ევროკავშირი საქართველოსთვის

Project funded by the European Union

TWINNING

THE EU

RESEARCH & INNOVATION

PROGRAMME 2021 – 27

RESEARCH AND INNOVATION

PROPOSAL WRITING CAMP

Session 1: Introduction

Agenda

15 March 2022	
Tentative timing	**Content**
11:00	Welcome and Tour de Table Matthias Wurch and participants
11:30	Horizon Europe Overview and identification of relevant funding lines and thematic areas
12:00	The Funding and Tenders Portal - How to find the right call (interactive)
12:30	Evaluation criteria and evaluation summary reports and assessing proposal parts
13:00	Lunch break
14:00	Group work: Call/topic decoding and understanding
14:30	Implementation - description of the work plan (work-packages), roles and tasks of project participants, allocation of resources by project partner, etc.
15:00	Excellence & Impact
15:30	Budget
16:00	Group Work Workplan & Budget
16:30	Networking: How to find the right partner?
17:00	Closing Session: Feedback and discussion on next steps Dinner
18:30	End

Mariya Gabriel, European Commissioner for Innovation, Research, Culture, Education and Youth

“The programme aims at giving Europe a new push to a global positioning. Horizon Europe is to be ***the biggest and most ambitious EU Research Innovation programme ever****. It builds on the* ***success of Horizon 2020*** *and improves it further by fostering a stronger support to* ***breakthrough innovation*** *through the European Innovation Council, by creating greater* ***impact*** *through R&I* ***missions*** *and by streamlining* ***partnerships*** *landscape.”*

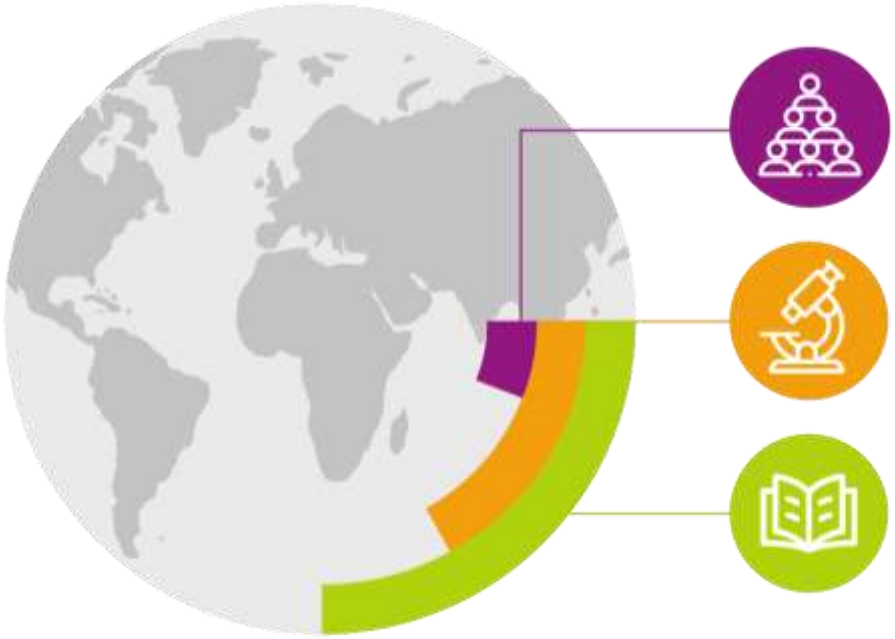
Our Vision

The EU's key funding programme for research and innovation:

- Tackles climate change
- Helps to achieve the UN's Sustainable Development Goals
- Boosts the EU's competitiveness and growth
- Facilitates collaboration and strengthens the impact of research and innovation in developing, supporting and implementing EU policies while tackling global challenges
- Supports the creation and better diffusion of excellent knowledge and technologies
- Creates jobs, fully engages the EU's talent pool, boosts economic growth, promotes industrial competitiveness and optimises investment impact within a strengthened European Research Area.

Credits: https://www.un.org/sustainabledevelopment/sustainable-development-goals/

While benefiting from world-class research and strong industries… Our knowledge and skills are our main resources

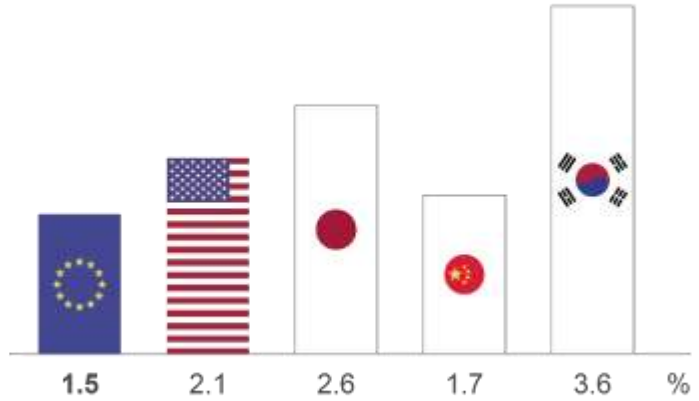


6% of the world's **population**

17% of global **R&D**

25% of all high-quality **scientific publications**

1.5% EU business **R&D investment**

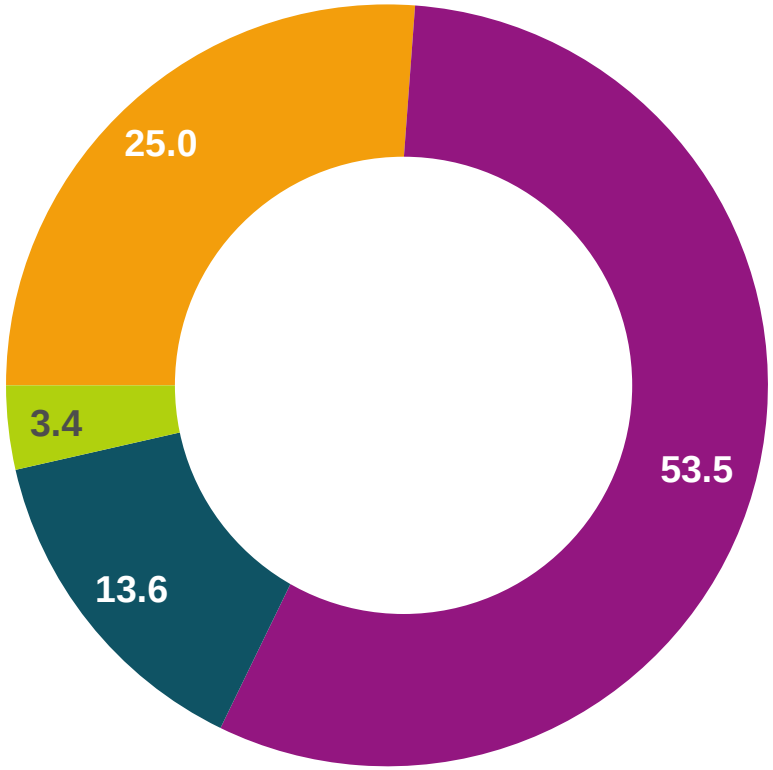


EU figure is for 2019
Figures for USA, Japan, China and South Korea are for 2018. Figures represent R&D as % of GDP

…Europe can do better at transforming this into **leadership in innovation** and **entrepreneurship**

Horizon Europe Budget: €95.5 billion

(including €5.4 billion from NGEU – Next Generation Europe – programme of EU for Recovery from COVID-19 crisis)



Political agreement December 2020

€ billion in current prices

- Excellent Science
- Global challenges and European ind. comp.
- Innovative Europe
- Widening Part and ERA

Horizon Europe structure

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TWINNING

Pillar I
EXCELLENT SCIENCE

- European Research Council
- Mare Skłodowska-Curie
- Research Infrastructures

Pillar II
GLOBAL CHALLENGES & EUROPEAN INDUSTRIAL COMPETITIVENESS

6 Clusters

- Health
- Culture, Creativity & Inclusive Society
- Civil Security for Society
- Digital, Industry & Space
- Climate, Energy & Mobility
- Food, Bioeconomy, Natural Resources, Agriculture & Environment
- Joint Research Centre

Pillar III
INNOVATIVE EUROPE

- European Innovation Council
- European Innovation Ecosystems
- European Institute of Innovation & Technology

WIDENING PARTICIPATION AND STRENGTHENING THE EUROPEAN RESEARCH AREA

- Widening participation & spreading excellence
- Reforming & Enhancing the European R&I system

European Commission

Horizon Europe structure

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Pillar I

EXCELLENT SCIENCE:

reinforcing and extending the **excellence of the Union's science base**

European Research Council

Frontier research by the best researchers and their teams

€16 billion

Marie Skłodowska-Curie Actions

Equipping researches with new knowledge and skills through mobility and training

€6.6 billion

Research Infrastructures

Integrated and inter-connected world-class research infrastructures

€2.4 billion

Pillar I

European Research Council (ERC):

- ERC research teams include researchers from all over the world
- Funding groundbreaking "frontier research“
- Scientific excellence as the sole selection criterion
- Open to all scientific disciplines (bottom-up)
- Promotion of individual researchers and their teams (≠ consortia!)
- €1.9 billion available in 2021 for 1,000 top researchers
- 66% earmarked for early- to mid-career scientists and scholars.

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Pillar II
Budget for clusters

in current prices

Cluster 1	**Health**	**€8.246 billion** (including €1.35 billion from NGEU)
Cluster 2	**Culture, Creativity & Inclusive Societies**	**€2.280 billion**
Cluster 3	**Civil Security for Society**	**€1.596 billion**
Cluster 4	**Digital, Industry & Space**	**€15.349 billion** (including €1.35 billion from NGEU)
Cluster 5	**Climate, Energy & Mobility**	**€15.123 billion** (including €1.35 billion from NGEU)
Cluster 6	**Food, Bioeconomy, Natural Resources, Agriculture & Environment**	**€8.952 billion**

EU Missions

R&I Missions

Relating EU's research and innovation better to society and citizens' needs; with strong visibility and impact

A mission is a portfolio of actions across disciplines intended to achieve a **bold and inspirational and measurable goal** within a set timeframe, with **impact** for society and policy making as well as relevance for a significant part of the European population and wide range of European citizens.

Horizon Europe has defined mission characteristics and elements of governance, and **5 missions areas**. Specific missions are programmed within the Global Challenges and European Industrial Competitiveness pillar, but may also benefit from actions carried out within other parts of the Programme as well as complementary actions carried out under other Union programmes.

5 Missions

- More effectiveness and visibility through clear targets and citizen participation
- Ambitious, cross-disciplinary and cross-sectoral, limited in time

A climate-resilient Europe

Conquering Cancer – Mission possible

Mission Starfish – Restore our Oceans & Waters

Caring for Soil is Caring for Life

100 Climate-neutral Cities

→ **Defined targets for 2030**

Horizon Europe structure

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European Innovation Council

Support to innovations with breakthrough and disruptive nature and scale up potential that are too risky for private investors **(70% of the budget earmarked for SMEs)**

European Innovation Council – a one-stop-shop

- **Helping researchers and innovators create markets of the future, leverage private finance, scale up their companies**
- **Innovation centric, risk taking & agile, pro-active management and follow up**
- **Mostly 'bottom up', but also targeting strategic challenges**
- **EIC Programme Managers to develop visions for breakthroughs and steer portfolios**

Complementary instruments bridging the gap from idea to market

PATHFINDER	TRANSITION	ACCELERATOR
R&I grants (from early technology to proof of concept)	**R&I grants** (proof of concept to pre-commercial)	**Grants & investment (via EIC Fund) for single SMEs & start-ups** (from pre-commercial to market & scale-up)

EIC Accelerator: Who can participate?

The EIC Accelerator provides support to start-ups and SMEs with

- breakthrough, high-risk innovations (TRL 5/6)
- large international market potential
- European and global ambitions.

→ Develop innovations to market maturity

→ Start commercialisation

→ Blended Finance: grants + investment component

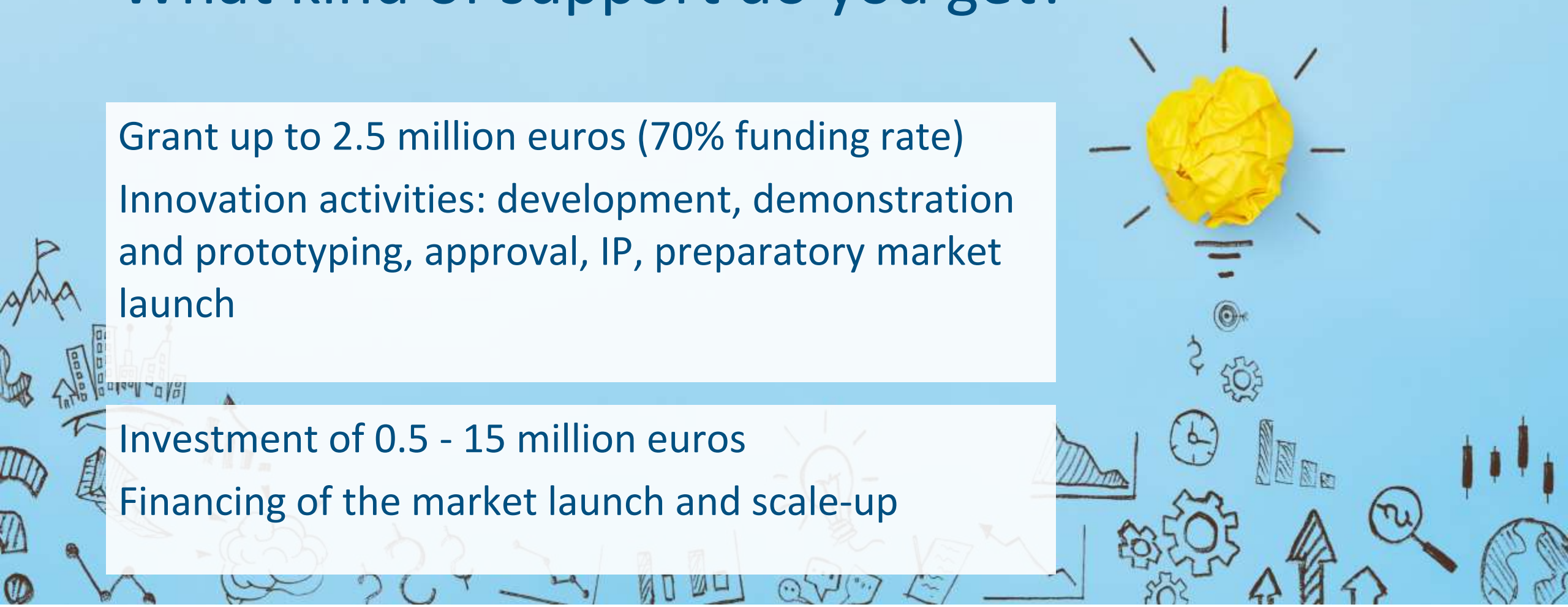
What kind of support do you get?

