



# Training on EU proposals preparation

Christophe Cotillon - ACTIA

# First questions



- Project **objective** ?
- **Innovative** nature ?
- **Strategy** & **impact** ?
- Why the **European dimension** ?
- Required **skills** ?
- **Means & actions** to implement ?



# European dimension

- **Innovative nature that goes beyond the state-of-the-art**
  - **European partnership approach - Multi-actors and complementarity**
  - **Competitive impact, market**
  - **Sharing results**
- « An **innovative** project with a **European dimension** more adapted to EU funds than national or regional funds »



# Why EU funding?

## Horizon 2020 – think European!

- Bring your own project idea into practice
- Influence research policies
- Networking on a European level
- New markets and value chains
- European leadership through development of new technologies
- Tailored funding for SMEs (SME-Instrument)
- Time-to-grant only 8 months
- Funding rate up to 100% (plus 25% overhead)

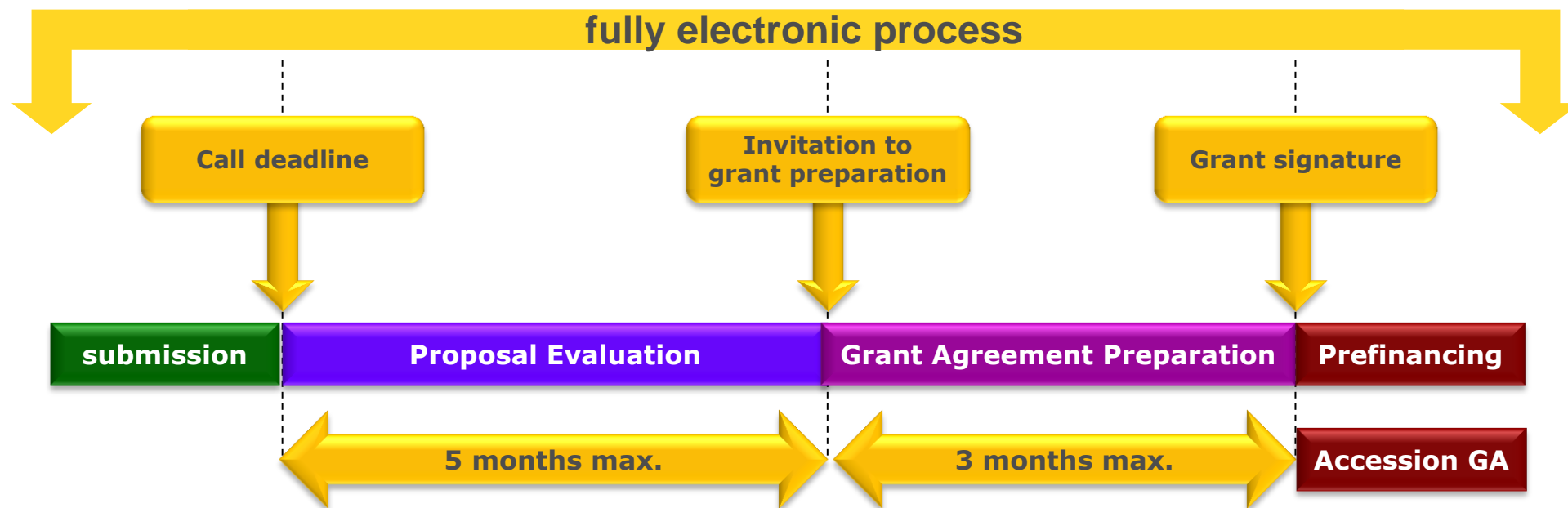
# Does my idea fit into EU funding ?



