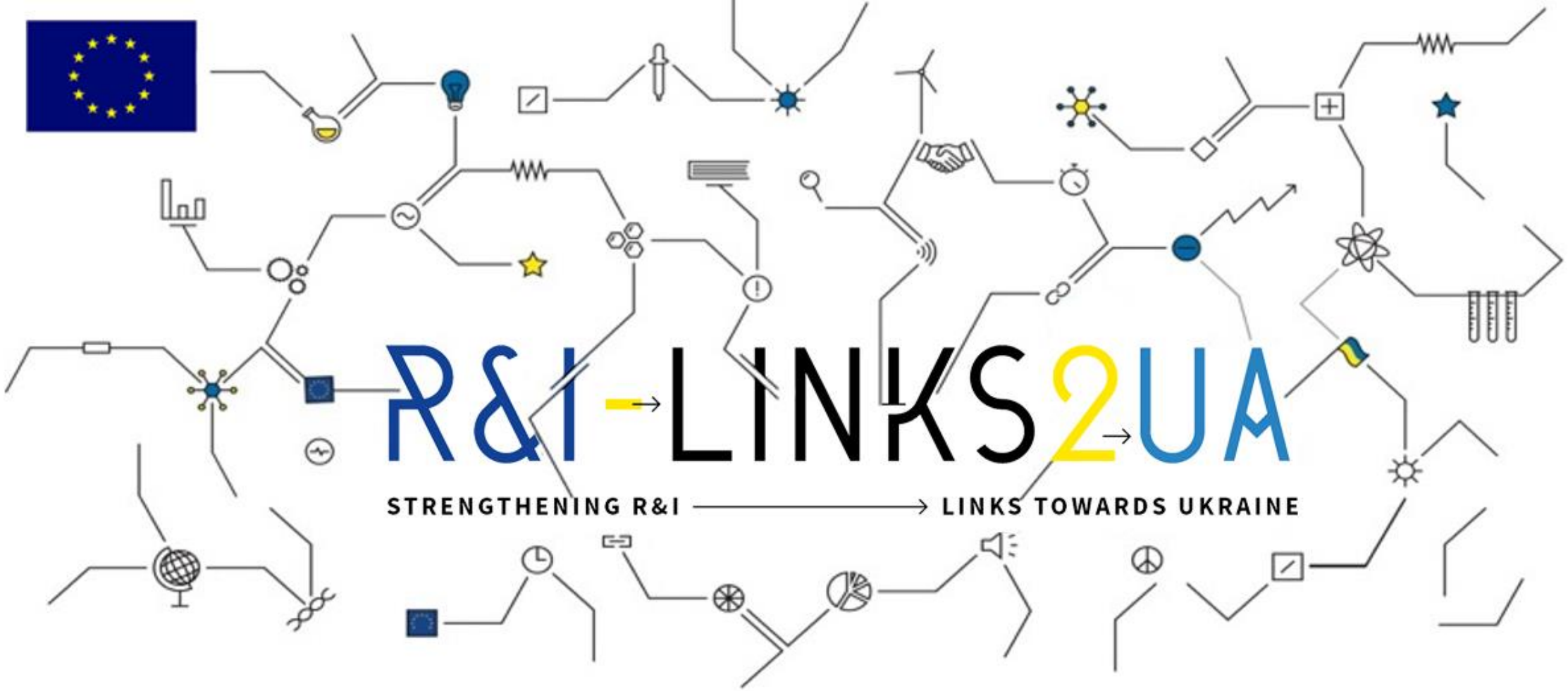


Training:
How to write a successful proposal in Horizon 2020
8 June, 2017, Kyiv

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):**

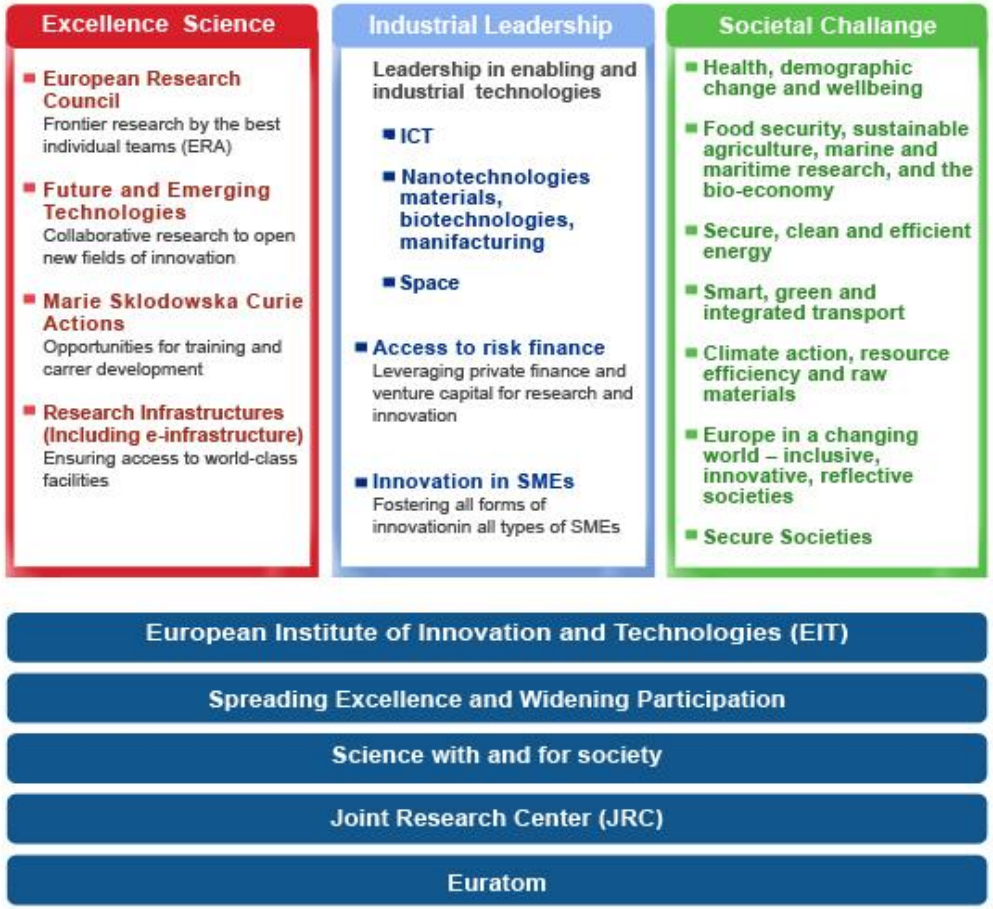
Spreading Excellence and Widening Participation

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)



What's the current state of play in Horizon 2020?

- Multi-annual work-programmes: sets out the schedule and call topics for funding opportunities over a 2 year period
- The Commission is currently refining the calls for 2018/19/20 through its 'programme committee' structure
- Scoping Papers for 2018/2019/2020 Work-programmes are available: **http://h2020.com.ua/uk/**

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

3 Internet portals related to Horizon 2020:

- **RESEARCH on EUROPA** → **policy context**
  http://ec.europa.eu/research
- **PARTICIPANT PORTAL** → **interactions with participants**
  http://ec.europa.eu/research/participants/portal
- **CORDIS** → **dissemination of results**
  http://cordis.europa.eu

Practical Information

Participant Portal – one-stop shop

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

- **Topics**
- **Documents**
- **Rules for participation**
- **Online manual**
- **E-submission**

Horizon 2020 Documents
http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html
Horizon 2020 On-line Manual
http://ec.europa.eu/research/participants/portal/desktop/en/funding/guide.html
Questions? Research Enquiry Service: *http://ec.europa.eu/research/enquirie*
EC OA website
http://ec.europa.eu/research/swafs/index.cfm?pg=policy&lib=science
Open Access Resources (Netvibes – EC Central Library)
http://www.netvibes.com/open-access
+ in Ukrainian
Horizon 2020 Ukraine National Portal: http://h2020.com.ua

