

# How to write a successful proposal in H2020

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ZENTRUM FÜR SOZIALE INNOVATION  
CENTRE FOR SOCIAL INNOVATION



<http://www.zsi.at>

# Outline

Module 1

## 1. INTRODUCTION – FROM IDEA TO IMPLEMENTATION

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

## 2. PROPOSAL PREPARATION

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

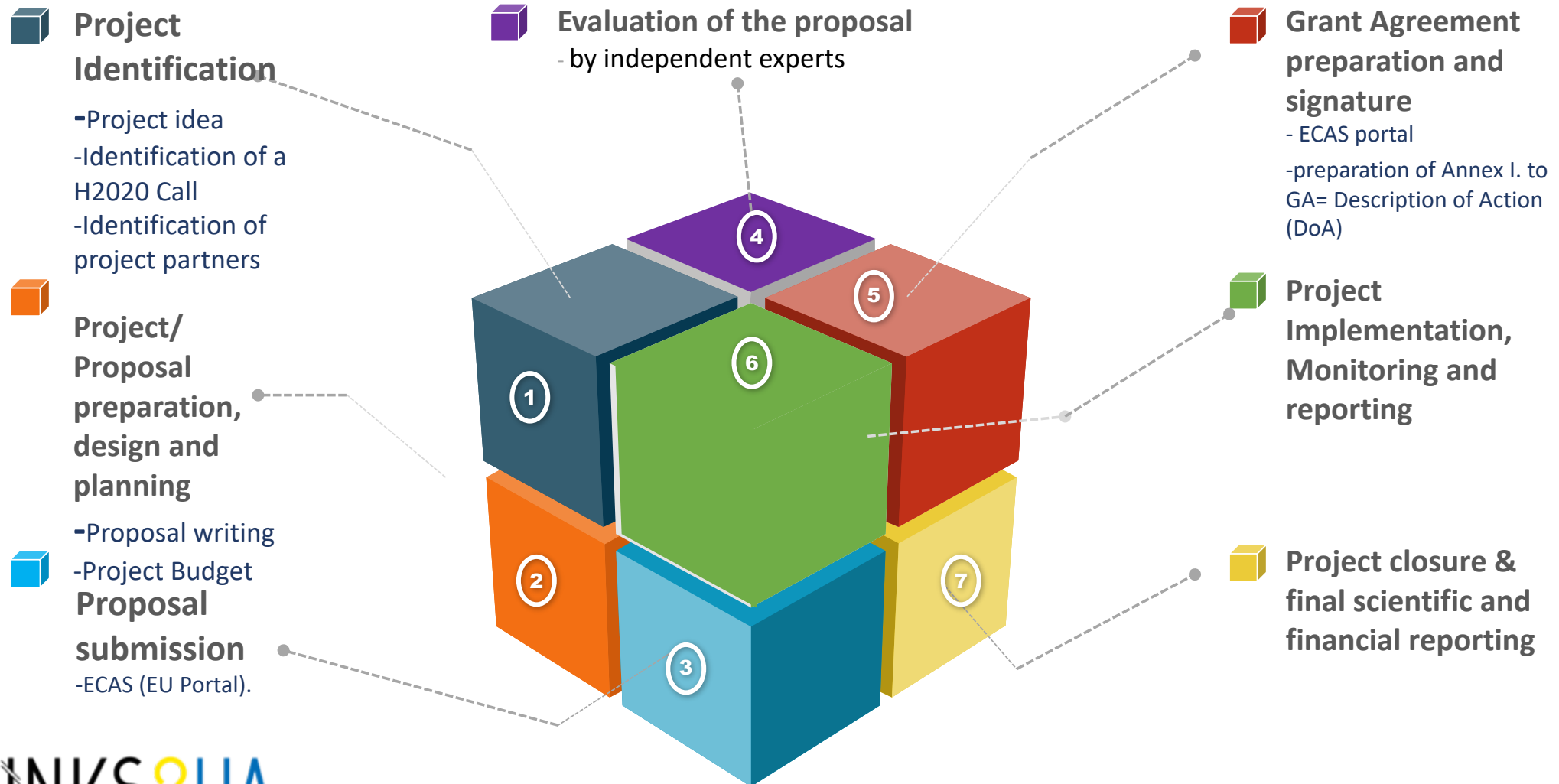
## 3. STRUCTURE OF THE PROPOSAL

- ADMINISTRATIVE & FINANCIAL
- PROPOSAL (PART B)
- TIPS FOR SUCCESSFUL PROPOSAL

## 4. PROPOSAL SUBMISSION



# Project Management Cycle in H2020 projects



# 1 PROJECT IDENTIFICATION

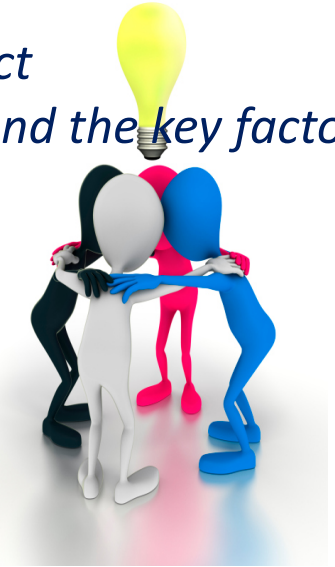
- Project idea
- Identification of the call, partners



1

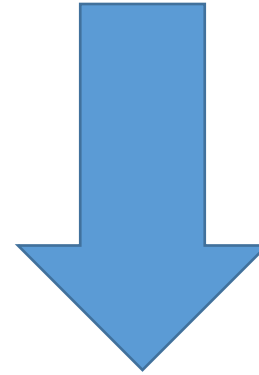
## PROJECT IDENTIFICATION

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



- Project Idea =>
- Identification of the **Horizon 2020 Call** that matches your project idea
- Preparation of your **Research Profile** (profile of your institution)
- Identification of partners in EU relevant to the Call
- Register in ECAS (get a PIC number and validate your institution)
- Read the latest EU documents related to your topic:
  - Work programme (<https://ec.europa.eu/programmes/horizon2020/h2020-sections>)
  - Europe 2020 strategy ([http://ec.europa.eu/europe2020/index\\_en.htm](http://ec.europa.eu/europe2020/index_en.htm))
  - 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

- **Project Idea** => concept with high innovation potential



**Innovation in H2020** ==>> means successful exploitation of new ideas to produce tangible benefits, satisfying needs and wants