## Yes, if...

- the project idea is **innovative**
- the project has an **European added-value**
- the project (or product) addresses a **European or global market**
- the project duration will be between ~ 2 and 5 years (**medium/long-term** planning period)
- the international **visibility** of your organisation shall be increased
- You want to **cooperate** with **international partners** from different sectors and fields of expertise in Europe (added-value through networks)
- **Know-how and intellectual property** can be shared with other partners to reach project goals
- the applicant has strategic interest in placing innovative products or services on the **European market**

## H2020 Grant Agreement Preparation – the process overview



- Maximum five months from call closure date to end of evaluation - until the date of informing applicants
- Maximum three months to prepare grant agreement from the date of inviting (informing) applicants until the signature of the grant agreement

# Identifying the right call and the right topic



- Select the best call

*Participant portal :*

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

*Ask for help (contact the NCP network)*

- Read carefully the work programme

*Topic*

*Type of project (Funding scheme)*

- Verify the eligibility

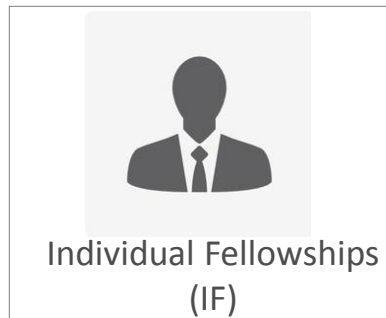
# Horizon 2020 – proposal preparation



- For each person: create an ECAS account (European Commission Authentication Service):  
<https://webgate.ec.europa.eu/cas/eim/external/register.cgi>
- For a coordinator: create a proposal for the selected call on the Participant Portal and invite your partners; mandatory: „Participant Identification Code“ (PIC) from all partners  
[http://ec.europa.eu/research/participants/portal/doc/call/fp7/fp7-ict-2013-10/33018-obtaining\\_pic\\_and\\_ecas\\_en.pdf](http://ec.europa.eu/research/participants/portal/doc/call/fp7/fp7-ict-2013-10/33018-obtaining_pic_and_ecas_en.pdf)



# Selected funding schemes in Horizon 2020





# Horizon 2020 – Research & Innovation Actions; Innovation Actions

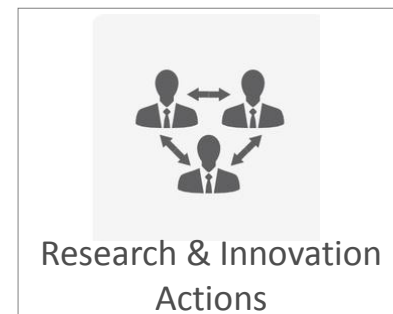
- Always top-down (research topic is pre-defined by the European Commission)
- **Multi-annual** Work Programmes with draft versions published already several months before official launch – enough time for proposal preparation
- One-stage procedure and two-stage procedure (depending on call)
- Participant Portal: one gate for all steps

<https://ec.europa.eu/research/participants/portal/desktop/en/opportunities/h2020/index.html>



# Research & Innovation Actions (RIA)

- Cross-border cooperation in Europe activities aiming to establish new knowledge
- Explore the feasibility of a new or improved technology, product, process, service or solution
- RIA may include basic and applied research, technology development and integration, testing and validation on a small-scale prototype in a laboratory or simulated environment
- Projects may contain closely connected but limited demonstration or pilot activities aiming to show technical feasibility in a near to operational environment
- Goal: strengthening Europe's leadership in key areas of research and technology
- Top-down topics





# Innovation Actions (IA)

- Cross-border cooperation in Europe activities aiming to establish new knowledge
- Activities directly aiming at producing plans and arrangements or designs for **new, altered or improved products, processes or services**
- Projects may include prototyping, testing, demonstrating, piloting, large-scale product validation and market replication
- Reimbursement rate (direct costs): 70% (100% for non-profit entities)
- Same goal as for RIAs: strengthening Europe's leadership in key areas of research and technology
- Top-down topics



Innovation Actions



# Coordination and Support Actions (CSA)

- Research supporting activities for the networking of stakeholders from science, economy, politics and society
- Main activities: conferences, seminars, studies, political dialogues or joint initiatives, standardisation and dissemination of research results, communication actions
- Eligible costs: staff, travel costs, organisational costs, consumables, depreciation costs of investment in technical machinery, devices, infrastructure
- Top-down topics





## Funding rates / HORIZON 2020

	Research & Innovation RIA	Innovation  IA
<b>Public or governmental administration (local, regional or national), Research groups at universities, Research institutions</b>	100% eligible costs	100% eligible costs
<b>SME</b>	100% eligible costs	70% eligible costs
<b>Big Companies</b>	100% eligible costs	70% eligible costs

