GUIDE

FOR EU PROJECT DEVELOPMENT AND

PROPOSAL WRITING

FOCUSED ON THE BALKANS FOR 2014 - 2015

Content

Introduction

The aim of the second edition of this book is to help you develop your individual capacity and capacity of your organizations to initiate and implement projects co-sponsored by the EU and/or other international donators. Most parts in this book are not new, as some instructions were well described by the European Commission or project managers, but they were not assembled and adapted for this context. We have kept the main part mostly uncluttered by footnotes or references in the, perhaps erroneous, belief that the average reader will be more interested in the ideas than detecting their ultimate origin; that the resulting models and conclusions are more useful than the process of muddling through text that led us to them. For more thorough reader bibliography should provide a short-cut to the original sources and to further reading. We have attempted to keep the matter, the layout and the style of this book as concise as it can be. The entertaining style of philosophical novels, that we often use in our lectures, would be inappropriate for readers who seek applicable learning and practical tools, backed up with useful insights in organizational theory to help them understand and tackle challenges they are confronted with.

Adapted from Charles Handy 'Understanding Organisations (1976)

However, as much as we tried to assemble a list of recipes, like the one in a cook book, with practical advice, tools and ready-for-use solutions, the study of organizational theory and project development, with some rare exceptions, is not to do with predictive certainty for two very good reasons: 1) the multiplicity of variables impinging on any one organizational situation is so great that data on all of them sufficient to predict the precise outcome of that multiple inter-relationship would never in practice be forthcoming; 2) what seems to be the inherent ability of the human being to override many of the influences on his behaviour. Looking at this complexity one can begin to understand why the organizational theorist, managers and consultants will tend to focus on one group of variables. Regrettably selective focusing also unfocuses a lot of other variables. Focusing on one set of variables runs the risk for of doing a superlative job on an irrelevant issue.

Therefore this book is a coherent set of variety of concepts. And these concepts are more of interpretative devices, not precise definitions in the tradition of physical sciences. They should help you to create your picture, framework, which captures all the key variables for success of your project. This book is written in the belief that intelligent judgment lies at the heart of effective management. We are all beginning at birth, equal in ignorance, the boundless learning path to reach and upgrade achievements of our civilization. Project leadership, as the life itself, can only be learnt, and learnt, even now in the school of experience. But experience guided and enlightened by

understanding is likely to be a gentler experience for everyone and to lead to a shorter learning cycle; hence, faster progress.

Ever since Aristotle classified different sciences, mankind still has not unified all its knowledge, accumulated in different sciences, cultures, religions, philosophies, in a useful and pragmatic way. And the potential of this synergy lies ahead of you. This book also promotes belief that there are different angles from which we view the world; each view will be slightly different from another; the truth will be a mixture of all. It is wise to be eclectic, to pick up from each and every one anything that might help and compile a sort of personal anthology. Before you there is a consolidation of BSN experiences adapted for this purpose and therefore you should aim to make your own compilation for each new project you may wish to undertake.

Chapter I

Understanding Project management process

Project management process

A project in business and science is typically defined as a collaborative enterprise, frequently involving research or design that is carefully planned to achieve a particular aim. Projects can be further defined as temporary rather than permanent social systems that are constituted by teams within or across organizations to accomplish particular tasks within time constraints. "Project Leadership" by Wendy Briner, Colin Hastings, Michael Gedes defines a new style of project management as 'managing the visible and invisible team to achieve the objectives of the stakeholders'. Definitions of a project may vary significantly depending on the approach. Before seeking funding from the Community institutions, you should be able to understand the European Commission definition of a project including its key components and underling concepts. Although, you can hardly find uniform definition valid for all EU funding programs. According to the EC's Project Cycle Management Guidelines* developed for external aid financing, a project is a **series of activities aimed at bringing about clearly specified objectives within a defined time period and with a defined budget**. A project should have:

- ✓ Clearly identified **stakeholders**, including the **primary target group** and the **final beneficiaries**
- ✓ Clearly defined **coordination, management** and **financing** arrangements
- ✓ A **monitoring** and **evaluation system** to support **performance management**
- ✓ An appropriate level of **financial and economic analysis**, which indicates that the project's benefits will exceed its costs

Even though this definition is established for external aid actions, underling concepts are similar for many EU funding programs. Understanding the European Commission definition of a project allows for the definition of the project right from the beginning in compliance with the structure expected by the EC and assessing the relevance of a project pertinent to the European priorities.

