European Commission

H2020 Programme

Proposal template 2016-2017

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

SME instrument Phase 2

Version 3.1
21 February 2017

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.

HISTORY OF CHANGES			
Version	**Publication Date**	**Change**	**Page**
1.0	11.12.2013	▪ Initial version	
1.1	27.02.2014	▪ Part A added	1
		▪ Footnote was modified to align it with the Annotated Grant Agreement for the SME instrument-Phase2 (Part B)	12
		▪ Information on Evaluation added - scoring of proposals as they were submitted, rather than on their potential if certain changes to be made (Part B)	1
1.2	06.05.2014	▪ Addition of the reference to reimbursement rate of 100% (exceptional cases defined in the Work Programme)	
1.3	28.05.2015	▪ Section 4.1 – modification on how to subcontract third parties	14
2.0	28.01.2016	▪ new links added to WP16-17 General Annexes	2
		▪ 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	1
		▪ subtitles "Tables for section 3.n" added in the tables section	8-12
		▪ explanations on third party parties and subcontracts have been added to section 4.1	13
3.0	21.12.2016	Part A:	
		▪ Data management questions were updated to include the DMP and to reflect the extension of the Open Access to Research Data Pilot as open access becomes the default setting for research data generated in Horizon 2020	13
		▪ SME-status updated calculation method: the system reads now the closing date of the accounts for the financial year on which the assessment of the SME status was based. The confirmation of the SME status applies for two years.	
		Part B	
		▪ new instructions added	cover
		▪ replacement of "person/month" by "person month"	all
		▪ On 25/7 the revision of the WP is adopted. This includes the extension of the Pilot on Open Access to Research Data	par.2.2
		▪ replacement of "malevolent use" by "misuse"	par.5.1
		▪ reference to ethics guidance on the Participant portal	par.5.1
		▪ link to Model Grant Agreement (article 37)	par.5.2
3.1	21.02.2017	▪ Part A: In ethics issues table: Sub-question on 'destruction of Human embryos' added (S1) Questions on 'Dual use' and 'Misuse' redrafted (S8, S10) 'Exclusive focus on civil applications' added (S9)	 9 11 11
		▪ Part B: additional bullet point under expected impacts: addressing climate change or the environment, or bringing other important benefits to society	par. 2.1.a

Horizon 2020

Topic:

Type of action:

()

Proposal number:

Proposal acronym:

Deadline Id:

Table of contents

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.

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:
- *Summarise your business innovation project and its objectives.*
- *Describe the expected outcome (product/solutions), the advantages and achievements, its novelty, and state of development.*
- *Describe the commercial potential and its European dimension; the market application, the end users and/ or customers and their needs and how these needs are met via the outcome of this project.*
- *Describe how the business innovation project is aligned with the business strategy of the SME(s) participating in the project.*

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 third parties.

Do not include any confidential information.

Use plain typed text, avoiding formulae and other special characters.

For the European/international dimension of the action, it is common practice to submit proposals in English.
If the proposal is written in another language 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

Declarations

1) The coordinator or sole applicant declares to have the explicit consent of all applicants on their participation and on the content of this proposal.	☐
2) The information contained in this proposal is correct and complete.	☐
3) This proposal complies with ethical principles (including the highest standards of research integrity — as set out, for instance, in the European Code of Conduct for Research Integrity — and including, in particular, avoiding fabrication, falsification, plagiarism or other research misconduct).	☐

4) The coordinator or sole applicant confirms:

- to have carried out the self-check of the financial capacity of the organisation on https://ec.europa.eu/research/participants/portal/desktop/en/organisations/lfv.html. 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	○
- 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	○
- as sole participant in the proposal is exempt from the financial capacity check.	○

5) The coordinator or sole applicant 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	☐
- they have the financial and operational capacity to carry out the proposed action.	☐

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 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

The assessment of your grant application will involve the collection and processing of personal data (such as your name, address and CV), which will be performed 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 purposes and means of the processing of your personal data as well as information on how to exercise your rights are available in 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 Detection and Exclusion system of the European Commission (EDES), the new system established by the Commission to reinforce the protection of the Union's financial interests and to ensure sound financial management, in accordance with the provisions of articles 105a and 108 of the revised EU Financial Regulation (FR) (Regulation (EU, EURATOM) 2015/1929 of the European Parliament and of the Council of 28 October 2015 amending Regulation (EU, EURATOM) No 966/2012) and articles 143 - 144 of the corresponding Rules of Application (RAP) (COMMISSION DELEGATED REGULATION (EU) 2015/2462 of 30 October 2015 amending Delegated Regulation (EU) No 1268/2012) for more information see the Privacy statement for the EDES Database).

