



#InvestEUresearch

European Commission

# Horizon 2020 Work Programme for Research & Innovation 2018-2020

Horizon 2020 Proposal Writing:  
Part A and Part B

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Research and Innovation

Vertical text on the right: Horizon 2020 Work Programme for Research & Innovation 2018-2020

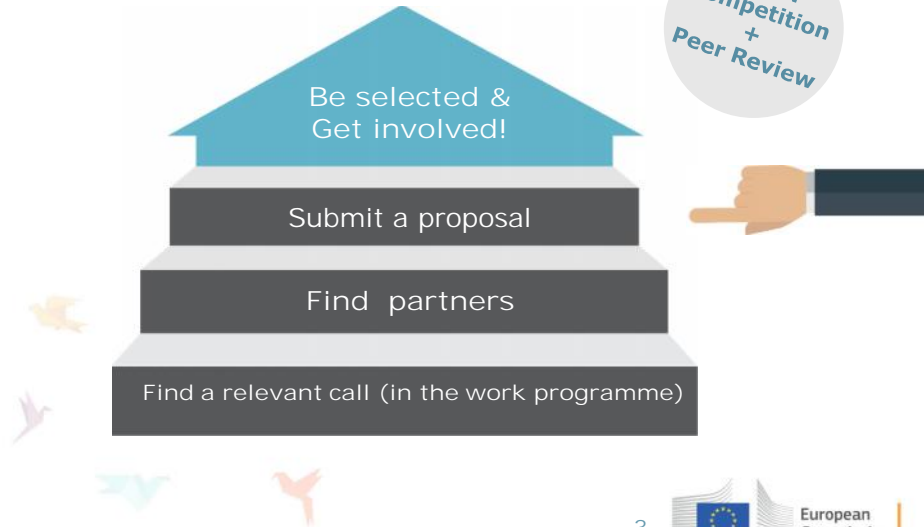
## Overview

1. Proposal elements
2. Excellence
3. Impact
4. Implementation
5. Consortium
6. Ethics
7. Proposal submission
8. Exercise

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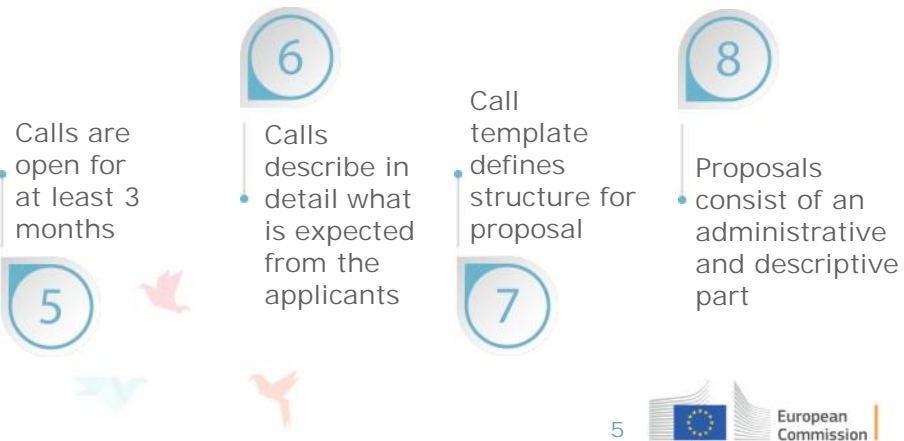
## How does it work?