# 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?

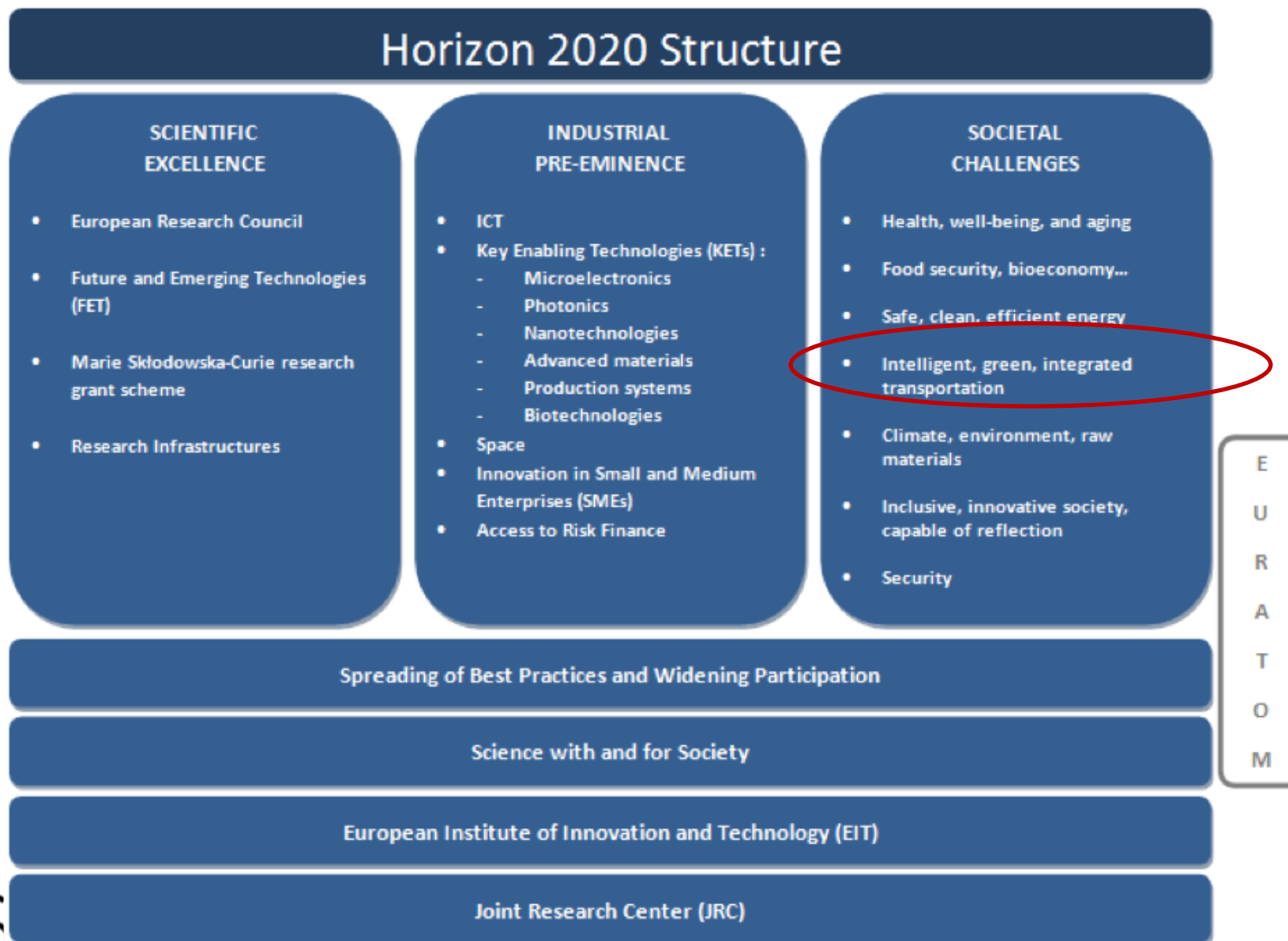
①

## PROJECT IDENTIFICATION

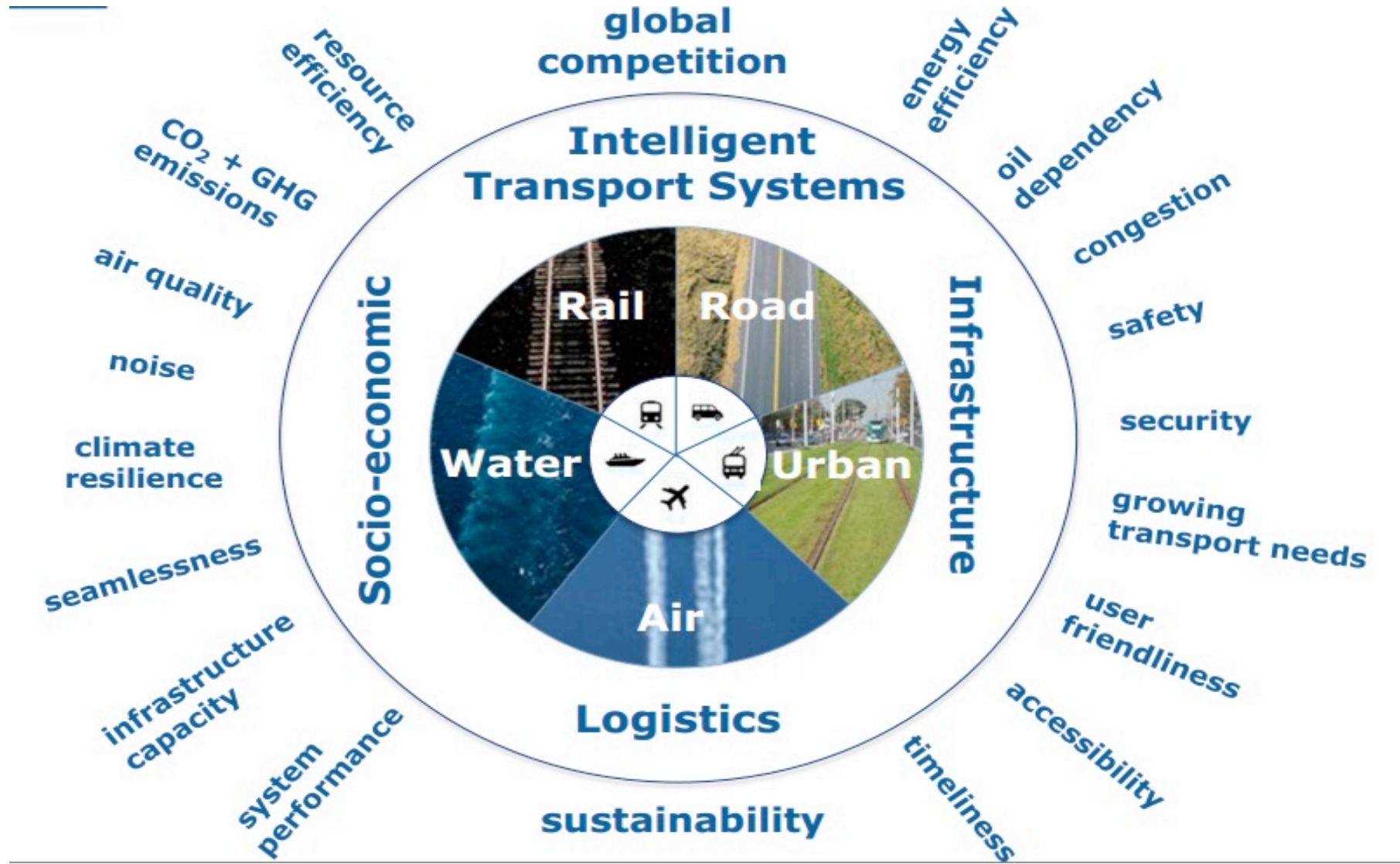
- Horizon 2020 offers a variety of funding opportunities
  - project idea => **appropriate call:**
- H2020 PARTICIPANT PORTAL



