Pre-Commercial Procurement (PCP)

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

Version 1.0
15 October 2015

Disclaimer
This document is aimed at informing potential applicants for Horizon 2020 funding. It serves only as an example. The actual Web forms and templates, provided in the online proposal submission system under the Participant Portal, might differ from this example. Proposals must be prepared and submitted .via the online proposal submission system under the Participant Portal.

Research and Innovation

Horizon 2020

Topic:

Type of action:

()

Proposal number:

Proposal acronym:

Deadline Id:

Table of contents

Section	*Title*	*Action*
1	General information	
2	Participants & contacts	
3	Budget	
4	Ethics	

How to fill in the forms

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

Proposal ID	*Acronym*

1 - General information

Topic	
Call Identifier	
Type of Action	
Deadline Id	

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

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

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

Abstract

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

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

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

Remaining characters 2000

Has this proposal (or a very similar one) been submitted in the past 2 years in response to a call for proposals under the 7th Framework Programme, Horizon 2020 or any other EU programme(s)? ○ Yes ○ No

Proposal ID	Acronym

Declarations

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

4) The coordinator confirms:

- to have carried out the self-check of the financial capacity of the organisation on https://ec.europa.eu/research/participants/portal/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 establishment or a legal entity, whose viability is guaranteed by a Member State or associated country, as defined in the H2020 Grants Manual (Chapter on Financial capacity check); or	○
- as sole participant in the proposal is exempt from the financial capacity check.	○

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

- they are fully eligible in accordance with the criteria set out in the specific call for proposals; and	☐
- they have the financial and operational capacity to carry out the proposed action.	☐
6) The coordinator confirms that the self-check has been performed by minimum two partners in the project - including the lead procurer and minimum two partners in the buyers group - that they are compliant with the definition of contracting authority or contracting entity as defined in the EU public procurement directives. The coordinator confirms the willingness of the partners to provide, in case the proposal is positively evaluated, self-declarations to the EC on this point.	☐
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.	

Proposal ID	*Acronym*

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

Personal data protection

Your reply to the grant application will involve the recording and processing of personal data (such as your name, address and CV), which will 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. Unless indicated otherwise, your replies to the questions in this form and any personal data requested are required to assess your grant application in accordance with the specifications of the call for proposals and will be processed solely for that purpose. Details concerning the processing of your personal data are available on the privacy statement. Applicants may lodge a complaint about the processing of their personal data with the European Data Protection Supervisor at any time.

Your personal data may be registered in the Early Warning System (EWS) only or both in the EWS and Central Exclusion Database (CED) by the Accounting Officer of the Commission, should you be in one of the situations mentioned in:
-the Commission Decision 2008/969 of 16.12.2008 on the Early Warning System
(for more information see the Privacy Statement), or
-the Commission Regulation 2008/1302 of 17.12.2008 on the Central Exclusion Database
(for more information see the Privacy Statement) .

Proposal ID *Acronym*

List of participants

#	Participant Legal Name	Country
1		

Proposal ID	Acronym	Short name

2 - Administrative data of participating organisations

PIC	Legal name

Short name:

Address of the organisation

Street

Town

Postcode

Country

Webpage

Legal Status of your organisation

Research and Innovation legal statuses

Public body	unknown
Non-profit	unknown
International organisation	unknown
International organisation of European interest	unknown
Secondary or Higher education establishment	unknown
Research organisation	unknown
Legal person	unknown

Enterprise Data

SME self-declared status	unknown
SME self-assesment	unknown
SME validation sme	unknown

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

NACE Code: -

Proposal ID	Acronym	Short name

Department(s) carrying out the proposed work

Department 1

Department name ☐ not applicable

☐ Same as organisation address

Street *Please enter street name and number.*

Town

Postcode

Country

Dependencies with other proposal participants

Character of dependence	Participant	

Proposal ID	Acronym	Short name

Person in charge of the proposal

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

Title | Sex ○ Male ○ Female

First name | Last name

E-Mail

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

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

☐ Same as organisation address

Street

Town | Post code

Country

Website

Phone 1 *+xxx xxxxxxxxx* | Phone 2 *+xxx xxxxxxxxx* | Fax *+xxx xxxxxxxxx*

3 - Budget for the proposal

No	Participant	(A) Direct costs of PCP of subcontracting /€	(B) Costs for related additional coordination and networking activities				(C) Total costs/€ (=A+B)	(D) Reimbursement rate/%	(E) Maximum EU contribution/ € (=C*D)	(F) Requested EU contribution/€
			(B1) Direct personnel costs/€	(B2) other subcontracting costs/€	(B3) Other direct costs/€	(B4) Indirect costs/ € (=(B1+B3)*25%)				
1		0	0	0	0	0,00	0,00	90	0,00	0,00
	Total	0	0	0	0	0,00	0,00	90	0,00	0,00

