From idea to submitted project under H2020

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Outline

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 Levels

3. **STRUCTURE OF THE PROPOSAL**
   - ADMINISTRATIVE & FINANCIAL PARTS (PART A)
   - PROPOSAL (PART B)
   - **TIPS FOR SUCCESFUL PROPOSAL**

4. **PROPOSAL SUBMITION**
5. **EVALUATION CRITERIA**
6. **GRANT AGREEMENT PREPARATION**
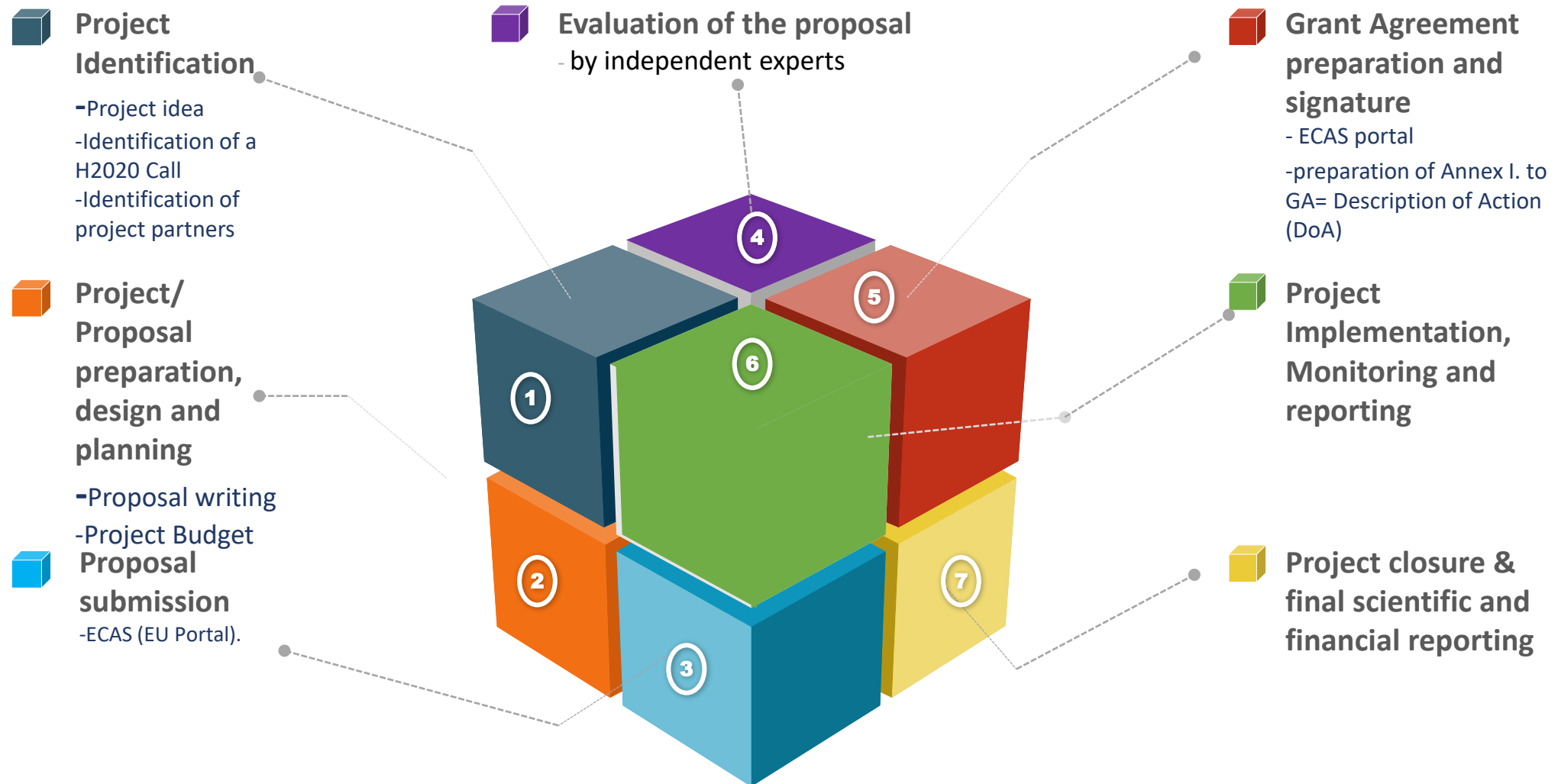7. **PROJECT IMPLEMENTATION**
   - Q&A

Where to start? What is the most important? (6=highest, 1=lowest)

- Assess and complement your resources
- Build human resources (train your staff etc)
- Build your own Network
- Consortium building
- Learn about your competition (former success rate, call budget)
- Select call topic

But the people thought so:

Build your own network

Select call topic

Assess and complement your resources

Build human resources (train your staff etc)

Learn about your competition (former success rate, call budget)