Grant up to 2.5 million euros (70% funding rate)

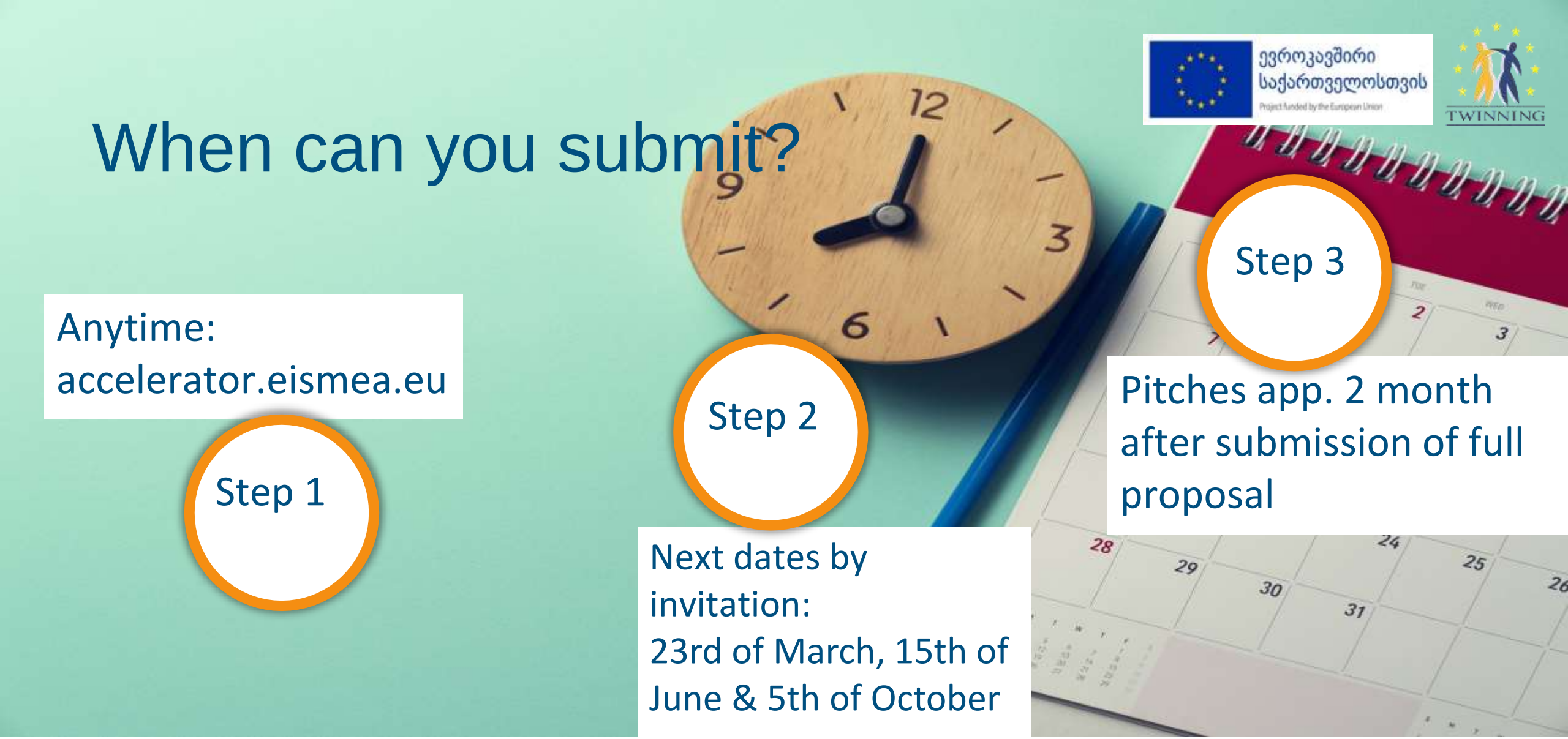
Innovation activities: development, demonstration and prototyping, approval, IP, preparatory market launch

Investment of 0.5 - 15 million euros

Financing of the market launch and scale-up



When can you submit?



Anytime:
accelerator.eismea.eu

Step 1

Step 2

Next dates by invitation:
23rd of March, 15th of June & 5th of October

Step 3

Pitches app. 2 month after submission of full proposal

How can you participate?

Horizon Europe structure

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Part

Widening Participation & Strengthening the European Research Area (ERA):

Widening Participation and Spreading Excellence

- Teaming, Twinning, ERA Chairs,
- European Cooperation in Science and Technology (COST)
- Boosting National Contact Points‘ (NCPs) activities, pre-proposal checks and advice
- Brain circulation
- Excellence initiatives
- Possibility for entities from widening countries to join already selected collaborative R&I actions
- Recognition of participation
- Matchmaking services

€2.96 billion

Reforming and enhancing the EU R&I system

- Strengthening the evidence base for R&I policy
- Foresight
- Support for policy makers to the ERA development
- Support to national R&I policy reform, including Policy Support Facility
- Attractive researcher careers and links with higher education
- Open science, citizen science and science communication
- Gender equality
- Ethics and integrity
- Support to international cooperation
- Scientific input to other policies
- Support to the Programme implementation
- Support for National Contact Points
- Support to dissemination & exploitation

€0.44 billion

PROPOSAL WRITING CAMP

Overview Funding lines & TRL

Types of Actions/ Projects in Horizon Europe

Collaborative projects

- Research and Innovation Action (RIA);
- Coordination and Support Action (CSA);
- Innovation Action (IA);
- Marie Sklodowska-Curie Actions (MSCA) - Staff Exchanges (SE), Co-funding of regional, national and international programmes (COFUND), Doctoral Networks
- EU Missions
- EU Partnerships

Individual projects

- European Research Council (ERC);
- Marie Sklodowska-Curie Actions (MSCA): Postdoctoral Fellowships.

Modalities of the participation

Formal participation with the Grant Agreement (GA)

- Coordinator;
- Partner
- Associated party;
- Third party.

Host institution signs Grant Agreement

- Employment contracts

Main type of Actions/ projects in Horizon EUROPE

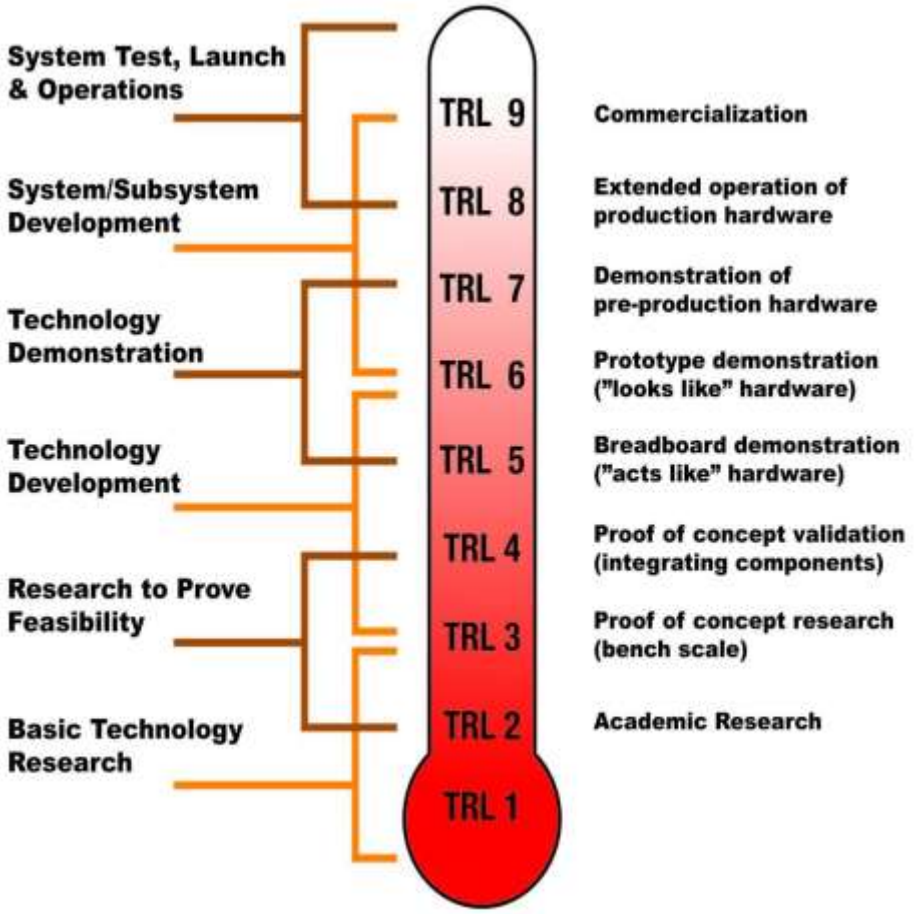
Research and Innovation Actions (RIA) Business Plan (TRL up to 6)	**=>What? Funding available for collaborative research projects tackling clearly defined challenges which can lead to the development of new knowledge or new technology.** **=>Who? Consortia of partners from different countries, industry and academia. Min. 3 legal entities established in 3 Member States or Associated Countries**
Innovation Actions (IA) Business Plan (TRL higher than 6/ if stated in the application form)	**=>What? Funding available for closer-to-the-market activities including prototyping, testing, demonstrating, piloting, scaling-up etc. for new or improved products, processes or services.** **=>Who? Consortia of partners from different countries, industry and academia. Min. 3 legal entities established in 3 Member States or Associated Countries**

Main types of Actions/ projects in Horizon Europe

Coordination and Support Action (CSA)	=>What? Funding available for actions consisting primarily of accompanying measures, such as the coordination and networking of research and innovation projects, programmes and policies (e.g. training, dissemination, exploitation, standardization, policy dialogues, etc.). Funding for research and innovation per se not covered. =>Who? Single entities or consortia of partners from different countries, industry and academia. Min. 1 legal entity established in 1 Member State or Associated Country

Technology Readiness Level

- ✓Technology Readiness Levels (TRLs) is used as a measurement of the maturity level of particular technologies in Horizon Europe.
- ✓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.



Technology Readiness Level

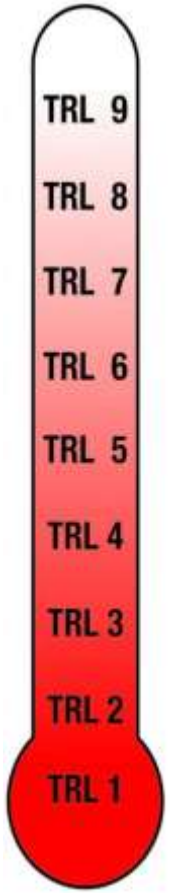
- This measurement system provides a common understanding of technology status and addresses the entire innovation chain.

- 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.

TRL and business plan

The higher Technology Readiness Level (TRL) means a more business- oriented project. close-to-market activities (TRL 6 till TRL 9) => RIA (if higher than TLR6)



TRL 9: actual system proven in operational environment

TRL 8: system complete and qualified

TRL 7: system prototype demonstration in operational environment

TRL 6: technology demonstrated in relevant environment

TRL 5: technology validated in relevant environment

TRL 4: technology validated in lab

TRL 3: experimental proof of concept

TRL 2: technology concept formulated

TRL 1: basic principles observed

Bussiness plan recommened in RIA and IA in case the TLR > 6

Thank you!

#HorizonEU

http://ec.europa.eu/horizon-europe

PROPOSAL WRITING CAMP

Session 2: Application Form, Evaluation Criteria, Evaluation Summary Reports and Call Decoding

1. Structure: Proposal Application Form

Example: structure of a HORIZON EUROPE - RIA (Research & Innovation Action)

Standard Horizon Europe application form RIA/IA:
https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/temp-form/af/af_he-ria-ia_en.pdf

Part A
(online form)

- Administrative forms

Part B

(to be uploaded as pdf PDF)

1. Excellence
2. Impact
3. Quality and efficiency of implementation

->additional Annex with information on financial support to third parties (if applicable)

Part A
(online forms)

- Administrative forms

to be completed online (Funding and tender portal)

Horizon Europe

Application forms (Part A)

Topic:

Type of action:

Type of Model Grant Agreement:

Proposal number:

Proposal acronym:

Table of contents

1 – General information

Section 1 provides basic data on the proposal. It can be filled in by contacts of the coordinator. Other participants may view this section only. Read-only parts are marked in blue.

Topic	Type of action
Call	Type of Model Grant Agreement

Acronym	*Acronym is mandatory*
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.*
Fixed keyword	
Fixed keyword	
Free keywords	*Enter any words you think give extra detail of the scope of your proposal (max 200 characters with spaces).*

Abstract

The abstract should provide the reader with a clear understanding of the objectives of the proposal, how they will be achieved, and their relevance to the Work Programme. This summary will be used as the short description of the proposal in the evaluation process and in communications to the programme management committees and other interested parties. It must therefore be short and precise and should not contain confidential information. Use plain typed text, avoiding formulas and other special characters. If the proposal is written in a language other than English, please include an English version of this abstract in the Part B (technical description) of the proposal.

Has this proposal (or a very similar one) been submitted in the past 2 years in response to a call for proposals under any EU programme, including the current call? *A 'similar' proposal or contract is one that differs from the current one in minor ways, and in which some of the present consortium members are involved.*	○ Yes	○ No
Please give the proposal reference or contract number	XXXXX-X	

Application Forms	
Proposal ID **XXXXXXXXX**	*Acronym* **XXXXXXX**

2 – Participants

List of participating organisations

#	Participating Organisation Legal Name	Country
1		
2		
3		

Coordinator contacts have the rights to:

- *add, delete, edit and re-order partners in the consortium*
- *add, delete, edit and re-order contact points for those organisations*
- *edit all sections of the administrative forms*
- *upload, delete, view and download Part B and Annexes (when required for the call)*
- *submit the proposal*

Participant contacts may:

- *view all the information in this screen, but not edit it*
- *edit only the section for their organisation in the administrative forms (including budget)*
- *view the entire administrative forms*
- *view/download the Part B and other Annexes*

You can manage the list of organisations and access rights of persons at Step 4 of the submission process. You may identify and give access to as many contact persons of the selected organisations as you wish. The identification is based upon the e-mail address of the person. When you add a contact person, you will be prompted to supply the contact details: name, e-mail, phone.

Person in charge of the proposal (main contact person): Each organisation needs to have one main contact person identified; the main contact person will have to fill in full contact details in the administrative form. The 'Main Contact Person' for the coordinating organisation (Participant no. 1) will become the primary contact person for the Services. Other contact persons may also be identified and may receive read-only or full access rights. Contact persons with full access rights of the coordinator (Participant no. 1) will be called 'Coordinator contacts' in the Funding & Tenders Portal, while for the other participants 'Participant Contacts'; contact persons with read-only rights will be called 'Team Members'. Other contact persons are listed with basic details in the administrative form.

Access rights: The main contact person and contact persons of the coordinator with full access rights have the same level of rights: they can manage the list of participants and contacts, edit any part of the administrative part of the proposal and upload any attachments (eg. Part B - technical description), and submit the proposal. Contact persons with read-only rights can only view/download the information. Participant contacts with full access rights can only edit their section of the administrative form and view all proposal data.
Access rights can be revoked by the Coordinating Organisation contacts. The person who created the proposal cannot be deleted.

Invitation: All contacts will receive an e-mail and a notification to the Portal about the invitation to the proposal upon saving the data at Step 4 of the submission process.

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Researchers involved in the proposal

Include only the researchers involved in the proposal, (see below definition of 'researcher'). You do not need to include in the table the identity of other persons involved in the proposal who are not researchers.

'Researchers are professionals engaged in the conception or creation of new knowledge. They conduct research and improve or develop concepts, theories, models, techniques instrumentation, software or operational methods. (Frascati Manual 2015)'

Include also person in charge of the proposal if a researcher.

Title	First Name	Last Name	Gender	Nationality	E-mail	Career stage[1]	Role of researcher (in the project)	Reference Identifier	Type of identifier
			[Woman] *[Man]* *[Non-binary]*			*[Category A – Top grade researcher]* *[Category B – Senior researcher]* *[Category C – Recognised researcher]* *[Category D – First stage researcher]*	*[Leading]* *[Team member]*		*[ORCID]* *[Researcher Id]* *[Other - specify]*

[1] Career stages as defined in Frascati 2015 manual:
Category A – Top grade researcher: the single highest grade/post at which research is normally conducted. Example: 'Full professor' or 'Director of research'.
Category B – Senior researcher: Researchers working in positions not as senior as top position but more senior than newly qualified doctoral graduates (ISCED level 8). Examples: 'associate professor' or 'senior researcher' or 'principal investigator'.
Category C – Recognised researcher: the first grade/post into which a newly qualified doctoral graduate would normally be recruited. Examples: 'assistant professor', 'investigator' or 'post-doctoral fellow'.
Category D – First stage researcher: Either doctoral students at the ISCED level 8 who are engaged as researchers, or researchers working in posts that do not normally require a doctorate degree. Examples: 'PhD students' or 'junior researchers' (without a PhD).

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Application Forms		
Proposal ID **XXXXXXXXX**	*Acronym* **XXXXXXX**	Participant short name: **XXXX**

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Role of participating organisation in the project *Applicants may select more than one option.*	
Project management	☐
Communication, dissemination and engagement	☐
Provision of research and technology infrastructure	☐
Co-definition of research and market needs	☐
Civil society representative	☐
Policy maker or regulator, incl. standardisation body	☐
Research performer	☐
Technology developer	☐
Testing/validation of approaches and ideas	☐
Prototyping and demonstration	☐
IPR management incl. technology transfer	☐
Public procurer of results	☐
Private buyer of results	☐
Finance provider (public or private)	☐
Education and training	☐
Contributions from the social sciences or/and the humanities	☐
Other Specify (50 character limit):	☐

List of up to 5 publications, widely-used datasets, software, goods, services, or any other achievements relevant to the call content.

