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Project Execution Guidelines for SESAR 2020 Exploratory Research

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Authoring & Approval

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Project Execution Guidelines for SESAR 2020 Exploratory Research

Abstract

This document provides guidance to consortia members on the way they have to fulfil the project management requirements set out by the SESAR Joint Undertaking in the context of the SESAR 2020 Exploratory Research activities.

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1 Introduction

1.1 Purpose of the Document

This document provides guidance to beneficiaries of Grant Agreements that result from SESAR 2020 Exploratory Research Call for Proposals on the way they are expected to fulfil the project management requirements during project execution.

This is required to allow the SJU to run the Programme and to monitor and control the projects across SESAR 2020 Pillars (Exploratory Research, Industrial Research and Large Scale Demonstration projects). This will enable the transition of results from Exploratory Research to subsequent phases, establishing a Research and Innovation pipeline for ATM.

There are three types of projects within the Exploratory Research of SESAR.

- ATM Excellent Science & Outreach Projects (Fundamental Scientific Research)
- Application-oriented project
- Transversal Activities project

<u>This Guidance document applies only to Application-oriented and Transversal Activities projects.</u>

The Exploratory Research covers the initial part of SESAR 2020 Research and Innovation (R&I) Pipeline, as shown in figure 1. The Exploratory Research/Industrial Research (TRL2) Gate is foreseen for transferring mature Application-Oriented Research results to the Industrial Research activities.

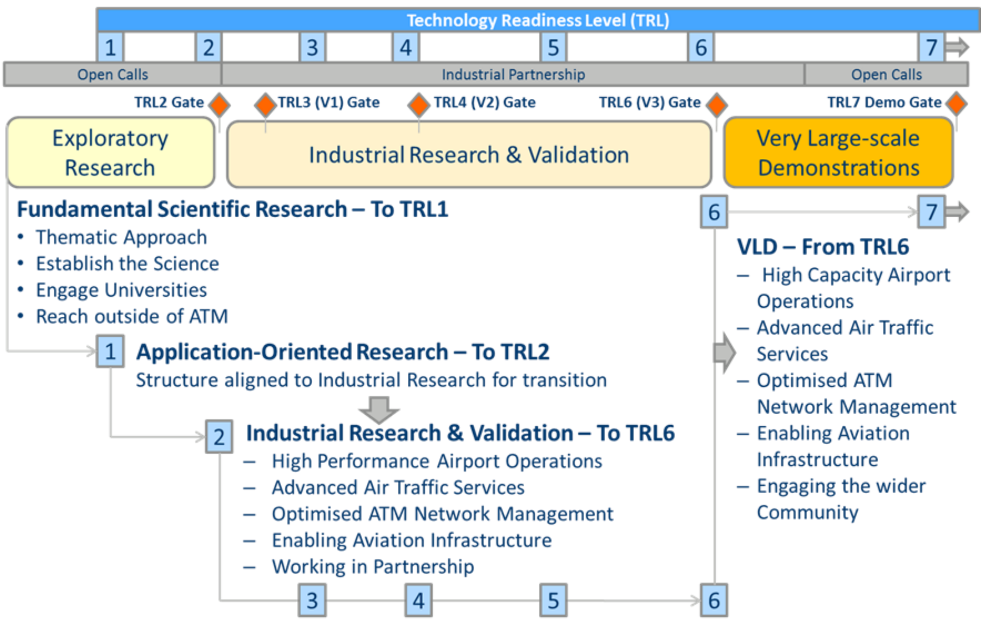

Fig. 1: Exploratory Research within SESAR 2020 R&I Pipeline

1.2 SESAR 2020 Guidelines adapted to Exploratory Research activities

The set of SESAR 2020 project management requirements that are applicable to the Exploratory Research projects are those required to comply with the H2020 processes defined in the Annotated Model Grant Agreement (Ref [3]) which derive from best practices in Project Management.

This document focusses on a limited set of H2020 processes that are considered essential for the SESAR 2020 Exploratory Research activities, and provides additional SESAR project management guidelines.

