



## ANNEX TO THE BBI-JU ANNUAL WORK PLAN

The Bio-based Industries (BBI) Joint-Undertaking (JU) is responsible for the implementation of open call for proposals for research and innovation actions and innovation actions, as well as coordination and support actions, in line with the Horizon 2020 rules for participation.

Each topic within research and innovation actions, and innovation actions includes a description of the total eligible budget expected to enable proposals to achieve its objectives. Consortiums of selected projects are expected to contribute with non-monetary (in kind) resources (staff, equipment, consumables, etc.), matching on average the available funding. For innovation actions, this contribution is expected to be complemented by specific additional activities.

### **A. List of countries, and applicable rules for funding**

See section A general annexes to Horizon 2020 work programme  
([http://ec.europa.eu/research/participants/portal/doc/call/h2020/common/1587809-18\\_general\\_annexes\\_wp2014-2015\\_en.pdf](http://ec.europa.eu/research/participants/portal/doc/call/h2020/common/1587809-18_general_annexes_wp2014-2015_en.pdf))

### **B. Standard admissibility conditions for grant proposals, and related requirements**

See section B general annexes to Horizon 2020 work programme  
([http://ec.europa.eu/research/participants/portal/doc/call/h2020/common/1587809-18\\_general\\_annexes\\_wp2014-2015\\_en.pdf](http://ec.europa.eu/research/participants/portal/doc/call/h2020/common/1587809-18_general_annexes_wp2014-2015_en.pdf))





### C. Standard eligibility criteria

All proposals must conform to the conditions set out in the Rules for Participation (link to be added).

A proposal will only be considered eligible if:

- (a) its content corresponds, wholly or in part, to the topic description in the BBI-JU annual Work Plan against which it is submitted;
- (b) it complies with the eligibility conditions set out below for the type of action concerned.

	Eligibility conditions <sup>1</sup>
Research and innovation action	At least three legal entities. Each of the three shall be established in a different Member State or associated country. All three legal entities shall be independent of each other.
Innovation Actions	At least three legal entities. Each of the three shall be established in a different Member State or associated country. All three legal entities shall be independent of each other.
Coordination & support action	One legal entity established in a Member State or associated country.

<sup>1</sup> Some entities from third countries are covered by the Council sanctions in place and are not eligible to participate in Union programmes. Please see: the consolidated list of persons, groups and entities subject to EU financial sanctions, available at [http://eeas.europa.eu/cfsp/sanctions/consolidated-list\\_en.htm](http://eeas.europa.eu/cfsp/sanctions/consolidated-list_en.htm).



#### **D. Types of action: specific provisions and funding rates<sup>2</sup>**

As a general rule there is only one funding (reimbursement) rate per action, the same for all activities and all beneficiaries of the action (one project — one funding rate). Participants may however ask for a rate lower than the maximum one.

The ‘reimbursement rate’ for research and innovation actions is in principle up to 100% of the total eligible costs; whereas for innovation actions it is up to 70% of the total eligible costs.

Exception: The eligible costs of non-profit beneficiaries/linked third parties participating in innovation actions may be reimbursed at up to 100%.

#### **Coordination and support actions**

**Description:** Actions consisting primarily of accompanying measures such as standardisation, dissemination, communication, networking, coordination or support services, mutual learning exercises and studies, including design studies for new infrastructure.

**Funding rate: up to 100%.** Only the following are eligible for funding: small and medium-sized enterprises; secondary and higher education establishments; non-profit legal entities, including those carrying out research or technological development as one of their main objectives; the Joint Research Centre; international European interest organisations

#### **Research and innovation actions**

**Description:** Actions primarily consisting of activities aiming to establish new knowledge and/or to explore the feasibility of a new or improved technology, product, process, service or solution to specific value chain technological barriers. The impact for the whole value chain must be clearly shown. For this purpose they may include basic and applied research, technology development and integration, testing and validation on a small-scale prototype in a laboratory or simulated environment (up to TRL 5).

**Funding rate: up to 100%.**

For research and innovation actions only the following are eligible for funding: small and medium-sized enterprises; secondary and higher education establishments; non-profit legal

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<sup>2</sup> Eligible costs for all types of action are in accordance with the Financial Regulation and the Rules for Participation. + ref to Annotated MGA for further guidance?



entities, including those carrying out research or technological development as one of their main objectives; the Joint Research Centre; international European interest organisations.

