



EUROPEAN
COMMISSION

Community Research



Guidance Notes on Project Reporting

FP7 Collaborative Projects, Networks of Excellence, Coordination and Support Actions, Research for the benefit of Specific Groups (in particular SMEs)

Version 10/11/2008



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1. INTRODUCTION

This document is the guidance note to help the coordinators and consortia to prepare the periodic and final reports requested in Article II.4 of the Grant Agreement. This is a contractual obligation.

It applies to Collaborative Projects, Networks of Excellence, Coordination and Support Actions, and Research for the benefit of Specific Groups (in particular SMEs) under the 7th Framework Programme of the European Community¹ as well as under Euratom² with the exception of the IDEAS Programme (ERC/European Research Council) for which a specific guidance note is available (see <http://erc.europa.eu>)

The Commission evaluates the reports and deliverables in accordance with Article II.5 of the Grant Agreement. It may be assisted in this task by independent experts through technical project reviews (Article II.23 of the Grant Agreement). Payments shall be made after the Commission's approval of reports and/or deliverables.

Please note: Reporting specificities for research projects dealing with Security matters, are provided in annex A1.

2. REPORTING REQUIREMENTS

2.1 During the course of your project, you should submit:

1. The **deliverables** identified in Annex I of the Grant Agreement, according to the timetable specified in the Deliverables list.
2. A **periodic report** within 60 days of the end of each reporting period (**including the last reporting period**). The reporting periods are defined in Article 4 of the Grant Agreement. The **periodic report comprises**:
 - a) An **overview, including a publishable summary of the progress of work** towards the objectives of the project, including achievements and attainment of any milestones and deliverables identified in Annex I. This report should include the **differences** between work expected to be carried out in accordance with Annex I and that actually carried out,
 - b) An explanation of the **use of the resources**, and

¹ Decision of the European Parliament and of the Council (EC) No 1982/2006 of 18 December 2006 concerning the Seventh Framework Programme of the European Community for research, technological development and demonstration activities (2007-2013) - OJ L412 of 30.12.2006, p1.

² Decision of the Council (Euratom) No 970/2006 of 18 December 2006 concerning the Seventh Framework Programme of the European Atomic Energy Community (Euratom) or nuclear research and training activities (2007-2011) - OJ L400 of 30.12.2006, p60 as last modified by Corrigendum published in JO L54 of 22.02.2007, p21.

- c) A **Financial Statement** (Form C – Annex VI of the Grant Agreement) from each beneficiary³ and each third party, if applicable, together with a **summary financial report** consolidating the claimed Community contribution of all the beneficiaries (and third parties) in an aggregate form, based on the information provided in Form C by each beneficiary.

Financial statements should be accompanied by certificates, when this is appropriate (see Article II.4.4 of the Grant Agreement).

2.2 At the end of the project, you should submit:

A **final report**, within 60 days after the end of the project.

This final report shall comprise:

- a) A **final publishable summary report** covering results, conclusions and socio-economic impact of the project.
- b) A report covering the **wider societal implications** of the project, in the form of a questionnaire, including gender equality actions, ethical issues, efforts to involve other actors and to spread awareness, as well as the **plan for the use and dissemination of foreground**⁴.

2.3 After you receive the final payment from the EC, you should submit:

A report on the distribution of the Community financial contribution between beneficiaries (see Article II.4.3 of the Grant Agreement). This report must be submitted 30 days **after receipt of the final payment** (not required for intermediate payments).

2.4 During and after the project

During and after the project, the coordinator shall provide references and an abstract of all scientific publications relating to foreground at the latest two months following publication (see Article II.30. of the Grant Agreement). As part of the final project report, the coordinator will be required to submit a full list of publications relating to foreground of the project

All publications shall include the following statement to indicate that said foreground was generated with the assistance of financial support from the Community: *The research leading to these results has received funding from the [European Community's] [European Atomic Energy Community's] Seventh Framework Programme ([FP7/2007-2013] [FP7/2007-2011]) under grant agreement n° [xxxxxx]* (see Article II.30. of the Grant Agreement).

³ Beneficiary means the coordinator and other entities mentioned in Article 1 of the Grant Agreement

⁴ "Foreground" means the information and results arising from the project as opposed to "background" which is the information and rights held prior to signing the EC Grant Agreement.

2.5 Format of the reports and transmission modalities

The consortium shall transmit the reports and other deliverables through the coordinator to the Commission by electronic means (Article II.4.5 of the Grant Agreement).

In addition, Form C must be signed by the authorised person(s) within the beneficiary's organisation and the certificates on the financial statements and on the methodology must be signed by an authorised person of the auditing entity, and the originals shall be sent to the Commission.

Each periodic report shall be in the form of **ONE** single report in electronic format, preferably in PDF format and include, where applicable, a copy (properly scanned) of the signed pages, the originals being sent in parallel by post. The signed pages concerned are the Forms C, the self declaration of the coordinator and the audit certificates or certificates on the methodology.

The reports submitted to the Commission, in particular their publishable parts, shall be of a suitable quality to enable direct publication without any additional editing. By submitting the publishable reports to the Commission, you are also certifying that they include no confidential material (Article II.4.7).

The rest of this document provides guidance on how to write these reports. Please be careful to follow the structure provided and to complete all of the sections described below. Please ensure that any acronyms used are clearly explained.

