How to write a successful proposal in H2020

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Outline

Module 1

Module 2

1. **INTRODUCTION – FROM IDEA TO IMPLEMENTATION**
   - Project Idea; Finding a Call; Partners search,
   - Your Profile
2. **PROPOSAL PREPARATION**
   - APPLICATION PROCEDURES (1 OR 2 STAGE PROPOSALS)
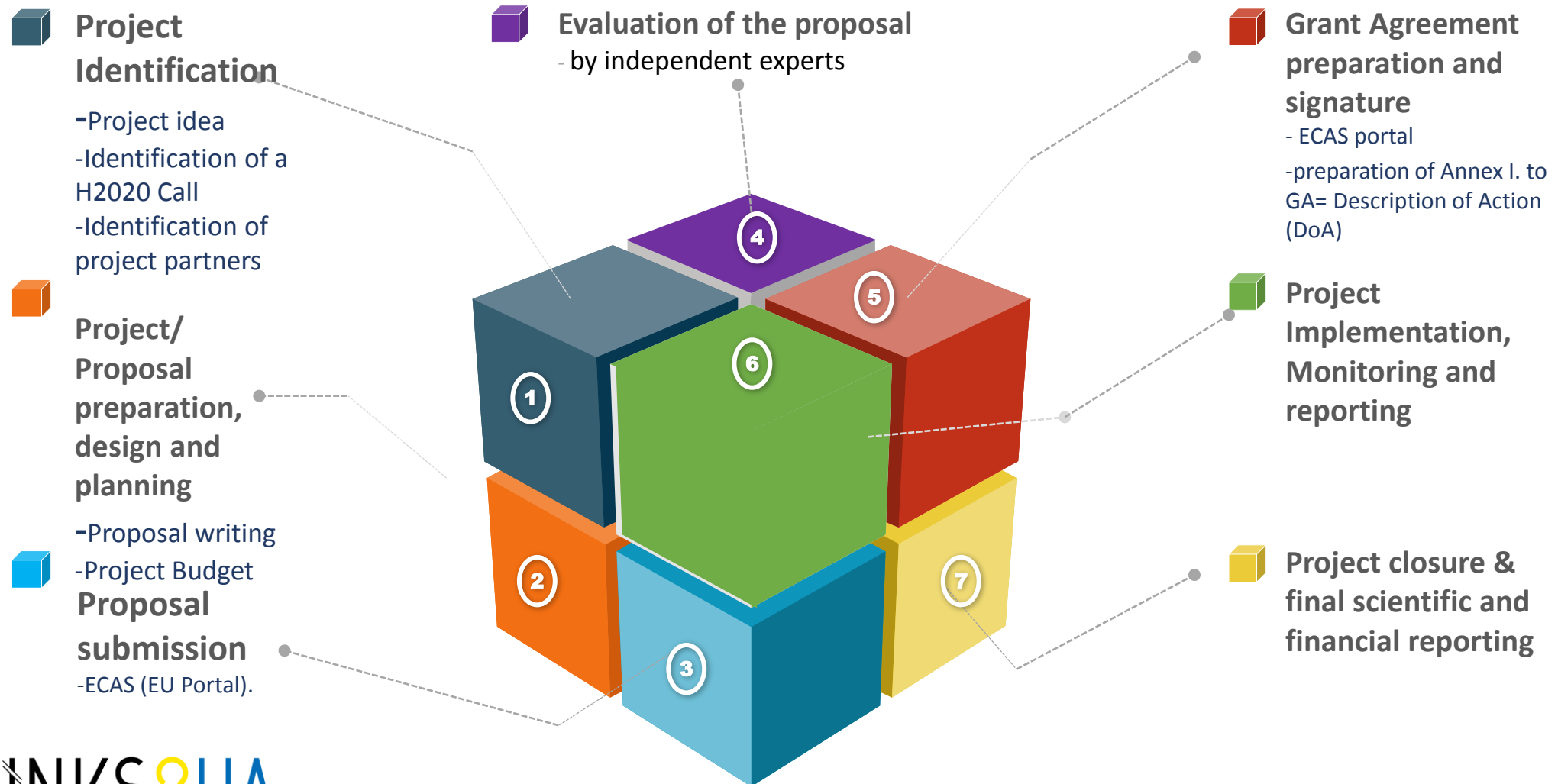   - TYPES OF ACTIONS (PROPOSALS) IN HORIZON 2020
   - TLRs - Technology Readiness
3. **STRUCTURE OF THE PROPOSAL**
   - ADMINISTRATIVE & FINANCIAL
   - PROPOSAL (PART B)
   - **TIPS FOR SUCCESFUL PROPO**

4. **PROPOSAL SUBMITION**

Project Management Cycle in H2020 projects

Project Identification
- Project idea
- Identification of a H2020 Call
- Identification of project partners

Project/ Proposal preparation, design and planning
- Proposal writing
- Project Budget

Proposal submission
- ECAS (EU Portal).

Evaluation of the proposal
- by independent experts

Grant Agreement preparation and signature
- ECAS portal
- preparation of Annex I. to GA= Description of Action (DoA)

Project Implementation, Monitoring and reporting

Project closure & final scientific and financial reporting

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1 PROJECT IDENTIFICATION

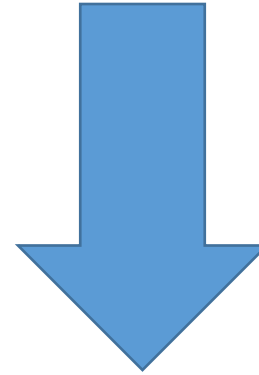↗ Project idea
↗ Identification of the call, partners

1 PROJECT IDENTIFICATION

✓ *Provides baseline and contextual information for the project*
✓ *Involves understanding of the initial situation in question and the key factors*

CORE STEPS

- **Project Idea** =>
- **Identification of the Horizon 2020 Call that matches your project idea**
- **Preparation of your Research Profile (profile of your institution)**
- **Identification of partners in EU relevant to the Call**
- Register in ECAS (get a PIC number and validate your institution)
- Read the latest EU documents related to your topic:
  - Work programme (https://ec.europa.eu/programmes/horizon2020/h2020-sections)
  - Europe 2020 strategy (http://ec.europa.eu/europe2020/index_en.htm)
  - EU policies (http://ec.europa.eu/policies/index_en.htm)
- Read the **latest scientific papers** related to your topic

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Project IDEA

- **Project Idea** => concept with high innovation potential

Innovation in H2020 =>> means successful exploitation of new ideas to produce tangible benefits, satisfying needs and wants

Questions?!

RELEVANT

Idea
Approach
Partners

➡ Realisation of the call and work programme's objectives

☞ What **kind of project** will I implement? (scope, limits, objectives, expected impact)

☞ What will I do with the **results**? (exploitation, dissemination, knowledge tranfer)

☞ **With whom** will I implement this project? Who does what? (consortium, respective tasks, responsabilities)

☞ **Why** should my project be funded by the EC? (European added value)

☞ **How** will I successfully carry it to term? (resources, management, methodology)

☞ How much will it **cost**? What funding can I expect? (budget plan and EC contribution)

☞ Do I have my organization's **support**? (human and financial resources)

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How to find funding for your research id

- Horizon 2020 offers a variety of funding opportunities
  - project idea => appropriate call:
- H2020 PARTICIPANT PORTAL

https://ec.europa.eu/programmes/horizon2020/find-your-area

Horizon 2020 Structure

SCIENTIFIC EXCELLENCE

- European Research Council
- Future and Emerging Technologies (FET)
- Marie Skłodowska-Curie research grant scheme
- Research Infrastructures

INDUSTRIAL PRE-EMINENCE

- ICT
- Key Enabling Technologies (KETs) :
  - Microelectronics
  - Photonics
  - Nanotechnologies
  - Advanced materials
  - Production systems
  - Biotechnologies
- Space
- Innovation in Small and Medium Enterprises (SMEs)
- Access to Risk Finance

SOCIETAL CHALLENGES

- Health, well-being, and aging
- Food security, bioeconomy…
- Safe, clean, efficient energy
- Intelligent, green, integrated transportation
- Climate, environment, raw materials
- Inclusive, innovative society, capable of reflection
- Security

EURATOM

Spreading of Best Practices and Widening Participation

Science with and for Society

European Institute of Innovation and Technology (EIT)

Joint Research Center (JRC)

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How to find funding for your research idea? (2)

☞ H2020 -> funding opporutunities

☞ Search by topic/call ID…

HOME | FUNDING OPPORTUNITIES | HOW TO PARTICIPATE | PROJECTS & RESULTS | EXPERTS | SUPPORT ▾ | 🔒 LOGIN | 👤 REGISTER

Search | 🔍

EU Programmes 2014–2020

Search Topics

Updates 📅 📶

Calls 📅 📶

H2020

3rd Health Programme

Asylum, Migration and Integration Fund

Consumer Programme

COSME

European Statistics Programme

Hercule III Programme

Internal Security Fund - Borders

Internal Security Fund - Police

Justice Programme

Pilot Projects & Preparatory Actions

Promotion of Agricultural Products

Research Fund for Coal & Steel

Rights, Equality and Citizenship Programme

Union Civil Protection Mechanism

14 Results

Keyword Search: | Environment | SEARCH

If you don't find your topic, you can also use the **free text search.**

Select the Programme
Hold the 'CTRL' key to select several programmes.

