



ECSEL Joint Undertaking

Electronic Components and Systems for European Leadership



Horizon 2020
European Union Funding
for Research & Innovation

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

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

Version 1.0
5 February 2020

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 Funding & Tenders Portal, might differ from this example. Proposals must be prepared and submitted via the online proposal submission system under the Funding & Tenders Portal.

Please check our [wiki](#) for help on navigating the form.

Horizon 2020

Call:

()

Topic:

Type of action:

()

Proposal number:

Proposal acronym:

Deadline Id:

Table of contents

Section	Title	Action
1	General information	
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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 steps in the submission wizard.

Proposal ID	Acronym	Acronym is mandatory
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1 - General information

Topic	Type of Action
Call Identifier	Deadline Id

Acronym

Proposal title

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

Duration in months

Fixed keyword 1

Free keywords

Abstract*

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 Horizon 2020 or any other EU programme(s)? Yes No

Please give the proposal reference or contract number.

XXXXXX-X

Proposal ID	Acronym	Acronym is mandatory
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Declarations

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

Note:

For **multi-beneficiary applications**, the coordinator vouches for its own organization and that all other participants confirmed their participation and compliance with conditions set out in the call. If the proposal is retained for funding, each participant will be required to submit a formal declaration of honour confirming this.

False statements or incorrect information may lead to administrative sanctions under the Financial Regulation 2018/1046.

Personal data will be collected, used and processed in accordance with Regulation 2018/1725 and the [Funding & Tenders Portal privacy statement](#).

Please be however aware that, to protect EU financial interests, your data may be transferred to other EU institutions and bodies and be registered in the EDES database. Data in the EDES database is also subject to Regulation 2018/1725 and the [EDES privacy statement](#).

<i>Proposal ID</i>	<i>Acronym</i>	Acronym is mandatory
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2 - Participants & contacts

#	Participant Legal Name	Country	Action
1			

Example, not to complete

Proposal ID

Acronym

Acronym is mandatory

Short name

2 - Administrative data of participating organisations

PIC **Legal name**

Short name:

Address

Street

Town

Postcode

Country

Webpage

Specific Legal Statuses

Legal personunknown

Public bodyunknown

Industry (private for profit).....unknown

Non-profitunknown

International organisationunknown

International organisation of European interestunknown

Secondary or Higher education establishmentunknown

Research organisationunknown

Enterprise Data

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

SME self-declared status..... unknown

SME self-assessment unknown

SME validation sme..... unknown

Proposal ID

Acronym

Acronym is mandatory

Short name

Department(s) carrying out the proposed work

Department 1

Department name

Name of the department/institute carrying out the work.

not applicable

Same as proposing organisation's address

Street

Please enter street name and number.

Town

Please enter the name of the town.

Postcode

Area code.

Country

Please select a country

Dependencies with other proposal participants

<i>Character of dependence</i>	<i>Participant</i>

<i>Proposal ID</i>	<i>Acronym</i>	Acronym is mandatory	<i>Short name</i>
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Person in charge of the proposal

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

Title

Sex

Male Female

First name

Last name

E-Mail

Position in org.

Department

Same as organisation name

Same as proposing organisation's address

Street

Town

Post code

Country

Website

Phone

Phone 2

Fax

Example, not to complete

Proposal ID

Acronym **Acronym is mandatory**

3 - Budget

JU Grant

Participant	Country	(A) Direct personnel costs/€	(B) Other direct costs/€	(C) Direct costs of sub- contracting/€	(D) Direct costs of providing financial support to third parties/€	(E) Costs of inkind contributions not used on the beneficiary's premises/€	(F) Indirect Costs /€ (=0.25(A+B-E))	(G) Special unit costs covering direct & indirect costs /€	(H) Total estimated eligible costs /€ (=A+B+C+D+F +G)	(I) Reimburse- ment rate (%)	(J) Max. grant/€ (=H*I)	(K) Requested grant/€
		0	0	0	0	0	0,00	0	0,00		0,00	0,00
Total		0	0	0	0	0	0,00	0	0,00		0,00	0,00

