
			Indirect eligible costs													0.00	0.00	0.00			
			Adjustment on previous period(s)													0.00	0.00	0.00			
			Total eligible costs	0.00	0.00	0.00				0.00	0.00	0.00				0.00	0.00	0.00			
3			Direct eligible costs													0.00	0.00	0.00			
			<i>of which direct eligible costs of subcontracting</i>													0.00	0.00	0.00			
			Indirect eligible costs													0.00	0.00	0.00			
			Adjustment on previous period(s)													0.00	0.00	0.00			
			Total eligible costs	0.00	0.00	0.00				0.00	0.00	0.00				0.00	0.00	0.00			
4			Direct eligible costs													0.00	0.00	0.00			
			<i>of which direct eligible costs of subcontracting</i>													0.00	0.00	0.00			
			Indirect eligible costs													0.00	0.00	0.00			
			Adjustment on previous period(s)													0.00	0.00	0.00			
			Total eligible costs	0.00	0.00	0.00				0.00	0.00	0.00				0.00	0.00	0.00			
5			Direct eligible costs													0.00	0.00	0.00			
			<i>of which direct eligible costs of subcontracting</i>													0.00	0.00	0.00			
			Indirect eligible costs													0.00	0.00	0.00			
			Adjustment on previous period(s)													0.00	0.00	0.00			
			Total eligible costs	0.00	0.00	0.00				0.00	0.00	0.00				0.00	0.00	0.00			
Total eligible costs				0.00	0.00	0.00				0.00	0.00	0.00				0.00	0.00	0.00			
Requested EC contribution for the reporting period (in €) without taking into account receipts				0.00	0.00	0.00				0.00	0.00	0.00						0.00			
Requested EC contribution for the reporting period (in €) taking into account receipts [=Periodic Invoice]																	0.00				
Amount of the financial interests generated by the prefinancing																					

## **7.11 Appendix 11 – Financial forms for Collective Research Projects<sup>35</sup>**

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<sup>35</sup> Financial forms are provided for information; please contact the Project Officer for instructions on how to complete the forms

## Form C - Model of Financial Statement per Activity for a Specific Collective Research Project for SMEs

(to be completed by each contractor)

<b>Type of instrument</b>	<b>Specific Research Project for SMEs</b>	<b>Type of Action (if necessary)</b>	<b>Collective Research</b>
<b>Project Title (or Acronym)</b>		<b>Contract n°</b>	
<b>Contractor's Legal Name</b>			
<b>Legal Type</b>			
<b>Contact Person</b>		<b>Telephone</b>	
<b>Telecopy</b>		<b>E-mail</b>	
<b>Cost model used (AC//FC or FCF)</b>		<b>Indirect costs (Real or Flat Rate of 20% of Direct costs, except subcontracting)</b>	
<b>Period from</b>		<b>To</b>	

### 1- Resources (Third party(ies))

Are there any resources made available on the basis of a prior agreement with third parties identified in Annex I of the contract? (Yes / No)

If Yes, please provide the following information

Third Party (Y1)	Legal Name	Cost model used
Third Party 2 (Y2)	Legal Name	Cost model used
Third Party 3 (Y3)	Legal Name	Cost model used
Third Party 4 (Y4)	Legal Name	Cost model used

If necessary add another Form C.

### 2- Declaration of eligible costs (in €)

Please complete only the activity covered by the relevant instrument (and type of action) indicated above and as mentioned in Article II.25 and/or in Annexes I and III of the contract.

If you are a contractor using the additional cost model (AC):

- indicate only your additional eligible costs, except for Management of the Consortium Activity for which you may indicate your full eligible costs;

- do not declare eligible direct additional costs specifically covered by contributions from third parties as mentioned in Articles II.20 and II.23a and b of the contract.

If you are a contractor using a full cost model (FC/FCF), indicate your full eligible costs.

The costs declared should distinguish between direct and indirect costs.

If necessary, adjustments to previous period(s) may be included where appropriate.

