

# **STRUCTURE OF THE H2020 PROPOSAL, TYPES OF ACTIONS, TLR**

Summer School for Young  
Researchers, 25-28 September  
2017, Odessa

# FROM THE IDEA TO THE PROJECT



Idea

Partner

Proposal

# ADMINISTRATIVE PROCEDURES

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

Internal Security Fund - Borders

Internal Security Fund - Police

Justice Programme

Pilot Projects & Preparatory Actions

Promotion of Agricultural Products

Research Fund for Coal & Steel

Rights, Equality and Citizenship Programme

Union Civil Protection Mechanism

### FP7 & CIP Programmes 2007-2013

Other Funding Opportunities

Quick finder for grants for individual researchers and teams:

- [Marie Skłodowska-Curie actions \(MSCA\)](#)

Status

☒ Forthcoming

☒ Open

☒ Closed

Sort by

☐ (Planned) opening date

☐ Deadline

☐ Topic title

☒ Topic identifier

Topic: [ALTFI-01-2017: Improving access by innovative SMEs to alternative forms of finance](#)

Closed

Publication date: 25 April 2017

Types of action: CSA Coordination and support action

DeadlineModel: single-stage

Opening date: 25 April 2017

Deadline: 07 September 2017 17:00:00

Time Zone : (Brussels time)

Topic: [ART-01-2017: ICT infrastructure to enable the transition towards road transport automation](#)

Closed

Publication date: 14 October 2015

Types of action: IA Innovation action

DeadlineModel: two-stage  
Opening date: 29 September 2016

Deadline: 26 January 2017 17:00:00  
2nd stage Deadline: 27 September 2017 17:00:00

Time Zone : (Brussels time)

Topic: [ART-02-2016: Automation pilots for passenger cars](#)

Closed

Publication date: 14 October 2015

Types of action: IA Innovation action

DeadlineModel: two-stage  
Opening date: 15 October 2015

Deadline: 20 January 2016 17:00:00  
2nd stage Deadline: 29 September 2016 17:00:00

Time Zone : (Brussels time)

# TYPES OF ACTIONS

Specific topics  
defined in  
Work  
Programme

FET  
Future and  
Emerging  
Technologies

CSA  
Coordination and Support  
Action

*Infrastructure support*

RIA  
Research and Innovation Action

*Research » Innovation*

IA  
Innovation Action

FTI  
Fast Track to  
Innovation

*Some research, mostly innovation*

Marie-Curies  
Sklodowska

*Researcher Mobility*

SME Instrument

*3-stage SME support*

# 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	<ul style="list-style-type: none"> <li>- recognise past achievements</li> <li>- induce future activities</li> </ul>
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>2</sup> Additional conditions may be listed in the respective Work Programmes.

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

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

# RESEARCH AND INNOVATION ACTIONS - RIA

- Activities aiming to establish new knowledge and/or to explore the feasibility of a new or improved technology, product, process, service or solution.
- Both basic and applied research, technology development and integration, testing, validation on a small-scale prototype in a laboratory or simulated environment.
- **Limited demonstration or pilot activities** aiming to show technical feasibility in a near to operational environment.
- Minimum: three independent legal entities, established in different Member States or Associated Countries -> Possible additional conditions in Work Programmes!
- Funding: 100%

# INNOVATION ACTIONS - IA

## Innovation actions - IA

- activities directly aiming ***at producing plans and arrangements or designs for new, altered or improved products, processes or services.*** For this purpose they may include prototyping, testing, demonstrating, piloting, large-scale product validation and market replication.
- Minimum: three independent legal entities, established in different Member States or Associated Countries -> **Possible additional conditions in Work Programmes!**

**Funding:** 70% funding for profit and 100% for non-profit participants



# COORDINATION AND SUPPORT ACTIONS - CSA

- **Accompanying measures** such as **standardisation, dissemination, awareness-raising and communication, networking, coordination or support services, policy dialogues and mutual learning exercises and studies, including design studies** for new infrastructure and may also include complementary activities of networking and coordination between programmes in different countries.
- Minimum one legal entity established a Member State or associated country > **Possible additional conditions in Work Programmes!**

Funding: 100%

# >> The SME Instrument

## What is the SME Instrument



# **SME INSTRUMENT: PHASE I: FEASIBILITY STUDY**

## **Development of a Business Plan**

- **Funded Activities:** Feasibility of concept, Risk assessment, IP regime, Partner search, Design study, Pilot application, etc.
- **Funding scheme:** € 50.000 Lump-sum (per project, not per SME)
- **Duration:** Usually 6 months
- **Outcome:** Technical and market assessment, and elaborate business plan

