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Era-net Transport Flagship 2015 Call

Sustainable Logistics and Supply Chains

Guide for Applicants

Proposals submission deadline: 2nd October 2015, 17:00 CET

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Contents

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1. The Flagship Call 2015 *"Sustainable Logistics and Supply Chains"* in brief

Era-Net Transport has established a platform of transport research funding program owners and managers in Europe for coordinating transport related research funding activities in a transnational manner. National/regional transport research funds can be utilized more effectively by grouping and mobilising European research, innovation and technology competences in a way that promotes new and innovative solutions. Research should make use of complementary expertise and skills, create transnational innovation chains, and increase the competitiveness of Europe's transport industry by exploiting synergies in utilization of national transport research funds through coordination.

This call responds to the need for transnationally coordinated Research, Innovation and Technology (RTI) towards an overarching view on logistics and supply chain planning and control, which involves all stakeholders (manufacturing, retail, logistic service providers, infrastructure and governments).

Research in this field will now be addressed in a coordinated way in the *"Sustainable Logistics and Supply Chains"* call. 11 national/regional funding organisations in 10 countries are providing **national/regional (n/r) research funds totalling about 10 Mio. €** for coordinated funding of RTI projects.

Commonly, this call will be published on the ENTIII website (www.transport-era.net). In addition the national/regional programmes will publish the call according to their specific provisions.

Research project proposals are welcome in the open call for **proposals between April 1st and October 2nd 2015 at 17:00h (Brussels local time)**.

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2. Introduction

2.1 Background and Context

The European landscape in the area of logistics and supply chain innovation is fragmented. R&D programming in logistics is now spread across programs of different themes (e.g. in Transport, Information and Communication Technologies, Food (KBBE) or Security themes). Out of these programs more than 60 R&D projects addressing relevant aspects of logistics and supply chain innovation have been funded between 2008 and 2011. Although quite a number of projects are carried out both at national and European levels, they are focussing too often at isolated aspects. As a result of this fragmentation, there has been a lack of paramount vision on the work done and important overarching logistics topics are not treated at all.

Furthermore the lack of integration is illustrated by the fact that European Technology Platforms are traditionally focussing on one specific transport mode (road / rail / water / air). Not only does this preclude serious studies towards inter- and co-modality, but also an overarching view on how to influence transport sustainability on a supply chain level is lacking. Projects on logistics are mainly carried out within the SST program and in the Green Car Initiative and are also primarily technology oriented (e.g. engine technology) while projects focussing on organisational innovations are almost absent.

A recent development is the Joint Programming Initiative Urban Europe, which has a broad scope but generally concentrates on infrastructural design and social climate; its attention for transport and mobility is fairly limited. A High Level Group on Logistics, consisting primarily of industrial leaders and some top-scientists, has been installed as an advisory body to the DG of Transport. So far however, no clear integrated logistics agenda has been proposed. The current proposal aims to fill this gap.

Era-net Transport (ENT) has been evolving to a strong network of national transport research funding program owners and managers in Europe. By facilitating cooperation among publicly financed transport research programmes it is ENT's goal to improve the effectiveness and efficiency of transport research in Europe. Based on the learnings of previous ENT stages Era-net Transport III (ENTIII) is geared to establish large-scale cooperation actions (flagship initiatives) in order to bring research cooperation to the next level. Joint transnational collaborations in the frame of this Flagship Call are indented to connect research related to the formation of a freight network of Pan-European dimensions that will answer the needs of shippers, logistics service providers and carriers, in the light of the objectives of an internationally competitive and an environmentally sustainable transport sector.

2.2 Challenges, Scope and Objectives of the Call

Logistics is a key enabling sector for the European economy. Not only does it contribute close to 14% to the GDP of Europe but its impact on the quality of the EU manufacturing and service sectors is substantial as well. It is estimated that logistics accounts for 10 to 15% of the final cost of finished goods, thereby determining the competitiveness of Europe vis-à-vis other world regions. A 10% to 30% improvement in efficiency in the EU logistics sector would potentially equal a € 100-300 billion cost relief for the European industry. Seven countries out of the global top-10 logistic performers in 2014 are from the EU, which means a potential EU

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leadership in this field. So efficiency in logistics is a key element for the further growth of industrial activity and trade on a global scale.

Logistics and supply chains develop towards a cheaper and more efficient, but at the same time a more customized and service-oriented sector, supported by a full integration and synchronization of manufacturing, inventory and transport chains, i.e. supply chain integration. The ultimate challenge will be to make European industry resilient by a truly "people, planet, profit" oriented logistics and supply chain sector, i.e. a sector that is economically, environmental and socially sustainable contributing to both industry competitiveness and the EU policy targets.

Unfortunately, today Logistics and Supply Chains constitute a very fragmented sector in which a broad variety of companies and associations intervene. According to industry, **there is no clear and univocal voice in the area of research and innovation on logistics, whilst there would actually be a strong need for this**. Moreover, there is a clear vision that **research and innovation could leverage more added value to the industry**.

The current innovation roadmaps for logistics at EU level are too narrow in scope. The roadmaps are driven mostly by transport, information & communication technologies or security agendas, still they lack sufficient shippers' and logistics service providers' contribution and thereby fail to address factors that are key in arriving at truly sustainable logistics. In particular, decisions on scale and scope as well as the nature of the goods flow are often made at a supply chain level, by shippers and/or manufacturers (being the owners of the products transported), not by the transport sector.

European transport and research policies increasingly recognize the importance of logistics for the economy and the sustainability of transport. This is evidenced by the High Level Group on Logistics advising the Vice-president and Commissioner for Transport. The composition of the High Level Group (in which an important number of shippers are represented) stresses the importance of a full supply chain view that goes beyond (multi-modal) transport. The recognition of the European Technology Platform for Logistics ALICE once more underlines the importance of an overarching view to really arrive at sustainable logistics and supply chain systems.

An overarching advanced logistics and supply chain concept may significantly contribute to a sustainable intelligent transport system, by making it more efficient, cost-effective, safe, reliable and competitive, in such a way that other sectors and the European economy as a whole will benefit from this. In particular, the role of all stakeholders along the supply chain and their impact on logistics sustainability should be clearly articulated (Figure 1).

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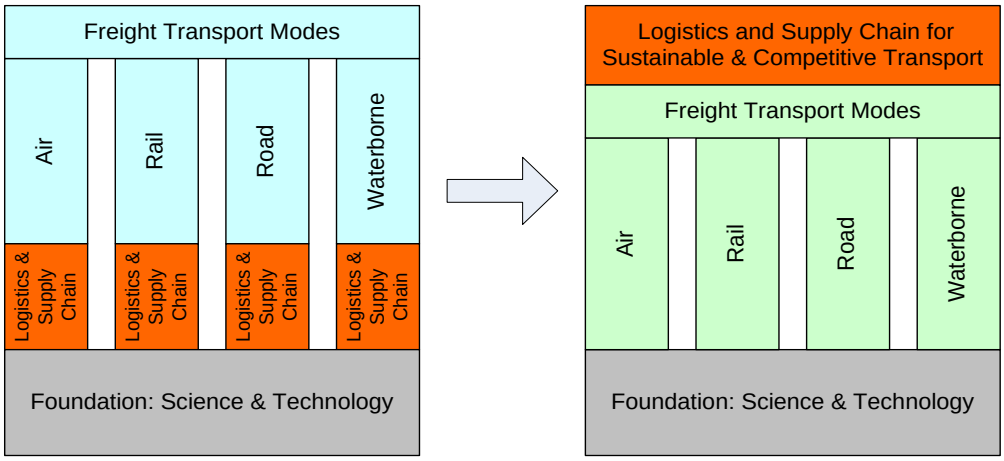
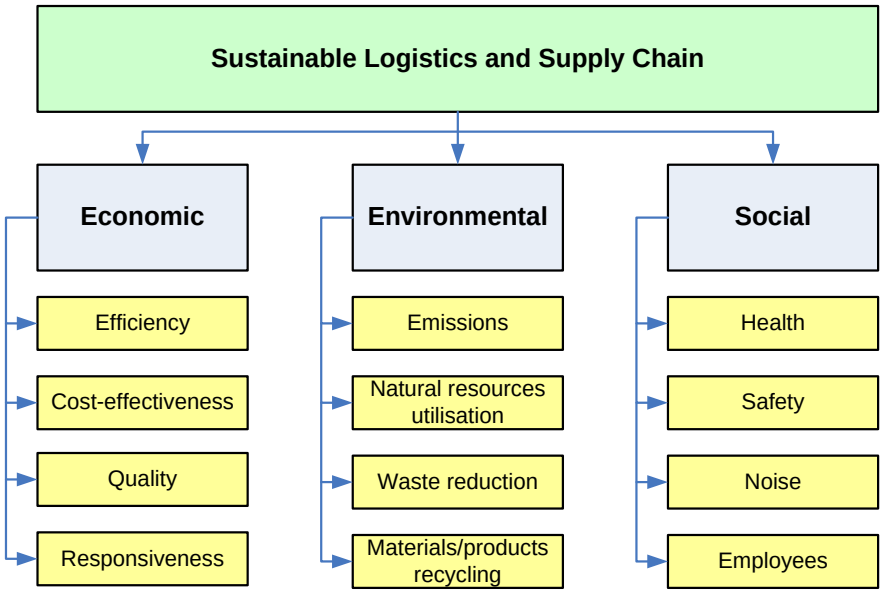
Figure 1 – Integrated view on the role of logistics and supply chains on sustainable and competitive transport



The objective is furthermore to contribute to a reconciliation of economic prosperity and ecological sustainability in which companies flourish and Europe becomes synonymous for a highly attractive business and social climate. Further objectives are the increase of accessibility of economically important regions and reduction of congestion and CO2 emissions.