Proposal ID *Acronym*

4 - 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 / cells?	○ Yes ◉ No	
2. HUMANS		**Page**
Does your research involve human participants?	○ Yes ◉ No	
Does your research involve physical interventions on the study participants?	○ Yes ◉ No	
3. HUMAN CELLS / TISSUES		**Page**
Does your research involve human cells or tissues (other than from Human Embryos/ Foetuses, i.e. section 1)?	○ Yes ◉ No	
4. PERSONAL DATA (ii)		**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 (iii)		**Page**
Does your research involve animals?	○ Yes ◉ No	
6. THIRD COUNTRIES		**Page**
In case non-EU countries are involved, do the research related activities undertaken in these countries raise potential ethics issues?	○ Yes ◉ No	
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.)? (v)	○ 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 action planned? (vii)	○ Yes ◉ No	

Proposal ID	*Acronym*

Could the situation in the country put the individuals taking part in the research at risk?	○ Yes ◉ No	
7. ENVIRONMENT & HEALTH and SAFETY See legal references at the end of the section. (vi)		Page
Does your research involve the use of elements that may cause harm to the environment, to animals or plants? *For research involving animal experiments, please fill in also section 5.*	○ 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 (vii)		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	

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

How to Complete your Ethics Self-Assessment

Proposal ID *Acronym*

Validation result

Show Error

The red 'Show Error' button indicates an error due to a missing or incorrect value related to the call eligibility criteria. The submission of the proposal **will be blocked** unless that specific field is corrected!

Show Warning

The yellow 'Show Warning' button indicates a warning due to a missing or incorrect value related to the call eligibility criteria. The submission of the proposal **will not be blocked (**proposal will be submitted with the missing or incorrect value).

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

Proposal template

PCP 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.

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

⚠ Page limit: Sections 1, 2 and 3 should not be longer than 90 pages. All tables in these sections must be included within this limit (including a table of contents). The minimum font size allowed is11 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 will be applied automatically; therefore you must remove this instruction page before submitting.

If you attempt to upload a proposal longer than the specified limit, before the deadline you will receive an automatic warning, and will be advised to shorten and re-upload the proposal. After the deadline, any excess pages will be overprinted with a 'watermark', indicating to evaluators that these pages must be disregarded.

Please do not regard 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 Progress beyond state of the art

a) Analysis of existing state-of-the art

- Describe briefly the state-of-the art on the supply side: What are the state-of-the art of solutions already offered by providers on the market or under development in ongoing research or innovation projects in the EU or worldwide? Please refer to the results of any patent search you carried out to verify the state-of-the art.

- Describe briefly the state-of-the art on the demand side: What are the most advanced solutions already adopted or under development by other public procurers or private sector customers in the EU or worldwide to address the same challenge as the one addressed by the PCP? What are the shortcomings of this state-of-the art compared to the procurement needs of the buyers group?

- Describe briefly the state-of-the art that determines the framework conditions for the proposed PCP such as applicable national or European sectorial policies, regulation, standardisation, certification.

b) Planned progress beyond the state-of-the art

- What are the shortcomings in the state-of-the art that do not enable existing solutions to satisfy the needs of the buyers group (e.g. quality, efficiency, interoperability issues) and that justify the start of a PCP to procure new R&D services?

- Describe the progress beyond the state-of-the art that the PCP aims to achieve:
  - How ambitious quality and/or efficiency improvements do the procurers aim to achieve with the PCP compared to the state-of-the art?
  - How demanding is the R&D that the supply side will need to perform to satisfy the procurement need and reach the desired quality/efficiency improvements? Refer to any prior art analysis or benchmarking of solutions that you may have carried out to establish this.
  - Does the project aim to improve framework conditions to bring the innovative solutions to the market (contributions to standardisation, certification etc.)?

1.2 Clarity and pertinence of the objective of the PCP – The common challenge

- Describe the 'common challenge' that the joint PCP will focus on:
  - For PCP actions where the common challenge consists of several facets (sub-challenges or building blocks), describe the different facets and confirm that all procurers in the buyers group share the need for all the facets.

