

How to write a successful proposal in H2020.

Practical information for participation

17 October 2018



### **Horizon 2020 Overview**

#### Three priorities:

- Pillar 1 Excellent Science (approximately 32% of budget)
- Pillar 2 Industrial Leadership (approximately 22% of budget)
- Pillar 3 Societal Challenges (approximately 38.5% of budget)
- Cross-cutting activities (approximately 1.5% of budget):

Spreading Excellence and Widening Participation

Science with and for Society

- EIT (approximately 3.5% of budget)
- Non-nuclear activities of Joint Research Centre (approximately 2.5% of budget)
- Strong focus on SMEs:

In collaborative projects - 20% of total budget for societal challenges and enabling & industrial technologies to go to SMEs

A new SME instrument in all societal challenges and enabling & industrial technologies (7% of relevant budgets)



#### Excellence Science

#### European Research Council

Frontier research by the best individual teams (ERA)

#### Future and Emerging Technologies

Collaborative research to open new fields of innovation

#### Marie Sklodowska Curie Actions

Opportunities for training and carrer development

 Research Infrastructures (Including e-infrastructure)
 Ensuring access to world-class facilities

#### Industrial Leadership

Leadership in enabling and industrial technologies

- ICT
- Nanotechnologies materials, biotechnologies, manifacturing
- Space

#### ■ Access to risk finance

Leveraging private finance and venture capital for research and innovation

#### Innovation in SMEs

Fostering all forms of innovationin all types of SMEs

#### Societal Challange

- Health, demographic change and wellbeing
- Food security, sustainable agriculture, marine and maritime research, and the bio-economy
- Secure, clean and efficient energy
- Smart, green and integrated transport
- Climate action, resource efficiency and raw materials
- Europe in a changing world – inclusive, innovative, reflective societies
- Secure Societies

#### European Institute of Innovation and Technologies (EIT)

Spreading Excellence and Widening Participation

Science with and for society

Joint Research Center (JRC)

Euratom

### Place of the Participant Portal in EU's Research communication media

3 Internet portals related to Horizon 2020:

RESEARCH on EUROPA

→ policy context <a href="http://ec.europa.eu/research">http://ec.europa.eu/research</a>

- PARTICIPANT PORTAL
- CORDIS

→ interactions with participants
<a href="http://ec.europa.eu/research/participants/portal">http://ec.europa.eu/research/participants/portal</a>

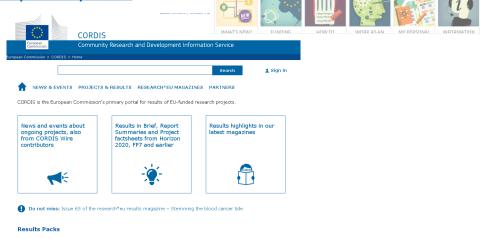
Funding - calls

programme - Marie Skłodowska Curie Actions ERC grants for frontier research

Working in research - jobs,

HORIZON

→ dissemination of results <a href="http://cordis.europa.eu">http://cordis.europa.eu</a>



**RESEARCH & INNOVATION** 

Horizon 2020 Funding

**European Researchers Night** 

26-27 September

# **How to Apply?**

### **Using the Horizon 2020 website/Participant Portal**

- 1. Find a call for proposals
- 2. Find partners (where necessary)
- 3. Create an account and register your organization
- 5. Submit a proposal



# Find a suitable Call for Proposals

- Calls on the Participant Portal: http://ec.europa.eu/research/participants/portal/des ktop/en/home.html
- Detailed information in the H2020 Online Manual http://ec.europa.eu/research/participants/docs/h202 0-funding-guide/index\_en.htm

#### **Bottom UP**

You come up with a research idea and apply for funding through the Excellent Science schemes; e.g.

