The EU Framework Programme
for Research and Innovation

HORIZON 2020

H2020 Programme

Special template for Topic: INFRAEOSC-03-2020 (RIA)

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

Version 1.0
26 September 2019

History of changes

Version	Date	Change	Page
1.0	26.09.2019	Initial version	

Example, not to complete

Horizon 2020

Topic:

Type of action:

()

Proposal number:

Proposal acronym:

Deadline Id:

Table of contents

Section	Title	Action
1	General information	
2	Participants & contacts	
3	Budget	
4	Ethics	
5	Call-specific questions	

How to fill in the forms

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

1 - General information

Topic	
Call Identifier	
Type of Action	
Deadline Id	

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

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

Duration in months	*Estimated duration of the project in full months.*
Free keywords	*Enter any words you think give extra detail of the scope of your proposal (max 200 characters with spaces).*

	European Commission	Go to
	Research & Innovation - Participant Portal	
	Proposal Submission Forms	

Proposal ID	Acronym

Abstract

Short summary (max. 2,000 characters, with spaces) to clearly explain:
- *the objectives of the proposal*
- *how they will be achieved*
- *their relevance to the work programme.*

Will be used as the short description of the proposal in the evaluation process and in communications with the programme management committees and other interested parties .
- *Do not include any confidential information.*
- *Use plain typed text, avoiding formulae and other special characters.*

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

Remaining characters   2000

Has this proposal (or a very similar one) been submitted in the past 2 years in response to a call for proposals under Horizon 2020 or any other EU programme(s)?   ○ Yes ○ No

Proposal ID		*Acronym*	

Declarations

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

4) The coordinator 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	○
- is exempt from the financial capacity check being a public body including international organisations, higher or secondary education establishment or a legal entity, whose viability is guaranteed by a Member State or associated country, as defined in the H2020 Grants Manual (Chapter on Financial capacity check); or	○
- as sole participant in the proposal is exempt from the financial capacity check.	○

5) The coordinator hereby declares that each applicant has confirmed:

- they are fully eligible in accordance with the criteria set out in the specific call for proposals; and	☐
- they have the financial and operational capacity to carry out the proposed action.	☐

The coordinator is only responsible for the correctness of the information relating to his/her own organisation. Each applicant remains responsible for the correctness of the information related to him/her and declared above. Where the proposal to be retained for EU funding, the coordinator and each beneficiary applicant will be required to present a formal declaration in this respect.

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

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

Your personal data may be registered in the Early Detection and Exclusion system of the European Commission (EDES), the new system established by the Commission to reinforce the protection of the Union's financial interests and to ensure sound financial management, in accordance with the provisions of articles 105a and 108 of the revised EU Financial Regulation (FR) (Regulation (EU, EURATOM) 2015/1929 of the European Parliament and of the Council of 28 October 2015 amending Regulation (EU, EURATOM) No 966/2012) and articles 143 - 144 of the corresponding Rules of Application (RAP) (COMMISSION DELEGATED REGULATION (EU) 2015/2462 of 30 October 2015 amending Delegated Regulation (EU) No 1268/2012) for more information see the Privacy statement for the EDES Database).

| *Proposal ID* | | *Acronym* | |

List of participants

#	Participant Legal Name	Country
1		

Proposal ID	*Acronym*	*Short name*

2 - Administrative data of participating organisations

PIC	*Legal name*

Short name:

Address of the organisation

Street

Town

Postcode

Country

Webpage

Legal Status of your organisation

Research and Innovation legal statuses

Public body ……………………………………………unknown   Legal person ………………………… unknown

Non-profit ……………………………………………unknown

International organisation ……………………………unknown

International organisation of European interest ……unknown

Secondary or Higher education establishment ……unknown

Research organisation ………………………………unknown

Enterprise Data

SME self-declared status……………………………… unknown

SME self-assessment ………………………………… unknown

SME validation sme ………………………………… unknown

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

Proposal ID	*Acronym*	*Short name*

Department(s) carrying out the proposed work

Department 1

Department name [   ]   ☐ not applicable

☐ Same as organisation address

Street [*Please enter street name and number.*]

