Proposal writing: Horizon 2020

GORAZD WEISS,
CENTRE FOR SOCIAL INNOVATION, AUSTRIA
Outline

1. INTRODUCTION – FROM IDEA TO IMPLEMENTATION
   ➤ BEFORE STARTING

2. PROPOSAL PREPARATION
   ➤ APPLICATION PROCEDURES (1 OR 2 STAGE PROPOSALS)
   ➤ TYPES OF ACTIONS (PROPOSALS) IN HORIZON 2020
   ➤ TLRs - Technology Readiness Levels

3. STRUCTURE OF THE PROPOSAL
   ➤ ADMINISTRATIVE & FINANCIAL PARTS (PART A)
   ➤ RESEARCH PROPOSAL (PART B)

4. HOW TO SUBMIT A PROJECT PROPOSAL

5. TIPS FOR SUCCESSFUL PROPOSAL
   ➤ Q&A
From Idea to implementation

Phase 1
- Project idea
- Finding appropriate call
- Consortium building

Phase 2
- Proposal Writing
- Proposal Submission

Phase 3
- Proposal Submission

Phase 4
- Evaluation by External Experts

Phase 5
- Grant agreement preparation & signature

Phase 6
- Project Start
- Implementation
- Midterm reporting to EC

Phase 7
- Project end & final reporting
Before starting (1)

- Already developed project idea /concept with high innovation potential
- Selection of the suitable Call that matches your project idea
- Consortium building (Different roles: Coordinator or Project partner)
- Register in ECAS (get a PIC number and validate your institution)
- Resource planning
- Project preparatory meeting “Brain-storming-meeting” with all partners
- Prepare the detailed project outline incl. draft budget calculation
- Read the latest EU documents related to your topic:
  - Europe 2020 strategy (http://ec.europa.eu/europe2020/index_en.htm)
  - EU policies (http://ec.europa.eu/policies/index_en.htm)
- Read the latest scientific papers related to your topic
Before starting (2)

| ROLES       |   
|-------------|---
|             | 

What is my role?

- coordinator
- partner
- Third party
Before starting (3)

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)

Am I ready to coordinate /be a partner?

Realisation of the call and work program’s objectives
Before starting (4)

⚠️ Awareness about the legal, administrative and financial requirements – H2020 Funding Guide

http://ec.europa.eu/research/participants/docs/h2020-funding-guide/index_en.htm
2. Proposal preparation

- APPLICATION PROCEDURES (1 OR 2 STAGE PROPOSALS)
- TYPES OF ACTIONS (PROPOSALS) IN HORIZON 2020
- TLRs - Technology Readiness Levels
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 1st 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
Types of Actions/Instruments

- Research and Innovation Actions
- Innovation Actions
- Coordination and Support Actions
- SME Instrument
- ERANET Co-fund
- Pre-commercial Procurement Co-fund
- Public Procurement of Innovative Solutions Co-fund
# Types of Action (for researchers)

<table>
<thead>
<tr>
<th>Type of Action</th>
<th>Code</th>
<th>Minimum Conditions</th>
<th>Funding Rate</th>
<th>Typical Duration</th>
<th>Average EC Contribution</th>
<th>Aim</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research &amp; Innovation Action</td>
<td>RIA</td>
<td>≥ 3 legal entities from 3 MS/AC</td>
<td>100%</td>
<td>36-48 months</td>
<td>€ 2.0 - 5.0M</td>
<td>collaborative research projects</td>
</tr>
<tr>
<td>Innovation Action</td>
<td>IA</td>
<td>≥ 3 legal entities from 3 MS/AC</td>
<td>70%</td>
<td>30-36 months</td>
<td>€ 2.0 - 5.0M</td>
<td>produce plans &amp; arrangements or designs for new, altered or improved products, processes or services</td>
</tr>
<tr>
<td>Coordination &amp; Support Action</td>
<td>CSA</td>
<td>1 legal entity</td>
<td>100%</td>
<td>12-30 months</td>
<td>€ 0.5 - 2.0M</td>
<td>accompanying measures (standardisation, dissemination, policy dialogues etc.) no research</td>
</tr>
<tr>
<td>MSCA (except Cofund)</td>
<td>MSCA</td>
<td>see separate factsheet</td>
<td></td>
<td></td>
<td></td>
<td>facilitate mobility of researchers for training &amp; career development</td>
</tr>
<tr>
<td>ERC Grants</td>
<td>ERC</td>
<td>1 legal entity in MS/AC</td>
<td>100%</td>
<td>60 months</td>
<td>Starting: ≤ € 2.0M Consolidator: ≤ € 2.75M Advanced: ≤ € 3.5M</td>
<td>support excellent investigators and their research teams to pursue ground-breaking, high-gain/ high-risk research</td>
</tr>
<tr>
<td>Prizes</td>
<td>PRI</td>
<td>1 legal entity</td>
<td>n/a</td>
<td>n/a</td>
<td>variable; see respective topic</td>
<td>- recognise past achievements - induce future activities</td>
</tr>
<tr>
<td>SME Instrument</td>
<td>SME</td>
<td>1 SME in MS/AC</td>
<td></td>
<td></td>
<td></td>
<td>combination of demonstration activities (testing, prototyping, …), market replication</td>
</tr>
<tr>
<td>Fast Track to Innovation</td>
<td>FTI</td>
<td>≤ 5 legal entities from 5 MS/AC</td>
<td>70%</td>
<td>tbd</td>
<td>≤ € 3.0M</td>
<td>produce plans &amp; arrangements or designs for new, altered or improved products, processes or services</td>
</tr>
</tbody>
</table>

