Proposal Submission – Coordinator

Contents

1. Overview

These notes outline aspects of submitting a Horizon 2020 multi-party project in which Imperial will be the Coordinator and you are the lead Principal Investigator. They are intended as a guide to help you think through your responsibilities and the processes associated with coordinating the proposal submission. It does not replace the need to consult with the appropriate people internally, e.g. the Research Office's EU Team and Faculty Research Services, or to read and familiarise yourself with EC documents about participating in Horizon 2020. In respect of the EC documents, you need to read not only the Work Programme and Call documents for your specific Topic, but also, for example, the Submit a Proposal section in the H2020 online manual. You should also familiarise yourself with the Rules for Participation and the model Grant Agreement. If you have any questions, please contact the EU Team directly. **Please treat these notes as confidential information. They have been put together for the benefit of Imperial College researchers only. It is not to be disseminated outside of College.**

2. Preliminaries – things to consider

Before you start writing the proposal, there are a number of things which you need to consider. The College's default position is that Imperial should not be the Coordinator of a Horizon 2020 multi-party project. **Imperial should only act as Coordinator in exceptional circumstances and where there are strategic research benefits for both the Faculty and the College as a whole.** The reason for this is that there are considerable financial and reputational risks and administrative costs to the College associated with coordinating a multi-party project when compared to participating as a partner. In EC documentation, the Coordinator and the partners are referred to individually as Beneficiary and collectively as the Beneficiaries. These notes will do the same.

- ***Faculty approval***: Anyone intending to coordinate a multi-party project must obtain the written approval from both their Head of Department and Faculty Dean in advance of preparing the proposal. Liaise with the relevant Head of Research Strategy/Support in your Faculty about organising this approval: David Wilson (Business School); Jane Williams (Engineering); Sarah Wagstaffe (Medicine); and Sophie Armstrong-Brown (Natural Sciences).[1]
- ***Two-stage proposals***: Some H2020 proposals are submitted through a two-stage submission process – an outline proposal followed by a full proposal. You must obtain full institutional approval to coordinate at the first stage of a two-stage proposal. The first stage submission is not a simple expression of interest but a binding proposal. The EC's "Grants Manual – Section on: Proposal submission and evaluation" states that "the full proposal must be consistent with the short outline proposal [i.e. the stage one submission] and may not differ substantially." This is why it is essential to obtain full approval to coordinate before the stage one proposal is submitted. Similarly, the submitted budget and EC contribution requested at the second stage should not normally differ from the EC contribution requested at the first-stage proposal.
- ***Creating a consortium***: An eligible proposal must (a) conform to the conditions set out in the Rules for Participation, and (b) comprise a consortium of a minimum of three independent legal entities established in different Member States or Associated Countries. However, the consortium should really comprise more than three entities. It should seek to have a good balance of universities and companies across a good range of countries. Be sensitive to any stated aims in the Call documentation in respect of the composition of the consortium. If a Call indicates the required participation of certain types of entities (e.g. SMEs) in a Project, then you must include such entities.
- ***Background***: The H2020 Grant Agreement obliges the Beneficiaries to identify specifically what Background[2] they are bringing to the Project both to achieve its aims and to exploit its Results. This needs to be given full consideration at proposal stage. For example, if you have valuable Background relevant to the scope of the Project, you need to consider whether H2020 funding is your best option. You must consider carefully the Access Rights which may be needed to your Background by your Partners both for undertaking their work in the Project and for the exploitation of their own Results from the Project. Details on such Background and any potential limitations for its use by the Partners must be identified in writing in the Project's

[1] You will need to pass a copy of the written approval to your Faculty Research Services Manager (listed in Section 3.1).

[2] Background means "any data, know-how or information whatever its form or nature, tangible or intangible, including any rights such as intellectual property rights". The Consortium Agreement is where Parties identify any Background which they will bring to the Project.

Consortium Agreement. Please discuss any Background concerns with the Research Office's EU Team as early as possible.

