



How to write the **Implementation** part

Training workshop for NMP NCP

„How to write a good proposal“

14/10/2015

Ella Bouquet – MENESR - NCP Academy

NCP Academy will help NCPs ...



- By create and implement a new and integrated training of Horizon 2020 advisors
- By create and implement training courses on cross-cutting issues in Horizon 2020 relevant for all NCPs
- By bringing together NCP Coordinators and NCPs for Legal and Financial aspects of Horizon 2020 and thereby make it easier to share knowledge and best practice
- By improving the professionalisation of NCP service across Europe and simplify access to Horizon 2020 calls
- Training will be on-site and via webinars and streaming
- For more info please see: <http://ncpacademy.eu/>

How to write the **Implementation** part of the proposal



- « **Implementation** » - **définitions:**

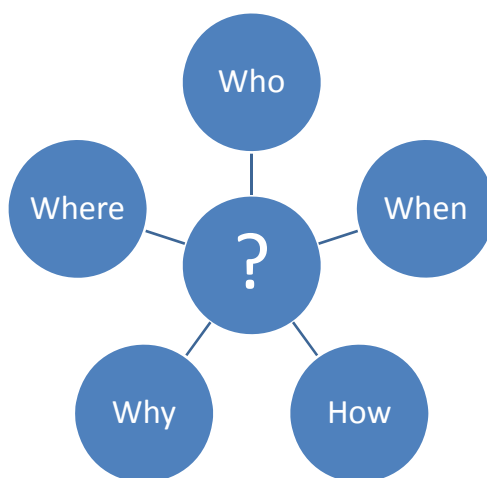
*The **process** of putting a decision or plan into effect.
(Oxford Dictionary)*

*Detailed listing of activities, costs, expected difficulties, and schedules that are required to **achieve the objectives** of the project.*

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Addressing the Five Ws & H



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NEW

No negotiation policy in H2020



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

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Implementation criteria



Quality and efficiency of the implementation*

- Coherence and effectiveness of the **work plan**, including appropriateness of the **allocation of tasks and resources**;
- **Complementarity** of the participants within the consortium (when relevant);
- Appropriateness of the **management structures and procedures**, including **risk and innovation management**.


* Experts will also be asked to assess the **operational capacity** of applicants to carry out the proposed work.

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NEW

Operational capacity



For the proposal to be **admissible**, the evaluators will check the **operational capacity of the participating entities**:


- **curriculum vitae**
- Up to **five relevant publications, and/or products, services**
- Up to **five relevant previous projects or activities**
- A description of any **significant infrastructure** and/or any major items of technical equipment
- A description of any **third parties** that are not represented as project partners, but who will nonetheless be contributing towards the work

➤ **Less is more: all must be relevant to the project**

➤ **Make the most of remote evaluation: use hyperlinks**

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Implementation criteria



- ✓ Make sure that the proposal addresses each bullet point
- ✓ It must be easy for evaluators to tick the boxes
- ✓ Do not use standard management structures and procedures
- ✓ Tailor the implementation to the project needs
- ✓ Remember page limit
- ✓ The figures in the various tables must match

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The structure imposed in the template



3. Implementation

- 3.1 Work plan — Work packages, deliverables and milestones
- 3.2 Management structure and procedures
- 3.3 Consortium as a whole
- 3.4 Resources to be committed

4. Members of the consortium

- 4.1. Participants
- 4.2. Third parties involved in the project (including use of third party resources)

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Work plan — Work packages, deliverables and milestones



- A great idea is not sufficient
- Answer the “HOW?” with details
- The proposal must demonstrate the coherence and effectiveness of the work plan
- Project management tools are not an administrative burden but an opportunity for the project to actually succeed

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Work plan — Work packages, deliverables and milestones



What evaluators **don't want** to see:

- Lack of integration between the workpackages
- An excessive number of deliverables
- A excessive number of different application examples
- Lack of indicators to measure project achievements
- Results that cannot be achieved within the life-time of the project

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Work plan — Work packages, deliverables and milestones



Risk management in 2 steps:

- Identification, assessment, and prioritization of risks
- Identification of **mitigation measures** and **contingency plans**

What risks could threaten my project objectives?

What is the probability of this?

What is the severity of this?

What is the best strategy to monitor these risks?