1 Defined in the Work Programme.
2 Additional conditions may be listed in the respective Work Programmes.
3 100% for non-profit organisation (= any legal entity except companies)
4 MSCA = Marie Sklodowska Curie Actions

Source: https://www.euresearch.ch
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.
3. Structure of the proposal

- ADMINISTRATIVE & FINANCIAL PARTS (PART A)
- RESEARCH PROPOSAL (PART B)
Part A: Administrative Forms (1)

A1: General Information:

- Project Title
- Akronym
- Keywords
- Abstract
- Declarations

A2: Administrative data of all participating institutions

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

Part A to be completed online
Part A: Administrative Forms (2)

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

A4: Ethic Issues

4 - Ethics issues table

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Does your research involve Human Embryo/Slent Cells (HESSCs)?</td>
<td>Yes</td>
<td>No</td>
<td>Does your research involve human participants?</td>
<td>Yes</td>
<td>No</td>
<td>Does your research involve physical interveon on the study participants?</td>
<td>Yes</td>
<td>No</td>
<td>Does your research involve personal data collection and/or processing?</td>
<td>Yes</td>
<td>No</td>
<td>Does your research involve further processing of previously collected personal data?</td>
</tr>
</tbody>
</table>

3 - Budget for the proposal

<table>
<thead>
<tr>
<th>No</th>
<th>Participant</th>
<th>Country</th>
<th>(A) Direct personnel costs (€)</th>
<th>(B) Other direct costs</th>
<th>(C) Direct costs of third party (€)</th>
<th>(D) Direct costs of providing financial support to third party (€)</th>
<th>(E) Costs of indirect costs (€)</th>
<th>(F) Indirect Costs (€)</th>
<th>(G) Special unit costs covering indirect costs (€)</th>
<th>(H) Total estimated eligible costs (€)</th>
<th>(I) Reimbursement rate (%)</th>
<th>(J) Max EU Contribution (€)</th>
<th>(K) Requested EU Contribution (€)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td></td>
<td></td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>100</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

Total: 0

Part A to be completed online
Part B – Research proposal

As an example RIA template will be presented.

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

Sections of part B:

1. Excellence
2. Impact
3. Quality and Efficiency of the implementation
4. Member so the Consortium
5. Ethic and Security issues
1. Excellence

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...
2. Impact

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

2.2 Measures to maximize impacts

a) Dissemination and exploitation (provide 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...)

b) Communication activities (target groups and measures)
3. Implementation

3.1 **Work plan - Work packages, deliverables** => overall structure of the project, coherent and effective work plan, description of the Work package and tasks, list of deliverables incl. appropriate of the allocation of tasks and resources

3.2 **Management structure, milestones and procedures** incl. critical risk and mitigation measures, appropriate management structure

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!)
Section 4: Members of the Consortium

=> no page limit

4.1 Participants => short description of the participants incl. their expertise, involvement in tasks, short CVs, list of 5 relevant publications, list of 5 relevant projects

4.2. Third parties involved
Section 5: Ethic and Security

=> no page limit

5.1 Ethics => to be completed very carefully. Depending on research to be carried on the submission of the ethic self-assessment document as well as other necessary documents may be requested in the application.

5.2. Security => answer to the questions listed.
Coherence of the different parts of proposal
4. Submission Procedure
Procedure for proposal submission, step by step

1. Access the ESS


1. Log in ECAS
2. Go to «Funding opportunities»
Procedure for proposal submission, step by step

1. Access the ESS

Go to « Calls ».

Find your call by using the filters.

On the call’s page, select the topic of your interest.