Common challenge: the commonly identified procurement need that is shared by all procurers in the buyers group of the project that forms the object of the proposed PCP procurement

⚠ *A PCP action that addresses a challenge that consists of several facets (sub-challenges or building blocks) is considered one joint PCP procurement as long as all procurers in the buyers group share the need for - and are willing to co-finance - all the facets of the common challenge.*

- Describe how the common challenge addresses a concrete unmet need: describe the procurement needs of the buyers group and the needs of other potential end-users of the innovative solutions that motivate the focus of the PCP on this particular challenge. Your answer could also refer to the cost / benefit analysis of the buyers group to undertake the PCP, benchmarking of solutions. (This should not contain analysis of prior art / IPR already covered by section 1.1). Is the unmet need for innovative solutions driven by internal motivations of the procurers to obtain quality and/or efficiency improvements in their area of work or by regulatory requirements that require the procurers to look for innovative solution

1.3 Credibility of the proposed concept and methodology

a) Proposed concept and methodology

- Describe the proposed concept and methodology to achieve the project objectives, in particular for those activities that PCPs are requested to carry out by the relevant section(s) of the work programme.
    - Confirm the intention of the consortium to implement the proposed procurement methodology for the PCP in compliance with the specific requirements for the implementation of Horizon 2020 cofunded PCPs in Annex E of the work programme and in the Grant Agreement for PCP actions. Focus in this section mainly on providing additional information regarding how the proposed concept and methodology will ensure compliance with the requirements above and how any implementation specific details for your project that were not specified in the above Annex or Grant Agreement are planned to be implemented.
    - Identify in particular which partner is proposed to be the lead procurer and which partners constitute the buyers group (indicate which of them are public procurers versus, if applicable, additional other types of procurers that provide services of public interest and share the same procurement need). If applicable identify third parties associated to beneficiaries that are involved in carrying out the joint PCP. Sole participants shall explicitly indicate which of its 'members', that satisfy the specific participation requirements in Annex E of the work programme, represent the buyers group of procurers that contribute to the budget of the proposed joint procurement. Note that the consortium must foresee a deliverable to be submitted at the end of the preparation phase (see section 3.1) to provide the final confirmation of the role of the different partners involved in the execution of the PCP (including final confirmation on the identity of the lead procurer).

- *<u>The lead procurer</u> is the procurer that is appointed by the buyers group in an action to coordinate and lead the joint PCP procurement in the name and on behalf of the buyers group.*

- *<u>The buyers group</u> is the group of procurers in an action that provides the financial commitments for undertaking together the joint PCP procurement during the action.*

- *<u>Third parties associated to beneficiaries</u> can be actively involved in carrying out the joint PCP procurement e.g. by providing in-kind contributions (such as test resources or equipment) to the buyers group and/or lead procurer that are needed to carry out the procurement.*

⚠ The breakdown per participant of the estimated financial commitments that are provided by the buyers group to carry out the joint PCP is defined in a separate section 3.4 and in table 3.4a. There is no need to repeat that information here.

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

- Describe the consortium's planned methodology for the preparation stage of the PCP (in particular regarding open market consultation, the development of the details of the common specifications and common evaluation criteria).

- Describe the consortium's current initial plans for the approach by which, at the different phases of the PCP, the R&D providers to which the R&D work will be subcontracted are expected to be selected and contracts are expected to be awarded. Indicate the consortium draft plans for how the joint evaluation of offers will be organised, which type of best value for money evaluation criteria to use, the use of external experts or not to assist in the evaluation of offers etc.

- Describe clearly the expected number of phases in the PCP process (indicate if more than three phases are planned e.g. in case of complex R&D to be performed), the expected duration / budget of each PCP phase, the number of R&D providers foreseen to be invited to participate in the PCP to have a good representation of possible competing solution paths, the expected number of R&D providers to be selected at each phase, the expected maximum budget to be allocated per participating R&D provider at each PCP phase, etc.

- Describe clearly the scope of the R&D to be carried out by the R&D providers in each PCP phase (the scope of the work that is foreseen to be sub-contracted through the joint PCP procurement of R&D services). Specify in particular whether the PCP will include also the purchase of R&D products resulting from the PCP and if so, for what purpose this is needed and what is the expected value of those R&D products to be procured compared to the total PCP contract value.

⚠ The possibility to purchase also R&D products as part of the PCP is limited to the set of prototypes or test products that were developed during the PCP when these are needed for conducting the R&D (e.g. (part of) the source code that

results from a software R&D that is purchased to enable further testing after the PCP by the procurers), and this does not extend to larger quantity production or to the supply of goods or services in general. The value of any supplies procured during an R&D services contract such as PCP cannot exceed 50% of the total contract value.