EC Project Cycle Management

In 1992, the European Commission adopted the 'Project Cycle Management' (PCM), which is a set of project design and management tools, in order to improve the quality of project design and management and hence improve aid effectiveness. This is a tool used primarily for effective implementation of EC External assistance. PCM helps to ensure that:

- ✓ Projects are supportive of the main aims and policy objectives of the EC and of development partners;
- ✓ Projects are relevant to an agreed strategy and to the real problems of target groups/beneficiaries;
- ✓ Projects are feasible, meaning that objectives can be realistically achieved within the constraints of the operating environment and capabilities of the implementing agencies; and
- ✓ Benefits generated by projects are likely to be sustainable.

The EC's project cycle has 5 main phases, as shown in the Figure below.
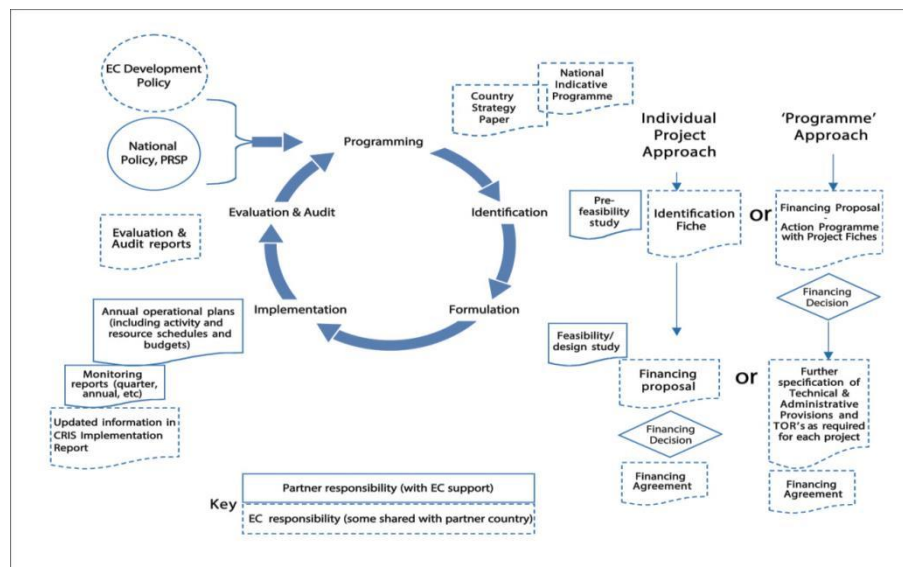
The EU uses the concept of 'the project' to channel most of its external assistance funding. EC's Project Cycle Management Manual, Handbook and Guidelines are published to explain the rules and procedures how the EC manages project cycle and elaborates a number of important concepts that are valid for any EU funding program. This means that you need to be **competent in identifying problems and designing solutions to those problems in the format of a project structured**

according to the EC expectations. Within the scope of this Guide we shall exceed EC Project Cycle Management methodology and provide you with more practical assistance how to identify and formulate a project, and highlight some critical points for you in preparing project proposals that may advance the quality of your results and impact of your projects. We will cover the best practices for projects based on the PCM but expand to other fields as well such as research, development and innovation. For those needing guidance on the basics of Project Development, please see the EC's Project Cycle Management Guidelines, available to download in English from the online Multimedia Library on the web site of Europa Aid (http://ec.europa.eu/europeaid/multimedia)

Project initiation phase

We shall examine major theoretical approaches to project management in order to identify main challenges during the project initiation phase. International Organization for Standardization in ISO 21500 provides high-level description of concepts and processes that are considered to form good practice in project management.