➤ **Demonstrate that you will have a plan B**

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Management structure and procedures



- Illustrate your management structure
- Collaborative projects are a challenge as such
- Partners must commit to the structure during the proposal phase
- Identify potential risks and contingency plans
- Project management techniques are not an administrative burden but an opportunity for the project to actually succeed

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Management structure and procedures



What evaluators **don't want** to see:

- Too complex management structures and procedures for small scale projects
- The main risks identified in scientific workpackages not properly assessed
- Participation of end-users/stakeholders not sufficiently described
- Bad flow and connection among the work packages
- No gender strategy
- No IP management
- Overlooked risk management, lack of detail in the risk assessment and contingency plans

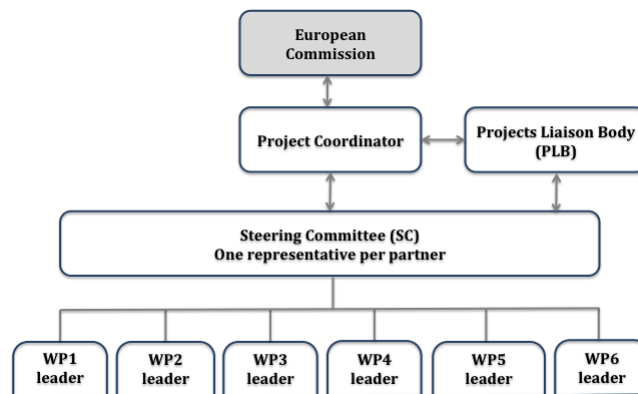
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Management structure and procedures



A simple exemple



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Management structure and procedures



IP management is key to success

What are the background knowledge partners are bringing in the project? What are the patents? What is the confidentiality policy of the project? What results will be generated? How will access rights be dealt with?

- [Your Guide to IP in Horizon 2020](#)
- [IP management in Horizon 2020: grant preparation](#)
- IPR helpdesk documentation, hotline and training www.iprhelpdesk.eu

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Consortium as a whole



- Map the expertise, competencies, IP and equipment of each partner with the project activities
- Demonstrate and illustrate complementarity
- Involve business (industrials, clients, standardisation specialists, legal support)
- Involve society (end-users, patients, policy-makers, ethics specialists, students, etc.)
- Explain the participation of third countries

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Consortium as a whole

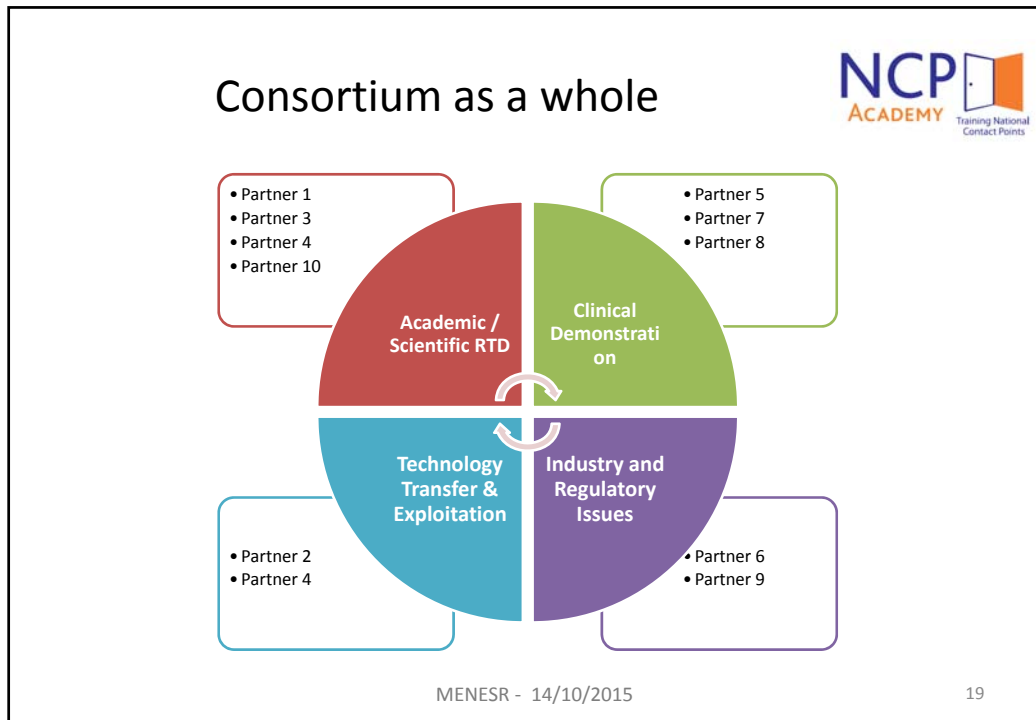


What evaluators **don't want** to see:

- A collection of research ideas representing the past and present research activities with no real integration
- Specific contributions of individual partners not sufficiently identified
- A single partner concentrating the leadership of several major workpackages
- A missing industrial partner (that would have allowed enhanced requirements specifications, demonstrations, etc.)
- Specific expertise of partners not well mapped to their tasks

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Consortium as a whole

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ACADEMY
Training National
Contact Points

Automatic funding for entities established :

- In **Member States** including their overseas departments
- In **Associated Countries** ([list available on online manual](#))
- In **developing countries** listed in the [general annexes to the workprogramme](#) unless otherwise stated

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Consortium as a whole



Not automatically eligible for funding

Industrialised countries and emerging economies

Participants from these countries have themselves to determine the sources of funding and find the resources for their part of the action.

Several countries have created mechanisms to co-fund their participants in Horizon 2020 actions selected for EU funding (more information on [available local support from non-EU countries for Horizon 2020 country by country](#)).

In exceptional circumstances, industrialised and emerging economies can receive EU funding if:

- there is a **bilateral agreement** between that country and the EU. For instance, researchers in the United States are eligible for EU funding when participating in the health programme on the basis of a reciprocal EU - US/NIH arrangement
- the country is **explicitly identified in the relevant work programme and call for proposal** as being eligible for funding
- their **participation is deemed by the European Commission to be essential** for carrying out the action.

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Reference documents




Funding of applicants from non-EU countries
& international organisations

Version 1.0
14 February 2014

- Article 10 [Rules for Participation](#)
- Guidance: [Funding of applicants from non-EU countries & international organisations](#)

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Resources to be committed


Project needs **➔** Budget

Not the opposite!

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Guide to understand the rules




AGA – Annotated Model Grant Agreement

Version 2.0
30 March 2015

Disclaimer

[Link to the Annotated Model Grant Agreement](#)



1. Maximum grant amount

The maximum grant amount set out in this Article can NOT be exceeded.

⚠ The maximum grant amount can NEVER be increased — even if the eligible costs of the action are higher than planned

The maximum grant amount is not the 'final grant amount' and is not a 'price' due to the beneficiaries.

2. Reimbursement rates

How much? The 'reimbursement rate' for RIA actions is normally **100%** of the total *eligible costs*⁸; for IA actions it is normally **70%** of the total eligible costs⁷.

In exceptional cases fixed in the work programme/call, a **lower reimbursement rate** than the two mentioned above may apply.

The eligible costs of **non-profit** beneficiaries/linked third parties participating in innovation actions may be reimbursed at **100%**.⁸

As a general principle there is only one funding (reimbursement) rate per action, the same for all activities and all beneficiaries of the action (**one project — one funding rate**).

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Resources to be committed



European Commission - Research - Participants
Proposal Submission Forms

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Proposal ID SEP-210274776 Acronym test Go to

3 - Budget for the proposal

No	Participant short name	Country	(A) Direct personnel costs/€	(B) Other direct costs/€	(C) Direct costs of sub-contracting/€	(D) Direct costs of providing financial support to third parties/€	(E) Costs of in-kind contributions not used on the beneficiary's premises/€	(F) Indirect Costs / € (=0.25(A+B+C))	(G) Special unit costs covering direct & indirect costs / €	(H) Total estimated eligible costs / € (=A+B+C+D+F+G)	(I) Reimbursement rate (%)	(J) Max. grant / € (=H*I)	(K) Requested grant / €
1	Cnrs	FR	?	?	?	?	?	?	?	?	?	?	?
			0	0	0	0	0	0,00	0	0,00	100	0,00	0,00
	Total		0	0	0	0	0	0,00	0	0,00		0,00	0,00

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One project — one funding rate..... almost!



