European Research Council

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Coordination and Support Action (CSA)
ERC-2014-SUPPORT-1
'Call for proposals to identify and implement novel ways to highlight the work funded by the ERC and reach out to a wider public'

Information for applicants

September 2014

(Formerly "Guide for Applicants")

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European Commission
Horizon 2020 Specific Programme
Part 1
Excellent Science

Purpose of this document

This document provides practical information to potential applicants in preparing and submitting an application for the Call for proposals ERC-2014-Support-1 (Coordination and Support Action (CSA)) within the ERC Work Programme 2015[1].

The present document is based on the legal documents setting the rules and conditions for the ERC frontier research grants and for other ERC actions, in particular the ERC Work Programme 2015, the *ERC Rules for the submission of proposals* and the related evaluation, selection and award procedures relevant to the Specific Programme of Horizon 2020 - the Framework programme for Research and Innovation (2014-2020) (hereinafter ERC Rules for Submission), and the Horizon 2020 General Model Grant Agreement.

This document does not supersede the afore-mentioned documents, which are legally binding. Should there be any discrepancies between the afore-mentioned legal documents and this document, the former will prevail. The European Commission, the ERC Executive Agency (ERCEA) or any person or body acting on their behalf cannot be held responsible for the use made of the document.

Note
As with other parts of the EU's Research Framework Programme Horizon 2020, National Contact Points (ERC NCPs) have been set up across Europe[2] by the national governments to provide information and personalised support to ERC applicants in their native language. The mission of the ERC NCPs is to raise awareness, inform and advise on ERC funding opportunities as well as to support potential applicants in the preparation, submission and follow-up of ERC grant applications. For details on the ERC NCP in your country please consult the ERC website at http://erc.europa.eu/national-contact-points.

Important new features related to proposal submission

- **New Horizon 2020 format for the online Administrative Forms (Part A of the proposal) including the mandatory completion of the Ethics Table for all proposals.**
- **In Section A1 of the Administrative forms, the coordinator has to declare - amongst others - to have the explicit consent of all applicants on their participation and on the content of the proposal.**
- **The legal entity information in the Administrative forms (Part A of the proposal) is read-only.**
- **Guidance is available online in the H2020 Online Manual.**

[1] European Commission C(2014)5008 of 22 July 2014.
[2] This applies to EU Member States and Associated countries. Some third countries also provide this service.

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1.1 What are Coordination and Support Actions (CSAs)?

Coordination and support actions (CSAs) are defined as actions "consisting primarily of accompanying measures such as standardisation, dissemination, awareness-raising and communication, networking, coordination or support services, policy dialogues and mutual learning exercises and studies, including design studies for new infrastructure, and may also include complementary activities of networking and coordination between programmes in different countries"[3].

Co-ordination and support actions (CSA) are open to legal entities established in a Member State or an Associated Country as a legal entity created under national law, International European Interest Organisations (such as CERN, EMBL, etc.), the European Commission's Joint Research Centre (JRC) or an entity created under EU law. Legal entities established in countries outside the EU or Associated Countries and international organisations are also eligible.

The minimum condition is the participation of **one legal entity**. However, because of the scope and ambition of this **specific action ERC-2014-SUPPORT-1**, **the creation of a consortium** – ensuring the necessary capacities – could be envisaged.

The Union financial contribution will take the form of the reimbursement of **up to 100%** of the total eligible and approved direct costs and of flat-rate financing of indirect costs on the basis of 25% of the total eligible direct costs[4]. The level of the awarded grant represents a maximum overall figure – the final amount to be paid must be justified on the basis of the costs actually incurred for the project.

1.2 Objectives of the CSA ERC-2014-SUPPORT-1 "Call for proposals to support novel ways to highlight the work funded by the ERC and reach out to a wider public"

About ERC funded research

Established in 2007 under the EU Seventh Framework Programme (FP7), the European Research Council (ERC) aims to stimulate scientific excellence in Europe through very competitive annual grant competitions. Substantial long-term grants are awarded to individual scientists of any nationality carrying their research project in a host institution based in the EU Member States or the Associated Countries[5]. The objective is to support the best and most creative scientists to identify and explore new opportunities and directions in any field of research, without thematic priorities.

[3] See Art.2.1.7 of the Regulation 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)".

[4] Excluding the direct costs for subcontracting and the costs of resources made available by third parties which are not used on the premises of the beneficiary(ies).

[5] For up-to-date information on the current position of Associated countries, please check http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/international-cooperation_en.htm

The ERC has become known in Europe and beyond as a world-class funding institution supporting excellent frontier research and top scientists. As a key part of the "Excellent Science" pillar in Horizon 2020, the new EU Programme for Research and Innovation running from 2014 to 2020, the ERC has received over € 13 billion, which represents around 17% of Horizon 2020 total budget. Compared to FP7, this represents a substantial increase of its budget.

Expectations about what the ERC can and will achieve are very high. Its grants are expected to bring about new and unpredictable scientific and technological discoveries - the kind that form the basis of new industries and markets, broader social innovations, and contribute to improve significantly the citizens' quality of life.

The three ERC core grant schemes support the project of one researcher and his/her team members in one host institution:

- *'ERC Starting Grants'* for early-career researchers, funded up to EUR 2 Mio for 5 years;
- *'ERC Consolidator Grants'* for already independent researchers, funded up to EUR 2.75 Mio for 5 years;
- *'ERC Advanced Grants'* for established top researchers funded up to EUR 3.5 Mio for 5 years.

There are also two additional funding initiatives:

- 'ERC Synergy Grants', introduced on a pilot basis to support small groups of researchers working together on the same project;
- 'ERC Proof of Concept', open only to ERC grantees.

To date, more than **43 000 proposals** have been submitted to the ERC for funding. Under FP7, more than **4 500 projects led by over 4 000 brilliant researchers** have been funded. Around **400** of these projects are already finished and a growing number will be completed in the coming years. Under Horizon 2020, the ERC should support about **7 000 projects** in addition.

Every ERC grantee employs on average **six team members,** thus contributing to train a new generation of excellent scientists.

Focus of this Call

Since its creation, the ERC has implemented a strong communication strategy focused on promoting its grant schemes and highlighting the added-value of the research projects it supports. Thanks to its early achievements, the ERC has succeeded to have a high visibility among scientists, policy-makers and the media.

The objective is at present to consolidate the ERC high profile presenting the scientific and technologic achievements of its funded projects to new audiences and the public at large through innovative and creative communication activities.

Through this Call for proposals, the ERC wishes to support an ambitious communication campaign to promote its funded projects and their achievements in **novel ways** that could attract the attention of **as wide an audience as possible** of specialists and non-specialists, including scientists, students, media, policy-makers, the business community and the public at large **at both European, national and local levels.** The campaign should be implemented in as many **EU Member States as possible and, additionally, in several Associated countries, covering a variety of national languages.**

This communication campaign should contribute to:

- increase the visibility of the ERC across Europe and enlarge its audiences;
- show how ERC projects' outcomes can lead to ground-breaking discoveries and advances at the frontiers of knowledge;
- highlight how outcomes of ERC-funded research can generate concrete benefits for the citizens' daily life, in a wide variety of fields;
- illustrate the added value of the ERC-funded research to boost innovation and foster sustainable growth and job creation, contributing to the EU's "Innovation Union" strategy[6];
- raise awareness on the importance of funding frontier research;
- show that the ERC is a success story for the EU and that it can contribute to raise the profile of Europe in the global competition for talents.

ERC striking projects and grantees are regularly identified by the ERC and showcased at scientific conferences and symposia, in brochures, in the media, through testimonial videos, on the social media and on the ERC website. These have been so far the methods used to enhance the visibility of the ERC and its contribution to frontier research.

The proposals to be submitted under this Call for Proposals should identify and implement **creative and innovative communication actions** in order to reach new audiences and have a **multiplier effect**. Actions proposed can be based on **new concepts**, can **combine science and entertainment** or can also be linked to existing initiatives and/or specific events at European or national level.

The actions to be proposed may include and should not be limited to:

- events to showcase selected ERC projects in the form of short, powerful and engaging talks given by the grantees;
- popular science activities linked to science festivals, science centres and/or museums, which are successful platforms to popularize and disseminate science among non-specialists;
- cooperation with existing networks of universities, learned societies and science academies to establish online lectures involving ERC grantees.

Actions should also be **frequent and regular** throughout the whole duration of the campaign.

Methods and approaches used should be tailored to the different target audiences.

Special attention should be given in choosing the right project or grantee for the right communication action. More than 4000 grantees are currently hosted in almost 600 institutions in 29 different countries. The choice of grantees or projects for any of the proposed activities should ensure a good balance between these elements:

- Grant schemes: Starting, Consolidator and Advanced grantees;
- Scientific domains: Life Science, Social Sciences and Humanities, Physical Sciences and Humanities;
- countries where host institutions are based;
- gender of the grantees.

[6] http://ec.europa.eu/research/innovation-union/index_en.cfm?pg=home.

In order to reach the objectives of this Call, special efforts should be made in ensuring further dissemination and visibility of implemented actions through **press coverage, audio-visual, web and social media activities**.

