



## Proposal Template (Technical Annex)

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

### *Calls 2017*

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.

**Lighthouse Initiative:** all reference to the Lighthouse Initiative *MUST be EXCLUSIVELY provided in the EoI document*. The consortia are kindly required to refrain from providing any Lighthouse Initiative-related information in the Part A and/or B of the proposal.

**Page limits for RIA and IA ECSEL actions:**

- The page limit for the chapter on *EXCELLENCE* is 60 pages.
- The page limit for the chapter on *IMPACT* is 100 pages.
- The page limit for the chapter on *IMPLEMENTATION* is 100 pages.

Expert evaluators will be instructed to disregard the excess pages.

**Mandatory formatting:** Font of the main body text - Times New Roman 12 points, minimum line spacing –Single, minimum character spacing – Standard. The minimum font size allowed is 11 points. Page size - A4, margins (top, bottom, left, right) – at least 15 mm (not including any footers or headers). Pictures, tables, formulas and graphics must be legible and are included within the page limits.

**COVER PAGE***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 Chapters/Subchapters Refer to MASP ECSEL-GB-2017.78 Only the Chapter/Subchapter numbers, no full text</i>
What kind of applications does this proposal tackle?	<i>Listed in order of importance to the project Maximum 3 Chapters/Subchapters Refer to MASP ECSEL-GB-2017.78 Only the Chapter/Subchapter numbers, no 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*

<b>Participant No *</b>	<b>Participant organisation name</b>	<b>Participant short name</b>	<b>Country</b>	<b>National eligibility checked by participant (Y/N)</b>
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*)

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

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

### **1.2 Relation to the work plan** (*to be completed for PO phase*)

- 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 MASP<sup>2</sup>.

### **1.3 Concept and approach** (*to be completed for PO phase*)

- Describe and explain the overall concept underpinning the project. Describe the main ideas, models or assumptions involved. Identify any trans-disciplinary considerations;
- 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 General Annex 4.C of the work programme);
- 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;
- Describe and explain the overall approach and 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 sex and/or gender analysis is taken into account in the project’s content.

**⚠ Sex and gender refer to biological characteristics and social/cultural factors respectively. For guidance on methods of sex / gender analysis and the issues to be taken into account, please refer to [http://ec.europa.eu/research/science-society/gendered-innovations/index\\_en.cfm](http://ec.europa.eu/research/science-society/gendered-innovations/index_en.cfm)**

### **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. Your answer could refer to the ground-breaking nature of the objectives, concepts involved, issues and problems to be addressed, and approaches and methods to be used.

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<sup>1</sup> The term ‘project’ used in this template equates to an ‘action’ in certain other Horizon 2020 documentation.

<sup>2</sup> The MASP 2017 (Multi Annual Strategic Plan) can be found on the call webpage

- Describe the innovation potential 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 100 pages)

### 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;
  - improving innovation capacity and the integration of new knowledge (strengthening the competitiveness and growth of companies by developing innovations meeting the needs of European and global markets; and, where relevant, by delivering such innovations to the markets;
- Describe any barriers/obstacles, and any framework conditions (such as regulation and standards), that may determine whether and to what extent the expected impacts will be achieved. (This should not include any risk factors concerning implementation, as covered in section 3.2.)

### 2.2 Measures to maximise impact

#### a) Dissemination and exploitation of results

- Provide a draft ‘plan for the dissemination and exploitation of the project’s results’ (unless the work programme topic explicitly states that such a plan is not required). For innovation actions describe a credible path to deliver the innovations to the market. The plan, which should be proportionate to the scale of the project, should contain measures to be implemented both during and after the project.

 Dissemination and exploitation measures should address the full range of potential users and uses including research, commercial, investment, social, environmental, policy making, setting standards, skills and educational training.

 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.

- Explain how the proposed measures will help to achieve the expected impact of the project. Include a business plan where relevant.

- Describe any framework conditions, such as regulation and standards, applicable to the project.
- Describe as well any contribution to standards which may arise from the project and explain their importance.
- Outline the strategy for knowledge management and protection. Include measures to provide open access (free on-line access, such as the ‘green’ or ‘gold’ model) to peer-reviewed scientific publications which might result from the project<sup>3</sup>.

**⚠** *Open access publishing (also called 'gold' open access) means that an article is immediately provided in open access mode by the scientific publisher. The associated costs are usually shifted away from readers, and instead (for example) to the university or research institute to which the researcher is affiliated, or to the funding agency supporting the research.*

**⚠** *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**

- 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 various audiences, including groups beyond the project's own community. Where relevant, include measures for public/societal engagement on issues related to the project.

