

# ECOManage Integrated Ecological Coastal Zone Management System

## CONSORTIUM AGREEMENT



Universidad de Chile



**LAST VERSION - 10/2/2005**

## **References:**

1. *Contract* signed by the *Commission* on 30 November 2004.
2. *Contract*, Annex I,  
Work Plan (Description of Work).
3. *Contract*, Annex II, General Conditions,  
(annex-ii-general-conditions\_en.pdf)  
approved by the *Commission* on 23 October 2003  
Decision C(2003)3834 dated 23.10.03
4. *Contract*, Annex IV - Form A -  
consent of contractors to accede to the *contract*,  
approved by the *Commission* on 23 October 2003  
Decision C(2003)3834 dated 23.10.03
5. *Contract*, Annex V - Form B -  
accession of new legal entities to the *contract*,  
approved by the *Commission* on 23 October 2003  
Decision C(2003)3834 dated 23.10.03
6. *Contract*, Annex VI - Form C -  
financial statement per instrument,  
approved by the *Commission* on 23 October 2003-  
Decision C(2003)3834 dated 23.10.03

**List of Contents**

- References: .....2**
- List of Contents .....3**
- Section 1: Definitions .....7**
  - 1.1 *Contract* Definitions ..... 7
  - 1.2 Additional Definitions ..... 7
  - 1.3 Further Understandings ..... 8
- Section 2: Purpose, Nature and Duration of the Agreement .....8**
  - 2.1 Purpose ..... 8
  - 2.2 Nature of the Agreement ..... 8
  - 2.3 Duration ..... 9
- Section 3: Project Organisation and Management Structure .....9**
  - 3.1 General Structure ..... 9
  - 3.2 The *Parties*’ Representatives ..... 9
  - 3.3 *European Commission* Representative ..... 9
- Section 4: Responsibilities of each Party .....10**
  - 4.1 General Responsibilities ..... 10
  - 4.2 Responsibilities towards the Co-ordinator and the Steering Committee ..... 10
  - 4.3 Obligations of the *Parties* towards each other ..... 10
- Section 5: Responsibilities and Authority .....10**
  - 5.1 Establishment of the Work Plan ..... 10
  - 5.2 *Steering Committee* ..... 10
    - 5.2.1 Responsibilities .....10
    - 5.2.2 Decisions .....11
    - 5.2.3 Panels .....11
    - 5.2.4 Meetings .....11
    - 5.2.5 Rules of Voting .....12
    - 5.2.6 Minutes of Meetings .....12
    - 5.2.7 Members .....12
  - 5.3 Co-ordinator ..... 12
    - 5.3.1 Rights and Obligations .....12
    - 5.3.2 Responsibilities of the Co-ordinator .....12
    - 5.3.3 No power of Representation .....12
    - 5.3.4 Submitting Deliverables .....12
    - 5.3.5 Specific Authorisation of the Co-ordinator .....13
  - 5.4 Local Co-ordinators .....13
    - 5.4.1 Data Campaigns .....13
    - 5.4.2 Workshops and other meetings .....13
    - 5.4.3 Stakeholders .....13
    - 5.4.4 No power of Representation .....13
    - 5.4.5 Local co-ordinators list .....13
  - 5.5 Workpackage Leader .....13
- Section 6: Costs - Payments .....14**
  - 6.1 General Principles ..... 14
  - 6.2 Payments ..... 14
  - 6.3 Financial planning and reporting data ..... 14
- Section 7: Confidentiality .....14**
  - 7.1 Principles ..... 14

7.2 Obligations .....	15
7.3 Communication of Information .....	15
7.4 Confidentiality towards third parties .....	15
<b>Section 8: Liabilities .....</b>	<b>15</b>
8.1 Liability of the <i>Parties</i> towards each other .....	15
8.2 Indemnification .....	16
8.2.1 Indemnification in the event of claims between the Parties, without <i>Commission</i> claims .....	16
8.2.2 Indemnification by the Defaulting <i>Party</i> in the event of claims from the <i>Commission</i> .....	16
8.3 Liability towards Third Parties .....	16
8.4 Third Parties .....	16
8.5 Defaults and Remedies .....	16
8.5.1 Principles .....	16
8.5.2 Procedures and Consequences .....	17
<b>Section 9: Force Majeure .....</b>	<b>17</b>
<b>Section 10: Intellectual Property Rights .....</b>	<b>17</b>
10.1 General Provisions .....	17
10.2 Protection of <i>Knowledge</i> .....	17
10.2.1 Joint Invention .....	17
10.2.2 Application for a Patent .....	18
10.3 Exclusion of <i>Access-rights</i> to <i>Pre-existing Know-How</i> .....	18
10.4 <i>Access-rights</i> .....	18
10.4.1 General Principles .....	18
10.4.2 <i>Access-rights</i> for carrying out the <i>Project</i> .....	19
10.4.3 <i>Access-rights</i> for <i>Use</i> .....	19
10.4.4 <i>Access-rights</i> for using <i>Knowledge</i> in subsequent Research Activities .....	19
10.4.5 <i>Access-rights</i> for Affiliates .....	20
10.4.6 <i>Access-rights</i> for Parties joining or leaving the <i>Project</i> .....	20
10.4.7 <i>Access-rights</i> for Third Parties .....	20
10.4.8 Specific Provisions for <i>Access-rights</i> to Software .....	21
<b>Section 11: Standards .....</b>	<b>22</b>
<b>Section 12: Publications, Press Releases and Reports to the <i>Commission</i> .....</b>	<b>22</b>
12.1 Publications of own <i>Knowledge</i> .....	22
12.2 Other Publications .....	22
12.3 Disclaimer and marking of confidential information provided to the <i>Commission</i> .....	23
12.4 Publication to qualify for a degree .....	23
<b>Section 13: No Partnership or Agency .....</b>	<b>23</b>
<b>Section 14: Assignment .....</b>	<b>23</b>
<b>Section 15: Accession and Termination .....</b>	<b>24</b>
15.1 Accession to the <i>Contract</i> .....	24
15.2 Rules for Termination .....	24
15.3 Termination by the <i>Commission</i> .....	24
15.4 Termination due to Bankruptcy or Liquidation .....	24
15.5 Continuance of Regulations .....	24
15.6 Continuance of Sublicenses .....	24
<b>Section 16: Settlement of Disputes .....</b>	<b>25</b>
16.1 Arbitration .....	25
<b>Section 17: Language .....</b>	<b>25</b>
<b>Section 18: Notices .....</b>	<b>25</b>
<b>Section 19: Applicable Law .....</b>	<b>25</b>

**Section 20: Entire Agreement – Amendments / Severability .....25**  
**Section 21: Accession to the *Contract*.....25**  
**Section 22: Counterparts.....26**  
**SIGNATURES .....26**  
**ANNEX A Recipients for Notices .....36**  
**ANNEX B Bank Accounts .....39**  
**ANNEX C Exclusion of *Pre-existing Know-how* from Right to Access .....41**  
**(Annex II.35.1.d) .....41**  
**ANNEX D Accession Forms (Forms A and B) .....42**  
**ANNEX E Steering Committee Members.....43**  
**ANNEX F Local Co-ordinators List .....46**

This CONSORTIUM AGREEMENT is made on November 30<sup>th</sup> 2004

**BETWEEN**

1. Instituto Superior Técnico (CO-ORDINATOR)
2. HIDROMOD, Modelação em Engenharia, Lda.
3. Noctiluca Marien-wetenschappelijk adviesbureau
4. Laboratório Nacional de Engenharia Civil
5. UNIVERSITY OF TRIESTE
6. Instituto Oceanográfico da Universidade de São Paulo
7. Instituto Superior de Educação Santa Cecília – Universidade Santa Cecília
8. Instituto Argentino de Oceanografía
9. Universidad de Chile
10. Centro de Ecología Aplicada Ltda.

hereinafter, jointly or individually, referred to as "*Parties*" or "*Party*"

relating to the Project entitled

*Integrated Ecological Coastal Zone Management System*

in short

**ECOManage**

**WHEREAS:**

- (A) The *Parties*, having considerable experience in the field concerned, have submitted a *Proposal for a Specific Targeted Research Project* entitled *Integrated Ecological Coastal Zone Management System* (in the *Specific measures in support of international co-operation* Activity area of the *Integrating and Strengthening the European Research Area* Specific programme) to the *Commission* on September 11<sup>th</sup> 2003, as part of the Sixth Research and Technological Development Framework Programme
- (B) The *Parties* wish to specify or supplement, between themselves, the provisions of the *Contract*

NOW THEREFORE IT IS HEREBY AGREED AS FOLLOWS:

## Section 1: Definitions

### 1.1 Contract Definitions

Words defined in the *Contract* or in the *Contract*, Annex II.1 have the same meaning in this *Consortium Agreement* and appear in italics.

### 1.2 Additional Definitions

“**Affiliate**” of a *Party* means:

- (a) any legal entity – which deals with issues, provides services or products that constitute the goal(s), content, which are part of the objectives of the *Project* - directly or indirectly controlling, controlled by, or under common control of a *Party*, for so long as such control lasts and provided that the said Affiliate or the ultimate controlling entity is incorporated and resident in, and subject to the law of, a Member State of the Community, or an *Associated State*.

Control of an entity shall exist through the direct or indirect:

- control of fifty (50) percent or more of the nominal value of the issued equity share capital of the entity or of fifty (50) percent or more of the equity's shares entitling the holders to vote for the election of directors or persons performing similar functions, or
  - right by any other means to elect or appoint directors of the entity (or persons performing similar functions).
- (b) any other organisation specified in the agreed schedule to this *Consortium Agreement* to be an *Affiliate* of the *Party*, subject to consent of the other *Parties*, only to be withheld on the basis of legitimate interest.

“**Allocated Work**” shall mean the research work and the related activities and services allocated to any of the *Parties* in accordance with *Contract*, Annex I.

“**Application Programming Interface**” means an interface or other means provided for by a Software *application*, component or library for the purpose of interfacing or interaction of other Software with such application, component or library including, but not limited to, data types and structures, constant and macro definitions, function and procedure definitions including their name, parameters, parameter count and parameter data type(s) and any data type of function results thereof, as set forth in header files, specifications and related documentation.

“**Compensating Party**” means a *Party*, other than the “Defaulting Party”, from whom the *Commission* claims reimbursement due to financial collective responsibility in accordance with *Contract*, Annex II.18.

“**Contract**” means the Contract No. **003715** (including its Annexes) for the undertaking by the *Parties* of the *Project*. *Contract* also means, as applicable, any *Contract* amendment.

“**Defaulting Party**” means a *Party* breaching its obligations of the *Contract* and of this *Consortium Agreement*.

