

EASME

Executive Agency for Small and Medium-sized Enterprises



SME SUPPORT



ENERGY



ENVIRONMENT



MARITIME



EASME

Executive Agency for Small and Medium-sized Enterprises

Cross-cutting issues & best practices in writing proposals

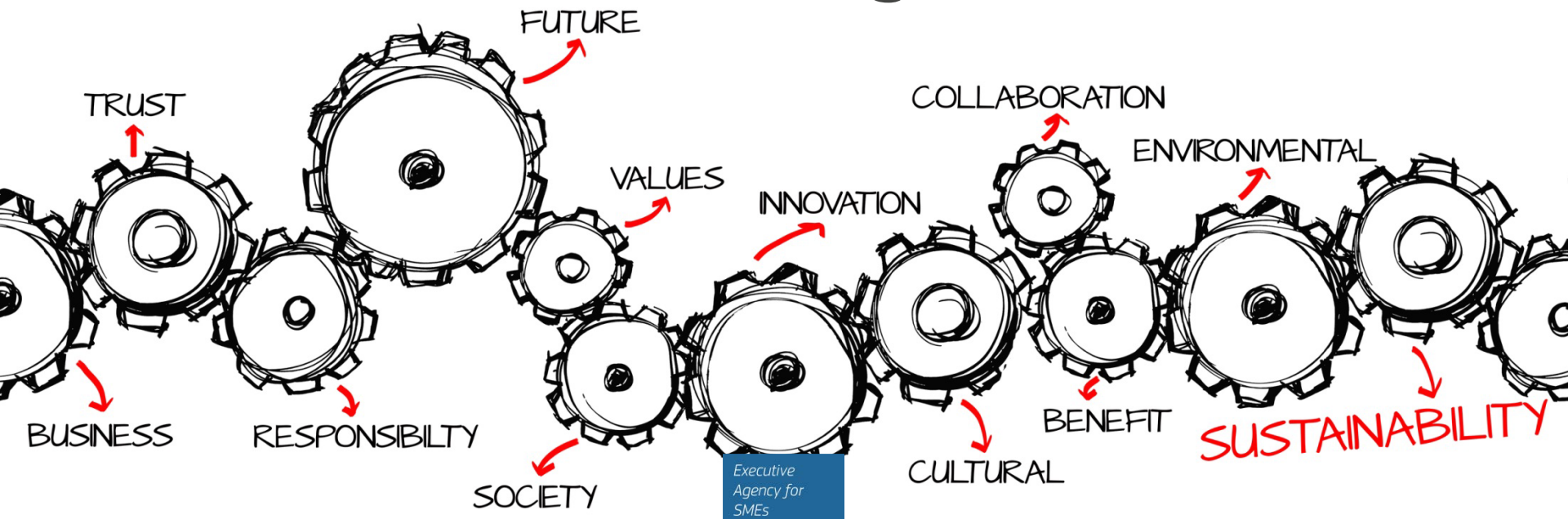
Jonas Hedberg

Horizon 2020 – Environment and Resources

Information day & brokerage event
Brussels, 14 September 2016



Cross-cutting issues





Innovation

The successful **exploitation** of new ideas to produce **tangible benefits**, satisfying **needs** and **wants**

- Technological or non-technological – Systemic
 - Integration of users in the process is crucial
1. Excellence: demonstrate innovation potential
 - The innovation (benefit) that can potentially delivered
 2. Impact: enhance innovation capacity
 - capacity to stimulate further innovations, or increase the amount of benefits delivered
 - potential to be used in other areas
 3. Implementation: innovation management
 - Identify and exploit R&D results for innovation



Innovation management and IP

- Identifying and managing new ideas that can be exploited for innovation
- From the point of capturing the creative works to the deployment of a product or service
- Projects need mechanisms to recognise and capture the IP – proactive monitoring and reviews
- IPR enables dissemination and stimulates exploitation
- Code of practice for public research organisations
<http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=celex:32008H0416>
- IPR helpdesk: www.iprhelpdesk.eu