- European Research Council (ERC)
- Marie Sklodowska-Curie Schemes (MSCA)
- Future and Emerging Technologies (FET)
- SMEs Instrument

### **Top DOWN**

The EU define specific topics and your idea has to fit within their remit in order to be able to apply. Industrial Technologies (e.g. ICT, Biotech) Societal Challenges (e.g. Health, Secure Societies, Europe in a Changing World, Food-Agri-Marine)

# Instruments in H2020-Types of Actions

Type of Action¹	Code	Minimum Conditions <sup>2</sup>	Funding Rate		ical ation		Average	EC Contribution	Aim
Research & Innovation Action	RIA	≥ 3 legal entities from 3 MS/AC	100%	36-4 moi	_			€ 2.0 - 5.0M	collaborative research projects
Innovation Action	IA	≥ 3 legal entities from 3 MS/AC	70%³	30-: moi	-			€ 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- moi	0 iths			€ 0.5 - 2.0M	accompanying measures (standardisation, dissemination, policy dialogues etc.) no research
MSCA4 (except Cofund)	MSCA	see separate fac	tsheet						facilitate mobility of researchers for training & career development
ERC Grants	ERC	1 legal entity in MS/AC	100%	60 1	nonths		Starting: Consolid Advance		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> <li>recognise past achievements</li> <li>induce future activities</li> </ul>
SME Instrument	SME	1 SME in MS/AC	• Pha (70)	se 2: % of (	€1-2	5N co:	sts reimbu	(1-2 years)	combination of demonstration activities (testing, prototyping,), market replication
Fast Track to Innovation	FTI	≤ 5 legal entities from 5 MS/AC	70%	tbd				≤€3.0M	produce plans & arrangements or designs for new, altered or improved products, processes or services

<sup>&</sup>lt;sup>1</sup> Defined in the Work Programme.

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

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

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

### **Evaluation criteria**

# EXCELLENCE IMPACT QUALITY & EFFICIENCY OF THE ACTION

#### 1. Excellence

- Clarity of the objectives;
- Soundness of the concept, including trans disciplinary considerations;
- Credibility of the proposed approach;
- Ambition, progress beyond the state of the art.

#### 2. Impact: [...] contribution to:

- ■The expected impacts listed in the work programme
- 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:
- •...measures to, disseminate and exploit the project results,... communication.

#### 3. Quality and efficiency of implementation

- ■Coherence and effectiveness of work plan, ... allocation of tasks, resources:
- ■Competences, experience and complementarity of the individual participants, as well as of the consortium as a whole;
- •Appropriateness of the management structures and procedures....risk management.

- 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

in RED tage considerations

### The Consortium

### Meeting the criteria with a 'balanced' Consortium:

- 1. The basic research
  - Science & Technology partners
- 2. Users of Technology & Implementation
  - Partners with expertise to develop, test & validate the scientific premise, technology or other outputs
- 3. IMPACT of the R&D outcomes on the target market
  - Partners with expertise & experience to disseminate & exploit the knowledge/solutions generated

# Normally - at least 3 legal entities from 3 different EU member states or Horizon 2020 Associated Countries

- Additional legal entities depending on project
- Strong emphasis on 'Innovation' in Horizon 2020 where appropriate include non-academic sector partners e.g. SMEs
- Mention of international collaboration with e.g. BRIC doesn't guarantee funding
- Consider:
- Who you have worked well with before
- What your expectations are
- Budget, IPR, management issues as early as possible

# **Horizon 2020 – How to participate?**

# Any institution may participate either as a **Partner or as a Coordinator!**

- Responsibilities of the Coordinator:
  - Submits the proposal and (generally) leads the project.
  - Reporting responsibilities
  - Receives payment from the Commission and distributes to partners
  - Acts as a 'hub' for queries between Partners and Commission
- Resources and Benefits?
  - Coordinator receives adequate funding for resources to manage the consortium. Costs are claimed as incurred and cannot lead to a profit.
  - Closer links to Brussels
  - Prestige (?)
- > Partner
- Works on their work package(s)
- Submits reports to coordinator
- •Contributes to "a smooth and successful implementation of the grant"
- •supports the coordinator in their obligations



Start small and work up:

BUT Be realistic

If you are new to EU funding, start with a MSCA IF (bottom-up so open to all fields)

Do not attempt to coordinate a H2020 project unless you already have experience of managing large-scale, preferably international, grants – evaluators will be looking for experienced Coordinators

If you are the Coordinator, do not underestimate the considerable amount of time you will have to spend managing the project, even if you have a dedicated project manager.