# Transport in H2020



# Transport issues



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

## ① PROJECT IDENTIFICATION

👉 H2020 -> funding opportunities

👉 Search by topic/call ID...

The screenshot displays the 'RESEARCH & INNOVATION Participant Portal' interface. The top navigation bar includes the European Commission logo and the text 'RESEARCH & INNOVATION Participant Portal'. Below this, a breadcrumb trail reads 'European Commission > Research & Innovation > Participant Portal > Calls'. The main navigation menu features tabs for 'MY AREA', 'HOME', 'FUNDING OPPORTUNITIES', 'HOW TO PARTICIPATE', 'EXPERTS', and 'SUPPORT'. A search bar is located on the right, with the text 'Search PP' and a magnifying glass icon. A user profile dropdown shows 'GORAZD WEISS'. On the left sidebar, a list of 'My Organisation(s)' includes 'My Organisation(s)', 'My Proposal(s)', 'My Project(s)', 'My Notification(s)' (highlighted with a red badge showing '325'), 'My Formal Notification(s)', and 'My Expert Area'. Below this, a section titled 'EU Programmes 2014-2020' contains a 'Search Topics' button and a list of topics: 'H2020', '3rd Health Programme', 'Asylum, Migration and Integration Fund', 'Consumer Programme', 'COSME', 'Internal Security Fund - Borders', 'Internal Security Fund - Police', 'Justice Programme', and 'Promotion of Agricultural Products'. The main content area shows '400 Results' for a keyword search of 'Find a topic'. A 'Select the Programme' dropdown is set to 'H2020'. Below this, a 'Status' filter shows 'Forthcoming' and 'Open' selected, with 'Closed' unselected. A 'Sort by' section shows 'Topic identifier' selected. Two funding opportunities are listed: 'ART-01-2017: ICT infrastructure to enable the transition towards road transport automation' and 'ART-03-2017: Multi-Brand platooning in real traffic conditions'. Both have a publication date of 14 October 2015 and a deadline of 26 January 2017 17:00:00. The first opportunity also has a 2nd stage deadline of 27 September 2017 17:00:00. Both are marked as 'Open'.

European Commission

RESEARCH & INNOVATION Participant Portal

European Commission > Research & Innovation > Participant Portal > Calls

MY AREA HOME FUNDING OPPORTUNITIES HOW TO PARTICIPATE EXPERTS SUPPORT Search PP GORAZD WEISS

My Organisation(s)  
My Proposal(s)  
My Project(s)  
My Notification(s) **325**  
My Formal Notification(s)  
My Expert Area

EU Programmes 2014-2020

Search Topics

Updates

Calls

H2020

3rd Health Programme

Asylum, Migration and Integration Fund

Consumer Programme

COSME

Internal Security Fund - Borders

Internal Security Fund - Police

Justice Programme

Promotion of Agricultural Products

400 Results

Keyword Search: Find a topic SEARCH

If you don't find your topic, you can also use the free text search.

Select the Programme

Hold the 'CTRL' key to select several programmes.

H2020

STATUS ☒ Forthcoming ☒ Open ☐ Closed

Sort by ☐ (Planned) opening date ☐ Deadline ☐ Topic title ☒ Topic identifier

Topic: **ART-01-2017: ICT infrastructure to enable the transition towards road transport automation** Open

Publication date: 14 October 2015

Types of action: IA Innovation action

DeadlineModel: two-stage

Opening date: 20 September 2016

Deadline: 26 January 2017 17:00:00

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

Time Zone : (Brussels time)

Topic: **ART-03-2017: Multi-Brand platooning in real traffic conditions** Open

Publication date: 14 October 2015

Types of action: IA Innovation action

DeadlineModel: two-stage

Opening date: 20 September 2016

Deadline: 26 January 2017 17:00:00

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

Topic: **LC-CLA-03-2017**

collaboration in **aviation** research

[Open](#)

Publication date: 27 October 2017

Focus area: Building a low-carbon, climate resilient future (LC)

Types of action: RIA Research and Innovation action

DeadlineModel: two-stage

Opening date: 07 November 2017

Deadline:

2nd stage Deadline:

27 February 2018 17:00:00

04 September 2018

17:00:00

Time Zone : (Brussels time)

Topic: **LC-MG-1-6-2019: Aviation operations impact on climate change (InCo flagship)**

[Forthcoming](#)

Publication date: 27 October 2017

Focus area: Building a low-carbon, climate resilient future (LC)

Types of action: RIA Research and Innovation action

DeadlineModel: single-stage

Opening date: 04 December 2018

Deadline:

24 April 2019 17:00:00

Time Zone : (Brussels time)

Topic: **LC-SC3-RES-23-2019: Development of next generation biofuel and alternative renewable fuel technologies for aviation and shipping**

