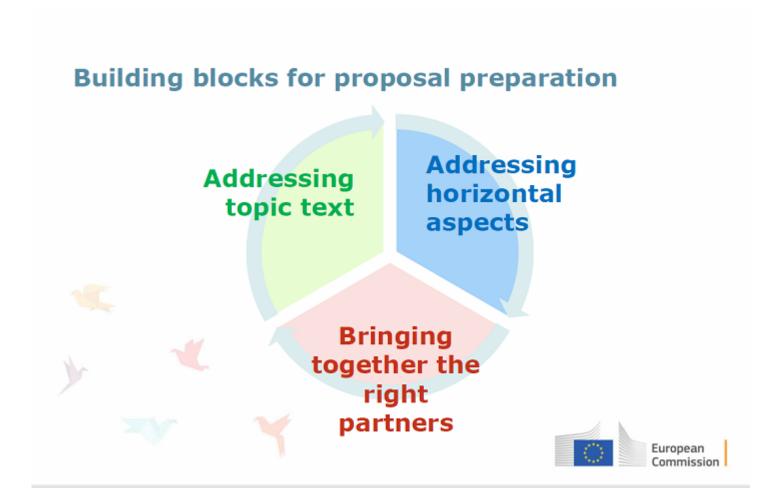# Proposal template and evaluation

Innovate UK

Participation aspects

- Understanding the Work Programme/background

- Understanding the topic/scope

- Consortium and geographical coverage

- Horizontal aspects

- Do's and don't's

Prepare!

Building blocks for proposal preparation

Addressing topic text

Addressing horizontal aspects

Bringing together the right partners

European Commission

First stage proposals:

Complete the parts indicated by a bracket (}).

- **Page limit:** The minimum font size is 11 points.
- Page limit for first stage proposal is 10 pages.
- Page limit is applied automatically; remove the instruction page before submitting.
- If you upload a proposal exceeding the limit, before the deadline you will receive a warning. After the deadline, excess pages will be 'watermarked', DO NOT READ.
- The page limit is not a target! Keep your text concise

STOP

You are about to exceed the page limit

Evaluation Guidelines

If a proposal

- Is **marginally relevant** to the call, **lower score** for Excellence
  - No matter how excellent the science!
- Does **not significantly contribute to the expected impacts** in the WP, **lower score** for Impact
- **If cross-cutting issues** are explicitly mentioned, and **not addressed** (or non-relevance justified), **lower score**
  - A successful proposal will address them, or convincingly explain why not relevant in a particular case

Finding a partner

- Treat it like a job application
- Make it easier for the coordinator to see what you can do w.r.t the project
  - Don't be all things to everyone
  - Create a profile relevant to the topic you wish to address
  - What are you bringing to the party?
  - Which "Expected Impacts" can you help to deliver
  - Do you have an idea for your work package content?

EU Referendum

- UK applicants still have the same rights and obligations as all other EU member states until the UK leaves the EU

- Statement of Minister of Science Jo Johnson from 18th July 2017 re-confirming the HM Treasury underwrite:

'UK businesses and universities should continue to bid for competitive EU funds while we remain a member of the EU and we will work with the Commission to ensure payment when funds are awarded. The Government will underwrite the payment of such awards, even when specific projects continue beyond the UK's departure from the EU.'

The Government's underwrite commitment guarantees awards where the application is submitted before exit and is subsequently approved after exit.

EU referendum

- Article 50.3 of the Model Grant Agreement, which pre - dates the UK's decision to leave the EU, contains a number of possible circumstances under which the Commission would have grounds to directly terminate a project or the participation of a beneficiary . These include the beneficiary being declared bankrupt, the research no longer being relevant and other circumstances which call into question the decision to award the grant.

- Even if UK partners cannot continue to receive funding from the EC because the UK has become a third country, the UK Government has guaranteed funding for successful bids submitted by UK participants before departure, including those that are successful afterwards. Third country participation is routine in Horizon 2020.

This (article 50.3) will only ever apply if no Brexit deal on future participation is agreed!

