How to write a successfull proposal

BRUNO MOURENZA

Horizon 2020
Punto di Contatto Nazionale SC1
Punto di Contatto Nazionale EURATOM

UNICAS
23 Gennaio 2020
AGENDA

1. Introduction: Horizon 2020 – 3 pillars
2. Coordinator’s Road
3. How to organize your time?
4. Criterion 1: EXCELLENCE
5. Criterion 2: IMPACT
6. Criterion 3: IMPLEMENTATION
7. Practical exercise
### Excellent Science
- European Research Council
  - Frontier research by the best individual teams
- Future and Emerging Technologies
  - Collaborative research to open new fields of innovation
- Marie Skłodowska Curie actions
  - Opportunities for training and career development
- Research infrastructures (including e-infrastructure)
  - Ensuring access to world-class facilities

### Industrial Technologies
- Leadership in enabling and industrial technologies
  - ICT, nanotechnologies, materials, biotechnology, manufacturing, space
- Access to risk finance
  - Leveraging private finance and venture capital for research and innovation
- Innovation in SMEs
  - Fostering all forms of innovation in all types of SMEs

### Societal Challenges
- Health, demographic change and wellbeing
- Food security, sustainable agriculture, marine and maritime research & the bioeconomy
- Secure, clean and efficient energy
- Smart, green and integrated transport
- Climate action, resource efficiency and raw materials
- Inclusive, innovative and reflective societies
- Secure societies

---

**European Institute of Innovation and Technology (EIT)**

**Spreading Excellence and Widening Participation**

**Science with and for society**

**Joint Research Center (JRC)**
I want to be...

Coordinator

Define your idea

Find a funding opportunity

Write a proposal

Cross the fingers!

Partner

Identify your skill

Promote yourself

Join a consortium

Define your activity

www.apre.it
Define your idea
THE COORDINATOR’S ROAD
# Suggestion: Is your idea innovative?

Consult:

- Patent database
- IPR helpdesk
- Previously FP’s and Horizon 2020 funded project (e.g. CORDIS, etc)
- Bibliography
- Google
YOUR PROJECT MUST BE INNOVATIVE

Get a clear view of the state-of-the-art

Patent databases
http://www.epo.org/searching/free/espacenet.html

IPR helpdesk
https://www.iprhelpdesk.eu/

FP7 & H2020 projects

Check on these databases whether somebody has already developed your same idea and to what extent.

www.apre.it
# Suggestion: Tips and tricks

**Partner Search:**

- Google
- Rete NCPs
- Cordis
- Eventi
- Specifici siti web*

---

www.apre.it
Identify the project idea

- Innovation capacity
- Funding opportunity in the WP
- Available resource

Your Idea

www.apre.it
# Define your idea: ABSTRACT

## one page proposal

<table>
<thead>
<tr>
<th>Topic</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Title/ACRONYM</strong></td>
<td>The aim of the proposal is to...</td>
</tr>
<tr>
<td><strong>Objective</strong></td>
<td>The key research question/challenge is to...</td>
</tr>
<tr>
<td><strong>Background/short description</strong></td>
<td>• Why bother? What problem are you trying to solve?</td>
</tr>
<tr>
<td></td>
<td>• Is it a European priority? Could it be solved at National level?</td>
</tr>
<tr>
<td></td>
<td>• Is the solution already available?</td>
</tr>
<tr>
<td></td>
<td>• Why now? What would happen if we did not do this now?</td>
</tr>
<tr>
<td></td>
<td>• Why you? Are you the best people to do this work?</td>
</tr>
<tr>
<td><strong>Results/impact</strong></td>
<td>• Expected results - what will come out of the project? Who will use the results?</td>
</tr>
<tr>
<td></td>
<td>• Why do they want to use the results?</td>
</tr>
<tr>
<td></td>
<td>• How are you planning the transfer of results?</td>
</tr>
<tr>
<td></td>
<td>• What will be changed? Post project situation</td>
</tr>
</tbody>
</table>

## Activities/phases (science part)

## Project consortium

## Duration/cost
ORGANIZE YOUR TIME
## FROM THE OPEN CALL TO THE DEADLINE

<table>
<thead>
<tr>
<th>Stage</th>
<th>Description</th>
<th>Timeframe</th>
</tr>
</thead>
<tbody>
<tr>
<td>1st stage</td>
<td><strong>Consortium meeting</strong>&lt;br&gt;Aim of the project, research question, distribution of work&lt;br&gt;(Science, Management and Editors!!)</td>
<td>5-6 months before deadline</td>
</tr>
<tr>
<td>2nd stage</td>
<td><strong>Homework</strong>&lt;br&gt;Proposal writing&lt;br&gt;(inputs from partners – WP leaders and coordinator!)</td>
<td>4-5 months before deadline</td>
</tr>
<tr>
<td>3rd stage</td>
<td><strong>Preparation of first draft of Proposal</strong>&lt;br&gt;First proposal draft&lt;br&gt;(summarized by lead scientist and support service: science, impact, implementation)</td>
<td>3 months before deadline</td>
</tr>
<tr>
<td>4th stage</td>
<td><strong>Core group meeting</strong>&lt;br&gt;IN or OUT&lt;br&gt;Final agreement&lt;br&gt;(aim and research question, WP, timeline, outputs/deliverables, budget, etc.)</td>
<td>3 months before deadline</td>
</tr>
<tr>
<td>5th stage</td>
<td><strong>Full proposal completion</strong>&lt;br&gt;Proposal writing (including editing, proof read and external review)&lt;br&gt;(Lead scientist, Support service, External experts)</td>
<td>Last two months</td>
</tr>
</tbody>
</table>
Timeline

