Euresearch Network Office
Bern – Switzerland

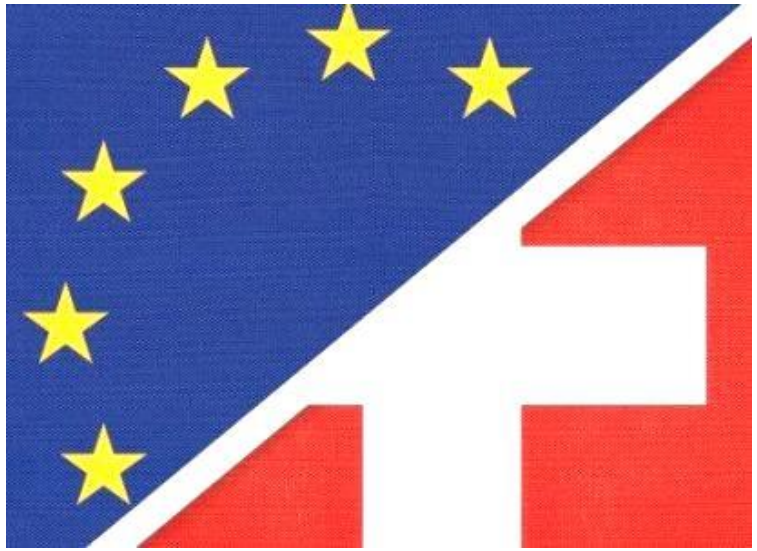
Proposal Writing Training

euresearch

Swiss guide to European research and innovation

Swiss status

Status of Switzerland in Horizon Europe



Regular updates from State Secretariat for Education Research Innovation (SERI)

↳ www.horizon-europe.ch

Not associated (yet) to Horizon Europe	Swiss entities can participate as Associated Partners
No signature of the EU Grant Agreement	National funding via SERI (not from the EC)

Swiss Entities as “Associated Partners”

Active role in the project as other Beneficiaries	Leading work packages is possible	Sign the Consortium Agreement (or a separate collaboration agreement)
Tasks & activities clearly described in the proposal	Coordination is not possible	Budget does not count toward the maximum call budget

Financing for and Support to Swiss Participants is Secured

Financial Guarantee for eligible calls with deadline till 2023
Financial Guarantee for eligible calls with deadline till 2024

euresearch
Swiss guide to European research and innovation

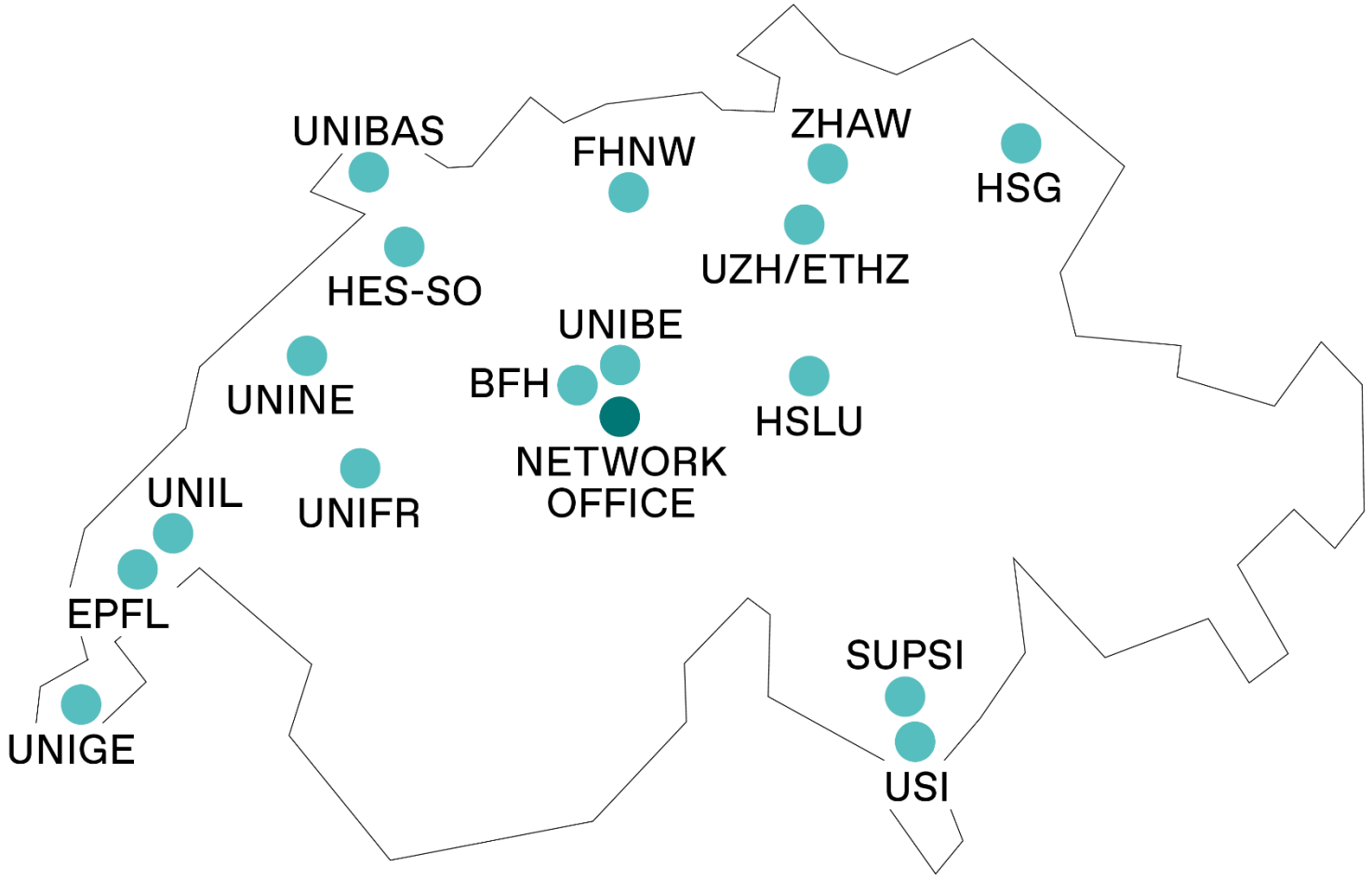
More details on Euresearch dedicated web page

Specific experts' support on each thematic area

Why Euresearch?

Euresearch in The Regions

BFH	Berner Fachhochschule, Bern
EPFL	École polytechnique fédérale de Lausanne, Lausanne
Network Office	Euresearch Network Office, Bern
FHNW	Fachhochschule Nordwestschweiz, Windisch
HES-SO	Haute école spécialisée de Suisse occidentale, Delémont
HSG	Universität St.Gallen, St.Gallen
HSLU	Hochschule Luzern, Luzern
SUPSI	Scuola universitaria professionale della Svizzera italiana, Manno
UNIBAS	Universität Basel, Basel
UNIBE	Universität Bern, Bern
UNIFR	Universität Freiburg, Freiburg
UNIGE	Université de Genève, Genève
UNIL	Université de Lausanne, Lausanne
UNINE	Université de Neuchâtel, Neuchâtel
USI	Università della Svizzera italiana, Lugano
UZH/ETHZ	Universität Zürich/Eidgenössische Technische Hochschule Zürich
ZHAW	Zürcher Hochschule für Angewandte Wissenschaften, Winterthur



Euresearch services

Consortium

Deadline

Topic

Proposal Writing

Evaluation & Results

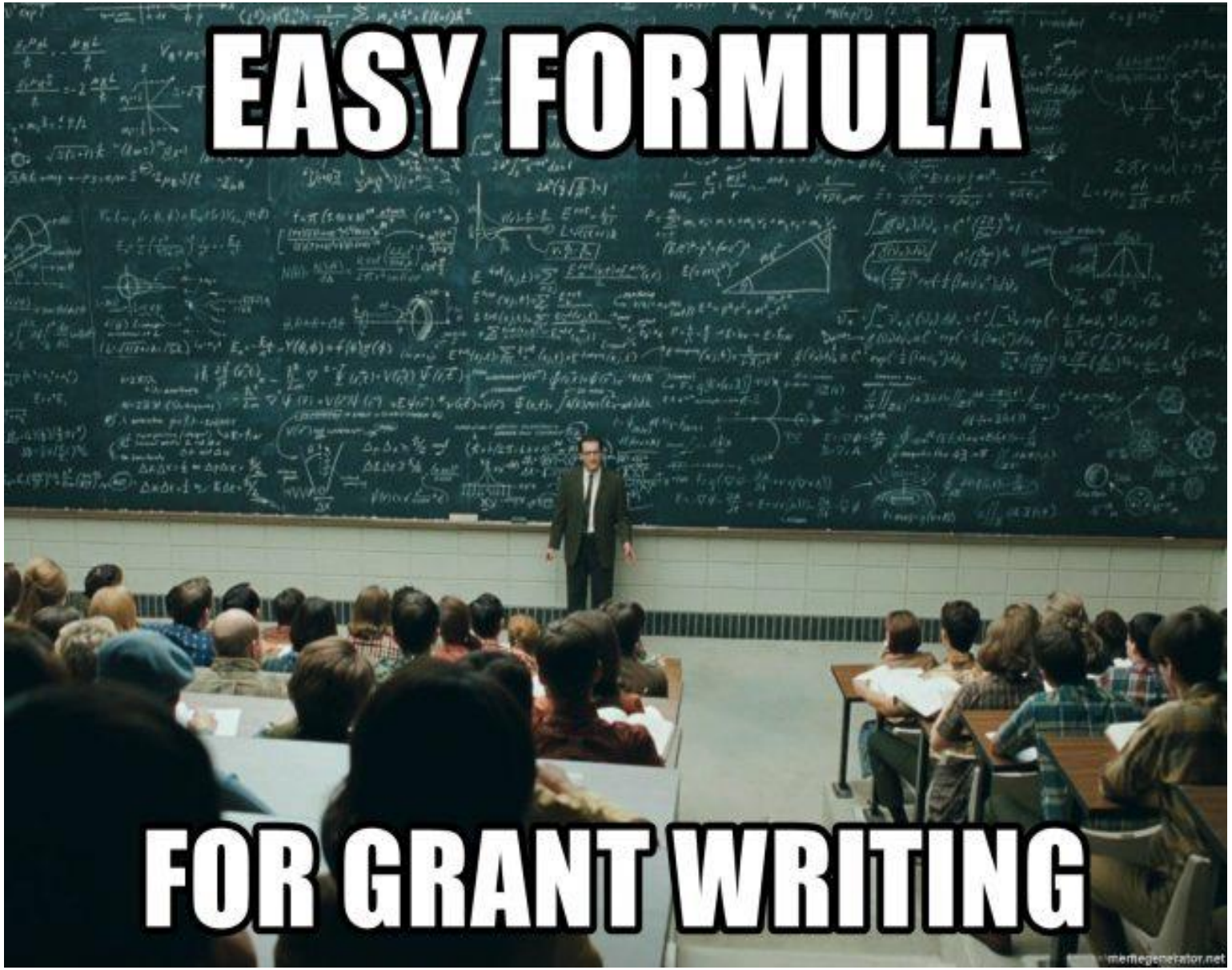
Request Swiss Funding

Inform

Advice

Connect

Today´s Training



There is no easy formula

- Have a clear idea of the structure and technicalities of proposals.
- Have the tools needed to start thinking about/writing your proposal.
- You know whom to contact should you have questions.

In this training we do not

- *Cover the basics of the Horizon Europe programme*
  - *Go into details of blind evaluation**
    - *Choose the topic for you*

**Blind evaluation* is used for the first stage of two-stage calls. Applicants submitting a proposal under the blind evaluation pilot must not disclose their organisation names, acronyms, logos nor names of personnel in Part B of their first-stage application. Please contact your NCP in case of questions.*

Proposal Writing Training




Excellence

(Jennifer McClung & Micol Nantiat)

★★★

Impact

(Sasha Hugentobler & Micol Nantiat)

Implementation

(Nicole Wyss & Micol Nantiat)

Hands-on Exercise

(Stefan Fischer & Matthew Whellens)

Agenda

Time	Agenda Item	Speaker
09:15	Welcome & General Information	Andrea Guzman Mesa
09:35	Proposal template: **Excellence**	Jennifer McClung Micol Nantiat
10:25	Proposal template: **Impact**	Sasha Hugentobler Micol Nantiat
11:05	Coffee break	
11:25	Proposal template: **Implementation**	Nicole Wyss Micol Nantiat
12:10	Learn from a successful Applicant to Horizon Europe: TRUSTING project	Phillipp Homan, University Hospital Zurich
12:35	Lunch Break	
13:30	Exercise to Strengthen your Knowledge on the Impact Pathways	Stefan Fischer, Matthew Whellens
15:10	Wrap up & Q&A	Andrea Guzman Mesa, Agnieszka Kosinska
15:25	Closing	
15:30-16:30	Bilateral Meetings with thematic experts (NCPs)	All National Contact Points

Proposal Writing Training

Excellence

(Jennifer McClung & Micol Nantiat)
9:35am – 10:25am

Impact

(Sasha Hugentobler & Micol Nantiat)

Implementation

(Nicole Wyss & Micol Nantiat)

Hands-on Exercise

(Stefan Fischer & Matthew Whellens)

Excellence Section

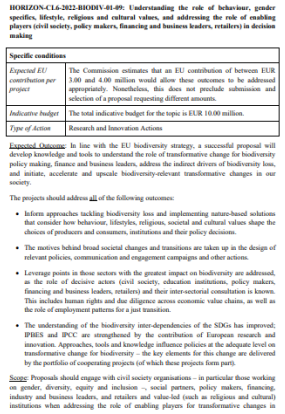
Jennifer McClung
NCP for Cluster 2 (SSH)
&
Micol Nantiat
NCP for Legal & Finance

Proposal Writing Training for Collaborative Projects

29 June 2023

3 **Golden** Rules for Proposal Writing

Fit to the **topic information**



HORIZON-CL6-2022-BIODIV-01-09: Understanding the role of behaviour, gender specifics, lifestyle, religious and cultural values, and addressing the role of enabling players (civil society, policy makers, financing and business leaders, retailers) in decision making

Specific conditions	
Expected EU contribution per project	The Commission estimates that an EU contribution of between EUR 3.00 and 4.00 million would allow these outcomes to be addressed appropriately. Nonetheless, this does not preclude submission and selection of a proposal requesting different amounts.
Indicative budget	The total indicative budget for the topic is EUR 10.00 million.
Type of Action	Research and Innovation Actions

Expected Outcome: In line with the EU biodiversity strategy, a successful proposal will develop knowledge and tools to understand the role of transformative change for biodiversity policy making, finance and business leaders, address the indirect drivers of biodiversity loss, and initiate, accelerate and upscale biodiversity-relevant transformative changes in our society.