3. PERIODIC REPORT TEMPLATE

The periodic report for each period, shall regroup in one single report both the technical report and financial reporting. It shall consist of sections described as follows:

FRONT PAGE

SELF DECLARATION (scanned copy of the declaration duly filled in and signed by the project coordinator, the original being sent separately by post)

TABLE OF CONTENTS with pagination

Followed by the following sections:

1. Publishable summary
2. Project objectives for the period
3. Work progress and achievements during the period
4. Deliverables and milestones tables
5. Project Management
6. Explanation of the use of the resources
7. Financial statements -- Forms C and Summary financial report (signed originals sent in parallel by post)
8. Certificates (signed originals sent in parallel by post)

<p>The content of each of these sections is described as follows</p>

Declaration by the scientific representative of the project coordinator⁵

I, as scientific representative of the coordinator⁵ of this project and in line with the obligations as stated in Article II.2.3 of the Grant Agreement declare that:

- The attached periodic report represents an accurate description of the work carried out in this project for this reporting period;
- The project (tick as appropriate):
 - has fully achieved its objectives and technical goals for the period;
 - has achieved most of its objectives and technical goals for the period with relatively minor deviations⁷;
 - has failed to achieve critical objectives and/or is not at all on schedule⁸.
- The public website is up to date, if applicable.
- To my best knowledge, the financial statements which are being submitted as part of this report are in line with the actual work carried out and are consistent with the report on the resources used for the project (section 3.6) and if applicable with the certificate on financial statement.
- All beneficiaries, in particular non-profit public bodies, secondary and higher education establishments, research organisations and SMEs, have declared to have verified their legal status. Any changes have been reported under section 5 (Project Management) in accordance with Article II.3.f of the Grant Agreement.

Name of scientific representative of the Coordinator⁵:

Date://

Signature of scientific representative of the Coordinator⁵:

⁷ If either of these boxes is ticked, the report should reflect these and any remedial actions taken.

⁸ If either of these boxes is ticked, the report should reflect these and any remedial actions taken.

3.1 Publishable summary

This section should be of suitable quality to enable direct publication by the Commission. Please ensure that it is set out and formatted so that it can be printed as a stand-alone paper document not exceeding four pages. It shall also reflect the website of the project (if applicable).

Please include a summary description of the project objectives, a description of the work performed since the beginning of the project, a description of the main results achieved so far, the expected final results and their potential impact and use (including the socio-economic impact and the wider societal implications of the project so far). You should update this publishable summary at the end of each reporting period.

Please include also, as appropriate, diagrams or photographs illustrating and promoting the work of the project, the project logo and relevant contact details.

The address of the project public website should also be indicated, if applicable.

3.2 Project objectives for the period

Please provide an overview of the project objectives for the reporting period in question, as included in Annex I of the Grant Agreement. These objectives are required so that this report is a stand-alone document.

Please include a summary of the recommendations from the previous reviews (if any) and indicate how these have been taken into account.

3.3 Work progress and achievements during the period

Please provide a concise overview of the progress of the work in line with the structure of Annex I of the Grant Agreement.

For each work package -- except project management, which will be reported in section 3.5-- please provide the following information:

- *A summary of progress towards objectives and details for each task;*
- *Highlight clearly significant results;*
- *If applicable, explain the reasons for deviations from Annex I and their impact on other tasks as well as on available resources and planning;*
- *If applicable, explain the reasons for failing to achieve critical objectives and/or not being on schedule and explain the impact on other tasks as well as on available resources and planning (the explanations should be coherent with the declaration by the project coordinator) ;*

- *a statement on the use of resources, in particular highlighting and explaining deviations between actual and planned person-months per work package and per beneficiary in Annex 1 (Description of Work)*
- *If applicable, propose corrective actions.*

3.4 Deliverables and milestones tables

Deliverables (excluding the periodic and final reports)

Please list all the deliverables due in this reporting period, as indicated in Annex I of the Grant Agreement.

Deliverables that are of a nature other than written "reports", such as "prototypes", "demonstrators" or "others", should also be accompanied by a short report, so that the European Commission has a record of their existence.

If a deliverable has been cancelled or regrouped with another one, please indicate this in the column "Comments".

If a new deliverable is proposed, please indicate this in the column "Comments".

This table is cumulative, that is, it should always show all deliverables from the beginning of the project.

TABLE 1. DELIVERABLES⁹									
Del. no.	Deliverable name	WP no.	Lead beneficiary	Nature	Dissemination level	Delivery date from Annex I (proj month)	Delivered Yes/No	Actual / Forecast delivery date	Comments

Milestones

Please complete this table if milestones are specified in Annex I of the Grant Agreement.

Milestones will be assessed against the specific criteria and performance indicators as defined in Annex I.

TABLE 2. MILESTONES							
Milestone no.	Milestone name	Work package no	Lead beneficiary	Delivery date from Annex I	Achieved Yes/No	Actual / Forecast achievement date	Comments

⁹

For Security Projects the template for the deliverables list in Annex A1 has to be used.

3.5 Project management

Please use this section to summarise management of the consortium activities during the period. Management tasks are indicated in Articles II.2.3 and Article II.16.5 of the Grant Agreement.

Amongst others, this section should include the following:

- *Consortium management tasks and achievements;*
- *Problems which have occurred and how they were solved or envisaged solutions;*
- *Changes in the consortium, if any;*
- *List of project meetings, dates and venues;*
- *Project planning and status;*
- *Impact of possible deviations from the planned milestones and deliverables, if any;*
- *Any changes to the legal status of any of the beneficiaries, in particular non-profit public bodies, secondary and higher education establishments, research organisations and SMEs;*
- *Development of the Project website, if applicable;*
- *Use of foreground and dissemination activities during this period (if applicable).*

The section should also provide short comments and information on co-ordination activities during the period in question, such as communication between beneficiaries, possible co-operation with other projects/programmes etc.

For Grant Agreements related to infrastructures (Annex III of the Grant Agreement), the access provider shall include a section in the periodic reports on the access activity, indicating the membership of the selection panel as well as the amount of access provided to the user groups, with the description of their work, and the names and home institutions of users.

3.6 Explanation of the use of the resources

Please provide an explanation of personnel costs, subcontracting and any major direct costs incurred by each beneficiary, such as the purchase of important equipment, travel costs, large consumable items, etc. linking them to work packages.

There is no standard definition of "major direct cost items". Beneficiaries may specify these, according to the relative importance of the item compared to the total budget of the beneficiary, or as regards the individual value of the item.

