Overview

1. Proposal elements
2. Excellence
3. Impact
4. Implementation
5. Consortium
6. Ethics
7. Proposal submission
8. Exercise
How does it work?

Be selected & Get involved!

Submit a proposal

Find partners

Find a relevant call (in the work programme)

OPEN Competition + Peer Review

12 facts you need to know about Horizon 2020 proposal preparation:

1. Funding opportunities published in the Participant Portal

2. Proposal submission in response to “calls for proposals” only

3. Typically calls open annually

4. Calls open at different times
12 facts you need to know about Horizon 2020 proposal preparation II

5. Calls are open for at least 3 months

6. Calls describe in detail what is expected from the applicants

7. Call template defines structure for proposal

8. Proposals consist of an administrative and descriptive part

12 facts you need to know about Horizon 2020 proposal preparation III

9. Proposal structure is oriented towards evaluation criteria

10. One-stage or two-stage proposal submission

11. Online proposal submission only

12. Time to grant max. 8 months
1. Proposal elements

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:
- 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.
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

General Proposal Structure and Length

<table>
<thead>
<tr>
<th>Part A</th>
<th>Part B</th>
<th>Part B</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Online forms</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Standard: RIA/IA</td>
<td>70 pages</td>
<td></td>
</tr>
<tr>
<td>Standard: CSA</td>
<td>50 pages</td>
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<tr>
<td>ERC</td>
<td>25 pages</td>
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<tr>
<td>FET OPEN</td>
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<tr>
<td>FET PROACTIVE</td>
<td>30 pages</td>
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<tr>
<td>MSCA (ITN/RISE)</td>
<td>30 pages</td>
<td></td>
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<tr>
<td>MSCA (Individual Fellowships)</td>
<td>10 pages</td>
<td></td>
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<tr>
<td>SME Phase I</td>
<td>10 pages</td>
<td></td>
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<tr>
<td>SME Phase II</td>
<td>30 pages</td>
<td></td>
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<tr>
<td>Fast Track to Innovation</td>
<td>30 pages</td>
<td></td>
</tr>
<tr>
<td><strong>Additional Information</strong></td>
<td></td>
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</tr>
</tbody>
</table>
PART A: administrative forms

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

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
## 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

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

<table>
<thead>
<tr>
<th>Excellence</th>
<th>Why do I want to conduct this project? What are my objectives? What is the basis?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Impact</td>
<td>What will be the benefits during this project and beyond?</td>
</tr>
<tr>
<td>Implementation</td>
<td>How will I conduct this project?</td>
</tr>
</tbody>
</table>
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
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

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
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?

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
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.

...and Don’t’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.
Gender dimension

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


3. Impact
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

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**
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

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?
## 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](http://doaj.org)

If you publish you have to use open access. Check [https://www.openaire.eu/](https://www.openaire.eu/)

## Suggestion: communication, dissemination and exploitation plan

**Key points to keep in mind:**
- **Context**
- **Goals**
- **Target**
- **Strategy**
- **Channels**

<table>
<thead>
<tr>
<th>Activities</th>
<th>Targeted audience</th>
<th>Objectives</th>
</tr>
</thead>
<tbody>
<tr>
<td>Communication</td>
<td>Multiple audience</td>
<td>Inform and reach out of society, show the benefits of research</td>
</tr>
<tr>
<td>Dissemination</td>
<td>Audience that may make use of results</td>
<td>Enable use and uptake of results</td>
</tr>
<tr>
<td>Exploitation</td>
<td>Groups and entities that are making concrete use of results</td>
<td>Making use of results, for scientific, societal or economic purpose</td>
</tr>
</tbody>
</table>
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
Do’s and Don’ts

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.

Do’s and Don’ts

• 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.
4. Implementation


- 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!

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).

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)
Work Plan

Table 2.1: Work package description

<table>
<thead>
<tr>
<th>Work package</th>
<th>Work plan table</th>
<th>Work plan table note</th>
</tr>
</thead>
<tbody>
<tr>
<td>Description of task</td>
<td>Description of task</td>
<td>Description of task</td>
</tr>
</tbody>
</table>

M: Meeting; SC: Steering Committee; D: Deliverables

Gantt Chart: work over time

M: Meeting; SC: Steering Committee; D: Deliverables
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.
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?

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>
<thead>
<tr>
<th>Description of risk (indicate level of likelihood: Low/Medium/High)</th>
<th>Work package(s) involved</th>
<th>Proposed risk mitigation measures</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>
5. Consortium

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
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
Already checked in the A-Forms

Importance of Research Ethics in Horizon 2020

Research ethics is crucial for all scientific domains (NOT only in Life Sciences). For example:

- Data protection & Privacy
- Dual use issues
- Environmental risks and safety issues
- Research integrity aspects

In Horizon 2020, all proposals considered for funding will be submitted to an Ethics Review procedure.

Only proposals that comply with ethical principles and legislation may receive funding!
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)!

Main ethics issues

1. Human embryos and foetuses
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)
7. Proposal Submission

Electronic proposal submission system

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

You need your EU Login
STEP 1 - Create a draft proposal

- EU Login
- Funding Scheme

STEP 2 - Manage your partners
STEP 3 - Edit your proposal

You still may...
- Re-edit the proposal
- Download the e-receipt
- Withdraw the proposal from this step

STEP 4 - Submit your proposal

You still may...
- Re-edit the proposal
- Download the e-receipt
- Withdraw the proposal from this step
Participant Portal - “My AREA” (by EU Login)

Reference Documents

- Proposal template 2017-2018:

- Gender Dimension:

- Guidance available on the Participant Portal Horizon 2020 Online Manual (Ethics section):

- Dissemination of the results:

- Ethics in Horizon 2020:

- Guides on dissemination and communication:

Join Now!

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Participant Portal
http://ec.europa.eu/research/participants/portal/