List of participants

#	Participant Legal Name	Country
1		

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

Non-profit .... unknown

International organisation .... unknown

International organisation of European interest ...... unknown

Secondary or Higher education establishment .... unknown

Research organisation .... unknown

Legal person .... 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.

Department(s) carrying out the proposed work

Department 1

Department name

☐ not applicable

☐ Same as organisation address

Street *Please enter street name and number.*

Town

Postcode

Country

Proposal ID	Acronym	Short name

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. *Please indicate the position of the Contact Point above in the organisation.*

Department *Please indicate the department of the Contact Point above in the organisatio*

☐ Same as organisation

☐ Same as organisation address

Street

Town

Post code

Country

Website

Phone 1 *+XXX XXXXXXXXX*

Phone 2 *+XXX XXXXXXXXX*

Fax *+XXX XXXXXXXXX*

Acronym

Go to

3 - Budget for the proposal

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) Reimburse-ment rate (%)	(J) Max.EU Contribution / € (=H*I)	(K) Requested EU Contribution/ €
1			0	0	0	0	0	0,00	0	0,00	0	0,00	0,00
	Total		0	0	0	0	0	0,00	0	0,00		0,00	0,00

Please note that budget amounts are represented in full, NOT as multiples of 1000.

4 - Ethics issues table

1. HUMAN EMBRYOS/FOETUSES		Page
Does your research involve Human Embryonic Stem Cells (hESCs)?	(•) Yes ( ) No	
Will they be directly derived from embryos within this project?	( ) Yes (•) No	
Are they previously established cells lines?	( ) Yes (•) No	
Does your research involve the use of human embryos?	(•) Yes ( ) No	
Can you confirm that your research will not destroy those embryos?	( ) Yes (•) No	
Does your research involve the use of human foetal tissues / cells?	( ) Yes (•) No	
2. HUMANS		**Page**
Does your research involve human participants?	(•) Yes ( ) No	
Are they volunteers for social or human sciences research?	( ) Yes (•) No	
Are they persons unable to give informed consent?	( ) Yes (•) No	
Are they vulnerable individuals or groups?	( ) Yes (•) No	
Are they children/minors?	( ) Yes (•) No	
Are they patients?	( ) Yes (•) No	
Are they healthy volunteers for medical studies?	( ) Yes (•) No	
Does your research involve physical interventions on the study participants?	(•) Yes ( ) No	
Does it involve invasive techniques?	( ) Yes (•) No	
Does it involve collection of biological samples?	( ) Yes (•) No	
If your research involves processing of genetic information, see also section 4.		
3. HUMAN CELLS / TISSUES		**Page**
Does your research involve human cells or tissues (other than from Human Embryos/ Foetuses, i.e. section 1)?	(•) Yes ( ) No	
Are they available commercially?	( ) Yes (•) No	
Are they obtained within this project?	( ) Yes (•) No	

Are they obtained from another project, laboratory or institution?	○ Yes ◉ No	
Are they obtained from biobank?	○ Yes ◉ No	
4. PERSONAL DATA		Page
Does your research involve personal data collection and/or processing?	◉ Yes ○ No	
Does it involve the collection and/or processing of sensitive personal data (e.g.: health, sexual lifestyle, ethnicity, political opinion, religious or philosophical conviction)?	○ Yes ◉ No	
Does it involve processing of genetic information?	○ Yes ◉ No	
Does it involve tracking or observation of participants?	○ Yes ◉ No	
Does your research involve further processing of previously collected personal data (secondary use)?	○ Yes ◉ No	
5. ANIMALS		Page
Does your research involve animals?	◉ Yes ○ No	
Are they vertebrates?	○ Yes ◉ No	
Are they non-human primates?	○ Yes ◉ No	
Are they genetically modified?	○ Yes ◉ No	
Are they cloned farm animals?	○ Yes ◉ No	
Are they endangered species?	○ Yes ◉ No	
Please indicate the species involved(Maximum number of characters allowed: 1000)		
6. THIRD COUNTRIES		Page
In case non-EU countries are involved, do the research related activities undertaken in these countries raise potential ethics issues?	◉ Yes ○ No	
Specify the countries involved:(Maximum number of characters allowed: 1000)		