# **SME INSTRUMENT: PHASE II: INNOVATION ACTIONS**

## **Innovation projects supported by a strong business plan**

- **Funded Activities: Development, prototyping, testing, piloting, miniaturisation, scaling-up, market replication, research, etc**
- **Funding scheme : € 500.000 - € 2.500.000 depending on the project (70% funding rate, or up to a 100% in special cases).**
- **Duration: usually 1 to 2 years**
- **Outcome : A new product, service or process ready to compete on the market. A business plan with a clear and detailed commercialisation and investments strategy**

# SME INSTRUMENT: PHASE III: COMMERCIALISATION

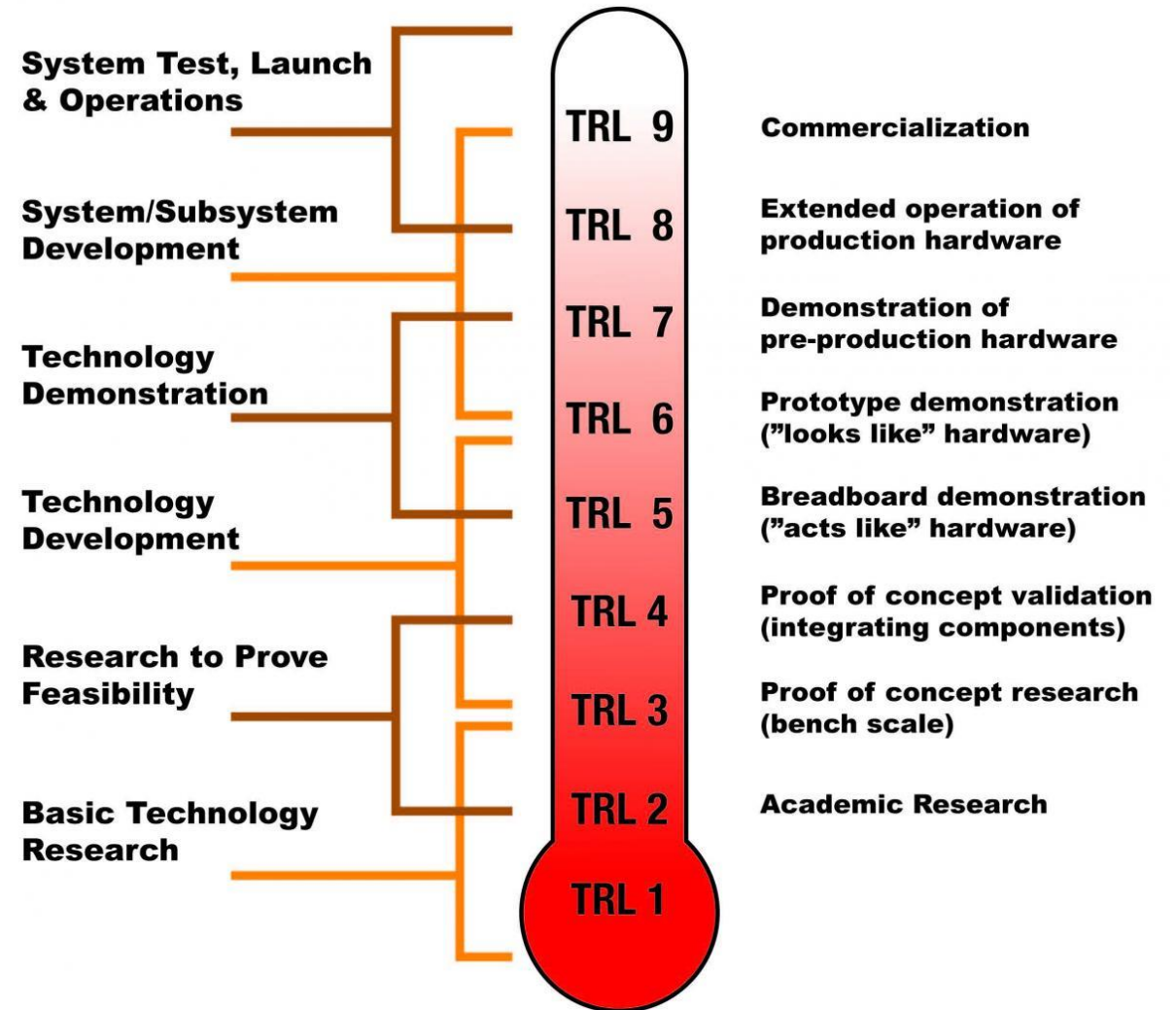
**Phase III does not include any direct funding, only support through various mechanisms.**

Support Actions:

- Further development of **investment readiness**
- Connection with **investors and customers** through focused Networking activities
- Support in **proposal submission** for further funding by the EC
- Coaching
- Support Actions and Services through the **Enterprise Europe Network (EEN)**

## TECHNOLOGY READINESS LEVELS (TRLs)

- ✓ 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.
- ✓ 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.  
**To be successful You need to be a TRL 6 or higher**



# FAST TRACK TO INNOVATION SIMILAR TO SME PHASE 2

## Fast Track to Innovation Pilot

THE ULTIMATE BOOST FOR OUTSTANDING BUSINESS INNOVATORS WITH A NEED FOR SPEED...

