



BIO-BASED INDUSTRIES  
Joint Undertaking  
[www.bbi-europe.eu](http://www.bbi-europe.eu)

## **Bio-based Industries JU**

### **Guide for Applicants**

#### Innovation Actions

**Date of publication: 19 May 2015**

**Version Number: 2015.1**

**Disclaimer: in 2015 the BBI JU will publish two calls: a FLAGSHIP call on 19 May 2015 and a RIA-DEMO-CSA call in July 2015. The current version of the Guide for Applicants only applies to the FLAGSHIP calls. Information on RIA, DEMO and CSA will be made available in due time for the publication of the second call.**



#### **About this document**

This document is the Guide for Applicants for single stage submission calls issued by the Bio-based Industries Joint Undertaking (BBI JU).

This Guide is common to all BBI JU calls.

**As a general rule, the infrastructure used for submission and evaluation of proposals will be those foreseen for Horizon 2020 calls.**

*Note that this Guide is based on the rules and conditions foreseen in the BBI JU annual Work Plan and rules for submission and evaluation of proposals, which are accessible through the Research Participant Portal. The Guide does not in itself have legal value, and thus does not supersede those documents.*



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## Definitions used throughout this Guide

**Action:** is the proposed project.

**Beneficiaries** are the members of the project consortium and are signatories to the Grant Agreement. They take complete responsibility for executing the proposed action.

**Coordinator** is the beneficiary that is taking the lead in the preparation and submission of the proposal as the "proposal coordinator". For a given proposal, the coordinator acts as the single point of contact between the participants and the BBI-JU.

**Associated Countries** means third countries that are associated to Horizon 2020.

**Third Countries (TC)** are countries which are neither EU Member States nor associated to Horizon 2020 (Associated Countries). Some TCs appear in the list of countries receiving funding, provided in part A of the general annexes to the Horizon 2020 work programme.

**Budget:** is the total estimated eligible costs incurred by the consortium for the implementation of an action.

**Funding:** refers to the BBI-JU financial contribution to cover eligible costs incurred by the consortium. It is made available by the BBI-JU through call for proposals.

**Eligible costs:** are costs that comply with the Horizon 2020 financial rules.

**In kind contributions** in the context of the BBI JU consist of costs incurred by BIC members in implementing indirect actions less the contribution of the BBI JU and any other Union contribution to those costs. The costs of implementing actions are calculated using the simplified cost model of Horizon 2020 (i.e. 100% of direct costs plus 25% of direct costs as overheads). The in kind contributions made available in the context of BBI-JU projects corresponds therefore to the notion of external co-financing as described in the EU Financial Regulation.

**Additional activities** in the context of the BBI JU refer to costs and investments of BIC members in accordance with the annual additional activities plan and outside of the BBI JU work plan and therefore the calls for proposals - such as investments in infrastructures, facilities, durable equipment as well as non-innovative processes by the consortium partners –which may contribute to reaching the overall objectives of the BBI Joint Technology Initiative. The related costs are not eligible for financial support by the BBI JU. They can be accounted according to the usual cost accounting practices of the partners contributing them.



## **1. CALLS FOR PROPOSALS PUBLISHED BY THE BIO-BASED JOINT UNDERTAKING**

### **1.1. What is the Bio-based Industries Joint Technology Initiative?**

One of the main targets of Horizon 2020, the Framework Programme for Research and Innovation covering the period 2014-2020, is to strengthen European industry through actions supporting research and innovation across a range of industrial sectors. In particular, it provides for the creation of public-private partnerships that will contribute to tackling some of the key challenges Europe is facing.

Bio-based industries are industries, which use renewable biological resources for the production of bio-based products and biofuels. Production usually takes place in biorefineries. They give rise to new value chains, linking previously unrelated primary producers and industries, thus opening new opportunities for a wide range of established players.

On 6 May 2014, the Council adopted the Regulation setting up the Bio-based Industries Joint Undertaking (hereafter “BBI JU”). This initiative will run until 31 December 2024.

The main focus of this JTI is on the transformation of non-edible parts of plants (e.g. wood, agricultural and forestry residues) and biodegradable wastes into bio-based products and biofuels.

The objectives of the proposed JTI on bio-based industries are to:

- contribute to develop a more resource efficient and sustainable low carbon economy and increasing economic growth and employment, in particularly in rural areas, by developing sustainable and competitive bio based industries in Europe based on advanced biorefineries that source their biomass sustainably, and in particular to:
- demonstrate technologies that enable new chemical building blocks, new materials, and new consumer products from European biomass which replace the need for fossil based inputs;
- develop business models that integrate economic actors along the whole value chain from supply of biomass to biorefinery plants to consumers of bio based materials, chemicals and fuels, including by means of creating new cross sector interconnections and supporting cross industry clusters; and
- set up flagship biorefinery plants that deploy the technologies and business models for bio based materials, chemicals and fuels and demonstrate cost and performance improvements to levels that are competitive with fossil based alternatives.



The BBI JU is a public-private partnership between:

- The European Union, represented by the Commission
- The Bio-based Industries Consortium (BIC)

BIC is an association established in 2012 to represent the private sector partners in the JU. It is host to a unique mix of sectors that currently include agriculture, agro-food, technology providers, forestry pulp and paper, chemicals, energy and end-users. With close to 250 (full and associated) members including large companies, SMEs, SME clusters, RTO, universities, technology platforms and associations spread across Europe, BIC brings together and authoritative pool of cross-sector and multidisciplinary expertise in the field of bio-based industries. Further information on the composition of BIC can be found at: [www.biconsortium.eu](http://www.biconsortium.eu)

Overall the European Union will contribute to the BBI JU with EUR 975 million. The industry via BIC will make a total contribution of at least EUR 2730 million

General information on the BBI JU can be found at: [www.bbi-europe.eu](http://www.bbi-europe.eu)

More details on the setting-up of the BBI JU are described in the Council Regulation (EU) No 560/2014 of 6 May 2014 establishing the Bio-based Industries Joint Undertaking

## **1.2. Calls for Proposals: How does it work?**

The BBI JU follows the rules of the European Union's Horizon 2020 framework programme (H2020).

Calls for proposals are published to support Coordination and Support actions, Research and Innovation actions and Innovation actions, in line with the provisions foreseen in the BBI JU annual Work Plan

Proposals must be submitted electronically using the electronic submission service of the Commission accessible from the relevant call page on the Participant Portal. Each proposal must include the administrative details of the participants (Part A) and a description of the activities to be carried out during the lifetime of the project (Part B), using the specific templates available on the Participant Portal. Proposals must be submitted according to the procedure and before the strictly-enforced deadline defined in the call text.

