

# H2020 proposal preparation

RI-Links2UA | Horizon 2020 Info Day

8 June, 2018

# Acknowledgement

**Slides, prepared by Gorazd Weiss are used in this presentation**

# Today's topics

## 1. INTRODUCTION – FROM IDEA TO IMPLEMENTATION

- Project Idea; Finding a Call; Partners search,
- Your Profile

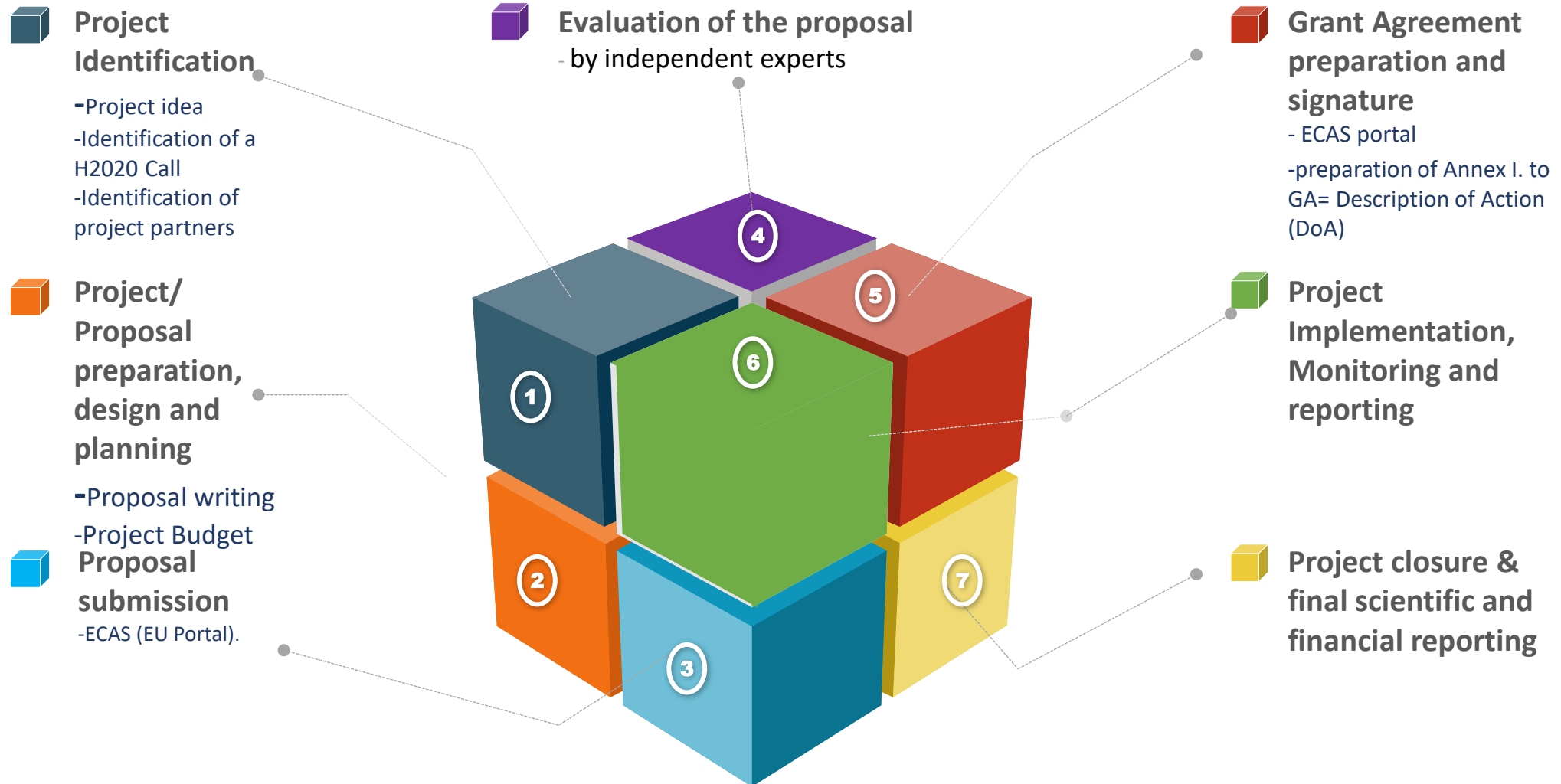
## 2. PROPOSAL PREPARATION

- Application procedures (1 or 2 stage proposals)
- Types of actions (proposals) in Horizon 2020

