



BIO-BASED INDUSTRIES
Joint Undertaking
www.bbi-europe.eu

Bio-based Industries JU

Guide for Applicants

Research and Innovation Actions

Innovation Actions

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About this document

This document is the Guide for Applicants for single stage submission calls issued by the Bio-based Industries Joint Undertaking (BBI JU).

This Guide is common to all BBI JU calls.

As a general rule, the infrastructure used for submission and evaluation of proposals will be those foreseen for Horizon 2020 calls.

Note that this Guide is based on the rules and conditions foreseen in the BBI JU annual Work Plan and rules for submission and evaluation of proposals, which are accessible through the Research Participant Portal. The Guide does not in itself have legal value, and thus does not supersede those documents.



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Definitions used throughout this Guide

Action: is the proposed project.

Beneficiaries are the members of the project consortium and are signatories to the Grant Agreement. They take complete responsibility for executing the proposed action.

Coordinator is the beneficiary that is taking the lead in the preparation and submission of the proposal as the "proposal coordinator". For a given proposal, the coordinator acts as the single point of contact between the participants and the BBI-JU.

Associated Countries means third countries that are associated to Horizon 2020.

Third Countries (TC) are countries which are neither EU Member States nor associated to Horizon 2020 (Associated Countries). Some TCs appear in the list of countries receiving funding, provided in the Annex A to the work plan.

Budget: is the total eligible costs incurred by the consortium for the implementation of an action.

Funding: refers to the EU financial contribution to cover eligible costs incurred by the consortium. It is made available by the BBI-JU through call for proposals.

Eligible costs: are costs that comply with the Horizon 2020 financial rules.

In kind contribution refers to costs incurred by the beneficiaries to implement the action. These costs are eligible for funding according to Horizon 2020 rules but are not reimbursed by the BBI-JU;

Additional activities refer to investments (e.g. infrastructures, facilities, durable equipment as well as non-innovative processes) by the industry partners which directly contribute to reaching the industrial objectives of the project. These investment costs are not to be declared as eligible costs of the action, are thus not reimbursed by the BBI-JU. They are accounted according to the usual cost accounting practices of the industry partners contributing them.



1. CALLS FOR PROPOSALS PUBLISHED BY THE BIO-BASED JOINT UNDERTAKING

1.1. What is the Bio-based Industries Joint Technology Initiative?

One of the main aims of Horizon 2020, the Framework Programme for Research and Innovation covering the period 2014-2020, is to strengthen European industry through actions supporting research and innovation across a range of industrial sectors. In particular, it provides for the creation of public-private partnerships that will contribute to tackling some of the key challenges Europe is facing.

Bio-based industries are industries, which use renewable biological resources for the production of bio-based products and biofuels. Production usually takes place in biorefineries. They give rise to new value chains, linking previously unrelated primary producers and industries, thus opening new opportunities for a wide range of established players.

On 6 May 2014, the Council adopted the Regulation setting up the Bio-based Industries Joint Undertaking (hereafter “BBI JU”). This initiative will run until 31 December 2024.

The main focus of this JTI will be on the transformation of non-edible parts of plants (e.g. wood, agricultural and forestry residues) and biodegradable wastes into bio-based products and biofuels.

The objectives of the proposed JTI on bio-based industries are to:

to contribute to develop a more resource efficient and sustainable low carbon economy and increasing economic growth and employment, in particularly in rural areas, by developing sustainable and competitive bio based industries in Europe based on advanced biorefineries that source their biomass sustainably, and in particular to:

- (i) demonstrate technologies that enable new chemical building blocks, new materials, and new consumer products from European biomass which replace the need for fossil based inputs;
- (ii) develop business models that integrate economic actors along the whole value chain from supply of biomass to biorefinery plants to consumers of bio based materials, chemicals and fuels, including by means of creating new cross sector interconnections and supporting cross industry clusters; and
- (iii) set up flagship biorefinery plants that deploy the technologies and business models for bio based materials, chemicals and fuels and demonstrate cost and performance improvements to levels that are competitive with fossil based alternatives.



The BBI JU is a public-private partnership between:

- The European Union, represented by the Commission
- The Bio-based Industries Consortium (BIC)

BIC is an association established in 2012 to represent the private sector partners in the JU. It started with 40 European member companies (large and small) and has been growing ever since. BIC membership counts today 70 full members (40 large industries, 17 SMEs and 12 Clusters) as well as 115 associated members (38 Universities, 59 research and technological Organisations, 7 European trade organisations, 6 Associations and 3 European Technology Platforms (ETPs) and 2 national technology platforms). Its members represent a unique mix of sectors including agriculture, agro-food, technology providers, forest-based sector, chemicals and energy. Further information on the composition of BIC can be found at: www.biconsortium.eu

Overall the European Union will contribute to the BBI JU with EUR 975 million. The industry via BIC will make a total contribution of at least EUR 2730 million

General information on the BBI JU can be found at: www.bbi-europe.eu

More details on the setting-up of the BBI JU are described in the Council Regulation (EU) No 560/2014 of 6 May 2014 establishing the Bio-based Industries Joint Undertaking

1.2. Calls for Proposals: How does it work?

The BBI JU follows the rules of the European Union's Horizon 2020 framework programme (H2020).

