Joint proposal

Transnational cooperative R&D project

Zhejiang - Austria research Initiative

1st Call 2019

Version 1.3; 25.02.2019

|  |  |
| --- | --- |
| **RTI Initiative:** | 1st Call Zhejiang/China - Austria Research Initiative |
| **Full title of the project:** | *(max.* *120 digits)* |
| **Short title of the project:** | *(max. 20 digits)* |
| **Applicant:** | *Name of the leading organisation applying for funding in Austria at FFG:**Name of the leading organisation applying for funding in China at ZSTD:*  |
| **Project partner(s):** | *Name(s) of research organisation, company and/or institution applying for funding in Austria:**Name(s) of research organisation, company or institution applying for funding in China, ZSTD:* |
| **Call topic covered:** | [ ]  Call topic 1 – ICT for smart cities[ ]  Call topic 2 – Green and sustainable buildings[ ]  Call topic 3 – Smart energy systems[ ]  Call topic 4 – Smart mobility |
| **Research category:** | [ ]  Industrial Research (IR)[ ]  Experimental Development (ED) |
| **Project duration:** | From [MM.YY]  | Duration in months (min. 24 / max. 36) |
| **Costs:** | Total costs Zhejiang and Austria [€]: | Total funding Zhejiang and Austria[€] |
| PROJECT GOALS: *Please present the goals and innovative contents of the project with a maximum of 5 sentences.* |

# In General

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## Checklist for Submission

The information provided in Chapter 0 is designed to help you in your submission and can be deleted in the final Project Description to be uploaded as an attachment via eCall.

### Checklist for formal check

The formal check serves to check the application for formal correctness and completeness. Please note: **If the formal requirements are not met and the deficiencies cannot be corrected, the proposal will be excluded from the further procedure and will be formally rejected without exception in accordance with the principle of equal treatment of applications.**

|  |  |  |  |
| --- | --- | --- | --- |
| **Criterion** | **Requirements checked** | **Correctable?** | **Con-sequence** |
| Completeness of the application | *Joint Proposal: thematic content (upload as .pdf document via FFG eCall and send to the Headquarter of ZSTD)****Please make sure that an identical version of the joint proposal is submitted to FFG and the submission office at ZSTD. Not identical versions are not eligible!*** | *No* | Rejection as result of formal check |
| Use of correct form  | *Template for Joint Proposal* *(on hand, see. Downloadcenter* [*www.ffg.at/1-call-zhejiang*](http://www.ffg.at/1-call-zhejiang) *and*[*http://www.zjkjt.gov.cn/#specific program guide#*](http://www.zjkjt.gov.cn/#specific program guide)*)* | *No* | Rejection as result of formal check |
| Language  | *English + Chinese* | *No* | Rejection as result of formal check |
| Duration | max. 36 months | *No* | Rejection as result of formal check |
| Minimum requirements of consortium | *One or more companies from the province of Zhejiang and one or more Austrian companies. The consortium can also involve research organisations in addition to the obligatory company partners.* | *No* | Rejection as result of formal check |
| Funding amount | * *Austrian partners: Total amount of funding has to be between 100.000.- EUR and 500.000.- EUR.*
* *Zhejiang partners: total amount of funding has to be between 1 million CNY (equivalent to 130.000,- EURO) and 5 million CNY (equivalent to 650.000,- EURO).*
 | *No* | Rejection as result of formal check |
| **Consent regarding exchange of personal information between ZSTD and FFG** **(Chapter 0.3)** | *Please see Chapter 0.3 Data Protection of this document and give your consent by ticking the checkbox* | *Yes* | Rectification is possible, however a consent for Chapter 0.3 Data Protection is necessary for an eligible submission |
| Further national requirements | *Please see the relevant national documents by FFG and ZSTD* | *Yes* | Rectification via eCall is possible |

### General points

* Adhere to the questions. Questions, comments and notes marked in blue in the form may be overwritten or deleted.
* Please make sure, that the information provided in this form corresponds to the information in the eCall-systems. In case of differences, the information provided in the eCall-system is binding.
* A complete project proposal consists of the project description (presentation of the content) and a cost plan (presentation of costs)
* Describe your project in sufficient detail for reviewers to form an accurate impression of your planned project. Try to keep your text precise and to the point.
* The maximum number of pages is NOT a request to reach this limit. Applications should enable the reviewers to understand the topic and the benefits resulting from the proposed project. Quality is more important than quantity.
* In the event of any questions please refer to your contact person at the FFG and ZSTD (contact information is available in the call announcement).