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**

H2020 uses two approaches to funding

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 Action[1]	Code	Minimum Conditions[2]	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%[3]	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[4] (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	- recognise past achievements - induce future activities
SME Instrument	SME	1 SME in MS/AC	3 phases: • Phase 1: lump sum of € 50K / project • Phase 2: € 1 - 2.5M / project (1-2 years) (70% of eligible costs reimbursed) • Phase 3 : no funding			combination of demonstration activities (testing, prototyping, ...), market replication
Fast Track to Innovation	FTI	≤ 5 legal entities from 5 MS/AC	70%[3]	tbd	≤ € 3.0M	produce plans & arrangements or designs for new, altered or improved products, processes or services

[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 Skłodowska Curie Actions

Source: https://www.euresearch.ch

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

BUT Be realistic

Start small and work up:
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

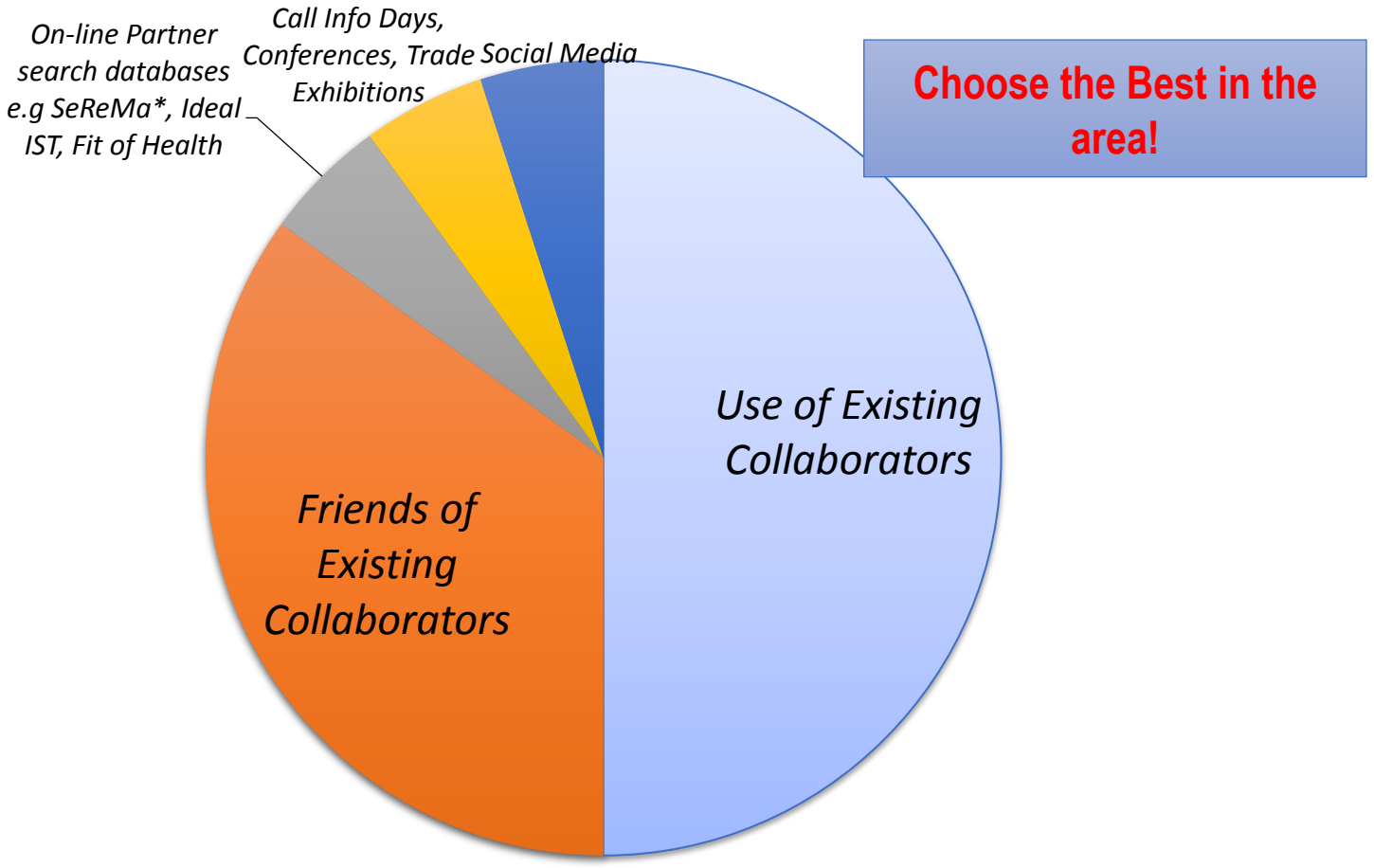
Finding partners

•Use existing contacts with experience of EU funding programs

•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: http://cordis.europa.eu/projects/home_en.html