H2020
~~3rd Health Programme~~

FILTER

Status | ☑ Forthcoming | ☑ Open | ☐ Closed

Sort by | ○ (Planned) opening date | ○ Deadline | ○ Topic title | ● Topic identifier

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Topic: **BBI.2018.SO4.S1: Benefit from previous and current work to create a coherent and stimulating 'environment' for a sustainable bio-based industry in Europe**   `Open`

Publication date: 11 April 2018

Types of action:	BBI-CSA Bio-based Industries Coordination and Support action
DeadlineModel:	single-stage
Opening date:	11 April 2018

Deadline: 06 September 2018 17:00:00

Time Zone : (Brussels time)

Topic: **BBI.2018.SO4.S2: Expand the bio-based industry across Europe**   `Open`

Publication date: 11 April 2018

Types of action:	BBI-CSA Bio-based Industries Coordination and Support action
DeadlineModel:	single-stage
Opening date:	11 April 2018

Deadline: 06 September 2018 17:00:00

Time Zone : (Brussels time)

Topic: **CE-SC5-04-2019: Building a water-smart economy and society**   `Forthcoming`

Publication date: 27 October 2017

Focus area: Connecting economic and environmental gains - the Circular Economy (CE)

Types of action:	IA Innovation action
DeadlineModel:	two-stage

Deadline: 19 February 2019 17:00:00

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Topic: **DT-TDS-01-2019: Smart and healthy living at home**   `Forthcoming`

Publication date: 27 October 2017
Focus area: Digitising and transforming European industry and services (DT)

Types of action:	IA Innovation action		
DeadlineModel:	single-stage	**Deadline:**	14 November 2018 17:00:00
Opening date:	26 July 2018		

Time Zone : (Brussels time)

Topic: **LC-CLA-06-2019: Inter-relations between climate change, biodiversity and ecosystem services**   `Forthcoming`

Publication date: 27 October 2017
Focus area: Building a low-carbon, climate resilient future (LC)

Types of action:	RIA Research and Innovation action		
DeadlineModel:	two-stage	**Deadline:**	19 February 2019 17:00:00
Opening date:	14 November 2018	**2nd stage Deadline:**	04 September 2019 17:00:00

Time Zone : (Brussels time)

Topic: **LC-SC3-EE-3-2019-2020: Stimulating demand for sustainable energy skills in the construction sector**   `Forthcoming`

Publication date: 27 October 2017
Focus area: Building a low-carbon, climate resilient future (LC)

Types of action:	CSA Coordination and support action		
DeadlineModel:	single-stage	**Deadline:**	03 September 2019 17:00:00
Opening date:	24 January 2019		

Time Zone : (Brussels time)

Topic: **MG-2-7-2019: Safety in an evolving road mobility environment**   `Forthcoming`

Publication date: 27 October 2017

Types of action:	RIA Research and Innovation action		
DeadlineModel:	two-stage	**Deadline:**	16 January 2019 17:00:00
Opening date:	05 September 2018	**2nd stage Deadline:**	12 September 2019 17:00:00

Time Zone : (Brussels time)

EN

Horizon 2020

Work Programme 2018-2020

12. Climate action, environment, resource efficiency and ra

materials

Role of your institution in project
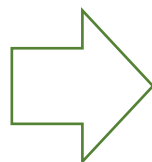
ROLES ⟹

| coordinator |
| partner |
| Third party |

☞What is the **role of my institution in the proposal consorium?**

☞Am I ready to **coordinate** /be a **partner**?

Roles of project participants

- **Each of the project partners can have different roles.**

- **Roles are defined in the project workplan description**

- **Roles:**

- **Work package leader**

- **Task leader**

- **Activity leader**

- **Task participant...**

Boundary conditions for the partner search

- Consider which competences / partners (type of institutions, expertise, origin) you need to fulfill all the objectives / carry out all activities

- Consider how many partners you can "afford" with the available budget

- Consider to present a project with balanced participation from different broad regions

- Consider that each partner should have a dedicated position in the consortium but at the same time that you might want to have more than one partner covering a "key" expertise (risk mitigation in case one partner has problems to deliver)

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- Awareness about the legal, administrative and financial requirements – H2020 Funding Guide
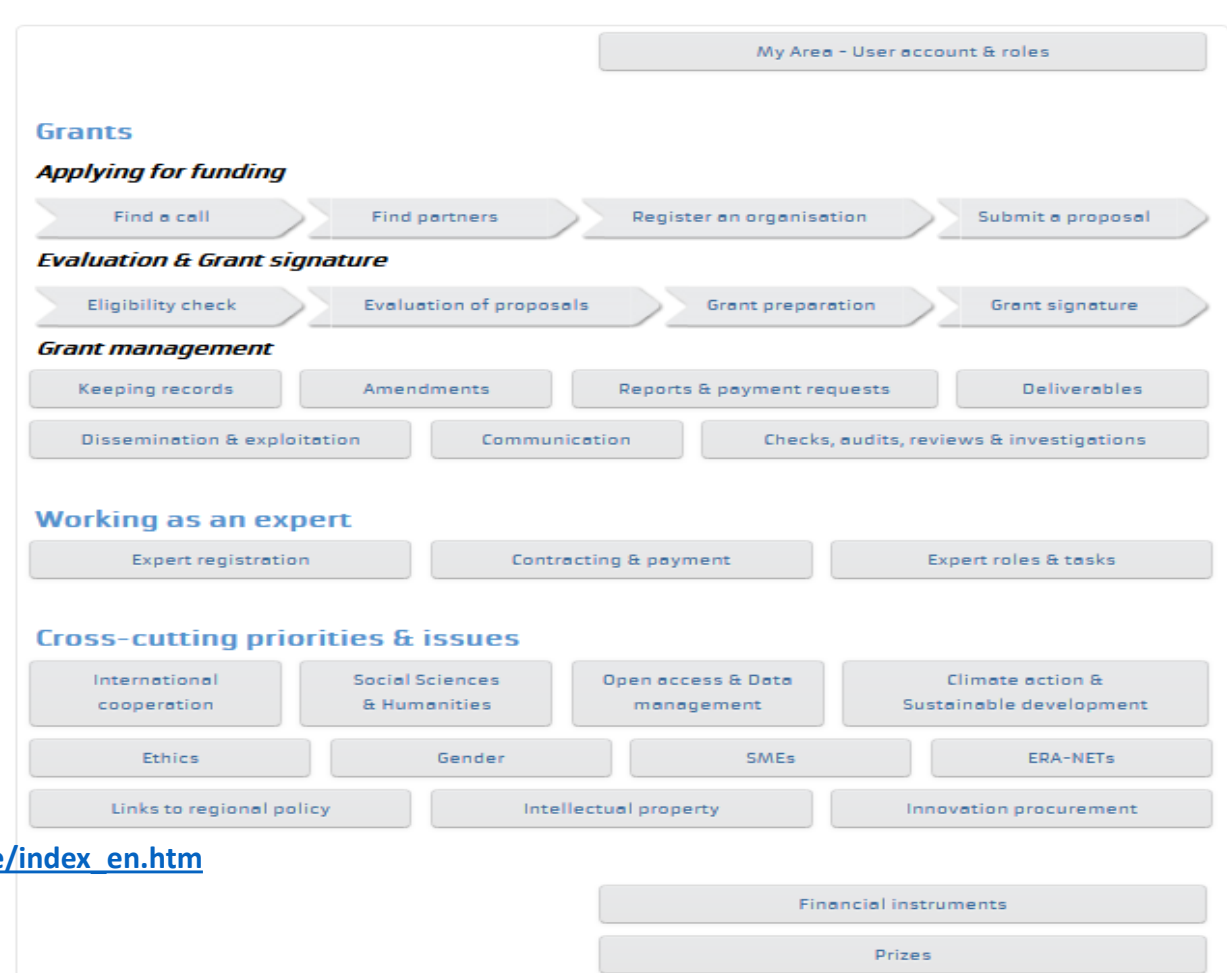
EUROPEAN COMMISSION
Directorate-General for Research & Innovation

Grants Manual - Section on:
Proposal submission and evaluation
(sections III.5, III.6, IV.1, IV.2)

Version 1.4
28 May 2015

http://ec.europa.eu/research/participants/docs/h2020-funding-guide/index_en.htm

My Area - User account & roles

Grants

Applying for funding

Find a call | Find partners | Register an organisation | Submit a proposal

Evaluation & Grant signature

Eligibility check | Evaluation of proposals | Grant preparation | Grant signature