## Submission

Information for Austrian project partners:

Project proposals may only be submitted electronically via [eCall](https://ecall.ffg.at) within the submission deadline. Please see the detailed [eCall tutorial](https://ecall.ffg.at/Cockpit/Tutorial-Hilfe).

The main proposal may only be submitted if all partners have previously completed and submitted their partner proposals via eCall.

A project proposal is considered to have been submitted if the eCall application has been finalised by clicking the “Submit“ (“Einreichung abschicken”) button. On successful submission, a confirmation will be sent by e-mail. It is not possible to resubmit the proposal or parts of it or to revise the proposal after the submission deadline.

In the event of any questions about eCall please refer to your contact person at the FFG (contact information is available in the call announcement). It is NOT required to send a duly signed copy of the proposal submitted online to FFG.

All proposals submitted will only be made available to the persons involved in the administration of the call. All these persons are subject to strict confidentiality. In particular, the national and international experts who take part in the evaluation procedure must sign a declaration of confidentiality before they start their work.

|  |
| --- |
| **Submission deadline for FFG:****Joint Proposal, National Proposal Annex and all supporting documents** **for funding must be submitted to FFG via eCall**[**https://ecall.ffg.at**](https://ecall.ffg.at)**by June 14th 2019, 12:00 o´clock at Central Europe Time (C.E.T.)!****Submission deadline for ZSTD:****Joint Proposal for funding and supporting documents** **for funding must be submitted to the headquarters of ZSTD via** [**https://pm.zjsti.gov.cn**](https://pm.zjsti.gov.cn)**by June 14th 2019, 18:00 o’clock Beijing Time****ZSTD Website:****http://www.zjkjt.gov.cn**  |

## Data Protection

Since there are no existing adequacy decision and guaranties in the sense of the General Data Protection Regulation (GDPR) according to article 44 ff. GDPR by the European Commission regarding the exchange of personal information between China and Austria, the Austrian and Chinese consortium must give consent that personal information may be exchanged between ZSTD and FFG for the purpose of evaluating the project proposals. Since the exchange of joint proposals, which may contain personal information (for example CVs), between FFG and ZSTD is necessary for the evaluation of the projects, a proposal without the consent cannot be further evaluated and will be rejected as result of the formal check. By ticking the checkbox below all applicants and project partners consent that personal information may be exchanged between ZSTD and FFG for the purpose of evaluating the project proposals.

|  |  |
| --- | --- |
|   | The Austrian and Chinese consortium hereby declares that by submitting this Joint Proposal to FFG via eCall and/or to the headquarters of ZSDT all applicants and project partners consent that personal information may be exchanged between ZSTD and FFG for the purpose of evaluating the project proposals. Furthermore, all applicants and project partners consent that they have been informed hereby about possible risks of data exchange between FFG and ZSTD without an existing adequacy decision and without any guaranties in the sense of the General Data Protection Regulation (GDPR) according to article 44 ff. GDPR by the European Commission.  |

Contents

[0 In General 2](#_Toc948442)

[0.1 Checklist for Submission 2](#_Toc948443)

[0.1.1 Checklist for formal check 2](#_Toc948444)

[0.1.2 General points 4](#_Toc948445)

[0.2 Submission 4](#_Toc948446)

[0.3 Data Protection 6](#_Toc948447)

[Abstract 9](#_Toc948448)

[1 quality of the project 10](#_Toc948449)

[1.1 State of the art – current level of technology/knowledge 10](#_Toc948450)

[1.1.1 Results from other projects 10](#_Toc948451)

[1.2 Degree of Innovation 12](#_Toc948452)

[1.2.1 Problem and research need 12](#_Toc948453)

[1.2.2 Goals 12](#_Toc948454)