Proposal ID *Acronym* **Acronym is mandatory**

National Grant

Participant	Country	(L) Direct personnel costs/€	(M) Other direct costs/€	(N) Direct costs of sub- contracting/€	(O) Indirect Costs /€	(P) Total estimated eligible costs /€ (=L+M+N+O)	(R) Reimburse- ment rate (%)	(S) Max. grant/€ (=P*R)	(T) Requested grant/€
		0	0	0	0,00	0,00	0	0,00	0,00
Total		0	0	0	0,00	0,00		0,00	0,00

Example, not to complete

4 - Ethics

1. HUMAN EMBRYOS/FOETUSES		Page
Does your research involve Human Embryonic Stem Cells (hESCs) ?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does your research involve the use of human embryos?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does your research involve the use of human foetal tissues / cells?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
2. HUMANS		Page
Does your research involve human participants?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does your research involve physical interventions on the study participants?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
3. HUMAN CELLS / TISSUES		Page
Does your research involve human cells or tissues (other than from Human Embryos/Foetuses, i.e. section 1)?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
4. PERSONAL DATA		Page
Does your research involve personal data collection and/or processing?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does your research involve further processing of previously collected personal data (secondary use)?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
5. ANIMALS		Page
Does your research involve animals?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
6. THIRD COUNTRIES		Page
In case non-EU countries are involved, do the research related activities undertaken in these countries raise potential ethics issues?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Do you plan to use local resources (e.g. animal and/or human tissue samples, genetic material, live animals, human remains, materials of historical value, endangered fauna or flora samples, etc.)?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Do you plan to import any material - including personal data - from non-EU countries into the EU?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Do you plan to export any material - including personal data - from the EU to non-EU countries?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
In case your research involves low and/or lower middle income countries , are any benefits-sharing actions planned?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Could the situation in the country put the individuals taking part in the research at risk?	<input type="radio"/> Yes <input checked="" type="radio"/> No	

Proposal ID

Acronym

Acronym is mandatory

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?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does your research deal with endangered fauna and/or flora and/or protected areas?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does your research involve the use of elements that may cause harm to humans, including research staff?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
8. DUAL USE		Page
Does your research involve dual-use items in the sense of Regulation 428/2009, or other items for which an authorisation is required?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
9. EXCLUSIVE FOCUS ON CIVIL APPLICATIONS		Page
Could your research raise concerns regarding the exclusive focus on civil applications?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
10. MISUSE		Page
Does your research have the potential for misuse of research results?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
11. OTHER ETHICS ISSUES		Page
Are there any other ethics issues that should be taken into consideration? Please specify	<input type="radio"/> Yes <input checked="" type="radio"/> No	

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](#)

Proposal ID

Acronym **Acronym is mandatory**

5 - Call specific questions

1) Please check one or more boxes if this project fosters new developments in one of the three areas as defined under Article 2.2 of the Council regulation on the ECSEL Joint Undertaking ((EU) No 561/2014).

Design technologies, process and integration, equipment, materials and manufacturing for micro- and nanoelectronics while targeting miniaturisation, diversification and differentiation, heterogeneous integration	<input type="checkbox"/>
Processes, methods, tools and platforms, reference designs and architectures, for software and/or control-intensive embedded/cyber-physical systems, addressing seamless connectivity and interoperability, functional safety, high availability, and security for professional and consumer type applications, and connected services	<input type="checkbox"/>
Multi-disciplinary approaches for smart systems, supported by developments in holistic design and advanced manufacturing to realise self-reliant and adaptable smart systems having sophisticated interfaces and offering complex functionalities based on e.g. the seamless integration of sensing, actuating, processing, energy provision and networking	<input type="checkbox"/>

2) Granting access to the proposal outside the ECSEL JU evaluation team

Does the consortium agree to give access to members of the Private Members Board of ECSEL JU to the Part A of the proposal? (The project coordinator is advised that ticking "I agree" or "I disagree" to this question does not influence the submission and evaluation of the proposal by the ECSEL JU)

I agree

I disagree

Validation result

Show Error

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

Show Warning

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

Section

Description

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

Example, not to complete



ECSEL Joint Undertaking

Electronic Components and Systems for European Leadership

Proposal Template (Technical Annex)

ECSEL Innovation Actions (IA) *ECSEL Research and Innovation Actions (RIA)¹*

Calls 2020

Version 4.0
22 January 2020

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.