Consortium building
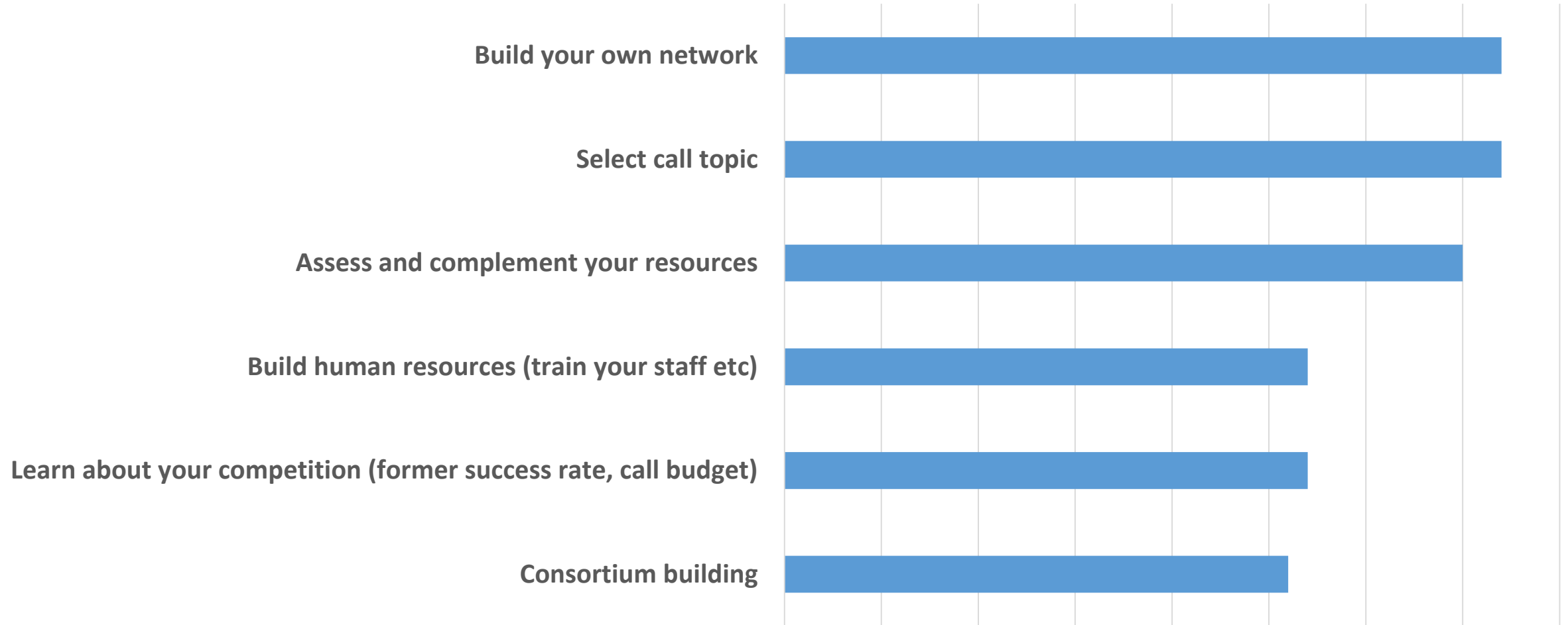
Project Management Cycle in H2020 projects

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

1
2
3
4
5
6
7

1 PROJECT IDENTIFICATION

↗ Project idea
↗ Identification of the call, partners

✓ *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

- **Project Idea** => concept with high innovation potential
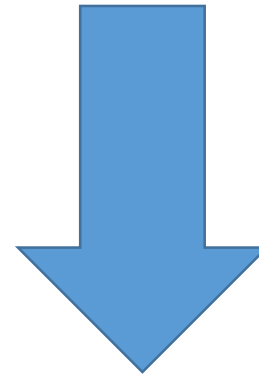
Innovation in H2020 =>> means successful exploitation of new ideas to produce tangible benefits, satisfying needs and wants

Innovation in Horizon 2020

- A balanced approach to research and innovation

  – not only limited to the development of new products and services on the basis of scientific and technological breakthroughs

  – but also incorporating aspects such as the use of existing technologies in novel applications and continuous improvements

- Activities closer to the market emphasise the widest possible use of knowledge generated by the supported activities up to the commercial exploitation of that knowledge

The definitions of the terms used are available in the Horizon 2020 Glossary on the Participant Portal

Cross-cutting issues

- Cross-cutting issues are fully integrated in the work programme (WP):
  - Social Sciences and Humanities (SSH) are integrated across all Horizon 2020 activities to successfully address European challenges
  - Gender dimension in the content of R&I - a question on the relevance of sex/gender analysis is included in proposal templates
  - The new strategic approach to international cooperation consists of a general opening of the WP and targeted activities across all relevant Horizon 2020 parts
    - ❑ The approach to providing 'automatic funding' to third country participants is restricted – see list of countries
    - ❑ You should check requests for 'exceptional funding'
  - Other cross-cutting issues such as science education, open access to scientific publications, ethics, standardisation, climate and sustainable development ... may also be included in the WP

- You need to take into account cross-cutting issues if explicitly mentioned under the scope or expected impact of the call or topic
  - A successful proposal is expected to include the above elements, or convincingly explain why not relevant in a particular case

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)

☞ **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)

How to find funding for your research idea?

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

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

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

☞ H2020 -> funding opporutunities

☞ Search by topic/call ID…

Role of your institution in project
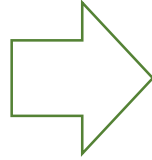
ROLES ➡️