- Describe how the consortium plans to organise the monitoring of the R&D providers whilst the PCP is ongoing to ensure execution of the R&D services according to plan (explain which project partners will be involved in this). Describe also the consortium's methodology to validate / compare in the last PCP phase the performance of different competing solutions in real-life operational conditions against the functional / performance requirements (interoperability, scalability etc) jointly defined by the procurers in the buyers group to verify fitness for purpose in view of potential conversion into permanent service of the solutions (explain which project partners will be involved in this).

- Describe the proposed approach for additional coordination and networking activities that the project aims to undertake, including for removing barriers to introduce the targeted innovative solutions into the market (e.g. contribution to standardisation, regulation, certification, awareness raising and experience sharing, preparing the ground for cooperation in future PCPs or PPIs).

b) Performance indicators for measuring progress of the concept and methodology to achieve the objectives

- Describe clear, measurable and realistic objectives - both for the joint procurement and, if applicable for the proposed additional related coordination and networking activities - that are achievable within the duration of the project.

  - Explain how your proposal addresses the specific challenge and scope of the work programme topic to which your proposal relates as set out in the work programme. Objectives should be consistent with the expected exploitation and impact of the project (see section 2).

  - Identify any national or international initiatives (e.g. other on-going or planned PCP or PPI projects, other standardisation or policy activities) that are planned to be linked with the action, notably cases where inputs / output from these other initiatives will feed into the action or outcomes from this action will be used.

- Define performance indicators to measure progress towards achieving those objectives that can be used in future project reviews and impact assessments, for:

  - the activities for the preparation, execution and follow-up of the PCP (including monitoring and validation of solutions, dissemination and exploitation of results)

  - if applicable, additional coordination and networking activities (e.g. contribution to standardisation, certification, regulation, awareness raising and experience sharing, preparing the ground for cooperation in future PCPs or PPIs).

2. Impact

2.1 Expected impacts

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

- Describe how your project will contribute to:
  - each of the expected impacts mentioned in the work programme, under the relevant topic that calls for the PCP action;
  - The expected impacts for PCP actions set out in Annex H of the work programme:
    - ☐ Realising more forward-looking procurement approaches aiming at ambitious quality and efficiency improvements in the area of public interest concerned
    - ☐ Reducing fragmentation of demand for innovative solutions by implementing more concerted procurement approaches and increased cooperation across boundaries among a critical mass of procurers with similar procurement needs that can trigger wide implementation of the innovative solutions.
    - ☐ Improving the competitiveness and growth of companies by developing innovations meeting the needs of European and global procurement markets
  - Any other impacts. (If not already covered above).

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

2.2 Measures to maximise impact

Explain the proposed measures to help achieve the expected impacts. The description should cover:

a) Demand side measures to encourage wide deployment of solutions

- Describe the plans of the buyers group to deploy the innovative solutions after the PCP
- Describe measures in the proposed PCP procurement approach to encourage wide deployment of solutions (e.g. the use of clear KPIs for the PCP to achieve ambitious quality/efficiency improvements that meet the needs of wider markets, measures to encourage other procurers outside the consortium to also deploy the innovative solutions). Clarify whether the consortium intends to involve procurers outside the consortium in the preparation of the PCP (e.g. in the open market consultation) and/or in the execution of the PCP (e.g. via piggy-backing clauses in the PCP procurement contracts that enable other procurers to follow the ongoing PCP procurement).

- Describe planned activities to remove barriers for wider market introduction for the innovative solutions addressed towards public markets and, if relevant, private markets. This can include joint contribution to policy or regulatory actions or contribution to standardisation or certification based on the joint requirements specifications. Where relevant, describe how the consortium will ensure coherence and interoperability across borders of the different competing solutions developed during the PCP.

- Describe the plan for optimising the use of results generated by the procurers during the project (e.g. results obtained from the coordination and networking activities).

b) Measures to encourage wide exploitation of results generated by the supply side

- Explain any project specificities in applying the specific IPR provisions foreseen in Annex E of the work programme and the PCP actions grant agreement, that optimise the opportunities for participating providers to purse wide exploitation of results. Confirm that the procurers leave IPR ownership rights on results generated by providers participating in the procurement (and the associated responsibility to commercialise the innovative solutions covered by the procurement) with the providers.

- Describe to what degree the consortium is able to provide a first customer reference to the providers participating in the PCP. Remind in particular in how many procurers' sites solutions are planned to be validated/tested.