The projects should address all of the following outcomes:

- Inform approaches tackling biodiversity loss and implementing nature-based solutions that consider how behaviour, lifestyles, religious, societal and cultural values shape the choices of producers and consumers, institutions and their policy decisions.
- The motives behind broad societal changes and transitions are taken up in the design of relevant policies, communication and engagement campaigns and other actions.
- Leverage points in those sectors with the greatest impact on biodiversity are addressed, as the role of decisive actors (civil society, education institutions, policy makers, financing and business leaders, retailers) and their inter-sectorial consultation is known. This includes human rights and due diligence across economic value chains, as well as the role of employment patterns for a just transition.
- The understanding of the biodiversity inter-dependencies of the SDGs has improved; IPBES and IPCC are strengthened by the contribution of European research and innovation. Approaches, tools and knowledge influence policies at the adequate level on transformative change for biodiversity – the key elements for this change are delivered by the portfolio of cooperating projects (of which these projects form part).

Scope: Proposals should engage with civil society organisations – in particular those working on gender, diversity, equity and inclusion –, social partners, policy makers, financing, industry and business leaders, and retailers and value-led (such as religious and cultural) institutions when addressing the role of enabling players for transformative changes in

Follow the **proposal template**

Horizon Europe Programme

Standard Application Form (RIA, IA)

Application form (Part A)
Project proposal – Technical description (Part B)

Version 2.0
22 April 2021

Address **evaluation criteria**

Application Form – Part B structure

1. EXCELLENCE	2. IMPACT	3. IMPLEMENTATION
What **What is the project about?**	Why Why should we do the project? What evidence do we collect and measure in the project to demonstrate the projects value?	How How to achieve the objectives?

Application Form – Part B structure

1. EXCELLENCE

2. IMPACT

3. IMPLEMENTATION

What
What is the project about?

Why
Why should we do the project? What evidence do we collect and measure in the project to demonstrate the projects value?

How
How to achieve the objectives?

Application Form – Part B structure

1. EXCELLENCE

What

What is the project about?

How to get and then keep your reviewers' attention?

Step 1: Read the Topic Information – online or in work programme

Basis of proposed project: **outcomes**, **deliverables**, and **objectives** must cover what is mentioned in **topic information**

Structure of a Topic

TOPIC IDENTIFIER: TOPIC TITLE

Specific Conditions
Expected EU contribution per project
Indicative budget
Type of Action
Eligibility conditions

Expected Outcome
Projects/Activities/Deliverables…

Scope
Description of background/context
EC's motivation for funding
Projects should explore/develop/improve…

Step 2: Read the Proposal Template

1. Excellence

Definitions

Sub-sections
- descriptions of required content
- questions to be answered
- appx. page limit for each

2. Impact

3. Quality and efficiency of the implementation

Step 2: Read the Evaluation Criteria (in proposal template)

1. Excellence

Excellence – aspects to be taken into account.
- Clarity and pertinence of the project's objectives, and the extent to which the proposed work is ambitious, and goes beyond the state of the art.
- Soundness of the proposed methodology, including the underlying concepts, models, assumptions, interdisciplinary approaches, appropriate consideration of the gender dimension in research and innovation content, and the quality of open science practices,including sharing and management of research outputs and engagement of citizens, civil society and end users where appropriate

2. Impact

3. Quality and efficiency of the implementation

Award Criteria for Excellence (RIA/IA)

Clarity and pertinence of the **project's objectives**, and the extent to which the proposed work is **ambitious**, and goes beyond the state-of-the-art.

Soundness of the proposed methodology, including the underlying concepts, models, assumptions, inter-disciplinary approaches, appropriate consideration of the **gender dimension** in research and innovation content, and the quality of **open science** practices including sharing and management of research outputs and engagement of citizens, civil society and end users where appropriate.

Score = 0 to 5

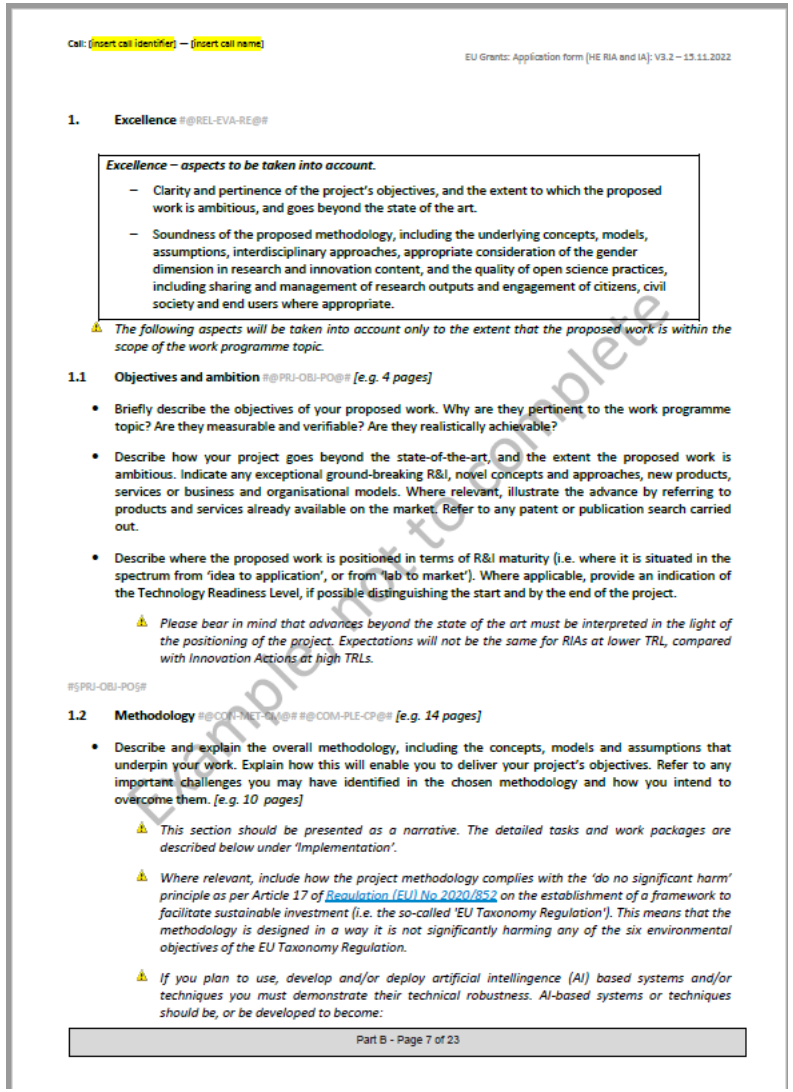
Step 3: Start Writing

TOPIC IDENTIFIER: TOPIC TITLE

Specific Conditions
Expected EU contribution per project
Indicative budget
Type of Action
Eligibility conditions

Expected Outcome
Projects/Activities/Deliverables…

Scope
Description of background
Projects should explore/develop/improve…



Call: [insert call identifier] – [insert call name]

EU Grants: Application form (HE RIA and IA): V3.2 – 15.11.2022

1. Excellence #@REL-EVA-RE@#

Excellence – aspects to be taken into account.

- Clarity and pertinence of the project's objectives, and the extent to which the proposed work is ambitious, and goes beyond the state of the art.
- Soundness of the proposed methodology, including the underlying concepts, models, assumptions, interdisciplinary approaches, appropriate consideration of the gender dimension in research and innovation content, and the quality of open science practices, including sharing and management of research outputs and engagement of citizens, civil society and end users where appropriate.

⚠ *The following aspects will be taken into account only to the extent that the proposed work is within the scope of the work programme topic.*

1.1 Objectives and ambition #@PRJ-OBJ-PO@# *[e.g. 4 pages]*

- Briefly describe the objectives of your proposed work. Why are they pertinent to the work programme topic? Are they measurable and verifiable? Are they realistically achievable?
- Describe how your project goes beyond the state-of-the-art, and the extent the proposed work is ambitious. Indicate any exceptional ground-breaking R&I, novel concepts and approaches, new products, services or business and organisational models. Where relevant, illustrate the advance by referring to products and services already available on the market. Refer to any patent or publication search carried out.
- Describe where the proposed work is positioned in terms of R&I maturity (i.e. where it is situated in the spectrum from 'idea to application', or from 'lab to market'). Where applicable, provide an indication of the Technology Readiness Level, if possible distinguishing the start and by the end of the project.

⚠ *Please bear in mind that advances beyond the state of the art must be interpreted in the light of the positioning of the project. Expectations will not be the same for RIAs at lower TRL, compared with Innovation Actions at high TRLs.*

#§PRJ-OBJ-PO§#

1.2 Methodology #@COM-MET-ME@# #@COM-PLE-CP@# *[e.g. 14 pages]*

- Describe and explain the overall methodology, including the concepts, models and assumptions that underpin your work. Explain how this will enable you to deliver your project's objectives. Refer to any important challenges you may have identified in the chosen methodology and how you intend to overcome them. *[e.g. 10 pages]*

⚠ *This section should be presented as a narrative. The detailed tasks and work packages are described below under 'Implementation'.*

⚠ *Where relevant, include how the project methodology complies with the 'do no significant harm' principle as per Article 17 of Regulation (EU) No 2020/852 on the establishment of a framework to facilitate sustainable investment (i.e. the so-called 'EU Taxonomy Regulation'). This means that the methodology is designed in a way it is not significantly harming any of the six environmental objectives of the EU Taxonomy Regulation.*

⚠ *If you plan to use, develop and/or deploy artificial intelligence (AI) based systems and/or techniques you must demonstrate their technical robustness. AI-based systems or techniques should be, or be developed to become:*

Part B - Page 7 of 23

Excellence Section: Content

Excellence sub-sections =

1.1 Objectives and Ambition
1.2 Methodology

Sub-sections in the Excellence Section

1.1

Objectives and Ambition *e.g. 4 pages*

1.2

Methodology *e.g. 15 pages*

Sub-sections in the Excellence Section

1.1

Objectives and Ambition *e.g. 4 pages*

- Objectives (relevant, measurable and verifiable, and achievable)
- Beyond state-of-the-art
- R&I maturity (TRL levels)

1.2

Methodology *e.g. 15 pages*

Tip: **Highlight** the main objectives of your proposal in a clear way so that it's easy to find for evaluators
THEN – structure your project (sections, work packages, etc) around your objectives

Objectives Need to Be SMART

Specific

Measurable

Achievable

Relevant/Realistic

Time-bound

State of the Art – Dazzle Them!

- Describe how your project goes beyond the state-of-the-art, and the extent the proposed work is ambitious. Indicate any exceptional ground-breaking R&I, novel concepts and approaches, new products, services or business and organisational models. Where relevant, illustrate the advance by referring to products and services already available on the market. Refer to any patent or publication search carried out.

Examine existing literature	Screen existing project landscape *e.g. cordis*	Search in patent databases *e.g. European patent database*

- ✓ Be specific (e.g., patent application number, publication)
- ✓ **Blind evaluations – all this must be done without reference to your own name or your institution's**

Sub-sections in the Excellence Section

1.1

Objectives and Ambition *e.g. 4 pages*

Tip: Structure – clear, logical
Detail – enough to convince reviewers

Tip: Include links and synergies to other EU programmes, but always highlight the added value of your project compared to those (n.b. Blind evaluation exceptions)

Tip: factsheet on good SSH integration practices – good practices examples

1.2

Methodology *e.g. 15 pages*

- Methodology (concepts, models, specific methods)
- Links to other national and international R&I activities
- Interdisciplinary approach
- Integration of SSH
- Gender dimension
- Open science practices
- Research data management (FAIR principle)

Methodology Section

Open Science Practices

Do no significant harm principle (DNSH)

Gender dimension in R&I content

Open Science

New paradigm from Open Access (OA) to Open Science (OS):

Early and open sharing of research	Extensive researcher collaboration	Involvement of all relevant knowledge actors in the co-creation of R&I agendas and contents

Evaluated in **Excellence** (methodology) AND **Implementation** (quality and efficiency) AND **Part A**

Open Science

MANDATORY

OA to research outputs through deposition in trusted repositories

e.g. publications, data, software, models, algorithms, and workflows

research output management including data management plan

measures to ensure **reproducibility** of research outputs

RECOMMENDED

participation in **open peer-review**

early and open sharing of research

e.g. through preregistration, registered reports, pre-prints, or crowd-sourcing

involving all relevant knowledge actors in the co-creation of R&I agendas and contents

Mandatory OS Practices

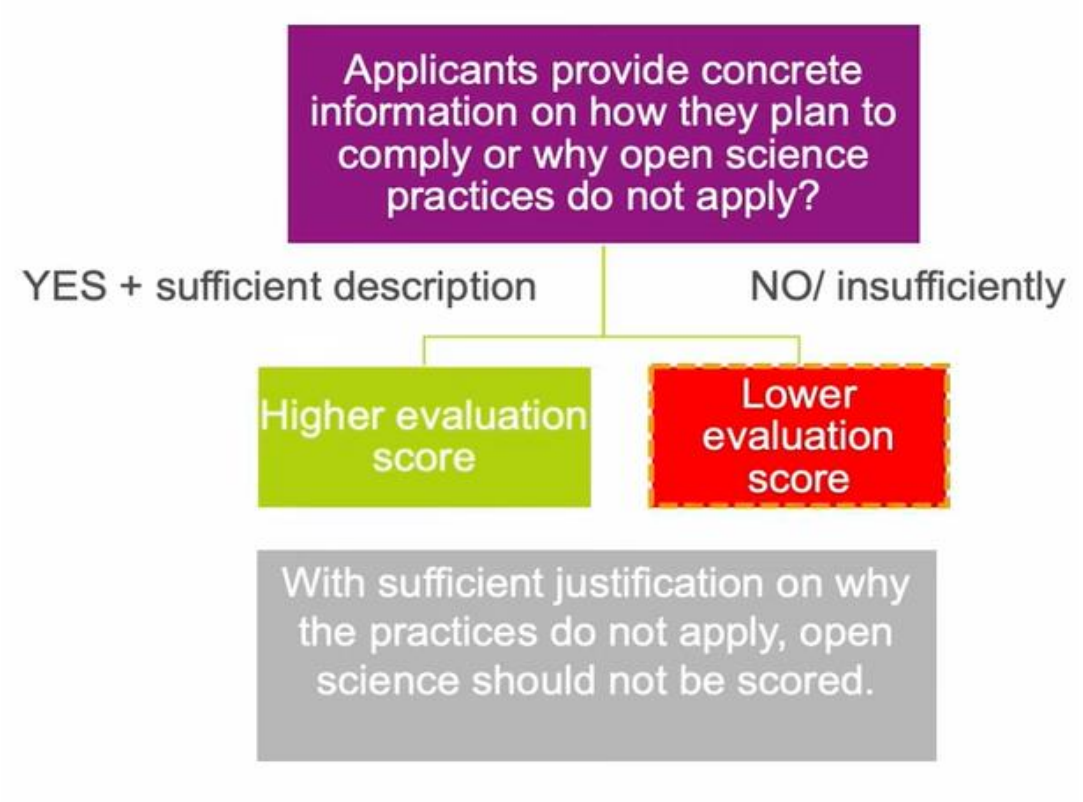
As open as possible, as closed as necessary