The BBI JU staff organizes the evaluation of eligible proposals. The basis for this evaluation is peer-review carried out by independent experts selected from the Horizon 2020 experts' database. The selection is performed on a competitive basis while ensuring excellence, transparency and equal treatment of all proposals.



Annex 1 of this document provides an overview of the timetable and specific information for the 2015 call.

Annex 2 provides details on the evaluation criteria and procedures applied for this call.

Annexes 3 and 4 contain the essential information to guide applicants through the mechanics of preparing and submitting a proposal. Before drafting a proposal, make sure that you have the correct documentation. You must also refer to the call text which provides a detailed description of the objectives and topics that are open for proposals and will describe the wider context of research activities in this area.

## **2. ABOUT THE FUNDING SCHEMES**

### **2.1. General**

Different types of actions are available to implement projects under the BBI JU; depending on the topic, only some may apply. Details are available in the BBI JU annual Work Plan .

This Guide provides a description of the different actions foreseen for the 2015 call.

### **2.2. Who can participate and who can receive funding?**

#### **Participation:**

The participation in a proposal requires the existence of a legal entity. "Legal entity" means any natural person, or any legal person created and recognised as such under national law, Union law or international law, which has legal personality and which may, acting in its own name, exercise rights and be subject to obligations. A legal entity can be a so-called "natural person" (e.g. Mrs. Smith) or a "legal person" (e.g. National Institute for Research). Depending on the type of action, a proposal may involve one or several participant(s). An entity which does not have legal personality under the applicable national law shall be considered as being assimilated to a legal entity provided that the conditions set out in Article 131(2) of Regulation (EU, Euratom) No 966/2012 and Article 198 of Regulation (EU) No 1268/2012 are complied with.

For the purposes of the BBI JU calls, two different types of organisations are eligible and distinguished according to their sector:

- Academic sector;
- Non-academic sector.

Before applying, each organisation has to register and is automatically classified in one of the two sectors on the basis of the Participant Identification Code (PIC)<sup>1</sup> assigned during the validation process. Organisations are considered belonging to the academic sector if they have been assigned to one of the three categories mentioned below:

- Public or private higher education establishments awarding academic degrees;
- Public or private non-profit research organisations whose primary mission is to pursue research;
- International European Interest Organisations<sup>2</sup>.

All other organisations are by default non-academic and include private enterprises (like SMEs<sup>3</sup>), non-profit or charitable organisations (e.g. NGOs, trusts), etc.

Each organisation has to register only once through the Participant Portal.

Any legal entity irrespective of the country in which it is established may participate in a BBI JU project.

#### **Eligibility for funding:**

1. In the frame of a project, the following are eligible for BBI JU funding:

- a) any legal entity established in a Member State or associated country, or created under Union law;
- (b) any international European interest organisation;
- (c) any legal entity established in a third country identified in the annual work plan.

2. In the case of a participating international organisation or in the case of a participating legal entity established in a third country, neither of which are eligible for funding according to

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<sup>1</sup> Legal entities having a valid PIC number under FP7 maintain their PIC in H2020. The details of all validated organisations are stored in a Unique Registration Facility (URF). For the confirmation and, if necessary, revision of the data stored in the URF, the Commission asks each organisation to nominate a Legal Entity Appointed Representative (LEAR). The LEARs can view their organisations' legal and financial data online and ask for corrections and changes through the Participant Portal.

<sup>2</sup> 'International European Interest Organisation' is defined in the Rules for Participation as: "an international organisation, the majority of whose members are Member States or Associated Countries, and whose principal objective is to promote scientific and technological cooperation in Europe". Regulation of the European Parliament and of the Council laying down the rules for the participation and dissemination in 'Horizon 2020 – the Framework Programme for Research and Innovation (2014-2020)'. <http://ec.europa.eu/programmes/horizon2020/en/official-documents>.

<sup>3</sup> SMEs mean micro, small and medium-sized enterprises within the meaning of Recommendation 2003/361/EC in the version of 6 May 2003.





paragraph 1, funding from the BBI-JU may be granted provided that at least one of the following conditions is fulfilled:

(a) the participation is deemed essential for carrying out the action by the BBI-JU Governing Board;

"Essential" means that a third country partner disposes of specific competences and expertise which no organisation has in the EU/AC and which are indispensable to reach the objectives of the research and innovation project. The exceptional nature must be endorsed by the expert evaluators.

(b) such funding is provided for under a bilateral scientific and technological agreement or any other arrangement between the Union and the international organisation or, for entities established in third countries, the country in which the legal entity is established.

**The EU Member States (MS) are:**

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

**The H2020 associated countries (AC) are:**

Albania, Bosnia Herzegovina, FYR Macedonia, Iceland, Israel, Liechtenstein, Montenegro, Norway, Serbia and Turkey. Other countries may become associated during the course of H2020.

For additional information on the list of countries eligible for funding under Horizon 2020 refer to part A of the general annexes to the 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))

### ***2.3. The actions***

The Bio-based Industries Joint Undertaking is responsible for the implementation of open calls for proposals for Research and Innovation Actions and Innovation Actions, as well as Coordination and Support Actions, in line with the H2020 rules for participation.

The 2015 BBI-JU FLAGSHIP Calls for Proposals will include topics covering three of the five value chains identified in the Strategic Innovation and Research Agenda (SIRA) of the BBI JU, namely:

- Value chain 1 (VC1): From lignocellulosic feedstock to advanced biofuels, bio-based chemicals and biomaterials;
- Value chain 2 (VC2): The next generation forest-based value chains;
- Value chain 4 (VC4): Emergence of new value chains from (organic) waste;

### 2.3.1 Innovation actions

#### Purpose

Innovation actions are industry-driven and consist mainly of activities aiming at producing plans and arrangements or designs for new, altered or improved products, processes or services. They may include prototyping, testing, demonstrating, piloting, large-scale product validation and market replication. Innovations actions will address a whole value chain from feedstock sourcing to the market applications. Innovation actions cover both demonstration and flagship projects.

**Specifically, flagship projects** mainly include activities corresponding to TRL level 8. Flagships are the first units of value chains operating at an economically viable scale. **'First' means new at least to Europe or new at least to the application sector in question. Often such projects involve a validation of technical and economic performance at system level in real life operating conditions provided by the market.** Building and running such plants entails significantly higher costs and risks than demonstration plants because of the increased scale. Flagship projects support the deployment in the market of an innovation that has already been demonstrated but not yet applied/deployed in the market. As such for a flagship project clear evidence should be provided that the proposed process has been already validated at demonstration scale. A flagship shall address a complete value chain from procurement, growth and supply of feedstock material to the final product(s). It shall include the establishment of a large scale production facility, being it a new installation, a substantial modification of an existing facility, or reconversion of old or abandoned industrial facilities.