	Type of Activity											
	Research and Technological Development / Innovation (A)		Demonstration (B)		Training (C)		Management of the Consortium (D)		Other Specific Activities (E)		Total (F) = (A)+(B)+(C)+(D)+(E)	
	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)
<b>Direct costs</b>												
<i>Of which subcontracting</i>												
<b>Indirect costs</b>												
<b>Adjustments to previous period(s)</b>												
<b>Total costs</b>												

**3- Declaration of receipts (in €)**

If you are a contractor using the additional cost model (AC), indicate only receipts covered by Article II.23.1.c of the contract.

If you are a contractor using a full cost model (FC/FCF), indicate receipts covered by Article II.23.1 of the contract.

	Type of Activity											
	Research and Technological Development / Innovation (A')		Demonstration (B')		Training (C')		Management of the Consortium (D')		Other Specific Activities (E')		Total (F') = (A')+(B')+(C')+(D')+(E')	
	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)	Contractor	Third Party(ies)
<b>Total receipts</b>												

**4- Declaration of interest generated by the pre-financing (in €)**

To be completed only by the coordinator.

Did the pre-financing (advance) you received by the Commission for this period earn interest? (Yes / No)

If yes, please indicate the amount (in €)

**5- Request of FP6 Financial contribution (in €)**

For this period, the FP6 Community financial contribution requested is equal to (amount in €)

**6- Audit certificates**

According to the contract, does this Financial Statement need an audit certificate (or several in case of Third party(ies)) delivered by independent auditor(s)? (Yes / No)

If Yes, does this(those) audit certificate(s) cover only this Financial Statement per Activity? (Yes / No)

If No, what are the periods covered by this(those) audit certificate(s) ?

From – To

What is the total cost of this(those) audit certificate(s) (in €) per independent auditor(s) ?

**Audit certificate of the contractor (X)**

Legal name of the audit firm		Cost of the certificate	
------------------------------	--	-------------------------	--

**Audit certificate(s) of the third party(ies) (Ys) (if necessary)**

Y1 : Legal name of the audit firm		Cost of the certificate	
-----------------------------------	--	-------------------------	--

Y2 : Legal name of the audit firm		Cost of the certificate	
-----------------------------------	--	-------------------------	--

Y3 : Legal name of the audit firm		Cost of the certificate	
-----------------------------------	--	-------------------------	--

Y4 : Legal name of the audit firm		Cost of the certificate	
-----------------------------------	--	-------------------------	--

If necessary add another Form C.		Total (Z) = (X) + (Ys)	
----------------------------------	--	------------------------	--

Reminders:

The cost of an audit certificate is included in the costs declared under the activity "Management of the Consortium".

The required audit certificate(s) is(are) attached to this Financial Statement.

**7- Conversion rates**

Costs incurred in currencies other than EURO shall be reported in EURO.

Please mention the conversion rate used (only one choice is possible) – Please note that the same principle applies for receipts.

**Contractor**

- Conversion rate of the date of incurred actual costs? (YES / NO)

- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)

**Third Party(ies) (if necessary)****Third Party 1 (Y1)**

- Conversion rate of the date of incurred actual costs? (YES / NO)

- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)

**Third Party 2 (Y2)**

- Conversion rate of the date of incurred actual costs? (YES / NO)

- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)

**Third Party 3 (Y3)**

- Conversion rate of the date of incurred actual costs? (YES / NO)	
- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)	
<b>Third Party 4 (Y4)</b>	
- Conversion rate of the date of incurred actual costs? (YES / NO)	
- Conversion rate of the first day of the first month following the period covered by this Financial Statement? (YES/NO)	

*If necessary add another Form C.*

### **8- Contractor's Certificate**

We certify that:

- the costs declared above are directly related to the resources used to reach the objectives of the project ;
- the receipts declared above are directly related to the resources used to reach the objectives of the project ;
- the costs declared above fall within the definition of eligible costs specified in Articles II.19, II.20, II.21, II.22 and II.25 of the contract, and, if relevant, in Annex III and Article 9 (special clauses) of the contract ;
- the receipts declared above fall within the definition of receipts specified in Article II.23.1 of the contract ;
- the interest generated by the pre-financing declared above falls within the definition of Article II.27 of the contract ;
- the necessary adjustments, especially to costs reported in previous Financial Statement(s) per Activity, have been incorporated in the above Statement ;
- the above information declared is complete and true ;
- there is full supporting documentation to justify the information hereby declared. It will be made available at the request of the Commission and in the event of an audit by the Commission and/or by the Court of Auditors and/or their authorised representatives.