- Describe how the procurers will encourage industrial interest and involvement in the PCP. Describe how the consortium intends to maximise the interest of providers from across all Europe to participate in the open market consultation (to refine the scope of the procurement based on feedback from potential providers about ongoing industrial developments) and to send in sufficient amount of good quality offers.

c) Communication activities and dissemination of results

- Provide a draft plan for communication about the project and dissemination of project results. Please note that such a draft plan is an admissibility condition, unless the work programme topic explicitly states that such a plan is not required. The plan should be proportionate to the scale of the project and the level of funding for those activities, with clear objectives, and adapted to audiences beyond the actors directly involved in the work. Describe the variety of communication means employed and target groups addressed (e.g. other procurers, policy-makers, media and the public at large). Measures to promote public/societal engagement on questions related to the project may be included, where relevant. Key communication and dissemination results should be included as deliverables. A project website is strongly recommended.

  o Describe the proposed measures for communicating during the project lifetime about the project activities (e.g. open market consultation, launch of the PCP call for tender) and about the benefits/impacts of undertaking a PCP.

- Describe the proposed measures for the dissemination of project results and impacts, in particular the results of the PCP projects selected following the call for tender (new technical improvements achieved by providers, and quality/efficiency improvements obtained by procurers).

⚠ *The appropriate structure of the consortium to support exploitation is addressed in section 3.3.*

3. Implementation

3.1 Work plan — Work packages and deliverables

Please provide the following:

- brief presentation of the overall structure of the work plan;
- timing of the different work packages and their components (Gantt chart or similar);
- detailed work description, i.e.:
  - a 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.*

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

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

⚠ *If your project is taking part in the Pilot on Open Research Data[1], you must include a 'data management plan' as a distinct deliverable within the first 6 months of the project. A template for such a plan is given in the guidelines on data management in the H2020 Online Manual. This deliverable will evolve during the lifetime of the project in order to present the status of the project's reflections on data management.*

Definitions

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

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

Please include distinct work packages on:

- Consortium management
- Preparation of the procurement (including a detailed description of the implementation of planned activities to prepare the launch of the call for tender – such as open market consultation, preparation of common procurement specifications and joint procurement agreement – in compliance with the PCP actions Grant Agreement and Annex D and Annex E of the work programme)
- Procurement / tendering (including a detailed description of the tendering process, the evaluation procedure and draft evaluation criteria by which subcontractors will be selected and contracts will be awarded in compliance with the PCP actions Grant Agreement and Annex D and Annex E of the work programme and on how evaluation of offers ranked according to the best value for money will be ensured)
- Contract implementation (including follow-up and monitoring of projects resulting from the co-funded call)
- Communication, Exploitation and Dissemination of the results
- Additional related coordination and networking activities

Please foresee at the end of the preparation stage of the action a deliverable with the following elements, to be submitted to the Commission together with the second pre- financing payment request:

- the call for tender documents, including the contract notice, invitation to tender, procurement contracts

[1] Certain actions under Horizon 2020 participate in the 'Pilot on Open Research Data in Horizon 2020'. All other actions can participate on a voluntary basis to this pilot. Further guidance is available in the H2020 Online Manual on the Participant Portal.

- a report on the outcome of the preparation phase of the procurement (e.g. the open market consultation) and their impact on the call for tender;

- from each beneficiary participating in the joint procurement, a formal and duly signed commitment on availability of the financial commitments to finance the PCP (using the template in Annex 11 of the PCP Model Grant Agreement)

Please foresee a deliverable at the end of the evaluation of tenders, including also at the end of the intermediate evaluations preceding the start of each new PCP phase, with the following elements, to be submitted to the Commission:

- information on the total number of bids received, data on the winning tenderer(s)

- and abstracts of the winning tenders for publication and evaluation purposes;

- information on the evaluation of tenders: the final ranking list of the selected projects, final scores and qualitative assessment per evaluation criterion for each received bid, minutes of the evaluation meeting

- assessment by the buyers group of the results achieved by each participating tenderer in the previous PCP phase (not applicable to the initial evaluation of tenders at the start of the PCP)

Please foresee at the end of the action a deliverable that contains a report on the assessment and validation of the innovative solutions resulting from the PCP by the beneficiaries, and is accompanied by a demonstration to the Commission of the test products resulting from the procured R&D services.