1. Average time spent by coordinator: 350-450 hours = 45-60 working days (full time)

2. Average time spent by Work package leader: 70-100 hours = 9-14 working days (full time)

3. Approx. 50% Emailing (!!!)

Timeline: From idea to project

1. Project idea
2. Proposal writing
3. Proposal submission

3 to 6 months
Timeline: From idea to project

Proposal Submission

First indication from EC

5 months
Timeline: From idea to project

First indication from EC

Grant Preparation

3 mesi

Grant Agreement
Timeline: From idea to project

~ 3 to 5 years

Kick-off Meeting

Period Reports

Final Meeting

www.apre.it
Timeline: From idea to project

~ 4 ai 6 anni

Project Idea

Final meeting
COME LEGGERE UN WORK PROGRAMME
Call

Call - Better Health and care, economic growth and sustainable health systems

1.1 Personalised medicine

SC1-BHC-01-2019: Understanding causative mechanisms in co- and multimorbidity

SC1-BHC-02-2019: Systems approaches for the discovery of combinatorial therapies for complex disorders

SC1-BHC-03-2018: Exploiting research outcomes and application potential of the human microbiome for personalised prediction, prevention and treatment of disease

SC1-BHC-04-2018: Rare Disease European Joint Programme Cohorts

SC1-BHC-05-2018: International flagship collaboration with Canada for human data storage, integration and sharing to enable personalised medicine approaches


SC1-HCO-02-2018: Data integration and data-driven in silico models for enabling personalised medicine - a European standardization framework

SC1-HCO-04-2018: ERA-NET to support the Joint Programming in Neurodegenerative Diseases strategic plan (IPND)

1.2 Innovative health and care industry

SC1-BHC-07-2019: Regenerative medicine: from new insights to new applications

SC1-BHC-09-2018: Innovation platforms for advanced therapies of the future

SC1-BHC-10-2019: Innovation Procurement: Next generation sequencing (NGS) for routine diagnostics

SC1-HCO-05-2018: Strengthen Regulatory Sciences and support for regulatory Scientific Advice

1.3 Infectious diseases and improving global health

SC1-BHC-13-2019: Mining big data for early detection of infectious disease threats driven by climate change and other factors

SC1-BHC-14-2019: Stratified host-directed approaches to improve prevention, treatment and/or cure of infectious diseases

SC1-BHC-15-2018: New anti-infective agents for prevention and/or treatment of neglected infectious diseases (NID)

SC1-BHC-16-2018: Global Alliance for Chronic Diseases (GACD) - Scaling up of evidence-based health interventions at population level for the prevention, detection, and management of hypertension and/or diabetes
**Specific Challenge**
Cohorts are invaluable resources to obtain detailed description of individual biological variations in connection with a variety of environmental, pathogenic, occupational, societal, and lifestyle determinants that influence the onset and evolution of diseases. Europe currently has some of the most valuable population and patient cohorts, including well annotated clinical trial cohorts. Several large cohorts have also been developed in various parts of the world. Despite recent efforts to network cohorts, the level of integration needs to be escalated in order to optimise the exploitation of these resources, essential to underpin and facilitate the development of stratified and personalised medicine.

**Scope**
Building on existing cohorts and in close alliance with relevant research infrastructures, proposals should establish a strategy for the development of the next generation of integrated cohorts, including:

1. Map the cohort landscape in Europe and large international initiatives. The mapping should include, for instance meta-data on purpose, coverage and measurements and any other relevant information.
2. Identify best strategies for cohorts’ integration, taking into account relevant ethical issues.
3. Promote the harmonisation of past and future data collection and provide recommendations on standards to improve future sample and data collection.
4. Foster the inclusion of data emerging from new technologies (e.g. ICT, social platforms, etc.) and new type of data (e.g. lifestyle, geographical, genetic, eHealth records, exposure including to new and emerging products, etc.)
5. Promote best practices to optimise access to existing and future cohorts.
6. Contribute to define an international strategic agenda for better coordination of cohorts globally.

The Commission considers that a proposal requesting an EU contribution between EUR 1 to 2 million would allow this specific challenge to be addressed appropriately. Nonetheless, this does not preclude submission and selection of proposals requesting other amount.

**Expected impact**
Coordination of large cohorts at EU and global level would:

- Maximise the use of cohorts in defining/improving clinical practice and public health policy and bringing innovations to patients.
- Accelerate the development of personalised medicine.
- Improve the understanding of the complex interactions of environmental, social, occupational and lifestyle determinants of health.