Type of achievement	Short description
[Publication] [Dataset] [Software] [Good] [Service]	Key elements of the achievement, including a short qualitative assessment of its impact and (where available) its digital object identifier (DOI) or other type of persistent identifier (PID). Publications, in particular journal articles, are expected to be open access. Datasets are expected to be FAIR and 'as open as possible, as closed as necessary'.

European Commission

Application Forms		
Proposal ID **XXXXXXXXX**	*Acronym* **XXXXXXX**	Participant short name: **XXXX**

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Role of participating organisation in the project *Applicants may select more than one option.*	
Project management	☐
Communication, dissemination and engagement	☐
Provision of research and technology infrastructure	☐
Co-definition of research and market needs	☐
Civil society representative	☐
Policy maker or regulator, incl. standardisation body	☐
Research performer	☐
Technology developer	☐
Testing/validation of approaches and ideas	☐
Prototyping and demonstration	☐
IPR management incl. technology transfer	☐
Public procurer of results	☐
Private buyer of results	☐
Finance provider (public or private)	☐
Education and training	☐
Contributions from the social sciences or/and the humanities	☐
Other Specify (50 character limit):	☐

Application Forms		
Proposal ID **XXXXXXXXX**	*Acronym* **XXXXXXX**	Participant short name: **XXXX**

List of up to 5 most relevant previous projects or activities, connected to the subject of this proposal

Name of Project or Activity	Short description

Description of any significant infrastructure and/or any major items of technical equipment, relevant to the proposed work

Name of infrastructure or equipment	Short description

List of up to 5 publications, widely-used datasets, software, goods, services, or any other achievements relevant to the call content.

Type of achievement	Short description
[Publication] [Dataset] [Software] [Good] [Service]	Key elements of the achievement, including a short qualitative assessment of its impact and (where available) its digital object identifier (DOI) or other type of persistent identifier (PID). Publications, in particular journal articles, are expected to be open access. Datasets are expected to be FAIR and 'as open as possible, as closed as necessary'.

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Gender equality plan

Having a gender equality plan is an eligibility criteria for Public bodies, Higher education establishments and Research organisations. Be aware that if the proposal is selected, having a Gender Equality Plan will be necessary before the grant signature (applicable on calls published from 2022 on). Does the organisation have a Gender Equality Plan (GEP) covering the elements listed below? **Minimum requirements (building blocks) for a GEP** **Public GEP**: formal document published on the institution's website and signed by the top management, addressing the following issues: – **Dedicated resources**: commitment of human resources and gender expertise to implement it. – **Data collection and monitoring**: sex/gender disaggregated data on personnel and students and annual reporting based on indicators. – **Training**: Awareness raising/trainings on gender equality and unconscious gender biases for staff and decision-makers. – **Minimum areas** to be **covered** and addressed via concrete measures and targets: o work-life balance and organisational culture; o gender balance in leadership and decision-making; o gender equality in recruitment and career progression; o integration of the gender dimension into research and teaching content; o measures against gender-based violence including sexual harassment.	○ Yes	○ No

This proposal version was submitted by [Name, FAMILY NAME] on [dd/mm/yyyy HH:mm:ss] Brussels Local Time. Issued by the Funding and Tenders Portal Submission Service.

European Commission

3 – Budget for the proposal

			Estimated expenditure							Estimated income						
			Estimated eligible costs							Requested EU contribution			Revenues	Other sources of financing		Total estimated income
										EU contribution to eligible costs						
No	Participant name	Country	A. Personnel costs/€ (a1)	B. Subcontracting costs/€ (b)	C. Purchase costs			D. Other cost categories	E. Indirect costs/€ (e) = 25% * ((a1) + (c1) + (c2) + (c3) + (d'))	Total eligible costs (h) = (a1) + (b) + (c1) + (c2) + (c3) + (d) + (e)	Funding rate (U)	Maximum EU contribution to eligible costs (I) = (U) * (h)	Requested EU contribution to eligible costs/€ (Requested grant amount) (m) (n)	Income generated by the action (o)	Financial contributions (q)	Own resources (r)	(s)=(n)+(o)+(p)+(q) + (r)
					C.1 Travel and subsistence/€ (c1)	C.2 Equipment/€ (c2)	C.3 Other goods, works and services /€ (c3)	D.X [specific cost category]/€ (dx)									
1	Participant 1	NL															
2	Participant 2	LB															
	Affiliated Entity	LB															
3	Participant 3	DE															
	Associated Partner	AR															
4	Participant 4 (without funding)	US															
Total																	

Possible 'Other cost categories' for Horizon Europe

4 – Ethics and Security

Ethics issues table

This table should be completed as an essential part of your proposal. Please go through the table and indicate which elements concern your proposal by answering 'Yes' or 'No'. If you answer 'Yes' to any of the questions,

- *indicate in the adjacent box at which page in your full proposal further information relating to that ethics issue can be found, and*
- *provide additional information on that ethics issue in the Ethics Self-Assessment section.*

For more information on each of the ethics issues and how to address them, including detailed legal references, see the guidelines 'How to Complete your Ethics Self-Assessment'.

1. HUMAN EMBRYONIC STEM CELLS AND HUMAN EMBRYOS			Page
Does this activity involve Human Embryonic Stem Cells (hESCs)?		○ Yes ○ No	
If **YES**:	Will they be directly derived from embryos within this project?	○ Yes ○ No	
	Are they previously established cells lines?	○ Yes ○ No	
	Are the cell lines registered in the European registry for human embryonic stem cell lines?	○ Yes ○ No	
Does this activity involve the use of human embryos?		○ Yes ○ No	
If **YES**:	Will the activity lead to their destruction?	○ Yes ○ No	
2. HUMANS			**Page**
Does this activity involve human participants?		○ Yes ○ No	
If **YES**:	Are they volunteers for nonmedical studies (e.g. social or human sciences research)?	○ Yes ○ No	
	Are they healthy volunteers for medical studies?	○ Yes ○ No	
	Are they patients for medical studies?	○ Yes ○ No	
	Are they potentially vulnerable individuals or groups?	○ Yes ○ No	
	Are they children/minors?	○ Yes ○ No	
	Are they other persons unable to give informed consent?	○ Yes ○ No	
Does this activity involve interventions (physical also including imaging technology, behavioural treatments, etc.) on the study participants?		○ Yes ○ No	
If **YES**:	Does it involve invasive techniques?	○ Yes ○ No	
	Does it involve collection of biological samples?	○ Yes ○ No	

5 – Other questions

Two-stage calls

The full stage-2 proposal must be consistent with the short outline proposal submitted to the stage 1 – in particular with respect to the proposal characteristics addressing the concepts of excellence and impact.

Are there substantial differences compared to the stage-1 proposal?	○ Yes	○ No

Questions showed only in answer is Yes:

Please list the substantial differences, and indicate the reasons

☐	Partnership	*List the substantial differences and indicate the reasons*
☐	Budget	*List the substantial differences and indicate the reasons*
☐	Approach	*List the substantial differences and indicate the reasons*

[Additional modular extension for Calls with clinical trials: Essential information to be provided for proposals including clinical trials / studies / investigations

A 'clinical study' is defined as any clinical research involving a substantial amount of work related to the observation of, data collection from, or diagnostic or therapeutic intervention on multiple or individual patients. It includes but is not limited to clinical studies defined by the Clinical trials regulation (REGULATION (EU) No 536/2014).

Are clinical studies / trials / investigations included in the work plan of this project?	○ Yes	○ No

Please upload the dedicated annex 'Essential information for clinical studies / trials / investigations' (a Word template is provided under 'download templates' in the up-load section for Part B and Annexes).

This document should include the relevant information of each clinical study / trial / investigation included in the work plan of this project.

Please give a short title, an acronym or a unique identifier to each clinical study / trial / investigation, to be used as a reference / identifier in the other parts of the proposal	Add / Remove

Example: structure of a HORIZON EUROPE - RIA (Research & Innovation Action)

Part B

(to be uploaded as pdf PDF)

1. Excellence
2. Impact
3. Quality and efficiency of implementation

->additional Annex with information on financial support to third parties (if applicable)

STRUCTURE OF PART B (RIA)

1. Excellence
1.1 Objectives and ambition
1.2 Methodology

2. Impact
2.1 Project´s pathways to impact
2.2 Measures to maximise impact Dissemination Exploitation and Communication
2.3 Summary

3. Quality and efficiency of the implementation
3.1 Work plan and Resources
3.2 Capacity of participants and consortium as a whole

PAGE LIMIT! 45 pages (RIA) **(including title page and list of participants)**

2. Evaluation process, criteria and scores

Standard evaluation criteria

There are three evaluation criteria for full proposals:

1 Excellence

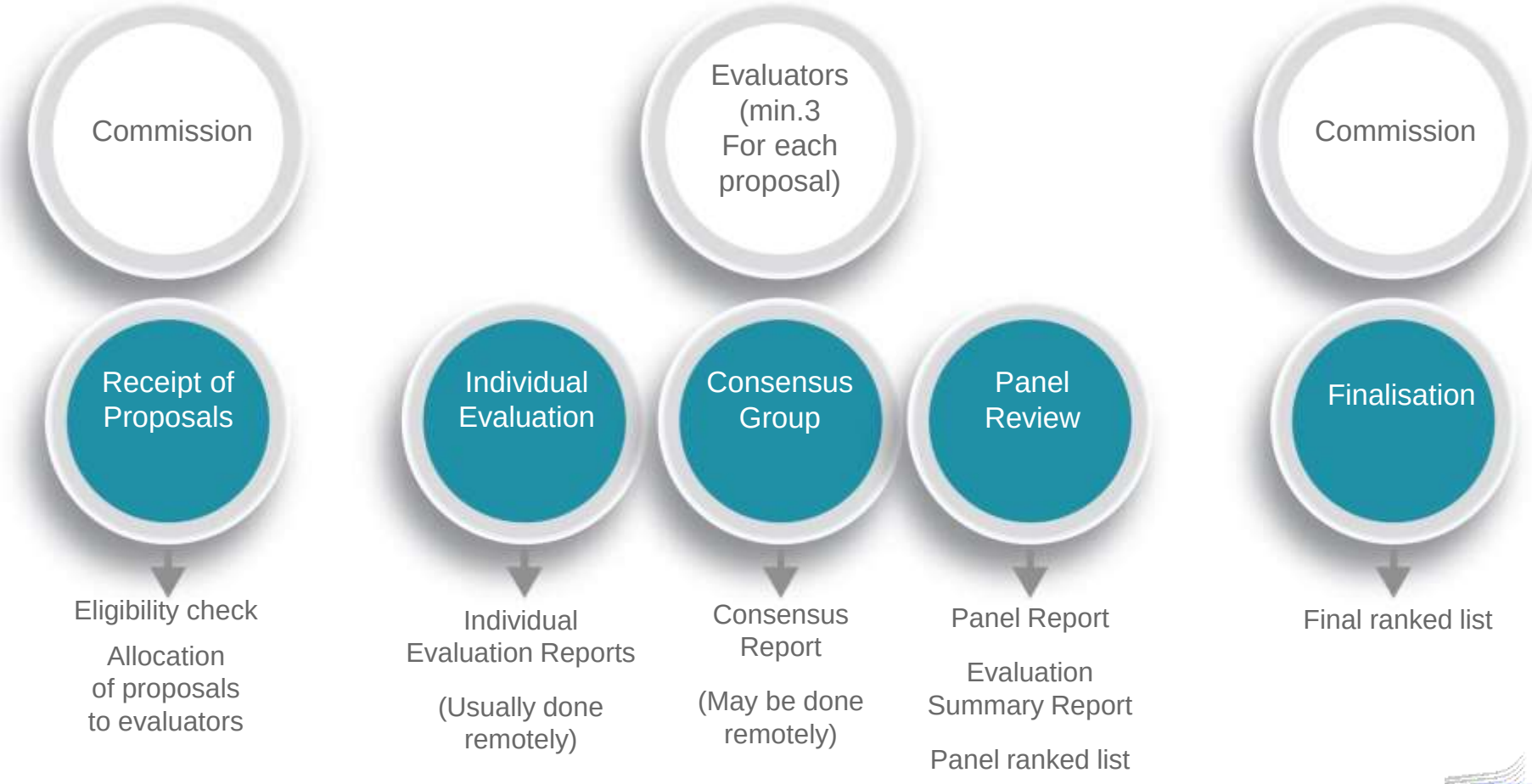
2 Impact

3 Quality and efficiency of implementation

The criteria are adapted to each type of action, as specified in the Work Programme

An exception is the ERC, which uses a different set of criteria.

Overview of the evaluation process



Admissibility, Eligibility & Scope check

- Admissibility is checked by the 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)

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

- Eligibility checked by the 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

Evaluation criteria

- The evaluation criteria are adapted to each type of action, as specified in the WP. E.g. relevance of innovation.

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.

- Three broad evaluation criteria:
  - Excellence (relevant to the topic of the call)
  - Impact
  - Quality and efficiency of the implementation

Evaluation criteria

Excellence

- Clarity and pertinence of the project's objectives, and the extent to which the proposed work is ambitious, and goes beyond the state of the art.
- Soundness of the proposed methodology, including the underlying concepts, models, assumptions, interdisciplinary approaches, appropriate consideration of the gender dimension in research and innovation content, and the quality of open science practices, including sharing and management of research outputs and engagement of citizens, civil society and end users where appropriate.

Evaluation criteria

Impact

- Credibility of the pathways to achieve the expected outcomes and impacts specified in the work programme, and the likely scale and significance of the contributions due to the project.
- Suitability and quality of the measures to maximise expected outcomes and impacts, as set out in the dissemination and exploitation plan, including communication activities.

Evaluation criteria

Quality and efficiency of the implementation

- Quality and effectiveness of the work plan, assessment of risks, and appropriateness of the effort assigned to work packages, and the resources overall
- Capacity and role of each participant, and extent to which the consortium as a whole brings together the necessary expertise.

What else you need to know about the evaluation process

- The European Commission **organises** the evaluation and **moderates** the process
- **Independent observers** check the functioning and running of the overall process and advise, in their report, on the conduct and fairness of the evaluation sessions and, if necessary, suggest possible improvements
- An **ethics review** takes place for proposals above threshold and considered for funding. Only proposals that comply with the ethical principles and legislation may receive funding

Evaluation scores

- The **maximum overall score is 15 (3x5**), unless a weighting is applied
- Generally a pre-defined qualifying score on each criterion and an overall qualifying score needs to be achieved.

Standard practice (thresholds)

- Qualifying scores may vary
  - according to type of action
  - between the first and second stage proposals in two-stage procedures

Evaluation scores

Experts score each award criterion on a scale from 0 to 5 (half point scores may be given):

- 0:Proposal fails to address the criterion or cannot be assessed due to missing or incomplete information
- 1:**Poor** – criterion is inadequately addressed or there are serious inherent weaknesses
- 2:**Fair** – proposal broadly addresses the criterion, but there are significant weaknesses
- 3:**Good** – proposal addresses the criterion well, but a number of shortcomings are present
- 4:**Very good** – proposal addresses the criterion very well, but a small number of shortcomings are present
- 5: **Excellent** – proposal successfully addresses all relevant aspects of the criterion. Any shortcomings are minor

Evaluation – new elements in Horizon Europe

- Pilot on „Blind evaluation“ in first HE two-stage calls: anonymised short proposals in 1st stage
- Pilot on ‘**Right to react**’ (rebuttal): more transparency and more detailed feedback option
- **Portfolio-based calls** (e.g. Missions, EIC pathfinder): portfolio considerations

Where to find the full information?

https://ec.europa.eu/info/research-and-innovation/funding/funding-opportunities/funding-programmes-and-open-calls/horizon-europe_en

EXERCISE

3. Evaluation Summary Report

Exercise: Evaluation Summary report H2020

Analysis of an extract of an Evaluation Summary Report (ESR)

- Read an extract from an ESR, call 2020 on Water issues/hydropower
- We take Criterion 3 - Quality and efficiency of the implementation (criterion 1 excellence and criterion 2 impact not discussed in this example)
- Review of implementation (work-packages, tasks, management, budget items)
- When you read the comments of evaluators, how would you score the project on implementation, on a scoring range 0-5?

