H2020 proposal preparation

RI-Links2UA | Horizon 2020 Info Day
8 June, 2018
Acknowledgement

Slides, prepared by Gorazd Weiss are used in this presentation
Today’s topics

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

3. STRUCTURE OF THE PROPOSAL
   • Administrative & financial parts (part A)
   • Proposal (part B)
Project Management Cycle in H2020 projects

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

2. Project/Proposal preparation, design and planning
   - Proposal writing
   - Project Budget Proposal submission
   - ECAS (EU Portal)

3. Evaluation of the proposal by independent experts

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

5. Project Implementation, Monitoring and reporting

6. Project closure & final scientific and financial reporting
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, 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)
  • EU policies (http://ec.europa.eu/policies/index_en.htm)
• Read the latest scientific papers related to your topic
Try to answer the following questions:

- **What kind of project** will I implement? (scope, limits, objectives, expected impact)
- What will I do with the **results**? (exploitation, dissemination, knowledge transfer)
- **With whom** will I implement this project? Who does what? (consortium, respective tasks, responsibilities)
- **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)
How to find funding for your research idea?

- Horizon 2020 offers a variety of funding opportunities
  - project idea => appropriate call:
    - [https://ec.europa.eu/info/funding-tenders_en](https://ec.europa.eu/info/funding-tenders_en)

- H2020 PARTICIPANT PORTAL
How to find funding for your research idea? (2)

- H2020 -> funding opportunities
- Search by topic/call ID...
What is the role of my institution in the proposal consortium?
Am I ready to coordinate / be a partner?

Roles:
- Coordinator
- Partner
- Third party
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...
Information about administrative issues

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

• 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...)

PROJECT IDENTIFICATION
Partner Search

- Online Partner search databases
- Bilateral contacts
- Bilateral projects
- Young researchers
- Brokerage events
- International conferences/ workshops
APPLICATION PROCEDURES (1 OR 2 STAGE PROPOSALS)
TYPES OF ACTIONS (PROPOSALS) IN HORIZON 2020
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

✓ Defining the project’s objectives, purpose, expected outputs, impacts and activities and overall budget
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.
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

<table>
<thead>
<tr>
<th>Type of Action</th>
<th>Code</th>
<th>Minimum Conditions</th>
<th>Funding Rate</th>
<th>Typical Duration</th>
<th>Average EC Contribution</th>
<th>Aim</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research &amp; Innovation Action</td>
<td>RIA</td>
<td>≥ 3 legal entities from 3 MS/AC</td>
<td>100%</td>
<td>36-48 months</td>
<td>€ 2.0 - 5.0M</td>
<td>collaborative research projects</td>
</tr>
<tr>
<td>Innovation Action</td>
<td>IA</td>
<td>≥ 3 legal entities from 3 MS/AC</td>
<td>70%</td>
<td>30-36 months</td>
<td>€ 2.0 - 5.0M</td>
<td>produce plans &amp; arrangements or designs for new, altered or improved products, processes or services</td>
</tr>
<tr>
<td>Coordination &amp; Support Action</td>
<td>CSA</td>
<td>1 legal entity</td>
<td>100%</td>
<td>12-30 months</td>
<td>€ 0.5 - 2.0M</td>
<td>accompanying measures (standardisation, dissemination, policy dialogues etc.) no research</td>
</tr>
<tr>
<td>MSCA (except Cofund)</td>
<td>MSAC</td>
<td>see separate factsheet</td>
<td></td>
<td></td>
<td></td>
<td>facilitate mobility of researchers for training &amp; career development</td>
</tr>
<tr>
<td>ERC Grants</td>
<td>ERC</td>
<td>1 legal entity in MS/AC</td>
<td>100%</td>
<td>60 months</td>
<td>Starting: ≤ € 2.0M Consolidator: ≤ € 2.75M Advanced: ≤ € 3.5M</td>
<td>support excellent investigators and their research teams to pursue groundbreaking, high-gain/high-risk research</td>
</tr>
</tbody>
</table>
| 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:               | combination of demonstration activities (testing, prototyping, ...), market replication |
| Fast Track to Innovation           | FTI  | ≤ 5 legal entities from 5 MS/AC | 70%          | 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

Source: https://www.euresearch.ch
Structure of the proposal

- ADMINISTRATIVE & FINANCIAL PARTS (PART A)
- WORK PLAN (PART B)
Part A: Administrative Forms (1)