These can be listed in the following tables (one table by participant):

TABLE 3.1 PERSONNEL, SUBCONTRACTING AND OTHER MAJOR DIRECT COST ITEMS FOR BENEFICIARY 1 FOR THE PERIOD			
Work Package	Item description	Amount	Explanations
Ex: 2,5, 8, 11, 17	Personnel costs	235000 €* <i>235000 €*</i>	<i>Salaries of 2 postdoctoral students and one lab technician for 18 months each*</i>
5	Subcontracting	11000 €* <i>11000 €*</i>	<i>Maintenance of the web site and printing of brochure*</i>
8, 17	Major cost item 'X'	75000 €* <i>75000 €*</i>	<i>NMR spectrometer*</i>
11	Major cost item 'Y'	27000 €* <i>27000 €*</i>	<i>Expensive chemicals xyz for experiment abc*</i>
	Remaining direct costs	15000 €* <i>15000 €*</i>	
TOTAL DIRECT COSTS ¹⁰		363000 €* <i>363000 €*</i>	

* The entries in italics are examples and purely for illustration

TABLE 3.2 PERSONNEL, SUBCONTRACTING AND OTHER MAJOR DIRECT COST ITEMS FOR BENEFICIARY 2 FOR THE PERIOD			
Work Package	Item description	Amount	Explanations
	Personnel costs		
	Subcontracting		
	Major cost item 'X'		
	Major cost item 'Y'		
	Remaining direct costs		
TOTAL DIRECT COSTS ¹⁰			

¹⁰ Total direct costs have to be coherent with the direct costs claimed in Form C

The following table is required only for the funding schemes for Research for the benefit of SMEs

THE TRANSACTION

Please provide a list of the actual cost incurred by the RTD performers during the performance of the work subcontracted to them. These costs refer only to the agreed *'Transaction'*.

Name of RTD Performer	Number of person months	Personnel Costs	Durable equipment	Consumables	Computing	Overhead Costs	Other Costs	Total by RTD performer
TOTAL								

3.7 Financial statements – Form C and Summary financial report

Please submit a separate financial statement from each beneficiary (if Special Clause 10 applies to your Grant Agreement, please include a separate financial statement from each third party as well) together with a summary financial report which consolidates the claimed Community contribution of all the beneficiaries in an aggregate form, based on the information provided in Form C (Annex VI) by each beneficiary.

When applicable, certificates on financial statements shall be submitted by the concerned beneficiaries according to Article II.4.4 of the Grant Agreement.

IMPORTANT:

Form C varies with the funding scheme used. Please make sure that you use the correct form corresponding to your project. Templates for Form C are provided in Annex VI of the Grant Agreement. An example for collaborative projects is enclosed hereafter. A Web-based online tool for

completing and submitting the forms C is under preparation. If you have to submit forms C before the tool becomes available, please ask your Commission project officer for an Excel version of the form.

If some beneficiaries in security research have two different rates of funding (part of the funding may reach 75% in reference with Article 33.1 of the EC rules for participation - REGULATION (EC) No 1906/2006) then two separate financial statements should be filled by the concerned beneficiaries and two lines should be entered for these beneficiaries in the summary financial report.

FP7 - Grant Agreement - Annex VI - Collaborative Project

Form C - Financial Statement (to be filled in by each beneficiary)			
Project nr	nnnnn	Funding scheme	Collaborative Project
Project Acronym	xxxxxxxxxxxxxxxxxxxxxx		
Period from	dd/mm/aa	Is this an adjustment to a previous statement ?	Yes/No
To	dd/mm/aa		
Legal Name		Participant Identity Code	nn
Organisation short Name		Beneficiary nr	nn
Funding % for RTD activities (A)		If flat rate for indirect costs, specify %	%

1- Declaration of eligible costs/lump sum/flat-rate/scale of unit (in €)

	Type of Activity				TOTAL (A+B+C+D)
	RTD (A)	Demonstration (B)	Management (C)	Other (D)	
Personnel costs					
Subcontracting					
Other direct costs					
Indirect costs					
Lump sums/flat-rate/scale of unit declared					
Total					
Maximum EC contribution					
Requested EC contribution					

2- Declaration of receipts

Did you receive any financial transfers or contributions in kind, free of charge from third parties or did the project generate any income which could be considered a receipt according to Art.II.17 of the grant agreement ?
If yes, please mention the amount (in €)

Yes/No

3- Declaration of interest yielded by the pre-financing (to be completed only by the coordinator)

Did the pre-financing you received generate any interest according to Art. II.19 ?
If yes, please mention the amount (in €)

Yes/No

4. Certificate on the methodology

Do you declare average personnel costs according to Art. II.14.1 ?

Yes/No

Is there a certificate on the methodology provided by an independent auditor and accepted by the Commission according to Art. II.4.4 ?

Yes/No

Name of the auditor		Cost of the certificate (in €), if charged under this project	
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5- Certificate on the financial statements

Is there a certificate on the financial statements provided by an independent auditor attached to this financial statement according to Art.II.4.4 ?

Yes/No

Name of the auditor		Cost of the certificate (in €)	
----------------------------	--	---------------------------------------	--

6- Beneficiary's declaration on its honour

We declare on our honour that:

- the costs declared above are directly related to the resources used to attain the objectives of the project and fall within the definition of eligible costs specified in Articles II.14 and II.15 of the grant agreement, and, if relevant, Annex III and Article 7 (special clauses) of the grant agreement;

- the receipts declared above are the only financial transfers or contributions in kind, free of charge, from third parties and the only income generated by the project which could be considered as receipts according to Art. II.17 of the grant agreement;

- the interest declared above is the only interest yielded by the pre-financing which falls within the definition of Art. II.19 of the grant agreement ;

- 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.