Findable	Sufficient meta data
Accessible	Ensure data availability
Interoperable	Formats that enable cross-referencing
Reusable	Faciliate re-use via information on data origin/limits

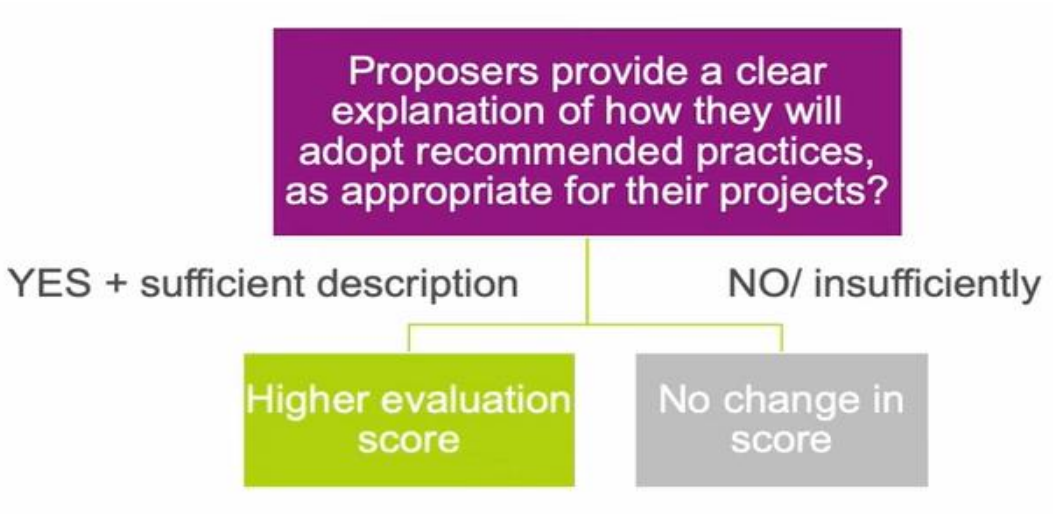
When mandatory practices are not applicable > provide good explanation (evaluated)

Open Science Evaluation

MANDATORY



RECOMMENDED



Open Science Evaluation

PART A

List of up to 5 publications, widely-used datasets, software, goods, services, or any other achievements relevant to the call content.

Type of achievement	Short description
[Publication] [Dataset] [Software] [Good] [Service]	Key elements of the achievement, including a short qualitative assessment of its impact and (where available) its digital object identifier (DOI) or other type of persistent identifier (PID). Publications, in particular journal articles, are expected to be open access. Datasets are expected to be FAIR and 'as open as possible, as closed as necessary'.

- ✓ Evaluation based on quality assessment of the applicants for each publication (not on journal impact factor)

Open Science Evaluation

EXCELLENCE

- ✓ How OS practices are implemented as an integral part of the methodology
- ✓ How OS practices are adapted to the nature of the work
- ✓ How OS practices increase the chances of the project delivering on its objectives
- ✓ Evaluation of the research output management and related plan for other outcomes than publications

IMPLEMENTATION

- ✓ Quality and efficiency of the implementation

More information from page 40 of the Horizon Europe Programme Guide

Research Data Management

DATA MANAGEMENT PLAN

- ✓ Regularly updated
- ✓ Project delivery at month 6
- ✓ Evaluated in proposal
- ✓ EC Template available!

DATA DEPOSIT

- ✓ asap according to DMP
- ✓ In a trusted repository

License:
CC BY
CC 0 or equivalent
CC BY-NC/CC BY-ND for long-text formats

open access Publication fees are **reimbursable** only if publishing venue is full open access.

Methodology Section

Open Science Practices

Do no significant harm principle (DNSH)

Gender dimension in R&I content

Do No Significant Harm Principle (DNSH)

Explain how the negative impact could be managed if impacting:

Climate change mitigation	Climate change adaptation	Protection and restoration of biodiversity & ecosystems
Sustainable use & protection of water & marine resources	Transition to a circular economy	Pollution prevention & control

To be addressed in **Excellence** AND **Impact** of the project.

Evaluators score DNSH principle **only if** explicitly stated in the work programme.

Methodology Section

Open Science Practices

Do no significant harm principle (DNSH)

Gender dimension in R&I content

Gender Dimension in Research & Innovation

MANDATORY

- Describe how the gender dimension (i.e. sex and/or gender analysis) is taken into account in the project's research and innovation content *[e.g. 1 page]*. *If* you do not consider such a gender dimension to be relevant in your project, please provide a justification._

SEX	GENDER	INTERSECTIONAL FACTORS
biological characteristics distinguish between male, female, and intersex	socio-cultural norms, identities and relations defining *feminine* & *masculine*	e.g. racial or ethnic origin, age, socioeconomic status, sexual orientation, or disability

This section is **not** about the gender balance in the team carrying out the project.

Gender Dimension in Research & Innovation

✓ Reflect on why sex and/or gender could matter

How gender dimension provides added value in terms of creativity, excellence, and return on investment, both from public and private perspectives.

✓ Consider the production of new knowledge on gender

What is already known in your area for gender dimension (e.g., related scientific literature) and what is missing.

✓ Include sex and gender aspects as part of a multidisciplinary approach

✓ Consider social categories/factors intersecting with sex and gender

the way a research problem is formulated will determine which intersecting variables are relevant for analysis. Intersectional research should be designed to illuminate the multiplicative effects of different, but interdependent, categories and factors.

Gender Dimension in Research & Innovation

COMMON MISTAKES

- using gender stereotypes
- sex/gender taken as BINARY categories
- not considering other categories of possible influence (intersectionality)
- assigning differences automatically to sex (taking sex for gender)
- over accentuation of sex and/or gender differences without having proof of their role in the researched topic
- overlooking proofs of minimal or no differences (sex and/or gender)

Questions?

euresearch

Swiss guide to European research and innovation

Proposal Writing Training

Excellence

(Jennifer McClung & Micol Nantiat)

Impact

(Sasha Hugentobler & Micol Nantiat)
10:25am – 11:05am

Implementation

(Nicole Wyss & Micol Nantiat)

Hands-on Exercise

(Stefan Fischer & Matthew Whellens

Impact Section

Sasha Hugentobler
NCP for Health
&
Micol Nantiat
NCP for Legal & Finance

Proposal Writing Training for Collaborative Projects

29.06.2023

Application Form – Part B structure

1. EXCELLENCE	2. IMPACT	3. IMPLEMENTATION
What What is the project about?	Why Why should we do the project? What evidence do we collect and measure in the project to demonstrate the projects value?	How How to achieve the objectives?

Read the Award Criteria in the Proposal Template

1. Excellence

2. Impact (Evaluation Criteria for RIA/IA)

- Credibility of the pathways to achieve the **expected outcomes and impacts** specified in the work programme, and the likely **scale** and **significance** of the contributions due to the project.

- Suitability and quality of the **measures to maximize expected outcomes and impacts**, as set out in the **dissemination and exploitation plan, including communication** activities.
(Video evaluator briefing.)

3. Quality and efficiency of the implementation

The Impact

- Definition: Wider long-term effects on society, the environment, the economy and science, enabled by the outcomes of R&I investments…
- Impact must be measurable, quantifiable.
- What evidence do you collect and measure in the project to demonstrate impact?
- How do you engage with target groups? What role do you give them? How do you measure their engagement?

The Impact

- Proposals must include a **narrative** explaining how the project's results are expected to contribute towards each of the **outcomes** (→ **topic text**), together with the **target groups** that would benefit if the outcomes were to be achieved.

- Project's contributions to the topic's outcomes must lead, in the longer term, to the **wider impacts** listed in the work programme (→ **destination**).

Topic example:

HORIZON-CL4-2021-TWIN-TRANSITION-01-12

Breakthrough technologies supporting technological sovereignty in construction

Type: RIA

Budget/project (M€): 8-10 M€
Number of funded projects: 3

Expected Outcomes:

- Integrate breakthrough technologies derived from other industries
- Demonstrate increased use of resources, reduced waste and CO2 emissions
- Demonstrate safety
- Increase wellbeing on workforce

Scope:

- Develop, test, promote the required technologies, devices, systems
- Demonstrate in at least 4 diverse construction sites

Destination in Work Programme

DESTINATION – CLIMATE NEUTRAL, CIRCULAR AND DIGITISED PRODUCTION

This destination will directly support the following Key Strategic Orientations, as outlined in the Strategic Plan:

- KSO C, '**Making Europe the first digitally led circular, climate-neutral and sustainable economy** through the transformation of its mobility, energy, construction and production systems.'
- KSO A, '**Promoting an open strategic autonomy by leading the development of key digital, enabling and emerging technologies, sectors and value chains** to accelerate and steer the digital and green transitions through human-centred technologies and innovations.'
- KSO D, '**Creating a more resilient, inclusive and democratic European society,** prepared and responsive to threats and disasters, addressing inequalities and providing high-quality health care, and empowering all citizens to act in the green and digital transitions.'

Proposals for topics under this Destination should set out a credible pathway to the following expected impact of Cluster 4:

- **Global leadership in clean and climate-neutral industrial value chains, circular economy and climate-neutral digital systems and infrastructures (networks, data centres),** through innovative production and manufacturing processes and their digitisation, new business models, sustainable-by-design advanced materials and technologies enabling the switch to decarbonisation in all major emitting industrial sectors, including green digital technologies.

Accelerating the twin green and digital transitions will be key to building a lasting and prosperous growth, in line with the EU's new growth strategy, the European Green Deal. Europe's ability to lead the twin transitions will require new technologies, with investment and innovation to match. Research and innovation will be fundamental to create the new products, services and business models needed to sustain or enable EU industrial leadership and competitiveness, and to create new markets for climate neutral and circular products. The shift towards a sustainable and inclusive economic model will be further enabled by the

Section 2: Impact (3 sub-chapters)

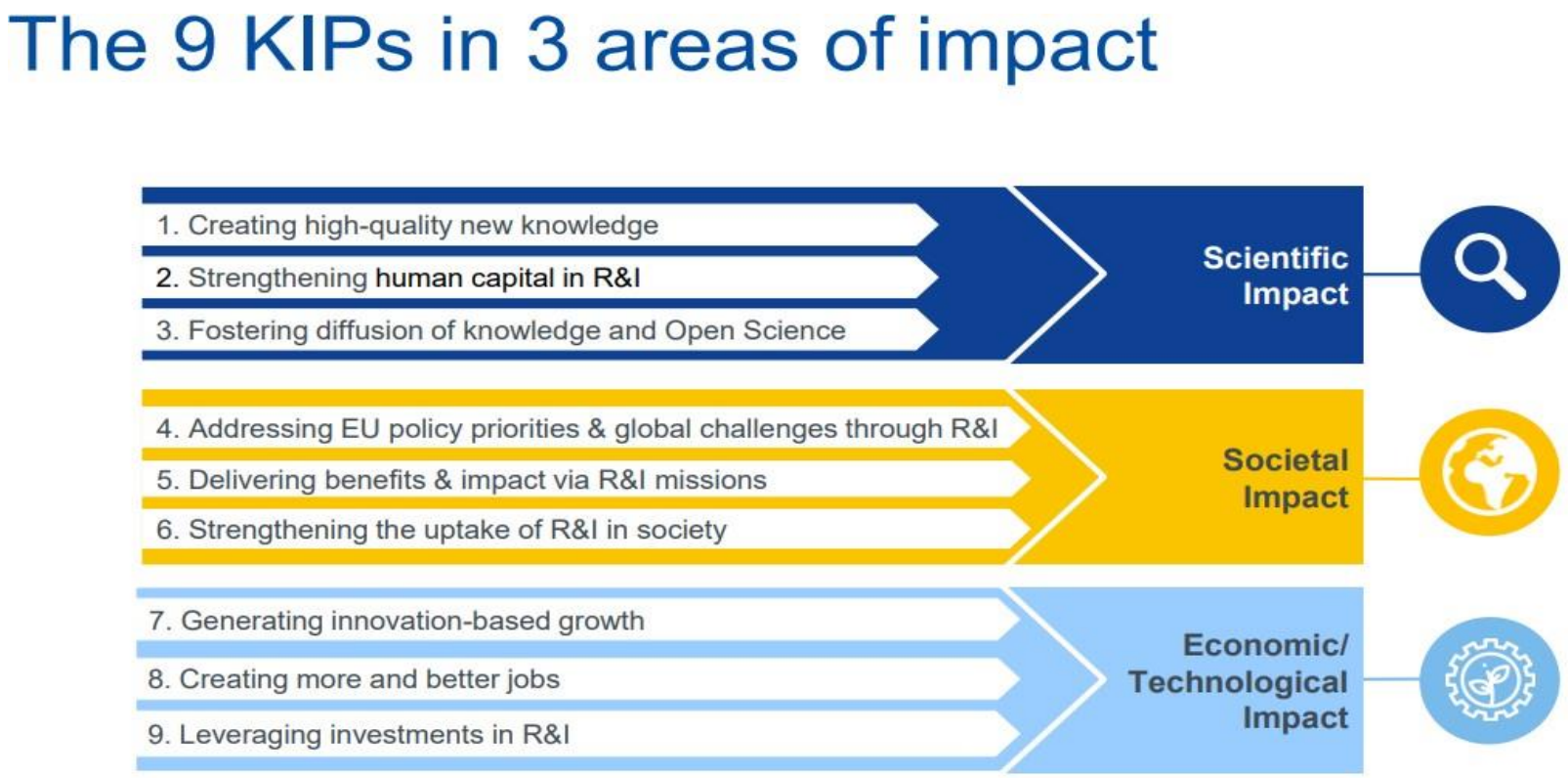
1. Project's pathways towards impact
   (in 1st stage of 2stage submission, the 10pages have to cover only this first section of the Impact)

2. Measures to maximise impact - Dissemination, exploitation and communication

3. Summary

Key Impact Pathways

Logical steps towards the achievement of the expected impacts of the project over time, in particular beyond the duration of a project. A pathway begins with the projects' results, to their dissemination, exploitation and communication, contributing to the expected outcomes in the work programme topic, and ultimately to the scientific, economic and societal impacts of the work programme destination.



Source: Webinar How to prepare a successful proposal in Horizon Europe, EC, 24 March 2021
A successful proposal for Horizon Europe - part II, EC, 21 April, 2021

2.1 Project's pathways towards impact *[e.g. 4 pages]*

→ Describe the contribution of your project results

(1) outcomes specified in this topic, and

(2)the wider impacts, in the longer term, specified in the respective destinations in the work programme.

→ Requirements and potential barriers

→ Proposals must indicate the likely scale and significance of the project's contribution to outcomes and impacts

Scale refers to how widespread the outcomes and impacts are likely to be.
Significance refers to the importance, or value, of those benefits.

