



# GUIDE FOR SUBMISSION

## **Call for Proposals**

*IPR Awareness and Enforcement Project  
(including IPR Helpdesk)*

**Action ENT5/CIP/07/B/N02C00**

***DG Enterprise and Industry Grants' Work Programme 2007***

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## I. Introduction

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This Guide for Submission complements the Call for proposals (“the call”) as published on DG Enterprise and Industry web site ([http://ec.europa.eu/enterprise/funding/grants/themes\\_2007/calls\\_prop\\_2007.htm](http://ec.europa.eu/enterprise/funding/grants/themes_2007/calls_prop_2007.htm)) and the Submission Set. It contains the information needed to guide applicants in preparing a proposal.

It describes in detail the requirements for applicants and contains all necessary forms to be used and included in the proposal. It also describes the procedure for the submission of proposals. It contains references to other documents, reports and forms that are of assistance in the preparation of the proposal.

The legal basis for this Call for proposals is the Article 13 of the *Competitiveness and Innovation Framework Programme* (CIP). The CIP is established to contribute to the competitiveness and innovative capacity of the Community with particular attention to the needs of Small and Medium-sized Enterprises (SMEs). It promotes measures to support innovation including “*supporting services for ... the protection and management of intellectual and industrial property*”.

This Call constitutes part of the 2007 work programme of the Entrepreneurship and Innovation Programme (EIP), which is one of the three CIP sub-programmes.

Before preparing a proposal, applicants should consult the CIP decision text and the constantly up-dated EIP work programme via the CIP website: [http://ec.europa.eu/enterprise/funding/grants/themes\\_2007/index.htm](http://ec.europa.eu/enterprise/funding/grants/themes_2007/index.htm).

Applicants should also pay particular attention to the model Grant Agreement and its annexes. It specifies the contractual terms and conditions to which applicants will be expected to agree if their proposal receives an award for funding.

The call is in full compliance with the Financial Regulations and its Implementing Rules. Please consult the relevant Regulations, with particular attention to Title VI describing the rules and conditions applicable for grants.<sup>1</sup>

Please note that this Guide for Submission does not supersede the rules and conditions laid out, in particular, in Council and Parliament Decisions relevant to the CIP and the Call text.

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<sup>1</sup> Council Regulation 1605/2002 of 25 June 2002, Commission Regulations 1261/2005 20 of July 2005 and 1248/2006 of 7 August 2006 - modifying Regulation 2342/2002 of 23 December 2002.

## II. Specific information for the call

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This section will provide specific information for the call, putting the call into the context of the CIP and detailing the objectives of the implementing measure and the call.

### 1. CONTEXT

The Commission's Communication *“Putting knowledge into practice: A broad-based innovation strategy for the EU”*<sup>2</sup> of September 2006 identifies a number of fields for action to support innovation in Europe, including a better usage of Intellectual Property Rights (IPR). It indicates in particular that *“a bigger effort is needed to raise awareness of the practical aspects of intellectual property protection in the innovation community. SMEs and public research organisations in particular should be targeted by such efforts”* and that *“better enforcement of IPR on foreign markets is crucial to protect European companies”*. Also the Commission's Communication *“Implementing the Community Lisbon Programme: A Policy Framework to Strengthen EU Manufacturing - towards a more integrated approach for Industrial Policy”*<sup>3</sup> has identified knowledge, notably IPR, as key for EU manufacturing industries' competitiveness. This action is one of the implementing instruments of this initiative contributing to the improvement of EU businesses competitiveness.

As part of the *Entrepreneurship and Innovation Programme* and following the recommendations of the Commission's Communication *“Putting knowledge into practice: A broad-based innovation strategy for the EU”* the European Commission implements a measure to increase innovation of enterprises by addressing their needs in the area of IPR usage and enforcement, targeted especially to SMEs.

### 2. OBJECTIVE OF THE CALL

The objective of this call is to implement a 3-year *IPR Awareness and Enforcement Project* targeted primarily at SMEs, taking into full consideration their specific needs and contributing:

- ☐ To raise significantly SMEs interest and knowledge about Intellectual Property issues,
- ☐ To raise SMEs understanding of the need to integrate IP in their innovation strategies and their business planning,
- ☐ To improve the protection of SMEs IP rights through increased registration of rights across the EU and internationally and increased use of non-registered protection methods,
- ☐ To improve the protection and enforcement by SMEs of their IPR from infringements whether originating from within or outside the EU,
- ☐ To raise SMEs ability to fight counterfeiting.

In addition to deliver broad-based SME awareness and enforcement actions, the project will address specific sectoral needs and support IPR usage in international research and technology transfer projects.

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<sup>2</sup> “Putting knowledge into practice: A broad-based innovation strategy for the EU” - COM(2006) 502, 13.09.2006.

<sup>3</sup> “Implementing the Community Lisbon Programme: A Policy Framework to Strengthen EU Manufacturing - towards a more integrated approach for Industrial Policy” - COM(2005) 474, 5.10.2005

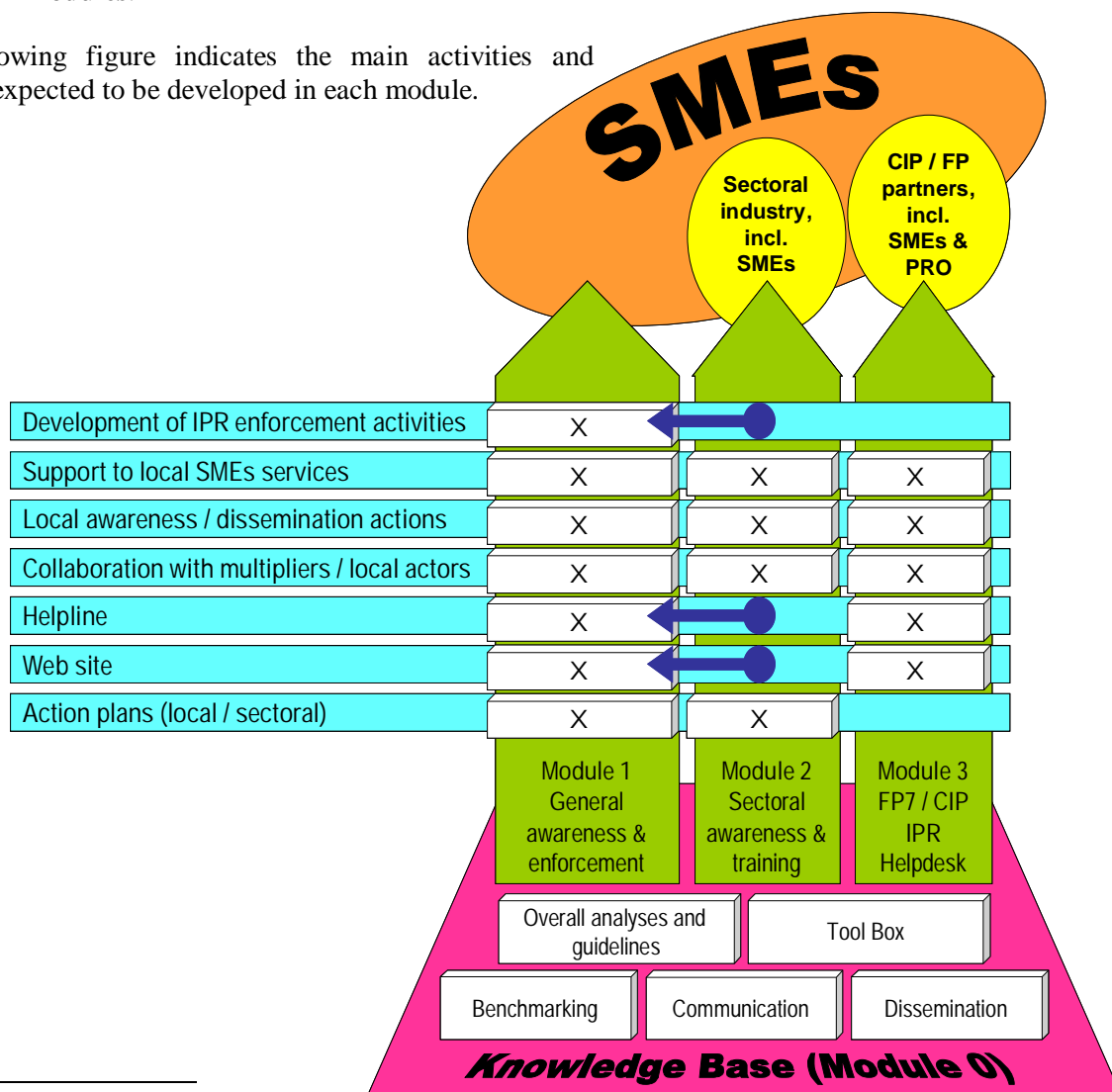
The project will cover **all forms of IPR**, both those formally registered (patents, designs, trade marks etc.) and those protected by non-registered or informal methods (non-disclosure agreements, trade secrets etc.).

The project will take into account the range of existing IP services for SMEs and the gaps in the current services, particularly in relation to the EU dimension.

The project will build upon major existing players and services. It will cooperate with the members of the CIP Network in support of Business and Innovation<sup>4</sup>. It will **foster closer collaboration between IP experts and innovation and enforcement actors** across Europe, in order to improve SMEs and public Research Organisations (PRO) access to IPR services at EU, national, and regional levels. Close collaboration will also be ensured with the National Patent and Trademark Offices (NPTO), the Office of Harmonization for the Internal Market (OHIM), the European Patent Office (EPO) and with relevant Commission IPR initiatives.

The project will be developed in 3 modules targeting each specific needs and audiences. An additional module is designed to constitute the base for this project by providing a common knowledge base and toolbox and by ensuring the overall project coordination and management. **Each single proposal will cover all 4 modules.**

The following figure indicates the main activities and services expected to be developed in each module.



<sup>4</sup> The CIP Network providing services in support of Business and Innovation, co-funded by the European Commission, aims at offering to SMEs a comprehensive set of business and innovation services. It will replace the current Innovation Relay Centres Network and the Euro-Info Centres Network. It is currently subject to a call for proposal under the CIP. For more information see [http://ec.europa.eu/enterprise/funding/grants/themes\\_2006/eic\\_irc/calls\\_prop\\_2006\\_eic\\_irc\\_d2.htm](http://ec.europa.eu/enterprise/funding/grants/themes_2006/eic_irc/calls_prop_2006_eic_irc_d2.htm)

## Module 0 - Knowledge Base and Project Management

A first horizontal module will develop and maintain a **common knowledge base** (guidelines and tools) for the project in order to achieve the economies of scale, promote cross-fertilisation, and ensure the development of best practices across the European Union.

This module will also ensure the overall project management, ensuring **good coordination and synergy** between the different modules and efficient implementation of the project.

The specific objectives of the Coordination and Best Practices module are:

- ☐ To develop and maintain a knowledge base and generic guidelines on awareness and enforcement strategies for SMEs.
- ☐ To ensure appropriate communication and coordination between modules and consortium members, ensuring synergies between activities and cross-fertilisation;
- ☐ To propose a benchmarking methodology allowing comparison between strategies and services;
- ☐ To liaise with relevant actors outside the consortium and disseminate best practices outside the areas directly covered by the project;
- ☐ To develop a common toolbox of awareness and enforcement materials;
- ☐ To manage efficiently the project (including the monitoring of its performances).

## Module 1 - Local level SMEs services for IPR awareness and enforcement

Module 1 addresses the widespread need to raise awareness of the practical aspects of intellectual property protection in the community of innovative SMEs, including high-tech SMEs. It will deliver general awareness and enforcement support actions to European SMEs, covering both IP usage and enforcement, based on collaboration between IPR experts and innovation structures (Network in support of Business and Innovation, innovation and enforcement agencies, industry stakeholders etc.).

The specific objectives of Module 1 are:

- ☐ To develop as near as possible comprehensive European-wide awareness and support services mainly through a website and a helpdesk;
- ☐ To plan and develop local awareness and enforcement strategies and services on IPR usage and enforcement, promoting sustainable collaborations with the members of the Network in support of Business and Innovation and all relevant local actors (Innovation agencies, Chamber of Commerce, SMEs associations ...);
- ☐ To deliver IPR awareness and enforcement actions directly to SMEs, such as information and training;
- ☐ To deliver IPR awareness and enforcement actions for SME support services to improve their knowledge and level of competence on IPR matters;
- ☐ To support IPR enforcement agencies with actions such as exchange of best practices, training and support for the development of IPR enforcement strategies.

## Module 2 - Sectoral IPR Awareness Action

Module 2 will focus on the needs of a number of industrial sectors facing major counterfeiting and piracy problems.

Enterprises in several industrial sectors have either insufficient information on their rights and the means of protecting intellectual property, or they lack financial resources to defend their rights. Some of the issues are by definition of a multi-sectoral nature (e.g. legislation), while others cater for the specific needs of some sectors.

Actions under this Module will aim at answering the specific needs expressed by the fashion and design industries (textiles, leather, footwear and furniture). Material developed under this module will however be available for adaptation and use in other sectors facing similar counterfeiting and piracy problems.

The fashion and design industries face specific problems linked to a) significant copying of designs and models in addition to brands and trade marks, b) the magnitude of existing international competition, and c) the rapid seasonal replacement of products. The predominance of SMEs in these industrial sectors requires support measures targeted to their particular needs.

Module 2 will develop actions to promote awareness on IPR protection and to educate those concerned on the risks counterfeiting poses and on the existing means and procedures to combat it.

The specific objectives of Module 2 are:

- To prepare handbooks in several languages for the use of enterprises, particularly SMEs, active in the sectors of textiles and clothing, leather, footwear and furniture. The handbook should be developed in a way which will be adaptable to the needs of other sectors facing similar counterfeiting and piracy problems. It will be integrated in the common toolbox to be developed under Module 0 for larger use.
- To disseminate the handbooks in a series of awareness-raising seminars on the protection of intellectual property rights in the countries covered by the handbook.

## Module 3 - IPR Helpdesk for EU-funded research and innovation projects

Module 3 will promote and support use of IPR in international research and technology transfer activities, providing an IPR support service to actual and potential beneficiaries of CIP and Research Framework Programme actions, especially high-tech SMEs and Public Research Organisations.

Intellectual property rights are of particular importance in trans-national research projects and technology transfer activities. They play a key role to ensure both a successful collaboration between consortium members and effective exploitation of the results of the research activities. Promoting a clear understanding of IPR rules amongst the innovation and research community through appropriate awareness and assistance actions is essential. Since more than 8 years the “IPR Helpdesk” service provides this support free of charge to potential beneficiaries of EU funded research projects.