•Use social media (e.g. LinkedIn forums)



*http://www.security-research-map.eu/

Partner Search

Partner search tools

Partner search NCPs CaRE http://partnersearch.ncps-care.eu/index.php?index=6	Dedicated to Horizon 2020 Societal Challenge "Climate action, environment, resource efficiency and raw materials"
CORDIS partner search platform https://cordis.europa.eu/partners/web/guest	In particular for research & development projects
Enterprise Europe Network cooperation opportunities database http://een.ec.europa.eu/tools/services/SearchCenter/Search/ProfileSimpleSearch	Includes both business and technology offers and requests

Social media

LinkedIn group "Environment projects & partner search – EASME" https://www.linkedin.com/groups/7001906	In particular for applicants for Horizon 2020 and LIFE projects

Partnering events

Annual Information Day & Brokerage event in Brussels https://ec.europa.eu/easme/en/horizon-2020-information-day-climate-action-environment-resource-efficiency-raw-materials	Dedicated to Horizon 2020 Societal Challenge "Climate Action, Environment, Resource Efficiency & Raw Materials"
Brokerage events organised by the Enterprise Europe Network http://een.ec.europa.eu/tools/services/SearchCenter/Search/EventSimpleSearch?nolayout=true	Often back-to-back with key trade fairs and conferences

National Contact Points

National Contact Points http://ec.europa.eu/research/participants/portal/desktop/en/support/national_contact_points.html	Personalised support & assistance in partner search in applicants' own languages

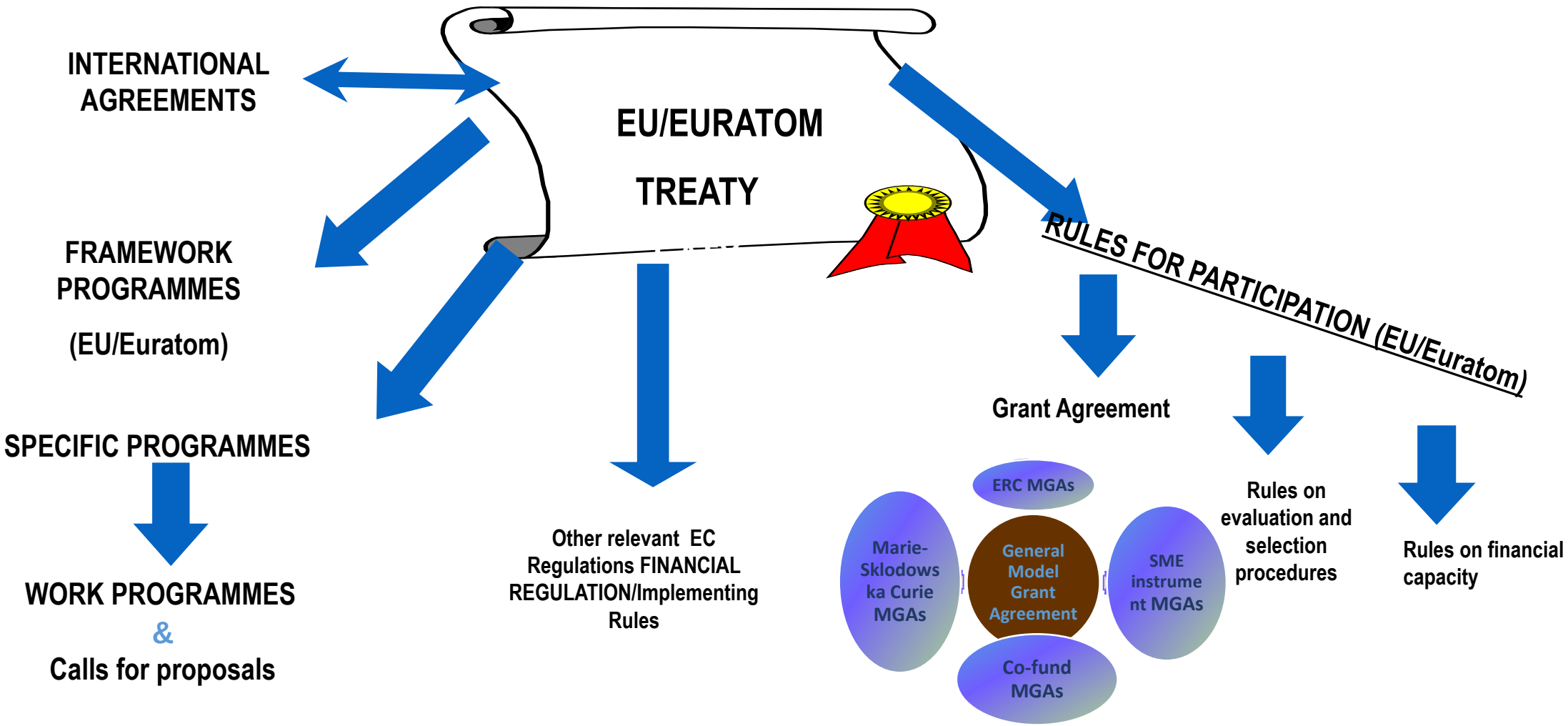
Databases of previous and ongoing projects