- ***Consortium Agreement***: A Consortium Agreement is not required for Proposal Submission, but the Grant Agreement obliges the Beneficiaries to have one for the Project.[3] The Research Office's EU Team will negotiate the Consortium Agreement for Imperial during the Grant Preparation stage and using the DESCA 2020 Model Consortium Agreement template. You must develop the proposal, especially its management elements, around the fact that the DESCA Consortium Agreement will be used. You should inform your partners, and state explicitly in the proposal itself, that your Project's Consortium Agreement will be based on the DESCA model.
- ***Project management***: As the post-award management involved in coordinating a multi-party project is burdensome and time-consuming, the costs for an experienced Project Manager must be included within the personnel costs of Imperial's budget. Neither Faculty Research Services nor the Research Office's EU Team perform this project management role. These costs should reflect the size and complexity of the Project's consortium.[4] It need not be a full-time role, but experience has shown that a 50% FTE of a competent person for the Project should be sufficient. The role must be taken seriously with the person needing (i) to understand the terms and conditions of the Grant Agreement and the Consortium Agreement, and (ii) to ensure that all Partners meet their technical, financial and reporting commitments. The Project Manager must possess the maturity and interpersonal skills to manage relationships between the other Beneficiaries, and the skills and experience to support the various facets of the project activities. The latter include preparing and delivering notices of meetings, agendas, ensuring compliance with any formalities under the Consortium Agreements for decision-making by the Consortium. These skills may extend to support activities relating to planning, monitoring, and facilitating dissemination, exploitation and IPR activities, understanding of applicable ethics rules and monitoring consortium compliance with such matters. As the coordinating Principal Investigator, you are responsible to the College for the discharge of the College's responsibilities under the Project and the Grant Agreement. Therefore, you retain ultimate responsibility for the discharge of the Project. Do not underestimate the amount of time that, even with a Project Manager, you will have to devote to the management of non-scientific activities for the duration of the Project.
- ***Participant Portal***: Proposal submission is managed online through the Principal Investigator's personal account on the Participant Portal. If you don't have a personal account on the Participant Portal, then you must create one.[5] You will need Imperial's PIC number, which is 999993468, to create the Proposal through your personal account. Each of your collaborating researchers will also need (i) to have their own personal account on the Participant Portal, and (ii) to be associated with a particular institution which has a PIC number for the Proposal.

[3] The Consortium Agreement supplements the Grant Agreement by expanding on and clarifying key terms and conditions such Intellectual Property, Confidentiality, Liability, Publication rights and Management. It outlines specifically how the Beneficiaries will manage all these aspects of the project. The Consortium Agreement isn't signed by the EC.

[4] You could also consider using the services of the Project Management Office in College's Enterprise unit. Check with your Research Services Manager about your Faculty's procedures here.

[5] You register a new account through "ECAS – European Commission Authentication Service". If you have already participated in EU projects, e.g. FP7, then you will already have an account and your password may have expired. Creating a new account or password is initiated from the log-in page on the Participant Portal and clicking "Register" or "Login" respectively. When prompted, select "External" and follow the instructions thereafter.

- ***Internal contacts***: Early consultation with Faculty Research Services and the Research Office's EU Team is strongly encouraged to ensure complex issues are identified at an early stage. These offices are responsible for the provision of advice and guidance for issues relating to financial and contractual matters.
- ***National Contact Point***: You may also wish to liaise with the appropriate National Contact Point (NCP). They are familiar with the detailed content of the Work Programme and are very likely to have expertise in your subject field. They may be able to provide advice on relevant policies which could benefit the "Impact" section of your proposal. Some NCPs may also offer a proposal review service.

3. Getting Started with the Proposal

It is your responsibility as Coordinator to manage the entire process of developing, writing and submitting the proposal. This means the proposal will be evaluated as submitted rather than on its potential should certain changes be made. There will be no scope for prolonged (re)negotiation of a proposal's scientific content or budget at the Grant Preparation stage. Therefore, the proposal must be fully developed and its associated costs, both for Imperial and all other participating parties, budgeted accurately at Proposal Submission stage.

