



# ECSEL Joint Undertaking

Electronic Components and Systems for European Leadership

## Proposal Template (Technical Annex)

### *ECSEL Coordination and Support Actions (CSA)*

#### *Calls 2018*

Please, follow the *structure* and *text formatting* 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.

**Page limits for ECSEL CSA actions:**

- The page limit for the chapter on *EXCELLENCE* is 60 pages.
- The page limit for the chapter on *IMPACT* is 60 pages.
- The page limit for the chapter on *IMPLEMENTATION* is 60 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. Experts will be instructed not to take into consideration the excess pages for the evaluation. The proposal is a self-contained document. Experts will be instructed to ignore hyperlinks to information that is specifically designed to expand the proposal, thus circumventing the page limit.

**Mandatory formatting:** Font of the main body text - Times New Roman, minimum line spacing – Single, minimum character spacing – Standard. The minimum font size allowed is 11 points. Text elements other than the body text, such as headers, foot/end notes, captions, formula's, may deviate, but must be legible. Page size - A4, margins (top, bottom, left, right) – at least 15 mm (not including any footers or headers). Pictures, tables, formulas and graphics must be legible and are included within the page limits.

## COVER PAGE

Project acronym	
Project full title	
Anticipated start date of project	
Duration of project in months	
Coordinator contact person	
Tel	
Email	

### List of participants

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

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

## Table of Contents

### 1. Excellence (*maximum 60 pages*)

**Your proposal must address the work plan topic for this call for proposals as indicated in the ECSEL JU Annual Work Plan 2018 (Annex 7: Call 2018-3-CSA Industry4.E Support Action and Annex 8: Call 2018-4-CSA Mobility.E Support Actions) and the additional requirements as described in the “Additional Call Requirements” document<sup>1</sup>**

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

#### 1.1 Objectives

- Describe the overall and specific objectives for the project<sup>2</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 ECSEL JU Annual Work Plan 2018<sup>3</sup>

- Indicate the work plan topic to which your proposal relates, and explain how your proposal addresses the specific challenge and scope of that topic, as set out in the ECSEL JU Annual Work Plan 2018 and the “Additional Call Requirements” document<sup>1</sup>.

#### 1.3 Concept and methodology; quality of the measures

- Describe and explain the overall concept underpinning the project. Describe the main ideas, models or assumptions involved.
- Describe any national or international research and innovation activities which will be linked with the project, especially where the outputs from these will feed into the project
- Describe and explain the overall methodology
- Where relevant, describe how *the gender dimension*, i.e sex and/or gender analysis is taken into account in the project’s content.

**⚠ Please note that this question does not refer to gender balance in the teams in charge of carrying out the project but to the content of the planned research and innovation activities. Sex and gender analysis refers 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)**

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<sup>1</sup> The “H2020-ECSEL-2018-3-CSA-Industry4.E - Additional Call Requirements” and “H2020-ECSEL-2018-4-CSA-Mobility.E - Additional Call Requirements” documents can be found on the call webpage

<sup>2</sup> The term ‘project’ used in this template equates to an ‘action’ in certain other Horizon 2020 documentation.

<sup>3</sup> The ECSEL Annual Work Plan 2018 can be found on the call webpage

## 2. Impact (maximum 60 pages)

### 2.1 Expected impacts

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

- Describe how your project will contribute to the expected impacts set out in the work plan under the relevant topic and the “Additional Call Requirements” document<sup>1</sup>.
- Describe any barriers/obstacles, and any framework conditions (such as regulation and standards), that may determine whether and to what extent the expected impacts will be achieved. (This should not include any risk factors concerning implementation, as covered in section 3.2.)

### 2.2 Measures to maximise impact

#### a) Dissemination and exploitation<sup>4</sup> of results

- Provide a draft ‘**plan for the dissemination and exploitation of the project's results**’. Please note that such a plan is an admissibility condition. The plan, which should be proportionate to the scale of the project, should contain measures to be implemented both during and after the project. Include a business plan where relevant.
- Show how the proposed measures will help to achieve the expected impact of the project.

 Your plan for the dissemination and exploitation of the project's results is key to maximizing 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.

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<sup>4</sup> See participant portal FAQ on how to address [dissemination and exploitation](#) in Horizon 2020

- 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:<sup>5</sup>
  - What types of data will the project generate/collect?
  - 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?

**⚠** *Actions under Horizon 2020 participate in the extended ‘Pilot on Open Research Data in Horizon 2020 (‘open research data by default’), except if they indicate otherwise (‘opt-out’). Once the action has started (not at application stage) those beneficiaries 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).*

**⚠** *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.*

- 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>6</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. 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*

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<sup>5</sup> This section is not required for proposals that opt out of the “Pilot on Open Research Data in Horizon 2020”. 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.