First stage proposals: In two-stage submission schemes, at the first stage (PO phase – Proposal Outline phase) you only need to complete the parts indicated by “*to be completed for PO phase*”. These are in the cover page, and sections 1, 2 and 3. Section 6 (Public Summary) must also be filled in though it is not evaluated. In the second stage (FPP phase – Full Project Proposal phase) all sections must be filled in.

Page limits for RIA and IA ECSEL actions:

- The page limit for the chapter on *EXCELLENCE* is 60 pages for both PO and FPP phase.
- The page limit for the chapter on *IMPACT* is 60 pages for PO phase and 100 pages for FPP phase
- The page limit for the chapter on *IMPLEMENTATION* is 60 pages for PO phase and 100 pages for FPP phase.

Experts will be instructed to disregard the excess pages. 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

¹ This template is also applicable to the Call H2020-ECSEL-2020-3-IMI-ECSEL joint activity

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.

HISTORY OF CHANGES			
Version	Date	Change	Page
1.0 ED 2018.181	14.02.2018	Initial version	
2.0 ED 2018.181v1	18.06.2018	Changes page limits from 60 to 100 for the chapters 2 Impact and 3 Implementation Correction of clerical error (typo) Table 3.1b	1, 5, 8 8, 11
3.0 ED 2019.235	25.01.2019	Update the links following the switch from Participant Portal to Funding and Tenders Portal Update the references to the Annual Work Plan from 2018 to 2019 Removed the instructions referring to the Lighthouse Initiative (LI) as Calls 2019 do not foresee LI	throughout the document throughout the document title page
4.0 ED 2020.281	22.01/2020	Update the references to the Annual Work Plan from 2019 to 2020	throughout the document

COVER PAGE

to be completed for PO phase

Project acronym	
Project full title	
What kind of technology will be improved or developed with this proposal?	<i>Listed in order of importance to the project Maximum 3 Topics/Major Challenges Refer to ECSEL JU Annual Work Plan 2020 The Topics/Major Challenges full text</i>
What kind of applications does this proposal tackle?	<i>Listed in order of importance to the project Maximum 3 Topics/Major Challenges Refer to ECSEL JU Annual Work Plan 2020 The Topics/Major Challenges full text</i>
Anticipated start date of project	
Duration of project in months	
Coordinator contact person	
Tel	
Email	

List of participants

to be completed for PO phase

Participant No *	Participant organisation name	Participant short name	Country	National eligibility checked by participant (Y/N)
1 (Coordinator)				
2				
3				
.....				

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

For first stage (PO phase) proposals, please note that this table will be used to check whether or not you comply with any minimum requirements linked to participation as set out in the eligibility criteria of the relevant work programme.

Table of Contents

1. Excellence (maximum 60 pages for both PO phase and FPP phase))

Your proposal must address a work plan topic for this call for proposals as indicated in the ECSEL JU Annual Work Plan 2020 (Annex 5: Call 2020-1-IA specific details Annex 6: Call 2020-2-RIA specific details, Annex 7: Call 2020-3-IMI-ECSEL joint activity specific details)

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

1.1 Objectives (to be completed for PO phase)

- Describe the overall and specific objectives for the project², 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 2020³ and ECSEL MASP 2020⁴(to be completed for PO phase)

- 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 MASP 2020.