It should be noted that the H2020 documentation maintained by the EC and published through the H2020 Participants Portal is fully applicable to the Exploratory Research projects.

2 Project Management Plan

The project will deliver to the SJU, within one month after Kick-off meeting a Project Management Plan (PMP) at a level of detail suitable for the proposed project. The PMP shall complement the project information provided in the Grant Agreement (GA) Annex 1 (Description of Action), by providing the detailed information that will be required for the project to be fully organized, so that the project objectives can be met on budget and on time, while ensuring that H2020 and SESAR 2020 Exploratory Research guidelines will be correctly applied.

It should be noted that the GA Annex 1 (Description of Action) will remain the contractual reference. The PMP is required for providing additional details but shall never contradict the GA.

The PMP should provide a clear added value compared to the GA Annex 1, therefore a copy/paste from the GA or from the SJU guidance document would not be appropriate, except for the introductory sections. Instead, references to the GA and to the guidance documents shall be provided as required.

The PMP shall include a commented summary of the project deliverables defined in GA Annex 1, providing, for each of them, the delivery date (TO+X months, relative to the GA starting date and the calendar date), an abstract of the expected content and a proposed priority for the SJU review (in case the SJU will need to prioritise the project deliverables to be reviewed).

The PMP shall detail the project organisation by listing the named individuals leading/contributing to the Project Work Packages and Tasks. Furthermore, it should indicate the organisations invited to participate to the project Advisory/Steering Board, and their named representatives (It is recommended that the project organises an Advisory/Steering Board, composed by selected stakeholders and experts, who will be invited to support and steer the project and provide advice when required).

The PMP shall include a MS-Project compatible Gantt chart. This schedule is expected to be used by the consortium coordinator to track progress throughout the execution of the action and as baseline for possible changes. It shall contain at least the same elements as the Project Planning in Part A of the GA Description of Action (Work Packages, Deliverables, Milestones, Reviews, Meetings, Communication & Dissemination events). The Planning will also integrate the project internal review of deliverables.

The PMP shall include a Communication Plan, detailing the planned communication activities, in line with section 3.1 of this document and with AMGA Article 38.1.1.

The PMP shall include a Dissemination and Exploitation Plan, in line with the Guidelines in section 4.2 and with the AMGA Article 28, for planning the dissemination of project results.

The Communication and the Dissemination & Exploitation Plans will enable the project to promote its results by providing targeted information to relevant audiences in a strategic and effective manner.

The Ethics section (required only if Ethics requirements have been identified during the proposal evaluation) identifies the project's Ethics focal point, provides an overview of the ethics requirements, and makes reference to the Ethics deliverables to be produced.

The PMP shall complement the scientific references provided in the Description of Action with the contractual references (the GA and the required H2020 references, including those listed in Section 6).

The PMP shall detail the Management Structure and Procedures provided in the proposal, by describing the organisational structure, the decision-making / management and the project management procedures to be applied by the project, detailing as required the application of H2020 processes and the ER general guidance defined in this document:

- Legal, financial and administrative management (based on H2020 processes);
- Quality management (including internal review process);
- Production, review and approval of deliverables;
- Schedule management (how does the project maintain its schedule against the project baseline);
- Minutes of Meeting management;
- Technical & Financial Progress Reporting (based on H2020 rules);
- Risk and Issues management (detailing process and the refined list of risks and issues);
- Cost management (based on H2020 rules);
- Software management (for the delivered prototypes);
- Security Management (based on H2020 rules ,if applicable);
- Advisory/Steering Board (role and composition);
- Handling of sensitive/confidential data (based on H2020 rules);
- Documentation management (including after project closure).

The proposed processes shall be consistent with project management best practices, the requirements defined in this guidance document and with H2020 guidelines.