Carefully check partners if invited to join a consortium by anyone with whom you have not previously worked – personal contacts are best

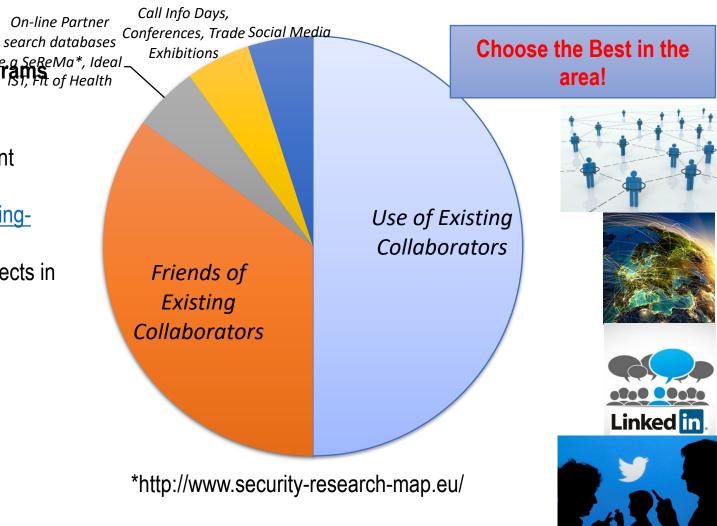
# Find project partners

•Existing contacts with experience of EU funding programs, seema\*, Ideal\_

- Partnering Networks
- Databases for Partner Search
- -Use Partner Search facility on the Horizon 2020 Participant Portal website:

http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/applying-forfunding/find-partners\_en.htm

- -Search the CORDIS database for participants similar projects in FP7: <a href="http://cordis.europa.eu/projects/home\_en.html">http://cordis.europa.eu/projects/home\_en.html</a>
- •Social media
  LinkedIn groups
  Twitter



### **Databases for Partner Search**

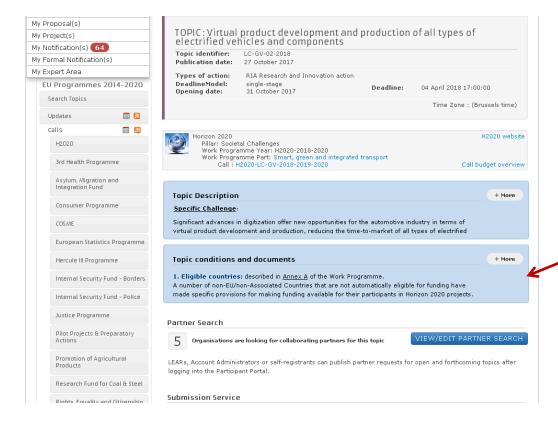
- ICT Idealist Partner Search(http://www.ideal-ist.eu/partner-search/pssearch) –the service includes advice on creating your profile by your local National Contact Point and there is a quality control of all the published data.
- Net4Society(http://www.net4society.eu/public/pss.php) –this features partner search requests in the socio-economic sciences and humanities
- Nanosciencesand nanotechnologies, Materials and new Production technologies Partner search(https://www.nmp-partnersearch.eu/index.php) –this lists those looking for partners and also allows you to launch a partner search
- SEREN2(http://www.seren-project.eu/) –Security NCP network
- ETNAplus(http://www.transport-ncps.net/) –Transport NCP Network
- Innovative Medicines Initiative Partner Search (https://cloud.imi.europa.eu/web/eimi-pst) –the IMI supports collaborative research projects and builds networks of industrial and academic experts to boost pharmaceutical innovation and this site displays the partner searches which includes SMEs, large organizations and Universities.
- ENV-NCP-Together(http://www.env-ncp-together.eu/) –Environment NCP Network
- C-Energy+(http://www.c-energyplus.eu/) –Energy NCP Network
- Partner search NCPs CaRE <a href="http://partnersearch.ncps-care.eu/index.php?index=6">http://partnersearch.ncps-care.eu/index.php?index=6</a>
- <u>Eco-innovation projects</u> http://ec.europa.eu/environment/eco-innovation/projects/
- LIFE projects http://ec.europa.eu/environment/life/project/Projects/index.cfm
- Enterprise Europe Network Cooperation Opportunities Database