#### Size and resources

The consortium must be composed of at least three 'legal entities' established in at least three different Member States and/or Associated Countries. The entities must be independent of each other.

The maximum total eligible budget for flagship projects is 35 million Euro. Nonetheless this does not preclude submission and selection of proposals with another budget. More than one proposal per topic can be funded. The BBI JU promotes the involvement of SMEs in its activities. More detailed information is available in the topics description in the work plan.



## **Duration**

Projects last typically 4-5 years.

## **Activities**

The activities to be carried out in the context of innovation actions include:

- plant design, set-up and optimization of operations to reach the project objectives;
- an exploitation plan stating the activities to be performed to further increase the economic viability of their process, to prove market demand or include measures to increase market demand, to address consumer perception and to evaluate sustainability;
- management activities linking together all the project components and maintaining communications with the BBI JU;
- other activities including dissemination and exploitation.

## **Financial Regime**

The financial contribution of the BBI JU will be a percentage of eligible costs for the action incurred by a participant to implement the project. In line with the Horizon 2020 rules, the reimbursement rate will be a maximum of 70% (100 % for non-profit organisations) of the total eligible costs.

Besides the financial contribution by the BBI JU, other sources of financing are relevant to reach the objectives of the BBI JU and the BBI Initiative, in particular in-kind contributions and additional activities from BIC members. In kind contributions in the context of the BBI JU consist of costs incurred by BIC members in implementing indirect actions less the contribution of the BBI JU and any other Union contribution to those costs. The costs of implementing actions are calculated using the simplified cost model of Horizon 2020. Considering that for innovation actions the funding rate for profit organization is a maximum 70% of the total eligible costs, the remaining 30%, will represent their minimum level of in kind contribution. Participants may also ask for a lower funding, consequently increasing the level of their in-kind contributions in projects, in particular BIC members to match the BBI JU financial contribution. Where relevant, applicants are expected to describe how the proposed in kind contribution will help maximizing the impact of the action. This aspect is to be detailed in Part B of the proposal under section 2.2 "Measures to maximise impact".

Besides in kind contributions, which are included in the budget table of the proposal, "additional activities", not linked directly with the topic as explained in BBI work plan, but with the potential to contribute to the objectives of the BBI Initiative, coming from the BIC members, may be relevant for the project and its potential impact, subject to the Annual Additional activities plan. These could

refer to investment in infrastructures, facilities, durable equipment etc. for the establishment of the large scale plant -being it a new installation, a substantial modification of an existing facility, or reconversion of old or abandoned industrial facilities. Such investments could contribute to enhancing the exploitation capacity of the project and be commensurate with the commercial scale of the activities proposed. Costs linked to additional activities are not entered into the proposal's budget and are not reimbursed by the BBI-JU; they can be accounted according to the usual cost accounting practices of the industry partners contributing them and not according to the Horizon 2020 rules.

For flagship projects, BIC members' in kind contributions will represent at least 30 % of the total eligible costs, which is supplemented with a level of additional activities that is expected to be commensurate with the commercial scale of the activities proposed. Potential additional activities are not to be included in the budget table, but detailed in Part B of the proposal under section 2.2 "Measures to maximise impact".

### Example of a project (involving a BIC member)

The description of the topic in the BBI JU annual Work Plan includes information on the expected project budget range.

In this example, it is considered that a total budget of at least EUR 8 million would allow the specific challenge to be addressed appropriately.

The consortium includes 3 independent legal entities, 1 University, 1 SME and 1 large industry (BIC member), based in 3 different MS, thus fulfilling the eligibility conditions.

Participant	Country	(A) Direct personnel costs/€	(B) Other direct costs/€	(C) Direct costs of sub- contracting/€	(D) Direct costs of providing financial support to third parties/€	(E) Costs of inkind contributions not used on the beneficiary's premises/€	(F) Indirect Costs / € (=0.25(A+B-E))	(G) Special unit costs covering direct & indirect costs / €	(H) Total estimated eligible costs / € (=A+B+C+D+F +G)	(I) Reimburse- ment rate (%)	(J) Max. grant / € (=H*I)	(K) Requested grant / €
SME	ES	450 000	250 000	0	0	0	175 000	0	875 000	70	612 500	612 500
INDUSTRY	UK	750 000	3 650 000	325 000	0	0	1 100 000	0	5 825 000	70	4 077 500	3 203 750
UNIV	PT	400 000	250 000	0	0	0	162 500	0	812 500	100	812 500	812 500
Total		1 600 000	4 150 000	325 000	0	0	1 437 500	0	7 512 500		5 502 500	4 628 750

The total project budget is € 7.512.500 (eligible direct + indirect costs). The budget by participant is: € 875.000 for the SME, €5.825.000 for the Industry and € 812.500 for the university. According to the Horizon 2020 rules, for innovation actions SME and Industry partners can receive funding of



maximum of 70% of the eligible costs, whereas the university (as non-profit organization) can receive funding of maximum of 100% of the eligible costs. The maximum grant possible is thus indicated in column J of the budget table.

To match the BBI JU financial contribution, the BIC member may opt to request lower reimbursement than the maximum allowed (see requested grant in column K with €3.203.750 requested instead of €4.077.500 maximum grant allowed), thus increasing the level of in kind contributions within the project to 33,3% of the total budget. Furthermore, the BIC member will also contribute with additional activities of €20.000.000 to maximise the impact of the project. The additional activities are not included in the budget table (part A of the proposal), but are described in part B, under section 2.2 "Measures to maximise impact".

In the above example the total investment realised by the consortium partners for the project, and which is not reimbursed by the BBI-JU is €22.883.750, which includes € 2.883.750 in in kind contributions and €20.000.000 in additional activities.

Note that the example above aims at illustrating how the funding mechanism is applied in projects and in order to maximise their impact. It does not preclude the possibility to submit proposals with different budget architecture, in particular with regard to the consortium contribution. Below you will find a table summarizing the main features of the different types of actions that are funded by the BBI JU.



Type of action	Description	Indicative duration	Funding rates	Eligibility
<b>Innovation actions</b>	<p>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.</p> <p><u>Flagship actions</u> aim to supporting 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 shall address a complete value chain including 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 cover up to TRL 8.</p>	<b>4-5 years</b>	<b>70%</b>  <b>Exception: the eligible costs of non-profit beneficiaries/ linked third parties may be reimbursed at 100%</b>	At least 3 legal entities, established in a different MS or AC and independent of each other

## **2.4 Ethical principles**

Activities funded by the BBI JU must respect fundamental ethical principles of the H2020 framework programme, including those reflected in the Charter of Fundamental Rights of the European Union. These principles include the need to ensure the freedom of research and the need to protect the physical and moral integrity of individuals and the welfare of animals. An ethics review of proposals will be organized by the BBI JU staff if appropriate.