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 work-plan description**

- **Roles:**

- **Work package leader**

- **Task leader**

- **Activity leader**

- **Task participant...**

Information about administrative issues

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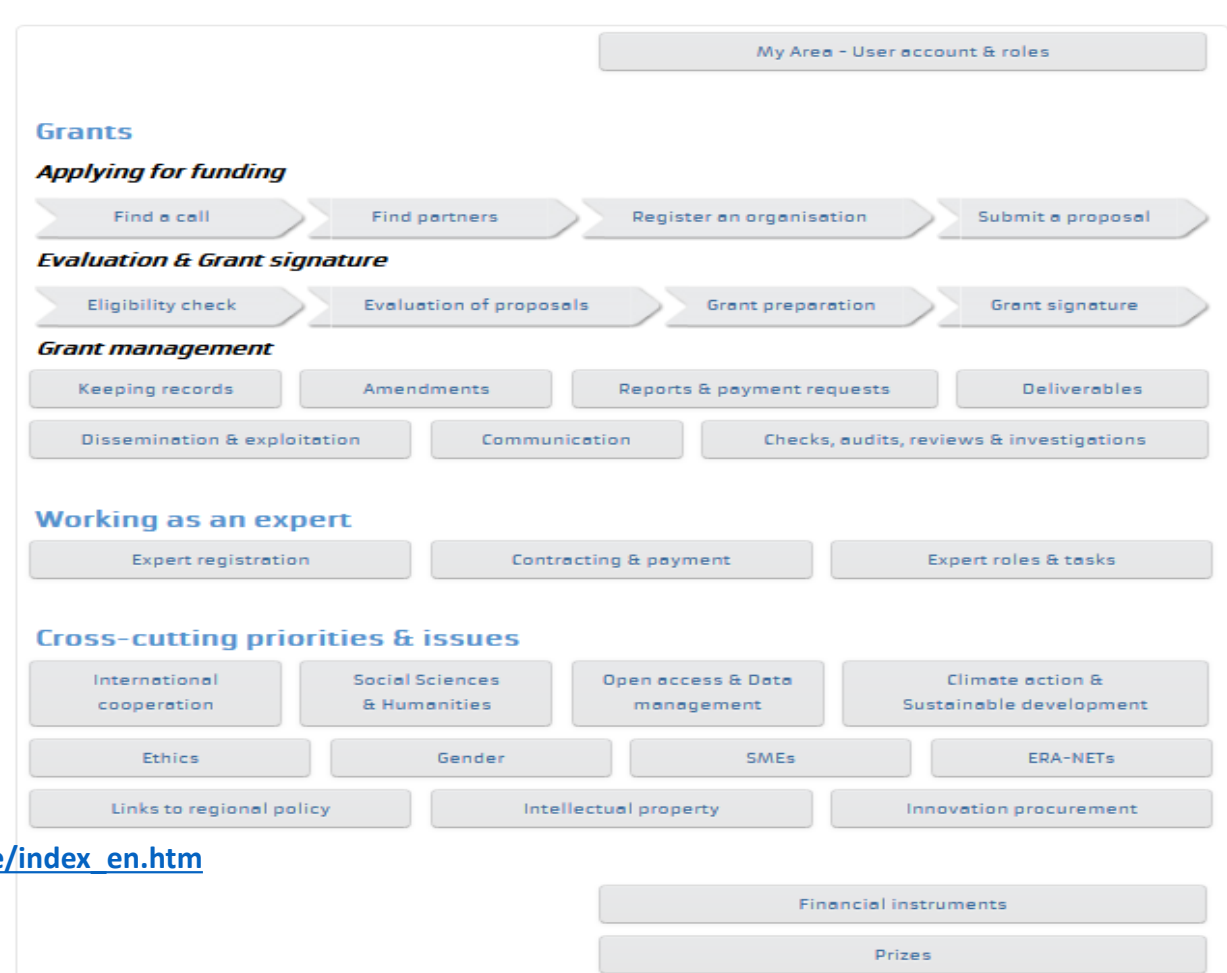
EUROPEAN COMMISSION
Directorate-General for Research & Innovation

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

# 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…)**

Partner Search

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

⇨
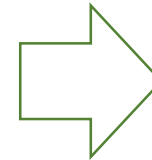
EAP Inco net Grants

Other Grants, Call for papers

Partner Search – Online Databases

- https://www.nmp-partnersearch.eu/

Partner Search – Online Databases

CORDIS
Community Research and Development Information Service

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

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]

http://cordis.europa.eu/projects/home_en.html

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

Administrative procedures

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

How to register on ECAS?

What is "ECAS" ?

ECAS means **E**uropean **C**ommission **A**uthentication **S**ystem.
It is the system for logging on to a whole range of web sites and online services run by the Commission.

This ensures a **secure, "single sign-on" approach**:
1 person = **1** e-mail address = **1** ECAS account.

The creation of an ECAS account is free and easy.

Registration

Register or log in to your ECAS account

EUROPEAN COMMISSION AUTHENTICATION SERVICE (ECAS)

External

👤 Login   New password   **Sign Up**   Help

! Is the selected domain correct? **External** Change it

Sign Up

Help for external users

Choose a username	
First name *	
Last name *	
E-mail *	
Confirm e-mail *	
E-mail language *	English (en) ▼

**Fill in the "E-mail" field
using your individual professional email address.**

**Note: the e-mail is the main identifier
(1 person = 1 e-mail address
= 1 ECAS account)**

No functional e-mail address!

Sign Up

* Required fields

EUROPEAN COMMISSION AUTHENTICATION SERVICE (ECAS)

European Commission

External

EUROPA > Authentication Service > Sign Up

Login   New password   Sign Up   Help

! Is the selected domain correct? **External** Change it

Sign Up

Thank you for registering, you will receive an e-mail allowing you to complete the registration process.

**Check your mailbox, a confirmation e-mail
will arrive within a few minutes.**

**This process must be completed
within 1 hour and a half after the original request.**

Following a confirmation you can log in to the Portal.

Important: ECAS credentials are strictly confidential!

EUROPEAN COMMISSION AUTHENTICATION SERVICE (ECAS)

External

EUROPA > Authentication Service > Login

👤 **Login**   New password   Sign Up   Help

Login _Not registered yet_

Make sure the selected domain is "External"

Is the selected domain correct?
External _Change it_

Enter your username or e-mail address and your password

Username or e-mail address *

Password *

▶ More options...