Calls for proposals are published to support Research and Innovation actions, Innovation actions and Coordination and Support actions, in line with the provisions foreseen in the BBI JU annual Work Plan

Proposals must be submitted electronically using the electronic submission service of the Commission accessible from the relevant call page on the Participant Portal. Each proposal must include the administrative details of the participants (Part A) and a description of the activities to be carried out during the lifetime of the project (Part B), using the specific templates available on the Participant Portal. Proposals must be submitted according to the procedure and before the strictly-enforced deadline defined in the call text.

The BBI JU staff organizes the evaluation of eligible proposals. The basis for this evaluation is peer-review carried out by independent experts selected from the Horizon 2020 experts' database. The selection is performed on a competitive basis while ensuring excellence, transparency and equal treatment of all proposals.

Annex 1 of this document provides an overview of the timetable and specific information for the 2014 call.

Annex 2 provides details on the evaluation criteria and procedures applied for this call.

Annexes 3 and 4 contain the essential information to guide applicants through the mechanics of preparing and submitting a proposal. Before drafting a proposal, make sure that you have the correct documentation. You must also refer to the call text which provides a detailed description of the objectives and topics that are open for proposals and will describe the wider context of research activities in this area.

2. ABOUT THE FUNDING SCHEMES

2.1. General

Different types of actions are available to implement projects under the BBI JU; depending on the topic, only some may apply. Details are available in the BBI JU annual Work Plan .

This Guide provides a description of the different actions foreseen for the 2014 call.

2.2. Who can participate and who can receive funding?

Participation:

The participation in a proposal requires the existence of a legal entity. A legal entity can be a so-called “natural person” (e.g. Mrs. Smith) or a “legal person” (e.g. National Institute for Research). Depending on the type of action, a proposal may involve one or several participant(s).

For the purposes of the BBI JU calls, two different types of organisations are eligible and distinguished according to their sector:

- Academic sector;
- Non-academic sector.

Before applying, each organisation has to register and is automatically classified in one of the two sectors on the basis of the Participant Identification Code (PIC)¹ assigned during the validation

¹ Legal entities having a valid PIC number under FP7 maintain their PIC in H2020. The details of all validated organisations are stored in a Unique Registration Facility (URF). For the confirmation and, if necessary, revision of the data stored in the URF, the Commission asks each organisation to nominate a Legal Entity Appointed Representative (LEAR). The LEARs can view their organisations' legal and financial data online and ask for corrections and changes through the Participant Portal.

process. Organisations are considered belonging to the academic sector if they have been assigned to one of the three categories mentioned below:

- Public or private higher education establishments awarding academic degrees;
- Public or private non-profit research organisations whose primary mission is to pursue research;
- International European Interest Organisations².

All other organisations are by default non-academic and include private enterprises (like SMEs³), non-profit or charitable organisations (e.g. NGOs, trusts), etc.

Each organisation has to register only once through the Participant Portal.

Any legal entity irrespective of the country in which it is established may participate in a BBI JU project.

Eligibility for funding:

In the frame of a project, the following are eligible for BBI JU funding:

- (a) legal entities established in a Member State or an Associated country;
- (b) international organisations, which have legal personality under international public law, as well as any specialised agencies set up by such organisations;
- (c) legal entities from third countries, provided that the Governing Board of the BBI JU considers their participation to be essential.

"Essential" means that a third country partner disposes of specific competences and expertise which no organisation has in the EU/AC and which are indispensable to reach the objectives of the research and innovation project. The exceptional nature must be endorsed by the expert evaluators.

The EU Member States (MS) are:

² 'International European Interest Organisation' is defined in the Rules for Participation as: "an international organisation, the majority of whose members are Member States or Associated Countries, and whose principal objective is to promote scientific and technological cooperation in Europe". Regulation of the European Parliament and of the Council laying down the rules for the participation and dissemination in 'Horizon 2020 – the Framework Programme for Research and Innovation (2014-2020)'. <http://ec.europa.eu/programmes/horizon2020/en/official-documents>.

³ SMEs mean micro, small and medium-sized enterprises within the meaning of Recommendation 2003/361/EC in the version of 6 May 2003.



Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden and the United Kingdom.

The H2020 associated countries (AC) are:

Albania, Bosnia Herzegovina, FYR Macedonia, Iceland, Israel, Liechtenstein, Montenegro, Norway, Serbia and Turkey. Other countries may become associated during the course of H2020.

For additional information on the list of countries eligible for funding under Horizon 2020 refer to the Annex A of the Horizon 2020 work programme

(http://ec.europa.eu/research/participants/portal/doc/call/h2020/common/1587809-18_general_annexes_wp2014-2015_en.pdf)

2.3. The actions

The Bio-based Industries Joint Undertaking is responsible for the implementation of open calls for proposals for Research and Innovation Actions and Innovation Actions, as well as Coordination and Support Actions, in line with the H2020 rules for participation.

For 2014, only Research and Innovation actions and Innovation actions (demonstration and flagship) will be funded.

The 2014 Bio-based Industries JU's Call for Proposals includes topics covering four of the five value chains identified in the Strategic Innovation and Research Agenda (SIRA) of the BBI JU, namely:

- Value chain 1 (VC1): From lignocellulosic feedstock to advanced biofuels, bio-based chemicals and biomaterials;
- Value chain 2 (VC2): The next generation forest-based value chains;
- Value chain 3 (VC3): The next generation agro-based value chains;
- Value chain 4 (VC4): Emergence of new value chains from (organic) waste;

2.3.1. Research and Innovation actions

Purpose

BBI JU research and innovation actions are industry-driven and aim at filling the gaps in technological innovations. R&I projects focus on the development of specific technologies and concepts needed to realise the value chains, proving the principles in pilot installations. As such, they may include basic and applied research, technology development and integration, testing and



validation on a small-scale prototype in a laboratory or simulated environment. They should contribute to strengthening the competitiveness of the European bio-based industries, improving sustainability, and facilitating the emergence of new markets and products.