3.1 Imperial sources of support and guidance

It's important to liaise with the Research Office's EU Team, your Departmental Operations Manager and your Faculty Research Services Manager as soon as possible. Don't leave it till the deadline! Please provide the full Call Identifier and Topic to both Faculty Research Services and the EU Team. This will help them to identify, and alert you to, any call-specific conditions which may be associated with the proposal. There is effectively a two-stage internal approval process for coordinating a Horizon 2020 multi-party proposal. The first, as noted earlier (Section2), is to obtain approval from your Head of Department and Faculty Dean to act as Coordinator before you start any work on the proposal. The second stage is the "standard" approval process for external research funding proposals which is arranged through the creation and submission of an InfoEd (see Section 3.4 below). *Note: a complete and approved InfoEd entry is mandatory for the first stage of a two-stage proposal.*

- ***Faculty Research Services/Joint Research Office***: Any departmental processes should be observed, but institutional approval is arranged through the creation of an InfoEd record. Liaise with your Departmental Operations Manager and the appropriate Faculty Research Services contact to prepare and finalise an InfoEd entry (Shaun Power, Engineering; David Wilson, Business School; Scott Wheatley, Medicine; Brooke Alasya, Natural Sciences).
- ***Research Office – EU Team***: The EU Team provides assistance on contractual issues associated with a multi-party project and can comment on the non-scientific elements of your draft proposal. Contact the EU Team for detailed advice specific to your project as soon as you've received Departmental and Faculty approval to coordinate but before you start to prepare the proposal. The EU Team will happily meet you in-person to discuss your proposed project.

3.2 Liaising with the other Beneficiaries

Instruct the other Beneficiaries to liaise with their appropriate legal and financial office(s) about participating in the Project and preparing the costs associated with their work. You must ensure that they have authorised approval to participate.[6] The other Beneficiaries are likely to have their own internal processes to observe for participating in a multi-party proposal. You will also need details from them to complete the registration process (Section 3.3 below) and a signed "Authorisation to Submit" form/letter.

- **Authorisation to Submit**: The EC requires that the Coordinator makes certain Declarations in the proposal's Part A, i.e. the Administrative Forms, on behalf of all of the participating Beneficiaries (see Section 4). To this end, you will need to obtain an "Authorisation to Submit" from each Beneficiary which has been signed by that institution's authorised representative prior to submitting the proposal.[7] Liaise with the Research Office's EU Team about requesting an "Authorisation to Submit" form/letter from the Beneficiaries: they have appropriate templates for this purpose. When you have received a signed "Authorisation to Submit" from each Beneficiary, retain all signed copies on file and provide a copy of the full set of Authorisation to Submit to the EU Team. Do not attach or submit these with the Proposal itself; they are important internal records for Imperial as the Coordinator.
- **Partners from Associated Countries and Third Countries:** Legal entities from all over the world can participate in most H2020-funded projects, but it doesn't mean that participants in every country are eligible to receive EC funding. Funding is available for entities established in EU Member States and Associated Countries,[8] but is not necessarily available for Beneficiaries in Third Countries[9]. It is essential that all partner Beneficiaries liaise with their appropriate offices about their participation in a multi-party H2020 project. Neither Faculty Research Services nor the Research Office's EU Team can assist with any partner-specific queries. Partners are responsible for themselves and any queries must be addressed by their own support offices. Bear in mind that Calls which are identified as particularly suitable or targeted for non-EU Partners, or which specify countries or regions, does not mean that Partners in these Third Countries will automatically be eligible for funding. Participants from some Third Countries may be expected to arrange support for their participation costs from funding sources within their own country. It is essential to consult the relevant "Call for Proposals" and all associated documentation when attempting to confirm whether or not the Associated Country and/or Third Country participants are eligible to receive funding. ***Partners are responsible for determining their own eligibility for funding.***

---

[6] An organisation wishing to participate as a Beneficiary must have a PIC number. If it does not, then it must self-register with the European Commission. Information on registering is available in the "Guide on beneficiary registration, validation and financial viability check".

