FORMS

PROPOSAL

PART A
Administrative

PART B
Technical
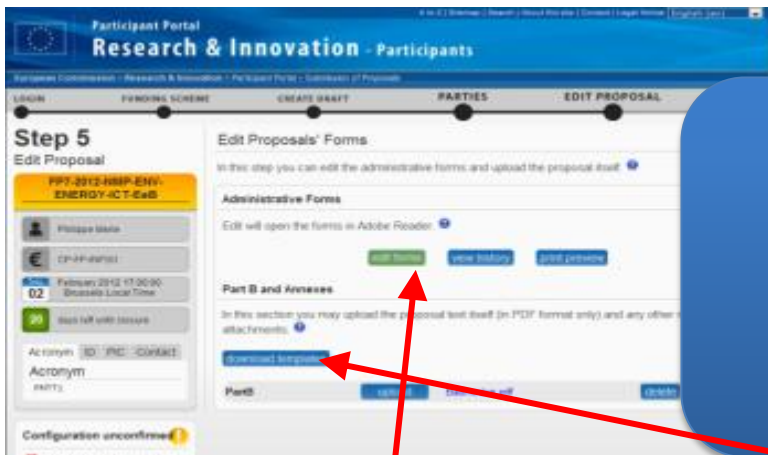
Single stage

PARTE A

1) General Information

2) Participants & Contacts

3) Budget

4) Ethics

Template pdf online on the Participant Portal

PARTE B

1) Excellence
    1.1) Objectives
    1.2) Relation to the Work Programme
    1.3) Concept and Approach
    1.4) Ambition
2) Impact
    2.1) Expected impacts
    2.2) Measures to maximize the impact
        - Dissemination and exploitation of results
        - Communication activities
3) Implementation
    3.1) Work plan — Work packages, deliverables and milestones
    3.2) Management structure and procedures
    3.3) Consortium as a whole
    3.4) Resources to be committed
4) Members of the consortium
    4.1) Participants (applicants)
    4.2) Third parties involved in the project (including use of third party resources)
5) Ethics and Security

Word Document downloadable from the Participant Portal

70 pages

Evaluation criteria

Excellence	Impact	Quality and efficiency of the implementation

Detailed aspects of evaluation depend on the type of action

5	5	5

Criterion 1
Scientific and Technological Excellence

Research Proposal (Part B) - Structure

1. ## Excellence

2. **Impact**

3. **Implementation**

   3.1 Work plan — Work packages, deliverables and milestones *(tables)*
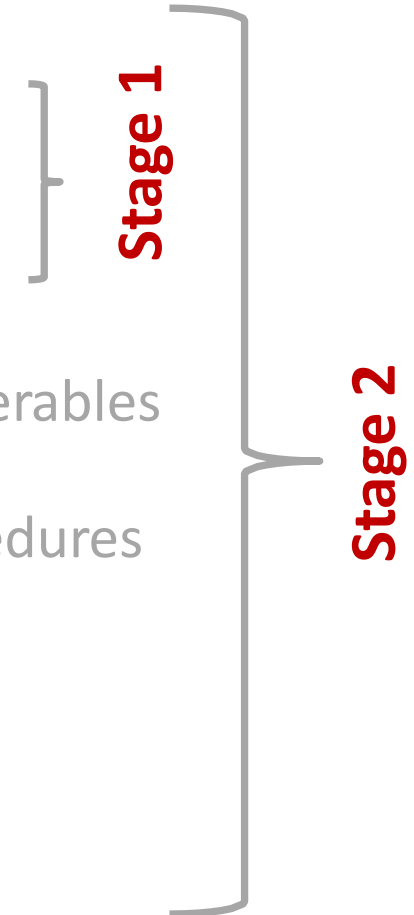
   2. Management structure and procedures

   3. Consortium as a whole

   4. Resources to be committed

4. **Members of the Consortium** *(no page limit)*

5. **Ethics and Security**

Stage 1

Stage 2

Excellence – 4 Subcriteria to adress

1. Objectives
2. Relation to the work programme
3. Concept and approach
4. Ambition

How are the subcriteria judged?

1. Excellence

Note: The following aspects will be taken into account, to the extent that the proposed work corresponds to the topic description in the work programme:

- **Clarity and pertinence of the objectives;**
- Credibility of the proposed approach;
- **Soundness of the concept, including trans-disciplinary considerations, where relevant;**
- **Extent that proposed work is ambitious, has innovation potential, and is beyond the state of the art (e.g. ground-breaking objectives, novel concepts and approaches).**

Comments:

1.1 Objectives

What the EC expects

"Describe the **specific objectives** for the project, which should be clear, measurable, realistic and achievable within the duration of the project."
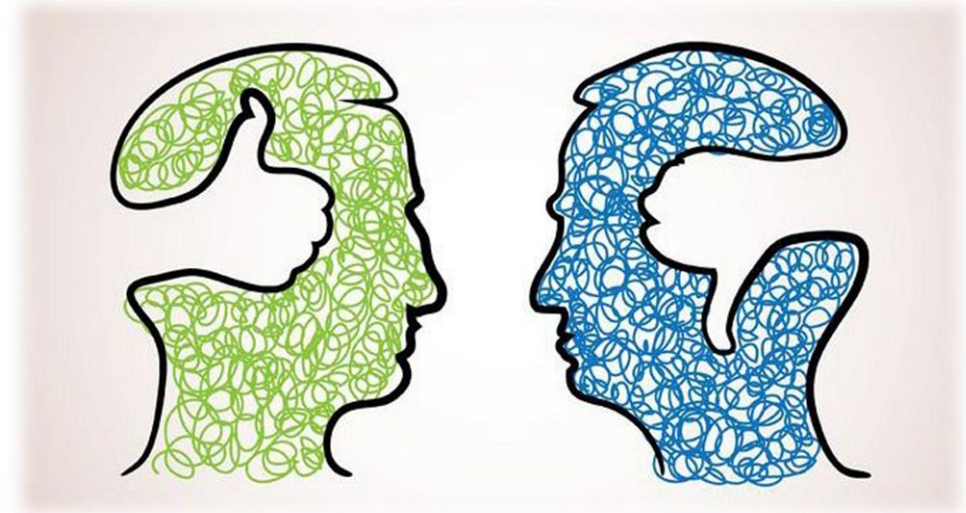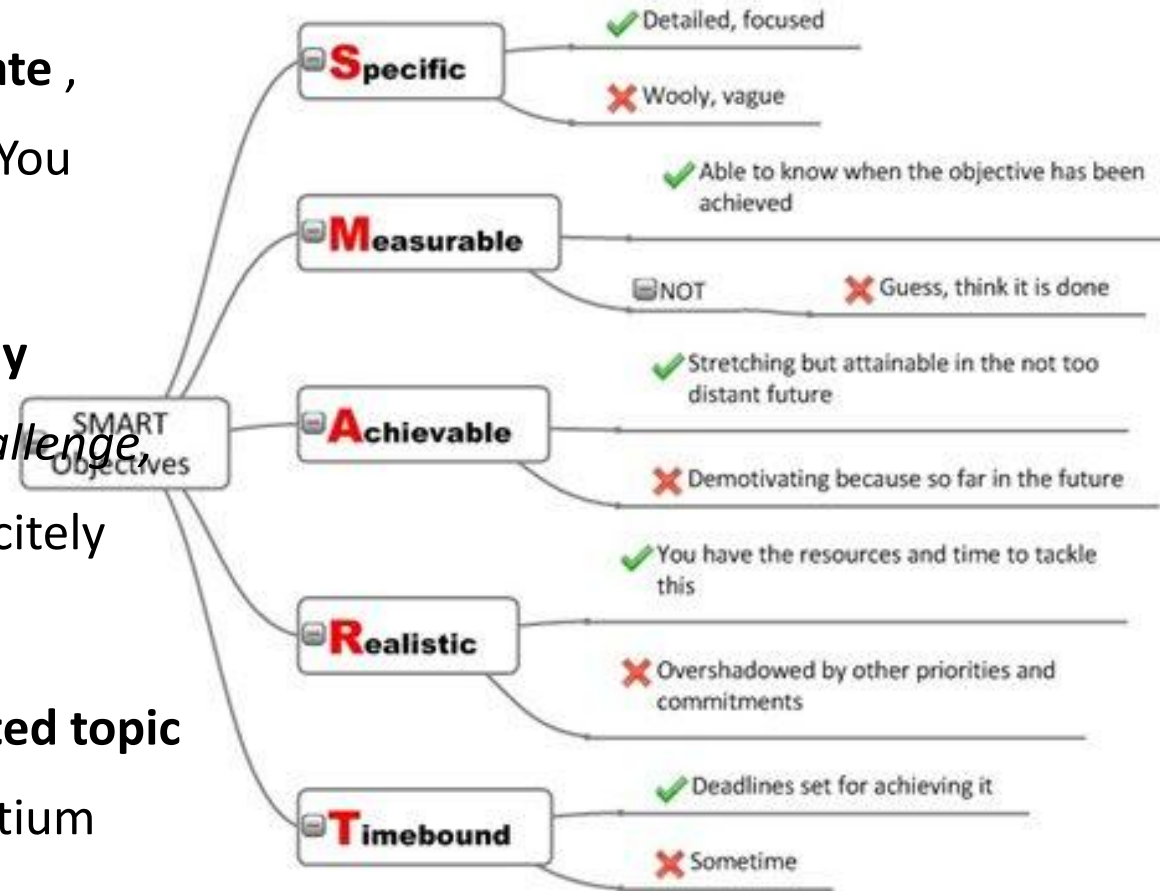
"Objectives should be **consistent with the expected exploitation and impact** of the project (see section 2)"

1.1 Objectives
What is advised

• There is usually **one main**, overarching goal ("*overall objective*") and **several subordinate** , more specific goals ("*specific objectives*"). You should list both.

• The **project objectives are usually already included in the topic text** (see: *specific challenge, scope, expected impact*.), sometimes explicitly listed, sometimes more implicit.

→ The objectives are a **result of the selected topic and the *concept and approach*** the consortium has chosen for its project.

SMART Objectives

Specific
- ✓ Detailed, focused
- ✗ Wooly, vague

Measurable
- ✓ Able to know when the objective has been achieved
- NOT ✗ Guess, think it is done

Achievable
- ✓ Stretching but attainable in the not too distant future
- ✗ Demotivating because so far in the future

Realistic
- ✓ You have the resources and time to tackle this
- ✗ Overshadowed by other priorities and commitments

Timebound
- ✓ Deadlines set for achieving it
- ✗ Sometime

1.2 Relation to the work programme

"Your proposal must address a work programme topic for this call for proposals."

Template: *"Indicate the work programme topic to which your proposal relates, and explain **how your proposal addresses the specific challenge and scope** of that topic, as set out in the work programme."*

There are different ways and structures how to answer this, often this section is about 1/3 to ½ page. Many proposals just make a **table**, list all relevant elements of the topic text and then show how they plan to deal with them in the project.

Note: the right question is: **How does the proposal adress the issues raised? And not: how exactly is the approach?**

What is advised

• The concept of the project should be **based on a certain model/ hypothesis/ assumption** that should be clearly stated and elaborated.