CORDIS project database http://cordis.europa.eu/projects/home_en.html	Projects funded under Horizon 2020 as well as previous research framework programmes
Horizon 2020 SME Instrument https://ec.europa.eu/easme/en/sme-instrument-projects	Innovation by small and medium-sized companies in the fields of eco-innovation & sustainable supply of raw materials, and environment & climate action
Eco-innovation projects http://ec.europa.eu/environment/eco-innovation/projects/	Market launch of innovation in the buildings & construction, food & drink, greening business, water and recycling sectors
LIFE projects http://ec.europa.eu/environment/life/project/Projects/index.cfm	EU funded projects on environment, resource efficiency, biodiversity and climate action

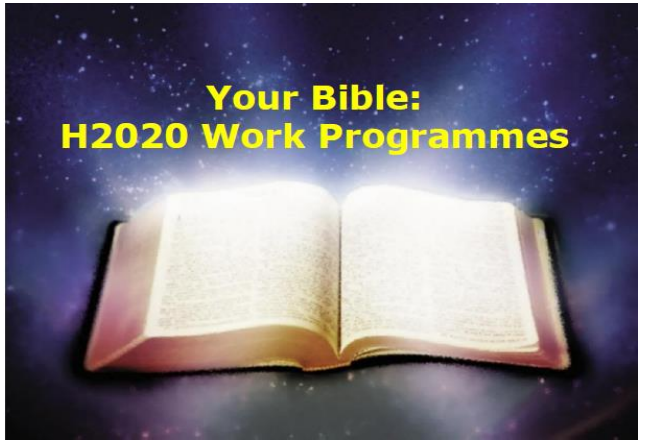
+

- Bilateral contacts
- Bilateral projects
- Young researchers
- Brokerage events
- **International conferences/ workshops**

Legal Framework



The importance of the Work Programme



Work Programme may:

•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

General Annexes

•List of countries, and applicable rules for funding
•Standard admissibility conditions for grant proposals, and related requirements
•Standard eligibility criteria
•Types of action: specific provisions and funding rates
•Specific requirements for innovation procurement (PCP/PPI) supported by Horizon 2020 grants
•Rules of Contest (RoC) for Prizes
•Technology readiness levels (TRL)
•Evaluation
•Budget flexibility
•Classified Information
•Financial support to third parties

Read carefully

- It is crucial you understand the call topic: read between-the-lines to assess the call aims
- Remember: no separate call fiches in H2020 – all details including call
- Dates and deadlines are in the Work Programmes which are thus critically important documents
- H2020 calls are structured in a new way under the headings of:
- **Specific challenge: sets the context, the problem to be addressed,** why EU intervention is necessary
- **Scope: delineates the problem, specifies the focus and boundaries of** the potential action but without overly describing specific approaches
- **Expected impact: describes key elements of what is expected to be** achieved in relation to the specific challenge