[Forthcoming](#)

Publication date: 27 October 2017

Focus area: Building a low-carbon, climate resilient future (LC)

Types of action: RIA Research and Innovation action

DeadlineModel: single-stage

Opening date: 07 May 2019

Deadline:

27 August 2019 17:00:00

Time Zone : (Brussels time)

Topic: **LC-SC3-RES-24-2019: Boosting pre-commercial production of advanced aviation biofuels**

[Forthcoming](#)

Publication date: 27 October 2017

Focus area: Building a low-carbon, climate resilient future (LC)

Types of action: IA Innovation action

DeadlineModel: single-stage

Opening date: 05 September 2018

Deadline:

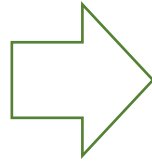
11 December 2018 17:00:00

Time Zone : (Brussels time)

# Role of your institution in project

① PROJECT  
IDENTIFICATION

## ROLES



coordinator

partner

Third party

👉 What is the **role of my institution in the proposal consortium?**

👉 Am I ready to **coordinate** /be a **partner**?

# Roles of project participants

①

PROJECT  
IDENTIFICATION

- 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...

# Boundary conditions for the partner search

- Consider which competences / partners (type of institutions, expertise, origin) you need to fulfill all the objectives / carry out all activities
- Consider how many partners you can “afford” with the available budget
- Consider to present a project with balanced participation from different broad regions
- Consider that each partner should have a dedicated position in the consortium but at the same time that you might want to have more than one partner covering a “key” expertise (risk mitigation in case one partner has problems to deliver)

# Information about administrative issues

1

PROJECT  
IDENTIFICATION

- Awareness about the legal, administrative and financial requirements – [H2020 Funding Guide](#)

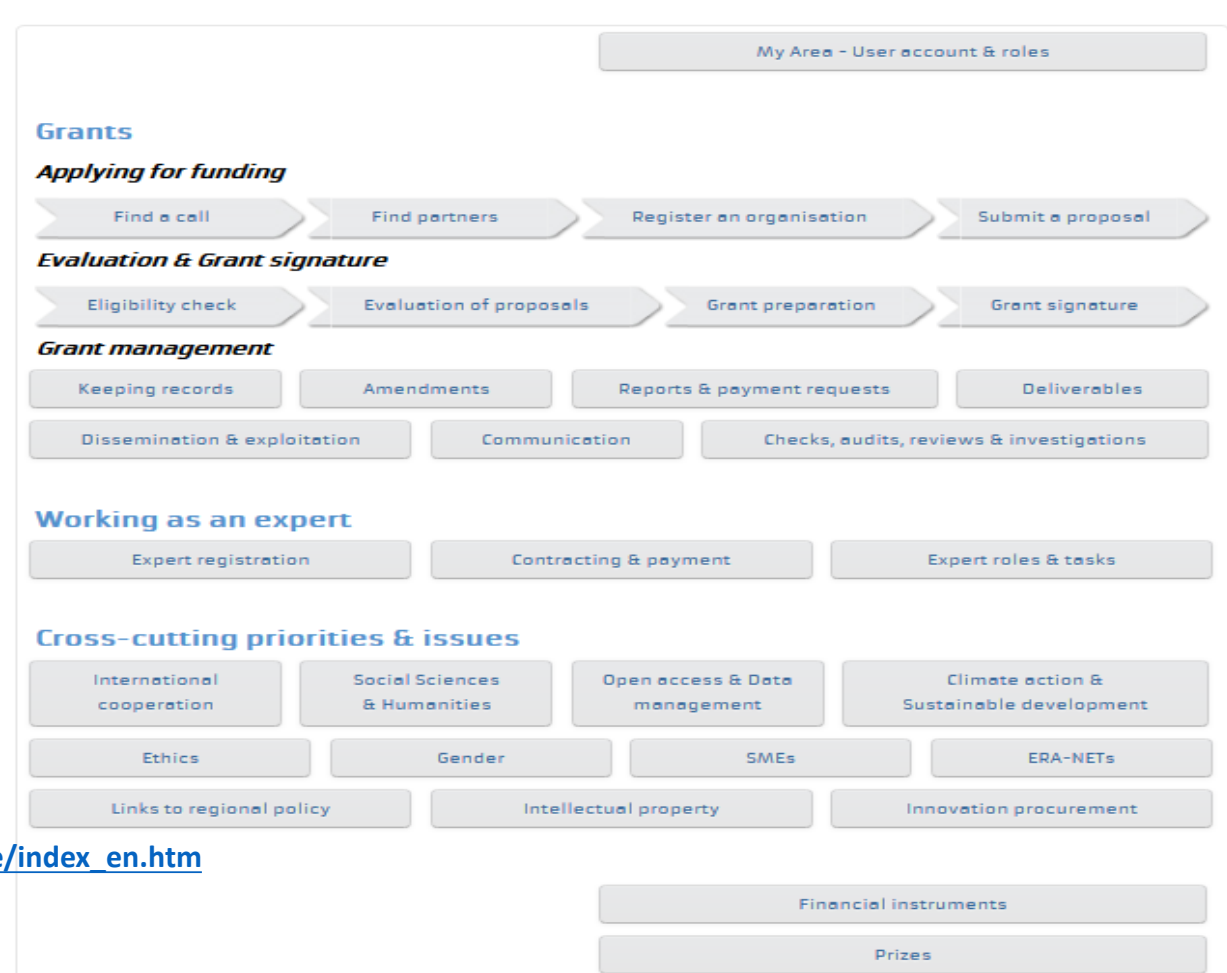


EUROPEAN COMMISSION  
Directorate-General for Research & Innovation

Grants Manual - Section on:  
Proposal submission and evaluation  
(sections III.5, III.6, IV.1, IV.2)

Version 1.4  
28 May 2015

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

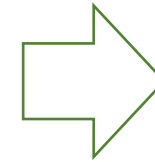


# Profile of your institution

## ① PROJECT IDENTIFICATION

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

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



RI-LINKS2UA Grants

EAP Inco net Grants

Other Grants, Call for  
papers

# A balanced consortium

- Depends on the instrument (CSA, RIA, etc.)
- Excellent research
  - Science and technology partners (multidisciplinarity, complementarity)
- Sound implementation
  - Dedicated partners with expertise to develop, test, validate; users of technology; pilot sites, demonstration, excellent management
- High impact
  - Partners with experience and expertise to exploit the knowledge generated, disseminate results, etc. (multipliers)

# Contacting the partners

- Initial contact -> indication of interest
- Identify specific contact person
- Provide summary of the project
- Request description of their activities and background related to the proposal topic, information about experiences / track-record, unit costs for budget planning, administrative information (PIC, etc.)