[7] A signed "Authorisation to Submit" form must be requested from each Partner in the first stage of a two-stage proposal. If a new Beneficiary joins the consortium at the second stage of the proposal, you must request a signed "Authorisation to Submit" from them.

[8] "Associated Countries" are countries associated to Horizon 2020 and have the same rights to receive funding and take part in funded projects as researchers based in the EU. Switzerland is not a full Associated Country and, therefore, cannot receive funding for its participation in a multi-party project.

[9] "Third Countries" are countries outside the EU and not associated to Horizon 2020. They fall into two categories: those automatically eligible for funding and those not automatically eligible for funding. In respect of the latter category, these Partners may be funded in exceptional cases. See the information leaflet "Funding of applicants from non-EU countries & international organisations".

3.3 Creating the Proposal in the Participant Portal

The initial step in Proposal Submission involves creating the proposal through your account on the Participant Portal. You will need to find the "Submission Service" tab. When you find the relevant Topic, you will see a drop down list and the "Start Submission" button. If the Topic has several types of action, you must select the correct type from the drop-down list and then click the "Start Submission" button to continue the process. You will be prompted to log-in using your ECAS username and password (see Section 2 above). At this point, you will have completed Steps 1 and 2 in the registrations process, though this isn't indicated in the system.

- ***Step 3 – Create a Draft Proposal***: The Step 3 screen is where you enter Imperial's details in the following three areas – Organisation, Role and Proposal. Either enter Imperial's PIC or, if available, click on the box with Imperial's PIC. The section on "Your Proposal" has two radio buttons with the default set at "Main Contact". As the coordinating Principal Investigator, you are the "Main Contact" and, therefore, you leave this with its default setting. The final section in Step 3 requires you to enter the Project's acronym and a short summary. When you click "Next", you will be presented with the "Submission and Evaluation of Proposals Assent Disclaimer" pop-up screen where you'll have to click "Accept" to create the proposal. This will take you to another pop-up screen which presents you with the option to "Continue with preparation" or to "Go to My Proposals" section of your account. If you choose to continue, which is recommended at this point, then you are presented with Step 4 screen page.
- ***Step 4 – Manage Your Related Parties***: This is where you to enter the relevant contacts for Imperial and add your Partners' details.[10]
    - *Imperial*: You must add the appropriate Faculty Research Services Manager as a contact (Shaun Power for Engineering; David Wilson for the Business School; Scott Wheatley for Medicine and Brooke Alasya for Natural Sciences). You may add other Imperial contacts too if you wish, although you would not normally do so at proposal stage. This information carries through into the contacts section of Part A (Administrative Forms) which you edit in Step 5.
    - *Partners*: You must have your Partners' PIC numbers because this is the only way of ensuring that Partners are added with the correct details.[11] (i) Click on the "Add Partner" button and an "Add partner" pop-up screen appears. Enter the PIC number and click the "Use" button when you have identified the Partner. (ii) You'll be presented with a pop-up "Add contact" screen where the details for your collaborating researcher are added. Enter the contact details for the researcher in the partner organisation. Other details are completed by making a choice from a drop-down list. For "Project Role", you should choose "Main contact". And for "Access Rights", you should choose "Participant contact (full access)". Once you've added this Partner to the proposal, then they can add other relevant contacts for their institution through their own account on the Participant Portal.

[10] Details of the partnering Beneficiaries are not included in the Part A (Administrative Forms) in the first stage of a two-stage proposal.

[11] If a proposed Partner does not yet have a PIC number, then that Partner must register with the EC. Details on the registration process can be found online in the relevant section of the H2020 Online Manual.