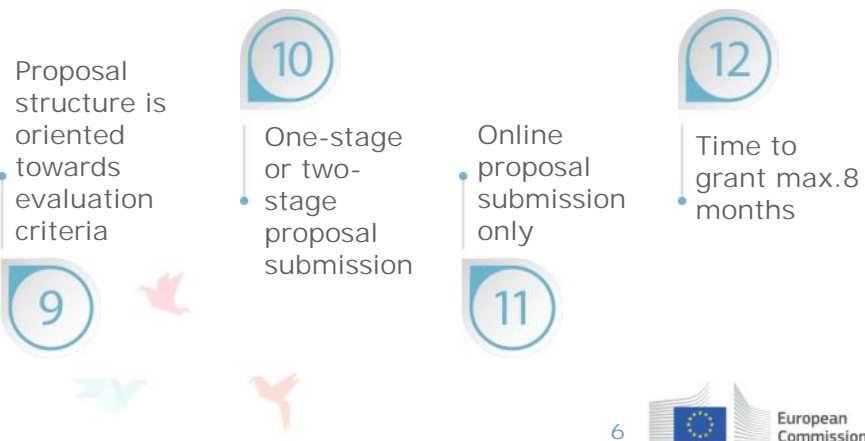
## 12 facts you need to know about Horizon 2020 proposal preparation I



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# 1. Proposal elements



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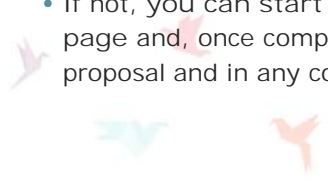


## Remember...Before starting...Register your organisation!

- If you want to participate in a project proposal, your organisation needs to be registered and have a 9-digit Participant Identification Code (PIC).
- You can verify whether your organisation is already registered and has a PIC on the Participant Portal 'Beneficiary Register' page:

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

- If not, you can start the registration process on the same page and, once completed, get the PIC to be quoted in your proposal and in any correspondence with the Commission.



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## Writing the proposal

### PART A - ADMINISTRATIVE INFORMATION

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

### PART B - TECHNICAL INFORMATION in PDF format

- The sections follow the evaluation criteria



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## General Proposal Structure and Length

Part A	Part B	Part B	
Online forms	Standard: RIA/IA	70 pages	Additional Information
	Standard: CSA	50 pages	
	ERC	25 pages	
	FET OPEN	16 pages	
	FET PROACTIVE	30 pages	
	MSCA (ITN/RISE)	30 pages	
	MSCA (Individual Fellowships)	10 pages	
	SME Phase I	10 pages	
	SME Phase II	30 pages	
Fast Track to Innovation	30 pages		

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## PART A: administrative forms

1. General information
2. Participants & contacts
3. Budget
4. Ethics
5. Call-specific questions

General Information

Type:  Page 1 of 16

Project title:

Project acronym:

Participant:

Partner:

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## PART B: research proposal

1. Excellence (science)
2. Impact
3. Quality and Efficiency of the Implementation
4. Members of the Consortium
5. Ethics and Security Issues

Proposal template (technical annex)

Research and Innovation actions  
Innovation actions

1. Introduction

2. Objectives

3. Work packages

4. Impact

5. Ethics and Security Issues

6. Budget

7. Other information

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## Writing the proposal: PART B 1-5

### 1: Excellence

- › 1.1 Objectives
- › 1.2 Relation to the work programme
- › 1.3 Concept and methodology
- › 1.4 Ambition

### 2. Impact

- › 2.1 Expected impacts
- › 2.2 Measures to maximise impact
- › Dissemination and exploitation of results
- › Communication activities

### 3. Implementation

- › 3.1 Work plan – work packages, deliverables
- › 3.2 Management structure, milestones and procedures
- › 3.3 Consortium as a whole
- › 3.4 Resources to be committed

### 4-5

- › 4 Members of the consortium
- › 4.1 Participants
- › 4.2 Third parties
- › 5 Ethics and Security
- › 5.1 Ethics
- › 5.2 Security

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## Part B: 3 Proposal Key Aspects = 3 Evaluation Criteria

### Excellence

Why do I want to conduct this project?  
What are my objectives? What is the basis?

### Impact

What will be the benefits during this project and beyond?

### Implementation

How will I conduct this project?