2017 Stage 1 (of 2) Results

- 2017 Stage 1 results (1st June 2017):
  - 124 successful participations (CIRC-54, SC5-40, SCC-30), 8 leading

- 2016 Stage 1 results (10th May 2016):
  - 128 successful participations (CIRC-50, SC5-36, SCC-42), 9 leading

Stage 1 Application

Only 10 pages to cover

1.Excellence

    1.1 Objectives

    1.2 Relation to the work programme

    1.3 Concept and methodology

    1.4 Ambition

2.Impact

    2.1 Expected impacts

Stage 1 Application

1. Excellence

Note: The following aspects will be taken into account, to the extent that the proposed work corresponds to the topic description in the work programme:

- **Clarity and pertinence of the objectives**
- **Soundness of the concept, and credibility of the proposed methodology**
- **Extent that the proposed work is beyond the state of the art, and demonstrates innovation potential (e.g. ground-breaking objectives, novel concepts and approaches, new products, services or business and organisational models)**
- **Appropriate consideration of interdisciplinary approaches and, where relevant, use of stakeholder knowledge and gender dimension in research and innovation content**

2. Impact

Note: The following aspects will be taken into account:

- **The extent to which the outputs of the project would contribute to each of the expected impacts mentioned in the work programme under the relevant topic;**

2. Impact

**Stage 2 Application
(Stage 1 + full impact and implementation)**

Note: The following aspects will be taken into account:

- **The extent to which the outputs of the project would contribute to each of the expected impacts mentioned in the work programme under the relevant topic**

2. Impact

- Quality of the propsed measures to:

Note: The following aspects will be taken into account:

> exploit and disseminate the project results (including management of IPR), and to manage research data where relevant

- **The extent to which the outputs of the project would contribute to each of the expected impacts mentioned in the work programme under the relevant topic**

> communicate the project activities to different target audiences

- Quality of the propsed measures to:

> exploit and disseminate the project results (including management of IPR), and to manage research data where relevant

> communicate the project activities to different target audiences

Score 2:
Threshold 3/5

Score 2
Threshold

3. Quality and efficiency of the implementation*

Note: The following aspects will be taken into account:

- Quality and effectiveness of the work plan, including extent to which the resources assigned to work packages are in line with their objectives and deliverables
- Appropriateness of the management structures and procedures, including risk and innovation management
- Complementarity of the participants and extent to which the consortium as whole brings together the necessary expertise
- Appropriateness of the allocation of tasks, ensuring that all participants have a valid role and adequate resources in the project to fulfil that role.

3. Quality and efficiency of the implementation*

Note: The following aspects will be taken into account:

- Quality and effectiveness of the work plan, including extent to which the resources assigned to work packages are in line with their objectives and deliverables

Score 3:
Threshold 3/5

Read carefully and prepare!

TOPIC : Demonstrating systemic urban development for circular and regenerative cities

Topic identifier: CE-SC5-03-2018

As an exception from General Annex D for grants awarded under this topic and type of action, funding rate of construction and installation of "infrastructure-targeted" interventions is 20% of the eligible costs. Beneficiaries' own resources and/or mobilisation and leverage of additional investments beyond Horizon 2020, whether private or public, should make up the remaining investment costs and should secure economic and financial sustainability for the execution of the project.
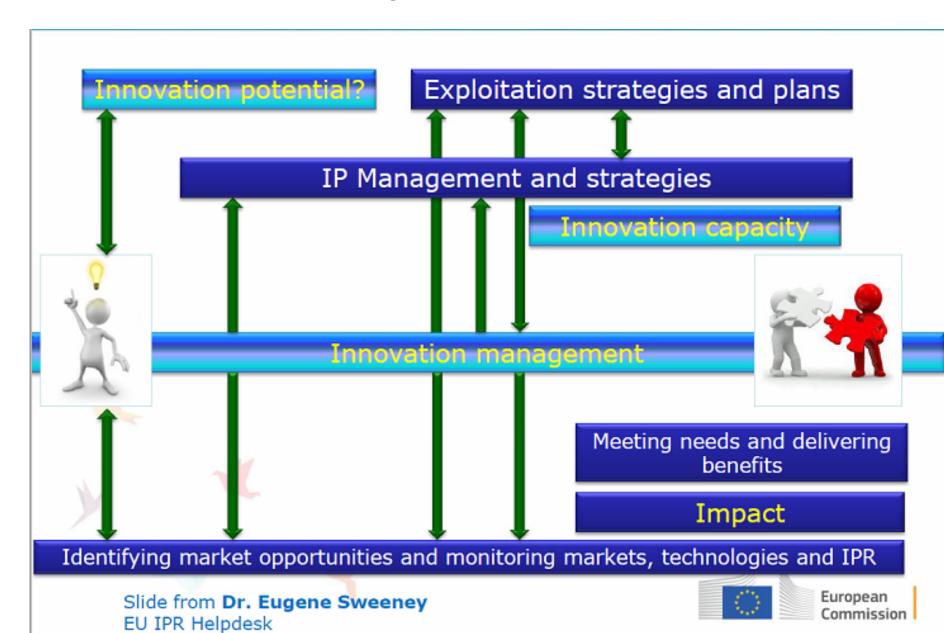
Prepare even more!

a) Innovation
→ Exploitation, dissemination, IPR
→ Social sciences and humanities
→ Co-design
b) Gender dimension
c) Management of research data
d) International cooperation

Addressing innovation properly means:

→ Managing/protecting intellectual property

→ Involving end-users in the design of your solution

→ Involving social science and humanities expertise

Exploitation?