Town [   ]

Postcode [   ]

Country [   ]

Dependencies with other proposal participants

Character of dependence	*Participant*	

Proposal ID	*Acronym*	*Short name*

Person in charge of the proposal

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

Title ⬚   Sex   ○ Male   ○ Female

First name   Last name

E-Mail

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

Department   *Please indicate the department of the Contact Point above in the organisati* ⊞   ☐ Same as organisation

☐ Same as organisation address

Street ⬚

Town ⬚   Post code ⬚

Country ⬚

Website ⬚

Phone 1 *+XXX XXXXXXXX*   Phone 2 *+XXX XXXXXXXX*   Fax *+XXX XXXXXXXX*

Proposal ID		Acronym								Go to		

3 - Budget for the proposal

No	Participant	Country	(A) Direct personnel costs/€	(B) Other direct costs/€	(C) Direct costs of sub-contracting/€	(D) Direct costs of providing financial support to third parties/€	(E) Costs of inkind contributions not used on the beneficiary's premises/€	(F) Indirect Costs / € (=0.25(A+B-E))	(G) Special unit costs covering direct & indirect costs / €	(H) Total estimated eligible costs / € (=A+B+C+D+F +G)	(I) Reimburse-ment rate (%)	(J) Max.EU Contribution / € (=H*I)	(K) Requested EU Contribution/ €
			?	?	?	?	?	?	?	?	?	?	?
1			0	0	0	0	0	0,00	0	0,00	100	0,00	0,00
	Total		0	0	0	0	0	0,00	0	0,00		0,00	0,00

Example, not to complete

Proposal ID	*Acronym*	

4 - Ethics issues table

1. HUMAN EMBRYOS/FOETUSES		Page
Does your research involve Human Embryonic Stem Cells (hESCs)?	◉ Yes ○ No	
Will they be directly derived from embryos within this project?	○ Yes ◉ No	
Are they previously established cells lines?	○ Yes ◉ No	
Does your research involve the use of human embryos?	◉ Yes ○ No	
Will the research lead to their destruction?	○ Yes ◉ No	
Does your research involve the use of human foetal tissues / cells?	○ Yes ◉ No	
2. HUMANS		Page
Does your research involve human participants?	◉ Yes ○ No	
Are they volunteers for social or human sciences research?	○ Yes ◉ No	
Are they persons unable to give informed consent?	○ Yes ◉ No	
Are they vulnerable individuals or groups?	○ Yes ◉ No	
Are they children/minors?	○ Yes ◉ No	
Are they patients?	○ Yes ◉ No	
Are they healthy volunteers for medical studies?	○ Yes ◉ No	
Does your research involve physical interventions on the study participants?	◉ Yes ○ No	
Does it involve invasive techniques?	○ Yes ◉ No	
Does it involve collection of biological samples?	○ Yes ◉ No	
If your research involves processing of genetic information, see also section 4.		
3. HUMAN CELLS / TISSUES		Page
Does your research involve human cells or tissues (other than from Human Embryos/ Foetuses, i.e. section 1)?	◉ Yes ○ No	
Are they available commercially?	○ Yes ◉ No	
Are they obtained within this project?	○ Yes ◉ No	

Example, not to complete

Proposal ID	*Acronym*		

Are they obtained from another project, laboratory or institution?	○ Yes ◉ No	
Are they obtained from biobank?	○ Yes ◉ No	

4. PERSONAL DATA		Page
Does your research involve personal data collection and/or processing?	◉ Yes ○ No	
Does it involve the collection and/or processing of sensitive personal data (e.g.: health, sexual lifestyle, ethnicity, political opinion, religious or philosophical conviction)?	○ Yes ◉ No	
Does it involve processing of genetic information?	○ Yes ◉ No	
Does it involve tracking or observation of participants?	○ Yes ◉ No	
Does your research involve further processing of previously collected personal data (secondary use)?	○ Yes ◉ No	