• The reader is expecting **facts, figures, numbers**, e.g.,

❑ Incidence rates of the conditions to be treated, severeness with regards to overall mortality, life expectancy, quality of life, etc.

❑ Current (insufficient) treatment options and their drawbacks.

❑ Groundbreaking findings that have lead to the hypothesis that an alternative way might be suitable – best if partners of the applying consortium have contributed to these findings, (incl. references, preliminary results etc.)

→ The concept is still **quite general and does not go too much into scientific detail** with regards to the "how"

What is advised

✓ Show the evaluators **how your project connects to the rest of the world**.

✓ EC and evaluators want to make sure that with the public funding money, **you are not going to reinvent the wheel**, but that you cross- fertilize with recent an ongoing projects in the field.

✓ Best, if **partners in the consortium have already close links to these other projects**, e.g., because they participate there as well, and that exchange of know-how will be realized.

✓ If not, **create a plan how this could be done** (e.g. take other projects in your advisory group etc.).

1.3 Concept and approach

What is advised

➢ Here, it is NOT about **gender balance** in the consortium, but about SCIENCE.

➢ What would be **scientific/ medical reasons for having a closer look at gender**?.

➢ Is the condition you are going to work with known for **gender differences**, e.g., in symptoms, treatment options, mortality, success rates etc. ? Or do you have a hypothesis?

➢ **How are you going to address this** in your approach and methodology?

What the EC expects

"Describe the **advance** your proposal would provide **beyond the state-of-the-art**, and the extent to which the proposed work is ambitious. Your answer could refer to the ground- breaking nature of the objectives, concepts involved, issues and problems to be addressed, and approaches and methods to be used."

"Describe the **innovation potential** which the proposal represents. Where relevant, refer to **products and services** already available on the market. Please refer to the results of any patent search carried out."

Messages for applicants

Useful Tips

1. Many applicants have difficulties to formulate their objectives.
2. A**sk yourself: does chapter 1 of the proposal create curiosity and stimulates to carry-on reading?.**
3. Does the **layout** encourage reading (with pleasure)?.
4. Check **consistency** across chapter 1, and across entire proposal.
5. Are **abbreviations** explained (when first occurring)?.
6. Are **figures** self-explanatory (applicants tend to have too many figures in chapter 1, and also the wrong figures!).
7. Take an Helicopter view on the proposed project: **do you get all required information? What is missing? What is overdone?.**

8. Do **not write a scientific paper for a high-ranked peer reviewed journal** (but list them as references, if you have).

9. Remember for whom you're writing – with very broad topics, the evaluation panel will be mixed with **different experts that may not know the particular condition**, treatment or technology in detail.

10. Take the readers by the hand and **guide them through the proposal.**

11. Help evaluators go through your proposal quickly; **follow the template and adress all points** at the place they are expected to be.

12. Create a logical **link between objectives, workpackages and deliverables.**

13. Do **not work to fill the 70 pages!** Work to get your ideas across!

Criterion 2
Impact

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Reminder: Template Part B

2. Impact

1. Expected impacts   } 1st stage

2. Measures to maximize impact

    a) Dissemination and exploitation of results

    b) Communication activities

2nd stage

Subcriteria evaluated under Impact

2. Impact

Note: The following aspects will be taken into account, to the extent to which the outputs of the project should contribute at the European and/or International level:

- **The expected impacts listed in the work programme under the relevant topic;**
- 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, and where relevant, by delivering such innovations to the markets;
- Any other environmental and socially important impacts;
- 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 where relevant.

Comments:

Impact – expectations from the EC

2.1 Expected impacts

Describe how your project will contribute to:
o   the expected impacts set out in the work programme, under the relevant topic

Example
PHC 10 – 2014: Development of new diagnostic tools and technologies: in vitro devices, assays and platforms

Expected impact:
oInnovative, more accurate, more reliable and cost effective in vitro diagnostic tools and technologies for earlier disease diagnosis, patient stratification and/or prognosis of disease outcome leading to improved clinical decisions and health outcomes.
oContribution to the sustainability of health care systems.
oGrowth of the European diagnostics sector, in particular for SMEs.

Messages for applicants

- **What is the benefit of your project?** (the benefit for SMEs becomes more and more important!).

- Think about the expected **impact in the topic text / work programme.**

- Who are the **users of your results?.**

- How will your **project/results strenghten the competitiveness?.**

- What is the **social / societal benefit?.**

- How will the project **support EU-policies?.** (in particular for research, innovation, health, biotech, environment, society, etc.):
  - *Did you consider those political aspects that are announced in the work programme?*
  - *How will the project help to contribute to the goals for the Europe 2020 strategy?*
  - *Why will Europe need the project? What is the added value?*

  Please consider enough time and discussion for all the different aspects around this task

Impact part 2.2

What the EC expects
2.2 Measures to maximize impact

a) Dissemination and exploitation of results

o Provide a draft '**plan for the dissemination and exploitation of the project's results**' (unless the work programme topic explicitly states that such a plan is not required). Path to deliver the innovations to the market. Business Plan (where relevant).

o Dissemination and exploitation measures should **address the full range of potential users and uses** including research, commercial, investment, social, environmental, policy making, setting standards, skills and educational training.