## 3. STRUCTURE OF THE PROPOSAL

- Administrative & financial parts (part A)
- Proposal (part B)

# Project Management Cycle in H2020 projects



1

## PROJECT IDENTIFICATION

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

### CORE STEPS

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

# Try to answer the following questions:

## ① PROJECT IDENTIFICATION

- What **kind of project** will I implement? (scope, limits, objectives, expected impact)
- What will I do with the **results**? (exploitation, dissemination, knowledge transfer)
- **With whom** will I implement this project? Who does what? (consortium, respective tasks, responsibilities)
- **Why** should my project be funded by the EC? (European added value)
- **How** will I successfully carry it to term? (resources, management, methodology)
- **How much will it cost**? What funding can I expect? (budget plan and EC contribution)
- Do I have my organization's **support**? (human and financial resources)

# How to find funding for your research idea?

- Horizon 2020 offers a variety of funding opportunities
  - project idea => **appropriate call:**
    - [https://ec.europa.eu/info/funding-tenders\\_en](https://ec.europa.eu/info/funding-tenders_en)
- H2020 PARTICIPANT PORTAL

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

- 👉 H2020 -> funding opportunities
- 👉 Search by topic/call ID...

The screenshot shows the Horizon 2020 portal interface. On the left is a sidebar menu with categories like 'Updates', 'Calls', and various program areas such as 'H2020', '3rd Health Programme', 'Asylum, Migration and Integration Fund', etc. The main content area is titled 'Horizon 2020' and includes a search bar, a list of topics with checkboxes (e.g., 'Excellent Science', 'Industrial Leadership'), and filter options for 'Status' and 'Sort by'. Below these are several call cards, each with a title, call ID, and publication date.

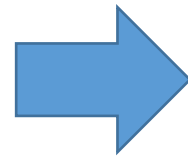
Topic	Call Title	Call ID	Publication Date
Excellent Science	Call for proposals for ERC Advanced Grant	ERC-2018-ADG	17 May 2018
Industrial Leadership	EIC Horizon Prize for 'Blockchains for Social Good'	H2020-Blockchain-EICPrize-2019	16 May 2018
Industrial Leadership	EIC Horizon Prize for 'Early Warning for Epidemics'	H2020-Epidemics-EICPrize-2020	26 April 2018
Societal Challenges	Clean Sky 2 Call for Proposals 08	H2020-CS2-CFP08-2018-01	12 April 2018
Industrial Leadership	H2020-BBI-JTI-2018	H2020-BBI-JTI-2018	11 April 2018
Societal Challenges	H2020-JTI-IMI2-2018-14-two-stage	H2020-JTI-IMI2-2018-14-two-stage	15 March 2018



# Role of your institution in project

- ☞ What is the **role of my institution in the proposal consortium?**
- ☞ Am I ready to **coordinate** /be a **partner**?