The maximum duration of this specific action **ERC-2014-SUPPORT-1** will be **48 months. Up to two proposals will be selected.**

The indicative budget is EUR 1 600 000.

Synergies with other communication activities

For the implementation of the different actions, the beneficiary(ies) will be requested to closely collaborate with the ERC Executive Agency (ERCEA), the ERC grantees and their host institutions.

The ERCEA will ensure that the activities organised under this project(s) will be consistent with the communication activities organised under Horizon 2020.

The ERC may give visibility to the activities organised under this project(s) on the ERC website, ERC Facebook page and any other means it considers appropriate.

In case two projects are running in parallel, the beneficiaries will be requested, with the support of the ERCEA, to ensure their activities are coordinated.

1.3 Available data

For the purpose of this CSA project, the ERCEA will supply to the beneficiary(ies) data on projects and grantees funded by the ERC.

Any personal data supplied by ERCEA has to be processed pursuant to Regulation (EC) No 45/2001 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data. It is recalled that strict requirements apply on the confidentiality and protection of personal data of the documents and information provided by the ERCEA for the purposes of this CSA project.

The beneficiary(ies) of the ERC-2014-SUPPORT-1 call shall undertake appropriate technical and organisation security measures in regard to the risks inherent in the processing and to the nature of personal data concerned.

1.4 Registration of legal entities in the Commission's Early Warning System (EWS) and Central Exclusion Database (CED)

To protect the EU's financial interests, the Commission/Agency uses an internal information tool, the Early Warning System (EWS) to flag identified risks related to beneficiaries of centrally managed contracts and grants. Through systematic registration of financial and other risks the EWS enables

the Commission services to take the necessary precautionary measures to ensure a sound financial management[7].

EWS registrations are not publicly disclosed. However, registrations will be transferred to the Central Exclusion Database (CED) if they relate to entities that have been excluded from EU funding because they are insolvent or have been convicted of a serious professional misconduct or criminal offence detrimental to EU financial interests. The data in CED are available to **all public authorities implementing EU funds**, i.e. European institutions, national agencies or authorities in Member States, and, subject to conditions for personal data protection, to third countries and international organisations.

The details of your organisation (or those of a person who has powers of representation, decision-making or control over it) may be registered in the EWS and the CED and be shared with public authorities as described in the relevant legal texts[8]. More information on the EWS and CED can be found here.

[7] The EWS covers situations such as significantly overdue recovery orders, judicial proceedings pending for serious administrative errors/fraud, findings of serious administrative errors/fraud, legal situations which exclude the beneficiary from funding.

[8] See 2008/969/EC, Euratom: Commission Decision of 16 December 2008 on the Early Warning System for the use of authorising officers of the Commission and the executive agencies (OJ L 344, 20.12.2008, p. 125–138).

2 Applying for this Call

ERC grant applications can be submitted only in response to a "Call for proposals". Calls announced in the ERC Work Programme 2015 are published on the ERC website, the Research and Innovation Participant Portal and in the Official Journal of the European Union[9].

The provisional timing of this Call is indicated in the table below and will be updated on a regular basis on the ERC website and on the Participant Portal.

Indicative timetable

Opening of the Call	**16 September 2014**
Deadline for submission of proposals	**16 December 2014 at 17.00 (Brussels local time)**
Evaluation of proposals	**February 2015**
Grant agreement preparation	**April/May 2015**

The foreseen submission deadlines could be modified after the publication and or/opening of the Call. You are invited to periodically consult the ERC website and the Participant Portal, where any modifications of the submission deadlines are indicated.

The application procedure for this call consists of a **single submission stage.**

2.1 How to apply

Proposals must be submitted electronically, using the web-based Participant Portal Submission Service (PPSS). Before starting the submission, applicants are strongly advised to read the PPSS User Manual available on line.

Access to the submission service is available from the Call page on the Participant Portal after selecting the Topic and clicking on the Submission Service tab.

An Internet browser and version 9 (or above) of the Adobe Reader are needed and set up as your default PDF handler. Make sure Adobe Reader plug-in is enabled on your browser (all previous Reader installations must be removed). Please note that some internet browsers and/or Operating Systems (OS) may not be supported by the PPSS. To check the requirements, click here or consult the PPSS User Manual.

Proposal format and number of pages are strictly limited (see section 2.2.2).

Proposals arriving at ERCEA by any other means than the Participant Portal will not been regarded as having been received[10].

2.1.1 Participant Identification Code (PIC) and Legal Entity Authorised Representative (LEAR)

Participant organisations must be identified with a Participant Identification Code (PIC). The PIC is a unique 9-digit number that identifies a participant organisation. It will be used in all grant-related

[9] OJ C 248 of 30/07/2014.
[10] In duly justified exceptional circumstances the ERCEA may authorise submission on paper.

interactions between the organisation and the ERCEA (or with the European Commission in other actions of Horizon 2020). Once an organisation is registered in the Beneficiary Register (which is hosted in the Participant Portal), it eliminates redundant requests for information.

If an organisation has already participated in a proposal under FP7 or Horizon 2020 Framework programme, it has already a PIC number. This can be verified querying online the Beneficiary Register by using the PIC search functionality[11].

If a PIC is not yet available for an organisation, it can be obtained by registering the organisation in the Beneficiary Register. Information on how to register is available online.

This self-registration will lead to a request by the European Commission for the organisation to provide supporting documents and to nominate a Legal Entity Authorised Representative (LEAR). The LEAR is the contact point for all the questions on the legal status of the entity. He/she has access to the online Beneficiary Register with a possibility to view the data stored on his/her entity and to initiate updates and corrections to these data.

Once the validation of the entity has been finalised, the LEAR receives the PIC number.

Note
You are strongly advised to register your proposal well in advance of the call deadline to verify if the PIC is available for your organisation. If it is not, you then have sufficient time to register. You can contact the PPSS Service Desk if needed at DIGIT-EFP7-SEP-SUPPORT@ec.europa.eu or (+32 (2) 29 92222).

2.1.2 Proposal submission steps

Step 1: "ECAS registration" - **Get a user ID with the Commission**

To be able to submit a proposal, you must get a user ID with the **European Commission Authentication Service (ECAS).** ECAS allows the authorised users to login to a wide range of European Commission information systems, using a single user name and password. More information on ECAS is available here.

The user ID is mandatory in order for the proposal coordinator to submit the proposal and for the other participants (if any) to complete the information requested from them. The system will request it for every participant. The same user ID will be used for all later interactions with the ERCEA, including notifications of the results of the evaluation.

Step 2: Access the proposal submission system
Access to the system is provided from the Call's page on the Participant Portal after selecting the Topic, clicking on '*Submission Service'* and then on '*Start Submission'*. The system requires to login to the Portal with your ECAS ID.

Step 3: Create a draft proposal (pre-registration)

At this stage, you fill in the pre-registration data for the proposal. These data will be used by the ERCEA in order to plan the evaluation. **You will not have access to this page once it is completed** and you have proceeded to Step 4, but certain data can be modified at a later stage.

[11] http://ec.europa.eu/research/participants/portal/desktop/en/organisations/register.html

The system will request you to enter the PIC of the applicant organisation (coordinating organisation in case of a consortium). After entering the PIC, the details of your organisation will be automatically displayed.
If, after entering your PIC, the data appearing for your organisation are incorrect, you should contact the LEAR of your organisation to correct them in the Beneficiary Register[12].

Once the **coordinating organisation** is known and identified, you enter the essential details of the proposal, as follows:

- *Your role.* When registering, please select the type of contact person you are: Main contact or Contact person. **This will have an influence on the subsequent steps.** The 'Main Contact Person' for the coordinating organisation (Participant no. 1) will determine the access rights of other people to the proposal data at Step 4.
- *The proposal acronym*. This will be the name of the proposal and it will be used throughout the lifetime of the project, if funded. No more than **20 characters** are allowed (use standard alphabet and numbers only; no symbols or special characters, except underscore, space, hyphen or dot).
- *The proposal short summary*. This is a short summary of maximum of **2,000 characters** which describes briefly your proposal. The 'short summary' information is copied to the 'Abstract' field in the online administrative form section A1, where it can be modified (see Step 5).

Note
Once Steps 1 to 3 are completed, the draft proposal is created in PPSS. You will receive an email informing you that you have successfully created a draft proposal.
You can continue to Step 4 or return later to edit this draft proposal. This is done by following the steps below:
1. Go to the Participant Portal
2. Login with your ECAS username and password
3. Click on 'My Proposals' tab
4. Depending on the status of the proposal, you jump to either Step 5 'Edit draft' or Step 6 'View submitted'.