**Type of action**
Coordination and support action

---

www.apre.it
ONLINE SUBMISSION FORMS

PART A
Administrative

PART B
Technical

www.apre.it
Two stages – 1st stage

PARTE A

1) General Information

2) Participants & Contacts (only coordinator)

3) Budget (only Total Requested Amount)

Template pdf online sul 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

Doc Word scaricabile dal Participant Portal

Max. 10 pages!
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
Excellence – 4 Subcriteria to adress

1. Objectives
2. Relation to the work programme
3. Concept and approach
4. Ambition
How are the subcriteria judged?

Source: Self-evaluation form for RIA/IA/CSA

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 is advised

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

• To a certain extend, the **project objectives are usually already included in the topic text** (see: *specific challenge, scope, expected impact.*), sometimes explicitely 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.
1.1 Objectives

Important questions helping identifying the right objectives

- What is the challenge / what are the problems in the specific field (indication etc.)?
- What shall be reached; which problem shall be addressed and solved?
- What is the consortiums’ vision?
- What needs to be delivered in order to reach the expected impact?
- Ask questions to cross-check the "central theme of the proposal“:
  - Are the objectives of the project useful to reach the expected impact?
  - Which approach have they chosen? What is their underlying concept (hypothesis, main assumptions) (needs to be addressed and cross-checked with 1.3)
Objectives are...

**S**pecific
**M**easurable
**A**ttainable
**R**elevant
**T**ime Based

**General Objectives**
Long term: beyond the duration of the project
*Improve, strenght, facilitate, realize...*

**Specific Objectives**
To be realized during the project implementation
*Testing, pilot plant, develop new knowledge, ...*
1.1.3 Correspondence with the objectives addressed by the call

The following table summarizes the comparison between the call objectives and the project’s ones.

<table>
<thead>
<tr>
<th>Objectives addressed by the call</th>
<th>Project objectives</th>
</tr>
</thead>
</table>
| [A] Demonstrating increased reliability and achieving manufacturing economies of scale are main barriers for concentration-based photovoltaic (CPV) systems. | • New high efficiency spectrum tuned III-V quantum well solar cells  
• New highly reliable PV receiver with advanced thermal management system made of cost effective materials  
• New advanced high acceptance free form optical system  
  ○ New low cost free form plastic primary mirror with advanced high reflectivity coating  
  ○ New low cost free form quartz SOE with anti-reflective coating  
  ○ Front glass with cost-effective highly reliable anti-reflective multifunctional coating  
• New module architecture  
  ○ Simple and reliable sealing method  
  ○ Effective low cost humidity management system  
• New highly reliable tracking system  
  ○ Simplified structure concepts for easy manufacturing and assembly and installation  
  ○ Highly reliable moving parts and driving methods based on brushless motors  
• New module’s inverter to improve system’s performance stability over time and increase system’s energy yield |

[B] In order to enable large-volume production of the CPV systems and reduce their costs, it is necessary to improve the level of integration of the manufacturing of different system

• Design and development of all the system’s components and development and demonstration of an integrated manufacturing line.
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 address the issues raised? And not: how exactly is the approach?
1.3 Concept & 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"
Technological Readiness Levels

When relevant it can be very illustrative to make a table of key elements of the project and the TRLs before and after the work.

<table>
<thead>
<tr>
<th>Element</th>
<th>Before</th>
<th>After</th>
</tr>
</thead>
<tbody>
<tr>
<td>Handheld Ultrasound technology</td>
<td>TRL3</td>
<td>TRL8</td>
</tr>
<tr>
<td>Hyperspectral Imaging</td>
<td>TRL3</td>
<td>TRL5</td>
</tr>
<tr>
<td>Acoustic Imaging</td>
<td>TRL2</td>
<td>TRL5</td>
</tr>
</tbody>
</table>
Technological Readiness Levels

**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
**TRL 6** – technology demonstrated in relevant environment
**TRL 7** – system prototype demonstration in operational environment
**TRL 8** – system complete and qualified
**TRL 9** – actual system proven in operational environment
1.3 Concept and approach

**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

approach and methodology – this is the chance to demonstrate the excellence of the consortium...

List all excellent/ground breaking technologies you will be applying (explain also why); “we are world-leader in...”, “unique technology...” ...

... and why you have composed it this way

activities – even if in H2020, all WPs receive same funding rate, it can be helpful for the reviewer if you distinguish between the different types of activities you plan to do (research, demonstration, piloting, first market replication) so to better understand which progress will be made during the project, and what remains to be done afterwards
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?
1.4 Ambition

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

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

• 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.

• Take the readers by the hand and guide them through the proposal.

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

• Create a logical link between objectives, workpackages and deliverables.

• Do not work to fill the 70 pages! Work to get your ideas across!
Messages for applicants

• Many applicants have difficulties to formulate their objectives.
• Ask yourself: does chapter 1 of the proposal create curiosity and stimulates to carry-on reading?.
• Does the layout encourage reading (with pleasure)?.
• Check consistency across chapter 1, and across entire proposal.
• Are abbreviations explained (when first occurring)?.
• Are figures self-explanatory (applicants tend to have too many figures in chapter 1, and also the wrong figures!).
• Take an Helicopter view on the proposed project: do you get all required information? What is missing? What is overdone?.
Practical example
Topic: New avenues for treatment and prevention of cancer

Challenge: Incidence rate of cancer is still raising; early diagnosis is either too expensive, not applicable or not existing

Scope: improvement of early diagnosis; use of „big-data“ approach; focus on common cancer; transdisciplinary approach

Expected Impact: - fast and easy diagnosis of cancer in early stages; - impact on health care systems
Your Project: development of early diagnosis program for skin cancer

1.1 Objectives:

Overall objective: reduction of incidence of skin cancer in Europe

Objectives:
1. 3 new validated and easy to measure Biomarkers for skin cancer
2. Draft program for early diagnosis of skin cancer which could be applied all over Europe
### 1.2 Relation to the work programme:

*Example:*

<table>
<thead>
<tr>
<th>Topic says</th>
<th>Project plans</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rising incidence rates of cancer</td>
<td>Incidence rates of skin cancer extremely high</td>
</tr>
<tr>
<td>Early diagnosis not existing</td>
<td>For skin cancer, no cheap and early diagnosis</td>
</tr>
<tr>
<td>Contribute to early diagnosis</td>
<td>The project will pave the way for establishment of an early diagnosis system</td>
</tr>
<tr>
<td>Big-data approach</td>
<td>Validation of new biomarkers will be done via genomics, transcriptomics and proteomics</td>
</tr>
<tr>
<td>Focus on common cancer</td>
<td>Skin cancer is one of the most common cancers in EU</td>
</tr>
<tr>
<td>Transdisciplinary</td>
<td>Biochemical Validation, technological development of diagnosis system, and HTA (economical assessments) will be necessary</td>
</tr>
</tbody>
</table>
1.3 Concept und approach: Concept:

• Skin cancer has risen dramatically over the last decade, yet an affordable early diagnosis is lacking
• Recent findings indicate that early diagnosis is possible via biomarker
• 1 biomarker may not be sufficient, but combining 3 markers will enhance sensitivity and diagnostic value

Our consortium has therefore gathered expertises in the areas of X, y, z and is outstanding with regards to ...

Members of the consortium have access to ... (infrastructure) and are also members in project A, B, C respectively in the steering board of initiative X and editorial board of (journal).

As skin cancer has a 20% higher incidence rate in women, we will take this into account ...
1.3 Concept und approach: Approach:

- biomarker will be identified using –omics approach
- 3 biomarkers will be investigated and validated each, and in combination in a clinical study
- Based on these findings, a new program for early diagnosis of skin cancer will be developed, in collaboration with health care providers and policy makers

Methodology used:
- -omics,
- MRT, whatever (groundbreaking)
1.4 Ambition:

• A combination of 3 easy measurable Biomarkers is new and has never been applied so far (for skin cancer/ cancer/ etc.).
• The chance to diagnose skin cancer in a very early stage will dramatically change the treatment of skin cancer
• The test kit combining 3 validated markers will be highly innovative and has so far not been patented (we have Freedom to operate); opportunity for own patent application (develop patent strategy)
• High market volume envisaged.
Criterion 2

Impact
Evaluation criteria

Excellence
Impact
Quality and efficiency of the implementation

Detailed aspects of evaluation depend on the type of action

5
5
5
2. Impact

1. Expected impacts

2. Measures to maximize impact
   a) Dissemination and exploitation of results
   b) Communication activities
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:
- the expected impacts set out in the work programme, under the relevant topic

Example

Expected impact:
- Innovative, 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.
- Contribution to the sustainability of health care systems.
- Growth 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 strengthen 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

- 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).

- 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.
2.2 Measures to maximise impact

- ...For innovation actions describe a credible path to deliver the innovations to the market. The plan, which should be proportionate to the scale of the project, should contain measures to be implemented both during and after the project.

- The approach to innovation should be as comprehensive as possible, and must be tailored to the specific technical, market and organizational issues to be addressed.
Impact 2.2

- Include a business plan where relevant.

- Management of the research data generated and/or collected during the project:
  - What types of data will the project generate/collect?
  - What standards will be used?
  - How will this data be exploited and/or shared/made accessible for verification and re-use? If data cannot be made available, explain why.
  - How will this data be curated and preserved?

Your consortium agreement is key for those questions / answers!
Impact – Dissemination & Exploitation

What is advised

• Dissemination, Communication & Exploitation 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)?
• Who belongs to your target group?

• Researchers
• Scientific community
• Health insurance companies
• Investors
• Patients / Patient groups
• Clusters
• Customers
• End-users
• Press
• Multipliers
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.**
**# Suggestion: what is the dissemination?**

Dissemination is linked only to the **results of the project which are often disseminated within the action’s own community** (e.g. presentation at scientific conferences, a peer reviewed publication). Promoting the action and its results on the other hand goes beyond that, as it means taking strategic and targeted measures for communicating about (i) the action and (ii) its results to a multitude of audiences, including the media and the public and possibly engaging in a two-way exchange.

**Examples of dissemination actions:**
- Publication of an **article in a peer reviewed journal**;
- **Papers** presented at a scientific conference;
- Presentation of **project results at standard committees**;
- Publishing a **summary report of your project findings** on a public website.
# Suggestion: what is the communication?

Examples of communication activities:
Any activity of “public engagement” that ensures that your research activities are made **known to the society at large in such a way that they can be understood by non-specialists.** This could be for example a **press release for the general public** at the start of the project, an **interview in the local radio station** after a major achievement of your project or an event in a shopping mall that shows how the outcomes of your project are relevant to our everyday lives.
Local workshops about the project with a target audience(s) for whom your project is of interest. For example, if a project, which is engaged in research about the preservation of marine environment, organises workshops with coast-guards, fishers and recreational sailors in all Mediterranean countries and also ensures to invite the local press to the workshops.
A toolkit/brochure/presentation to explain your project to students at schools and universities to show how interesting research can be and to promote your research field or assist teachers/professors in preparing and delivering teaching materials.
# Suggestion: what is the exploitation?