The network of the Horizon 2020 National Contact Points for 'Smart, Green and Integrated Transport'

[Home](#) | [About](#) | [Contacts](#) | [Login](#)



Find your NCP



EU transport  
landscape



Partner  
searches



Events &  
trainings



Toolbox



Funding Map  
Database



NCP Twinning



Brokerage events



Webinars



Trainings



ETNA Academy

# Partner Search – Online Databases

①

PROJECT  
IDENTIFICATION



Home >> Partner Search >> NMP Partnersearch Home

## PARTNER SEARCH

### Login

Username (E-Mail address):

Password:

login

REGISTRATION

PASSWORD LOST?

PARTNER SEARCH HOME

LIST OF PARTNER SEARCHES

LIST OF PARTNER OFFERS

SEARCH FOR PARTNER ENTRIES

SEARCH FOR PARTNER PROFILES

### Links

Get information on how to register and create your own partner searches and partner offers

Find out who is your national NMP NCP

Find partners for all HORIZON 2020 activities on the CORDIS service

Find partners on the Enterprise Europe Network partner search facility

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

### Partner Search - Partner Offer

*Nanotechnologies, Advanced Materials, Biotechnology and Advanced Manufacturing and Processing in HORIZON 2020*

The NMP TeAm Partner Search Facility has been established by the network on NMP NCPs in order to offer best support to its clients. This web service is strictly focused on the open calls for proposals of the key enabling technologies **Nanotechnologies, Advanced Materials, Biotechnology and Advanced Manufacturing and Processing of HORIZON 2020**, related actions like FET open, ERA-NETs like SIINN and M-ERA.NET and inducement prize (Horizon Prize on materials for clean air). **The Partner Search Facility is open now for the NMBP-related call topics within the Horizon 2020 Work Programme 2016/2017.**

On this web-service we discern between

- **Partner Offer** - Researchers who offer their research expertise and who seek for collaboration in possible project consortia and
- **Partner Search** - Researchers or consortia with a definite idea for a project who are looking for further partners to complement the expertise scope of the consortium

In order to get information on the already published entries, please enter: [Search for partner entries](#)

[In order to submit your own partner offer or partner search you first have to register.](#)

With the related online forms, you have the opportunity to upload your own partner offer or partner search. The information will appear online as soon as it has been quality checked by the responsible country specific NCP.

The [user manual](#) (release 13/10/15) provides detailed information on the use of this service.

# Partner Search – Online Databases

① PROJECT IDENTIFICATION



## Research Partners

You can:

- Search for partners
- [Query more with an advanced search](#)
- Browse these active profiles and collaboration requests to build your network:
  - 10518 Partner profiles
  - 60 Open Calls for Proposals
  - 5511 Partnership requests
    - 1337 Proposing project
    - 4174 Offering collaboration
  - 384 Groups
- Contact [National Contact Point](#) networks to get further support to find partners in your specific theme
- [View the help pages and video tutorials](#)

## Create or update your profile

Username:

Password:

[Forgot your username or password?](#)  
[Not yet registered?](#)

 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
- TLRs - Technology Readiness Levels



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



# Administrative procedures

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

# 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.

[Call budget overview](#)  
TOPIC : Architected /Advanced material concepts for intelligent bulk material structures

Topic identifier: NMBP-04-2017  
Publication date: 14 October 2015

Types of action: RIA Research and Innovation action

DeadlineModel: two-stage

Planned opening date: 11 May 2016

Deadline: 27 October 2016 17:00:00  
2nd stage Deadline: 04 May 2017 17:00:00

Time Zone : (Brussels time)



Horizon 2020  
Pillar: Industrial Leadership  
Work Programme Year: H2020-2016-2017  
Work Programme Part: Nanotechnologies, Advanced Materials, Biotechnology and Advanced Manufacturing and Processing  
Call : H2020-NMBP-2016-2017

[H2020 website](#)

# Types of Actions

2

PROJECT PREPARATION,  
DESIGN AND PLANNING

## Main types of actions

*Research and Innovation  
Actions*

*Innovation Actions*

*Coordination and  
Support Actions*

## Other targeted types of actions

*SME Instrument*

*ERANET Co-fund*

*Pre-commercial  
Procurement Co-fund*

*Public Procurement of Innovative Solutions Co-fund*

# Types of Actions

2

PROJECT PREPARATION,  
DESIGN AND PLANNING

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

- 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

- activities directly aiming ***at producing plans and arrangements or designs for new, altered or improved products, processes or services***. For this purpose they may include prototyping, testing, demonstrating, piloting, large-scale product validation and market replication.
- Minimum: three independent legal entities, established in different Member States or Associated Countries -> **Possible additional conditions in Work Programmes!**
- **Funding:** 70% funding for profit and 100% for non-profit participants

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

Funding: 100%

# SME Instrument

- This instrument is aimed **at highly innovative SMEs with the ambition to develop their growth potential**. It offers lump sums for feasibility studies, grants for an innovation project's main phase (demonstration, prototyping, testing, application development...); lastly, the commercialisation phase is supported indirectly through facilitated access to debt and equity financial instruments.
- **Only SMEs can participate**. Either a single SME or a consortium of SMEs established in an EU or Associated Country.