To access the ESS, select the type of action, then press « Start Submission ».
Procedure for proposal submission, step by step

2. Create a draft

1. Enter your organization’s name and/or PIC
2. Select your role
3. Fill in your proposal’s acronym and summary
Procedure for proposal submission, step by step

2. Create a draft

You will be presented the following disclaimer:

- Click « Accept » to proceed with the submission
- Click « Decline » to cancel the submission
Procedure for proposal submission, step by step

2. Create a draft

Upon the creation of your draft, you will receive:

- A message on your screen
- A confirmation e-mail

Click «Continue with this proposal» to proceed with the next step. To postpone this action and return to your list of proposals, click «Go to my proposals».
Procedure for proposal submission, step by step

3. Consortium

<table>
<thead>
<tr>
<th>Action</th>
<th>Proposal Coordinator</th>
<th>Partner</th>
</tr>
</thead>
<tbody>
<tr>
<td>Select the call</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Add, invite participants</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Submit the proposal</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Read complete proposal</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Define the budget tables</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Create contacts for a partner</td>
<td>Yes</td>
<td>No</td>
</tr>
</tbody>
</table>

**Proposal coordinator:**
- Single point of contact between participants and EC for the proposal
- Overall planning of proposal
- Full rights for action in ESS

**Partner:**
- Invited by coordinator to fill in administrative forms
- Restricted rights for action in ESS
Procedure for proposal submission, step by step

4. Edit and complete your proposal form

For previously saved draft proposal forms, this step can be accessed through My Proposals page in the Participant Portal (you must be logged in). Click « ED » in the Actions column.
Procedure for proposal submission, step by step

4. Edit and complete your proposal form

Click « Edit forms » to open the PDF form you have to fill in.

Click « View history » for the list of all system and user actions.

Click « Download templates » for the latest proposal requirements package.

Click « Upload » to upload your completed annexes.
Procedure for proposal submission, step by step

4. Edit and complete your proposal form

Scroll down or click on « Show » to access and complete the respective section of the form.

Click « Save and close » to save the completed data and exit the edit page.

Click « Validate form » for the self check of the completed data. Errors and warnings will be listed at the end of the form.
Procedure for proposal submission, step by step

4. Edit and complete your proposal form

Part A: Administrative forms

1. General Information
2. Administrative data of participating organizations
3. Budget
4. Ethics

4. Edit and complete your proposal form

<table>
<thead>
<tr>
<th>Participant</th>
<th>Country</th>
<th>(A) Direct personnel costs/€</th>
<th>(B) Other direct costs/€</th>
<th>(C) Direct costs of sub-contracting/€</th>
<th>(D) Direct costs of providing financial support to third parties/€</th>
<th>(E) Costs of in-kind contributions not used on the beneficiary's premises/€</th>
<th>(F) Indirect Costs/€ ($0.25(A+B-E))</th>
<th>(G) Special costs or indirect costs</th>
</tr>
</thead>
</table>

4 - Ethics issues table

1. HUMAN EMBRYOS/FOETUSES

Does your research involve Human Embryonic Stem Cells (hESCs)?

Does your research involve the use of human embryos?
Part B: Technical annex

1. Download the templates
2. Complete the templates
3. Upload the completed templates

Procedure for proposal submission, step by step

4. Edit and complete your proposal form
Procedure for proposal submission, step by step

4. Edit and complete your proposal form

When completing and uploading your proposal, be careful of:

- File size, format and resolution
- File name and security
- Limitations in length, font size and margins. Exceeding these limitations may affect the project’s eligibility.
Procedure for proposal submission, step by step

5. Validate and submit your application

Click « Validate » to make sure that your application meets all requirements.

The system will advise you of any errors.

Correct all errors and warnings, then click « Validate » again to make sure you have not missed anything (1).

Once you get a « No error » message, click « Submit » (2).
Procedure for proposal submission, step by step

6. Submitted proposal

Once your proposal is submitted, you can:

- Revise it;
- Download it;
- Withdraw it;

PRIOR TO THE CALL CLOSURE
Reminder

- Do not submit at the last minute!
- Do not hesitate to submit several versions.
- Strictly respect the templates and length limitations.
- Check the completeness and quality of your forms and files.
- Take time to familiarize yourself with the proceedings.
- Read all the documents provided by the EC.
References

**Horizon 2020 Online Manual**
http://ec.europa.eu/research/participants/docs/h2020-funding-guide/index_en.htm

**Proposal Submission Service User Manual**
http://ec.europa.eu/research/participants/data/support/sep_usermanual.pdf

**Guide on proposal submission and evaluation**

**Other H2020 reference documents**
(rules for participation, guides for applicants, proposal templates, evaluation forms, etc)

**NCP network**
http://ec.europa.eu/research/participants/portal/desktop/en/support/national_contact_points.html
5. Tips for successful proposal writing
Some tips for successful 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 for 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 successful 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)

*Source: Hyperion LTD; European Commission
Q&A
THANK YOU FOR YOUR ATTENTION!

CONTACT:
Gorazd Weiss
Email: weiss@zsi.at

CENTRE FOR SOCIAL INNOVATION (ZSI)
Linke Wienzeile 246
A - 1150 Vienna
AUSTRIA
Tel. ++43.1.4950442-39
Fax. ++43.1.4950442-40
http://www.zsi.at

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