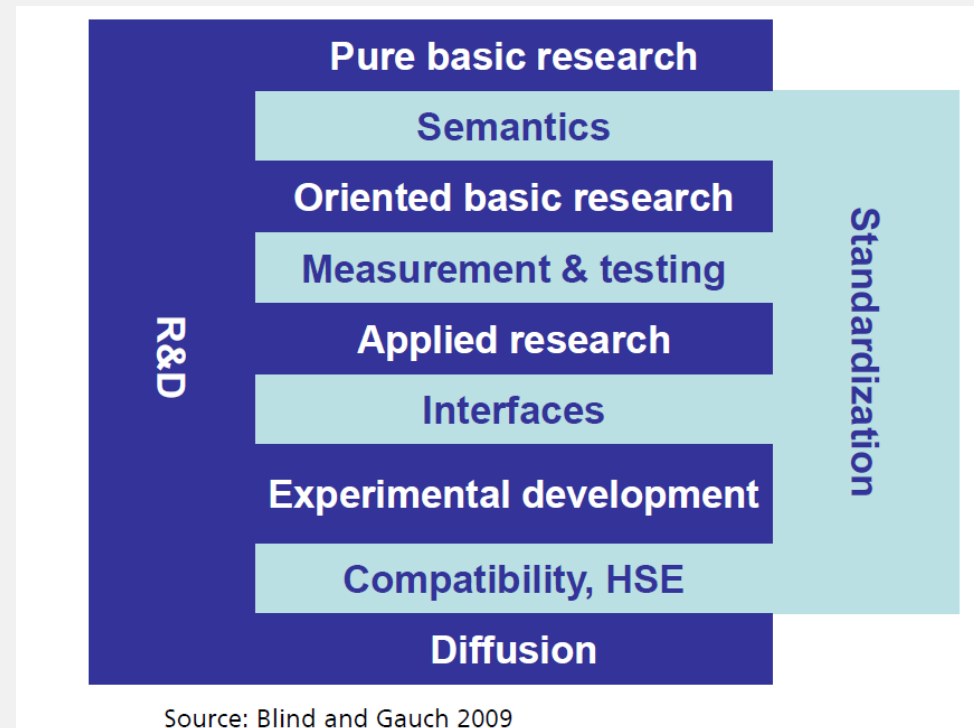
Standards

a major driver of innovation

Benefits:

- worldwide trade
- rationalization
- quality assurance
- environmental protection
- security
- communication

Source: DIN study "Economic Benefits of Standardization", updated in 2011





Standards

Where relevant

- Link your project with ongoing standardization work
- Involve standardisation partner (formal or informal)

http://www.cencenelec.eu/news/publications/Publications/Standards_Horizon2020.pdf



Earth observation and spatial data

INSPIRE

"All activities related to Earth observation data and other spatial data should comply at best with and build upon the existing Infrastructure for Spatial Information in the European Community (INSPIRE)". (SC5 work programme introduction)

- JRC: <http://inspire.ec.europa.eu>
- OGC: www.opengeospatial.org/pressroom/marketreport/inspire

GEO – GEOSS

- Follow the GEOSS Data Sharing Principles
- Register data in the GEO data portal





Stakeholder integration

Responsible Research and Innovation

Societal actors work together to **align** research and results with the values, needs and expectations of society.

Public engagement

Iterative/participatory **multi-actor dialogues** to **co-create** research and innovation outcomes and policy agendas.

Trans-disciplinarity

Methodologies that **integrate scientific** disciplines, and non-academic **and non-formalized knowledge**.

Co-design & Co-creation



Social science and humanities

Solving complex societal problems requires the contributions from (one or more) SSH discipline(s)

- economics and business models
- legal and institutional frameworks
- policy-making and governance issues
- human behaviour / choices and ethics
- demographic realities and trends
- cultural values and historical dimension

Topics for which SSH contribution is particularly important are listed in the [H2020 online manual](#)

Gender

- The gender dimension has to be considered if the findings can be expected to affect women and men differently.
- Integrating sex (biological factors) and gender (social/cultural factors) analysis into the research work
- Contributes to the soundness of the proposed work, both scientifically, technically and socially.
- Gender equality is relevant for all projects!