### PREPARE YOUR PROPOSAL

Build your industry-intensive consortium\*  
minimum 3 partners - maximum 5 partners  
(all based in the EU and / or in Horizon 2020  
associated countries)

Proposal



Outstanding Business Innovation Concept  
(high-readiness level / TRL 6, meaning  
demonstrated in a relevant environment)

Continuous open call  
until end 2016

6 months time-to-grant

### DEVELOP YOUR INNOVATION

Receive an EU grant of EUR 1 million to 3 million  
(70% of funding, 100% of funding for non-profit entities)

From Mature R&D  
Demonstration  
Market-Oriented  
R&D  
to Market-Mature Innovation

12-24 months for implementation

### HIT THE MARKET!

Start your commercial activities



The Market  
Market-Maturity to Market  
Launch



Market-ready result  
(finished product, service,  
process/ TRL 9)

At most 36 months from grant to market

## DIFFERENCES BETWEEN FTI AND SME INSTRUMENT

SME Instrument	FTI
Only for SMEs	All enterprises and research organisations
Minimum 1 SME	Collaborative up to 5 partners
Thematic Approach	Bottom up
No commitment	Commitment for market launch within 3 years
3 Phases and support	Support



Specific Challenge: Recent trends in nationalism, protectionism and regionalism are affecting international commitments and policies. They also put added pressure on the political and operational capacities of global governance institutions created in the mid-twentieth century for critical yet partly different purposes. This raises the prospects of shifts, including in responsibility, in global and transnational governance. The challenge is to identify coherent responses and to effectively coordinate their implementation with stakeholders.

Scope: Proposals should assess contemporary and historical developments in key institutions (e.g. United Nations, North Atlantic Treaty Organisation, World Trade Organisation, Organisation for Security and Cooperation), regimes, processes and partnerships that aim at contributing to collective action and sharing responsibilities in taking on global problem solving. They should also investigate the EU's role in these processes. In addition, proposals should assess challenges faced by global governance such as representativeness, diverging interests, trust, allocating responsibilities and legitimacy as well as difficulties related to the implementation of agreements. Responses to past challenges should also be assessed. Scenarios of stagnation, transformation or fragmentation should be considered. The impact on the implementation of the EU Global Strategy and on the achievement of the climate goals of the Paris Agreement and the Sustainable Development Goals of Agenda 2030 should be addressed. The role played by non-state actors, including from the civil and private sectors may also be addressed. Relevant actors (e.g. researchers, policymakers, civil society representatives) should be involved to ensure mutual learning and take-up of results. Due to the specific challenge of this topic, participation of international partners strategically targeted by the EU is encouraged to ensure joint mapping, scenario design and policy recommendations. In addition to the minimum number of participants set out in the General Annexes, proposals should include at least one participant from a third country.

The Commission considers that proposals requesting a contribution from the EU in the order of EUR 2.5 million would allow this specific challenge to be addressed appropriately. Nonetheless, this does not preclude submission and selection of proposals requesting other amounts.

Expected Impact: The action will equip relevant EU actors and partners with knowledge and tools for navigating and influencing effectively the emerging and future shifts in global and transnational governance, thereby increasing their readiness, resilience and capacities for developing globally coordinated strategies.

Type of Action: Research and Innovation action



# Structure of the proposal

- ADMINISTRATIVE & FINANCIAL PARTS (PART A)
- WORK PLAN(PART B)

# PART A: ADMINISTRATIVE & FINANCIAL PARTS

Part A to be completed online

- General information (coordinator)
- Participant information, (1 for each partner)
- Budget (completed by the coordinator)
- Ethics
- Call specific questions

# PART A1: GENERAL INFORMATION

Will be completed by coordinator:

- Acronym
- Proposal title (< > " & will be removed)
- Duration in months
- Fixed keyword (4) – obligatory
- Free keywords (*max 200 characters with spaces*)
- Abstract (*max 2000 characters with spaces*)
- Has this proposal (or a very similar one) been submitted in the past 2 years in response to a call for proposals under the 7th Framework Programme, Horizon 2020 or any other EU programme(s)? (Yes or NO)
- Declarations (klicking the dots)
- List of participants