Step 4: Manage other participants

At this step, if applicable, the coordinating organisation sets up the consortium. The proposal coordinator can:

- *Add other participants to the proposal*. A search function is provided to facilitate the search for partner organisations (every organisation must be identified by its PIC number) and insert the most up to date information for you. This information will be completed with the contact details of the contact person. For every partner organisation, you can add multiple contact persons. For each contact person the role within the project must be defined: **Main contact** or **Contact person**. Each organisation needs to have one Main contact person who will have to fill in the full contact details in the administrative form section A2.
- *Give access to other contact persons*. When giving access rights to contact persons, the e-mail address of the person serves as the main identifier. You must define the level of access rights for each contact person: i) **full access** (the Contact person has the right to edit all parts of the proposal, upload documents, submit, and withdraw the proposal) or ii) **read-only** (the Contact person has read-only access). For the coordinating organisation, the main contact person and other contact persons with full access rights have the same rights: they can

[12] https://ec.europa.eu/research/participants/portal/desktop/en/organisations/index.html

manage the list of participants and contacts, edit any part of the administrative part of the proposal and upload any attachments, and submit the proposal. The contact persons with read-only rights can only view/download the information. For partner organisations, the contact person with full access rights can only edit their section of the administrative form and view all proposal data.

- *Delete a participant.* By deleting a PIC number from the list of participants on Step 4, any contact person linked to that entity loses the access rights.

Once the coordinator saves the changes, an **automatic invitation** is sent to all contacts' e-mail addresses. The invited persons can access the proposal after logging in to the Participant Portal – with the ECAS account linked to the given e-mail address – under the 'My Proposals' tab.

Note
Please also be aware that **only one person should work on the forms at any given time**. In case of a save conflict, the last save wins, which means that you risk overwriting changes made by other contact persons if you are working in parallel.

You may at any point return to 'Step 4' of the submission to add or delete any contact person or to change the access rights. Remember to save your data before leaving Step 4.

Step 5: Edit proposal

At this stage the proposal coordinator can:

- *Fill in the administrative forms, Part A* of the proposal (see section 2.2.1 of this document). The proposal coordinator has to complete **online** all the administrative forms, including the budget table, using a PDF reader (e.g. Adobe Reader, see above section 2.1.). Proposal partners can only complete their own administrative details (administrative form A2).
- *Download the template of Part B* of the proposal (see section 2.2.2. of this document).
- *Upload the file* that will be the Part B of the proposal. **Only two PDF files** (Section 1-3 and Section 4-5) comprising the complete Part B can be uploaded. Any other documents (company brochures, supporting documents, reports, audio-video material, multimedia etc.) sent electronically or by post will be disregarded.
- *Submit* the proposal package.

Completing the administrative forms (Part A of the proposal) in the PPSS and uploading all the necessary files under Part B does not yet mean that the proposal is submitted. Once there is a consolidated version of the proposal, you must press the "SUBMIT" button.

At this point, the system performs a limited automatic validation of the proposal. A list of discovered problems, such as missing data, wrong file format or excessive file size will appear on the screen. In some cases applicants are allowed to submit incomplete administrative information but for significant omissions, proposal submission will be blocked until all errors are corrected. Therefore you are strongly advised, when preparing your proposal, to regularly click on ***'validate form'*** to check the validity and completeness of the data entered.

However, this automatic validation does not replace the formal eligibility checks described in section 3.1 and cannot guarantee that the contents of these files respond to the requirements of the call.

When errors or omissions are corrected, the coordinator must then **press again the "SUBMIT" button** to finally achieve the proposal submission.

WARNING:
If the submission sequence described above is not followed, the ERCEA considers that no proposal has been submitted.

When the proposal has been successfully submitted, the system will proceed to Step 6 where the coordinator sees a message that indicates that the proposal has been submitted. The system also sends a submission confirmation e-mail to the coordinator, with the summary data of the submitted proposal.

Step 6: Submit proposal

Reaching this step means that the proposal is submitted (i.e. sent to the ERCEA for evaluation). It does not mean that the proposal is valid, complete, and eligible in all respects or that it will be funded. Within a few minutes of submission, your proposal is available for download with an e-receipt in the PPSS system.

In Step 6 you can:

- *Download the proposal*. It is advised to download the proposal once it has been submitted to check that it has been correctly sent. The downloaded proposal with an e-receipt is digitally signed and stamped.
- *Re-edit the proposal*, going back to Step 5. **The coordinator may continue to modify the proposal and submit revised versions overwriting the previous one right up until the deadline.**
- *Withdraw the proposal before the Call deadline.* If the proposal is withdrawn, it will not be considered for evaluation (Note: Your proposal draft is not deleted from the server and this withdrawal action can be reversed, but only before the deadline, by simply submitting it again).

Correcting or revising your proposal

Errors discovered in proposals submitted can be rectified by simply submitting a corrected version before the submission deadline; the new proposal package (part A and B) will overwrite the old one. Once the deadline has passed, however, the ERCEA can accept **no** further additions, corrections or re-submissions.

WARNING:
Every time you correct or revise your proposal, in order to submit it, you must press the "SUBMIT" button.

The last version of your proposal submitted before the deadline is the one which will be taken into consideration; no later version can be substituted and no earlier version can be recovered.

Downloading your proposal

Once submitted, it is recommended to verify your proposal by downloading all the submitted files.

Please note that in the last hours prior to Call closure, the download option may be disabled due to a high pressure on the system. In this case, applicants will be informed via the Call page on the Participant Portal that the function has been disabled.

If the e-receipt and download option have been disabled, you may review your submitted proposal by going back to Step 5 to check the data in the administrative forms and click on '*View History*' to verify which attachments have been uploaded.

About the deadline

Proposals must be submitted before the deadline specified in the Call for proposal[13]. It is your responsibility to ensure the timely submission of your proposal.

The PPSS will be closed for this Call at the Call deadline. After the deadline, it will be impossible to access the PPSS.

Once the deadline has passed, the proposal can no longer be modified; it is however visible in a **read-only** version for 90 days after the deadline.

Early registration and submission in PPSS is strongly recommended and should be done as early as possible in advance of the call deadline. Applicants who wait until shortly before the closure of the Call to start uploading their proposal, take a serious risk that the uploading will not be concluded in time and thus the 'SUBMIT' button will not be active anymore in order to conclude the submission process.

[13] In the unlikely event of a failure of the PPSS due to breakdown of the Commission server during the last 24 hours of this call, the deadline will be extended by a further 24 hours. This will be notified by e-mail to all proposal coordinators who had registered for this call by the time of the original deadline, and also by a notice on the Call page on the Participant Portal. Such a failure is a rare and exceptional event; therefore do not assume that there will be an extension to this call. If you have difficulty in submitting your proposal, you should not assume that it is because of a problem with the Commission servers, as this is rarely the case. For technical inquiries on the use of PPSS, you can contact the Participant Portal IT Help-desk at (http://ec.europa.eu/research/participants/api/contact/index.html).
Please note that the ERCEA will not extend deadlines for system failures that are not its own responsibility. In all circumstances, you should aim to submit your proposal well before the deadline to have time to solve any problems.

Box 1 Proposal submission - Important to know

- Each entity has to have a PIC number in order to participate in the proposal.
- Access to the submission system (available via the Participant Portal) is given following an ECAS login to the Portal.
- Proposals sent by other means than PPSS will not be accepted – except in duly justified cases on paper (See footnote 17 of the ERC Rules for Submission).
- Up to the call deadline, it is possible to modify a proposal simply by submitting a new version. The new version will overwrite the old one.
- After the call deadline it is not possible to update the proposal.
- Submission is deemed to occur only if the submission sequence described in Step 5 has been followed.
- Proposal formats and page numbers are strictly limited (See section 2.2.2).
- Only the material that the proposal contains within the page limits while respecting the indicated layout parameters will be evaluated. In some rare occasions the proposal may be altered while in transit on the internet. To check that the uploaded proposal has been received unaltered, please download and verify all uploaded files.
- Saved proposals (drafts) as well as submitted proposals can be accessed at any time, from the '*My proposals*' tab in the Participant Portal.

2.2 How to complete the application

As mentioned above, the application involves two distinct components:

- **Part A (Administrative forms)** contains the administrative information about the proposal and the participants. The administrative forms must be filled in **on-line.**

- **Part B (Proposal template)** must be downloaded, completed and then uploaded as described in Step 5. In Part B of the proposal, the applicant describes in detail the project to be carried out.

2.2.1. Instructions for completing Part A (Administartive forms) of the proposal

Part A (Administrative forms) is divided into 5 sections:

1 – General Information
2 – Administrative data of participating organisations
3 – Budget for the proposal
4 – Ethics issues table
5 – Call specific questions

Section 1 – General Information contains information about the proposal, including an abstract of the project proposal. Furthermore, section A1 contains declarations related to the proposal and the participation in H2020.

Section 2 – Administrative data of participating organisations. Some data are already automatically displayed by the system once you insert the PIC of the organization**: they are read-only and they cannot be modified.** Other data must be filled in for each organisation partner in the project.

Section 3 – Budget for the proposal concerns information about the total estimated project costs and the requested EU contribution. The amount given in section A3 must correspond exactly to the information provided in the proposal text (Part B, section 4.a resources). In case of discrepancy, the data given in section A3 will prevail. Third parties (e.g. subcontractors) should not be listed separately in section A3. **Please ensure that all costs are given in whole Euros (integer), not thousands of Euros.**

Section 4 – Ethics issues table. It serves to identify any ethical aspects of the proposed project. This table has to be completed even if no issues are at stake (simply confirm that none of the ethical issues apply to the proposal). Please note: if you answer YES to any of the questions, you are requested to provide an Ethics Self-Assessment and, if applicable, additional ethics documentation as detailed in the Ethics Issues Table (Annex 1 to this document).