The logistics and supply chain industry may play a key role in helping to achieve these goals, since a sound logistics system is basic to many aspects of both industry and private life. Given this key position of the logistics and supply chain industries, they should lead the paradigm change advocated above. The overall objectives of sustainable logistics and supply chain management can be displayed along economic, environmental and social dimensions (Figure 2). Those dimensions interrelate and have therefore to be considered as a whole.

Figure 2 – Multiple dimensions of sustainable logistics and supply chains



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Innovation in logistics and related supply chain concepts has to be fostered in order to enable the growth of the European economy through competitive and sustainable logistics. For that reason, a strategic vision and multidimensional approach for the logistics sector with respect to innovation, research, development, deployment and implementation is needed.

The models and concepts outlined above all form important stepping stones towards more sustainable logistics and supply chains. In the long run the **concept of a "Physical Internet"** as proposed by Montreuil et al. (2012) may serve to integrate all these elements in a radical new logistics framework. The Physical Internet is defined as a logistics system in which modular packages are automatically routed from source to destination through a network of hubs and spokes. Major elements of such a network more or less exist for parcels, pallets, containers and “swap bodies”. Carriers of these types of loading units do optimize between various alternative routes in their networks, e.g. by bypassing hubs, either in advance through offering more time definite services, or real time during the actual transport. A full-fledged physical internet may be built upon all these elements with the holistic integration of existing elements and concepts as the main challenge.[1] Constituting aspects of the concept will be addressed in dedicated call domains.

The call aims at proposals that deliver operational strategies, applicable results and/or deployable products/services for improving effectiveness, efficiency and sustainability of logistics in Europe. Because of the challenge based approach and in order to assess market-ready applications, this call deploys in line with HORIZON 2020 (H2020) Technology Readiness Levels (TRL) (figure 4). Although this call concerns policy demand driven research and the TRL scale is originally meant for technology driven research, TRL gives a good impression of the levels of research results the call is aiming for.

Within the maximum duration of 24 months projects should at least reach TRL 3 and preferably a higher TRL up to TRL 6 in the frame of this call. Applicants shall clearly clarify in their proposal how their proposed research activities can take the aspired solution from its starting point to the envisaged TRL. Moreover all projects shall substantiate in their project result reports a realistic perspective for progressing towards TRL 6 or higher after.

[1] Further information on the physical internet concept can be found at http://physicalinternetinitiative.org/Towards%20a%20Physical%20Internet%20-%20Document%20-%20Benoit%20Montreuil.pdf.

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Figure 3 – NASA Technology Readiness Levels (TRLs)

Explanation of TRL levels, based on NASA in line with H2020

Level 1 - Basic Research: basic principles are observed and reported
Lowest level of technology readiness. Scientific research begins to be translated into applied research and development. Examples might include fundamental investigations and paper studies.

Level 2 – Applied Research: technology concept and/or application formulated
Once basic principles are observed, practical applications can be formulated. Examples are limited to analytic studies and experimentation.

Level 3 – Critical function, proof of concept established
Active research and development is initiated. Laboratory studies aim to validate analytical predictions of separate components of the technology. Examples include components that are not yet integrated or representative.

Level 4 – Laboratory testing of prototype component or process
Design, development and lab testing of technological components are performed. Here, basic technological components are integrated to establish that they will work together. This is a relatively "low fidelity" prototype in comparison with the eventual system.

Level 5 – Laboratory testing of integrated system
The basic technological components are integrated together with realistic supporting elements to be tested in a simulated environment. This is a "high fidelity" prototype compared to the eventual system.

Level 6 – Prototype system verified
The prototype, which is well beyond that of level 5, is tested in a relevant environment. The system or process demonstration is carried out in an operational environment.

Level 7 – Integrated pilot system demonstrated
Prototype is near, or at, planned operational system level. The final design is virtually complete. The goal of this stage is to remove engineering and manufacturing risk.

Level 8 – System incorporated in commercial design
Technology has been proven to work in its final form under the expected conditions. In most of the cases, this level represents the end of true system development.

Level 9 – System ready for full scale deployment
Here, the technology in its final form is ready for commercial deployment.

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3. Eligible Call Domains and Research Questions

This call is open for project proposals in five call domains that have been identified and developed to deal with the challenges and objectives in the previous chapter:

1. Cross-border freight transport corridors
2. Hub development
3. Urban / last mile logistics
4. Organisational innovations and new business models in logistics
5. Information infrastructure and services for logistics

All five domains address R&D projects that mainly deal with transport logistics. Clearly, the first three domains are oriented towards key elements of logistics networks whereas the latter two concern overarching domains that have important implications for each sector in a supply chain network. The next figure illustrates the integration of these domains in an overall concept along a long-term vision with potential milestones to be achieved in subsequent decennia towards an eventually full-fledged Physical Internet based logistics system.

Figure 4 – Call domain and long-term vision concept

Exemplary research topics and questions have been outlined for each domain. **Project proposals for this call are requested to respond to one or more call domains** (especially 1-3 and 4-5 are considered to be of added value) **by addressing one or more of**

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the listed exemplary research topics and questions. Research topics and questions not listed can be addressed if they are

- related to the call domains,
- within the scope of the call,
- relevant for the described challenges and objectives described in chapter 2 (integrated and multidimensional approach in sustainable logistics and supply chain management;
- and facilitative for the long-term vision concept towards an physical internet (figure 3).

Please consider, that applicants must indicate one major call domain for their proposal, even if more than one call domains are addressed (refer to chapter 7 “Focusing your planned work”)

3.1 Cross-border freight transport corridors

The present TEN-T corridors are the backbone of the European core network, supporting long distance freight transport. Although the TEN-T policy has a relatively strong focus on passenger transport, freight transport is important as it has a significant share on the network (up to 45%) and provides direct support to EU internal trade as well as imports and exports.

To arrive at a seamless operation of freight transport across these corridors, several measures are necessary. Corridor performance indicators and targets should be made explicit for freight transport in order to allow a coordinated expansion of assets and services, both for transport and for transhipment at key intermodal hubs. In addition, network management (traffic management, maintenance, incident management) across borders needs development, preferably for a multimodal perspective to support exchanges between road and rail or waterways on longer distances. The main intercontinental gateways at the borders of Europe (both sea and landside crossings) require separate attention as they have a relatively high share of international flows and directly impact the EU’s competitiveness with their customs function and large scale, high quality hinterland corridors.

Finally, international supply chains depend not only on high quality transport but also on information services, regional and international transport solutions require a close alignment, in order to provide door-to-door support to long distance flows. Last but not least (but this holds for logistics in general) a proper assessment of the environmental and social dimension (emission, noise, stench, congestion, health, employment) and inclusion of these elements in an overall strategy evaluation is required.

Exemplary research topics and questions:

- Optimizing the coordination between passenger and goods transport in cross-border transport (separation/integration/prioritization)
- Theory of constraints for bottleneck detection in corridors. New methods for identification and analysis of bottlenecks and coping strategies
- New forms of cross-border management and supply for empty rail waggons / containers. Development of special container equipment to make multimodal cross-border transport more attractive
- Service differentiation within co-modal freight corridors

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- Continental freight flows in supply chains. Impact of chain control across modes, specific containers, concepts for efficient hinterland transportation in maritime supply chains, international multi-network incident management, etc.
- Synchromodality: understanding the demand for synchromodal transport, optimize the alignment of supply chains and synchromodal / multimodal services, transport chain design and operation

3.2 Hub Development

Currently, in contrast to sea ports, inland multimodal hubs are not an explicit building block in the TEN-T design guidelines. The supporting function of the main inland hubs to the TEN-T network should be recognised and linked to corridor developments. For optimal seamless operation of international corridors, hub technologies, operating procedures, legal framework conditions, information systems should be harmonized.

Referring to the long term vision of the “Physical Internet”, governance models allowing distributed control of network activities around hubs need to be developed. Besides the primary function of hubs for transport, other value added services will arise, such as customs, information provision, cross-chain control, warehousing, processing, manufacturing or other commercial activities. Different models for hub development can already be observed throughout Europe, including e.g. extended gates for synchromodal networks in port hinterlands, tri-modal inland hubs positioned centrally in the TEN-T network, or peripheral clusters that combine a regional distribution function with TEN-T access.

Eventually, if transhipment hubs develop into regional clusters, the synergetic activities will together act as an anchor for the hub in the local economy, improving productivity and hence EU competitiveness. A deeper understanding of the clustering processes, the various possible business models, the most successful development strategies and the eventual magnitude of European value added through research will enable the development of sound investment plans and embedment of hubs into governmental support facilities such as the CEF (Connecting Europe Facility).

Exemplary research topics and questions:

- Sustainable freight hubs and their integration into the TENT-T (Design, operation and new business models)
- Gateway concepts for intermodal hubs
- Innovative solutions to connect inland shipping networks with rail/road
- Innovative solutions to improve transhipment points, e.g. development of added value services to make intermodal hubs more attractive, new roles for hubs in the supply chain

3.3 Urban / last mile logistics

The last mile (and the first mile in return flows) typically represents the most expensive part in any supply chain, due to the absence of large scaling opportunities. The rapid advance of e-commerce for instance has increased the number of transport miles considerably, often with lightly loaded vehicles.

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Better coordination and consolidation and the implementation of e.g. city distribution centres (cross docking facilities) but also the installation of parcel delivery and pick-up boxes may improve efficiency considerably but require intensive collaboration and joint investments of all stakeholders involved, not only in physical facilities but also in uniform ICT infrastructures.

The common use of transport means for both person and freight transport may help in achieving both a higher efficiency and ecological sustainability. In addition, business models that clearly demonstrate the advantages of facility and information sharing and that provide sound mechanisms for equitable profit sharing are badly needed.

Also for this domain it is essential to properly assess external costs (emission, noise, stench, congestion) and to include them in an overall strategy evaluation.