5. ANIMALS		Page
Does your research involve animals?	◉ Yes ○ No	
Are they vertebrates?	○ Yes ◉ No	
Are they non-human primates?	○ Yes ◉ No	
Are they genetically modified?	○ Yes ◉ No	
Are they cloned farm animals?	○ Yes ◉ No	
Are they endangered species?	○ Yes ◉ No	

Please indicate the species involved(Maximum number of characters allowed: 1000)

6. THIRD COUNTRIES		Page
In case non-EU countries are involved, do the research related activities undertaken in these countries raise potential ethics issues?	◉ Yes ○ No	

Specify the countries involved:(Maximum number of characters allowed: 1000)

Example, not to complete

Proposal ID	*Acronym*	

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

Example not to complete

Proposal ID	*Acronym*

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

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

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

How to Complete your Ethics Self-Assessment

Proposal ID	*Acronym*

5 - Call specific questions

Extended Open Research Data Pilot in Horizon 2020

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

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

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

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

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

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

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

Please specify the reason:

Remaining characters   300

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

Proposal ID	*Acronym*

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

Validation result

| Show Error | The red 'Show Error' button indicates an error due to a missing or incorrect value related to the call eligibility criteria. The submission of the proposal **will be blocked** unless that specific field is corrected! |
| Show Warning | The yellow 'Show Warning' button indicates a warning due to a missing or incorrect value related to the call eligibility criteria. The submission of the proposal **will not be blocked (**proposal will be submitted with the missing or incorrect value). |

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

Proposal template: technical annex
Call H2020-INFRAEOSC-2018-2020
Topic INFRAEOSC-03-2020
Research and Innovation action

This template is to be used in a single- stage submission procedure or at the 2nd stage of a two-stage submission procedure.

The structure of this template must be followed when preparing your proposal. It has been designed to ensure that the important aspects of your planned work are presented in a way that will enable the experts to make an effective assessment against the evaluation criteria. Sections 1, 2 and 3 each correspond to an evaluation criterion.

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

⚠ **Page limit**: The title, list of participants and sections 1, 2 and 3, together, should not be longer than 70 pages. All tables, figures, references and any other element pertaining to these sections must be included as an integral part of these sections and are thus counted against this page limit.

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

If you attempt to upload a proposal longer than the specified limit before the deadline, you will receive an automatic warning and will be advised to shorten and re-upload the proposal. After the deadline, excess pages (in over-long proposals/applications) will be automatically made invisible, and will not be taken into consideration by the experts. 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.

Please, do not consider the page limit as a target! It is in your interest to keep your text as concise as possible, since experts rarely view unnecessarily long proposals in a positive light.

⚠ The following formatting conditions apply.

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

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

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

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

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

⚠️ *Fill in the title of your proposal below.*

TITLE OF THE PROPOSAL

⚠️ *The consortium members are listed in part A of the proposal (administrative forms). A summary list should also be provided in the table below.*

List of participants

Participant No. *	Participant organisation name	Country
1 (Coordinator)		
2		
3		

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

1. Excellence

Your proposal must address a work programme topic for this call for proposals.

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

1.1 Objectives

- Describe the overall and specific objectives for the project[1], which should be clear, measurable, realistic and achievable within the duration of the project. Objectives should be consistent with the expected exploitation and impact of the project (see section 2).

1.2 Relation to the work programme

- Indicate the work programme topic to which your proposal relates, and explain how your proposal addresses the specific challenge and scope of that topic, as set out in the work programme.

1.3 Concept and methodology

(a) Concept

- Describe and explain the overall concept underpinning the project. Describe the main ideas, models or assumptions involved. Identify any inter-disciplinary considerations and, where relevant, use of stakeholder knowledge. Describe how the project consolidates and scales up the EOSC Portal and its underlying service platform, in order to provide an increasing portfolio of services from public infrastructures and commercial providers; reinforce the Marketplace as access channel for integrated and composable services; attract users within the research community and beyond; ensure its long-term sustainability taking into account all the relevant governance and business frameworks.

---

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

1

- Describe any national or international research and innovation activities which will be linked with the project, especially where the outputs from these will feed into the project;

(b) Methodology

- Describe and explain the overall methodology, distinguishing, as appropriate, activities indicated in the relevant section of the work programme, e.g. for research, demonstration, piloting, first market replication, etc.