The ethics review is part of the Commission's overall 'H2020 ethics appraisal scheme' (i.e. the global approach on ethics on ethics issues-as developed under the responsibility of the DG RTD Ethics Department). Ethics checks and audits on the recipients: The ethics checks and audits on the recipients must normally be carried out by the BBI JU. The Commission must be informed at least 30 days in advance; and may decide to carry out the ethic audits itself (or together with BBI JU) and the ethic checks together with the BBI JU.

1.1. The Commission must be informed of the result of ethics checks and audits concerning human embryonic (hESC) or significant research integrity issues requiring an in depth assessment by ethics experts. In this case, the Commission may undertake an in-depth examination of the case if necessary with the help of an external expert panel and address binding recommendations to the JU.

1.2. Ethics checks on the JU: The Commission will carry out ethics check on the BBI JU, in order to verify the quality of the ethics appraisal system in place.

1.3. Selection and briefing of the ethics experts: The list of ethics experts is drawn up annually by the DG RTD Ethics Department. (If the list is adapted during the year, the update will be sent to the ethics contact point of the JU). The material for the standard briefing of ethics experts is supplied by DG RTD Ethics Department (and should be adapted, if necessary).

1.4. Ethics review: the JU carries out the ethics pre-screening, the ethics screening and the ethics assessment of proposal. These procedures must be equivalent to those of the Commission. For proposal involving hESC, the JU will request the DG RTD Ethics Department to perform the ethics assessment.

## **Annexes**

- Annex 1 Timetable and Specific Information for this Call
- Annex 2 Evaluation Criteria and Procedures to be applied for this Call
- Annex 3 Instructions for Completing "Part A" of the Proposal in the Electronic Submission Services
- Annex 4 Instructions for Drafting "Part B" of the Proposal
- Annex 5 Part B Template



## Annex 1 – Timetable and Specific Information for this Call

The **BBI JU annual Work Plan** provides the legal information for submitting a proposal to this call. It describes the content of the topics to be addressed and details on how it will be implemented. The BBI JU annual Work Plan is available on the Participant Portal call page together with the "call fiche", where the conditions for the call are mentioned. Please consult these documents.

The BBI-JU 2015 Work plan will be divided into two consecutive calls. The first call will include FLAGSHIP topics only and will be implemented according to the following timetable:

### Indicative timetable for the FLAGSHIP call

Publication of call	<i>19-05-2015</i>
Deadline for submission of proposals	<i>15-09-2015 at 17:00:00, Brussels local time</i>
Evaluation of proposals	<i>Second half of October 2015</i>
Information on the outcome of the evaluation	<i>February 2016</i>
Indicative date for the signing of grant agreements	<i>May 2016</i>

**The second call will include CSAs, RIAs and DEMO topics. The indicative planning will be made available as soon as possible**

**Indicative budget 2015: EUR 206 million** with an indicative budget of EUR 100 million for the FLAGSHIP call, and an indicative budget of EUR 106 million for the second call on RIAs, DEMO and CSAs.

This figure refers to the EU funding only and it does not include the in-kind contributions from the industry members of the BBI JU (BIC). The final budget amounts are also subject to the availability of the appropriations provided for by the budgetary authority or if the budget is not adopted as provided for in the system of provisional twelfths.

### Further information and help

The Participant Portal call page contains links to other sources that you may find useful in preparing and submitting your proposal.

### Call Information

- *Participant Portal call page and BBI JU annual Work Plan*  
(<http://ec.europa.eu/research/participants/portal/desktop/en/home.html>)
- *Rules for participation*  
([http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference\\_docs.html](http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html))
- *General Guide to the submission and evaluation process*

[http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/pse/h2020-guide-pse\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/pse/h2020-guide-pse_en.pdf)

### **General Sources of Help**

- *BBI JU website:* [www.bbi-europe.eu](http://www.bbi-europe.eu)
- *The European Commission's Horizon 2020 Enquiry service:* <http://ec.europa.eu/research/enquiries>
- *National Contact Points:* [http://ec.europa.eu/research/participants/portal/desktop/en/support/national\\_contact\\_points.html](http://ec.europa.eu/research/participants/portal/desktop/en/support/national_contact_points.html)
- *How to register your organisation* <http://ec.europa.eu/research/participants/portal/page/myorganisations>

### **Specialised and Technical Assistance**

- *Submission Service Help Desk:* [DIGIT-EFP7-SEP-SUPPORT@ec.europa.eu](mailto:DIGIT-EFP7-SEP-SUPPORT@ec.europa.eu)  
<http://ec.europa.eu/research/participants/api/contact/index.html>
- *IPR help desk:* <https://www.iprhelpdesk.eu>

## **Annex 2 – Evaluation Criteria and Procedures to be applied for this Call**

### **1. General**

Experts perform evaluations on a personal basis, not as representatives of their employer, their country or any other entity. They are independent, impartial and objective, and behave in a professional manner. In addition, an independent observer will be appointed to observe and report on the evaluation process. The observer gives independent advice to the BBI-JU on the conduct and fairness of the evaluation sessions, on the way evaluation criteria are applied by the experts and provides recommendations on how to improve the evaluation procedures. The observer will not express views on the proposals under examination or on the experts' opinions on the proposals.

Proposals are submitted in a single stage and evaluated in one step by the experts against all evaluation criteria.

Conflicts of interest: under the terms of the expert contract, all experts must declare beforehand any conflict of interest and must immediately inform the responsible BBI-JU staff member if one becomes apparent during the course of the evaluation. The BBI-JU staff will take whatever action is necessary to remove any conflict of interest.

Confidentiality: the expert contract also requires experts to maintain strict confidentiality with respect to the whole evaluation process. They must follow any instruction given by the BBI-JU to ensure this. Under no circumstance may an expert attempt to contact an applicant on his/her own account, either during the evaluation or afterwards.

### **2. Before the evaluation**

Once received by the BBI-JU, proposals are registered and acknowledged and their contents entered into a database to support the evaluation process. Eligibility criteria for each proposal are also checked by BBI-JU staff before the evaluation begins. Proposals which do not fulfil these criteria will not be included in the evaluation.

For this call a proposal will only be considered eligible if the following conditions are met:

- It is received by the BBI-JU before the deadline given in the call fiche;
- It involves at least the minimum number and types of participants as mentioned in the BBI JU annual Work Plan and it is complete (i.e. the requested administrative forms in Part A and the proposal description in Part B are both present);
- The content of the proposal relates to the funding scheme(s), including any special conditions set out in the relevant parts of the work plan.