# Topic content

## **Title: SFS-13-2015: Biological contamination of crops and the food chain**

### **Content**

**Specific challenge:** The occurrence of biological contamination in various crops is of major concern as it has major implications for food and feed safety, food security and international trade. Worldwide, it is estimated that mycotoxins are responsible for losses of up to 5-10% of crop production. Contaminations are due to a series of events including weather conditions, possible climate change effects, land use, crop management and varieties as well as harvest and post-harvest techniques. Integrated approaches rather than isolated solutions are required to effectively control the incidence of mycotoxins in crops and reduce contamination throughout the feed and food chains.

**Scope:** Proposals should aim at reducing the risk of mycotoxin contamination in crops and all along the feed and food chains. They should bring about technical, management and organisational solutions (including HACCP techniques) that are effective at the various stages of production as well as at pre- and post-harvest levels and also deal with the safe use of contaminated batches. Proposals should take into account the development of ICT solutions as well as reliable and cost effective control tools to policy-proposed solutions. Proposals should benefit conventional and organic supply chains and fall under the concept of 'multi-actor approach'<sup>34</sup> and allow for adequate involvement of the farming sector in proposed activities. In line with the objectives of the EU strategy for international cooperation in research and innovation and in particular with the implementation of the EU-China dialogue, proposals are encouraged to include third country participants, especially those established in China<sup>35</sup>.

The Commission considers that proposals requesting a contribution from the EU in the range of EUR 3–5 million would allow this specific challenge to be addressed appropriately. Nonetheless, this does not preclude submission and selection of proposals requesting other amounts.

### **Expected impact**

- a toolkit (plant resources, management tools, technologies) to effectively monitor and reduce the incidence of mycotoxin contaminants in crop production as well as in the food and feed supply chains.
- contribution to legislation and standard setting
- safe use options for contaminated batches
- reduced occurrence of mycotoxin contamination in crops in order to improve productivity and competitiveness of European agriculture and food sectors.
- reduced risks for human and animal health, and thus increase consumer confidence in agro-food products.

**Type of action:** Research and innovation actions



# Building a consortium



- Which partners?  
(industries, federations, Researchers, professors, ...)
- How to find partners:  
networking, info days, contact persons, data bases
- Size of the consortium  
Adapting it to the type of project & budget
- Complementarity  
Role & contribution of each partner