Example: Evaluation Summary report

Criterion 3 - Quality and efficiency of the implementation

The following aspects will be taken into account:

- Quality and effectiveness of the work plan, including extent to which the resources assigned to work packages are in line with their objectives and deliverables
- Appropriateness of the management structures and procedures, including risk and innovation management
- Complementarity of the participants and extent to which the consortium as a whole brings together the necessary expertise
- Appropriateness of the allocation of tasks, ensuring that all participants have a valid role and adequate resources in the project to fulfil that role

Criterion 3 - Quality and efficiency of the implementation

Score: [redacted] (Threshold: 3/5.00 , Weight: -)

The following aspects will be taken into account:
Quality and effectiveness of the work plan, including extent to which the resources assigned to work packages are in line with their objectives and deliverables
Appropriateness of the management structures and procedures, including risk and innovation management
Complementarity of the participants and extent to which the consortium as a whole brings together the necessary expertise
Appropriateness of the allocation of tasks, ensuring that all participants have a valid role and adequate resources in the project to fulfil that role

Overall, the proposal addresses the criterion very well. In particular:
• The work plan is logical and appropriate for effective deliver of the project objectives. Most tasks are sufficiently elaborated, and milestones and deliverables are appropriate for effective project management.
• The resources allocated to work packages are in line with their objectives and deliverables.
• Management structures and procedures are appropriately addressed. The key management bodies (e.g. boards and committees), their roles and responsibilities are appropriately defined. Relationships between the different bodies, decision-making mechanisms (including conflict management), internal communication procedures and quality assurance procedures are appropriately defined.
Nevertheless, there are a small number of shortcomings, namely:
• Some work packages and their constituent tasks are insufficiently elaborated, for example WP7, T7.2)
• Risk management is not convincingly addressed. The proposal insufficiently identifies key technical risks, such as failures during testing, or not reaching targets successfully. In addition, the mitigation measures proposed for the identified risks relating to WP7 are insufficient and not convincing. For example, "Plans will be revised and a compromise reached" is not a convincing mitigation measure should the budget allocation for pilot implementation be too low.
• The resources allocated to partner 1 for the demonstration (5,615,000 €) are not sufficiently justified in the proposal. The breakdown of this budget (500,000 € per small turbine and 1M€ for each big one) is not convincing, as the proposed turbines to be purchased are not adequately identified.

Scope of the proposal

Status: **Yes**

Example: Evaluation Summary report

Criterion 3 - Quality and efficiency of the implementation

Overall, the proposal addresses the criterion very well. In particular:

- The work plan is logical and appropriate for effective deliver of the project objectives. Most tasks are sufficiently elaborated, and milestones and deliverables are appropriate for effective project management.
- The resources allocated to work packages are in line with their objectives and deliverables.
- Management structures and procedures are appropriately addressed. The key management bodies (e.g. boards and committees), their roles and responsibilities are appropriately defined. Relationships between the different bodies, decision-making mechanisms (including conflict management), internal communication procedures and quality assurance procedures are appropriately defined.

Example: Evaluation Summary report

Criterion 3 - Quality and efficiency of the implementation

Nevertheless, there are a small number of shortcomings, namely:

- Some work packages and their constituent tasks are insufficiently elaborated, for example WP7, T7.2
- Risk management is not convincingly addressed. The proposal insufficiently identifies key technical risks, such as failures during testing, or not reaching targets successfully. In addition, the mitigation measures proposed for the identified risks relating to WP7 are insufficient and not convincing. For example, "Plans will be revised and a compromise reached" is not a convincing mitigation measure should the budget allocation for pilot implementation be too low.
- The resources allocated to partner 1 for the demonstration (5,615,000 €) are not sufficiently justified in the proposal. The breakdown of this budget (500,000 € per small turbine and 1M€ for each big one) is not convincing, as the proposed turbines to be purchased are not adequately identified.

Criterion 3 - Quality and efficiency of the implementation

Score: **4.00** (Threshold: 3/5.00 , Weight: -)

The following aspects will be taken into account:
Quality and effectiveness of the work plan, including extent to which the resources assigned to work packages are in line with their objectives and deliverables
Appropriateness of the management structures and procedures, including risk and innovation management
Complementarity of the participants and extent to which the consortium as a whole brings together the necessary expertise
Appropriateness of the allocation of tasks, ensuring that all participants have a valid role and adequate resources in the project to fulfil that role

Overall, the proposal addresses the criterion very well. In particular:
• The work plan is logical and appropriate for effective deliver of the project objectives. Most tasks are sufficiently elaborated, and milestones and deliverables are appropriate for effective project management.
• The resources allocated to work packages are in line with their objectives and deliverables.
• Management structures and procedures are appropriately addressed. The key management bodies (e.g. boards and committees), their roles and responsibilities are appropriately defined. Relationships between the different bodies, decision-making mechanisms (including conflict management), internal communication procedures and quality assurance procedures are appropriately defined.
Nevertheless, there are a small number of shortcomings, namely:
• Some work packages and their constituent tasks are insufficiently elaborated, for example WP7, T7.2)
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• The resources allocated to partner 1 for the demonstration (5,615,000 €) are not sufficiently justified in the proposal. The breakdown of this budget (500,000 € per small turbine and 1M€ for each big one) is not convincing, as the proposed turbines to be purchased are not adequately identified.

Scope of the proposal

Status: **Yes**

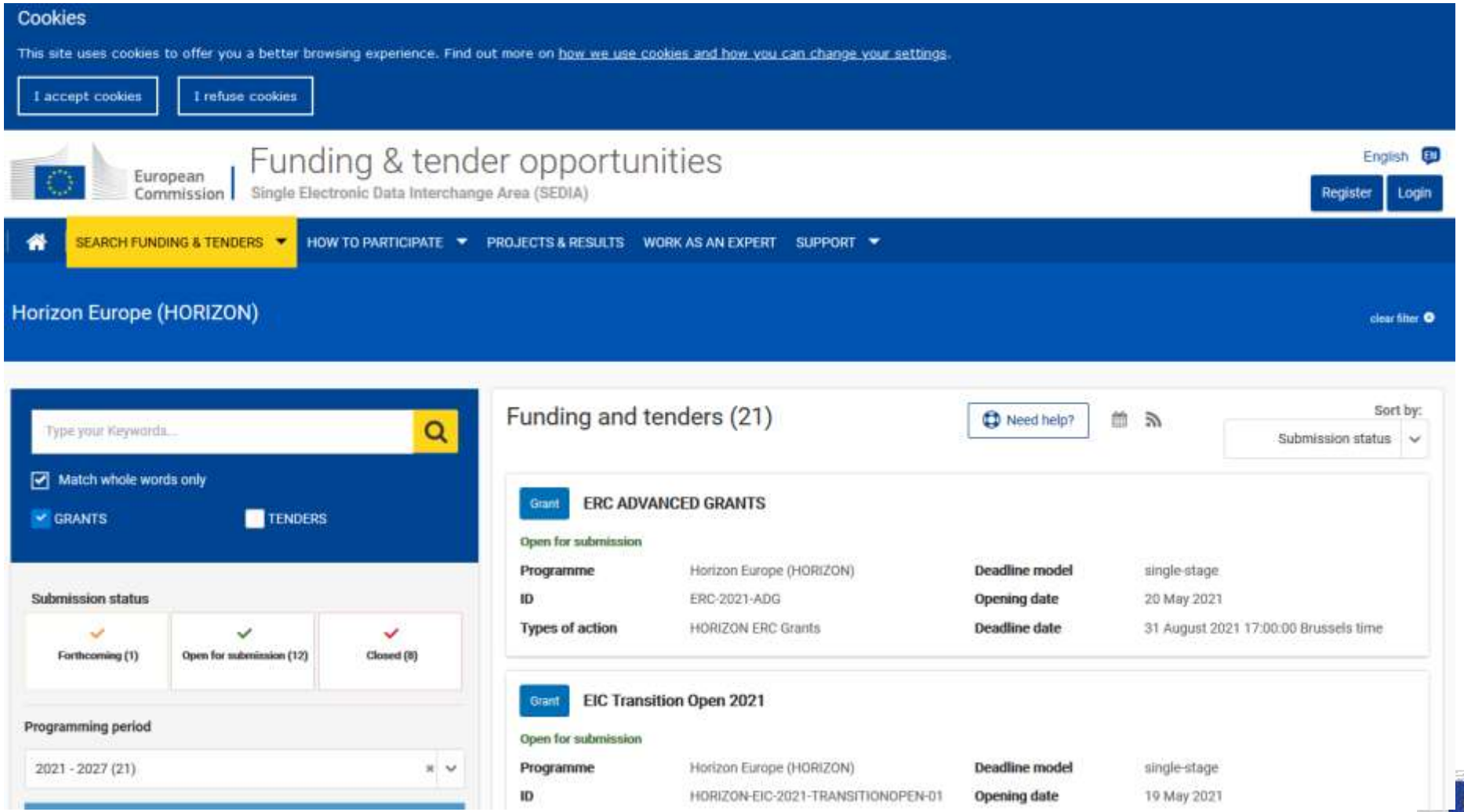
PROPOSAL WRITING CAMP

4: Decoding a Call

1. How to understand and analyse a call
2. How to deconstruct a call text
3. Group work: Practical exercise on call decoding

1. Finding, understanding and analysing a call

https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/programmes/horizon



Call example

Grant **Enhancing synergies between the EIC and Startup Europe**

Forthcoming

Programme	Horizon Europe (HORIZON)	**Deadline model**	single-stage
ID	HORIZON-EIC-2021-STARTUPEU-01-01	**Opening date**	01 June 2021
Types of action	HORIZON Coordination and Support Actions	**Deadline date**	22 September 2021 17:00:00 Brussels time

***Example*:**

Topic ID

HORIZON-CL6-2021-BIODIV-01-11: What else is out there? Exploring the connection between biodiversity, ecosystems services, pandemics and epidemic risk

Specific Conditions

Expected EU contribution per project: between EUR 4 and 6 Million
Indicative budget: Total budget for the topic is EUR 12 Mililion
Type of Action: Research and Innovation Action
Eligibility conditions: see Annex B
Technology Readiness Level: Activities are expected to archive TLR 3-5

Expected Outcome

Successful proposal will contribute to European Green Deal priorities and the EU biodiversity strategy for 2030, whilst supporting the EU's response to the coronavirus and other zoonotic outbreaks, in the context of EU's goal of leading just digital, economic and ecological transitions that will leave no one behind, One Health approaches, and the future European Health Union. **Projects results** are expected to contribute to […]

Scope

Wildlife microbiomes, whether symbiotic, commensal or pathogenic, and their potential to spread by crossing interspecies barriers, eventually reaching humans via transitional interfaces (e.g. peri-urban, farming areas), are still largely unknown. […] The impacts of land use and climate change on biodiversity, ecosystem services and pandemics should be also taken into account, as well as any recent IPBES reports on the links between biodiversity and pandemics […]

Call example

HORIZON-CL6-2021-CLIMATE-01-06 Resilient livestock farming systems under climate change Specific conditions	
Expected EU contribution per project	The EU estimates that an EU contribution of around EUR 12.00 million would allow these outcomes to be addressed appropriately. Nonetheless, this does not preclude submission and selection of a proposal requesting different amounts.
Indicative budget	The total indicative budget for the topic is EUR 12.00 million.
Type of Action	Research and Innovation Actions (RIA)

Call example

Expected Outcome: A successful proposal will contribute to the European Green Deal and international objectives to foster climate change mitigation and adaptation in agriculture. It will in particular support the Farm to Fork Strategy objective for a transition to a fair, healthy and resilient European agriculture. It will contribute to climate action on land and more specifically towards climate neutrality by reducing GHG emissions and enhancing natural carbon sinks: better understanding and mobilising the mitigation and adaptation potential of livestock farming and related sectors based on the sustainable management of natural resources.

The following outcomes are expected:

- Enhanced adoption by farmers and other relevant actors of innovations that increase the mitigation and adaptation capacity of livestock farming systems to climate change, at animal, population and farm level, therefore improving the resilience of production systems as well as animal health and welfare.

- Improved capacity to assess the environmental and socio-economic impact of mitigation and adaptation practices and options at different scales, alone and in combination.

- Consolidated transition towards a resilient livestock production with novel integrated approaches (in terms of management, breeding, feeding, local resources use, etc.) defined for different climate change scenarios

Call example

Scope: Terrestrial livestock production is considered a large contributor to anthropogenic GHG emissions worldwide. Although emission intensity in Europe is lower in comparison to many other regions of the world, options to better assess and improve the emissions balance of terrestrial livestock production, weather intensive or extensive/low input, including organic, are necessary, including the evaluation of appropriate indicators of GHG emissions in different breeds, environments and production systems, in order not to rely solely on a reduction of the demand in food of animal origin to improve the emission balance of the sector. A variety of options have been identified, but are not yet common practice, and the potential of breeding to contribute to an improved GHG balance was not much investigated so far. In addition, the likelihood of further climate change occurring, and the increasing scale of potential climate impacts require addressing agricultural adaptation of the livestock sector as well.

Call example

The proposals should investigate at different levels (animal, herd, farm and sector, region) and with a coherent approach, practices and innovations that enable a reduction of the net GHG emissions by terrestrial livestock, while striving to ensure farm viability and resilience of productions systems, including adaption to climate change, and taking into account the impact on the environment and biodiversity. Trade-offs within and between the different levels should be addressed. At animal level, the research should use systems biology to study interactions between host and environment (e.g. feed and microbes) and how this interplay affects the efficiency of feed utilisation (energy and proteins) and GHG emissions, not least methane. Proposals will define and investigate traits/phenotypes, and the potential of breeding, to reduce GHG animal emissions or/and adapt to climate change. At farm level, different husbandry practices should be addressed. At sector/regional level, a system approach should investigate how different actors can cooperate to improve the GHG balance of livestock production, optimising the use of resources, including feed (e.g. production and origin), improving circularity. In addition to biophysical research, the proposals should address the potential socio-economic impact of the proposed practices and innovations, and look at options to facilitate their uptake. Proposals should develop or refine related tools for a proper assessment of practices and proposed innovations. Proposals should take into account novel farming systems and future scenarios, different breeds, particularly local breeds, various management approaches, climatic conditions and regional specificities. Proposals should address at least cattle and pigs and may address any other relevant species.

Proposals should fall under the concept of the 'multi-actor approach' and ensure adequate involvement of the farming sector, terrestrial livestock breeders, advisers and other relevant actors.
The proposals should take into account other EU-funded projects, including those funded under the ERA-NETs SusAn and ERA-GAS .

2. How to deconstruct a call text

Deconstructing a call text

- **Specific Conditions:** main infromation about the call
- **Expected Outcomes:** what is supposed to be achieved

Outcomes …→ Impact

- **Scope:** presents what exactly is expected to be done

Research Work to be done ⟷ **Consortium**

→ Pdf file to present

3. How to deconstruct a call text
Group Work

- **Read carefully the *Horizon Europe topic* chosen as an example for the hands-on exercise;**

- **Sort the information and highlight all words and sentences related to the colour code**

Work	Consortium	Impact	Budget

Work	Consortium	Impact	Budget

HORIZON-HLTH-2022-DISEASE-06-03-two-stage: Vaccines 2.0 - developing the next generation of vaccines

Specific conditions	
Expected EU contribution per project	The Commission estimates that an EU contribution of around EUR 8.00 million would allow these outcomes to be addressed appropriately. Nonetheless, this does not preclude submission and selection of a proposal requesting different amounts.
Indicative budget	The total indicative budget for the topic is EUR 40.00 million.
Type of Action	Research and Innovation Actions

Expected Outcome: This topic aims at supporting activities that are enabling or contributing to one or several expected impacts of destination 3 "*Tackling diseases and reducing disease burden*". To that end, proposals under this topic should aim for delivering results that are directed, tailored towards and contributing to all of the following expected outcomes:

- The scientific and clinical communities use the increased knowledge on pathogens and better understanding of the immune system's role in infectious diseases to develop vaccines with improved efficacy.
- Vaccine manufacturers use more innovative and sustainable manufacturing technologies and improved GMP manufacturing know-how for producing the next generation of vaccines.
- A diversified portfolio of vaccine candidates ready for testing in clinical trials help policy makers and funders to make informed decisions about support to vaccine development.
- New innovative and improved design of preclinical/clinical studies that match the features of the next generation of vaccines is available for clinical community and regulators, and will shorten vaccine development time.