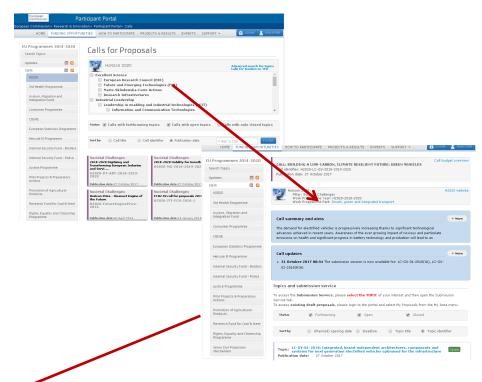
(http://een.ec.europa.eu/services/going-international) –this site publishes an extensive number of innovation and technology profiles from international companies and research organisations to help identify suitable partners for bilateral business, innovation and technology cooperation.

# LinkedIn groups

- "HORIZON 2020" Framework Programmefor Research & Innovation [Official Group](100 023 members)
   <a href="https://www.linkedin.com/start/join?session\_redirect=https%3A%2F%2Fwww.linkedin.com%2Fgroups%2F3731775&trk=login\_reg\_redirect">https://www.linkedin.com/start/join?session\_redirect=https%3A%2F%2Fwww.linkedin.com%2Fgroups%2F3731775&trk=login\_reg\_redirect</a>
- "H2020 ICT" Research and Innovation in ICT, Collaborative R&D Projects & Partner Search(8 260 members)
   https://www.linkedin.com/start/join?session\_redirect=https%3A%2F%2Fwww.linkedin.com%2Fgroups%2F4427033&trk=login\_reg\_redirect
- Horizon 2020 Information and Communication Technologies -Industrial Leadership(6 872 members)
   https://www.linkedin.com/start/join?session\_redirect=https%3A%2F%2Fwww.linkedin.com%2Fgroups%2F2066081&trk=login\_reg\_redirect
- Find a Horizon 2020 Partner (2 893 members)
- Horizon 2020 -EU Projects Partner Search(1 667 members) https://www.linkedin.com/start/join?session\_redirect=https%3A%2F%2Fwww.linkedin.com%2Fgroups%2F4457101&trk=login\_reg\_redirect
- Horizon 2020 ICT Partner Search(307 members) https://www.linkedin.com/start/join?session\_redirect=https%3A%2F%2Fwww.linkedin.com%2Fgroups%2F3857636&trk=login\_reg\_redirect
- Partner Search Horizon 2020: Food security, sustainable agriculture, forestry and bio-economy(301 members)
   https://www.linkedin.com/start/join?session\_redirect=https%3A%2F%2Fwww.linkedin.com%2Fgroups%2F7416906&trk=login\_reg\_redirect
- Horizon 2020 Partner Finder (192 members)
- LinkedIn group "Environment projects & partner search EASME" https://www.linkedin.com/groups/7001906

# Partner Search. New Service





# Register

### http://ec.europa.eu/research/participants/portal/desktop/en/organisations/register.html

- Create account on Participants' portal
- Register your organisation
  - Check first that it does not already exist!
  - Participant Identification Code (PIC)

Guide on beneficiary registration, validation and financial viability check

http://ec.europa.eu/research/participants/data/ref/h2020/grants\_manual/lev/h2020-guide-lev\_en.pdf

+ Horizon 2020 National Portal

http://h2020.com.ua

#### Beneficiary Register

H2020 ONLINE MANUAL

If you want to participate in a project proposal, your organisation needs to be registered and have a **9-digit**Participant Identification Code (PIC). Please quote your PIC in all correspondence with the Commission

The register contains all beneficiaries participating in the EU research and innovation or education, audiovisual and cultural programmes.