Size and resources

The consortium must be composed of at least three 'legal entities' established in at least three different Member States, Associated Countries. The entities must be independent of each other.

The size and scope can vary depending on the topic. The BBI JU promotes the involvement of SMEs in its activities. More detailed information is available in the topics description in the work plan.

Duration

Projects last typically up to 4 years.

Activities

The activities to be carried out in the context of a research and Innovation project include:

- research and technological development activities, reflecting the core activities of the project; these should aim at a significant advance beyond the established state-of-the-art
- management activities linking together all the project components and maintaining communications with the BBI JU
- other activities including dissemination and exploitation.

Financial Regime

Support to projects is implemented through a co-funding mechanism. Projects will be supported both by public funding as well as by contributions in kind from the project participants. In kind contributions refer to costs which are eligible for funding according to Horizon 2020 rules but that are not reimbursed by the BBI JU. The total public financial contribution shall not give rise to profit (i.e. it will not exceed its eligible costs) and should be matched by contributions from the industry partner(s) in the consortium. The industry contribution ideally should aim to cover half of the total budget of the project. The level of contribution by industry will be taken into account during the evaluation of the project proposal.

The financial contribution of the BBI JU will be a percentage of eligible costs incurred by a participant to implement the project and will vary between 0%⁴ (for large industries) and 100% depending on the type of participant.

More detailed information on eligible costs can be found in the annotated Model Grant Agreement (http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf)

The indicative maximum budget costs committed by the JU is published in the Call fiche available on the Participant Portal and on the BBI JU website.

Example:

The description of the topic in the BBI JU annual Work Plan includes information on the expected project budget range.

In this example, it is considered that a budget between EUR 5 and 8 million would allow the specific challenge to be addressed appropriately.

The consortium includes 4 independent legal entities, 1 RTO, 1 SME, 1 large industry and 1 university, based in 3 different MS, thus fulfilling the eligibility conditions.

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 in-kind 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) Reimbursement rate (%)	(J) Max. grant / € (=H*I)	(K) Requested grant / €
RTO	BE	550 000	210 000	0	0	0	190 000	0	950 000	100	950 000	950 000
INDUSTRY	UK	1160 000	775 000	150 000	0	0	483 750	0	2 568 750	0	0	0
SME	ES	352 000	320 000	0	0	0	168 000	0	840 000	100	840 000	840 000
UNIVERSITY	UK	300 000	300 000	0	0	0	150 000	0	750 000	100	750 000	750 000
Total		2 362 000	1 605 000	150 000	0	0	991 750	0	5 108 750		2 540 000	2 540 000

⁴ As indicated in the EC delegated Regulation establishing a derogation from Regulation (EU) No 1290/2013 of the European Parliament and of the Council laying down the rules for participation and dissemination in "Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020)" with regard to the Bio-Based Industries Joint Undertaking, only the following participants are eligible for funding from the Bio-Based Industries Joint Undertaking for actions in the area of bio-based industries other than innovation actions:

- (a) small and medium-sized enterprises;
- (b) secondary and higher education establishments;
- (c) non-profit legal entities, including those carrying out research or technological development as one of their main objectives;
- (d) the Joint Research Centre;
- (e) international European interest organisations.

The total project budget is € 5.108.750 euros (total of eligible direct + costs and indirect costs). The budget by participant is: €950.000 for the RTO, €2.568.750 for the Industry, € 840.000 for the SME and €750.000 for the university. According to the BBI JU rules only the SME, RTO and university partners are eligible for funding. In line with the H2020 rules, the funding rate is 100%.

100% of €2.540.000 (RTO + SME+ University) = €2.540.000.

Industry contributes to the project with €2.568.750 in kind (eligible costs not reimbursed by the BBI JU), which represents about 50% of the total budget.

2.3.2 Innovation actions

Purpose

Innovation actions are industry-driven and consist mainly of activities aiming at producing plans and arrangements or designs for new, altered or improved products, processes or services. They may include prototyping, testing, demonstrating, piloting, large-scale product validation and market replication. Innovation actions will address a whole value chain from feedstock sourcing to the market applications. Innovation actions cover both demonstration and flagship projects.

Demonstration projects contain mainly demonstrator activities corresponding to Technology Readiness Level (TRL) levels 6 to 7⁵. The purpose of these value chain demonstration projects is to provide the backbone for subsequent flagships. Typical activities include validation of the technical and economic viability of a new or improved technology, product, process, service or solution in an operational environment. The establishment of a demo-scale production facility, being it a new installation, a substantially modified existing facility, or the use of existing demo facilities is therefore mandatory.

Flagship projects mainly include activities corresponding to TRL level 8. Flagships are the first units of value chains operating at an economically viable scale. Building and running such plants entails significantly higher costs and risks than demonstration plants because of the increased scale. Flagship projects support the deployment in the market of an innovation that has already been demonstrated but not yet deployed in the market. As such for a flagship project clear evidence should be provided that the proposed process has been already validated at demonstration scale. A flagship shall address a complete value chain from procurement, growth, supply of feedstock material to the final product(s). It shall include the establishment of a large scale production facility, being it a new installation, a substantial modification of an existing facility, or reconversion of old or abandoned industrial facilities.