### **Innovation actions**

**Description:** Actions primarily consisting of activities directly aiming at producing plans and arrangements or designs for new, altered or improved products, processes or services. For this purpose they may include prototyping, testing, demonstrating, piloting, large-scale product validation and market replication. Innovation Actions will address a whole value chain from feedstock sourcing to the market applications.

A "**demonstration**" action aims to validate the technical and economic viability of a new or improved technology, product, process, service or solution in an operational environment. It shall include the establishment of a demo-scale production facility in Europe, being it a new installation, substantial modification of an existing facility, or use of existing demo facilities. Demonstration projects cover TRL 6-7.

A "**flagship**" action aims to support the first application/deployment in the market of an innovation that has already been demonstrated but not yet applied/deployed in the market. Proposers for a flagship project shall provide clear evidence of previous experimental validation of the proposed process at demonstration scale. First means new at least to Europe or to the application sector in question. A flagship action shall address a complete value chain from procurement, growth, supply of feedstock material to the final product(s). It shall include the establishment of a large scale production facility in Europe, being it a new installation or a substantial modification of an existing facility, or reconversion of old or abandoned industrial facilities. Flagships actions cover up to TRL 8.

**Funding rate:** up to **70%**. Funding is expected to be complemented by additional activities, which are mandatory for flagship actions, but optional for demonstration actions.

### **Industry contributions**

**In kind** contributions in R&I or Innovation actions include resources allocated by the industry partners of a project as direct eligible costs and which are not reimbursed.

**Additional activities** in innovation actions are activities by the industrial partners which contribute to reaching the industrial objectives of the project additional activities may include



investments costs which are not eligible for funding, and non-innovative<sup>3</sup> processes as well as parts of transformation process that are well established at commercial scale.

### **E. Technology readiness levels (TRL)**

Where a topic description refers to a TRL, the following definitions apply:

- ❖ TRL 1 – basic principles observed
- ❖ TRL 2 – technology concept formulated
- ❖ TRL 3 – experimental proof of concept
- ❖ TRL 4 – technology validated in lab
- ❖ TRL 5 – technology validated in relevant environment (industrially relevant environment in the case of key enabling technologies)
- ❖ TRL 6 – technology demonstrated in relevant environment (industrially relevant environment in the case of key enabling technologies)
- ❖ TRL 7 – system prototype demonstration in operational environment
- ❖ TRL 8 – system complete and qualified
- ❖ TRL 9 – actual system proven in operational environment (competitive manufacturing in the case of key enabling technologies; or in space)

### **F. Evaluation**

#### **Selection Criteria**

a) Financial capacity: In line with the Financial Regulation and the Rules for Participation.

b) Operational capacity: As a distinct operation, carried out during the evaluation of the award criterion ‘Quality and efficiency of the implementation’, experts will indicate whether the participants meet the selection criterion related to operational capacity, to carry out the proposed work, based on the competence.

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<sup>3</sup> Combination of existing equipment or unit process that deliver new products, increased efficiency etc, can be considered as innovative.



### **Award criteria**

The standard Horizon 2020 evaluation criteria apply

Experts will evaluate on the basis of the criteria "excellence", "impact" and "quality and efficiency of the implementation"

Unless otherwise specified in the call conditions:

(a) Evaluation scores will be awarded for the criteria, and not for the different aspects listed in the table below. For full proposals, each criterion will be scored out of 5. The threshold for Excellence and Implementation criteria will be 3, whereas for the impact criterion the threshold will be 4. The overall threshold, applying to the sum of the three individual scores, will be 11.

(b) For innovation actions, to determine the ranking, the score for the criterion 'impact' will be given a weight of 1.5.

### **Priority order for proposals with the same score**

Unless the call conditions indicate otherwise, the following method will be applied.

As part of the evaluation by independent experts, a panel review will recommend one or more ranked lists for the proposals under evaluation, following the scoring systems indicated above. A ranked list will be drawn up for every indicative budget shown in the call conditions.