This module will continue and develop the services provided by the current ‘IPR Helpdesk’ project.

The specific objectives of Module 3 are:

- To raise awareness on the strategic importance of IPR in the targeted audience by offering training to intermediaries (National Contact Points, members of the Network in support of Business and Innovation ...) on IPR issues and by preparing and disseminating IPR related information through appropriate channels;



- To provide first-line assistance on IPR and exploitation issues to CIP and Research Framework Programme beneficiaries, targeting mainly high-tech SMEs, Universities and Public Research Organisations;
- To provide training and assistance to the members of the Network in support of Business and Innovation and their customers on IPR issues related to technology transfer.

### 3. FINANCIAL ASPECTS

The maximum budget available for the call is **€7.9 million**.

The proposals submitted will cover a period of 3 years.

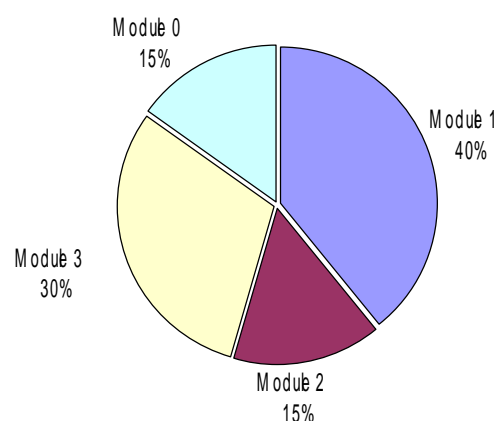
The Commission will provide a co-financing up to **80%** of the total eligible costs

The Figure on the right gives a recommended budget distribution between Modules.

The draft Grant Agreement attached to the “Guide for Submission” specifies the payment arrangements (see article I.4) as well as eligible and non-eligible costs (see article II.14). Please note that additional clarifications are provided in Annex 3 concerning the special case of entities of public administrations.

Beneficiaries shall supply evidence of the co-financing provided, either by way of own resources, or in the form of financial transfers from third parties, or in kind.

Indicative budget distribution  
between Modules



**NB: The Commission reserves the right to award a grant of less than the amount requested by the applicant. Grants will not be awarded for more than the amount requested.**

### 4. CONTENT OF PROPOSALS

In addition to a number of mandatory administrative forms, the proposals will include a Work Programme presenting the detailed actions to be implemented during the 36 months of the project duration with the corresponding estimated budget. This document will constitute the annex I of the Grant Agreement if the proposal is selected.

More information concerning the content and the structure of the proposal is given in Chapter VI of this document.

### III. Description of the expected services

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This part describes in more detail the services expected from the selected project. The services are divided in 4 modules to ensure both co-ordination and the targeting of the specific needs of particular clients.

Each proposal shall cover all modules. All services foreseen will be provided free of charge to users. For each of the activities, the proposal should detail the expected deliverables and to which extent they fulfil the objectives of the action.

## 1. KNOWLEDGE BASE AND PROJECT MANAGEMENT (MODULE 0)

### 1.1. Modalities

This module will cover the following activities:

#### 1.1.1. Knowledge Base and best practice guidelines

At the beginning of the project, this task will develop a knowledge base and generic guidelines for the development of SMEs awareness and enforcement strategies based on existing best practices. These will be regularly updated on the basis of the experience gained within the project and information collected from outside the project. In order to facilitate this task, support measures will be implemented.

#### Knowledge Base

**A knowledge base will be set up** within the project to provide a sound basis for the development of project strategy. The initial knowledge base will include:

- § an analysis of innovative SMEs needs and specificities, including high-tech sectors like ICT<sup>5</sup>;
- § a mapping of existing actions and tools for support of IPR usage and enforcement by SMEs, integrating the results of the studies contracted by the Commission on “*Benchmarking regional and national support services for SMEs in the field of intellectual and industrial property*” (to be published in September 07) and on “*Effects of counterfeiting on EU SMEs and a review of various public and private responses IPR Enforcement Initiatives and Resources*” (to be published in June 07);
- § good practices and recommendations from relevant studies or expert groups from inside and outside Europe, including in particular the reports of the IPR Expert Group appointed by the Commission on “*potential barriers for an efficient use of IPR systems by SME*” (to be published in April 2007) and of the Best Practice Project on “*Strengthening the IPR enforcement of EU industry and SMEs – Workshops on Best Practices of support measures by Member States and private sector*” (to be set-up in end 2007);

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<sup>5</sup> See, for instance, the needs identified for the ICT sector (awareness for the value of IP and impact of piracy and counterfeiting) in the report issued by the task-force on ICT Sector competitiveness and ICT uptake in October 2006 ([http://ec.europa.eu/enterprise/ict/policy/doc/wg2\\_report.pdf](http://ec.europa.eu/enterprise/ict/policy/doc/wg2_report.pdf))

§ knowledge gathered in relevant Commission IPR projects run before or simultaneously with this project (e.g. the Help Service in Beijing to support EU SME IPR enforcement in China – call to be published soon, indicative date April-May 2007);

§ recommendations from the Commission communication on the broad IPR Strategy (to be issued in 2007).

### **Generic guidelines**

**Generic guidelines** for the development of SMEs awareness and enforcement strategies will be drawn up, based upon an analysis and benchmarking of existing actions and tools and derivation of best practices.

These guidelines would contribute to the development of IPR awareness and enforcement strategies at EU/national level adapted to SMEs needs and specificities, and support the definition of national/local action plans coordinated with all the relevant local actors (IPR experts, innovation agencies, SMEs associations, industry associations, Network in support of Business and Innovation,...etc.).

Attention should be paid to effectively and creatively addressing, in particular, the following sorts of serious IPR awareness problems:

- complete lack of awareness or interest in IPR amongst SMEs (e.g., not obtaining any type of protection, whether formal or informal, for their intellectual property even in their home jurisdiction);
- common misperceptions about IPR (e.g., the tendency to assume that possessing protection -- such as a patent -- in one jurisdiction 'automatically' serves as protection elsewhere in Europe or in third countries); and
- lack of integrating IPR concerns into business planning (e.g., to counter the misperceptions that only formal methods are effective, that there is only one standard approach and that it is most likely unaffordable).

In developing these guidelines, special attention will be brought to ensure that all steps of the AIDA marketing concept ( are well covered (see table below).

Level	SME disposition	Objective of the actions
0 – Attention	<i>“I know IPR is not for me!”</i>	<b>Get the customer's Attention:</b> raise interest of SMEs about IPR
1 – Interest	<i>“OK, what is this all about?”</i>	<b>Stimulate the customer's Interest:</b> increase SMEs understanding about IPR by providing basic technical information (protection means, procedures, costs, enforcement, strategic use ...)
2 – Desire	<i>“Hey, what about me?”</i>	<b>Create the Desire to buy:</b> provide a personalised first-line answer to specific questions to help SMEs take a decision
3 – Action	<i>“Yes, I want it!”</i>	<b>Confirm the Action to be taken:</b> provide easy access to procedures and organisations needed to start an action (EPO, NPTO, Attorneys ...)

The task will also produce requirements for the definition of the toolbox (including indication about availability of existing tools, identification and requirement for tools to be developed ...).

### **Support measures**

In order to support the development and update of the project knowledge base, measures should be developed to facilitate exchange of experiences between consortium members and benchmarking of best practices. Platforms to disseminate and discuss experience outside the direct project audience should also be proposed. In particular, the following measures should be developed.

#### **a. Project internal communication platform**

Appropriate tools should be developed to establish efficient communication between consortium members, like discussion forum, project repository, periodic internal workshops presenting consortium members experience and achievements, etc.

#### **b. Benchmarking methodology**

In order to identify best practices and optimise the effectiveness of local IPR services and strategies, a common assessment and benchmarking methodology should be proposed to all consortium members. This benchmarking methodology should be based on a set of indicators allowing measuring the effectiveness of the awareness and enforcement measures developed taking into account all the steps defined in the AIDA marketing concept.

#### **c. Dissemination and external discussion platforms**

In order to promote and discuss strategies and best practices within a wider audience, an advisory committee should be set-up and public workshops organised.

The advisory committee should include representatives of relevant actors not directly involved as members of the project consortium. It would be to provide feedback and advice on a regular basis to the project consortium. It could also contribute to the dissemination of best practices.

One or two public workshops could be organised to debate SMEs IPR needs and present the experience and practices gained on SMEs IPR awareness and enforcement actions.

General dissemination beyond the specific dissemination realised in each Module should be foreseen in particular towards potential actors, advertising general IPR issues and project overall achievements. This could include in particular information bulletin and contribution to conferences.

### **1.1.2. Common toolbox**

Many awareness and training tools have already been developed by different organisations (like WIPO, EO, OHIM, NPTOs ...) and projects (including EU-funded projects).

In order to avoid duplication of efforts and share experience and good practices a common toolbox will be made available in a common language within the 6 first months of the project.

The toolbox will be developed according to the needs and requirements identified in the previous task, specifically targeting SMEs needs. Special attention will be devoted to tools aimed both at raising interest of SMEs in IPR and helping them to include the use of IPR in their business strategies.

The toolbox will integrate the experience of the largest possible range of actors in the IPR field. Collaboration with organisations specialised in the development of such tools (such as the European Patent Academy) should be sought in order to optimise the use of the project resources.

Existing tools will be used as much as possible. However, existing tools will be upgraded or adapted or new tools created when necessary to fulfil the specific SMEs needs.

The toolbox will include a wide range of tools, from awareness raising to training materials, both on IPR usage and enforcement issues, such as:

- Publicity materials to raise the interest of SMEs in IPR protection and enforcement, through leaflets, brochures, films, advertisements etc.
- Tools related to SMEs knowledge development: manuals, presentations and other training materials, e-learning materials etc.
- Materials for the use and training of SMEs advisers such as small business advisers and members of the Network in support of Business and Innovation.

These materials can be provided in any of the appropriate forms (e.g. manuals, audio-visual materials, on-line tutorials...)

All materials should be clear, SMEs friendly and of appropriate quality. Particular attention should be paid to developing materials, which respond to the felt SME needs and to common business situations (e.g. seeking a new supplier, attending a trade fair). Their quality in terms of communication efficiency is paramount to guarantee their impact.

This material should be made widely available for translation and use by European public actors in the IPR and SMEs fields (translation costs will however not be covered by the project).

### **1.1.3. Project management**

The project management task will include all activities necessary to successfully execute the project. It will include in particular project control, risk assessment, performance monitoring, decision making structures, reporting activities (including annual and final reports) and maintenance of consortium agreement.

The overall project management shall take particular care to coordinate efficiently the activities developed under each module and to promote synergies whenever possible (mainly at the level of awareness and training activities).

Proposals will have to demonstrate excellence in managing European projects of the relevant dimension. The quality of the management plan and the management structure will be key factors for the success of the project, particularly in case of a large consortium. Detailed description should be provided in the proposals.

The governance of the project will be ensured by a steering committee composed of representatives of the consortium members meeting at least twice a year. The EC will participate to the meetings of the steering committee as observer and provide orientations

when deemed necessary. At the request of the EC, the meetings of the steering committee could be enlarged to other representatives of the IPR community.

Annual reviews will be organised by the Commission after 12 and 24 months to assess the work carried out during the first and second reporting period. The reviews may be carried out by the Commission services alone, or with the support of external experts appointed by the Commission. The reviews 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. The reviews will analyse the project performance indicators and assess the degree of fulfilment of the project work plan. The outcome of the reviews may include technical recommendations to be taken into account in the project’s planning for the work of the next period. If, as a result of a 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.

## **1.2. Performance monitoring**

Performance indicators should be developed in order to follow both the quality of execution and the impact of the project.

Project quality indicators could refer to:

- § Quality of guidelines developed;
- § Range and quality of the material made available/produced (user satisfaction survey);
- § Degree of communication and share of experience between consortium members;
- § Impact of dissemination activities;
- § Degree to which the provision of requested services is within the requested time and agreed budget.

## **2. LOCAL LEVEL SMEs SERVICES FOR IPR AWARENESS AND ENFORCEMENT (MODULE 1)**

### **2.1. Modalities**

In order to increase SMEs awareness on IPR usage and enforcement, a range of actions and services have to be planned and delivered at the appropriate levels, ensuring in the same time necessary proximity with SMEs and efficient collaboration with centralised IPR services. These levels could be national, regional or local according to the size of the country and the organisation of the IPR, innovation and SMEs supporting structures (they will be hereinafter referred to as “local”).

The project should contribute to address the most frequent weaknesses of the existing portfolios of services offered at national or regional levels, in particular: lack of complete service offers covering the full range of AIDA steps (see § III.1.1.1 - often the first step is missing), lack of coordination between different local IPR services making SMEs access difficult, lack of integration/networking of IPR services with other local innovation services, lack of collaboration between IPR experts and innovation actors, lack of services covering all IP protection instruments (services often “patent centric”)...

Appropriate synergies should be developed between centralised IPR expertise (NPTOs, OHIM, EPO ...) and local services embedded in portfolios of innovation support activities. Where not existing yet, local IPR awareness strategies should be compiled in conjunction with all the relevant local actors and endorsed by them to ensure their necessary sustainability. New local actions and services have then to be derived from these strategies to complete existing services, if necessary.

Activities planned under this module must avoid duplication with existing ones. On the contrary, they should build on existing experience, establish coordination with the main actors in the field and build synergies with existing services. They should, in particular, be provided in close conjunction with the services of the NPTOs, OHIM and EPO.

Cooperation between IPR experts and local innovation actors acting as SMEs entry points will be fostered with the assistance of the Network in support of Business and Innovation.

Synergies with on-going EU-funded projects in the field (in particular IP4INNO <http://www.proinno-europe.eu/ip4inno.html>) must be demonstrated. Results and deliverables of finished EU-funded projects (like LIIP <http://www.liip.org/>, IP Europe <http://www.ip-europe.org/> and IPR Guide <http://www.iprguide.com/>) should be used to the largest possible extent.

The activities developed under this module will build upon the best practices (knowledge base and tools) developed in Module 0. They will benefit from the exchange of experience between consortium members facilitated by the communication platform developed in Module 0 and realise added value from the European dimension of the project.

Actions developed under this module will include web-based support tools and proximity services based on local strategies and action plans.

#### **2.1.1. Setting up local helpdesks and website for IPR support for European SMEs**

Providing all European SMEs with an easy access to first-line IPR information and support in national languages is one of the main objectives of this call. This will be achieved through a website centralising essential IPR information and signposting more focussed services and a network of helpdesks which will provide first-line answer to SMEs questions.