The **flow of knowledge and technology between the research and business** can be achieved through the exploitation of research results.

This latter can among others:
- Generate additional revenues;
- Promote open innovation;
- Increase access to and sharing of research data and publications;
- Engender possibilities for collaboration in research and teaching;
- Raise the profile and get publicity;
- Broaden the job market for students.
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).
Criterion 3
Implementation
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
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**
3.1 Work plan - work packages, deliverables and milestones

Expectations of the EC

- Detailed work description
  - A description of each work package (table 3.1a)
  - A list of work packages (table 3.1b)
  - A list of major deliverables (table 3.1c)

- Timing of the different work packages and their components
  (Gantt Chart)

- Graphical presentation of the components showing how they inter-relate (Pert Chart)
Establish plans / structures for the whole project

**Lead questions:**
- What do I want to do?
- What do I need for which task?
- What to do when?
- How much do I need of what?

- Workplan and Workpackages
- Partner responsibilities
- Time planning
- Resource planning

www.apre.it
### Work plan – Timing => Gantt Chart

#### from simple/Excelsheet......

<table>
<thead>
<tr>
<th>Work Package Name</th>
<th>2007</th>
<th>2008</th>
<th>2009</th>
</tr>
</thead>
<tbody>
<tr>
<td>WP1: Co-ordination and Project Management</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>WP2: Dissemination and Exploitation</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>WP3: Assessment and Evaluation</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>WP1.1:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>WP1.2:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>WP2.1:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>WP2.2:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>WP2.3:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>WP2.4:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>WP3:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>WP4:</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Milestones**
- D01
- M1
- M2
- M3
- M4
- M5
- M6
- M7

**Deliverables**
- D121
- D122
- D123
- D211
- D221
- D231
- D241
- D311
- D321
- D331
- D341
- D411
- D421
- D431
- D441
Work plan – Timing => Gantt Chart

....to complex management tools....
3.1 Work plan - work packages, deliverables and milestones

Table 3.1b: List of Work packages

<table>
<thead>
<tr>
<th>Work package No</th>
<th>Work Package Title</th>
<th>Lead Participant No</th>
<th>Lead Participant Short Name</th>
<th>Person-Months</th>
<th>Start Month</th>
<th>End month</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Example:

**WP1:** Project Management

**WP2:** Biomarkers

**WP3:** Clinical Trial

**WP4:** Dissemination
### Table 3.1a: Work package description (For each work package):

<table>
<thead>
<tr>
<th>Work package number</th>
<th>Start Date or Starting Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>Work package title</td>
<td></td>
</tr>
<tr>
<td>Participant number</td>
<td></td>
</tr>
</tbody>
</table>

**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
<table>
<thead>
<tr>
<th>Work package number</th>
<th>4</th>
<th>Start date or starting event:</th>
<th>1</th>
</tr>
</thead>
<tbody>
<tr>
<td>Work package title</td>
<td>Insertion of the crops in the existing agricultural systems</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Activity Type</td>
<td>RTD</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Participant number</td>
<td>1</td>
<td>5</td>
<td>6</td>
</tr>
<tr>
<td>Participant short name</td>
<td>CRES</td>
<td>UNIBO</td>
<td>IWNIRZ</td>
</tr>
<tr>
<td>Person-months per participant:</td>
<td>38</td>
<td>10</td>
<td>8</td>
</tr>
<tr>
<td>Participant number</td>
<td>14</td>
<td>17</td>
<td>22</td>
</tr>
<tr>
<td>Participant short name</td>
<td>FCT UNL</td>
<td>IBFC</td>
<td>ARC</td>
</tr>
<tr>
<td>Person-months per participant:</td>
<td>12</td>
<td>14</td>
<td>14</td>
</tr>
</tbody>
</table>

**Objectives:** The main objective of WP4 is to investigate all the important parameters (agronomic and harvesting) for the successful insertion of the five selected crops in the existing agricultural systems.

**Description of work (possibly broken down into tasks), and role of participants:**

**Task 4.1 Agronomic aspects for the successful insertion in the existing agricultural systems (Task leader: CRES).**
In this task several agronomic aspects will be tested for the successful insertion of the studied crops in the existing agricultural systems: the rotation systems, the determination of realistic yields when cultivated in large fields as well as cultivation with waste water. *In this task emphasis will be given in flax, hemp and kenaf because two of them already cultivated in Europe and the third crop is clear to commercialisation.*

**Sub-Task 4.1.1 – Crop rotation trials (CRES, UNIBO, IBFC, ARC)** The importance of crop rotation has been long recognized as an alternative system that can reduce agriculture’s dependence on external inputs through internal nutrient recycling, maintenance of the long-term productivity of the land, avoidance of accumulation of diseases and pests associated with monocropping and increased crop yields. However, barriers that would stop farmers for adopting crop rotation systems are the need for diversified farm activities, and information, as well as more diversified equipment and storage facilities. In 4FCROPS ([www.4fcrops.eu](http://www.4fcrops.eu)) crop rotations have been suggested for three out of the five selected crops. In this task two crop rotations will be tested: a) the three of the crops (hemp, flax and kenaf) to act as leading crop, following by a cereal and legume and b) in a rotation dedicated to non-food uses with rapeseed as a leading crop, followed by flax and/or kenaf and sunflower. Crop rotation trials will be contacted for four subsequent years in Greece, Italy, Poland, China and South Africa.