Contractor's Stamp	Name of the Person responsible for the work	Name of the duly authorised Financial Officer
	Date	Date
	Signature	Signature

Summary Financial Report																					
Type of Instrument		CLR	Project Title (or Acronym)										Contract N°			Page	1/1				
Reporting period number		From (dd/mm/yyyy)										To (dd/mm/yyyy)									
Contractor n°	Organisation Short Name	Cost model used	Eligible costs (in €)	Type of activities												Total eligible costs (F)=(A)+(B)+(C)+(D)+(E)			Receipts		
				Research and Technological Development / Innovation (A)			Demonstration (B)			Training (C)			Management of the consortium (D)			Other Specific Activities (E)			Contractor	AC Third party(ies)	FC/FCF Third party(ies)
				Contractor	AC Third party(ies)	FC/FCF Third party(ies)	Contractor	AC Third party(ies)	FC/FCF Third party(ies)	Contractor	AC Third party(ies)	FC/FCF Third party(ies)	Contractor	AC Third party(ies)	FC/FCF Third party(ies)	Contractor	AC Third party(ies)	FC/FCF Third party(ies)			
1			Direct eligible costs													0.00	0.00	0.00			
			<i>of which direct eligible costs of subcontracting</i>													0.00	0.00	0.00			
			Indirect eligible costs													0.00	0.00	0.00			
			Adjustment on previous period(s)													0.00	0.00	0.00			
			Total eligible costs	0.00	0.00	0.00				0.00	0.00	0.00				0.00	0.00	0.00			
2			Direct eligible costs													0.00	0.00	0.00			
			<i>of which direct eligible costs of subcontracting</i>													0.00	0.00	0.00			
			Indirect eligible costs													0.00	0.00	0.00			
			Adjustment on previous period(s)													0.00	0.00	0.00			
			Total eligible costs	0.00	0.00	0.00				0.00	0.00	0.00				0.00	0.00	0.00			
3			Direct eligible costs													0.00	0.00	0.00			
			<i>of which direct eligible costs of subcontracting</i>													0.00	0.00	0.00			
			Indirect eligible costs													0.00	0.00	0.00			
			Adjustment on previous period(s)													0.00	0.00	0.00			
			Total eligible costs	0.00	0.00	0.00				0.00	0.00	0.00				0.00	0.00	0.00			
4			Direct eligible costs													0.00	0.00	0.00			
			<i>of which direct eligible costs of subcontracting</i>													0.00	0.00	0.00			
			Indirect eligible costs													0.00	0.00	0.00			
			Adjustment on previous period(s)													0.00	0.00	0.00			
			Total eligible costs	0.00	0.00	0.00				0.00	0.00	0.00				0.00	0.00	0.00			
5			Direct eligible costs													0.00	0.00	0.00			
			<i>of which direct eligible costs of subcontracting</i>													0.00	0.00	0.00			
			Indirect eligible costs													0.00	0.00	0.00			
			Adjustment on previous period(s)													0.00	0.00	0.00			
			Total eligible costs	0.00	0.00	0.00				0.00	0.00	0.00				0.00	0.00	0.00			
<b>Total eligible costs</b>				0.00	0.00	0.00				0.00	0.00	0.00				0.00	0.00	0.00			
<b>Requested EC contribution for the reporting period (in €) without taking into account receipts</b>				0.00	0.00	0.00				0.00	0.00	0.00						0.00			
<b>Requested EC contribution for the reporting period (in €) taking into account receipts [=Periodic Invoice]</b>																	0.00				
<b>Amount of the financial interests generated by the prefinancing</b>																					