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-gga-multi_en.pdf

+ in the On-line Manual http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html#h2020-mga

Annotated Model of Grant Agreement

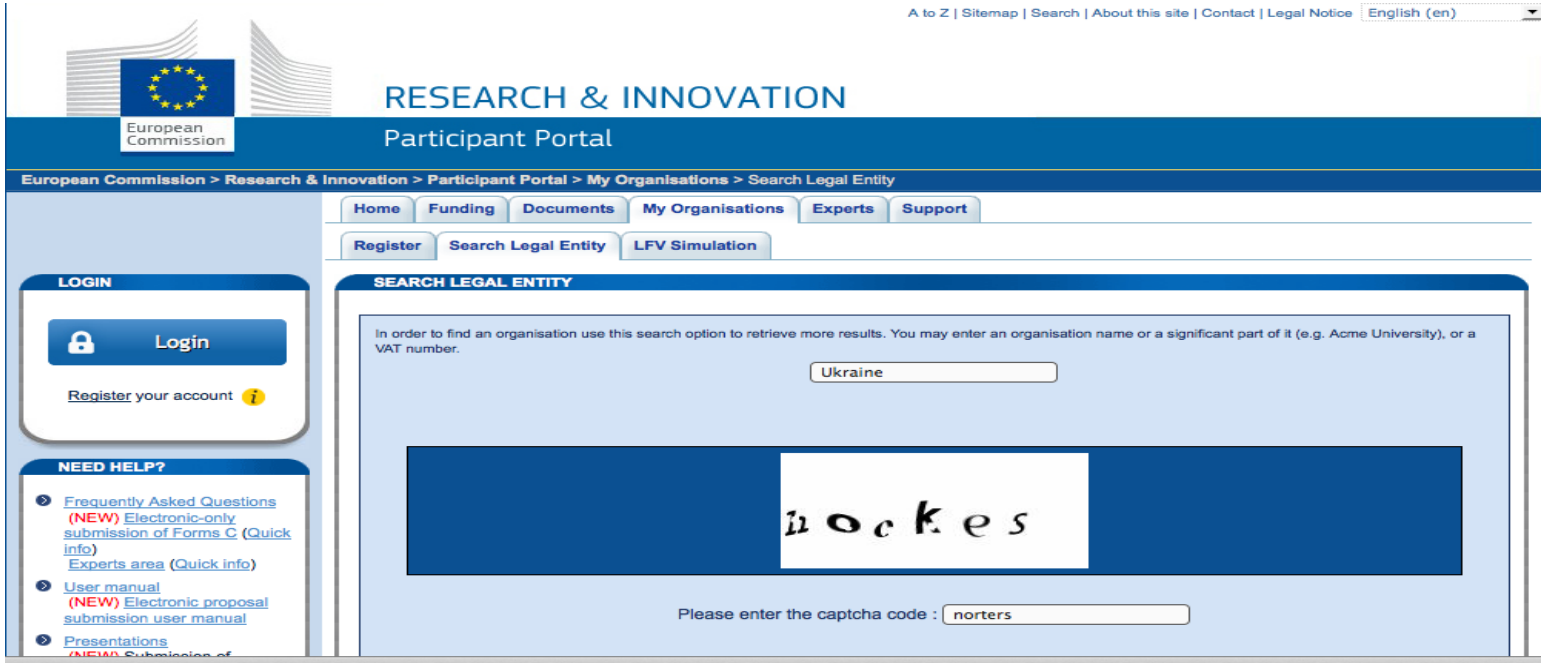
http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf

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).