New project managers as well as experienced managers should be able to use the project management guidance in ISO standard to improve project success and achieve business results. ISO 21500 defines that project *initiation phase* consists of processes as follows:

- ✓ *Develop project charter*
- ✓ *Identify stakeholders*
- ✓ *Establish project team*

It's very useful during the initiation phase to familiarize yourself with all the processes of project management from initiation phase to its completion and collating the lessons learned to grasp the complexities ahead, clarify and structure the work plans.

ISO 21500 Standard	Initiating	Planning	Implemen-ting	Controlling	Closing
Integration	Develop Project Charter	Develop Project Plans	Direct Project Work	Control Project Work / Control Changes	Close Project Phase or Project / Collect Lessons Learned
Stakeholders	Identify Stakeholders		Manage Stakeholders		
Scope		Define Scope / Create WBS / Define Activities		Control Scope	
Resource	Establish Project Team	Estimate Resources / Define Project Organization	Develop Project Team	Control Resources / Manage Project Team	
Time		Sequence Activities / Estimate Activity Durations / Develop Schedule		Control Schedule	
Cost		Estimate Costs / Develop Budget		Control Costs	
Risk		Identify Risks / Assess Risks	Treat Risks	Control Risks	
Quality		Plan Quality	Perform Quality Assurance	Perform Quality Control	
Procurement		Plan Procurements	Select Suppliers	Administer Contracts	
Communi-cations		Plan Communications	Distribute Information	Manage Communication	

Adjusted from ISO 21500: 2012

Guidance on project management

Another useful standard is provided by Project Management Institute at PMBOK 5th edition and although it is similar to ISO it' does not consider establishing a project team as the part of initiation phase:

✓ *Develop project charter*

✓ *Identify stakeholders*

Based on these two standards we may conclude that during the initiation phase **writing the Project Charter is the natural first step alongside with the identification of stakeholders.**

Project Management Institute at PMBOK 5th edition

Guide	Initiating	Planning	Executing	Monitoring & Controlling	Closing
Integration	Develop Project Charter	Develop Project Management Plan	Direct and Manage Project Execution	Monitor and Control Project Work / Perform Integrated Change Control	Close Project or Phase
Scope		Plan Scope Management / Collect Requirements / Define Scope / Create WBS		Validate Scope / Control Scope	
Time		Plan Schedule Management / Define Activities / Sequence Activities / Estimate Activity Resources / Estimate Activity Durations / Develop Schedule		Control Schedule	
Cost		Plan Cost Management / Estimate Costs / Determine Budget		Control Costs	
Quality		Plan Quality Management	Perform Quality Assurance	Control Quality	
Human Resources		Plan HR Management	Acquire Project Team / Develop Project Team / Manage Project Team		
Communications		Plan Communications Management	Manage Communications	Control Communications	
Risk		Plan Risk Management / Identify Risks / Perform Qualitative Risk Analysis / Perform Quantitative Risk Analysis / Plan Risk Responses		Control Risks	
Procurement		Plan Procurement Management	Conduct Procurements	Control Procurements	Close Procurements
Stakeholder	Identify Stakeholders	Plan Stakeholder Management	Manage Stakeholder Engagement	Control Stakeholder Management	

To identify stakeholders means following:

- ✓ To identify all people or organizations impacted by the project and documenting relevant info regarding their interest, involvement and impact on project success.
- ✓ It is critical to identify the stakeholders early in the project to analyse their levels of interest, expectations, importance and influence.
- ✓ It is also equally important to mitigate potential negative effects that could emerge right at the start of the project.

And to write a project charter helps to establish goals for a project, ensuring more success in the end. Setting forth these goals can give your project the guidance and organization it needs to meet the needs of your stakeholders.