Innovation potential?

Exploitation strategies and plans

IP Management and strategies

Innovation capacity

Innovation management

Meeting needs and delivering benefits

Impact

Identifying market opportunities and monitoring markets, technologies and IPR

Slide from **Dr. Eugene Sweeney**
EU IPR Helpdesk

European Commission

Co-design?

Proposal template: technical annex *(1st stage)*
1. Excellence

1.3 Concept and methodology

(a) Concept

Describe and explain the overall concept underpinning the project. Describe the main ideas, models or assumptions involved. Identify any inter-disciplinary considerations and, where relevant, use of stakeholder knowledge. Where relevant, include measures taken for public/societal engagement on issues related to the project.

Actions should also cover the issue of public acceptance and explore the international governance

The action should actively involve public authorities, societal stakeholders and community-based partners such as city-makers, urban (fab-) labs, urban planners, (urban)

assess their contribution to improving health and well-being. They should promote multi-stakeholder initiatives, citizens' engagement, co-creation and co-ownership of public spaces.

should ensure a wider range of stakeholder and end-user involvement;

Social sciences and humanities?

CE-SC5-03-2018: Demonstrating systemic urban development for circular and regenerative cities

An interdisciplinary approach, including the participation of applied natural sciences, social sciences and humanities disciplines (such as behavioural economics, gender studies, urban planning and governance) is considered crucial to properly address the complex challenges of this topic.

SC5-11-2018: Digital solutions for water: linking the physical and digital world for water solutions

5-7. The participation of social sciences and humanities disciplines is crucial to properly address the complex challenges of this topic. To assure applicability and wide deployment of the innovative water technologies in different conditions (including different water resources, economic, social and regulatory settings) involvement of market take-up partners and/or end users from a wide range of different European regions is strongly encouraged.
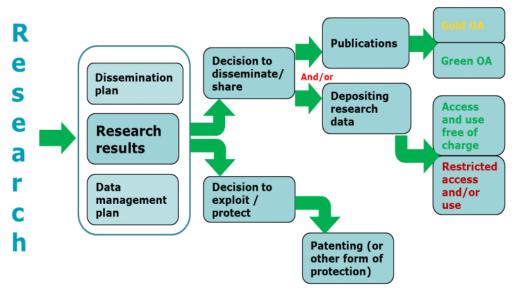
Gender?

b) Gender dimension

- 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 (≠ gender dimension)** is relevant for all projects!

- More info on gendered innovations:
  http://ec.europa.eu/research/gendered-innovations/

European Commission

Open science?

c) Management of research data

- Concerns:
  - Peer-reviewed scientific research articles
  - Research data
- Open science, maximizing the impact of public funded research

Graph: Open access to scientific publication and research data in the wider context of dissemination and exploitation
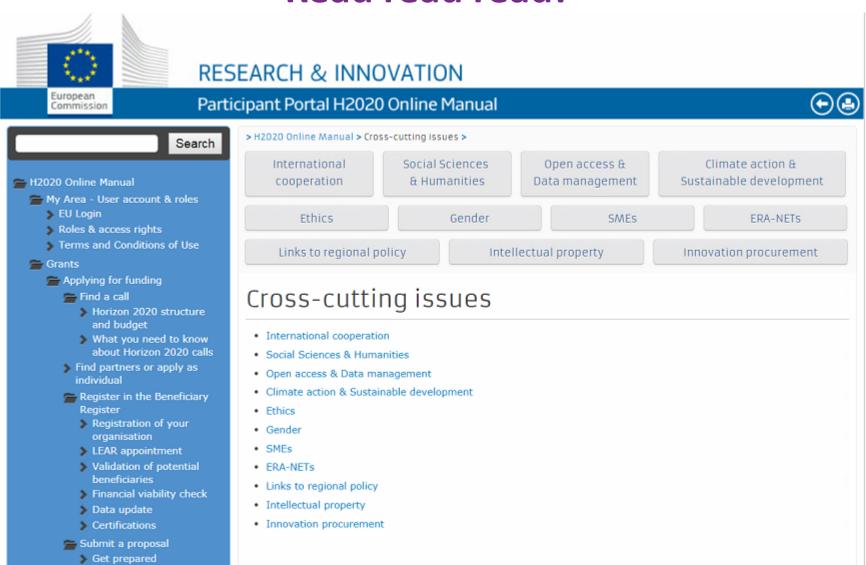
OPEN ACCESS

Examples of data include statistics, results of experiments, measurements, observations resulting from fieldwork, survey results, interview recordings and images.