**ROLES**



Coordinator

Partner

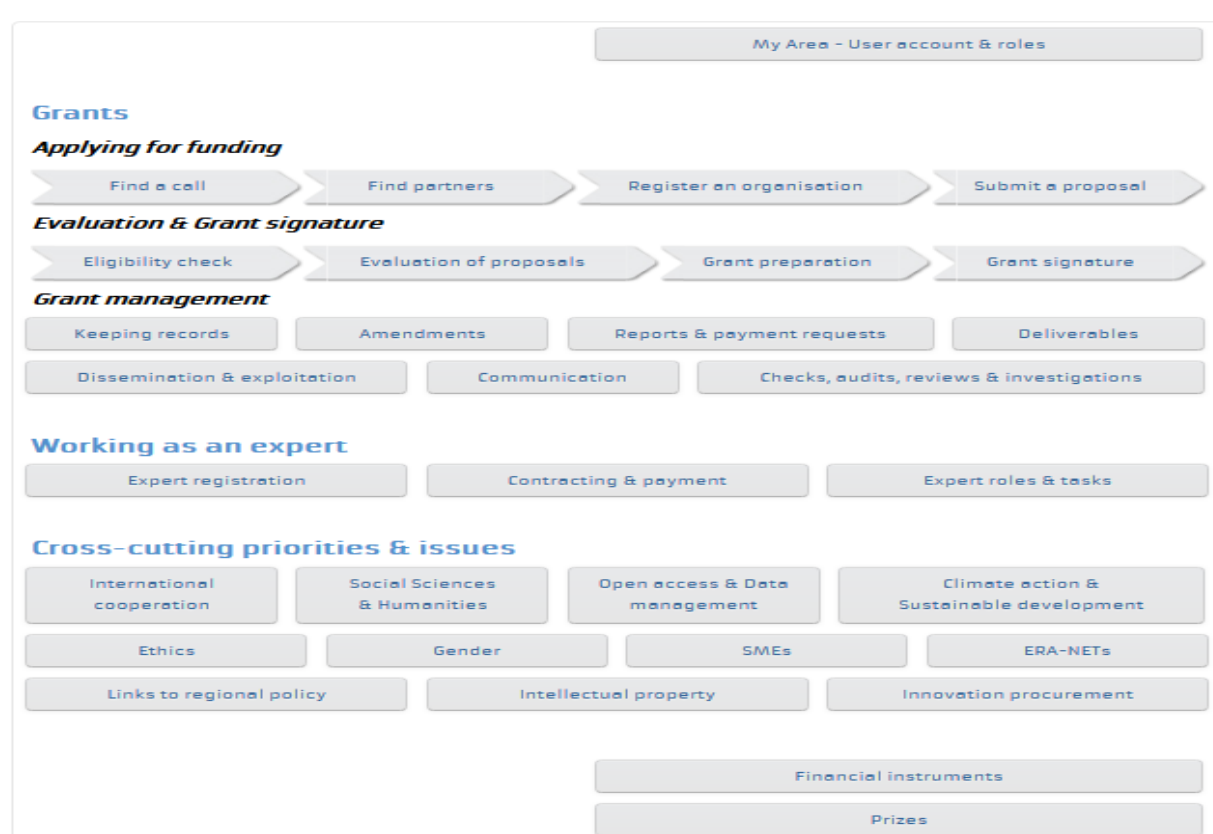
Third party

# Roles of project participants

- Each of the project partners can have different roles.
- Roles are defined in the project workplan description
- Roles:
  - **Work package leader**
  - **Task leader**
  - **Activity leader**
  - **Task participant...**

## Information about administrative issues

[http://ec.europa.eu/research/participants/docs/h2020-funding-guide/index\\_en.htm](http://ec.europa.eu/research/participants/docs/h2020-funding-guide/index_en.htm)



# Profile of your institution

- Provide targeted information about your institution:
- a **description of the your institution and your competences**, with an explanation of how its profile matches the tasks in the proposal (**half page limit**)
- **CVs** of the persons, including their gender, who will be primarily responsible for carrying out the proposed research and/or innovation activities; (**6 lines maximum**)
- a **list of up to 5 relevant publications, and/or products, services** or other achievements relevant to the call content;
- a **list of up to 5 relevant previous projects or activities**, connected to the subject of this proposal;
- a description of any **significant infrastructure and/or any major items of technical equipment, relevant to the proposed work**;
- **Include your logo**
- **Contact details of your institutions (Name in English/national language, Acronym/ PIC number, full address, contact details (including email, phone...))**

# Partner Search

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



# CORDIS

## Community Research and Development Information Service

European Commission > CORDIS > Projects & Results Service > Home

Sign in



NEWS & EVENTS

**PROJECTS & RESULTS**

RESEARCH\*EU MAGAZINES

PARTNERS

### Browse by:

- ▶ Subject
- ▶ Programme
- ▶ Content type
- ▶ Country

[Advanced search](#)

### The primary information source for EU-funded projects since 1990

The **Projects & Results Service** is your one stop for information on EU-funded research projects and project results.