3.2 Management structure, milestones and decision making procedures

- Describe the organisational structure and the decision-making mechanisms proposed to enable the project to reach the stated objectives and expected impacts (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. (e.g. related to governance, conflict resolution, quality management, potential changes in partners and/or reallocation of budget when needed, approving deliverables, decision making related to handling of any IPR related rights assigned to the buyers group etc)

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

- Confirm the consortium's commitment to establish a consortium agreement that clarifies inter alia the above consortium governance structure, project decision making procedures, the procedures for handling of financial transactions where appropriate between partners to finance the joint

procurement and the procedures for the handling of IPR related rights among consortium members resulting from the procurement.

Definition

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

3.3 Consortium[2] 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[3]. How do the members complement one another and in what way does each of them contribute to achieving the project objectives? How will they be able to work effectively together? Describe in particular how the consortium creates the critical mass that can trigger wide implementation of the innovative solutions.

- Other countries and international organisations: If one or more of the participants requesting EU funding is based in a country or is an international organisation that is not automatically eligible for such funding (entities from Member States of the EU, from Associated Countries and from one of the countries in the exhaustive list included in 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 proposal administrative forms, and the number of person/months, shown in the detailed work package descriptions.*

- Please provide a management level description of the resources which are needed to carry out the project (personnel, indirect costs, equipment, etc. for each beneficiary).

- Show that the project will mobilise the resources necessary to carry out the work for the overall duration of the action, including those resources that will complement the EC contribution.

[2] In case of sole participants 'members' should be understood as the procurers contributing to the budget of the proposed joint procurement and should comply with sole participant requirements as described in Annex E.
[3] *Ibidem.*

- Describe how the resources will be integrated and used to form a coherent project within the overall financial plan.

- Confirm that each procurer in the buyers group intends to contribute its individual financial contribution to the total budget necessary to jointly finance the PCP, the total jointly committed budget for the PCP (see info on the table 3.4a for the direct costs of PCP subcontracting below), as this enables the procurers to share the costs of procuring R&D services from a number of providers and compare together the merits of alternative solutions paths to address the common challenge.

- Describe (according to the choice of the consortium in the budget table in section 3 of the proposal administrative forms) whether the consortium chooses:

  - to have all selected PCP tenderers paid by the lead procurer (in which case only the lead procurer completes column (A) in the budget table in section 3 of the proposal administrative forms with the total estimated cost of PCP subcontracting), or

  - to have all selected PCP tenderers paid pro rata by each procurer in the buyers group according to the share of the individual financial contribution of each procurer to the total jointly committed budget (in which case each procurer in the buyers group completes column (A) in the budget table in section 3 of the proposal administrative forms with his individual share of the total estimated cost of PCP subcontracting)

- Indicate dependencies in mobilising resources for the project, if any, on additional funding from national or other Community programmes (e.g. ESIF).

- Third parties (other than subcontractors): If any part of the work is foreseen to be carried out using financial resources or resources in kind provided by third parties, identify these third parties and the amount involved and their relation to the respective beneficiaries.

Please provide the following tables:

A. For the direct costs of PCP subcontracting

  - A Table showing the total estimated 'direct cost of PCP subcontracting' and the estimated financial contribution per beneficiary to the 'total jointly committed budget' for financing the PCP (*please use Table 3.4a*). Note that the consortium must foresee a deliverable to be submitted at the end of the preparation phase (see section 3.1) to provide the final confirmation of the financial commitments of the different partners involved in the execution of the PCP.

  - Sole participants shall explicitly indicate which of its 'members' are the procurers contributing to the budget of the proposed joint PCP and which

are the respective procurement budgets of each of these members that are at the disposal for carrying out the procurement.

⚠ *The costs incurred by the beneficiaries for procuring the R&D services are regarded as subcontracting costs. The providers that will be selected as a result of the PCP call for tender by the lead procurer and buyers group to carry out the R&D work are subcontractors to - they do not become beneficiaries of - the grant agreement with the EC. Table 3.4a shows direct costs of PCP subcontracting as there are no indirect costs reimbursed on subcontracting costs. The costs of PCP subcontracting are the estimated costs for the R&D services to be subcontracted via the PCP procurement. The costs of PCP subcontracting include related duties, taxes and charges such as non-deductible value added tax (VAT) paid by the beneficiary(ies)*

B. For the costs of coordination and networking activities

- A Table showing number of person/months related to the 'direct personnel costs' required by the participants to carry out the coordination and networking activities for the preparation, management and follow-up of the PCP procurement and for other additional coordination and networking activities proposed. (use Table 3.4b)
- A Table showing, if applicable, 'direct costs of subcontracting of related additional coordination and networking activities' (use Table 3.4c). Describe the work involved and an estimation of the costs, justify why a sub-contract is needed and how the selection of the subcontractor(s) will be performed.
- A Table showing, if applicable, 'other direct costs' of related additional coordination and networking activities (use Table 3.4d)