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## 2. Excellence

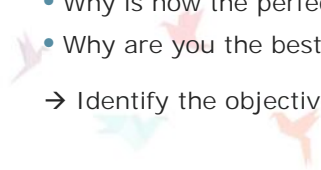


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### Part B: Excellence – First Page

#### 1.1. Objectives (of the project) – First page

- Imagine to be an evaluator...
    - Start with a short description of the Idea of your project
    - Create a picture in the evaluators' mind
  - What problem do you intend to solve?
  - Why should it be solved at European level?
  - Is the knowledge/solution already available?
  - Why is now the perfect time to do it?
  - Why are you the best person/consortium to do it?
- Identify the objectives of your project on the first page



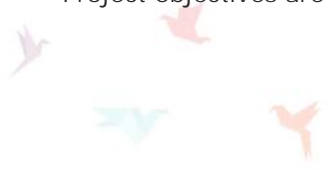
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## Part B: Excellence

### 1.1. Objectives (of the project)

- Core questions:
- What should be achieved (for the expected impact)?  
→ No description of the work plan (implementation)
- What problem/challenge should be addressed?
- What are the primary and secondary objectives? Do they match with the objectives of the topic?
- Counter-check topic text carefully
- Project objectives are linked to your concept and approach



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## Suggestion: Find a S.M.A.R.T objective

### Specific

- must meet the needs (problems) identified

### Measurable

- should be measured by concrete indicators which should reflect the extent to which they have been attained

### Achievable

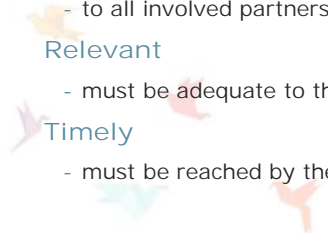
- to all involved partners

### Relevant

- must be adequate to the project socio-cultural environment

### Timely

- must be reached by the end of the project



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## Part B: Excellence

### 1.2 Relation to the work programme

- Mention the call identifier (e.g. ICT-01-2016)
- State how your project addresses Specific Challenge & Scope of the topic description
  - use a table to consider all important points
- Refer to EU strategies and policies
  - general overview on the topics of the EU:  
[https://europa.eu/european-union/topics\\_en](https://europa.eu/european-union/topics_en)

## Part B: Excellence

### 1.3. Concept and methodology – concept I

- Overall concept: Describe main ideas, models, hypothesis, and inter-disciplinary considerations
- Describe the positioning of the project e.g. where it is situated in the spectrum from 'idea to application', or from 'lab to market'. Refer to Technology Readiness Levels (TRL) where relevant.

## Part B: Excellence

### 1.3. Concept and methodology – concept II

- Describe any national or international research and innovation activities which will be linked with the project, especially where the outputs from these will feed into the project;
  - Are there synergies or complementarities without the projects?
  - How do you ensure an exchange with these projects/results?
  - What is the state-of-the-art? Are there previous results you build on?

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## Part B: Excellence

### 1.3. Concept and methodology – methodology

- Methodology is the approach of the project – not details of the methods used
- Explain the state-of-the-art of the technologies you use and why

Core Questions:

- ✓ How can I reach the objectives to solve the problem?
- ✓ What makes you the right consortium/person to solve it with this approach?
- ✓ Gender analysis: Check, if the gender perspective is necessary for your projects' success

→ Methodology is not a work plan

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## Do's...

### 1: Excellence

- › 1.1 Objectives
- › 1.2 Relation to the work programme
- › 1.3 Concept and methodology
- › 1.4 Ambition

- › Be ambitious, but stay realistic.
- › Choose appropriate methodology.
- › Put effort on describing the state-of-art and proof of concept.
- › Create links with previous networks/projects and relevant policies.
- › Engage interdisciplinary expertise.
- › Bring out the innovation potential.

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## ...and Dont's

### 1: Excellence

- › 1.1 Objectives
- › 1.2 Relation to the work programme
- › 1.3 Concept and methodology
- › 1.4 Ambition

- › Don't repeat something that is already done.
- › Don't hesitate to provide detailed description about your methodology, technical solutions etc. Superficial description of the processes is often brought out as a major shortcoming by evaluators.
- › If you have a novel approach – don't forget to describe it thoroughly and to support it with relevant references.