Page limits per section are applicable to Part B of the proposal, as indicated in the template shown in the Annex 5 of this Guide.

Proposals must be prepared respecting these limits. Experts will be instructed to disregard any excess pages.

### 3. Award criteria

Each proposal will be assessed independently by at least three independent experts chosen by the BBI-JU from the pool of experts taking part in this evaluation.

The proposal will be evaluated against the specific evaluation criteria weighting factors set out in the work plan.

Type of action	Excellence	Impact	Quality and efficiency of the implementation
<b>Innovation Actions</b>	Clarity and pertinence of the objectives; Credibility of the proposed approach; Soundness of the concept, including trans-disciplinary considerations, where relevant; Coverage of the value chain (raw materials, equipment and technology suppliers and end-users); 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);	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 growth of companies by developing innovations meeting the needs of European and global markets; and, where relevant, by delivering such innovations to the markets; Any other environmental and socially important impacts (not already covered above) 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 extent to which the consortium contribution, including additional investments will help maximising the impact of the action.	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 structures and procedures, including risk and innovation management. Soundness of the business case and business plan Readiness of the technology for the implementation of the pilot phase, demonstration or flagship <sup>4</sup> ;

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 weighting of 1.5.

<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).

Evaluation scores will be awarded for each of the three criteria (and not for each single element of the criteria). However, these elements are considered by the experts in the assessment of the criteria.

Each criterion will be scored out of 5. The scoring table is the following:

<b>0 -</b>	<b>The proposal fails</b> to address the criterion or cannot be assessed due to missing or incomplete information
<b>1 -</b>	<b>Poor.</b> The criterion is inadequately addressed or there are serious inherent weaknesses.
<b>2 -</b>	<b>Fair.</b> The proposal broadly addresses the criterion but there are significant weaknesses.
<b>3 -</b>	<b>Good.</b> The proposal addresses the criterion well but with a number of shortcomings.
<b>4 -</b>	<b>Very good.</b> The proposal addresses the criterion very well but with a small number of shortcomings.
<b>5 -</b>	<b>Excellent.</b> The proposal successfully addresses all relevant aspects of the criterion in question; any shortcomings are minor.

#### **4. Evaluation process**

As detailed in the General Guide to the submission and evaluation process

([http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/pse/h2020-guide-pse\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/pse/h2020-guide-pse_en.pdf).) the evaluation process includes three phases:

Phase 1 — Individual evaluation

Phase 2 — Consensus group

Phase 3 — Panel review;

For Flagships actions, as part of the panel review, the BBI-JU may organise hearings with applicants of proposals with consensus scores above the individual and overall threshold, and identical overall score; hearings are organised to:

clarify the proposals and help the panel establish their final assessment and scores or

improve the experts' understanding of the proposal.

Hearings cannot be used to modify proposals, but only to provide explanations and clarifications in response to questions raised by the evaluators.

Hearings are usually held in Brussels, but may also be conducted by a written procedure, via telephone, or by video-conference.

#### **Annex 3 – Instructions for Completing "Part A" of the Proposal in the Electronic Submission Services**

Proposals for this call must be submitted electronically, using the Electronic Submission Services of the European Commission accessible from the call page on the Participant Portal.

In Part A the applicant will be asked for administrative details and information on the secondments that will be used in the evaluation and further processing of the proposal. Part A constitutes an integral part of the proposal. Details of the work the applicant intends to carry out will be described in Part B (see Annex 5 of this guide).

The Electronic Submission Service provides guidance on how to complete the Part A, which includes the following sections:

- Section 1: General information about the proposal (including the abstract)
- Section 2: Data on participating organisations
- Section 3: Budget
- Section 4: Ethics table
- Section 5: Call specific questions:

**Excluded reviewers:** Possibility to provide up to three names of persons (or organizations) that should not participate to the evaluation of the proposal for potential competitive reasons)

## **Annex 4 – Instructions for Drafting "Part B" of the Proposal**

This annex provides guidelines for drafting *Part B*. Part B presents all important aspects of the work planned and it will enable the experts to perform their assessment of the proposal against the evaluation criteria (see Annex 2 of this Guide).

### **1. General information**

A Word version of the submission template can be downloaded from the Electronic Submission Services of the European Commission. Applicants must ensure that proposals conform to this layout and to the instructions given in this Guide for Applicants.

Additional information as indicated in the BBI JU annual Work Plan must be provided to determine the capacity of each participant organisation, as requested in section 4:

- A description of the profile of the people who will be primarily responsible for carrying out the proposed work;
- A description of any significant infrastructure or any major items of technical equipment, relevant to the proposed work;
- A description of any partner organisations that are not represented as beneficiaries, but who will nonetheless be contributing towards the work.

The minimum font size allowed is 11 points. The page size is A4, and all margins (top, bottom, left, right) should be at least 15 mm (not including any footers or headers). Ensure that the font chosen is clearly readable (e.g. Arial or Times New Roman).

Literature references should be listed in the dedicated paragraph 5.

Part B of the proposal carries as a header to each page the proposal acronym and the scheme. All pages should also be numbered in a single series on the footer of the page to


prevent errors during handling. It is recommended to use the numbering format “Part B - Page X of Y”.

## **2. Scientific misconduct**

In line with the Horizon 2020 Rules for Participation, appropriate action will be taken against any applicants found to have misrepresented, fabricated or plagiarised any part of their proposal.

## Annex 5 – Part B Template for Innovation Actions (IA)

Please follow the structure of this template when preparing your proposal. It has been designed to ensure that the important aspects of your planned work are presented in a way that will enable the experts to make an effective assessment against the evaluation criteria. Sections 1, 2 and 3 each correspond to an evaluation criterion for a full proposal.

 **Page limit:** For full proposals, the cover page, and sections 1, 2 and 3, together should not be longer than 70 pages. All tables in these sections must be included within this limit. The minimum font size allowed is 11 points. The page size is A4, and all margins (top, bottom, left, right) should be at least 15 mm (not including any footers or headers).

If you attempt to upload a proposal longer than the specified limit, before the deadline you will receive an automatic warning, and will be advised to shorten and re-upload the proposal. After the deadline, any excess pages will be overprinted with a 'watermark', indicating to evaluators that these pages must be disregarded.

Please do not consider the page limit as a target! It is in your interest to keep your text as concise as possible, since experts rarely view unnecessarily long proposals in a positive light.



## COVER PAGE

**Title of Proposal**

**List of participants**

<b>Participant No *</b>	<b>Participant organisation name</b>	<b>Country</b>
1 (Coordinator)		
2		
3		

\* Please use the same participant numbering as that used in the administrative proposal forms.