⚠ *The requested reimbursement of the estimated eligible costs of coordination and networking activities may not exceed 30% of the requested total grant. Note that this limit is based on the requested total grant amount, not on the actual spent total grant amount. In case during the action the actual expenditure for the PCP subcontracting turns out to be less than initially estimated (e.g. buyers group is able to procure at even better price conditions than budgeted), the EU contribution for the coordination and networking activities will not automatically be proportionally reduced.*

⚠ *Other than PCP subcontracting the consortium may identify certain coordination or networking tasks to be subcontracted to external entities or to be undertaken by in-house consultants under the responsibility of the consortium participants. Such tasks could rely on the services of, for example, experts for the PCP tender evaluation or legal experts for assisting in the procedural aspects of the tender). Such subcontracting of coordination and networking activities should only cover the execution of a limited part of the action.*

Tables for section 3.1

Table 3.1a: List of work packages

For each work package:

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

Objectives

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

Deliverables (brief description and month of delivery)

Table 3.1b: List of work packages

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

Table 3.1c: List of Deliverables[4]

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

KEY

Deliverable numbers in order of delivery dates. Please use the numbering convention <WP number>.<number of deliverable within that WP>.

For example, deliverable 4.2 would be the second deliverable from work package 4.

Type:
Use one of the following codes:
R: Document, report (excluding the periodic and final reports)
DEM: Demonstrator, pilot, prototype, plan designs

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

DEC: Websites, patents filing, press & media actions, videos, etc.
OTHER: Software, technical diagram, etc.
Dissemination level:
Use one of the following codes:
PU = Public, fully open, e.g. web
CO = Confidential, restricted under conditions set out in Model Grant Agreement
CI = Classified, information as referred to in Commission Decision 2001/844/EC.
Delivery date
Measured in months from the project start date (month 1)

Tables for section 3.2

Table 3.2 a: List of milestones

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

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

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

Table 3.2b: Critical risks for implementation

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

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

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

Tables for section 3.4

Table 3.4a: Direct 'costs of PCP subcontracting' – Total jointly committed budget for the PCP

Please complete the Table below with the individual financial commitments of each beneficiary that is part of the buyers group to the total budget for the PCP subcontracts. The commitments in column (a) of the Table express the intention of the procurers in the buyers group to make available the corresponding financial resources in due course by the time the PCP procurement are launched during the action. These are provisional commitments subject to the present proposal being selected for funding and to the successful completion of the preparation stage of the action. Via the deliverable to be submitted at the end of the preparation stage (see section 3.1), the concerned beneficiaries will provide their final confirmation on the availability of their individual financial commitments that will be contributed to the total budget necessary to jointly finance the PCP, the total jointly committed budget for the PCP, from which all tenderers that are selected as a result of the joint PCP call for tender will be paid by the consortium.

Participant Number / Short Name	**Country**	**(a) Participant's own resources (for the Horizon 2020 grant [€] (min d*10%)**	**(b) EU Contribution from Horizon 2020 [€] (max d*90%)**	**(c) Possible additional ESIF grant (including participant's own resources for that grant) (optional) [€]**	**(d) Total budget for the PCP subcontracts (excluding ESIF grants) = Maximum amount that can be eligible for cofunding by Horizon 2020 [€] (a + b)**	**(e) Total budget for the PCP subcontracts (including ESIF grants) [€] (a + b + c)**
Total						

In case there are participants that plan to mobilise additional ESIF funding (EU Structural and Investment Funds) to increase the total budget available for PCP subcontracting, then please complete for those participants the column (c) with the additional contribution of these

participants to the total budget for payment of the PCP subcontracts that is cofunded by ESIF. Please split clearly for each participant the part of the PCP subcontracting costs proposed to be cofunded by Horizon 2020 from the part of the PCP subcontracting costs proposed to be cofunded from ESIF, as funding from ESIF cannot be cumulated with funding from Horizon 2020 to fund one and the same expenditure incurred by the same participant[5] ESIF funding can thus not be used to replace the required participant's own contribution to the part of the PCP subcontracting costs that is cofunded by Horizon 2020. The same prohibition applies also in the other direction to the use of Horizon 2020 funds to cover the applicant's contribution to a project funded by ESIF.