1.3 Concept and methodology (to be completed for PO phase)

a) Concept (what)

- Describe and explain the overall concept underpinning the project. Describe the main ideas, models or assumptions involved. Identify any trans-disciplinary considerations and, where relevant, use of stakeholder knowledge. Where relevant, include measures taken for public/societal engagement on issues related to the project.
- Describe the positioning of the project e.g. where it is situated in the spectrum from ‘idea to application’, or from ‘lab to market’. Refer to Technology Readiness Levels where relevant. (See Annex 1 of the ECSEL JU Annual Work Plan 2020);
- 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 for those activities how they complement (not overlap) with the present proposal;

b) Methodology (how)

- Describe and explain the overall methodology, distinguishing, as appropriate, activities indicated in the relevant section of the work plan, e.g. for research, demonstration, piloting, first market replication, etc;
- Where relevant, describe how *the gender dimension*, i.e sex and/or gender analysis is taken into account in the project’s content.

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

³ The ECSEL Annual Work Plan 2020 can be found on the call webpage

⁴ The ECSEL MASP 2020 (Multi Annual Strategic Plan) (ECSEL MASP 2020) can be found on the call webpage

- ⚠ 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

1.4 **Ambition (to be completed for PO phase)**

- Describe the advance your proposal would provide beyond the state-of-the-art, and the extent the proposed work is ambitious.
- Describe the innovation potential (e.g. ground-breaking objectives, novel concepts and approaches, new products, services or business and organisational models), which the proposal represents. Where relevant, refer to products and services already available on the market. Please refer to the results of any patent search carried out.
- Describe the “baseline” of the project, i.e. where the project starts and the “baseline data” against which the project will measure its progress. Here, the State of the Art refers to that which is currently seen in an 'industrial' context, i.e. existing, commercially viable solutions, technologies or applications. ECSEL views the novel application or integration of existing technologies, alongside new technologies, in new domains or for improving efficiency in existing domains as valid advances on the State of the Art under this interpretation.

2. **Impact (maximum 60 pages for PO phase and 100 pages for FPP phase)**

2.1 **Expected impacts (to be completed for PO phase)**


- ⚠ 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:
 - strengthen the industrial competitiveness, grow and sustainability (environmental, energy, use of raw materials, etc.) of companies; (impact from participant perspective)
 - improving innovation capacity and the integration of new knowledge (impact from participant perspective)
 - create economic value in Europe (by future employment and industrial investment) including end-user leverage (impact from EU perspective) (ONLY for IA actions)
 - Strengthening Europe by developing innovations meeting the needs of European and global markets; and, where relevant, by delivering such innovations to the markets and/or introducing new technologies/processes/tools to the European industry); bring other important benefits for society (impact from EU perspective)
- Describe any barriers/obstacles, and any framework conditions (such as regulation, standards, public acceptance, workforce considerations, financing of the follow-up steps, cooperation of other links in the value chain), that may determine whether and to what extent the expected impacts will be achieved. (This should not include any risk factors concerning implementation, as covered in section 3.2.)


2.2 Measures to maximise impact

a) Dissemination and exploitation⁵ 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. For innovation actions describe a credible path to deliver the innovations to the market.


 *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.*

The approach to innovation should be as comprehensive as possible, and must be tailored to the specific technical, market and organisational issues to be addressed.

- Describe as well any contribution to standards framework conditions and regulations, which may arise from the project and explain their importance.
- 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:⁶
 - 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-*

⁵ See Funding and Tenders Portal FAQ on how to address [dissemination and exploitation](#) in Horizon 2020

⁶ 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 Funding and Tenders Portal.

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 project⁷.

⚠ 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.

b) Communication activities^{8,9}

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 for PO phase and 100 pages for FPP phase)

3.1 Work plan — Work packages, deliverables and milestones

⁷ 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 Funding and Tenders Portal.

⁸ See Funding and Tenders Portal FAQ on how to address [communication activities](#) in Horizon 2020

⁹ For further guidance on communicating EU research and innovation for project participants, please refer to the [H2020 Online Manual](#) on the Funding and Tenders Portal.

Please provide the following:

- brief presentation of the overall structure of the work plan; (*to be completed for PO phase – see also the instructions in Table 3.1b*)
- 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 does not apply to topics where a draft plan was not required.) This should include a record of activities related to dissemination and exploitation that have been undertaken and those still planned. A report of completed and planned communication activities will also be required.