##### **a. Website**

A single website providing SMEs and their advisers with a unique entry point to the IPR world would be a key element to raise IPR usage by SMEs with core information in national languages. This web site will provide access to basic awareness and training tools, guidance through national and European legislations and procedures, information about strategic use of IPR by SME, success stories, and other awareness and information materials. Signposting more focussed services will allow SMEs to get easy access to more detailed information.

##### **b. Local IPR Helpdesks networked EU-wide**

In order to ensure at the same time the necessary proximity to SMEs in national languages and a service of a European dimension (all legislations covered), the project will assist in the setting-up of local IPR helpdesks, where they do not exist yet, and in their networking EU-wide. The costs of daily operation of the network will not be covered by the project.

These helpdesks will provide, by phone and e-mail, in national languages, first-line support to SMEs and their advisers. The service will cover:

- § Access to information on all aspects of IP protection, including informal means
- § Access to basic information and advice on IPR enforcement, including contact points for enforcement agencies.

Through their networking across Europe, these local helpdesks will be able to provide initial access to IPR information and national legislation from other EU countries. This network will include the CIP/FP7 Programme Helpdesk developed in Module 3.

### **2.1.2. Planning local actions and services**

Based on the analysis of the local situation and on general guidelines developed in Module 0, local awareness and enforcement strategies will be developed or improved. These strategies should result into the definition of comprehensive sets of coordinated measures and services targeted at SMEs. The analysis, planning, and delivery of these services should be co-ordinated in partnership with the local members of the Network in support of Business and Innovation and all other relevant local actors, such as NPOT, Innovation agencies, chamber of commerce, business advisers, SMEs and other business organisations, IPR professionals, enforcement agencies and other regional and local actors. Such collaborations will allow to identify and deliver the full scope of services needed, to coordinate existing services and to ensure impact and sustainability of the proposed actions.

Definition of local strategies and action plans should include inter alia:

- § An analysis of local SMEs needs, including high-tech SMEs;
- § The identification of and cooperation with existing innovation support infrastructures, enforcement structures, and already existing SME services;
- § The benchmarking of existing services;
- § The outline of a local strategy for IPR awareness and enforcement by SMEs, promoting sustainable collaborations between all relevant local actors, coordinating and improving existing services and planning new ones if necessary;
- § A programme of new actions and services in support of IPR awareness and enforcement by SMEs, based on identified and non-served needs, co-ordinated and delivered in partnership with other relevant actors (Innovation agencies, Chamber of Commerce, SMEs associations, enforcement agencies etc.);
- § An account of the complementarities of the new actions and services with existing services and other actors;
- § A planning specifying those actions and services that would directly be implemented under the Project, including a budget specifying the use of Project funds and a timetable with key milestones for achievements.

### **2.1.3. Delivering awareness and enforcement actions directly to SMEs**

Based on local action plans, awareness and enforcement actions designed for direct delivery to SMEs will be implemented. Such actions may be developed within the project only when necessary to complete existing ones. A proper geographical coverage will be ensured.

These actions should be planned on the basis of local strategies, taking full account of SME needs and specificities. They should be planned and coordinated with and/or involve as much as possible the Network in support of Business and Innovation and other relevant local actors.

They should cover in particular the needs of SMEs in the relevant high-tech sectors.

They should make the widest possible utilisation of the common tools available in the project toolbox, including the sectoral material developed under Module 2. They must,



however, be adapted with the support of the local actors to fully take into account linguistic, sectoral, and institutional differences between local areas. Innovative actions should be developed, when more conventional means do not sufficiently meet SME requirements.

Actions eligible for funding under this activity may include, among others:

- § Information outreach and dissemination to SMEs;
- § Production of e-learning and other materials concerning IPR awareness and enforcement;
- § Actions aimed at encouraging and improving the inclusion of the use of IPR in SMEs business strategies;
- § Actions aimed at improving the protection and enforcement of IPR by SMEs within the EU and abroad;
- § Actions aimed at encouraging the use of contractual and informal methods of IPR protection by SMEs;
- § Provision of training and workshops directly for SMEs on key issues relevant to IPR protection and enforcement.

#### **2.1.4. Delivering awareness and enforcement actions for local SMEs support services**

SME innovation support services, such as development agencies and in particular the members of the Network in support of Business and Innovation, often serve as entry point to the IPR world. They have a good knowledge of SMEs and their business context and their services are well-known by SMEs. However, they often need specialist support on IPR awareness and enforcement issues by IPR experts.

On the basis of local awareness and enforcement strategies, such needs should be identified and synergies developed between IP experts and support services for innovative SMEs. The project will then contribute to the development or improvement of such SME IPR services.

The development of these services with the support of the project will complement actions directly directed to SMEs, supporting the development of comprehensive local awareness and enforcement strategies. These actions should be considered as a pilot phase. Solutions for sustainable implementation should be investigated at the same time.

Actions eligible for funding under this activity may include, among other:

- § Actions aimed at raising the knowledge and level of competence of SME support services concerning IPR awareness and enforcement issues;
- § Production and dissemination of information relevant to SME awareness and enforcement about IPR for SME support services;
- § Serving as a referral organisation to SME local support services (e.g. the Network in support of Business and Innovation) in the provision of first line advice on IPR to SME;
- § Appropriate training for SME support services on IPR basics and IPR promotion;
- § Training and workshops for SME support services on specific issues relevant to IPR protection and enforcement, e.g. the inclusion of the use of IPR in SMEs business strategies, the protection and enforcement of IPR abroad etc.;
- § Workshops and training for NPTO staff and other IPR specialists to better understand the needs of and interact with SMEs.

#### **2.1.5. Development of IPR enforcement support activities**

The enforcement of IPR against often criminal infringements is becoming increasingly important. Close co-ordination of such support actions with judicial and other enforcement agencies will be necessary. Close co-ordination with other EU activities,

such as the Beijing IPR Help Centre and the Best Practice Project on “*Strengthening the IPR enforcement of EU industry and SMEs – Workshops on Best Practices of support measures by Member States and private sector*”<sup>6</sup> will be required. The aim is to incorporate relevant and useful results of these projects (knowledge on China from the former, and web-based database of IPR enforcement support measures from the latter).

Actions eligible for funding under this activity may include, among other:

- § Production and dissemination of information for SME right holders on IPR enforcement services and on how to report and pursue a complaint on IPR abuse from within the EU or abroad.
- § Develop networks for exchange of information and best practices with other IPR enforcement authorities.
- § Actions aimed at giving initial first-line advice to SMEs subject to IPR abuse from the EU or abroad.
- § Actions aimed at raising general public and business awareness of the nature and consequences of IP crime, including particularly economic and health and safety aspects.
- § Pilot projects aimed at setting up a one-stop contact point for businesses to report IPR abuse.
- § Training of judicial officials, customs, and other enforcement authorities on specialist IPR issues.

These projects should be considered pilot projects. Solutions for sustainable implementation should be investigated at the same time.

## 2.2. Beneficiaries and coverage

The ultimate beneficiary of the actions planned under this module is the community of innovative SMEs. Direct beneficiaries will also include all relevant intermediaries, in particular members of the Network in support of Business and Innovation.

All 27 Member States and Associated Countries as defined in § IV.1 are targeted.

Coverage realised will be one important evaluation criteria. Proposal shall describe measures to ensure a balanced coverage of all EU Member and Associated States, including the specification of all of the languages in which the assistance will be provided to the users.

## 2.3. Performance monitoring

Performance indicators should be developed in order to follow both the quality of execution and the impact of the project.

Project quality indicators could refer to:

- § Number and quality of local IPR awareness/support strategies and action plans developed;

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<sup>6</sup> The Call for the *Beijing IPR Help Centre* will be published soon (indicative date April – May 2007). The project should start from end 2007 and would last for three years. The call for tender for the Best Practice Project on “*Strengthening the IPR enforcement of EU industry and SMEs – Workshops on Best Practices of support measures by Member States and private sector*” will be published soon (early April 2007). The project should start in the end of 2007. The first database should be available in the 2 Quarter of 2008 and the project will terminate in the 1 quarter of 2009.

- § Number of organisations collaborating to the development of local IPR awareness strategies;
- § Level of the endorsement of local strategies by public authorities;
- § Number and satisfaction of SMEs directly reached by an awareness/training action;
- § Number and satisfaction of SMEs given advice on enforcement strategies;
- § Number and satisfaction of SMEs referred for legal advice service (through survey);
- § Satisfaction survey of seminar and training beneficiaries;
- § Sustainability of policies and services developed.

### **3. SECTORAL IPR AWARENESS ACTION (MODULE 2)**

#### **3.1. Modalities**

In order to fulfil the specific needs of the sectors of textiles and clothing, leather, footwear and furniture, a handbook will be produced and dedicated seminars will be organised targeting specific audience, complementing broader local awareness and enforcement strategies defined in Module 1.

The handbook will be the basis for specific actions/seminars and will fully cover the specific needs of the targeted sectors. It will be designed in a way to make it easily adaptable to the needs of other sectors facing similar counterfeiting and piracy issues, including high-tech sectors. It will be integrated in the common toolbox (Module 0) for larger use.

##### **3.1.1. Handbooks**

The first task under this module is to prepare multilingual handbooks, based on a common core, for the use of enterprises active in each of the sectors: textiles and clothing, leather, footwear and furniture, with a special focus on SMEs. The definition of sectors should be based on the most up-to-date available revision of the NACE classification of business activities. The definition could be done at the 2- or 3-digit level of this classification. The handbooks will cover at least the following countries: Bulgaria, the Czech Republic, France, Germany, Greece, Hungary, Lithuania, Italy, Poland, Portugal, Rumania, Spain and the United Kingdom. The countries have been chosen on the basis of the importance of these sectors for their national economy and/or employment.

The handbooks will provide a general outline of intellectual property rights in the European Union, focusing on the questions such as:

- a) registration of intellectual property rights ;
- b) enforcement of intellectual property rights (administrative, civil and criminal procedures in place to combat infringements of patents, trade marks, designs and models);
- c) inclusion of the use of IPR in business strategies.

It will describe the legal framework at the national and international level (focusing on the big players in these sectors: India, China and Brazil) and the EU legal framework. Furthermore, the handbook will tackle specific issues related to each of the selected sectors. Where national legal and administrative specificities related to these sectors exist, they should be pointed out in the text and could results in further versions of the handbooks.

The handbook should be as practical as possible and in a user-friendly and concise way give concrete, precise advice by referring to common business situations (e.g. looking for new suppliers, attending trade fairs). It will identify the key national authorities in the countries covered as well as authorities at EU-level who are in charge of patent/design/trade mark registration and the fight against infringements, and also provide contact details and internet links.

The handbook will be elaborated in English and be translated at least into Bulgarian, Czech, French, German, Greek, Hungarian, Italian, Lithuanian, Polish, Portuguese, Rumanian, Spanish. The English version will be available no later than 12 months and the translations 16 months after the contract is signed.

The original guide will be written in correct and clear English, avoiding technical or other jargon to the greatest possible extent. Special attention should also be paid to the quality of the translations of the guide which must be taken by competent professionals and proofread by professional native speakers.

The guide should be made widely available to European public actors in the IPR and SME fields. It will be published on paper and on CD-Rom(s) in all linguistic versions and made available in an electronic version on the IPR website to be developed under this call (Module 1) and on the relevant sectoral pages of the European Commission “Europa” website. It will be made available in the common Toolbox (Module 0) and widely disseminated amongst SMEs intermediaries, including the members of the Network in support of Business and Innovation.

### **3.1.2. Awareness-raising seminars**

Awareness-raising seminars will be organised once the handbook is available in all requested languages. The seminars will be organised in all countries covered by the handbook. In order to permit more than one seminar per country, the regional importance of these sectors in the relevant countries should be taken into consideration when defining the number of seminars per country. In addition, further seminars per country/region should be foreseen depending on the demand. These seminars will be planned in close synergy with the local strategies and actions developed in Module 1.

In addition to dissemination of the handbook, the aim of these seminars is to tackle general IPR issues as well as country-specific problems in the sectors concerned using the handbook as a basis. They will also give advice on the internal management of intellectual property rights in a company.

Each seminar will involve multiplier organisations, in particular the members of the Network in support of Business and Innovation, and reach the widest possible range of enterprises of the sectors concerned, particularly SMEs, the number varying according to the number of SMEs in the sectors concerned in the participating country. These seminars should be organised as far as possible with the collaboration of organisations/entities such as industrial/sectoral associations, national patent and trademark offices, WIPO, EPO, OHIM and coordinated with training activities organised under other Modules.

## **3.2. Beneficiaries**

The final beneficiaries of the actions undertaken under this module will be enterprises – in particular small and medium-sized enterprises – of the sectors of textiles and clothing, leather, footwear and furniture at least in the following countries: Bulgaria, the Czech Republic, France, Germany, Greece, Hungary, Lithuania, Italy, Poland, Portugal, Rumania, Spain and the United Kingdom.

### 3.3. Performance monitoring

Performance indicators should be developed in order to follow both the quality of execution and the impact of the project.

Project quality indicators could refer to:

- § Quality of the handbook (quality of the contents, practical examples, user-friendliness, completeness of the information contained therein, translation quality);
- § Quality of the awareness-raising seminars (positive feedback from seminars, representativeness of participants, experience of speakers...);
- § Number of awareness seminars run;
- § Number of participants to the seminars.

## 4. IPR HELPDESK FOR EU-FUNDED RESEARCH AND INNOVATION PROJECTS (MODULE 3)

The activities planned under this module should build on the achievements of the current IPR Helpdesk project, which include the following (background information on the current IPR Helpdesk project is provided in Annex 5):

- § a multilingual website ([www.ipr-helpdesk.org](http://www.ipr-helpdesk.org)) dedicated to IPR aspects with particular emphasis in those related to RTD projects
- § a library offering (in 6 working languages) more than 130 executive summaries on general information about IPR and specific IPR and dissemination issues related to FP projects as well as a database of more than 125 FAQ
- § a database of subscribers to the information services
- § training and awareness material
- § The European Commission will provide free use of the [www.ipr-helpdesk.org](http://www.ipr-helpdesk.org) domain to the extent necessary for the IPR Helpdesk project.

### 4.1. Modalities

Actions conducted under this module will aim at raising awareness and usage of IPR amongst the beneficiaries of EU-funded research projects and technology transfer activities and at providing them with dedicated assistance on related specific IPR issues.