## THE THREE PHASES

### Phase 1: Proof of Concept

**Input:**  
Idea/Concept in  
"Business Plan I" (~ 10 pages)

#### Main Activities:

- Feasibility of concept
- Risk assessment
- IP regime
- Partner search
- Design study
- Pilot application

**Output:** elaborated  
"Business plan II"

*Lump sum: around 50.000 €  
~ 6 months*

### Phase 2: Development and Demonstration

**Input:**  
"Business plan II" + "Description of activities under Phase2" (~ 30 pages)

#### Main Activities:

- Development Prototyping
  - Testing
  - Piloting
  - Miniaturisation
  - Scaling-up
  - Market replication
  - Design & creation of innovative applications to foster the delivery of mobile public services
  - New business model for SMEs in traditional sector to innovate
- Output:** investor-ready

"Business plan III"  
*Output based payments:  
1 to 2,5 M€ 500k per it  
~ 12 to 24 months*

### Phase 3: Go-to- Market, commercialisation

**Input:**  
"Business plan III"  
**Opportunities:**  
'Quality label' for successful Phase 1 & 2

Easier access to private finance  
Support via networking, training, coaching, information, addressing i.a. IP management, knowledge sharing, dissemination  
SME window in the EU financial facilities (debt facility and equity facility)

*No direct funding*

# Other targeted Actions

2

PROJECT PREPARATION,  
DESIGN AND PLANNING

- **SME Instrument (Phase 1 and Phase 2)**

- Only applications from SMEs established in EU Member States or countries associated to Horizon 2020
- Phase 1: Feasibility study verifying the technological/practical as well as economic viability of an innovation idea with considerable novelty to the industry sector;
- Phase 2: innovation projects that demonstrate high potential in terms of company competitiveness and growth underpinned by a strategic business plan.
- Minimum one for-profit SME
- 70% funding for Phase 2, lump sums for Phase 1

- **ERANET Cofund**

- The only eligible participants in ERA-NET Cofund actions are research funders: legal entities owning or managing public research and innovation programmes

- **Procurement**

- Pre-commercial procurement (PCP) Cofund
  - enable the public sector as a technologically demanding buyer to encourage research, development and validation of breakthrough solutions
- Public procurement of innovative solutions (PPI) Cofund
  - to reinforce early deployment of innovative solutions that address challenges of public interest; to enable trans-national buyer groups of procurers to share the risks of acting as early adopters of innovative solutions

- **Prizes**

- Rewards for past achievements or inducement prizes to be awarded for the achievement of a pre-specified target

- **Training and mobility grant – for Marie Skłodowska Curie Actions**

- For single beneficiaries, funding bodies or transnational consortia for training, mobility and career development of researchers

- **Debt finance and equity investment**

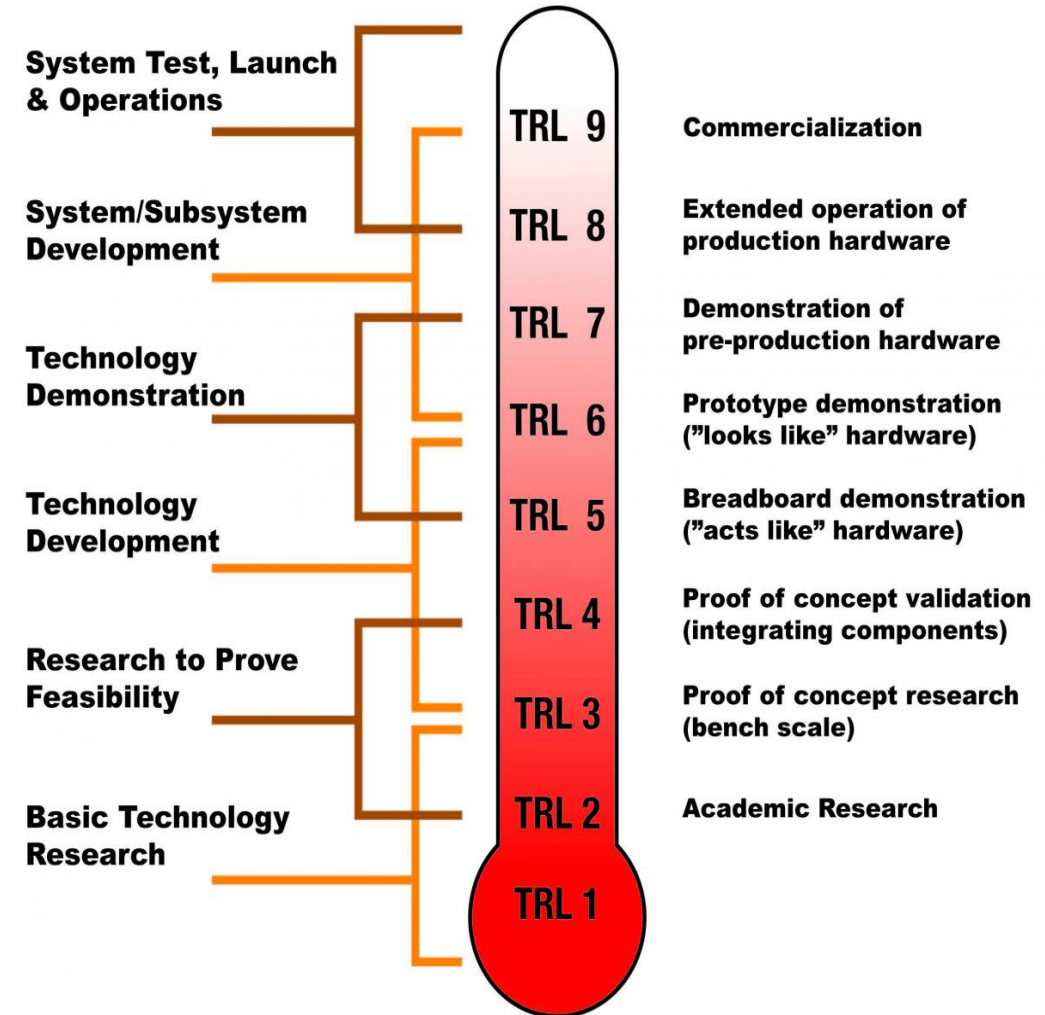
- Access to risk finance

# Technology Readiness Levels (TRLs)

2

PROJECT PREPARATION,  
DESIGN AND PLANNING

- ✓ The TRL is a **new dimension in Horizon 2020**.
- ✓ Many of the call topics have a defined TRL at which the implementation of the proposal is intended to start, as well as a target TRL.
- ✓ The use of Technology Readiness Levels (TRLs) as a measurement of the maturity level of particular technologies is a new development in Horizon 2020.
- ✓ This measurement system **provides a common understanding of technology status and addresses the entire innovation chain**.
- ✓ By evaluating a technology project against the parameters for each Technology Readiness Level one can assign a TRL rating to the project based on its stage of progress.
- ✓ There are nine technology readiness levels; TRL 1 being the lowest and TRL 9 the highest.





# 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.

Note that for technical reasons, the following characters are not accepted in the Proposal Title and will be removed: < > " &

Duration in months Estimated duration of the project in full months.

Free keywords Enter any words you think give extra detail of the scope of your proposal (max 200 characters with spaces).