**7.12 Appendix 12 – Report on the distribution of the  
Community's contribution<sup>36</sup>**

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<sup>36</sup> Financial forms are provided for information; please contact the Project Officer for instructions on how to complete the forms





**7.13 Appendix 13 – Science and society reporting questionnaire**  
*All projects*

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# Science and Society Reporting Questionnaire

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## Introduction

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FP6 was designed to focus, integrate, structure and strengthen the European Research Area (ERA). The influence of science and technology on society was acknowledged when the ERA was established and the importance of having a healthy dialogue between science and society was recognised. This area now forms part of the policy to structure the ERA under the heading Science and Society. It incorporates ethical, gender and communications issues together with issues affecting education and youth and governance.

This questionnaire has been compiled for FP6 Project Coordinators. It has been designed to help coordinators respond to contractual reporting requirements (Article II.10.3 of the contract states that consortia must engage with actors beyond the research community) and to facilitate the monitoring of the science and society dimension in FP6.

The information gathered through this exercise will be confidential and will not be disclosed to any third parties or used in any way that could be linked to individual projects.

Please complete the questionnaire by ticking boxes or filling out information where requested. It would be appreciated if as many questions as possible could be completed.

*Please note that Part A will be completed automatically when the contract number is entered.*

---

## A General Information on Contractor

---

1 Contract Number:

2 Instrument:

3 Thematic Priority:

4 Title of Project:

5 Name and Title of Coordinator:

---

6 **Period Covered, Start Date:**  **End Date:**

---

7 **EC Contribution to project:** €

---

## B Ethics

---

8 **Which (if any) of the following does your research project involve?**

- Human beings
  - Human biological samples
  - Personal data
  - Genetic information
  - Animals
  - None of the above
- 

9 **To what extent do you believe ethical issues are relevant to your research project?**

- Not relevant
  - Minor relevance
  - Significant relevance
  - Critical
- 

10 **Do you have Ethicists or others with considerable ethics experience involved in the project?**

- Yes
  - No
- 

11 **Did your project have a separate EC ethical review?**

- Yes
  - No
- 

12 **How much (including the value of time spent, as well as paid-out costs) do you estimate your project (when it is completed) will have spent on considering and dealing with ethical issues?**

€

---

## C Gender (to be completed for all projects except IPs and NoEs)

---

**13a Did you undertake Gender Equality Actions in your research project?**

- Yes  
 No

**13b If no, why not?**

- Not relevant  
 Team not gender aware  
 No budget  
 Not supported (no will)

Other:

**13c If yes, which of the following actions did you carry out and how effective were they?**

	Not at all effective				Very effective
<input type="checkbox"/> Design and implement an equal opportunity policy	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<input type="checkbox"/> Implement mentoring schemes for women	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<input type="checkbox"/> Family friendly working conditions	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

---

**14 Was there a gender dimension associated with the research content?**

Yes. If yes, please specify

No

---

**15 How much (including the value of time spent, as well as paid-out costs) do you estimate your project (when it is completed) will have spent on considering and dealing with gender issues?**

€



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## D Science Education, Training and Career Development

---

**16a Does this project anticipate having a direct impact on the local economy?**

- Yes  
 No

**16b If Yes, is the project:**

- Stimulating employment  
 Retaining highly trained personnel  
 Creating possible spin-out/start-up companies
-

---

**17 Does your partnership employ and train researchers?**

- Yes  
 No

---

**18 Does your project involve working with young people at schools?**

- Yes  
 No

---

**19 Is there any education material being produced directly or indirectly by your project?**

- Yes  
 No

---

**20 How much (including the value of time spent, as well as paid-out costs) do you estimate your project (when it is completed) will have spent on considering and dealing with Science Education, Training and Career Development issues? €**

---

## **E Engaging With Actors Beyond the Research Community**

---

**20a Is the project likely to generate outputs (expertise or scientific advice) which could be used by policy makers?**

- Yes  
 No

**20b If Yes, is this a primary or secondary objective of the project?**

- Primary  
 Secondary

---

**21a Did your project engage in significant communication with the public before research commenced?**

- Yes  
 No

**21b Was the focus or methodology of your project modified in response to any communication with the public?**

- Yes  
 No
-

---

**22 Does your project involve someone whose role is solely to communicate with the public?**

- Yes
- No

---

## **F Use and dissemination**

---

**23 How many articles were published ?**

In refereed journals:

