Commented Proposal Template

For the Calls in the Societal Challenge 1 "Health, demographic change and wellbeing" in Horizon 2020

by the National Contact Point for Health

August 2018

Based on the Proposal template of the EU Commission from February 1st 2018

Disclaimer:

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Proposal template: technical annex

(for full proposals: single stage submission procedure and 2nd stage of a two-stage submission procedure)

Research and Innovation actions
Innovation actions

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).

Objectives are the tangible goals you want to achieve with your project. We recommend depicting one main goal and adding matching sub-goals that can be used as a suspension point for the application. An illustrated overview of the connections can be useful for the understanding of the goals.

Key questions:

- What do you want to achieve?
- What is the problem/challenge the call for tender seeks to address?
- What are the big, superordinate resp. subordinate goals of the project? Are the topic-goals addressed or not?

Approach:
SMART-Analysis: goals should be specific, measurable, attractive, realistic and terminated.

It is not about: What do I want to do?
➔ *Objectives* ≠ Workplan

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

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.

Key Question:

- Which topic does your proposal address? Please also indicate the title and the identifier of the call explicitly (e.g. BHC-07-2019).

Approach:

Take up the most important aspects and key words from the *specific challenge* und the *scope*. A table of these aspects including a respective explanation of how your project addresses these issues can be helpful.

It is not about: What do I want to do?

➔ *Relation to the work programme* ≠ Concept

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. 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 General Annex G of the work programme).

In the area of health the classification of the project in *Technology Readiness Levels* (TRLs) in the area of health is not always clear. If available, proofs of success should be mentioned, which have been achieved prior to the project (e.g. field studies, prototypes). Instead of tangible TRLs you could describe, in which phase your project is in, for instance when you will initiate the clinical study or start the application for the patient.

You can find more detailed information on TRLs in part G of the *General Annex* in the current working programme:
http://ec.europa.eu/research/participants/data/ref/h2020/other/wp/2018-2020/annexes/h2020-wp1820-annex-ga_en.pdf

- Describe any national or international research and innovation activities which will be

Key Questions:

- What is the concept behind the project? What are the hypothesis/assumptions the project is based on? How do you justify this approach?
- How is the current state of knowledge and technology? Are there any research activities or results from other projects involved in this project?
- How do you ensure the exchange between the mentioned initiatives/ projects?
- Which stakeholders have to be integrated?
  End users, medical personnel, consumers, policy makers, industry, society represented by e.g. patient associations, expert associations
- Are relevant stakeholders involved at an early stage? (e.g. in boards/ as partner)

It is not about: What do I exactly want to do and when?
➔ *Concept* ≠ Working Plan

(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.

Methodology is about how you approach your project – not about the details of the (laboratory-) methods.

Key Questions:

- How (with which approach) do I intend to achieve my goals/fill the gaps/satisfy the needs/solve the problems?
- What sets you apart? Why is it you who can solve the problems with exactly this concept/ this approach?

It is not about: What exactly do I want to do and when?
➔ *Methodology* ≠ Working Plan

- 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*

Key questions:

- Is biological sex relevant for your project? (e.g. prevalence of certain diseases, symptoms, reactions to therapies, effects of sexual hormones or X and Y chromosomes towards diseases/biological processes)
- Is gender relevant for your project from a societal point of view? (e.g. acceptance of therapies, gender-specific design of apps or robots)

Hint: Since cells have a biological sex and animals can show gender-specific behaviour, research with cell tissue or animals should consider the gender. Examples provided by the EU-Commission can be found here:
http://ec.europa.eu/research/swafs/gendered-innovations/index_en.cfm?pg=home.
Should neither sex nor gender play a role in the project, you should shortly elaborate on this in your proposal.

It is not about: How many women are working in the project?
➔ *Sex/gender analysis* ≠ gender distribution in the project

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.

Ambition refers to the uniqueness of your project – not to the objectives you want to achieve. Concerning the second bullet referring to patents and the market: we recommend to actively involve the expertise of all partners (SME, large-scale industry, end users, academia etc.).