[Read more...](#)

**Horizon 2020** project information is [available on CORDIS](#) and the [EU Open Data Portal](#).

### Search projects and results

Free text



[http://cordis.europa.eu/projects/home\\_en.html](http://cordis.europa.eu/projects/home_en.html)

## 2 PROJECT PREPARATION, DESIGN AND PLANNING

- APPLICATION PROCEDURES (1 OR 2 STAGE PROPOSALS)
- TYPES OF ACTIONS (PROPOSALS) IN HORIZON 2020



2

## PROJECT PREPARATION, DESIGN AND PLANNING

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

### • ACTIVITIES

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



# Application procedures

2

PROJECT PREPARATION,  
DESIGN AND PLANNING

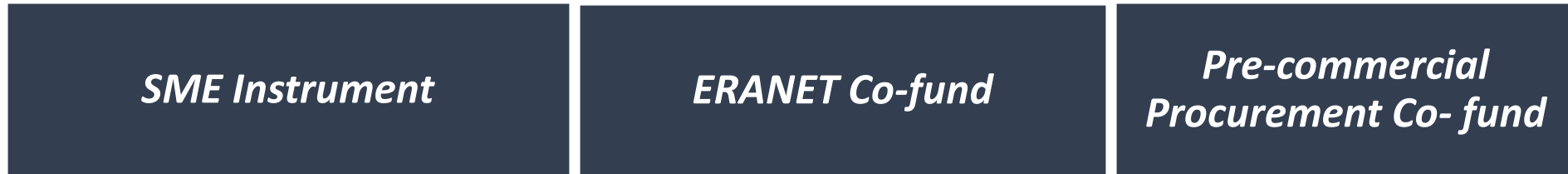
- **Application procedures** -> indicated in the Call for proposals
- **2 Models:**
- **Single stage:** at the indicated deadline a full proposal will be submitted
- **Two- stage:** At 1<sup>st</sup> stage a brief project outline is submitted (sections 1 and 2 from the application form)-> „First stage proposal“, following a successful evaluation, a full proposal will be prepared in the 2<sup>nd</sup> Stage.

# Types of Actions

## Main types of actions



## Other targeted types of actions



# Types of Actions

Type of Action <sup>1</sup>	Code	Minimum Conditions <sup>2</sup>	Funding Rate	Typical Duration	Average EC Contribution	Aim
Research & Innovation Action	RIA	≥ 3 legal entities from 3 MS/AC	100%	36-48 months	€ 2.0 – 5.0M	collaborative research projects
Innovation Action	IA	≥ 3 legal entities from 3 MS/AC	70% <sup>3</sup>	30-36 months	€ 2.0 – 5.0M	produce plans & arrangements or designs for new, altered or improved products, processes or services
Coordination & Support Action	CSA	1 legal entity	100%	12-30 months	€ 0.5 – 2.0M	accompanying measures (standardisation, dissemination, policy dialogues etc.) no research
MSCA <sup>4</sup> (except Cofund)	MSCA	see separate factsheet				facilitate mobility of researchers for training & career development
ERC Grants	ERC	1 legal entity in MS/AC	100%	60 months	Starting: ≤ € 2.0M Consolidator: ≤ € 2.75M Advanced: ≤ € 3.5M	support excellent investigators and their research teams to pursue ground-breaking, high-gain/ high-risk research
Prizes	PRI	1 legal entity	n/a	n/a	variable; see respective topic	- recognise past achievements - induce future activities
SME Instrument	SME	1 SME in MS/AC	3 phases: <ul style="list-style-type: none"> <li>Phase 1: lump sum of € 50K / project</li> <li>Phase 2: € 1 – 2.5M / project (1-2 years) (70% of eligible costs reimbursed)</li> <li>Phase 3: no funding</li> </ul>			combination of demonstration activities (testing, prototyping, ...), market replication
Fast Track to Innovation	FTI	≤ 5 legal entities from 5 MS/AC	70% <sup>3</sup>	tbd	≤ € 3.0M	produce plans & arrangements or designs for new, altered or improved products, processes or services