Impact – Dissemination & Exploitation
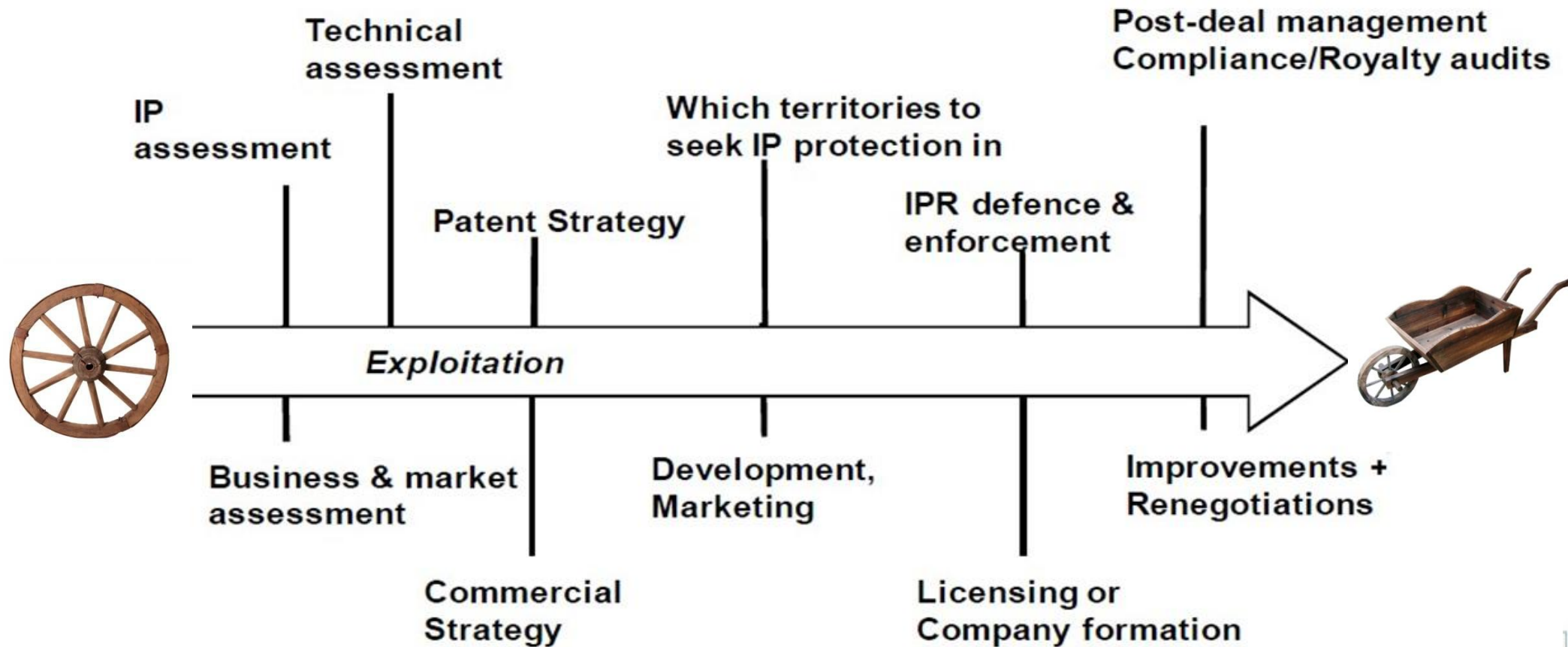
What is advised

- Dissemination & Exploitaiton as **own Work Package**
- **Dissemination plan**: which steps are required to bring your results to the community?

Clear structure about "**What would you like to disseminate?**"

- To whom (= target group)?
- Why (= rationale)?
- How (= dissemination plan)?
- When (= time schedule)?

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Impact – Exploitation

IP assessment

Technical assessment

Patent Strategy

Which territories to seek IP protection in

IPR defence & enforcement

Post-deal management Compliance/Royalty audits

Exploitation

Business & market assessment

Commercial Strategy

Development, Marketing

Licensing or Company formation

Improvements + Renegotiations

Impact - Communication

Ways for communication:

•When to disseminate what (flexibility in the beginning!) -> **attract attention in the beginning, sell results at the end of the project!.**

•Don't forget about **collaboration with other (related) projects.**

•Language might be **adapted depending on target group**.

- **Where to promote the project?** (fairs, conferences, workshops, summer schools,…).

- **How to promote via internet?** (website, newsletter, webinars, blogs, new social media,…).

- **Material** to be generated: flyers, articles,…

Use the results from the project…

Plan to include a clear view on **what is to be published** and **what could be patented** and **who is responsible** for each publication or IPR.

Projects can be **exploited in different ways** according to their characteristics. Some examples:

- *Promote and further excellence in research.*
- *Create spin-offs or start-ups (business plan).*
- *Develop products or processes, services.*
- *Added value of the technology (business case).*
- *Contribute to standardization activities, create networks.*

Messages for applicants

- **Academic applicants** often have huge problems with section 2.2.

- If there are **commercial partners available (SMEs), they should get involved early** (coordinators often hesitate to involve too many partners in the proposal preparation phase), especially for section 2.2.

- **For RIA's**, projects will most likely not cover demonstration or market replication activities, but still they have to see the full picture/ think about the final commercialisation (as a vision – route to market).

- **No project result for the drawer, but for others** (e.g. venture capitalists) to pursue on – open innovation as a means of exploitation.

Criterion 3
Implementation

Research Proposal (Part B) - Structure

3. Implementation

3.1 Work plan — Work packages, deliverables and milestones (tables)

3.2 Management structure and procedures

3.3 Consortium as a whole

3.4 Resources to be committed

Single or 2nd stage

Implementation - Evaluation criteria

Coherence and effectiveness of the **work plan**, including appropriateness of the **allocation of tasks and resources**

Complementarity of the participants within the consortium (when relevant)

Appropriateness of the **management structures** and procedures, including **risk and innovation management**

Work plan/work packages

→ Establish plans / structures for the whole project

Lead questions:

- What do I want to do?   **Workplan and Workpackages**
- What do I need for which task?   **Partner responsibilities**
- What to do when?   **Time planning**
- How much do I need of what?   **Resource planning**