Targeted awareness raising activities conducted under this Module will make full usage of the tools developed in Module 0 and will be planned in close synergy with the awareness and training activities conducted under Module 1, promoting exchange of experience and good practices.

In order to provide a comprehensive assistance to its users within its area of competence, the IPR Helpdesk shall establish all necessary cooperation activities to achieve its goal with other actors involved in IPR and promotion of innovation: NPTOs, OHIM, EPO and European Patent Academy, etc. Intended cooperation activities in Europe with these entities should be highlighted in terms of modalities, extent and expected results.

Where appropriate, interaction will be organised with the Commission officials responsible for the development and application of the relevant IPR rules (of CIP and of the RTD Framework

Programmes), to ensure coherence between the interpretations provided by the IPR-Helpdesk and the official positions and views of the Commission services.

The proposals will clearly indicate the measures planned to ensure an efficient take over from the running project and, as much as possible, a continuity in the service provided.

Below is a minimum, but non-exhaustive list of activity lines that could call upon a Commission contribution.

#### **4.1.1. Website**

A well designed website will constitute the main awareness raising and information tool related to IPR issues on trans-national research projects and technology transfers. It will be designed to give to the targeted audience (mainly SMEs, Universities and Research Organisations) an attractive and easy access to the information. Special attention will be paid to the user friendliness of the website, which will guide the user to the useful information provided in the format of tutorials and on-line training courses as well as executive summaries, booklets .... The website will focus on the specific information related to its particular audience and will build synergies with other IPR awareness tools, in particular those developed in Module 1. An appropriate use of languages is a key factor to maximise the impact of the website while preserving the cost-efficiency of the action. A revision of the current policy (use of 6 languages) is encouraged. A differentiated usage of language should be considered (from more languages for first-line information to one single language for detailed information). The proposed strategy should result from a careful cost/impact analysis.

#### **4.1.2. Helpdesk**

A helpdesk, operated in English by e-mail, will provide in maximum 3 working days concise and user friendly first-line answers to specific questions on IPR issues related to trans-national research projects and technology transfers. Beneficiaries will be current or potential future beneficiaries in CIP and FP research project or technology transfer activities performed by the members of the Network in support of Business and Innovation.

#### **4.1.3. Awareness material and dissemination activities**

Awareness material and dissemination activities will be developed with the aim to increase knowledge and usage of IPR in CIP and FP research projects.

The awareness material targeted to participants in CIP/FP7 projects or technology transfer activities could include amongst other multimedia and audio-visual material, tutorials, news letter .... Particular attention must be paid to the communication quality and SMEs user friendliness of the tools developed. All material will be done in English.

This material will be disseminated with the collaboration of intermediaries, in particular the FP7 National Contact Points (NCPs) and the members of the Network in support of Business and Innovation. The project should organise or support the organisation of a number of workshops and training sessions (10/year minimum) targeted to participants in CIP/FP7 projects or technology transfer activities. The material produced should also be made widely available to multipliers to support their own dissemination actions. These dissemination actions must be coordinated with the generic awareness actions undertaken under the Module 1.

#### **4.1.4. Training activities**

In addition to dissemination actions directly targeted to CIP/FP7 beneficiaries, training will be provided to intermediaries (10/year/minimum) such as the NCPs and members of the Network in support of Business and Innovation. These training will focus on particular aspects of IPR issues related to CIP and FP7 research projects or trans-national technology transfers. They will be delivered English. They will allow these intermediaries to get basic knowledge allowing them to provide first-line advice on IPR issues.

#### **4.2. Beneficiaries and coverage**

The beneficiaries of the actions undertaken under this module are actual and potential participants in research projects funded under the EU Research Framework Programme and the CIP, as well as the customers of the Network in support of Business and Innovation in the field of their technology transfer activities. Services will be particularly targeted to the needs of SMEs and Public Research Organisations. All Member States and Associated Countries to CIP as defined in § IV.1 are targeted.

The proposal shall describe measures to ensure a balanced coverage of all EU Member and Associated States, including a specification of all the languages in which the assistance will be provided to the users.

#### **4.3. Performance monitoring**

Performance indicators should be developed in order to follow both the quality of execution and the impact of the project.

Project quality indicators could refer to:

- § Technical quality of the documentation issued;
- § Quality of the awareness material produced (including communication impact);
- § Number and type of questions answered by the helpdesk and number of users of website.
- § Help line user satisfaction (time needed to produce the answer, quality and utility of the answer ...)
- § Number of awareness and training seminars run and numbers of participants to the seminars;

## **IV. Requirements for applicants**

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### **1. ELIGIBLE COUNTRIES**

Applicants eligible to present proposals are groups of organisations (referred to as ‘consortia’) from Member States of the EU, Associated candidate countries or Associated States, or countries that establish a bilateral agreement with the European Community to participate in the CIP programme or parts of it, as defined in Article 4 of the CIP.

The EU Member States are: Austria, Belgium, Bulgaria, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden and United Kingdom.

Organisations based in Candidate countries (Croatia, Turkey, former Yugoslav Republic of Macedonia) and EEA countries (Norway, Liechtenstein, Iceland) are eligible on the same conditions as those from EU member states to apply in a consortium.

Co-operation with other third countries<sup>7</sup> can be based on the envisaged participation in the CIP as described above for candidate countries. In this case, negotiations with the European Commission on participation in the CIP should be reasonably advanced at the time of the deadline of this call.

### **2. APPLICANTS**

Proposals may be made by consortia comprising a group of organisations able to provide the services described above.

Each consortium will be represented by a co-ordinating organisation for contractual and administrative purposes.

There is no theoretical limit to the number of organisations within a consortium. However, the co-ordination arrangements will become more critical as consortia grow. Arrangements for internal co-ordination of consortia should be explicit and will be an important aspect in the evaluation process.

### **3. STAFFING REQUIREMENTS**

There is no standard requirement for staffing; however, it is important to include a limited number of core staff dedicating most or all of their time to the execution of the tasks specified in the call.

For the services covering IPR awareness and enforcement for SMEs (Module 1) it is expected that staff will have strong IPR background as well as experience in providing assistance on IPR issues and advice to SME. In addition, staff should have experience in relevant trans-national activities and projects.

For the sectoral action (Module 2) staff is expected to have background on IPR issues related to the relevant sectors.

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<sup>7</sup> Including the Western Balkans (Albania, Bosnia-Herzegovina, Montenegro, Serbia, including Kosovo UNSCR 1244).



For the IPR Helpdesk services (Module 3), it is expected that staff will have experience IPR matters, FP research programs and exploitation of R&D or technology transfer.

#### **4. USE OF SPECIALISED EXTERNAL EXPERTS AND SUBCONTRACTORS**

Where the applicant does not the required capacity or expertise internally, it should include sensibly budgeted proposals for the use of external experts or subcontractors in their proposal (maximum 20% of each beneficiary total budget). However core services shall not be subcontracted.

The applicant needs to clearly specify in the proposal the types of subcontractors or experts it foresees, the basis on which they will be employed and demonstrate how the work of subcontractors or experts is integrated into the work plan.

In particular, subcontracting could be foreseen in the following areas: website development and maintenance, development of audiovisual material, development of communication material.

In addition, experts or subcontractors could be used to deliver specific studies, impact analysis, etc.

## V. Evaluation Procedure

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The selection and evaluation of proposals will be carried out by the Commission. Commission staff will organise a confidential, fair and equitable evaluation of each proposal according to the criteria applicable for the call, in full respect of the relevant procedures, rules and regulations.

### 1. ELIGIBILITY

Applicants and applications must comply with the following conditions in order to be eligible:

- ⌋ Applicants must be legal entities established in an eligible country as defined in Article 4 of the CIP and § IV.1 of the Guide for Submission ;
- ⌋ Corporate bodies must be properly constituted and registered under the law;
- ⌋ Applications must be signed, dated and complete, using the submission requirements;
- ⌋ Applications must be received on **22/06/2007 by 4.00 p.m. Brussels time**. In case of technical problems, this date could be modified through information to be published on the CIP Call website <http://ec.europa.eu/enterprise/funding/cip/index.htm>. Applicants are therefore requested to consult this website on a regular basis;
- ⌋ Only applications for projects that are strictly non-profit-making and/or whose immediate objective is non-commercial shall be eligible.
- ⌋ Moreover, according to article 93 of the Financial Regulation mentioned below, candidates shall be excluded from participation in a grant procedure if:
  - a. they are bankrupt or being wound up, are having their affairs administered by the courts, have entered into an arrangement with creditors, have suspended business activities, are the subject of proceedings concerning those matters, or are in any analogous situation arising from a similar procedure provided for in national legislation or regulations;
  - b. they have been convicted of an offence concerning their professional conduct by a judgement which has the force of res judicata;
  - c. they have been guilty of grave professional misconduct proven by any means which the contracting authority can justify;
  - d. they have not fulfilled obligations relating to the payment of social security contributions or the payment of taxes in accordance with the legal provisions of the country in which they are established or with those of the country of the contracting authority or those of the country where the contract is to be performed;
  - e. they have been the subject of a judgement which has the force of res judicata for fraud, corruption, involvement in a criminal organisation or any other illegal activity detrimental to the Communities' financial interests;
  - f. following another procurement procedure or grant award procedure financed by the Community budget, they have been declared to be in serious breach of contract for failure to comply with their contractual obligations.

By using the “Exclusion Form” (Form D of the “Submission Set”, see Annex 1 - ), applicants shall declare on their honour that they are not in one of the situations listed above. The

authorising officer responsible may however request the evidence described in the “Exclusion Form” above mentioned. In such case, applicants shall be bound to supply such proof, unless there is a material impossibility recognised by the authorising officer responsible.

- b In addition and according to article 94 of the Financial Regulation mentioned below, grants may not be awarded to candidates who, during the award procedure:
- g. are subject to a conflict of interest;
  - h. are guilty of misrepresentation in supplying the information required by the contracting authority as a condition of participation in the contract procedure or fail to supply this information.

Please note that, according to article 96 of the Council Regulation (EC, Euratom) n° 1605/2002 of 25 June 2002 on the Financial Regulation applicable to the general budget of the European Communities and according to article 133 of the Commission Regulation (EC, Euratom) n° 2342/2002 of 23 December 2002 laying down detailed rules for the implementation of Council Regulation (EC, Euratom) n° 1605/2002 on the Financial Regulation applicable to the general budget of the European Communities, administrative and financial penalties may be imposed by the Commission on applicants who are excluded in relation to points a) to h) above mentioned.

Applicants may act individually or in consortium with partner organisations. All consortium members must satisfy the same eligibility criteria.

All proposals that fulfil the eligibility criteria will be evaluated in the selection phase in order to determine their financial and technical capacity.

## 2. SELECTION

The selection will be based on the applicants' financial and technical capacity to complete the proposed project.

### 2.1. Financial capacity

For the financial capacity, applicants must show they have stable and sufficient sources of finance to ensure the continuity of their host organisation throughout the project and to play a part in financing it.

To that end, they will include in the proposal their audited annual accounts for the last two financial years (i.e. Submission Set Form A/5: profit and loss accounts; balance sheet<sup>8</sup>).

Alternative or additional ways to show the financial capacity to complete the proposed operation can be provided by:

- § a guarantee equivalent to all or part of the grant being sought;
- § an explicit undertaking from each co-financing organisation to provide the amount of funding stated in the grant application for the operation (signed Form E) and

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<sup>8</sup> Please fill out the Submission set form A/5 available on <http://ec.europa.eu/enterprise/funding/cip/index.htm> concerning the data from your balance sheet and profit and loss accounts for the last two years for each partner except of the public-sector bodies, print them and add to the Submission Set.

§ an explicit undertaking by the applicant to cover its share of the financing and, if necessary, to finance expenditure not covered by the Community grant should other co-financers default.

Where the proposed amount requested from the Commission exceeds € 500.000 per host organisation, the application shall be accompanied by an external audit report produced by an approved auditor. For applying consortia, the threshold concerning the audit report is applicable at the level of individual host organisations and not at the level of the consortium.

The verification of financial capacity shall not apply to public bodies, nor to the international organisations referred to in Article 43 of the Commission Regulation (EC, Euratom) n° 2342/2002.

## 2.2. Technical capacity

To assess the technical capacity of applicants, they must show that they have the technical capacity to complete the operation and must demonstrate their capacity to manage scale activity corresponding with the size of the project for which a grant is requested. The teams responsible for the project/operation must have adequate professional qualifications and experience.

The applying consortia should include organisations demonstrating the following expertise:

- strong competence in all kind of formal IPR (patents, designs, trade marks etc.) ;
- experience in non-registered or informal IP protection methods (non-disclosure agreements, trade secrets etc.);
- expertise in specific sectoral IPR issues covered by Module 2;
- experience in IPR issues related to EU Research Framework Programme and trans-national technology transfer activities;
- experience in delivering services to SMEs and their intermediaries at national, regional and/or local levels;
- training skills;
- communication skills (including written and web-based - eventually subcontracted).

The coordinator must demonstrate a strong management experience of international consortia of relevant size.

The information provided should include lists of relevant activities carried over the last 3 years and CVs of main members of the team responsible for the project.

Applicants must be directly responsible for the preparation and management of the project, not acting as an intermediary.

## 3. AWARD

Proposals that have passed the eligibility and selection phases will be further evaluated in the award phase based on the following five criteria:

### – Relevance

Reflects to what extent the proposal fulfils the objectives of the call, implements the expected actions and services, and integrates them to provide a European dimension to the project.

- **Visibility**  
Reflects the expected visibility of the project and its activities in favour of SMEs, specific sectors and CIP/FP7 beneficiaries.
- **Impact**  
Reflects the impact of the project on the target groups both in the short and long terms (sustainability). As impact can only be demonstrated through the use of appropriate indicators, the quality of the indicators proposed will be taken into account.
- **Quality**  
Reflects in particular how well the unmet needs of SMEs and other target groups (FP7, sectoral) are analysed, how well the methodology and the range of services proposed are suitable to fulfil these needs and the quality of the overall management of the project.
- **Budget and cost-effectiveness**  
Reflects the adequacy of the proposed budget and the cost-efficiency of the action.