## Management of the partnership

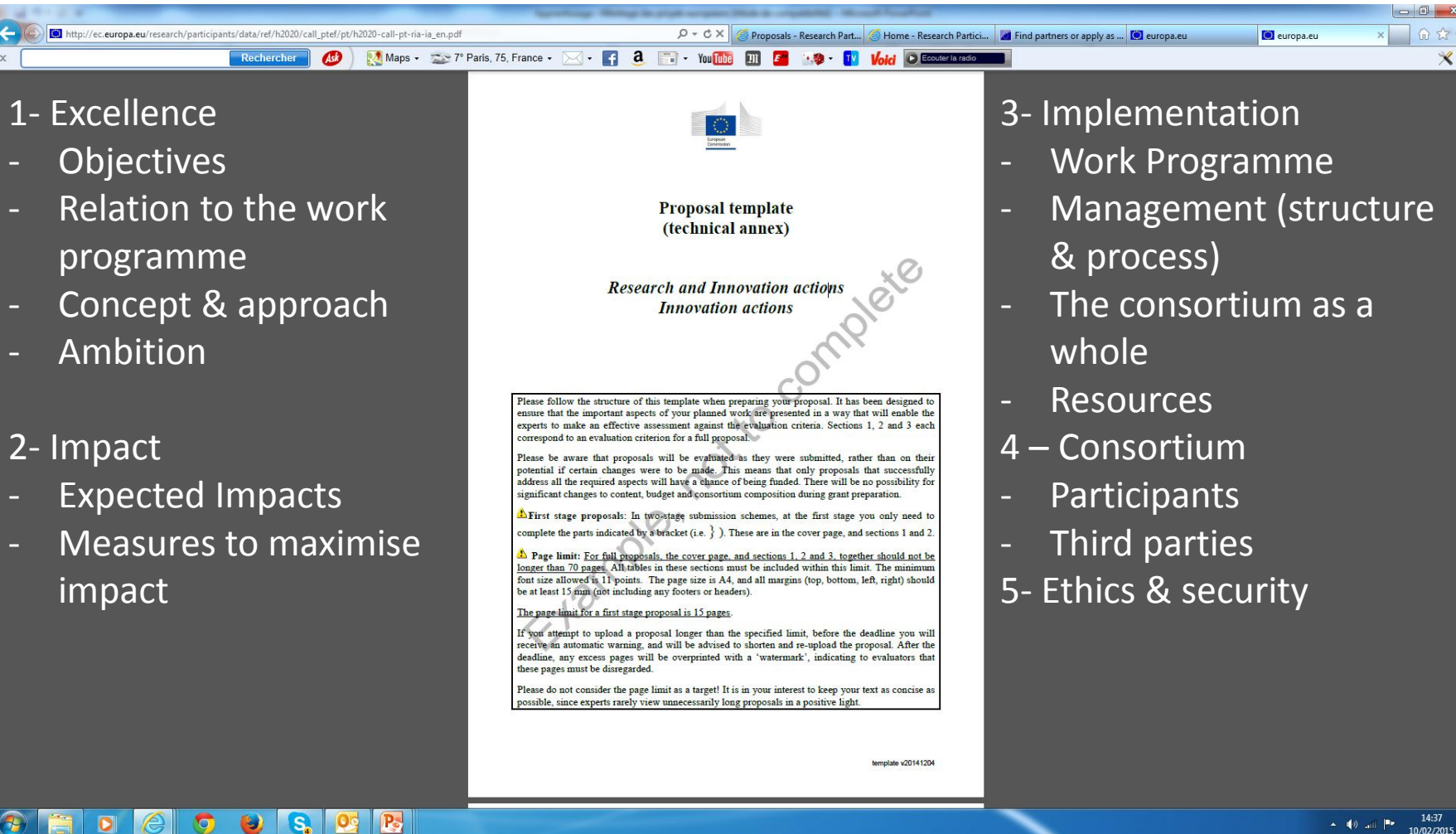
- **Before the project writing : Confidential Agreement**
- **Coordinator or partner ?**
- **Before the beginning of the project : Consortium Agreement signed before the Grant Agreement**



# Intellectual Property Rights

Access conditions on H2020	Access rights to « background » (pre-existing knowledge)	Access rights to « foreground » (New knowledge)
For <b>project execution</b>	Free ; exception if there's an agreement <b>before signing the contract</b>	Free of charge
To <b>promote the results</b>	Fair & reasonable	Conditions

# PROPOSAL SUBMISSION: CONTENT



1- Excellence

- Objectives
- Relation to the work programme
- Concept & approach
- Ambition

2- Impact

- Expected Impacts
- Measures to maximise impact

3- Implementation

- Work Programme
- Management (structure & process)
- The consortium as a whole
- Resources

4 – Consortium

- Participants
- Third parties

5- Ethics & security

**Proposal template (technical annex)**

*Research and Innovation actions*

Please follow the structure of this template when preparing your proposal. It has been designed to ensure that the important aspects of your planned work are presented in a way that will enable the experts to make an effective assessment against the evaluation criteria. Sections 1, 2 and 3 each correspond to an evaluation criterion for a full proposal.

Please be aware that proposals will be evaluated as they were submitted, rather than on their potential if certain changes were to be made. This means that only proposals that successfully address all the required aspects will have a chance of being funded. There will be no possibility for significant changes to content, budget and consortium composition during grant preparation.

**First stage proposals:** In two-stage submission schemes, at the first stage you only need to complete the parts indicated by a bracket (i.e. { }). These are in the cover page, and sections 1 and 2.

**Page limit:** For full proposals, the cover page, and sections 1, 2 and 3, together should not be longer than 70 pages. All tables in these sections must be included within this limit. The minimum font size allowed is 11 points. The page size is A4, and all margins (top, bottom, left, right) should be at least 15 mm (not including any footers or headers).

The page limit for a first stage proposal is 15 pages.

