



The EU Framework Programme  
for Research and Innovation

# HORIZON 2020



2016-2017

Research and Innovation Actions (RIA)  
Innovation Actions (IA)

Administrative forms (Part A)  
Research proposal (Part B)

Version 2.0  
13 October 2015

**Disclaimer**

This document is aimed at informing potential applicants for Horizon 2020 funding. It serves only as an example. The actual Web forms and templates, provided in the online proposal submission system under the Participant Portal, might differ from this example. Proposals must be prepared and submitted via the online proposal submission system under the Participant Portal.

Research and  
Innovation

## History of changes

Version	Date	Change	Page
1.1	27.02.2014	<ul style="list-style-type: none"> <li>▪ Information on Evaluation added - scoring of proposals as they were submitted, rather than on their potential if certain changes to be made (Part B)</li> </ul>	1
1.2	04.04.2014	<ul style="list-style-type: none"> <li>▪ In section 3.3, the number of the template section referred to for exploitation measures is corrected.</li> </ul>	7
1.3	04.12.2014	<ul style="list-style-type: none"> <li>▪ Reference added to Part B on compliance with any minimum requirements linked to participation for first stage proposals</li> </ul>	1
1.4	21.05.2015	<ul style="list-style-type: none"> <li>▪ Typographical correction: separation of required bullet points under section 2.1 "Expected impacts" (PartB)</li> </ul>	3
2.0	13.10.2015	<ul style="list-style-type: none"> <li>▪ Part A - Budget table distinguishes different tables for RIA and IA type of actions</li> <li>▪ new links added to WP16-17 General Annexes</li> <li>▪ sentence inserted in instruction page: "The page limit will be applied automatically, therefore you must remove this instruction page before submitting." + page numbers starting at cover page</li> <li>▪ subtitles "Tables for section 3.n" added in the tables section</li> </ul>	

## Horizon 2020

**Topic:**

**Type of action:**

( )

**Proposal number:**

**Proposal acronym:**

**Deadline Id:**

[Table of contents](#)

Section	Title	Action
1	General information	
2	Participants & contacts	
3	Budget	
4	Ethics	

### [How to fill in the forms](#)

The administrative forms must be filled in for each proposal using the templates available in the submission system. Some data fields in the administrative forms are pre-filled based on the previous steps in the submission wizard.



Proposal ID

Acronym

## 1 - General information

Topic

Call Identifier

Type of Action

Deadline Id

Acronym

Proposal title\*

*Max 200 characters (with spaces). Must be understandable for non-specialists in your field.*

*Note that for technical reasons, the following characters are not accepted in the Proposal Title and will be removed: < > " &*

Duration in months

*Estimated duration of the project in full months.*

Free keywords

*Enter any words you think give extra detail of the scope of your proposal (max 200 characters with spaces).*

### Abstract

*Short summary (max. 2,000 characters, with spaces) to clearly explain:*

- the objectives of the proposal*
- how they will be achieved*
- their relevance to the work programme.*

*Will be used as the short description of the proposal in the evaluation process and in communications with the programme management committees and other interested parties .*

- Do not include any confidential information.*
- Use plain typed text, avoiding formulae and other special characters.*

*If the proposal is written in a language other than English, please include an English version of this abstract in the "Technical Annex" section.*

Remaining characters

2000

Has this proposal (or a very similar one) been submitted in the past 2 years in response to a call for proposals under the 7th Framework Programme, Horizon 2020 or any other EU programme(s)?

Yes  No

Proposal ID

Acronym

## Declarations

1) The coordinator declares to have the explicit consent of all applicants on their participation and on the content of this proposal.	<input type="checkbox"/>
2) The information contained in this proposal is correct and complete.	<input type="checkbox"/>
3) This proposal complies with ethical principles (including the highest standards of research integrity — as set out, for instance, in the <a href="#">European Code of Conduct for Research Integrity</a> — and including, in particular, avoiding fabrication, falsification, plagiarism or other research misconduct).	<input type="checkbox"/>
4) The coordinator confirms:	
- to have carried out the self-check of the financial capacity of the organisation on <a href="http://ec.europa.eu/research/participants/portal/desktop/en/organisations/lfv.html">http://ec.europa.eu/research/participants/portal/desktop/en/organisations/lfv.html</a> or to be covered by a financial viability check in an EU project for the last closed financial year. Where the result was “weak” or “insufficient”, the coordinator confirms being aware of the measures that may be imposed in accordance with the H2020 Grants Manual (Chapter on Financial capacity check); or	<input type="radio"/>
- is exempt from the financial capacity check being a public body including international organisations, higher or secondary education establishment or a legal entity, whose viability is guaranteed by a Member State or associated country, as defined in the H2020 Grants Manual (Chapter on Financial capacity check); or	<input type="radio"/>
- as sole participant in the proposal is exempt from the financial capacity check.	<input type="radio"/>
5) The coordinator hereby declares that each applicant has confirmed:	
- they are fully eligible in accordance with the criteria set out in the specific call for proposals; and	<input type="checkbox"/>
- they have the financial and operational capacity to carry out the proposed action.	<input type="checkbox"/>
The coordinator is only responsible for the correctness of the information relating to his/her own organisation. Each applicant remains responsible for the correctness of the information related to him/her and declared above. Where the proposal to be retained for EU funding, the coordinator and each beneficiary applicant will be required to present a formal declaration in this respect.	