Section 5 – Call specific questions contains declarations related to eligibility and permission statements on data-related questions.

Please note:

- **The coordinator fills in sections A1, A3, A4 and A5.**
- **The participants, including the coordinator, each fill in their respective section A2.**
- **Third parties (e.g. subcontractors) shall not be required to fill in section A2 and should not be listed separately in section A3.**

Note

The following notes are for information only. They should assist you in completing the 'A' forms of your proposal. **Online detailed guidance will also be available. The precise questions and options presented in PPSS may differ slightly from these below.**

Please regularly consult the Participant Portal call page for updated information or contact the PPSS Service Desk at or the Participant Portal IT Helpdesk at or the SEP helpdesk on +32 (2) 29 92222.

Form A1: General Information (notes for information only)

Topic	[pre-filled] Chosen upfront on the participant portal call page.
Call identifier	[pre-filled] The call identifier is the reference number given in the call or part of the call you are applying for, as indicated in the publication of the call in the Research and Innovation Participant Portal – H2020 Calls.
Type of Action	[pre-filled]
Acronym	The short title or acronym will be used to identify your proposal efficiently in this call. It should be of no more than 20 characters (use standard alphabet and numbers only; no spaces, symbols or special characters please). The same acronym should appear on each page of the proposal.

Proposal Title (max. 200 char.) (non- confidential information)	The title should be no longer than 200 characters with spaces and should be understandable to the non-specialist in your field.
Duration in months	The estimated duration of the project in full months **[MAXIMUM 48]**
Free keywords	Optional.
Abstract (max. 2000 char. ; non-confidential information)	The abstract should, at a glance, provide the reader with a clear understanding of the objectives of the proposal and how they will be achieved. The abstract will be used as the short description of your proposal in the evaluation process **and in communications to contact in particular the ERC experts and/or inform the Commission and/or the programme management committees and/or relevant national funding agencies (**The consent for disclosing to relevant national funding agencies the evaluation results of your proposal in case it is recommended for funding is requested below.**). It must therefore be short and precise and should not contain confidential information.** Please use plain typed text, avoiding formulae and other special characters. **The abstract must be written in English**[14]. There is a limit of 2000 characters (spaces and line breaks included).
Has this proposal (or a very similar one) been previously submitted/funded to a call for proposals of FP7/Horizon 2020/other EU programmes?	A 'similar' proposal or contract is one that differs from the current one in minor ways, and in which participant(s) are involved. You have to give the proposal reference or contract number of the similar proposals previously submitted/funded under FP7/Horizon 2020 or other EU programmes.

Declarations

Failure to reply to the first question will block the submission.

1) The coordinator declares to have the explicit consent of all applicants on their participation and on the content of this proposal.	[Tick the box]
2) The information contained in this proposal is correct and complete.	[Tick the box]
3) This proposal complies with ethical principles (including the highest standards of research integrity — as set out, for instance, in the European Code of Conduct for Research Integrity — and including, in particular, avoiding fabrication, falsification, plagiarism or other research misconduct).	[Tick the box]
4) The coordinator confirms: **- to have carried out the self-check of the financial capacity of the organisation on https://ec.europa.eu/research/ participants/portal4/desktop/en/organisations/lfv.html. Where the result was "weak" or "insufficient", the coordinator confirms being aware of the measures that may be imposed in accordance with the H2020 Grants Manual (Chapter on Financial capacity check); or** **- is exempt from the financial capacity check being a public body including international organisations, higher or secondary education**	[Tick the box]– Please tick the one declaration (out of three options) that is applicable to your proposal

[14] The working language of the ERC evaluation panels is English. Please note that accordingly the panel reports will be available in English only. If the proposal is not in English, a translation of the full proposal would be of assistance to the experts. An English translation of the abstract must be included in the proposal.

establishment or a legal entity, whose viability is guaranteed by a Member State or associated country, as defined in the H2020 Grants Manual (Chapter on Financial capability check); or **- as sole participant in the proposal, the applicant is exempt from the financial capacity check.**	
5) [In case of multiple participants in the proposal] The coordinator hereby declares that each applicant has confirmed: **-they are fully eligible in accordance with the criteria set out in the specific call for proposals, and** **- they have financial and operational capacity to carry out the proposed action.** *(The coordinator is only responsible for the correctness of the information relating to his/her own organisation. Each applicant remains responsible for the correctness of the information related to him and declared above. Where the proposal to be retained for EU funding, the coordinator and each beneficiary applicant will be required to present a formal declaration in this respect.)*	[Tick the box]

Form A2: Administrative data of participating organisations (notes for information only)

The first sub-section lists the participating organisations. The first form is given for the coordinating organisation. If other organisations are involved, additional forms will appear for each partner added in step 4 of the online submission system. **For each institution many fields will be read-only data as registered and/or validated in the Beneficiary Register (data linked to PIC number).**

Participant Identification Code (PIC)	[pre-filled] Guidance: The Participant Identification Code (PIC) enables organisations to take advantage of the Participant Portal. PIC numbers are necessary for the submission of proposals. By entering a PIC, section 2 will be filled in automatically. An online tool to search for existing PICs and the related organisations is available at http://ec.europa.eu/research/participants/portal/desktop/en/organisations/register.html (via the same page) before submitting the proposal. Organisations not yet having a PIC must self-register (via the same page) before submitting the proposal. Failure to do so will block the submission of your proposal.
Legal name	[pre-filled]
Short name	[pre-filled]
Address of the organisation	
Street	[pre-filled]
City	[pre-filled]
Postcode	[pre-filled]
Country	[pre-filled]
Webpage	[pre-filled]
Legal Status of your organisation	
Public body	[pre-filled]

Non-profit	[pre-filled]
International organisation	[pre-filled]
International organisation of European interest	[pre-filled]
Secondary or Higher education establishment	[pre-filled]
Research organisation	[pre-filled]
Small and Medium-sized Enterprises (SMEs)	[pre-filled]
Academic sector	[pre-filled]
Nace code	[pre-filled]

Department carrying out the proposed work

Department Name	Please indicate the address of the main department/institute/ unit that belongs to the same legal entity carrying out the work. Please use Latin characters. Use the 'Add Department' button to add additional departments or units within the same institution
Street	Please enter the street name and number where the department/faculty/institute/laboratory is located, in English.
Town	The town where the department/faculty/institute/laboratory is located, in English (please avoid any district codes).
Postcode	Please add here the district code.
Country	The country where the department/faculty/institute/laboratory is located, in English.

Dependencies with other proposal participants:
Please indicate if there are dependencies with other participants of the proposal. Two participants (legal entities) are dependent on each other where there is a controlling relationship between them:

- A legal entity is under the same direct or indirect control as another legal entity; or
- A legal entity directly or indirectly controls another legal entity; or
- A legal entity is directly or indirectly controlled by another legal entity.

Control:
Legal entity A controls legal entity B if:

- A, directly or indirectly, holds more than 50% of the nominal value of the issued share capital or a majority of the voting rights of the shareholders or associates of B; or
- A, directly or indirectly, holds in fact or in law the decision-making powers in B.

The following relationships between legal entities shall not in themselves be deemed to constitute controlling relationships:

(a) the same public investment corporation, institutional investor or venture-capital company has a direct or indirect holding of more than 50 % of the nominal value of the issued share capital or a majority of voting rights of the shareholders or associates;

(b) the legal entities concerned are owned or supervised by the same public body.

Character of dependence

According to the explanation above mentioned, please indicate, according to the list below, the relation between your organisation and the other participant(s) you are related with:

- Same group: if your organisation and the other participant are controlled by the same third party;
- Controls: if your organisation controls the other participant;
- Is controlled by: if your organisation is controlled by the other participant.

Person in charge of the proposal

Title	Please choose one of the following: Prof., Dr., Mr., Mrs., Ms.
Sex	This information is required for statistical and mailing purposes.
First Name(s)	[pre-filled from 'Contacts' at Step 4] Your first name(s) as given on Passport or Identity Card.
Family Name	[pre-filled from 'Contacts' at Step 4] Your family name(s) as given on Passport or Identity Card.
E-mail	[pre-filled from 'Contacts' at Step 4]
Position in org.	
Department	
Street	
Town	
Country	[drop-down menu] Please select one country.
Website	
Phone	Please insert the full phone number including country and city/area code. Example +32-2-2991111.
Phone 2	Please insert the full phone number including country and city/area code. Example +32-2-2991111.
Fax	

Other Contact Persons

First name(s)	[pre-filled from 'Contacts' at Step 4]
Family name	[pre-filled from 'Contacts' at Step 4]
E-mail	[pre-filled from 'Contacts' at Step 4]
Phone	Please insert the full phone number including country and city/area code. Example +32-2-2991111.