“**Deliverables**” means reports, including progress reports and certified audit reports, as well as Hardware and Software referred to in the *Contract* and in this *Consortium Agreement* that have to be delivered to the *Co-ordinator* and/or the *Commission*.

“**Limited Source Code Access**” means

- (a) access to the Object Code; and,
- (b) where normal use of such an Object Code requires an API, access to the Object Code and such an API; and,
- (c) if neither (a) nor (b) is available, access to the Source Code.

“**Object Code**” means software in machine-readable, compiled and/or executable form including, but not limited to, byte code form and in form of machine-readable libraries used for linking procedures and functions to other software.

“**Party**” or “**Parties**” means a party or the parties to this *Consortium Agreement*.

**"Project"** means all the work referred to in Annex I of the *Contract*.

**"Project Share"** means for each *Party* that *Party's* share of the total cost of the *Project* as shown in the *Contract*, Annex I.

**"Proposal"** means the proposal for the *Project* submitted by the *Parties* to the *Commission*, including any amendments.

**"Sites"** means the three places where the methodologies of the *Project* will be tested: Santos (Brazil), Bahia Blanca (Argentina) and Fiordo Aisén (Chile), as described in *Contract*, Annex I.

**"Software"** means software programmes being sequences of instructions to carry out a process in, or convertible into, a form executable by a computer and fixed in any tangible medium of expression.

For the avoidance of doubt, Software may be *Knowledge* or *Pre-existing Know-how*.

**"Software Documentation"** means software information, being technical information used or, useful in, or relating to the design, development, use or maintenance of any version of a software programme.

**"Source Code"** means software in human readable form normally used to make modifications to it including, but not limited to, comments and procedural code such as job control language and scripts to control compilation and installation.

**"Source Code Access"** does not include any right to receive Source Code ported to a certain hardware platform, but only as available from the *Party* granting the Source Code Access.

**"Stakeholder"** means local organizations that have a significant social, economic or environmental connection to each *Site*.

**"Steering Committee"** means the project management decision-making body established in accordance with Section 5.2 and shall comprise representatives of all *Parties*.

**"Workpackage"** shall mean the research work and the related activities and services in accordance with *Contract*, Annex I.

### 1.3 Further Understandings

In order to clarify certain ambiguities appearing in the provisions of the *Contract*, the *Parties* have agreed on the following interpretations:

- (a) **"Indirect utilisation of Knowledge"** in the *Contract's* definition of *Use* includes, for and on behalf of the *Party* concerned, *Use* by having products and/or services developed, made and/or provided;
- (b) **"Fair and Non-discriminatory Conditions"** means fair market conditions.
- (c) **"Pre-existing Know-how"** means only such *Pre-existing Know-how* which has been accumulated within and/or developed by the specific research group, research department, or research institute directly involved in carrying out the *Project*.

## Section 2: Purpose, Nature and Duration of the Agreement

### 2.1 Purpose

The purpose of this *Consortium Agreement* is to facilitate the fulfilment of the research work and related services and activities allocated to the *Parties* under the *Contract* (and as described in more detail in *Contract*, Annex I) by setting forth the terms and conditions pursuant to which the *Parties* agreed to function and cooperate in the performance of their respective tasks under the *Contract*.

### 2.2 Nature of the Agreement

- (1) Nothing contained in this *Consortium Agreement* shall constitute or be deemed to constitute either a partnership or any formal business organisation or legal entity between the *Parties*.

Each *Party* shall act as an independent *Contractor* and not as the agent of any of the other *Parties*.

Nothing contained in this *Consortium Agreement* shall be construed as constituting or organising the sharing of profits or losses arising out of the efforts of any other *Party* hereunder.

- (2) In case of conflict between this *Consortium Agreement* or parts of it and the *Contract*, the latter will have precedence.

## 2.3 Duration

- (1) This *Consortium Agreement* shall come into force as of the date of its signature by the *Parties* and shall continue in full force and effect until terminated in accordance with Section 15 or until complete discharge of all obligations for carrying out of the *Project* undertaken by the *Parties* under the *Contract* and under this *Consortium Agreement*, whichever is earlier.
- (2) For new *Parties* accessing to this *Consortium*, this *Agreement* shall come into force as from the date of signature of the Declaration of Accession, Annex D (Forms A and B).

## Section 3: Project Organisation and Management Structure

### 3.1 General Structure

The initial organisation structure of the *Consortium* shall comprise the following:

- (a) **Steering Committee** is the supervisory body for the project execution and decision making body in all relevant project matters under the conditions set forth in Section 5.2.
- (b) **Project Co-ordinator** is the intermediary to the *Commission*, is authorised to execute the project management, shall report and be accountable to the *Steering Committee* under the conditions set forth in Section 5.3.
- (c) **Local Co-ordinators**, in each of the three *Sites* of the project, is a *Party* that is responsible for data campaigns, the organization of local workshops or other meetings and for contacts with stakeholders, under the conditions set forth in Section 5.4.
- (d) **Workpackage Leader** is the *Party* responsible for the management of the scientific work and output of the respective workpackages, under the conditions set forth in Section 5.5.
- (e) **Panels** can be established by the *Steering Committee* to deal with specific issues or problems, e.g. Technical, Technology or Scientific Panel, Financial Panel, and Exploitation or Dissemination Panel.

### 3.2 The *Parties*' Representatives

Each *Party* agrees to nominate a representative to the *Steering Committee* with due authorisation to discuss, negotiate and agree decisions or provide recommendations made by the organs within the frame of their responsibilities.

*Parties* who are *Local Coordinators* agree to nominate one of its staff members to act as a link with other *Parties* within the frame of its responsibilities. This *Party* representative must have the agreement of the *Project Co-ordinator*.

*Parties* who are *Workpackage Leaders* agree to nominate one of its staff members to manage each *Workpackage*. This *Party* representative must have the agreement of the *Project Co-ordinator*.

### 3.3 European Commission Representative

The *Commission* may participate as an observer at the meetings of the *Steering Committee*.

## **Section 4: Responsibilities of each Party**

### **4.1 General Responsibilities**

Each *Party* hereby undertakes with respect to other *Parties* all reasonable endeavours to perform and fulfil, promptly, actively and on time, all of its obligations under the *Contract* and this *Consortium Agreement*, including in particular the submission to the *Commission* of the deliverables pursuant to the *Contract*, Article 7 and Annex II.7.

### **4.2 Responsibilities towards the Co-ordinator and the Steering Committee**

Each *Party* undertakes reasonable endeavours to supply promptly to the *Co-ordinator* all such information or documents as the *Co-ordinator* and the *Steering Committee* need to fulfil obligations pursuant to this *Consortium Agreement*, the *Contract* and upon request of the *Commission*.

In particular, information and documents required by the *Contract*, Annex II.3 and 7 shall be submitted via the *Co-ordinator*.

### **4.3 Obligations of the Parties towards each other**

- (a) Each *Party* undertakes reasonable endeavours:
- to notify the *Co-ordinator* and each of the *Parties* promptly of any significant problem and delay in performance; and
  - to inform other *Parties* of relevant communications it receives from third parties in relation to the *Project*.
- (b) Each *Party* shall use reasonable endeavours to ensure the accuracy of any information or materials it supplies hereunder or under the *Contract* and promptly to correct any error therein of which it is notified. The recipient *Party* shall be entirely responsible for the use to which it puts such information and materials.
- (c) In addition to the obligations specified in the *Contract*, Annex II. 3, each *Party* agrees not to use knowingly, as part of a deliverable or in the design of such deliverable or in any information supplied hereunder or under the *Contract*, any proprietary rights of a third party for which such *Party* has not acquired the right to grant licences and user rights to the other *Parties* in accordance with the *Contract*, unless all of the other *Parties* have accepted such use in writing, such acceptance not to be unreasonably withheld.

## **Section 5: Responsibilities and Authority**

### **5.1 Establishment of the Work Plan**

The *Project Co-ordinator* and the *Steering Committee* shall be responsible for the development, extrapolation and harmonisation of the *Work Plan* in line with *Contract*, Annex I and shall propose specific procedures in decision making relating these issues in accordance with the following principles. The *Project Co-ordinator* has to inform the *Steering Committee* about any changed proposals for activities and any changed budget allocation to be confirmed and approved.

### **5.2 Steering Committee**

#### **5.2.1 Responsibilities**

The *Steering Committee* shall co-ordinate the *Project*. The *Steering Committee* assumes overall responsibility for liaison between the *Parties* in relation to the *Project*, for analysing and approving the results, for proper administration of the *Project* and for implementation of the provisions contained in the *Consortium Agreement*.

The *Steering Committee* shall be responsible for:

- (a) supporting the *Co-ordinator* in fulfilling obligations towards the *Commission*,
- (b) ensuring that all work meets functional requirements,
- (c) providing *Project* management in relation to the activities of the Panels on technical, financial and/or exploitation/ dissemination issues, as applicable,
- (d) agreeing on press releases and joint publications (without prejudice to Section 12) by the *Parties* with regard to the *Project*,
- (e) agreeing (without prejudice to Section 12) on procedures and policies in accordance with the *Contract*, Annex II. 34 for Dissemination of *Knowledge* from the *Project* which is not to be used by the *Parties*,
- (f) checking the progress of the works,
- (g) co-ordinating the research teams, and
- (h) advising and directing the *Parties* on the developments necessary for the *Project*.

### 5.2.2 Decisions

All decisions of the *Steering Committee* as the principal body of the *Consortium* are legally binding for all *Parties*.

- (a) The *Steering Committee* decides in cases of
  - co-ordination, preparation and final approval of reports (technical, financial, etc.) prior to the submission to the *Commission*,
  - budget-related matters,
  - definition, allocation of tasks and changes in work sharing
  - the structure and restructuring of the *Project*,
  - the alteration of the *Consortium Agreement*, and
  - the premature completion/ termination of the *Project*.
- (b) In addition the *Steering Committee* decides on
  - making proposals to the *Parties* (other than the *Defaulting Party*) to serve notices on a *Defaulting Party* in accordance with Sections 8.2 and 8.5.2 and to assign the *Defaulting Party's* tasks to specific entity(ies) (preferably chosen from the remaining *Parties*).
  - the exclusion of *Parties* and the acceptance of new parties.

Any decision requiring a vote at a *Steering Committee* meeting must be identified as such on the pre-meeting agenda, unless there is an unanimous agreement to vote on a decision at that meeting and three-quarters ( $\frac{3}{4}$ ) of the members of the *Steering Committee* are present or duly represented by proxy.

### 5.2.3 Panels

The *Steering Committee* shall have the right to set up Panels to advise and support the *Steering Committee* in the proper management and co-ordination of the *Project*.