Grant management

Keeping records | Amendments | Reports & payment requests | Deliverables
Dissemination & exploitation | Communication | Checks, audits, reviews & investigations

Working as an expert

Expert registration | Contracting & payment | Expert roles & tasks

Cross-cutting priorities & issues

International cooperation | Social Sciences & Humanities | Open access & Data management | Climate action & Sustainable development
Ethics | Gender | SMEs | ERA-NETs
Links to regional policy | Intellectual property | Innovation procurement

Financial instruments

Prizes

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Profile of your institution

- **2 PAGES ONLY!**

- **Provide targeted information about your institution:**

- a **description of the your institution and your competences,** with an explanation of how its profile matches the tasks in the proposal **(half page limit)**

- **CVs** of the persons, including their gender, who will be primarily responsible for carrying out the proposed research and/or innovation activities; (**6 lines maximum)**

- a **list of up to 5 relevant publications, and/or products, services** or other achievements relevant to the call content;

- a **list of up to 5 relevant previous projects or activities**, connected to the subject of this proposal;

- a description of any **significant infrastructure and/or any major items of technical equipment, relevant to the proposed work;**

- **Include your logo**

- **Contact details of your institutions (Name in English/national language, Acronym/ PIC number, full address, contact details (including email, phone…)**

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Partner Search

- Online Partner search databases
- Bilateral contacts
- Bilateral projects
- Young researchers
- Brokerage events
- International conferences/ workshops

⇨
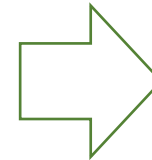
| RI-LINKS2UA Grants |
| EAP Inco net Grants |
| Other Grants, Call for papers |

A balanced consortium

- Depends on the instrument (CSA, RIA, etc.)
- Excellent research
  - Science and technology partners (multidisciplinarity, complementarity)
- Sound implementation
  - Dedicated partners with expertise to develop, test, validate; users of technology; pilot sites, demonstration, excellent management
- High impact
  - Partners with experience and expertise to exploit the knowledge generated, disseminate results, etc. (multipliers)

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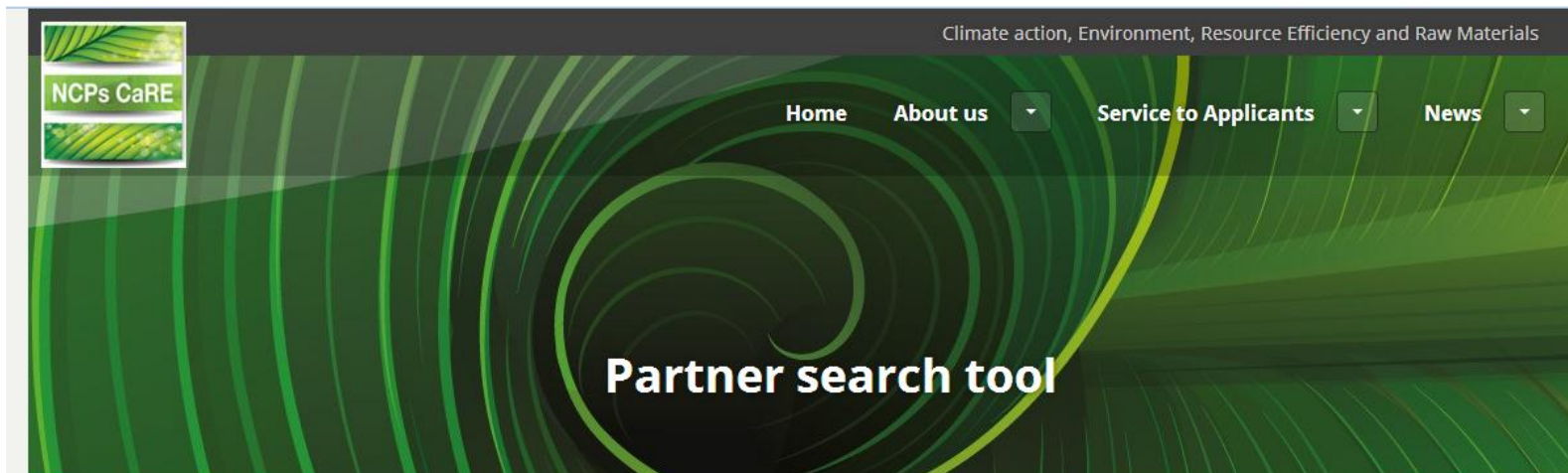
Contacting the partners

- Initial contact -> indication of interest

- Identify specific contact person

- Provide summary of the project

- Request description of their activities and background related to the proposal topic, information about experiences / track-record, unit costs for budget planning, administrative information (PIC, etc.)

Partner Search – Online Databases

- https://http://partnersearch.ncps-care.eu/index.php?index=6

Partner Search – Online Databases

① **PROJECT IDENTIFICATION**

https://cordis.europa.eu/partners/web/guest

CORDIS
Community Research and Development Information Service

Research Partners

You can:

- Search for partners [Search]
- Query more with an advanced search
- Browse these active profiles and collaboration requests to build your network:
  - 10518 Partner profiles
  - 60 Open Calls for Proposals
  - 5511 Partnership requests
    - 1337 Proposing project
    - 4174 Offering collaboration
  - 384 Groups
- Contact National Contact Point networks to get further support to find partners in your specific theme
- View the help pages and video tutorials

Create or update your profile

Username: [   ]

Password: [   ]

Forgot your username or password?
Not yet registered?

[Log in]

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2 PROJECT PREPARATION, DESIGN AND PLANNING

↗ APPLICATION PROCEDURES (1 OR 2 STAGE PROPOSALS)
↗ TYPES OF ACTIONS (PROPOSALS) IN HORIZON 2020
↗ TLRs - Technology Readiness Levels

✓ *Defining the project´s objectives, purpose, expected outputs, impacts and activities and overall budget*

ACTIVITIES

- Setting the overall objectives
- Key activities/sub-activities
- Preparing a project outline incl. expected outcomes
- Defining impact indicators (specific, measurable, achievable, relevant and time-bound)
- Preparing a project implementation plan using the logical framework approach
- Defining the dissemination and exploitation activities
- Setting the overall project budget (calculating the PMs, other direct costs, subcontracting…)
- Writing the whole proposal
- Defining and negotiating the budget of all individual partners /third parties involved
- Completing the Administrative forms/ financial forms
- Submit the proposal

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Administrative procedures

↗ Single/Two-stage proposals
↗ Types of Actions
↗ Technology Readiness Levels (TLRs)

Application procedures

- **Application procedures** -> indicated in the Call for proposals

- **2 Models:**

- **Single stage:** at the indicated deadline a full proposal will is submitted

- **Two- stage:** At 1st stage a brief project outline is submitted (sections 1 and 2

- from the application form)-> „First stage proposal". following a successful evaluation. a full proposal will be prepared in the 2nd Stage.

Call budget overview

TOPIC : Architectured /Advanced material concepts for intelligent bulk material structures

Topic identifier:	NMBP-04-2017
Publication date:	14 October 2015
Types of action:	RIA Research and Innovation action
DeadlineModel:	two-stage
Planned opening date:	11 May 2016

Deadline:	27 October 2016 17:00:00
2nd stage Deadline:	04 May 2017 17:00:00

Time Zone : (Brussels time)

Horizon 2020
Pillar: Industrial Leadership
Work Programme Year: H2020-2016-2017
Work Programme Part: Nanotechnologies, Advanced Materials, Biotechnology and Advanced Manufacturing and Processing
Call : H2020-NMBP-2016-2017

H2020 website

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Types of Actions

Main types of actions

| Research and Innovation Actions | Innovation Actions | Coordination and Support Actions |

Other targeted types of actions

| SME Instrument | ERANET Co-fund | Pre-commercial Procurement Co- fund |

| Public Procurement of Innovative Solutions Co-fund |

Types of Actions

Type of Action[1]	Code	Minimum Conditions[2]	Funding Rate	Typical Duration	Average EC Contribution			Aim
Research & Innovation Action	RIA	≥ 3 legal entities from 3 MS/AC	100%	36-48 months	€ 2.0 – 5.0M			collaborative research projects
Innovation Action	IA	≥ 3 legal entities from 3 MS/AC	70%[3]	30-36 months	€ 2.0 – 5.0M			produce plans & arrangements or designs for new, altered or improved products, processes or services
Coordination & Support Action	CSA	1 legal entity	100%	12-30 months	€ 0.5 – 2.0M			accompanying measures (standardisation, dissemination, policy dialogues etc.) no research
MSCA[4] (except Cofund)	MSCA	see separate factsheet						facilitate mobility of researchers for training & career development
ERC Grants	ERC	1 legal entity in MS/AC	100%	60 months	Starting: ≤ € 2.0M Consolidator: ≤ € 2.75M Advanced: ≤ € 3.5M			support excellent investigators and their research teams to pursue ground-breaking, high-gain/ high-risk research
Prizes	PRI	1 legal entity	n/a	n/a	variable; see respective topic			- recognise past achievements - induce future activities
SME Instrument	SME	1 SME in MS/AC	3 phases: • Phase 1: lump sum of € 50K / project • Phase 2: € 1 – 2.5M / project (1-2 years) (70% of eligible costs reimbursed) • Phase 3 : no funding					combination of demonstration activities (testing, prototyping, ...), market replication
Fast Track to Innovation	FTI	≤ 5 legal entities from 5 MS/AC	70%[3]	tbd	≤ € 3.0M			produce plans & arrangements or designs for new, altered or improved products, processes or services

[1] Defined in the Work Programme.