Exemplary research topics and questions:

- Urbanization and e-commerce: Innovative solutions (services and business models) for last/first mile logistics in urban and suburban areas.
- Branch-specific bundling and distribution concepts for urban logistics. Development of organisational structures for neutral operating urban logistic operator. Development of coordinated and consolidated procurement and ordering strategies
- Innovative solutions for home-delivery-services and customer behaviour
- Using/extending/developing existing inner-city infrastructures for use in urban logistic concepts. Logistic concepts for dedicated urban areas, shopping streets, historic centres etc. Concepts and solutions for effective and collaborative use of loading/unloading zones, new forms of UDC (urban distribution centre)-Organisation, better understanding of the impact of land use on urban logistics activities
- Alternatively fuelled and active mobility based transport for urban logistics. Concepts for the implementation of low emission vehicles
- Better adapting vehicles and load units for urban distribution
- Designing and operating urban freight delivery infrastructures

3.4 Organisational innovations and new business models in logistics

Apart from innovations in hardware and software, new organisational paradigms are badly needed. First of all, the need for collaboration and coordination and the need to more than even accommodate both forward and return flows require a thorough redesign of logistics processes. In addition, any control procedure should properly recognize the distributed decision structure, due to the involvement of many independent stakeholders. In order to achieve real breakthroughs in terms of efficiency and effectiveness, robustness, environmental sustainability and flexibility, a high level of standardization is badly needed, not only of transport infrastructure but also of handling units (containers) and last but not least of administrative procedures. This in turn requires the design of appropriate business models that balance investments against possible profits and above all, that equitably share both costs and benefits. More general, the design and analysis of conditions needed to implement new organizational concepts (including the study of behavioural aspects) is required.

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Interesting in this respect is the currently observed phenomenon of reshoring production back from the Far East to Europe, due to various reasons. These include the sharp wage raises in the People's Republic of China, the increase of the costs of physical distribution, the fact that labour constitutes a still decreasing portion of many product FAV's (Factory Accounting Value), the introduction of new technologies such as additive manufacturing and 3D printing which is expected to make customized production a reality for a broader group of products and more general the tendency towards "glocal" production (global when needed, local when possible). Finally the growing environmental awareness of the public is a driver for that.

Security management within the wider supply chain and risk management functions is relatively underdeveloped in European industry. Risk management itself is still in its infancy compared to other functions of business, and where it does exist, it tends to focus on commercial and operational risks rather than crime prevention. Goods in transit are seen as a continual potential risk, with security measures representing little or no obstacle to criminals: whether it is from those who take advantage of vehicles parking in unsecure areas, or bogus freight transport companies gaining the confidence of a transport user. Detecting criminals is difficult: background checks are flawed, for example, leaving companies vulnerable to letting criminals into their operations and supply chains.

The more sophisticated a supply chain becomes and the more technology the management processes rely upon, the more opportunities there are for criminals to exploit. Cybercrime appears to be one of the new threats which businesses must develop security strategies to defend against, but few have actually started. Official governmental programs have helped to introduce into some supply chains more security measures, controls etc., but they have been criticized for being unwieldy, sometimes impractical to all circumstances, and often little more than a paper exercise in reality.

The lack of harmonisation between the different certification programs themselves has also been an area of concern among users, suggesting it reduces the wider implementation of security measures throughout European business. They have also been critical of their own internal management structures, suggesting that in order to be most effective, and implement security throughout the business. Support is needed from the company's management board. Such support should embrace security into the culture of the company, and permeate among all employees. However, if security is still relatively new within the risk management discipline and if many do not see the costs and vulnerabilities of their business to crime, it will be all the more difficult to engage senior management at boardroom level. Supply chain managers in addition often are wary about what information they might share and with whom.

Exemplary research topics and questions:

- Business analytics and models of close loop supply chain sustainability (circular economy)
- Options to integrate dual sourcing and recycling for the procurement of critical and conflict materials
- Impact of product design and packaging on supply chain sustainability
- Innovations for the European Information Platform architecture (nomenclature, pan-European security etc.)

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- Business models for horizontal and vertical cooperation
- Efficient reverse logistics networks
- Collaborative chain control strategies for advanced supply chain risk management and resilience
- New Business Models (Increase asset utilization by sharing, Collaboration Tools, Revenue/Gain sharing for private-private; public-private; public-public etc.)
- Drivers and enablers for collaboration and coordination (Favouring the transition to the new collaborative environment, understanding the impact of collaborative logistics)

3.5 Information infrastructure and services for logistics

In a few years, better and faster systems will enable new forms of collaboration. Dynamic and complex interrelations between value chain actors will characterize the logistics market just as transparency, traceability and rapid response systems. Flexible and adaptive ICT systems in the cloud will dominate the market and logistics service providers will be able to respond quickly to changing market requirements owing the booming e-commerce for example. These and other developments will be possible due to an ever increasing rise of data as well as smart ICT systems: Sensors, RF tags, floating car data, CAN-busses and digital tachographs in trailers and distribution centres, and the massive numbers of new handheld devices (smart phones and tablet PCs) are only a few sources for the “Big data” that is to be expected. Smart systems like cloud computing enable to process the data. Technologies like the Internet of Things or Intelligent Cargo will open up new and enriching possibilities.

All this requires assistance from IT companies in order to deal with Big data, to analyse the information and to extract the right answer that helps making better strategic and real-time decisions so that it leads to a “real differentiating” competitive advantage. Besides the transport logistics sector provides a lot of data which also offer a lot of potential for improving Intelligent Transport Systems and Services, from which the transport logistics sector can benefit in return (e.g. real time traffic information systems, weather information systems, etc.).

Projects related to this domain should focus on the opportunities and limitations these new technologies and tools have to manage the supply chains both internally and externally. Big data, business intelligence, cloud computing, e-commerce, internet of things, intelligent cargo, collaboration with partners, connectivity and security of information and intelligent transport systems in freight applications are keywords. At the forefront of most users’ minds is commercial competition with reluctance to share information that could be commercially exploited by competitors.

Exemplary research topics and questions:

- Pan-European ICT-architectures for synchromodal transport information
- “Big data” vs confidentiality of the forwarded information
- Rationalisation of workflow/processes by early acquisition of information and information transfer

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- How to create trusted source of data for national logistic needs as basis of consumer's security for internet-shopping and electronic data interchange (EDI)?
- Deviation management: Optimizing information processes in case of incidents, redirections and delays at critical interfaces in order to minimize deviation
- Determining and analysing existing and potential data sources on personal mobility and shopping behaviour (especially in the context of e-commerce) to predict and optimize deliveries
- New solutions to ensure the quality of the supply chain. E.g. by tracking & tracing, identification of the goods transported or transport means used and by equipment condition monitoring (e.g. concerning temperature, humidity, etc.) in the context of " smart cargo/intelligent/connected goods
- Information systems supporting cost and environmental impact reduction
- Harmonized and accessible data for competitive and sustainable supply chains
- Freight data collection for decision support in urban mobility planning
- ICT Innovation (Intelligent objects, smart devices, IoT, ITS, Big data, Data analytics, Dematerialization, Intelligent nodes, Logistics Business Process as a Service (BPaaS), Autonomous logistics operations)
- Data Governance (Security, privacy and trust, Data ownership, Information & data sharing policies, Supportive legal and regulatory practices)

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4. Rules for participation

4.1 Legal/administrative rules and eligibility issues

Definitions in the following chapters constitute the common call framework with transnational eligibility criteria, which is common for all participants and funding organisations. Proposals will be checked by the ENT call secretariat against these common definitions made. The call however is also based on individual legal and administration rules of the call related funding programmes, activities and organisations in the participating regions/countries, with eligibility criteria going beyond the definitions of the common call framework in this document. There is a bilateral responsibility between applicants and their responsible n/r funding organisation. Thus proposals will be checked individually against national/regional criteria by the respective funding organisation.

Applicants shall therefore always refer to their respective national/regional rules, conditions and definitions. Main definitions have been outlined in “N/R specific definitions and Contact Points” (Annex 1 to this document) with reference to further national/regional information documents, websites and contacts. More comprehensive information about related n/r funding programs and calls can be accessed via the ENT-Platform (http://www.ent-platform.eu/).

Both transnational and national/regional eligibility criteria must be positively met. Proposals failing to comply with either of the criteria cannot be further admitted to the evaluation procedure and will therefore be rejected.

By submitting a proposal applicants agree that their proposal will be forwarded to the responsible n/r funding organisations and the evaluators for an eligibility check and evaluation. Basic project information (summary, costs, requested funding, partners etc.) will also be transmitted to other participating funding organisations of this call. N/r funding organisations and evaluators will maintain strict confidentiality with respect to the proposals and the whole evaluation process.

4.2 Proposal preparation, information and documents requested

Proposals must be prepared and submitted electronically by using the Electronic Proposal Submission System (EPSS). Only those proposals submitted in the EPSS system before the closure of the call will be considered for evaluation.

The applicants should be aware that national/regional rules apply and therefore consult closely the specific national/regional conditions. For some countries / regions additional documents or data may have to be sent to the indicated national/regional contact points.

A link to corresponding national/regional information (web pages) will be provided within the EPSS system and in the Annex 1 of this document. Please find more detailed information in chapter 7 (“How to apply?”) and in the ”EPSS manual”.

The EPSS will provide a proposal template, i.e. webforms and fields to be filled in. Only fully complete proposals can be submitted; EPSS will automatically indicate if requested information is incomplete. A full explanation of the proposal template and information

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requested can be found in the EPSS manual. In EPSS a .pdf document of your proposal is generated for download.