Click on the "Login!" button

Login!   Lost your password?
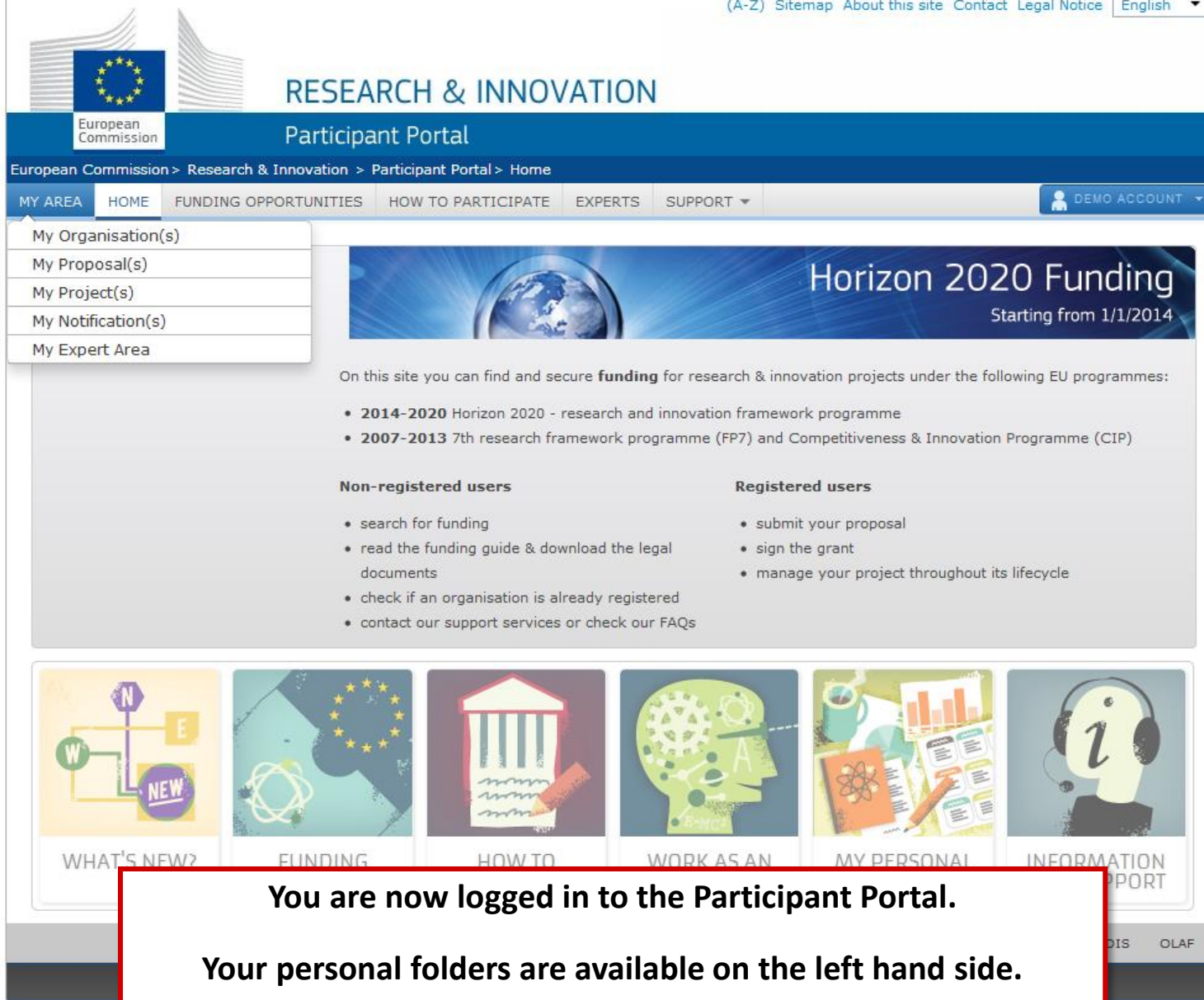
* Required fields

Or log in with your

📱 Mobile phone   🖩 Token   🪪 eId

Last update: 26/09/2012 (3.1.5-m) | 7 ms | ▲ Top

The Login page (ECAS authentication) appears

2

You are now logged in to the Participant Portal.

Your personal folders are available on the left hand side.

PIC CODE

What is a PIC code?

- A **P**articipant **I**dentification **C**ode is a unique 9-digit identifier for the European Commission to confirm your organisation's details

- Before registering it is recommended that you confirm your organisation does not already have a PIC code, follow the link below: http://ec.europa.eu/research/participants/portal/desktop/en/organisations/register.html

LEAR APPOINTMENT in H2020
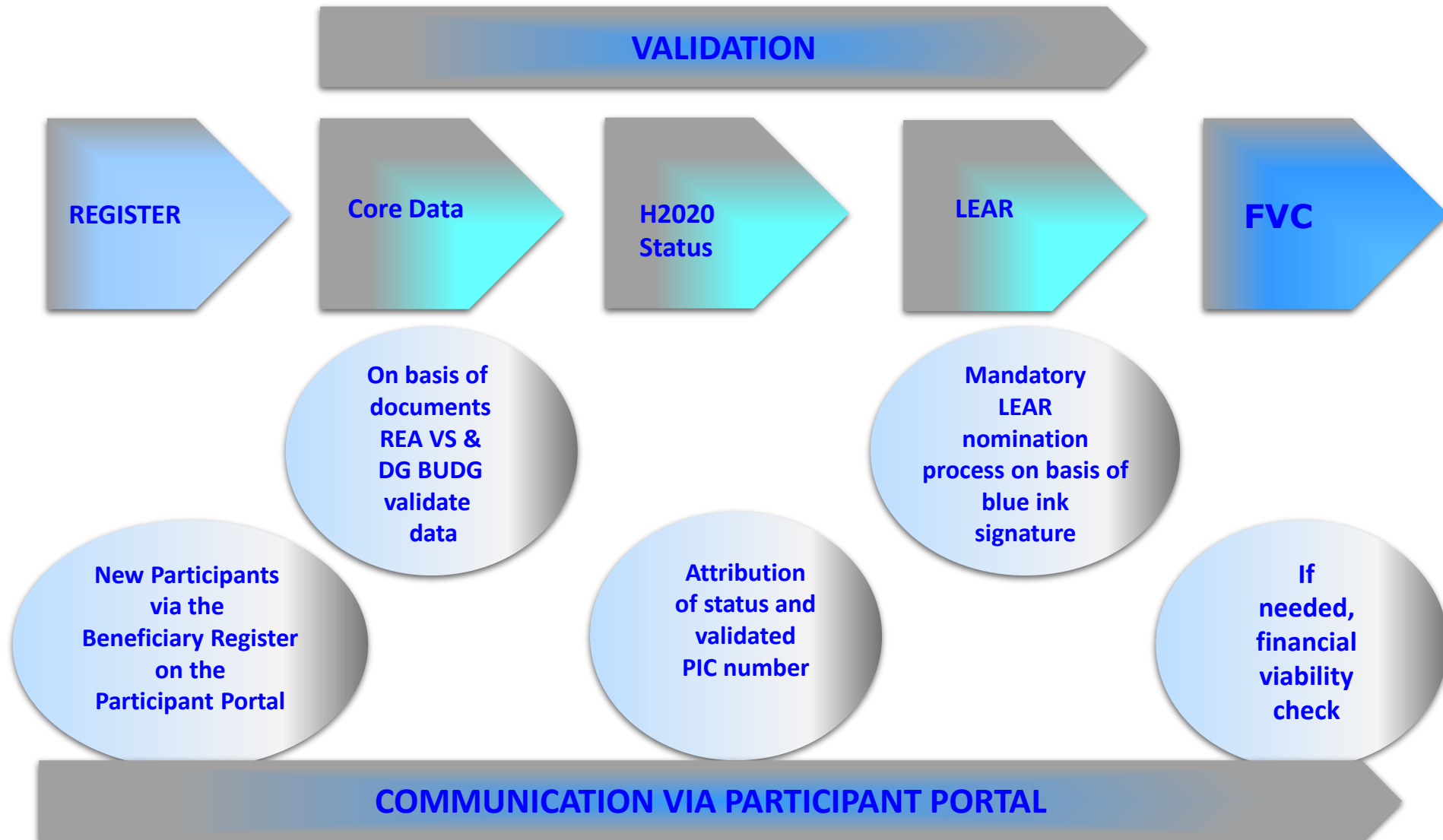
- **What is a LEAR?**

- The **L**egal **E**ntity **A**ppointed **R**epresentative (LEAR) is a person within an organisation appointed to be the correspondent with the Commission on all issues related to the legal status of the entity

- After appointment, the LEAR becomes the exclusive Contact Person of the organisation.