[2] Additional conditions may be listed in the respective Work Programmes.

[3] 100% for non-profit organisation (= any legal entity except companies)

[4] MSCA = Marie Skłodowska Curie Actions

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- Activities aiming to establish new knowledge and/or to explore the feasibility of a new or improved technology, product, process, service or solution.
- Both basic and applied research, technology development and integration, testing, validation on a small-scale prototype in a laboratory or simulated environment.
- **Limited demonstration or pilot activities** aiming to show technical feasibility in a near to operational environment.

- Minimum: three independent legal entities, established in different Member States or Associated Countries -> Possible additional conditions in Work Programmes!
- Funding: 100%

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Innovation Actions - IA

- **Innovation actions - IA**
    - activities directly aiming **at producing plans and arrangements or designs for new, altered or improved products, processes or services**. For this purpose they may include prototyping, testing, demonstrating, piloting, large-scale product validation and market replication.
    - Minimum: three independent legal entities, established in different Member States or Associated Countries -> Possible additional conditions in Work Programmes!
- Funding: 70% funding for profit and 100% for non-profit participants

- Accompanying measures such as **standardisation, dissemination, awareness-raising and communication, networking, coordination or support services, policy dialogues and mutual learning exercises and studies, including design studies** for new infrastructure and may also include complementary activities of networking and coordination between programmes in different countries.

- Minimum one legal entity established a Member State or associated country -> Possible additional conditions in Work Programmes!

Funding: 100%

SME Instrument

- This instrument is aimed at highly innovative SMEs with the ambition to develop their growth potential. It offers lump sums for feasibility studies, grants for an innovation project's main phase (demonstration, prototyping, testing, application development…); lastly, the commercialisation phase is supported indirectly through facilitated access to debt and equity financial instruments.

- Only SMEs can participate. Either a single SME or a consortium of SMEs established in an EU or Associated Country.

THE THREE PHASES

Phase 1: Proof of Concept

Input:
Idea/Concept in
"Business Plan I" (~ 10 pages)

Main Activities:
- Feasibility of concept
- Risk assessment
- IP regime
- Partner search
- Design study
- Pilot application

Output: elaborated
"Business plan II"

Lump sum: around 50.000 €
~ 6 months

Phase 2: Development and Demonstration

Input:
"Business plan II" + "Description of activities under Phase2" (~ 30 pages)

Main Activities:
- Development Prototyping
- Testing
- Piloting
- Miniaturisation
- Scaling-up
- Market replication

- Design & creation of innovative applications to foster the delivery of mobile public services
- New business model for SMEs in traditional sector to innovate

Output: investor-ready
"Business plan III"

Output based payments:
1 to 2,5 M€ EU funding
~ 12 to 24 months

Phase 3: Go-to-Market, commercialisation

Input:
"Business plan III"

Opportunities:
'Quality label' for successful Phase 1 & 2

Easier access to private finance

Support via networking, training, coaching, information, addressing i.a. IP management, knowledge sharing, dissemination

SME window in the EU financial facilities (debt facility and equity facility)

No direct funding

Source: apre.it
http://www.ncpwallonie.be

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Other targeted Actions

- **SME Instrument (Phase 1 and Phase 2)**
  - Only applications from SMEs established in EU Member States or countries associated to Horizon 2020
  - Phase 1: Feasibility study verifying the technological/practical as well as economic viability of an innovation idea with considerable novelty to the industry sector;
  - Phase 2: innovation projects that demonstrate high potential in terms of company competitiveness and growth underpinned by a strategic business plan.
  - Minimum one for-profit SME
  - 70% funding for Phase 2, lump sums for Phase 1

- **ERANET Cofund**
  - The only eligible participants in ERA-NET Cofund actions are research funders: legal entities owning or managing public research and innovation programmes

- **Procurement**
  - Pre-commercial procurement (PCP) Cofund
    - enable the public sector as a technologically demanding buyer to encourage research, development and validation of breakthrough solutions
  - Public procurement of innovative solutions (PPI) Cofund
    - to reinforce early deployment of innovative solutions that address challenges of public interest; to enable trans-national buyer groups of procurers to share the risks of acting as early adopters of innovative solutions

- **Prizes**
  - Rewards for past achievements or inducement prizes to be awarded for the achievement of a pre-specified target

- **Training and mobility grant – for Marie Skłodowska Curie Actions**
  - For single beneficiaries, funding bodies or transnational consortia for training, mobility and career development of researchers

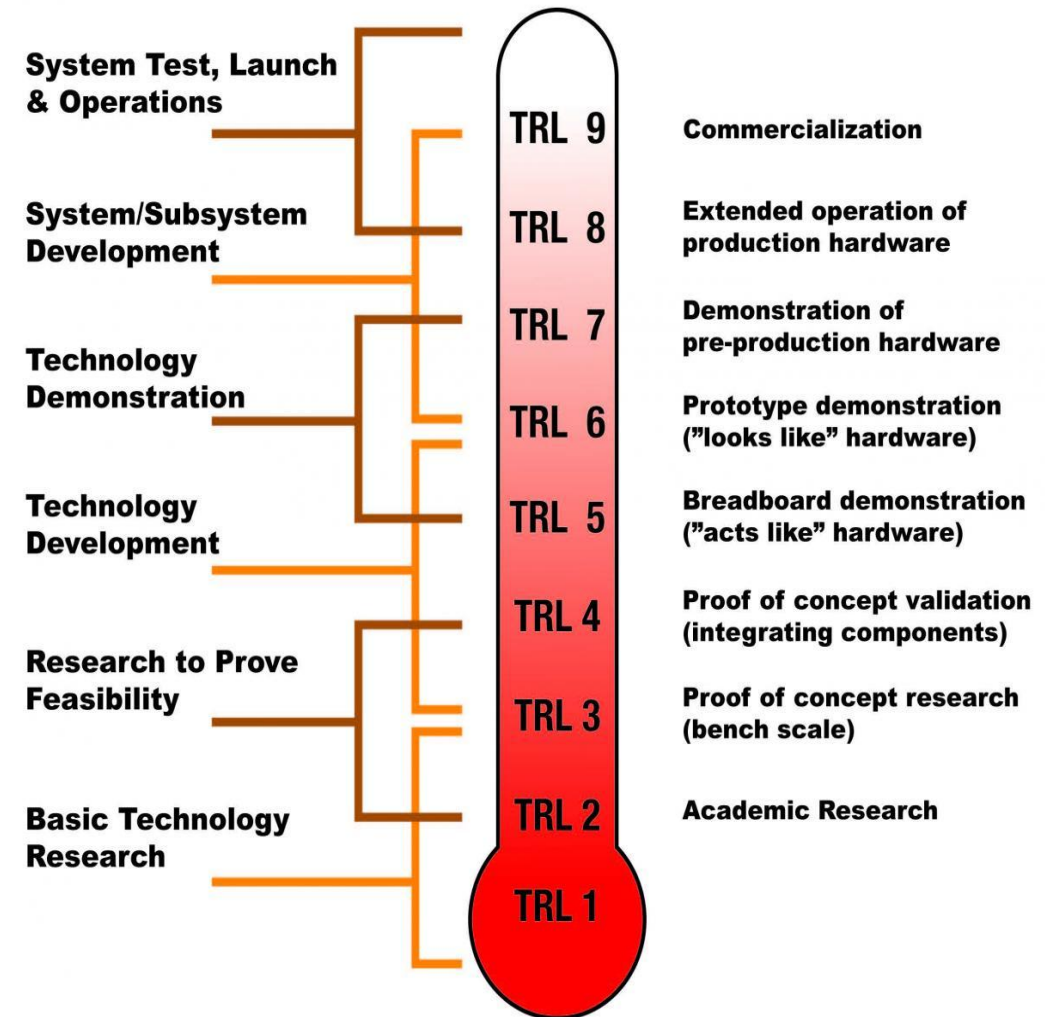- **Debt finance and equity investment**
  - Access to risk finance

Technology Readiness Levels (TRLs)

- ✓ **The TRL is a new dimension in Horizon 2020.**
- ✓ Many of the call topics have a defined TRL at which the implementation of the proposal is intended to start, as well as a target TRL.
- ✓ **The use of Technology Readiness Levels (TRLs) as a measurement of the maturity level of particular technologies is a new development in Horizon 2020.**