The Table of Content of the PMP shall therefore include as a minimum the following sections, elaborating further the content of the GA Description of Action:

1. Executive Summary (derived from the Description of Action)
2. Introduction (derived from the Description of Action)
3. Organisation (role allocations to named individuals)
4. Project Deliverables (including delivery date, abstract and proposed priority)
5. Detailed Gant Chart
6. Management Structure and Procedures (refinement from Description of Action)
7. Communication Plan (refinement from Description of Action)
8. Dissemination and Exploitation Plan (refinement from Description of Action)
9. Implementation of Ethics Requirements (if applicable)
10. Security Plan (if applicable)
11. Contractual and Scientific References (refinement from Description of Action)

Additional aspects requiring further details in the PMP could be agreed at the Kick-off meeting, as required. In general, the PMP shall not duplicate information already provided in the GA Description of Action, unless further details are provided and the need is agreed during the Kick-off meeting.

The hand-over of the Project Management Plan will be done through the Participants Portal as for any other project deliverables.

2.1 Usage of H2020 Participants Portal application

SESAR 2020 Exploratory Research projects will have the obligation to use the H2020 Participants Portal application for all project related activities, such as:

- Submission of project deliverables (section 4.1);
- Periodic Technical & Financial Reporting (section 4.3);
- Final Periodic Technical & Financial Reporting (section 4.4);
- Risk & Issues Management (section 4.5);
- Requests for Amendments (Section 4.6);
- Implementation of Ethics Requirements (Section 4.7);
- Submission of Final Project Results Report (Section 4.8).

Further information on how to use the Participants Portal application during the project lifetime can be found in H2020 Participants Portal Online Manual (Ref [2]).

3 Communication and Dissemination Activities

3.1 Communication Plan

Beneficiaries must promote the project and its results, in accordance with Article 38.1 of the SJU Model Grant Agreement (Ref [4]). Therefore, a Communication Plan was already foreseen in the proposal, which may need further elaboration in the PMP.

The Communication Plan shall define clear objectives and set out a concrete strategic planning for the communication activities (including a description and timing for each activity throughout the project duration).

3.1.1 Content

The Communication Plan is expected to include the following elements:

- Name and contact details of project communications point of contact ;
- Communication objectives;
- Several high-level messages about the project, referring to the benefits that the project is expected to bring (these messages should be updated by the end of the project);
- Short “About” project description (max 15 lines) in language suitable for non-experts;
- A calendar of planned communications activities;
- Metrics (including analytics of press coverage, website and social) used for measuring success of the communication activities.

3.1.2 Key Communication activities per target audience

The Communication Plan is expected to foresee at least activities relating to:

SESAR ATM Research Community:

- Participation at SESAR Innovation Days (e.g. scientific papers, posters, demonstrators, reports);
- Publication of papers in scientific journals;
- Participation and presentation at scientific conferences aimed at informing about project results, innovative methods, tools, etc.
- When required, organisation of dedicated workshops to present the project’s results to the SESAR community and get feedback from domain experts, aiming at incorporating the feedback into the project activities;
- If required, creation of a User Group to be consulted at regular points in order to receive feedback on project methodology and results.

General Public:

- Web communication: presence on SJU website through a dedicated page, presence on the social networks (optional), creation of project website where the abstracts of project deliverables and publications can be made available with a regular update (recommended);
- Other communications on project objectives and results through general press, e-magazines, brochures, news, interview opportunities with the media and dedicated press releases, aimed at raising interest and increasing knowledge to the general public (optional).
- Any communication activity that is expected to have a 'major media impact', i.e. media coverage (online and printed press, broadcast media, social media, etc.), that will go beyond a local impact and which could have the potential for national and international outreach must be first notified to the SJU.

Information given may not include classified or restricted results (cf. Article 37 of the SJU Model Grant Agreement (Ref [4]).

Please note that Communication activities are taken into consideration during the evaluation as part of the criterion "impact".

For further guidance please refer to Article 38.1 of the Annotated Model Grant Agreement (Ref [3]).

3.2 Dissemination and Exploitation Plan

In accordance with Article 29 of the SJU Model Grant Agreement (Ref [4]), beneficiaries must disseminate (i.e. make public) the key information (approach, technologies, results, etc.) generated during the project's lifetime. The dissemination measures should be proportionate to the impact expected from the project.

Planning the Exploitation of the project results by the different types of concerned Stakeholders (Academia, Research Institutions, Industry, ANSPs, Users) is required in order to facilitate their successful handover for the next steps of the R&I pipeline.