### **3. Implementation (maximum 100 pages)**

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

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 3.1a)*
- timing of the different work packages and their components *(legible Gantt chart or similar)*;
- detailed work description, i.e.:
  - a description of each work package (table 3.1a);
  - a list of work packages (table 3.1b);

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

- 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. Include details of the resources to be allocated to each work package. The number of work packages should be proportionate to the scale and complexity of the project.*

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

⚠ *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.*

*'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.*

## **3.2 Management structure 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)

### 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? 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? How will they be able to work effectively together?
- 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 2.3).
- **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.
- **Other countries:** If one or more of the participants requesting EU funding is based in a country 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 4.A of the ECSEL JU Work Plan 2017 are automatically eligible for EU funding), explain why the participation of the entity in question is essential to carrying out the project

### 3.4 Resources to be committed

**⚠** *Please make sure the information in this section matches the costs as stated in the budget table in section 3 of the administrative proposal forms, and the number of person months, shown in the detailed work package descriptions.*

Please provide the following:

- a table showing number of person months required (table 3.4a)
- a table showing 'other direct costs' (table 3.4b) for participants where those costs exceed 15% of the personnel costs (according to the budget table in section 3 of the administrative proposal forms)

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

**⚠** Provide a detailed work description per work package, broken down into tasks and preferable per partner, according to the template below. Give full details. Base your account on the logical structure of the project and the stages in which it is to be carried out. Include details of the resources to be allocated to each work package. The number of work packages should be proportionate to the scale and complexity of the project.

You should give enough detail in each work package to justify the proposed resources to be allocated and also quantified information so that progress can be monitored. Please make sure that the efforts of EACH partner are consistent with the eligible costs foreseen.

You are advised to include a distinct work package on ‘management’ and to give due visibility in the work plan to ‘dissemination and exploitation’ and ‘communication activities’, either with distinct tasks or distinct work packages.

**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 Beneficiary, not the Person month per participant)**

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

**Objectives** (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 beneficiary 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 Deliverables<sup>4</sup>**

<b>Deliverable (number)</b>	<b>Deliverable name</b>	<b>Work package number</b>	<b>Short name of lead participant</b>	<b>Type</b>	<b>Dissemination level</b>	<b>Delivery date</b>

**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)

<sup>4</sup> If your action takes part in the Pilot on Open Research Data, you must include a data management plan as a distinct deliverable within the first 6 months of the project. This deliverable will evolve during the lifetime of the project in order to present the status of the project's reflections on data management. A template for such a plan is available on the Participant Portal (Guide on Data Management).

**Table 3.2a: List of milestones**

Milestone number	Milestone name	Related work package(s)	Estimated date	Means of verification

**KEY**

**Estimated 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	Work package(s) involved	Proposed risk-mitigation measures

**Table 3.4a: Summary of staff effort**

Please, indicate the number of person months over the whole duration of the planned work, for each work package, for each participant. Identify the work-package leader for each WP by showing the relevant person-month figure in bold.

	WPn	WPn+1	WPn+2	Total Person/ Months per Participant
<b>Participant Number/Short Name</b>				
<b>Participant Number/Short Name</b>				
<b>Participant Number/Short Name</b>				
<b>Total Person months</b>				

**Table 3.4b: ‘Other direct cost’ items (travel, equipment, other goods and services, large research infrastructure)**

Please complete the table below for each participant if the sum of the costs for ‘travel’, ‘equipment’, and ‘goods and services’ exceeds 15% of the personnel costs for that participant (according to the budget table (JU Grant) in section 3 of the proposal administrative forms).

Participant Number/Short Name	Cost (€)	Justification
<b>Travel</b>		
<b>Equipment</b>		
<b>Other goods and services</b>		
<b>Total</b>		

Please complete the table below for all participants that would like to declare costs of large research infrastructure under Article 6.2 of the General Model Agreement<sup>5</sup>, 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
<b>Large research infrastructure</b>		

<sup>5</sup> 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 Participant Portal.

**Table 3.4c: Support through ESI Funds**

Please fill in the table below for the participants receiving ESI Funding

Participant Number/Short Name	Managing Authority	Implementing Authority	Total Eligible Costs relative to the ESI Funding (€)	Requested ESI Funding (€)
<b>Total</b>				

**Section 4: Members of the consortium**

 *The information provided here will be used to judge the operational capacity.*

**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;
- [any other supporting documents specified in the work programme for this call.]

**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 <sup>6</sup>	Y/N
<i>If yes, please describe the third party, the link of the participant to the third party, and describe and justify the foreseen tasks to be performed by the third party</i>	
Does the participant envisage the use of contributions in kind provided by third parties (Articles 11 and 12 of the General Model Grant Agreement)	Y/N
<i>If yes, please describe the third party and their contributions</i>	

## Section 5: Ethics and Security

### 5.1 Ethics

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

- submit an ethics self-assessment,<sup>7</sup> 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, malevolent use, 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.*

<sup>6</sup> A third party that is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action. (Article 14 of the Model Grant Agreement).

<sup>7</sup> For guidance on "How to fill in your ethics self-assessment" please refer to: "[http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/hi/ethics/h2020\\_hi\\_ethics-self-assess\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/ethics/h2020_hi_ethics-self-assess_en.pdf)

## 5.2 Security<sup>8</sup>

**Please indicate if your project will involve:**

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

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



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
- 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

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<sup>8</sup>

[http://ec.europa.eu/research/participants/data/ref/h2020/mga/gga/h2020-mga-gga-multi\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/mga/gga/h2020-mga-gga-multi_en.pdf)