Beneficiary's Stamp	Name of the Person(s) Authorised to sign this Financial Statement
	Date & signature

FP7 - Grant Agreement - Annex VI - Collaborative Project

Form C - Financial Statement (to be filled in by Third Party) Only applicable if special clause nr 10 is used

Project nr	nnnnn	Funding scheme	Collaborative Project
Project Acronym	xxxxxxxxxxxxxxxxxxxxxx		
Period from	dd/mm/aa	Is this an adjustment to a previous statement ?	Yes/No
To	dd/mm/aa		
3rd party legal Name			
3rd party Organisation short Name		Working for beneficiary nr	nn
Funding % for RTD activities (A)		If flat rate for indirect costs, specify %	%

1- Declaration of eligible costs/lump sum/flat-rate/scale of unit (in €)

	Type of Activity				TOTAL (A+B+C+D)
	RTD (A)	Demonstration (B)	Management (C)	Other (D)	
Personnel costs					
Subcontracting					
Other direct costs					
Indirect costs					
Lump sums/flat-rate/scale of unit declared					
Total					
Maximum EC contribution					
Requested EC contribution					

2- Declaration of receipts

Did you receive any financial transfers or contributions in kind, free of charge from third parties or did the project generate any income which could be considered a receipt according to Art.II.17 of the grant agreement ?

If yes, please mention the amount (in €)

Yes/No

3- Declaration of interest yielded by the pre-financing (to be completed only by the coordinator)

Did the pre-financing you received generate any interest according to Art. II.19 ?

If yes, please mention the amount (in €)

Yes/No

4. Certificate on the methodology

Do you declare average personnel costs according to Art. II.14.1 ?

Is there a certificate on the methodology provided by an independent auditor and accepted by the Commission according to Art. II.4.4 ?

Yes/No

Yes/No

Name of the auditor		Cost of the certificate (in €), if charged under this project	
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5- Certificate on the financial statements

Is there a certificate on the financial statements provided by an independent auditor attached to this financial statement according to Art.II.4.4 ?

Yes/No

Name of the auditor		Cost of the certificate (in €)	
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6- Beneficiary's declaration on its honour

We declare on our honour that:

- the costs declared above are directly related to the resources used to attain the objectives of the project and fall within the definition of eligible costs specified in Articles II.14 and II.15 of the grant agreement, and, if relevant, Annex III and Article 7 (special clauses) of the grant agreement;
- the receipts declared above are the only financial transfers or contributions in kind, free of charge, from third parties and the only income generated by the project which could be considered as receipts according to Art. II.17 of the grant agreement;
- the interest declared above is the only interest yielded by the pre-financing which falls within the definition of Art. II.19 of the grant agreement ;
- 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.

Beneficiary's Stamp	Name of the Person(s) Authorised to sign this Financial Statement
	Date & signature

FP7 - Grant Agreement - Annex VI - Collaborative Project

Summary Financial Report - Collaborative Project- to be filled in by the coordinator

Project acronym	xxxxxxxxxxxxxxxxxxxxxxxxxxxx	Project nr	nnnnnn	Reporting period from	dd/mm/aa	to:	dd/mm/aa	Page	1/1
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Funding scheme			Type of activity											Total (A)+(B)+(C)+(D)		Receipts	Interest
CP			RTD (A)		Demonstration (B)		Management (C)		Other (D)		Total						
Beneficiary n°	If 3rd Party, linked to beneficiary	Adjustment (Yes/No)	Organisation Short Name	Total	Max EC Contribution	Total	Max EC Contribution	Total	Max EC Contribution	Total	Max EC Contribution	Total	Max EC Contribution				
1																	
2																	
3																	
4																	
5																	
6																	
7																	
8																	
9																	
10																	
11																	
12																	
13																	
14																	
15																	
16																	
17																	
18																	
19																	
20																	
21																	
22																	
23																	
24																	
25																	
TOTAL																	

Requested EC contribution for the reporting period (in €)

3.8 Certificates

List of Certificates which are due for this period, in accordance with Article II.4.4 of the Grant Agreement.

Beneficiary	Organisation short name	Certificate on the financial statements provided? yes / no	Any useful comment, in particular if a certificate is not provided
1		Yes	
2		no	
		no	Expenditure threshold not reached
Etc.			

A copy of each duly signed certificate on the financial statements (Form C) or on the methodology should be included in this section, according to the table above (signed originals to be sent in parallel by post).

4. FINAL REPORT TEMPLATE

This final report shall comprise three separate parts as described hereafter. The proposed front page shall be adapted to each of these three parts (see model provided hereafter).

- a) A final **publishable** summary report covering results, conclusions and socio-economic impact of the project. The content of this report is described in section 4.1 and shall be delivered to the Commission in electronic format, preferably in PDF format. It should be a self standing document carefully prepared.
- b) A plan for use and dissemination of foreground. The content of this report is described in section 4.2. This document is separate from the publishable report. The requested data shall be input online once the online facility is available (see <http://cordis.europa.eu>). In the mean time, this report shall be sent in electronic format (to be agreed with the Project Officer).
- c) A report covering the wider societal implications of the project, in the form of a questionnaire, including where applicable gender equality actions, ethical issues, efforts to involve other actors and to spread awareness. This document is also separate from the publishable report. The requested data shall be input online once the online facility is available (see <http://cordis.europa.eu>). In the mean time, this report shall be sent in electronic format (to be agreed with the Project Officer).

PROJECT FINAL REPORT

.....to be filled in as appropriate, see below.....

**("Publishable"
or
"Use and dissemination of foreground"
or
"societal implications")**

Grant Agreement number:

Project acronym:

Project title:

Funding Scheme:

Period covered: from to

Name of the scientific representative of the project's co-ordinator¹¹, Title and Organisation:

Tel:

Fax:

E-mai:

Project website⁶ address:

¹¹ Usually the contact person of the coordinator as specified in Art. 8.1. of the grant agreement

4.1 Final publishable summary report

This is a comprehensive summary of results, conclusions and the socio-economic impacts of the project. The publishable report shall be formatted to be printed as a stand alone paper document. This report should address a wide audience, including the general public.

Please ensure that it:

- *Is of suitable quality to enable direct publication by the Commission.*
- *Is comprehensive, and describes the work carried out to achieve the project's objectives; the main results, conclusions and their potential impact and use (including the socio-economic impact and the wider societal implications of the project). Please mention any target groups such as policy makers or civil society for whom the research could be relevant.*
- *Includes where appropriate, diagrams or photographs and the project logo, illustrating and promoting the work of the project.*
- *Provides the following information:*
 - *List of all beneficiaries with the corresponding contact name and associated coordinates*
 - *The address of the public Website of the Project as well as relevant contact details.*

4.2 Use and dissemination of foreground

A plan for use and dissemination of foreground (including socio-economic impact and target groups for the results of the research) shall be established at the end of the project. It should, where appropriate, be an update of the initial plan in Annex I for use and dissemination of foreground and be consistent with the report on societal implications on the use and dissemination of results (section 3.4 – H).

