

Horizon 2020 – Application form & Evaluation

Gorazd Weiss, Centre for Social Innovation, Austria

ZENTRUM FÜR SOZIALE INNOVATION
CENTRE FOR SOCIAL INNOVATION



<http://www.zsi.at>

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	
Proposal title*	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: < > " &</small>
Duration in months	Estimated duration of the project in full months.
Free keywords	Enter any words you think give extra detail of the scope of your proposal (max 200 characters with spaces).
Abstract Short summary (max. 2,000 characters, with spaces) to clearly explain: <ul style="list-style-type: none">• 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. <ul style="list-style-type: none">• 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 European Code of Conduct for Research Integrity — 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 http://ec.europa.eu/research/participants/portal/desktop/en/organisations/ffv.html or to be covered by a financial viability check in an EU project for the last closed financial year. Where the result was "weak" or "insufficient", the coordinator confirms being aware of the measures that may be imposed in accordance with the H2020 Grants Manual (Chapter on Financial capacity check); or - is exempt from the financial capacity check being a public body including international organisations, higher or secondary education establishment or a legal entity, whose viability is guaranteed by a Member State or associated country, as defined in the H2020 Grants Manual (Chapter on Financial capacity check); or - as sole participant in the proposal is exempt from the financial capacity check.	<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 - 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	
Research and Innovation legal statuses	
Public body	unknown
Non-profit	unknown
International organisation	unknown
International organisation of European interest	unknown
Secondary or Higher education establishment	unknown
Research organisation	unknown
Enterprise Data	
SME self-declared status	unknown
SME self-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

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) Reimburse- ment rate (%)	(J) Max.EU Contribution / € (=H*I)	(K) Requested EU Contribution/ €
			?	?	?	?	?	?	?	?	?	?	?
1			0	0	0	0	0	0,00	0	0,00	100	0,00	0,00
	Total		0	0	0	0	0	0,00	0	0,00		0,00	0,00

Part A: Administrative Forms (2)

A4: Ethic Issues

4 - Ethics issues table

1. HUMAN EMBRYOS/FOETUSES		Page
Does your research involve Human Embryonic Stem Cells (hESCs) ?	<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	
2. HUMANS		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	
3. HUMAN CELLS / TISSUES		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	
4. PERSONAL DATA		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	
5. ANIMALS		Page
Does your research involve animals?	<input type="radio"/> Yes <input checked="" type="radio"/> No	

6. THIRD COUNTRIES		Page
In case non-EU countries are involved, do the research related activities undertaken in these countries raise potential ethics issues?	<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	
7. ENVIRONMENT & HEALTH and SAFETY		Page
Does your research involve the use of elements that may cause harm to the environment, to animals or plants? <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	
8. DUAL USE		Page
Does your research have the potential for military applications?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
9. MISUSE		Page
Does your research have the potential for malevolent/criminal/terrorist abuse?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
10. OTHER ETHICS ISSUES		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

- *As an example RIA template will be presented.*

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

- Sections of part B:

- 1. Excellence
- 2. Impact



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

1. Excellence

1st STAGE

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

SMART objectives

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

2. Impact

1st STAGE

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

- 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)

Impact (4)

Exploitation, dissemination and Communication

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

3. Implementation

- 3.1 **Work plan - Work packages, deliverables** => overall structure of the project, coherent and effective work plan, description of the Work package and tasks, list of deliverables incl. appropriate of the allocation of tasks and resources
- 3.2 **Management structure and procedures** incl. critical risk and mitigation 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!)**

Implementation - TIPS (2)

Work plan and resources

- ✗ Activities and resources responding to the **Type of Action**, the challenge and methodology
- ✗ Clear and credible interactions and integration between WPs and partners, including for interdisciplinary work
- ✗ Linkage between responsibilities – tasks – deliverables – resources
- ✗ **Clear roles with task allocation** corresponding to partner profiles and adequate number of actors
- ✗ **Adequate use and number of deliverables** and milestones for proper monitoring of progress
- ✗ **Appropriate management resources** for the size and complexity of the project
- ✗ Budget for collaboration with other projects
- ✗ Innovation Actions (IA) – Timing of the demonstration

Implementation - TIPS (3)


Risk management

- ✗ Key risks covered and risk level indicated
- ✗ Effective mitigation measures and contingency plans


Management structure

- ✗ Tailored to size, nature and complexity of the project
- ✗ Clearly identified roles, composition and interaction of management and advisory bodies, including decision making
- ✗ Appropriate to deal with the innovation process - Innovation management
- ✗ Credible mechanisms for quality assurance and performance monitoring