These Panels have an advisory role only.

### 5.2.4 Meetings

The *Steering Committee* shall convene with the representatives of the *Parties* and the *Co-ordinator's* representative as chairperson.

The *Steering Committee* shall meet at least twice a year in principle at the request of its chairperson or at the request of a quarter ( $\frac{1}{4}$ ) of the *Parties*.

Extraordinary meetings may be called at any other time at the request of its chairperson or at the request of a quarter ( $\frac{1}{4}$ ) of the *Parties*.

Meetings shall be convened by the chairperson with at least fifteen (15) calendar days prior notice including an agenda.

Ordinary and extraordinary meetings of the *Steering Committee* shall constitute a quorum if more than two third ( $\frac{2}{3}$ ) of the *Parties* are present or duly represented by proxy.

In extraordinary cases the *Steering Committee* may take decisions through its chairperson consulting with all members via teleconference and/or via e-mail, phone, etc. These decisions must be ratified by an ordinary meeting and shall be made available to all *Parties*.

### **5.2.5 Rules of Voting**

In the cases mentioned in Section 5.2.2 (a) decisions need a two third ( $\frac{2}{3}$ ) majority of all *Parties*, in the cases of Section 5.2.2 (b) decisions shall be taken unanimously by all of the non-*Defaulting Parties*. In all other cases decisions will be taken by the majority vote of the *Parties* present or duly represented by proxy.

A *Party* may only issue its veto in the case of a decision to accept a new party in the *Consortium* if a substantial threat to its commercial or strategic interests is likely to exist which cannot be resolved by any other measure.

A veto may be overruled by the *Steering Committee* by unanimous vote of all the non-objecting *Parties* as far as these *Parties* represent more than two third ( $\frac{2}{3}$ ) of all *Parties*.

### **5.2.6 Minutes of Meetings**

Minutes of the meetings of the *Steering Committee* shall be transmitted to the representatives of the *Parties* without delay. The minutes shall be considered as accepted by the representatives if, within fifteen (15) calendar days from receipt, no *Party* has objected in a traceable form to the *Co-ordinator*.

### **5.2.7 Members**

The members of the Steering Committee are listed in **ANNEX E**.

## **5.3 Co-ordinator**

### **5.3.1 Rights and Obligations**

The *Co-ordinator* is the single point of contact between the *Commission* and the *Consortium*. In this function the *Co-ordinator* shall sign the *Contract* with the *Commission* after authorisation by all *Parties* who have signed the *Contract* forms (Forms A and B) and this *Consortium Agreement*.

### **5.3.2 Responsibilities of the Co-ordinator**

Pursuant to the *Contract*, the *Co-ordinator* is responsible for the following tasks and functions

- (a) overall management of the *Project* with the support of a *Project Team*, if necessary,
- (b) chairing the *Steering Committee*,
- (c) preparation of the meetings and decisions of the *Steering Committee*.
- (d) timely collection and, with the support of the *Steering Committee*, preparation of statements, including financial audit certificates, from the *Parties* for transmission to the *Commission*,
- (e) ensure prompt delivery of all hardware, software and data identified as deliverable items in the *Contract* or requested by the *Commission* for reviews and audits, including the results of the financial audits prepared by independent auditors.

### **5.3.3 No power of Representation**

The *Co-ordinator* shall not be entitled to act or to make legally binding declarations on behalf of any other *Party*.

### **5.3.4 Submitting Deliverables**

If one or more of the *Parties* is late in submitting of *Project* deliverables, the *Co-ordinator* may submit the other *Parties' Project* deliverables to the *Commission*.

### **5.3.5 Specific Authorisation of the Co-ordinator**

- (a) To the extent that serious concerns regarding the financial soundness of one or several *Parties* exist, the *Co-ordinator* has the authority to require the appropriate letter of comfort to prove that the corresponding *Party* is able to fulfil the financial obligations with regard to the *Contract* and this *Consortium Agreement*.

Until this is provided, the *Co-ordinator* is entitled to refuse the disbursement of the financial contributions of the *Commission* to this *Party*.

- (b) Furthermore, the *Co-ordinator* has the right to retain any payment if a *Party* is late in submitting or refuses to provide deliverables as defined in Section 4.3 of the *Consortium Agreement* and *Contract*, Annex II.7.

## **5.4 Local Co-ordinators**

### **5.4.1 Data Campaigns**

The existence of data campaigns in three different sites implies that one of the *Parties* organizes with the others how field work is accomplished. The responsibility of the *Local Co-ordinator* is to organize the work to be done in the same place by itself or by other *Parties*. Budget allocation for these campaigns by each *Party* has been done previously. Any disputes that may occur on Data Campaigns should be solved by the *Steering Committee*.

### **5.4.2 Workshops and other meetings**

Workshops and meetings in the *Sites* of the *Project* have a special importance due to its dissemination purposes. Therefore, *Local Co-ordinators* must guarantee that these reunions are carefully planned in term of logistics and in terms of contacts with local stakeholders or other parties that should attend the meetings.

### **5.4.3 Stakeholders**

Contacts with *Stakeholders* are central to the *Project*. Therefore, *Local Co-ordinators* will establish, as soon as the *Project* starts, the appropriate links with *Stakeholders* in order to involve them in the project and to start building links to disseminate the *Project* results as soon as they are available, in coordination with the *Steering Committee*.

### **5.4.4 No power of Representation**

Local Co-ordinators shall not be entitled to act or to make legally binding declarations on behalf of any other *Party*.

### **5.4.5 Local co-ordinators list**

Local co-ordinators are listed in **ANNEX F**.

## **5.5 Workpackage Leader**

*Workpackage Leaders* are responsible for the management of the scientific work and reports of the respective work packages. Any decision of any kind within each *Workpackage* is made by general consensus. In case of lack of consensus the opinion of the *Workpackage Leader* prevails. Other *Parties* concerned may always call for a decision of the *Steering Committee* in the frame of item 5.2.

Each *Party* which is a *Workpackage Leader* agrees that:

- a) it will be responsible to the *Project Co-ordinator* for the delivery of that *Workpackage* in accordance to the *Contract*;
- b) it will fulfil its responsibilities as a *Workpackage Leader* in respect of delivery of reports which are identified in the *Contract*, Annex I.

## Section 6: Costs - Payments

### 6.1 General Principles

Each *Party* shall bear its own costs incurred in connection with the performance of the *Contract* and this *Consortium Agreement*, carrying out of the *Project* work and implementation of the *Project*.

The financial contribution of the *Commission* will be distributed according to the *Contract* and the decisions of the *Steering Committee*.

Each *Party* is responsible for any currency conversion losses or any other costs not paid by the *Commission* which are incurred by that *Party*.

### 6.2 Payments

The *Co-ordinator* shall receive all payments made by the *Commission*.

Except for the part of the advance payments withheld for the Common Liability Reserve (if any), the *Co-ordinator* will transfer, in accordance with the *Contract* and the budget allocation decided by the *Steering Committee*, the appropriate sums to the respective *Parties* with minimum delay, but not later than thirty (30) calendar days from the receipt thereof from the *Commission*. The *Co-ordinator* shall notify each *Party* promptly, as listed in *Annex A*, of the date and amount transferred to its respective bank account, as listed in *Annex C*, and shall give the relevant references.

None of the *Parties* shall be entitled to any financial payment from the *Co-ordinator* until the *Co-ordinator* has received the corresponding financial payment from the *Commission*.

### 6.3 Financial planning and reporting data

- (1) The *Parties* shall deliver all relevant financial data including but not limited to the application of the budget use and received payments needed for financial planning, its execution and accountability towards the *Project* and towards the *Commission*, based upon their financial system as provided in the *Contract* and this *Consortium Agreement*.
- (2) The format of these data has to comply with the requirements of the *Commission* and any formats agreed upon by the *Steering Committee*, within the boundaries given by the accorded financial system of the *Parties*.
- (3) Each *Party* shall be solely liable for its financial data. No other *Party*, including the *Co-ordinator* or their representatives acting within the scope of this *Consortium Agreement* may change these data without express written permission of the *Party* concerned.

## Section 7: Confidentiality

### 7.1 Principles

With respect to all information of whatever nature or form as is

- (a) disclosed to a *Party* in connection with the submission to the *Commission* of a proposal for a *Project* under the Sixth Framework Programme pending the signing of the *Contract*;
- (b) disclosed to a *Party* in connection with the *Project* after the signing of the *Contract*, but which
  - (i) is clearly marked "confidential";
  - (ii) if disclosed orally, was at the time of disclosure indicated to be "confidential" and within thirty (30) calendar days reduced to physical form and marked "confidential" by the discloser; or
  - (iii) is obviously of a confidential nature,the terms of this Section shall apply.

## 7.2 Obligations

Each *Party* agrees that such information is communicated on a confidential basis and its disclosure may be prejudicial to the owner of the information, and undertakes that:

- (a) it will not during a period of five (5) years from the date of disclosure to the *Party* use any such information for any purpose other than in accordance with the terms of the *Contract* and of this *Consortium Agreement*; and
- (b) it will during the period of five (5) years treat the same as (and use reasonable endeavours to procure that the same be kept) confidential and not disclose the same to any other third party without the prior written consent of such owner in each case; provided always that such agreement and undertaking shall not extend to any information which the receiving *Party* can show:
  - (1) was at the time of disclosure to the *Party* published or otherwise generally available to the public, or
  - (2) has after disclosure to the *Party* been published or become generally available to the public otherwise than through any act or omission on the part of the receiving *Party*, or
  - (3) was already in the possession of the receiving *Party*, without any restrictions on disclosure, at the time of disclosure to the *Party*, or
  - (4) was rightfully acquired from others without any undertaking of confidentiality, or
  - (5) was developed independently of the work under the *Contract* by the receiving *Party*.

## 7.3 Communication of Information

Each *Party* agrees that nothing shall prevent the communication of information

- (a) as is needed to be communicated to comply with applicable laws or regulations or with a court of administrative order provided that insofar as reasonably possible the complying *Party* shall have informed the owner of the information of such need and shall have complied with such owner's reasonable instructions designed to protect the confidentiality of such information;
- (b) subject to Section 7.2, to any *Affiliate* or to any other third party (including the *Commission*) insofar as needed for the proper carrying out of the *Contract* and/or this *Consortium Agreement*;
- (c) subject to Section 7.2, to any third party (including to the public) as strictly needed for technical reasons and insofar as needed for proper Use of *Knowledge* from the *Project*.

## 7.4 Confidentiality towards third parties

With respect to any permitted communication of any of the information referred to in Section 7.1 by the recipient *Party* to a third party (including but not limited to its *Affiliates*) such *Party* will use reasonable endeavours to procure due observance and performance by such third party of the undertakings referred to in Section 7.2, (a) and (b) and all relevant undertakings in the *Contract*.