[1.2.3 Degree of innovation and associated risk 12](#_Toc948455)

[1.3 Quality of planning 13](#_Toc948456)

[1.3.1 Overview and description of work packages 13](#_Toc948457)

[1.3.2 Detailed description of work packages 14](#_Toc948458)

[1.3.3 Work and time schedule (Gantt chart) 15](#_Toc948459)

[1.3.4 Description of cost plan 15](#_Toc948460)

[1.3.5 Third-party costs (if exceeding 20% of total costs per partner) 18](#_Toc948461)

[1.4 Integration of gender-specific aspects 18](#_Toc948462)

[2 Suitability of Applicants / Project Partners 18](#_Toc948463)

[2.1 Description of the Expertise of project partners 18](#_Toc948464)

[2.1.1 Austrian Applicant 18](#_Toc948465)

[2.1.2 Austrian project partners 18](#_Toc948466)

[2.1.3 Zhejiang Applicant 19](#_Toc948467)

[2.1.4 Zhejiang project partners (Pn) 19](#_Toc948468)

[2.2 Capacity of the consortium to achieve the project goals 20](#_Toc948469)

[2.2.1 Completeness and coordination of required expertise 20](#_Toc948470)

[2.2.2 Third-party expertise required 20](#_Toc948471)

[2.3 Composition of project team with regard to gender balance (gender mainstreaming) 21](#_Toc948472)

[3 Benefit and exploitation 21](#_Toc948473)

[3.1 User benefit and exploitation potential 21](#_Toc948474)

[3.2 Impact and significance of the project results for the organisations involved in the project 22](#_Toc948475)

[3.3 Exploitation strategy 22](#_Toc948476)

[4 Relevance of the Project 23](#_Toc948477)

[4.1 Relevance to the Call 23](#_Toc948478)

[4.2 Incentive effect of funding (additionality) 23](#_Toc948479)

# Abstract

Summary in English (translation of "Kurzfassung") (max. 1 page), corresponds to English summary from eCall project data

The concise summary should include the following points:

* initial situation, problem to solve and motivation to carry out the R&D project
* goals and level of innovation compared to the state of the art (level of technology/knowledge)
* expected results and findings

#  quality of the project

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## State of the art – current level of technology/knowledge

(max. 7 pages)

Describe the current state of the art, i.e. current level of technology/knowledge, relevant to the project based on the following criteria:

* State of the art – current level of technology/knowledge
	+ in the company or research institution itself
	+ in the national innovation system
	+ in Europe (including EU projects) and internationally
	+ results of patent searches
* Relevant products, procedures or services that are already on the market
	+ by the company/company group
	+ by competitors
* Relevant alternative technologies, methods and approaches that are in competition with the proposed approach

### Results from other projects

Please explain the differences to other projects carried out by the consortium partners in the past three years. Include in particular all ongoing and completed projects of thematic relevance. Special focus should be placed on the results you intend to use for your project and potential synergies. Use the description to underline that you have the expertise and experience to carry out the proposed project (supplementary to Chapter 2, Suitability of Applicant / Project Partners).

Only for Austrian project partners:

If these projects were funded by the FFG, please indicate the FFG project number and the project title.

Use the following table to provide the relevant information:

**Existing results and deliverables obtained from publicly funded projects that provide the basis of or feed into the proposed project**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Funding provider** | **Project-number** | **Title** | **Description of results already obtained and relevant deliverables (verifiable results / products of R&D work) in terms of the basis for / differentiation from the proposed project** | **Location and type of documentation****(e.g. link to homepage, publication, conference proceedings, interim report, final report, …)** |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

## Degree of Innovation

(max. 8 pages)

### Problem and research need

Clearly point out the problem and/or unsolved scientific/technical questions giving rise to the need for a funded research and development project.

### Goals

Describe briefly and concisely the key qualitative and quantitative goals and expected results of the project. These goals should be clear, measurable, realistic and achievable within the project duration. They should also be consistent with the benefit and exploitation of the results.

### Degree of innovation and associated risk

Describe the degree of innovation with reference to the state of the art (current level of technology / knowledge) as well as relevant products, procedures and services presented in 1.1.