Proposals must be submitted in English language. Other languages will not be accepted and considered as ineligible. Applicants are further more requested to provide a **draft Consortium Agreement (draft CA)** together with their proposal submission, to officially commit their cooperation and agree on the internal organisation and management, Intellectual Property Rights (IPRs) issues and on the settlement of internal disputes in the consortium.[2]

After the proposal evaluation, i. e. in the negotiation/contracting phase an update/revision of the applicants' and proposal information has to be made according to given obligations from the project evaluation. Same applies to the draft CA contents. Each project recommended for funding is required to produce a signed consortium agreement by the authorized representatives of the project participating organisations prior to the start of the project.

Applicants preparing their proposals are strongly advised to get in touch with their responsible national/regional funding organisation at an early stage to clarify individual questions and to request information on the specific national/regional regulations and requirements. A pre-proposal check service may be offered – or even required – by some of the participation funding organisations (see Annex 1 for details and contacts).

A call related Information and Brokerage event will be organised in order to provide general call information and options for networking with potential partners in other countries/regions. Web-based tools for networking of researchers (partnering) will be provided (refer to the call related section of the ENTIII website).

4.3 Eligible project consortia, costs and duration

Each transnational project proposal must be submitted by a project consortium consisting of **at least three** independent eligible applicants from at least three different call participating countries/regions. Cooperation between two (or more) regions of one single country is not considered to be transnational. The added value resulting from transnational cooperation must be addressed in the proposal.

Consortia need to be balanced between countries/regions both in terms of number of partners and distribution of budget. There is no limit to the total number of partners who may be involved in each project and there are no fixed minimum or maximum limits for the project costs. However, proposals for medium-sized projects on average comprise applicants from approximately 3-5 countries/regions totalling between approximately 500k€ and 1M€ of eligible projects costs.

No single country or region may represent **more than 70% of the eligible costs** in the project. If the project is related to more than one region in one country the sum of eligible costs related to all these regions must obey the 70% rule.

Project consortia may consist of partners from universities, research organisations, institutes, stakeholder associations, city councils, SMEs and industry. Consortia have to include stakeholders or implementation partners and may consist of partners active across several positions within the research and development system (i.e. innovation, applied research,

[2] There is no formal requirement on how to draft a CA for a proposal in this Flagship Call. However we recommend to refer to http://www.desca-2020.eu/latest-version-of-desca/desca-2020-version-1 for further information and materials.

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strategic research,) and across disciplines. Consortia are required to prove the interest and active involvement of project partners in the consortium, who will (either within the project, or as a consequence of the project) implement the solutions developed:

- Including stakeholders or implementation partners in the consortium who are eligible for funding; or
- Having stakeholders or implementation partners not eligible for funding, who express their interest in the proposal in a Letter of Intent. The letter shall contain an explicit declaration about the financial or in-kind contribution agreed upon. In-kind contributions are contributions in man-hours of personnel or material contributions such as the use of specific software and access to facilities. In-kind contributions shall be capitalised in the Letter of Intent and constitute an integral component of the project plan. The amounts stated in the letter must match the amounts stated in the budget for the proposal.

The project duration (official start to end of the project) should be appropriate to the subject of the research, but **not exceeding 24 months** in total.

4.4 Eligible type of research

Proposals for collaborative transnational research, innovation and technology projects, with elements of basic and/or applied research, are welcome. *"Sustainable Logistics and Supply Chains"* is open for eligible project types in the participating n/r funding programs/organisations related to one or more of the following research categories of the Framework for State aid for research and development and innovation (2014/C 198/01)[3]: *Fundamental research, Applied research (Industrial research, Experimental development).*

Strategic research contents in the context of financing and procurement (including so-called "policy studies") can also be addressed, if these rules are part of the respective n/r programs and if stated so in the respective n/r conditions and definitions (consult your National/Regional Contact Point for further infos).

Eligible type of research and funding rates can vary depending on the respective funding organisation. The eligible type of research and funding rates will be determined by the rules of the participating national/regional funding programmes and agencies. Specific information on the funding rates in the respective countries/regions will be provided by the appointed n/r contact points (Annex 1).

Participants of one project can address different research types if appropriate in the project, but one research type per project will be contracted by the respective regional/national funding organisation only. Applicants are asked to clearly separate and indicate projects parts according to their main research type nature in their proposal (e.g. WP1 partner x: Industrial research, WP2&3 partners y, z: experimental development). As far as different research types in one project are concerned, it is recommended to utilize funding options from different n/r funding organisations in a synergetic way.

[3] http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=OJ:C:2014:198:TOC

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4.5 Participating countries/regions and available budgets (Overview)

Following table will provide an overview on n/r specific call budgets of the participating funding organisations:

Figure 5 – Funders of the call and funding budgets committed

Country/Region	**Funding budget**
Austria	1,5 M€
Flanders	1 M€
The Netherlands	1 M€
Sweden	1 M€
Poland	0,4 M€
Belarus	0,4 M€
Turkey	1 M€
Norway	1 M€
Catalonia	0,5 M€
Basque Country	1 M€
Nord Pas de Calais	1 M€
Total	**9,8 M€**

Figure 5 reflects the availability on the committed minimum funding budgets of the call participating funding organisations. Budgets might be increased on the base of evolving n/r opportunities in some cases.

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5. Evaluation procedure and contract building

5.1 Eligibility check

Proposals submitted in EPSS will be checked against transnational criteria of the call by the Call Secretariat and will subsequently be forwarded to the respective national/regional funding organisations by the Call Secretariat and formally checked for their n/r eligibility.

If either the project proposal coordinator (consortium coordinator) or the proposal does not meet the eligibility requirements, the proposal shall be excluded from the further evaluation procedure. In case a single applicant of a project consortium is not eligible, the proposal may still be eligible without this partner, provided that the other eligibility criteria are met by the proposal. In both cases, this will be communicated to the consortium coordinator.

5.2 International experts panel of evaluators

For the qualitative assessment eligible proposals will be forwarded to an international panel of experts. The proposals will be evaluated in an open competition.

The Panel will consist of recognised experts in relevant fields who can assess the potential of the submitted projects. The Panel will be composed by the participating funding organisations.

5.3 Evaluation criteria

The international Expert Panel will assess proposals according to the call evaluation criteria and provide a qualitative assessment of the proposals by scoring and giving an accompanying written report.

Figure 6 – Evaluation Criteria

S/T QUALITY "Scientific and/or technological excellence - Quality of the transnational project"	**IMPLEMENTATION** "Quality and efficiency of the implementation and the management"	**IMPACT** "Potential impact"
• Sound concept, and quality of objectives in line with the call Challenges, Objectives and Scope • Progress beyond the state-of-the-art • Quality and effectiveness of the S/T methodology and associated work plan	• Appropriateness of the management structure and procedures • Quality and relevant experience of the individual applicants • Quality of the consortium as a whole (including complementarity, balance) • Appropriateness of the allocation and justification of the resources to be committed (budget, staff, equipment …)	• Contribution, at the transnational [and/or European] level, to the expected impacts listed in the call text under the relevant domain(s) • Appropriateness of measures for the dissemination and/or exploitation of trans-national projects results and management of intellectual property

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Evaluation scores will be awarded globally for each of the three criteria, but not at the level of sub-criteria. The sub-criteria are issues which the expert should consider in the assessment of that criterion.

The relevance of a proposal will be considered in relation to the definitions made in chapter 2 and chapter 3 of this document. These aspects will be integrated in the application of the criterion "S/T quality", and the first sub-criterion under "Impact" respectively.

If a proposal is partially relevant because it only marginally addresses the call objectives, or if only part of the proposal addresses the call objectives, this condition will be reflected in the scoring of the first criterion. Proposals that are clearly not relevant to the call ("out of scope") will be rejected on eligibility grounds.

Each criterion shall be scored on a scale of 0 to 5. Half marks can be given.

The scores indicate the following with respect to the criterion under examination:

0 - The proposal fails to address the criterion under examination or cannot be judged due to missing or incomplete information.

1 - Poor. The criterion is addressed in an inadequate manner, or there are serious inherent weaknesses.

2 - Fair. While the proposal broadly addresses the criterion, there are significant weaknesses.

3 - Good. The proposal addresses the criterion well, although improvements would be necessary.

4 - Very good. The proposal addresses the criterion very well, although certain improvements are still possible.

5 - Excellent. The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor.

No weightings will be applied. The threshold for individual criteria shall be 3. The overall threshold, applying to the sum of the three individual scores, shall be 10.

Applicants shall have no possibility for rebuttal to the evaluation.

5.4 Project ranking and selection

Based on the scores and reports provided by the International Experts Panel all proposals will be ranked (Ranking List). National/regional funding organisations will select proposals for funding according to this ranking list and by taking into account the available national/regional budgets (Selection List). Funding decisions are final and cannot be appealed against.

Project coordinators will be informed about the selection/rejection decision by the Call Secretariat through EPSS.

5.5 Negotiation, contracting and project start

Each national/regional funding organisation will negotiate their own contracts with the respective research project partners, in compliance with its national / regional rules. In case of recommendations/obligations by the evaluators and/or funding organisations the partners will be prompted to change their work plan accordingly, provide additional documents, etc.

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As soon as all grant agreements / funding contracts with the partners in a consortium have been established, the project will be officially launched. The starting and ending date may depend on the budget allocation (rules) of the specific funding organisation but should be harmonised for all applicants in the same consortium.

6. Call timeline

Call Timeline	
Official Call-Opening	**1st April 2015**
Information and Brokerage Event	13th May 2015, Brussels
Feed-Back from funding organisations on n/r pre-proposal (to be organised bilaterally between project proposal participants and their respective n/r funding organisation) **(*)**	**1st July 2015**
Proposal submission deadline – Closure of the call (*)	**2th October 2015 at 17:00h (Brussels local time)**
Eligibility check and proposal evaluation	
Project Selection and Funding Agreement	**February 2016**
Announcement of results to proposal coordinator (via EPSS)	**End of February 2016**
Negotiation and contracting	Consequently
Grant Agreements and Project start	Consequently, no later than end of June 2016
Implementation of R&D Projects	July 2016 – July 2018 (or shorter)

(*) NOTE: Check also for national/regional regulations and deadlines (Annex 1)!