**Table of Contents**

## 1. Excellence

Your proposal must address a BBI JU annual Work Plan topic for this call for proposals.

**⚠ This section of your proposal will be assessed only to the extent that it is relevant to that topic.**

### 1.1 Objectives

- Describe the specific objectives for the project<sup>5</sup>, which should be clear, measurable, realistic and achievable within the duration of the project. Objectives should be consistent with the expected exploitation and impact of the project (see section 2).
- Explain the industrial/economic/social problem to overcome, or the business opportunity to be taken advantage of, that has not yet been solved / offered and can be solved / offered through your innovation business project and how this relates to the BBI JU annual Work Plan topic;
- Explain also how your solution solves the stated problem or avails of the business opportunity

### 1.2 Relation to the BBI JU annual Work Plan

- Indicate the BBI JU annual Work Plan topic to which your proposal relates, and explain how your proposal addresses the specific challenge and scope of that topic, as set out in the BBI JU annual Work Plan.

### 1.3 Concept and approach

- Describe and explain the overall concept underpinning the project. Describe the main ideas, models or assumptions involved. Identify any trans-disciplinary considerations;
- Describe the positioning of the project e.g. where it is situated in the spectrum from 'idea to application', or from 'lab to market'. Refer to Technology Readiness Levels. (See [Annex of the BBI JU annual Work Plan](#));
- Describe and explain the concept and the approach/activities that you will implement during this project (e.g. demonstration, testing, prototyping, pilot lines, scale-up studies, miniaturisation, design, performance verification, market replication encouraging the involvement of end users and potential clients, research etc.);
- Describe any national or international research and innovation activities which will be linked with the project, especially where the outputs from these will feed into the project;
- Describe and explain the overall approach and methodology, distinguishing, as appropriate, activities indicated in the relevant section of the work plan, e.g. for research, demonstration, piloting, first market replication, etc;
- Where relevant, describe how sex and/or gender analysis is taken into account in the project's content.

**⚠ Sex and gender refer to biological characteristics and social/cultural factors respectively. For guidance on methods of sex / gender analysis and the issues to be taken into account,**

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<sup>5</sup> The term 'project' used in this template equates to an 'action' in certain other Horizon 2020 documentation.

please refer to [http://ec.europa.eu/research/science-society/gendered-innovations/index\\_en.cfm](http://ec.europa.eu/research/science-society/gendered-innovations/index_en.cfm)

## 1.4 Ambition

- Describe the advance your proposal would provide beyond the state-of-the-art, and the extent the proposed work is ambitious. Your answer could refer to the ground-breaking nature of the objectives, concepts involved, issues and problems to be addressed, and approaches and methods to be used.
- Describe the innovation potential which the proposal represents, clearly explaining how this would contribute to advancing beyond the state-of-the-art. Where relevant, refer to products and services already available on the market. Please refer to the results of any patent search carried out.
- Describe how the proposal covers the whole value chain (raw materials, equipment and technology suppliers and end-users);

## 2. Impact

### 2.1 Expected impacts

**⚠** *Please be specific, and provide only information that applies to the proposal and its objectives. Wherever possible, use quantified indicators and targets.*

- Describe how your project will contribute to:
  - the expected impacts set out in the BBI JU annual Work Plan, under the relevant topic;
  - improving innovation capacity and the integration of new knowledge (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;
  - any other environmental and socially important impacts (if not already covered above).
- Describe any barriers/obstacles, and any framework conditions (such as regulation and standards), that may determine whether and to what extent the expected impacts will be achieved. (This should not include any risk factors concerning implementation, as covered in section 3.2.)

### 2.2 Measures to maximise impact

#### a) Dissemination and exploitation of results

- Provide a draft 'plan for the dissemination and exploitation of the project's results' (unless the BBI JU annual Work Plan topic explicitly states that such a plan is not required). For innovation actions describe a credible path to deliver the innovations to the market. The plan, which should be proportionate to the scale of the project, should contain measures to be implemented both during and after the project.
  - ⚠** *Dissemination and exploitation measures should address the full range of potential users and uses including research, commercial, investment, social, environmental, policy making, setting standards, skills and educational training.*
  - ⚠** *The approach to innovation should be as comprehensive as possible, and must be tailored to the specific technical, market and organisational issues to be addressed.*

- Explain how the proposed measures, including consortium contributions, will help to achieve the expected impact of the project.
- Only for BIC members – provide a description of how the project will have a positive impact in the context of "additional activities" and how those will enhance the exploitation capacity of the project". The proposed additional activities must be part of the Annual Activity Plan approved by the Government Board.
- Explain how industry engagement in the action will contribute to the exploitation and deployment of results.

## **b) Intellectual Property, knowledge protection and regulatory issues**

- Industrial Property Rights assets: describe the key knowledge (IPR) items and who owns them; patents (filed and/or granted) or other ways of protection; ownership;
- Describe the measures to ensure the possibility of commercial exploitation ('freedom to operate');
- Outline the strategy for knowledge management and protection as well as current IP status;
- Explain the regulatory and/or standard requirements to be fulfilled for the exploitation of the technology/product/solution or concept: how they are to be met;
- Where relevant, include information on how the participants will manage the research data generated and/or collected during the project, in particular addressing the following issues:<sup>6</sup>
  - What types of data will the project generate/collect?
  - What standards will be used?
  - How will this data be exploited and/or shared/made accessible for verification and re-use? If data cannot be made available, explain why.
  - How will this data be curated and preserved?

**⚠ You will need an appropriate consortium agreement to manage (amongst other things) the ownership and access to key knowledge (IPR, data etc.). Where relevant, these will allow you, collectively and individually, to pursue market opportunities arising from the project's results.**

**⚠ The appropriate structure of the consortium to support exploitation is addressed in section 3.3.**
- Outline the strategy for knowledge management and protection. Include measures to provide open access (free on-line access, such as the 'green' or 'gold' model) to peer-reviewed scientific publications which might result from the project<sup>7</sup>.
 

**⚠ Open access publishing (also called 'gold' open access) means that an article is immediately provided in open access mode by the scientific**

<sup>6</sup> For further guidance on research data management, please refer to the H2020 Online Manual on the Participant Portal.

<sup>7</sup> Open access must be granted to all scientific publications resulting from Horizon 2020 actions. Further guidance on open access is available in the H2020 Online Manual on the Participant Portal.