## Section 8: Liabilities

### 8.1 Liability of the *Parties* towards each other

Any claims or damages arising in connection with the preparation and performance of the Work Plan, as defined in Annex I to the *Contract*, the following liability provisions shall apply:

- (1) In respect of information or materials provided by one *Party* to another hereunder or under the *Contract*, the supplying *Party* shall be under no obligation or liability other than as stated in Section 4.3 (b) and no warranty condition or representation of any kind is made, given or to be implied as to the sufficiency, accuracy or appropriateness for purpose of such information or materials, or, subject to Section 4.3 (c), the absence of any infringement of any proprietary rights of third parties by the use of such information and materials and the recipient *Party* shall in any case be entirely responsible for the use to which it puts such information and materials.

- (2) No *Party* shall be responsible to another *Party* for indirect or consequential loss or damages such as, but not limited to, loss of profit, loss of revenue or loss of *Contracts*.

## 8.2 Indemnification

### 8.2.1 Indemnification in the event of claims between the Parties, without *Commission* claims

Each *Party* shall indemnify each of the other *Parties* in respect of acts or omissions of itself and of its employees, agents and *Subcontractors* provided always that such indemnity shall not extend to claims for indirect or consequential loss or damages such as, but not limited to, loss of profit, revenue, *Contract* or the like and provided that the total limit of liability of that *Party* to all of the other *Parties* collectively in respect of any and all such claims shall not exceed that *Party's Project Share* - any excess shall be apportioned between all the *Parties* pro rata to their *Project Shares*.

### 8.2.2 Indemnification by the Defaulting Party in the event of claims from the *Commission*

In any case where the *Commission* claims reimbursement in accordance with the *Contract* Annex II.18, from *Parties* other than the *Defaulting Parties*, the Compensating *Parties* shall be entitled to seek full indemnification by the Defaulting *Party*.

## 8.3 Liability towards Third Parties

Subject always to such other undertakings and warranties as are provided for in this *Consortium Agreement* and the *Contract*, each *Party* shall be solely liable for any loss, damage or injury to third parties resulting from the execution of its assigned tasks in the *Project* and from its Use of *Knowledge* and/or *Pre-existing Know-how*.

## 8.4 Third Parties

- (a) each *Party* shall be fully responsible for the performance of any part of its share of the *Project*, or other *Contract* obligations, in respect of which it enters into any contract with a third party (e.g. a *Subcontractor*) and shall ensure
- (i) such contracts enable fulfilment of the *Contract*;
  - (ii) the other *Parties' Access-rights* are the same as would have been the case had the contracting *Party* performed its share of the *Project* and/or those obligations itself; and
  - (iii) the third party shall not have access to any other *Party's Knowledge* or *Pre-existing Know-How* without that *Party's* prior written consent.
- (b) each *Party* shall inform the *Co-ordinator* in writing, asking for a decision of the *Steering Committee*, if it intends to enter into a contract with a third party (giving the rationale therefore) if such an event has not been detailed in the *Contract*, Annex I and the contract is other than for less than ten (10) percent of its share of the *Project*.
- (c) each *Party* shall ensure that it can grant *Access-rights* and fulfil the obligations under the *Contract* notwithstanding any rights of its employees, or persons it engages to perform part of its share of the *Project*, in the *Knowledge* or *Pre-existing Know-how* they create after the *Project Commencement Date*.

## 8.5 Defaults and Remedies

### 8.5.1 Principles

A *Party* in proven default of its obligations under the *Contract* and which default causes lawful withholding of payments by the *Commission* to other *Parties*, shall pay to the other *Parties* interest on the amount withheld at an annual rate equal to one (1) percentage point above the prime rate of interest on overdrafts charged according to the Euro Interbank Rate (EURIBOR) from the last working day before the *Commission* informed the other *Parties* of such withholding or from the last working day before which the *Parties* or the *Co-ordinator* became aware of such

withholding (whichever was earlier). Such interest shall accrue on a daily basis until the *Commission* has effectively transferred the withheld amount to the *Co-ordinator*.

### 8.5.2 Procedures and Consequences

In the event of a breach by a *Party* (*Defaulting Party*) of its obligations under this *Consortium Agreement* or the *Contract* which is irremediable or which is not remedied within thirty (30) calendar days of a written notice from the *Co-ordinator*, then the other *Parties* in the *Steering Committee* may jointly decide to terminate this *Consortium Agreement* with respect to the *Defaulting Party* following a minimum of 30 calendar days prior to written notice by the *Co-ordinator*.

Such termination shall take place with respect to the *Defaulting Party* and the latter shall be deemed to have agreed to the termination of the *Contract* in respect of its participation therein under the general provisions of *Contract*, Annex II. 15, as the other *Parties* and/or the *Commission* shall decide provided always that

- (a) any and all *Access-rights* granted to the *Defaulting Party* and its *Affiliates* by the other *Parties* as well as under the *Contract*, shall cease immediately; but any and all *Access-rights* granted by the *Defaulting Party* to the other *Parties* and their *Affiliates* shall remain in full force and effect;
- (b) the Work Package(s) of the *Defaulting Party* shall be assigned to one or several companies and/or entities which are chosen by the other *Parties*, are acceptable to the *Commission* and who agreed to be bound by the terms of this *Consortium Agreement*.  
The preference shall be granted to one or more of the remaining *Parties*.
- (c) the *Defaulting Party* shall:
  - (i) assume all reasonable direct costs increase (if any), resulting from the assignment referred to in (b) above in comparison with the costs of the Work Package of the *Defaulting Party* as specified in the *Contract*, Annex I of this *Consortium Agreement*, and
  - (ii) be liable for any so resulting additional direct cost caused to the other *Parties*, up to a total amount which, together with any liability to the *Commission* under the *Contract*, Annex II.18, will not exceed the total *Project Share*.

## Section 9: Force Majeure

Each *Party* will notify the other *Parties* in writing of any *Force Majeure* (*Contract*, Annex II.4) as soon as possible. The *Parties* shall discuss in good faith the possibilities of a transfer of tasks affected by the event. Such discussions shall commence as soon as reasonably possible. If such *Force Majeure* event is not overcome within 6 weeks after such notification, the transfer of tasks shall be carried out.

## Section 10: Intellectual Property Rights

### 10.1 General Provisions

The *Parties* agree to respect their individual *Intellectual Property Rights*.

### 10.2 Protection of Knowledge

#### 10.2.1 Joint Invention

If, in the course of carrying out work on the *Project*, a joint invention, design or work is made - and more than one *Party* is contributor to it - and if the features of such joint invention design or work are such that it is not possible to separate them for the purpose of applying for, obtaining and/or maintaining the relevant patent protection or any other *Intellectual Property Right*, the *Parties* concerned agree that they may jointly apply to obtain and/or maintain the relevant right together with any other *Parties*.

The *Parties* concerned shall seek to agree amongst themselves arrangements for applying for, obtaining and/or maintaining such right on a case-by-case basis. As long as any such right is in

force, each *Party* concerned shall be entitled to use and to license such right without the consent of the other *Parties*, provided that the *Party* concerned shall be informed in advance of any licensing to third parties. In case of licensing to third parties, appropriate financial compensation shall be given to the other *Parties* concerned.

### 10.2.2 Application for a Patent

In respect of a country either specified by the *Commission* or agreed upon by the *Parties*, a *Party* shall notify the other *Parties* (via the *Co-ordinator*, if this is practical) if it does not intend to seek adequate and effective protection (as required by the *Contract*) of certain of its *Knowledge* from the *Project* or if that *Party* intends to waive such protection.

If another *Party* (or *Parties*) informs the notifying *Party* in writing within one calendar month of such notice that it wishes to obtain or maintain such protection, the notifying *Party* shall assign to such other *Party(ies)* all necessary rights which it owns.

Such assignment shall ensure that the *Access-rights* of all *Parties* will be unaffected. For the avoidance of doubt, the *Party* which assigned its rights shall have at least the same *Access-rights* as the non-involved *Parties*.

### 10.3 Exclusion of Access-rights to Pre-existing Know-How

In accordance with *the Contract*, Annex II.35.1.d, each *Party* has the right to exclude specific *Pre-existing Know-how* from the other *Parties'* access, as far as the restrictions are announced as described hereinafter before the signature of the *Contract* or before the effective joining of a new party or if acquired parallel with the *Project*.

The procedure comprises the following steps:

- The *Co-ordinator* shall first be informed by the owning *Party* in writing about the type and scope of *Pre-existing Know-how* for which exclusion from access is requested or announced.
- The *Co-ordinator* will inform the other *Parties* about such requests or announcements.
- The exclusion from access to *Pre-existing Know-how* will become effective in accordance with the *Contract*, Annex II.35, subject to the written contradiction of the other *Parties* to be substantiated in accordance with the *Contract*, Annex II.35.
- In the event that a new *Party* is admitted to the *Project*, any other *Party* may exclude access to *Pre Existing Know-how* only to the newly admitted *Party*.
- the *Pre-existing Know-how* originally excluded from access or excluded at any later moment or any modification thereof will be listed in Annex D and become part of this *Consortium Agreement*.

### 10.4 Access-rights

#### 10.4.1 General Principles

All *Access-rights* granted in accordance with this Section are granted on a non-exclusive basis, expressly exclude any rights to sub-license and shall be made free of any transfer costs.

*Access-rights* shall be granted in accordance with and subject to the *Contract*, Annex II. 35. *Knowledge* and *Pre-existing Know-how* shall be used only for the purposes for which *Access-rights* to it have been granted and only for so long as is necessary for those purposes.

In relation to the granting of *Access-rights* "needed" or "need" shall mean that, without the grant of such *Access-rights*:

- In the case of *Access-rights* granted for the execution of the *Project*, carrying out the tasks assigned to the recipient *Party* under the Work Plan (as amended from time to time) would be impossible, significantly delayed, or require significant additional financial or human resources.

- In the case of *Access-rights* granted for use, the use of a defined and material element of the recipient *Party's* own *Knowledge* would be technically or legally impossible. The burden of proof in relation to a claimed need for *Access-rights* shall be on the requesting *Party*. This *Party* shall provide such proof to the owning *Party* on a written request. According to the *Contract*, Annex II.35.1.a the *Parties* shall conclude a specific agreement for granting *Access-rights*. The parties shall endeavour to reconcile any dispute concerning the *need* for *Access-rights* through the *Steering Committee*

Should the *Steering Committee* and/or the *IPR Council* have been already dissolved, the *Parties* concerned shall have recourse to the Settlement of Disputes procedures as provided for in Section 16 of this *Consortium Agreement*.