Check out nice trainings on this:
https://www.ucd.ie/impacttoolkit/
https://umcgresearch.org/-/impact-umcg

2. Impact

Impact – aspects to be taken into account.

- Credibility of the pathways to achieve the expected outcomes and impacts specified in the work programme, and the likely scale and significance of the contributions due to the project.
- Suitability and quality of the measures to maximise expected outcomes and impacts, as set out in the dissemination and exploitation plan, including communication activities.

The results of your project should make a contribution to the expected outcomes set out for the work programme topic over the medium term, and to the wider expected impacts set out in the 'destination' over the longer term.

In this section you should show how your project could contribute to the outcomes and impacts described in the work programme, the likely scale and significance of this contribution, and the measures to maximise these impacts.

2.1 Project's pathways towards impact *[e.g. 4 pages]*

- Provide a **narrative** explaining how the project's results are expected to make a difference in terms of impact, beyond the immediate scope and duration of the project. The narrative should include the components below, tailored to your project.

  (a) Describe the unique contribution your project results would make towards (1) the **outcomes** specified in this topic, and (2) the **wider impacts**, in the longer term, specified in the respective destinations in the work programme.

  ⚠ *Be specific, referring to the effects of your project, and not R&I in general in this field.*

  ⚠ *State the target groups that would benefit. Even if target groups are mentioned in general terms in the work programme, you should be specific here, breaking target groups into particular*

- Outcomes depend on the defined target groups
- For 2 stage blind evaluation: target groups can be described without stating the names of the entities
  Webinar on blind evaluatoin and Q&A on blind Evaluation

2.2 Measures to maximise impact - Dissemination, exploitation and communication *[e.g. 4 pages, in 2nd stage and full proposals only]*

- → A first version of 'plan for the dissemination and exploitation including communication activities (of what you achieve during and after the project- part of the project design.)
- → Target groups (define and give a size)
- → If exploitation is expected primarily in non-associated third countries, justify by explaining how that exploitation is still in the Union's interest.
- → Strategy for the management of intellectual property and exploitation

Address target groups. How do you engage with target groups? How do you measure their engagement?

SSH flagged topics

How evaluators are briefed regarding the SSH flagged topics

2.2 Measures to maximise impact - Dissemination, exploitation and communication *[e.g. 4 pages]*

- → A first version of 'plan for the dissemination and exploitation including communication activities (of what you achieve during and after the project- part of the project design. Not in 1st stage)
- → Target groups (define and give a size)
- → If exploitation is expected primarily in non-associated third countries, justify by explaining how that exploitation is still in the Union's interest.
- → Strategy for the management of intellectual property and exploitation

Plan for the dissemination and exploitation including communication activities. A plan is a strategy, meaning provide a table with info to whom, with which method you provide what and how much of it
Video how evaluators are briefed.

Plan for the dissemination and exploitation including communication activities

- Results: Output generated by project (data, prototypes, skills, knowledge, publications, reports, sofware, prestandards, policy..)

- Dissemination: To bring the project results to the attention of targeted communities that can further utilize them

- Exploitation: The use of results in further research and innovation activities (eg. Commercialisation for example a product, service, or in standardisation or policy making)

- Communication: All activities promoting the actions and its results to various audiences (incl. Media and the public)

Plan for the dissemination and exploitation including communication activities

Results: Output generated by project (data, prototypes, skills, knowledge, publications, reports, sofware, prestandards, policy..)
Dissemination: To bring the project results to the attention of targeted communities that can further utilize them
Exploitation: The use of results in further research and innovation activities (eg. Commercialisation for example a product, service, or in standardisation or policy making)
Communication: All activities promoting the actions and its results to various audiences (incl. Media and the public)

What to be disseminated	What to be exploited	To whom (define target audience and size)	How is the method	Barriers	By whom	How much/achievements	How well dissaminated /exploited

Plan for the dissemination and exploitation including communication activities

Results: Output generated by project (data, prototypes, skills, knowledge, publications, reports, sofware, prestandards, policy..)
Dissemination: To bring the project results to the attention of targeted communities that can further utilize them
Exploitation: The use of results in further research and innovation activities (eg. Commercialisation for example a product, service, or in standardisation or policy making)
Communication: All activities promoting the actions and its results to various audiences (incl. Media and the public)

What to be disseminated	What to be exploited	To whom (define target audience and size)	How is the method	Barriers	By whom	How much/achievements	How well dissaminated /exploited
Product 1: Model, prototypes and formulas							
Service1 Training modules can be developed further							

Plan for the dissemination and exploitation including communication activities

Results: Output generated by project (data, prototypes, skills, knowledge, publications, reports, sofware, prestandards, policy..)
Dissemination: To bring the project results to the attention of targeted communities that can further utilize them
Exploitation: The use of results in further research and innovation activities (eg. Commercialisation for example a product, service, or in standardisation or policy making)
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What to be disseminated	What to be exploited	To whom (define target audience and size)	How is the method	Barriers	By whom	How much/achievements	How well dissaminated /exploited
Product 1: Model, prototypes and formulas	Product 2: Algorithm can be used to build a product						
Service1 Training modules can be developed further	Service 2: The trainings are standardised/adapted						

Plan for the dissemination and exploitation including communication activities

Results: Output generated by project (data, prototypes, skills, knowledge, publications, reports, sofware, prestandards, policy..)
Dissemination: To bring the project results to the attention of targeted communities that can further utilize them
Exploitation: The use of results in further research and innovation activities (eg. Commercialisation for example a product, service, or in standardisation or policy making)
Communication: All activities promoting the actions and its results to various audiences (incl. Media and the public)

What to be disseminated	What to be exploited	To whom (define target audience and size)	How is the method	Barriers	By whom	How much/achievements	How well dissaminated /exploited
Product 1: Model, prototypes and formulas	Product 2: Algorithm can be used to build a product	Innovators, technicians, companies					
Service1 Training modules can be developed further	Service 2: The trainings are standardised/adapted	Architects Engineers Construction worker Scientists					

Plan for the dissemination and exploitation including communication activities

Results: Output generated by project (data, prototypes, skills, knowledge, publications, reports, sofware, prestandards, policy..)
Dissemination: To bring the project results to the attention of targeted communities that can further utilize them
Exploitation: The use of results in further research and innovation activities (eg. Commercialisation for example a product, service, or in standardisation or policy making)
Communication: All activities promoting the actions and its results to various audiences (incl. Media and the public)

What to be disseminated	What to be exploited	To whom (define target audience and size)	How is the method	Barriers	By whom	How much/achievements	How well dissaminated /exploited
Product 1: Model, prototypes and formulas	Product 2: Algorithm can be used to build a product	Innovators, technicians, companies	New mathematical model				
Service1 Training modules can be developed further	Service 2: The trainings are standardised/adapted	Architects Engineers Construction worker Scientists	MOOCS				

Plan for the dissemination and exploitation including communication activities

Results: Output generated by project (data, prototypes, skills, knowledge, publications, reports, sofware, prestandards, policy..)
Dissemination: To bring the project results to the attention of targeted communities that can further utilize them
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What to be disseminated	What to be exploited	To whom (define target audience and size)	How is the method	Barriers	By whom	How much/achievements	How well dissaminated /exploited
Product 1: Model, prototypes and formulas	Product 2: Algorithm can be used to build a product	Innovators, technicians, companies	New mathematical model	Regulations Weight limits			
Service1 Training modules can be developed further	Service 2: The trainings are standardised/adapted	Architects Engineers Construction worker Scientists	MOOCS	Language, Resources, therefore eg. online			

Plan for the dissemination and exploitation including communication activities

Results: Output generated by project (data, prototypes, skills, knowledge, publications, reports, sofware, prestandards, policy..)
Dissemination: To bring the project results to the attention of targeted communities that can further utilize them
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What to be disseminated	What to be exploited	To whom (define target audience and size)	How is the method	Barriers	By whom	How much/achievements	How well dissaminated /exploited
Product 1: Model, prototypes and formulas	Product 2: Algorithm can be used to build a product	Innovators, technicians, companies	New mathematical model	Regulations Weight limits	Partner x, mathematicians		
Service1 Training modules can be developed further	Service 2: The trainings are standardised/adapted	Architects Engineers Construction worker Scientists	MOOCS	Language, Resources, therefore eg. online	Partner y, Engineer		

Plan for the dissemination and exploitation including communication activities

Results: Output generated by project (data, prototypes, skills, knowledge, publications, reports, sofware, prestandards, policy..)
Dissemination: To bring the project results to the attention of targeted communities that can further utilize them
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What to be disseminated	What to be exploited	To whom (define target audience and size)	How is the method	Barriers	By whom	How much/achievements	How well dissaminated /exploited
Product 1: Model, prototypes and formulas	Product 2: Algorithm can be used to build a product	Innovators, technicians, companies	New mathematical model	Regulations Weight limits	Partner x, mathematicians	Number of models/algorithms	
Service1 Training modules can be developed further	Service 2: The trainings are standardised/adapted	Architects Engineers Construction worker Scientists	MOOCS	Language, Resources, therefore eg. online	Partner y, Engineer	Number of downloads/ clicks	

Plan for the dissemination and exploitation including communication activities

Results: Output generated by project (data, prototypes, skills, knowledge, publications, reports, sofware, prestandards, policy..)
Dissemination: To bring the project results to the attention of targeted communities that can further utilize them
Exploitation: The use of results in further research and innovation activities (eg. Commercialisation for example a product, service, or in standardisation or policy making)
Communication: All activities promoting the actions and its results to various audiences (incl. Media and the public)

What to be disseminated	What to be exploited	To whom (define target audience and size)	How is the method	Barriers	By whom	How much/achievements	How well dissaminated /exploited
Product 1: Model, prototypes and formulas	Product 2: Algorithm can be used to build a product	Innovators, technicians, companies	New mathematical model	Regulations Weight limits	Partner x, mathematicians	Number of models/algorithms	Number of usage (have a goal)
Service1 Training modules can be developed further	Service 2: The trainings are standardised/adapted	Architects Engineers Construction worker Scientists	MOOCS	Language, Resources, therefore eg. online	Partner y, Engineer	Number of downloads/ clicks	Increase in % of work force trained

2.2 Measures to maximise impact - Dissemination, exploitation and communication *[e.g. 4 pages]*

- → A first version of 'plan for the dissemination and exploitation including communication activities
- → Target groups
- → If exploitation is expected primarily in non-associated third countries, justify by explaining how that exploitation is still in the Union's interest.
- → Strategy for the management of intellectual property and exploitation

Intellectual Property Rights and IP Management

Consider and negotiate IPRs and IP Mgmt with your partners at the proposal stage!

How shall **results** be made **accessible** to a broader (scientific) public?

What is the **commercialization potential** of your project's results?

What are the most suitable forms of **IP protection**?

Why IP Management?

Thinking beyond the project

Tranferability, uptake

Easing the project management

IP ownership, publication&dissemination

Exploiting intangible assets into legal valued assets

Commercialization, licensing

Positioning Consortium partners

Unique provide

Avoiding IP disputed

With Consortium partners, with third parties

Maximising EU R&I investment

Tranferability, uptake

Addressing IP in Your Proposal

comprehensive and feasible strategy for the management of the IP generated in the project

IP strategy **underpinning** the 'credibility' of the pathways

'**freedom to operate**' for background IP

balance between publication of results and IP protection

additional exploitation obligations in relation to IP (up to 4 years after the end of the project)

clear identification of **who** owns which IP (**Results Ownership List** mandatory at the end of the project)

IP Management Strategy Evaluation

Priority to key impact pathways' results is recommended.

- ✓ IP strategy **balanced** to the project's outcomes

  Too high license costs may lead to a lower project impact > lower score
  Comprehensive IP strategy that promotes transfer and valorization of R&I for the benefit of society > high score

- ✓ How the IP management is in the Union's interest

  Crucial IP is owned by Associated Partners > justify how this is in the Union's interest

- ✓ Interaction of the IP management and the Communication Dissemination Exploitation stragegy

  Explain how the two strategies are complementary and enhance the impact of the project on society

- ✓ Dedicated budget for IP efforts

  IP related costs in line with the IP strategy ambitions > lower score if not addressed properly

- ✓ Mandatory call requirementes

  The call requires mandatory open source sw > low score if not met

Addressing IP in Your Proposal

Weakness or failure to submit your IP strategy results undermines the credibility of the envisaged impact pathways!

2.3 Summary

→ Canvas

Specific needs, expected results, D & E & C measures, target groups, outcomes, impacts

Provide a summary of this section by presenting a canvas with KIP- Key Impact Pathways.
The canvas breaks the impact down into its component parts.
What is a CANVAS: lets see

2.3 Summary

Provide a summary of this section by presenting in the canvas below the key elements of your project impact pathway and of the measures to maximise its impact.

KEY ELEMENT OF THE IMPACT SECTION

SPECIFIC NEEDS	EXPECTED RESULTS	D & E & C MEASURES
What are the specific needs that triggered this project? Example 1 Most airports use process flow-oriented models based on static mathematical values limiting the optimal management of passenger flow and hampering the accurate use of the available resources to the actual demand of passengers. Example 2 Electronic components need to get smaller and lighter to match the expectations of the end-users. At the same time there is a problem of sourcing of raw materials that has an environmental impact.	What do you expect to generate by the end of the project? Example 1 **Successful large-scale demonstrator:** **Successful large-scale demonstrator:** Trial with 3 airports of an advanced forecasting system for proactive airport passenger flow management. **Algorithmic model:** Novel algorithmic model for proactive airport passenger flow management. Example 2 Publication of a **scientific discovery on transparent electronics.** **New product:** More sustainable electronic circuits. **Three PhD students trained.**	What dissemination, exploitation and communication measures will you apply to the results? Example 1 **Exploitation:** Patenting the algorithmic model. **Dissemination towards the scientific community and airports**: Scientific publication with the results of the large-scale demonstration. **Communication towards citizens:** An event in a shopping mall to show how the outcomes of the action are relevant to our everyday lives. Example 2 **Exploitation of the new product:** Patenting the new product; Licencing to major electronic companies. **Dissemination towards the scientific community and industry:** Participating at conferences; Developing a platform of material compositions for industry; Participation at EC project portfolios to disseminate the results as part of a group and maximise the visibility vis-à-vis companies.

DOs & DON'Ts

Be as concise and precise as possible

Address the 3 categories of the Key Impact Pathways (societal, economicial, scientific)

Adress impact short term (duration of project) and long term (10years from now)

Explain the impact is on EU level

Incl. Key messages of impact in the abstract

Write an excellent CANVAS

Don't define impact in qualitative terms only

Don't have an insufficient exploitation strategy

Don't omit explaining the means of delivery of end results to users

Don't be vague regarding targeted stakeholders but if in blind evaluation pilot do not name entities

Feedback from evaluations

Evaluation Summary Reports (ESR)

Contribution to impacts are not quantifiable, not measurable, not convincing.