Form A3: Budget for the proposal (notes for information only)

Financial information (in Euros) – whole duration of the project	
Participant	The coordinator of the proposal is automatically number one.
Country	Read-only based on the PIC data in the Beneficiary Register.
(A) **Direct Personnel Costs (in €)**	Please enter the direct personnel costs for staff working on the project. Use one row for each beneficiary. Include costs of linked third parties, if any, in the beneficiary's budget. A beneficiary can have one or more types of direct personnel costs. The various possible types of direct personnel costs are indicated below: - actual personnel costs (salaries and social security contributions, as well as taxes and other costs included in the remuneration if they arise from national law or the employment contract) - unit personnel costs calculated according to the participant's usual accounting practices (average personnel costs) - unit personnel costs for SME owners without salary or participants that are natural persons without salary - additional remuneration (`bonus payments'; for non-profit organisations only and subject to specific eligibility conditions) - personnel costs for providing access to research infrastructure (if applicable according to the call for proposals) - costs of personnel seconded against payment (in-kind contributions against payment) *Example: A researcher, who is employed by a legal entity outside the project, works in the laboratory of the participant. The legal entity is reimbursed by the participant, and the participant charges these costs to the project.* - costs of personnel seconded free of charge (in-kind contributions free of charge) *Example: A professor is working in a public university that participates in the project. His salary is paid directly by the ministry, not by the university. The university charges the salary costs to the project without reimbursing the ministry.* Indirect costs (F) or special unit costs (G) must not be included here. For details on the types of 'direct personnel costs', their calculation, and the conditions for their eligibility please refer to Article 6.1 (general) and Article 6.2.A (specific) of the Annotated Model Grant Agreement. There are additional conditions for in-kind contributions of personnel. For details see Article 11 (in-kind contributions against payment) and Articles 6.4 and 12 (in-kind contributions free of charge) of the Annotated Model Grant Agreement. In-kind contributions and the legal entities making them must be described in the proposal (section 4.2 of the technical annex).
(B) **Other direct costs (in €)**	Please enter other direct costs necessary to carry out the project. Use one row for each beneficiary. Include costs of linked third parties, if any, in the beneficiary's budget. The various possible types of other direct costs are indicated below: - travel costs and related subsistence allowances - costs of equipment, infrastructure, or other assets (depreciation costs, costs of renting or leasing, in-kind contributions against payment or free of charge; full purchase costs are possible only if this option is specifically included in the work programme/call for proposals to which you respond) - costs of other goods and services (e.g., direct costs for consumables and supplies, publications, conferences, patents, certificates on financial statements, certificates on methodology, translations, in-kind contributions against payment or free of charge) - capitalised and operating costs of large research infrastructures (only for entities that comply with the criteria, see Article 6.2.D.4 of the Annotated Model Grant Agreement). Deductible VAT (ineligible cost), indirect costs (F), or special unit costs (G) must not be included here. For details on the types of 'other direct costs', their calculation, and the conditions for their eligibility please refer to Article 6.1 (general) and Article 6.2.D (specific)

	of the Annotated Model Grant Agreement. There are additional conditions for in-kind contributions of equipment, infrastructure, other assets, goods or other services. For details see Article 11 (in-kind contributions against payment) and Articles 6.4 and 12 (in-kind contributions free of charge) of the Annotated Model Grant Agreement. In-kind contributions and the legal entities making them must be described in the proposal (section 4.2 of the technical annex).
(C) **Direct costs of subcontracting (in €)**	Please enter the direct costs of subcontracting. Use one row for each beneficiary. Include costs of linked third parties, if any, in the beneficiary's budget. Subcontracting can be used to implement a limited part of the project. Each subcontract and the tasks it covers must be described in the proposal (section 4.2 of the technical annex). Subcontracting costs include the actual price and taxes (including non-deductible VAT) paid by the beneficiary. No indirect costs are accepted for subcontracting, and the 25% flat rate of indirect costs is not applied. For details on 'direct costs of subcontracting' and the conditions for their eligibility please refer to Article 6.1 (general), Article 6.2.B (specific), and Article 13 of the Annotated Model Grant Agreement.
(D) **Direct costs of providing financial support to third parties (in €)**	Not applicable for this Call for proposals.
(E) Costs of in-kind contributions not used on the beneficiary's premises (in €)	Please enter the costs for in-kind contributions that are made by third parties against payment or free of charge and that are not used on the beneficiary's premises. Use one row for each beneficiary. Include costs of linked third parties, if any, in the beneficiary's budget: - costs for personnel that is made available (seconded) against payment or free of charge and working outside the beneficiary's premises - costs for equipment, infrastructure, or other assets that are made available against payment or free of charge and used outside the beneficiary's premises - costs of other goods and services made available against payment or free of charge and used outside the beneficiary's premises. These costs (E) are already included in the 'direct personnel costs' (A) and 'other direct costs' (B). They need to be declared specifically in this column so that they can be subtracted from the sum of direct personnel costs (A) and direct other costs (B) before the indirect costs (F) are calculated.
(F) **Indirect costs (in €)** **(=0,25 (A+B-E))**	Indirect costs are covered by a 25% flat rate of the participant's 'direct personnel costs' (A) and 'direct other costs' (B) minus 'costs of in-kind contributions not used on the beneficiary's premises' (E). No indirect costs are accepted for − subcontracting costs (C) − costs of providing financial support to third parties (D) − unit or lump-sum costs which already include indirect costs (G). For details on the types of 'indirect costs', their calculation, and the conditions for their eligibility please refer to Article 6.1 (general) and Article 6.2.E (specific) of the Annotated Model Grant Agreement.
(G) **Special unit costs covering direct & indirect costs (in €)**	Not applicable for this Call for proposals.
(H) **Total estimated eligible costs (in €)** **(A+B+C+D+F+G)**	Calculated automatically based on the amounts you entered.

(I) **Reimbursement rate**	100 %
(J) **Max grant (in €) (= H*I)**	Calculated automatically based on the amounts you entered.
(K) **Requested grant (in €)**	Please enter the amount that you request for carrying out the action. This amount can be equal to or lower than the maximum grant (J).

Form A4: Ethics issues table (notes for information only)

In Horizon 2020 the completion of a general Ethics table has become compulsory and part of the online administrative submission forms. The coordinator must indicate any ethics issue in this section 4 together with a proposal page number (referring to Part B). For correct indication of any ethics issue related to your proposal, please refer to Annex 1 to this document. Annex 1 will also give guidance on how to write the ethics self-assessment and give indication of any supporting documentation needed for the Ethics review procedure.

Areas excluded from funding under Horizon 2020 (Art. 19.3 of the H2020 Framework Programme):

(i) Research activity aiming at human cloning for reproductive purposes;
(ii) Research activity intended to modify the genetic heritage of human beings which could make such changes heritable (Research relating to cancer treatment of the gonads can be financed);
(iii) Research activities intended to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.

All Horizon 2020 funded research shall comply with the relevant national, EU and international ethics related rules and professional codes of conduct. Where necessary, the beneficiary(ies) shall provide the responsible Commission services with a written confirmation that it has received (a) favourable opinion(s) of the relevant ethics committee(s) and, if applicable, the regulatory approval(s) of the competent national or local authority(ies) in the country in which the research is to be carried out, before beginning any Commission approved research requiring such opinions or approvals. The copy of the official approval from the relevant national or local ethics committees must also be provided to the responsible Commission services.

Ethics Issues (extended table available in Annex 1)
The Ethics Issues Table has to be completed even if there are no issues (simply confirm that none of the ethics issues apply to the proposal).
If any of the ethics issues indicated in the Ethics Issues Table apply to your proposal, you **must** provide an ethics self-assessment following the instruction in Annex 1.
For indication of additional supporting documentation needed, please see the extended table of ethics issues in Annex 1.

Form A5: Call specific questions (notes for information only)

Eligibility	
I acknowledge that I am aware of the eligibility requirements for applying for this call as specified in the ERC Work Programme 2015, and certify that, to the best of my knowledge my application is in compliance with all these requirements. I understand that my proposal may be declared ineligible at any point during the evaluation or granting process if it is found not to be compliant with these eligibility criteria.	[Yes] - Please confirm that you are eligible according to all requirements established in the ERC Work Programme 2015.
Data-Related Questions A positive or negative answer will not affect the evaluation of your project proposal in any form and will not be communicated to the evaluators of your project.	
For communication purposes only, the ERC asks for your permission to publish your name, the proposal title, the proposal acronym, the panel, and host institution, should your proposal be retained for funding.	[Yes/No]

2.2.2 Instructions for completing "Part B" (proposal template) of the proposal

The proposal has to be presented in 'Part B' (Proposal template), **following the template provided in Annex 2 to this document and in PPSS. The final template will be available in PPSS.**

The use of the template is mandatory. Part B must be uploaded in **PDF format**. Other file formats will not be accepted by the system. There are also restrictions to the name given to Part B file: use alphanumeric characters; special characters and spaces must be avoided. The electronic upload of the proposal Part B is done at Step 5 'Edit Proposal' and submitted via PPSS – see section 2.1.2 of this document.