Any grant of *Access-rights* not covered by this Section shall be at the absolute discretion of the owning *Party* and subject to such terms and conditions as may be agreed between the owning and receiving *Parties*.

#### **10.4.2 Access-rights for carrying out the Project**

##### **10.4.2.1 Conditions for Access**

*Access-rights* to *Knowledge* and *Pre-existing Know-how* needed for the performance of the *Project* shall be granted on a royalty-free basis only upon written request specifying the scope and duration of their application particularly with respect to *Pre-existing Know-how*.

##### **10.4.2.2 Entitlement for execution of the Project**

After conclusion of an agreement in accordance with *Contract*, Annex II.35, the receiving *Party* is entitled to Use the *Pre-existing Know-how*, *Knowledge* or *Software* for performing the *Project* work.

If a *Party* applies *Pre-existing Know-how* of another *Party* without the grant of access, a penalty will be decided by the IPR-Council on a case by case basis depending on the value of the infringed rights.

#### **10.4.3 Access-rights for Use**

Subject to Section 10.4.1, *Access-rights* to *Knowledge* and *Pre-existing Know-how* both needed for Use shall be granted upon bilateral agreement between the *Parties* concerned.

*Access-rights* to *Knowledge* shall be granted on preferential conditions, *Access-rights* to *Pre-existing Know-how* shall be granted on Fair and Non-discriminatory Conditions. The granting of *Access-rights* shall be made conditional on to the following principles:

- (i) the access to *Pre-existing Know-how* is limited to the field of application being identified as pertaining to the objectives, content and goals of the *Project* and necessary for the Use of own *Knowledge* of the recipient *Party*.
- (ii) the access to *Knowledge* is limited to the field of application being identified as the objectives and goals of the *Project*.  
subject to (i) and (ii) access has to be granted within 6 months after written request by the potential user to the owning *Party*.

#### **10.4.4 Access-rights for using Knowledge in subsequent Research Activities**

Recognising the *Parties'* obligations to act in good faith and in accordance with Section 7.2. b, the *Parties* agree that the *Access-rights* for using *Knowledge* in subsequent research activities are to be as follows:

As of the date set out in the *Contract*, Article 4, *Parties* are deemed to be granted, a right to use free of charge *Knowledge* from the *Project* for:

- (a) internal research;

- (b) third-party research, provided the third party does not have direct access to confidential *Knowledge* from the *Project* generated by other *Parties* (as examples)
- producing research results which are available to the third party but which contain hermetically sealed *Knowledge* from the *Project*;
  - using *Knowledge* from the *Project* for in-house testing or diagnosis purposes in doing research,
  - joint publications.

#### **10.4.5 Access-rights for Affiliates**

Each *Party* hereby grants *Access-rights* to all Affiliates of any other *Party* as if such Affiliates were *Parties* provided all such Affiliates grant *Access-rights* to all *Parties* (and their Affiliates) and (without prejudice to the *Parties'* obligations to carry out the *Project* and to provide Project Deliverables) fulfil all confidentiality and other obligations accepted by the *Parties* under the *Contract* or this *Consortium Agreement* as if such Affiliates were *Parties*.

Upon cessation of the control of an Affiliate, any *Access-rights* granted to such Affiliate in respect of *Knowledge* or *Pre-existing Know-how* shall lapse, provided however that information that is *Knowledge* which has been incorporated into the products, processes, software or services of such Affiliate or which has been amalgamated with such Affiliate's own information may continue to be used (in the manner it was then being used) by such Affiliate, if it is not practical to do otherwise. In such an event, at the request of such Affiliate, each requested *Party* shall grant to such Affiliate non-exclusive licences under that *Party's* intellectual property rights which are *Knowledge* against terms and conditions to be agreed, provided that no Legitimate Interests of such *Party* oppose the grant of such licences. Upon such cessation of control, *Access-rights* granted by such Affiliate shall continue in full force and effect.

#### **10.4.6 Access-rights for Parties joining or leaving the Project**

*Parties* joining the *Project* after the date of the *Contract* will be granted the *Access-rights* as from the date of their signature of the Declaration of Accession.

For *Parties* leaving the *Project* in accordance with the provisions of Section 8.5.2 hereof, the following will apply:

*Defaulting Parties* are obliged to continue to grant *Access-rights* pursuant to the *Contract* and this *Consortium Agreement*, but the *Access-rights* granted to the *Defaulting Party* pursuant to this *Consortium Agreement* shall cease immediately upon termination of the participation of the *Defaulting Party* in the *Contract*.

Termination of the *Contract* or this *Consortium Agreement* and/or cessation of licenses granted to the *Defaulting Party* in accordance with Section 8.5.2 shall not terminate any sublicenses granted or agreed upon to be granted or offered by the *Defaulting Party* in accordance with Sections 10.4.3 and 10.4.8.3 prior to the date on which such termination of this *Consortium Agreement* and/or cessation of licenses becomes effective, provided that the *Party* or *Parties* which generated the *Knowledge* or *Pre-existing Know-how* so sublicensed shall have the right to have an assignment of the *Defaulting Party's* rights under such sublicenses.

Any *Party* leaving voluntarily from the *Project* has access to *Knowledge* as this exists at the date of the membership expiration of the *Consortium*.

Any *Party* eliminated by decision of the *Steering Committee* does not have any access to *Knowledge*.

#### **10.4.7 Access-rights for Third Parties**

Notwithstanding the provisions of this Section the provisions as set out in *Contract Annex II. 35*, each *Party* may enter into a technical co-operation or licensing arrangement with a third party in respect of its own *Knowledge*, including, but not limited to, the carrying out of research on behalf of a third party, even if there are minor amounts of *Pre-existing Know-how* and *Knowledge* owned by another *Party*, unavoidably incorporated into or amalgamated with such own *Knowledge*. In such circumstances and upon request of the party entering into the co-operation or arrangement, the other *Party* shall grant non-exclusive rights to permit such co-

operation or arrangement against terms and conditions to be agreed upon, provided that no *Legitimate Interest* of the other *Party* opposes the grant of such rights.

#### **10.4.8 Specific Provisions for *Access-rights* to Software**

##### **10.4.8.1 General principles**

For the avoidance of doubt, the general provisions for *Access-rights* provided for in Sections 10.4.1 herein are applicable also to software.

*Access-rights* to Software do not comprise access to Source Code but only Limited Source Code *Access* as defined below. Access to Source Code will be granted subject to separate agreements only, to be concluded between the *Parties* concerned.

*Access-rights* to software do not include any right to receive Source Code or Object Code ported to a certain hardware platform or any right to receive respective Software Documentation in any particular form or detail, but only as available from the *Party* granting the *Access-rights*.

##### **10.4.8.2 *Access-rights* to Software for carrying out the *Project***

*Access-rights* to Software which is *Knowledge* or *Pre-existing Know-how*, needed for the execution of the *Project* shall be granted on the basis of royalty free Limited Source Code Access upon written request, specifying the scope and duration of their application particularly with respect to Software which is *Pre-existing Know-how*,

##### **10.4.8.3 *Access-rights* to Software for Use**

Software, which is *Knowledge* or *Pre-existing Know-how* needed for Use shall be granted on the basis of Limited Source Code Access upon a bilateral agreement between the *Parties* concerned.

Access to Software which is *Knowledge* shall be granted on a royalty free basis. Access to Software which is *Pre-existing Know-how* shall be granted on *Fair and Non-Discriminatory Conditions*. The granting of *Access-rights* shall be made conditional on the same principles as stated in Sections 10.4.1 and 10.4.5. through 10.4.7 and shall be applied accordingly.

##### **10.4.8.4 Software license and sub-licensing rights**

- (a) *Access-rights* to *Object Code* and/or Limited Source Code Access all granted in accordance with Sections 10.4.1 and 10.4.8.1 shall comprise the right:
- (i) to use *Object Code* and Limited Source Code Access in research, or to create and market a product or process, or to create and provide a service; and
  - (ii) to make and have made an unlimited number of copies of *Object Code* and Limited Source Code Access; and
  - (iii) to distribute, make available, market, sell and offer for sale; even by using services of a third party, such *Object Code* and Limited Source Code Access in connection with products or services of the *Party* having the *Access-rights*.

provided however that,

- (1) any product, process or service has been developed by the *Party* having the *Access-rights* in accordance with its rights to use *Object Code* and Limited Source Code Access for its own *Knowledge*; and
- (2) *Object Code* and Limited Source Code Access represent only a minor part of the overall product, process or service; and
- (3) *Object Code* and Limited Source Code Access cannot be separated from and/or have been amalgamated with such product, process or service.

In addition, *Access-rights* to *Object Code* shall comprise the worldwide right to grant in the normal course of the relevant trade to end-user customers buying/using the product/services a perpetual, irrevocable, worldwide license

- to Use of *Object Code* in connection with or integrated into, products and services of the *Party* having the *Access-rights* and, as technically essential,
  - to maintain such product/service, and
  - to create for its own end-use interacting interoperable software in accordance with the Council Directive of 14 May 1991 on the legal protection of computer programs (91/250/EEC).
- (b) Where a *Party* has been granted access to Source Code to *Knowledge* according to Section 10.4.1 herein, the Parties concerned may further agree that the *Access-rights* to such Source Code can comprise a worldwide license to use, to make and have made copies, to modify and have modified, develop and have developed, to adapt and have adapted Source Code for research, or to create and market a product or process, or to create and provide a service. In addition, *Access-rights* can comprise the worldwide right to sub-license such Source Code, but solely for purpose of adaptation, error correction, maintenance and/or support of the software.
- (c) Each sublicense granted according to the provisions of Section 10.4.2 shall, when reasonably possible, be made by a traceable agreement specifying and protecting the proprietary rights of the *Party* or *Parties* concerned unless otherwise agreed upon in a separate agreement.

#### **10.4.8.5 Modifications of Software**

Unless otherwise agreed, any change or modification on the software made by the receiving *Party* must be reported with a detailed description immediately to the owning *Party*. In the event a *Party* will not comply with this obligation, which is valid for *Pre-existing Know-how* as well as for *Knowledge*, Section 10.4.2.2 will be applied.

### **Section 11: Standards**

If one of the main explicit objectives of the *Project* is to contribute to the establishment of a particular European standard, the *Parties* hereby agree to make available to third parties, needed licences relating to *Knowledge* and *Pre-existing Know-how* in conformance with the rules of the standards body setting such standard, provided such third party similarly makes needed licences available under its intellectual property rights.

The *Parties* agree that the *Contract*, Annex II.10.2 only refers to actions required by a *Party* in respect of its own information or information which is not subject to any obligation of confidence.