It is recommended that the project will organise an Advisory/Steering Board, composed by selected stakeholders and experts, who will be invited to support and steer the project and provide advice when required.

- A Dissemination and Exploitation Plan will therefore be required as part of the PMP. For further guidance please refer to Article 38.2 of the Annotated Model Grant Agreement (Ref [3]). It will include a calendar of the planned dissemination activities.

3.3 Visibility of EU funding

In accordance with Article 38.2 of the SJU Model Grant Agreement (Ref [4]), beneficiaries shall, during the project and afterwards, ensure the visibility of EU funding for any communication activity related to the project and on any major result (including prototypes) funded by the grant, by:

- displaying the EU and the SJU logos (on the project deliverables, presentations, website, etc..);
- including the reference to EU funding set out in the Grant Agreement;
- including relevant disclaimers.

For further guidance please refer to Article 38.1 of the Annotated Model Grant Agreement (Ref [3]) and to the guidance provided below.

3.4 SESAR 2020 Exploratory Research Word Template

All Project deliverables will comply with a SESAR 2020 Exploratory Research Word Template that will be delivered by the Programme Manager at the project Kick-off Meeting.

The following general communication guidelines will apply:

- In the page footer the name of the copyright owner shall be inserted by the beneficiaries based on their legal assessment, in line with their contractual arrangements governing the intellectual property rights. In case the beneficiaries wish that the copyright disclaimer is used also in the communication activities by the SJU, they shall provide the SJU with their wording.
- The following disclaimer shall be used as a footnote to the introduction: "The opinions expressed herein reflect the author's view only. Under no circumstances shall the SESAR Joint Undertaking be responsible for any use that may be made of the information contained herein."
- The size of the project logo in the page header shall not exceed the size of the SESAR logo.
- If required company logos can be inserted on the last page of the document. As a general rule, when displayed together with another logo, the EU emblem must have appropriate prominence

3.5 SESAR 2020 Exploratory Research Presentation Template

All Project presentations to be provided to the SJU and to an external audience (workshops, conferences, dissemination events in general) will comply with a SESAR 2020 Exploratory Research PowerPoint Template that will be delivered by the Programme Manager prior to the project Kick-off Meeting

The following general communication guidelines will apply:

- If required, the following copyright note can be added to the slide footer: "© – [year] – [name of the copyright owner]. All rights reserved. Licensed to the SESAR Joint Undertaking under conditions."

- The name of the copyright owner shall be inserted by the beneficiaries based on their legal assessment, in line with their contractual arrangements governing the intellectual property rights.
- In case the beneficiaries wish that the copyright disclaimer is used also in the communication activities by the SJU, they shall provide the SJU with their wording.
- The size of the project logo in the slide header shall not exceed the size of the SESAR logo.
- If required company logos can be added on a separate slide.

As a general rule, when displayed together with another logo, the EU emblem must have appropriate prominence.

3.6 Coordination with SJU Communications Sector

To ensure consistency with the SESAR brand, project consortia are requested to contact the SJU Communications Sector when preparing Communication and Dissemination activities.

The following SJU email address will be used: communications@sesarju.eu

4 Project Execution

4.1 Submission of Project Deliverables

All Project deliverables including the PMP will be handed over for SJU assessment by uploading them (Ref [2]) on the dedicated project page on H2020 Participant Portal.

This requirement applies to all project deliverables as listed in the Description of Action.

It should be noted that the Periodic Technical and Financial Reports are not project content related deliverables; therefore they should not be included in the list of project scientific deliverables. However they need to be planned in the Management Work Package.

Based on the fact that the effort spent after the Closure Meeting will not be eligible, all project deliverables will have to be submitted for approval at latest two months before the Closeout meeting (with the exception of the Final Project Results Report which can be delivered for acceptance one month before the Closeout meeting).

4.2 SJU Assessment of Project Deliverables

The SJU assesses the handed-over deliverable with special emphasis on the validity of its content, alignment with commitments, internal consistency and compliance with the relevant contractual provisions set forth in the grant agreement, compatibility with SJU obligatory material (e.g. templates) and other SESAR programme management documents and guidelines as detailed in the present paper.