The sections to be included in Part B are:

- Cover Page
- 1. Excellence
- 2. Impact
- 3. Implementation
- 4. Members of the consortium
- 5. Ethics and security

Additionally, the following parameters **shall** be respected for the layout:

- **Page Format: A4**
- **Font Type: Times New Roman or Arial**
- **Font Size: At least 11**
- **Line Spacing: Single**
- **Margins (top, bottom, left, right): at least 15 mm (not including any footers or headers).**

Page limit
The cover page, and sections 1, 2 and 3, together should not be longer **than 50 pages.** All tables in these sections must be included within this limit.

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

Each proposal page **shall** carry a footer **with** the **acronym** of the proposal.

Note
Please follow the structure of this template when preparing your proposal. It has been designed to enable the experts to make an effective assessment of your planned work against the evaluation criteria. Sections 1, 2 and 3 each correspond to an evaluation criterion.

2.2.3. Completeness of the proposal

Incomplete proposals (where parts of the proposal are missing) are considered ineligible and will not be evaluated. The proposal must be submitted **before the Call deadline**.

Please use the ***Validate form*** button, to check the validity and completeness of the data before submitting the proposal.

Box 2: Checklist – Is your proposal complete?

For the submission of a complete proposal, the following components have to be prepared:

The **Administrative Forms** (Part A) to be completed online in PPSS:
- A1 (General information)
- A2 (Administrative data of participating organisations)
- A3 (Budget for the proposal)
- A4 (Ethics issues table)
- A5 (Call specific questions)

The **Project Proposal** (Part B) to be uploaded in PPSS:
- Cover Page
- 1. Excellence
- 2. Impact
- 3. Implementation
- 4. Members of the consortium
- 5. Ethics and security

Please ensure that all forms and documents are in PDF format and are uploaded correctly in the PPSS system before the final submission. It is strongly recommended to double-check by downloading them and verifying their completeness.

2.2.4. Acknowledgement of receipt

The date and time of receipt of the submitted proposals are recorded. An email is sent to the coordinator at the moment of successful submission, and any subsequent submissions.

After the call closure, an e-receipt will be made available to the coordinator via the Participant Portal containing:
-the full proposal including the proposal title, acronym and unique proposal identifier (proposal number);
-the call identifier for which the proposal was addressed;
-the date and time of receipt.

Upon submission, the status of the proposal will change in the 'My proposals' tab.

2.2.5 Modifying or withdrawing a proposal

Up to the call deadline, **it is possible to modify a proposal simply by submitting a new version**. As long as the call has not yet closed, the new submission will overwrite the old one. **The last version of your proposal submitted before the deadline is the one which will be evaluated,** and no later material can be submitted.

Once the deadline has passed, the ERCEA cannot accept any further additions, corrections or re-submissions. However a read-only access to the submitted proposal is granted in case the coordinator wishes to verify what has been submitted. This possibility is available for 90 days after the call deadline.

You may withdraw a proposal before the call deadline at Step 6 using the "Withdraw' button.

To withdraw a proposal **after the call deadline**, a written request must be sent to the call-specific mail-box (ERC-CSA-2014@EC.EUROPA.EU) including a signed scanned letter of withdrawal. The applicant will receive an acknowledgement of receipt to confirm the withdrawal.

3 Evaluation and selection of proposals

3.1 Eligibility check

On receipt by the ERCEA, proposals are first checked to ensure that all the eligibility criteria are met. Proposals which do not fulfil these criteria will not be included in the evaluation.

A proposal will only be considered eligible if it meets all of the following eligibility criteria:

- It has been submitted via the PPSS before the deadline of the call ;
- It is complete (i.e. both the requested Administrative forms (Part A) and the proposal description (Part B) are completed and present);
- Its content must relate to the objectives of the ERC call, as defined in the ERC Work Programme 2015;
- Any other additional eligibility criteria mentioned in the call for proposals.

The eligibility is checked on the basis of the information provided in the proposal. Where there is a doubt on the eligibility of a proposal, the ERCEA may proceed with the evaluation pending a final decision by an eligibility review committee. If it becomes clear before, during or after the evaluation phase, that one or more of the eligibility criteria has not been met, the proposal is declared ineligible and not considered any further.

3.2 Evaluation of proposals[15]

A **one-step evaluation procedure** will be followed.

The evaluation will be conducted by independent experts, selected by the ERCEA taking into account their field of expertise and avoiding conflicts of interest. The ERCEA manages and ensures the quality of the evaluation process.

The independent experts may work remotely and will meet as an evaluation panel on the application of the evaluation criteria. The panel may consist of up to **five experts**. Each proposal will be evaluated by at least **two experts.**

The panel discussion is moderated by ERCEA. The role of the moderator is to seek to arrive at a consensus without any prejudice for or against particular proposals or organisations involved, and to ensure a confidential, fair and equitable evaluation of each proposal according to the evaluation criteria.

The experts will evaluate the proposals on three criteria (see Box 4).

Box 4: Evaluation criteria

1. Excellence

Are the objectives of the proposed project consistent with the requirements specified in the work programme and/or call for proposals? Do they, where appropriate, correspond to, or go beyond, best current practice?

2. Impact

[15] For further information, see section 3 of the ERC Rules for Submission and Evaluation.

Will the project have a substantial impact in the context of the ERC objectives?

3. Quality and efficiency of the implementation

Is the proposed methodology and work plan effective in reaching the goals of the project? Do they ensure the highest quality and/or utility of results?

Each criterion will be marked on a scale **0 to 5 (half marks can be given)** and an **overall quality threshold of 80% (12/15)** will be used to establish the retained list of proposals which will be ranked in order of priority for funding.

Experts will assess and mark the proposal exactly as it is described and presented. They do not make any assumption or interpretation about the project beyond what is in the proposal.
Concise but explicit justification will be given for each score in the comments accompanying the marks.

It is possible that a proposal is found to be completely out of scope of the call during the course of the evaluation, and therefore not relevant. In this case, the proposal will be withdrawn from the evaluation and deemed ineligible.

At the end of the evaluation procedure, the panel formulates its recommendations and draws up the final ranked list of proposals for possible funding. The final selection of the projects will be done by ERCEA based on the panel's recommendations, taking into account the available budget.

3.3 Ethics Review

The ethics review process concerns all projects funded by the ERC in Horizon 2020. The applicants should pay particular attention to the ethical aspects of the proposed work and, if necessary, should submit all ethics documentation available for their proposal (please upload any related document in Step 5 “Edit proposal”).

The process is aimed at ensuring that the Article 19 of Horizon 2020 Framework Programme, and Articles 13 and 14 of the Rules for Participation are implemented and, in particular, that all the research and innovation activities under Horizon 2020 comply with ethics principles and relevant national, Union and international legislation, including the Charter of Fundamental Rights of the European Union and the European Convention on Human Rights and its Supplementary Protocols.

The main areas that are addressed during the ethics review process include:

1. Human protection (including study participants and researchers)
2. Animal protection and welfare
3. Data protection and privacy
4. Environment protection
5. Participation of non-EU countries
6. Malevolent use of research results

When submitting their proposal, applicants must complete the Ethics Issues Table (Form A4 of the online Part A administrative forms) and submit an ethics self-assessment if they answer YES to one or several questions in the Ethics Issues Table. Please see Annex 1 to this document for guidance to write an ethics self-assessment.

After the evaluation and before any funding decision is taken, all proposals retained for funding will undergo an ethical screening. Proposals involving sensitive ethical issues will undergo an ethics review.

Applicants need to be aware that no grant agreement can be signed by the ERCEA prior to a satisfactory conclusion of the ethics review.

A dedicated website that aims to provide helpful information including ethics issues is available at: http://ec.europa.eu/research/participants/portal/desktop/en/funding/guide.html

3.4 Feedback to applicants on the outcome of the evaluation

The coordinator of each proposal receives a notification via the Participant Portal on the outcome of the evaluation in the form of an evaluation report. This indicates whether the proposal is retained for funding or not, and provides comments given by the experts as well as, for proposals not retained, the reasons for rejection.

3.5 Evaluation review procedure

Upon reception of the feedback on the outcome of the evaluation with the evaluation report or with the results of the eligibility check, the coordinator may wish to introduce a request for evaluation review, if there is an indication that there has been a shortcoming in the way a proposal has been evaluated, or that the results of the eligibility checks are incorrect. The evaluation review procedure[16] is not meant to call into question the judgement made by experts; it will look at procedural shortcomings and – in rare cases – into factual errors.

Such requests for evaluation review should be raised within 30 days of the date of the feedback on the outcome of the evaluation, and should follow the instructions provided in the notification. Requests must be:

- related to the evaluation process, or eligibility checks, for the call in question;
- set out using the online form via the Participant Portal;
- including a clear description of the grounds for complaint;
- received within the time limit specified in the notification;
- sent by the coordinator.

An initial reply will be sent to complainants no later than three weeks after the deadline for evaluation review requests. This initial reply will indicate when a definitive reply will be provided.