- ✓ **This measurement system provides a common understanding of technology status and addresses the entire innovation chain.**
- ✓ **By evaluating a technology project against the parameters for each Technology Readiness Level one can assign a TRL rating to the project based on its stage of progress.**
- ✓ **There are nine technology readiness levels; TRL 1 being the lowest and TRL 9 the highest.**

System Test, Launch & Operations

System/Subsystem Development

Technology Demonstration

Technology Development

Research to Prove Feasibility

Basic Technology Research

TRL 9 — Commercialization
TRL 8 — Extended operation of production hardware
TRL 7 — Demonstration of pre-production hardware
TRL 6 — Prototype demonstration ("looks like" hardware)
TRL 5 — Breadboard demonstration ("acts like" hardware)
TRL 4 — Proof of concept validation (integrating components)
TRL 3 — Proof of concept research (bench scale)
TRL 2 — Academic Research
TRL 1

Structure of the proposal

↗ ADMINISTRATIVE & FINANCIAL PARTS (PART A)
↗ WORK PLAN(PART B)

Part A: Administrative Forms (1)

1 - General information

Topic	
Call Identifier	
Type of Action	
Deadline Id	

- **A1: General Information**
  - Project Title
  - Akronym
  - Keywords
  - Abstract
  - Declarations

Acronym	
Proposal title*	*Max 200 characters (with spaces). Must be understandable for non-specialists in your field.*
	Note that for technical reasons, the following characters are not accepted in the Proposal Title and will be removed: < > " &
Duration in months	*Estimated duration of the project in full months.*
Free keywords	Enter any words you think give extra detail of the scope of your proposal (max 200 characters with spaces).

Abstract

Short summary (max. 2,000 characters, with spaces) to clearly explain:
- the objectives of the proposal
- how they will be achieved
- their relevance to the work programme.
Will be used as the short description of the proposal in the evaluation process and in communications with the programme management committees and other interested parties.
- Do not include any confidential information.

Declarations

1) The coordinator declares to have the explicit consent of all applicants on their participation and on the content of this proposal.

2) The information contained in this proposal is correct and complete.

3) This proposal complies with ethical principles (including the highest standards of research integrity — as set out, for instance, in the European Code of Conduct for Research Integrity — and including, in particular, avoiding fabrication, falsification, plagiarism or other research misconduct).

4) The coordinator confirms:

- to have carried out the self-check of the financial capacity of the organisation on http://ec.europa.eu/research/participants/portal/desktop/en/organisations/lfv.html or to be covered by a financial viability check in an EU project for the last closed financial year. Where the result was "weak" or "insufficient", the coordinator confirms being aware of the measures that may be imposed in accordance with the H2020 Grants Manual (Chapter on Financial capacity check); or

- is exempt from the financial capacity check being a public body including international organisations, higher or secondary education establishment or a legal entity, whose viability is guaranteed by a Member State or associated country, as defined in the H2020 Grants Manual (Chapter on Financial capacity check); or

- as sole participant in the proposal is exempt from the financial capacity check.

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

- they are fully eligible in accordance with the criteria set out in the specific call for proposals; and

- they have the financial and operational capacity to carry out the proposed action.

The coordinator is only responsible for the correctness of the information relating to his/her own organisation. Each applicant remains responsible for the correctness of the information related to him/her and declared above. Where the proposal to be

2 - Administrative data of participating organisations

PIC	Legal name
Short name:	

Address of the organisation

Street	
Town	
Postcode	
Country	
Webpage	

Legal Status of your organisation

Research and Innovation legal statuses

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

Enterprise Data

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

A2:Administrative data of all participating institutions
- All beneficiaries need to have a valid PIC number
- Contact persons from each institution should

Part A to be completed online

- **A3: Budget**
  - Budget per beneficiary
  - Indirect costs are calculated automatically

3 - Budget for the proposal

No	Participant	Country	(A) Direct personnel costs/€	(B) Other direct costs/€	(C) Direct costs of sub-contracting/€	(D) Direct costs of providing financial support to third parties/€	(E) Costs of inkind contributions not used on the beneficiary's premises/€	(F) Indirect Costs / € (=0.25(A+B-E))	(G) Special unit costs covering direct & indirect costs / €	(H) Total estimated eligible costs / € (=A+B+C+D+F +G)	(I) Reimburse-ment rate (%)	(J) Max.EU Contribution / € (=H*I)	(K) Requested EU Contribution/ €
			?	?	?	?	?	?	?	?	?	?	?
1			0	0	0	0	0	0,00	0	0,00	100	0,00	0,00
	Total		0	0	0	0	0	0,00	0	0,00		0,00	0,00

Part A to be completed online

A4: Ethic Issues

4 - Ethics issues table

1. HUMAN EMBRYOS/FOETUSES		Page
Does your research involve Human Embryonic Stem Cells (hESCs)?	○ Yes ● No	
Does your research involve the use of human embryos?	○ Yes ● No	
Does your research involve the use of human foetal tissues / cells?	○ Yes ● No	
2. HUMANS		Page
Does your research involve human participants?	○ Yes ● No	
Does your research involve physical interventions on the study participants?	○ Yes ● No	
3. HUMAN CELLS / TISSUES		Page
Does your research involve human cells or tissues (other than from Human Embryos/ Foetuses, i.e. section 1)?	○ Yes ● No	
4. PERSONAL DATA		Page
Does your research involve personal data collection and/or processing?	○ Yes ● No	
Does your research involve further processing of previously collected personal data (secondary use)?	○ Yes ● No	
5. ANIMALS		Page
Does your research involve animals?	○ Yes ● No	

6. THIRD COUNTRIES		Page
In case non-EU countries are involved, do the research related activities undertaken in these countries raise potential ethics issues?	○ Yes ● No	
Do you plan to use local resources (e.g. animal and/or human tissue samples, genetic material, live animals, human remains, materials of historical value, endangered fauna or flora samples, etc.)?	○ Yes ● No	
Do you plan to import any material - including personal data - from non-EU countries into the EU? *For data imports, please fill in also section 4. For imports concerning human cells or tissues, fill in also section 3.*	○ Yes ● No	
Do you plan to export any material - including personal data - from the EU to non-EU countries? *For data exports, please fill in also section 4. For exports concerning human cells or tissues, fill in also section 3.*	○ Yes ● No	
If your research involves low and/or lower middle income countries, are benefits-sharing measures foreseen?	○ Yes ● No	
Could the situation in the country put the individuals taking part in the research at risk?	○ Yes ● No	
7. ENVIRONMENT & HEALTH and SAFETY		Page
Does your research involve the use of elements that may cause harm to the environment, to animals or plants? *For research involving animal experiments, please fill in also section 5.*	○ Yes ● No	
Does your research deal with endangered fauna and/or flora and/or protected areas?	○ Yes ● No	
Does your research involve the use of elements that may cause harm to humans, including research staff? *For research involving human participants, please fill in also section 2.*	○ Yes ● No	
8. DUAL USE		Page
Does your research have the potential for military applications?	○ Yes ● No	
9. MISUSE		Page
Does your research have the potential for malevolent/criminal/terrorist abuse?	○ Yes ● No	
10. OTHER ETHICS ISSUES		Page
Are there any other ethics issues that should be taken into consideration? Please specify	○ Yes ● No	

Part A to be completed online

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Part B – WORK PLAN

- *As an example <u>RIA template </u>will be presented.*

 For 1st stage proposals the section 1 and 2 need to be submitted!

- Sections of part B:
- 1. Excellence
- 2. Impact
- 3. Quality and Efficiency of the implementation
- 4. Member so the Consortium
- 5. Ethic and Security issues

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Table of Contents

1.1 **Objectives** =>Clear, pertinent and measurable objectives, credibility of the scientific approach…

1.2 **Relation to the work programme** => addressing the challenge and the scope

1.3 **Concept and Methodology** => novel approach, addresses challenges from the call, beyond the state-of-the-art, description of the methodology + cross-cutting issues (e.g. **RRI**)

1.4 **Ambition** => Ground-breaking nature of the objectives, concept , trans-disciplinarily considered, innovation potential, SWOT Analysis,…

SMART objectives

- **Specific** – Objectives should specify what they want to achieve.

- **Measurable** – You should be able to measure whether you are meeting the objectives or not.

- **Achievable** - Are the objectives you set, achievable and attainable?

- **Realistic** – Can you realistically achieve the objectives with the resources you have?

- **Time** – When do you want to achieve the set objectives?

2.1 **Expected impacts =>** impact indication can be found in Work programme and specific Call;

=> Enhancing innovation capacity and integration of new knowledge

=> Strengthening the competitiveness and growth of companies by developing innovations meeting the needs of European and global markets

Expected Impact:

The implementation of novel smart material technologies is expected to pave the way for innovative environmentally friendly smart products:

- Enhancing the market opportunities for European industries;
- Improving consumer safety;
- Reducing maintenance costs;
- Improving resource efficiency;
- Contributing to a future circular economy;
- Improved understanding of materials properties based on theoretical materials models.