Topics for which the gender dimension is particularly important are listed in the [H2020 online manual](#)

More info on gendered innovations:

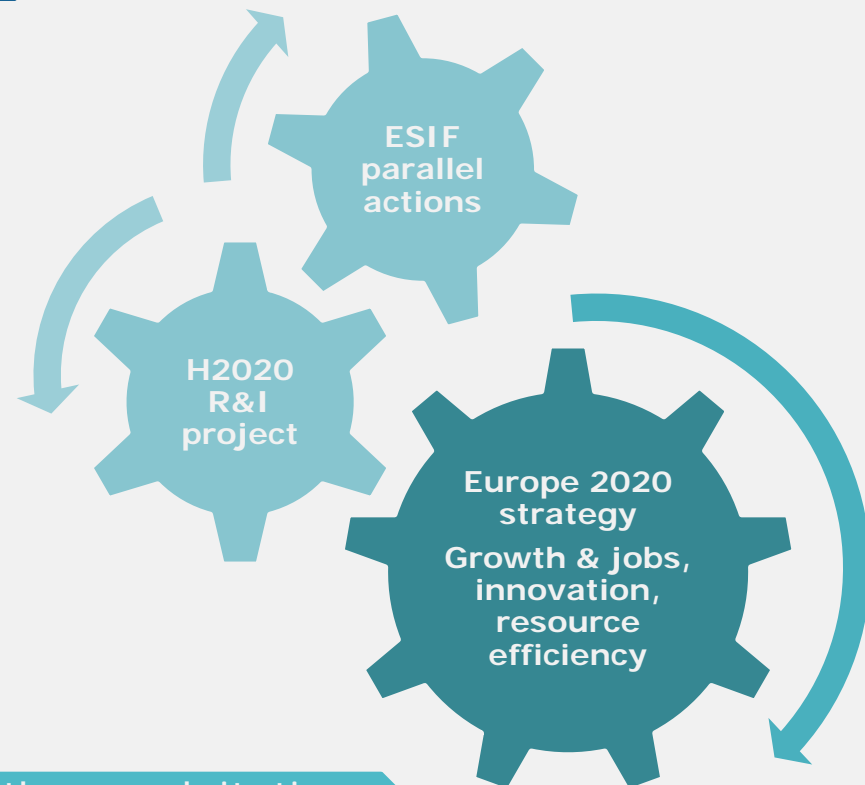
<http://ec.europa.eu/research/gendered-innovations/>

International cooperation

- Horizon 2020 is **Open to the World** - Participants from all over the world can participate
- In some cases the call requires international cooperation, and it could be an eligibility criterion
- In many cases the EU will fund the participation of non-EU partners (See Annex A of the Work Programme)
- Other countries and International Organisations are welcome to participate
 - Some countries have co-funding mechanisms
 - Partners have to foresee and clarify other funding sources and address the risk of not securing funding
 - International cooperation can also be achieved by involving partners as third parties or cooperation partners

Link to regional policy

- Parallel actions
- Serial actions



H2020: a project ends

ESIF: further exploitation
of the results

ESIF: infrastructure and
capacity building

H2020: submission of a
proposal



Ethics

- Self-assessment (part A of the proposal), guidance: http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/ethics/h2020_hi_ethics-self-assess_en.pdf
- Address ethics issues to demonstrate a good understanding of the ethics implications of the work (section 5 of part B)
- Ethics issues may block the signature of the Grant Agreement



Ethics

Common ethics issues in SC5

- Humans – interviews, surveys, social science studies
- Protection of personal data
- Non-EU countries – benefit-sharing, import/export, compliance with H2020 standards
- Environment and Health & Safety
- Dual use - military application
- Misuse - malevolent/criminal/terrorist abuse



Best practices



Eligibility and Admissibility

Ensure that you are meeting the Eligibility and Admissibility conditions

- Standard - Annex B and C of the work programme
- Specific - In the section Conditions for the call of each call section