The SJU aims to evaluate a deliverable within 60 days from the delivery, and may:

- Accept it in writing, in whole or in part, or make acceptance of the deliverable subject to certain conditions;
- Request in writing certain clarifications or additional information, as appropriate. The Consortium shall answer the SJU’s request within 15 days from receipt of the SJU’s request for clarifications or additional information. If, upon receipt of the clarification or additional information, the SJU does not respond within 30 days, this clarification or additional information shall be deemed accepted.
- Reject it by giving the appropriate justification in writing.

Following the SJU assessment of a project deliverable, the status of acceptance can be :

- Accepted (No Reservation)

  This means that the SJU does not have significant comments and there is no need for the project to produce an improved version of the deliverable. The deliverable will be marked in the Participants Portal as accepted.

- Reservations (Reservations requiring clarifications/revision)

  This means that the SJU has significant comments and there is a need for the project to produce an improved version of the deliverable. The deliverable will be marked as "re-opened" on the Participants Portal, which will allow the project to re-submit this deliverable.

- Rejected (Critically deficient)

  This means that the SJU considers the deliverable of insufficient quality and/or not in line with the deliverables foreseen in the grant. In this case the project is not expected to resubmit an improved version of the deliverable. The deliverable will be marked as 'Rejected' in the Participants Portal and the project will not be able to re-submit a new version of this deliverable. There will be implications for the eligible cost of the grant execution.

The status of the deliverable acceptance will be considered in the related Periodic Technical/Financial Report. When relevant, it may lead to suspension of some payments in line with the SJU MGA chapter 6 (Ref [4]).

4.3 Periodic Technical/Financial Reporting

A Periodic Technical and Financial Progress Report shall be submitted via the H2020 Participant Portal (Ref [2]) following each <u>reporting period</u> (<u>every twelve months</u>), at latest within 60 days following the end of the Reporting Period.

The content of the Technical and Financial Progress Reports is detailed in the H2020 User Manual (Ref [2]). An extract is provided below, however the latest version of the H2020 User Manual remains the reference.

4.3.1 Periodic Technical Report

A Technical Progress Report shall provide a qualitative summary of the work performed according to H2020 guidelines (Ref [2]). It consists of Part A and Part B:

<u>Part A contains:</u>

- the cover page
- a publishable summary, including :
  - ➢ An executive statement on the progress made and key issues;
  - ➢ Achievements made in the last reporting period, i.e. milestones, meetings, and tasks key data;
  - ➢ Main targets and events over the next reporting period.
- Tables covering issues related to the project implementation (e.g. Work Packages, Deliverables, Milestones, etc.) which includes:
  - ➢ Deliverables (indicating the % completion of deliverables)
  - ➢ Milestones

- ➢ Ethical Issues (if applicable)
- ➢ Critical implementation risks and mitigation measures
- ➢ Dissemination & exploitation of results
- ➢ Impact on SMEs (if applicable)
- ➢ Open Research Data (if applicable)
- ➢ Gender

- The answers to the questionnaire covering issues related to the project implementation and the economic and social impact, notably in the context of the Horizon 2020 key performance indicators and the Horizon 2020 monitoring requirements.

Part A is generated via the Participant Portal based on the information entered by the participants through the periodic report and continuous reporting modules. The participants can update the information in the continuous reporting module at any time during the life of the project.

Part B contains:

Part B of the periodic technical report provides the narrative part that includes explanations of the work carried out by the beneficiaries during the reporting period. It will include:

- ➢ Explanations of the work carried out by all beneficiaries and linked third parties during the reporting period;
- ➢ An overview of the progress towards the project objectives, justifying the differences between work expected under Annex I and work actually performed, if any;
- ➢ An update on Risks and Issues.

Part B needs to be uploaded as a PDF document. It must be consistent with the template of Part B Periodic Technical report to be provided by the SJU.

4.3.2 Periodic Financial Report

A Financial Progress Report shall be submitted following each reporting period (every twelve months) via the H2020 Participant Portal (Ref [2]) jointly with the Technical Progress Report.