If you attempt to upload a proposal longer than the specified limit, before the deadline you will receive an automatic warning, and will be advised to shorten and re-upload the proposal. After the deadline, any excess pages will be overprinted with a 'watermark', indicating to evaluators that these pages must be disregarded.

Please do not consider the page limit as a target! It is in your interest to keep your text as concise as possible, since experts rarely view unnecessarily long proposals in a positive light.

template v20141204

Evaluation criteria (RIAs und IAs)		
1. Excellence (33%)	3. Quality and efficiency of the implementation (33%)	2. Impact (33%)
<ul style="list-style-type: none"> <li>▪ Clarity and pertinence of the objectives</li> <li>▪ Credibility of the proposed approach</li> <li>▪ Soundness of the concept, including trans-disciplinary considerations, where relevant</li> <li>▪ Extent that proposed work is ambitious innovation, which is beyond the state of the art (e.g. groundbreaking objectives, novel concepts and approaches)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks and resources;</li> <li>▪ Complementarity of the participants within the consortium (when relevant)</li> <li>▪ Appropriateness of management and risk management.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Enhancing innovation capacity and innovation of new knowledge</li> <li>▪ Stimulating business and growth opportunities by developing innovations meeting the needs of European and global markets; and, where relevant, by delivering such innovations to the markets</li> <li>▪ Any other environmental and socially important impacts (not already covered above)</li> <li>▪ Effectiveness of the proposed measures to exploit and disseminate the project results (including management of IPR), to communicate the project, and to manage research data.</li> </ul>
Maximum 5 Points	Maximum 5 Points	Maximum 5 Points

**Important: criterion „Impact“ in Innovation Actions multiplied with the factor 1.5!**

# Relevant Scientific & Technical objectives

- Relevance :
  - To the objectives of the work programme,
  - To EU policies
- Innovation capacity: an exhaustive **state-of-the-art** (even the projects financed)
- Project structure : **tasks, workpackages, deliverables, milestones**



# Consider TRL – Technology Readiness Level (if required)

- TRL 1 – basic principles observed
- TRL 2 – technology concept formulated
- TRL 3 – experimental proof of concept
- TRL 4 – technology validated in lab
- TRL 5 – technology validated in relevant environment (industrially relevant environment in the case of key enabling technologies)
- TRL 6 – technology demonstrated in relevant environment (industrially relevant environment in the case of key enabling technologies)
- TRL 7 – system prototype demonstration in operational environment
- TRL 8 – system complete and qualified
- TRL 9 – actual system proven in operational environment (competitive manufacturing in the case of key enabling technologies; or in space)



# Impact

- Impact at different levels:  
Society, well-being, etc.  
Employment, markets,  
contribution to EU policies ...
- Plan for the dissemination and exploitation of results – business plan
- Value-added at EU level



# Budget calculation

- Multi-beneficiary Annotated General Grant Agreement

[http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/amga/h2020-amga\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf)

Participant	Country	(A) Direct personnel costs/€	(B) Other direct costs/€	(C) Direct costs of sub- contracting/€	(D) Direct costs of providing financial support to third parties/€	(E) Costs of In-kind contributions not used on the beneficiary's premises/€	(F) Indirect Costs / € (=0.25(A+B-E))	(G) Special unit costs covering direct & indirect costs / €	(H) Total estimated eligible costs / € (=A+B+C+D+F +G)	(I) Reimburse- ment rate (%)	(J) Max. grant / € (=H*I)	(K) Requested grant / €
		?	?	?	?	?	?	?	?	?	?	?
BAYERISCHE FORSCHUNG	DE	0	0	0	0	0	0	0	0	70	0	0
Total		0	0	0	0	0	0	0	0		0	0

- Template (Excel) for the budget calculation: ask BayFOR





# Budget calculation

- Start early and communicate with the Coordinator about your needs
- Calculate your budget as detailed as possible
- Use the Multi-beneficiary Annotated General Grant Agreement
- Speak with your administrative staff
- Avoid rough estimations
- Think about travel costs to meetings and conferences, room rental costs, catering costs, costs for dissemination activities and dissemination material



# Eligible Costs

- **DIRECTS COSTS :**

*Direct personnel*

*Travel*

*Other goods & services*

*Equipment : amortisation*

*subcontracting*

**Reimbursement to the real costs identified for the project**

- **INDIRECTS COSTS (OVERHEADS) :**

General services (telephone charges & photocopies, office supplies and petty office equipment, consumables, maintenance, general facilities management...)