Scope: Infectious diseases, including antimicrobial resistant (AMR) infections, remain a major threat to health and health security in the EU and globally. The availability of more effective, accessible and affordable vaccines would provide the most cost-effective preventive measure against the health threat of epidemics and AMR pathogens. Vaccines against diseases, such as AIDS, tuberculosis (TB), malaria, neglected tropical diseases, hepatitis C and water-borne diseases are essential to achieve the WHO targets to control the spread of infectious diseases. The first generation of vaccines against some of the pathogens have proven to be suboptimal and not effective enough to protect the population. Many viruses of pandemic potential are variable in their surface antigen composition, and novel technologies are required to develop efficient vaccines against each new variant efficiently and in a short timeframe. To ensure that

more effective, accessible and affordable vaccines against all major infectious diseases become a reality, it is essential to sustain a diverse and modernised vaccine development pipeline.

Proposals should aim to diversify and accelerate the global vaccine research and development pipeline, and to strengthen the current leading role of the EU in vaccine research and development. Proposals should cover those pathogens, which still lack vaccines of sufficient efficacy, but where earlier efforts have already produced promising vaccine candidates.

The proposals should address several of the following areas:

- Innovation and integration of expertise and capabilities, including alignment of preclinical and clinical models, biomarker studies and new vaccine approaches from discovery to late stage development, from bench-based research to clinical development of promising preventive candidates.
- Application of iterative processes (including cross-learning, back-translation steps, integrative analysis of data) to allow exploitation and integration of novel findings between clinical, preclinical and discovery research and development.
- Deciphering mechanisms of protection of candidates, new approaches to antigen discovery and immunogen engineering, reverse vaccinology, evaluation of vaccines in novel platforms and technologies, novel adjuvants, innovative vaccine manufacturing approaches, relevant animal models, evaluation of alternative vaccine delivery routes.

Effective, evidence-based decision-making for progression of vaccine candidates in the pipeline based on transparent and objective portfolio management. Regulatory requirements be considered. Sex, gender, age and socio-economic factors should be taken into account.

Work Consortium Impact Budget

HORIZON-HLTH-2022-DISEASE-06-03-two-stage: Vaccines 2.0 - developing the next generation of vaccines

Specific conditions	
Expected EU contribution per project	The Commission estimates that an EU contribution of around EUR 8.00 million would allow these outcomes to be addressed appropriately. Nonetheless, this does not preclude submission and selection of a proposal requesting different amounts.
Indicative budget	The total indicative budget for the topic is EUR 40.00 million.
Type of Action	Research and Innovation Actions

Work Consortium Impact Budget

Expected Outcome: This topic aims at supporting activities that are enabling or contributing to one or several expected impacts of destination 3 "*Tackling diseases and reducing disease burden*". To that end, proposals under this topic should aim for delivering results that are directed, tailored towards and contributing to all of the following expected outcomes:

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- Effective, evidence-based decision-making for progression of vaccine candidates in the pipeline based on transparent and objective portfolio management. Regulatory requirements be considered. Sex, gender, age and socio-economic factors should be taken into account.

Glossary

CRITICAL RISK	A critical risk is a plausible event or issue that could have a high adverse impact on the ability of the project to achieve its objectives. Level of likelihood to occur (Low/medium/high): The likelihood is the estimated probability that the risk will materialise even after taking account of the mitigating measures put in place. Level of severity (Low/medium/high): The relative seriousness of the risk and the significance of its effect.
DELIVERABLE	A report that is sent to the Commission or Agency providing information to ensure effective monitoring of the project. There are different types of deliverables (e.g. a report on specific activities or results, data management plans, ethics or security requirements).
IMPACTS	Wider long term effects on society (including the environment), the economy and science, enabled by the outcomes of R&I investments (long term). It refers to the specific contribution of the project to the work programme expected impacts described in the destination. Impacts generally occur some time after the end of the project.

Glossary

MILESTONE	Control points in the project that help to chart progress. Milestones may correspond to the achievement of a key result, allowing the next phase of the work to begin. They may also be needed at intermediary points so that, if problems have arisen, corrective measures can be taken. A milestone may be a critical decision point in the project where, for example, the consortium must decide which of several technologies to adopt for further development. The achievement of a milestone should be verifiable.
OBJECTIVES	The goals of the work performed within the project, in terms of its research and innovation content. This will be translated into the project's results. These may range from tackling specific research questions, demonstrating the feasibility of an innovation, sharing knowledge among stakeholders on specific issues. The nature of the objectives will depend on the type of action, and the scope of the topic.
OUTCOMES	The expected effects, over the medium term, of projects supported under a given topic. The results of a project should contribute to these outcomes, fostered in particular by the dissemination and exploitation measures. This may include the uptake, diffusion, deployment, and/or use of the project's results by direct target groups. Outcomes generally occur during or shortly after the end of the project.

Glossary

PATHWAY TO IMPACT	Logical steps towards the achievement of the expected impacts of the project over time, in particular beyond the duration of a project. A pathway begins with the projects' results, to their dissemination, exploitation and communication, contributing to the expected outcomes in the work programme topic, and ultimately to the wider scientific, economic and societal impacts of the work programme destination.
RESEARCH OUTPUT	Results generated by the action to which access can be given in the form of scientific publications, data or other engineered outcomes and processes such as software, algorithms,
RESULTS	What is generated during the project implementation. This may include, for example, know-how, innovative solutions, algorithms, proof of feasibility, new business models, policy recommendations, guidelines, prototypes, demonstrators, databases and datasets, trained researchers, new infrastructures, networks, etc. Most project results (inventions, scientific works, etc.) are 'Intellectual Property', which may, if appropriate, be protected by formal 'Intellectual Property Rights'.
TRL	**TECHNOLOGY READINESS LEVEL - See annex B**

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European Commission

PROPOSAL WRITING CAMP

Session 4: Implementation & Workplan

Example: structure of a HORIZON EUROPE - RIA (Research & Innovation Action)

Part A
(online form)

- Administrative forms

Part B

(to be uploaded as PDF)

1. Excellence
2. Impact
3. Quality and efficiency of implementation

->additional Annex with information on financial support to third parties (if applicable)

RIA (Part B)

1. Excellence
1.1 Objectives and ambition
1.2 Methodology

2. Impact
2.1 Project´s pathways to impact
2.2 Measures to maximise impact Dissemination Exploitation and Communication
2.3 Summary

3. Quality and efficiency of the implementation

3.1 Work plan and Resources

3.2 Capacity of participants and consortium as a whole

B3. Quality and efficiency of the implementation

3.1 Work plan and Resources (14 pages including all tables)

3.2 Capacity of participants and consortium as a whole (3 pages)

Award criteria – aspects to be taken into account

- ✓ *Quality and effectiveness of the **work plan**, assessment of **risks**, and appropriateness of the **effort** assigned to work packages, and the **resources** overall*
- ✓ *Extent to which the consortium **as a whole** brings together the necessary expertise; Capacity and role of **each** participant.*

B3.1 Work plan and Resources

Content:

- brief presentation of the **overall structure of the work plan**;
- **timing of the different work packages and their components** (Gantt chart or similar);
- **graphical presentation** of the components showing how they inter-relate (Pert chart or similar).
- detailed work description, i.e.:
    - a list of work packages (table 3.1a);
    - a description of each work package (tables 3.1b);
    - a list of deliverables (table 3.1c);

B3.1 Work plan and Resources (2)

Content:

- a list of **milestones** (table 3.1d);
- a list of **critical risks**, related to project implementation. I.e. when the stated project's objectives may not be achieved. Detail any risk mitigation measures. You will be able to update the list of critical risks and mitigation measures as the project progresses (table 3.1e);
- a table showing **number of person months** required (table 3.1f);
- a table showing description and justification of **subcontracting costs** for each participant (table 3.1g);
- a table showing justifications for '**purchase costs**' (table 3.1h) for participants where those costs exceed 15% of the personnel costs (according to the budget table in proposal part A);
- if applicable, a table showing justifications for '**other costs categories**' (table 3.1i).

Tables for section 3.1

Table 3.1a: List of work packages

Work package No	Work Package Title	Lead Participant No	Lead Participant Short Name	Person-Months	Start Month	End month
				Total person-months		

Tables for section 3.1

Table 3.1a: List of work packages

Work package No	Work Package Title	Lead Participant No	Lead Participant Short Name	Person-Months	Start Month	End month
				Total person-months		

Table 3.1b: Work package description

For each work package:

Work package number		**Lead beneficiary**					
Work package title							
Participant number							
Short name of participant							
Person months per participant:							
Start month				**End month**			

Objectives

Description of work (where appropriate, broken down into tasks), lead partner and role of participants

Deliverables (brief description and month of delivery)

Table 3.1c: List of Deliverables[6]

Only include deliverables that you consider essential for effective project monitoring.

Deliverable (number)	Deliverable name	Work package number	Short name of lead participant	Type	Dissemination level	Delivery date (in months)

KEY

Deliverable numbers in order of delivery dates. Please use the numbering convention <WP number>.<number of deliverable within that WP>. For example, deliverable 4.2 would be the second deliverable from work package 4.

Type:

Use one of the following codes:

R: Document, report (excluding the periodic and final reports)
DEM: Demonstrator, pilot, prototype, plan designs
DEC: Websites, patents filing, press & media actions, videos, etc.
DATA: Data sets, microdata, etc.
DMP: Data management plan
ETHICS: Deliverables related to ethics issues.
SECURITY: Deliverables related to security issues
OTHER: Software, technical diagram, algorithms, models, etc.

Dissemination level:

Use one of the following codes:

PU – Public, fully open, e.g. web (Deliverables flagged as public will be automatically published in CORDIS project's page)
SEN – Sensitive, limited under the conditions of the Grant Agreement
Classified R-UE/EU-R – EU RESTRICTED under the Commission Decision No2015/444

Table 3.1d: List of milestones

Milestone number	Milestone name	Related work package(s)	Due date (in month)	Means of verification

KEY

Due date
Measured in months from the project start date (month 1)

Means of verification
Show how you will confirm that the milestone has been attained. Refer to indicators if appropriate. For example: a laboratory prototype that is 'up and running'; software released and validated by a user group; field survey complete and data quality validated.

Table 3.1e: Critical risks for implementation

Description of risk (indicate level of (i) likelihood, and (ii) severity: Low/Medium/High)	Work package(s) involved	Proposed risk-mitigation measures

Definition critical risk:
A critical risk is a plausible event or issue that could have a high adverse impact on the ability of the project to achieve its objectives.

	WPn	WPn+1	WPn+2	Total Person-Months per Participant
Participant Number/Short Name				
Participant Number/ Short Name				
Participant Number/ Short Name				
Total Person Months				

Table 3.1g: 'Subcontracting costs' items

For each participant describe and justify the tasks to be subcontracted (please note that core tasks of the project should not be sub-contracted).

Participant Number/Short Name		
	Cost (€)	Description of tasks and justification
Subcontracting		

Table 3.1h: 'Purchase costs' items (travel and subsistence, equipment and other goods, works and services)

Please complete the table below for each participant if the purchase costs (i.e. the sum of the costs for 'travel and subsistence', 'equipment', and 'other goods, works and services') exceeds 15% of the personnel costs for that participant (according to the budget table in proposal part A). The record must list cost items in order of costs and starting with the largest cost item, up to the level that the remaining, costs are below 15% of personnel costs.

Participant Number/Short Name		
	Cost (€)	Justification
Travel and subsistence		
Equipment		
Other goods, works and services		
Remaining purchase costs (<15% of pers. Costs)		
Total		

B3.2 Capacity of participants and consortium as a whole

- **Describe the consortium.** How does it match the project's objectives, and bring together the necessary disciplinary and inter-disciplinary knowledge. Show how this includes expertise in social sciences and humanities, open science practices, and gender aspects of R&I, as appropriate.
- Show **how the partners will have access to critical infrastructure needed to carry out the project's activities.**
- Describe **how the members complement one another** (and cover the value chain, where appropriate)
- **In what way does each of them contribute to the project?** Show that each has a *valid role*, and adequate *resources* in the project to fulfil that role.

B3.2 Capacity of participants and consortium as a whole (2)

- If applicable, **describe the industrial/commercial involvement in the project to ensure exploitation of the results** and explain why this is consistent with and will help to achieve the specific measures which are proposed for exploitation of the results of the project (see section 2.2).
- **Other countries and international organisations**: If one or more of the participants requesting EU funding is based in a country or is an international organisation that is not automatically eligible for such funding (entities from Member States of the EU, from Associated Countries and from one of the countries in the exhaustive list included in the Work Programme General Annexes B are automatically eligible for EU funding), explain why the participation of the entity in question is essential to successfully carry out the project.

What evaluators of Horizon EUROPE proposals are looking for

The evaluators pay particular attention to:

- Expected impacts described for the topic of the project
- Key performance indicators (KPIs) including target values
- Enhancing innovation capacity and integration of new knowledge
- Strengthening competitiveness and growth of industrial partners by developing and delivering innovations meeting market needs
- Other environmental or social impacts…

They evaluate effectiveness of the proposed measures to exploit and disseminate the project results (including management of IPR), to communicate the project...

GROUP WORK

- **Prepare a few draft work-packages** (WPs)
- Establish a WP draft with:
  - A number and title for the WP;
  - Few Tasks in that WP (title/few words to understand what you mean);
  - Key Deliverables for that WP (title/type);
- **Consortium**: Competences/expertise needed for your WPs; type of entities to involve

➢ Presentation of draft work-packages & consortium in the group

To do: PREPARE A WORKPLAN DESCRIPTION (see template)

Table 3.1a: Work package description

For each work package:

Work package number		**Lead beneficiary**					
Work package title							
Participant number							
Short name of participant							
Person months per participant:							
Start month				**End month**			

Objectives

Description of work (where appropriate, broken down into tasks), lead partner and role of participants

Deliverables (brief description and month of delivery)

To do: PREPARE A WORKPLAN

International Service Facility of the EC - Proposal Writing Camp
Hands-on work in group(s)

Implementation and consortium Session

- **Read carefully the Horizon Europe topic chosen as an example for the hands-on exercise;**
- **Highlight all words and sentences related to the research work to be done;**
- **Try to organize that work in Work Packages (WP) for your proposal:**

WP number and Title:
Task 1 (*title/few words to understand what you mean*): Task 2: Etc.
Key Deliverables (title/type): a) b) etc.

WP number and Title:
Task 1 (*title/few words to understand what you mean*): Task 2: Etc.
Key Deliverables (title/type): a) b) etc.

Replicate as much as needed

Consortium

Based on the above research work to be done (and on the topic text) indicate:

- The main **competences** the consortium should possess (e.g. expertise in Analytical chemistry; on Regulatory issues; etc.):

- The **type of entities** to include (research organizations; industry; SMEs; NGOs; other

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PROPOSAL WRITING CAMP

Session 5: Excellence & Impact

Example: structure of a HORIZON EUROPE - RIA (Research & Innovation Action)

Part B

(to be uploaded as pdf PDF)

1.Excellence

2.Impact

3.Quality and efficiency of implementation

->additional Annex with information on financial support to third parties (if applicable)

STRUCTURE OF PART B (RIA)

1. Excellence
1.1 Objectives and ambition
1.2 Methodology

2. Impact
2.1 Project´s pathways to impact
2.2 Measures to maximise impact Dissemination Exploitation and Communication
2.3 Summary

3. Quality and efficiency of the implementation
3.1 Work plan and Resources
3.2 Capacity of participants and consortium as a whole

PAGE LIMIT! 45 pages (RIA) (including title page and list of participants)

RIA (Part B)

1. Excellence

1.1 Objectives and ambition

1.2 Methodology

2. Impact

2.1 Project´s pathways to impact

2.2 Measures to maximise impact Dissemination Exploitation and Communication

2.3 Summary

3. Quality and efficiency of the implementation

3.1 Work plan and Resources

3.2 Capacity of participants and consortium as a whole

B1. Excellence

1. Excellence

1.1 Objectives and ambition (4 p.)

1.2 Methodology (15 pages)

Excellence – aspects to be taken into account

- ✓ Clarity and pertinence of the project's objectives, and the extent to which the proposed work is ambitious, and goes beyond the state of the art.
- ✓ Soundness of the proposed methodology, including the underlying concepts, models, assumptions, interdisciplinary approaches, appropriate consideration of the gender dimension in research and innovation content, and the quality of open science practices, including sharing and management of research outputs and engagement of citizens, civil society and end users where appropriate.