The periodic financial report consists of:

- Individual financial statements (Annex 4 to the GA) for each beneficiary;
- Explanation of the use of resources and the information on subcontracting and in-kind contributions provided by third parties from each beneficiary for the reporting period concerned;
- A periodic summary financial statement including the request for interim payment.

4.4 Final Periodic Technical/Financial Report

The Final Report covers the whole project and is composed of a Final Technical and a Final Financial part. It is delivered as soon as possible, at latest within 60 days from the completion of the Action.

In case not all deliverables have been delivered in time before the completion of the Action, the Project may ask for an extension, as an exception, using the Amendment procedure.

4.4.1 Final Periodic Technical Report

The Final Periodic Technical Report is a publishable summary of the entire project, it provides:

- An overview of the project scope and objectives
- The achieved results and main conclusions, including a self-assessment of the TRL (Technology Readiness Level) achieved at the end of the project based on the criteria defined in Sections 5.4.1 and 5.4.2, supporting the claimed project readiness to transfer its results to the next phase
- The performed communication and dissemination actions
- The Exploitation and follow-up activities proposed for the next stage of the R&I lifecycle.
- The socio-economic impact of the project
- An up-to-date link to the project website
- Project logos, diagrams, photographs and videos illustrating its work (if available).

The final summary must be written in a style understandable for a non-specialist audience. The coordinator must ensure that none of the material submitted for publication includes confidential or 'EU classified' information.

4.4.2 Final Periodic Financial Report

The Final Periodic Financial Report includes:

- The final summary financial statement that is automatically created by the system (consolidating the data from all individual financial statements for all beneficiaries and linked third parties, for all reporting periods) and that constitutes the request for payment of the balance
- In some cases (and for some beneficiaries/linked third parties) it must be accompanied by a certificate on the financial statements - CFS (one certificate per beneficiary/linked third party).

4.5 Risks and Issues Management

Risks are potential events that may affect a Project negatively, while issues are actual events. Thus, risks must be managed in order to avoid that they become issues (prevention) or that their initially expected effect becomes actual (protection). Issues must be treated as soon as possible and, where necessary, escalated to the appropriate level in the shortest timeframe. A risk may remain open, while an issue must be solved.

Managing risks and issues is a continuous process to be organized by the project, focussing on:

- Identifying, describing and assessing risks and issues;
- Maintaining risk and issue information regularly, i.e. checking on a regular basis if it is up-to-date, exhaustive and accurate enough;
- Defining actions to mitigate the risks and issues, an expected level of effectiveness of these actions should be assessed;
- Implementing these actions;
- Controlling their effectiveness.

The management of project Risks and Issues will be done through the Periodic Reporting via the H2020 Participant Portal (Ref [2]).

The top Risks and Issues will be reported in the Technical Progress Reports.

- Top risks in order of criticality and/or priority;
- Significant issues (if applicable), with their impact, status and corrective actions;

All Project risks and issues are reviewed during the Project Reviews or Gates, with a particular focus on their evolution.

4.6 Request for Amendments

Any contractual change on the Grant Agreement has to be duly justified and has to be requested by initiating an Amendment workflow in the Participants Portal.

In general, the Grant Agreement must be amended if there are any changes required to:

- its terms & conditions (e.g. data or options specific to that agreement);
- its annexes.

Amended provisions become an integral part of the Grant Agreement.

For the H2020 policy on amendments, please refer to the H2020 User Manual (Ref [2]) and to Article 55 of the Annotated Model Grant Agreement (Ref [3]).

4.7 Implementation of Ethics Requirements

When Ethical requirements have been identified during the proposals evaluation, an “Ethics Requirements“ Work Package is automatically included in the Grant Agreement. All ethics requirements that are due after project start are automatically included in the grant agreement in the form of deliverables. These deliverables are known as 'ethics deliverables'.

The delivery date of these ethics deliverables is set in the Grant Agreement. When preparing the answers to the various Ethics requirements, the Project can refer to the H2020 guidance on Ethics self-assessment (Ref [1]).