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

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

Source: https://www.euresearch.ch

Research and Innovation Actions - RIA

- 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%

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%

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

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

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	

Part A to be completed online

② PROJECT PREPARATION, DESIGN AND PLANNING

- ## 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

- *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

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.

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

2.2 **Measures to maximize impacts**

a) <u>*Dissemination and exploitation*</u>

- 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) <u>*Communication activities* </u>(target groups, stakholders and measures, communication strategy)

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

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!)

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

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

- ⚠️ **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.
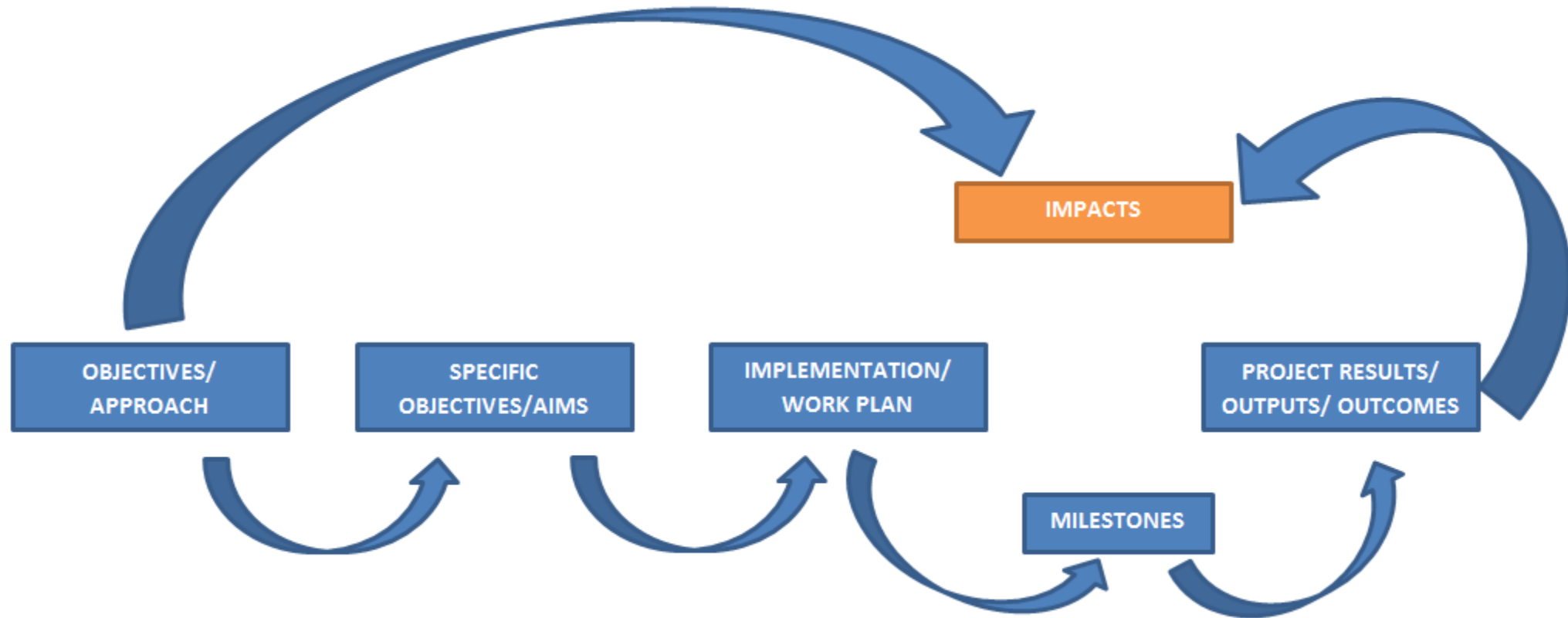
Submission

Participant Portal services: after login

<div style="text-align:center; background:#cc0000; color:#ffffff; font-weight:bold; padding:8px; display:inline-block;">My Proposal(s)</div>

PIC numbers are required in the proposal submission system, therefore participants are encouraged
to register their organisations as soon as possible
before drafting a proposal.

Proposals are composed of:

- **Part A**: the **administrative** information (list of participants, legal and financial structured forms, etc.);

- **Part B**: a PDF document with the **scientific and technical** contents;

- There may be additional documents *(optional)*.

Proposal submission step-by-step

Select topic and type of action
Login

Pre-registration

Consortium set-up

Administrative form & Part B
or Annexes

Form filling

Submission

Evaluation

Overview of the Evaluation Process

Evaluators

Receipt of proposals → **Individual evaluation** → **Consensus group** → **Panel Review** → **Finalisation**