Explanation missing how the target groups are reached

Communication, dissemination and exploitation not distinguished enough and explained in sufficient detail.

Questions?

euresearch

Swiss guide to European research and innovation

Proposal Writing Training

Excellence

(Jennifer McClung & Micol Nantiat)

★★★

Impact

(Sasha Hugentobler & Micol Nantiat)

Implementation

(Nicole Wyss & Micol Nantiat)
11:25am – 12:10pm

Hands-on Exercise

(Stefan Fischer & Matthew Whellens)

Implementation Section

Nicole Wyss
NCP Health, RI, and Security
&
Micol Nantiat
NCP Legal & Financial Aspects

Application Form – Part B Structure

1. EXCELLENCE	2. IMPACT	3. IMPLEMENTATION
What What is the project about?	Why Why should we do the project? What evidence do we collect and measure in the project to demonstrate the projects value?	How How to achieve the objectives?

Evaluation Criteria - Quality and Efficiency of the Implementation

Aspects to be taken into account

– Quality and effectiveness of the work plan, assessment of risks, and appropriateness of the effort assigned to work packages, and the resources overall

– Capacity and role of each participant, and extent to which the consortium as a whole brings together the necessary expertise

Chapter 3. Implementation – An Overview

3.1 Work plan and resources *[e.g. 14 pages – incl. tables]*

- Overall structure of work plan
- Timing (Gantt Chart)
- Inter-relations (Pert Chart)

- Table 3.1a: List of work packages
- Table 3.1b: Work package description
- Table 3.1c: List of deliverables
- Table 3.1d: List of milestones
- Table 3.1e: Critical risks for implementation
- Table 3.1f: Summary of staff effort
- Table 3.1g: 'Subcontracting costs' items
- Table 3.1h: 'Purchase costs' items
- Table 3.1i: 'Other costs categories' items

3.2 Capacity of participants and consortium as a whole *[e.g. 3 pages]*

- Consortium description
- Inclusion of SSH, gender aspects of R&I, open science practices
- Access to critical infrastructure
- How partners complement one another
- Contribution of each partner, valid role
- Industrial/commercial involvement
- Other countries and international organisations

Proposal Template (RIA & IA)

Chapter 3

Implementation

3.1
Work plan and resources

3.2
Capacity of participants and consortium as a whole

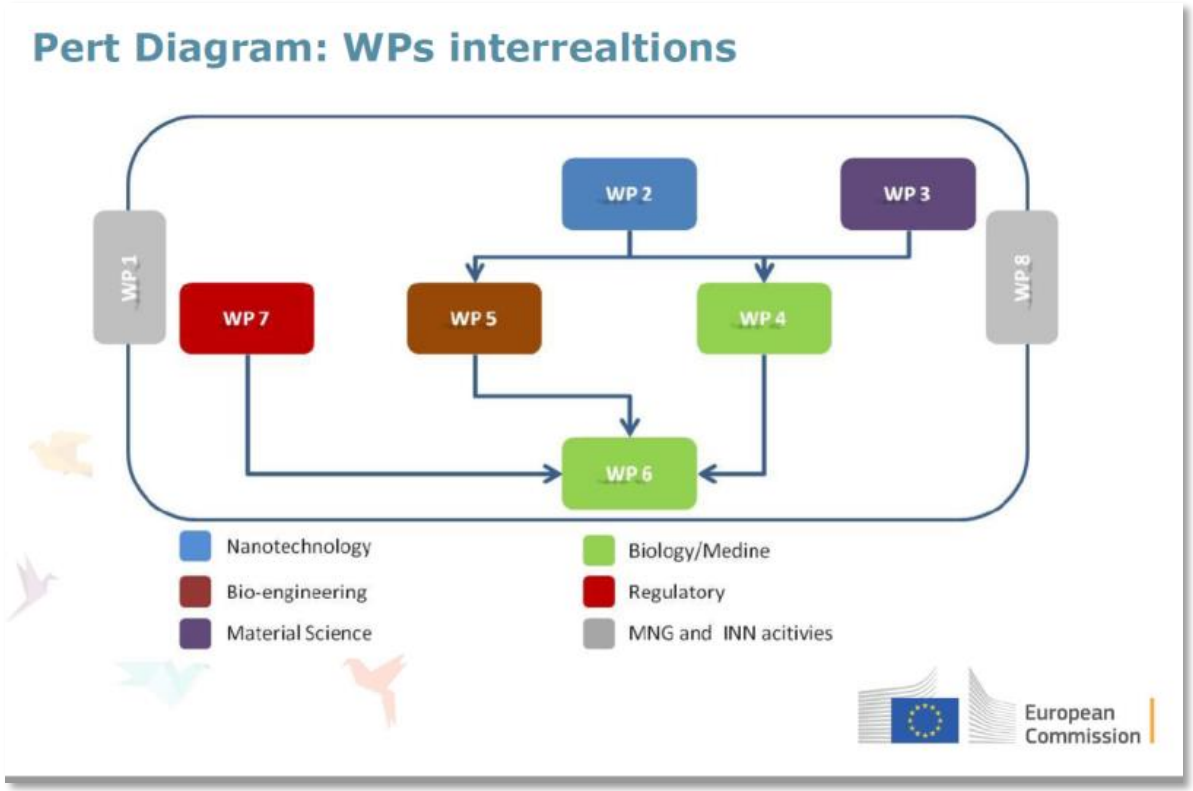
What Evaluators Will Check

Assess the proposed work plan, and the effort and resources:

- Work plan of good quality and effective?
- Quantified information included?
- Logic structure (e.g., timing of WP)?
- Resources allocated to WP in line with objectives and deliverables?
- Critical risks identified and proper risk mitigation measures proposed?

Work Plan

Timing – Gantt Chart



Interrelations – Pert Diagramme

Work Packages

Table 3.1a: List of work packages

Work package No	Work Package Title	Lead Participant No	Lead Participant Short Name	Person-Months	Start Month	End month
				Total person-months		

Objectives are the goals of the work performed within the project, in terms of its research and innovation content.

This will be translated into project results.

Table 3.1b: Work package description

For each work package:

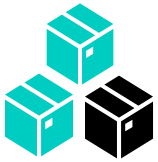
Work package number		**Lead beneficiary**					
Work package title							
Participant number							
Short name of participant							
Person months per participant:							
Start month				**End month**			

Objectives

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

Deliverables (brief description and month of delivery)

Work Packages in Lump Sum Projects



– Describe in detail the activities covered by each WP

– Work packages with a long duration may be split along the reporting periods (e.g. Management WP or WP on communication, dissemination, exploitation)

– Pre-financing as usual
– Payments upon completion of work packages at the end of reporting periods

– SERI is not using the lump sum scheme grant model

Deliverables

A deliverable is a report that is providing information to ensure effective monitoring of the project

You must include deliverables for:

- Data management plan (DMP) (M6)
- Plan for dissemination and exploitation (M6)
- Other compulsory deliverables?

Tips:

- Meaningful and feasible
- At least one deliverable per organisation
- Evenly distribute them during time

Table 3.1c: List of Deliverables[2]

Only include deliverables that you consider essential for effective project monitoring.

Deliverable (number)	Deliverable name	Work package number	Short name of lead participant	Type	Dissemination level	Delivery date (in months)

KEY

Deliverable numbers in order of delivery dates. Please use the numbering convention <WP number>.<number of deliverable within that WP>.
For example, deliverable 4.2 would be the second deliverable from work package 4.

Type:

Use one of the following codes:

R: Document, report (excluding the periodic and final reports)
DEM: Demonstrator, pilot, prototype, plan designs
DEC: Websites, patents filing, press & media actions, videos, etc.
DATA: Data sets, microdata, etc.
DMP: Data management plan
ETHICS: Deliverables related to ethics issues.
SECURITY: Deliverables related to security issues
OTHER: Software, technical diagram, algorithms, models, etc.

Dissemination level:

Use one of the following codes:

PU – Public, fully open, e.g. web (Deliverables flagged as public will be automatically published in CORDIS project's page)
SEN – Sensitive, limited under the conditions of the Grant Agreement
Classified R-UE/EU-R – EU RESTRICTED under the Commission Decision No2015/444
Classified C-UE/EU-C – EU CONFIDENTIAL under the Commission Decision No2015/444
Classified S-UE/EU-S – EU SECRET under the Commission Decision No2015/444

Delivery date

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

Milestones

Milestones are control points in the project that help to chart the progress

- May be critical decision point
- Can be an achievement of a key deliverable
- Become contractual obligation and will be monitored

Tips:

- The achievement of a milestone needs to be measurable and verifiable
- Not every WP needs a MS, only indicate when necessary

Table 3.1d: List of milestones

Milestone number	Milestone name	Related work package(s)	Due date (in month)	Means of verification

KEY

Due 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.

Example:

Point when the consortium must decide, which of the several technologies to adopt for further development

Critical Risks

A critical risk is a plausible event or issue that could have a high adverse impact on the ability of the project to achieve its objectives.

Answer to possible concerns of the evaluators:

- What harms the project implementation?

Name an appropriate number of risks and show that you are prepared for these risks:

- What kind of measures can reduce risks?
- Is there a contingency plan?

Table 3.1e: Critical risks for implementation

Description of risk (indicate level of (i) likelihood, and (ii) severity: Low/Medium/High)	Work package(s) involved	Proposed risk-mitigation measures

Definition critical risk:
A critical risk is a plausible event or issue that could have a high adverse impact on the ability of the project to achieve its objectives.

Level of likelihood to occur: Low/medium/high
The likelihood is the estimated probability that the risk will materialise even after taking account of the mitigating measures put in place.

Level of severity: Low/medium/high
The relative seriousness of the risk and the significance of its effect.

NEW!

Tips:

- Avoid fake risks of low likelihood and low severity
- Pick meaningful ones and show that you are prepared

Categories of Critical Risks

Regulatory: Delay in the ethical/regulatory approvals

Scientific: Knowledge may not be available or could not be developed

Technical: Objectives may be beyond state-of-the art technologies

Economic: Solutions may be too expensive to achieve results

Legislation: Approach cannot be used due to existing legislation

Ethical: Solution may infringe ethics rules

Social: Approach not socially acceptable

Practical Exercise

Table 3.1e: Critical risks for implementation #@RSK-MGT-RM@#

Description of risk (indicate level of (i) likelihood, and (ii) severity: Low/Medium/High)	Work package(s) involved	Proposed risk-mitigation measures

Definition critical risk:
A critical risk is a plausible event or issue that could have a high adverse impact on the ability of the project to achieve its objectives.

Level of likelihood to occur: Low/medium/high
The likelihood is the estimated probability that the risk will materialise even after taking account of the mitigating measures put in place.

Level of severity: Low/medium/high
The relative seriousness of the risk and the significance of its effect.

Budget Table (Part A)

Insert here the amount that you intend to request to SERI. Normally, this corresponds to:

- 100% of eligible costs or
- 70% of eligible costs if you are for-profit applying to IA calls.

No.	Name of beneficiary	Country	Role	Personnel costs/€	Subcontracting costs/€	Purchase costs - Travel and substistence/€	Purchase costs - Equipment/€	Purchase costs - Other goods, works and services/€	Internally invoiced goods and services/€ (Unit costs-usual accounting practices)	Indirect costs/€	Total eligible costs	Funding rate	Maximum EU contribution to eligible costs	Requested EU contribution to eligible costs/€	Max grant amount	Income generated by the acti	Financial contributions	Own resources	Total estimated income
1	It University Of Copenhagen	DK	Coordinator							0,00	0,00	100	0,00	0	0,00				0,00
2	Test Sme Euresearch	CH	Associated							0,00	0,00	100	0,00	0	0,00				0,00
			TOTAL	0	0	0	0	0	0	0,00	0,00		0,00	0	0,00		0	0	0,00

Insert here the amount that you **cannot** request to SERI (or to the EC). Normally, this corresponds to the remaining 30% of eligible costs if you are a for-profit entity applying to IA calls.

Costs Eligibility

- Costs **actually** incurred for the project
- Costs incurred **during** the project period
- Costs indicated in the estimated budget
- Identifiable and **verifiable**
- Compliant with the applicable national laws on taxes
- **Reasonable**, justified and compliant with sound financial management principles
- SERI Financial Guidance for more details

COMMON MISTAKE

- Not realistic budget estimate
- Not including the requested SERI contribution
- Including costs among the Beneficiaries

Budget Table (Part A) - Lump Sum Projects

No.	Name of beneficiary	Country	Role	Personnel costs/€	Subcontracti ngcosts/€	Purchase costs - Travel and substistence/€	Purchase costs - Equipment/€	Purchase costs - Other goods, works and services/€	Internally invoiced goods and services/€ (Unit costs-usual accounting practices)	Indirect costs/€	Total eligible costs	Funding rate	Maximum EU contribution to eligible costs	Requested EU contribution to eligible costs/€	Max grant amount	Income generated by the action	Financial contributions	Own resources	Total estimated income
1	It University Of Copenhagen	DK	Coordinator							0,00	0,00	100	0,00	0	0,00				0,00
2	Test Sme Euresearch	CH	Associated																
			TOTAL	0	0	0	0	0	0	0,00	0,00		0,00	0	0,00	0	0	0	0,00

Costs of the Swiss partner **must** be listed in the proposal (in a table or in one sentence) to be eligible for SERI funding.

Example: Entity ABC (PIC 0123456) will contribute to this project with a financial contribution of XXX'XXX € (YYY'YYY € personnel costs, ZZ'ZZZ € travel costs, AAA'AAA € indirect costs). The personnel costs will be allocated to WP1 (XPM), WP3 (YPM) and WP5 (2 PM).