## **Section 12: Publications, Press Releases and Reports to the Commission**

### **12.1 Publications of own Knowledge**

For the avoidance of doubt, each *Party* shall have the right to publish or allow the publishing of data which constitutes such *Party's Knowledge*, *Pre-existing Know-how* or confidential information it owns in accordance with the *Contract*, Annex II.33.3.

### **12.2 Other Publications**

Any other publication or communication, whether written or oral, is required to have obtained the consent of the *Parties* concerned. To this end, a brief description and the subject of the proposed publication or communication shall be submitted to the *Steering Committee*, a copy shall be provided to all *Parties*.

If none of the *Parties* objects to the publication within one (1) calendar month from the date of referral, consent shall be deemed to be given.

Any objection shall include,

- a) a request for modifications, specifically if information contained in the proposed publication or communication is likely to impair the industrial and commercial use of *Knowledge*; or

- b) a request that the publication or communication shall be postponed if the information contained in the proposed publication or communication is the subject matter of intellectual property protection.

If a dispute regarding a publication cannot be settled amicably within two (2) calendar months the *Steering Committee* shall decide the issue. However, none of the *Parties* concerned may withhold its consent to publication or communication upon the expiry of a period of six (6) calendar months following the first submission of the proposed publication/communication.

It is understood that any publication or communication made pursuant to this Section is required to indicate the contribution made by each of the *Parties*.

### **12.3 Disclaimer and marking of confidential information provided to the *Commission***

In addition to the *Contract*, Annex II.12:

- (a) All information provided to the *Commission*, publications and press releases shall have a disclaimer saying "The information in this document is provided as is and no guarantee or warranty is given that the information is fit for any particular purpose. The user thereof uses the information at its sole risk and liability."
- (b) Confidential information provided to the *Commission* will be marked stating the information is confidential and may be used only for information purposes by Community Institutions to whom the *Commission* has supplied it.

### **12.4 Publication to qualify for a degree**

Where a person carrying out work on the *Project* on behalf of a *Party* (the "Relevant *Party*") needs to include *Pre-existing Know-how or Knowledge* of another *Party* in a publication to qualify for a degree, approval for Use shall be obtained from the appropriate *Party* owning such rights or affected by the Use. To ensure that the planned date of publication can be met the approval of the relevant parties shall be sought at least three months before the latest date on which (pursuant to the qualification procedures) the contents of the planned publication can be altered.

However, except as stated below, no such publication will be made under the above procedure -

- (i) without a majority agreement of the *Parties* and
- (ii) provided no *Party* who would be adversely affected by the publication has vetoed such publication.

Notwithstanding the foregoing, such a publication can be made if the Relevant *Party* has as soon as reasonably possible (preferably before submission of the *Project* proposal to the *Commission*, but in any case prior to entering the *Contract* or the *Consortium Agreement* (whichever is the later)) notified in writing the other *Parties* of the intention to make such a publication.

## **Section 13: No Partnership or Agency**

Nothing in this *Consortium Agreement* shall create a partnership or agency between the *Parties*.

## **Section 14: Assignment**

No *Party* shall, without the prior written consent of the other *Parties*, partially or totally assign or otherwise transfer any of its rights and obligations under this *Consortium Agreement*.

Such consent shall not be unreasonably withheld.

## **Section 15: Accession and Termination**

### **15.1 Accession to the *Contract***

Accession to the *Contract* entails that the entering *Party* agrees to adhere to this *Consortium Agreement* and the *Steering Committee* (Annex D: Form B).

### **15.2 Rules for Termination**

No *Party* shall be entitled to withdraw from this *Consortium Agreement* and/or participation in the *Project* unless:

- (a) that *Party* has obtained the prior written consent of the other *Parties* (such consent not to be unreasonably withheld), and also of the *Commission*, to the withdrawal from, or termination of, the *Contract*; or
- (b) that *Party's* participation in the *Contract* is terminated by the *Commission* pursuant to the provisions of the *Contract*, Annex II.15; or
- (c) the *Contract* is terminated by the *Commission* for any reason whatsoever, provided always that a *Party* shall not by withdrawal or termination be relieved from
- (i) its responsibilities under this *Consortium Agreement* or the *Contract* in respect of that part of that *Party's* work on the *Project* which has been carried out (or which should have been carried out) up to the date of withdrawal or termination; or
- (ii) any of its obligations or liabilities arising out of such withdrawal or termination.

### **15.3 Termination by the *Commission***

If any *Party's* participation in the *Contract* is terminated by the *Commission* pursuant to the provisions of the *Contract*, Annex II.15, or a *Party* withdraws from the *Project*, then, without prejudice to any other rights of the other *Parties*, the provisions of Sections 4.3(c), 8.5.1, 8.5.2 (a) and (b) shall apply correspondingly.

### **15.4 Termination due to Bankruptcy or Liquidation**

If any *Party* enters into bankruptcy or liquidation or any other arrangement for the benefit of its creditors, the other *Parties* shall, subject to approval by the *Commission*, be entitled to take over the fulfilment of such *Party's* obligations and to receive subsequent payments under the *Contract* in respect thereof. In such event all rights and obligations under the *Contract* and this *Consortium Agreement* shall in good faith be redistributed among the remaining *Parties* and the affected *Party* on the basis of the work performed by the affected *Party* prior to the occurrence of the above circumstance.

### **15.5 Continuance of Regulations**

The provisions of Sections 1, 4.3.(c), 7, 8, 10, 11, 15 and 16 shall survive the expiration or termination of this *Consortium Agreement* to the extent needed to enable the *Parties* to pursue the remedies and benefits provided for in those Sections.

### **15.6 Continuance of Sublicenses**

Termination of the *Consortium Agreement* and/or cessation of licences granted to the *Defaulting Party* in accordance with Section 8.5.2 shall not terminate any sublicenses granted or agreed to be granted or offered by the *Defaulting Party* in accordance with Section 10 prior to the date on which such termination of the *Consortium Agreement* and/or cessation of licences becomes effective, provided that the *Party* or *Parties* which generated the *Knowledge* or *Pre-existing Know-how* so sublicensed shall have the right to have an assignment of the *Defaulting Party's* rights under such sublicenses.

## **Section 16: Settlement of Disputes**

### **16.1 Arbitration**

All disputes or differences arising in connection with this Consortium Agreement which cannot be settled amicably shall be finally settled by arbitration in Brussels under the rules of arbitration of the International Chamber of Commerce by one or more arbitrators to be appointed under the terms of those rules. In any arbitration in which there are three arbitrators, the chairperson shall be of juridical education.

The award of the arbitration will be final and binding upon the parties concerned.

The Parties may instead elect to resolve by mediation a dispute or difference arising in connection with this Consortium Agreement which cannot be settled amicably.

## **Section 17: Language**

This Consortium Agreement is drawn up in English, which language shall govern all documents, notices and meetings for its application and/or extension or in any other way relative thereto.

## **Section 18: Notices**

Any notice to be given under this Consortium Agreement shall be in writing to the addresses and recipients as listed in Annex A in the form

< Name and Address of each Party,  
together with Fax Numbers, and Name/Position of Person(s)  
for whose attention Notices are to be addressed >

or to such other address and recipient as a Party may designate in respect of that Party by written notice to the others.

## **Section 19: Applicable Law**

This Consortium Agreement shall be construed according to and governed by the law provided in the *Contract*, Article 12.

## **Section 20: Entire Agreement – Amendments / Severability**

Should any provision of this *Consortium Agreement* prove to be invalid or incapable of fulfilment, or subsequently become invalid or incapable of fulfilment, whether in whole or in part, this shall not affect the validity of the remaining provisions of this *Consortium Agreement*. In such a case, the *Contractors* shall be entitled to demand that a valid and practicable provision be negotiated which mostly fulfils the purpose of the invalid or impracticable provision.

This *Consortium Agreement*, the *Contract* and - when such exist(s) - *Complementary Contract(s)*, constitute the entire agreement between the *Parties* in respect of the *Project*, and supersede all previous negotiations, commitments and writings concerning the *Project* including any memorandum of understanding between the *Parties* (whether or not with others) which relate to the *Project* or its proposal to the *Commission*.

Amendments or changes to this *Consortium Agreement* shall be valid only if made in writing and signed by an authorised signatory of each of the *Parties*.

## **Section 21: Accession to the Contract**

All Parties declare that they have taken notice of all provisions of the *Contract* and its Annexes, which they have approved and have taken notice of all Sections of this *Consortium Agreement*.

Therefore, through signature of this *Consortium Agreement*, the parties are obliged to accede to the *Contract* by submission of their Forms A and B to the *Co-ordinator*.

## **Section 22: Counterparts**

This Consortium Agreement may be executed in any number of counterparts, each which shall be deemed an original, but all of which shall constitute one and the same instrument.

## **SIGNATURES**

AS WITNESS the *Parties* have caused this *Consortium Agreement* to be duly signed by the undersigned authorised representatives the day and year first above written.

SIGNATURE PAGE

(2) **Hidromod, Modelação em Engenharia, Lda**

I certify that I have read thoroughly the present *Consortium Agreement*, and the Annexes A to F, and that I have fully understood these documents and that I have not made any changes or modifications on them.

I hereby agree that by signing this document I become *Contractor* to the said *Agreement* and agree to be bound by all terms, conditions and obligations contained therein.

Done in three originals, of which one shall be kept by the Project Manager, and one by **Hidromod, Modelação em Engenharia, Lda**, the third with all signed signatures pages will be available for consultation at the Project Manager premises at the Commission's disposal.

Upon request to the Project Manager, a certified copy will be made available to the *Contractor*.

On behalf of **Instituto Superior Técnico**

*Legally authorised representative:* Carlos Matos Ferreira

*Position:* President of IST

*Signature:*

\_\_\_\_\_

Date:

On behalf of **Hidromod, Modelação em Engenharia, Lda**

*Legally authorised representative:* José Chambel Leitão

*Position:* Gerente (Manager)

*Signature:*

\_\_\_\_\_

Date:

SIGNATURE PAGE

(3) **NOCTILUCA Marien-wetenschappelijk adviesbureau**

I certify that I have read thoroughly the present *Consortium Agreement*, and the Annexes A to F, and that I have fully understood these documents and that I have not made any changes or modifications on them.

I hereby agree that by signing this document I become *Contractor* to the said *Agreement* and agree to be bound by all terms, conditions and obligations contained therein.

Done in three originals, of which one shall be kept by the Project Manager, and one by **NOCTILUCA Marien-wetenschappelijk adviesbureau**, the third with all signed signatures pages will be available for consultation at the Project Manager premises at the Commission's disposal.

Upon request to the Project Manager, a certified copy will be made available to the *Contractor*.