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7. How to apply? Turning your idea into an effective proposal

7.1 General explanations

The project proposal coordinator

For a given project proposal, the project proposal coordinator (consortium coordinator) acts as the single point of contact between the consortium and the Call Secretariat. The proposal coordinator is generally responsible for the overall planning of the proposal and for building up the transnational consortium that will do the work.

Focusing your planned work

One major call domain most relevant for the proposal must be identified and indicated in EPSS (please refer also to chapter 3). Proposals failing to do so will be regarded as ineligible.

Who can participate?

See chapter 0 (Rules for participation)

Presenting your proposal

Proposals must be prepared and submitted electronically by using the Electronic Proposal Submission System (EPSS). Only those proposals that have been formally submitted in the EPSS system before the closure of the call will be considered for evaluation.

The applicants should be aware that national/regional rules do apply and therefore consult carefully the specific national/regional conditions. **For some countries/regions additional documents or data may be requested by national/regional programmes and have to be submitted to the enlisted n/r specifications (see Annex 1).** A link to webpages on corresponding national/regional information and requirements will be provided within the EPSS System.

A proposal for the *"Sustainable Logistics and Supply Chains"* call consists of the following parts:

- Project

- Organisations and key personnel (of applicants)

- Workpackages

- Deliverables and milestones

- Consideration of ethics issues and gender aspects

- Risk management

- Consortium Agreement (PDF upload)

Each applicant has to enter all relevant information concerning its organisation directly into the Electronic Proposal Submission System (EPSS).

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7.2 About the EPSS

You can access the EPSS via the *"Sustainable Logistics and Supply Chains"* call webpage at http://www.transport-era.net or directly at https://epss-SustainableLogisticsandSupplyChains.eu

Full instructions for registration and submission can be found there in the "EPSS Manual". The EPSS will be available at the call opening on the 1st of April 2015.

As a **proposal coordinator** you have to:

- register as interested in submitting a proposal to the call
- enter your data as the applicant No. 1 of the consortium
- confirm you are informed about national / regional rules and requirements
- set up (and modify) your consortium by adding/removing applicants
- provide information on dependencies to other applicants in the proposal
- invite partners to enter their data
- upload the Draft Consortium Agreement
- enter all project data requested (see EPSS manual)
- submit the complete proposal

All **partners** have to:

- enter and view their data as applicants No. 2,3,…of the consortium
- access the web link to further national/regional information and requirements and related acknowledgement
- provide information on dependencies to other applicants in the proposal

7.3 Submitting the proposal

Only the proposal coordinator is authorised to submit the proposal.

Completing the web forms in the EPSS does not yet mean that your proposal is submitted. Once there is a consolidated version of the proposal, you must press the button "SUBMIT NOW" available in section "SUBMISSION".

Please note that "SUBMIT NOW" starts the final steps for submission; it does not by itself cause the proposal to be submitted.

The EPSS then performs an automatic validation of the proposal. A list of any problems ("validation error message") such as missing data may then appear on the screen. Submission is blocked until these problems are corrected. Once corrected, the coordinator must then repeat the above steps to complete submission.

If successfully submitted, the coordinator receives a message that indicates that the proposal has been received. This automatic message is not the official acknowledgement of receipt.

The coordinator may continue to modify the proposal and submit revised versions overwriting the previous one right up until the deadline. The sequence above must be repeated each time.

The coordinator can download a PDF of the proposal from the EPSS.

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7.4 About the deadline

Proposals must be submitted before the deadline specified in the Call Timeline in chapter 6. It is up to your responsibility to ensure the timely submission of your proposal.

The EPSS will be automatically closed for this call at the call deadline. After this moment, access to the EPSS for proposal submission under this call will become impossible.

Do not wait until the very last moment for submitting your proposal!

Call deadlines are absolutely firm and will be strictly enforced.

Please note that you may submit successive drafts of your proposal through the EPSS. Each successive submission overwrites the previous version. It is a good idea to submit a draft well before the deadline.

> *Leaving your first submission attempt to the last few minutes of the call will give you no time to overcome even the smallest technical difficulties, proposal verification problems or communications delays which may arise. Such events shall never be accepted as extenuating circumstances; your proposal will be regarded as not having been submitted.*
>
> *Submission is deemed to occur at the moment when the proposal coordinator completes the submission sequence described above. If you wait until too near to the closure of the call to complete your proposal, there is a serious risk that you will not be able to submit in time.*
>
> *The submission of a proposal requires some knowledge of the EPSS system, a detailed knowledge of the contents of the proposal and the authority to make last-minute decisions on behalf of the consortium if problems arise. In your function as proposal coordinator, you are strongly advised not to delegate the job of submitting your proposal!*

In the unlikely event of a failure of the EPSS service due to breakdown of the *"Sustainable Logistics and Supply Chains"* server during the last 24 hours of this call, the deadline may be extended by a further 24 hours. This would 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 Era-Net Transport webpage as well as on the webpage of the EPSS.

Such a failure is a very 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 *"Sustainable Logistics and Supply Chains"* server, since this is rarely the case. Contact the EPSS helpdesk if in doubt (see chapter 10. for contact information).

Please note that the *"Sustainable Logistics and Supply Chains"* Call Secretariat will not extend deadlines for system failures not imputable to its own responsibility. Under all circumstances, you should aim to submit your proposal well before the deadline to have time to solve any problems arising.

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7.5 Correcting or revising your proposal

Errors discovered in proposals submitted to the EPSS can be rectified by simply submitting corrections. As long as the call has not yet closed, the new submission will overwrite the old one.

After call deadline, however, no supplements, corrections or re-submissions will be possible anymore. The last eligible version of your proposal received before the deadline is the one which will be evaluated.

7.6 Ancillary material

Ancillary materials for your proposal can be uploaded (e.g. Draft Consortium Agreement, Letter of Intent).

Additional information or documents may be requested by national/regional programmes. They shall be submitted according to specific instructions from national/regional programs to the respective contact points (refer to Annex 1). Do not upload these materials to the EPSS as they won't be forwarded to the responsible n/r funding organisations!

7.7 Withdrawing a proposal

An option to withdraw (delete) your proposal prior to the call deadline will be available.

Should you wish to withdraw a proposal after the deadline, please contact the *"Sustainable Logistics and Supply Chains"* Call Secretariat (see chapter 10 for contact information).

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8. Check list

Of importance for the consortium in general, but in particular for the proposal coordinator:

8.1 Hints for preparing your proposal

Does your planned work fit with the call for proposals? Check that your proposed work does indeed address the domains of this call.

Is your proposal complete? All fields marked with an asterisk (*) are mandatory for the submission of the proposal. The EPSS will perform an automatic validation of the proposal. A list of any problems ("validation error message") such as missing data will appear on the screen and submission is blocked until these problems are corrected.

After submitting the proposal, the proposal coordinator can download a factsheet (PDF) of the project data entered, to check completeness according to the project and the applicants.

Does your proposed work raise ethics issues? Clearly indicate any potential ethical, safety or regulatory aspects of the proposed research and the way these will be dealt with prior and during the implementation of the proposed project. A preliminary ethics control will take place during the scientific evaluation and, if needed, an ethics screening and/or review will take place for those proposals raising ethics issues. Proposals may be rejected on ethical grounds if such issues are not dealt with satisfactorily.

Does your proposal follow the instructions? Proposal data should be precise and concise and must follow the instructions and explanation of data-field sections described in the EPSS manual. Omitting requested information will almost certainly lead to lower scores and possible rejection.

Have you maximised your chances? There will be strong competition. Therefore, edit your proposal tightly, strengthen or eliminate weak points. Arrange for your draft to be pre-evaluated by experienced colleagues; use their advice to improve it before submission and make use of the pre-proposal check service (if provided by your responsible national/regional funding organisation).

Do you need further advice and support? You are strongly advised to inform your National Contact Point of your intention to submit a proposal (see contact details in chapter 8).

Have national/regional rules been considered by the applicants? All applicants in your proposal should be aware that national/regional rules do apply and therefore consult closely the specific national funding conditions. The EPSS will indicate and link to such information.

8.2 Final checks before submission

- Do you have the **agreement of all the members** of the consortium to submit this proposal on their behalf (and can you confirm this in a Draft Consortium Agreement)?
- Have you made yourself **familiar with the EPSS** at an early stage?
- Have you allowed time **to submit a first version of your proposal well in advance of the deadline** (at least several days before), and then to continue to improve it with regular re-submissions?

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- Have you **printed out your proposal** (factsheet with project data entered) to check that it really contains the data you intend to submit and that it is complete, printable and readable? After the call deadline it will not be possible to change any project data.
- Have you **completed the submission process** for your latest version?

8.3 After submission

- It is recommended to check that all your material has been successfully uploaded **and** submitted.
- You can revise and re-submit your proposal until the call deadline.

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9. What happens subsequently

9.1 General information about next steps

Every proposal coordinator will be informed by the Call Secretariat whether or not his/her proposal is retained for funding (including possible obligations and recommendations) or rejected. The proposal coordinator shall inform his consortium partners respectively.

The selected proposal can be subject to obligations or recommendations as to change work plans, to involve additional partner, etc. The Draft Consortium Agreement (CO) has to be revised/finalised and signed by authorized representative of the partners in the consortia.

The Grant Agreements shall be concluded individually between each consortium partner and his respective n/r funding organisation.

If all content related and administrative preparations have been concluded the project can officially start (project start envisaged for June 2016 at the latest; refer to chapter **Fehler! Verweisquelle konnte nicht gefunden werden.** "Call Timeline").