The plan should consist of:

- *Section A*

*This section should describe the dissemination measures, including any scientific publications relating to foreground. **Its content will be made available in the public domain** thus demonstrating the added-value and positive impact of the project on the European Community.*

- *Section B*

*This section should specify the exploitable foreground and provide the plans for exploitation. **It will be kept confidential** and will be treated as such by the Commission.*

Section A (public)

This section shall include a list of planned dissemination activities (publications, conferences, workshops, web, press releases, flyers, etc) in free text format. Where articles have been published in the popular press, please provide a list as well.

In addition, please provide a list of all scientific (peer reviewed) publications relating to the foreground of the project, starting with the most important ones, in the table below.

TEMPLATE A: LIST OF SCIENTIFIC (PEER REVIEWED) PUBLICATIONS, STARTING WITH THE MOST IMPORTANT ONES

NO.	Title	Main author	Title of the periodical or the series	Number, date or frequency	Publisher	Place of publication	Year of publication	Relevant pages	Permanent identifiers ¹² (if available)	Is/Will open access ¹³ provided to this publication?
1	<i>Economic transformation in Hungary and Poland'</i>		<i>European Economy</i>	<i>No 43, March 1990</i>	<i>Office for Official Publications of the European Communities</i>	<i>Luxembourg</i>	<i>1990</i>	<i>pp. 151 - 167</i>		yes/no
2										
3										

¹² A permanent identifier should be a persistent link to the published version (full text if open access or abstract if article is pay per view) or to the final manuscript accepted for publication (link to article in repository).

¹³ Open Access is defined as free of charge access for anyone via the internet. Please answer "yes" if the open access to the publication is already established and also if the embargo period for open access is not yet over but you intend to establish open access afterwards.

Section B (confidential)

The applications for patents, trademarks, registered designs, etc. shall be listed according to the template B1 provided hereafter.

The list should, specify at least one unique identifier e.g. European Patent application reference. For patent applications, only if applicable, contributions to standards should be specified.

TEMPLATE B1: LIST OF APPLICATIONS FOR PATENTS, TRADEMARKS, REGISTERED DESIGNS, ETC.			
Type of IP Rights: Patents, Trademarks, Registered designs, Utility models, etc.	Application reference(s) (e.g. EP123456)	Subject or title of application	Applicant (s) (as on the application)

Please complete the table hereafter:

TEMPLATE B2: OVERVIEW TABLE WITH EXPLOITABLE FOREGROUND					
Exploitable Foreground (description)	Exploitable product(s) or measure(s)	Sector(s) of application	Timetable, commercial use	Patents or other IPR exploitation (licences)	Owner & Other Beneficiary(s) involved
1. New superconductive Nb-Ti alloy	MRI equipment	1. Medical 2. Industrial inspection	2008 2010	A materials patent is planned for 2006	Beneficiary X (owner) Beneficiary Y, Beneficiary Z, Poss. licensing to equipment manuf. ABC

In addition to the table, please provide a text to explain the exploitable foreground, in particular:

- Its purpose
- How the foreground might be exploited, when and by whom
- IPR exploitable measures taken or intended
- Further research necessary, if any
- Potential/expected impact (quantify where possible)

4.3 Report on societal implications

Replies to the following questions will assist the European Commission to obtain statistics and indicators on societal and socio-economic issues addressed by projects. The questions are arranged in a number of key themes. As well as producing certain statistics, the replies will also help identify those projects that have shown a real engagement with wider societal issues, and thereby identify interesting approaches to these issues and best practices. The replies for individual projects will not be made public.

A General Information *(completed automatically when Grant Agreement number is entered.)*

Grant Agreement Number:	<input type="text"/>
Title of Project:	<input type="text"/>
Name and Title of Coordinator:	<input type="text"/>

B Ethics

1. Did you have ethicists or others with specific experience of ethical issues involved in the project?	<input type="radio"/>	Yes
	<input type="radio"/>	No
2. Please indicate whether your project involved any of the following issues (tick box) :	YES	
INFORMED CONSENT		
• Did the project involve children?	<input type="checkbox"/>	
• Did the project involve patients or persons not able to give consent?	<input type="checkbox"/>	
• Did the project involve adult healthy volunteers?	<input type="checkbox"/>	
• Did the project involve Human Genetic Material?	<input type="checkbox"/>	
• Did the project involve Human biological samples?	<input type="checkbox"/>	
• Did the project involve Human data collection?	<input type="checkbox"/>	
RESEARCH ON HUMAN EMBRYO/FOETUS		
• Did the project involve Human Embryos?	<input type="checkbox"/>	
• Did the project involve Human Foetal Tissue / Cells?	<input type="checkbox"/>	
• Did the project involve Human Embryonic Stem Cells?	<input type="checkbox"/>	
PRIVACY		
• Did the project involve processing of genetic information or personal data (eg. health, sexual lifestyle, ethnicity, political opinion, religious or philosophical conviction)	<input type="checkbox"/>	
• Did the project involve tracking the location or observation of people?	<input type="checkbox"/>	
RESEARCH ON ANIMALS		
• Did the project involve research on animals?	<input type="checkbox"/>	
• Were those animals transgenic small laboratory animals?	<input type="checkbox"/>	
• Were those animals transgenic farm animals?	<input type="checkbox"/>	
• Were those animals cloning farm animals?	<input type="checkbox"/>	
• Were those animals non-human primates?	<input type="checkbox"/>	
RESEARCH INVOLVING DEVELOPING COUNTRIES		
• Use of local resources (genetic, animal, plant etc)	<input type="checkbox"/>	
• Benefit to local community (capacity building ie access to healthcare, education etc)	<input type="checkbox"/>	
DUAL USE		
• Research having potential military / terrorist application	<input type="checkbox"/>	