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

Definitions:

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

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

3.2 Management structure, milestones and procedures

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

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

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

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

Definition:

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

3.3 Consortium as a whole (to be completed for PO phase)


⚠ *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).
- **Regional or ESI Funding:** if one or more partners intend to apply for Regional or European Structural and Investment (ESI) Funding, please, state this here and indicate which partners and activities this involves.¹⁰
- **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

¹⁰ See the Guide for Applicants for Instructions on how to present the activities funded with ESIF (the Guide for Applicants in available on the call webpage

Annex 1 of the ECSEL JU Work Plan 2020 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)

Example, not to complete

Tables for section 3.1

Table 3.1a: List of work packages

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

Example, not to complete

Table 3.1b: Work package description (to be completed for PO phase as indicated below)



For each work package: (for PO phase: fill in only the WP number, WP title, Participant number, Short name of participant; not the Start Date, not the End Month, not the Lead Participant, not the Person month per participant)

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

Objectives (to be completed for PO phase)

Description of work (highly advisable to be broken down into tasks (when appropriate also subtasks), lead partner and role of participants)

(for PO phase: only a description of the main tasks per participant is required (for the known beneficiaries as at the PO phase the consortium may not be complete)

Deliverables (brief description and month of delivery) (using references to Table 3.1c) (highly advisable to connect the deliverables with the work tasks) *(not for PO phase)*

Table 3.1c: List of Deliverables¹¹

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)
- 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)

¹¹ 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 Funding and Tenders 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
Participant Number/Short Name				
ParticipantNumber/ Short Name				
Participant Number/ Short Name				
Total Person months				

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
Travel		
Equipment		
Other goods and services		
Total		

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 Agreement¹², 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.

¹² 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 Funding and Tenders Portal.

- 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.¹³

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

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

Does the participant plan to subcontract certain tasks (please note that core tasks of the project should not be sub-contracted)	Y/N
<i>If yes, please describe and justify the tasks to be subcontracted</i>	
Does the participant envisage that part of its work is performed by linked third parties ¹⁴	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 ¹⁵ (Article 14a of the General Model Grant Agreement)?	Y/N
<i>If yes, please describe the International Partners(s) and their contributions</i>	

4.3. Financial support to third parties¹⁶

¹³ Please refer to ECSEL JU Annual Work Plan 2020 – Evaluation criteria, scoring, and threshold and the [General Annex H Evaluation Rules, Selection Rules, Operational Capacity](#)

¹⁴ 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).

¹⁵ ‘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.

¹⁶ OPTION to be used in case there are participants requesting financial support to third parties

Financial support in the form of a grant awarded after a call for proposals

For detailed specific info on terms and conditions: i) see [General Annex K](#) in the General Annexes of the Horizon 2020 Work Programme 2018-2020 published in the reference documents section of the H2020 Funding and Tenders Portal); ii) Annexes 5, 6 or 7 of the ECSEL JU Work Plan 2020; iii) Call Conditions listed on the Calls pages in the Funding and Tenders Portal.

Proposals, which foresee a financial support to third parties, shall:

1. clearly detail the objectives and the results to be obtained and
2. contain the following specifications (as a minimum):
 - a) a closed list of activities that qualify for financial support;
 - b) the definition of persons or categories of persons that may receive financial support;
 - c) the criteria for awarding financial support;
 - d) the criteria for calculating the exact amount of the financial support;
 - e) the maximum amount of financial support per third party, which must not exceed EUR 60 000, unless a higher amount is necessary to achieve the objectives of the action, and the criteria for determining it.

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 Security¹⁷

Please indicate if your project will involve:

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

Section 6: Publishable Summary *(to be completed for PO phase)*

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

This section should be of suitable quality to enable direct publication by ECSEL JU, the ECSEL Participating States or the European Commission. Ensure that it is set out and formatted so that it can be printed as a stand-alone paper document.

It should include:

- a summary description of the project objectives
- a description of the work to be performed

¹⁷ See article 37 of the [Model Grant Agreement](#). 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.

- the expected final results and demonstrators
- the potential impact (including the socio-economic impact and the wider societal implications of the project)
- additionally, the project logo, relevant contact details

Example, not to complete