---

**Example**
WP ‘MANAGEMENT: EXAMPLE

The coordinator is the one mainly involved in the MGT activities, but other partners also contribute with minor efforts (es. reporting)
**Definition: Deliverable**

- Distinct output / **concrete result of the project / WP / task**
- meaningful **in terms of the project’s overall objectives**
- constituted by a report, a document, a technical diagram, software etc
- Every deliverable **has to be** delivered – **so be sure you can deliver it!**
- **TIPP:** maximum 5 -7 per WP

**Good examples:**

- Report on synthetic production of compound x
- Results of metabolomics for neurodegeneration-protein mouse models
- Project quality procedures established
- Study report demonstrating clinical efficacy over 3 months
3.1 Work plan - work packages, deliverables and milestones

**Table 3.1c: List of deliverables**

<table>
<thead>
<tr>
<th>Deliverable (number)</th>
<th>Deliverable name</th>
<th>Work package number</th>
<th>Short name of lead participant</th>
<th>Type</th>
<th>Dissemination level</th>
<th>Delivery date</th>
</tr>
</thead>
<tbody>
<tr>
<td>D2.1</td>
<td>Report on validated biomarkers</td>
<td>WP2</td>
<td></td>
<td>R</td>
<td>CO</td>
<td>M6</td>
</tr>
</tbody>
</table>

Deliverable numbers: in order of deliverable dates (e.g. D 4.2)
Type: R, DEM, DEC, OTHER
Dissemination level: PU, CO, CI
Deliverable Date: in Months from project start date (e.g. M6)
Work plan – Pert Diagram
PERT - Programme Evaluation and Review Technique

Good or Bad?
Work plan – Pert Diagram

WP1 Climate variability & change in Europe

WP2 Pollens and air quality

WP3 Clinical studies

WP4 Experimental animal model

WP5 Integrated assessment

WP6 Dissemination and ToK

Stakeholders, policy makers, scientific community

Good or Bad?
Work plan – Pert Diagram

WP1: Project Management

WP2: User Requirements

WP3: System Integration Architecture

WP4: Content Acquisition and Information Indexing

WP5: Memory management and User Interface

WP6: Cognition and training games

WP7: User Evaluation Field Trials

WP8: Privacy Integration and Ethical Watch

Good or Bad?

Figure 3: PERT Diagram
Work plan – Milestones

**Definition:**
- Structure project into **important periods** or **interim goals**
- **Control points** in project, help to chart progress

- **Status of the project?**
- **Aims achieved so far?**
- **Need for change of direction?**

<table>
<thead>
<tr>
<th>Milestone number</th>
<th>Milestone name</th>
<th>Related work package(s)</th>
<th>Estimated date</th>
<th>Means of verification</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Table 3.2a: List of milestones**

**KEY**

**Estimated date**
Measured in months from the project start date (month 1)

**Means of verification**
Show how you will confirm that the milestone has been attained. Refer to indicators if appropriate. For example: a laboratory prototype that is ‘up and running’; software released and validated by a user group; field survey complete and data quality validated.

- **Aims achieved** so far?
- May correspond to completion of key deliverable.
- Mark critical **decision point / turning points.**

www.apre.it
1. Excellence
   1. Objectives
   2. Relation to the work programme
   3. Concept and approach
   4. Ambition
2. Impact
   1. Expected impacts
   2. Measures to maximise impact
      Dissemination and exploitation of results
      Communication activities
3. Implementation
   1. Work plan - Work packages, deliverables and milestones
   2. Management structure and procedures
   3. Consortium as a whole
   4. Resources to be committed
4. Members of the consortium
   1. Participants (applicants)
   2. Third parties involved in the project (including use of third party resources)
5. Ethics and Security
   1. Ethics
   2. Security
MNG STRUCTURE/PROCEDURES

GOVERNANCE

- **Decision making** and/or executive bodies, **composition**
- **Competencies** (coordination, monitoring, decision-making) procedures for appointment
- **Timing** and modalities for meetings,
- **Voting rules** (unanimously, majority)

- Procedures for GA/CA revision
- Decisions related to defaulting or leaving parties, access of new beneficiaries

Tip: DESCAn Model Consortium Agreement describes typical procedures!
GOVERNANCE BODIES

GENERAL ASSEMBLY
(all partners; the “consortium” in the GA)

EXECUTIVE COMMITTEE (or Management Board)
(coordinator+ WP leaders)

OTHER SPECIFIC BOARDS***
(IPR; GENDER; ETHICAL aspects etc.)
Examples of MNG structures
Template Structure
Research and Innovation Action

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

2. Impact
   1. Expected impacts
   2. Measures to maximise impact
      Dissemination and exploitation of results
      Communication activities

3. Implementation
   1. Work plan - Work packages, deliverables and milestones
   2. Management structure and procedures
   3. Consortium as a whole
   4. Resources to be committed

4. Members of the consortium
   1. Participants (applicants)
   2. Third parties involved in the project (including use of third party resources)

5. Ethics and Security
   1. Ethics
   2. Security
Consortium – possible roles in the project

Coordinator

Partner 1

Partner 2

Partner 3

Partner 4

Subcontractor

Third parties
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

<table>
<thead>
<tr>
<th></th>
<th>Coordinator</th>
<th>Partner 2</th>
<th>Partner 3</th>
<th>Partner 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Management</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Technology Domain 1</td>
<td>X</td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Technology Domain 2</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Technology Domain 3</td>
<td></td>
<td></td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Technology Domain n</td>
<td></td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Dissemination</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
</tbody>
</table>
Reviewer’s comments

• The roles of partners 6 and 8 appear overlying.