If necessary, the panel will determine a priority order for proposals which have been awarded the same score within a ranked list. Whether or not such a prioritisation is carried out will depend on the available budget or other conditions set out in the call fiche. The following approach will be applied successively for every group of ex aequo proposals requiring prioritisation, starting with the highest scored group, and continuing in descending order:

(i) Proposals that address topics not otherwise covered by more highly-ranked proposals, will be considered to have the highest priority.

(ii) These proposals will themselves be prioritised according to the scores they have been awarded for the criterion impact (for innovation actions) or excellence (coordination and support actions and research and innovation actions). When these scores are equal, priority will be based on scores for the criterion excellence (for innovation actions) or impact (coordination and support actions and research and innovation actions).





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If a distinction still cannot be made, the panel may decide to further prioritise by considering how to enhance the quality of the project portfolio through synergies between projects, or other factors related to the objectives of the call or to Horizon 2020 in general. These factors will be documented in the report of the Panel.

(iii) The method described in (ii) will then be applied to the remaining ex aequo in the group.





The evaluation criteria are applied as following:

<b>Type of action</b>	<b>Excellence</b>	<b>Impact</b>	<b>Quality and efficiency of the implementation</b>
<b>Coordination and Support actions</b>	Clarity and pertinence of the objectives;  Credibility of the proposed approach;  Soundness of the concept;  Quality of the proposed coordination and/or support measures;	The expected impacts listed in the BBI-JU annual Work Plan under the relevant topic;  Effectiveness of the proposed measures to exploit the project results, to communicate the project and to manage research data, where relevant	Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks and resources;  Complementarity of the participants within the consortium (if relevant)  Appropriateness of the management structures and procedures, including risk and innovation management
<b>Research and Innovation actions</b>	Clarity and pertinence of the objectives;  Credibility of the proposed approach;  Soundness of the concept, including trans-disciplinary	The expected impacts listed in the BBI-JU annual Work Plan under the relevant topic;  Enhancing innovation capacity and integration of new knowledge;  Strengthening the competitiveness and	Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks and resources;  Complementarity of the participants within the consortium;  Appropriateness of the management







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	<p>considerations, where relevant;</p> <p>Extent that proposed work is ambitious, has innovation potential, and is beyond the state of the art (e.g. ground-breaking objectives, novel concepts and approaches);</p>	<p>growth of companies by developing innovations meeting the needs of European and global markets and, where relevant, by delivering such innovations to the market;</p> <p>Any other environmental and socially important impacts (not already covered above)</p> <p>Effectiveness of the proposed measures to exploit and disseminate the project results (including IPR management), to communicate the project and to manage research data, where relevant</p>	<p>structures and procedures, including risk and innovation management.</p>
<b>Innovation actions</b>	<p>Clarity and pertinence of the objectives;</p> <p>Credibility of the proposed approach;</p> <p>Soundness of the concept,</p>	<p>The expected impacts listed in the BBI-JU annual Work Plan under the relevant topic;</p> <p>Enhancing innovation capacity and integration of new knowledge;</p>	<p>Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks and resources;</p> <p>Complementarity of the participants within the consortium;</p>





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	<p>including trans-disciplinary considerations, where relevant;</p> <p>Coverage of the value chain (raw materials, equipment and technology suppliers and end-users);</p> <p>Extent that proposed work is ambitious, has innovation potential, and is beyond the state of the art (e.g. ground-breaking objectives, novel concepts and approaches);</p>	<p>Strengthening the competitiveness and growth of companies by developing innovations meeting the needs of European and global markets; and, where relevant, by delivering such innovations to the markets;</p> <p>Any other environmental and socially important impacts (not already covered above)</p> <p>Effectiveness of the proposed measures to exploit and disseminate the project results (including IPR management), to communicate the project and to manage research data, where relevant</p>	<p>Appropriateness of the management structures and procedures, including risk and innovation management.</p> <p>Soundness of the business case and business plan</p> <p>Readiness of the technology for the implementation of the pilot phase, demonstration or flagship<sup>4</sup>;</p>
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<sup>4</sup> Applicants should demonstrate the readiness of the technology for the implementation of the pilot phase. In particular, for flagships applicants must demonstrate that by the time of the submission of their application they have been operating relative demonstration scale plants at a significant production capacity (justification shall be provided in the proposal).





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