A project charter is sometimes referred to as a Project Overview Statement. It is a signed document that defines and authorizes a project. If a project charter is not agreed upon, the goals of the project are left up to interpretation by key stakeholders because each may have a different view on how the project will proceed. This will lead to conflicts and confusion and in the end a failed project.

While each project charter must be customized to fit a particular project, they each need to contain at least some of the following components if not all of them:

✓ Authorization of the Project: A statement that identifies the project by name or number.

✓ Authorization of the Project Manager: The project manager needs to be identified in the charter, and his/her role needs to be clearly identified.

✓ Stakeholders: Key stakeholders need to be identified, and their roles should be clearly stated.

✓ Project Goals: The goal statement needs to be clearly stated and is important to the success of the project. Goals should be specific, measurable, and achievable.

✓ Project Priorities: The charter must include a list of the project priorities and they should be delineated in order of importance. Whenever possible, these priorities need to remain consistent throughout the project.

✓ Scope Statement: The scope statement must describe the major components of the project so that it will be clear if extra work will be needed to be added on at a later date.

✓ Project Constraints: All project constraints need to be clearly identified and must include availability of resources, time and budget constraints, or quality standards.

✓ Project Risks: Any risks that may rear their head and potentially interrupt the attainment of goals need to be recognized. Each risk should be carefully analysed, quantified, and prioritized and then responded to.

✓ Deliverables: The charter needs to include a list of deliverables produced by the project and which will be delivered to the client; or which will be used as a means for verification of the project's results. (Please note: The term 'client' may be misleading: grant projects like Framework programme 7 do not have clients, in particular the EC as the funding source is not a client. The term 'client' usually implies that the results are delivered to the client and then belong to him. But this is not the case in FP and many other programs.)

✓ Cost Estimates: Cost estimates must be included in the charter. These can include information on whether the budget is fixed and if there is indeed enough information presented to make an accurate estimate.

✓ Schedule Estimates: The project duration needs to be estimated and included in the project charter..

✓ Success Criteria: By establishing success criteria, you can then measure at the end of a project whether a project has been a success. Even a project not completed in time or within budget is not necessarily a failure. Success criteria can help motivate and guide your team

Adapted from 'Project Leadership' by Wendy Briner, Colin Hastings, Michael Gedes

The third model describing the fourteen integrative processes of project management form a different angle is perhaps the most suitable for initiation phase of EU projects according to BSN experience. *Initiation phase* or **Wiring into stakeholders** is described by four processes: networking, building credibility, marketing the project, and securing stakeholder's agreement. This is essential for building up strong, lasting links with the important stakeholders. 'Wiring in' suggests making contact. The metaphor is intended to remind you that electrical wires are only useful if the current is flowing.
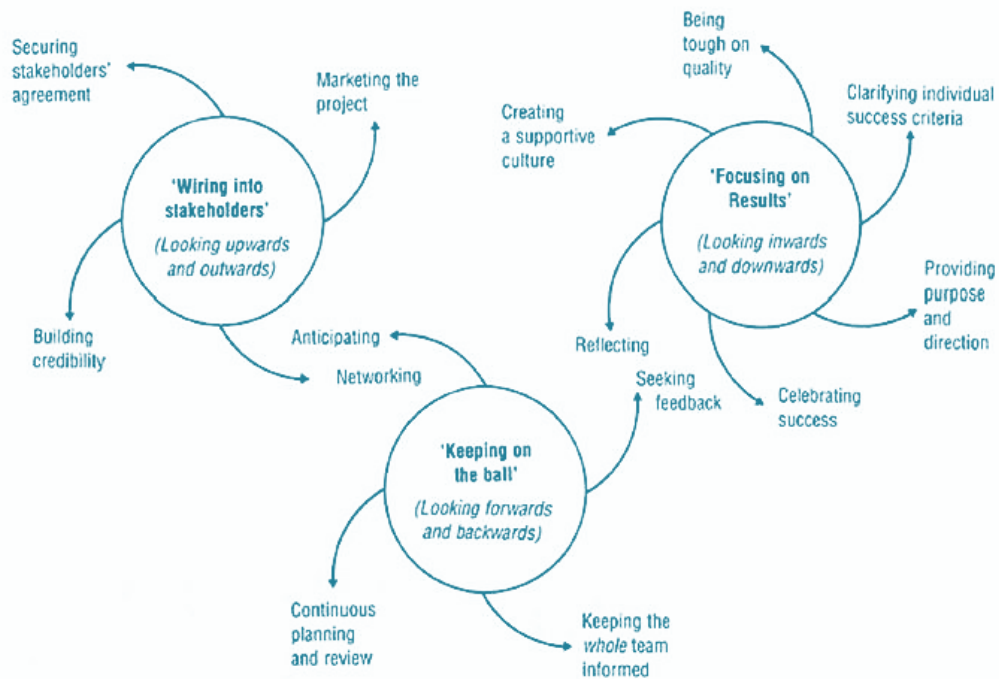
Securing stakeholders' agreement