C Workforce Statistics		
3 Workforce statistics for the project: Please indicate in the table below the number of people who worked on the project (on a headcount basis).		
Type of Position	Number of Women	Number of Men
Scientific Coordinator		
Work package leader		
Experienced researcher (i.e. PhD holders)		
PhD Students		
Other		
4 How many additional researchers (in companies and universities) were recruited specifically for this project?		
Of which, indicate the number of men:		
Of which, indicate the number of women:		

D Gender Aspects		
5	Did you carry out specific Gender Equality Actions under the project?	<input type="radio"/> Yes <input type="radio"/> No
6	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="checkbox"/> Set targets to achieve a gender balance in the workforce	○ ○ ○ ○ ○
	<input type="checkbox"/> Organise conferences and workshops on gender	○ ○ ○ ○ ○
	<input type="checkbox"/> Actions to improve work-life balance	○ ○ ○ ○ ○
	<input type="radio"/> Other: <input style="width: 200px;" type="text"/>	
7	Was there a gender dimension associated with the research content – i.e. wherever people were the focus of the research as, for example, consumers, users, patients or in trials, was the issue of gender considered and addressed?	
	<input type="radio"/> Yes- please specify <input style="width: 150px;" type="text"/>	
	<input type="radio"/> No	
E Synergies with Science Education		
8	Did your project involve working with students and/or school pupils (e.g. open days, participation in science festivals and events, prizes/competitions or joint projects)?	
	<input type="radio"/> Yes- please specify <input style="width: 150px;" type="text"/>	
	<input type="radio"/> No	
9	Did the project generate any science education material (e.g. kits, websites, explanatory booklets, DVDs)?	
	<input type="radio"/> Yes- please specify <input style="width: 150px;" type="text"/>	
	<input type="radio"/> No	
F Interdisciplinarity		
10	Which disciplines (see list below) are involved in your project?	
	<input type="radio"/> Main discipline ¹⁴ :	
	<input type="radio"/> Associated discipline ¹⁴ : <input style="width: 50px;" type="text"/> <input type="radio"/> Associated discipline ¹⁴ :	
G Engaging with Civil society and policy makers		
11a	Did your project engage with societal actors beyond the research community? (if 'No', go to Question 14)	<input type="radio"/> Yes <input type="radio"/> No
11b	If yes, did you engage with citizens (citizens' panels / juries) or organised civil society (NGOs, patients' groups etc.)?	
	<input type="radio"/> No	
	<input type="radio"/> Yes- in determining what research should be performed	
	<input type="radio"/> Yes - in implementing the research	
	<input type="radio"/> Yes, in communicating /disseminating / using the results of the project	

¹⁴ Insert number from list below (Frascati Manual)

11c In doing so, did your project involve actors whose role is mainly to organise the dialogue with citizens and organised civil society (e.g. professional mediator; communication company, science museums)?	<input type="radio"/> <input type="radio"/>	Yes No
12 Did you engage with government / public bodies or policy makers (including international organisations)		
<input type="radio"/> No <input type="radio"/> Yes- in framing the research agenda <input type="radio"/> Yes - in implementing the research agenda <input type="radio"/> Yes, in communicating /disseminating / using the results of the project		
13a Will the project generate outputs (expertise or scientific advice) which could be used by policy makers? <input type="radio"/> Yes – as a primary objective (please indicate areas below- multiple answers possible) <input type="radio"/> Yes – as a secondary objective (please indicate areas below - multiple answer possible) <input type="radio"/> No		
13b If Yes, in which fields?		
Agriculture Audiovisual and Media Budget Competition Consumers Culture Customs Development Economic and Monetary Affairs Education, Training, Youth Employment and Social Affairs	Energy Enlargement Enterprise Environment External Relations External Trade Fisheries and Maritime Affairs Food Safety Foreign and Security Policy Fraud Humanitarian aid	Human rights Information Society Institutional affairs Internal Market Justice, freedom and security Public Health Regional Policy Research and Innovation Space Taxation Transport
13c If Yes, at which level? <input type="radio"/> Local / regional levels <input type="radio"/> National level <input type="radio"/> European level <input type="radio"/> International level		

H Use and dissemination		
14 How many Articles were published/accepted for publication in peer-reviewed journals?		
To how many of these is open access¹⁵ provided?		
How many of these are published in open access journals?		
How many of these are published in open repositories?		
To how many of these is open access not provided?		
Please check all applicable reasons for not providing open access:		
<input type="checkbox"/> publisher's licensing agreement would not permit publishing in a repository <input type="checkbox"/> no suitable repository available <input type="checkbox"/> no suitable open access journal available <input type="checkbox"/> no funds available to publish in an open access journal <input type="checkbox"/> lack of time and resources <input type="checkbox"/> lack of information on open access <input type="checkbox"/> other:		
15 How many new patent applications ('priority filings') have been made? <i>("Technologically unique": multiple applications for the same invention in different jurisdictions should be counted as just one application of grant).</i>		
16 Indicate how many of the following Intellectual Property Rights were applied for (give number in each box).	Trademark	
	Registered design	
	Other	
17 How many spin-off companies were created / are planned as a direct result of the project?		
<i>Indicate the approximate number of additional jobs in these companies:</i>		
18 Please indicate whether your project has a potential impact on employment, in comparison with the situation before your project:		
<input type="checkbox"/> Increase in employment, or <input type="checkbox"/> Safeguard employment, or <input type="checkbox"/> Decrease in employment, <input type="checkbox"/> Difficult to estimate / not possible to quantify	<input type="checkbox"/> In small & medium-sized enterprises <input type="checkbox"/> In large companies <input type="checkbox"/> None of the above / not relevant to the project	
19 For your project partnership please estimate the employment effect resulting directly from your participation in Full Time Equivalent (FTE = one person working fulltime for a year) jobs:	<i>Indicate figure:</i>	
Difficult to estimate / not possible to quantify	<input type="checkbox"/>	

¹⁵ Open Access is defined as free of charge access for anyone via the internet.