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.)?	◯ Yes ◉ No	
Do you plan to import any material - including personal data - from non-EU countries into the EU?	◉ Yes ◯ No	
Specify material and countries involved: (Maximum number of characters allowed: 1000)		
Do you plan to export any material - including personal data - from the EU to non-EU countries?	◯ Yes ◉ No	
Specify material and countries involved: (Maximum number of characters allowed: 1000)		
If your research involves low and/or lower middle income countries, are benefits-sharing actions planned?	◯ Yes ◉ No	
Could the situation in the country put the individuals taking part in the research at risk?	◯ Yes ◉ No	
7. ENVIRONMENT & HEALTH and SAFETY		Page
Does your research involve the use of elements that may cause harm to the environment, to animals or plants?	◯ Yes ◉ No	
Does your research deal with endangered fauna and/or flora and/or protected areas?	◯ Yes ◉ No	
Does your research involve the use of elements that may cause harm to humans, including research staff?	◯ Yes ◉ No	
8. DUAL USE		Page
Does your research involve dual-use items in the sense of Regulations 428/2009, or other items for which an authorisation is required?	◯ Yes ◉ No	
9. EXCLUSIVE FOCUS ON CIVIL APPLICATIONS		Page
Could your research raise concerns regarding the exclusive focus on civil applications?	◯ Yes ◉ No	
10. MISUSE		Page
Does your research have the potential for misuse of research results?	◯ Yes ◉ No	

Proposal ID	Acronym

11. OTHER ETHICS ISSUES		Page
Are there any other ethics issues that should be taken into consideration? Please specify	(•) Yes ( ) No	

Please specify: (Maximum number of characters allowed: 1000)

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

3 - Call specific questions

Call specific declaration(s)

I declare on my honour that: Neither I nor any of the members of the consortium (if relevant) are involved in concurrent submission or implementation with another SME instrument Phase 1 or Phase 2 project. ☐

Does your proposal build on a SME instrument Phase 1 project? Please indicate. ○ Yes ○ No

Excluded Reviewers

You can provide up to three names of persons that should not act as an evaluator in the evaluation of the proposal for potential competitive reasons.

Extended Open Research Data Pilot in Horizon 2020

If selected, applicants will by default participate in the Pilot on Open Research Data in Horizon 2020[1] , which aims to improve and maximise access to and re-use of research data generated by actions.

However, participation in the Pilot is flexible in the sense that it does not mean that all research data needs to be open. After the action has started, participants will formulate a Data Management Plan (DMP), which should address the relevant aspects of making data FAIR – findable, accessible, interoperable and re-usable, including what data the project will generate, whether and how it will be made accessible for verification and re-use, and how it will be curated and preserved. Through this DMP projects can define certain datasets to remain closed according to the principle "as open as possible, as closed as necessary". A Data Management Plan does not have to be submitted at the proposal stage.

Furthermore, applicants also have the possibility to opt out of this Pilot completely at any stage (before or after the grant signature). In this case, applicants must indicate a reason for this choice (see options below).

Please note that participation in this Pilot does not constitute part of the evaluation process. Proposals will not be penalised for opting out.

We wish to opt out of the Pilot on Open Research Data in Horizon 2020.	○ Yes	◉ No

If opting out please indicate the reason(s) for not being able to participate in the Pilot:

- the project does not generate any data	☐
- to allow the protection of results (e.g. patenting)	☐
- incompatibility with the need for confidentiality linked to security	☐
- incompatibility with privacy/data protection	☐
- achievement of the project's main aim would be jeopardised	☐
- other legitimate reasons	☐
Please specify the reason:	
Remaining characters 300	

Further guidance on open access and research data management is available on the participant portal: http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/open-access-dissemination_en.htm and in general annex L of the Work Programme.

[1] *According to article 43.2 of Regulation (EU) No 1290/2013 of the European Parliament and of the Council, of 11 December 2013, laying down the rules for participation and dissemination in "Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020)" and repealing Regulation (EC) No 1906/2006.*

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!