3.4 Internal Approval – Submitting an InfoEd

An InfoEd record is an integral part of the budget-creation and Imperial approval process for a H2020 proposal. A fully-costed budget must be developed for every proposal including the first stage of a two-stage proposal. You must liaise with the appropriate contacts within your Department and Faculty Research Services about the Imperial budget and prepare it in consultation with them. The budget must be submitted in Euros and they may have a specific spreadsheet to assist with its preparation. You should include all anticipated costs. As the Grant Preparation phase does not accommodate renegotiation of budget amounts, the total budget submitted with the proposal – for both Imperial and the Partners – must be accurate. Consult the Research Office's pre-award Golden Rules document about eligible and ineligible costs in a H2020 project. The following are eligible costs for a H2020 project and you should include all anticipated project costs:

- All personnel costs for project-related activities, e.g. PI, Co-Is, Researchers, Technicians, Project Manager and Student bursaries.
- All project-related direct costs, e.g. consumables, equipment, travel and subsistence[12].
- VAT incurred on purchases.
- Dissemination costs (including open access publication and "Article Processing Charges").
- Intellectual Property Rights (IPR) costs (including protecting results, e.g. fees paid to the patent office for patent registration, and royalties on access rights).
- Internally invoiced costs, i.e. for shared resources where the cost of use is charged through internal invoices
- Gender awareness training, e.g. the delivery of training (personnel costs if the trainers are employees of the college or subcontracting if the training is outsourced); travel and subsistence costs if the training is delivered by an external provider; remuneration of personnel costs for the researchers attending the training, in proportion to the actual hours spent on the training.
- Audit costs (mandatory when reimbursement of costs to a Beneficiary is €325K or higher).

The following are some of the ineligible costs:

- General office consumables, e.g. stationery, printing, photocopying, etc.
- Computer for standard every-day tasks[13]
- Student tuition fees
- Advertising and recruitment costs, e.g. cost of placing adverts and reimbursement of interview expenses

There are three types of action in Horizon 2020 applicable to multi-party projects. They are (i) the *Research and Innovation Action* [RIA], (ii) the *Innovation Action* [IA], and (iii) the *Coordination and Support Action* [CSA]. A *Research and Innovation Action* consists primarily of activities aiming to

[12] Travel and subsistence costs for external experts participating in the project on an *ad hoc* basis can only be considered an eligible direct cost where such envisaged participation is included explicitly in proposal which subsequently becomes the contract's Annex I/Description of Action.

[13] A computer can only be considered an eligible direct cost where it performs a specific function which is not possible with a standard college computer, e.g. high-specification for modelling/simulation.

establish new knowledge and/or to explore the feasibility of a new or improved technology, product, process, service or solution. An *Innovation Action* consists primarily of activities aiming directly to produce plans and arrangements or designs for new, altered or improved products, processes or services. A *Coordination and Support Action* does not support research *per se* but complementary activities such as coordination of policy and networking. Although funding rates differ by call and type of action, the level of reimbursement for Imperial is the same for all three types of action. Costs are reimbursed at 100% for all direct costs together with an overheads rate of 25% which is calculated on all the direct costs less any subcontracting costs. However, this may not be the case for your Partners. For example, industrial partners will only be reimbursed at 70% for an *Innovation Action*. It is up to your Partners to liaise with their finance offices about their budgets and reimbursement rates.

4. The Administrative Forms – Part A

The Part A is completed online through the Participant Portal. When you are in the Step 5 screen, click on the green "edit forms" button which opens the Administrative Forms as a PDF.[14]

- ***General information***: The initial section consists of two distinct parts. The first gathers information about the proposal. The second comprises declarations being made by Imperial on behalf of all the Partners.

    - *Proposal Information*: This includes project-specific data such as the <u>Proposal title</u> (its long title), <u>Duration in months</u>, <u>Fixed keywords</u> (selected from a drop-down list), <u>Free keywords</u> (typed into a text box) and the <u>Abstract</u>.

    - *Declarations*: The "Declarations" part of the form is a number of statements presented under five heading where you check (or leave unchecked) boxes with the appropriate responses. You check all the boxes under Declarations 1), 2), 3) and 5). Under declaration 4), you check the second option only indicating that Imperial "is exempt from the financial capacity check [etc.]". As noted earlier (Section 3.2 above), you are making declarations on behalf of the Partners too and, therefore, must request a signed "Authorisation to Submit" from each of them.