⁵ For the definition of Technology Readiness level please refer to the annexes of the work plan



Size and resources

The consortium must be composed of at least three 'legal entities' established in at least three different Member States and/or Associated Countries. The entities must be independent of each other.

The size and scope can vary depending on the topic. The BBI JU promotes the involvement of SMEs in its activities. More detailed information is available in the topics description in the work plan.

Duration

Projects last typically 4-5 years.

Activities

The activities to be carried out in the context of innovation actions include:

- demonstration activities, focusing mainly on optimization of flows and cost reduction. Such demonstration activities could include engineering and testing operational conditions that have been identified at research and pilot scale to optimize productivity. Monitoring, data collection and analysis is considered critical during this phase;
- plant design, set-up and optimization of operations to reach the project objectives;
- management activities linking together all the project components and maintaining communications with the BBI JU;
- other activities including dissemination and exploitation.

Financial Regime

Projects will be supported both by public funding as well as by contributions in kind from the project participants. The financial contribution of the BBI JU will be a percentage of eligible costs incurred by a participant to implement the project, up to a maximum of 70% (100 % for non-profit organisations) of the total eligible costs.

In kind contributions refer to costs which are eligible for funding according to Horizon 2020 rules but are not reimbursed by the BBI JU. Considering that for innovation actions the maximum funding rate for industry partners is 70%, the remaining 30% will represent their minimum in kind



contribution. Participants may ask for a lower funding rate, consequently increasing the level of their in kind contributions in projects.

Beside in kind contributions, industry partners are expected to contribute also with additional activities. These refer to investment costs (e.g. infrastructures, facilities, durable equipment) for the establishment of the large scale plant- being it a new installation, a substantial modification of an existing facility, or reconversion of old or abandoned industrial facilities- on which the proposed work will be carried out. Costs linked to additional activities are not reimbursed by the BBI-JU and are accounted according to the usual cost accounting practices of the industry partners contributing them and not according to the Horizon 2020 rules.

Ideally in demonstration actions, industry's contributions will cover at least 50 % of the total budget, including additional activities where appropriate. The 50% can be reached either through in kind contribution to eligible costs only or by a combination of in kind contributions and additional activities. For demonstration projects additional activities are optional. Based on the level of their in kind contributions, industry partners may opt to request lower reimbursement than the maximum allowed (70%) in order to match the BBI JU contribution (see example below).

For flagship projects, industry's in kind contributions will represent at least 30 % of the total eligible costs, which is supplemented with a level of additional activities that is expected to be much larger than in demonstration projects and commensurate with the commercial scale of the activities proposed. Additional activities are not included in the budget table, but detailed under sections 3.1 and 3.4 of the proposal.

Example of a demonstration project

The description of the topic in the BBI JU annual Work Plan includes information on the expected project budget range.

In this example, it is considered that a total budget of at least EUR 8 million would allow the specific challenge to be addressed appropriately.

The consortium includes 3 independent legal entities, 1 University, 1 SME and 1 large industry, based in 3 different MS, thus fulfilling the eligibility conditions.

Participant	Country	(A) Direct personnel costs/€	(B) Other direct costs/€	(C) Direct costs of sub- contracting/€	(D) Direct costs of providing financial support to third parties/€	(E) Costs of inkind contributions not used on the beneficiary's premises/€	(F) Indirect Costs / € (=0,25(A+B-E))	(G) Special unit costs covering direct & indirect costs / €	(H) Total estimated eligible costs / € (=A+B+C+D+F +G)	(I) Reimburse- ment rate (%)	(J) Max. grant / € (=H*I)	(K) Requested grant / €
SME	ES	450 000	250 000	0	0	0	175 000	0	875 000	70	612 500	612 500
INDUSTRY	UK	750 000	3 650 000	325 000	0	0	1 100 000	0	5 825 000	70	4 077 500	3 203 750
UNIV	PT	400 000	250 000	0	0	0	162 500	0	812 500	100	812 500	812 500
Total		1 600 000	4 150 000	325 000	0	0	1 437 500	0	7 512 500		5 502 500	4 628 750

The total project budget is € 7.512.500 (eligible direct + indirect costs). The budget by participant is: € 875.000 for the SME, €5.825.000 for the Industry and € 812.500 for the university. According to the Horizon 2020, for innovation actions SME and Industry partners can receive funding up to 70% of the eligible costs, whereas the university (as non-profit organization) can receive funding up to 100% of the eligible costs. The maximum grant possible is thus indicated in column J of the budget table.

To match the BBI JU contribution, the industry partner opts to request lower reimbursement than the maximum allowed (see requested grant in column K with €3.203.750 requested instead of €4.077.500 maximum grant allowed), thus increasing the level of in kind contributions within the project to 38,4% of the total budget. Furthermore, the industry partners also contribute with additional activities of €3.000.000 (as infrastructure needed for the project, e.g. to convert an existing plant for the purpose of the project). The additional activities are not included in the budget table (part A of the proposal) either as cost or as contribution, but are described only in part B, under the 3.1 and 3.4 sections.

In the above example the total investment realised by the industry partners for the project, including both the BBI-JU project costs (€ 7.512.500) and the additional activities (€3.000.000) is €10.512.500. Of this € 5.621.250 representing around 53% of the total investment is contributed by the industry partners to the project (€ 2.621.250,00 in kind –columns K minus H- and €3.000.000 in additional activities)

Note that the example above aims at illustrating how the funding mechanism is applied in projects. It does not preclude the possibility to submit proposals with different budget architecture, in particular with regard to the industry contribution.