Research and Innovation Action Coordination and Support Action	Direct costs 100 %	Indirect costs 25 % flat-rate	Total
All activities and all beneficiaries	100 euros	25 euros	125
Innovation Action	Direct costs 70 % (100%)	Indirect costs 25 % flat-rate	Total
Profit beneficiaries	70 euros	17,5 euros	87,5
Non-profit beneficiaries	100 euros	25 euros	125

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Ineligible costs



Do not include in your budget, in particular:

- Costs related to return on capital
- Debt and debt service charges
- Provisions for future losses or debts
- Interest owed
- Doubtful debts
- Currency exchange losses
- Bank costs charged by the beneficiary's bank for transfers from EU
- Excessive or reckless expenditure
- Deductible VAT
- Costs incurred during suspension of the implementation of action
- Costs declared under another EU grant

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Resources to be committed



What evaluators **don't want** to see:

- An allocation of resources overestimated as compared to the scope of the proposal
- Differences in the tables regarding the partners allocations of resources
- Highly overestimated budget claims
- Unjustified imbalance between partners
- Unjustified resort to subcontracting
- Underestimated coordination effort

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Resources to be committed



Personnel costs:

- Which permanent staff members will be involved?
- Is my entity the employer of all the permanent staff involved?
- What percentage of their time will they dedicate to the project?
- What is their salary rate with charges?
- Will one need to hire new staff?
- What are the applicable scales of remuneration in my organisation?

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Resources to be committed



Equipment costs:

- Have project partners got all the required equipment?
- If not, what is the best solution? Leasing or buying?
- What is my organization's depreciation policy?
- Will the equipment be used for other projects?

Consumables costs:

- How many and which consumables will the project require?

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Resources to be committed



Travel costs:

- How many consortium meetings?
- How many work package meetings?
- How many dissemination events?
- How many project reviews?

Other goods and services costs:

- Flyers? Posters? Catering for events?
- IP protection? Open access costs?
- Certificates on financial statements?

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Resources to be committed



Third parties in article 8 of the Grant Agreement:

“The beneficiaries must have the appropriate resources to implement the action.

If it is necessary to implement the action, the beneficiaries may:

- *purchase goods, works and services (see Article 10);*
- *use in-kind contributions provided by third parties against payment (see Article 11);*
- *use in-kind contributions provided by third parties free of charge (see Article 12);*
- *call upon subcontractors to implement action tasks described in Annex 1 (see Article 13);*
- *call upon linked third parties to implement action tasks described in Annex 1 (see Article 14). “*

- **In these cases, the beneficiaries retain sole responsibility towards the Commission and the other beneficiaries for implementing the action.**

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Resources to be committed



Subcontracting costs:

Rules for subcontracting action tasks - Article 13 of the Grant Agreement

- “If necessary to implement the action, the beneficiaries may award subcontracts covering the implementation of certain action tasks described in Annex 1.
- Subcontracting may cover only a **limited part of the action**.
- The beneficiaries must award the subcontracts ensuring the **best value for money** or, if appropriate, the **lowest price**. In doing so, they must avoid any conflict of interests”

➤ Do not name your subcontractors in the proposal

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Resources to be committed



Table 3.4a: Summary of staff effort

Please indicate the number of person/months over the whole duration of the planned work, for each work package, for each participant. Identify the work-package leader for each WP by showing the relevant person-month figure in bold.

	<u>WPn</u>	WPn+1	WPn+2	Total Person/ Months per Participant
Participant Number/Short Name				
<u>Participant Number/ Short Name</u>				
Participant Number/ Short Name				
Total Person/Months				

➤ Be careful to match this table with the work package descriptions

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Resources to be committed



Table 3.4b: 'Other direct cost' items (travel, equipment, other goods and services, large research infrastructure)

Please complete the table below for each participant if the sum of the costs for 'travel', 'equipment', and 'goods and services' exceeds 15% of the personnel costs for that participant (according to the budget table in section 3 of the proposal administrative forms).

Participant Number/Short Name	Cost (€)	Justification
Travel		
Equipment		
Other goods and services		
Total		

➤ Be careful to match this table with part A of your proposal

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Ethics and security



Although ethics and security aspects are not part of the evaluation, demonstrating that you have well thought out their implications will add to the credibility of your implementation approach

Guidance: "[How to complete your ethics self-assessment](#)"

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This project has received funding from the European Union's Horizon 2020 research and innovation programme

10/16/2015

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