Sole participants shall explicitly indicate which of its 'members' are the procurers contributing to the budget of the proposed joint PCP and which are the respective procurement budgets of each of these members that are at the disposal for carrying out the PCP procurement.

Table 3.4b: Summary of staff effort of related additional coordination and networking activities

Please complete the Table below with 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. The number of person/months to be completed relate to the 'direct personnel costs' incurred by participants to carry out the coordination and networking activities for the preparation, management and follow-up of the PCP procurement and for other additional coordination and networking activities proposed.

	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 3.4c: Direct costs of 'subcontracting of related additional coordination and networking activities'

Please complete the table below, if applicable, with the estimated costs of subcontracting of related additional coordination and networking activities for each participant that expects to incur such subcontracting costs. Add justification to clarify what type of coordination and networking activity is proposed to be subcontracted.

[5] Separating PCP subcontracting costs cofunded by Horizon 2020 from PCP subcontracting costs cofounded by ESIF can be implemented by requesting separate invoices for both. See ESIF Regulation 1303/2013 and guidance "*Enabling synergies between European Structural and Investment Funds, Horizon 2020 and other research, innovation and competitiveness-related Union programmes*" (p94) : http://ec.europa.eu/regional_policy/sources/docgener/guides/synergy/synergies_en.pdf

Participant Number/Short Name	Cost (€)	Justification
Subcontracting of coordination and networking activity 1		
Subcontracting of coordination and networking activity 2		
Subcontracting of coordination and networking activity N		
Total		

Table 3.4d: 'Other direct cost' items (travel, equipment, large research infrastructure, goods and services) of related additional coordination and networking activities

Please complete the table below for each participant that expects to incur 'other direct costs', 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		

All costs for 'large research infrastructure', should comply with the conditions set out in Article 6.2 of the Model Grant Agreement[6], and justification should in particular indicate if the beneficiary's methodology for declaring the costs for large research infrastructure has been positively assessed by the Commission. Therefore, please complete the table below in every applicable case, irrespective of the percentage of personnel costs.

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

[6] Large research infrastructure means research infrastructure of a total value of at least EUR 20 million, for a beneficiary. More information and further guidance on the direct costing for the large research infrastructure is available on the Participant Portal.

Section 4: Members of the consortium

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

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

4.1. Participants (applicants)

Please provide, for each participant, the following (if available):

- a description of the legal entity and its main tasks, with an explanation of how its profile matches the tasks in the proposal;
- a curriculum vitae or description of the profile of the persons, including their gender, who will be primarily responsible for carrying out the proposed research and/or innovation activities;
- a list of up to 5 relevant publications, and/or products, services (including widely-used datasets or software), or other achievements relevant to the call content;
- a list of up to 5 relevant previous projects or activities, connected to the subject of this proposal;
- a description of any significant infrastructure and/or any major items of technical equipment, relevant to the proposed work;
- [any other supporting documents specified in the work programme for this call.]

4.2. Third parties involved in the project (including use of third party resources)

Please complete, for each participant, the following table (or simply state "No third parties involved", if applicable):

Does the participant plan to subcontract certain tasks (please note that core tasks of the project should not be sub-contracted)	Y/N
If yes, please describe and justify the tasks to be subcontracted	
Does the participant envisage that part of its work is performed by linked third parties[7]	Y/N
If yes, please describe the third party, the link of the participant to the third party, and describe and justify the foreseen tasks to be performed by the third party	
Does the participant envisage the use of contributions in kind provided by third parties (Articles 11 and 12 of the General Model Grant Agreement)	Y/N
If yes, please describe the third party and their contributions	

[7] A third party that is an affiliated entity or has a legal link to a participant implying collaboration not limited to the action. (Article 14 of the Model Grant Agreement).

Section 5: Ethics and Security

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

5.1 Ethics[8]

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

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

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

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

5.2 Security[9]

Please indicate if your project will involve:

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

[8] See Article 34 of the General Model Grant Agreement.

[9] Article 37.1 of Model Grant Agreement. *Before disclosing results of activities raising security issues to a third party (including affiliated entities), a beneficiary must inform the coordinator — which must request written approval from the Commission/Agency;* Article 37. *Activities related to 'classified deliverables' must comply with the 'security requirements' until they are declassified; Action tasks related to classified deliverables may not be subcontracted without prior explicit written approval from the Commission/Agency.; The beneficiaries must inform the coordinator — which must immediately inform the Commission/Agency — of any changes in the security context and — if necessary —request for Annex 1 to be amended (see Article 55)*