The above described funding mechanism would be similar for flagship projects, with the main difference that the industry contribution in additional activities is expected to be much larger compared to demonstration projects.



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Below you will find a table summarizing the main features of the different types of actions that are funded by the BBI JU



Type of action	Description	Indicative duration	Funding rates	Eligibility	Specific provisions
Research and Innovation actions	Actions primarily consisting of activities aiming at establishing new knowledge and/or to explore the feasibility of a new or improved technology, product, process, service or solution to specific value chain technological barriers. The impact for the whole value chain must be clearly shown. For this purpose they may include basic and applied research, technology development and integration, testing and validation on a small-scale prototype in a laboratory or simulated environment (up to TRL 5).	Up to 4 years	100% Only SMEs, secondary and higher education establishments, non-profit legal entities, the JRC, international European interest organisations can request funding	At least 3 legal entities, established in a different MS or AC and independent of each other	Consortiums of selected projects are expected to contribute with non-monetary (in kind) resources (staff, equipment, consumables, etc.), matching on average the available funding.
Innovation actions	Actions primarily consisting of activities directly aiming at producing plans and arrangements or designs for new, altered or improved products, processes or services. For this purpose they may include prototyping, testing, demonstrating, piloting, large-scale product validation and market replication. Innovation Actions will address a whole value chain from feedstock sourcing to the market applications. There are two types of Innovation actions:	4-5 years	70% Exception: the eligible costs of non-profit beneficiaries/ linked third parties may be reimbursed at 100%	At least 3 legal entities, established in a different MS or AC and independent of each other	Funding is expected to be complemented by in kind contribution and <u>additional activities</u> . <u>The latter are mandatory for Flagship projects but optional for Demonstration projects</u> . In kind contributions refer to costs which are eligible for



	<p>1) <u>Demonstration actions</u> aim at validating the technical and economic viability of a new or improved technology, product, process, service or solution in an operational environment. It shall include the establishment of a demo-scale production facility in Europe, being it a new installation, substantial modification of an existing facility, or use of existing demo facilities. Demonstration projects cover TRL 6-7.</p> <p>2) <u>Flagship actions</u> aim to supporting the first application/deployment in the market of an innovation that has already been demonstrated but not yet applied/deployed in the market. Proposers for a flagship project shall provide clear evidence of previous experimental validation of the proposed process at demonstration scale. First means new at least to Europe or to the application sector in question. A flagship shall address a complete value chain including from procurement, growth, supply of feedstock material to the final product(s). It shall include the establishment of a large scale production facility in Europe, being it a new installation or a substantial modification of an existing facility, or reconversion of old or abandoned industrial facilities. Flagships cover up to TRL 8.</p>				<p>funding according to Horizon 2020 rules but that are not reimbursed;</p> <p>Additional activities refer to investments by the industrial partners which contribute to reaching the industrial objectives of the project. Additional activities may include infrastructures, facilities, durable equipment as well as non-innovative processes as well as parts of transformation process that are well established at commercial scale. They refer to investments costs which are not reimbursed by the BBI-JU and are accounted according to the usual cost accounting practices of the industry partners contributing them and not according to the Horizon 2020 rules.</p>
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2.4 Ethical principles

Activities funded by the BBI JU must respect fundamental ethical principles of the H2020 framework programme, including those reflected in the Charter of Fundamental Rights of the European Union. These principles include the need to ensure the freedom of research and the need to protect the physical and moral integrity of individuals and the welfare of animals. An ethical review of proposals will be organized by the BBI JU staff if appropriate.

Annexes

- Annex 1 Timetable and Specific Information for this Call
- Annex 2 Evaluation Criteria and Procedures to be applied for this Call
- Annex 3 Instructions for Completing "Part A" of the Proposal in the Electronic Submission Services
- Annex 4 Instructions for Drafting "Part B" of the Proposal
- Annex 5 Part B Template

Annex 1 – Timetable and Specific Information for this Call

The **BBI JU annual Work Plan** provides the legal information for submitting a proposal to this call. It describes the content of the topics to be addressed and details on how it will be implemented. The BBI JU annual Work Plan is available on the Participant Portal call page together with the "call fiche", where the conditions for the call are mentioned. Please consult these documents.

Indicative timetable for this call

Publication of call	<i>09-07-2014</i>
Deadline for submission of proposals	<i>15-10-2014 at 17:00:00, Brussels local time</i>
Evaluation of proposals	<i>Second half of October 2014</i>
Information on the outcome of the evaluation	<i>January 2015</i>
Indicative date for the signing of grant agreements	<i>March 2015</i>

Indicative budget 2014: EUR 50 million

This figure refers to the EU funding only and it does not include the in-kind contributions from the industry members of the BBI JU (BIC). The final budget amounts are also subject to the availability of the appropriations provided for by the budgetary authority or if the budget is not adopted as provided for in the system of provisional twelfths.

Further information and help

The Participant Portal call page contains links to other sources that you may find useful in preparing and submitting your proposal.