<sup>1</sup> Defined in the Work Programme.

<sup>3</sup> 100% for non-profit organisation (= any legal entity except companies)

<sup>2</sup> Additional conditions may be listed in the respective Work Programmes.

<sup>4</sup> MSCA = Marie Skłodowska Curie Actions

# Structure of the proposal

➤ ADMINISTRATIVE & FINANCIAL PARTS (PART A)

➤ WORK PLAN(PART B)

# Part A: Administrative Forms (1)

## A1: General Information:

- Project Title
- Akronym
- Keywords
- Abstract
- Declarations



### 1 - General information

Topic	
Call Identifier	
Type of Action	
Deadline Id	
Acronym	<input type="text"/>
Proposal title*	<input type="text" value="Max 200 characters (with spaces). Must be understandable for non-specialists in your field."/>
	<small>Note that for technical reasons, the following characters are not accepted in the Proposal Title and will be removed: &lt; &gt; " &amp;</small>
Duration in months	<input type="text" value="Estimated duration of the project in full months."/>
Free keywords	<input type="text" value="Enter any words you think give extra detail of the scope of your proposal (max 200 characters with spaces)."/>

### Abstract

Short summary (max. 2,000 characters, with spaces) to clearly explain:

- the objectives of the proposal
- how they will be achieved
- their relevance to the work programme.

Will be used as the short description of the proposal in the evaluation process and in communications with the programme management committees and other interested parties.

- Do not include any confidential information.

### Declarations

1) The coordinator declares to have the explicit consent of all applicants on their participation and on the content of this proposal.	<input type="checkbox"/>
2) The information contained in this proposal is correct and complete.	<input type="checkbox"/>
3) This proposal complies with ethical principles (including the highest standards of research integrity — as set out, for instance, in the <a href="#">European Code of Conduct for Research Integrity</a> — and including, in particular, avoiding fabrication, falsification, plagiarism or other research misconduct).	<input type="checkbox"/>
4) The coordinator confirms:	
- to have carried out the self-check of the financial capacity of the organisation on <a href="http://ec.europa.eu/research/participants/portal/desktop/en/organisations/fv.html">http://ec.europa.eu/research/participants/portal/desktop/en/organisations/fv.html</a> or to be covered by a financial viability check in an EU project for the last closed financial year. Where the result was "weak" or "insufficient", the coordinator confirms being aware of the measures that may be imposed in accordance with the H2020 Grants Manual (Chapter on Financial capacity check); or	<input type="radio"/>
- is exempt from the financial capacity check being a public body including international organisations, higher or secondary education establishment or a legal entity, whose viability is guaranteed by a Member State or associated country, as defined in the H2020 Grants Manual (Chapter on Financial capacity check); or	<input type="radio"/>
- as sole participant in the proposal is exempt from the financial capacity check.	<input type="radio"/>
5) The coordinator hereby declares that each applicant has confirmed:	
- they are fully eligible in accordance with the criteria set out in the specific call for proposals; and	<input type="checkbox"/>
- they have the financial and operational capacity to carry out the proposed action.	<input type="checkbox"/>