4.8 Final Project Results Report

The project will deliver a publishable Final Project Results Report covering all the research activities performed by the project, based on a template to be provided by the SJU. This report (not to be confused with the H2020 Technical/Financial yearly progress reports) will be used at the Project Closeout meeting to discuss the transition to subsequent development stages including a self-assessment of the TRL (Technology Readiness Level) achieved at the end of the project. The SJU will verify the maturity achieved in order to establish the appropriate transition of the results to subsequent phases.

This report will be delivered to the SJU for approval at latest one month before the project Closeout meeting.

5 Project Meetings

5.1 Kick Off meeting

The project Kick-off meeting is called by the Project Coordinator shortly after contract signature. This meeting will be organised at the SJU.

The Kick-off meeting aims at informing the beneficiary(ies) about the operational and applicable financial provisions in more details, including discussing the project objectives, organisation, deliverables, resources, planning, communication and dissemination activities and other relevant information as outlined in the Description of the Action (Annex I to the Grant Agreement).

It will also allow discussing any practicalities related to the launch of the project and agreeing on the content of the Project Management Plan to be delivered one month after the Kick-off meeting.

5.2 Working Meetings/Workshops/Dissemination events

The project will plan its working meetings, workshops and dissemination events as required. The SJU will be invited to attend. SJU attendance may consist of the SJU Programme Manager and/or one of the SJU ATM experts. The SJU attendees may however decide not to attend a particular meeting/workshop.

5.3 Project Intermediate Review Meeting

The Project Intermediate Review meeting shall take place approximately half-way through the Project. This meeting will be held at the SJU and will aim at steering the project in order to achieve the expected quality and maturity at the project Close-out meeting.

If required, ad-hoc review meeting(s) can be organised on SJU request.

5.4 Project Close-out Meeting

Throughout project execution, all Exploratory Research projects are expected to ensure that their Continuous Reporting Module on the H2020 portal is fully up-to-date, reflecting the status of completion of the Action. This is essential in particular at the end of the final reporting period, in order to provide up-to-date information on the status of the project as an input to the Project Closeout Meeting.

The information provided in the Continuous Reporting Module and in the Final Project Results Report as well as all deliverables received will serve as an input to the Project Closeout and Review/Gate Meeting, which will take place at the SJU in the last month before the end date of the Grant.

The objective of the Project Closure Meeting is to determine if the Project achieved its objectives.

As applicable, the SJU organizes in conjunction with the Project Close-out meeting, a Project Review or a Project Gate, aiming to assess the readiness of the project results for the next stage of the R&I lifecycle (as shown in figure 2):

- The ES/AR Project Review corresponds to the transfer from Excellent Science to Applied Research (ER Initial Delivery).
- The ER/IR Project Gate corresponds to the transfer from Applied Research to Industrial Research (ER Final Delivery).