9.2 Reporting and Monitoring

Every project under the *"Sustainable Logistics and Supply Chains"* initiative shall – in addition to national/regional reporting obligations –provide the following common reports in English language to the Call Secretariat for monitoring purposes:

Annual reports

- Summary of the status quo in the project. (This might cover: progress made; encountered challenges; solutions found to the challenges;-first results and deliverables; highlights; outlook next year)
- A presentation about the summary.
- Deliverables

Final report

- Summary of the final results of the project. (This might cover: encountered challenges;-solutions found to the challenges; the results and deliverables; highlights; lessons learned; remaining research questions)
- A presentation about the summary.
- An article on: the project results; highlights; lessons learned; remaining research questions.

The submission of reports and deliverables will be facilitated by the EPSS. Precise instructions for the reporting will be provided to the projects that have successfully passed negotiations. The project coordinator shall be responsible for collecting data and information from the consortium partners for preparing the reports.

Additional project monitoring tasks can be initiated and should be supported from the funded projects.

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9.3 Dissemination, presentation at events and medial presence

Appropriate project budget has to be dedicated for dissemination activities. Funded projects might be requested to participate in workshops or dissemination activities organized by ENT III.

A reference to the "ENT III Flagship Call 2015 Sustainable Logistics and Supply Chains" is requested in all related publications, exhibitions, lectures and press information concerning results of the projects.

For a well elaborated communication strategy applicants are advised to take into consideration the published guidelines on "Communicating EU Research & Innovation" by the Commission (http://bookshop.europa.eu/en/communicating-eu-research-innovation-pbKI3212366/) wherever appropriate. In addition, it is also strongly recommended to submit the project(s) to the Transport Research and Innovation Portal (TRIP) (http://www.transport-research.info/web/forms/submit_project.cfm) in order to make general project information broadly accessible.

10. Further information and help

The "Sustainable Logistics and Supply Chains" call web-page contains links to other sources that you may find useful in preparing and submitting your proposal. Direct links are also given where applicable.

Call information

Sustainable Logistics and Supply Chains call web-page on http://www.transport-era.net/

EPSS helpdesk

A user manual for EPSS is available from early April 2015 for download on the EPSS webpage https://epss-SustainableLogisticsandSupplyChains.eu

For further questions regarding the EPSS please refer to sustainablelogistics@rws.nl.

We will respond to your questions within 48 hours.

Sustainable Logistics and Supply Chains Call Secretariat

- Ms Mandy Willems, RWS, T: +31 88 602 2665, mandy.willems@rws.nl
- Ms Wendy van Nostrum, RWS, T: + 31 88 602 2556, wendy.van.nostrum@rws.nl

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11. Glossary

The following explanations are provided for clarity and easy-reference. They have no legal authority.

A

Acknowledgement of receipt

Applicants are informed by email shortly after the deadline that a proposal has been successfully submitted (but not that it is necessarily eligible).

Applicant

The term used generally in this guide for a person or entity applying to a call for proposals.

C

Call for proposals (or "call")

An announcement, usually in official journals, inviting proposals for research activities in a certain theme.

Consensus meeting

Last stage in the proposal evaluation process, when funding organisations come together for joint decision making on the selection/rejection of proposals.

Consortium

This call requires proposals from a number of applicants, who agree to work together in a consortium.

(Project proposal) Coordinator

The coordinator of a project proposal leads and represents the applicants of a consortium. He or she acts as the point of contact with the *"Sustainable Logistics and Supply Chains"* Call Secretariat. The proposal coordinator is by definition the 1st applicant of the consortium.

D

Deadline

For a particular call, the moment after which proposals can no longer be submitted and when the Electronic Proposal Submission System closes for that call. Deadlines are strictly enforced.

Deliverable

A deliverable represents a verifiable output of the project. Normally, each work package will produce one or more deliverables during its lifetime. Deliverables are often written reports but can also take another form, for example the completion of a prototype, a website etc.

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E

Electronic Proposal Submission System (EPSS)

A web-based service which must be used to submit proposals to the *"Sustainable Logistics and Supply Chains"* Call Secretariat.

Electronic Proposal Submission System (EPSS) Helpdesk

A telephone / email service to assist applicants who have difficulty in submitting their proposal via the

Electronic Proposal Submission System.

Ethics issues table

Research activities supported by *"Sustainable Logistics and Supply Chains"* should respect fundamental ethical principles. The main issues which might arise in a project are summarised in tabular form in a checklist included in the proposal

Evaluation criteria

The criteria against which eligible proposals are assessed by independent experts. The evaluation criteria relate to S/T quality, impact and implementation. Relevance is also considered.

Evaluation Summary Report (ESR)

The assessment of a particular proposal following the evaluation by independent experts is provided in an Evaluation Summary Report. It normally contains both comments and scores for each criterion.

Era-net Transport III (ENTIII)

Coordination Support Action in FP7 to coordinate national/regional transport relevant funding programmes and the responsible actors (http://transport-era.net/). This call is a result of the ENTIII project and predecessor activities.

Experimental Development

'Experimental development' means the acquiring, combining, shaping and using of existing scientific, technological, business and other relevant knowledge and skills for the purpose of producing plans and arrangements or designs for new, altered or improved products, processes or services. These may also include, for example, other activities aiming at the conceptual definition, planning and documentation of new products, processes and services. The activities may comprise producing drafts, drawings, plans and other documentation, provided that they are not intended for commercial use.

F

Fundamental research

'Fundamental research' as part of applied research means experimental or theoretical work undertaken primarily to acquire new knowledge of the underlying foundations of phenomena and observable facts, without any direct practical application or use in view.

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G

Grant Agreement (GA)

The GA is a legal instrument to provide funding to successful proposals and is being established between n/r research organisations and their respective n/r funding organisation.

I

Industrial research

'Industrial research' as part of applied research means the planned research or critical investigation aimed at the acquisition of new knowledge and skills for developing new products, processes or services or for bringing about a significant improvement in existing products, processes or services. It comprises the creation of components of complex systems, which is necessary for the industrial research, notably for generic technology validation, to the exclusion of prototypes as covered by 'experimental development'

Information and Brokerage events

Open event to explain the characteristics of the call and to enable potential applicants to meet and discuss proposal ideas and collaborations.

M

Milestones

Control points where decisions are needed with regard to the next stage of the project.

N

National Contact Points (NCP)

Official representatives nominated by the national /regional funding organisations to provide tailored information and advice in the national language(s).

n/r (national/regional)

Acronym for "national/regional"

Negotiation

The process of establishing a grant agreement between the national/regional funding organisations and an applicant whose proposal has been favourably evaluated, and when funds are available.

Non-profit

A legal entity is qualified as "*non-profit*" when considered as such by national or international law.

O

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Organisational innovation

'Organisational innovation' means the implementation of a new organisational method in the undertaking's business practices, workplace organisation or external relations. Changes in business practices, workplace organisation or external relations that are based on organisational methods already in use in the undertaking, changes in management strategy, mergers and acquisitions, ceasing to use a process, simple capital replacement or extension, changes resulting purely from changes in factor prices, customisation, regular seasonal and other cyclical changes, trading of new or significantly improved products are not considered innovations.

P

Proposal

A description of the planned research activities, information on who will carry them out, how much they will cost, and how much funding is requested

Public body

Public body means any legal entity established as such by national law, and international organisations.

R

RTI

Research, Technology and Innovation.

S

SME

'SMEs' are micro, small and medium-sized enterprises. SMEs are defined in Recommendation 2003/361/EC of 6 May 2003.

S/T Quality

"Scientific and/or technological excellence" of the transnational project

T

Thresholds

For a proposal to be considered for funding, the evaluation scores for individual criteria must exceed certain thresholds. There is also an overall threshold for the sum of the scores.

W

Work Package

A work package (with dedicated tasks) is a major sub-division of the proposed project, with a verifiable end-point – usually each work package will produce one or more deliverables during its lifetime.

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12. Annexes

12.1 Annex 1: N/R specific definitions and Contact Points (in alphabetical order)

Complementary to the common call framework definition for the ENTIII Flagship 2015 Call

National/Regional Specifications for *Austria*

Funding organisation	FFG - Austrian Research Promotion Agency
Program/Call	Mobilität der Zukunft / related national call for the ENT III Flagship Call 2015
National/regional contact person	Name: Nicole Prokoszovits E-mail: nicole.prikoszovits@ffg.at Phone: 0043 (0)5 7755 5033 Website: http://www.ffg.at/ent3_call2015
Funding commitment (€)	1,5Mio.€ total Austrian budget
Anticipated number of projects with Austrian partners for the call	3-6 projects
Maximum funding per awarded project	
Eligibility requirements (beneficiary institution, cost)	• ***Eligible project type for Austrian applicants****: applied research (industrial research or experimental development)* • *If in your project are **more than one Austrian partners**, you have to nominate one **leading partner**. The leading partner submits the national cost-sheets via FFG eCall.*
Pre-proposal check (mandatory or recommended)	*We recommend to make an appointment at the FFG for a **counselling interview** and a voluntary pre-proposal check (**not later than 17.6.2015**)*
Submission of the proposal at the national level	***Austrian partners** register to the **FFG eCall** (https://ecall.ffg.at/Cockpit/Cockpit.aspx?target=113860&) and upload the national cost-sheets* ***National eCall closes on 2nd October 2015 at 12:00 !***
Submission of financial and progress reports at the national level	***National financial and progress** reporting:* • *interim report and* • *final report.*

This project has received funding from the European Union's Seventh Framework Programme for research, technological development and demonstration under grant agreement no. 321525.