EU projects can have a bewildering number of stakeholders. You will soon come to realize that they all want something different! Establishing who the stakeholders are in your project and what they really want is never simple, even if it appears to be so. The first thing to do is to ask lots of questions.

People are rarely clear in their first pronouncements and you can build your credibility very rapidly by helping them to clarify their ideas. You can also point out where their expectations clash with those of others and encourage the parties to talk to try to resolve areas of conflict. Gaining a real understanding of what they all want, and then getting agreement is a consummate skill in its own right. Reconciling the expectations of government sector, policy makers, design engineers,

researchers, nongovernmental organizations, industry and production people, marketing and the customer when developing a new product, process or service involves being a very skilled juggler! The skilled project leader often acts as a broker or negotiator to try to find a best-fit formula that meets as many needs as possible. Without this, you cannot succeed.

Building credibility

In creating a positive organizational context for your project, the single most useful (and most undervalued) resource you and your team can have is the positive support of your colleagues throughout the organization and the network. You have to earn this. You and your team members have to build your credits with the organization and throughout project environment.

Establish early on what leads your *high power / high interest stakeholders* to think that a project is well managed. Is it keeping within the budget? Is it overcoming technical difficulties? Is it being in tune with market or internal political movements? Show your appreciation for the wider implications of your activity. If you know what they think is important and what makes them feel uncomfortable or suspicious about the soundness of a project, you and your team can set about demonstrating that you do appreciate their perspective. You will be worthy of their confidence and able to face difficult problems or push for what you need.

Building credits early on will stand you in good stead later in whatever project bargaining you need to undertake. You need to show that you understand:

- ✓ the technical impact – that you and your team appreciate the technical issues and difficulties which you (and they) face
- ✓ the financial impact – that you have thoroughly researched and analysed the financial costs, benefits and risks to which your project exposes (them and) the organization
- ✓ the people impact – that you understand that the outcomes of organizational projects frequently mean changes for many people in the organization, some positive, some negative; you need to manage the project to gain widespread commitment and satisfaction, whilst minimizing negative, de-motivating or destructive consequences.

At times, however, you may need to push very hard to secure something that's critical to your project and, in doing so, make yourself very unpopular in some quarters. Gaining access to resources against competitive challenges from other projects may be one of your headaches. Seldom are

Adapted from 'Project Leadership' by Wendy Briner, Colin Hastings, Michael Gedes

sufficient resources!!! allocated to organizational projects. Raising resources and holding on to them is often a political problem in which the project's credibility rating is important. Whilst sometimes an organization will have a special budget for a project, further resources (especially people's time) often have to be obtained by negotiation and personal clout. Your project's reputation for being effective will help you in securing official and unofficial resources. If you are lacking in credentials, your bargaining power will be weak.