The following table includes a number of key elements and the respective weighting for each criterion:

Award criteria	Maximum Score
<b>1. Relevance</b>	<b>20</b>
<ul style="list-style-type: none"> <li>- How relevant is the proposal to the objectives of the call?</li> <li>- How relevant is the proposal to the specific needs of the proposed target groups?</li> <li>- How clearly defined and strategically chosen are the geographical and target group coverage?</li> <li>- How much are the actions and services proposed coordinated and integrated to provide a real European added value to the proposal?</li> <li>- To what extent do the proposed services realise complementarities and synergies with existing services?</li> </ul>	
<b>2. Visibility</b>	<b>10</b>
<ul style="list-style-type: none"> <li>- To what extent will the proposal ensure sufficient visibility of the main services amongst the relevant target groups?</li> <li>- To what extent will the Community involvement be publicised?</li> </ul>	

<b>3. Potential Impact</b>	<b>25</b>
<ul style="list-style-type: none"> <li>- How effective is the project likely to be in terms of accessing SMEs and providing the necessary services whether directly or through business service providers?</li> <li>- To what extent will the actions launched under the project result in long-term sustainable services?</li> <li>- To what extent does the proposal integrate collaboration with existing IPR and innovation actors (in particular the members of the Network in support of Business and Innovation)?</li> <li>- To what extent does the proposal contain potential multiplier effects? Does the proposal promote and ensure the transfer of best practices throughout the EU?</li> <li>- To what extent does the proposal contain clear and objectively verifiable performance indicators for the outcome and impact of the action?</li> </ul>	
<b>4. Quality</b>	<b>25</b>
<ul style="list-style-type: none"> <li>- To what extent do the proposed project team, co-ordination / management scheme and work plan ensure the effective implementation of the project and the proper co-ordination/integration of its different elements?</li> <li>- To what extent are the needs of target groups (in particular SMEs) analysed? How far is the proposed methodology based on these needs?</li> <li>- How far are the activities and means proposed in each Module appropriate, practical, quantified and contributing to achieve the objectives of the call and its expected results?</li> <li>- To what extent does the proposal ensure the greatest possible coverage of relevant client groups?</li> <li>- To what extent will the project make full use of existing materials and best practices? To what extent are the proposed methodology and services innovative?</li> </ul>	
<b>5. Budget and cost-effectiveness</b>	<b>20</b>
<ul style="list-style-type: none"> <li>- To what extent is the budget clear and detailed? Does the breakdown of the budget, category by category, offers a way of ensuring that the amount of the grant awarded is the minimum necessary for the operation to be completed?</li> <li>- To what extent is the proposed expenditure necessary for the implementation of the project?</li> <li>- Do the probable results stand in a reasonable relationship to the amount of the grant? Does the project provide sufficient value-for-money?</li> </ul>	
<b>Maximum total score</b>	<b>100</b>

Proposals will be ranked according to their total score. In order to be considered for funding proposals will need to have passed **an overall threshold of 70%** in terms of total score. In addition, thresholds of **50% will be applied to each of the five individual award criteria** described above in order to ensure a consistent minimum quality for all award criteria.

The Commission services will draw up the final ranked list based on the total points received, in priority order of all the proposals evaluated and which passed the required thresholds.

#### 4. DECISION OF THE CONTRACTING AUTHORITY

On the basis of the list of merit drawn up by the evaluation committee, the authorising officer adopts the final list and allocates the grants.

All the applicants will be informed in writing of the Authority's decision concerning their application.

Please note that a decision to reject an application or not to award a grant will be based on the following grounds:

- § the application was received after the closing date;
- § the application is incomplete or otherwise non-compliant with the stated administrative conditions;
- § the applicant or one or more participants are ineligible;
- § the technical capacity is considered insufficient;
- § the financial capacity is considered insufficient;
- § the proposal has not reached the minimum score of 50% for one or several of the evaluation criteria or 70% of the total;
- § the score obtained by the proposal is not ranked amongst the best proposals considered for the award.

The Contracting Authority's decision to reject an application or not to award a grant is final.

## VI. Proposals preparation and submission

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### 1. CONTENT OF THE GRANT APPLICATION

The grant application must be drafted following the instructions detailed below and using the specific Submission Set available for this call. The Submission Set can be downloaded from the Europa web site:

[http://ec.europa.eu/enterprise/funding/grants/themes\\_2007/calls\\_prop\\_2007.htm](http://ec.europa.eu/enterprise/funding/grants/themes_2007/calls_prop_2007.htm)

In addition to the Submission Set (Proposal part A), the grant application will include information concerning financial & technical capacity and a detailed description of the proposed work programme and related costs (Proposal part B).

*Part A: Proposal Submission Set (see Annex 1 - )*

Part A of the grant application will be made of the following compulsory administrative forms:

- ☐ Proposal submission forms (Forms A/1 to A/4)
- ☐ Forward Budget Forms (Forms B)
- ☐ Financial identification forms (Form C)
- ☐ Exclusion form (Form D)
- ☐ Co-financing statement forms (Form E)
- ☐ Legal Entities Form
- ☐ Proof of registration and list of management board members

*Part B: Full Proposal description (see Annex 2 - )*

§ Information concerning financial & technical capacity:

- ☐ Annual audited accounts (i.e. profit and loss accounts; balance sheet) for the 2 last financial years (for private organisations)
- ☐ Justification of technical capacity of each consortium member to carry over its activities in the project, including a summary of its activities in the project and a list of relevant activities carried out over the last 3 years

§ Description of the project/ action and detailed timetable of the operation, including budget description and justification.

### 2. MODALITIES OF SUBMISSION

Grant applications must be submitted on **paper** and in **triplicate** with at least one set of original signed documents. It must include an electronic copy on CD-ROM using the PDF format ("portable document format", compatible with Adobe version 3 or higher, with embedded fonts).

The proposal must be placed inside 2 sealed envelopes. The inner envelope should be addressed to the department indicated below. If self-adhesive envelopes are used, they must be sealed with adhesive tape and the sender must sign across this tape. It should bear the following description:



*European Commission  
Enterprise and Industry Directorate-General  
Unit D.2 Support for Innovation*

**Call for proposals**  
*CIP Programme 2007 – Action ENT5/CIP/07/B/N02C00  
“IPR Awareness and Enforcement Project  
(including IPR Helpdesk)”*

*BREY 06/061  
B-1049 Brussels – BELGIUM*

**Not to be opened by the internal mail department**

*Please note that electronic submissions are not allowed for this call.*

Grant application will be submitted:

- a) **Either by registered mail**, postmarked not later than 22/06/2007 to the address indicated below:

*European Commission  
Enterprise and Industry Directorate-General  
Unit D.2 Support for Innovation*

**Call for proposals**  
*CIP Programme 2007 – Action ENT5/CIP/07/B/N02C00  
“IPR Awareness and Enforcement Project  
(including IPR Helpdesk)”*

*BREY 06/061  
B-1049 Brussels – BELGIUM*

- b) **or sent by courier services**, no later than 22/06/2007 (date of deposit slip), to the address above.
- c) **or delivered by hand**, in person or by an authorised representative no later than 4 p.m. on 22/06/2007, (date of acknowledgement of receipt by the Commission) *to the following address:*

*Service central de réception du courrier  
Avenue du Bourget,1  
B-1140 Evere, Belgique*

*How to reach avenue du Bourget 1:*  
[http://europa.eu.int/comm/enterprise/calls/hand\\_delivery.html](http://europa.eu.int/comm/enterprise/calls/hand_delivery.html)

*Please note, that for security reasons, hand deliveries (including private courier services) shall no longer be accepted in other Commission’s buildings. An acknowledgement of receipt shall be delivered by the “Service central de réception du courrier”.*

Applicants shall observe precisely the above indications in order that proposals can reach their precise destination in due time.

*Evidence of timely submission by post or courier service will be constituted by the date of dispatch, the postmark or the date of the deposit slip. In the case of hand-delivery, the signed and dated receipt will serve as evidence.*

**Reminder: Late delivery will lead to the applicant being excluded from the award procedure.**

### 3. TIME TABLE FOR SUBMISSION, EVALUATION AND AWARDING

Publication of the call	March/April 2007
Deadline for submission of proposals	22 June 2007
Evaluation of proposals	July 2007
Award decision	3rd quarter 2007
Signature of Grant Agreement	November 2007

### 4. EQUAL OPPORTUNITY

The European Community has the task to promote equality between women and men and shall aim in all its activities to eliminate gender inequalities (articles 2 and 3 of the EC Treaty). In this context, women are particularly encouraged to be involved in proposal submission.

### 5. DATA PROTECTION

The follow up of your response to the call for proposals will require the recording and further processing of personal data (name, address, CV, for example). This data will be processed in accordance with the requirements of Regulation (CE) 45/2001 on the protection of individuals with regard to the processing of personal data by Community institutions and bodies and on the free movement of such data. Except if mentioned otherwise, replies to questions and personal data are necessary for the purpose of assessing your tender according to the specifications of the invitation to tender and will only be processed by DG Enterprise and Industry - ENTR/D2 – Support for Innovation Unit for this purpose. You may, upon request, obtain the communication of your personal data and rectify any inaccurate or incomplete personal data. Should you have any queries concerning the processing of your personal data, please address them to DG Enterprise and Industry Data Controller – ENTR/R2 – Human Resources Unit. As regards to the processing of your personal data, you have a right to recourse at any time to European Data Protection Supervisor.

### 6. INDICATIVE CHECK LIST FOR APPLICANTS

An indicative check list is provided in Annex 6 to allow you to check completeness of your grant application.

## VII. Support to applicants

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### European Commission – Help Desk

The coordinates of the European Commission help desk for this call for proposals are:

European Commission  
Directorate General Enterprise and Industry  
Call for proposals (ENT5/CIP/07/B/N02C00) help desk  
Email: [ENTR-IPRAEP-CALL@ec.europa.eu](mailto:ENTR-IPRAEP-CALL@ec.europa.eu)

All requests for information related to the present call must be addressed to the Help Desk. Request for information have to be sent no later than **14 days** before deadline for the submission of proposals.

**Links to all the necessary information to prepare a proposal are available on the Call website**  
[http://ec.europa.eu/enterprise/funding/grants/themes\\_2007/calls\\_prop\\_2007.htm](http://ec.europa.eu/enterprise/funding/grants/themes_2007/calls_prop_2007.htm)

**All further information and answers to questions from potential applicants will be published on the Call website without prior information notice**

**Applicants should periodically check the Call website for latest information**

## **VIII. Annexes**

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**Annex 1 – Proposal Part A: Submission Set (A, B, C, D, E)**

**Annex 2 – Proposal Part B: full proposal description**

**Annex 3 – Information about costs and revenues**

**Annex 4 – Draft Grant Agreement**

**Annex 5 – Background on current IR Helpdesk project**

**Annex 6 – Proposal check list**

## **Annex 1 - Proposal Submission Set (compulsory administrative forms)**

Part A of the proposals must include all administrative forms required in the Submission Set:

- § Proposal submission forms (Forms A/1 to A/5)
- § Forward Budget Forms (Forms B)
- § Financial identification forms (Form C)
- § Exclusion form (Form D)
- § Co-financing statement forms (Form E)
- § Identification Forms (Legal entities)
- § Proof of registration and list of management board members

The Submission Set can be downloaded from the following address:

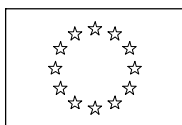
[http://ec.europa.eu/enterprise/funding/grants/themes\\_2007/calls\\_prop\\_2007.htm](http://ec.europa.eu/enterprise/funding/grants/themes_2007/calls_prop_2007.htm)

The use of the administrative forms “Host Organisation Profile”, “Exclusion form” and “Co-financing statement form” is compulsory without modifications.

This part will also include all relevant information to comply with the provisions described under the section V.1 “Eligibility”.

All the cells are mandatory to be filled out so in case some cell is not applicable, please indicate not applicable before the submission.

### **1. PROPOSAL SUBMISSION FORMS (FORMS A)**



EUROPEAN COMMISSION  
ENTERPRISE AND INDUSTRY DIRECTORATE-GENERAL

For guidelines see relevant section "Guide for submission" hereafter.

**Proposal submission set  
for financial support from the European Commission**

**ACTION N°: ENT5/CI/07/BN02C00**

**TITLE: IPR AWARENESS AND ENFORCEMENT PROJECT  
(INCLUDING IPR HELPDESK)**

The submission set include the following documents:

- A. PROPOSAL SUBMISSION FORMS (A/1, A/2, A/3, A/4, A/5)**
- B. BUDGET SUMMARY FORM (B/1, B/2)**
- C. FINANCIAL IDENTIFICATION FORM**
- D. EXCLUSION FORM**
- E. CO-FINANCING STATEMENT FORM**

**Information on the Proposal**

Proposal Full Name <sup>1</sup>	
Applicant Name <sup>2</sup>	

**FOR COMMISSION USE ONLY**

Form A/1

**1. PROPOSAL ADMINISTRATIVE OVERVIEW** (ONE FORM FOR EACH PROJECT)

<b>Contact person for the proposal</b>					
Title (Dr, Prof., ...)					
Current Family Name					
First Name					
Function					
<b>Address</b>					
PO Box <sup>3</sup>					
Street Name and Number					
Post Code <sup>4</sup>		Cedex <sup>5</sup>			
Town/City					
Country Name					
Telephone n° <sup>6</sup>		Fax n° <sup>6</sup>			
E-mail					
Internet homepage					
<b>Proposal abstract (maximum 5 lines)</b>					
Total Eligible Costs (in Euro)		EC Contribution requested		% EC Contribution requested	
Duration requested (in months)		Planned start date <sup>7</sup> (DD/MM/YYYY)			
<b>Previous contracts</b>					
Have you, previously or currently, submitted <u>this</u> proposal or one similar in content to any Community Programme?					Y <input type="checkbox"/> N <input type="checkbox"/>
If yes, please give details and indicate the main differences between the present and previous proposals.					
Have you submitted (or do you intend to submit) <u>in the current year</u> a grant application directly or indirectly from a European institution or agency <sup>8</sup> .					Y <input type="checkbox"/> N <input type="checkbox"/>
If yes, please give the following details; indicate the main differences between the present and previous proposals.					
Programme name	DG	Action Name	Amount (in Euro)	Differences	
Have you <u>during the last three years</u> obtained a Community grants, procurement contracts or loans directly or indirectly from a European institution or agency.					Y <input type="checkbox"/> N <input type="checkbox"/>
If yes, please give the following details; indicate the main differences between the present and previous proposals.					
Programme name	DG	Action Name	Year	Amount (in Euro)	Differences

Form A/2

## 2. PROPOSAL SUMMARY\* (ONE FORM FOR EACH PROJECT)

### Objectives (maximum 10 lines)


### Description of the work (maximum 15 lines)


### Milestones and expected results (maximum 10 lines)


\* Full Proposal and description of the project/ action must be included – see explanations in the guide for submission point III.