Enhancing the knowledge base in the EU not only at the R&D level but also at the manufacturing and production level, creating a highly skilled workforce with improved levels of job satisfaction.

Proposals should include a business case and exploitation strategy, as outlined in the Introduction to the LEIT part of this Work Programme.

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Impact (2)

- Supporting the expected impact with quantitative information
- Appropriate measurable indicators to convincingly demonstrate how the projects will contribute to all the expected impacts
- Respond to the expected impact of the work programme
- Justify the reasons for focusing on a specific area of the call and how this is reflected in the expected impacts
- Explain how innovation capacity will be enhanced
- Explain any impacts beyond those expected by the call

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2.2 **Measures to maximize impacts**

a) _Dissemination and exploitation_

- a draft plan for the dissemination and exploitation of the project´s results

- decision about the participation in pilot on open research data; outline of knowledge management and protection (incl. measures to provide open access, IPR…), business plan

- …

b) _Communication activities_ (target groups, stakholders and measures, communication strategy)

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Impact (4)

Exploitation, dissemination and Communication

- Clearly explain how IP will be managed (with the details for the Consortium Agreement)
- Justify confidential deliverables and why dissemination is not hampered
- Explain how open access will be ensured
- Credibly describe exploitation and uptake beyond the project and how long-term sustainability is accomplished
- Measures tailored to project and target audience
- Clearly define the different target audiences, including media and public

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3. Implementation

- 3.1 **Work plan - Work packages, deliverables** => overall structure of the project, coherent and effective work plan, description of the Work package and tasks, list of deliverables incl. appropriate of the allocation of tasks and resources

- 3.2 **Management structure and procedures** incl. critical risk and mitigation measurers, milestones, appropriate management structure connected innovation management process and exploitation plan.

- 3.3. **Consortium as a whole** => description of the consortium, involvement of industrial/commercial participants, involvement of other countries.

- 3.4 **Resources to be committed** => completed financial tables (PMs per WP), justification of the "other direct costs" items for each participant (=only if the total exceeds 15% of personnel costs for that participant)

Page limit: For full proposals, the cover page, and sections 1, 2 and 3, together should not be longer than 70 pages (for RIA actions!)

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Implementation - TIPS (2)

Work plan and resources

✗ Activities and resources responding to the Type of Action, the challenge and methodology

✗ Clear and credible interactions and integration between WPs and partners, including for interdisciplinary work

✗ Linkage between responsibilities – tasks – deliverables – resources

✗ Clear roles with task allocation corresponding to partner profiles and adequate number of actors

✗ Adequate use and number of deliverables and milestones for proper monitoring of progress

✗ Appropriate management resources for the size and complexity of the project

✗ Budget for collaboration with other projects

✗ Innovation Actions (IA) – Timing of the demonstration

Exploitation in H2020 funded projects

H2020 funded projects are obliged (GA) to exploit and impact the market:

"The dissemination and transfer of knowledge is a key added value of European research actions, and measures shall be taken to increase the use of results by the research community, industry, policy makers and society"

Rules for Participation

*Article 43 - **Exploitation and dissemination of results***
"Each participant that has received Union funding shall use its best efforts to exploit the results it owns, or to have them exploited by another legal entity, in particular through the transfer and licensing of results in accordance with Article 44."

Rules for participation and dissemination in "Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020) - TITLE III - RULES GOVERNING THE EXPLOITATION AND DISSEMINATION OF RESULTS

Source: EC and Haivisio

DISSEMINATION-EXPLOITATION&VALORIZATION

In projects funded under H2020 beneficiaries have the obligation to define the expected results and their strategy for exploitation and dissemination.

Key terms:

Dissemination: Means trough which research results are presented to the public

RESULTS: All results which are generated under the project – whether or not protectable

Exploitation: Utilisation (direct/indirect) of results in research activities, which are not part of the project, as well as utilisation for further development, creation and marketing of a product or process.

Valorization: Use, for socio-economic purposes, of the results of research financed by public authorities. It represents society's direct and indirect return on the public sector's investment in research and development

Intellectual Property Rights are usually included in the Consortium Agreement of the project, which clarifies the relationship among the project partners.

It is always advisable to **clarify the ownership of results** within the consortium once they have been created, **before the partners start setting up exploitation strategies!**

Source: EC and Haivisio

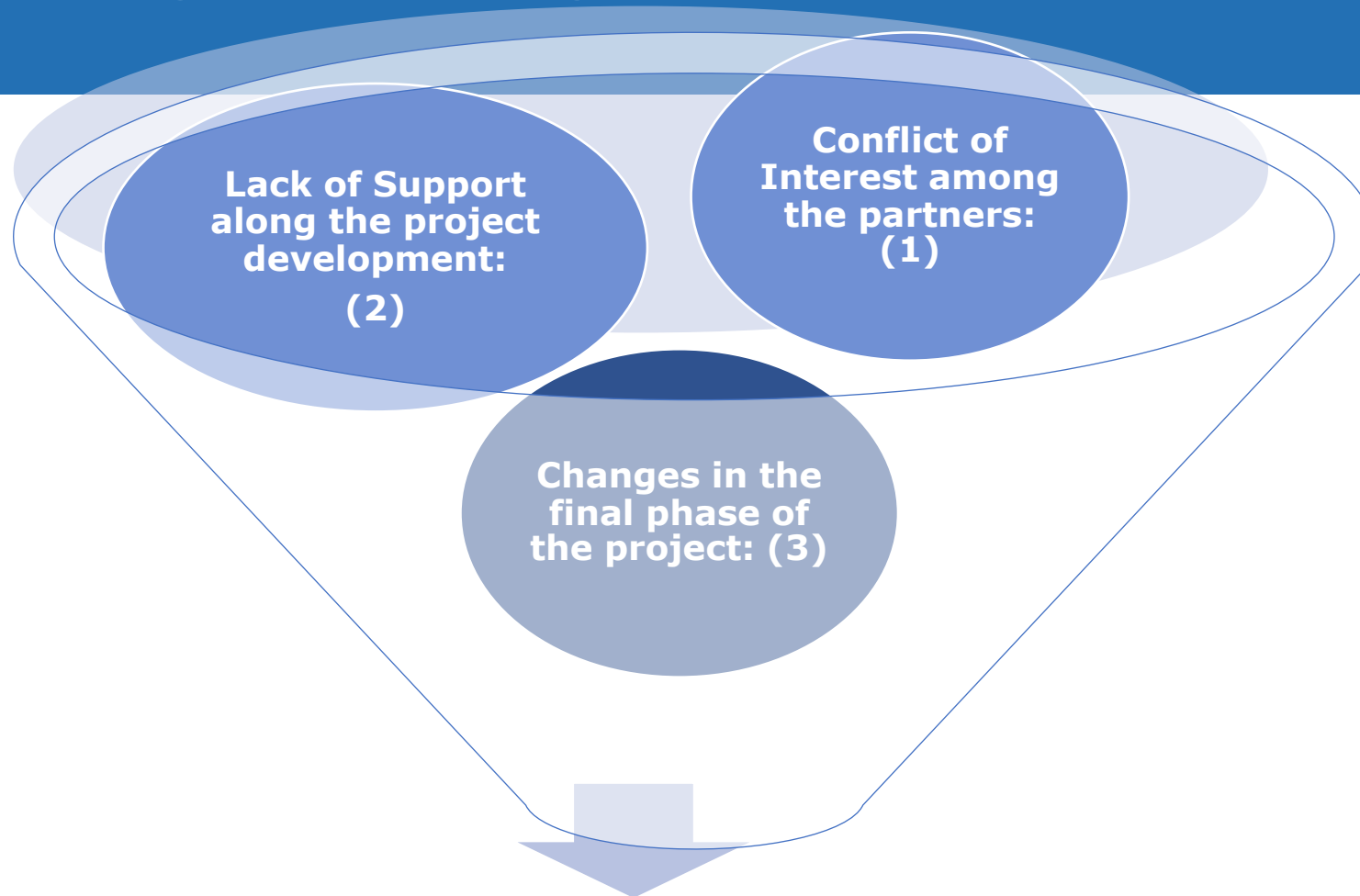STRENGTHENING R&I ⟶ LINKS TOWARDS UKRAINE

IP MANAGAMENT

- Which knowledge are we exchanging?
- Under which conditions?
- Who will be the owner of the results?
- What happens in cases of joint ownership?
- Who and how will exploit the results?
- How are we protecting confidential information?
- How are we going to share the revenues?