Other journals:

---

**24 How many patents have been applied for ?**

**25 How many other Intellectual Property Rights were applied for?**

---

**26 How many spin-offs were created?**

---

**27 Have you issued press releases related to your project (and if so, how many)?**

- Yes, number:
- No

---

**28 Have you held media briefings? If so, how many, and on average roughly how many journalists attended?**

- Yes, number of briefings:
- No

average number of journalists:

**29a** Roughly how many items covering your project in the printed press, on radio or television can you identify?

Press:  Radio:  Television:

**29b** Roughly how many items were:

Specialist Press:  Non-specialist Press:   
National Press:  International Press:

---

**30a** Was there on-line information about the project?

- Yes
- Specific web site
- No

**30b** Roughly how frequently has it been updated?

---

**31** Do you have an e-mail mailing list to send news about the project? If so, how many subscribers to the list are there?

- Yes, number of subscribers:
- No

---

**32a** Have you created or participated in an event (e.g. workshop, conference, information day) in order to communicate with the public (not just other researchers or the press)?

- Yes
- No

**32b** Roughly how many people attended these events and learned about your project?

---

---

**33a Have you produced a video or DVD film about your project?**

- Yes
- No

**33b If so, how effective do you believe it has been in communicating with the public?**

- Unable to assess
- Completely ineffective
- Mostly ineffective
- Partially effective
- Significantly effective
- Extremely effective

---

**34a Have you produced posters, flyers or brochures about your project?**

- Yes
- No

**34b If so, how effective do you believe they have been in communicating with the public?**

- Unable to assess
- Completely ineffective
- Mostly ineffective
- Partially effective
- Significantly effective
- Extremely effective

---

**35 In how many different languages were these products (video/DVD, posters, flyers, brochures) produced?**

---

**36 How have you distributed these products (video/DVD, posters, flyers, brochures)? Please tick all methods you have used.**

- Sent on request
- Sent to schools/academic institutions
- Distributed through government agencies/public buildings/libraries etc.
- Sent to potentially interested non-governmental bodies (NGOs, citizen's associations etc)
- Other:



## **G Total Communication Spend**

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- 37 How much (including the value of time spent, as well as paid-out costs) do you estimate your project (when it is completed) will have spent on communication activities (engaging with the public, use and dissemination) as described in the current questionnaire?**

€

---

## **H Comments**

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- 38 If you have any comments about your experience of meeting the Science and Society objectives within your project, or any suggestions of improvements to the programme please add them here:**

**Thank you for your help!**

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**[Submission instructions will need to be elaborated by those that set up the questionnaire on the Internet].**

**7.14 Appendix 14 – Interim and final reporting on the  
implementation of the gender action plan**

*IPs and NoEs only*

## GENDER ACTION PLAN (GAP) INTERIM IMPLEMENTATION REPORT

*This GAP implementation report is part of the periodic reporting to be completed by the project coordinator and each contractor of IPs and NoEs at the end of the first reporting period. It details the activities undertaken and assesses the progress made in implementing a Gender Action Plan for the project.*

### 1. GENERAL INFORMATION

- 1.1. Contract No.:
- 1.2. Thematic priority:
- 1.3. Instrument:
- 1.4. Project acronym:<sup>37</sup>
- 1.5. Period covered (Start Date – End Date)<sup>1</sup>:
- 1.6. Name and title of co-ordinator<sup>1</sup>:
- 1.7. Name and title of contractor:

### 2. GENERAL PROGRESS OF THE GENDER ACTION PLAN TO BE COMPLETED BY COORDINATOR

- 2.1. Please provide the content of the Gender Action plan

#### PART B.10.1

#### PART B.10.2.

- 2.2. Is the Gender Action Plan running as previously planned?
- Yes. If yes, please go to question 3.
  - No

<sup>37</sup> Pre filled when applicable

2.2.2. If no, are some changes needed?

- o Yes
- o No

2.2.2. a) If yes, please complete the table below by describing the problems encountered and the changes introduced to the Gender Action Plan during the reporting period (add as many rows as necessary).