I Media and Communication to the general public			
20	<p>As part of the project, were any of the beneficiaries professionals in communication or media relations?</p> <p><input type="radio"/> Yes <input type="radio"/> No</p>		
21	<p>As part of the project, have any beneficiaries received professional media / communication training / advice to improve communication with the general public?</p> <p><input type="radio"/> Yes <input type="radio"/> No</p>		
22	<p>Which of the following have been used to communicate information about your project to the general public, or have resulted from your project?</p> <table border="0" style="width: 100%;"> <tr> <td style="width: 50%; vertical-align: top;"> <input type="checkbox"/> Press Release <input type="checkbox"/> Media briefing <input type="checkbox"/> TV coverage / report <input type="checkbox"/> Radio coverage / report <input type="checkbox"/> Brochures /posters / flyers <input type="checkbox"/> DVD /Film /Multimedia </td> <td style="width: 50%; vertical-align: top;"> <input type="checkbox"/> Coverage in specialist press <input type="checkbox"/> Coverage in general (non-specialist) press <input type="checkbox"/> Coverage in national press <input type="checkbox"/> Coverage in international press <input type="checkbox"/> Website for the general public / internet <input type="checkbox"/> Event targeting general public (festival, conference, exhibition, science café) </td> </tr> </table>	<input type="checkbox"/> Press Release <input type="checkbox"/> Media briefing <input type="checkbox"/> TV coverage / report <input type="checkbox"/> Radio coverage / report <input type="checkbox"/> Brochures /posters / flyers <input type="checkbox"/> DVD /Film /Multimedia	<input type="checkbox"/> Coverage in specialist press <input type="checkbox"/> Coverage in general (non-specialist) press <input type="checkbox"/> Coverage in national press <input type="checkbox"/> Coverage in international press <input type="checkbox"/> Website for the general public / internet <input type="checkbox"/> Event targeting general public (festival, conference, exhibition, science café)
<input type="checkbox"/> Press Release <input type="checkbox"/> Media briefing <input type="checkbox"/> TV coverage / report <input type="checkbox"/> Radio coverage / report <input type="checkbox"/> Brochures /posters / flyers <input type="checkbox"/> DVD /Film /Multimedia	<input type="checkbox"/> Coverage in specialist press <input type="checkbox"/> Coverage in general (non-specialist) press <input type="checkbox"/> Coverage in national press <input type="checkbox"/> Coverage in international press <input type="checkbox"/> Website for the general public / internet <input type="checkbox"/> Event targeting general public (festival, conference, exhibition, science café)		
23	<p>In which languages are the information products for the general public produced?</p> <table border="0" style="width: 100%;"> <tr> <td style="width: 50%; vertical-align: top;"> <input type="checkbox"/> Language of the coordinator <input type="checkbox"/> Other language(s) </td> <td style="width: 50%; vertical-align: top;"> <input type="checkbox"/> English </td> </tr> </table>	<input type="checkbox"/> Language of the coordinator <input type="checkbox"/> Other language(s)	<input type="checkbox"/> English
<input type="checkbox"/> Language of the coordinator <input type="checkbox"/> Other language(s)	<input type="checkbox"/> English		

Question F-10: Classification of Scientific Disciplines according to the Frascati Manual 2002 (Proposed Standard Practice for Surveys on Research and Experimental Development, OECD 2002):

FIELDS OF SCIENCE AND TECHNOLOGY

1. NATURAL SCIENCES

- 1.1 Mathematics and computer sciences [mathematics and other allied fields: computer sciences and other allied subjects (software development only; hardware development should be classified in the engineering fields)]
- 1.2 Physical sciences (astronomy and space sciences, physics and other allied subjects)
- 1.3 Chemical sciences (chemistry, other allied subjects)
- 1.4 Earth and related environmental sciences (geology, geophysics, mineralogy, physical geography and other geosciences, meteorology and other atmospheric sciences including climatic research, oceanography, vulcanology, palaeoecology, other allied sciences)
- 1.5 Biological sciences (biology, botany, bacteriology, microbiology, zoology, entomology, genetics, biochemistry, biophysics, other allied sciences, excluding clinical and veterinary sciences)

2. ENGINEERING AND TECHNOLOGY

- 2.1 Civil engineering (architecture engineering, building science and engineering, construction engineering, municipal and structural engineering and other allied subjects)
- 2.2 Electrical engineering, electronics [electrical engineering, electronics, communication engineering and systems, computer engineering (hardware only) and other allied subjects]
- 2.3. Other engineering sciences (such as chemical, aeronautical and space, mechanical, metallurgical and materials engineering, and their specialised subdivisions; forest products; applied sciences such as geodesy, industrial chemistry, etc.; the science and technology of food production; specialised technologies of interdisciplinary fields, e.g. systems analysis, metallurgy, mining, textile technology and other applied subjects)

3. MEDICAL SCIENCES

- 3.1 Basic medicine (anatomy, cytology, physiology, genetics, pharmacy, pharmacology, toxicology, immunology and immunohaematology, clinical chemistry, clinical microbiology, pathology)

- 3.2 Clinical medicine (anaesthesiology, paediatrics, obstetrics and gynaecology, internal medicine, surgery, dentistry, neurology, psychiatry, radiology, therapeutics, otorhinolaryngology, ophthalmology)
 - 3.3 Health sciences (public health services, social medicine, hygiene, nursing, epidemiology)
4. AGRICULTURAL SCIENCES
- 4.1 Agriculture, forestry, fisheries and allied sciences (agronomy, animal husbandry, fisheries, forestry, horticulture, other allied subjects)
 - 4.2 Veterinary medicine
5. SOCIAL SCIENCES
- 5.1 Psychology
 - 5.2 Economics
 - 5.3 Educational sciences (education and training and other allied subjects)
 - 5.4 Other social 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 , methodological and historical SIT activities relating to subjects in this group. Physical anthropology, physical geography and psychophysiology should normally be classified with the natural sciences].
6. HUMANITIES
- 6.1 History (history, prehistory and history, together with auxiliary historical disciplines such as archaeology, numismatics, palaeography, genealogy, etc.)
 - 6.2 Languages and literature (ancient and modern)
 - 6.3 Other humanities [philosophy (including the history of science and technology) arts, history of art, art criticism, painting, sculpture, musicology, dramatic art excluding artistic "research" of any kind, religion, theology, other fields and subjects pertaining to the humanities, methodological, historical and other SIT activities relating to the subjects in this group]

5. FINAL REPORT ON THE DISTRIBUTION OF THE COMMUNITY FINANCIAL CONTRIBUTION

This report shall submit to the Commission within 30 days after receipt of the final payment of the Community financial contribution.