#### Is your organisation already registered? PIC search

Please check whether your organisation has already been registered. If so, no need to register it again.

#### SEARCH

#### Register your organisation

To register, you need to login in the Portal or, if you are a new user, create your account.

Check what information you need to register in the H2020 Online Manual - and keep it to hand during the registration procedure. To start registration, click on the button below.

#### REGISTER ORGANISATION

You can suspend the registration process at any time: the data entered can be saved as draft and you can continue your registration later. To return to your registration, please log in and get into My Organisation(s) in the My Area section. Incomplete, draft registrations are automatically deleted after one year.

Please make sure to fill in the **H2020 and FP7** section in the Beneficiary Register. Additionally, for actions where the SME status is an eligibility criterion (like, e.g. the SME Instrument) you must also carry out the **SME** self-assessment.

Should your project be successfully evaluated, the registered data will be verified by the Validation Service team before the signature of the Grant Agreement.

# Your strategy in proposal writing

### **Strategy for Newcomers**

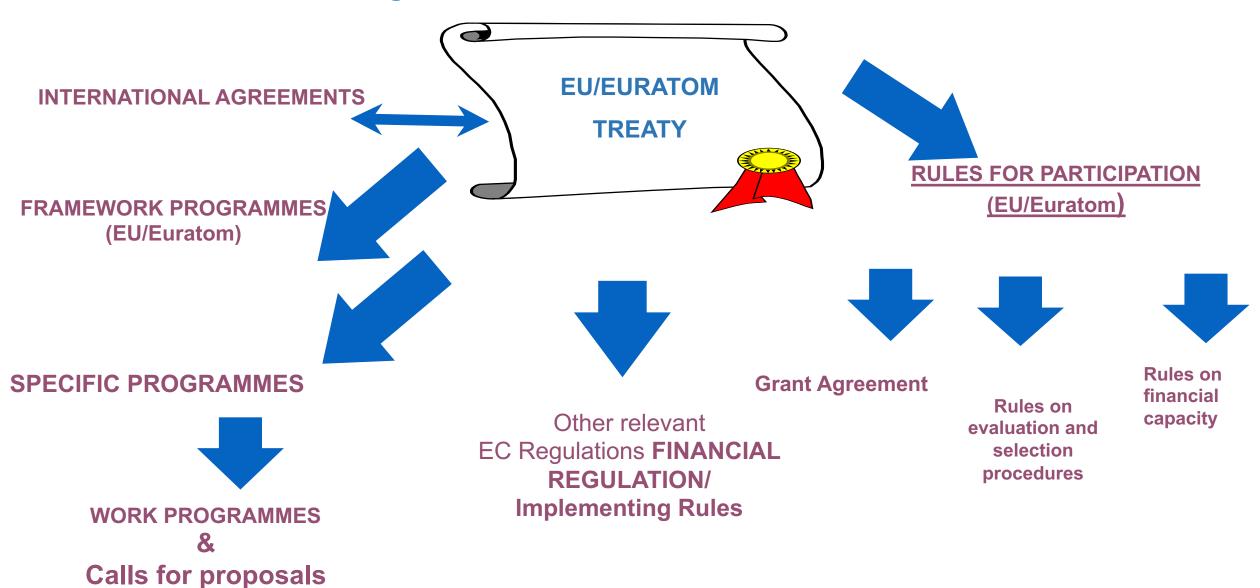
Learning the Rules and Procedures

Contacting established networks and experience

# **EU/UKRAINE**



# **Legal Framework**



# Rules for participation

http://ec.europa.eu/research/participants/data/ref/h2020/legal\_basis/rules\_participation/h2020-rules-participation\_en.pdf