- Where relevant, describe how *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*

1.4 Ambition

- 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.

2. Impact

2.1 Expected impacts

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

- Describe how your project will contribute to:

    o each of the expected impacts mentioned in the work programme, under the relevant topic;

    o any substantial impacts not mentioned in the work programme, that would enhance innovation capacity; create new market opportunities, strengthen competitiveness and growth of companies, address issues related to climate change or the environment, or bring other important benefits for society

- Describe any barriers/obstacles, and any framework conditions (such as regulation, standards, public acceptance, workforce considerations, financing of follow-up steps, cooperation of other links in the value chain), that may determine whether and to what extent the expected impacts will be achieved. (This should not include any risk factors concerning implementation, as covered in section 3.2.)

    - Describe how the project effectively supports and enhances the capacity to limit the future carbon and energy footprint, including the ability to adopt relevant standards, KPIs and best practices.

2

-

2.2   Measures to maximise impact

a) Dissemination and exploitation[2] of results

- Provide a draft '**plan for the dissemination and exploitation of the project's results'** (including management of IPR).. Please note that such a draft plan is an admissibility condition, unless the work programme topic explicitly states that such a plan is not required.

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

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

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

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

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

- Include a business plan where relevant.

- Explain how the project plans to make tools, standards, specifications and all other relevant outputs generated in the action available, through a well-defined mechanism, to the EOSC governance and any other institution responsible for the continuity of the EOSC Portal beyond the lifespan of the Grant Agreement.

- 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:

  o What types of data will the project generate/collect?

  o What standards will be used?

---

2 See Funding & Tender portal FAQ on how to address **dissemination and exploitation** in Horizon 2020

o How will this data be exploited and/or shared/made accessible for verification and re-use? If data cannot be made available, explain why.

o How will this data be curated and preserved?

o 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').[3]. Once the action has started (**not** at application stage) those beneficaries which do not opt-out, will need to create a more detailed Data Management Plan for making their data findable, accessible, interoperable and reusable (FAIR).*

⚠ *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[4].

⚠ *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[5,6]

- 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 of the project, with clear objectives. They should be tailored to the needs of different target audiences, including groups beyond the project's own community.

---

[3] 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 & Tender Portal.

[4] 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 & Tender Portal.

[5] See Funding & Tender portal FAQ on how to address **communication activities** in Horizon 2020

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

3. Implementation

3.1 Work plan — Work packages, deliverables

Please provide the following:

- brief presentation of the overall structure of the work plan;

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

- detailed work description, i.e.:

  o a list of work packages (table 3.1a);

  o a description of each work package (table 3.1b);

  o a list of major deliverables (table 3.1c);

- graphical presentation of the components showing how they inter-relate (Pert chart or similar).

⚠ *Give full details. Base your account on the logical structure of the project and the stages in which it is to be carried out. The number of work packages should be proportionate to the scale and complexity of the project.*

⚠ *You should give enough detail in each work package to justify the proposed resources to be allocated and also quantified information so that progress can be monitored, including by the Commission*

⚠ *Resources assigned to work packages should be in line with their objectives and deliverables. You are advised to include a distinct work package on 'management' (see section 3.2) and to give due visibility in the work plan to 'dissemination and exploitation' and 'communication activities', either with distinct tasks or distinct work packages.*

⚠ *You will be required to include an updated (or confirmed) 'plan for the dissemination and exploitation of results' in both the periodic and final reports. (This does not apply to topics where a draft plan was not required.) This should include a record of activities related to dissemination and exploitation that have been undertaken and those still planned. A report of completed and planned communication activities will also be required.*

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

Definitions:

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

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

3.2 Management structure, milestones and procedures

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

- Explain why the organisational structure and decision-making mechanisms are appropriate to the complexity and scale of the project.

- Describe, where relevant, how effective innovation management will be addressed in the management structure and work plan.

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

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

Definition:

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

3.3 Consortium as a whole

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

- Describe the consortium. How will it match the project's objectives, and bring together the necessary expertise? How do the members complement one another (and cover the value chain, where appropriate),?