<sup>6</sup> 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.

*their investment by selling subscriptions and charging pay-per-download/view fees during an exclusivity period.*

#### **b) Communication activities<sup>7,8</sup>**

Describe the proposed communication measures for promoting the project and its findings during the period of the grant. Measures should be proportionate to the scale and type of project, with clear objectives. They should be tailored to the needs of various audiences, including groups beyond the project's own community.

### **3. Implementation (maximum 60 pages)**

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

Please provide the following:

- brief presentation of the overall structure of the work plan;
- timing of the different work packages and their components (*legible Gantt chart or similar*);
- detailed work description, i.e.:
  - a list of work packages (table 3.1a);
  - a description of each work package (table 3.1b);
  - a list of major deliverables (table 3.1c);
- graphical presentation of the components showing how they inter-relate (*legible 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 ECSEL JU.

**⚠** 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 should include a record of activities

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<sup>7</sup> See participant portal FAQ on how to address [communication activities](#) in Horizon 2020

<sup>8</sup> For further guidance on communicating EU research and innovation for project participants, please refer to the [H2020 Online Manual](#) on the Participant Portal.

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.

#### **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 and procedures**

Describe the organisational structure and the decision-making (including a list of milestones (table 3.2a))

#### **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.

- Explain why the organisational structure and decision-making mechanisms are appropriate to the complexity and scale of the project.
- Describe, where relevant, how effective innovation management will be addressed in the management structure and work plan.

⚠️ Innovation management is a process which requires an understanding of both market and technical problems, with a goal of successfully implementing appropriate creative ideas. A new or improved product, service or process is its typical output. It also allows a consortium to respond to an external or internal opportunity.

- Describe any critical risks, relating to project implementation, that the stated project's objectives may not be achieved. Detail any risk mitigation measures. Please provide a table with critical risks identified and mitigating actions (table 3.2b)

### **3.3 Consortium as a whole**

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

- Describe the consortium. How will it match the project's objectives 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 Annex 1 of the ECSEL JU Work Plan 2018 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)



**Table 3.1a: Work package description**

For each work package:

<b>Work package number</b>		<b>Lead participant</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** (highly advisable to be broken down into tasks (when appropriate also subtasks), lead partner and role of participants)

**Deliverables** (brief description and month of delivery) (using references to Table 3.1c) (highly advisable to connect the deliverables with the work tasks)

**Table 3.1c: List of Deliverables<sup>9</sup>**

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 the periodic and final reports)
- 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>9</sup> If your action takes 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 in the [H2020 Online Manual](#) on the Participant Portal.

## Tables for section 3.2

**Table 3.2a: List of milestones**

Milestone number	Milestone name	Related work package(s)	Due date (in months)	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 materialize 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 (JU Grant) 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>10</sup>, irrespective of the percentage of personnel costs. Please indicate (in the justification) if the participant’s methodology for declaring the costs for large research infrastructure has already been positively assessed by the Commission.

<sup>10</sup> Large research infrastructure means research infrastructure of a total value of at least EUR 20 million, for a participant. 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.

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

## 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. Please make sure that you do not include information here that relates to the headings under sections 1 to 3. Experts will be instructed to ignore any information here, which appears to have been included to circumvent page limits applying to those sections.

### 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;
- if operational capacity cannot be demonstrated at the time of submitting the proposal, describe the concrete measures that will be taken to obtain it by the time of the implementation of the task.<sup>11</sup>

### 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):*

<sup>11</sup> Please refer to ECSEL JU Annual Work Plan 2018 – Evaluation criteria, scoring, and threshold

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>12</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>	
Does the participant envisage that part of the work is performed by International Partners <sup>13</sup> (Article 14a of the General Model Grant Agreement)?	Y/N
<i>If yes, please describe the International Partners(s) and their contributions</i>	

## 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.)

<sup>12</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).

<sup>13</sup> 'International Partner' is any legal entity established in a non-associated third country which is not eligible for funding under Article 10 of the Rules for Participation Regulation No 1290/2013.

- 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<sup>14</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)
- the potential impact (including the socio-economic impact and the wider societal implications of the project)
- additionally, the project logo, relevant contact details

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<sup>14</sup> See article 37 of the [Model Grant Agreement](https://ec.europa.eu/research/participants/data/ref/h2020/other/hi/secur/h2020-hi-guide-classif_en.pdf). For more information on the classification of Information, [https://ec.europa.eu/research/participants/data/ref/h2020/other/hi/secur/h2020-hi-guide-classif\\_en.pdf](https://ec.europa.eu/research/participants/data/ref/h2020/other/hi/secur/h2020-hi-guide-classif_en.pdf).