An evaluation review of the ERCEA may be convened to examine the evaluation process for the case in question. The evaluation review committee will bring together staff of the ERCEA with the requisite technical and legal expertise. The committee's role is to ensure a coherent interpretation of requests, and equal treatment of applicants. The evaluation review committee itself, however, does not re-evaluate the proposal. Depending on the nature of the complaint, the committee may review the evaluation report. In the light of its review, the committee will recommend a course of action to the ERCEA. If there is clear evidence of a shortcoming that could affect the eventual funding decision, it is possible that all or part of the proposal will be re-evaluated. Unless there is clear evidence of a shortcoming there will be no follow-up or re-evaluation.

[16] For further information, see section 3.9 of the ERC Rules for Submission and Evaluation.

Annex 1: Specific guidance related to ethics

Ethics Self-Assessment

Overview
The aim of the ethics self-assessment is to provide guidance for discussion of the ethics issues involved in the proposal and of how they will be dealt with.

- How do you **introduce**, at the outset, **the ethical perspective in your research**?

Please provide a **description of the ethics issues** associated to your proposal, making sure you cover all topics flagged in the ethics issues table. Please **specify** as well **any authorisation or permission** you already have **for the proposed work** and **include copies** (the ethics self-assessment and the copies do not count towards the page limit of your proposal). All documents must be submitted in an official EU language or the original document together with a certified translation in English or another official EU language. Please list the documents provided with their expiry date. In case such documents are not available yet, please provide an approximate timing for their submission.
For a detailed list of required information and documents related to each ethics issue, see the table listed in this annex 'Information and documents to be provided by the applicants'.

Human embryos/foetus
Please make sure that you describe adequately why the use of human embryos/foetus is needed, the ethics issues associated to it and how you plan to deal with them and to conform to national legislation.

Please note that research on **human stem cells**, both adult and embryonic, may be financed, depending both on the contents of the scientific proposal and the legal framework of the Member States involved. No funding shall be granted for research activities that are prohibited in all the Member States. No activity shall be funded in a Member State where such activity is forbidden.

Any proposal for research on **human embryonic stem cells** shall include, as appropriate, details of licensing and control measures that will be taken by the competent authorities of the Member States as well as details of the ethics approvals that will be provided. As regards the derivation of human embryonic stem cells, institutions, organisations and researchers shall be subject to strict licensing and control in accordance with the legal framework of the Member States involved[17].

If your proposal involves the use of Human embryos/foetus, including human embryonic stem cells (hESC), please provide the following information:

- Confirm that the proposal does not include research activities which destroy embryos including for the procurement of stem cells;
- Confirm that you have taken into account the legislation, regulations, ethics rules and/or codes of conduct in place in the country(ies) where the research is to take place, including the procedures for obtaining informed consent;
- Describe the origin of the Human embryos/foetus/hESC;

[17] 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)
Regulation of the European Parliament and of the Council establishing Horizon 2020 - The Framework Programme for Research and Innovation (2014-2020)

- Describe the measures taken to protect personal data, including genetic data, and privacy;
- Describe the nature of financial inducements, if any.

If already available at this stage, please submit the national/local ethics approvals, information sheets and informed consent forms to cover the research on Human embryos/foetus, including human embryonic stem cells (hESC).

Humans
This category refers to **any type of research involving empirical work with human beings, regardless of the scientific domain**. Common to all fields, the main ethics issues concern the respect for persons and for human dignity, the just distribution of research's benefits and burden, the social value and the rights and interests of research participants, the need to ensure participants' free informed consent (with particular attention to vulnerable categories of individuals such as children, patients, discriminated people, minorities, persons unable to give consent, etc.). Research methodologies should not result in discriminatory practices or unfair treatment.
When children and other persons unable to give consent are directly involved, their assent (besides parents or legal guardians' consent) should be elicited when feasible[18].

With regard to proposals in the field of **social sciences and humanities**, their peculiarity for what concerns ethics issues and requirements should be taken into consideration. Please specify what type of work with humans is involved (ex: interviews, observation, experiments with volunteers, and whether those include physical interventions), and discuss the ethical implications of the chosen methodologies For instance, describe the sampling methods or recruitment procedures and discuss whether they may result in discriminatory practices. Assess whether the research topics or methodologies may entail any psychological, social, legal or other type of harm to participants. If due to the research context or methodology, standard written informed consent procedures are not applicable or advisable, please explain how you will ensure consent in a more appropriate way. The involvement of persons having personal or hierarchical links with the investigators should be avoided, or else the procedure to ensure real free and informed consent should be described (including students being awarded academic credits for participating in research projects).

For guidance on how to deal with ethics issues in social research, see also:
http://ec.europa.eu/research/participants/data/ref/fp7/89867/social-sciences-humanities_en.pdf

With regard to **medical studies**, the *Declaration of Helsinki*[19] sets the ethics framework for research, specifying the main principles for medical research (e.g. protection of life, health, dignity, integrity, right to self-determination, privacy, and confidentiality of personal information of research subjects, protocols' design, role of research ethics committees, informed consent procedures, etc).
Moreover, projects funded under the EU research framework programmes have to comply with the principles enshrined in the *Council of Europe Convention on human rights and biomedicine* – known as the Bioethics Convention (Oviedo). Its main purpose is to protect individuals against exploitation arising out of treatment or research and it contains several detailed provisions on informed consent[20].

[18] Directive 2001/20/EC of the European Parliament and of the Council of 4 April 2001 on the approximation of the laws, regulations and administrative provisions of the Member States relating to the implementation of good clinical practice in the conduct of clinical trials on medicinal products for human use – see article 4 and 5.
[19] WMA Declaration of Helsinki - Ethical Principles for Medical Research Involving Human Subjects
[20] The article on the purpose and object of the Convention states that the Parties "shall protect the dignity and identity of all human beings and guarantee everyone, without discrimination, respect for their integrity and other rights and fundamental freedoms with regard to the application of biology and medicine". The Convention also concerns equitable access to health care, professional standards, protection of genetic heritage and scientific research.

Regarding clinical trials, they must comply with the EU Directive on Clinical Trials[21]. Its purpose is to rationalise the procedure involving documentation and administration required for conducting clinical trials, and to ensure that patients are afforded the same protection in all EU Member States. On 17 July 2012, the Commission adopted a "*Proposal for a Regulation of the European Parliament and of the Council on clinical trials on medicinal products for human use (and repealing Directive 2001/20/EC)*, which is expected to enter into force in 2016, and should also be taken into account.

Please explain how your research will take into account the relevant ethical framework.

Human cells/tissues

Human cells and tissues used in the research should either be commercially available (please indicate the source) or, in case you produce them or they originate from another laboratory, you should demonstrate that their production is ethically authorized. If cells or tissues derive from clinical practice (e.g. operations), please make sure that donors have provided their informed consent to their use for research.

If your research implies use of human cells/tissues collected in the framework of another research project, please provide the adequate authorisations to secondary use.

Please specify if any material from existing biobanks will be used. Please specify if your project has the aim or effect to set up a biobank.

Protection of personal data

Please explain how you will ensure privacy and confidentiality in personal data collection and processing, in accordance with EU legislation, in particular:

Directive 95/46/EC of the European Parliament and of the Council of 24 October 1995 on the protection of individuals with regard to the processing of personal data and on the free movement of such data.

However, the European legislation on data protection is evolving and the coming legislation should also be taken into consideration – (Reform of data protection legislation: http://ec.europa.eu/justice/data-protection/)

In case your research involves the collection/processing of **sensitive personal data** (health, sexual lifestyle, ethnicity, political opinion, religious or philosophical conviction) or **genetic information**, please justify the need for their collection, discuss the possible ethics implications and how you will address them.

In case your research involves **tracking or observation** of participants, please state whether any video or photo will be used publicly and describe the methods you will use to guarantee the privacy of the participants.

In case you are planning to use **secondary data**, please specify if these originate from publicly available sources, or, if not, whether the data has been authorized for secondary use (by primary owner of the data who must also confirm that the informed consent included the possibility of a secondary use of data).

In any case, please **describe** in details **the specificity of data collection, storage, protection, retention and destruction**. Please provide as well an authorisation from the University data protection controller or national data protection authority.

[21] Directive 2001/20/EC. The Clinical Trials Directive is concretised further by Commission Directive 2005/28/EC of 8 April 2005 laying down principles and detailed guidelines for good clinical practice as regards investigational medicinal products for human use.

Animals

Animal welfare is a value of the Union (Article 13 of the TFEU). Animals have an intrinsic value which must be respected and they must be treated as sentient creatures. As a consequence, one of the main aims of the Directive 2010/63/EU is to improve the welfare of animals used in scientific procedures, taking into account that new scientific knowledge is available in respect of factors influencing animal welfare as well as the capacity of animals to sense and express pain, suffering, distress and lasting harm.

According to the Directive, it is compulsory to carry out ethical evaluation based on the principles of replacement, refinement, reduction (**3Rs principle**) and all breeders, suppliers, users and the experiments with animals must be authorised.