• More representatives from industry, regulatory authorities and patent groups would be desirable.

• There is no partner with strong competence in XXX.

• The coordinator seems to play a predominant role and the scientific integration of other partners in the proposal is not sufficiently demonstrated.
1. **Excellence**
   1. Objectives
   2. Relation to the work programme
   3. Concept and approach
   4. Ambition

2. **Impact**
   1. Expected impacts
   2. Measures to maximise impact
   3. Dissemination and exploitation of results
   4. Communication activities

3. **Implementation**
   1. Work plan - Work packages, deliverables and milestones
   2. Management structure and procedures
   3. Consortium as a whole
   4. Resources to be committed

4. **Members of the consortium**
   1. Participants (applicants)
   2. Third parties involved in the project (including use of third party resources)

5. **Ethics and Security**
   1. Ethics
   2. Security
Consortium => Chapter 4

4. Members of the consortium – no page limit!

1. Participants

~ 2-3 pages per participant, keep structure the same for all partners:

• Description of organisation

• Main Tasks

• Profile of main staff members (SHORT!! Mini CV in Text- or table format)

• Previous projects or activities connected to the project

• 5 Publications and or patents/products relevant to the project

• significant infrastructure and/or technical equipment relevant to the proposed work

2. Third parties involved in the project (including use of third party resources)
What should I consider when forming a consortium?

The most important criteria are excellent qualifications and experience of your partners in their field of research.

- Just like the project itself, the consortium needs to demonstrate its European dimension. Try to avoid strong geographic asymmetries, i.e. the majority of partners coming from one particular country. However, don't just add partners for reasons of regional coverage.

- The individual partners need to have clearly defined roles and tasks within the project. Their expertise and skills should be crucial and complementary rather than additive.

- 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.
Other Tables in Implementation

• Table 3.2a List of Milestones
• Table 3.2b Critical risks for implementation
• Table 3.4a Summary of staff effort
• Table 3.4b Other direct cost‘ items
Risk Management

The risks will be controlled by:

- The coordination responsibility within large WPs being clearly divided up between WP Leaders and Task/Sub-task Leaders that represent the special excellence in the field of the particular tasks.
- Regular intercommunication, review and reporting on progress within WPs (by WP Leaders and Task/Sub-task Leaders);
- The identification and prioritization of risks inherent in the project;
- Selecting the appropriate risk management approaches and avoiding risks that the project is not competent to or willing to manage;
- Implementing controls to manage the remaining risks;
- Learning from experience and making improvements to the project.

### Specific risks and contingency plans:

<table>
<thead>
<tr>
<th>Possible risk</th>
<th>Contingency plans</th>
</tr>
</thead>
<tbody>
<tr>
<td>Under- or over-estimate workload</td>
<td>Management team discussion and adaptation of the work plan, in agreement with the scientific officer, for deliverables and milestones.</td>
</tr>
<tr>
<td>Insufficient communication and data/and material delivery between partners.</td>
<td>Improved communication infrastructure. Extra meetings (face-to-face, telephone, Skype conferences).</td>
</tr>
<tr>
<td>Conflicts within the Consortium.</td>
<td>Evaluated reasons and try to resolve. If necessary, use of a mediator from outside to solve disagreements.</td>
</tr>
<tr>
<td>Trial site and personnel changes</td>
<td>Commitment letter undersigned by partners. Management team discussions. Reorganization of project activities in agreement with the scientific officers.</td>
</tr>
<tr>
<td>SMEs interests and economical situation changing</td>
<td>Careful selection of SME Partners, replacing some of SME work and/or adaptation of work plan.</td>
</tr>
<tr>
<td>Project timescales are too short to get data on slow-growing species. Delay in trials.</td>
<td>WP1 and WP2: – Planting of the slowest-developing species prior to the project’s commencement date. Adapt timetable, in agreement with the scientific officer. If delay is extreme, replacement of trial with other</td>
</tr>
</tbody>
</table>
Feedback Evaluators - ESRs

- The proposed work packages are not fully detailed.
- Work packages xx miss details on user selection criteria, and ... Work package xx do not sufficiently address software design and development.....
- WP xx is overloaded with tasks and resources
- Some task descriptions have not been sufficiently elaborated
- Project timing is problematic. There are some tasks built on each other running almost in parallel and overlapped.
- Resources allocated for equipment and material are not fully justified
- The decision making in their organization structure is not convincingly presented.
- The proposal lists only 4 milestones, which seems too few for a 4 year project
- The contingency planning does not completely target all risks of all planned complex tasks
1. Excellence
   1. Objectives
   2. Relation to the work programme
   3. Concept and approach
   4. Ambition

2. Impact
   1. Expected impacts
   2. Measures to maximise impact
   Dissemination and exploitation of results
   Communication activities

3. Implementation
   1. Work plan - Work packages, deliverables, and milestones
   2. Management structure and procedures
   3. Consortium as a whole
   4. Resources to be committed

4. Members of the consortium
   1. Participants (applicants)
   2. Third parties involved in the project (including use of third party resources)