* How do the goals of the project go beyond the state of the art (current level of technology / knowledge):
	+ in the company or research institution itself
	+ at national level
	+ at international level
* How does the project improve existing solutions, cause a technological leap or create the basis for the registration of IPRs?
* Please quantify the improvements to be achieved (e.g. higher efficiency, lower cost, faster throughput, enhanced functions, etc.), or explain why the degree of innovation can only be described qualitatively.
* Describe the technical and economic risk involved at project and/or partner level. Describe the provisions made to ensure that the funding has a high impact despite the high risk involved (risk management, risk and contingency plan). However, you should not limit yourself to describing the risk in terms of project management.
* Justify your classification for one of the research categories “Industrial Research” or “Experimental Development”. If necessary use the Technology Readiness Levels (TRL).

## Quality of planning

### Overview and description of work packages

The Work Package (WP1) Project Management is mandatory. A maximum of 10 work packages are permitted.

For Austrian project partners: Please ensure consistency with the eCall data.

Please insert additional rows if necessary: place cursor in last row and select “Table -> insert -> row below” from the menu bar.

**Overview of work packages**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **WP****No.** | **Work package title** | **Duration (month)** | **StartMM/YY** | **EndMM/YY** | **Planned result** |
| 1 | Project Management |  |  |  |  |
| 2 |  |  |  |  |  |
| n |  |  |  |  |  |

**Overview of milestones**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Milestone No.** | **Milestone title** | **Work packages involved** | **Expected date** | **Milestone is achieved when:**  |
| 1 |  |  |  |  |
| 2 |  |  |  |  |
| n |  |  |  |  |

### Detailed description of work packages

Describe the contents of the individual work packages, the results expected within the duration of the project and the milestones. The individual **methods** and steps must be clearly and consistently defined and/or described (about 1 page per work package).

The table should be copied and completed separately for each work package (WP)

**Description of work package**

|  |  |  |  |
| --- | --- | --- | --- |
| **WP No.** |  | **Title of WP:** |  |
| **Participating organisation (A/Pn) and person-months per organisation:** |
|  |

|  |
| --- |
| **Goals:** |
|  |

|  |
| --- |
| **Description of contents:** |
|  |

|  |
| --- |
| **Method:** |
|  |

|  |
| --- |
| **Milestones (to measure project progress), planned results and deliverables (verifiable results / products of R&D work)** |
|  |

### Work and time schedule (Gantt chart)

Insert a detailed work and time schedule.

Please pay attention to readability.

### Description of cost plan

(max. 1 page)

Please explain the relevance of the items listed in the cost plan for the project: personnel costs, costs of infrastructure use, costs of materials, third-party costs and travel costs (especially purpose of travel).

Please observe the regulations in the [Cost Guidelines 2.1](https://www.ffg.at/recht-finanzen/kostenleitfaden/version-21)

**Furthermore:**

Please be aware that currency conversion rate for the description of the costs is recommended to be based on the daily Euro foreign exchange reference rates of the European Central Bank <http://www.ecb.europa.eu/stats/exchange/eurofxref/html/index.en.html>

The rate is based on the daily conversion rate of European Central Bank, ECB or the European Commission monthly Euro foreign exchange reference rate.

Please indicate the day or month on which the Euro foreign exchange reference rate to Chinese yuan renminbi (CNY) is based on.

Day or month of EURO foreign exchange reference rate: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Description of the costs of all project partners in EURO**

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Applicant / partner****AUSTRIA and Zhejiang** | **Person Month** | **Personnel Costs****[EUR]** | **R&D Infra-structure [EUR]** | **Costs of Materials****[EUR]** | **Travel Costs****[EUR]** | **Third-party Costs [EUR]** | **Total costs****[EUR]** | **Own contri-bution****[EUR]** | **Funding applied for [EUR]** |
| Name of Institution/ Company |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
| SUM |  |  |  |  |  |  |  |  |  |