Therefore, in addition to provide authorisations if already available, please elaborate on **the need to use animals** and the justification to this; consider whether your project has been designed so that procedures involving animals are carried out in the most humane and environmentally sensitive manner possible; make sure that the 3Rs principle will be adequately implemented; reflect on appropriateness of veterinary care and husbandry, impact on animals in terms of pain and distress (mention the anaesthesia and euthanasia methods if any); perform a harm-benefit analysis.

Provide reference to **compliance with relevant EU and national legislation**, see in particular:
Directive 2010/63/EU of the European Parliament and of the Council of 22 September 2010 on the protection of animals used for scientific purposes.

Non-EU countries

International research raises several concerns, especially when they take place in developing or emerging–economy countries where participants may be more vulnerable due to economic or political reasons, and a significant disparity of power may exist between researchers and research participant.

Thus, the researcher must ensure that he will **comply with the relevant EU legislation in addition to the legislation of the host country**. He should also comply with international reference documents, such as the Declaration of Helsinki.

The researcher should also make sure – if applicable – that the **benefits of the research are shared** with relevant local actors.

Therefore, if the Host institution of the project is located in an **associated country** Please check the H2020 Online Manual and click on 'International coorporation' for up-to-date information on this topic,or if the project includes research activities taking place in a **non-EU country**, the PI must provide a declaration that he will rigorously apply the ethical standards and guidelines of H2020, regardless of the country in which the research is carried out.

In case work is foreseen in *low or lower-middle income country(ies) according to World Bank classification**, an authorization from local competent institutions (as appropriate) will be required.***

In case of **exportation of any materials outside a non-EU country** – including personal data - some additional documents are required, including an ethics approval, the local authorisation for export, and a Material Transfer Agreement.

*In case of use of local resources **(and especially*** animal and/or human tissue samples, genetic material, live animals, human remains, materials of historical value, endangered fauna or flora samples), please explain which resources are used, why and what measures are foreseen on this specific aspect for benefit sharing.

Finally, if the situation in the country may put individuals taking part in the research at risk, please provide details on the foreseen security measures, including insurance cover.

For further guidance, please see **http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/ethics_en.htm**

Environmental protection
Some types of research may imply a risk for the safety of the environment or of the staff involved. Examples include studies on pathogen agents and virus, or experiments that may lead to the release of dangerous substances or particles in the air/water/soil or in the human body.

If your research implies such risks, you are required to describe the foreseen security, health and safety measures, and their conformity with EU and national guidelines.

See: Directive 2000/54/EC (on the protection of workers from risks related to exposure to biological agents at work), Directives 2009/41/EC and 98/81/EC (on the contained use of genetically modified micro-organisms – GMMs, and European Commission Recommendation of 07/02/2008 on a Code of Conduct for Responsible Nanosciences and Nanotechnologies Research).

If your research takes place in a protected area, please take into consideration the relevant Directives, namely Directive 2008/56/ECof the European Parliament and of the Council of 17 June 2008 establishing a framework for community action in the field of marine environmental policy (Marine Strategy Framework Directive) – specifically its Annex III ; Council Directive 92/43/EEC of 21 May 1992 on the conservation of natural habitats and of wild fauna and flora ; Council directive 79/409 EEC on the conservation of wild birds

Dual use
Dual use specifically refers to technologies that can be used for both peaceful and military aims (See Regulation No 428/2009 of 5 May 2009 setting up a Community regime for the control of exports, transfer, brokering and transit of dual-use items). The technologies might present a danger to participants, or to society as a whole, if they were improperly disseminated and must be correctly identified, mentioning as well if they are defensive or offensive.
In the bio-medical field, dual use refers for instance to research which may enhance the virulence of microorganisms causing diseases; diminish the immunity of the host; enhance the transmissibility of the pathogens (enhance the contagiousness); alter (enlarge) the host range of the pathogen; render a vaccine ineffective; confer resistance to life-saving antibiotics; prevent diagnosis of infection or detection of a pathogen; enable eventual weaponization, severity of disease/symptoms or mass casualty, see:
http://ec.europa.eu/research/participants/data/ref/fp7/89888/ethics-for-researchers_en.pdf

In case your research may fall under the mentioned categories, please provide details on the project and on the measures that you foresee to prevent/address/mitigate the risks they might raise.

Misuse
In general, potential **misuse** of research may be defined as “research involving or generating materials, methods or knowledge that could be misused for unethical purposes”.
The main areas of concern regarding potential misuse are: research involving agents or equipment that could be directly misused for criminal or terrorist purposes; research which creates knowledge that could be used for criminal or terrorist purposes; research which can result in stigmatization and discrimination; application and development of surveillance technologies; data mining and profiling technologies.

Other ethics issues
If any other ethically relevant issues apply to your project, please describe them here and explain how you address them.

ETHICS ISSUES TABLE

	1.Human Embryos/ Foetuses		Page
	Does your research involve Human Embryonic Stem Cells (hESCs)?	[Yes/No]	
	Does your research involve the use of human Embryos?	[Yes/No]	
	Does your research involve the use of human Foetal Tissues?	[Yes/No]	

	2. Humans		Page
	Does your research human participants?	[Yes/No]	
	Does your research involve physical interventions on the study participants?	[Yes/No]	
	Does it involve invasive techniques?	[Yes/No]	

	3.Human Cells/Tissues		Page
	Does your research involve human cells or tissues (other than Human Embryos/Foetuses i.e. section1)?	[Yes/No]	

	4. Personal data		Page
	Does your research involve personal data collection and/or processing?	[Yes/No]	
	Does your research involve further processing of previously collected personal data (secondary use?)	[Yes/No]	

	5.Animals		Page
	Does your research involve animals?	[Yes/No]	

	6. Non-EU Countries		Page
	Does your research involve non-EU countries?	[Yes/No]	
	Do you plan to use local resources (e.g. animal and/or human tissue samples, genetic material, live animals, human remains, materials of historical value, endangered fauna or flora samples, etc.)?	[Yes/No]	
	Do you plan to import any material from non-EU countries into the EU? *For data imports, please fill in also section 4. For imports concerning human cells or tissues, fill in also section 3.*	[Yes/No]	
	Do you plan to export any material from the EU to non-EU countries? *For data exports, please fill in also section 4. For exports concerning human cells or tissues, fill in also section 3.*	[Yes/No]	
	If your research involves low and/or lower middle income countries, are benefits-sharing measures foreseen?	[Yes/No]	
	Could the situation in the country put the individuals taking part in the research at risk?	[Yes/No]	

	7.Environment and health and safety		Page
	Does your research involve the use of elements that may cause harm to the environment, to animals or plants?	[Yes/No]	
	Does your research deal with endangered fauna and/or flora and/or protected areas?	[Yes/No]	

	Does your research involve the use of elements that may cause harm to humans, including research staff? *For research involving human participants, please fill in also section 2.*	[Yes/No]	

	8.Dual Use		**Page**
	Does your research have the potential for military applications?	[Yes/No]	

	9.Misuse		**Page**
	Does your research have the potential for malevolent/criminal/terrorist abuse?	[Yes/No]	

	10.Other ethics issues		**Page**
	Are there any other ethics issues that should be taken into consideration? Please specify.	[Yes/No]	

Annex 2: Proposal template (Part B)

This Annex is for information only. The final version is available in the PPSS.

Coordination and support actions

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.

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

⚠ **First stage proposals:** In two-stage submission schemes, at the first stage you only need to complete the backeted parts (i.e. }). These are in the cover page, and sections 1 and 2.

⚠ **Page limit:** For full proposals, the cover page, and sections 1, 2 and 3, together should not be longer than 50 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).

The page limit for a first stage proposal is 15 pages.

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 topic set out in the work programme, 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 project[22], which should be clear, measurable, realistic and achievable within the duration of the project. Objectives should be consistent with the expected exploitation and impact of the project (see section 2).

1.2 Relation to the work programme

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

1.3 Concept and approach

- Describe and explain the overall concept underpinning the project. Describe the main ideas, models or assumptions involved;

- Describe and explain the overall approach.

- Where relevant, describe how sex and/or gender analysis is taken into account in the project's content.

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

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 work programme, under the relevant topic;

- 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

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

be achieved. (This should not include any risk factors concerning implementation, as covered in section 3.2.)

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)

⚠ *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),*

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 2.2).

- **Other countries**: If one or more of the participants requesting EU funding is based in a country that is not automatically eligible for such funding (entities from Member States of the EU, from Associated Countries and from one of the countries in the exhaustive list included in General Annex A of the work programme 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.

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 table in section 3 of the administrative proposal forms).

Table 3.1 a: 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 3.1 b: 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 3.1 c: 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 or final report)
DEC: Websites, patents filing, market studies, 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 3.2 a: List of milestones

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

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

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

Table 3.2b: Critical risks for implementation

Description of risk	Work package(s) involved	Proposed risk-mitigation measures

Table 3.4a: Summary of staff effort

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

	WPn	WPn+1	WPn+2	Total Person/ Months per Participant
Participant Number/Short Name				
Participant Number/Short Name				
Participant Number/Short Name				
Total Person/Months				

Table 3.4b 'Other direct cost' items (travel, equipment, infrastructure, 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		