Abstract

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

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

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

- Do not include any confidential information.

Declarations

1) The coordinator declares to have the explicit consent of all applicants on their participation and on the content of this proposal. ☐

2) The information contained in this proposal is correct and complete. ☐

3) This proposal complies with ethical principles (including the highest standards of research integrity — as set out, for instance, in the [European Code of Conduct for Research Integrity](#) — and including, in particular, avoiding fabrication, falsification, plagiarism or other research misconduct). ☐

4) The coordinator confirms:

- to have carried out the self-check of the financial capacity of the organisation on <http://ec.europa.eu/research/participants/portal/desktop/en/organisations/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. ☐

5) The coordinator hereby declares that each applicant has confirmed:

- they are fully eligible in accordance with the criteria set out in the specific call for proposals; and ☐

- they have the financial and operational capacity to carry out the proposed action. ☐

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

## A2: Administrative data of all participating institutions



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

### 2 - Administrative data of participating organisations

PIC Legal name

Short name:

Address of the organisation

Street

Town

Postcode

Country

Webpage

Legal Status of your organisation

Research and Innovation legal statuses

Public body ..... unknown Legal person ..... unknown

Non-profit ..... unknown

International organisation ..... unknown

International organisation of European interest ..... unknown

Secondary or Higher education establishment ..... unknown

Research organisation ..... unknown

Enterprise Data

SME self-declared status ..... unknown

SME self-assessment ..... unknown

SME validation sme ..... unknown

# Part A: Administrative Forms (2)

2

PROJECT PREPARATION,  
DESIGN AND PLANNING

## • A3: Budget

- Budget per beneficiary
- Indirect costs are calculated automatically

### 3 - Budget for the proposal

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

# Part A: Administrative Forms (2)

2

## PROJECT PREPARATION, DESIGN AND PLANNING

### A4: Ethic Issues

#### 4 - 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? <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	

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

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,...

- **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.*

- 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)

## 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

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!)**

## 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

## 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

②



PROJECT PREPARATION,  
DESIGN AND PLANNING

-  **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

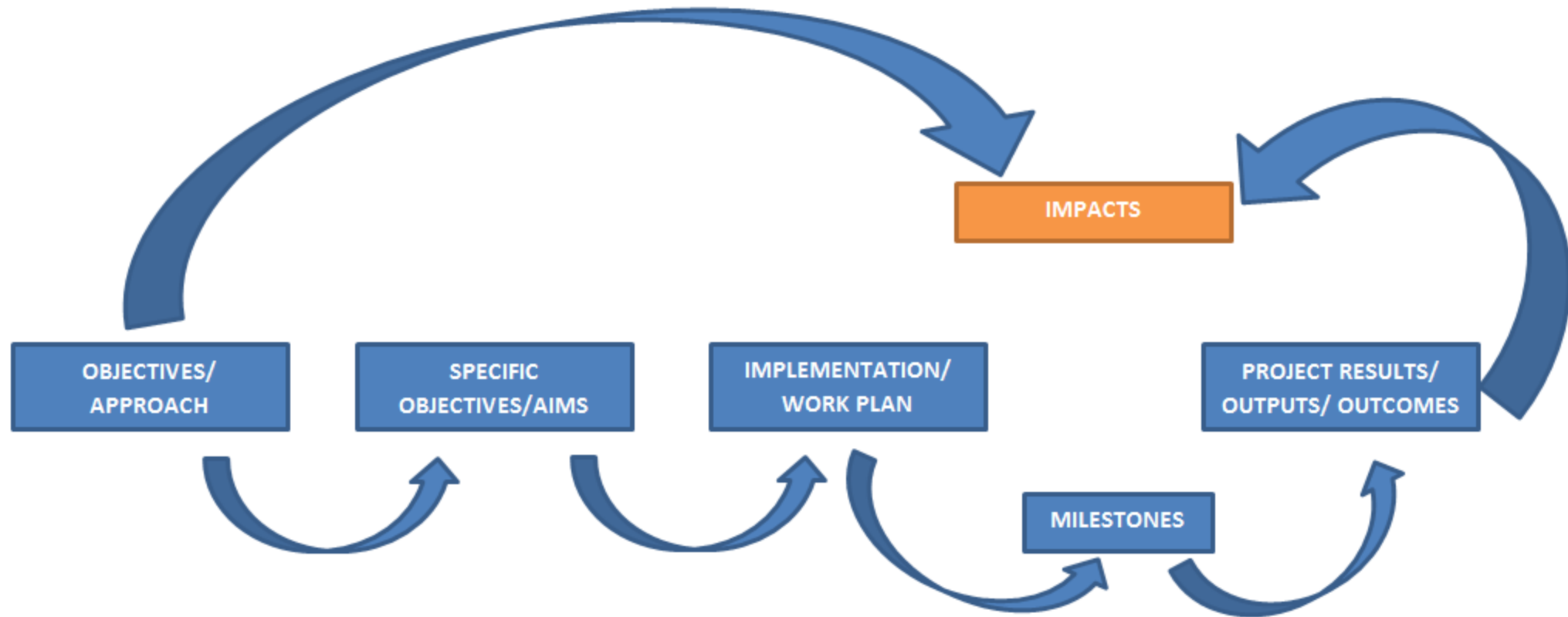
2

PROJECT PREPARATION,  
DESIGN AND PLANNING

-   **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

② PROJECT PREPARATION,  
DESIGN AND PLANNING



3

## PROPOSAL SUBMISSION

# Submission





4

## PROPOSAL EVALUATION

# 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

<b>Excellence</b>	<b>Impact</b>	<b>Implementation</b>
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
<b>Min 3 out of 5</b>	<b>Min 3 out of 5</b>	<b>Min 3 out of 5</b>
<b>Overall: Min 10 out of 15</b>		

# 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)

5

## GRANT AGREEMENT

# Grant Agreement preparation



## Grant Agreement Preparation Phase

### The importance of Grant Agreement Preparation Phase

- ➡ gather legal, administrative and financial information from all prospective beneficiary (project participant)
- ➡ make sure the Description of the Action (DoA, Annex 1 to the grant agreement) and the Estimated budget for the action (Annex 2) match the proposal, any relevant information in the invitation to prepare the grant agreement, and the ethics review report or/and the security scrutiny report
- ➡ establish the key points of the grant agreement (when the project starts, reporting periods, amount of pre-financing, need for consortium agreement, and, if applicable, ethical issues, third parties linked to the beneficiaries, in-kind contributions provided by third parties, subcontracting)
- ➡ verify the financial capacity (principally, this concerns certain types of coordinators only, other participants will be check in exceptional cases)