Work plan – Timing => Gantt Chart

from simple/Excelsheet……

Work Package Name	2007							2008											2009				
	06	07	08	09	10	11	12	01	02	03	04	05	06	07	08	09	10	11	12	01	02	03	04	05
WP1: Co-ordination and Project Management																								
WP2: Dissemination and Exploitation																								
WP3: Assessment and Evaluation																								
WP1.1:																								
WP1.2:																								
WP2.1:																								
WP2.2:																								
WP2.3:																								
WP2.4:																								
WP3:																								
WP4:																								

	D01	M1		M2	M3				M4		M5	M6			M7

Milestones
Deliverables

D121					D211	D311		D411
D122					D221	D321		D421
D123					D231	D331		D431
					D241			D441
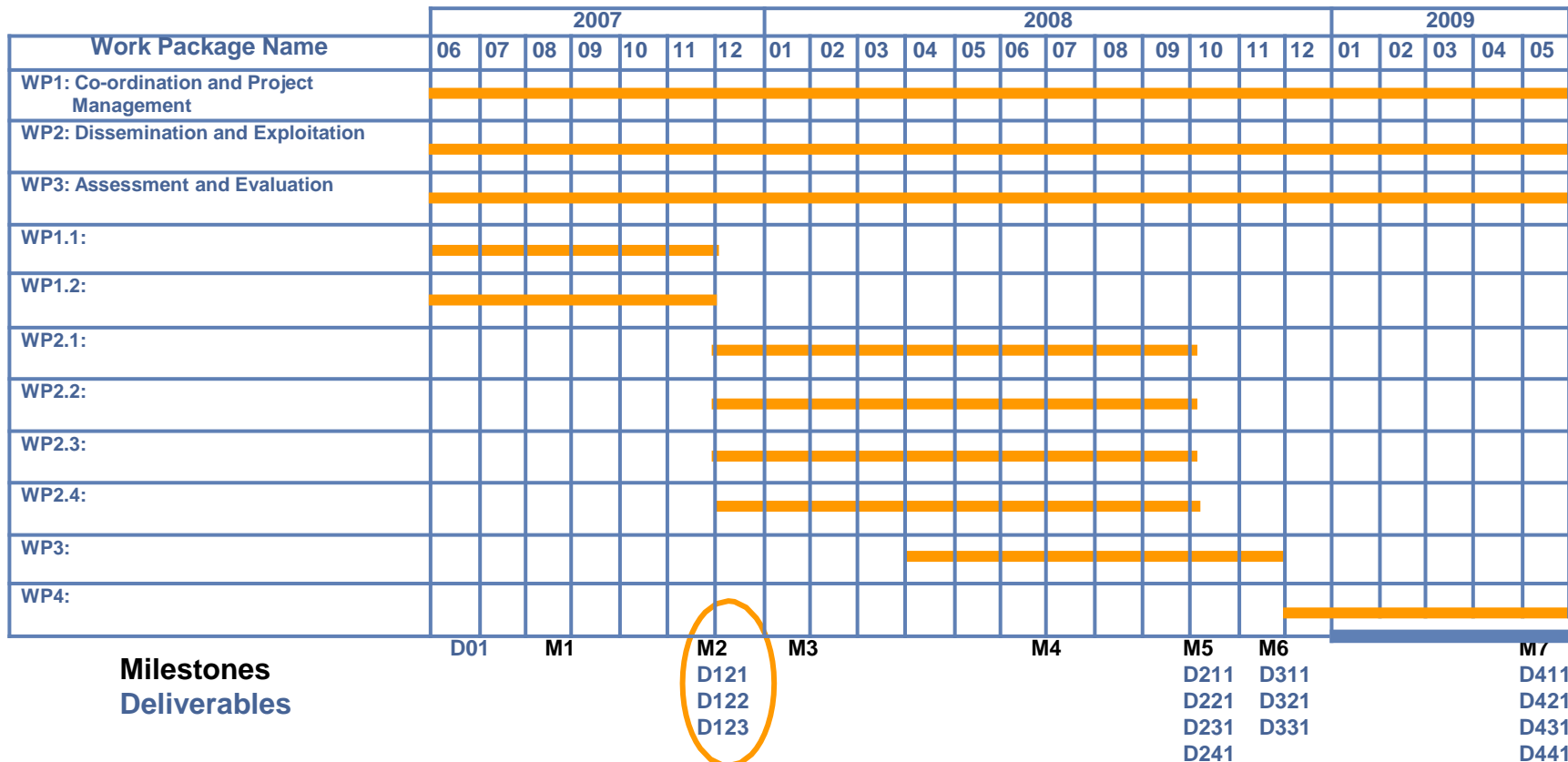
Work plan – Timing => Gantt Chart