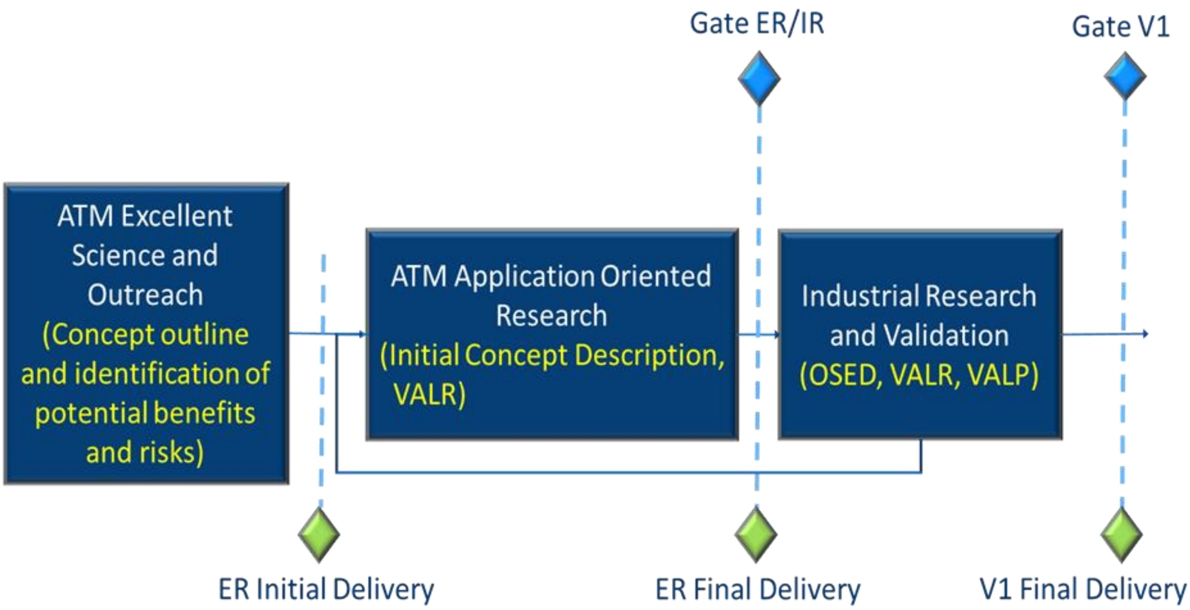

Fig. 2: ES/AR Project Review and the ER/IR Project Gate

In particular, for an Application-Oriented project, an Exploratory Research/Industrial Research (ER/IR) Gate will always be planned by the project both in the proposal and in the PMP as part of the Project Closeout meeting.

It is organized by the SJU and aims at confirming the readiness of the project results for the Industrial Research. SJU Members (Operational stakeholders and Industry) may be invited to attend the Gate as observers. The SJU will verify, based on the assessment of the Final Project Results Report and of the project deliverables, the achievement of V1 maturity as a condition for transition from Exploratory Research to Industrial Research.

The key input to the ER/IR Project Gate is an R&I proposal provided by the project and integrated in the Final Project Results Report. It includes:

- a description of operational environment/concept of operations and performance objectives;
- a Validation Report describing the R&D results (capturing simulation results and/or expert groups/workshops reports with evidence of benefits and operational viability;
- viability considerations containing concerns of the technology R&D risks and the expected R&D efforts (cost/feasibility);
- a preliminary proposed Plan for next R&D phase.

The criteria for Gate Acceptance are that:

- The delivered R&I proposal provides the description of the new concepts including quantitative analyses of the foreseen impact;
- The Project Gate is concluded with the SJU agreement that this R&I subject is ready for moving to the Industrial Research.

The Maturity Assessment guidance and related criteria will be provided at the Kick off Meeting. Meanwhile, the maturity assessment will include answers to the questions listed below as examples:

1. Has a potential new idea or concept been identified that utilizes the new scientific fact or principle as identified in TRL 1 and is applied in such a way?
2. Has the new concept or technology been described with sufficient detail? Does it describe a potentially useful new capability that would benefit to the SESAR concept?
3. Is the validated outline concept to date still consistent with the ATM Master Plan and support SESAR performance objectives (qualitative view only)?
4. Has a feasibility study been performed to confirm the potential usefulness of the new concept or technology being identified? Have Benefit Impact Mechanisms been described? Have costs been initially assessed?
5. Has the potential impact of the concept on the target architecture been identified?
6. Have automation needs (e.g. tools required to support the concept) been identified?
7. Have the conceptual safety and security benefits and risks been identified?
8. Have the conceptual environmental benefits and risks been identified?
9. Have the conceptual human factors risks and benefits been identified?
10. Has any R&D, on which the work is dependent upon, reached an appropriate level of maturity?

6 Referenced Documents

[1] Guidance How to complete your ethics self-assessment
http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/ethics/h2020_hi_ethics-self-assess_en.pdf

[2] H2020 Participants Portal Online Manual:
http://ec.europa.eu/research/participants/docs/h2020-funding-guide/index_en.htm

[3] H2020 Annotated Model Grant Agreement. This document summarizes all H2020 contractual requirements applicable during project execution. It can be found on H2020 Participants Portal at:

http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf

[4] SJU Model Grant Agreement:
http://ec.europa.eu/research/participants/data/ref/h2020/other/mga/jtis/h2020-mga-er-sesar-ju_en.pdf