## H2020 Grant Agreement Preparation & Negotiation

Your proposal is taken "as is"

- The Grant Agreement (GA) is prepared on the basis of the proposal selected for funding
- Proposals are evaluated on their merit and not on their potential

**BUT** this does not mean "no change at all"

- Changes to meet legal and/or financial requirements (eligibility)
- Changes that are necessary:
  - Requirements resulting from ethics review or security scrutiny
  - Due to removal of a participant (if agreed)
  - Correction of clerical errors and obvious inconsistencies



## Project start

**When?** Select a consensual date

**Why?** Reporting after 18 and 36 months (summer holiday and Christmas season)

*Art. 11 GA: This GA shall enter into force after its signature by the coordinator and the Commission, on the day of the last signature.*

The duration of the *project shall be xx months from [the first day of the month after the entry into force of the grant agreement] [insert fixed start date].*



# Project execution

- Meetings (kick-off meeting, ...)
- Project Management : *Scientific, financial & administrative, communication*
- Payments
  - *Pre-funding*
  - *Interim payments based on the financial statements validated*
  - *Payment of the balance*

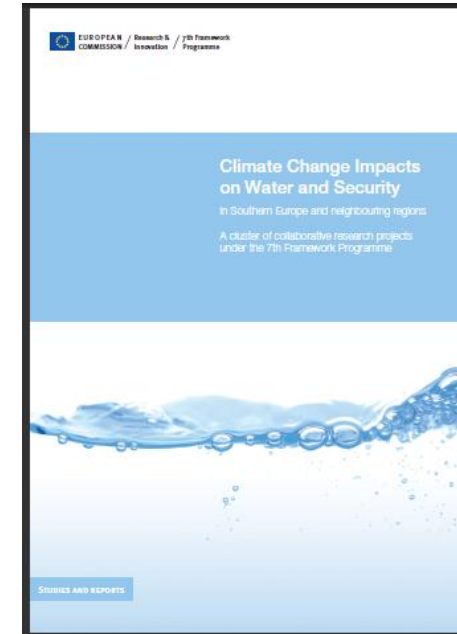


## Don't forget dissemination...

*Dissemination = communication on project developments and results to:  
scientific community, stakeholders and general public*

### For example through...

- Scientific publications
- Exchange with other projects
- Workshops for stakeholders
- Public and press relations
- ...





## Dissemination vs. Communication...

*Under Horizon 2020, the EU tends to differentiate between:*

**Dissemination** = focus on communication into the scientific community

**Communication** = focus on other stakeholders and general public

# ... and why do you need dissemination?

## What the EU wants

Projects have to reach, among others, the following stakeholders:

- **Citizens**  
Need to understand the direct benefit they have out of European-funded research projects (new products and services, new jobs, etc.)
- **Industry**  
Needs to translate results quickly into new applications and bring new products and services to market
- **Politicians**  
Should take most recent research results into consideration for concrete policy planning and implementation

**Via dissemination, the impact of a project is to be increased!**



Picture: Fotolia





## Further tips (1)

- Choose a good coordinator
- Establish a good communication between the consortium partners
- Be aware of the time (which is always limited) and start as soon as possible
- Be aware of the large time effort for proposal writing
- Start early with the partner search
- Develop a time table, partners should commit to this time table
- Early contact to organisations and persons who can support you



## Further tips (2)

- Take enough time to read and analyse Call text and further documents
- Use templates and respect given formatting from the EC
- Organise a meeting with all project partners for scientific and financial discussions and proposal writing
- Proposals have to be written in English – find a native speaker who can proofread the documents
- „Commitment“ of partners to scientific content
- If necessary, request a Letter of Commitment / Non-disclosure agreement from partners



## Where can I get support?

Enterprise Europe Network (EEN)

National Contact Points (NCP)

Universities/Research Organisations:  
EU offices