….to complex management tools….
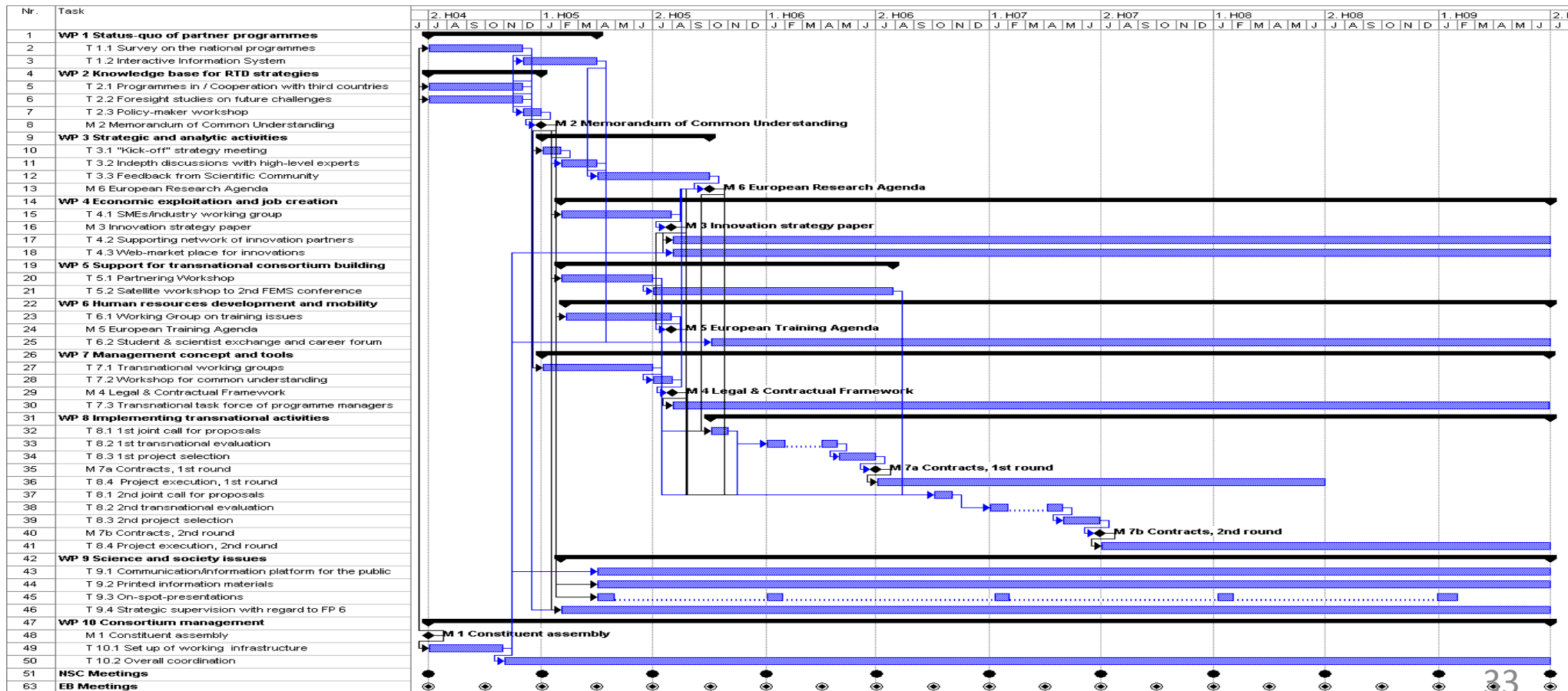
Work plan – Work packages

Tipp: Maximum 3 pages per Workpackage!

Table 3.1a: Work package description (For each work package):

Work package number		Start Date or Starting Event			
Work package title					
Participant number					
Short name of participant					
Person/months per participant:					

Objectives

SMART, short Bulletpoints, in line with objectives in Part 1!!!

Description of work (where appropriate, broken down into tasks), lead partner and role of participants

Detailed description of tasks (with Taskleader!) to achieve objectives

Deliverables (brief description and month of delivery)

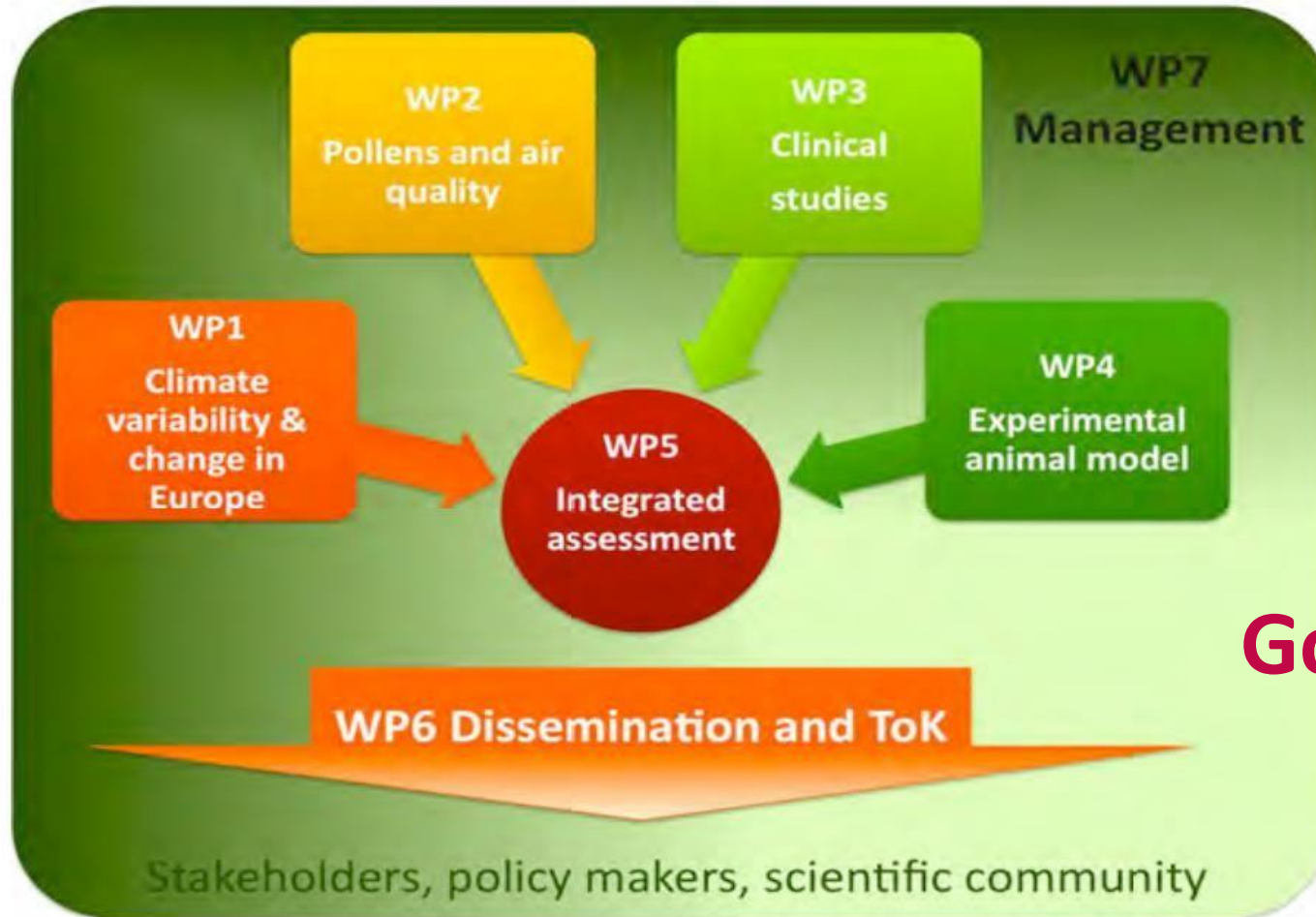**Results of the tasks, optimal 1 Deliverable per Task**