- ***Participants & contacts***: This contains the administrative data for all the Beneficiaries in three areas – Participating Organisation, Department, Person in charge.[15] Organisational data should already be included on entering the correct PIC number. The Department is the one contributing to the Project. Person in charge links back to the Step 4 screen in the Participant Portal (see Section 3.3 above). Ensure that your Partners enter the corresponding relevant, central administrative, contact people for their institutions. With the tight turnaround during the Grant Preparation, it is essential that your Partners have the correct details entered in the proposal to facilitate communication.

[14] Completing Part A should be intuitive. If you have any problems, please contact the Research Office's EU Team about it. Some separate notes on completing the Part A is available from the EU Team.

[15] You are also asked about "Dependencies with other proposal participants". Normally, Imperial has no such dependencies, so this can be left blank. However, you must be mindful of any potential conflict of interests which might arise should a proposed project Partner be a campus spin-out company or some other entity in which you may have a personal interest. Both Imperial and the EC have regulations and policies about conflict of interests which must be observed. Contact the Research Office's EU Team if you have any queries.

- ***Budget***: The budget for each Beneficiary is presented in a single line.[16] This details the requested budget and must correspond to the budget figures contained within Part B. If there is any discrepancy between the budget amounts in Part A and Part B, the budget in Part A takes precedence. You are not responsible for your Partners' budgets. However, you must ensure that they present you with the breakdown of both their costs and requested funding in the appropriate format for inclusion in the body of the proposal. For example, each Beneficiary's "other direct costs", i.e. non-personnel, are described with the proposal's section 3 and any sub-contracting costs described in section 4.

- ***Ethics***: This is the Ethical Issues table. If you check "yes" to a question, you may be required to answer more questions and/or add some specific details in a text box. This table links with Section 5.1 of the Part B. If you've answered yes to any question in the ethical issue table, then you must write an ethics self-assessment in the Part B's Section 5.1.

- ***Call-specific questions***: As the heading suggests, this part addresses any issues within a call. It's very likely that this section may refer to "Open Research Data Pilot in Horizon 2020". Some projects will be obliged to participate in the "Pilot on Open Research Data in Horizon 2020" for management of research data. However, if you are simply given the option of participating in the pilot on "Open Research Data Pilot in Horizon 2020", you should choose to opt out. Participating in the "Open Research Data Pilot in Horizon 2020", will carry additional contractual obligations which may be difficult to meet and carry additional project-related costs.

5. The Scientific Proposal – Part B

The proposal must be presented in the appropriate template(s) which are downloadable from within the Participant Portal after you've registered the proposal. The Part B is, in fact, completed as two separate documents: (i) Sections 1 to 3, which contains the scientific element of the proposal, and (ii) Sections 4 and 5 address other project-related details. Both templates include headings and detailed instructions.[17] Retain the headings for use in the proposal, but delete the instructions within the proposal template when you've incorporated their guidance into the text of the proposal. Where a heading has several bullet points to address, try to create an appropriate sub-heading from each bullet point.

- ***Keep the Call Documentation to hand***: To develop the proposal, you must have the Work Programme and Call Documentation to hand. You must be mindful of the Call's *Specific Challenge*, its *Scope* and its *Expected Impact*. These must be addressed comprehensively in the proposal and are found in the relevant Work Programme.
- ***Know the Evaluation Criteria***: You must be fully cognisant of the rationale behind the three evaluation criteria of H2020 proposals: *Excellence*, *Impact* and *Quality and efficiency of the implementation*. The evaluation details are outlined in Annex H of the Work Programme. Each

[16] In stage one of a two-stage proposal, you only enter the total requested budget. Nevertheless, as stated throughout these notes, you and your Partners must prepare a full budget at stage one for a number of reasons: (i) your Partners may operate different reimbursement rates, and (ii) the requested budget cannot be changed at second stage submission so must be accurate from the start. It is good practice to request each Partner to submit a copy of their budget which has been signed off by their financial office.