On behalf of **Instituto Superior Técnico**

*Legally authorised representative:* Carlos Matos Ferreira

*Position:* President of IST

*Signature:*

\_\_\_\_\_

*Date:*

On behalf of **NOCTILUCA Marien-wetenschappelijk adviesbureau**

*Legally authorised representative:* Johan Wijnand Baretta

*Position:* Principal Scientist

*Signature:*

\_\_\_\_\_

*Date:*

SIGNATURE PAGE  
(4) **Laboratório Nacional de Engenharia Civil**

I certify that I have read thoroughly the present *Consortium Agreement*, and the Annexes A to F, and that I have fully understood these documents and that I have not made any changes or modifications on them.

I hereby agree that by signing this document I become *Contractor* to the said *Agreement* and agree to be bound by all terms, conditions and obligations contained therein.

Done in three originals, of which one shall be kept by the Project Manager, and one by **Laboratório Nacional de Engenharia Civil**, the third with all signed signatures pages will be available for consultation at the Project Manager premises at the Commission's disposal.

Upon request to the Project Manager, a certified copy will be made available to the *Contractor*.

On behalf of **Instituto Superior Técnico**

*Legally authorised representative:* Carlos Matos Ferreira

*Position:* President of IST

*Signature:*

\_\_\_\_\_

Date:

On behalf of **Laboratório Nacional de Engenharia Civil**

*Legally authorised representative:* Francisco Nunes Correia

*Position:* President

*Signature:*

\_\_\_\_\_

Date:

SIGNATURE PAGE  
(5) **University of Trieste**

I certify that I have read thoroughly the present *Consortium Agreement*, and the Annexes A to F, and that I have fully understood these documents and that I have not made any changes or modifications on them.

I hereby agree that by signing this document I become *Contractor* to the said *Agreement* and agree to be bound by all terms, conditions and obligations contained therein.

Done in three originals, of which one shall be kept by the Project Manager, and one by **University of Trieste**, the third with all signed signatures pages will be available for consultation at the Project Manager premises at the Commission's disposal.

Upon request to the Project Manager, a certified copy will be made available to the *Contractor*.

On behalf of **Instituto Superior Técnico**

*Legally authorised representative:* Carlos Matos Ferreira

*Position:* President of IST

*Signature:*

\_\_\_\_\_

Date:

On behalf of **University of Trieste**

*Legally authorised representative:* Enrico Feoli

*Position:* Director of Department

*Signature:*

\_\_\_\_\_

Date:

SIGNATURE PAGE

(6) **Instituto Oceanográfico da Universidade de São Paulo**

I certify that I have read thoroughly the present *Consortium Agreement*, and the Annexes A to F, and that I have fully understood these documents and that I have not made any changes or modifications on them.

I hereby agree that by signing this document I become *Contractor* to the said *Agreement* and agree to be bound by all terms, conditions and obligations contained therein.

Done in three originals, of which one shall be kept by the Project Manager, and one by **Instituto Oceanográfico da Universidade de São Paulo**, the third with all signed signatures pages will be available for consultation at the Project Manager premises at the Commission's disposal.

Upon request to the Project Manager, a certified copy will be made available to the *Contractor*.

On behalf of **Instituto Superior Técnico**

*Legally authorised representative:* Carlos Matos Ferreira

*Position:* President of IST

*Signature:*

\_\_\_\_\_

Date:

On behalf of **Instituto Oceanográfico da Universidade de São Paulo**

*Legally authorised representative:* Belmiro Mendes de Castro Filho

*Position:* Director

*Signature:*

\_\_\_\_\_

Date:

SIGNATURE PAGE

(7) **Instituto Superior de Educação Santa Cecília – Universidade Santa Cecília**

I certify that I have read thoroughly the present *Consortium Agreement*, and the Annexes A to F, and that I have fully understood these documents and that I have not made any changes or modifications on them.

I hereby agree that by signing this document I become *Contractor* to the said *Agreement* and agree to be bound by all terms, conditions and obligations contained therein.

Done in three originals, of which one shall be kept by the Project Manager, and one by **Instituto Superior de Educação Santa Cecília – Universidade Santa Cecília**, the third with all signed signatures pages will be available for consultation at the Project Manager premises at the Commission's disposal.

Upon request to the Project Manager, a certified copy will be made available to the *Contractor*.

On behalf of **Instituto Superior Técnico**

*Legally authorised representative:* Carlos Matos Ferreira

*Position:* President of IST

*Signature:*

\_\_\_\_\_

Date:

On behalf of **Instituto Superior de Educação Santa Cecília – Universidade Santa Cecília**

*Legally authorised representative:* Sílvia Ângela Teixeira Penteadó

*Position:* Reitora

*Signature:*

\_\_\_\_\_

Date:

SIGNATURE PAGE  
(8) **Instituto Argentino de Oceanografía**

I certify that I have read thoroughly the present *Consortium Agreement*, and the Annexes A to F, and that I have fully understood these documents and that I have not made any changes or modifications on them.

I hereby agree that by signing this document I become *Contractor* to the said *Agreement* and agree to be bound by all terms, conditions and obligations contained therein.

Done in three originals, of which one shall be kept by the Project Manager, and one by **Instituto Argentino de Oceanografía**, the third with all signed signatures pages will be available for consultation at the Project Manager premises at the Commission's disposal.

Upon request to the Project Manager, a certified copy will be made available to the *Contractor*.

On behalf of **Instituto Superior Técnico**

*Legally authorised representative:* Carlos Matos Ferreira

*Position:* President of IST

*Signature:*

\_\_\_\_\_

Date:

On behalf of **Instituto Argentino de Oceanografía**

*Legally authorised representative:* María Cintia Piccolo

*Position:* Director

*Signature:*

\_\_\_\_\_

Date:

SIGNATURE PAGE  
(9) **Universidad de Chile**

I certify that I have read thoroughly the present *Consortium Agreement*, and the Annexes A to F, and that I have fully understood these documents and that I have not made any changes or modifications on them.

I hereby agree that by signing this document I become *Contractor* to the said *Agreement* and agree to be bound by all terms, conditions and obligations contained therein.

Done in three originals, of which one shall be kept by the Project Manager, and one by **Universidad de Chile**, the third with all signed signatures pages will be available for consultation at the Project Manager premises at the Commission's disposal.

Upon request to the Project Manager, a certified copy will be made available to the *Contractor*.

On behalf of **Instituto Superior Técnico**

*Legally authorised representative:* Carlos Matos Ferreira

*Position:* President of IST

*Signature:*

\_\_\_\_\_

Date:

On behalf of **Universidad de Chile**

*Legally authorised representative:* Raúl Morales

*Position:* Dean

*Signature:*

\_\_\_\_\_

Date:

SIGNATURE PAGE  
(10) **Centro de Ecología Aplicada Ltda.**

I certify that I have read thoroughly the present *Consortium Agreement*, and the Annexes A to F, and that I have fully understood these documents and that I have not made any changes or modifications on them.

I hereby agree that by signing this document I become *Contractor* to the said *Agreement* and agree to be bound by all terms, conditions and obligations contained therein.

Done in three originals, of which one shall be kept by the Project Manager, and one by **Centro de Ecología Aplicada Ltda**, the third with all signed signatures pages will be available for consultation at the Project Manager premises at the Commission's disposal.

Upon request to the Project Manager, a certified copy will be made available to the *Contractor*.

On behalf of **Instituto Superior Técnico**

*Legally authorised representative:* Carlos Matos Ferreira

*Position:* President of IST

*Signature:*

\_\_\_\_\_

Date:

On behalf of **Centro de Ecología Aplicada Ltda.**

*Legally authorised representative:* Manuel Antonio Contreras

*Position:* Director Ejecutivo

*Signature:*

\_\_\_\_\_

Date:

## **ANNEX A**

### **Recipients for Notices**

Recipients for Notices in Accordance with Section 18 of this *Consortium Agreement*.

#### **IST, MARETEC**

Av. Rovisco Pais, 1, 1049-001 Lisboa, Portugal,  
Dr. Ramiro Neves  
Position: Associate Professor  
Tel. +351 218417397  
Fax +351 218417365  
E-mail: ramiro.neves@ist.utl.pt

#### **HIDROMOD,**

Av. Manuel da Maia, nº 36 – 3º Esq., 1000-201 Lisboa, Portugal  
Dr. José Chambel Leitão  
Position: Manager  
Tel. +351 218 486 014  
Fax +351 214 211 272  
E-mail: jcleitao@hidromod.com

#### **NOCTILUCA,**

Van Polanenpark 212; 2241 RX Wassenaar; Nederland  
Dr. Johan Wijnand Baretta  
Position: Principal Scientist  
Tel. +31705145551  
Fax +31 847173368  
E-mail: job.baretta@xs4all.nl

#### **LNEC, Departamento de Hidráulica e Ambiente**

Avenida do Brasil 101, P-1700-066, Lisboa, Portugal,  
Dr. João Lobo-Ferreira  
Position: Groundwater Division Head  
Tel. +351-21 844 3609  
Fax +351-21 844 3016  
E-mail: LFERREIRA@LNEC.PT

#### **University of Trieste, DEPARTMENT OF BIOLOGY**

VIA E.WEISS 2, PO Box 34127, TRIESTE, Italy,  
Prof. Enrico Feoli

Position: Director of Department  
Tel. +39-040-5582076  
Fax +39-040-5582011  
E-mail: feoli@units.it

**Instituto Oceanográfico da USP, Departamento de Oceanografia Biológica**

Praça do Oceanográfico, 191 Cidade Universitária Butantã, 05508-900, São Paulo, Brazil  
Dr. Eduinety Ceci Pereira Moreira de Sousa  
Position: Professor  
Tel. +55.11.3091.6572  
Fax +55.11.3032.3092  
E-mail: edvinett@usp.br

**Universidade Santa Cecília - Instituto Superior de Educação Santa Cecília**

Rua Oswaldo Cruz 266, 11045-907, Santos-SP, Brazil  
MSc. Aureo Emanuel Pasqualetto Figueiredo  
Position: Director  
Tel. + 55 13 3202 7108  
Fax + 55 13 3202 7132  
E-mail: aureo@unisanta.br

**Instituto Argentino de Oceanografía (IADO)**

Florida 4000, Edificio E-1, Complejo CRIBABB, C.C. 804, 8000 Bahía Blanca, Argentina  
Dr. Jorge Eduardo Marcovecchio  
Position: Head, Lab.de Química Marina  
Tel. +54 (291) 486 1112, ext.174  
Fax +54 (291) 486 1112  
E-mail: jorgemar@criba.edu.ar or jorgemar@copetel.com.ar