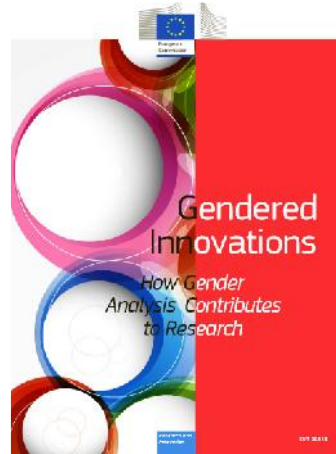
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## Gender dimension

For guidance on methods of sex / gender analysis and the issues to be taken into account, please refer to:

<https://ec.europa.eu/programmes/horizon2020/en/news/%E2%80%99Cgendered-innovations-how-gender-analysis-contributes-research%E2%80%9D>



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## 3. Impact

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## Part B: Impact

The extent of benefits for...

- Science
- Environment
- Society
- Technological progress
- Economy/competitiveness

• ...

→ Focus on Europe

→ Focus depends on type of action/Call

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## Part B: Impact

### 2.1 Expected impacts I

- Be specific! If possible, use quantitative statements
- In relation to the expected impact from the topic description– how can you contribute?
- You can use a table
- Explain the impact of the results of the objectives of the project, which goes beyond the topic description
- Go for scientific advances, innovation potential, competitiveness of Europe
- Discussion of potential barriers/obstacles, which might influence reaching the objectives. How would you deal with that?
- Be convincing for evaluators

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## Part B: Impact

### 2.1 Expected impacts II

- Who benefits from the results? Impact on the several stakeholders
- Think one step ahead: which further opportunities go beyond the direct impact?
- For future research?
- For market/competitiveness?
- Concerning EU context: Which EU policies, strategies and objectives do you support?
- Laws, market habits etc.
- Output should be concrete, but realistic

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## Part B: Impact

### 2.2a Dissemination and exploitation of results

- What exploitable results are expected?
- What are potential applications?
- Are the dissemination and exploitation strategies suitable?
- How will the results be made available?
- Timeframe and target groups for dissemination / exploitation?
- What skills do the partners have and how are they used?
- What are the tasks of the project management?

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## Part B: Impact

### Open Access (OA)

#### Green Open Access

- OA documents server (institutional or disciplinary)
- Publication up to 6 or 12 month later
- Consider copyrights

#### Gold Open Access

- First publication in OA-journal
- Publication fee (eligible in project budget)
- OA-journals: <http://doaj.org>

If you publish you have to use open access.  
Check <https://www.openaire.eu/>

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## Suggestion: communication, dissemination and exploitation plan

Key points to keep in mind:

- ✓ Context
- ✓ Goals
- ✓ Target
- ✓ Strategy
- ✓ Channels

Activities	Targeted audience	Objectives
Communication	Multiple audience	Inform and reach out of society, show the benefits of research
Dissemination	Audience that may make use of results	Enable use and uptake of results
Exploitation	Groups and entities that are making concrete use of results	Making use of results, for scientific, societal or economic purpose

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## Part B: Impact

### 2.2b Communication activities

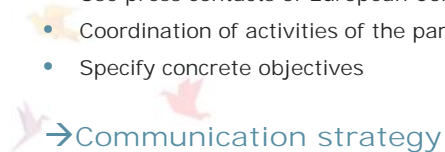
What can be done to promote your project and your results?