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


### 2 - Administrative data of participating organisations

PIC	Legal name
Short name:	
Address of the organisation	
Street	
Town	
Postcode	
Country	
Webpage	
Legal Status of your organisation	
<b>Research and Innovation legal statuses</b>	
Public body .....	unknown
Non-profit .....	unknown
International organisation .....	unknown
International organisation of European interest .....	unknown
Secondary or Higher education establishment .....	unknown
Research organisation .....	unknown
<b>Enterprise Data</b>	
SME self-declared status .....	unknown
SME self-assessment .....	unknown
SME validation sme .....	unknown

## A2: Administrative data of all participating institutions

- All beneficiaries need to have a valid PIC number
- Contact persons from each institution should be added



 Part A to be completed online

# Part A: Administrative Forms (2)

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

## 3 - Budget for the proposal

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

# Part A: Administrative Forms (2)

## 2 PROJECT PREPARATION, DESIGN AND PLANNING

### A4: Ethic Issues

#### 4 - Ethics issues table

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

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

# Part B – Work Plan

- RIA template example

For 1<sup>st</sup> stage proposals the section 1 and 2 need to be submitted!

- Sections of part B:

- 1. Excellence
- 2. Impact



- 3. Quality and Efficiency of the implementation
- 4. Member so the Consortium
- 5. Ethic and Security issues



# 1. Excellence

1st STAGE

2

PROJECT PREPARATION,  
DESIGN AND PLANNING

- 1.1 **Objectives** => Clear, pertinent and measurable objectives, credibility of the scientific approach...
- 1.2 **Relation to the work programme** => addressing the challenge and the scope
- 1.3 **Concept and Methodology** => novel approach, addresses challenges from the call, beyond the state-of-the-art, description of the methodology + cross-cutting issues (e.g. RRI)
- 1.4 **Ambition** => Ground-breaking nature of the objectives, concept, trans-disciplinarily considered, innovation potential, SWOT Analysis,...

# SMART objectives

2

PROJECT PREPARATION,  
DESIGN AND PLANNING

- **Specific** – Objectives should specify what they want to achieve.
- **Measurable** – You should be able to measure whether you are meeting the objectives or not.
- **Achievable** - Are the objectives you set, achievable and attainable?
- **Realistic** – Can you realistically achieve the objectives with the resources you have?
- **Time** – When do you want to achieve the set objectives?

# 2. Impact

1st STAGE

2

PROJECT PREPARATION,  
DESIGN AND PLANNING

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

=> Enhancing innovation capacity and integration of new knowledge

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

## Expected Impact:

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

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

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

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

# Impact (2)

## 1st STAGE

2

PROJECT PREPARATION,  
DESIGN AND PLANNING

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

## 2.2 Measures to maximize impacts

### a) Dissemination and exploitation

- a draft plan for the dissemination and exploitation of the project's results
- decision about the participation in pilot on open research data; outline of knowledge management and protection (incl. measures to provide open access, IPR...), business plan
- ...

### b) Communication activities (target groups, stakeholders and measures, communication strategy)

# 3. Implementation

2

PROJECT PREPARATION,  
DESIGN AND PLANNING

- 3.1 **Work plan - Work packages, deliverables** => overall structure of the project, coherent and effective work plan, description of the Work package and tasks, list of deliverables incl. appropriate of the allocation of tasks and resources
- 3.2 **Management structure and procedures** incl. critical risk and mitigation measures, milestones, appropriate management structure connected innovation management process and exploitation plan.
- 3.3. **Consortium as a whole** => description of the consortium, involvement of industrial/commercial participants, involvement of other countries.
- 3.4 **Resources to be committed** => completed financial tables (PMs per WP), justification of the “other direct costs” items for each participant (=only if the total exceeds 15% of personnel costs for that participant)



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



# More information

[Horizon 2020 – Funding Project Life Cycle](#)

[http://ec.europa.eu/research/participants/docs/h2020-funding-guide/index\\_en.htm](http://ec.europa.eu/research/participants/docs/h2020-funding-guide/index_en.htm)

In Youtube 6:29 minutes