Key questions:

- What is the progress compared to the state of technology or respectively the routine treatment or therapy? What are the advantages or the *unique selling point* of your solution in comparison to the best option currently available?
- Where has something similar been realized? What are you doing differently?
- Where are the latest knowledge/ the latest methodology extended?
- What are the challenges (e.g. technologically, organisational)?
- Do you apply special resources?
- What is new/ revolutionary/ a breakthrough?
- In what lies the (economic) potential for innovation? (e.g. new/improved products/therapies/apps, new treatment guidelines, influence on healthcare policy)
- Have you performed a patent search? Do you have the *freedom to operate*? Is there possibly the chance for new patents?
- How is the market structured? Where (which target group/users, markets and countries) can the innovation be applied? Is a market investigation necessary?

Hint: Intellectual property should be protected timely. Patent lawyers, institutions for technology transfer, as well as the IPR helpdesk from the EU-Commission can provide support: http://www.iprhelpdesk.eu/training

It is not about: Why do I want to carry out this project?
Ambition ≠ Objectives

Ambition distinction to *Impact*: For *Ambition* you describe what is extraordinary during the project duration. Impact describes the influences your project has after your project has been completed.

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

Impact is the effect/ consequence/ meaning and the influence of your project and the achievement of the goal of your project, resp. Here you describe the effect of your project during the lifespan of your project and especially also beyond this time. Be as specific as possible. Use quantifiable indicators. A table or the different sub-headlines stating the *Expected impacts* indicated in the topic text and how these aspects are addressed with the project can be helpful. Additionally you describe further possible effects of the project (which are not explicitly stated in the topic text).

Key questions:

- What are the potential effects the project/ the achievement of the project's objectives will have on all points stated in the topic text in the section *expected impact*?
- To which extent does the project support the EU-policies, e.g. in the fields of research, innovation, health, biotechnology, environment, society?
  - You can find hints on relevant EU-policies e.g. in the topic text or in the introduction of the work programme.
  - Why does Europe need this project? What is the European added value?
- Who are the potential users/stakeholders? (e.g. patients,caregivers, relatives, scientists, health insurance funds, employers, health care systems, regulatory authorities).
- What effects does the project have on these groups? E.g. potential savings for a health care system through a decreased length of hospital stay
- How does the project strengthen the competitiveness of Europe and enterprises, resp. (products, technologies)?
  - Who will profit from the project in economic terms (which sector, which SMEs, regional and/or European?)
  - Where in the supply chain is your project located and how does it generate added value?
- What is the total social/societal benefit of your project?
- What do you give back to society for having received project funds?
- Does the project contribute to novel technological standards?

It is not about: What did I do in or have achieved with the project.
➔ *Impact* ≠ List of accomplished work or achieved objectives

- 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.)

Key questions:

- Are there any obstacles, e.g. in the legislation or the acceptance of a therapeutic method that influences whether or not the anticipated *Impact* can be reached?

It is not about: What prevents you from implementing your project or achieving your objectives?

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'**. 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.*

[2] See participant portal FAQ on how to address **dissemination and exploitation** in Horizon 2020

Dissemination intends to increase the prominence and visibility of progress and results of the project as well as its members for relevant experts. Hereby various media such as publications in journals, workshops, presentations at conferences, fairs etc. should be utilized.

Exploitation describes the use of results, e.g. by marketing products, usually via property rights, patents and licences. The societal and social benefit also runs under the exploitation of results.

The **dissemination and exploitation plan** is part of the project plan. It should explain which steps are necessary to distribute the results among the respective target groups and with which tools. A table with important target groups and the respective exploitation and dissemination measures can be helpful. We recommend a *work package* solely designated to "Dissemination/ Exploitation". The *work package leader* should be a partner with previous experience (SME, working in an agency etc.). The dissemination and exploitation plan must be updated on a regular basis (every 18 months when reporting the latest).