According to Article 131 of the Financial Regulation of 25 October 2012 on the financial rules applicable to the general budget of the Union (Official Journal L 298 of 26.10.2012, p. 1) and Article 145 of its Rules of Application (Official Journal L 362, 31.12.2012, p.1) applicants found guilty of misrepresentation may be subject to administrative and financial penalties under certain conditions.

### Personal data protection

Your reply to the grant application will involve the recording and processing of personal data (such as your name, address and CV), which will be processed pursuant to Regulation (EC) No 45/2001 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data. Unless indicated otherwise, your replies to the questions in this form and any personal data requested are required to assess your grant application in accordance with the specifications of the call for proposals and will be processed solely for that purpose. Details concerning the processing of your personal data are available on the [privacy statement](#). Applicants may lodge a complaint about the processing of their personal data with the European Data Protection Supervisor at any time.

Your personal data may be registered in the [Early Warning System \(EWS\)](#) only or both in the EWS and [Central Exclusion Database \(CED\)](#) by the Accounting Officer of the Commission, should you be in one of the situations mentioned in:

- the Commission Decision 2008/969 of 16.12.2008 on the Early Warning System (for more information see the [Privacy Statement](#)), or
- the Commission Regulation 2008/1302 of 17.12.2008 on the Central Exclusion Database (for more information see the [Privacy Statement](#)).



Proposal ID

Acronym

### List of participants

#	Participant Legal Name	Country
1		

Example, not to complete



*Proposal ID*

*Acronym*

*Short name*

## 2 - Administrative data of participating organisations

**PIC**

**Legal name**

*Short name:*

*Address of the organisation*

Street

Town

Postcode

Country

Webpage

*Legal Status of your organisation*

### Research and Innovation legal statuses

Public body ..... unknown

Legal person ..... unknown

Non-profit ..... unknown

Operating Grant ..... unknown

International organisation ..... unknown

International organisation of European interest ..... unknown

Secondary or Higher education establishment ..... unknown

Research organisation ..... unknown

### Enterprise Data

SME self-declared status ..... unknown

SME self-assessment ..... unknown

SME validation sme ..... unknown

**Based on the above details of the Beneficiary Registry the organisation is not an SME (small- and medium-sized enterprise) for the call.**

NACE Code: -



Proposal ID

Acronym

Short name

*Department(s) carrying out the proposed work*

**Department 1**

Department name

not applicable

Same as organisation address

Street

Town

Postcode

Country

*Dependencies with other proposal participants*

<b>Character of dependence</b>	<b>Participant</b>	
--------------------------------	--------------------	--

Example,





Proposal ID	Acronym	Short name
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*Person in charge of the proposal*

The name and e-mail of contact persons are read-only in the administrative form, only additional details can be edited here. To give access rights and basic contact details of contact persons, please go back to Step 4 of the submission wizard and save the changes.

Title

Sex  Male  Female

First name	Last name
E-Mail	

Position in org.

Department   Same as organisation

Same as organisation address

Street

Town  Post code

Country

Website

Phone 1

Phone 2

Fax

Example,

Proposal ID

Acronym

Go to

### 3 - Budget for the proposal

## Research and Innovation actions

No	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) Reimbursement rate (%)	(J) Max.EU Contribution / € (=H*I)	(K) Requested EU Contribution/ €
1			0	0	0	0	0	0,00	0	0,00	100	0,00	0,00
Total			0	0	0	0	0	0,00	0	0,00		0,00	0,00

## Innovation actions

No	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) (Beneficiary)	(I) Reimbursement rate (%) (Beneficiary)	(J) Max.EU Contribution / € (=H*I) (Beneficiary)	(K) Costs of third parties linked to participant (Third parties)	(L) Max.EU Contribution / € (Third parties)	(M) Total Costs for (beneficiary + third parties) (=H+K)	(N) Max.EU Contribution / € (beneficiary + third parties) (=J+L)	(O) Requested EU Contribution/ €
1			0	0	0	0	0	0,00	0	0,00	100	0,00	0	0	0,00	0,00	0,00
Total			0	0	0	0	0	0,00	0	0,00		0,00	0,00	0,00	0,00	0,00	0,00

For Stage 1 proposals  
only the total requested EU contribution has to be filled in.