**Description of the costs of all project partners in CNY**

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Applicant / partner****AUSTRIA and Zhejiang** | **Person Month** | **Personnel Costs****[CNY]** | **R&D Infra-structure [CNY]** | **Costs of Materials****[CNY]** | **Travel Costs****[CNY]** | **Third-party Costs [CNY]** | **Total costs****[CNY]** | **Own contri-bution****[CNY]** | **Funding applied for [CNY]** |
| Name of Institution/ Company |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
| SUM |  |  |  |  |  |  |  |  |  |

Please be aware that ALL costs (including total Personnel Costs) for all Partners (Austrian and Chinese Partners) which are necessary to carry out the project have to be inserted into table “Description of the costs of all project partners in EURO” and table “Description of the costs of all project partners in CNY”, since these tables are used for calculating whether the overall requirements, presented in the Call Fiche are met by the consortium. In the case that necessary information is missing in the two tables or the requirements are not met, the proposal will be rejected as a result of the formal check.

### Third-party costs (if exceeding 20% of total costs per partner)

(max. 1/4 page)

Third-party costs should not exceed 20% of the total project costs per partner. Please justify any excess.

## Integration of gender-specific aspects

(max. 1 page)

If the project relates to people, please explain how and in which work packages gender-specific aspects have been taken into account in the methodological approach. Please point out to what extent the research creates a benefit for certain user groups.

# Suitability of Applicants / Project Partners

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## Description of the Expertise of project partners

(max. 1 page per partner)

### Austrian Applicant

1. Name of Austrian company/institution
2. Relevant expertise of organisation and staff involved in the project.
Provide evidence of relevant expertise by uploading appropriate and current CVs of senior scientific and technical project staff in the “Ressource Pool/MitarbeiterInnen-Pool” section of the eCall-system and provide a list of the major (max. 5) publications relevant to the project.
3. Description of know-how relevant to the project, e.g. market success, patents
4. Description of existing infrastructure relevant to the project and other aspects indicating the applicant’s ability to perform the project

### Austrian project partners

This page is to be completed individually and separately for each project partner.

1. Company name / name of institution
2. Relevant expertise of organisation and staff involved in the project.
Provide evidence of relevant expertise by uploading appropriate and current CVs of senior scientific and technical project staff in the “Ressource Pool/MitarbeiterInnen-Pool” section of the eCall-system
3. Description of know-how relevant to the project, e.g. market success, patents
4. Description of existing infrastructure relevant to the project and other aspects indicating the applicant’s ability to perform the project

### Zhejiang Applicant

1. Name of Zhejiang company
The eligible applicant should be a company. Research institutions and universities can be involved as partners, but they cannot directly apply for the program.
2. Relevant expertise of organisation and staff involved in the project.
Provide evidence of relevant expertise by submitting appropriate and current CVs of senior scientific and technical project staff and provide a list of the major (max. 5) publications relevant to the project.
3. Description of know-how relevant to the project, e.g. market success, patents
4. Description of existing infrastructure relevant to the project and other aspects indicating the applicant’s ability to perform the project

### Zhejiang project partners

This page is to be completed individually and separately for each project partner.

1. Company name / name of institution
2. Relevant expertise of organisation and staff involved in the project.
Provide evidence of relevant expertise by uploading appropriate and current CVs of senior scientific and technical project staff in the “Ressource Pool/MitarbeiterInnen-Pool” section of the eCall-system
3. Description of know-how relevant to the project, e.g. market success, patents
4. Description of existing infrastructure relevant to the project and other aspects indicating the applicant’s ability to perform the project

## Capacity of the consortium to achieve the project goals

(max. 2 pages)

### Completeness and coordination of required expertise

Please use the following table and additional descriptions to illustrate that the chosen consortium structure is suitable for achieving the qualitative and quantitative goals and expected results within the planned project period. Show that the consortium has the scientific, technical and economic expertise required for the project.

**Main tasks of all project partners**

|  |  |  |
| --- | --- | --- |
| **Work package** | **Key expertise required for the work package** | **Name of partner contributing key expertise** |
| 1 |  |  |
|  |  |  |
| 2 |  |  |
| 3 |  |  |
| 4 |  |  |
| 5 |  |  |
| X |  |  |

### Third-party expertise required

Please describe the fields of expertise that are not covered by the consortium and must therefore be contributed by a third party (e.g. via subcontracts). Name the subcontractors and describe in what form they will contribute the relevant expertise.