Key questions:

- Which results can be expected in the project?
- Who are the (potential) users? (→ connection to stakeholders in 2.1)
  - Involve potential users and prospective distribution partners or licensees timely (e.g. via costumer survey)
- Which results should be protected? How shall results be exploited? E.g.
  - Licensing of the intellectual property and patents to be used by third parties
  - Formation of a company, which will use the results generated in the project and that develops them further and brings them to the market
  - Influence on politics, treatment guidelines, technical standards
- Which standards or norms already exist? Is it perhaps useful to include a national standards body as partner (e.g. the German Institute of Standardization/ DIN)? (European standards bodies such as CEN or CENELEC cannot become partners of a consortium)
- In which ways are/is SME/industry involved in dissemination and exploitation? (→ connection to *Consortium as a whole* in 3.3)
- Who in the consortium is responsible for the dissemination, who for the exploitation?
- Do you meet the requirements for dissemination and exploitation as stated in the topic text?

Hint:
The EU-Commission provides assistance and guidelines on this issue here:
http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management/dissemination-of-results_en.htm

- Include a business plan where relevant.

It is not expected that you have a complete business plan for the research and innovation activities. The closer your project is to marketing, the more detailed the business plan should be. Make use of the expertise of your consortium partners who will exploit the results (industry/SME). Be as specific as possible. Use quantifiable indicators.

Possible key questions:

- What are the planned business activities?
- What are the chances to earn money with these activities?
- When will you earn money and how much money are you likely to earn (sales & profit)?
- In what market to which customers will you sell? (relation to 1.4)
- Which financial capacities/capital do you have?
- How is the competitive situation? How is your business unique (*unique selling point* - USP)?
- Which assumptions and conditions have to occur for your business to be successful?
- What are the necessary next steps?

- 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:
    - What types of data will the project generate/collect?
    - What standards will be used?
    - 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'.)*[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.*

[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 Participant Portal.

Since the call for proposals in 2017, all project proposals automatically participate in the *Open Research Data Pilot.* If you do not want to participate, you have to *opt-out* and give a reasonable explanation why. We will gladly advise you. The *Guidelines on Data Management in Horizon 2020* may be helpful:
http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-

A first version of the *Data Management Plan* (DMP) must be uploaded on the *Participant Portal* as *Deliverable* within the first six months after the project has started. The DMP should be updated regularly, but before the final review of the project the latest. The DMP is obligatory for all projects participating in the *Open Research Data Pilot*. The Commission provides a *Template*, which can be used to create the DMP.
http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/open-access-data-management/data-management_en.htm

Also consider the following key question:
What will happen to the collected data and the associated costs after the finalization of the project?

- 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*

Key questions:
- How does the consortium deal with the generated knowledge and the intellectual property?
  - What are your internal regulations?
  - With which strategy do you evaluate, use and protects intellectual property?

The EU Commission has organised the *European IPR Helpdesk* for this issue: https://www.iprhelpdesk.eu/

- Which options of the Open Access will you use?
  Hint: You can claim the costs for the *Gold Open Access* during the project duration.

[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 Participant Portal.

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.

Communication describes the distribution of commonly understandable information about the project, which does not address specialists in the field, but the wider public. This involves Press and Public Relations. Examples are press releases, brochures, social media, newsletters, exhibitions, interviews, project websites, open house days, articles in magazines. Use the communication channels consciously and target-oriented.

Outlay the planned activities in a clear way. A table including the columns target groups, message, communication action, date and desired effect can be helpful.

Key questions:

- Which results are relevant for which target group? (relation to stakeholders in 2.1 and potential users in the dissemination and exploitation plan 2.2)
- How do you want to address and exchange with each target group?
- When do you address which target group and with which medium?
- What should the dissemination look like? → target-specific preparation and distribution of project results (publications, workshops, comprehensible Flyer, etc.)

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.:
  - 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 (Pert chart or similar).

[5] See participant 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 Participant Portal.

⚠ *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.

Key questions:

- In which *Work Packages* can your project be divided?
- What has to be done?
- What do I need and what do I need it for?
- When is it done and what?
- How much has to be done?

Approach:

Development of a project plan/ a project structure; allocation of all tasks in single sub-tasks; a work package is a 'project within a project'.