Proposal ID

Acronym

## 4 - Ethics issues table

<b>1. HUMAN EMBRYOS/FOETUSES</b>		Page
Does your research involve <a href="#">Human Embryonic Stem Cells (hESCs)</a> ?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does your research involve the use of human embryos?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does your research involve the use of human foetal tissues / cells?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
<b>2. HUMANS</b>		Page
Does your research involve human participants?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does your research involve physical interventions on the study participants?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
<b>3. HUMAN CELLS / TISSUES</b>		Page
Does your research involve human cells or tissues (other than from Human Embryos/ Foetuses, i.e. section 1)?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
<b>4. PERSONAL DATA</b>		Page
Does your research involve personal data collection and/or processing?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does your research involve further processing of previously collected personal data (secondary use)?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
<b>5. ANIMALS</b>		Page
Does your research involve animals?	<input type="radio"/> Yes <input checked="" type="radio"/> No	

**Not required for stage 1**



Proposal ID	Acronym	
<b>6. THIRD COUNTRIES</b>		Page
In case non-EU countries are involved, do the research related activities undertaken in these countries raise potential ethics issues?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Do you plan to use local resources (e.g. animal and/or human tissue samples, genetic material, live animals, human remains, materials of historical value, endangered fauna or flora samples, etc.)?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Do you plan to import any material - including personal data - from non-EU countries into the EU?  <i>For data imports, please fill in also section 4. For imports concerning human cells or tissues, fill in also section 3.</i>	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Do you plan to export any material - including personal data - from the EU to non-EU countries?  <i>For data exports, please fill in also section 4. For exports concerning human cells or tissues, fill in also section 3.</i>	<input type="radio"/> Yes <input checked="" type="radio"/> No	
If your research involves low and/or lower middle income countries, are benefits-sharing measures foreseen?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Could the situation in the country put the individuals taking part in the research at risk?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
<b>7. ENVIRONMENT &amp; HEALTH and SAFETY</b>		Page
Does your research involve the use of elements that may cause harm to the environment, to animals or plants?  <i>For research involving animal experiments, please fill in also section 5.</i>	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does your research deal with endangered fauna and/or flora and/or protected areas?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does your research involve the use of elements that may cause harm to humans, including research staff?  <i>For research involving human participants, please fill in also section 2.</i>	<input type="radio"/> Yes <input checked="" type="radio"/> No	
<b>8. DUAL USE</b>		Page
Does your research have the potential for military applications?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
<b>9. MISUSE</b>		Page
Does your research have the potential for malevolent/criminal/terrorist abuse?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
<b>10. OTHER ETHICS ISSUES</b>		Page
Are there any other ethics issues that should be taken into consideration? Please specify	<input type="radio"/> Yes <input checked="" type="radio"/> No	

Not required for stage 1



Proposal ID

Acronym

I confirm that I have taken into account all ethics issues described above and that, if any ethics issues apply, I will complete the ethics self-assessment and attach the required documents.

[How to Complete your Ethics Self-Assessment](#)

Example, not to complete

Calls/topics may include additional questions, which are not shown in the general template (e.g. participation in the pilot on open access, clinical trial, etc.)

Proposal ID

Acronym

## Validation result

Show Error

The red 'Show Error' button indicates an error due to a missing or incorrect value related to the call eligibility criteria. The submission of the proposal **will be blocked** unless that specific field is corrected!

Show Warning

The yellow 'Show Warning' button indicates a warning due to a missing or incorrect value related to the call eligibility criteria. The submission of the proposal **will not be blocked** (proposal will be submitted with the missing or incorrect value).

Section

Description

The form has not yet been validated, click "Validate Form" to do so!

Example, not to complete



## Proposal template (technical annex)

### *Research and Innovation actions* *Innovation actions*

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.