Call Information

- *Participant Portal call page and BBI JU annual Work Plan*
(<http://ec.europa.eu/research/participants/portal/desktop/en/home.html>)
- *Rules for participation*
(http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html)
- *General Guide to the submission and evaluation process*
http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/pse/h2020-guide-pse_en.pdf

General Sources of Help

- *BBI JU website:* www.bbi-europe.eu
- *The European Commission's Horizon 2020 Enquiry service:*
<http://ec.europa.eu/research/enquiries>

- *National Contact Points:*
http://ec.europa.eu/research/participants/portal/desktop/en/support/national_contact_points.html
- *How to register your organisation*
<http://ec.europa.eu/research/participants/portal/page/myorganisations>

Specialised and Technical Assistance

- *Submission Service Help Desk:* DIGIT-EFP7-SEP-SUPPORT@ec.europa.eu
<http://ec.europa.eu/research/participants/api/contact/index.html>
- *IPR help desk:* <https://www.iprhelpdesk.eu>

Annex 2 – Evaluation Criteria and Procedures to be applied for this Call

1. General

According to Article 19 of the BBI JU Regulation the Commission shall be responsible for the establishment and initial operation of the BBI JU. Therefore the first Call for Proposals will be managed by the Commission. The evaluation of proposals is carried out with the assistance of independent experts.

EC staff ensures that the process is fair and in line with the principles contained in the European Commission's rules⁶.

Experts perform evaluations on a personal basis, not as representatives of their employer, their country or any other entity. They are independent, impartial and objective, and behave in a professional manner. In addition, an independent observer will be appointed by the EC to observe and report on the evaluation process. The observer gives independent advice to the EC on the conduct and fairness of the evaluation sessions, on the way evaluation criteria are applied by the experts and provides recommendations on how to improve the evaluation procedures. The observer will not express views on the proposals under examination or on the experts' opinions on the proposals.

Proposals are submitted in a single stage and evaluated in one step by the experts against all evaluation criteria.

Conflicts of interest: under the terms of the expert contract, all experts must declare beforehand any conflict of interest and must immediately inform the responsible EC staff member if one becomes apparent during the course of the evaluation. The EC staff will take whatever action is necessary to remove any conflict of interest.

Confidentiality: the expert contract also requires experts to maintain strict confidentiality with respect to the whole evaluation process. They must follow any instruction given by the EC to ensure this. Under no circumstance may an expert attempt to contact an applicant on his/her own account, either during the evaluation or afterwards.

2. Before the evaluation

Once received by the EC, proposals are registered and acknowledged and their contents entered into a database to support the evaluation process. Eligibility criteria for each proposal are also checked by EC staff before the evaluation begins. Proposals which do not fulfil these criteria will not be included in the evaluation.

For this call a proposal will only be considered eligible if the following conditions are met:

- It is received by the EC before the deadline given in the call fiche;
- It involves at least the minimum number and types of participants as mentioned in the BBI JU annual Work Plan and it is complete (i.e. the requested administrative forms in Part A and the proposal description in Part B are both present);
- The content of the proposal relates to the funding scheme(s), including any special conditions set out in the relevant parts of the work plan.

⁶ Horizon 2020 Guidelines for submission of proposals, and the related evaluation, selection and award procedures.

Page limits per section are applicable to Part B of the proposal, as indicated in the template shown in the Annex 5 of this Guide.

Proposals must be prepared respecting these limits. Experts will be instructed to disregard any excess pages.

3. Award criteria

Each proposal will be assessed independently by at least three independent experts chosen by the EC from the pool of experts taking part in this evaluation.

The proposal will be evaluated against the specific evaluation criteria weighting factors set out in the work plan.

Type of action	Excellence	Impact	Quality and efficiency of the implementation
Coordination and Support actions	Clarity and pertinence of the objectives; Credibility of the proposed approach; Soundness of the concept; Quality of the proposed coordination and/or support measures;	The expected impacts listed in the BBI JU annual Work Plan under the relevant topic; Effectiveness of the proposed measures to exploit the project results, to communicate the project and to manage research data, where relevant	Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks and resources; Complementarity of the participants within the consortium (if relevant) Appropriateness of the management structures and procedures, including risk and innovation management
Research and Innovation actions	Clarity and pertinence of the objectives; Credibility of the proposed approach; Soundness of the concept, including trans-disciplinary considerations, where relevant; Extent that proposed work is ambitious, has innovation potential, and is beyond the state of the art (e.g. ground-breaking objectives, novel concepts and approaches);	The expected impacts listed in the BBI JU annual Work Plan under the relevant topic; Enhancing innovation capacity and 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 market; Any other environmental and socially important impacts (not already covered above) Effectiveness of the proposed measures to exploit and disseminate the project results (including IPR management), to communicate the project and to manage research data, where relevant	Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks and resources; Complementarity of the participants within the consortium; Appropriateness of the management structures and procedures, including risk and innovation management.
Innovation Actions	Clarity and pertinence of the objectives; Credibility of the proposed approach; Soundness of the concept, including trans-disciplinary considerations, where relevant; Coverage of the value chain (raw materials, equipment	The expected impacts listed in the BBI JU annual Work Plan under the relevant topic; Enhancing innovation capacity and integration of new knowledge; Strengthening the competitiveness and growth of companies by developing innovations meeting the needs	Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks and resources; Complementarity of the participants within the consortium; Appropriateness of the management structures and procedures, including risk and innovation management.

	and technology suppliers and end-users); Extent that proposed work is ambitious, has innovation potential, and is beyond the state of the art (e.g. ground-breaking objectives, novel concepts and approaches);	of European and global markets; and, where relevant, by delivering such innovations to the markets; Any other environmental and socially important impacts (not already covered above) Effectiveness of the proposed measures to exploit and disseminate the project results (including IPR management), to communicate the project and to manage research data, where relevant	Soundness of the business case and business plan Readiness of the technology for the implementation of the pilot phase, demonstration or flagship ⁷ ;
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Experts will evaluate on the basis of the criteria "excellence", "impact" and "quality and efficiency of the implementation"

Unless otherwise specified in the call conditions:

(a) Evaluation scores will be awarded for the criteria, and not for the different aspects listed in the table below. For full proposals, each criterion will be scored out of 5. The threshold for Excellence and Implementation criteria will be 3, whereas for the impact criterion the threshold will be 4. The overall threshold, applying to the sum of the three individual scores, will be 11.