IPR	TYPE OF OUTCOME
Patent	New inventions
Utility model	New inventions
Trade Marks	Distinctive signs
Industrial Design	Appearance of products
Copyright	Literary, artistic and scientific works
Confidentiality	Confidential business information/trade secrets

Source: Ramocki, J., "Intellectual Property in Horizon 2020 – overview with a focus on comparison with FP7", European IPR Helpdesk Bulletin, N°11, October - December 2013:
http://www.iprhelpdesk.eu/sites/default/files/newsdocuments/IPR_Bulletin_No11-1.pdf

INTELLECTUAL PROPERTY ISSUES

Lack of Support along the project development: (2)

Conflict of Interest among the partners: (1)

Changes in the final phase of the project: (3)

The Consoritum Agreement is the best way to prevent these type of Risks. It stablishes conditions concerning IP and way-out rules

Implementation - TIPS (3)

Risk management

✗ Key risks covered and risk level indicated

✗ Effective mitigation measures and contingency plans

Management structure

✗ Tailored to size, nature and complexity of the project

✗ Clearly identified roles, composition and interaction of management and advisory bodies, including decision making

✗ Appropriate to deal with the innovation process - Innovation management

✗ Credible mechanisms for quality assurance and performance monitoring

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- ⚠ **no page limit**

- 4.1 **Participants** => short description of the participants incl. their expertise, involvement in tasks, short CVs, list of 5 relevant publications, list of 5 relevant projects

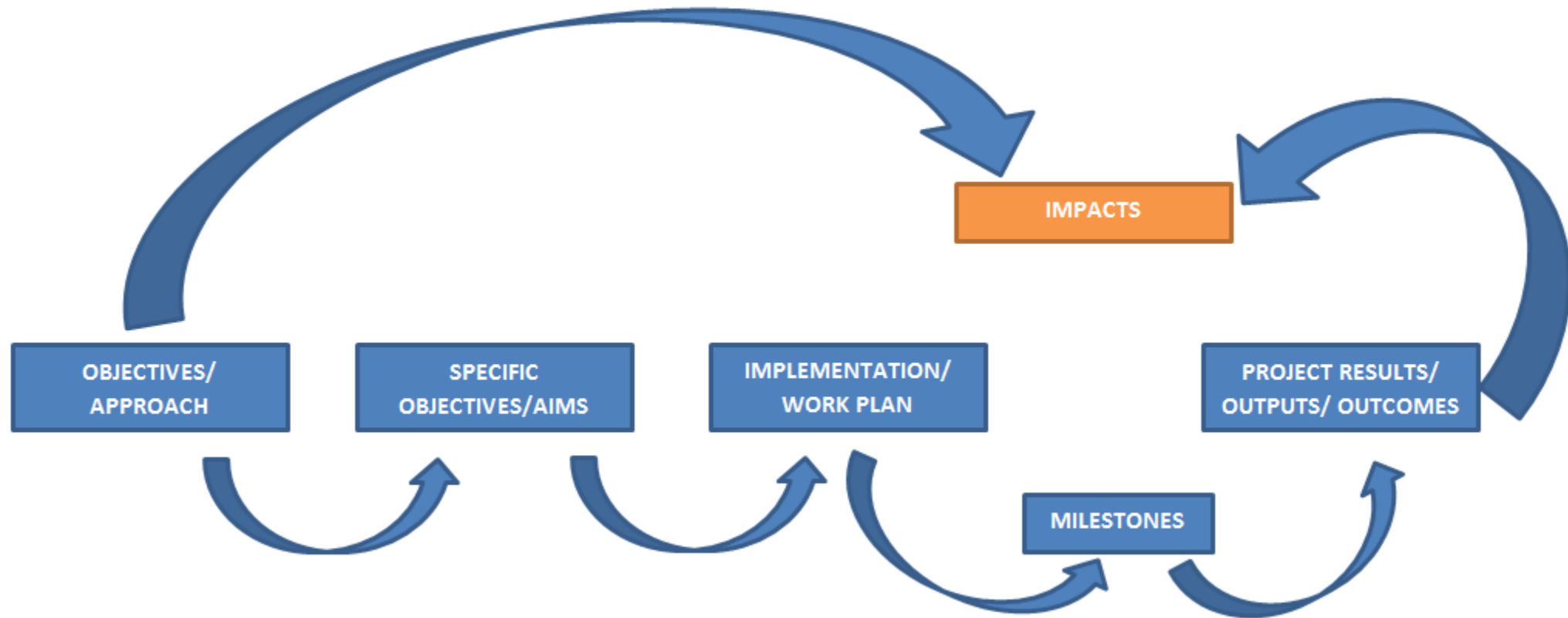- 4.2. **Third parties involved**

- ⚠️ **no page limit**

- **5.1 Ethics** => to be completed very carefully. Depending on research to be carried on the submission of the ethic self-assessment document as well as other necessary documents may be requested in the application.

- **5.2. Security** => answer to the questions listed.

Submission

Instrument Selection

Pre-registration

Consortia Set-up

Consortia set-up

Submission Summary

Administrative Forms

Proposal

RECEIPT

Source: REA
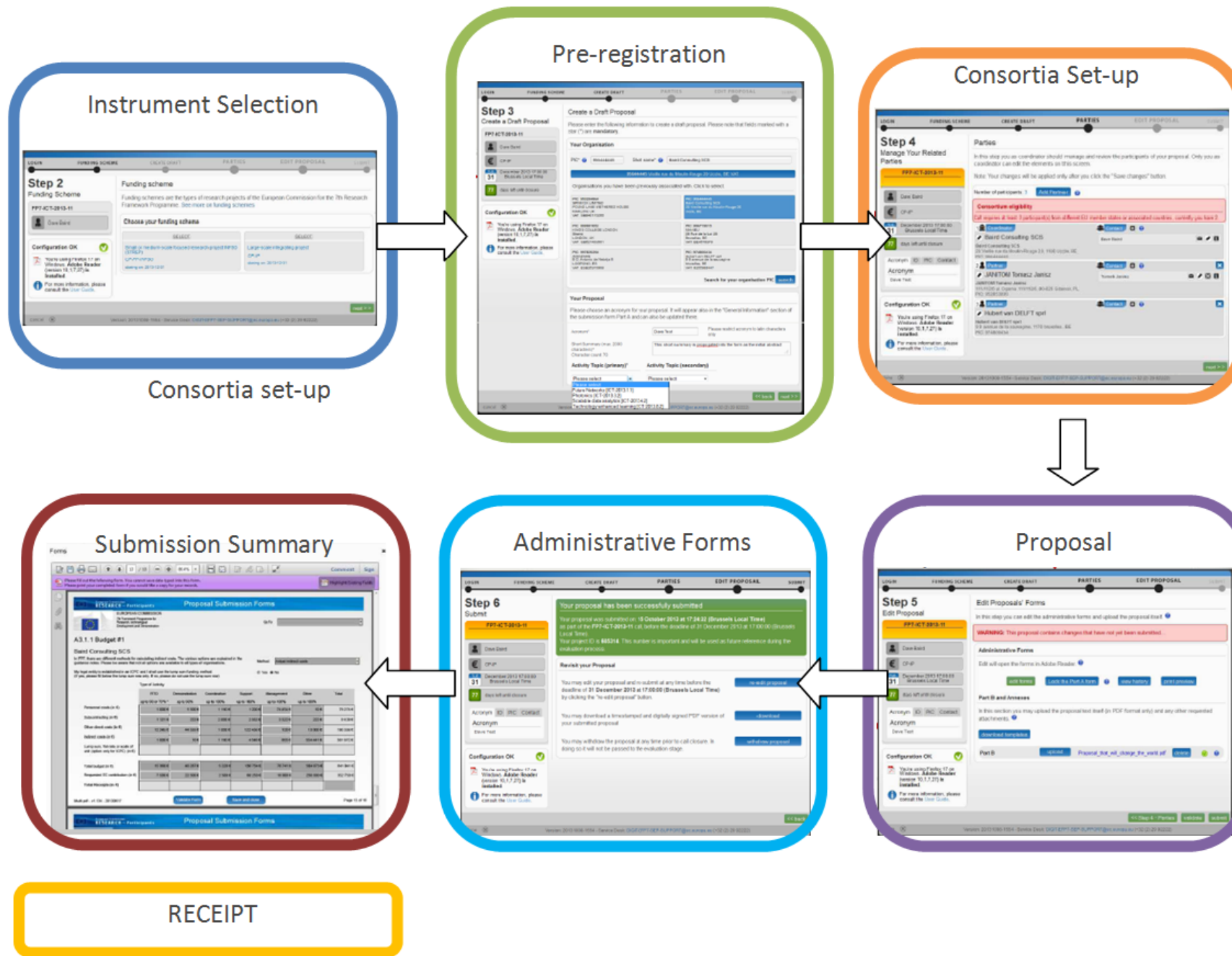
Evaluation

Evaluation criteria

STANDARD AWARD CRITERIA

| EXCELLENCE | IMPACT | QUALITY & EFFICIENCY OF THE ACTION |

✓ **ERC** frontier Research actions ➤➤ only EXCELLENCE

✓ Innovation actions ➤➤ higher weighting for "IMPACT"

Proposal evaluated by the experts "as it is"

and not as "what could be" = no need for negotiation

Evaluation Criteria

Excellence	Impact	Implementation
Clarity and pertinence of the objectives	Expected impacts as described in the topic	Coherence and effectiveness of the work plan
Credibility of the approach	Enhancing innovation capacity	Appropriate allocation of tasks and resources
Soundness of the concept	Strengthen the competitiveness and growth of companies	Complementarity of participants
Ambition, innovation potential (beyond state of the art)	Dissemination of project results	Appropriate management structures and procedures
Min 3 out of 5	**Min 3 out of 5**	**Min 3 out of 5**
Overall: Min 10 out of 15		

Tips for succesful proposal writing

Some tips for succesful proposal*

- **Ensure your proposed objectives and work plan meets the challenges addressed by the call**.
- **Follow exactly the structure given in the guide for applicants**.
- **Be as concise and precise as possible**. Avoid general statements.
- The **consortium of partners must be excellent and appropriate to carry out the tasks**.
- **Do not overcrowd objectives** and **show how you achieve them.**
- **Have the evaluator and the evaluation criteria** at the forefront when writing the proposal.
- **Select the best partners and have an experienced coordinator.**
- **Treat each section as if it is the most important section**.