Proposal Template (RIA & IA)

Chapter 3

Implementation

3.1
Work plan and resources

3.2
Capacity of participants and consortium as a whole

What Evaluators Will Check

Assess the quality of participants and the consortium as a whole:

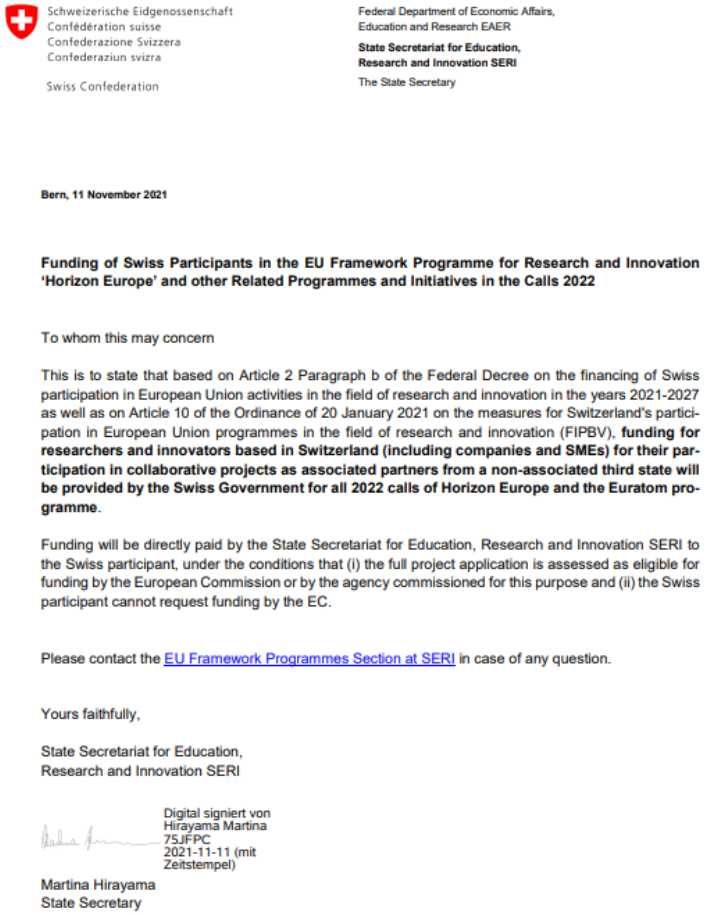
- Expertise in open science practices, and gender aspects?
- Expertise in social sciences and humanities?
- Access to critical infrastructure needed to carry out the project activities?
- Are the participants complementing one another?
- Valid role, adequate resources?
- Industrial/commercial involvement in the project?

What to Consider when Having Swiss Partners

In section 3.2 of the proposal, do not forget

- to mention that there is a financial guarantee for the Swiss Participant → financial guarantee letter

- to justify why the expertise from non-EU countries is important for the project success



Schweizerische Eidgenossenschaft
Confédération suisse
Confederazione Svizzera
Confederaziun svizra

Swiss Confederation

Federal Department of Economic Affairs, Education and Research EAER
State Secretariat for Education, Research and Innovation SERI
The State Secretary

Bern, 11 November 2021

Funding of Swiss Participants in the EU Framework Programme for Research and Innovation 'Horizon Europe' and other Related Programmes and Initiatives in the Calls 2022

To whom this may concern

This is to state that based on Article 2 Paragraph b of the Federal Decree on the financing of Swiss participation in European Union activities in the field of research and innovation in the years 2021-2027 as well as on Article 10 of the Ordinance of 20 January 2021 on the measures for Switzerland's participation in European Union programmes in the field of research and innovation (FIPBV), **funding for researchers and innovators based in Switzerland (including companies and SMEs) for their participation in collaborative projects as associated partners from a non-associated third state will be provided by the Swiss Government for all 2022 calls of Horizon Europe and the Euratom programme**.

Funding will be directly paid by the State Secretariat for Education, Research and Innovation SERI to the Swiss participant, under the conditions that (i) the full project application is assessed as eligible for funding by the European Commission or by the agency commissioned for this purpose and (ii) the Swiss participant cannot request funding by the EC.

Please contact the EU Framework Programmes Section at SERI in case of any question.

Yours faithfully,

State Secretariat for Education,
Research and Innovation SERI

Digital signiert von Hirayama Martina 75JFPC 2021-11-11 (mit Zeitstempel)

Martina Hirayama
State Secretary

Third Parties Helping in the Project

AFFILIATED ENTITIES

Ex Linked-Third Parties

Requirements:

- legal or capital link with one Beneficiary
- based in a Member State or Associated Country

Role:

- performs work / tasks and retains IP
- budget / costs declared

ASSOCIATED PARTNERS

Ex International Partners

Requirements:

link with one Beneficiary or with the whole Consortium

Role:

- performs work / tasks and retains IP
- budget declared in the proposal only
- costs are not reimbursed

IN-KIND CONTRIBUTION

Requirements:

resources provided in-kind are not the core business (e.g. seconded personnel or access to equipments)

Role:

- does not perform the work
- budget / costs declared in seconded personnel or purchase costs

SUBCONTRACTORS

Requirements:

- Best-value for money principle selection
- No conflict of interest
- **SWISS BASED**

Role:

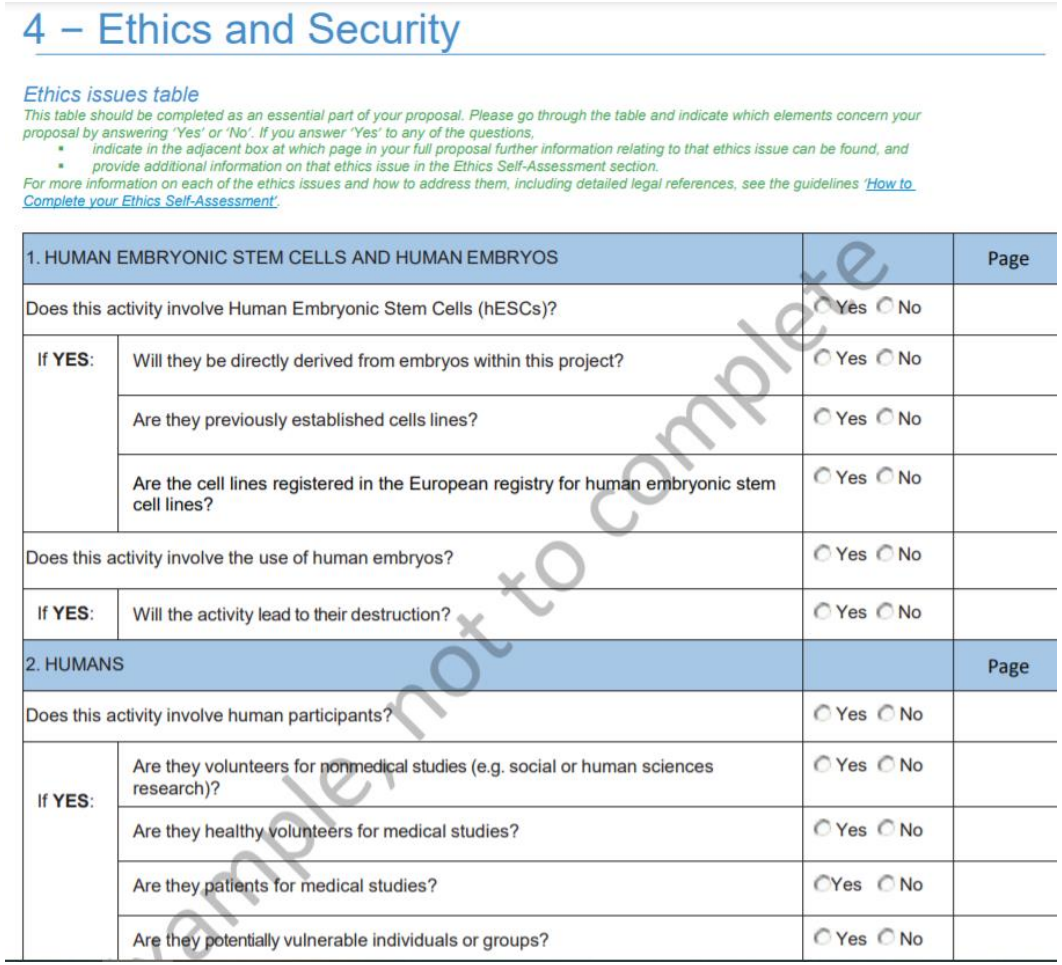
- Performs work / tasks but IP on Beneficiary
- Subcontracting among Beneficiaries is not possible

Ethics Issues Table

MANDATORY: identifying any potential ethical issues and handling ethical aspects of the proposal on 9 main topics:

1. Human embryo/stems
2. Humans
3. Human cells/tissues
4. Personal data
5. Animals
6. Non-EU countries
7. Environment, health & safety
8. Artificial Intelligence
9. Other ethics issues

Use the new Guidance on Ethics



4 – Ethics and Security

Ethics issues table

This table should be completed as an essential part of your proposal. Please go through the table and indicate which elements concern your proposal by answering 'Yes' or 'No'. If you answer 'Yes' to any of the questions,

- *indicate in the adjacent box at which page in your full proposal further information relating to that ethics issue can be found, and*
- *provide additional information on that ethics issue in the Ethics Self-Assessment section.*

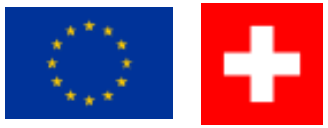
For more information on each of the ethics issues and how to address them, including detailed legal references, see the guidelines 'How to Complete your Ethics Self-Assessment'.

1. HUMAN EMBRYONIC STEM CELLS AND HUMAN EMBRYOS			Page
Does this activity involve Human Embryonic Stem Cells (hESCs)?		○ Yes ○ No	
If **YES**:	Will they be directly derived from embryos within this project?	○ Yes ○ No	
	Are they previously established cells lines?	○ Yes ○ No	
	Are the cell lines registered in the European registry for human embryonic stem cell lines?	○ Yes ○ No	
Does this activity involve the use of human embryos?		○ Yes ○ No	
If **YES**:	Will the activity lead to their destruction?	○ Yes ○ No	
2. HUMANS			Page
Does this activity involve human participants?		○ Yes ○ No	
If **YES**:	Are they volunteers for nonmedical studies (e.g. social or human sciences research)?	○ Yes ○ No	
	Are they healthy volunteers for medical studies?	○ Yes ○ No	
	Are they patients for medical studies?	○ Yes ○ No	
	Are they potentially vulnerable individuals or groups?	○ Yes ○ No	

Ethics Issues Table – Personal Data

4. PERSONAL DATA				Page
Does this activity involve processing of personal data?			○ Yes ○ No	
If **YES**:	Does it involve the processing of special categories of personal data (e.g.: sexual lifestyle, ethnicity, genetic, biometric and health data, political opinion, religious or philosophical beliefs)?		○ Yes ○ No	
	If **YES**:	Does it involve processing of genetic, biometric or health data?	○ Yes ○ No	
	Does it involve profiling, systematic monitoring of individuals, or processing of large scale of special categories of data or intrusive methods of data processing (such as, surveillance, geolocation tracking etc.)?		○ Yes ○ No	
Does this activity involve further processing of previously collected personal data (including use of preexisting data sets or sources, merging existing data sets)?			○ Yes ○ No	
Is it planned to export personal data from the EU to non-EU countries?			○ Yes ○ No	
If **YES**:	Specify the type of personal data and countries involved:			
Is it planned to import personal data from non-EU countries into the EU or from a non-EU country to another non-EU country?			○ Yes ○ No	
If **YES**:	Specify the type of personal data and countries involved			
Does this activity involve the processing of personal data related to criminal convictions or offences?			○ Yes ○ No	

Ethics Issues Table – Non-EU Countries



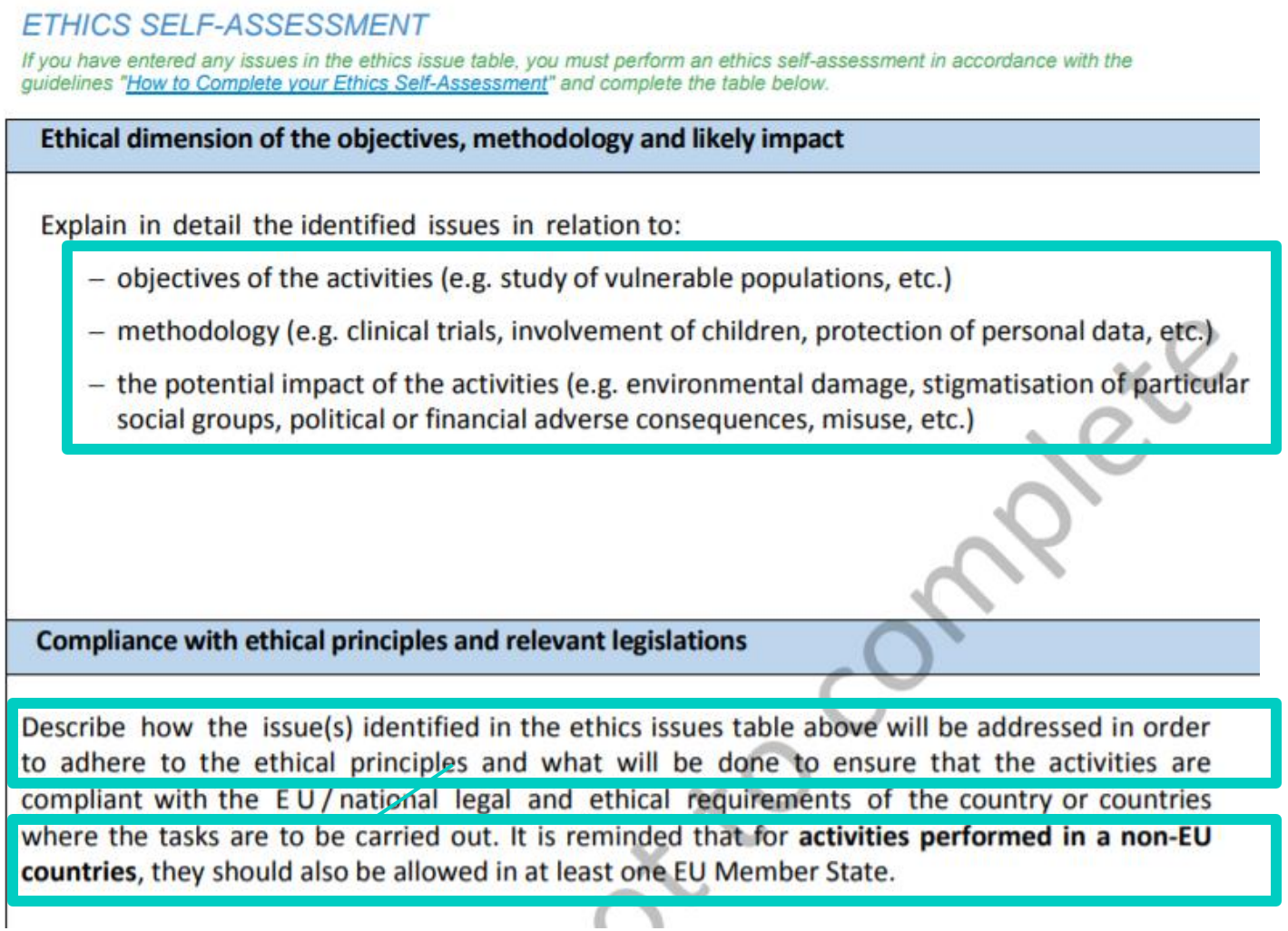
6. NON-EU COUNTRIES			Page
Will some of the activities be carried out in non-EU countries?		○ Yes ○ No	
If **YES**:	Specify the countries:		
In case non-EU countries are involved, do the activities undertaken in these countries raise potential ethics issues?		○ Yes ○ No	
If **YES**:	Specify the countries:		
Is it planned to use local resources (e.g. animal and/or human tissue samples, genetic material, live animals, human remains, materials of historical value, endangered fauna or flora samples, etc.)?		○ Yes ○ No	
Is it planned to import any material (other than data) from non-EU countries into the EU or from a non-EU country to another non-EU country? For data imports, see section 4.		○ Yes ○ No	
If **YES**:	Specify material and countries involved:		
Is it planned to export any material (other than data) from the EU to non-EU countries? For data exports, see section 4.		○ Yes ○ No	
If **YES**:	Specify material and countries involved:		
Does this activity involves low and/or lower-middle income countries? (if yes, detail the benefit-sharing actions planned in the self-assessment)		○ Yes ○ No	
Could the situation in the country put the individuals taking part in the activity at risk?		○ Yes ○ No	

Ethics Self-Assessment

DESCRIBE the ethics issues in relation to objectives, methodology and impact

Explain **HOW** ethics issues will be addressed in terms of objectives, methodology and impact

Demonstrate **COMPLIANCE** with ethical and legal requirements in non-EU countries



ETHICS SELF-ASSESSMENT

If you have entered any issues in the ethics issue table, you must perform an ethics self-assessment in accordance with the guidelines "How to Complete your Ethics Self-Assessment" and complete the table below.