The focus is on research data that is **available in digital form**. Users can normally access, mine, exploit, reproduce and disseminate openly accessible research data free of charge.

A Data Management Plan (DMP) details what data the project will generate, how it will be exploited and made accessible for verification and re-use, and how it will be curated and preserved.

Read read read!

Interpretation of the scores

0 — The proposal fails to address the criterion or cannot be assessed due to missing or incomplete information.

1 — Poor . The criterion is inadequately addressed, or there are serious inherent weaknesses.

2 — Fair. The proposal broadly addresses the criterion, but there are significant weaknesses.

3 — Good. The proposal addresses the criterion well, but a numbe r of shortcomings are present.

4 — Very Good. The proposal addresses the criterion very well, but a small number of shortcomings are present.

5 — Excellent. The proposal successfully addresses all relevant aspects of the criterion. Any shortcomings are minor.

Scoring: Stage 1 of 2: threshold is min. 8 out of 10 (typically 8.5 or 9)
Single stage and stage 2: threshold is min. 10

Interpretation of the scores

Scoring: Stage 1 of 2: threshold is min. 8 out of 10 (typically 8.5 or 9)
Single stage and stage 2: threshold is min. 10

Ex-aequo cases: where projects score the same number of points for the same evaluation criteria:
1. SME budget
2. Gender balance
3. Complementarity/geographical coverage

Innovation actions: Impact weight is 1.5

Good luck!

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Twitter: ewa_bloch

Do's and don't's: Excellence

DO	DON'T
• Define objectives clearly. • Be ambitious, but stay realistic. • Choose appropriate methodology. • Choose relevant partners and reliable coordinator. • Put effort on describing the state-of-art and proof of concept. • Create links with previous networks/projects and relevant policies. • Engage interdisciplinary expertise. • Stay accurate, concise throughout the proposal • Bring out the innovation potential. • If something stays unclear, contact your NCP.	• Don't rush, poorly prepared proposal ruins even the most excellent plans. • Don't repeat something what is already done. • Don't forget to include partners from different regions, disciplines, stakeholder groups to compose a balanced consortium. • Don't forget to show the credibility of your consortium. • Don't hesitate to provide detailed description about your methodology, technical solutions etc. Superficial description of the processes is often brought out as a major shortcoming. • If you have a novel approach – don't forget to describe it thoroughly and to support it with relevant references

Do's and don't's: Impact

DON'T

- Don´t list irrelevant and unreal impacts.

- Don´t try to be very optimistic as it may cause the lack of credibility.

- Don´t use general descriptions, without any specific focus.

- Don´t use a weak or general analysis of the market and competition.

- Don´t miss concrete market details: potential market volumes, which markets, specific products, prices, etc. Don´t copy proposal´s parts (mainly IPR management) from your previous project proposals.

- Don´t forget that the impact should be related to the particular concept, not to the call fiche.

- Don´t repeat (or copy) required impact from the call instead of development of your own proposal content.

- Don´t confuse dissemination with communication or exploitation.

- Don´t forget to use concrete information about expected environmental savings.

DO

- When planning be concrete and precise.

- Quantify as much as possible.

- Use financial figures and develop a business model and/or business plan.

- Elaborate a convincing commercialisation plan.

- Take into account all the expected impacts described in the topic.

- Expected impacts should be derived and justified on previous results.

- Plan a good cooperation with end users from the beginning of the project.

- Involve policy makers, SMEs and industry in the proposal or plan a sustainable cooperation with them.

- Describe industrial uptake of research results in details.

- Develop an excellent dissemination plan (with diverse dissemination measures).

- Address adequately and clearly explain dissemination of project results.

- Ask for evaluation of impacts (by professionals).

Do's and don't's: Implementation

- Concrete and precise planning.

- Details and Quantification. Use Tables.

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

- Well-balanced and justified resources and budget.

- Consortium with partners who complement and synergize well in expertise and tasks.

  - Don't use repetitions from within the text of the proposal.

  - Don't do "copy-pastes" from other/ previous proposals.

  - Don't forget the details - unsubstantiated/ unreferenced content/ figures/ numbers are causing a negative impression.

  - Don't take beneficiaries/ Partners who are "joyriders" with no significant role and tasks.

  - Don't plan vague Deliverables and Milestones. Lack of "Plan B" and contingency measures.