Form A/3

3. LEAD ORGANISATION (CO-ORDINATOR) PROFILE/INFORMATION (1 FORM)				
<b>Legal Information (legal entity)</b>				
Organisation Legal Name <sup>8</sup>				
Short Name <sup>9</sup>				
Legal Status <sup>10</sup>		Legal Registration n°		
VAT number				
Business Area <sup>11</sup>				
<b>Organisation details</b>				
Annual turnover <sup>12</sup>		Total yearly revenues/ resources <sup>12</sup>		
Is your Organisation independent <sup>14</sup> ?	Y	N	Number of employees <sup>13</sup>	
If No, please indicate name(s) of owner(s) who own 25 % or more or the public authority supervising your organisation <sup>14</sup>				
<b>Registered Address of the legal entity</b>				
PO Box <sup>3</sup>				
Street Name and Number				
Post Code <sup>4</sup>		Cedex <sup>5</sup>		
Town/City				
Country Name				
Internet homepage				
<b>Administrative officer authorised to commit the company/organisation</b>				
Title (Dr, Prof., ...)				
Family Name				
First Name				
Position in the company/organisation				
Telephone n° <sup>6</sup>		Fax n° <sup>6</sup>		
E-mail				
I declare that I have read and accept the rules governing this call for proposal. I certify that the information in this proposal about my company/organisation is accurate and complete and that my company/organisation has agreed to host the applicants mentioned below.				
STAMP OF COMPANY/ ORGANISATION				
DATE OF SIGNATURE				
SIGNATURE OF AUTHORISED PERSON				

Form A/4

4. OTHER PARTICIPANTS PROFILE/INFORMATION (1 FORM PER PARTICIPANT)			
Lead organisation (co-ordinator) name <sup>2</sup>			
Participant Legal Information (legal entity)			
Organisation Legal Name <sup>8</sup>			
Short Name <sup>9</sup>			
Legal Status <sup>10</sup>		Legal Registration n°	
VAT number			
Business Area <sup>11</sup>			
Organisation details			
Annual turnover <sup>12</sup>		Total yearly revenues/ resources <sup>12</sup>	
Is Your Organisation independent <sup>14</sup> ?		Y	N
		Number of employees <sup>13</sup>	
If No, please indicate name(s) of owner(s) who own 25 % or more or the public authority supervising your organisation <sup>14</sup>			
Registered Address of the legal entity			
PO Box <sup>3</sup>			
Street Name and Number			
Post Code <sup>4</sup>		Cedex <sup>5</sup>	
Town/City			
Country Name			
Internet homepage			
Administrative officer authorised to commit the company/organisation			
Title (Dr, Prof., ...)			
Family Name			
First Name			
Position in company/ organisation			
Telephone n° <sup>6</sup>		Fax n° <sup>6</sup>	
E-mail			
<p>I declare that I have read and accept the rules governing this call for proposal. I certify that the information in this proposal about my company/ organisation is accurate and complete.</p> <p>I do hereby grants power of attorney to the lead organisation (co-ordinator) mentioned above, to act in my name and for my accounts in signing the possible grant agreement between the European Commission and all the participants.</p> <p>I declare that I am aware and agrees that in case of a successful evaluation the Commission shall, subject to payment arrangement, pay the grant in full to the lead organisation (co-ordinator) mentioned above.</p> <p>I declare that I am aware that, in the case of a total or partial non-application of my obligations, the Commission will be able to engage my responsibility.</p>			
STAMP OF COMPANY/ ORGANISATION			
DATE OF SIGNATURE		SIGNATURE OF AUTHORISED PERSON	

## Form A/5 Financial Statement

<b>Organisation legal name - lead organisation</b>	
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Public sector body? (yes=1, no=0)	
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<b>Project Acronym</b>	
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t-1
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<b>BALANCE SHEET</b>
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<b>ASSETS</b>	
<b>1. Subscribed capital unpaid</b>	
<b>2. Fixed assets</b>	0
2.1. Intangible fixed assets	
2.2. Tangible fixed assets	
2.3. Financial assets	
<b>3. Current assets</b>	0
3.1. Inventory	
3.2.1. Debtors due within one year	
3.2.2. Debtors due after one year	
3.3. Cash at bank and in hand	
3.4. Other current assets	
<b>Total assets</b>	0
<b>LIABILITIES</b>	
<b>4. Capital and reserves</b>	0
4.1. Subscribed capital	
4.2. Reserves	
4.3. Profit and loss brought forward	
4.4. Profit and loss brought forward for the financial year	0
<b>5. Creditors</b>	0
5.1.1 Long term non-bank debt	
5.1.2. Long term bank debt	
5.2.1. Short term non-bank debt	
5.2.2. Short term bank debt	
<b>Total liabilities</b>	0

<b>PROFIT AND LOSS</b>	
<b>6. Turnover</b>	
7. Variation in inventory	
8. Other operating income	
9. Costs of material & consumables	
10. Other operating charges	
<b>10b. Added value</b>	0
11. Staff costs	
<b>12. Gross operating profit</b>	0
13. Depreciation and value adjustments on non-financial assets	
<b>14. Net operating profit</b>	0
15. Financial income and value adjustments on financial assets	
16. Interest paid	
17. Similar charges	
<b>18. Profit/loss on ordinary activities</b>	0
19. Extraordinary income and charges	
20. Taxes on profits	
<b>21. Profit/loss for the financial year</b>	0

Control assets - liabilities

0

**Additional information on how to complete the administrative forms A1, A2 & A3**

The proposal must be typed and filled-in in English.

**1. Proposal Project acronym**

Use a clear, self explanatory title of not more than 10 words, providing guidance as to the contents of the project.

**2. P. O. Box**

If applicable, indicate number of Post Office Box for surface mail delivery.

**3. Post Code**

If applicable, enter numerical (alphanumeric for United Kingdom and The Netherlands) post code without being prefixed by the country identifier, e.g. 1000 and not B-1000 or SW1H 9AS and not UK-SW1H 9AS.

**4. Cedex**

If applicable, indicate Cedex for surface mail delivery.

**5. Telephone n° and Fax n°**

Please give the telephone and fax numbers in the following format, for example (a European Commission telephone number in Brussels, Belgium): (32-2) 2991111 (32 being the country code number; 2 the area code number for international calls; 2991111 the subscriber's number).

**6. Host organisation Legal Name**

If applicable, name under which the host organisation is registered in the official trade registers or any other official register.

**7. Host organisation short Name**

If applicable, acronym in the submitter's language.

**8. Legal Status**

Please use one of the following codes:

- GOV:** Governmental (local, regional or national public or governmental organisations e.g. libraries, hospitals, schools);
- INO:** International organisation (i.e. an international organisation established by national governments);
- JRC:** Joint Research Centre (i.e. the Joint Research Centre of the European Commission);
- PUC:** Public Commercial organisation (i.e. commercial organisation established and/or owned by a public authority);
- PRC:** Private Commercial organisation including Consultant (i.e. any commercial organisations owned by individuals either directly or by shares).  
Please indicate, in such case, the type of organisation (e.g.: SA, LTD, GmbH, independent person...);
- EEI:** European Economic Interest Group;
- PNP:** Private organisation, Non Profit (i.e. any privately owned non profit host organisation).

**9. Business Area (NACE)**

Indicate the principal activity of your host organisation, or, in the case of a larger host organisation, of the executive division of your host organisation making the proposal.

**10. Annual Turnover/ Total yearly revenues or resources**

- For companies

Information from the most recent accounting year should be used. The figures should be given for the host organisation as a whole and not just for the subsidiary company or the department carrying out the work.

- Others (NGOs; public bodies; ...)

Please provide the Commission with the total yearly revenues/resources.

**11. Number of employees**

All host organisations should fill it in. The figures should be for the legal host organisation as a whole - not only for the department carrying out the work. The contribution of part-time staff should be accounted as the equivalent number of full-time staff – as full-time equivalents. Please indicate the number of full-time equivalent employees.

**12. Independence**

An host organisation is independent if less than 25% of the capital or the voting rights is owned by one enterprise or jointly by several enterprises falling outside the definition of an SMEs (except public investment corporations, venture capital companies and institutional investors, provided no control is exercised either individually or jointly).

Independently of the ownership of capital or voting rights, please specify if any public authority supervises the host organisation.

An SMEs (small and medium-sized enterprise) is defined as an entity that has less than 250 full time equivalent employees, has an annual turnover not exceeding EUR 40 million, or an annual balance sheet total not exceeding EUR 27 million, and is not controlled by 25% or more by a company which is not an SMEs (Commission recommendation 96/280/EC by 3 April 1996, OJEC L. 107/4, 30/04/1996).

If the host organisation is not independent, please provide the legal name(s) of the organisation(s) which own(s) 25 % or more of the host organisation or the name(s) of the public authority supervising the host organisation.

**13. Grant applications submitted (or due to be submitted) to European institutions or agencies in the current year**

Host organisations shall immediately inform the Commission service to which the current Grant Application is addressed of any request for funding submitted to, or approved by, other Commission departments or Community Institutions AFTER this application.

## 2. FORWARD BUDGET FORMS (FORMS B)

### 1. Overview table (form B1)

Only one table.

Proposal acronym										
Breakdown of Estimated Costs										
Partners		Eligible costs (€)					Non eligible Costs (€)	Total costs (€)	Requested grant to the budget	
n°	Acronym	Module 0	Module 1	Module 2	Module 3	TOTAL			(€)	%
Coordinator										
2										
3										
4										
5										
6										
7										
8										
9										
10										
11										
12										
13										
14										
15										
16										
17										
18										
19										
20										
21										
22										
23										
24										
25										
26										
27										
28										
29										
30										
Total (€)		- €	- €	- €	- €	- €	- €	- €	- €	#DIV/0!

2. Beneficiaries individual tables (form B2)

One table per beneficiary.

<b>Proposal acronym</b>					
<b>Beneficiary 1 - Coordinator</b>					
<b>EXPENDITURE</b>					
<b>Cost category</b>	<b>Module 0</b>	<b>Module 1</b>	<b>Module 2</b>	<b>Module 3</b>	<b>Total</b>
<b>Eligible Costs</b>					
Number of person-days (eligible)					0
Personnel costs (civil servants)					0 €
Personnel costs (other staff)					0 €
Personnel (total)	- €	- €	- €	- €	0 €
Sub-contracting					0 €
Travels and subsistence					0 €
Equipment					0 €
Consumables					0 €
Other specific costs					0 €
<b>Direct costs</b>	0 €	0 €	0 €	0 €	0 €
<b>Indirect costs</b>					0 €
<b>Total eligible costs</b>	0 €	0 €	0 €	0 €	0 €
<b>Non eligible Costs</b>					
Number of person-days (non eligible)					0
Personnel					0 €
Other non eligible costs					0 €
<b>Total non eligible costs</b>	0 €	0 €	0 €	0 €	0 €
<b>Total costs</b>	0 €	0 €	0 €	0 €	0 €
<b>REVENUE</b>					
<b>Revenue category</b>	<b>Module 0</b>	<b>Module 1</b>	<b>Module 2</b>	<b>Module 3</b>	<b>Total</b>
Partner's funding of personnel put at disposal (civil servants + non eligible)	0 €	0 €	0 €	0 €	0 €
Other partners' funding					0 €
Generated by the action					0 €
Requested contribution from EC					0 €
<b>Total revenue</b>					0 €
<b>CONTROLS</b>					
Subcontracting	#DIV/0!	#DIV/0!			
Costs of civil servants	#DIV/0!	#DIV/0!			
<b>Balance control</b>	0 €	OK			
<b>INFORMATION</b>					
Requested EC contribution	#DIV/0!				
Actual funding rate based on total project costs	#DIV/0!				
Indirect Costs	#DIV/0!	#DIV/0!			

### 3. FINANCIAL IDENTIFICATION FORMS (FORMS C)

Each applicant must fill in the appropriate financial identification form according its country of origin.

The following figure present a model of such form a specific form for each Member State is available at the following Internet address: [http://ec.europa.eu/budget/execution/ftiers\\_fr.htm](http://ec.europa.eu/budget/execution/ftiers_fr.htm).

**FINANCIAL IDENTIFICATION**  
UNITED KINGDOM

PRIVACY STATEMENT [http://europa.eu.int/comm/budget/execution/ftiers\\_fr.htm](http://europa.eu.int/comm/budget/execution/ftiers_fr.htm)

<b>ACCOUNT HOLDER</b>	
NAME	<input type="text"/>
ADDRESS	<input type="text"/>
TOWN/CITY	<input type="text"/> POSTCODE <input type="text"/>
COUNTRY	<input type="text"/> VAT NUMBER <input type="text"/>
CONTACT PERSON	<input type="text"/>
TELEPHONE	<input type="text"/> FAX <input type="text"/>
E - MAIL	<input type="text"/>

<b>BANK</b>	
BANK NAME	<input type="text"/>
BRANCH ADDRESS	<input type="text"/>
TOWN/CITY	<input type="text"/> POSTCODE <input type="text"/>
SORT CODE <input type="text"/> <input type="text"/> <input type="text"/>	ACCOUNT NUMBER <input type="text"/>
IBAN <input type="text"/> GB <input type="text"/>	

REMARKS :

<b>BANK STAMP + SIGNATURE OF BANK REPRESENTATIVE</b> (Both Obligatory)(1)	<b>DATE + SIGNATURE ACCOUNT HOLDER :</b> (Obligatory)

(1) The bank stamp and signature of its representative are not required if this form is accompanied by a copy of a bank statement. The signature of the account holder is obligatory in all cases.

XIX/013 - IDBQFT - FICH\_SIGN\_BA\_GB\_EN



#### 4. EXCLUSION FORM (FORM D)

The following form must be prepared and manually signed by each applicant.

The undersigned:

Complete Official Name of the candidate company or organisation :

Official legal status :

Legal address:

Registration number:

VAT number:

Name of the signatory of this form (representative legally authorised to represent the candidate vis-à-vis third parties and acting on behalf of the aforementioned company or organisation):

declares on his honour that the company or organisation that he represents:

- a) is not bankrupt or being wound up, is not having its affairs administered by the courts, has not entered into an arrangement with creditors, has not suspended business activities, is not the subject of proceedings concerning those matters, and is not in any analogous situation arising from a similar procedure provided for in national legislation or regulations;
- b) has not been convicted of an offence concerning professional conduct by a judgment which has the force of res judicata;
- c) has not been guilty of grave professional misconduct proven by any means which the contracting authorities can justify;
- d) has fulfilled its obligations relating to the payment of social security contributions or the payment of taxes in accordance with the legal provisions of the country in which it is established, or with those of the country of the contracting authority or those of the country where the contract is to be carried out;
- e) has not been the subject of a judgement which has the force of res judicata for fraud, corruption, involvement in a criminal organisation or any other illegal activity detrimental to the Communities' financial interests;
- f) has not been declared, following another procurement procedure or grant award procedure financed by the Community budget, to be in serious breach of contract for failure to comply with its contractual obligations.