Please be aware that proposals will be evaluated as they were submitted, rather than on their potential if certain changes were to be made. This means that only proposals that successfully address all the required aspects will have a chance of being funded. There will be no possibility for significant changes to content, budget and consortium composition during grant preparation.

**⚠ First stage proposals:** In two-stage submission schemes, at the first stage you only need to complete the parts indicated by a bracket (i.e. } ). These are in the cover page, and sections 1 and 2.

**⚠ 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).

The page limit for a first stage proposal is 10 pages.

The page limit will be applied automatically; therefore you must remove this instruction page before submitting.

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**

Note: Consortium members are listed in part A. For full proposals only, a summary list should also be provided in the table below.

**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.



## 1. Excellence

**Your proposal must address a work programme 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>1</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).

### 1.2 Relation to the work programme

- Indicate the work programme 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 work programme.

### 1.3 Concept and methodology

#### (a) Concept

- Describe and explain the overall concept underpinning the project. Describe the main ideas, models or assumptions involved. Identify any inter-disciplinary considerations and, where relevant, use of stakeholder knowledge;
- 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 where relevant. (See [General Annex G of the work programme](#));
- 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;

#### (b) Methodology

- Describe and explain the overall methodology, distinguishing, as appropriate, activities indicated in the relevant section of the work programme, 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, please refer to [http://ec.europa.eu/research/swafs/gendered-innovations/index\\_en.cfm?pg=home](http://ec.europa.eu/research/swafs/gendered-innovations/index_en.cfm?pg=home)**

### 1.4 Ambition

- Describe the advance your proposal would provide beyond the state-of-the-art, and the extent the proposed work is ambitious.


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<sup>1</sup> The term ‘project’ used in this template equates to an ‘action’ in certain other Horizon 2020 documentation.

- Describe the innovation potential (e.g. **ground-breaking objectives, novel concepts and approaches, new products, services or business and organisational models**) which the proposal represents. Where relevant, refer to products and services already available on the market. Please refer to the results of any patent search carried out.

## 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:
  - each of the expected impacts mentioned in the work programme, under the relevant topic;
  - any substantial impacts not mentioned in the work programme, that would enhance innovation capacity; create new market opportunities, strengthen competitiveness and growth of companies, address issues related to climate change or the environment, or bring other important benefits for society
- Describe any barriers/obstacles, and any framework conditions (such as regulation, standards, public acceptance, workforce considerations, financing of follow-up steps, cooperation of other links in the value chain), 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**'. Please note that such a draft plan is an admissibility condition, unless the work programme topic explicitly states that such a plan is not required.

Show how the proposed measures will help to achieve the expected impact of the project.

The plan, should be proportionate to the scale of the project, and should contain measures to be implemented both during and after the end of the project. For innovation actions, in particular, please describe a credible path to deliver these innovations to the market.

 Your plan for the dissemination and exploitation of the project's results is key to maximising their **impact**. This plan should describe, in a concrete and comprehensive manner, the **area** in which you expect to make an impact and **who** are the potential users of your results. Your plan should also describe **how** you intend to use the appropriate channels of dissemination and interaction with potential users.

**⚠** Consider the full range of potential users and uses, including research, commercial, investment, social, environmental, policy-making, setting standards, skills and educational training where relevant.

**⚠** Your plan should give due consideration to the possible **follow-up** of your project, once it is finished. Its exploitation could require additional investments, wider testing or scaling up. Its exploitation could also require other pre-conditions like regulation to be adapted, or value chains to adopt the results, or the public at large being receptive to your results.

- Include a business plan where relevant.
- If you will take part in the pilot on **Open Research Data**<sup>2</sup>, 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>3</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>4</sup>.

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

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<sup>2</sup> Certain actions under Horizon 2020 participate in the 'Pilot on Open Research Data in Horizon 2020'. All other actions can participate on a voluntary basis to this pilot. Further guidance is available in the H2020 Online Manual on the Participant Portal.

<sup>3</sup> For further guidance on research data management, please refer to the H2020 Online Manual on the Participant Portal.

<sup>4</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.

## b) Communication activities<sup>5</sup>

- Describe the proposed communication measures for promoting the project and its findings during the period of the grant<sup>6</sup>. Measures should be proportionate to the scale of the project, with clear objectives. They should be tailored to the needs of different target 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

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).

**⚠** Give full details. Base your account on the logical structure of the project and the stages in which it is to be carried out. 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

**⚠** Resources assigned to work packages should be in line with their objectives and deliverables. 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.