Consortium agreements

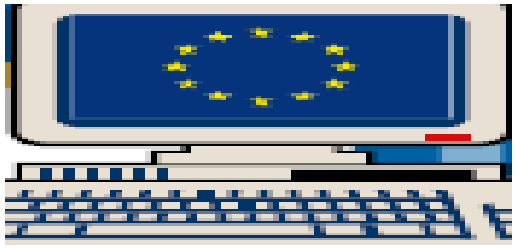
- Consortium agreement mandatory unless specified in call for proposals
- If mandatory, required before signature of the Grant Agreement
- Internal organisation of the consortium, including clear distribution of tasks, financial arrangements (e.g. pre-financing), settlement of disputes (e.g. nonperformance), 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/

PIC organization code



http://ec.europa.eu/research/participants/portal/page/searchorg

Electronic Submission



Electronic Submission System accessed from the call page

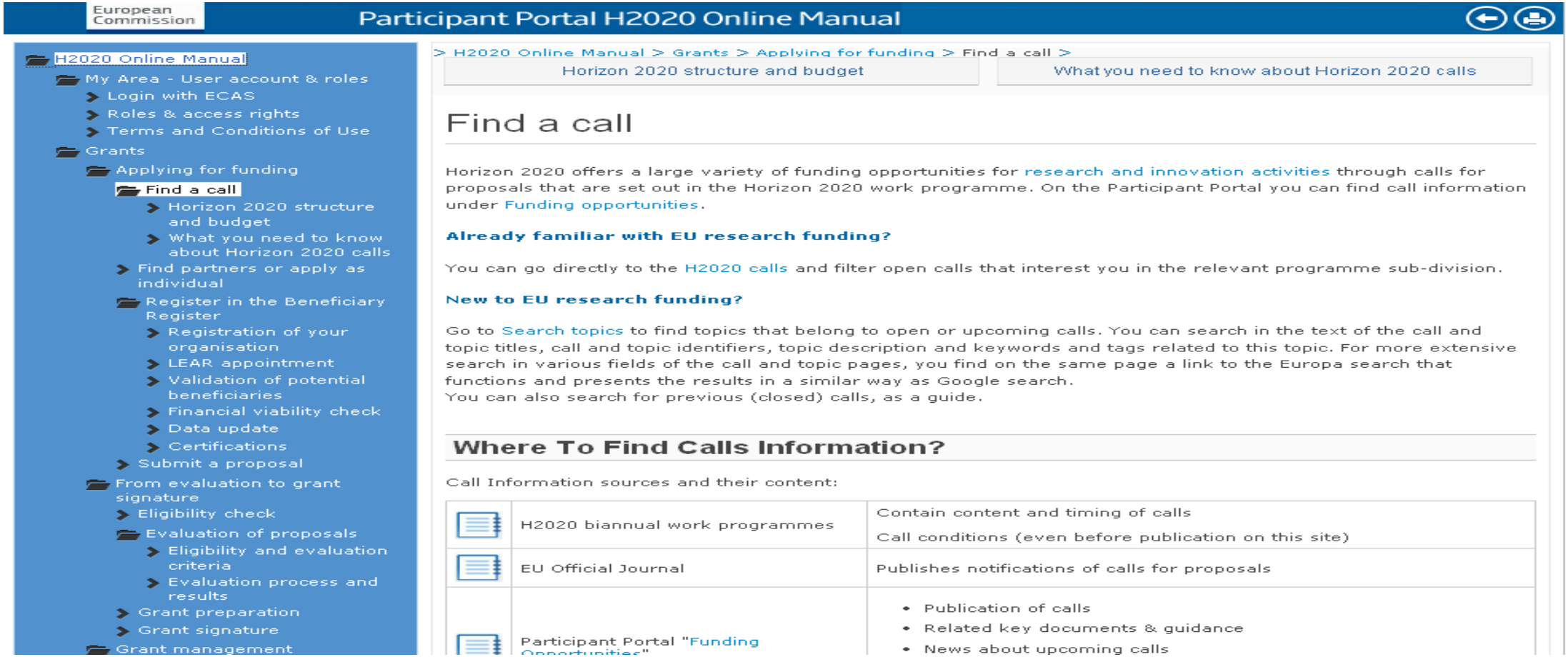
- ECAS password
- PICs for all partners
- Prepare proposal,
- On-line for structured part
- Upload non-structured part -pdf file(s)
- Submit the proposal!
- Validation checks
- Complete submission, before the 17h00 deadline