PLANNED ACTIONS <sup>38</sup>	PROBLEM ENCOUNTERED	CHANGES BEING INTRODUCED
1. XXXXXXXXXXXXXXXXXXXXX		
2. TTTTTTTTTTTTTTTTTTTT		
3. VVVVVVVVVVVVVVVVVV		
4. ZZZZZZZZZZZZZZZZZZ		

2.2.2.b) If no, how does the Consortium intend to ensure progress in the Gender Action Plan implementation ?

**3. SCIENTIFIC LEADERSHIP AND MANAGEMENT, AND WORKFORCE STATISTICS FOR THE PROJECT TO BE COMPLETED BY CONTRACTORS**

Please complete the table below on a headcount basis.

(Previously supplied data will be inserted automatically)

Type of Position	Number of Women	Number of Men	Total	% Women	% Men
Scientific manager					
Scientific team leader / work package manager					
Experienced researcher (> 4 years)					
Early researcher (<= 4 years)					
PhD students					
Technical staff					
Other					

**4. GENDER ACTIONS UNDERTAKEN - TO BE COMPLETED BY CONTRACTORS**

Please use the table below to describe gender actions that have been undertaken, any problems that have been encountered and rate the success level. (New actions can be inserted from a suggested list)

	Actions taken	Description	Problems encountered	Success rate (score 1 - 5) <sup>39</sup>	Comment

<sup>38</sup> Pre filled when applicable

<sup>39</sup> 1 indicates a poor result, 5 indicates a good result

Gender balance within Project workforce					
Raising gender awareness					
Promotion of Women in Science					
Monitoring Action Plan implementation					
Other – please specify					

#### 5. BUDGET OF THE GENDER ACTION PLAN TO BE COMPLETED BY PROJECT COORDINATOR

*Please specify the budget allocated to the Gender Action Plan*

*Encoded budget to be added automatically*

--

#### 6. GENDER ISSUES IN THE RESEARCH CONTENT TO BE COMPLETED BY PROJECT COORDINATOR

Please indicate in the table below any gender issues associated with the research content of the project. Please use the table to indicate the results achieved at each stage of the research and to rate the performance level.

Gender issues	Description	Outcomes / Results achieved	Stage of research project	Success rate (score 1 - 5) <sup>40</sup>	Comments

Thank you for completing this report!

<sup>40</sup> 1 indicates a poor result, 5 indicates a good result

## GENDER ACTION PLAN (GAP) FINAL IMPLEMENTATION REPORT

*This GAP implementation report is part of the final reporting to be completed by the project coordinator and each contractor of IPs and NoEs as indicated. It details the activities undertaken and assesses the progress made in implementing a Gender Action Plan for the project.*

### 1. GENERAL INFORMATION

1.1. Contract No.:

1.2. Thematic priority:

1.3. Instrument:

1.4. Project Acronym:<sup>41</sup>

1.5. Period covered (Start Date – End Date)<sup>1</sup>:

1.6. Name and title of co-ordinator<sup>1</sup>:

1.7. Name and title of contractor:

### 2. GENDER ACTION PLAN PUBLISHABLE RESULTS TO BE COMPLETED BY COORDINATOR

2.1. **Please give a comprehensive short description of the GAP main achievements (publishable)**

2.2. **Please give a short summary of any problems that were encountered (publishable)**

2.3. **Please give a short summary on future plans and prospects for the GAP (publishable)**

<sup>41</sup> Pre filled when applicable

**3. SCIENTIFIC LEADERSHIP AND MANAGEMENT, AND WORKFORCE STATISTICS FOR THE PROJECT TO BE COMPLETED BY CONTRACTORS**

Please indicate in the table below on a headcount basis, how the scientific management and workforce was distributed at the end of the project  
(Previously supplied data will be inserted automatically)