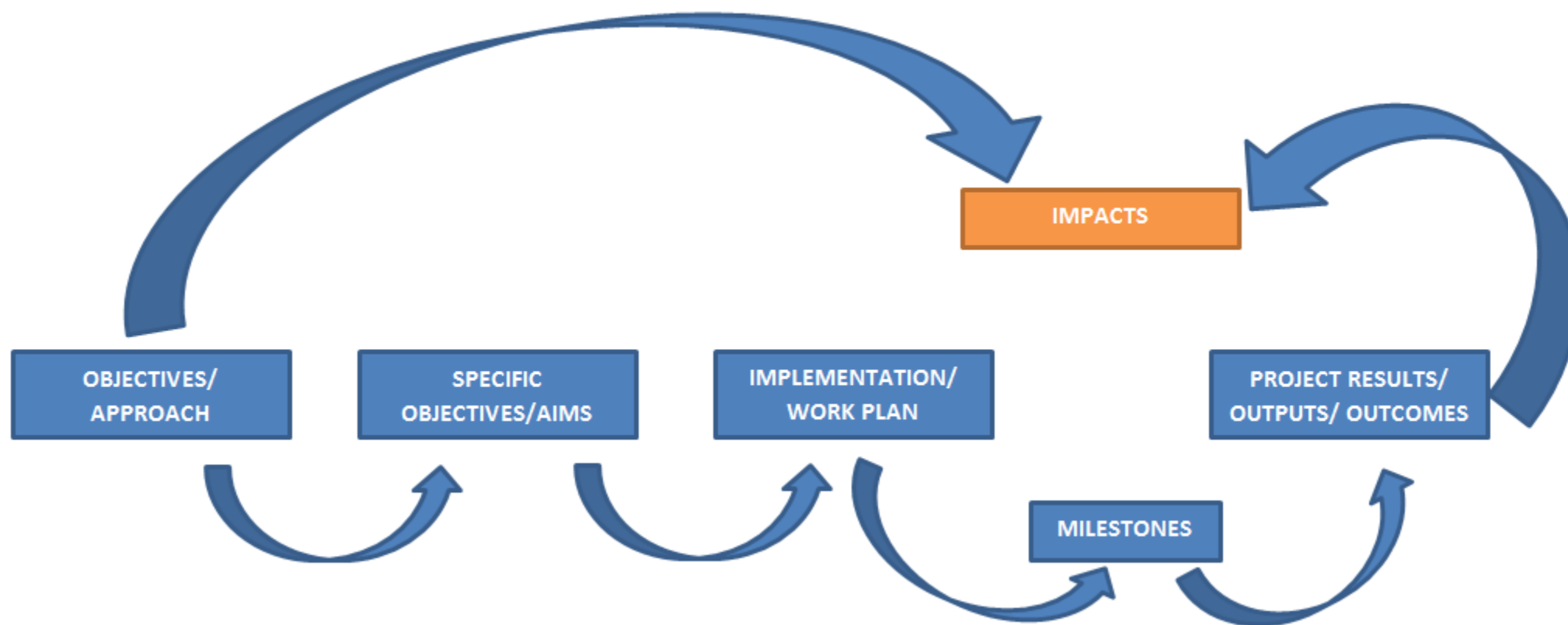
Section 4: Members of the Consortium

-  **no page limit**
- 4.1 **Participants** => short description of the participants incl. their expertise, involvement in tasks, short CVs, list of 5 relevant publications, list of 5 relevant projects
- 4.2. **Third parties involved**