# General Model of Grant Agreement (H2020 General MGA — Multi)

- http://ec.europa.eu/research/participants/data/ref/h2020/mga/gga/h2020-mga-ggamulti\_en.pdf
- + in the On-line Manual

http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference\_docs.html#h



# **Annotated Model of Grant Agreement**

http://ec.europa.eu/research/participants/data/ref/h2020/grants\_manual/amga/h2020-amga\_en.pdf

The AGA — Annotated Model Grant Agreement is a user guide that aims to explain to applicants and beneficiaries the General Model Grant Agreement (General MGA) and the different specific Model Grant Agreements ('Specific MGAs') for the Horizon 2020 Framework Programme for 2014-2020 (H2020).

### **Cost reimbursement**

- Personnel costs
- Wider acceptance of average personnel costs
- Acceptance of supplementary payments (for non-profit organisations of up to 8000 euros/year/person)
- Simplifying participation for SMEs
- Less requirements for time records
- ...and more in the Horizon 2020 Grant Agreement

"Personnel costs are eligible, if they are related to personnel working for the beneficiary under an employment contract (or equivalent appointing act) and assigned to the action ('costs for employees (or equivalent)'). They must be limited to salaries (including during parental leave), social security contributions, taxes and other costs included in the remuneration, if they arise from national law or the employment contract (or equivalent appointing act)....(AMGA).

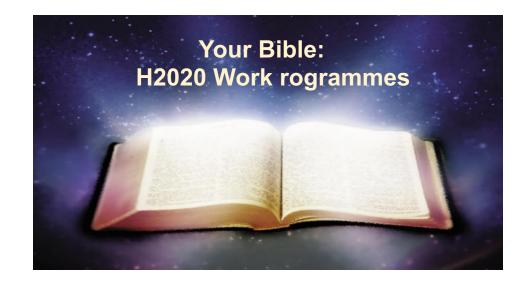
### Background documents

Horizon 2020 Rules for Participation1 Article 27 – Direct eligible personnel costs Horizon 2020 Annotated Model Grant Agreement2 Article 6 – Eligible and ineligible costs

# **Consortium agreements**

- Consortium agreement mandatory unless specified in call for proposals
- If mandatory, required before signature of the Grant Agreement
- Internal organisation of the consortium, including clear distribution of tasks, financial arrangements (e.g. prefinancing), settlement of disputes (e.g. nonperformance), additional Intellectual Property arrangements (e.g. licensing), liability and confidentiality
- Usually drafted and disseminated by coordinator; not signed by the Commission
- Various models have been/are being developed:
- DESCA: www.desca-2020.eu
- EUCAR: http://www.eucar.be/eucar-publishes-its-model-consortiumagreement-for-horizon-2020/

### **H2020 Work programmes**



Restrict eligibility of participants from third countries (e.g.security concerns, reciprocity)

Introduce additional eligibility criteria

Number of participants, type of participant and place of establishment

Lay down further details for the application of the award criteria, and specify weighting and thresholds – see general annexes

Specify third countries that are eligible for funding

Specify the funding rate for an action

Specify that lump sums or scale of unit costs can be used for an action (subject to prior separate Commission Decision)

Identify beneficiaries for grants without a call for proposals

etc

# Policy Drive for S&T Ukraine-EU cooperation

- Agreement on Co-operation in Science and Technology between the European Community and Ukraine (July 4, 2002)\*
- Agreement between Ukraine and the European Union on the participation of Ukraine in the Union programme Horizon 2020 the Framework Programme for Research and Innovation (2014-2020) (March 20, 2015
- European Neighborhood Policy (Review of the European Neighborhood Policy, Brussels, 18.11.2015)