5. Ethics and Security
   1. Ethics
   2. Security
5. Ethics and Security

5.1 Ethics

If you have entered any ethics issues in the ethical issue table in the administrative proposal forms, you must:

submit an ethics self-assessment, which:

- describes how the proposal meets the national legal and ethical requirements of the country or countries where the tasks raising ethical issues are to be carried out;
- explains in detail how you intend to address the issues in the ethical issues table, in particular as regards:
  - research objectives (e.g. study of vulnerable populations, dual use, etc.)
  - research methodology (e.g. clinical trials, involvement of children and related consent procedures, protection of any data collected, etc.)
  - the potential impact of the research (e.g. dual use issues, environmental damage, stigmatisation of particular social groups, political or financial retaliation, benefit-sharing, malevolent use, etc.).

provide the documents that you need under national law (if you already have them), e.g.:

- an ethics committee opinion;
- the document notifying activities raising ethical issues or authorising such activities.
ETHICS on the proposal templates

**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*
Proposal Part A

Section 4 ‘Ethics Issues Table’ – 10 Questions:

If ‘yes’ for any questions, ethic-self assessment to be completed in Part B

<table>
<thead>
<tr>
<th>Section</th>
<th>1. HUMAN EMBRYOS/FOETUSES</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Does your research involve Human Embryonic Stem Cells (hESCs)?</td>
<td>○ Yes ○ No</td>
</tr>
<tr>
<td></td>
<td>Does your research involve the use of human embryos?</td>
<td>○ Yes ○ No</td>
</tr>
<tr>
<td></td>
<td>Does your research involve the use of human foetal tissues / cells?</td>
<td>○ Yes ○ No</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Section</th>
<th>2. HUMANS</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Does your research involve human participants?</td>
<td>○ Yes ○ No</td>
</tr>
<tr>
<td></td>
<td>Does your research involve physical interventions on the study participants?</td>
<td>○ Yes ○ No</td>
</tr>
<tr>
<td></td>
<td>Does it involve invasive techniques?</td>
<td>○ Yes ○ No</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Section</th>
<th>3. HUMAN CELLS / TISSUES</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Does your research involve human cells or tissues?</td>
<td>○ Yes ○ No</td>
</tr>
<tr>
<td></td>
<td>If your research involves human embryos/foetuses, please also complete the section &quot;Human Embryos/Foetuses&quot; [Box 1].</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Section</th>
<th>4. PROTECTION OF PERSONAL DATA</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Does your research involve personal data collection and/or processing?</td>
<td>○ Yes ○ No</td>
</tr>
<tr>
<td></td>
<td>Does your research involve further processing of previously collected personal data (secondary use)?</td>
<td>○ Yes ○ No</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Section</th>
<th>5. ANIMALS</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Does your research involve animals?</td>
<td>○ Yes ○ No</td>
</tr>
</tbody>
</table>
Proposal Part A

Section 4 ‘Ethics Issues Table’ – 10 Questions:

1. Human embryo*/foetuses
2. Humans*
3. Human cells/tissues*
4. Protection of personal data (collection, recording, storage, deleting)
5. Animals (favour alternative methods – 3 R’s: Replacement, Reduction, Refinement)
6. Non-EU countries* (prohibited in EU, exploitation, risks)
7. Environment, Health, Safety (fauna/flora, humans, research staff)
8. Dual-use (military application!?)
9. Exclusive focus on civil applications
10. Misuse (malevolent use of research results)
11. Other ethics issues

* Informed consent/Information sheet

How to complete your Ethics self-assessment
Section 5 ‘Ethics and Security’ (no page limit)

Please refer to submission system for the definitive template for your call.

Section 5: Ethics and Security

This section is not covered by the page limit.

5.1 Ethics

If you have entered any ethics issues in the ethical issue table in the administrative proposal forms, you must:

- submit an ethics self-assessment, which:
  - describes how the proposal meets the national legal and ethical requirements of the country or countries where the tasks raising ethical issues are to be carried out;
  - explains in detail how you intend to address the issues in the ethical issues table, in particular as regards:
    - research objectives (e.g. study of vulnerable populations, dual use, etc.)
    - research methodology (e.g. clinical trials, involvement of children and related consent procedures, protection of any data collected, etc.)
    - the potential impact of the research (e.g. dual use issues, environmental damage, stigmatisation of particular social groups, political or financial retaliation, benefit-sharing, malevolent use, etc.);
- provide the documents that you need under national law (if you already have them), e.g.:
  - an ethics committee opinion;
  - the document notifying activities raising ethical issues or authorising such activities.

⚠️ If these documents are not in English, you must also submit an English summary of them (containing, if available, the conclusions of the committee or authority concerned).

⚠️ If you plan to request these documents specifically for the project you are proposing, your request must contain an explicit reference to the project title.

To be completed if ‘yes’ for any questions in ethics issues table part A

Provide appropriate documents as evidence

If not, timeframe for approvals/authorizations

www.apre.it
1. Excellence
1.1 Objectives
1.2 Relation to work programme
1.3 Concept and approach
1.4 Ambition

2. Impact
2.1 Expected impacts
2.2 Misure to maximase impact
   a) Dissemination and exploitation of results
   b) 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
5. Ethics and Security

Wrap up!

And cover page!
- Title of proposal and
- List of participants

Proposal template
(technical annex)

Research and Innovation actions
Innovation actions

www.apre.it