*publisher. The associated costs are usually shifted away from readers, and instead (for example) to the university or research institute to which the researcher is affiliated, or to the funding agency supporting the research.*

**⚠** *Self-archiving (also called 'green' open access) means that the published article or the final peer-reviewed manuscript is archived by the researcher - or a representative - in an online repository before, after or alongside its publication. Access to this article is often - but not necessarily - delayed ('embargo period'), as some scientific publishers may wish to recoup their investment by selling subscriptions and charging pay-per-download/view fees during an exclusivity period.*

## **b) Communication activities**

- Describe the proposed communication measures for promoting the project and its findings during the period of the grant. Measures should be proportionate to the scale of the project, with clear objectives. They should be tailored to the needs of various audiences, including groups beyond the project's own community. Where relevant, include measures for public/societal engagement on issues related to the project.

## **3. Implementation**

### **3.1 Work plan — Work packages, deliverables and milestones**

Please provide the following:

- brief presentation of the overall structure of the work plan;
- timing of the different work packages and their components (Gantt chart or similar);
- detailed work description, i.e.:
  - a description of each work package (table 3.1a);
  - a list of work packages (table 3.1b);
  - a list of major deliverables (table 3.1c);
- graphical presentation of the components showing how they inter-relate (Pert chart or similar).
  - the proposal should include a detailed business plan justified by a thorough business case (details can be provided as annexes). The business case should cover:
    - The business need or requirement and option to best address it;
    - Analysis of the benefits and costs of the options;
    - Recommendations regarding the preferred option;
    - Risk identification and mitigation strategy;
    - Implementation strategy.

The business plan should provide information on:

- Sales Forecast
- Personnel Plan
- Profit & Loss Statement

- Cash Flow Statement
- Balance Sheet
- A description of the business
- 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). The proposal should include a detailed description of the existing facility/plant which will be used for the implementation of the project and/or information on the level of investment (a description of the additional activities not funded by the BBI-JU is to be provided under section 2.2 'Measures to maximise impact') foreseen for the establishment of the large scale production facility- being it a new installation, a substantial modification of an existing facility, or reconversion of old or abandoned industrial facilities- where the proposed work will be carried out. For instance, the proposal could include commitment letters of the financial partners investing in the plant (Board of the company and other financiers, e.g. bank) that they would invest providing that the BBI JU project is granted.
- The proposal should include an exploitation plan stating the activities to be performed to further increase the economic viability of their process, to prove market demand or include measures to increase market demand, to address consumer perception and to evaluate sustainability;

**⚠ Give full details. Base your account on the logical structure of the project and the stages in which it is to be carried out. Include details of the resources to be allocated to each work package. The number of work packages should be proportionate to the scale and complexity of the project.**

**⚠ You should give enough detail in each work package to justify the proposed resources to be allocated and also quantified information so that progress can be monitored, including by the Commission.**

**⚠ You are advised to include a distinct work package on 'management' (see section 3.2) and to give due visibility in the work plan to 'dissemination and exploitation' and 'communication activities', either with distinct tasks or distinct work packages.**

**⚠ You will be required to include an updated (or confirmed) 'plan for the dissemination and exploitation of results' in both the periodic and final reports. (This does not apply to topics where a draft plan was not required.) This should include a record of activities related to dissemination and exploitation that have been undertaken and those still planned. A report of completed and planned communication activities will also be required.**



### Definitions:

*'Work package' means a major sub-division of the proposed project.*

*'Deliverable' means a distinct output of the project, meaningful in terms of the project's overall objectives and constituted by a report, a document, a technical diagram, a software etc.*

*'Milestones' means control points in the project that help to chart progress. Milestones may correspond to the completion of a key deliverable, allowing the next phase of the work to begin. They may also be needed at intermediary points so that, if problems have arisen, corrective measures can be taken. A milestone may be a critical decision point in the project where, for example, the consortium must decide which of several technologies to adopt for further development.*

## 3.2 Management structure and procedures


- Describe the organisational structure and the decision-making ( including a list of milestones (table 3.2a))
- Explain why the organisational structure and decision-making mechanisms are appropriate to the complexity and scale of the project.
- Describe, where relevant, how effective innovation management will be addressed in the management structure and work plan.  
 *Innovation management is a process which requires an understanding of both market and technical problems, with a goal of successfully implementing appropriate creative ideas. A new or improved product, service or process is its typical output. It also allows a consortium to respond to an external or internal opportunity.*
- Describe any critical risks, relating to project implementation, that the stated project's objectives may not be achieved. Detail any risk mitigation measures. Please provide a table with critical risks identified and mitigating actions (table 3.2b)

## 3.3 Consortium as a whole

*The individual members of the consortium are described in a separate section 4. There is no need to repeat that information here.*

- Describe the consortium. How will it match the project's objectives? How do the members complement one another (and cover the value chain, where appropriate)? In what way does each of them contribute to the project? How will they be able to work effectively together?
- If applicable, describe the industrial/commercial involvement in the project to ensure exploitation of the results and explain why this is consistent with and will help to achieve the specific measures which are proposed for exploitation of the results of the project (see section 2.3).
- **Other countries:** If one or more of the participants requesting EU funding is based in a country that is not automatically eligible for such funding (entities from Member States of the EU, from Associated Countries and from one of the countries in the exhaustive list included in annex of the BBI JU annual Work Plan are automatically eligible for EU funding), explain why the participation of the entity in question is essential to carrying out the project

### **3.4 Resources to be committed**

 *Please make sure the information in this section matches the costs as stated in the budget table in section 3 of the administrative proposal forms, and the number of person/months, shown in the detailed work package descriptions.*

Please provide the following:

- a table showing number of person/months required (table 3.4a)
- a table showing 'other direct costs' (table 3.4b) for participants where those costs exceed 15% of the personnel costs (according to the budget table in section 3 of the administrative proposal forms)
- summary of consortium partners in kind contributions .
- description of the additional activities (where appropriate)



**Table 3.1a: Work package description**

**For each work package:**

<b>Work package number</b>		<b>Start Date or Starting Event</b>						
<b>Work package title</b>								
<b>Participant number</b>								
<b>Short name of participant</b>								
<b>Person/months per participant:</b>								

<b>Objectives</b>
-------------------

<b>Description of work</b> (where appropriate, broken down into tasks), lead partner and role of participants
---

<b>Deliverables</b> (brief description and month of delivery)
---

**Table 3.1b: List of work packages**

<b>Work package No</b>	<b>Work Package Title</b>	<b>Lead Participant No</b>	<b>Lead Participant Short Name</b>	<b>Person-Months</b>	<b>Start Month</b>	<b>End month</b>
				Total months		

**Table 3.1c: List of Deliverables**

Deliverable (number)	Deliverable name	Work package number	Short name of lead participant	Type	Dissemination level	Delivery date

**KEY**

*Deliverable numbers in order of delivery dates. Please use the numbering convention <WP number>.<number of deliverable within that WP>.*

*For example, deliverable 4.2 would be the second deliverable from work package 4.*

**Type:**

*Use one of the following codes:*

- R: Document, report (excluding the periodic and final reports)
- DEM: Demonstrator, pilot, prototype, plan designs
- DEC: Websites, patents filing, press & media actions, videos, etc.
- OTHER: Software, technical diagram, etc.