[17] The templates are downloaded from the Step 5 screen. There is prescribed minimum formatting as follows: font size is 11 points, page size is A4, and all margins of 15 mm. Sections 1 to 3 will have a set page limit. It's usually 70 pages for multi-party project, but FET Open and FET Proactive proposals have a 15 page limit. The page limit for first stage of a two-stage proposal is 7 pages which require you to address only certain sections of the full template. All instructions are in the template. You must adhere to these instructions and any prescribed page limits.

criterion is scored out of 5. The threshold for individual criteria is 3, but the overall threshold, applying to the sum of the three individual scores, is 10.[18]

- ***Cross Referencing***: If your proposal is successful, its Part B will become Annex 1 to the Grant Agreement. The Annex 1, which is also called the "Description of Action", breaks the proposal down into two distinct parts. The "Annex 1 – Part A" consists of the prescribed tables for Work Packages, Deliverables, etc. from the proposal. The "Annex 1 – Part B" consists of the rest of the text of the proposal, but it involves rearranging sections of the proposal. For this reason, you should aim to **keep cross-references to page numbers, sections and tables in the proposal to a minimum**. This will facilitate your work during the Grant Preparation phase.

5.1 Part B – Sections 1 and 3

The scientific part of the proposal – Sections 1 to 3 – takes its main headings from the three evaluation criteria: these are Excellence, Impact and Implementation. Although it's vital to address the call-specific scientific aspects within each of these sections, it's also very important to place the Project within the context of the strategic aims and objectives of H2020. There is sufficient guidance and instruction within the template to assist you with writing the proposal. Therefore, the subsequent notes here won't replicate what's contained there.[19] The following is a brief list of dos and don'ts in respect of the three sections which should help you think through the implications for you as the coordinator.

- ***Excellence***: You must describe the Project's objectives within the scope of the Work Programme while illustrating its methodological approach and ambition.
  - Do be mindful of the context of H2020 by referring, where feasible, to appropriate strategic documents. Background information is available on the webpage of the EC's Directorate General Research and Innovation which, in turn, provides links to details on strategic aims such as the Innovation Union and the European Research Area. Another important underling policy is the EC's Europe 2020 strategy. See also the EC's Horizon 2020 website.
- ***Impact***: Your proposal must address all the expected impacts which are specified in the Work Programme. The template contains the phrases "idea to application" and "lab to market" which capture, arguably, the difference between a Research and Innovation Action (RIA) and an Innovation Action (IA). You need to illustrate how the Project's results will have a practical application in industry (RIA) or move an idea/product closer to commercial exploitation (IA).
  - Do be realistic in respect of innovation and exploitation. Don't overpromise results and their commercial potential. Don't restrict potential exploitation of Results by retaining them within the consortium by, for example, giving preference to industrial partners.
- ***Implementation***: This bulk of this section tends to be descriptive and "matter of fact" involving the use of prescribed tables.
  - Do write the "Management structure and procedures" element around the DESCA consortium agreement. Don't overwrite this section by going into the minutiae, for example, of voting procedures and dispute resolution. By referring to DESCA, you will be giving a clear idea how such issues will be handled. You will need to describe the various

[18] See "Guidance for evaluators of Horizon 2020 proposals". The evaluation of first-stage of a two-stage proposal only considers the 'excellence' and 'impact' criteria. The threshold for both individual criteria will be 4.

[19] The Research Office's EU Team has separate notes on the Part B to help you think through non-scientific aspects of the proposal writing process. Please contact the EU Team directly about these additional notes.

consortium bodies which will give the consortium its organisational structure and how they will contribute to the effectiveness of the project. A large consortium may need two or more consortium bodies, but a small consortium may only need a single consortium body.

- Do write an Implementation section which complements fully the preceding sections on Excellence and Impact.

5.2 Part B – Sections 4 and 5

Sections 4 and 5 comprise a distinct part of the proposal. They are uploaded into the Portal as a separate PDF which is not covered by the prescribed page limit of the proposal.