Some tips for succesful proposal*

- **Treat each section as if it is the most important section**.
- Think about presentation and the layout of the proposal. **Use diagrams to explain complex concepts.**
- **Proof-read and check for spelling mistakes**
- **Sell, don't tell**. Make the evaluator feel your passion. In addition to having an excellent idea which is the basis of any successful proposal, researchers must *sell* the concept to the evaluators. and overall flow of the narrative.
- The Project has to serve the needs of the European Community / European Policies (Impact)

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Grant Agreement preparation

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Grant Agreement Preparation Phase

The importance of Grant Agreement Preparation Phase

➲ gather legal, administrative and financial information from all prospective beneficiary (project participant)

➲ make sure the <u>Description of the Action </u>(DoA, Annex 1 to the grant agreement) and the <u>Estimated budget </u>for the action (Annex 2) match the proposal, any relevant information in the invitation to prepare the grant agreement, and the ethics review report or/and the security scrutiny report

➲ establish <u>the key points </u>of the grant agreement (when the project starts, reporting periods, amount of pre-financing, need for consortium agreement, and, if applicable, ethical issues, third parties linked to the beneficiaries, in-kind contributions provided by third parties, subcontracting)

➲ verify the financial capacity (principally, this concerns certain types of coordinators only, other participants will be check in exceptional cases)
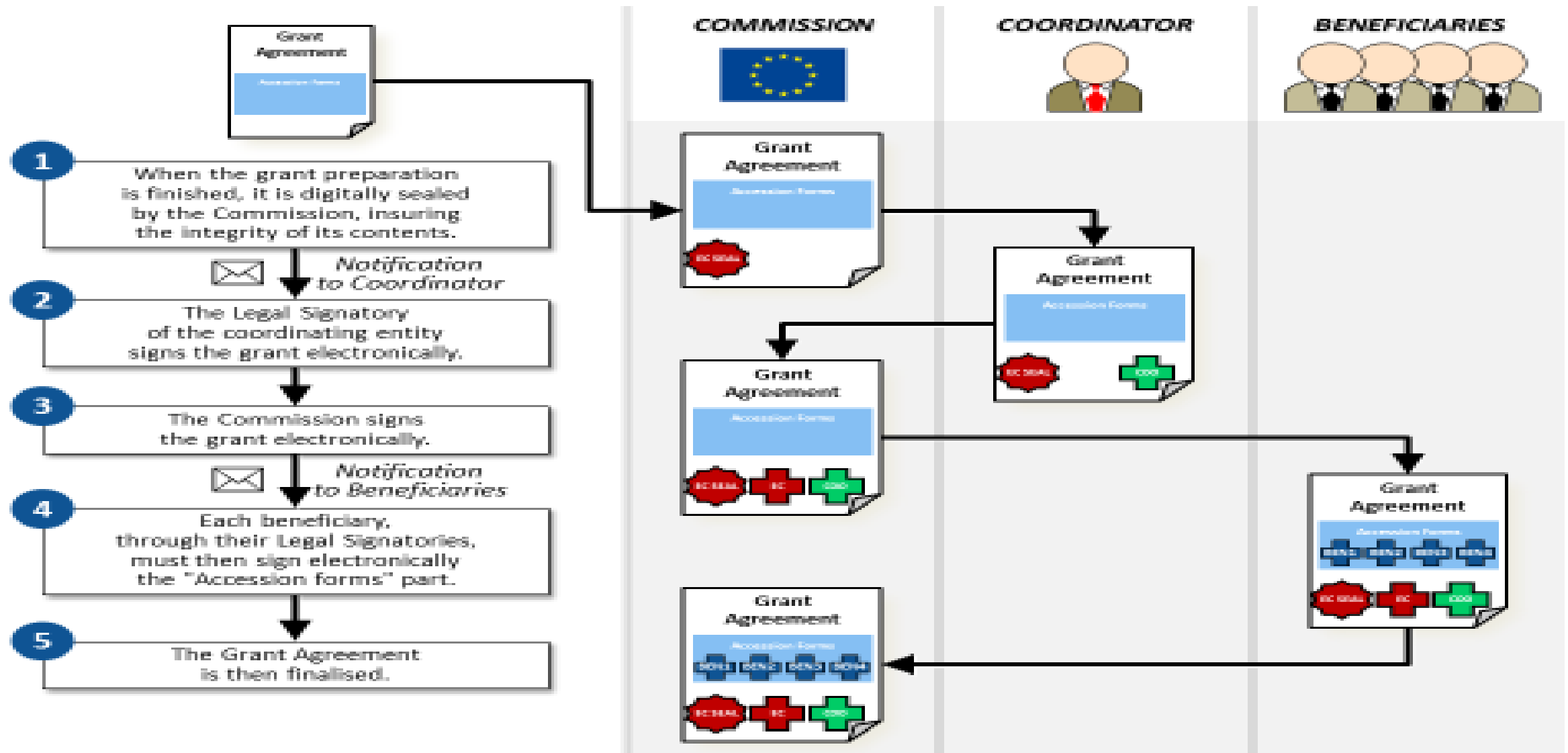
Grant Agreement Preparation Phase

When a H2020 proposal is successful..

-The Coordinator of the consortium receives the 'Evaluation Summary Report' and the Letter/ Invitation for the grant preparation phase.

-An EC Project Officer is assigned to be responsible for the preparation phase

↘ **3 weeks after**: deadline for the submission of the grant agreement data, including annexes. The Coordinator needs to indicate changes/amendments, if any, in the future Description of the Action (Annex 1 of the future Grant Agreement) and justify the reason(s).

↘ **5 weeks after:** Following the assessment of the submitted version of the grant agreement data (by the EC PO), Coordinator will have to submit the final version taking into consideration all requirements highlighted by the Project Officer.

↘ **6 weeks after:** deadline for the electronic signature of the participants' declarations of honour.

↘ **7 weeks after:** deadline for all consortium partners (LEAR) to electronically sign the grant agreement on behalf of their entity.

Grant Agreement Preparation Phase

1 When the grant preparation is finished, it is digitally sealed by the Commission, insuring the integrity of its contents.

Notification to Coordinator

2 The Legal Signatory of the coordinating entity signs the grant electronically.

3 The Commission signs the grant electronically.

Notification to Beneficiaries

4 Each beneficiary, through their Legal Signatories, must then sign electronically the "Accession forms" part.

5 The Grant Agreement is then finalised.

COMMISSION

COORDINATOR

BENEFICIARIES

Remarks

- ✓ Failure to respect the <u>deadlines</u> indicated will be considered as a wish not to enter into, or continue with, the grant preparation and, therefore, to withdraw your proposal
- ✓ The entire grant preparation process, including communication with the Commission and the subsequent signature of the Grant Agreement , shall be carried out EXCLUSIVELY through the Participant Portal Grant Management Service (PP GMS).
- ✓ Some information related to the legal and financial status of participants is <u>read-only</u> and may only be updated by the Legal Entity Appointed Representative (LEAR) of the concerned entity (E.g. Declaration of honour, signature of grant agreement)
- ✓ Further information: H2020 Online Manual on the Participant Portal

Important "Roles" and Participant Portal User Rights for the Grant Agreement Preparation Phase;

✓ For the coordinating organisation:
 - Primary coordinator contact (PCoCo)
 - Legal entity appointed representative (LEAR)
 - Project Legal signatory (PLSIGN)

✓ For other beneficiaries:
 - Participant contact (PaCo)
 - Legal entity appointed representative (LEAR)
 - Project Legal Signatory (PLSIGN)

THANK YOU FOR YOUR ATTENTION!

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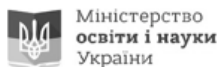H2020 National NCP
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