Work plan – Pert Diagram
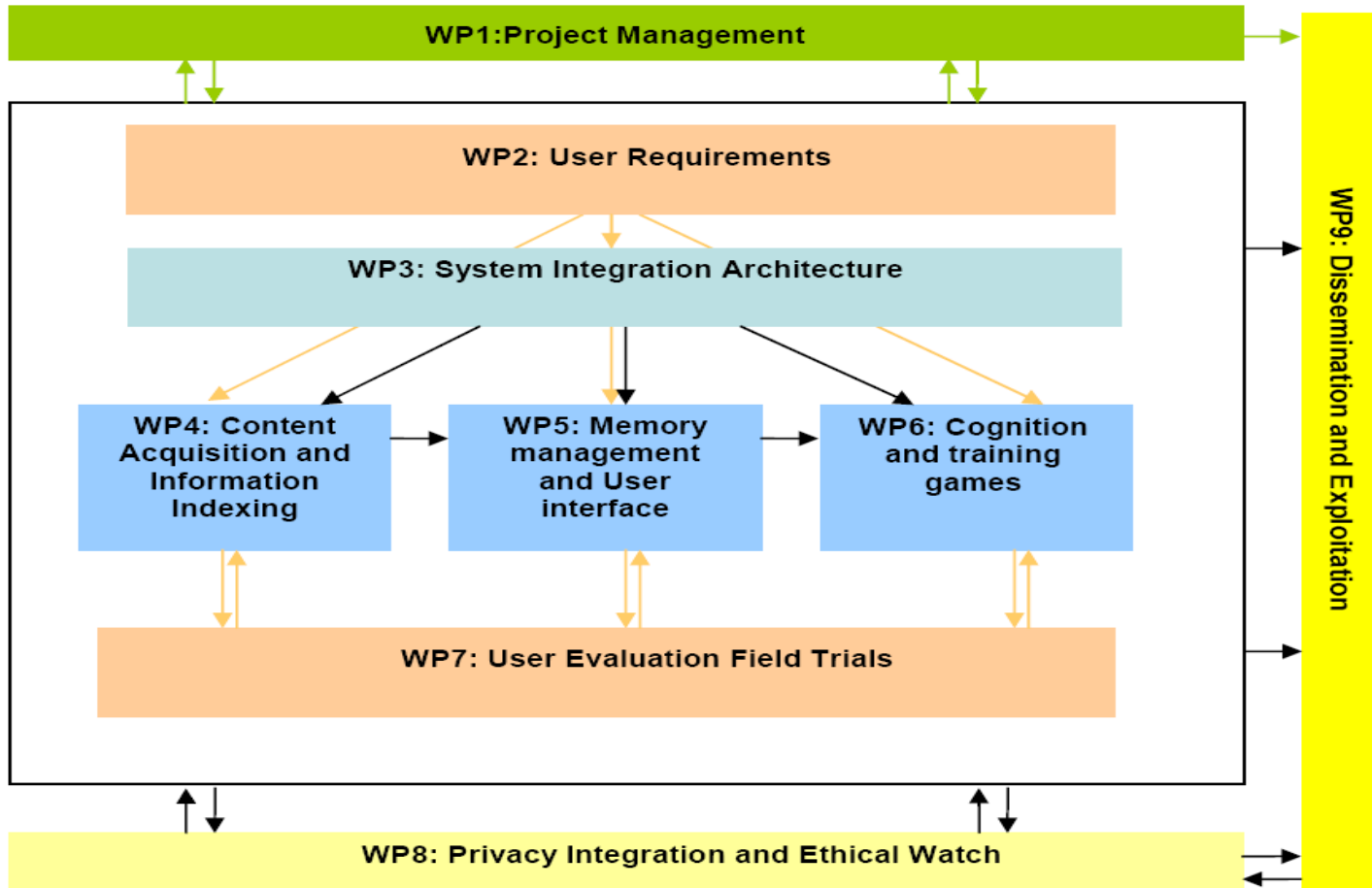
PERT - **P**rogramme **E**valuation and **R**eview **T**echnique
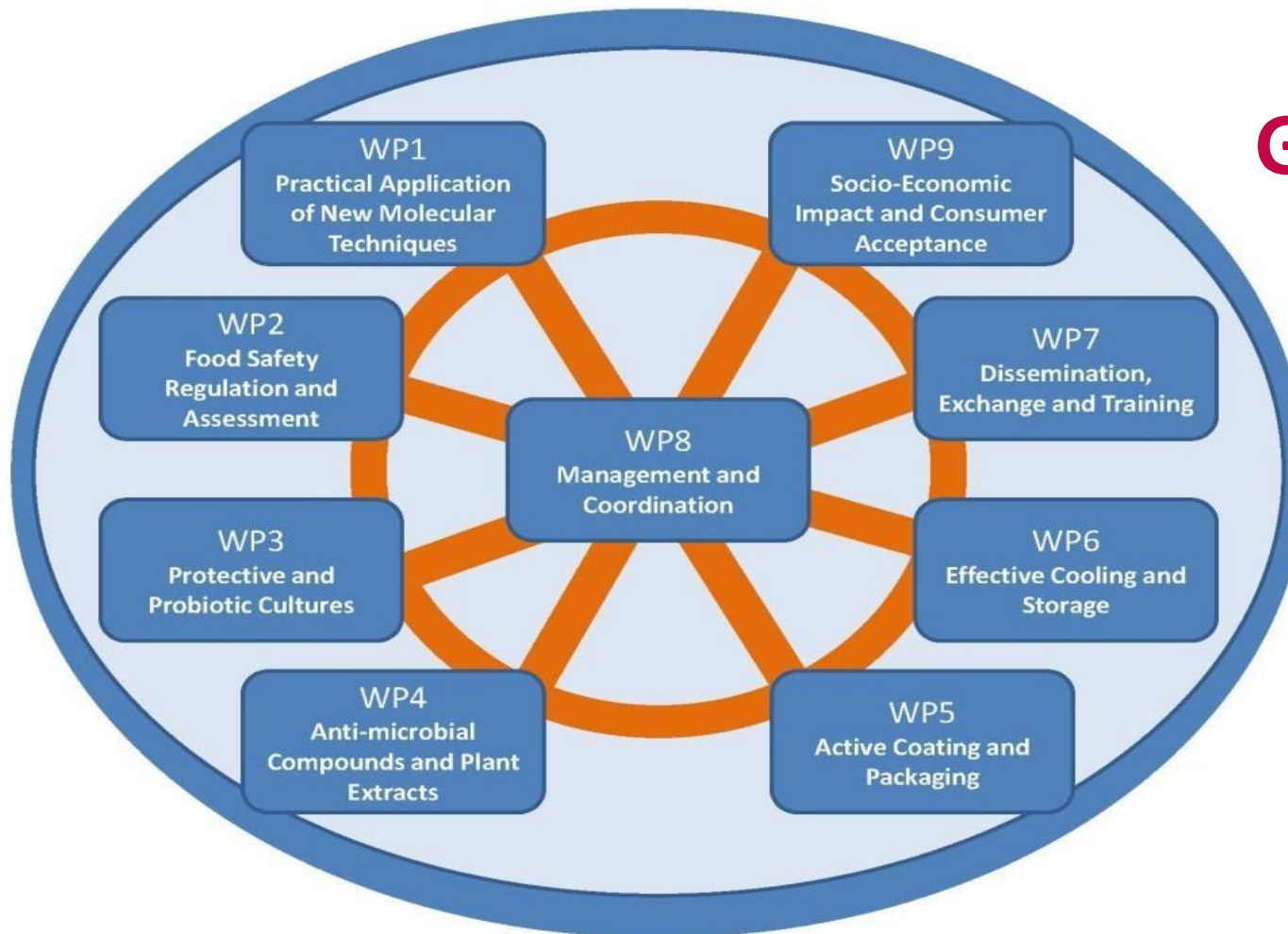
Good or Bad?