Proposal template
(technical annex)

SME instrument – phase 2

Proposals shall be based on a feasibility assessment and contain an elaborated business plan, either developed through SME instrument phase 1 support or other means.

Proposals should contain a specification for the outcome of the project, including a first commercialisation plan, and criteria for success.

The structure of this template must be followed 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.

⚠ **Page limit**: The cover page and sections 1, 2 and 3, together should not be longer than 30 pages. All tables, figures, references and any other element pertaining to these sections must be included as an integral part of these sections and are thus counted against this page limit.

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.

⚠ The following formatting conditions apply.

The reference font for the body text of H2020 proposals is Times New Roman (Windows platforms), Times/Times New Roman (Apple platforms) or Nimbus Roman No. 9 L (Linux distributions).

The use of a different font for the body text is not advised and is subject to the cumulative conditions that the font is legible and that its use does not significantly shorten the representation of the proposal in number of pages compared to using the reference font (for example with a view to bypass the page limit).

The minimum font size allowed is 11 points. Standard character spacing and a minimum of single line spacing is to be used.

Text elements other than the body text, such as headers, foot/end notes, captions, formula's, may deviate, but must be legible.

The page size is A4, and all margins (top, bottom, left, right) should be at least 15 mm (not including any footers or headers).

COVER PAGE

Title of Proposal

List of participants

Participant No *	**Participant organisation name**	**Country**
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 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[1], 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 work programme topic;

- Explain also how your solution solves the stated problem or avails of the business opportunity;

- Describe the objectives and expected outcome of your innovation business project.

1.2 Relation to the work programme

- Indicate the work programme topic to which your proposal relates.

1.3 Concept and methodology

(a) concept

- Explain the current stage of development of the business innovation project and the key milestones that have led to it (e.g. proof of concept completed, early field trials under way), or similar indications of results. The description shall refer to the results obtained in the feasibility analysis carried out in Phase 1, or through other means, in case of direct application to Phase 2;

- Describe the positioning of the business innovation 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).

(b) methodology

- Describe and explain the concept and the 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.);

- Explain how the concept and objectives for the project fit into the overall plan to reach the market;

[1] The term 'project' used in this template equates to an 'action' in certain Horizon 2020 documentation.

- Describe how your project intends to develop something new to Europe that addresses EU-wide challenges;
- 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/science-society/gendered-innovations/index_en.cfm*

1.4 Ambition

- Explain the novelty of your innovation business project;
- Describe the expected key market application(s) extracted from the results already achieved, that differentiates your project and provides the highest added value for potential customers;
- Describe the expected performance/impact on defined needs, when in use, including improvement potential over time, regarding costs, environmental benefits, ease-of-use and any other relevant benefit and/or added value for end users and/or potential clients compared to alternatives solving the same or similar problems. Main advantages of your solution with respect to competing solutions.

2. Impact

2.1 Expected Impacts

a) Users / Market

- Explain which user needs have been identified and will be met upon completion of the project;
- Describe the main economic benefits for the users that compared to current state-of-the-art will make the users buy or invest in the innovation. What are you planning to use as unique selling points?
- Describe how your innovation will contribute to any substantial impact addressing issues related to climate change or the environment, or bring other important benefits to society.
- Describe the type of market (e.g. a niche market or high volume market). What is the estimation of total available market size and growth rate? What are the market trends? Describe if and how your project addresses European and/or global markets;
- List main competitors and describe their competitive solutions;
- Describe the most relevant market segments for initial introduction of the new solution;
- Describe the most important market barriers to be overcome to realise the commercialization strategy;
- Describe the targeted users of the final solution; in which market segment/geographical areas do you see these potential users, and how do you intend to reach them?

b) Company

- Describe the relevance, rationale and alignment of the innovation business project with regard to the business strategy of the participating SME(s);
- Indicate the growth potential of your solution (Turnover, market share, employment creation, sales, return on investment and profit);
- Explain if and how you will use the offered coaching services for SME instrument beneficiaries (of up to 12 days) to fully exploit the project result in your company based on the gaps and feasibility assessment developed under phase 1 or through other means;
- Indicate the estimated funding requirements to reach the commercialisation stage. Envisaged financial mix: percentage or relevance of own funds, SME instrument funding, other external funding.