Eligibility check	Individual Evaluation Reports	Consensus Report	Panel report	Final ranked list
Allocation of proposals to evaluators	(Usually done remotely)	(May be done remotely)	Evaluation Summary Report	
			Panel ranked list	
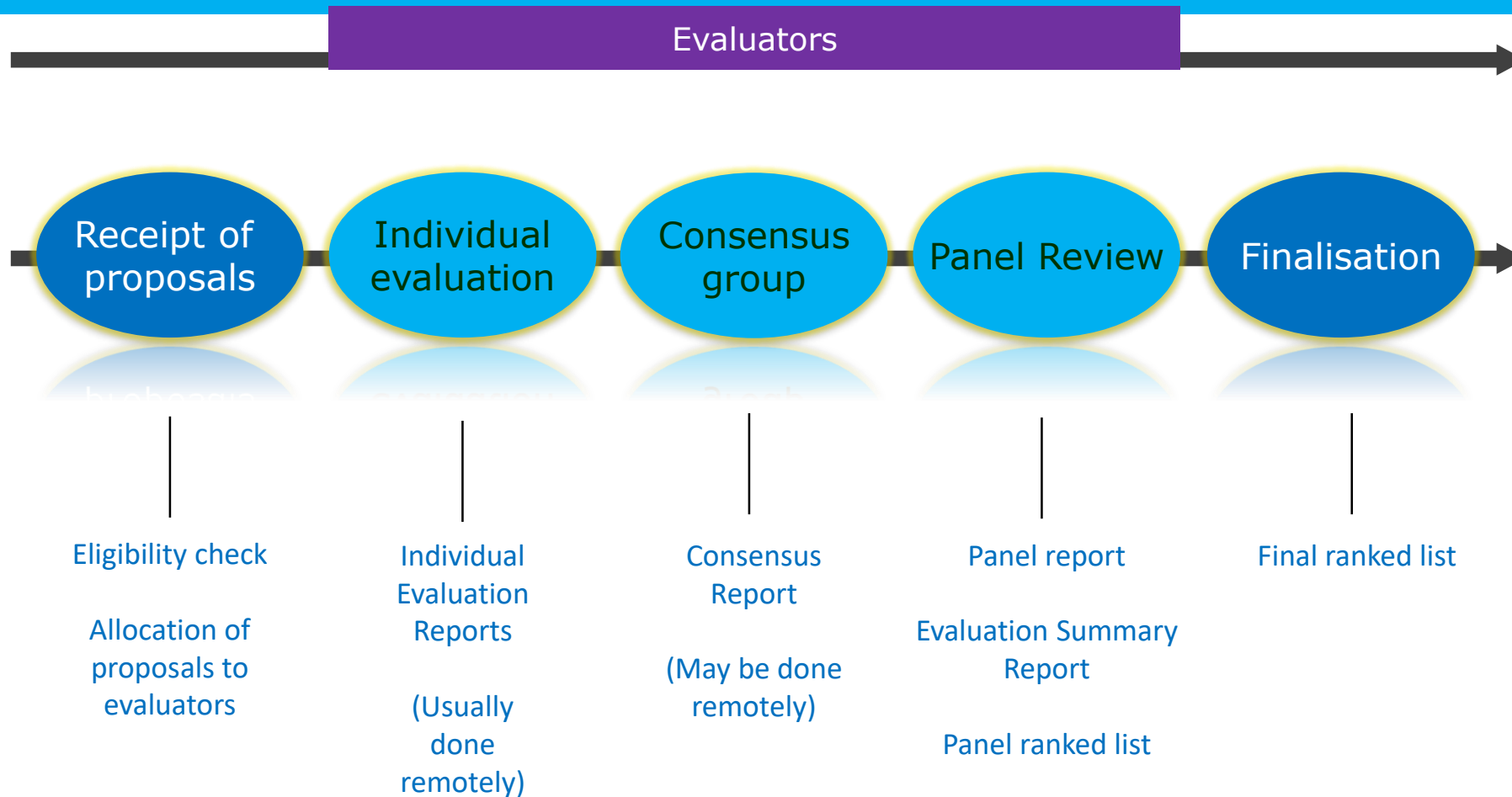
Admissibility and eligibility checks

- **Admissibility is checked by the Commission/Agency:**
  - Readable, accessible and printable
  - Completeness of proposal
    presence of all requested forms
  - Plan for exploitation and dissemination of results
    (unless otherwise specified in the WP)

    > **new**
    >
    > Page limits: Clearly set out in electronic system; excess page(s) marked with a watermark

- **Eligibility checked by the Commission/Agency**
  - Minimum number of partners as set out in the call conditions
  - Other criteria may apply on a call-by-call basis as set out in the call conditions

- **"Out of scope" – you need to check the scope of proposals**
  - A proposal will only be deemed ineligible in clear-cut cases

European Commission

Evaluation criteria

- **There are three evaluation criteria:**

    - Excellence (relevant to the topic of the call)

    - Impact

    - Quality and efficiency of the implementation

> **new**
>
> Innovation Management: is a process which requires an understanding of both market and technical problems, with a goal of successfully implementing appropriate creative ideas.
> Typical Output: new or improved product, service or process.
> For consortium: it allows to respond to an external or internal opportunity.

- **The criteria are adapted to each type of actions, as specified in the WP**

European Commission

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

Research and Innovation Actions/Innovation Actions/ SME instrument

Example

Excellence

- ✕ Clarity and pertinence of the objectives
- ✕ Soundness of the concept, including trans-disciplinary considerations, where relevant
- ✕ Extent that proposed work is ambitious, has innovation potential, and is beyond the state of the art (e.g. ground-breaking objectives, novel concepts and approaches)
- ✕ Credibility of the proposed approach

Impact

- ✕ The expected impacts listed in the work programme under the relevant topic
- ✕ 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; and, where relevant, by delivering such innovations to the markets
- ✕ Any other environmental and socially important impacts (not already covered above)
- ✕ Effectiveness of the proposed measures to exploit and disseminate the project results (including management of IPR), to communicate the project, and to manage research data where relevant

Implementation

- ✕ Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks and resources
- ✕ Complementarity of the participants within the consortium (when relevant)
- ✕ Appropriateness of the management structures and procedures, including risk and innovation management

European Commission

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 <u>exactly</u> 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*

- 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.

- Youe Project has to serve the needs of the European Community / European Policies (Impact)

Grant Agreement preparation

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 as well 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

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

↘ <u>3 weeks after</u>: 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).

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

↘ <u>6 weeks after:</u> deadline for the electronic signature of the participants' <u>declarations of honour</u>.

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

Grant Agreement Preparation Phase

COMMISSION

COORDINATOR

BENEFICIARIES

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.

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 Participants Portal Grant Management Service / <u>EU Login (ex ECAS</u>);

✓ 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)

Project Implementation

The **Coordinator of a Consortium** : submits the proposal in the name of the consortium. Possible distinction: Scientific and Administrative/Financial Coordinator.