Three evaluation criteria

- Excellence
- Impact
- Implementation

Equal weight, except for in Innovation Actions (IA) where Impact has a weighting of 1.5

Excellence





Excellence

Objectives

- Quantitative and clear targets
- Formulated to maximize impact

Innovation Actions (IA)

- Focusing on demonstration / market replication, possibly with limited research and development
- Appropriate demonstration scale, responding to the call
- Demonstrating the maturity of the proposed solution – Technology Readiness Level (TRL)



Excellence

Concept and Methodology

- Clear descriptions giving sufficient details while avoiding jargon
- Keeping it transparent, identifying data sources, assumptions and possible hurdles
- Address the gender dimension when relevant (not to be confused with gender balance and equality)
(check if the topic is gender-flagged in the [H2020 online manual](#))
- Using stakeholder knowledge and including convincing end-user involvement – interaction, co-design & co-creation throughout the project rather than mere consultation



Excellence

Innovation potential and progress beyond the state of the art

- Describing the state of the art, including previous and ongoing projects and patents, and explaining how the project builds on and goes beyond the previous work
- Convincingly describe the novel and innovative solutions that can actually be deployed by users to tackle the specific challenge
- Credibly describe the advancement of TRL



Impact



Impact

- Supporting the expected impact with quantitative information
- Appropriate measurable indicators to convincingly demonstrate how the projects will contribute to all the expected impacts
- Respond to the expected impact of the work programme
- Justify the reasons for focusing on a specific area of the call and how this is reflected in the expected impacts
- Explain how innovation capacity will be enhanced
- Explain any impacts beyond those expected by the call



Impact

Exploitation, dissemination and Communication

- Clearly explain how IP will be managed (with the details for the Consortium Agreement)
- Justify confidential deliverables and why dissemination is not hampered
- Explain how open access will be ensured
- Credibly describe exploitation and uptake beyond the project and how long-term sustainability is accomplished
- Measures tailored to project and target audience
- Clearly define the different target audiences, including media and public



Impact

Innovation Actions (IA)

- Demonstrating interest among potential end-users and defining an adequate role for them
- Business model
- Address the relevant legal and market barriers



European
Commission

Implementation

Executive
Agency for
SMEs



Implementation

Work plan and resources

- Activities and resources responding to the Type of Action, the challenge and methodology
- Clear and credible interactions and integration between WPs and partners, including for interdisciplinary work
- Linkage between responsibilities – tasks – deliverables – resources
- Clear roles with task allocation corresponding to partner profiles and adequate number of actors
- Adequate use and number of deliverables and milestones for proper monitoring of progress
- Appropriate management resources for the size and complexity of the project
- Budget for collaboration with other projects
- Innovation Actions (IA) – Timing of the demonstration



Implementation

Risk management

- Key risks covered and risk level indicated
- Effective mitigation measures and contingency plans

Management structure

- Tailored to size, nature and complexity of the project
- Clearly identified roles, composition and interaction of management and advisory bodies, including decision making
- Appropriate to deal with the innovation process - Innovation management
- Credible mechanisms for quality assurance and performance monitoring



Implementation

Consortium

- responding to the needs of the project and challenge, as described in the call (e.g. expertise, transdisciplinarity, industrial and end-user involvement)

Innovation Actions (IA)

- represent the actors that can make that specific innovative solution happen
- include actors with a commercial interest in the solution being developed

No 1 Best practice: Prepare and submit well in advance

- FAQ on proposal submission and evaluation:
http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/applying-for-funding/submit-proposals_en.htm
- More info on cross-cutting issues:
http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/cross-cutting-issues_en.htm

EASME-H2020-SC5-ENQUIRIES@ec.europa.eu



EASME

Executive Agency for Small and Medium-sized Enterprises

THANK YOU FOR YOUR ATTENTION

EASME-H2020-SC5-ENQUIRIES@ec.europa.eu

EASME on Twitter



@EU_ECOINNO • @H2020EE • @H2020SME • @EEN_EU

Executive
Agency for
SMEs