Information and documents available at	• http://www.ffg.at/ent3_call2015 • *National cost-sheets (.xls)* • *Guidelines of the Instrument: Transnational Cooperative R&D Projects* • *Guidelines for eligible costs (Kostenleitfaden, Version 2.0)* • *"Projektskizze"-form for pre-proposal check*

National/Regional Specifications for *Basque Country*

Funding organisation	Basque Government (*Innobasque and EVE supports the Basque Government programme in ENT III*)
Program/Call	GAITEK - projects for the development of new products
National/regional contact person	Name: Cristina Ugarte E-mail: cugarte@innobasque.com Phone: +34 94 420 94 88 Website: web.innobasque.com Name: Juan Manuel Fernández E-mail: jmfernandez@eve.es Phone: +34 94 403 56 0074
Funding commitment (€)	1 Mio.€ maximum Basque budget
Anticipated number of projects with Basque partners for the call	2-4 projects
Maximum funding per awarded project	*The company cannot receive funding over a certain amount (250,000 Euro per beneficiary and per year).*
Eligibility requirements (beneficiary institution, cost)	• ***Eligible project type**: Applied research (industrial research or experimental development) aimed at the development of new products* • ***Beneficiaries**: Small, medium and large companies, associations and foundations of companies (research centres, universities and public entities can be subcontracted by the beneficiaries)* • ***Duration**:1-2 years and has to be revised annually* • ***Minimum budget:** 100.000€ per project and year and 50.000 € per Basque company and year*
Pre-proposal check (mandatory or recommended)	*We recommend making an appointment at Innobasque/EVE for a **counselling interview.***

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Submission of the proposal at the national level	***Basque partners** have to submit the proposal (in Spanish or Basque) to the regional programme in 2016 call.*
Submission of financial and progress reports at the national level	***Yearly financial** and **progress** reports*
Information and documents available at	https://www.spri.es/idi/idi

OTHER definitions	• ***Max funding:** 25% of eligible costs*
	• ***Own contribution:** The company must guarantee an own contribution (min. 25%) to the costs of the project.*
	• ***General conditions:** The company must:*
	  ○ *be registered in the Basque Country.*
	  ○ *have a stable financial situation.*
	  ○ *be up-to-date of its tax duties.*
	• *The project must add benefit to the regional economy.*
	• *The project shall not have a previous grant from the programme owner to receive further funding.*

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National/Regional Specifications for ***Belarus***

Funding organisation	NASB/ National Academy of Sciences of Belarus
Program/Call	Mechanics, Technical Diagnostics and Metallurgy/ related national call for the ENT III Flagship Call 2015
National/regional contact person	Name: Natallia Yankevich E-mail: yns@presidiun.bas-net.by Phone: +375 17 2841883 Website: www.nasb.gov.by
Funding commitment (€)	equivalent to 0,3-0,4 M€
Anticipated number of projects with Belarus partners for the call	1-2 projects
Maximum funding per awarded project	
Eligibility requirements (beneficiary institution, cost)	• ***Eligible project type for Belarus applicants****: applied research (industrial research or experimental development)*
Pre-proposal check (mandatory or recommended)	Before 01.06.2015
Submission of the proposal at the national level	According to Belarussian legislation
Submission of financial and progress reports at the national level	***National financial and progress*** *reporting:* • *interim report and* • *final report.*
Information and documents available at	https://www.nasb.gov
OTHER definitions	

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National/Regional Specifications for ***Catalonia***

Funding organisation	ACCIÓ - *Agency for the support of businesses in Catalonia*
Program/Call	"Nuclis d'innovació tecnològica – Nuclis Transnacionals ERANET" (Call 2015)
National/regional contact person	Name: Lluis M. Tortras E-mail: ltortras@gencat.cat Phone: +34 935 676 948 Website: http://accio.gencat.cat/
Funding commitment (€)	0,5Mio.€ total Catalan budget
Anticipated number of projects with Catalan partners for the call	
Maximum funding per awarded project	• Eligible expenses for the Catalan part of the "Sustainable Logistics and Supply Chains" project from 150.000 euros with a maximum aid of 200.000 euros (2 years- long projects). • Large companies: Maximum of 50% of the costs of research activities and 25% of the costs of development activities can be funded. • Medium companies: Maximum of 60% of the costs of research activities and 35% of the costs of development activities can be funded. • Small companies: Maximum of 70% of the costs of research activities and 45% of the costs of development activities can be funded.
Eligibility requirements (beneficiary institution, cost)	• Small, medium and large companies can be funded. Private research centres, universities and other public research entities registered in Catalonia can participate as subcontractors. • Technically and financially feasible R&D projects in the "Sustainable Logistics and Supply Chains" domain with an impact increase in the R&D company activities are eligible.
Pre-proposal check (mandatory or recommended)	We recommend to make an appointment at ACCIÓ for a **counselling interview** and a voluntary pre-proposal check (**not later than 1.6.2015**)
Submission of the proposal at the national level	http://accio.gencat.cat/cat/ajuts-financament/

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Submission of financial and progress reports at the national level	Link to reporting and follow up: http://accio.gencat.cat/cat/ajuts-financament/justificacio-ajuts/
Information and documents available at	http://accio.gencat.cat/cat/ajuts-financament/
OTHER definitions	

National/Regional Specifications for Flanders (Belgium)

Funding organisation	IWT – Agency for Innovation by Science and Technology Website: www.iwt.be
Program/Call	O&O-bedrijfssteun ENT III Flagship Call 2015
National/regional contact person	Name: Frederik De Vusser E-mail: fdv@iwt.be
Funding commitment (€)	1 Mio.€ total Belgian budget
Anticipated number of projects with Flemish partners for the call	3-6 projects
Maximum funding per awarded project	
Eligibility requirements (beneficiary institution, cost)	• Eligible project type for Flemish applicants: applied research (O&O programme, kmo programme (innovatieproject), sprint programme). • If your project involves more than one Flemish partner, a main partner has to be nominated. The main partner collects, integrates and submits the additional documents required by IWT. If the partners however prefer to keep the required valorization information confidential amongst each other, it can be submitted separately.
Pre-proposal check (mandatory or recommended)	It is recommended to contact the national contact person and submit a 5 page pre-proposal (with a focus on the Flemish contribution) no later than 15.06.2015 to IWT (fdv@iwt.be and jg@iwt.be) which will be followed by a counselling interview.
Submission of the proposal at the national level	Together with the full proposal (submitted using the EPSS system), additional documents have to be submitted by the Flemish partner(s) to IWT. Send these additional documents to bedrijfssteun@iwt.be (same deadline as full proposal).

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Submission of financial and progress reports at the national level	National financial and progress reporting: interim reports every 6 months and final report & financial report
Information and documents available at	Cost sheet: Template kostenmodel bedrijfssteun (.xls) ERA annex voor kmo/sprint/O&O (.doc) These documents can be downloaded from http://www.iwt.be/subsidies/extrasteun/era-net-transport
OTHER definitions	

National Specifications for the Netherlands

Funding organisation	NWO – Netherlands Organisation for Scientific Research
Program/Call	Topsector Logistics. Knowledge and Innovation Top Consortium (TKI) Logistics
National contact person	Marcus van Leeuwen m.vanleeuwen@nwo.nl +31 (0)70 344 09 31 Albert Veenstra veenstra@dinalog.nl +31 (0)76 531 53 00 Website: http://www.tki-logistiek.nl; www.nwo.nl/topsectorlogistiek
Funding commitment (€)	1 Mio.€ total Dutch budget
Anticipated number of projects with Dutch partners for the call	4 projects
Maximum funding per awarded project	
Eligibility requirements (beneficiary institution,	• Eligibility of a partner as a beneficiary institution: Senior researchers who are employed at Dutch universities, NWO- and KNAW-institutes, TO2 institutes and Universities of Applied Sciences may

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cost)	apply for funding and participate in a consortium as main applicant or as co-applicant. Private partners may take part as co-applicants
	• The maximum funding for Dutch applicants in an awarded project is €250.000 per application
	  ○ Co-financing: The partners in the consortium must make a specific contribution to the research. The co-financing requirement is at least 50% of the project budget; this can be in the form of in-kind or cash contributions from partners. Every euro funding should be matched by at least a one euro co-financing contribution from partners in the consortium. The co-financing should be confirmed in a letter by the private and/or public partners who are acting as co-financier, to be enclosed in the application. E.g. for a project budget of €500,000, a maximum NWO grant of €250,000 can be applied for. The remaining amount should be co-financed. The co-financing is added to the grant to be applied for at NWO and should be included in the budget. The cash contribution will be collected from the partners after grant award by NWO, and will be paid out simultaneously with the NWO grant in instalments
	  ○ Eligible personnel costs (maximum project duration 2 years):
	  - one or more Postdoc(s): maximum eligible costs per full time Postdoc in accordance with VSNU-contract 1-7-2014
	  - one or more Replacement Grant(s): the salary costs of the replacement (postdoc) can be covered by the replacement grant. This is based on the fixed salary rate of a postdoc researcher, with a maximum of €100,000 per replacement
	  - non-academic staff at a university: The contribution of non-academic staff must be explicitly substantiated, both in terms of level and of duration. Funding for administrative support tasks cannot be requested under this grant
	  - personnel at a research or knowledge institution: the estimate of staffing costs may be based on the gross salary according to the actual salary scale and increments under the applicable collective labour agreement, as well as all necessary salary raises. Funding for administrative support tasks cannot be requested under this grant
	  ○ Eligible material costs: Non-scientific personnel (up to a maximum of 3 years), traveling costs, network and consortium costs, costs for knowledge transfer. Overheads are not eligible for funding. The material (equipment) costs for a Dutch applicant in the project may not exceed 20% of the full budget required by this applicant