Main roles in the name of the consortium;
- ✓ Grant agreement preparation
- ✓ Overall Project Management
- ✓ Read-write-submit rights to information, documents and forms in ''EU Login''.
- ✓ Monitoring of the project`s implementation
- ✓ Contact with the European Commission

❑PERT GRAPH

Work Package/Task Management
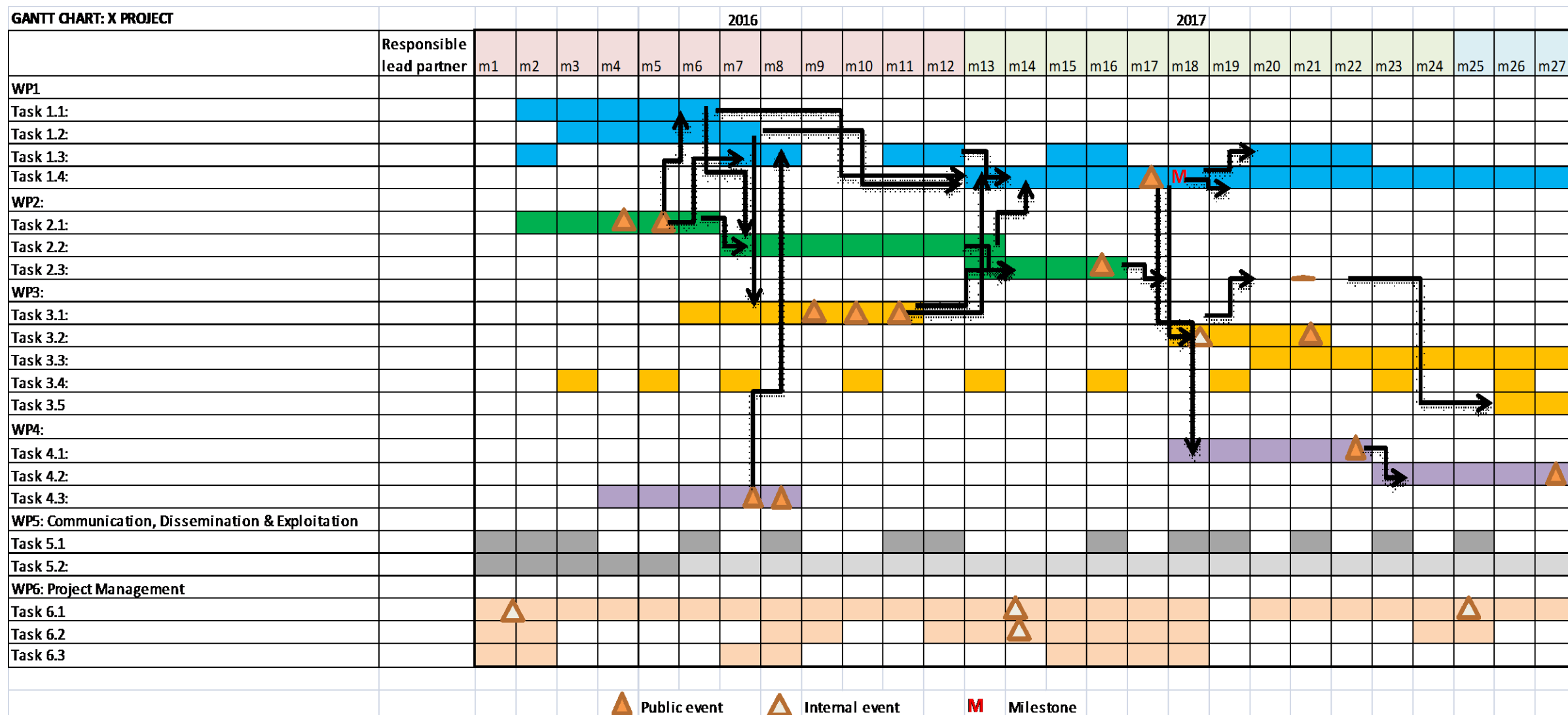
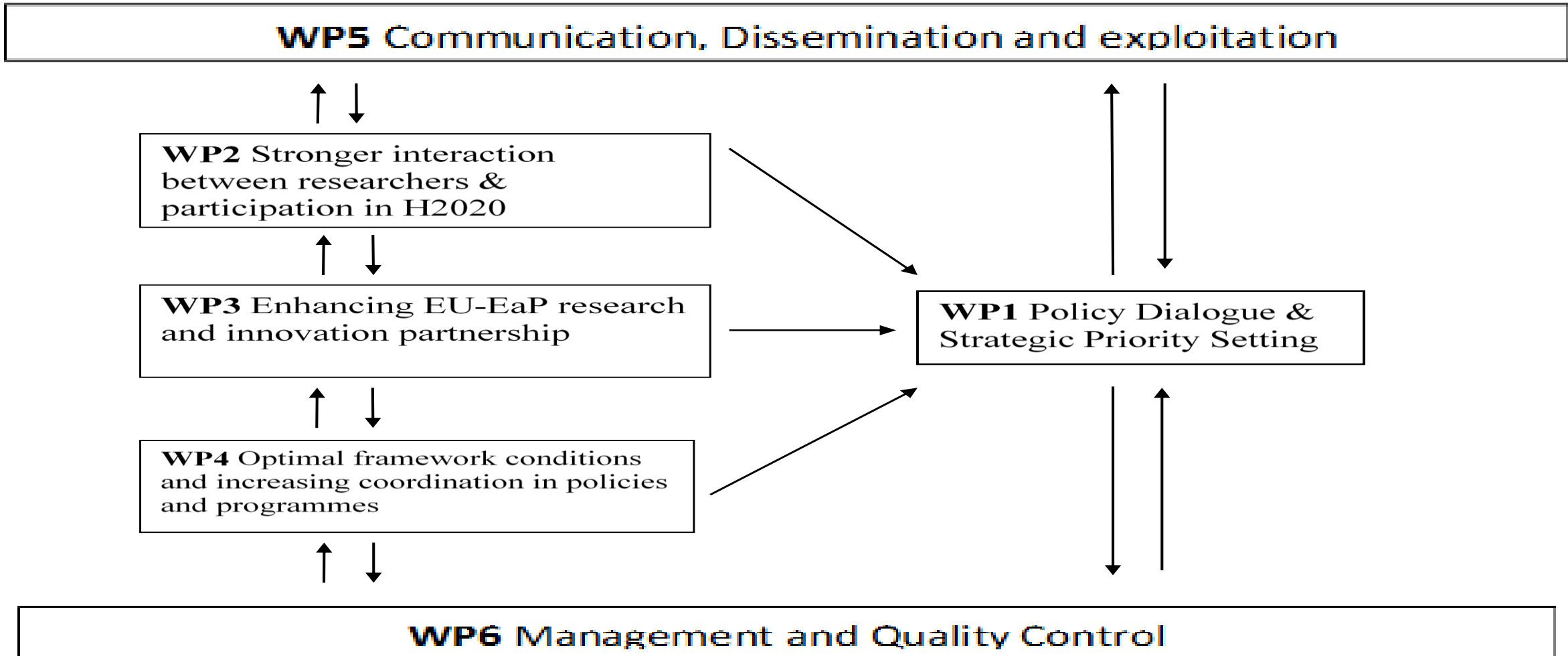❑ Each **Work Package** aims to implement one or more of the project`s objectives.
Work Package Description should include;