## Declarations

1) The coordinator declares to have the explicit consent of all applicants on their participation and on the content of this proposal.	<input checked="" type="checkbox"/>
2) The information contained in this proposal is correct and complete.	<input checked="" 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 checked="" 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/lfv.html">http://ec.europa.eu/research/participants/portal/desktop/en/organisations/lfv.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 checked="" 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 checked="" type="checkbox"/>
- they have the financial and operational capacity to carry out the proposed action.	<input checked="" type="checkbox"/>

## Research and Innovation legal statuses

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Public body ..... no

Legal person ..... yes

Non-profit ..... yes

International organisation ..... no

International organisation of European interest ..... no

Secondary or Higher education establishment ..... no

Research organisation ..... no

## Enterprise Data

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- Other contact persons

## PART A3: BUDGET FOR THE PROPOSAL

- Budget per beneficiary
- Indirect costs are calculated automatically

[illegible]



# PART A3: ETHICS ISSUES TABLE

1. HUMAN EMBRYOS/FOETUSES		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	
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?	<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?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
In case your research involves <a href="#">low and/or lower middle income countries</a> , are any benefits-sharing actions planned?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Could this 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?	<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?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
8. DUAL USE		Page
Does your research involve dual-use items in the sense of Regulation 428/2009, or other items for which an authorisation is required?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
9. EXCLUSIVE FOCUS ON CIVIL APPLICATIONS		Page
Could your research raise concerns regarding the exclusive focus on civil applications?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
10. MISUSE		Page
Does your research have the potential for misuse of research results?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
11. 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	

I confirm that I have taken into account all ethics issues described above and that, if any ethics issues apply, I will complete the ethics self-assessment and attach the required documents.



# PART A5: CALL SPECIFIC QUESTIONS

## *Data management activities*

A new focus within Horizon 2020 is data management, for example through the use of [Data Management Plan \(DMP\)](#).

DMPs detail what data the project will generate, whether and how it will be exploited or made accessible for verification and re-use, and how it will be curated and preserved.

The use of a DMP is required for projects participating in the Open Research Data Pilot in the form of a deliverable in the first 6 months of the project (possible updates during the project).

Other projects are invited to submit a DMP if relevant for their planned research.

Are data management activities relevant for your proposed project?	<input type="radio"/> Yes	<input checked="" type="radio"/> No
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## *Open Research Data Pilot in Horizon 2020*

If selected, all applicants will participate in the [Pilot on Open Research Data in Horizon 2020](#) , which aims to improve and maximise access to and re-use of research data generated by actions.

Participants in the Pilot will be invited to formulate a [Data Management Plan \(DMP\)](#). DMPs detail what data the project will generate, whether and how it will be exploited or made accessible for verification and re-use, and how it will be curated and preserved.

Participating in the Pilot is flexible in the sense that it does not mean that all research data needs to be open. Rather, projects can define certain datasets to remain closed via a [Data Management Plan \(DMP\)](#).

Applicants also have the possibility to opt out of this Pilot. In this case, applicants must indicate a reason for this choice (see options below).

Please note that participation in this Pilot does not constitute part of the evaluation process. Proposals will not be penalised for opting out.

We wish to opt out of the Pilot on Open Research Data in Horizon 2020.	<input checked="" type="radio"/> Yes	<input type="radio"/> No
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Please indicate the reason(s) for not being able to participate in the Pilot:

- the project does not generate any data	<input type="checkbox"/>
- <a href="#">to allow the protection of results (e.g. patenting)</a>	<input type="checkbox"/>
- <a href="#">incompatibility with the need for confidentiality linked to security reasons</a>	<input type="checkbox"/>
- <a href="#">incompatibility with privacy/data protection reasons</a>	<input type="checkbox"/>
- <a href="#">achievement of the project's main aim would be jeopardised</a>	<input type="checkbox"/>
- other legitimate reasons	<input checked="" type="checkbox"/>

# PART B: THE STRUCTURE

The sections follow the **evaluation criteria**

**0. Cover page** -Title, the list of participants, content

## **1. Excellence**

1.1. Objectives

1.2. Relation to the Work Programme

1.3. Concept and methodology, Quality of the Coordination, and Support measures

## **2. Impact**

2.1. Expected Impact

2.2. Measures to Maximise Impact

## **3. Implementation**

3.1. Work Plan — Work Packages and Deliverables

3.2. Management Structure and Procedures

3.3. Consortium as a whole

3.4. Resources to be committed

## **4. Members of the consortium**

4.1 Participants (applicants) - Brief description of the organisation; Short profile of staff members; Publications and other outputs relevant to the project; Activities and projects related to the topic.

4.2 Third parties involved in the project (including use of third party resources)

4.3 Letters of Support

## **5. Ethics and security**

## **References**

## **Glossary**

# FROM THE IDEA TO THE EVALUATION....