**University of Chile**

Laboratorio de Modelación Ecológica, Departamento de Ciencias Ecológicas,  
Facultad de Ciencias  
Las Palmeras 3425, Ñuñoa, Santiago, Chile  
Dr. Victor Marin  
Position: Professor  
Tel. +56-2-2712978  
Fax +56-2-2727363  
E-mail: vmarin@antar.uchile.cl

**CEA - Centro de Ecología Aplicada**

Av. Suecia 3304, Ñuñoa, 777 0279 Santiago, Chile

Dr. Manuel Antonio Contreras

Position: Director Ejecutivo

Tel. +56-2-2741872

Fax +56-2-274 2879

E-mail: [mcontreras@cea.cl](mailto:mcontreras@cea.cl)

## **ANNEX B**

### **Bank Accounts**

#### **IST,**

Bank: BPI  
Address: Av. Rovisco Pais, nº 1, 1049-001 Lisboa, Portugal,  
International Bank Number (IBAN): PT50001000002159571000135  
Account Number: 0010 0000 21595710001 35

#### **HIDROMOD,**

Bank: BTA  
Address: R. Correia Teles, 18, Campo de Ourique, 1350-099 Lisboa,  
Portugal  
International Bank Number (IBAN): PT50001800003516843200198  
Account Number: 0000.35168432001

#### **Noctiluca ,**

Bank: Postbank  
International Bank Number (IBAN): NL80 PSTB 0005 325764  
BIC: PSTBNL21

#### **Laboratório Nacional de Engenharia Civil**

Bank: Direcção Geral do Tesouro  
Address: Rua da Alfândega, 5 - 1.º, 1100-016 LISBOA  
International Bank Number (IBAN): PT050 0781 0112 00000006833 39  
Reference for the transfer: LNEC Proc. 0607/17/15488 (DHA/NAS Engº JP Lobo Ferreira)

#### **UNIVERSITY OF TRIESTE**

Account holder: Dipartimento di Biologia, Università di Trieste  
Bank name, address: Unicredit Banca Ag. Trieste Fabio Severo B  
Bank account number: 3888290  
IBAN: IT 76 J 02008 02223 000003888290  
SWIFT code: UNICRITB10UC

#### **Instituto Oceanográfico da Universidade de São Paulo**

Bank: Banco do Brasil, Agência 1897-X  
Address: Rua Líbero Badaró, 568, S. Paulo  
International Bank Number (IBAN) or SWIFT: BRASBRRJOCO  
Account Number: 6506-4

**Instituto Superior de Educação Santa Cecília**

Account Holder: Instituto Superior de Educação Santa Cecília  
Bank: Banco Itaú - 341  
Address: Agencia - 2217  
SWIFT: itau-br/sp  
Account Number (conta corrente): 00029-4

**Instituto Argentino de Oceanografía**

Account Holder: María Cintia Piccolo / Instituto Argentino de Oceanografía (IADO)  
Bank: Banco de la Nación Argentina  
Address:  
SWIFT: NACNARBABAH  
Account Number: Caja de Ahorro N° 130799391-2

Note: The name included in the account holder is of the Director of the Institute (who has signed all the agreements for ECOMANAGE), because it is a national law in Argentina that all official accounts must be on the name of the Director of the Institution, who is legal responsible if any problem exist.

**Universidad de Chile- Facultad de Ciencias**

Bank: Banco de Chile  
Bank Address: Ahumada 251, Santiago, Chile  
SWIFT: BCHICLRM  
Account number: 5000-77486-08

**Centro de Ecología Aplicada Ltda.**

Account Holder: Centro de Ecologia Aplicada  
Bank: Banco de Credito e Inversiones  
Address:  
International Bank Number (IBAN) or SWIFT: CREDCLRM  
Account Number: 129 948 04

**ANNEX C**  
**Exclusion of *Pre-existing Know-how* from Right to Access**

(Annex II.35.1.d)

**No exclusions exist.**

**ANNEX D**  
**Accession Forms (Forms A and B)**

## **ANNEX E**

### **Steering Committee Members**

Dr. Ramiro Neves

Position: Associate Professor

**IST, MARETEC**

Av. Rovisco Pais, 1, 1049-001 Lisboa, Portugal,

Tel. +351 218417397

Fax +351 218417365

E-mail: ramiro.neves@ist.utl.pt

Dr. José Chambel Leitão

Position: Manager

**HIDROMOD,**

Av. Manuel da Maia, nº 36 – 3º Esq., 1000-201 Lisboa, Portugal

Tel. +351 218 486 014

Fax +351 214 211 272

E-mail: jcleitao@hidromod.com

Dr. Johan Wijnand Baretta

Position: Principal Scientist

**NOCTILUCA,**

Van Polanenpark 212; 2241 RX Wassenaar; Nederland

Tel. +31705145551

Fax +31 (0) 847173368

E-mail: job.baretta@xs4all.nl

Dr. João Lobo-Ferreira

Position: Groundwater Division Head

**LNEC, Departamento de Hidráulica e Ambiente**

Avenida do Brasil 101, P-1700-066, Lisboa, Portugal,

Tel. +351-21 844 3609

Fax +351-21 844 3016

E-mail: LFERREIRA@LNEC.PT

Prof. Enrico Feoli

Position: Director of Department

**University of Trieste, DEPARTMENT OF BIOLOGY**

VIA E.WEISS 2, PO Box 34127, TRIESTE, Italy,  
Tel. +39-040-5582076  
Fax +39-040-5582011  
E-mail: feoli@units.it

Dr. Eduinetty Ceci Pereira Moreira de Sousa  
Position: Professor  
**Instituto Oceanográfico da USP, Departamento de Oceanografia Biológica**  
Praça do Oceanográfico, 191 Cidade Universitária Butantã, 05508-900, São Paulo, Brazil  
Tel. +55.11.3091.6572  
Fax +55.11.3032.3092  
E-mail: edvinett@usp.br

MSc. Aureo Emanuel Pasqualetto Figueiredo  
Position: Director  
**Universidade Santa Cecília - Instituto Superior de Educação Santa Cecília**  
Rua Oswaldo Cruz 266, 11045-907, Santos-SP, Brazil  
Tel. + 55 13 3202 7108  
Fax + 55 13 3202 7132  
E-mail: aureo@unisanta.br

Dr. Jorge Eduardo Marcovecchio  
Position: Head, Lab.de Química Marina  
**Instituto Argentino de Oceanografía (IADO)**  
Florida 4000, Edificio E-1, Complejo CRIBABB, C.C. 804, 8000 Bahía Blanca, Argentina  
Tel. +54 (291) 486 1112, ext.174  
Fax +54 (291) 486 1112  
E-mail: jorgemar@criba.edu.ar or jorgemar@copetel.com.ar

Dr. Victor Marin  
Position: Professor  
**University of Chile**  
Laboratorio de Modelación Ecológica, Departamento de Ciencias Ecológicas,  
Facultad de Ciencias  
Las Palmeras 3425, Ñuñoa, Santiago, Chile  
Tel. +56-2-2712978  
Fax +56-2-2727363  
E-mail: vmarin@antar.uchile.cl

Dr. Manuel Antonio Contreras

Position: Director Ejecutivo

**CEA - Centro de Ecología Aplicada**

Av. Suecia 3304, Ñuñoa, 777 0279 Santiago, Chile

Tel. +56-2-2741872

Fax +56-2-274 2879

E-mail: [mcontreras@cea.cl](mailto:mcontreras@cea.cl)

## **ANNEX F**

### **Local Co-ordinators List**

**Universidade Santa Cecília - Instituto Superior de Educação Santa Cecília**  
**Rua Oswaldo Cruz 266, 11045-907, Santos-SP, Brazil**

**MSc. Aureo Emanuel Pasqualetto Figueiredo**

Position: Director

Tel. + 55 13 3202 7108

Fax + 55 13 3202 7132

E-mail: aureo@unisanta.br

**Instituto Argentino de Oceanografía (IADO)**

**Florida 4000, Edificio E-1, Complejo CRIBABB, C.C. 804, 8000 Bahía Blanca, Argentina**

**Dr. Jorge Eduardo Marcovecchio**

Position: Head, Lab.de Química Marina

Tel. +54 (291) 486 1112, ext.174

Fax +54 (291) 486 1112

E-mail: jorgemar@criba.edu.ar or jorgemar@copetel.com.ar

**University of Chile**

**Laboratorio de Modelación Ecológica, Departamento de Ciencias Ecológicas,**

**Facultad de Ciencias**

**Las Palmeras 3425, Ñuñoa, Santiago, Chile**

**Dr. Victor Marin**

Position: Professor

Tel. +56-2-2712978

Fax +56-2-2727363

E-mail: vmarin@antar.uchile.cl

# LIST OF CHANGES

## Changes to previous version 1 from 26/4/2004:

1. Item “5.2.5 Kick-off” was removed due to uncertainties on the beginning of the project and the date for the first meeting;
2. Item “5.2.7 Members” was added, along with ANNEX E, to list the members of the Steering Committee and their contacts. These members are the same listed in the proposal and in the Annex I to the Contract;
3. Item “5.4.5 Local co-ordinators list” was added, along with ANNEX F, to list the local co-ordinators and their contacts. These members are the same listed in the proposal and in the Annex I to the Contract;
4. In item “6.2 Payments”, the phrase “as listed in Annex A” was added to assure that each Team leader is informed when each payment is done, as partner 9 (Univ. Chile) suggested;
5. In item “8.5.1 Principles”, the expression “default”, in the beginning of the item, was replaced by “proven default” at the request of partner 7 (UNISANTA);

## Changes to previous version 2 from 12/11/2004

1. In the end of item 5.4.1 Scientific was replaced by Steering
2. in item 5.4.3., the phrase “in order to get their support to the Project” was replaced by “in order to involve them in the project”. The change was suggested by partnet Univ. Chile so that it is made clear that no financial support is sought

## Changes to previous version 3 from 10/12/2004

1. Inclusion of a signature page per partner;
2. Several format changes;
3. References to *Contract* and its annexes updated;
4. In ANNEX B - Bank Accounts, the address of the bank account holder was removed once only the complete address of the bank is needed;
5. The Bank account of Universidade de Chile was added;
6. The possibility of defining the SWIFT code instead of the International Bank Number (IBAN) was added in Annex B.

## Changes to previous version 4 from 5/1/2005

1. Replacement of Noctiluca’s Logo;
2. Inclusion of Noctiluca’s address and Fax number;
3. Correction of U. Chile signing responsible;

## Changes to previous version 5 from 10/1/2005

1. Replacement of Hidromod’s telephone number;
2. Inclusion of Noctiluca and Instituto Oceanográfico da Universidade de S. Paulo Bank Accounts information