- Identify concrete target groups and targets
- Consistency with the Draft Plan for Dissemination and Exploitation
- Effective Management, clear responsibilities, reasonable resources
- Suitable devices and medium



## Examples for Communication Activities

- Think about target groups
- Logo, website, fact sheet, presentations, press release, newsletter, social media...
- Simple Language & Pictures
- Media/Journalists
- Material without copyright for distribution?
- Make use of all channels of communication
- Use press contacts of European Commission
- Coordination of activities of the partners
- Specify concrete objectives



→ Communication strategy

Horizon 2020 guidance: [http://ec.europa.eu/research/participants/data/ref/h2020/other/gm/h2020-guide-comm\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/other/gm/h2020-guide-comm_en.pdf)

## Do's and Dont's

### 2. Impact

- › 2.1 Expected impacts
- › 2.2 Measures to maximise impact
  - Dissemination and exploitation of results
  - Communication activities

- › Quantify as much as possible.
- › Use financial figures and develop a business model and/or business plan.
- › Elaborate a convincing commercialization plan.
- › Take into account all the expected impacts described in the topic.
- › Expected impacts should be derived and justified on previous results.
- › Plan a good cooperation with end users from the beginning of the project.
- › Involve policy makers, SMEs and industry in the proposal or plan a sustainable cooperation with them.

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## Do's and Dont's

- Describe industrial uptake of research results in details.
- Develop an excellent dissemination plan (with diverse dissemination measures).
- Address adequately and clearly explain dissemination of project results.
- Don't miss concrete market details: potential market volumes, which markets, specific products, prices, etc. Don't copy proposal parts (mainly IPR management) from your previous project proposals.
- Don't repeat (or copy) required impact from the call - develop your own proposal content.
- Don't confuse dissemination with communication or exploitation.

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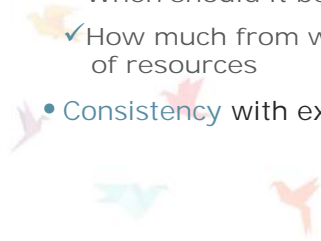
## 4. Implementation



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### Part B: 3. Implementation – 3.1. Work Plan – Work packages, deliverables

- Structure of the project and the stages, and the should present the interaction and description of all work packages
- Key questions:
  - ✓What should be done?
  - ✓What is it needed what for? Why
  - ✓When should it be done?
  - ✓How much from what?- intending to achieve on the basis of resources
- **Consistency** with excellence & impact!



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## Part B: 3. Implementation – 3.1. Work Plan – Work packages, deliverables

Please provide the following:

- brief presentation of the overall structure of the work plan
- timing of the different work packages and their components (Gantt chart or similar);
- detailed work description, i.e.:
  - ✓ a description of each work package (table 3.1a);
  - ✓ a list of work packages (table 3.1b);
  - ✓ a list of major deliverables (table 3.1c);
- graphical presentation of the components showing how they inter-relate (PERT chart or similar).

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## Suggestions for a good workplan

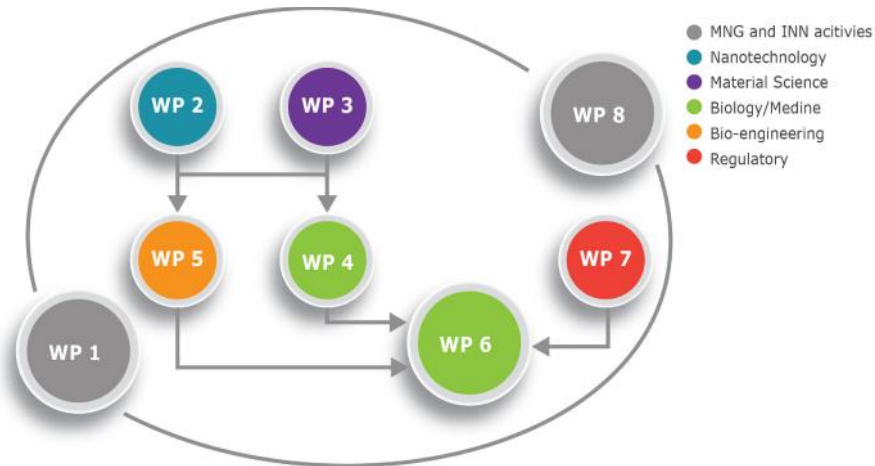
- a distinct work package on 'management' (see section 3.2)
- visibility in the work plan to 'dissemination and exploitation' and 'communication activities', either with distinct tasks or distinct work packages
- include an updated (or confirmed) 'plan for the dissemination and exploitation of results' in both the periodic and final reports
- Include a 'data management plan' as a distinct deliverable within the first 6 months of the project. (mandatory for innovation actions)