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Pre-proposal check (mandatory or recommended)	We recommend to contact the national contact persons as indicated in the Guide for Applicants
Submission of the proposal at the national level	Dutch applicants also need to submit the proposal into the NWO electronic grant application system Iris/Isaac. Research institutions submitting an application as main applicant can opt for entering NWO TKI Logistics as the organisation name in IRIS (with the acronym 'NWO-TKI' and The Hague as city). Their own organisation data can subsequently be entered in the contact details section. It is advisable to start this well before the deadline. It is obligatory to register and fill in the fact sheet and upload the national cost sheets. If there are more Dutch applicants in your project, you have to nominate one leading partner. The leading partner submits the national cost sheet. Please see the NWO funding page for more information: http://www.nwo.nl/en/funding/our-funding-instruments/magw/ENTlogistics
Submission of financial and progress reports at the national level	Submission of financial and scientific reports at national level is required in accordance with the rules of the TKI Logistics
Information and documents available at	http://www.tki-logistiek.nl; www.nwo.nl/topsectorlogistiek
OTHER definitions	The research to be conducted in the ENT Logistics programme is aimed at developing knowledge that can be used in policy and in practice. An important precondition for the projects is active participation of businesses, both in terms of funding and content. The programme generates knowledge that contributes to the objectives of the Logistics Top Sector as set out in the Top Sector agenda Roadmap to the Top ('Partituur naar de Top'), and to realising the roadmaps. An additional criterion for Dutch applicants to the Flagship citeria is that the proposal needs to show how it will contribute to achieving the Key Performance Indicators targets of the Topsector Logistics

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National/Regional Specifications for Norway

Funding organisation	The Research Council of Norway (Norges forskningsråd)
Program/Call	Transport 2025: " ERA-net Sustainable Logistics and Supply Chains call 2015"
National/regional contact person	Name: Øystein Strandli E-mail: ost@rcn.no and Phone: 0047 90051144 Name: Lise Johansen E-mail: lj@rcn.no Phone: 0047 95482607 Website: www.forskningsradet.no/transport
Funding commitment (€)	1,0 Mio.€ total Norwegian budget
Anticipated number of projects with Norwegian partners for the call	2-4 projects
Maximum funding per awarded project	
Eligibility requirements (beneficiary institution, cost)	Eligible project types for Norwegian applicants is one of the following as defined by The Research Council of Norway: • Innovation Project for the Industrial Sector (IN) • Innovation Project for the Public Sector (IO) • Knowledge-building Project for Industry (KP) • Researcher Project (FP) The level of Norwegian financing, type of eligible contract partner etc. is specified and described in the requirements for the actual project type, see hyperlinks above. If the project includes more than one Norwegian partner, a leading partner who is responsible for contract and the contact with The Research Council of Norway has to be nominated.
Pre-proposal check (recommended)	We recommend to make an appointment with one of the contact persons at The Research Council of Norway for a counselling interview and a voluntary pre-proposal check not later than 01.06.2015

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Submission of the proposal at the national level	Successful Norwegian applicants will be asked to submit an application to The Research Council of Norway after the ERA-net evaluation is completed. This will be a simplified application regarding national financing and details will be specified in the request. The "simplified application" is no project assessment but a necessary formal procedure for Norwegian administrative and financial purposes only.
Submission of financial and progress reports at the national level	Norwegian financial and progress reporting will be according to the specifications given by the Norwegian project type:
Information and documents available at	http://www.forskningsradet.no http://www.forskningsradet.no/transport
OTHER definitions	

National/Regional Specifications for Nord-Pas de Calais Regional Council (France)

Funding organisation	Région Nord-Pas de Calais
Program/Call	Eranet Transport Appel à projets regional pour l'ENT III Flagship Call 2015
National/regional contact person	Name: Sandrine Charlet E-mail: sandrine.charlet@nordpasdecalais.fr Phone: 0033 (0)3 28 82 76 50 Name: Frédéric Singer E-mail: frederic.singer@nordpasdecalais Phone: 0033 (0)3 28 82 75 27
Funding commitment (€)	1M€ total resources (Research and economic development) including ERDF
Anticipated number of projects with Nord-Pas de Calais Regional partners for the call	1-3 projects

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Maximum funding per awarded project	According to the interest and the relevance of the project

Eligibility requirements (beneficiary institution, cost)	• Eligible project type for Nord-Pas de Calais applicants:
	  ○ Fundamental research
	  ○ Applied research (industrial research, experimental development)
	• If in your project are more than one regional partners, you have to nominate one leading partner. The leading partner cannot be a large company.
	• General Funding rules are based upon Commission regulation (EU) No 651/2014 of 17 June 2014 declaring certain categories of aid compatible with the internal market in application of Articles 107 and 108 of the Treaty in particular its RDI section (section 4)[5]
	• SME's and large companies will be funded through repayable advance

Pre-proposal check (mandatory or recommended)	We recommend to make an appointment at the RNPDC for a counselling interview and a voluntary pre-proposal check (not later than 1st june.2015). contact : frederic.singer@nordpasdecalais.fr AND drestic.recherche@nordpasdecalais.fr
Submission of the proposal at the national level	frederic.singer@nordpasdecalais.fr drestic.recherche@nordpasdecalais.fr Together with the full proposal (submitted using the EPSS system), additional documents might be submitted by the Nord-Pas-de-Calais partner(s) to RNPDC. Send these additional documents (no later than November 4th 2015) to (see above e-mail addresses).

[5] http://eur-lex.europa.eu/legal-content/EN/TXT/?qid=1404295693570&uri=CELEX:32014R0651

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National/Regional Specifications for *Poland*

Funding organisation	NCBR – National Centre for Research and Development
Program/Call	Applied Research Program (Program Badań Stosowanych)
National/regional contact person	Name: Jakub Murawski E-mail: jakub.murawski@ncbr.gov.pl Phone: +48 22 39 07 171 Website: http://www.ncbr.gov.pl/programy-miedzynarodowe/era-net/ent-iii/
Funding commitment (€)	400 000 €
Anticipated number of projects with polish partners for the call	2-3 projects
Maximum funding per awarded project	250 000 €
Eligibility requirements (beneficiary institution, cost)	**Eligible project type:** industrial research and experimental development **Type of organisations eligible for funding:** research entities, SMEs, industry
Pre-proposal check (mandatory or recommended)	Pre-proposal check is recommended. Pre-proposals should be submitted till 31.05.2015.
Submission of the proposal at the national level	Polish participants will have to submit national proposal after publication of final ranking list.
Submission of financial and progress reports at the national level	**National financial and progress** reporting: • requests of payment, • yearly reports, • final report, • ex-post report.
Information and documents available at	http://www.ncbr.gov.pl/programy-miedzynarodowe/era-net/ent-iii/: • Template of national proposal, • Guidelines for eligible costs.
OTHER definitions	

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National/Regional Specifications for *SWEDEN*

Funding organisation	*VINNOVA*
Program/Call	National call *for* Era-net Transport
National/regional contact person	*Name: Rein Jüriado* *E-mail: rein.juriado@vinnova.se* *Phone: 0046 (0)8 473 3039* *http://www.vinnova.se*
Funding commitment (€)	*1 million € total Swedish budget*
Anticipated number of projects with Swedish partners for the call	*3-5 projects*
Maximum funding per awarded project	
Eligibility requirements (beneficiary institution, cost)	• ***Eligible project type for Swedish applicants**: applied research (industrial research or experimental development)* • *If your project includes **more than one Swedish partner**, you have to nominate one **leading partner** who is responsible for contact with VINNOVA.*
Pre-proposal check (mandatory or recommended)	*We recommend to make an appointment with the national contact person for a **counselling interview** and a voluntary pre-proposal check (**not later than 17.5.2015**)*
Submission of the proposal at the national level	*Successful Swedish applicants need to submit their proposals through **VINNOVAs Intressentportal** using a link obtained from the national contact person*
Submission of financial and progress reports at the national level	***National financial and progress** reporting:* • *interim report and* • *final report.*
Information and documents available at	http://www.vinnova.se/sv/Ansoka-och-rapportera/Utlysningar/ • *General terms and conditions for grants 2015 (Allmänna villkor för bidrag 2015)* • *Guidelines for eligible costs (Guide till VINNOVAs villkor om stödberättigande kostnder)* • *State aid to research, development and innovation (Statligt stöd till forskning och utveckling, samt innovation)*
OTHER definitions	

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National/Regional Specifications for TURKEY

Funding organisation	TUBITAK, The Scientific and Technological Research Council of Turkey
Program/Call	Program "Sustainable Logistics and Supply Chains" related national call for the ENT III Flagship Call 2015
National/regional contact person	Name: M.Mustafa BULDUM E-mail: mustafa.buldum@tubitak.gov.tr Phone: +90 312 4685300 Ext: 4574
Funding commitment (€)	1 Mio.€ total Turkey budget
Anticipated number of projects with Turkish partners for the call	2-5 projects
Maximum funding per awarded project	
Eligibility requirements (beneficiary institution, cost)	• ***Eligible project type for Turkish applicants****: applied research (industrial research or experimental development)* • *If in your project are **more than one Turkish partners**, you have to nominate one **leading partner**.* • *Turkish partners should register to the **TUBITAK PRODIS** electronic submission and evaluation tool (https://eteydeb.tubitak.gov.tr/anasayfa.htm) and upload the national application form which includes national cost sheets*
Pre-proposal check	
Submission of the proposal at the national level	***Turkish partners** register to the **TUBITAK PRODIS** (https://eteydeb.tubitak.gov.tr/anasayfa.htm)*
Submission of financial and progress reports at the national level	***National financial and progress reporting:*** • *semi-annual progress reports* • *final report.*
Information and documents available at	http://www.tubitak.gov.tr/tr/duyuru/ *National cost-sheets (included in progress report)* • *1509 - TÜBİTAK International Industrial R&D Projects Grant Programme* • *Guidelines for financial issues*
OTHER definitions	

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