- ***Section 4***: This is used to judge the operational capacity and ability of all the Beneficiaries in the consortium to contribute effectively to the Project. Information is gathered under two sub-headings.
  - **(i)** ***Participants***: You must include details on each Beneficiary which (a) describes the legal entity, and (b) provides prescribed details on the researcher who is primarily responsible for contributing to the Project.
  - **(ii)** ***Third parties involved in the project***: You must include an entry on each Beneficiary. If a Beneficiary is neither subcontracting part of its work nor involving linked third parties, then their entry should state "No third parties involved". If a Beneficiary is subcontracting part of its work, or involving linked third parties, or using in-kind third party contributions, then there is a prescribed table-format for completion. Ensure the budget figures correspond to budget entries in Part A
- ***Section 5***: This section has two parts – Ethics and Security.
  - ***Ethics***: If you identified any issues in the ethical issues table of Part A (Section 4 of the Administrative Forms), then you must write an "ethics self-assessment" which is the proposal's Bart B – Section 5.1. The self-assessment must describe in detail how the Project will meet the national legal and ethical requirements of the country or countries where the tasks raising ethical issues are to be carried out. In association with the ethics self-assessment, relevant ethics-related documentation must be uploaded into the Portal as a separate PDF. Examples of such documentation would include copies of (a) anything which is required under national law, and (b) judgements of an ethics committee. You must provide a full list of the Project's authorisations and/or permissions which *are already in place* and authorisations and/or permissions which, if successful, *will be needed*. **This will need to be done for each participating Beneficiary whose work raises ethical issues.** If you don't have to complete an ethics self-assessment, you should include a statement to this effect as your Section 5.1.
  - ***Security***: This section will require you to answer yes or no to two questions. You must indicate if the Project (i) will involve activities or results raising security issues, and (ii) will involve "EU-classified information" as Background or Results.

6. Submitting the Proposal

You are responsible for submitting the proposal. It is submitted online through your personal account on the Participant Portal on the Step 5 screen. Remember that the advertised deadline time is Central

European Time. So you must account for the time difference wherever you are in the world. Don't leave it till the last minute to submit the proposal! The system has been known to run slowly, or even crash, on the day of a busy deadline. It's best to submit your application well in advance.[20] But if you are continuing to work on your application fairly close to the deadline, upload and submit a close-to-final copy of the proposal at least two days before the deadline. You can update and resubmit revised versions of the proposal many times before the deadline. Submitting a revised proposal will overwrite any previous versions: this process is irreversible. The system will accept the last version submitted before the deadline as the final version. The final version of the proposal will consist, at least, of items i to iii below.

i. **The Administrative Forms** (or Part A) are completed online and contain the legal and administrative details of each Beneficiary together with the requested budget.
ii. **Part B – sections 1 to 3**: This is the scientific part of the proposal and is uploaded into the Participant Portal as a PDF. Click on the "upload" after "Technical Annex Section 1-3", retrieve the file and upload. You might include the project acronym in the name of this file, e.g. "ACRONYM_PartB_1-3.pdf".
iii. **Part B – sections 4 and 5**: This contains details on the consortium and ethics/security and is uploaded into the Participant Portal as a PDF. Click on the "upload" after "Technical Annex Section 4-5", retrieve the file and upload. You might include the project acronym in the name of this file, e.g. "ACRONYM_PartB_4-5.pdf".
iv. If you've had to complete an ethics self-assessment as part of your proposal, then you may have to upload **additional ethics-related document(s)** as PDFs into Step 5 too. Click on the "upload" after "Optional annex 3: Ethics - Supporting Document(s)", retrieve the file(s) and upload. You might include the project acronym in the name of this file, e.g. "ACRONYM_Ethics-documents.pdf".

[20] Liaise with your Research Services Manager before submission. S/he may request your log-in ID and password to facilitate a final check and approval of the administrative forms and the budget before you submit the final version of the proposal.