Section 5: Ethic and Security

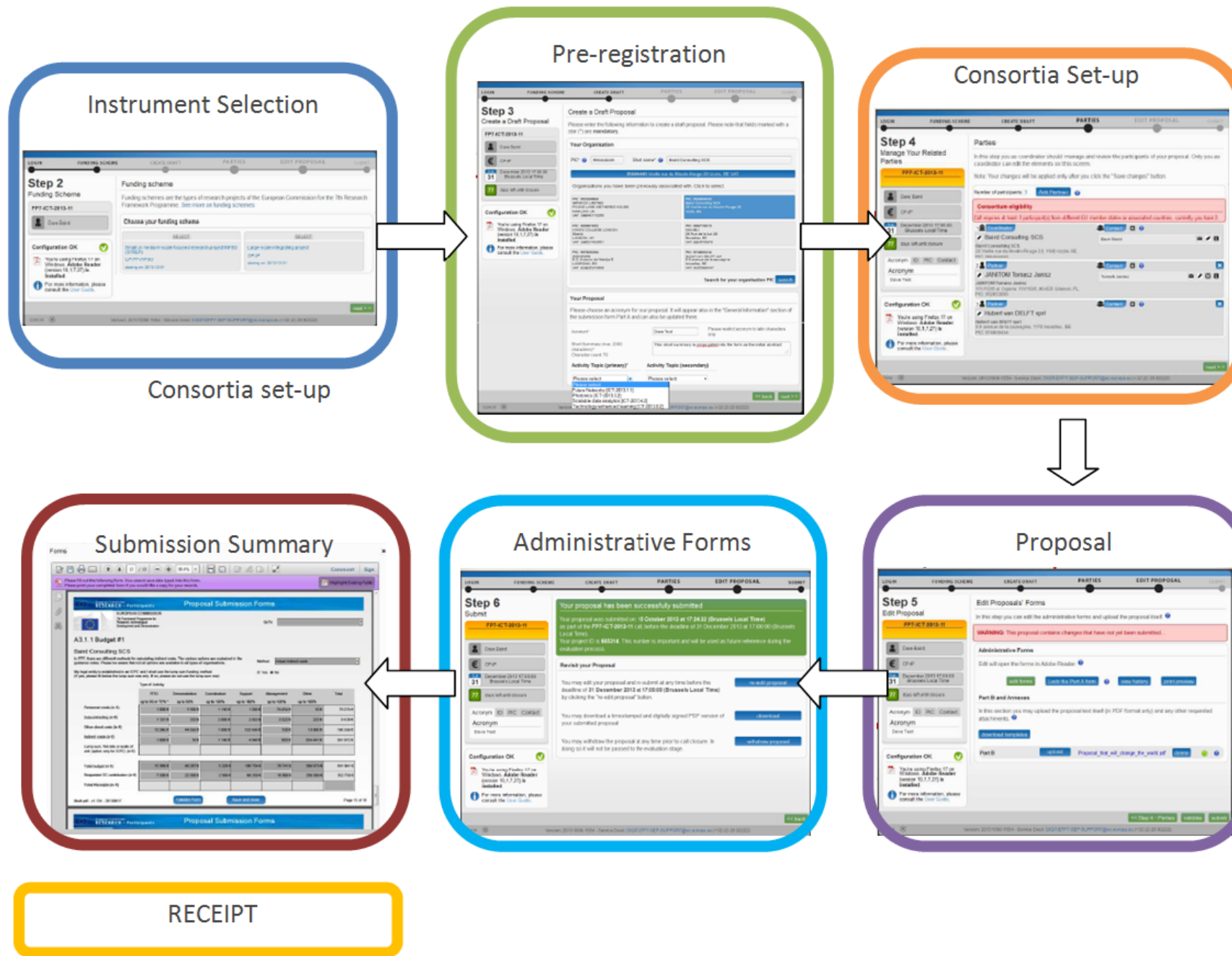
-  **no page limit**
- **5.1 Ethics** => to be completed very carefully. Depending on research to be carried on the submission of the ethic self-assessment document as well as other necessary documents may be requested in the application.
- **5.2. Security** => answer to the questions listed.

Coherence of the different parts of proposal



Submission





Evaluation



Evaluation criteria



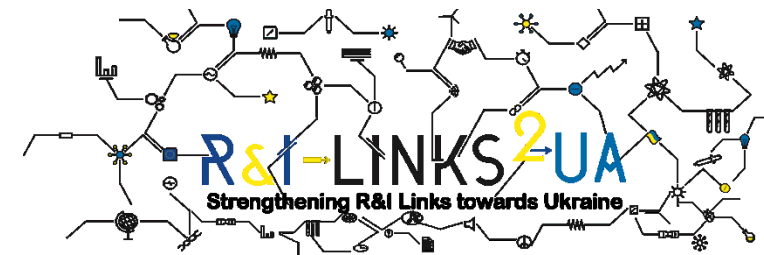
- ✓ **ERC** frontier Research actions >> only EXCELLENCE
- ✓ Innovation actions >> higher weighting for "IMPACT"

Proposal evaluated by the experts “as it is”
and not as “what could be” = no need for negotiation

Evaluation Criteria

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

Tips for succesful proposal writing



Some tips for succesful proposal*

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

Some tips for succesful proposal*

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

Q & A





RI-LINKS2U is funded by EU under the Horizon 2020 - Framework Programme for Research and Innovation /grant agreement no. 692476.

THANK YOU FOR YOUR ATTENTION!

CONTACTS:

Gorazd Weiss, Project Coordinator

Email: weiss@zsi.at

CENTRE FOR SOCIAL INNOVATION (ZSI)

Linke Wienzeile 246

A - 1150 Vienna

AUSTRIA

Tel. ++43.1.4950442-39

Fax. ++43.1.4950442-40

[/www.zsi.at](http://www.zsi.at)

Stella Shapoval

Project co-coordinator

H2020 National NCP

Coordinator

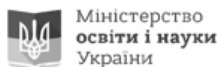
Deputy Head of International
Cooperation and European
Integration Department

Head of Division for
International Scientific and
Technical Cooperation

**Ministry of Education and
Science of Ukraine**

16, T. Shevchenko Blvd,
Kyiv, Ukraine

s_shapoval@mon.gov.ua



<https://ri-links2ua.eu/>