The Commission shall accept as satisfactory evidence that the candidate:

- § is not in one of the situations described in a), b) or e) above, production of a recent extract from the judicial record or, failing that, a recent equivalent document issued by a judicial or administrative authority in the country of origin or provenance showing that those requirements are satisfied;
- § is not in the situation described in d) above, a recent certificate issued by the competent authority of the Member State concerned. Where no such document or certificate is issued by the country concerned, it may be replaced by a declaration under oath or, failing that, a solemn statement made by the candidate before a judicial or administrative authority, a notary or a qualified professional body in his country of origin or provenance.

Depending on the national legislation of the country in which the candidate is established, the documents referred to above shall relate to legal persons and/or natural persons including, where considered necessary by the Commission, company directors or any person with powers of representation, decision-making or control in relation to the candidate.

By returning this form, duly signed, the candidate undertakes to send to the Commission, within seven calendar days following the receipt of the Commission's request, these documents and any document the Commission considers necessary to perform its checks.

In addition, the undersigned declares on his honour:

- g) that on the date of submission of the proposal, the company or organisation he represents and the staff proposed for this action are not subject to a conflict of interests in the context of this call for proposals; he undertakes to inform the Commission without delay of any change to this situation after the date of submission of the proposal.
- h) that the information provided to the Commission within the context of this call for proposals is accurate, sincere and complete.

By signing this form, the undersigned acknowledges that he has been acquainted with the administrative and financial penalties specified in articles 114.2 and 114.3 of the financial regulation (OJEU L 248/1 of 16.9.2002) and in article 175 of the detailed rules for the implementation of the financial regulation (OJEU L 357/1 of 31.12.2002), which may be applied if one of the situations described in points a) to h) above arises.

Full name

Date

Signature

Stamp of the candidate company or organisation

## 5. CO-FINANCING STATEMENT FORM (FORM E)

The following form must be prepared and manually signed by each applicant.

Form E

### CO-FINANCING STATEMENT FORM

(to be filled in for each co-financing third party (company/association/organisation))

Information on the Proposal			
Proposal Full Name <sup>1</sup>			
<b>Legal Information (legal entity)</b>			
Organisation Legal Name <sup>8</sup>			
Short Name <sup>9</sup>			
Legal Status <sup>10</sup>		Legal Registration n°	
VAT number			
Business Area			
<b>Registered Address of the legal entity</b>			
PO Box <sup>3</sup>			
Street Name and Number			
Post Code <sup>4</sup>		Cedex <sup>5</sup>	
Town/City			
Country Name			
<b>Information concerning participation and involvement</b>			
Amount of funding which the company/organisation undertakes to provide for the operation (in Euro)			
How and when the co-financing will take place?			
Is the co-financing decision irrevocable? (if the answer is "No", please comment)			
Role and involvement in preparing the proposed project			
Role and involvement in implementing the proposed project			
<b>Administrative officer authorised to commit the company/organisation</b>			
Title (Dr, Prof., ...)			
Family Name			
First Name			
Position in company/organisation			
Telephone n° <sup>6</sup>		Fax n° <sup>6</sup>	
E-mail			
STAMP OF COMPANY/ORGANISATION			
DATE OF SIGNATURE		SIGNATURE OF AUTHORISED PERSON	

## 6. LEGAL ENTITY FORM

Each applicant must fill-in the Legal Entity form according to the status of its organisation (Individuals, Private Companies or Public Entities). These forms are available in all languages at the following Internet address: [http://ec.europa.eu/budget/execution/legal\\_entities\\_en.htm](http://ec.europa.eu/budget/execution/legal_entities_en.htm). The following figure gives an example of Legal Entity Form for Private Companies.

<div style="display: flex; justify-content: space-between;"> <div> <b>LEGAL ENTITIES</b>  <b>PRIVATE COMPANIES</b> </div> <div> <a href="http://europa.eu.int/comm/budget/execution/legal_entities_fr.htm">http://europa.eu.int/comm/budget/execution/legal_entities_fr.htm</a> </div> </div>	
<b>TYPE OF COMPANY</b>	<div style="border: 1px solid black; height: 1.2em; width: 100%;"></div>
<b>NGO</b>	YES <input type="checkbox"/> NO <input type="checkbox"/> (Non Gouvernemental Organisation)
<b>NAME(S)</b>	<div style="border: 1px solid black; height: 1.2em; width: 100%;"></div> <div style="border: 1px solid black; height: 1.2em; width: 100%;"></div> <div style="border: 1px solid black; height: 1.2em; width: 100%;"></div> <div style="border: 1px solid black; height: 1.2em; width: 100%;"></div>
<b>ABBREVIATION</b>	<div style="border: 1px solid black; height: 1.2em; width: 100%;"></div>
<b>ADDRESS OF THE HEAD OFFICE</b>	<div style="border: 1px solid black; height: 1.2em; width: 100%;"></div> <div style="border: 1px solid black; height: 1.2em; width: 100%;"></div> <div style="border: 1px solid black; height: 1.2em; width: 100%;"></div>
<b>POSTAL CODE</b>	<div style="border: 1px solid black; height: 1.2em; width: 100%;"></div>
<b>CITY</b>	<div style="border: 1px solid black; height: 1.2em; width: 100%;"></div>
<b>COUNTRY</b>	<div style="border: 1px solid black; height: 1.2em; width: 100%;"></div>
<b>VAT</b>	<div style="border: 1px solid black; height: 1.2em; width: 100%;"></div>
<b>PLACE OF REGISTRATION</b>	<div style="border: 1px solid black; height: 1.2em; width: 100%;"></div>
<b>DATE OF REGISTRATION</b>	<div style="display: flex; justify-content: space-around;"> <div style="border: 1px solid black; padding: 2px;">DD</div> <div style="border: 1px solid black; padding: 2px;">MM</div> <div style="border: 1px solid black; padding: 2px;">YYYY</div> </div>
<b>REGISTRATION NR</b>	<div style="border: 1px solid black; height: 1.2em; width: 100%;"></div>
<b>PHONE</b>	<div style="border: 1px solid black; height: 1.2em; width: 100%;"></div>
<b>FAX</b>	<div style="border: 1px solid black; height: 1.2em; width: 100%;"></div>
<b>E-MAIL</b>	<div style="border: 1px solid black; height: 1.2em; width: 100%;"></div>

**THIS "LEGAL ENTITY" FORM SHOULD BE FILLED IN AND RETURNED TOGETHER WITH:**

- \* A COPY OF ANY OFFICIAL DOCUMENT (E.G. OFFICIAL GAZETTE, REGISTER OF COMPANIES, ETC.) SHOWING THE CONTRACTOR'S NAME AND ADDRESS AND THE REGISTRATION NUMBER GIVEN TO IT BY THE NATIONAL AUTHORITIES;
- \* A COPY OF THE VAT REGISTRATION DOCUMENT IF APPLICABLE AND IF THE VAT NUMBER DOES NOT APPEAR ON THE OFFICIAL DOCUMENT REFERRED TO ABOVE.

## **7.    PROOF OF REGISTRATION AND MANAGEMENT BOARD MEMBER**

Each applicant must provide the following documents:

- Official registration certificate;
- Extract of Articles of association/Statutes;
- List of directors/executive board members (names and forenames, titles or positions in the applicant host organisation).

## **Annex 2 - Proposal Part B: full proposal description**

In addition to the compulsory Submission Set, the proposal must include information concerning financial & technical capacity of the consortium members and a detailed description of the work programme and related costs.

### **8. INFORMATION CONCERNING FINANCIAL & TECHNICAL CAPACITY**

This part will include all relevant information to comply specifically with the provisions described under the section V “Evaluation Procedure”, sub-section 2 “Selection”.

- § Annual audited accounts (i.e. profit and loss accounts; balance sheet) for the 2 last financial years (for private organisations)
- § Justification of technical capacity of each consortium member to carry over its activities in the project, including a summary of its activities in the project and a list of relevant activities carried out over the last 3 years

### **9. WORK PROGRAMME INCLUDING COSTS JUSTIFICATION**

The ‘Work Programme’ describes the strategy proposed to achieve the objectives set by the call, the actions planned during the 3 years of the project and the estimated budget. If a grant is awarded, the ‘Work Programme’ will become the annex 1 of the first ‘Grant Agreement’

This part will include the four following sections:

#### **9.1. Project objectives**

This section should describe the objectives of the project in a measurable and verifiable form. Objectives should be specific and timed (e.g. by which date/milestone the objectives will be achieved). The progress of the project work will be measured against these criteria in later reviews and assessments.

#### **9.2. Relevance of the proposed activities to the objectives of the call and justification**

This section describes how the project will cover all objectives set by the call.

It should specify the coverage foreseen for each of the 3 first modules (awareness and enforcement, sectoral needs and IPR-Helpdesk) and the way to achieve it.

It should describe how the project will integrate the different actions and services to achieve the European dimension of the project. Describe the added-value in carrying out the work at a European level.

It should also describe how the proposed activities and services will complement existing ones and use existing material.

### 9.3. General description and milestones

The general introduction should describe the general structure of the work plan, and explain how the work plan will lead the participants to achieve the objectives of the project; it should also clearly identify and describe the major milestones during the course of the project.

Each milestone should be described in terms of expected results and achievements, ideally with a brief description of what will be 'delivered'.

### 9.4. Detailed description of activities

This section describes the project approach and provides in detail the work planned to achieve the objectives of the project for the full duration of the project.

An introduction should explain the structure of the work plan and how the plan will lead the participants to achieve the objectives aimed for by that time. It should also identify significant risks, and contingency plans for these. It should include a graphic representation of the work packages and/or tasks showing their interdependencies e.g. PERT chart or similar.

The plan must be broken down into work packages (WP) which should follow the logical phases of the project and the structure in 4 modules. The planning should be sufficiently detailed to justify the proposed effort and allow progress monitoring by the Commission. The number of work packages should be appropriate for the complexity of work and the overall value of the project. Large work packages make the job of monitoring progress difficult - they should be avoided.

The following information should be provided for each WP: WP leader and other participants, start and end, effort planned per consortium member, inputs required, objectives, tasks and contributions of each consortium member, deliverables.

The effort identified must correspond to the eligible personnel costs. In case effort corresponding to non eligible personnel costs (see below § 11) is planned, it should be indicated separately (*between brackets*) in order to give a complete overview of the workload planned for each task.

Work packages must describe the tasks that will be subcontracted, if any. Subcontracts must be summarized at the end of this chapter.

### 9.5. Planning and timetable

Include a graphic representation e.g. GANNT chart or similar of the planning, resources and timing of the work packages for the whole duration of the project. Timing should be relative, expressed in months (e.g. project month 3, project month 17 etc.). Month 1 is the operative commencement date of your contract.

### 9.6. Deliverables list

List of deliverables indicating, deliverable title, work package reference number, participant leading production of deliverable, nature of deliverable, date to be delivered.

Each significant element of the project should conclude with a “deliverable” which is the concrete output and evidence of the work. Lengthy or complex work packages may require the production of several deliverables over the duration of the work package.

A deliverable may be a report, or an action such as training, the holding of a conference, the publication of a book, etc. Where a deliverable is not a report, but is instead some form of action, nonetheless some written reporting is helpful to act as a record of the work (e.g. for a conference, a collection of papers presented).

## 9.7. Project management and dissemination plans

This section describes the overall project management. It should present, in a convincing way, the main management structures and processes put in place to ensure a successful implementation of the project. In particular, it should describe operational reporting, decision-making mechanisms, project performance follow-up (projects quality indicators).

Management effort should be proportional to the size of the consortium. Difficulties in managing large consortia should not be underestimated.

## 9.8. Performance monitoring and expected Impact

Describe the short and long term impact the project is expected to have. Describe the dissemination actions foreseen specially towards areas not directly covered by the project. Describe the indicators you intend to use to monitor the project performance and measure its impact (project impact indicators).

## 9.9. Sustainability

Please distinguish between the following aspects of sustainability:

- § *financial sustainability* (How will the activities be financed after the EC funding ends?)
- § *institutional sustainability* (Will structures allowing the activities to continue be in place at the end of the present project? Will there be local “ownership” of project outcomes?)
- § *sustainability at the policy level (where applicable)* (What will be the structural impact of the project – e.g. will it lead to improved legislation, codes of conduct, methods, etc?)

## 9.10. Planned effort

The following table summarize the number of person-days per WP and consortium member identified in the work package description above.

The effort reported in the table must correspond to the eligible personnel costs. In case effort corresponding to non eligible personnel costs (see below § 11) is planned, it should be indicated separately (*between brackets*) in order to give a complete overview of the workload planned for each task.



Partners		Person-days							
		WP1		WP2		...		Total	
n°	Acronym	Eligible	Non eligible	Eligible	Non eligible	Eligible	Non eligible	Eligible	Non eligible
1									
2									
3									
...									
Total									

### 9.11. Budget overview (include a copy of the Form B/1)

All grant applications must be supported by an estimated budget showing all the costs and revenue that the applicant considers necessary to carry out the project.

This section will provide an overview of the project budget (form B1) and a detailed breakdown of each consortium member's expenditures and revenues (form B2). It will also include a justification of the major costs items.

The **Estimated budget** will be constituted of the following tables:

- § **A table per consortium member**, indicating, for all modules, the estimated budget for the whole duration of the action, broken down category of costs as defined in the financial provisions of the Grant Agreement (Article I.4.2. and II.14) and the revenues;
- § **A summary table**, giving, for all consortium members the estimated budget and requested contribution per module and the revenues for the whole duration of the action;
- § The budget tables will comply with the format of the Submission Set Forms B for which a model Excel spreadsheet is at the disposal of applicants on the Call website [http://ec.europa.eu/enterprise/funding/grants/themes\\_2007/calls\\_prop\\_2007.htm](http://ec.europa.eu/enterprise/funding/grants/themes_2007/calls_prop_2007.htm)

The forward budget must:

- § be in balance, i.e. total revenue and total expenditure must be equal;
- § be expressed in Euro;
- § be accompanied by the calculations and specifications used in drawing it up.