B1.1 Objectives & Ambition

- **Overall aim =>Short introductory paragraph answering 5 KEY QUESTIONS**
  - Which problem are you trying to solve?
  - Is it a European priority or could it be solved at national level?
  - Is the solution already available?
  - Why now?
  - Why you? Are you the best consortium to do this work?
- **2-3 OVERALL OBJECTIVES**
- **Specific objectives (not more then 5)**

Objectives ≠ activities!

- The right question:
  - **What do I plan to achieve?**

- The wrong question:
  - **What am I going to do?**

S M A R T OBJECTIVES

S specific, concrete

- What **exactly** are you going to achieve?
- Is the objective written in a clear and **comprehensible** way?

M measurable

- How can you tell if the objective is reached?
- Are there clear **indicators** or **parameters** to measure the objective?

A acceptable

- Acceptence of project results by stakholders?
- Do the objectives provide an **acceptable solution** to the problem?

R realistic

- Is the objective **achievable**, given the time and resources committed?

T timely

- **When** will the objectives be achieved?

B1.1 Objectives and Ambition (4 pages)

- Objectives should be consistent with the expected/identified exploitation and impact of the project

- Describe the specific objectives for the project, which should be **clear, measurable, realistic and achievable** within the duration of the project.

- Describe how your project goes beyond the state-of-the-art, and the extent the proposed work is ambitious. Indicate any exceptional ground-breaking R&I, novel concepts and approaches, new products, services or business and organisational models.

- Describe where the proposed work is positioned in terms of R&I maturity (i.e. where it is situated in the spectrum from 'idea to application', or from 'lab to market'). Where applicable, provide an indication of the Technology Readiness Level, if possible distinguishing the start and by the end of the project.

- Describe the ground-breaking nature of the objectives, concept , trans-disciplinarily considered, innovation potential…

methodology…

- The right question:
  - **How the objectives will be reached?**

- The wrong question:
  - **What exactly and when will be done?**

1.2 Methodology (15 pages)

- Describe and explain **the overall methodology, including the concepts, models and assumptions that underpin your work. Explain how this will enable you to deliver your project's objectives.** Refer to any important challenges you may have identified in the chosen methodology and how you intend to overcome them.

- Describe any **national or international research and innovation activities whose results will feed into the project, and how that link will be established**; =***EXPLOITABLE RESUTLTS***

- Explain **how expertise and methods from different disciplines will be brought together and integrated in pursuit of your objectives.** If you consider that an inter-disciplinary approach is unnecessary in the context of the proposed work, please provide a justification.

- For topics where the work programme indicates the need for the **integration of social sciences and humanities**, show the role of these disciplines in the project or provide a justification if you consider that these disciplines are not relevant to your proposed project.

1.2 Methodology (15 pages)

- Describe how the **gender dimension** (i.e. sex and/or gender analysis) is taken into account in the project's research and innovation content. If you do not consider such a gender dimension to be relevant in your project, please provide a justification.

- Describe **how appropriate open science practices** are implemented as an integral part of the proposed methodology. Show how the choice of practices and their implementation are adapted to the nature of your work, in a way that will increase the chances of the project delivering on its objectives

1.2 Methodology (15 pages)

- **Research data management and management of other research outputs**
- **Types of data/research outputs** (e.g. experimental, observational, images, text, numerical) and their estimated size
- **Findability of data/research outputs:** Types of persistent and unique identifiers (e.g. digital object identifiers) and trusted repositories that will be used.
- **Accessibility of data/research outputs:** IPR considerations and timeline for open access (if open access not provided, explain why); provisions for access to restricted data for verification purposes.
- Interoperability of data/research outputs: Standards, formats and vocabularies for data and metadata.
- **Reusability of data/research outputs:** Licenses for data sharing and re-use (e.g. Creative Commons, Open Data Commons); availability of tools/software/models for data generation and validation/interpretation /re-use.
- **Curation and storage/preservation costs; person/team responsible for data management and quality assurance.**

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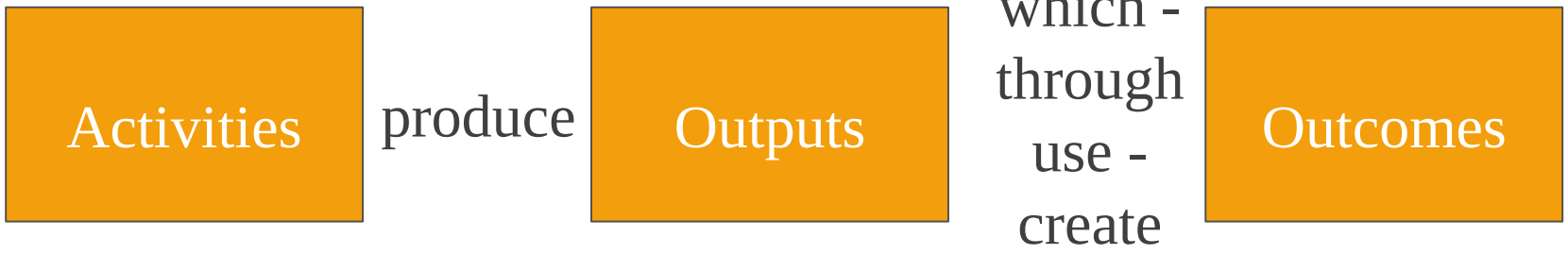
PROPOSAL WRITING CAMP

Session 5_2: Impact

European Commission

From Activities to Impacts



OUTCOME =what happens, if our **target group uses** our outputs!

- they become more knowledgeable (enlightenment!) or
- produce better products or
- reduce the ecological footprint

IMPACT = what happens **by use or non-use** of others than our primary target group (i.e. a ‘secondary’ or even ‘not-intended audience’)

Types of effects / impacts

- **Results-oriented impacts**: usually quantitative measurable results (e.g. creation of jobs, new publications, patents, reduction etc.)

- **Behavioural impacts**: changes in the (social, economic, …) behaviour (e.g. changes concerning innovative behaviour, change of environmental behaviour, change of images & awareness etc.)

Various categories of impacts

- **Scientific/Academic/Research:** This avenue generally focuses on the possible publications, conferences, or any other opportunities that can arise as a result of this project to promote the research field.

- **Socio-economic:** Here, researchers often touch on the new possibilities for job creation, important policy outputs, and overall social benefits of their project.

- **Environmental:** Such applications mostly refer to policy papers or guidance documents produced as a result of the research project.

- **Public engagement:** In this selected avenue, researchers describe varying ways to publicly engage through communication strategies, education, media or social media outlets, and user groups.

Impact orientation in all stages

- Most programmes have an impact-oriented approach
- Horizon Europe balances research and innovation and aims to drive competitiveness/growth and to tackle societal challenges (e.g. through missions)
- Many programmes encourage collaboration between different stakeholders (researchers, industry including SMEs, public sector organisations and citizens)
- Expected impacts are crucial for successful proposals and projects
- Aspects of the project (activities, partnership, open access of results, etc.) intend to maximise potential impacts

The 5 targets for the EU in 2020: Example of framework conditions for impact

- 1. **Employment**
  - 75% of the 20-64 year-olds to be employed
- 2. **R&D**
  - 3% of the EU's GDP to be invested in R&D
- 3. **Climate change and energy sustainability**
  - **greenhouse gas emissions 20%** (or even **30%**, if the conditions are right) **lower than 1990**
  - **20% of energy from renewables**
  - **20% increase in energy efficiency**
- 4. **Education**
  - **Reducing the rates of early school leaving below 10%**
  - **at least 40% of 30-34–year-olds completing third level education**
- 5. **Fighting poverty and social exclusion**
  - at least **20 million fewer people in or at risk of poverty and social exclusion**

Example: structure of a HORIZON EUROPE - RIA (Research & Innovation Action)

Part A
(online form)

- Administrative forms

Part B

(to be uploaded as pdf PDF)

1. Excellence
2. Impact
3. Quality and efficiency of implementation

->additional Annex with information on financial support to third parties (if applicable)

RIA (Part B)

1. Excellence

1.1 Objectives and ambition

1.2 Methodology

2. Impact

2.1 Project´s pathways to impact

2.2 Measures to maximise impact Dissemination Exploitation and Communication

2.3 Summary

3. Quality and efficiency of the implementation

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3.2 Capacity of participants and consortium as a whole

B2.1 Project's pathways towards impact

Provide a narrative **explaining how the project's results are expected to make a difference in terms of impact, beyond the immediate scope and duration of the project.** The narrative should include the components below, tailored to your project.

- Describe the unique contribution your project results would make towards (1) the outcomes specified in this topic, and (2) the wider impacts, in the longer term, specified in the respective destinations in the work programme.

B2. IMPACT

2.1 Project´s pathways to impact (4 pages)
2.2 Measures to maximise impact Dissemination Exploitation and Communication (5 pages)
2.3 Summary

Impact – aspects to be taken into account.

- ✓ Credibility of the pathways to achieve the expected outcomes and impacts specified in the work programme, and the likely scale and significance of the contributions due to the project.
- ✓ Suitability and quality of the measures to maximise expected outcomes and impacts, as set out in the dissemination and exploitation plan, including communication activities.

B2.1 Project's pathways towards impact

Provide a narrative **explaining how the project's results are expected to make a difference in terms of impact, beyond the immediate scope and duration of the project.** The narrative should include the components below, tailored to your project.

- Describe the unique contribution your project results would make towards (1) the outcomes specified in this topic, and (2) the wider impacts, in the longer term, specified in the respective destinations in the work programme.

B2.1 Project's pathways towards impact (2)

- Describe **any requirements and potential barriers** - arising from factors beyond the scope and duration of the project - that may determine whether the desired outcomes and impacts are achieved. These may include, for example, other R&I work within and beyond Horizon Europe, etc. Indicate if these factors might evolve over time. **Describe any mitigating measures you propose, within or beyond your project, that could be needed should your assumptions prove to be wrong, or to address identified barriers.**

- Give **an indication of the scale and significance of the project's contribution to the expected outcomes and impacts**, should the project be successful. Provide quantified estimates where possible and meaningful.

B2.2 Measures to maximise impact - **Dissemination, exploitation and communication**

- Describe the planned measures to maximise the impact of your project by providing a first version of your ‘plan for the dissemination and exploitation including communication activities’.
- Describe the dissemination, exploitation and communication measures that are planned, and the target group(s) addressed (e.g. scientific community, end users, financial actors, public at large).
- Outline your strategy for the management of intellectual property, foreseen protection measures, such as patents, design rights, copyright, trade secrets, etc., and how these would be used to support exploitation.

KEY ELEMENT OF THE IMPACT SECTION

SPECIFIC NEEDS	EXPECTED RESULTS	D & E & C MEASURES
What are the specific needs that triggered this project? Example 1 Most airports use process flow-oriented models based on static mathematical values limiting the optimal management of passenger flow and hampering the accurate use of the available resources to the actual demand of passengers. Example 2 Electronic components need to get smaller and lighter to match the expectations of the end-users. At the same time there is a problem of sourcing of raw materials that has an environmental impact.	What do you expect to generate by the end of the project? Example 1 **Successful large-scale demonstrator:** **Successful large-scale demonstrator:** Trial with 3 airports of an advanced forecasting system for proactive airport passenger flow management. **Algorithmic model:** Novel algorithmic model for proactive airport passenger flow management. Example 2 Publication of a **scientific discovery on transparent electronics.** **New product:** More sustainable electronic circuits. **Three PhD students trained.**	What dissemination, exploitation and communication measures will you apply to the results? Example 1 **Exploitation:** Patenting the algorithmic model. **Dissemination towards the scientific community and airports**: Scientific publication with the results of the large-scale demonstration. **Communication towards citizens:** An event in a shopping mall to show how the outcomes of the action are relevant to our everyday lives. Example 2 **Exploitation of the new product:** Patenting the new product; Licencing to major electronic companies. **Dissemination towards the scientific community and industry:** Participating at conferences; Developing a platform of material compositions for industry; Participation at EC project portfolios to disseminate the results as part of a group and maximise the visibility vis-à-vis companies.

TARGET GROUPS	OUTCOMES	IMPACTS
Who will use or further up-take the results of the project? Who will benefit from the results of the project? Example 1 **9 European airports**: Schiphol, Brussels airport, etc. **The European Union aviation safety agency.** **Air passengers (indirect).** Example 2 **End-users**: consumers of electronic devices. **Major electronic companies**: Samsung, Apple, etc. **Scientific community** (field of transparent electronics).	*What change do you expect to see after successful dissemination and exploitation of project results to the target group(s)?* Example 1 **Up-take by airports:** 9 European airports adopt the advanced forecasting system demonstrated during the project. Example 2 **High use of the scientific discovery published** (measured with the relative rate of citation index of project publications). A **major electronic company** (Samsung or Apple) **exploits/uses the new product** in their manufacturing.	*What are the expected wider scientific, economic and societal effects of the project contributing to the expected impacts outlined in the respective destination in the work programme?* Example 1 **Scientific:** New breakthrough scientific discovery on passenger forecast modelling. **Economic:** Increased airport efficiency Size: 15% increase of maximum passenger capacity in European airports, leading to a 28% reduction in infrastructure expansion costs. Example 2 **Scientific:** New breakthrough scientific discovery on transparent electronics. **Economic/Technological:** A new market for touch enabled electronic devices. **Societal:** Lower climate impact of electronics manufacturing (including through material sourcing and waste management).

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TWINNING

How to build your network

European Commission

Learn from successful projects

- Build the most of what you have: **use your own existing networks**.
- Best starting point: look at **collaborations/links** you have at international, European level
- **Funding and Tenders Portal Partner Search**: https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/how-to-participate/partner-search
- Find which institutions and/or consortia have **won projects already** in Horizon 2020 and/or FP7?
- Read **scientific publications** in your field and take note of who is working on it

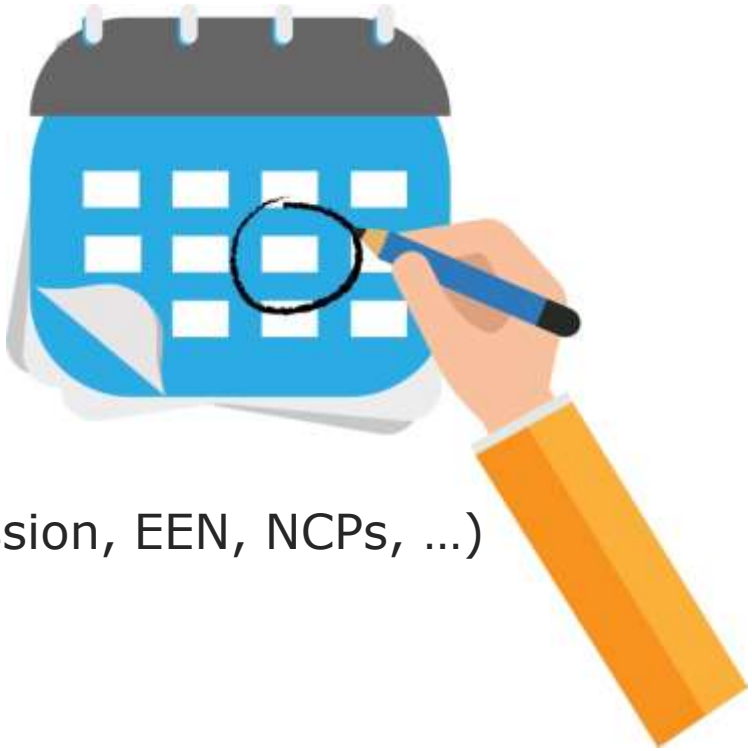
Existing contacts vs new contacts – Pros and Cons

Type of contact	Pros	Cons
Existing contact	• Most **effective** • Most **reliable** and **predictable** (worked together previously)	• Often **not suitable for a planned project** (especially when looking for comple-mentary skills)
New contact	• **Easier to find suitable** partners for a planned project • Several forms of assistance	• More **risky**

Be in the (international) right place

Attend

- Networking events
- Brokerage events
- Information days



Organised by

- EU relevant actors (European Commission, EEN, NCPs, …)

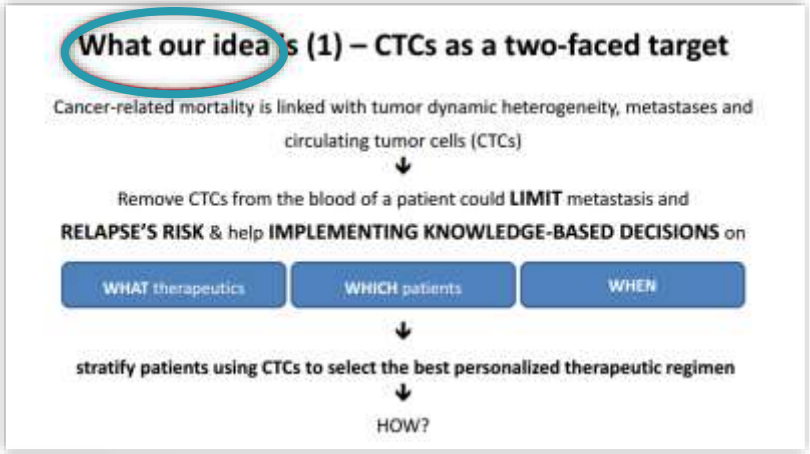
Be pragmatic!