**⚠** If your project is taking part in the Pilot on Open Research Data, you must include a 'data management plan' as a distinct deliverable within the first 6 months of the project. A template for such a plan is given in the guidelines on data management in the H2020 Online Manual. This deliverable will evolve during the lifetime of the project in order to present the status of the project's reflections on data management.

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<sup>5</sup> Not applicable to SME Instrument, phase 1.

<sup>6</sup> For further guidance on communicating EU research and innovation guidance for project participants, please refer to the H2020 Online Manual on the Participant Portal.

### **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.*

## **3.2 Management structure, milestones 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)

### **Definition:**

*'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.*


## **3.3 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, and bring together the necessary expertise? 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? Show that each has a valid role, and adequate resources in the project to fulfil that role.
- 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 2.2).

- **Other countries and international organisations:** If one or more of the participants requesting EU funding is based in a country or is an international organisation 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 [General Annex A of the work programme](#) 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)

**Tables for section 3.1**

**Table 3.1a: Work package description**

**For each work package:**

<b>Work package number</b>		<b>Lead beneficiary</b>					
<b>Work package title</b>							
<b>Participant number</b>							
<b>Short name of participant</b>							
<b>Person/months per participant:</b>							
<b>Start month</b>				<b>End month</b>			

**Objectives**

**Description of work** (where appropriate, broken down into tasks), lead partner and role of participants

**Deliverables** (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>
				<b>Total months</b>		

Example, not to complete



**Table 3.1c: List of Deliverables<sup>7</sup>**

<b>Deliverable (number)</b>	<b>Deliverable name</b>	<b>Work package number</b>	<b>Short name of lead participant</b>	<b>Type</b>	<b>Dissemination level</b>	<b>Delivery date (in months)</b>

**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)

<sup>7</sup> If your action is taking part in the Pilot on Open Research Data, you must include a data management plan as a distinct deliverable within the first 6 months of the project. This deliverable will evolve during the lifetime of the project in order to present the status of the project's reflections on data management. A template for such a plan is available on the Participant Portal (Guide on Data Management).

## Tables for section 3.2

**Table 3.2a: List of milestones**

Milestone number	Milestone name	Related work package(s)	Due date (in month)	Means of verification

### KEY

#### Due date

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

#### Means of verification

*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.*

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

Description of risk (indicate level of likelihood: Low/Medium/High)	Work package(s) involved	Proposed risk-mitigation measures

### Definition critical risk:

*A critical risk is a plausible event or issue that could have a high adverse impact on the ability of the project to achieve its objectives.*

### Level of likelihood to occur: Low/medium/high

*The likelihood is the estimated probability that the risk will materialise even after taking account of the mitigating measures put in place.*

## Tables for section 3.4

**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
<b>Participant Number/Short Name</b>				
<b>ParticipantNumber/ Short Name</b>				
<b>Participant Number/ Short Name</b>				
<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
<b>Travel</b>		
<b>Equipment</b>		
<b>Other goods and services</b>		
<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
<b>Large research infrastructure</b>		

<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.

## Section 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;
- [any other supporting documents specified in the work programme for this call.]

### 4.2. Third parties 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>9</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. (Article 14 of the Model Grant Agreement).

## Section 5: Ethics and Security

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

### 5.1 Ethics

If you have entered any ethics issues in the ethical issue table in the administrative proposal forms, you must:

- submit an ethics self-assessment, which:
  - describes how the proposal meets the national legal and ethical requirements of the country or countries where the tasks raising ethical issues are to be carried out;
  - explains in detail how you intend to address the issues in the ethical 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.).
- provide the documents that you need under national law (if you already have them), e.g.:
  - an ethics committee opinion;
  - the document notifying activities raising ethical 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 the project you are proposing, your request must contain an explicit reference to the project title.*

### 5.2 Security<sup>10</sup>

**Please indicate if your project will involve:**

- activities or results raising security issues: (YES/NO)
- 'EU-classified information' as background or results: (YES/NO)

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<sup>10</sup> Article 37.1 of the Model Grant Agreement: *Before disclosing results of activities raising security issues to a third party (including affiliated entities), a beneficiary must inform the coordinator — which must request written approval from the Commission/Agency. Article 37.2: Activities related to 'classified deliverables' must comply with the 'security requirements' until they are declassified. Action tasks related to classified deliverables may not be subcontracted without prior explicit written approval from the Commission/Agency. The beneficiaries must inform the coordinator — which must immediately inform the Commission/Agency — of any changes in the security context and — if necessary — request for Annex 1 to be amended (see Article 55*