Submission failure rate = +1%

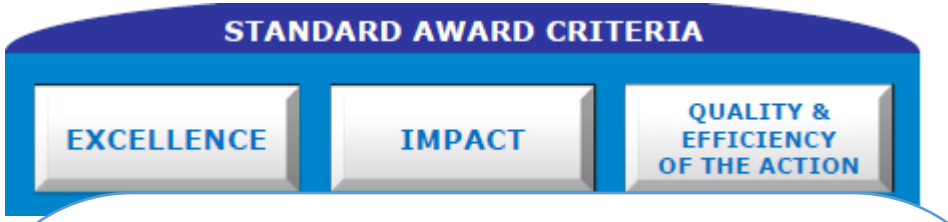
Only reason for failure; waiting till the last minute

- *Technical problems*
- *Panic-induced errors (uploading the wrong proposal)*
- *Too late starting upload, run out of time*

H2020 Online Manual
http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/applying-for-funding/find-a-call_en.htm



Evaluation criteria



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.

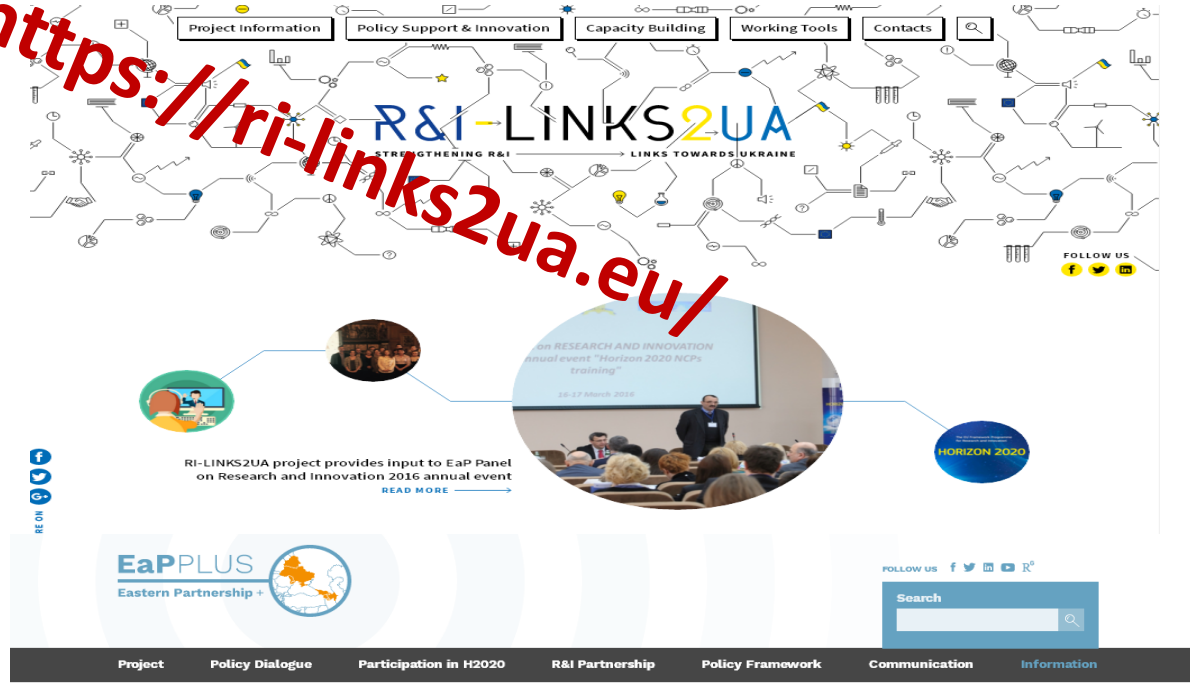
3. **Quality and efficiency of implementation**
   - Coherence and effectiveness of work plan, … allocation of tasks, resources;
   - Competences, experience and complementarity of the individual participants, as well as of the consortium as a whole;
   - Appropriateness of the management structures and procedures….risk management.

First stage considerations in RED

- **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**

Projects of support

https://ri-links2ua.eu/



https://www.eap-plus.eu/

http://www.increast.eu

Thank you for your attention!

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NCPs/Ukraine

Financial & Legal Issues

Access to Risk Finance

R&I-LINKS2UA
STRENGTHENING R&I → LINKS TOWARDS UKRAINE