- **Speak** to colleagues at conferences and events
- **Invite** them to join your project
- **Ask** to join their projects
- **Don’t disappear** after the event finishes

Be prepared!

- **Don’t** show up to networking events **without a clear idea of your objectives** (e.g. use elevator pitch, catchy PPTs,…)

Pitch: an example



Whom we are looking for

- Research centres & SME
  - Software modeling & in silico tests
  - Antiboby producers
  - CRO and/or other institutes for preclinical test of the devise (i.e. on animals)
  - Harnessing the power of – omics
  - look for partners

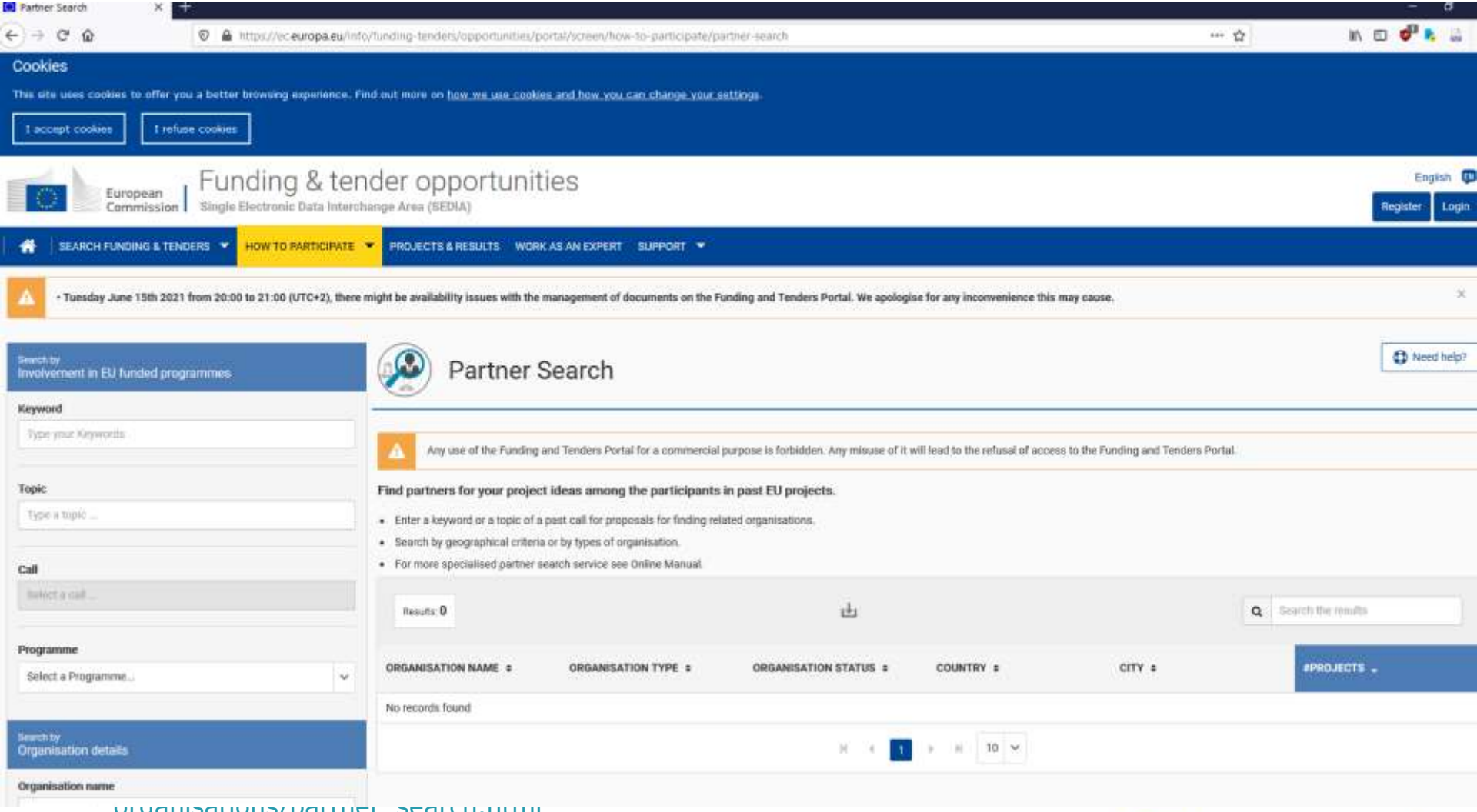
https://www.b2match.eu/BEHealthParis

Be visible!

Publish **your profile** and look for your **potential partner** in the **thematic research partner platforms** relevant for **issues** of your interest…

3. Partner search tools

Funding and Tenders Portal Partner Search



Partner search via databases

Tip: Always look for new networks!

- Database of the EU: https://cordis.europa.eu/partners/web/guest/home
- EEN (SME): https://een.ec.europa.eu/content/international-partnerships-0
- NCP Network Project Partner Search Databases (will be launched shortly)

4. How to get help: NCP network

How to get help (1)

National Contact Points (NCPs)

- Nationally organised network of experts by subject areas
- Services include **assistance in partner search** (usually relying on their own databases)
- **Dissemination** of calls for expressions of interest and calls for proposals through various channels
- **Organisation of training sessions** (good way of meeting potential partners)

Thank you!

#HorizonEU

http://ec.europa.eu/horizon-europe

European Commission

#HorizonEU

THE EU RESEARCH & INNOVATION PROGRAMME

2021 – 2027

Matthias WURCH, Project Manager
at DLR PT

Research and Innovation

BUDGET PREPARATION

Eligible Costs & Funding Rates

Eligibility for Funding – General Rules

Eligible for funding are legal entities established in:

- Member States
- Associated Countries
- Countries listed in Annex 1 of the Work Programme

Legal entities established in other Countries may be funded when:

- Agreement exists between 2 funding bodies
- Provision made in the call text
- Commission deems participation essential for carrying out the action

What funding rate applies?

100% (RIA, CSA, ERC) or 70 % (IA) funding rate for

1. Actual costs, directly linked to the implementation of the action
2. Flat-rate for indirect costs/overhead costs

Marie Skłodowska Curie Actions

3. Fixed Unit cost rates cover researcher costs and institutional costs

Horizon Europe – Model Grant Agreement (Annex 2): cost categories

A. PERSONNEL COSTS

- **A.1** Employees
- **A.2** Natural persons under direct contract
- **A.3** Seconded persons
- **A.4** SME owners and natural person beneficiaries

B. SUBCONTRACTING COSTS

C. PURCHASE COSTS

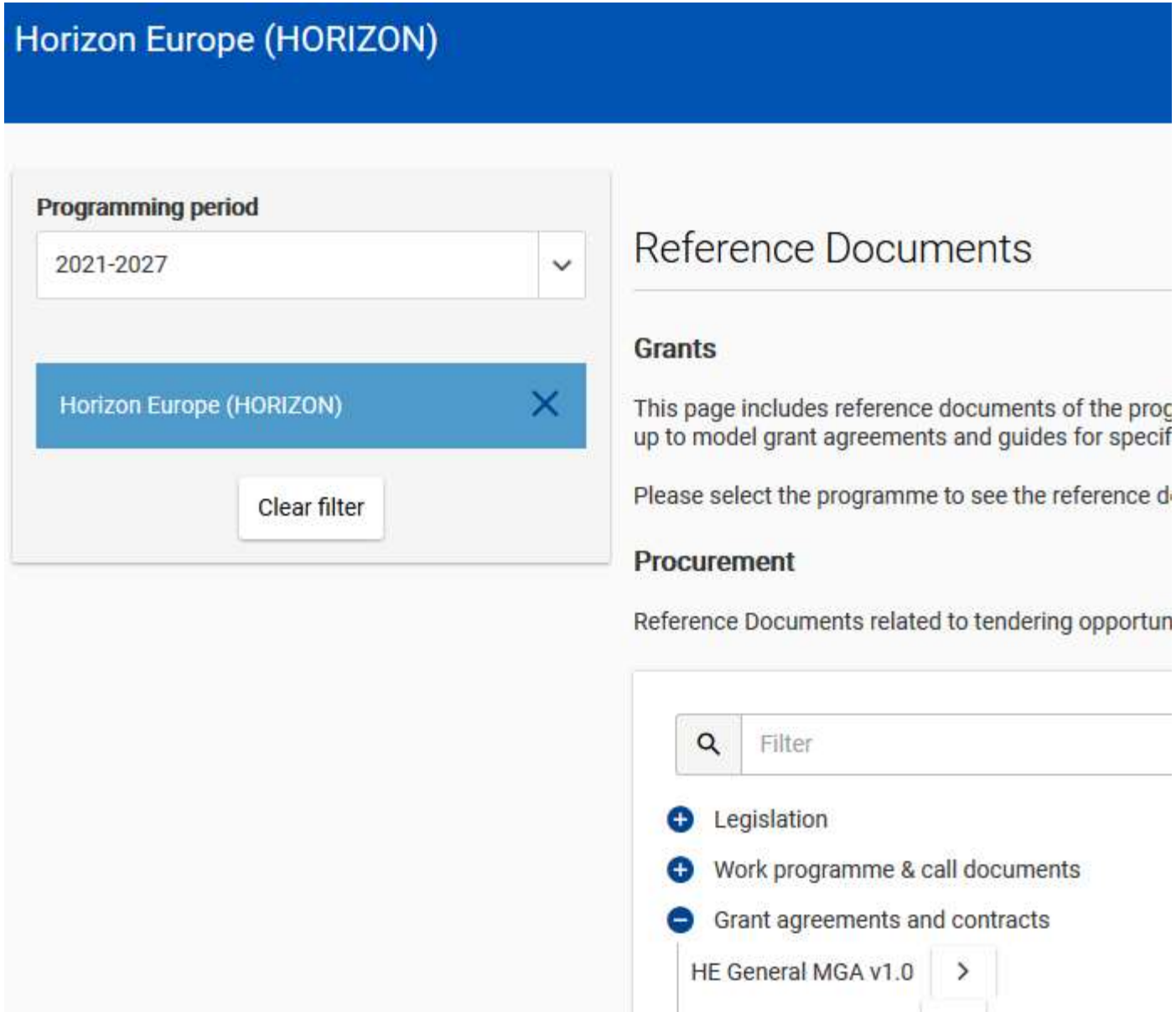
- **C.1** Travel and subsistence
- **C.2** Equipment
- **C.3** Other goods, works and services

D. OTHER COST CATEGORIES

- **D.1** Financial support to third parties
- **D.2** Internally invoiced goods and services
- *[**D.3** Transnational access to research infrastructure unit costs]*
- *[**D.4** Virtual access to research infrastructure unit costs]*
- *[**D.5** PCP/PPI procurement cost]*
- *[**D.6** Euratom Cofund staff mobility costs]*
- *[**D.7** ERC additional funding]*
- *[**D.8** ERC additional funding (subcontracting, FSTP and internally invoiced goods and services)]*

E. INDIRECT COSTS

https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/how-to-participate/reference-documents;programCode=HORIZON



Direct costs

= directly linked to the implementation of the action

Examples:

- ✓ Personnel costs
- ✓ Subcontracting
- ✓ Purchase costs (Travel, equipment, other goods, works and services)
- ✓ Other cost categories

Indirect costs

= **not** directly linked to the action

Examples:

- ✓ Rents, electricity, heating, office equipment, furniture, phone costs, postage, printing and copy costs, administrative costs
- ✓ Paid as a 25% as flat rate of the direct eligible costs (except e.g. subcontracts!)

Marie Skłodowska Curie Actions

- Unit costs organised in several cost categories are used instead of the general cost forms
- These are fixed amounts that must be multiplied by the number of months the recruited researchers spent on research training activities (person-months)
- Different unit cost categories cover
  - ✓ Salary of the fellows
  - ✓ research and training costs of the fellows
  - ✓ Costs related to project implementation

Budgeting a proposal

How to budget a proposal?

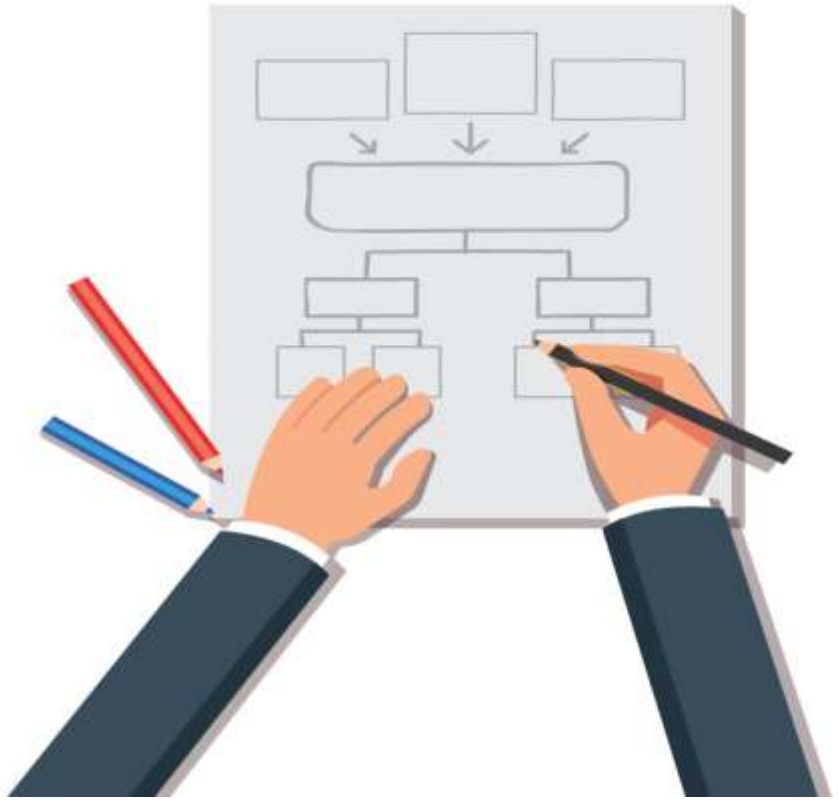
Calculate your costs on a realistic and reasonable basis, as you expect it to appear and to be eligible in the action.

- ✓ Budget should be calculated according to the action needs
- ✓ Demonstrates a clear vision of objectives and tasks in an action
- ✓ Minimises potential changes during the runtime of an action

Appropriate budget estimation and distribution is part of the evaluation!

Don‘t forget financial buffers

Plan



Direct costs are eligible if…

- **Actually** incurred by the beneficiary during the life of the action (with a few exceptions)
- Indicated in the estimated **budget**
- In **connection** with the action as described in the action description and necessary for its implementation
- **Identifiable** and verifiable, in particular recorded in the beneficiary´s accounts
- In compliance with applicable **national law** on taxes, labour and social security
- **Reasonable**, justified and must comply with the principle of sound financial management
- **Evaluators will approve the necessity for the activity and the related costs**

Daily rate provisions

Personnel costs – new calculation in HE

- Discontinuation of the different formulas (annual and monthly) and options for productive hours (entailing difficult and error-prone calculations)
- No more ‘last closed financial year’ rule
- Instead, use of a single corporate daily rate and calendar year approach

Daily rate calculation

Daily rate = $\frac{\textit{actual annual personnel costs for the person}}{\textit{215*}}$

*For Horizon Europe: Still possible to **deduct actual working days spent on parental leave** from the fixed number of 215 days

Daily rate calculation

When?