Type of Position	Number of Women	Number of Men	Total	% Women	% Men
Scientific manager					
Scientific team leader / work package manager					
Experienced researcher (> 4 years)					
Early researcher (<= 4 years)					
PhD students					
Technical staff					
Other					

**4. GENDER ACTIONS UNDERTAKEN - TO BE COMPLETED BY CONTRACTORS**

The table below has been compiled based on your input to the periodic report. Please use the table to elaborate further on the results achieved and to rate the performance level. Please add as many rows as necessary

	Actions taken	Description	Results achieved	Success rate (score 1 - 5) <sup>42</sup>	Comment
<b>Gender balance within Project workforce</b>					
<b>Raising gender awareness</b>					
<b>Promotion of Women in Science</b>					
<b>Monitoring Action Plan implementation</b>					
<b>Other – please specify</b>					

<sup>42</sup> 1 indicates a poor result, 5 indicates a good result

**5. GENDER ACTION PLANS – PROBLEMS ENCOUNTERED – TO BE COMPLETED BY COORDINATOR**

The table below has been compiled based on your input to the periodic report. Please use the table to elaborate further on the types of problems encountered and the reasons why the expected outcomes and results could not be achieved. Please add as many rows as necessary.

PLANNED ACTIONS <sup>43</sup>	PROBLEM ENCOUNTERED	CHANGES BEING INTRODUCED
1. XXXXXXXXXXXXXXXXXXXX		
2. TTTTTTTTTTTTTTTTTTTT		
3. VVVVVVVVVVVVVVVVVV		
4. ZZZZZZZZZZZZZZZZZZ		

**6. TOTAL EXPENDITURE ON THE GENDER ACTION PLAN FOR THE PROJECT TO BE COMPLETED BY THE COORDINATOR**

*Please specify the budget allocated to the Gender Action Plan*

*Encoded budget to be added automatically*

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**7. GENDER ISSUES IN THE RESEARCH CONTENT TO BE COMPLETED BY PROJECT COORDINATOR**

The table below has been compiled based on your input to the periodic report. Please use the table to elaborate further on the results achieved at each stage of the research and to rate the performance level. Please add as many rows as necessary

Gender issues	Description	Outcomes / Results achieved	Stage of research	Success rate (score 1 - 5) <sup>44</sup>	Comments

Thank you for completing this report!

<sup>43</sup> Pre filled when applicable

<sup>44</sup> 1 indicates a poor result, 5 indicates a good result



**7.15 Appendix 15 – Interim and final reporting  
questionnaires on workforce statistics**

*All projects except IPs and NoEs*

## WORK FORCE STATISTICS INTERIM REPORT

*This report is part of the periodic reporting to be completed by the contractors of all projects except IPs and NoEs at the end of the first reporting period.*

### 1. GENERAL INFORMATION

- 1.1. Contract No.:
- 1.2. Thematic priority:
- 1.3. Instrument:
- 1.4. Project Acronym:<sup>45</sup>
- 1.5. Period covered (Start Date – End Date)<sup>1</sup>:
- 1.6. Name and title of co-ordinator<sup>1</sup>:
- 1.7. Name and title of contractor:

### 2. SCIENTIFIC LEADERSHIP AND MANAGEMENT, AND WORKFORCE STATISTICS FOR THE PROJECT TO BE COMPLETED BY CONTRACTORS

*Please complete the table below on a headcount basis*

Type of Position	Number of Women	Number of Men	Total	% Women	% Men
Scientific manager					
Scientific team leader / work package manager					
Experienced researcher (> 4 years)					
Early researcher (<= 4 years)					
PhD students					
Technical staff					
Other					

<sup>45</sup> Pre filled when applicable

# WORK FORCE STATISTICS FINAL REPORT

*This report is part of the final reporting to be completed by the contractors of all projects except IPs and NoEs at the end of the project.*

## 1. GENERAL INFORMATION

- 1.1. Contract No.:
- 1.2. Thematic priority:
- 1.3. Instrument type:
- 1.4. Project acronym:
- 1.5. Period covered (Start Date – End Date)<sup>1</sup>:
- 1.6. Name and title of co-ordinator<sup>1</sup>:
- 1.7. Name and title of contractor:

## 2. SCIENTIFIC LEADERSHIP AND MANAGEMENT, AND WORKFORCE STATISTICS FOR THE PROJECT TO BE COMPLETED BY CONTRACTORS

*Please complete the table below on a Headcount basis (Previously supplied data will be inserted automatically)*

Type of Position	Number of Women	Number of Men	Total	% Women	% Men
Scientific manager					
Scientific team leader / work package manager					
Experienced researcher (> 4 years)					
Early researcher (<= 4 years)					
PhD students					
Technical staff					
Other					

**7.16 Appendix 16 – Socio-economic reporting questionnaire**  
*All projects*

## SOCIO-ECONOMIC REPORTING QUESTIONNAIRE

(To be completed by each contractor in the project)

### INTRODUCTION

In the process of building the European Research Area, democratic governance must ensure that social and economic issues are taken into consideration in the research activities and that citizens are informed about and aware of the social aspects with regard to scientific and technological progress. In this context, it is also acknowledged that the benefits of research in support of socio-economic policy challenges would be enhanced by an appropriate integration of socio-economic research dimensions.

The importance of the integration of socio-economic aspects in research was recognised in FP6 and should be duly taken into consideration by contractors where relevant for the actions concerned in horizontal and thematic activities of FP6.

This questionnaire applies to all projects and must be filled in by each contractor in the project. It is designed to facilitate the monitoring of the integration of the socio-economic dimensions in FP6 and to finally support the assessment of the research that will guide the future policy formulations and decisions.

The submission of this questionnaire will be done on-line. The details of the procedure to be used will be communicated by the Commission to the project coordinator in due time.

The information gathered through this exercise will be kept confidential and will not be disclosed to any third parties or used in any way that could be linked to individual projects.

### QUESTIONS

**1.1 Do your tasks in the project include socio-economic research activities<sup>46</sup> ?**

*(Yes, No or N/A)*

**1.2 If “Yes”, what is the estimated total budget allocation that addresses these activities ?**

*(Cost in Euro or N/A)*

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<sup>46</sup> - Ex-ante or ex-post assessments (or contribution to such analysis e.g. cost-benefit/cost-effectiveness studies, etc...) of the expected impact of the knowledge and/or technology generated from the research (project, programme or framework programme), as well as analysis of the factors that would influence their exploitation (e.g. statistical indicators, standardisation, ethical and regulatory aspects, impact on consumers and markets, public awareness/acceptance and understanding of science, political/societal and/or economic implications, etc...)

- Any type of models or tools to support the assessment of impact on society, economy and businesses resulting from the deployment of new services or technologies.

- Any research seeking both a better integration of Science in Society and Society in Science.

- Any type of research aiming at understanding the societal and economic phenomena (research in social sciences and humanities)

- Actions e.g. assessments, tools & methods, comparative research, etc to support the formulation and implementation of Community policies.

- Any type of activity involving scientist(s) with a specific background in social, political sciences or in economy (discipline approach).

**2.1 Do your tasks in the project include foresight methods<sup>47</sup> ?**

*(Yes, No or N/A)*

**2.2 If “Yes”, what is the estimated total budget allocation that addresses these activities?**

*(Cost in Euro or N/A)*

**3. How many person/months (estimated) are allocated to researchers with a background in social sciences<sup>48</sup>, to perform your tasks for the project ?**

*(Figure)*

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<sup>47</sup> - Any type of foresight, i.e. participative vision-building approaches, future studies and forward looking activities, including scenarios of the evolution of Europe’s potential in a related field, forecasting, prospective studies, forward looks, etc.

<sup>48</sup> Domains of academic disciplines covered by the social sciences are: Psychology, Economics, Education sciences, Anthropology (social and cultural) and ethnology, Demography, Geography (human, economic and social), Town and country planning, Management, Law, Linguistics, Political sciences, Sociology, Organisation and methods, Miscellaneous social sciences and interdisciplinary.