- In what way does each of them contribute to the project? Show that each has a valid role, and adequate resources in the project to fulfil that role.

- If applicable, describe the industrial/commercial involvement in the project to ensure exploitation of the results and explain why this is consistent with and will help to achieve the specific measures which are proposed for exploitation of the results of the project (see section 2.2).

- **Other countries and international organisations**: If one or more of the participants requesting EU funding is based in a country or is an international organisation that is not automatically eligible for such funding (entities from Member States of the EU, from Associated Countries and from one of the countries in the exhaustive list included in General Annex A of the work programme are automatically eligible for EU funding), explain why the participation of the entity in question is essential to carrying out the project

6

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)

7

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		

Table 3.1b: Work package description

For each work package:

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

Objectives

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

Deliverables (brief description and month of delivery)

Example, not to complete

9

Table 3.1c: List of Deliverables[7]

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)

---

[7]   If your action is taking part in the Pilot on Open Research Data, you must include a data management plan as a distinct deliverable within the first 6 months of the project. This deliverable will evolve during the lifetime of the project in order to present the status of the project's reflections on data management. A template for such a plan is available in the H2020 Online Manual on the Funding & Tender Portal.

Tables for section 3.2

Table 3.2a: List of milestones

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

KEY

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

Means of verification
Show how you will confirm that the milestone has been attained. Refer to indicators if appropriate. For example: a laboratory prototype that is 'up and running'; software released and validated by a user group; field survey complete and data quality validated.

Table 3.2b: Critical risks for implementation

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

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

Level of likelihood *to occur:* **Low/medium/high**
The likelihood is the estimated probability that the risk will materialise even after taking account of the mitigating measures put in place.

11

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 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 Agreement[8], irrespective of the percentage of personnel costs. Please indicate (in the justification) if the beneficiary's methodology for declaring the costs for large research infrastructure has already been positively assessed by the Commission.

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

---

8   Large research infrastructure means research infrastructure of a total value of at least EUR 20 million, for a beneficiary. More information and further guidance on the direct costing for the large research infrastructure is available in the H2020 Online Manual on the Funding & Tender Portal.

12

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.[1]

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
If yes, please describe and justify the tasks to be subcontracted	
Does the participant envisage that part of its work is performed by linked third parties[2]	Y/N
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	

---

[1] Please refer to General Annex H Evaluation Rules, Selection Rules, Operational Capacity

[2] 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).

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
If yes, please describe the third party and their contributions	
Does the participant envisage that part of the work is performed by International Partners[3] (Article 14a of the General Model Grant Agreement)?	Y/N
If yes, please describe the International Partner(s) and their contributions	

---

[3] '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.

Section 5: Ethics and Security

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

5.1 Ethics

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

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

- submit an ethics self-assessment, which:
  - describes how the proposal meets the national legal and ethical requirements of the country or countries where the tasks raising ethical issues are to be carried out;
  - explains in detail how you intend to address the issues in the ethical issues table, in particular as regards:
    - research objectives (e.g. study of vulnerable populations, dual use, etc.)
    - research methodology (e.g. clinical trials, involvement of children and related consent procedures, protection of any data collected, etc.)
    - the potential impact of the research (e.g. dual use issues, environmental damage, stigmatisation of particular social groups, political or financial retaliation, benefit-sharing, misuse, etc.).

- provide the documents that you need under national law(if you already have them), e.g.:
  - an ethics committee opinion;
  - the document notifying activities raising ethical issues or authorising such activities

⚠️ *If these documents are not in English, you must also submit an English summary of them (containing, if available, the conclusions of the committee or authority concerned).*

⚠️ *If you plan to request these documents specifically for the project you are proposing, your request must contain an explicit reference to the project title.*

5.2 Security[4]

Please indicate if your project will involve:

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

---

[4] See article 37 of the [Model Grant Agreement](#). . For more information on the classification of Information, please refer to the Horizon 2020 guidance: https://ec.europa.eu/research/participants/data/ref/h2020/other/hi/secur/h2020-hi-guide-classif_en.pdf.