15 July 2015,

The Verkhovna Rada of Ukraine adopted the Law "On Ratification of the Agreement by Exchange of Notes on Renewal of the Agreement on Scientific and Technological Cooperation between the European Community and Ukraine"

# Agreement on Co-operation in Science and Technology between the EC and Ukraine

#### Article 7

#### **Funding and taxes exemptions**

- (a) Cooperative scientific and technological activities shall be subject to the availability of funds and to the applicable laws and regulations, policies and programmes of the Community and Ukraine. As a rule, each Party shall bear the costs of discharging its responsibilities under this Agreement, including costs of participation in meetings of the Committee.
- (b) When specific scientific and technological cooperative forms benefit from financial support of the European Community, either directly or indirectly through organisations set up with the participation of the European Community, provided to participants of Ukraine, any such grants, financial or other contributions from the European Community to participants of Ukraine in support of their scientific and technological activities, shall be granted tax and customs preferences. Any such grants shall be exempt by Ukraine from customs payments, any customs duties and fees, value added taxes, income taxes and any other taxes and duties of an equivalent effect.

#### Article 8

#### Entry of personnel and equipment

• Each Party shall take all reasonable steps and use its best efforts, in accordance with its laws and regulations, to facilitate entry to, stay in and exit from its territory of persons, material, data and equipment involved in or used in cooperative activities under this Agreement.

# **MUST KNOW: Internal regulations**

Постанова Національного банку України «Про внесення змін до постанови Правління Національного банку України від 12.06.2018 № 65» щодо звільнення від обов'язкового продажу валютних коштів

Офіційно опубліковано 13.06.2018 Правління Національного банку України ПОСТАНОВА 12 червня 2018 року Про запровадження обов'язкового продажу надходжень в іноземній валюті та встановлення розміру обов'язкового продажу таких надходжень Відповідно до статей 7, 71, 15, 25, 44, 45, 56 Закону України "Про Національний банк України", статті 387 Господарського кодексу України, статей 6, 11, 13 Декрету Кабінету Міністрів України від 19 лютого 1993 року

№ 15-93 "Про систему валютного регулювання і валютного контролю", а також з метою підтримки стабільності валютного ринку України Правління Національного банку України постановляє

Постанова Кабінету Міністрів України, N 579, 12.08.2015

«Про затвердження Положення про порядок реалізації права на академічну мобільність»,

Положення про умови матеріального забезпечення осіб, направлених за кордон на навчання та стажування»

- Постанова Кабінету Міністрів України, № 98, 02.02. 2011
- «Про суми та склад витрат на відрядження державних службовців, а також інших осіб, що направляються у відрядження підприємствами, установами та організаціями, які повністю або частково утримуються (фінансуються) за рахунок бюджетних коштів»
- ПКУ, Бухгалтерського облік за законодавством України: Амортизація...
- etc

- 2. Обов'язковому продажу на міжбанківському валютному ринку України
- 1) на користь держави або під державні гарантії;
- 2) за крелитами, позиками, що залучаються відповідно до міжнародних договорів України, згода на обов'язковість яких надана Верховною Радою України або від міжнародних фінансових організацій членом яких є Україна. або від міжнародних фінансових організацій, за договорами з якими Україна зобов'язалася забезпечувати правовий режим, який надається іншим міжнародним фінансовим організаціям;

- 3) за кредитами, що надаються резиденту-позичальнику шляхом сплати іноземним кредитором коштів за зобов'язаннями цього резидента перед нерезидентом-експортером згідно із зовнішньоекономічним договором без зарахування кредитних коштів на рахунок резидента в уповноваженому банку. за умови, що такий кредит надається банком-нерезидентом та/або за участю іноземного експортно-кредитного агентства:
- 4) за проектами (програмами) міжнародної технічної допомоги, що пройшли державну реєстрацію;
- 5) за проектами, що здійснюються на підставі угод між Україною Європейським Союзом про участь України в міжнародних програмах Европейського Союзу:

### **Horizon 2020 National Portal**