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

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

Part A to be completed online
### Part A: Administrative Forms (2)

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

#### 3 - Budget for the proposal

<table>
<thead>
<tr>
<th>No</th>
<th>Participant</th>
<th>Country</th>
<th>(A) Direct personnel costs/E</th>
<th>(B) Other direct costs/E</th>
<th>(C) Direct costs of sub-contracting/E</th>
<th>(D) Direct costs of providing financial support to third parties/E</th>
<th>(E) Costs of in-kind contributions not used on the beneficiary’s premises/E</th>
<th>(F) Indirect Costs / € ((=0.25(A+B+E)))</th>
<th>(G) Special unit costs covering direct &amp; indirect costs / €</th>
<th>(H) Total estimated eligible costs / € ((=A+B+C+D+F+G))</th>
<th>(I) Reimbursement rate (%)</th>
<th>(J) Max EU Contribution / € ((=H\times I))</th>
<th>(K) Requested EU Contribution / €</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0.00</td>
<td>0</td>
<td>0</td>
<td>100</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td></td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0.00</td>
<td>0</td>
<td>0</td>
<td>100</td>
<td>0.00</td>
<td>0.00</td>
</tr>
</tbody>
</table>

*Part A to be completed online*
## Part A: Administrative Forms (2)

### A4: Ethic Issues

#### 4 - Ethics issues table

<table>
<thead>
<tr>
<th>Section</th>
<th>Yes</th>
<th>No</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Human Embryos/Placentauses</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does your research involve Human Embryonic Stem Cells (hESCs)?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does your research involve the use of human embryos?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does your research involve the use of human foetal issues / cells?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Humans</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does your research involve human participants?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does your research involve physical interventions on the study participants?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Human Cells / Tissues</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does your research involve human cells or tissues (other than from Human Embryonic Stem Cells, i.e. section 1)?</td>
<td>Yes</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>4. Personal Data</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does your research involve personal data collection and/or processing?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does your research involve further processing of previously collected personal data (secondary use)?</td>
<td>Yes</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>5. Animals</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does your research involve animals?</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

---

**Part A to be completed online**

---

### PROJECT PREPARATION, DESIGN AND PLANNING

<table>
<thead>
<tr>
<th>6. Third Countries</th>
<th>Yes</th>
<th>No</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>In case non-EU countries are involved, do the research related activities undertaken in these countries raise potential ethics issues?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>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.)?</td>
<td>Yes</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>Do you plan to import any material - including personal data - from non-EU countries into the EU?</td>
<td>Yes</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>If your research involves low and/or lower middle income countries, are benefits being shared with countries forseen?</td>
<td>Yes</td>
<td>No</td>
<td></td>
</tr>
</tbody>
</table>

---

<table>
<thead>
<tr>
<th>7. Environment and Safety</th>
<th>Yes</th>
<th>No</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does your research involve the use of elements that may cause harm to the environment, to animals or plants?</td>
<td>Yes</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>Does your research deal with endangered fauna and/or flora and/or protected areas?</td>
<td>Yes</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>Does your research involve the use of elements that may cause harm to humans, including research staff?</td>
<td>Yes</td>
<td>No</td>
<td></td>
</tr>
</tbody>
</table>

---

<table>
<thead>
<tr>
<th>8. Dual Use</th>
<th>Yes</th>
<th>No</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does your research have the potential for military applications?</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

---

<table>
<thead>
<tr>
<th>9. Misuse</th>
<th>Yes</th>
<th>No</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does your research have the potential for mass killings/terrorist abuses?</td>
<td>Yes</td>
<td>No</td>
<td></td>
</tr>
</tbody>
</table>

---

<table>
<thead>
<tr>
<th>10. Other Ethics Issues</th>
<th>Yes</th>
<th>No</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Are there any other ethics issues that should be taken into consideration? Please specify</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Part B – Work Plan

• **RIA template example**

For 1\textsuperscript{st} 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
1. **Excellence**

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. Impact

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.
• 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
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, stakeholders and measures, communication strategy)
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 allocation of tasks and resources.

- **3.2 Management structure and procedures** incl. critical risk and mitigation measures, 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!)

---

**Important Note:**

- **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!).
More information

Horizon 2020 – Funding Project Life Cycle
http://ec.europa.eu/research/participants/docs/h2020-funding-guide/index_en.htm
In Youtube 6:29 minutes