Ethical dimension of the objectives, methodology and likely impact

Explain in detail the identified issues in relation to:

- objectives of the activities (e.g. study of vulnerable populations, etc.)
- methodology (e.g. clinical trials, involvement of children, protection of personal data, etc.)
- the potential impact of the activities (e.g. environmental damage, stigmatisation of particular social groups, political or financial adverse consequences, misuse, etc.)

Compliance with ethical principles and relevant legislations

Describe how the issue(s) identified in the ethics issues table above will be addressed in order to adhere to the ethical principles and what will be done to ensure that the activities are compliant with the EU / national legal and ethical requirements of the country or countries where the tasks are to be carried out. It is reminded that for **activities performed in a non-EU countries**, they should also be allowed in at least one EU Member State.

Security Issues Table

Security issues table

Please indicate, by answering Yes or No to all of the questions in the below table, if the proposed activity will use and/or generate information which might raise security concerns. If an answer is Yes, then indicate in the adjacent box at which page in your full proposal further information relating to that issue can be found.

1. EU classified information (EUCI)[2]			Page
Does this activity involve information and/or materials requiring protection against unauthorised disclosure (EUCI)?		○ Yes ○ No	
If **YES**:	Is the activity going to use classified information as background[3] information?	○ Yes ○ No	
	Is the activity going to generate EU classified foreground[4] information as results?	○ Yes ○ No	
Does this activity involve non-EU countries?		○ Yes ○ No	
If **YES**:	Do participants from non-EU countries need to have access to EUCI?	○ Yes ○ No	
	Do the non-EU countries concerned have a security of information agreement with the EU	○ Yes ○ No	
2. MISUSE			Page
Does this activity have the potential for misuse of results?		○ Yes ○ No	
If **YES**:	Does the activity provide knowledge, materials and technologies that could be channelled into crime and/or terrorism?	○ Yes ○ No	
	Could the activity result in the development of chemical, biological, radiological or nuclear (CBRN) weapons and the means for their delivery?	○ Yes ○ No	
3. OTHER SECURITY ISSUES			Page
Does this activity involve information and/or materials subject to national security restrictions?		○ Yes ○ No	

Switzerland has an agreement in place

Use the new Guidance on Security

DOs & DON'Ts

Concrete and precise planning

WPs need to be linked to each other

Well-timed tasks and activities with well-balanced allocation to partners

Complementary partners who synergize well in expertise and tasks

Assess the risks and know how to overcome them

Tell one story only

Don't copy-paste from previous proposals

Don't be hasty when developing your project idea and invest time to find the right partners

Don't forget the details

Don't take partners with no significant role and tasks

Don't plan vague deliverables and milestones

Don’t give away any of these points!

The implementation part and the good description of it will help you during the project lifetime.

Questions?

euresearch

Swiss guide to European research and innovation

Proposal Writing Training

Excellence

(Jennifer McClung & Micol Nantiat)

Impact

(Sasha Hugentobler & Micol Nantiat)

Implementation

(Nicole Wyss & Micol Nantiat)

Hands-on Exercise

(Stefan Fischer & Matthew Whellens)
(13:30-15:10)

Proposal Writing Training Exercise on Impact Pathways

Stefan Fischer, NCP Energy, EIE, EIC Accelerator
Euresearch Network Office

euresearch
Swiss guide to European research and innovation

Introduction

The Core of a Proposal

Horizon Europe is an Impact-Driven Instrument:

- Foster transformative research and innovation
- Address societal challenges and promote sustainable development
- Deliver tangible benefits to European citizens and beyond
- **Prioritise projects with high potential for societal, economic, and environmental impact**
- Empower researchers and innovators to drive positive change
- Accelerate scientific breakthroughs
- Contribute to the well-being and prosperity of Europe

Impact Pathways

What Key Innovations, Besides the Steam Engine, Fueled the Industrial Revolution?

What Key Innovations, Besides the Steam Engine, Fueled the Industrial Revolution?

1. Thread cutting lathe for mass production of fastening elements
2. Standardisation of threads for screws and bolts

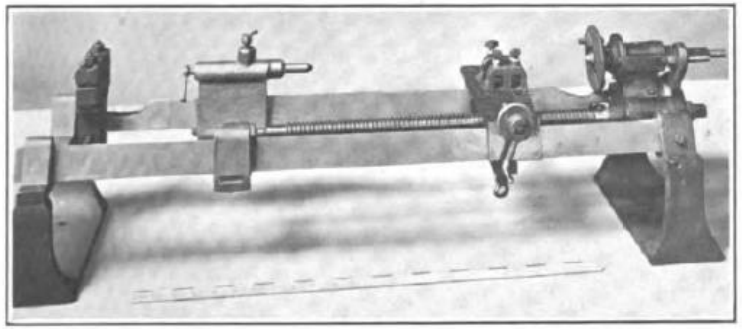


FIGURE 15. MAUDSLAY'S SCREW-CUTTING LATHE
ABOUT 1797

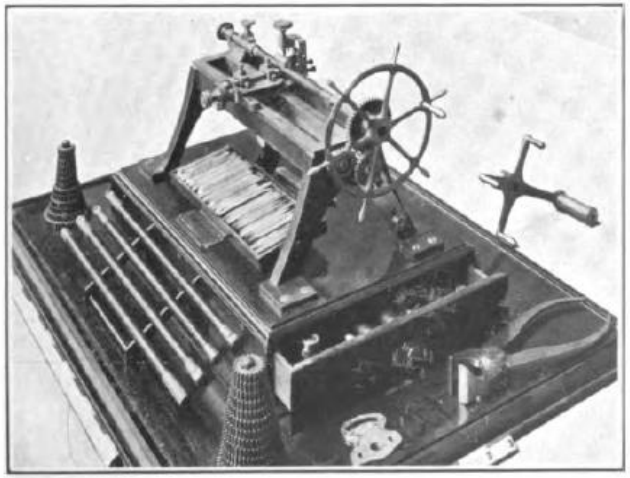


FIGURE 16. MAUDSLAY'S SCREW-CUTTING LATHE
ABOUT 1800

Thread Cutting Lathe and Standardisation of Threads

Maudslay's thread cutting lathe and the subsequent standardization of threads had a profound impact on the development of multiple industries:

- Textile Industry,
- Printing Industry,
- Agricultural Machinery,
- Railroad Industry,
- Sewing Machines,
- Ship Building,

driving innovation, productivity, and economic growth.

Key Impact Pathways: The 9 KIPs in 3 Areas of Impact

Scientific Impact	1. Creating high quality new knowledge 2. Strengthening human capital in R&I 3. Fostering diffusion of knowledge and Open Science
Societal Impact	4. Addressing EU policy priorities & global challenges through R&I 5. Delivering benefits & impact via R&I missions 6. Strengthening the uptake of R&I in society
Economic Impact	7. Generated innovation-based growth 8. Creating more and better jobs 9. Leveraging investments in R&I

Evaluation Criteria (RIA, IA)

Excellence
• Clarity and pertinence of the project's objectives,
and the extent to which the proposed work is ambitious,
and goes beyond the state of the art.
• Soundness of the proposed methodology,
including the underlying concepts, models, assumptions, inter-disciplinary approaches,
appropriate consideration of the gender dimension in research and innovation content,
and the quality of open science practices,
including sharing and management of research outputs and engagement of citizens, civil society and end users where appropriate.

Impact
• Credibility of the pathways to achieve the expected outcomes and impacts specified in the work programme,
and the likely scale and significance of the contributions from to the project.
• Suitability and quality of the measures to maximise expected outcomes and impacts, as set out in the dissemination and exploitation plan,
including communication activities.

Implementation
• Quality and effectiveness of the work plan,
assessment of risks,
and appropriateness of the effort assigned to work packages,
and the resources overall.
• Capacity and role of each participant, and the extent to which the consortium as a whole brings together the necessary expertise.

Evaluation Criteria (RIA, IA)

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- opriateness of the effort to work packages,
- esources overall.
- and role of each participant, xtent to which the consortium le brings together the y expertise.

Glossary of terms from the HE evaluator standard briefing

Pathway to impact	**Logical steps towards the achievement of the expected impacts of the project over time, in particular beyond the duration of a project.** A pathway begins with the projects' **results**, to their **dissemination**, **exploitation** and **communication**, contributing to the expected **outcomes** in the work programme topic, and ultimately to the wider scientific, economic and societal **impacts** of the work programme destination.
Research output	**Results generated by the action to which access can be given in the form of scientific publications, data or other engineered outcomes and processes such as software, algorithms, protocols and electronic notebooks.**
Results	**What is generated during the project implementation.** This may include, for example, know-how, innovative solutions, algorithms, proof of feasibility, new business models, policy recommendations, guidelines, prototypes, demonstrators, databases and datasets, trained researchers, new infrastructures, networks, etc. Most project results (inventions, scientific works, etc.) are 'Intellectual Property', which may, if appropriate, be protected by formal 'Intellectual Property Rights'.

Glossary of terms from the HE evaluator standard briefing

Objectives	**The goals of the work performed within the project**, in terms of its research and innovation content. This will be translated into the project's results. These may range from tackling specific research questions, demonstrating the feasibility of an innovation, sharing knowledge among stakeholders on specific issues. The nature of the objectives will depend on the type of action, and the scope of the topic.
Outcomes	**The expected effects, over the medium term, of projects supported under a given topic.** The results of a project should contribute to these outcomes, fostered in particular by the dissemination and exploitation measures. This may include the uptake, diffusion, deployment, and/or use of the project's results by direct target groups. Outcomes generally occur during or shortly after the end of the project.
Impacts	**Wider long term effects on society (including the environment), the economy and science, enabled by the outcomes of R&I investments (long term).** It refers to the specific contribution of the project to the work programme expected impacts described in the destination. Impacts generally occur some time after the end of the project.

Impact Pathways

Impact Pathway Name	Objective (Solution and results)	Outcome (Topic text)	Impact (Destination)	Communication	Dissemination	Exploitation	Partners

Evaluation Criteria

Excellence
• Clarity and pertinence of the project's objectives,
and the extent to which the proposed work is ambitious,
and goes beyond the state of the art.
• Soundness of the proposed methodology,
including the underlying concepts, models, assumptions, inter-disciplinary approaches,
appropriate consideration of the gender dimension in research and innovation content,
and the quality of open science practices,
including sharing and management of research outputs and engagement of citizens, civil society and end users where appropriate.

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and the likely scale and significance of the contributions from to the project.
• Suitability and quality of the measures to maximise expected outcomes and impacts, as set out in the dissemination and exploitation plan,
including communication activities.

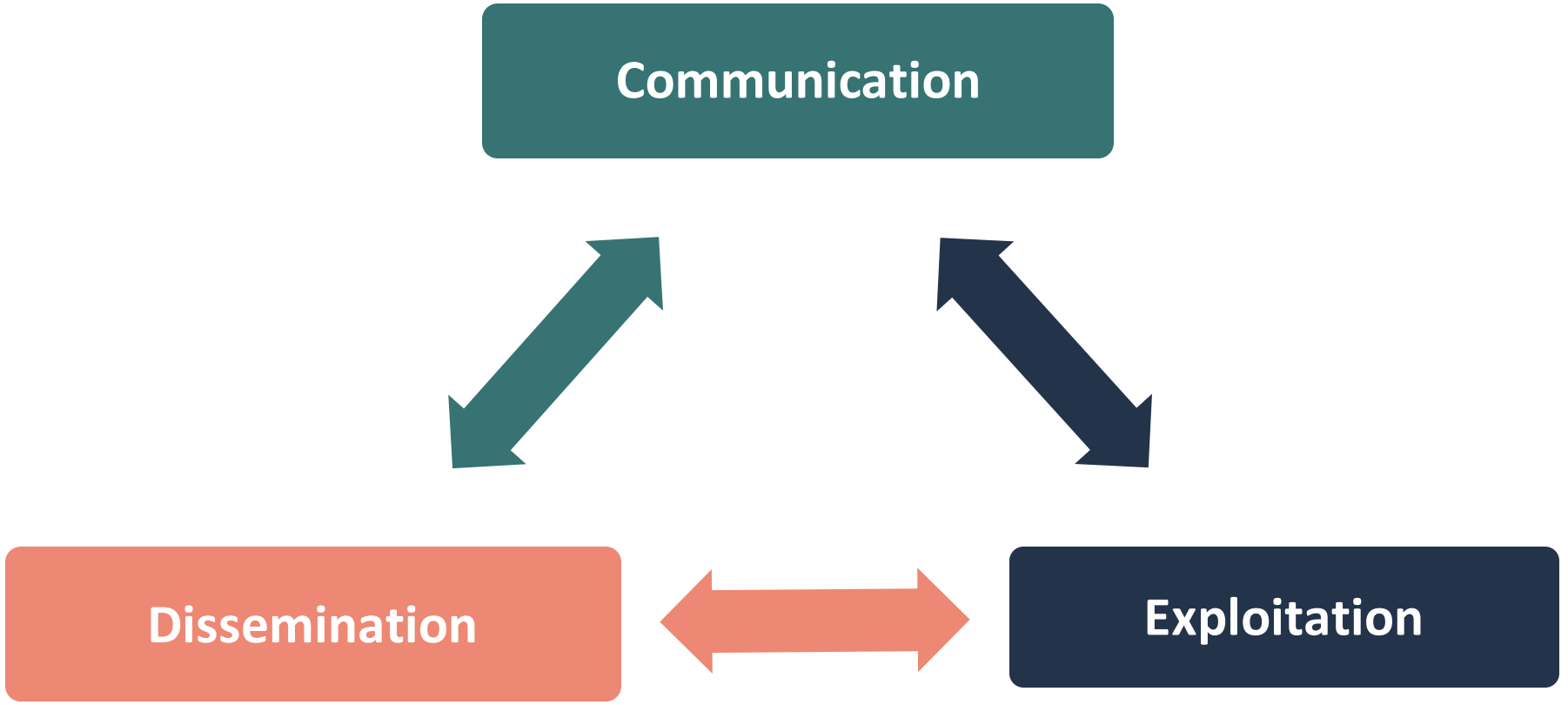
Implementation
• Quality and effectiveness of the work plan,
assessment of risks,
and appropriateness of the effort assigned to work packages,
and the resources overall.
• Capacity and role of each participant, and the extent to which the consortium as a whole brings together the necessary expertise.