(b) For Innovation actions, to determine the ranking, the score for the criterion 'impact' will be given a weighting of 1.5.

Evaluation scores will be awarded for each of the three criteria (and not for each single element of the criteria). However, these elements are considered by the experts in the assessment of the criteria.

Each criterion will be scored out of 5. The scoring table is the following:

0 -	The proposal fails to address the criterion or cannot be assessed due to missing or incomplete information
1 -	Poor. The criterion is inadequately addressed or there are serious inherent weaknesses.
2 -	Fair. The proposal broadly addresses the criterion but there are significant weaknesses.
3 -	Good. The proposal addresses the criterion well but with a number of shortcomings.
4 -	Very good. The proposal addresses the criterion very well but with a small number of shortcomings.
5 -	Excellent. The proposal successfully addresses all relevant aspects of the criterion in question; any shortcomings are minor.

⁷ Applicants should demonstrate the readiness of the technology for the implementation of the pilot phase. In particular, for flagships applicants must demonstrate that by the time of the submission of their application they have been operating relative demonstration scale plants at a significant production capacity (justification shall be provided in the proposal).

Annex 3 – Instructions for Completing "Part A" of the Proposal in the Electronic Submission Services

Proposals for this call must be submitted electronically, using the Electronic Submission Services of the European Commission accessible from the call page on the Participant Portal.

In Part A the applicant will be asked for administrative details and information on the secondments that will be used in the evaluation and further processing of the proposal. Part A constitutes an integral part of the proposal. Details of the work the applicant intends to carry out will be described in Part B (see Annex 5 of this guide).

The Electronic Submission Service provides guidance on how to complete the Part A, which includes the following sections:

- Section 1: General information about the proposal (including the abstract)
- Section 2: Data on participating organisations
- Section 3: Budget
- Section 4: Ethics table
- Section 5: Call specific questions:

Excluded reviewers: Possibility to provide up to three names of persons (or organizations) that should not participate to the evaluation of the proposal for potential competitive reasons)

Annex 4 – Instructions for Drafting "Part B" of the Proposal

This annex provides guidelines for drafting *Part B*. *Part B* presents all important aspects of the work planned and it will enable the experts to perform their assessment of the proposal against the evaluation criteria (see Annex 2 of this Guide).

1. General information

A Word version of the submission template can be downloaded from the Electronic Submission Services of the European Commission. Applicants must ensure that proposals conform to this layout and to the instructions given in this Guide for Applicants.

Additional information as indicated in the BBI JU annual Work Plan must be provided to determine the capacity of each participant organisation, as requested in section 4:

- A description of the profile of the people who will be primarily responsible for carrying out the proposed work;
- A description of any significant infrastructure or any major items of technical equipment, relevant to the proposed work;
- A description of any partner organisations that are not represented as beneficiaries, but who will nonetheless be contributing towards the work.

The minimum font size allowed is 11 points. The page size is A4, and all margins (top, bottom, left, right) should be at least 15 mm (not including any footers or headers). Ensure that the font chosen is clearly readable (e.g. Arial or Times New Roman).

Literature references should be listed in the dedicated paragraph 5.

Part B of the proposal carries as a header to each page the proposal acronym and the scheme. All pages should also be numbered in a single series on the footer of the page to prevent errors during handling. It is recommended to use the numbering format "Part B - Page X of Y".

2. Scientific misconduct

In line with the Horizon 2020 Rules for Participation, appropriate action will be taken against any applicants found to have misrepresented, fabricated or plagiarised any part of their proposal.

Annex 5 – Part B Template

Please follow the structure 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.

 **Page limit:** For full proposals, the cover page, and sections 1, 2 and 3, together should not be longer than 70 pages. All tables in these sections must be included within this limit. The minimum font size allowed is 11 points. The page size is A4, and all margins (top, bottom, left, right) should be at least 15 mm (not including any footers or headers).

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, any excess pages will be overprinted with a 'watermark', indicating to evaluators that these pages must be disregarded.

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.

COVER PAGE

Title of Proposal

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.

Table of Contents

1. Excellence

Your proposal must address a BBI JU annual Work Plan 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 specific objectives for the project⁸, 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).
- Explain the industrial/economic/social problem to overcome, or the business opportunity to be taken advantage of, that has not yet been solved / offered and can be solved / offered through your innovation business project and how this relates to the BBI JU annual Work Plan topic;
- Explain also how your solution solves the stated problem or avails of the business opportunity

1.2 Relation to the BBI JU annual Work Plan

- Indicate the BBI JU annual Work Plan topic to which your proposal relates, and explain how your proposal addresses the specific challenge and scope of that topic, as set out in the BBI JU annual Work Plan.