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## PERT Diagram: Work Package interrealtions



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## Suggestion: Milestones

- Are control points where decisions are needed with regard to the next stage of the project.
- For example, a milestone may occur when a major result has been achieved, if its successful attainment is required for the next phase of work.
- Another example would be a point when the consortium must decide which of several technologies to adopt for further development.



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## Part B, 3. Implementation – 3.2 Management structure, milestones and procedures

Key questions:

- How is the project managed? What project management experience is already available? Who is responsible?
- What is the decision making structure? Who is deciding with whom about what and how? Who has a vote or a veto? Does a risk or conflict management strategy exist? What is the mitigation procedure in critical situations?
- What is the internal communication structure?
- If relevant: How is innovation management addressed?
- What kind of quality management measures exist?
- What structures support the exploitation and dissemination of results?

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## Part B, 3. Implementation – 3.2 Management structure, milestones and procedures

- What harms the project implementation?
- What kind of measures can reduce risks? Is there a Plan B?
- Name an appropriate amount of risks

➤ Answer to possible concerns of evaluators!

Table 3.2b: Critical risks for implementation

Description of risk (indicate level of likelihood: Low/Medium/High)	Work package(s) involved	Proposed risk-mitigation measures

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## 5. Consortium

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### Part B, 3. Implementation – 3.3 Consortium as a whole

- How does the consortium as a whole reach the objectives?
- Complementarity of partners?
- Are you covering all objectives and impact of the topic?
- What does every single partner contribute to this? Does everyone have an appropriate and relevant role in the consortium?
- Do you have partners from third countries?
- Overview of competences of every partner organisation e.g. via a matrix of responsibilities
- Individual members are described in part 4 of the proposal

*Why this specific partner?*

*Key qualifications*

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## TIPs

- 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



## 6. Ethics





## How to complete your Ethics Self-Assessment

- Guide with information and advice on how to address ethics in research / Horizon 2020
- For ALL applicants (NOT only medical research)
- Fill-in the Ethics issues table in Part A of the submission system
- All ethics issues should be addressed in your proposal part B (specific section)!



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## Main ethics issues

1. Human embryos and fetuses
2. Human beings
3. Human cells/tissues
4. Personal data
5. Animals
6. Non-EU Countries
7. Environment & Health and Safety
8. Dual use
9. Exclusive focus on civil applications
10. Potential misuse of research results
11. Other issues (Ethics integrity)



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## 7. Proposal Submission

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### Electronic proposal submission system

Access to the electronic proposal submission system  
Create a proposal through the link on the topic page

#### Submission Service

To access the Electronic Submission Service of the topic, please select the **type of action** that is most relevant to your proposal from the list below and click on the 'Start Submission' button. You will then be asked to confirm your choice of the type of action and topic, as these cannot be changed in the submission system. Upon confirmation you will be taken to the proposal entry page.

To access existing draft proposals for this topic, please log in to the Participant Portal and select the My Proposals page of the My Area section.

Type of Action	Bio-based Industries Innovative action - Demonstration [BBI-IA-DEMO]	<a href="#">START SUBMISSION</a>
Topic	Improve sustainability of value chains based on forest biomass and increase productivity and profitability on supply side by adopting forest to climate changes - BBI-2016-D21	
Guidance on proposal submission:	<a href="#">H2020 ONLINE MANUAL</a>	
IT Guidance:	<a href="#">HOW TO</a>	

#### Get support

[H2020 Online Manual](#) your online guide on the procedures from proposal submission to managing your grant.