Communication, Dissemination, Exploitation

Glossary of Terms from the HE Model Grant Agreement (Version 1.1, 15 April 2022)

Communication	Unless otherwise agreed with the granting authority, the beneficiaries must promote the action and its results by **providing targeted information to multiple audiences** (including the media and the public), in accordance with Annex 1 and in a strategic, coherent and effective manner.
Dissemination	The **public disclosure of the results by appropriate means**, other than resulting from protecting or exploiting the results, including by scientific publications in any medium.
Exploitation	The **use of results in further research and innovation activities** other than those covered by the action concerned, including among other things, **commercial exploitation such as developing, creating, manufacturing and marketing a product or process, creating and providing a service, or in standardisation activities.**

Define what is Communication, Dissemination and Exploitation for your Project

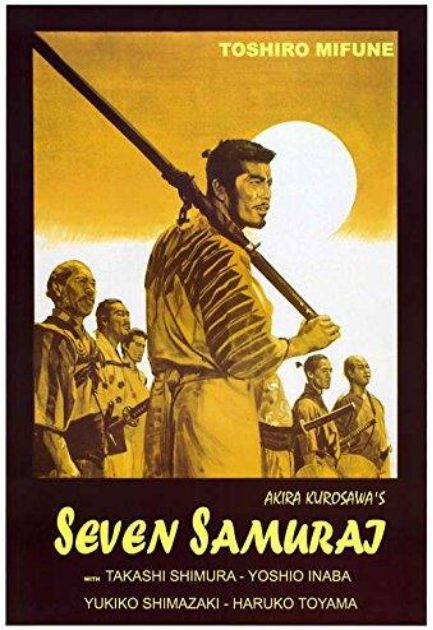


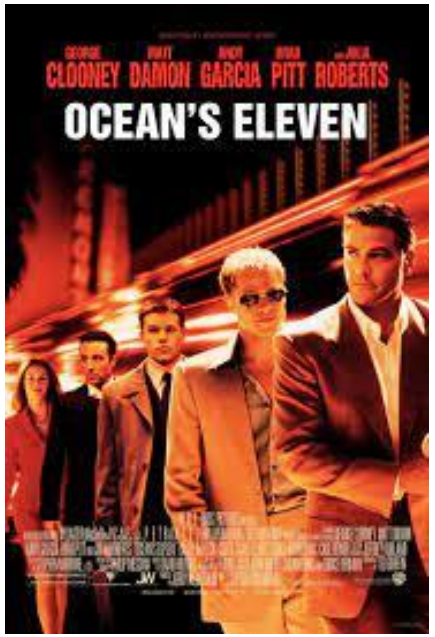
Communication - Dissemination - Exploitation

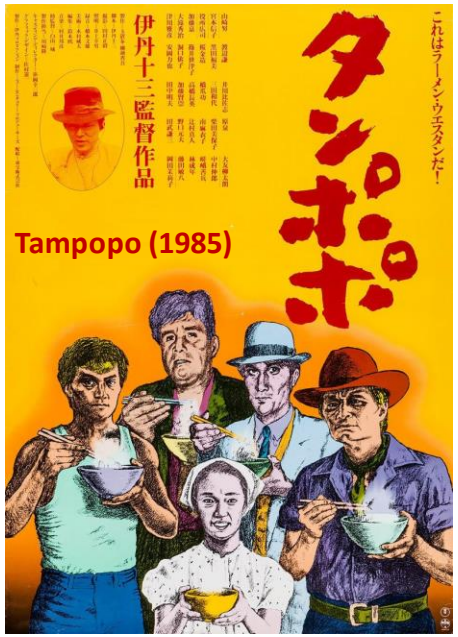
<table>
<tr><th>Informing about project</th><th>Informing about results</th><th>Making results available for use</th><th>Facilitating further use of results</th><th>Making use of results</th></tr>
<tr><td>Newsletter</td><td>Project website</td><td>Scientific publication</td><td>Innovation management</td><td>Spin-off/Start-up</td></tr>
<tr><td colspan="2">Press release</td><td>Policy brief/ roadmap</td><td>Copyright management</td><td>Standards</td></tr>
<tr><td>Project factsheet, brochures</td><td colspan="3">Training, workshops, demonstrators</td><td>Products</td></tr>
<tr><td rowspan="2">Social media (blogs, LinkedIn, …)</td><td>Videos, interviews</td><td rowspan="6">Sharing results on online repository (research data, software, reports)</td><td>Data Management Plan</td><td>Services</td></tr>
<tr><td>Articles in magazines</td><td colspan="2">Patents</td></tr>
<tr><td rowspan="3"></td><td rowspan="2">Exhibitions/ open days/ guided visits</td><td colspan="2">PhD thesis</td></tr>
<tr><td colspan="2">Further research</td></tr>
<tr><td colspan="2">Open licenses</td></tr>
<tr><td>Conference presentations</td><td>Active stakeholder engagement</td><td>Societal activity</td></tr>
<tr><td></td><td></td><td>Policy change</td></tr>
</table>

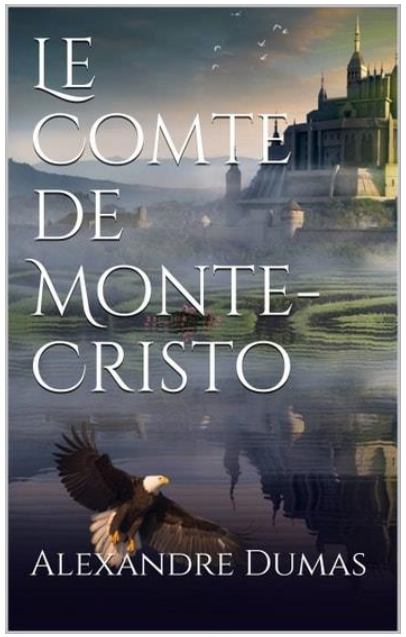
The Consortium as a Whole

What do these stories have in common?









Evaluation Criteria (RIA, IA)

Excellence

- Clarity and pertinence of the project's objectives,
- and the extent to which the proposed work is ambitious,
- and goes beyond the state of the art.
- Soundness of the proposed methodology,
- including the underlying concepts, models, assumptions, inter-disciplinary approaches,
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- and the quality of open science practices,
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Impact

- Credibility of the pathways to the expected outcomes and ir specified in the work program
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Implementation

- Quality and effectiveness of the work plan,
- assessment of risks,
- and appropriateness of the effort assigned to work packages,
- and the resources overall.
- **Capacity and role of each participant, and the extent to which the consortium as a whole brings together the necessary expertise.**

How to describe the perfect consortium in the proposal

Answer the following questions:

- Why is the consortium as a whole more valuable than the sum of the individual partners?
- What are synergy effects that you can exploit with your consortium?
- How did you design/form/develop your consortium?
- Why did you select specific partners?
- What makes your consortium so special?

Why a consortium needs to be planned and "designed"

Designing a consortium for Horizon Europe

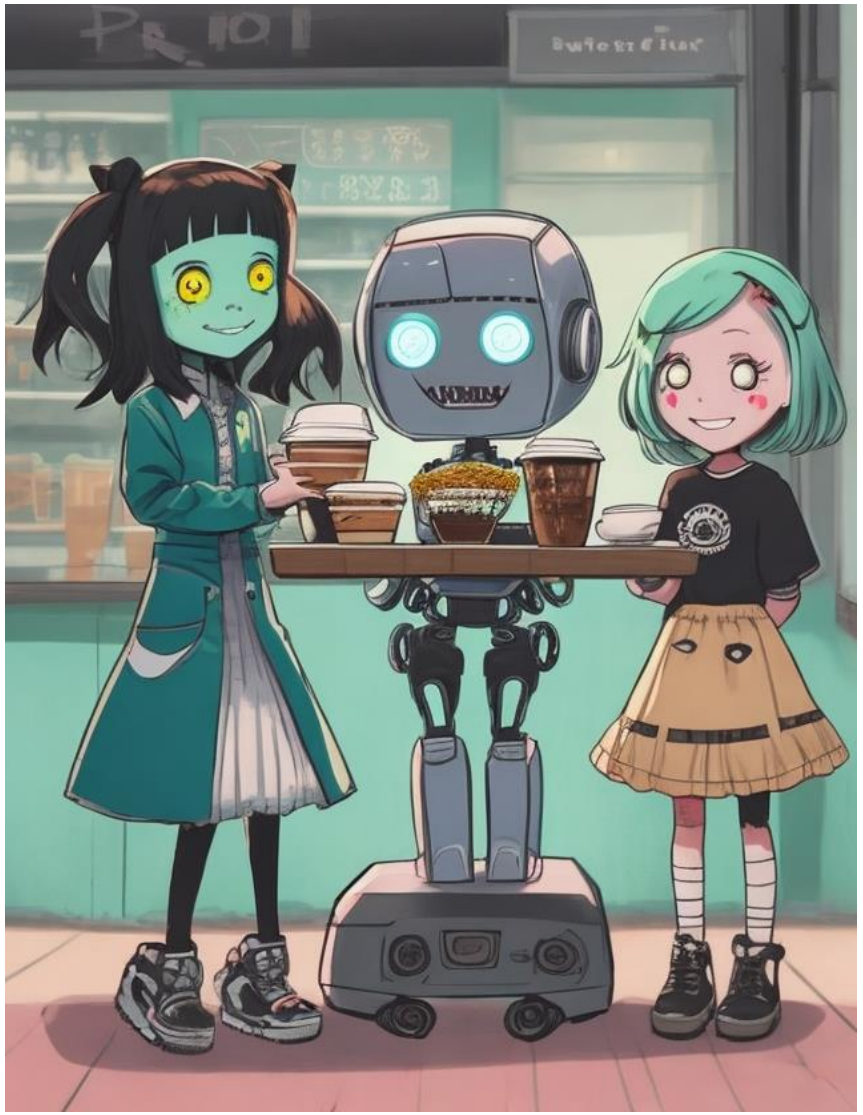
- brings together complementary expertise,
- establishes clear roles and responsibilities,
- creates a common vision and strategy,
- and identifies potential risks and challenges.

This is more effective than bringing in random partners without a clear plan.

Storytelling

Storytelling

- Innate human trait shaping our understanding of the world
- Used for communication, education, and entertainment throughout history
- Stories engage, connect, and explain meaning
- Yet for me there was a negative side effect of storytelling ...



The Power of Storytelling in Horizon Europe Proposals

Storytelling in Horizon Europe proposals

— captivates evaluators,
— demonstrates impact,
— enhances comprehension,
— differentiates proposals,
— leaves the reader with a sense of hope, anticipation, and excitement about the possibilities that lie ahead.

A word of warning:

— Storytelling may not suit everyone's style.
— However, consider using storytelling techniques when appropriate.

Write a Compelling Proposal

Key Elements for Storytelling

1. Engaging Opening
2. Clear Narrative Structure
3. Protagonist and Conflict
4. Compelling Characters
5. Concrete Examples and Case Studies
6. Visual Imagery
7. Conflict Resolution and Transformation
8. Call to Action

Some advice for a compelling proposal

- Hook the reader
- Start with compelling storytelling
- Evoke a sense of urgency
- Address evaluation criteria
- Present clear objectives and impact pathways
- Visualize the future
- Use compelling language and formatting
- Highlight consortium collaboration
- Follow a narrative structure

Create an Engaging Opening

The Executive Summary

- An Executive Summary is not required
- However, consider adding a half page Executive Summary with the key elements of your proposal

Exercise

Topics for the Exercise

1. HORIZON-CL2-2024-DEMOCRACY-01-01: Protest politics and cultures of opposition in democracy
2. HORIZON-JU-CBE-2023-IA-06: Selective, sustainable production routes towards bio-based alternatives to fossil-based chemical building blocks
3. HORIZON-CL5-2024-D3-01-07: Development of hydropower equipment for improving techno-economic efficiency and equipment resilience in refurbishment situations
4. HORIZON-CL4-2024-TWIN-TRANSITION-01-12: Enhanced assessment, intervention and repair of civil engineering infrastructure

Exercise

- Choose one topic and join a group
- Choose at least one expected outcome and

  develop a compelling narrative of an Impact Pathway
- Don’t forget to quantify (scope, scale, timing) your objectives and outcomes
- Address scientific, economic and societal impact.
- Be creative with your communication and dissemination measures
- Use at least on storytelling element, for example:
  - How we formed the perfect consortium …
  - How one of the consortium members invented …
  - How the consortium met by accident …
- Don’t worry if you are missing some elements
- Choose one presenter per group
- You have 5 minutes to tell us your Impact Pathway Story

Template for a Horizon Europe Impact Pathway Story

1. Impact Pathway Name
2. Objective
3. Solution and Results
4. Outcome (from the Topic text)
5. Impact (from the Destination text)
   a. Societal Impact
   b. Economic Impact
   c. Environmental Impact
6. Communication, Dissemination, and Exploitation
   a. Communication
   b. Dissemination
   c. Exploitation
7. Partners:
   a. Academic and Research Partners
   b. Industry and Innovation Partners
   c. Policy and Decision-Making Partners

This impact pathway “template” serves as a guide for crafting a compelling narrative of the anticipated impact of a Horizon Europe project.

By articulating

- objective,
- solution and results,
- outcome,
- impact dimensions,
- communication and dissemination strategies,
- exploitation plans,
- and strategic partnerships,

the proposal demonstrates the project's potential to generate transformative impact in society, economy, and the environment.

Tell us your Impact Pathway Story

Wrap Up

Feedback

– Was this exercise useful?
– How difficult was it?
– What were specific challenges?
– What is your take on storytelling?

Standard Application Form

2.1 Project's pathways towards impact *("Narrative")*

a. Contributions to Outcomes and Impacts, Target Groups, Types of Impacts/Outcomes, Do-No-Significant-Harm
b. Scale & Significance
c. Requirements, Potential Barriers & Mitigations

2.2 Measures to maximize impact - Dissemination, exploitation and communication

2.3 Summary of impact pathway(s) *("Impact Canvas")* and measures to maximize impact

- Specific needs
- Expected results
- D&E&C measures
- Target groups
- Outcomes
- Impacts

The Next Steps

– Develop suitable and compelling ways of presenting your Impact Pathways
– Contact us for advice
– Ask us for an appointment for a proposal review

Contact the specialists on Swiss participation in Horizon Europe!

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