The total amount must be expressed with maximum 2 decimals (e.g. 112.33€)

The requirement to express the budget in Euro is due to the fact that any grant awarded by the Commission will be in Euro. Applicant organisations in countries where the Euro is not national currency are asked to use the official EU exchange rates that can be found on the following website:

<http://europa.eu.int/comm/budget/inforeuro/index.cfm?fuseaction=home&SearchField=&Period=2005-5&Delim=,&Language=en>

If costs have been incurred in a currency other than the Euro, they should be converted to Euro using the official exchange rate of the month of submitting the report.

For selected projects, the final payment will be based on the final financial report at the end of the project and supporting documents.

Please note that flat rate amounts or lump sums must be avoided. The Commission reserves the right not to consider unexplained costs items in the amount granted.

The following rules are to be applied:

- § **At beneficiary level**, the subcontracting costs must not exceed 20% of the sum of all other eligible costs;
- § **At project level**, the contribution requested from the Commission must not exceed 80% of the total eligible costs.

The **Management level description of resources and budget** will provide a short description and justification of the resources which are needed to carry out the project (personnel, equipment, ...) for each of the contractors. The description should show that the project would mobilise the resources necessary to carry out the work. It should show how the resources will be integrated and used to form a coherent project within the overall financial plan.

Please note that flat amounts or lump sums must be avoided. The Commission reserves the right not to consider unexplained costs items in the amount granted.

Information about costs and revenues provided in Annex 3 should be read carefully.

## Annex 3 - Information about Costs and Revenue

### COSTS

In order to be eligible under this call for proposals, costs must:

- ⌋ be necessary for the implementation of the action/project, be included in the estimated budget attached to the agreement, necessary and reasonable for the completion of the action/project, and consistent with the principles of sound financial management, in particular in terms of value for money and cost-effectiveness;
- ⌋ be incurred during the lifetime of the action/project as defined in the agreement;
- ⌋ actually be incurred by the beneficiary, be recorded in the beneficiary's accounts in accordance with the applicable accounting principles, and be declared in accordance with the requirements of the applicable tax and social legislation;
- ⌋ be identifiable and verifiable and be backed up by original supporting documents.

The beneficiary's internal accounting and auditing procedures must permit direct reconciliation of the costs and revenue declared in respect of the action/project with the corresponding accounting statements and supporting documents.

#### Eligible direct costs:

The eligible direct costs for the action/project are those costs which, with due regard to the conditions of eligibility set out above, are identifiable as specific costs directly linked to the performance of the action and which can therefore be booked to it directly. In particular, the following direct costs are eligible, provided that they satisfy the criteria previously set out:

##### 1. the **cost of staff assigned** to the action/project,

These costs include actual salaries plus social security charges and other statutory costs included in the remuneration of the staff assigned to the action/project, provided that this cost does not exceed the average rates corresponding to the usual remuneration policy of the beneficiary or, where applicable, its partners.

This cost must be actual cost incurred by the beneficiaries, and staff cost of other organisations is eligible only if it is paid directly or reimbursed by the beneficiaries. The amount per day will be calculated by dividing the yearly salary by 220 working days. Thus, staff working full-time will be considered for accounting purposes to be working 220 days per year, half-time staff 110 days per year.

In the case of **public administrations** it should be ensured that, according to the financial rules applicable to all grants, the award of a grant does not lead to **double financing from public sources** of any of the co-financed activities. Particular attention must be paid to the eligibility of the cost of their staff.

#### *Civil servants*

In the framework of the present call for proposals the costs for national civil servants working within the applicant organisation **may be considered as eligible** if it is shown that the public

body in question will, as part of the EU financed project, carry out activities additional to its routine activities.

In such cases, the cost of national civil servants paid from the public budget can be considered as part of the co-financing provided by the applicant organisation and, where relevant, by its partner organisations. Applicants will have to add to their Cost claim a **declaration that the permanent staff has been carrying out activities additional to its routine activities** and the relevant time sheets undersigned by the staff and the immediate superior.

**The costs of the civil servants of any public organisation should not exceed the amount of co-financing provided by that organisation.**

The costs of national civil servants carrying out activities corresponding to its routine activities or to core activities of his/her organisation are **not eligible**.

#### *Temporary staff*

However, the cost of temporary staff specially recruited for the action for which the grant is awarded, can be considered eligible costs for the action giving rise to Community financing

## 2. Travel and subsistence costs

**Travel and subsistence allowances** for staff taking part in the action/project (for meetings, European conferences, etc.) are eligible, provided that they are in line with the usual practices of the beneficiaries on travel costs or do not exceed the scales approved annually by the Commission for mission costs for Commission officials (see the following address [http://www.cc.cec/pers\\_admin/missions/guide\\_en.pdf](http://www.cc.cec/pers_admin/missions/guide_en.pdf)).

## 3. Purchase cost of equipment

**Purchase cost of equipment** (new or second-hand) are eligible, provided that only equipment purchased for the purposes of carrying out the action are charged as direct costs.

These costs are eligible provided they are written off in accordance with the tax and accounting rules applicable to the applicants organisations and generally accepted for items of the same kind.

Moreover, only the portion of the equipment's depreciation corresponding to the duration of the project and the rate of actual use for the purposes of the project can be taken into account by the Commission, except where a different arrangement is justified by the nature and/or context of the equipment's use.

Items purchased prior to the action, even if they are used for the purposes of the action, cannot be considered eligible direct costs of the action (the use of existing equipment and the beneficiary's installations is partly covered via the indirect cost).

As regards depreciation policy, in choosing their depreciation rates, applicants must comply with experience and practice in their sector of activity, the general tax rules and the degree and conditions of use of the items concerned. And when the period of depreciation has been chosen, it must be the same for any given category of goods used in similar conditions.

## 4. Costs of consumables and supplies

**Costs of consumables and supplies** are eligible, provided that they are identifiable and assigned to the action/project;

Only the costs of those items which are directly linked to the performance of the operation, identifiable and assigned to the action shall be considered under this heading. Please note that the fact that the costs are specific to the action is key factor justifying direct cover of these costs (for ex. the costs of purchasing promotional material for the operation which the beneficiaries have to promote).

#### 5. Costs entailed by other contracts (subcontracting)

**Costs entailed by other contracts awarded by the beneficiaries** for the purposes of carrying out the action/project are eligible, provided that the conditions laid down in Article II.9 of the agreement are met. These costs may include:

- Costs arising directly from requirements linked to the performance of the action/project (dissemination of information, specific evaluation of the action/project, audits, translations, reproduction, etc.), including, where applicable, the costs of any financial services (especially the cost of financial guarantees).
- Subcontracting costs: this heading can cover the costs of subcontracting or provision of services as part of the action. In other words, these are all other contracts that the beneficiaries would have to conclude for the purposes of carrying out the action.

Only a limited part of the project may be subcontracted up to 20 % of the eligible costs.

Where implementation of the assisted actions requires the award of procurement contracts, beneficiaries of grants shall award the contract to the tender offering best value for money, that is to say, to the tender offering the best price quality ratio, while taking care to avoid any conflict of interests and in full compliance with rules laid down in Article I.12.2 of the Grant Agreement (see Annex 4)

The Commission must be informed about subcontracting: information is to be supplied by the beneficiaries either in the grant application if known in advance (subcontracted tasks to be described in Annex I of the Grant Agreement) or by ad hoc means while the action is under way, in which case the Commission must then give its authorisation.

Subcontracting does not limit the responsibilities of beneficiaries

#### Eligible indirect costs

Indirect costs (or “overheads”) are defined as costs which are not identifiable as specific costs directly linked to performance of the action which can be booked to it direct, but which can be identified and justified by the beneficiaries using their accounting system as having been incurred in connection with the eligible direct costs for the action. They may not include any eligible direct costs.

Overheads comprise costs connected with infrastructures and the general operation of the organisation such as hiring or depreciation of buildings and plant, water/gas/electricity, maintenance, insurance, supplies and petty office equipment, communication and connection costs, postage, etc. and costs connected with horizontal services such as administrative and financial management, human resources, training, legal advice, documentation, etc.

Indirect costs may not include costs entered under another budget heading.

A **flat-rate** amount, not exceeding 7% of the eligible direct costs of the action, is eligible under indirect costs, representing the beneficiary’s general administrative costs which can be regarded as chargeable to the action/project.

Where the beneficiary has a cost accounting system enabling him to book some of his overheads to the action in question by means of distribution keys, these costs can be covered on a **real basis**. In practice a certain proportion can either be included directly in other direct costs (in most cases by booking to staff costs) or they are taken over as indirect costs which can be identified and substantiated in the accounts. Applicants must provide a declaration on honour to proof the use of this system, and must indicate the proportion that he foresees to spent on overheads

Whereas the above possibility is provided for, you are urged to apply only the 7% flat-rate cover of overheads as this makes management easier (there is no need to check the costs).

Indirect costs are not eligible where the beneficiary already receives an operating grant from the European Commission.

### Ineligible costs

The following costs shall not be considered eligible:

- Ÿ return on capital;
- Ÿ debt and debt service charges;
- Ÿ provisions for losses or potential future liabilities;
- Ÿ interest owed;
- Ÿ doubtful debts;
- Ÿ exchange losses;
- Ÿ VAT, unless the beneficiary can show that he is unable to recover it;
- Ÿ costs declared by the beneficiary and covered by another action or work programme receiving a Community grant,
- Ÿ excessive or reckless expenditure
- Ÿ participation of any staff of European Institutions (attendance or speeches at conferences, seminars, etc)
- Ÿ expenses for travel to or from countries other than those participating in the project/programme, unless explicit prior authorisation is granted by the Commission
- Ÿ contributions in kind.

The Commission may accept **co-financing in kind**, if considered necessary or appropriate. In such cases the value of such contributions cannot cover all the necessary co-financing.

These are contributions provided to applicants by a third party free of charge, such as voluntary work or the use of equipment. Contributions of real estate (such as the use of a building or of premises) are excluded. These contributions may be included in the financing plan for the action (for the same amount in part B1 and part B2) provided the costs are actually borne and entered in the accounts of the third parties who bear the costs or that they are generally accepted on the market in question for equivalent types of service.

For further information see article II.14 of the draft Grant Agreement (see Annex 4).

## REVENUE

The income side of the forward budget should show:

- § the direct monetary contribution from the applicants and, being the case, its contribution from its own resources (e.g. cost of personnel put at disposal,... );
- § the direct monetary contribution from any other fund providers and/or, exceptionally, other kinds of contribution (please specify, in such case and with a breakdown, the direct monetary contribution and other kinds of contribution);

- § any income generated by the project (e.g. the yield from sales of publications during the operation, or the fees charged to participants attending a conference);
- § the grant sought from the Commission, with a breakdown where several applications have been made to the Commission;
- § the estimated bank interest (if any) generated by the grant requested over the period of implementation of the operation

## **Annex 4 - Draft Grant Agreement**

The draft Grant Agreement can be downloaded from the following Internet Address:  
[http://ec.europa.eu/enterprise/funding/grants/themes\\_2007/calls\\_prop\\_2007.htm](http://ec.europa.eu/enterprise/funding/grants/themes_2007/calls_prop_2007.htm)



## Annex 5 - Background information on current IPR Helpdesk Project

The IPR-Helpdesk started operating as a pilot action in September 1998 to provide the European research community with assistance and information on IPR issues. Its main activities related to Community rules for dissemination and use of research results resulting from EU-funded RTD Projects. The pilot phase ended in August 2001 and was followed by two other projects.

The current 3-years contract was granted on 1/1/2005 as an FP6 Specific Support Action for a total grant of 4 M€ The consortium involves 3 members under the coordination of the University of Alicante. The overall objectives remained the same (support to Framework Program beneficiaries on IPR issues) with an additional special focus on contributing to raise SME awareness about IPR.

The current IPR Helpdesk provides the following services:

- (1) **Website** [www.IPR-helpdesk.org](http://www.IPR-helpdesk.org) providing **documentation** on IPR issues (general or Framework Program related) under the format of short and easy to read summaries (130 published until now, 230 downloads/day) and FAQ (125 until now, 120 downloads/day) in 6 languages as well as reference to general legislation.
- (2) **Helpline** operating in 6 languages via e-mail providing within maximum 3 days first line answer on specific questions (for which no direct answers have been found in the documentation and FAQ published on the website) to potential and actual Framework Program beneficiaries (average of 8 questions/day). A 100% quality check is performed on the replies to ensure high quality standards both in terms of legal content and clarity/user friendliness of the replies.
- (3) Tailored **training sessions** (1 day in average) for multipliers like NCP, IRC, EIC, regional R&D and Innovation agencies (more than 60 training sessions delivered during the 2 first project years).
- (4) **A daily news service** delivered by e-mail to more than 11.000 registered users and a bi-monthly **news letter**
- (5) The **maintenance** of the [www.InnoAccess.eu](http://www.InnoAccess.eu) website of the NPO network

## Annex 6 - Check list

*Before sending in the application, please check the following:*

- Q All the sections of the proposal (**Part A Submission Set** (Forms A, B, C, D, E) and **Part B Full proposal description**) have been completed, where appropriate in accordance with the guide for submission.
- Q The **eligibility criteria** for the applicants and for the action laid down in the call for proposals or equivalent have been met.
- Q Any rules relating to the **period for carrying out** the action mentioned in the call for proposals or equivalent have been complied with.
- Q The **budget** for the action has been drawn up in euros and is exclusive of VAT (failing which, reasons must be given for non-recovery of VAT), has costs and revenue in balance and contains a detailed statement of all estimated eligible costs.
- Q The **co-financing statement** form (Form E in the Submission Set) has been duly filled in and signed by the applicants.
- Q The **grant requested** complies with the ceilings laid down in the call for proposals or equivalent in relation to the total estimated cost of the action / work programme and/or the eligible costs proposed.
- Q The application has been made within the **deadline** for submitting proposals as laid down in the call for proposals (point 8) and has been dated and signed by the authorised representative.
- Q **References/qualifications** in the relevant field have been specified and/or produced.

The following **documents** have been attached to the proposal:

- Q **Description** and detailed **timetable** of the operation;
- Q **Annual accounts** (i.e. profit and loss accounts; balance sheet Form A/5) for the last financial year;
- Q If applicable, **Auditor's reports** on the accounts of the previous year, issued by an approved auditing firm;
- Q **Curriculum vitae** of main persons to be performing work in connection with the operation;
- Q **Legal entity** forms duly filled in and signed
- Q **Official registration certificates**;
- Q **Articles of association/Statutes**;
- Q **Financial identification** form duly filled in and signed
- Q List of **directors/executive board members** (names and forenames, titles or positions in the applicant organisations);
- Q If applicable, Annual report for the previous year;