The content of **every subcontract exceeding EUR 20,000** must be described individually and in detail. If the subcontractor is not known yet, describe the aim of the work to be subcontracted and the qualifications to be met by the subcontractor.

**General information about subcontractor**

|  |  |  |  |
| --- | --- | --- | --- |
| **Relevant WP(s)** |  | **Subcontractor of A/Pn** |  |
| **Name of subcontractor** |  |
| **Content of subcontract** |  |

# Benefit and exploitation

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(max. 4 pages)

## User benefit and exploitation potential

Describe the benefits of the project results and/or new technologies and planned innovations for users and for the industry from the perspective of the partners involved in the project in both qualitative and quantitative terms (external benefit).

* What is the benefit for those applying the project results and the exploitation potential?
* What is the benefit for the relevant industry?
* What new knowledge can be gained from the project in the relevant scientific/technical target group?
* For whom are the results relevant?
* What are the USPs of the planned project results?
* For projects of the research Category Industrial Research:
	+ How about the knowledge increase in the relevant scientific-technical target group?
* For projects of the research Category Experimental Development:
	+ What are the specified users, markets and market segments? – How is this substantiated by turnover figures?
	+ What is the commercial potential of the new technologies and planned innovations?
	+ What is the turnover potential of the innovation or added value of market growth in relation to the planned project costs?
	+ What resources are required to bring the results to the market?
	+ On what facts are your estimates based?

## Impact and significance of the project results for the organisations involved in the project

Describe the strategic significance of the project results and/or new technologies and planned innovations for the organisations involved in the project in both qualitative and quantitative terms (internal benefit):

* Long-term increase in R&D capacities
* Securing or extending the organisation's R&D position
* Expansion of existing R&D activities to include new fields of application
* Development of R&D platforms
* Opening up of new business fields etc.

## Exploitation strategy

Describe the exploitation strategy for the project results for each individual partner involved in the project in qualitative and quantitative terms. Please also indicate any specific exploitation expertise the relevant organisation has. **If the exploitation of the results has a significant impact on people, please also indicate how gender-specific issues have been taken into account in the exploitation of the economic potential.**

Research-oriented organisations:

* [Planned number of]: diploma and doctoral theses, publications in national and international journals (with or without review process), national and international conference papers, national, European and international patent applications, workshops, events and conferences, expert advisory boards, etc…

Companies and application-oriented organisations

* [Planned number of]: industrial property rights, licences, national, European and international patent applications (in selected countries)
* Exploitation via subsidiaries, distribution partners
	+ based on competitive edge in fields such as production, expertise, trade secrets, market presence
	+ collaborations with third parties aimed at development and exploitation
* Marketing strategy
* Sales strategy
* Business plans/models
* Investment plans

# Relevance of the Project

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(max. 2 pages)

## Relevance to the Call

* Please list the **call topic** (or call topics in descending order) primarily addressed by your project.
* Which **goals of the call** (or goals of the call in descending order) are primarily addressed by your project?

## Incentive effect of funding (additionality)

Please explain how funding changes the project in terms of:

* **Duration:** The project can be completed within a shorter period of time than possible without funding
	+ Explain to what extent and why funding helps to speed up the completion of the project.
* **Size**: Size of the project can be increased compared to the project being carried out without funding
	+ Give reasons why the size of the project can be increased compared to the project being carried out without funding.
* **Scope**: The scope of the project can be increased.
* Give reasons why the funding makes the project more ambitious. A higher level of ambition can mean that the project
	+ is focused on more radical leaps in innovation
	+ follows a more long-term and research-intensive [as opposed to market oriented and development intensive] approach
	+ involves a higher technical risk
	+ involves a higher market risk
	+ leads to new or more extensive collaborations

Please demonstrate the incentive effect of the funding in accordance with the criteria applicable to the project.

ANNEX

Please submit a letter of intent for collaboration, indicating all Austrian and Chinese project partners, as well as further relevant information listed in the respective national call announcements if applicable.