Work plan – Pert Diagram

Good or Bad?

Work plan – Pert Diagram

Figure 3: PERT Diagram

Good or Bad?

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Consortium as a whole

Questions to ask and describe:

- Describe how the consortium as a whole will **achieve the project aims**.

- Describe **why these partners** are necessary to achieve the project aims.

- Describe the **partner's special skills** relevant to the project.

- Describe the **complementarity** of the partners.

- Describe the **balance** of the consortium.

- Describe how **many SME/industry partners** are involved: tasks, status, budget

- Describe how the **(commercial) exploitation of results** will be ensured.

- Describe (if applicable) why **partners from other industrial or third countries** need to be involved – especially if you are asking for funding for third country partners!.

Consortium as a whole – Skills matrix

	Coordinator	Partner 2	Partner 3	Partner 4
Project Management	X			
Technology Domain 1	X		X	
Technology Domain 2		X		
Technology Domain 3			X	X
Technology Domain n				X
Dissemination	X	X	X	X

What should I consider when forming a consortium?

The **most important criteria** are **excellent qualifications and experien** their field of research.

▪Just like the project itself, the **consortium needs to demonstrate dimension**. Try to **avoid strong geographic asymmetries**, i.e. the majo from one particular country. However, **don't just add partners for reasons of**

▪The **individual partners** need to have **clearly defined roles and ta** Their **expertise and skills** should be **crucial and complementary**

▪Depending on the **challenges** and **requirements** of the project, a **successful team** should consist of **partners from different backgrounds** (**academia, industry, user groups**) to **maximize impact**.

▪Where **relevant, cross cutting aspects**, such as **gender dimensions** or the **integration of social sciences** and **humanities** should be taken into account.

Messages for applicants

In most cases, the **formally required minimum number of partners** is **not enough to fully address** and **investigate the topic**. Always take the requirements of your project idea as a guiding principle!

Consider involving partners from '**Third Countries**', i.e. countries that are not EU Member States or Associated countries. A **list of countries** eligible for funding is available on the Participant Portal.

Do not build 'artificial partnerships' just **to meet formal criteria**. Select partners who are truly dedicated, and **make sure** that all partners have the **necessary expertise and support from their organizations** from the start.

Grazie per l'attenzione, restiamo in contatto!

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