You need your  
EU Login



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## STEP 1 - Create a draft proposal

• EU Login  
 • Funding Scheme

## STEP 2 - Manage your partners

## STEP 3 - Edit your proposal

The screenshot shows the 'Edit Proposal' interface. At the top, there's a navigation bar with 'EDIT PROPOSAL' highlighted. Below it, the page title is 'Step 6 Edit Proposal'. A warning banner states: 'WARNING! This proposal contains proposals that have not yet been submitted'. There are buttons for 'edit forms', 'view history', and 'get & preview'. The 'Administrative Points' section indicates that the system will open forms in Adobe Reader. The 'Part D and Annexes' section allows users to upload the technical annex of the proposal in PDF format, with buttons for 'upload' next to 'Technical Annex', 'Supervisors Document', and 'Rights reserved document'.

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## STEP 4 - Submit your proposal

The screenshot shows the 'Submit' interface. At the top, there's a navigation bar with 'SUBMIT' highlighted. Below it, the page title is 'Step 6 Submit'. A green banner states: 'Your proposal has been successfully submitted'. Below this, it says: 'Your proposal was submitted on 13 January 2012 at 07:42:40 (Brussels Local Time) as part of the FP7-2012-NMP-ENV-ENERGY-ICT-EeB call, before the deadline of 02 February 2012 at 17:00:00 (Brussels Local Time). Your project ID is 602556. This number is important and will be used as future reference during the evaluation process.' There is a 'Revisit your Proposal' section with a 're-edit proposal' button. At the bottom, there are buttons for 'download' and 'withdraw proposal'.

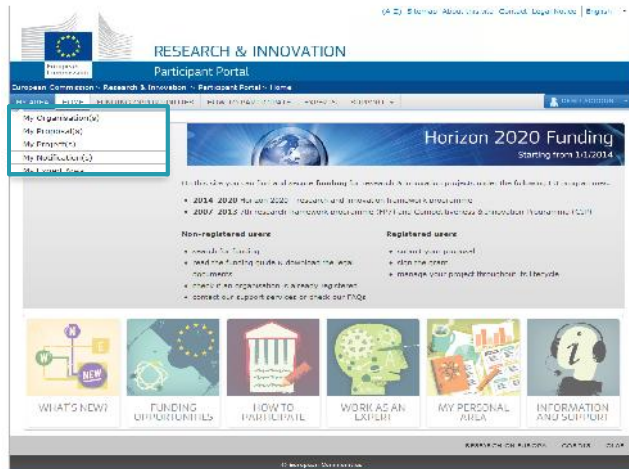
You still may...

- Re-edit the proposal
- Download the e-receipt
- Withdraw the proposal from this step

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## Participant Portal – “My AREA” (by EU Login)



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## Reference Documents

- Proposal template 2017-2018:  
[http://ec.europa.eu/research/participants/data/ref/h2020/call\\_ptef/pt/2016-2017/h2020-call-pt-ria-ia-2017-18\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/call_ptef/pt/2016-2017/h2020-call-pt-ria-ia-2017-18_en.pdf)
- Gender Dimension:  
[http://ec.europa.eu/research/science-society/gendered-innovations/index\\_en.cfm](http://ec.europa.eu/research/science-society/gendered-innovations/index_en.cfm)
- Guidance available on the Participant Portal Horizon 2020 Online Manual (Ethics section):  
[http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/ethics\\_en.htm](http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/ethics_en.htm)
- Dissemination of the results: [http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management/dissemination-of-results\\_en.htm](http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management/dissemination-of-results_en.htm)
- Ethics in Horizon 2020:  
[http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/ethics\\_en.htm](http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/ethics_en.htm)
- Guides on dissemination and communication:  
[http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management/dissemination-of-results\\_en.htm](http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management/dissemination-of-results_en.htm)  
[http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management/communication\\_en.htm](http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management/communication_en.htm)

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Participant Portal

<http://ec.europa.eu/research/participants/portal/>

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