1.3 Concept and approach

- 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. (See [Annex of the BBI JU annual Work Plan](#));
- Describe and explain the concept and the approach/activities that you will implement during this project (e.g. demonstration, testing, prototyping, pilot lines, scale-up studies, miniaturisation, design, performance verification, market replication encouraging the involvement of end users and potential clients, research etc.);
- 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 and explain the overall approach and methodology, distinguishing, as appropriate, activities indicated in the relevant section of the work plan, e.g. for research, demonstration, piloting, first market replication, etc;
- Where relevant, describe how 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,

⁸ The term 'project' used in this template equates to an 'action' in certain other Horizon 2020 documentation.

please refer to http://ec.europa.eu/research/science-society/gendered-innovations/index_en.cfm

1.4 Ambition

- 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.
- 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.
- For Innovation projects describe how the proposal covers the value chain (raw materials, equipment and technology suppliers and end-users);

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:
 - the expected impacts set out in the BBI JU annual Work Plan, under the relevant topic;
 - 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;
 - any other environmental and socially important impacts (if not already covered above).
- 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 BBI JU annual Work Plan 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.

b) Intellectual Property, knowledge protection and regulatory issues

- Industrial Property Rights assets: describe the key knowledge (IPR) items and who owns them; patents (filed and/or granted) or other ways of protection; ownership;
- Describe the measures to ensure the possibility of commercial exploitation ('freedom to operate');
- Outline the strategy for knowledge management and protection as well as current IP status;
- Explain the regulatory and/or standard requirements to be fulfilled for the exploitation of the technology/product/solution or concept: how they are to be met;
- Where 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:⁹
 - 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?

⚠ *You will need an appropriate consortium agreement to manage (amongst other things) the ownership and access to key knowledge (IPR, 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 project¹⁰.

⚠ *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*

⁹ For further guidance on research data management, please refer to the H2020 Online Manual on the Participant Portal.

¹⁰ Open access must be granted to all scientific publications resulting from Horizon 2020 actions. Further guidance on open access is available in the H2020 Online Manual on the Participant Portal.

(‘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

3.1 Work plan — Work packages, deliverables and milestones

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 description of each work package (table 3.1a);
 - a list of work packages (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).
- For R&I projects, the proposal should indicate how the developments will contribute to the creation of new biobased value chains;
- For Innovation projects, the proposal should also include a business case and a business plan. Applicants should demonstrate the readiness of the technology for the implementation of the pilot phase. In particular, for flagships applicants must demonstrate that by the time of the submission of their application they have been operating relative demonstration scale plants at a significant production capacity (justification shall be provided in the proposal). The proposal should include a detailed description of the existing facility/plant which will be used for the implementation of the project and/or information on the level of investment (including where relevant the description of the additional activities not funded by the BBI-JU) foreseen for the establishment of the large scale production facility- being it a new installation, a substantial modification of an existing facility, or reconversion of old or abandoned industrial facilities- where the proposed work will be carried out. For instance, the proposal could include commitment letters of the financial partners investing in the plant (Board of the company and other financiers, e.g. bank) that they would invest providing that the BBI JU project is granted.

⚠ 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.



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

 *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).
- **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 annex of the BBI JU annual Work Plan 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)
- detailed description of industry in kind contribution.
- Description of the additional activities (where appropriate)
- description of how the necessary resources will be mobilised, including any resources that will complement the EC contribution.

Table 3.1a: Work package description

For each work package:

Work package number		Start Date or Starting Event						
Work package title								
Participant number								
Short name of participant								
Person/months per participant:								

Objectives

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

Deliverables (brief description and month of delivery)

Table 3.1b: List of work packages

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

Table 3.1c: List of Deliverables

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

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)

Table 3.2a: List of milestones

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

<p>KEY</p> <p>Estimated date <i>Measured in months from the project start date (month 1)</i></p> <p>Means of verification <i>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.</i></p>
--

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
Participant Number/Short Name				
Participant Number/ 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 Agreement¹¹, 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		

¹¹ 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.

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.

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;

4.2. Third parties¹² 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?	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>	

¹² A third party that is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action. (see relevant articles Model Grant Agreement).

5. Ethics Issues

This section is not covered by the page limit.

All research activities in Horizon 2020 should respect fundamental ethics principles, including those reflected in the Charter of Fundamental Rights of the European Union.¹³ These principles include the need to ensure the freedom of research and the need to protect the physical and moral integrity of individuals and the welfare of animals.

Research ethics is of crucial importance for all scientific domains. Informed consent and confidentiality are as important for a sociological study as they are for clinical research.

All proposals considered for funding will be submitted to an Ethics Review. The Ethics Review is the core of the H2020 Ethics Appraisal scheme, which concerns all proposals and projects, and also includes the Ethics Checks and Ethics Audit that can be initiated during the project implementation.

In this context, please be aware that it is the applicants' responsibility to identify any potential ethics issues, to handle the ethics aspects of their proposal, and to detail how they plan to address them.

If you have entered any ethics issues in the ethics issues table in Part A of the proposal, you must submit an ethics self-assessment. For more details, please refer to the Ethics Self-Assessment Guidelines under Horizon 2020.¹⁴

Your self-assessment must:

1) Describe how the proposal meets the national legal and ethics requirements of the country or countries where the tasks raising ethics issues are to be carried out.

Should your proposal be selected for funding, you will be required to provide the following documents, if they are already in your possession:

- The ethics committee opinion required under national law
- The document that is mandatory under national law notifying activities raising ethics 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 your proposed project, your request must contain an explicit reference to its title.

¹³ Charter of Fundamental Rights of the European Union, 2000/C 364/01. See also http://www.europarl.europa.eu/charter/default_en.htm

¹⁴ The Ethics Self-Assessment Guidelines under Horizon 2020 is available on the Participant Portal

2) Explain in detail how you intend to address the issues in the ethics 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).