**Dissemination level:**

*Use one of the following codes:*

- PU = Public, fully open, e.g. web
- CO = Confidential, restricted under conditions set out in Model Grant Agreement
- CI = Classified, information as referred to in Commission Decision 2001/844/EC.

**Delivery date**

Measured in months from the project start date (month 1)

**Table 3.2a: List of milestones**

Milestone number	Milestone name	Related work package(s)	Estimated date	Means of verification

<p><b>KEY</b></p> <p><b>Estimated date</b>  <i>Measured in months from the project start date (month 1)</i></p> <p><b>Means of verification</b>  <i>Show how you will confirm that the milestone has been attained. Refer to indicators if appropriate. For example: a laboratory prototype that is 'up and running'; software released and validated by a user group; field survey complete and data quality validated.</i></p>
--

**Table 3.2b: Critical risks for implementation**

Description of risk	Work package(s) involved	Proposed risk-mitigation measures

**Table 3.4a: Summary of staff effort**

Please indicate the number of person/months over the whole duration of the planned work, for each work package, for each participant. Identify the work-package leader for each WP by showing the relevant person-month figure in bold.

	WPn	WPn+1	WPn+2	Total Person/ Months per Participant
Participant Number/Short Name				
Participant Number/ Short Name				
Participant Number/ Short Name				
<b>Total Person/Months</b>				

**Table 3.4b: ‘Other direct cost’ items (travel, equipment, other goods and services, large research infrastructure)**

Please complete the table below for each participant if the sum of the costs for ‘travel’, ‘equipment’, and ‘goods and services’ exceeds 15% of the personnel costs for that participant (according to the budget table in section 3 of the proposal administrative forms).

Participant Number/Short Name	Cost (€)	Justification
Travel		
Equipment		
Other goods and services		
<b>Total</b>		

Please complete the table below for all participants that would like to declare costs of large research infrastructure under Article 6.2 of the General Model Agreement<sup>8</sup>, irrespective of the percentage of personnel costs. Please indicate (in the justification) if the beneficiary’s methodology for declaring the costs for large research infrastructure has already been positively assessed by the Commission.

Participant Number/Short Name	Cost (€)	Justification
Large research infrastructure		

<sup>8</sup> Large research infrastructure means research infrastructure of a total value of at least EUR 20 million, for a beneficiary. More information and further guidance on the direct costing for the large research infrastructure is available in the H2020 Online Manual on the Participant Portal.

#### 4. Members of the consortium

*This section is not covered by the page limit.*

The information provided here will be used to judge the operational capacity.

##### 4.1. Participants (applicants)

Please provide, for each participant, the following (if available):

- a description of the legal entity and its main tasks, with an explanation of how its profile matches the tasks in the proposal;
- a curriculum vitae or description of the profile of the persons, including their gender, who will be primarily responsible for carrying out the proposed research and/or innovation activities;
- a list of up to 5 relevant publications, and/or products, services (including widely-used datasets or software), or other achievements relevant to the call content;
- a list of up to 5 relevant previous projects or activities, connected to the subject of this proposal;
- a description of any significant infrastructure and/or any major items of technical equipment, relevant to the proposed work;

##### 4.2. Third parties<sup>9</sup> involved in the project (including use of third party resources)

*Please complete, for each participant, the following table (or simply state "No third parties involved", if applicable):*

Does the participant plan to subcontract certain tasks (please note that core tasks of the project should not be sub-contracted)	Y/N
<i>If yes, please describe and justify the tasks to be subcontracted</i>	
Does the participant envisage that part of its work is performed by linked third parties <sup>7</sup>	Y/N
<i>If yes, please describe the third party, the link of the participant to the third party, and describe and justify the foreseen tasks to be performed by the third party</i>	
Does the participant envisage the use of contributions in kind provided by third parties (Articles 11 and 12 of the General Model Grant Agreement)	Y/N
<i>If yes, please describe the third party and their contributions</i>	

<sup>9</sup> A third party that is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action. (see relevant articles Model Grant Agreement).

## 5. Ethics Issues

*This section is not covered by the page limit.*

All research activities in Horizon 2020 should respect fundamental ethics principles, including those reflected in the Charter of Fundamental Rights of the European Union.<sup>10</sup> These principles include the need to ensure the freedom of research and the need to protect the physical and moral integrity of individuals and the welfare of animals.

Research ethics is of crucial importance for all scientific domains. Informed consent and confidentiality are as important for a sociological study as they are for clinical research.

All proposals considered for funding will be submitted to an Ethics Review. The Ethics Review is the core of the H2020 Ethics Appraisal scheme, which concerns all proposals and projects, and also includes the Ethics Checks and Ethics Audit that can be initiated during the project implementation.

In this context, please be aware that it is the applicants' responsibility to identify any potential ethics issues, to handle the ethics aspects of their proposal, and to detail how they plan to address them.

If you have entered any ethics issues in the ethics issues table in Part A of the proposal, you must submit an ethics self-assessment. For more details, please refer to the Ethics Self-Assessment Guidelines under Horizon 2020.<sup>11</sup>

Your self-assessment must:

### **1) Describe how the proposal meets the national legal and ethics requirements of the country or countries where the tasks raising ethics issues are to be carried out.**

Should your proposal be selected for funding, you will be required to provide the following documents, if they are already in your possession:

- The ethics committee opinion required under national law
- The document that is mandatory under national law notifying activities raising ethics issues or authorising such activities

*If these documents are not in English, you must also submit an English summary of them (containing, if available, the conclusions of the committee or authority concerned).*

*If you plan to request these documents specifically for your proposed project, your request must contain an explicit reference to its title.*

<sup>10</sup> Charter of Fundamental Rights of the European Union, 2000/C 364/01. See also [http://www.europarl.europa.eu/charter/default\\_en.htm](http://www.europarl.europa.eu/charter/default_en.htm)

<sup>11</sup> The Ethics Self-Assessment Guidelines under Horizon 2020 is available on the Participant Portal

**2) Explain in detail how you intend to address the issues in the ethics issues table, in particular as regards:**

- Research **objectives** (e.g. study of vulnerable populations, dual use, etc);
- Research **methodology** (e.g. clinical trials, involvement of children and related consent procedures, protection of any data collected, etc);
- The potential **impact** of the research (e.g. dual use issues, environmental damage, stigmatisation of particular social groups, political or financial retaliation, benefit-sharing, malevolent use, etc).