- **per calendar year** (from January to December)
- except for the months running from the end of the last calendar year until the end of the reporting period. For those months, you must calculate **a separate partial daily rate as follows**:

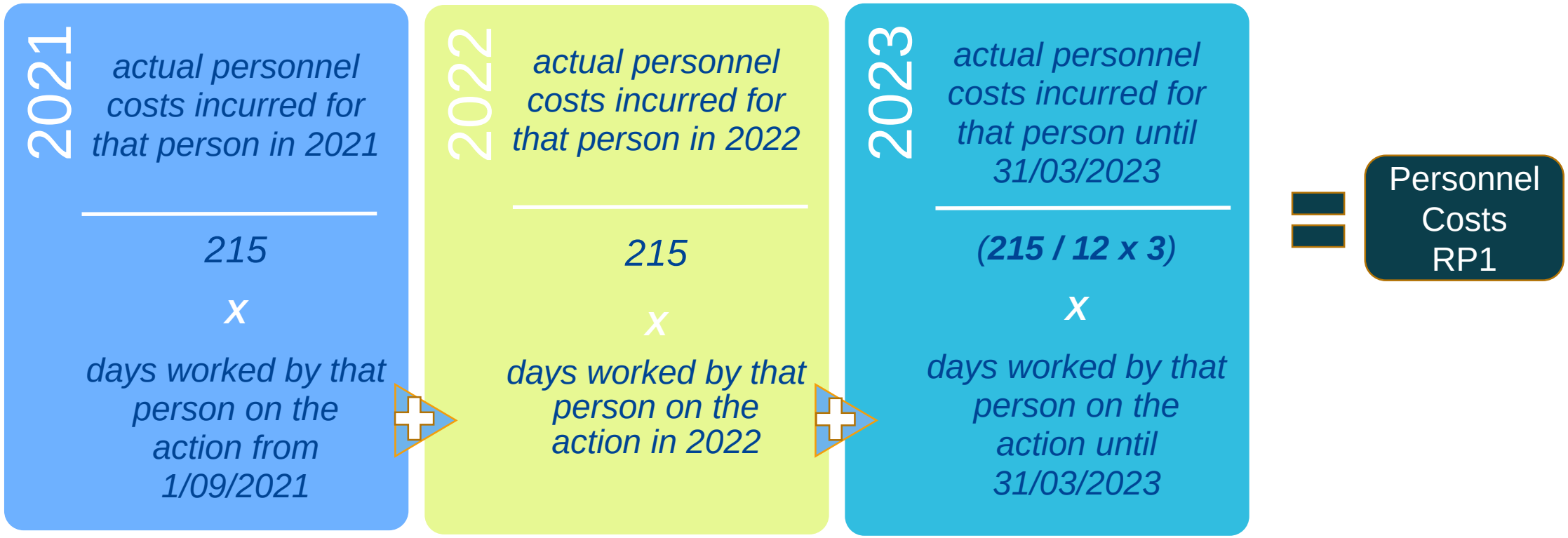
  *{actual **personnel costs** of the person incurred over those months*

  divided by

  {215 / 12 (months) x number of months from the January until the end of the reporting period}}

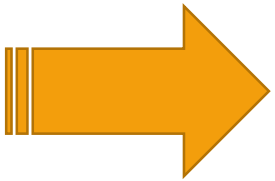
Example

Costs for Researcher Y in reporting period 1. Reporting period 1 runs from 1/09/2021 until 31/03/2023:



Days worked – record keeping

Days worked



- *use reliable **time records** (i.e. time-sheets) either on paper or in a computer-based time recording system.*

  - ***Or***

- *sign a monthly declaration on days spent for the action* (template under development).

Main differences with Horizon 2020

- Discontinuation of the different formulas (annual and monthly) and options for productive hours (entailing difficult and error-prone calculations)
- No more ‘last closed financial year’ rule
- Instead, use of a single corporate daily rate and calendar year approach

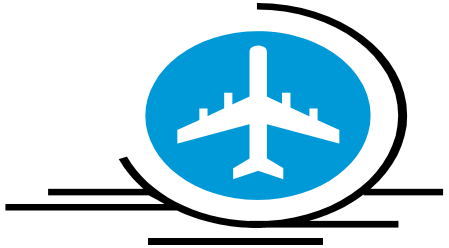
DIRECT COSTS

Purchase Costs and Subcontracting

When are travel costs eligible?

- Travel and subsistence costs for personnel and external experts are eligible if they fulfil the general conditions to be eligible (i.e. incurred during the action duration, necessary, linked to the action, etc.)

- According to the usual practices on travel of the beneficiary



- No distinction between travelling in or outside of Europe

- Particularly expensive travels: With approval of the Project Officer

Equipment costs

Continuity

Depreciation costs are **by default** eligible.

By exception, full costs may be eligible.

Further clarity

Optional provisions addressing the specific case of **assets under construction (e.g. prototype)** and their related **capitalised costs**:

- The **full construction costs** (typically the costs of the personnel involved in the construction of the prototype)
- The **full purchase costs** (typically any component, pieces of equipment bought for the prototype)

When are contracts for services, works or goods eligible?

- These are ordinary contracts for services, works (i.e. buildings) or goods (e.g. equipment), needed to carry out the action, including the purchase of consumables and supplies.
- These contracts do not have to be indicated in the description of the action
- The beneficiary must award the contracts on the basis of best value for money (or lowest price) and absence of conflict of interests
- The eligible costs are the prices charged to the beneficiary by the contractors

When are subcontracting costs eligible?

Subcontractors

- If necessary for the implementation of the action
- They carry out action tasks for the beneficiary
- Selected based either on best value for money or on the lowest price
- Issue invoices including profit, charge market prices

The tasks to be implemented and the estimated cost for each subcontract **must be indicated in the proposal**

INDIRECT COSTS

Horizon Europe specific provisions

Indirect costs

What? Costs that are only indirectly linked to the action implementation (Art. 6(1) General eligibility conditions of the Horizon Europe MGA)

continuity **Flat-rate of 25% of the eligible direct costs**, except subcontracting costs, financial support to third parties and exempted specific cost categories, if any. (Art. 6(2)(E) Indirect costs of the Horizon Europe MGA)

NEW **Possibility to accept actual indirect costs** allocated via beneficiary's usual key drivers in the unit cost calculation for **internally invoiced goods and services**

PROJECT-BASED REMUNERATION

Horizon Europe specific provisions

Project-based remuneration at a glance

WHAT IS IT?

- Usual remuneration practices of a legal entity under which a **personnel receives supplementary payments for work in projects**

Example:

an employee who gets a bonus or a new contract with a higher salary level for working in a project.

HOW MUCH CAN BE DECLARED?

- Actual remuneration costs paid by the legal entity for the time worked by the personnel in the action (‘action daily rate’) **up to** the remuneration that the person **would be paid for work in R&I projects funded by national schemes** (‘national projects daily rate’)

METHODOLOGY?

- **Compare**

Action daily rate | National Projects daily rate *

- Take **the lower of the two**.

***Usually based on:**

- *either regulatory requirements (such as national law or collective labour agreements)*
- *or your written internal remuneration rules*

ევროკავშირი საქართველოსთვის
Project funded by the European Union

TWINNING

THIRD PARTIES

Horizon Europe Model Grant Agreement

European Commission

Affiliated entities

Article 187 (1)(b) of the EU Financial Regulation:

Entities *'that have a link with the beneficiary, in particular a legal or capital link, which is neither limited to the action nor established for the sole purpose of its implementation'.*

Affiliated entities in Horizon Europe = Linked third parties in Horizon 2020

(alignement of labelling/definition in the corporate context)

Associated Partner (AP)

- Inherited and derived from the **‘International partner’** status in H2020 MGA
- **Corporate terminology** and status with the following features:
  - AP does work but cannot declare costs
  - AP can be linked:
    - either to one or more beneficiaries
    - or with the whole consortium
  - The beneficiaries must ensure that some of MGA obligations also applied to AP *(i.e. Articles 11 (proper implementation), 12 (conflict of interests), 13 (confidentiality and security), 14 (ethics), 17.2 (visibility), 18 (specific rules for carrying out action), 19 (information) and 20 (record-keeping)*

Proposal: Buget Plan

Example for a budget calculation

- Research and Innovation action, 100% funding rate
- 25% flat-rate automatically calculated

Eligible costs (per budget category)					EU Contribution		
(A) Direct personnel costs	(B) Other direct costs	(C) Direct costs of sub-contracting	(F) Indirect costs	(H) Total estimated eligible costs	(I) Reim-bursement rate (%)	(J) Maximum EU Contribution	(K) Requested EU Contribution
Actual	Actual	Actual	=0,25* (A+B)	=A+B+C+F	100%	(=H*I)	
10.000	2.000	500	3.000	15.500	15.500	15.500	15.500

*indirect cost flat-rate is not budgeted on subcontracts and
„in-kind-contributions“ of third parties not on the beneficiary‘s premises

Cost categories have separate columns

			Estimated expenditure							Estimated income					
										Requested EU contribution			Revenues	Other sources of financing		
			Estimated eligible costs							EU contribution to eligible costs						
No	Participant name	Country	A. Personnel costs/€ (a1)	B. Subcontracting costs/€ (b)	C. Purchase costs			D. Other cost categories	E. Indirect costs/€ (e) = 25% * [(a1) + (c1) + (c2) + (c3) + (d7)]	Total eligible costs (h) = (a1) + (b) + (c1) + (c2) + (c3) + (d) + (e)	Funding rate (U)	Maximum EU contribution to eligible costs (l) = (U) * (h)	Requested EU contribution to eligible costs/€ (Requested grant amount) (m) (n)	Income generated by the action (o)	Financial contributions (q)	Own resources (r)	Total estimated income (s)=(n)+(o)+(p)+(q) + (r)
					C.1 Travel and subsistence/€ (c1)	C.2 Equipment/€ (c2)	C.3 Other goods, works and services/€ (c3)	D.X [specific cost category] /€ (dx)									
1	Participant 1	NL															

Cost categories – Application form

			Estimated project expenditure									
			Estimated eligible costs									
			D. Other cost categories									
No	Participant name	Country	D.1 Financial support to third parties (Actual costs) (d1)	D.2 Internally invoiced goods and services (Unit costs - usual accounting practices) (d2)	[D.3 Transnational access to research infrastructures (Unit costs) (d3)]	[D.4 Virtual access to research infrastructures (Unit costs) (d4)]	[D.5 PCP/PPI procurement costs (Actual costs) (d5)]	[D.6 Euratom Cofund staff mobility costs (Unit costs) (d6)]	[D.7 ERC additional funding (Actual costs) (d7)]	[D.8 ERC additional funding (subcontracting, FSTP and internally invoiced goods and services) (Actual costs) (d8)]		
1	Participant 1	NL										

Key messages

- Information source: NCP, Annotated Grant agreement (online…)
- Costs must be incurred **during** the project by the beneficiary and be **identifiable** and verifiable in the accounts to be eligible
- The work that you performed should be described in the **work packages** of the proposal
- Indirect costs – a **25%** fixed flat-rate of the eligible direct costs (minus certain direct eligible costs)
- Income of projects should be considered at the proposal stage

GROUP WORK

Budgeting a Workpackage

- Draft a few Work Packages for a selected Topic (e.g. Develop a medicine for Rare Deseases) or an own HEU Project Idea
- Select a Work Package Topic (E.g. Study on long term effects of a Rare Disease) or own HEU Work Package
- Draft Work Package tasks & divide them to contributors. Estimate costs:
  - Personnel
  - Purchases
  - Subcontracting
  - Indirect
  - Total

Budgeting a Workpackage

What costs have to be covered?

- Who has to commit staff time and how much time will be needed?
- Who has to travel?
- Service needed from companies?
- Is there any income/are revenues generated?
- Additional question: Are there internal issues to be clarified in advance?

BUDGET PREPARATION Exercise

1. Draft a few Work Packages for a selected Topic (e.g. Develop a medicine for a Rare Disease) or a Work Packages for an own HEU Project Idea:

2. Select a Work Package Topic (E.g. Study on long term effects of a Rare Disease) or use an own WP Topic idea:

3. Draft Work Package Tasks & divide them to contributors. Estimate costs for each partner and in total (personnel, purchases, subcontracting)

3.1. Identify and list Work Package Tasks:

3.2. Identify and list partners/beneficiaries to be involved:

3.3 Do a person-month allocation based on results of 3.1 and 3.2

	Beneficiary 1	Beneficiary 2	Beneficiary 3	Subcontractor	Total
WP Task 1					

3.4 Do an amount calculation:

	Nr. of p-m	Monthly rate	Amount
Beneficiary 1			
Total for WP:			

3.5 Estimate other costs/purchase costs/subcontracting for this WP (only rough estimates):

- Travel:
- Purchases
  - catering; flyers; brochures; website; video, etc.:
  - Consumables:
  - Equipment (particular probe; software): Laboratory Equipment:
- Sub-contracting (i.e. outsourcing):

3.6 Calculate Indirect Costs: (Personnel Costs + Purchase Costs + Travel Costs) * 0,25 =

3.7 Calculate total costs of WP based on the calculated estimates:

Personnel:
Travel:
Purchase:
Subcontracting:
Indirect Costs:

Total Costs:

BUDGET PREPARATION Exercise

1. Draft a few Work Packages for a selected Topic (e.g. Develop a medicine for a Rare Disease) or an own HEU Project Idea:

WP1: Management
WP2: Study on long term effects of a Rare Disease
WP3: Development of medicine in the Lab
WP4: Clinical Study on Medicine
WP5: Regulation and Market Preparation
WP6: Communication and Dissemination

2. Select a Work Package Topic (E.g. Study on long term effects of a Rare Disease) or own an WP Topic: Study on long term effects of a Rare Disease

3. Draft Work Package Tasks & divide them to contributors. Estimate costs for each partner and in total (personnel, purchases, subcontracting)

3.1 Identify and list Work Package Tasks:

Selection of patients (target populations)
Data collection
Compliance with Open data, ethics & regulatory principles
Extract and analyse medical samples
Report & Deliverables

3.2 Identify and list partners/beneficiaries to be involved:

University in Georgia
Research Institute in Portugal
SME in Denmark
Subcontractor

3.3 Do a person-month allocation:

	Medical University in Georgia	Research Institute in Poland	SME in Denmark	Other/ Subcontractor	Total
Selection of patients (target populations)	5	5	3		
Data collection	4	3	4		
Compliance with Open data, ethics & regulatory principles	2	x	5		
Extract and analyse medical samples	10	2	2	x	
Report & Deliverables	5	4	4		
Total:	26	14	18		58

3.4 Do an amount calculation:

	Nr of p-m	Monthly rate	Amount
University in Georgia	26	1000	26000
Research Institute in Portugal	14	2000	28000
SME in DK	18	4000	72000
Total for WP:	**58**		**126.000**

3.5. Estimate other costs/purchase costs/subcontracting for this WP (only rough estimates):

- Travel: **1 Project meeting with 8 persons in Tbilisi with flights, hotels, daily rates): 10.000 Euro**
- Purchases
  - catering; flyers; brochures; website; video: **Catering for Project Meeting: 350 Euro**
  - Consumables: **xxx**
  - Equipment (particular probe; software): Laboratory Equipment: **10.000 Euro**
- Sub-contracting (i.e. outsourcing): **SME from Georgia: Analyse medical samples: 20000 Euro**

3.6 Calculate Indirect Costs: (Personnel Costs + Purchase Costs + Travel Costs) * 0,25 = 36.587

3.7. Calculate total costs of WP based on calculated estimates:

Personnel: 126.000
Travel: 10.000
Purchase: 10.350
Subcontracting: 20.000
Indirect Costs: 36.587

Total Costs: 202.937

Thank you!

HorizonEU

http://ec.europa.eu/horizon-europe