2.2 Measures to maximise impact

a) Dissemination and exploitation of results

- Explain which stakeholders are key to get involved for making a successful commercial exploitation;
- Describe briefly, apart from the activities planned to be developed during phase 2, further steps needed to be taken before the results/ applications /products are fully ready for the market;
- Describe the strategy plan for commercialisation of your business innovation project, including own commercialisation means or/and cooperation(s) needed with key third parties. Approximate time to market/deployment. Provide a draft plan for commercialisation. Add further measures for dissemination and exploitation as appropriate.

  ⚠ *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.*

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 IPstatus;
- 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;
- As 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

- 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?
- How will the costs for data curation and preservation be covered?

⚠ *As of the Work Programme 2017 actions under Horizon 2020 participate in the 'Pilot on Open Research Data in Horizon 2020, except if indicated otherwise. Once the action has started (not at application stage) those beneficaries which do not opt-out, will need to create a more detailed Data Management Plan for making their data findable, accessible, interoperable and reusable (FAIR).*[2]

⚠ *You will need an appropriate consortium agreement to manage (amongst other things) the ownership and access to key knowledge (IPR, research 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.*

- **Where relevant** 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[3].

⚠ *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. Gold open access costs are fully eligible as part of the grant. Note that if the gold route is chosen, a copy of the publication has to be deposited in a repository as well.*

⚠ *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.*

2 Opting out of the Open Research Data Pilot is possible, both before and after the grant signature. For further guidance on open research data and data management, please refer to the H2020 Online Manual on the Participant Portal.

3 Open access must be granted to all scientific publications resulting from Horizon 2020 actions (in particular scientific peer reviewed articles). Further guidance on open access is available in the H2020 Online Manual on the Participant Portal.

c) Communication

- Describe the proposed communication measures for promoting the product or service during the period of the grant[4]. Measures should be proportionate to the scale of the project, with clear objectives. Commercially confidential data or any data that could compromise the business success of the proposed business or service does not require dissemination. Activities 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 and milestones

Please provide the following:

i) brief presentation of the overall structure of the work plan

ii) timing of the different work packages and their components (Gantt chart or similar)

iii) detailed work description i.e.
- a description of each work package (please use table 3.1a)
- a list of work packages (table 3.1b);
- a list of major deliverables (table 3.1c);

iv) 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. 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.

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 'commercialisation (dissemination and exploitation)' and 'communication activities', either with distinct tasks or distinct work packages.

You will be required to include an updated (or confirmed) 'commercialisation plan' in both the periodic and final reports. This should include, where applicable, 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.

[4] For further guidance on communicating EU research and innovation guidance for project participants, please refer to the H2020 Online Manual on the Participant Portal.

⚠ *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.*

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 (only to the extent relevant in single entity proposals)

- 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 project 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 objectives may not be achieved. Detail any risk mitigation measures. Please provide a table with critical risks identified and mitigating actions (table 3.2b).

Definitions:

'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 (if applicable)

⚠ *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.

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 personnel costs (according to the budget table in section 3 of the proposal administrative forms)

Table 3.1 a: Work package description

For each work package:

Work package number		**Lead beneficiary**					
Work package title							
Participant number							
Short name of participant							
Person months per participant:							
Start month			**End month**				

Objectives

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

Deliverables (brief description and month of delivery)

Table 3.1 b: List of work packages

Work package No	Work Package Title	Lead Participant No	Lead Participant Short Name	Person Months	Start Month	End month
				Total months		

Table 3.1 c: List of Deliverables[5]

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

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 project periodic or final report)
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)

[5] 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 reflection on data management. A template for such a plan is available in the H2020 Online Manual on the Participant Portal.

Table 3.2 a: 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: Low/Medium/High)	Work package(s) involved	Proposed risk-mitigation measures

Definition critical risk:

Any major event or issue that could occur and adversely impact the achievement of the project's objectives. A critical risk has a high level of impact associated to a credible likelihood of occurrence.

Level of impact *(impact on project's objectives if it occurred):* **Low/medium/high**

The impact is the potential consequence should the risk materialise. It can be both quantitative and qualitative in nature.

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.