- Short description of the structure of the *work plan* and the interaction of each *work package*.
- A schedule for each *work package* and its components (Gantt Chart or similar); here you can also enter the *deliverables* and *milestones.*
- Detailed description of each *work package*.

Hint:

- Make a plan for the preparations, a time schedule and a plan for resources, costs and capacities.

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.

Describing the organisational structure and the paths of decision-making.

Key questions:

- Who is responsible for what?
- Who works with whom and what are they working on?
- Who works for whom?
- Who makes which decisions and where?
- Is the innovation management addressed adequately?

Boards:

It might be useful to establish certain boards for a successful management, e.g. *Executive Board*, *IPR-Exploitation Board*, *Innovation Management Board*, etc.

Next to the coordinator, *Work package Leader* and *Task Leader* there can be further duties within the consortium:

- *Advisory Board* (e.g. patient organisations, other associations, public authorities)
- *Scientific Advisory Board*
- *Ethics Board*

Clarify the paths of decision-making:

- What happens in controversial cases? Who gets to decide to which extent?
- What happens if you do not come to terms?
- How are the different boards involved in processes? Who manages the communication? (usually but not necessarily by the coordinator)

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

Describe how the consortium as a whole will achieve the objectives of the project.

Key questions:

- Does the consortium meet the requirements of the Call/Topic?
- Does the consortium have all the necessary competences to cover all aspects of the topic?
  - Excellence/ competence/ experience
  - Resources/ strategic know-how
  - Complementarity (different disciplines, institutional background, involvement of SME)
- Is a certain geographical origin of the partner requested for the topic?
- Why are exactly these partners required?

Further questions:

- How many SME/ industrial partners are involved with which tasks, status and budget?
- Who is involved in the exploitation of the results? (relation to 2.2 of the application)
- Who takes care of the communication with health organisations, associations etc., who are not involved as partners?
- Exception: Involvement of partners from third countries (please find more information in the General Annex part A): Why are these partners necessary for the success of the project or why do you intend to involve them? How is the financing ensured?

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)

The information has to correspond to the information in the budget-table (Section 3 in *Part A*) and to the person-months in the table of the work-packages (3.1b).

O*ther direct costs* could be for instance:

- Consumables
- Access to data for a market analysis
- Costs for publication
- Patent application
- Technical support for a project website
- Participation in international congresses and partnering-events

Tables for section 3.1

Table 3.1a: List of work packages

Work packages are projects within the project

- Determine an objective and a responsible person (*WP leader*) for every *work package*

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

We recommend creating own *work packages* each for '*management*' as well as for '*dissemination*, exploitation and communication'.

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	➢ Formulate clear and realistic objectives shortly and precisely. We recommend one main objective and appropriate sub-objectives. ➢ The objectives should match the project objectives listed in 1.1.

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

- Tangible description of the *tasks*, which have to be accomplished on order to reach the project objectives.
- Every task should have at least one *deliverable.*
- Definition of partners who are responsible for the tasks (*Task Leader*)

Deliverables (brief description and month of delivery)

- Defined delivery performance, as result/ completion of the above-mentioned work
- Use consistent designations for the *deliverables*
- You should describe the achieved *deliverables* in the regular reports
- All *deliverables* will also be noted in a separate list (Table 3.1c).
- Use the same numeration for the tasks and the deliverables, e.g. WP4, Task T 4.1, Deliverable D 4.1

Every *Deliverable* has to be delivered!

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 Participant 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

Milestones…

- divide a project into different stages and intermediate goals
- mark critical landmarks within a project
- limited in number
- should always be formulated as event , e.g.: prototype finalized, prototype validated

That a milestone has been achieved has to be accounted for.

We recommend recording the *milestones* in the *Gantt Chart* as well.

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

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				

The tasks should be evenly distributed between the person-months of the project partners.

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

[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 Participant Portal.

Large research		

Costs for *Open Access* publications can be claimed under "*Other direct costs*". How *other goods and services* differ from *subcontract* is described in the *Annotated Model Grant Agreement* (§ 10 resp. § 13):

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

You can also call upon the expertise of your EU liaison officer or your administration.