ANNEX A1

REPORTING SPECIFICITIES FOR SECURITY PROJECTS

This annex applies specifically to the Security projects (Directorate General Entreprises)

Security research has certain specificities relating to its sensitive nature and the particular capability gaps that need to be addressed to protect Europe's citizens. Therefore, the classification of information and the application of strict rules on confidentiality can be essential to the success of research activities. On the other hand, public or governmental end-users of the security research results request to be more actively involved in the programme. It is therefore essential that adequate provisions are foreseen at the level of the reporting that meet both requirements. This concerns information to be provided to the Programme Committee and information allowing the Commission to follow-up the use and the production of classified information as well as the exchange of sensitive material subject to transfer- or export-licensing or projects addressing a topic subject to specific national or international legal restrictions in this context.

A1.1 Project Information to the Programme Committee

The Programme Committee needs information in order for the Member States to be able to inform "end-users" of research of potential interest to them and to coordinate national research. The publishable summary report will be used for that purpose. If a Consortium wishes or if the Commission requests it, a more detailed version of the summary report will be provided just for the Programme Committee.

For sensitive projects, it could happen that the Commission in agreement with the Consortium decides that no summary report should be published. In that case, the Consortium will provide the information of the so-called "publishable summary report" but just for the Programme Committee.

The content of this project related information should normally be unclassified. This communication would be for Member States information only with no right to communicate or transfer and with no right of use.

A1.2 Deliverables table

The template to be used for security projects should take into account the possibility of having classified / sensitive information as deliverables. Any information or material, of which an unauthorised disclosure could cause varying degrees of prejudice to EU interests, or to one or more of its Member States, must be classified. The EU-classification has to be used for that purpose in the frame of this call.

This will be foreseen Article 7, special clauses in 21, 22, 23, 24 and 33.

There are 4 levels of classification¹⁶:

EU TOP SECRET: This classification shall be applied only to information and material the unauthorised disclosure of which could cause exceptionally grave prejudice to the essential interests of the European Union or of one or more of its Member States.

There will be no EU TOP SECRET classified information in FP7 actions.

SECRET UE: This classification shall be applied only to information and material the unauthorised disclosure of which could seriously harm the essential interests of the European Union or of one or more of its Member States.

CONFIDENTIEL UE: This classification shall be applied to information and material the unauthorised disclosure of which could harm the essential interests of the European Union or of one or more of its Member States.

RESTREINT UE: This classification shall be applied to information and material the unauthorised disclosure of which could be disadvantageous to the interests of the European Union or of one or more of its Member States.

¹⁶ Commission Decision 2001/844/EC, ECSC, Euratom published in OJ L 317 of 3.12.2001 amended by Commission Decision 2006/548/EC, Euratom published in OJ L 215 p.38 of 5.8.2006

TABLE 1: DELIVERABLES ¹⁷

Del no	Deliverable name	WP no	Lead beneficiary	Nature	Dissemination level ¹⁸	delivery date from Annex I (project month)	Delivered Yes/No	Actual / Forecast delivery date	Comments

A1.3 Report on the Security Aspects Letter (SAL)

If a Security Aspects Letter (SAL) forms part of the Grant Agreement, a SAL-report should contain the following information:

- actual information flow of classified information between the beneficiaries
- actual exchange of sensitive material subject to transfer or export licensing
- for topics subject to specific national or international legal restrictions, reporting on how these restrictions have been taken into account

A report on the Security Aspects Letter (SAL) should be provided by the consortium showing the actual information-flow of classified information between the beneficiaries using the SAL template

If during the development of the project, there is unforeseen classified information, need to exchange of sensitive material subject to transfer- or export-licensing or if a topic subject to specific national or international legal restrictions is addressed, the Commission should be notified without any delay. A SAL should be provided and the Grant Agreement will be amended.

¹⁷ For Security Projects the template for the deliverables list in Annex A1 has to be used.

¹⁸ **PU** = Public
PP = Restricted to other programme participants (including the Commission Services).
RE = Restricted to a group specified by the consortium (including the Commission Services).
CO = Confidential, only for members of the consortium (including the Commission Services).
CL restricted = Classified with the mention of the classification level restricted "Restreint UE"
CL confidential = Classified with the mention of the classification level confidential "Confidentiel UE"
CL secret = Classified with the mention of the classification level secret "Secret UE"

SECURITY ASPECT LETTER (SAL) TEMPLATE

This template should be filled in for all sensitive projects and will be part of the Grant Agreement

Use of classified Background							
Subject	Classification level	Owner (Name+country)	Beneficiaries wanting to access				Comments including purpose of the access and planned use
			Name (+country)	Clearance	Planned date of access	Actual Date of access	

Production of classified Foreground							
Subject	Classification level	Owner (Name+country)	Beneficiaries involved in production or wanting to access				Comments including purpose of the access and actual use
			Name (+country)	Clearance	Planned date of access	Actual Date of access	

Exchange of sensitive material subject to export or transfer licence							
Subject	Type of material	Owner (Name+ country)	Beneficiaries requiring access to sensitive material				Comments including purpose of the export or transfer
			Name (+country)	Licence ref	Planned date of transfer	Actual date of transfer	

Topic submitted to legal restrictions							
Subject	Restrictions description	Ref to national or international legislation	Beneficiaries subject to restrictions				Comments
			Name (+country)	Action taken	Planned date of action	Actual date of action	