  ↘ information on the methodology for the implementation of activities;

  ↘ quantified information in order to monitor the progress;

  ↘ enough detail to justify the proposed resources to be allocated;

  ↘ resources should be in line with their objectives and deliverables;

The number of work packages should be proportionate to the scale and complexity of the project.

❑ **Task Leader** is responsible for the implementation of the activities within the Task and almost always for the timely preparation of the Deliverable (Deliverable Leader).

❑ **Deliverables** are the outputs to be produced under a certain Project`s activity.

❑ **Milestones** are actions in the project during which important decisions are made.

❑ **Dissemination** (sharing research results with potential users - peers in the research field, industry, other commercial players and policymakers) and **exploitation** (using results for commercial purposes or in public policymaking).

Keeping records

Beneficiaries must keep records and other supporting documents in order to prove *the proper implementation* of the Project.

a. Administrative Records
- ✓ Consortium agreement (and amendments)
- ✓ Grant agreement (and amendments)

b. Scientific Records
- ✓ Progress reports
- ✓ Records of meetings (Agendas, LoP)

c. Financial Records

Direct costs are directly linked to the activities in the project, such as;
1. Personnel costs (Time sheets)
2. Travel costs (Tickets/ Hotel invoices/ Boarding Pass/ Invitation Letter/ Agenda)
3. Equipment (Depreciation)
4. Subcontracting (major/minor)

Indirect costs (or Overhead) cannot directly linked to the activities in the project, such as;
1. Photocopies
2. Phone bills, heating, electricity etc.

→ The Reports are structured in Work Packages
→ Only electronic submission

<u>Two types of reporting;</u>
Continuous Reporting: Deliverables, Amendments etc.

Regular Reporting:

- Progress report (within 30 days after year 1, NO financial);

- Periodic report (<u>Technical report </u>overview: progress, achievements, differences from work plan + Continuous reporting, <u>Financial report</u> - Individual financial statement from each beneficiary + Periodic summary financial statement)   ''Explanation of use of resources'' ;

- Final report (within 60 days of the end of the final reporting period- covers whole project period: <u>Final technical report</u> (publishable summary of the entire project which includes overview of the results and their exploitation and dissemination, conclusions, socio-economic impact of the project), <u>Final financial report</u> (final summary financial statement created automatically by the electronic exchange system, consolidating the individual financial statements for all reporting periods)

→ The Report is structured in Work Packages.
→ Only electronic submission

Form C

	Estimated eligible* costs (per budget category)						
	A. Direct personnel costs				**B. Direct costs of subcontracting**	**[C. Direct costs of fin. support]**	**D. Other direct costs**
	A.1 Personnel A.2 Natural persons under direct contract A.3 Seconded persons [A.6 Personnel for providing access to research infrastructure]		A.4 SME owners without salary A.5 Beneficiaries that are natural persons without salary				D.1 Travel D.2 Equipment D.3 Other goods and services D.4 Costs of large research infrastructure
Form of costs****	Actual	Unit ①	Unit ② XX EUR/hour		Actual	Actual	Actual
	(a)	Total (b)	No hours	Total (c)	(d)	(e)	(f)
Beneficiary 1							
Beneficiary 2							

Form C Contents;
1) Direct personnel costs/Labour
2) Other direct costs /Travel, Other
3) Direct costs of subcontracting/Subcontract
4) Indirect costs

Remarks
→VAT is not an eligible cost (depends on the legal status of the beneficiary org.)
→Unique flat rate of 25% for indirect costs
→Individual financial statement from each Beneficiary

Where to find support?

1. H2020 Helpdesk

- **Service provided by the Europe Direct Contact Centre**

**2. Enterprise Europe Network
(& other help services for enterprises and industry)**

- **Free support for organisations applying for projects under the SME Instrument**

3. National Contact Points (NCP) database

4. Glossary

5. FAQ

- **FAQ database**
- **Useful information along with additional guidance
(user manuals, latest PowerPoint presentations, etc.)**

6. IT Helpdesk contact form

7. Other Help Services

- **Ethics helpdesk, European IPR helpdesk, European** Committee
for Standardisation, IGLO, National Services

Some useful links

The Participant Portal:
http://ec.europa.eu/research/participants/portal/page/home

ECAS FAQ:
https://webgate.ec.europa.eu/cas/help.html

IAM quick info guide:
http://ec.europa.eu/research/participants/portal/ShowDoc/Participant+Portal/portal_content/webcasting/iam-changes_quick-info.doc

The Participant Portal FAQ:
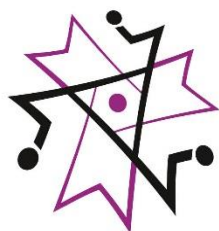http://ec.europa.eu/research/participants/portal/page/faq

The Participant Portal user manual:
http://ec.europa.eu/research/participants/portal/ShowDoc/Participant+Portal/portal_content/help/participant_portal_usermanual.pdf

THANK YOU FOR YOUR ATTENTION!

Sources for this presentation

- Presentations and other relevant documents of European Commission DG R&I available publicly on the web

- Other online H2020 related sources

Disclaimer: Information not legally binding