Table 3.4a: Summary of staff effort

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				
Total Person Months				

Table 3.4 b: 'Other direct cost' items (travel, equipment, infrastructure, goods and services)

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		
Total		

KEY: What is a purchase of good and services?
Purchase of good and services (Article 10 of the Grant Agreement): *These contracts do not cover the implementation of action tasks, but they are necessary to implement action tasks by beneficiaries. Find further information in the Annotated Grant Agreement http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf.*

Section 4: Members of the consortium

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

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

- a description of the legal entity and, in case of consortia, 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 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;
- a description of any third parties that are not represented as project partners, but who will nonetheless be contributing towards the work (e.g. providing facilities, computing resources)
- In case of a newly created company, explain the purpose of the company creation.

4.1. Third parties involved in the project (including use of third party resources)

⚠ *If you plan to subcontract certain tasks, the individual budgetary amounts per subcontractor or subcontracting tasks* ***have to match*** *the total amount indicated in Column C (Direct costs of sub-contracting/€), Part A (Proposal submission from), Section 3 (Budget for the proposal).*

Key 1: Explanation of the assessment of the best value for money
For SME instrument phase 2, your project is under one of the following cases:

a) You apply to a standard call topic where the single applicable funding rate is 70%,

Experts assess the 'best value for money' of subcontracts during the evaluation of the proposal (and therefore it will be possible to give assurance on subcontracts that are part of the proposal).

Assurance can only be given on subcontracts that are described in sufficient detail in the proposal.

- **If you know the subcontractor**, include the key information on the subcontract in the proposal (name of subcontractor, price and object), together with the action task(s) that will be subcontracted and an explanation why the subcontractor and the price are appropriate.
- **If you do not know the subcontractor,** your proposal should set out the task(s) to be subcontracted, the estimated budget and the procedure you will follow to ensure best value for money.

b) You apply to an exceptional call topic where the single applicable funding rate is 100%

⚠ **Therefore, only limited parts of the action may be sub-contracted and table 4.1 (a) does not apply.**

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	Y/N
If yes, describe and justify the tasks to be subcontracted	
Does the participant envisage that part of its work is performed by linked third parties	Y/N
If yes, 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	
Does the participant envisage the use of contributions in kind provided by third parties (Articles 10 and 11 of the Model Grant Agreement)	Y/N
If yes, describe the third party and their contributions	

Key 2: definitions

Subcontracts (Article 13 of the Grant Agreement) *concern the implementation of action tasks; they imply the implementation of specific tasks which are part of the action and are described in Annex 1. Find further information in the Annotated Grant Agreement http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf*

Linked third party (Article 14 of the Grant Agreement) is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action. Find further information in *the Annotated Grant Agreement* http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf.

Contributions in kind provided by third parties *(Article 10 and 11 of the Grant Agreement)*: *Third parties contributing in-kind make available some of their resources to a beneficiary without this being their economic activity (i.e. seconding personnel, contributing equipment, infrastructure or other assets, or other goods and services). Find further information in the Annotated Grant Agreement* http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf.

If you said yes to the subcontracting of tasks, describe in the table below each of the tasks to be subcontracted.

If you apply to an exceptional call topic where the single applicable funding rate is 100%, please note that this table does not apply.

Table 4.1 (a)

Nber	**Work Package Nber**	**Task to be subcontracted***	**Justification of the 'best value for money'**** **If you know the subcontractor:** explanation why the subcontractor and the price are appropriate. **If you don't know the subcontractor:** procedure you will follow to ensure best value for money	**Name of subcontractor (if known***)**	**Amount***** (EUR)**

*Please, note that the task to be subcontracted has to be described in section "description of work" of table 3.1."Work Package description"
** ***Please, justify per subcontract (i.e subcontracted task or subcontractor).*** *Bear in mind that* <u>*assurance can only be given on subcontracts that are described in sufficient detail in the proposal.*</u>
***See Key 1: Explanation of the assessment of the best value for money
****Total amount **<u>have to match</u>** the total amount indicated in Column C (Direct costs of sub-contracting/€), **<u>Part A (Proposal submission form),</u>** Section 3 (Budget for the proposal)

Section 5: Ethics and security

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

5.1 Ethics

⚠ *For more guidance, see the [document "How to complete your ethics self-assessment"](#).*

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, misuse , 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[1]

Please indicate if your project will involve:

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

[1] See Article 37 of Model Grant Agreement