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]

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

Participant or project partner designate your institution (e.g. university, research facilities, enterprises). Only in rare cases a natural person participates directly as a project partner.

Key questions:

- For which institution do you work and what are the tasks of this institution within the project?
- How does the profile of your institution match the tasks of the project; e.g. infrastructure, access to patients, data, staff, *know-how* etc.?
- Do you have all the necessary expertise and the resources at hand as demanded in the topic text?
- Do you/ Does your institution have the needed capacities (timewise, administrative, and personnel-wise)? Do you have *operational capacity*?

Hints:

- Make sure you have consistent partner descriptions. Provide your project partners with a prepared template including page limits.
- Make sure you have a balanced representation of men and women in leading positions of your project – this can be especially relevant in the case of equal scores during the evaluation.
- Also think of the expertise available in your institution such as technology transfer, public relations, connections to regulatory bodies etc.. The closer your project proposal is to the market, the more important is certain expertise. For example expertise in product development, application technology, marketing, business development.
- Next to important publications also indicate relevant patents or products of previous research activities.
- Should the reviewers come to the conclusion that you or one of your partners do not have the *operational capacity*, or if you cannot certify that this capacity will be available at the time of implementation, your proposal will be evaluated without this partner and the contribution of this partner within the project.

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

[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).

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	
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	

For this section make use of the expertise of your EU-liaison officer or your administration. The different types of *third party* are described in the *Annotated Model Grant Agreement* (AMAGA):

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

Subcontract = Article 13;
Linked third party: Article 14;
Third party: Article 11 and 12

You do not yet have to indicate subcontractors in your proposal. You do however have to outline which *tasks*/activities you intend to contract out.

- If you should have further questions you can get in touch with us or with the National Contact Point for Legal and Financial Aspects (www.nks-ruf.de).

[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 Societal Impact

⚠ *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.*

Key questions:

- Are there any relevant ethical aspects? How are you dealing with them?
- Do you already have the required approvals or will you have them when the project starts?

Approach:

- If you have answered any ethical aspect in part A of your proposal with "yes", you must elaborate further on this. It must be clear that the consortium is aware of any critical ethical issue. You must show how you comply with the applicable legislations and ethical standards.
- Perhaps it is useful to involve an *Ethics Board*.
- We recommend addressing larger ethical challenges in a separate *work package*.

Ethical aspects you have to mention:

- Intervention to the human body
- Information for probands
- Privacy and data protection
- Use of human specimen and data
- Experiments involving animals
- Research in developing countries
- *Dual use* (military applications)
- ...

In *Part A* you have to enter any relevant ethical issue in the *Ethics Issues*-Table. In this *Part B* an *Ethics Self-Assessment* shall picture how ethically sensitive aspects are addressed in the project. You can find more information in the guidelines „*How to complete your ethics self-assessment*" here: (http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/ethics/h2020_hi_ethics-self-assess_en.pdf).

To include an ethics expert, an ethical board and/or a workpackage on ethics can possibly contribute to the consideration of ethical aspects relevant to the research project. In the case of clinical studies you need to demonstrate the state of the approval procedure by the regulatory authorities as well as the votes of the ethical committee. Please find further informtation here: (http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/ethics_en.htm)

5.2 Security[4]

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

Please indicate if your project will involve:

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

Key questions:

- Does your project include aspects that might threaten the national/international security?
- For example:
  - Could the results/ products generated in the project be misused as biological weapons (*Dual use*)?
  - Do the results contain any information about the security structure of a system/ building, which may not be published?

[4] **Article 37.1 of the Model Grant Agreement**: *Before disclosing results of activities raising security issues to a third party (including affiliated entities), a beneficiary must inform the coordinator — which must request written approval from the Commission/Agency.* **Article 37.2**: *Activities related to 'classified deliverables' must comply with the 'security requirements' until they are declassified. Action tasks related to classified deliverables may not be subcontracted without prior explicit written approval from the Commission/Agency. The beneficiaries must inform the coordinator — which must immediately inform the Commission/Agency — of any changes in the security context and — if necessary — request for Annex 1 to be amended (see Article 55)*