## Grant Agreement Preparation Phase

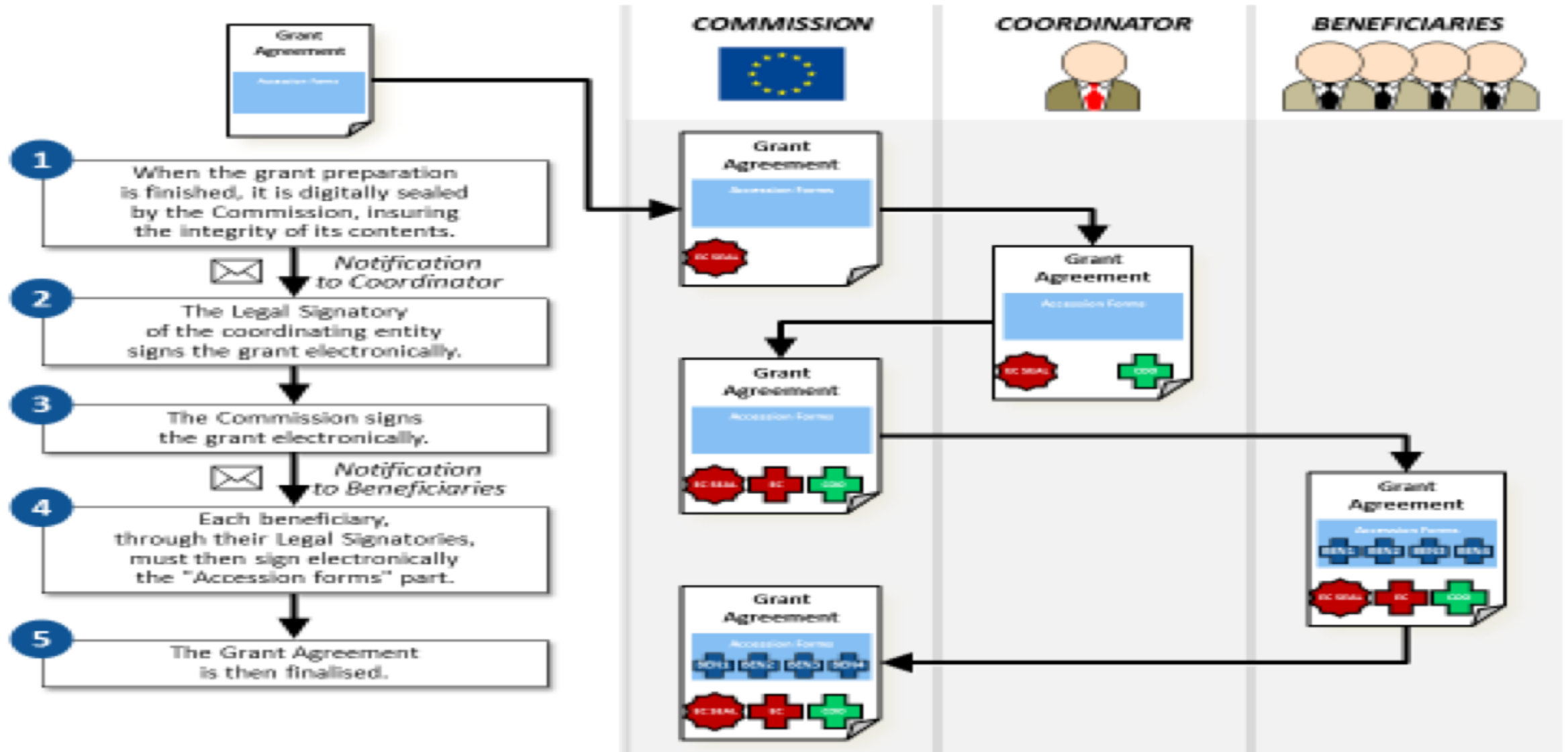
When a H2020 proposal is successful..

-The Coordinator of the consortium receives the 'Evaluation Summary Report' and the Letter/ Invitation for the grant preparation phase.

-An EC Project Officer is assigned to be responsible for the preparation phase

- **3 weeks after:** deadline for the submission of the grant agreement data, including annexes. The Coordinator needs to indicate changes/amendments, if any, in the future Description of the Action (Annex 1 of the future Grant Agreement) and justify the reason(s).
- **5 weeks after:** Following the assessment of the submitted version of the grant agreement data (by the EC PO), Coordinator will have to submit the final version taking into consideration all requirements highlighted by the Project Officer.
- **6 weeks after:** deadline for the electronic signature of the participants' declarations of honour.
- **7 weeks after:** deadline for all consortium partners (LEAR) to electronically sign the grant agreement on behalf of their entity.

## Grant Agreement Preparation Phase



## *Grant Agreement Preparation Phase*

### Remarks

- ✓ Failure to respect the deadlines indicated will be considered as a wish not to enter into, or continue with, the grant preparation and, therefore, to withdraw your proposal
- ✓ The entire grant preparation process, including communication with the Commission and the subsequent signature of the Grant Agreement , shall be carried out EXCLUSIVELY through the Participant Portal Grant Management Service (PP GMS).
- ✓ Some information related to the legal and financial status of participants is read-only and may only be updated by the Legal Entity Appointed Representative (LEAR) of the concerned entity (E.g. Declaration of honour, signature of grant agreement)
- ✓ Further information: H2020 Online Manual on the Participant Portal

## *Grant Agreement Preparation Phase*

### Important “Roles” and Participant Portal User Rights for the Grant Agreement Preparation Phase;

- ✓ For the coordinating organisation:
  - Primary coordinator contact (PCoCo)
  - Legal entity appointed representative (LEAR)
  - Project Legal signatory (PLSIGN)
  
- ✓ For other beneficiaries:
  - Participant contact (PaCo)
  - Legal entity appointed representative (LEAR)
  - Project Legal Signatory (PLSIGN)



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# THANK YOU FOR YOUR ATTENTION!

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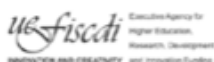
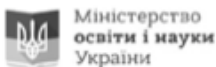
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<https://ri-links2ua.eu/>