Networking

Successful project leaders build networks of relationships to help them get things done. Spend time networking – talking to people informally to trade information and find out what is going on. Project leaders who are not plugged into the formal system of their organization and that of their stakeholders often find themselves wrong-footed, surprised and left in an exposed position.

Successful project leaders **learn** from what they hear and see. They learn that there are formal and informal ways of getting things done, of finding things out and of getting decisions made. They also use networking to test new ideas. Networking or 'asking around', is also an excellent way of spotting hidden talent that might benefit the project. It is said that by making no more than three telephone calls, The Skilled networker can access any information or specialist advice he/she may ever need! Looking for ideas or information from a wide variety of sources can help you find ways of solving tough problems or of tackling something that has not been done before in your organization. Highly effective project teams also actively seek outside specialists to help them do things better.

Marketing the project

A project is like a product. It needs to be well packaged and marketed if people are going to want to buy it. Remember – the merits of your project are not self-evident to everyone else. If they do not understand, value or support it, you have only your poor marketing to blame. So use all the simple marketing tools at your disposal, and find some invisible team members with the skills to help you make your project match the standards that are set for important products in your organization:

✓ Organize presentations (both formal and informal), particularly to explain why the whole project is important, how it will be carried out and how people can help. Highlight the issues that will be of special interest to the audience – what's in it for them. Make it interesting, exciting and different.

✓ Plan and execute a marketing campaign to ensure it receives the attention and recognition it needs. A one-off activity in the start-up phase will be easily forgotten.

✓ Make sure that news of the project regularly reaches the eyes and ears of the influential personages. This can be achieved through formal reports, updates and newsletters.

Ensure that everyone who would like to know is kept in touch with your intentions and ideas, your progress and problems. Many project leaders deliberately plan for their team members to go out and talk about the project informally to pivotal people within the organization. We all know the informal rumour machine can spread ideas around – you can use it to your advantage.

And the fourth example of a useful map of relevant phases ached of you is provided in the Survival Kit for Multilateral projects:

Adapted from Survival Kit Managing Multilateral Projects in the Lifelong Learning Programme by Holger Bienzle, Eerika Hedman; Ray Kirtley, Vesa Purokuro, Calin Rus, Silvia Wiesinger, Eija Wilen
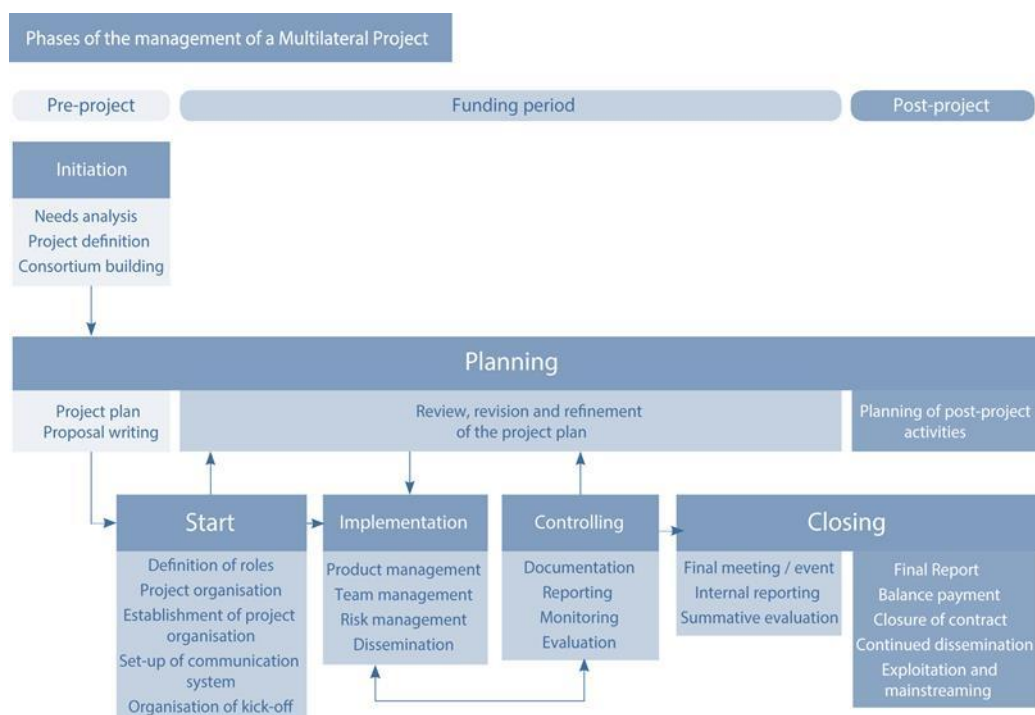
Within the *pre-project phase* initiation step includes:

✓ *Needs analysis*
✓ *Project Definition*
✓ *Consortium building*

Next, important step *is to understand how EU funding programs work* .

Chapter II

EU funding programmes

How EU funding programmes work

Policies

European
Commission

Politicians

In line with the EU policies!

Funding
Programmes

Materials adapted from
Dr. Sean McCarthy of
Hyperion Ltd 2006

Impact

Beneficiaries

You m
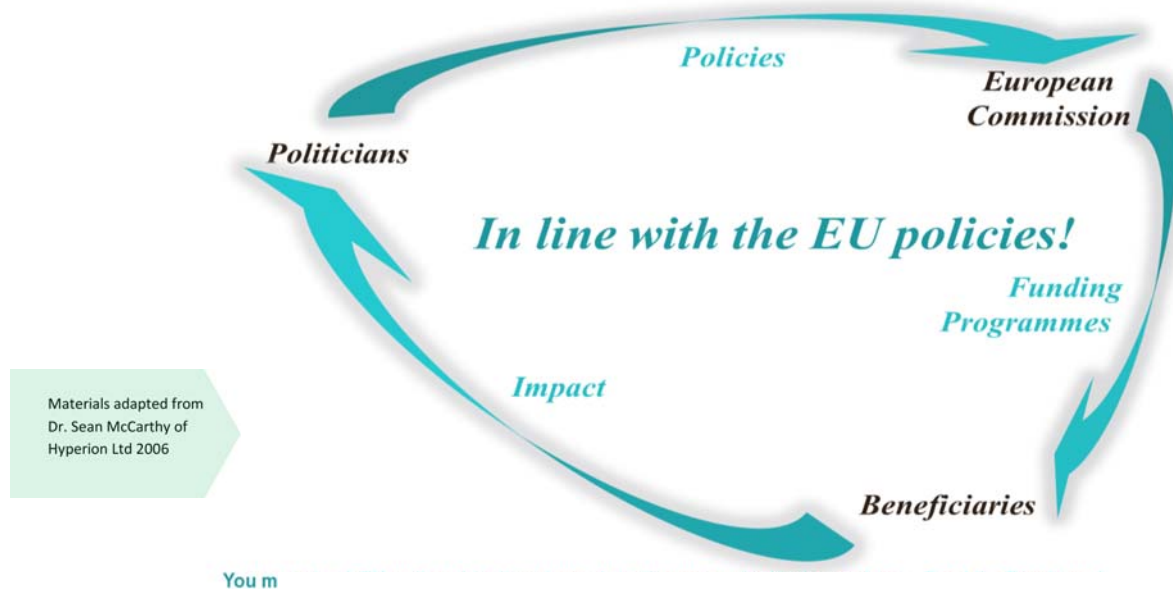
Everything in EU funding arena happens within a triangle between the politicians who negotiate and agree about the common goals of the EU that are later formulated in EU Treaties and Policies. Then the EC as the executive body, implement EU policies by designing and using mainly two groups of instruments: 1) regulations that are obligatory or 2) funding programs, where the beneficiaries are expected to propose projects which will contribute to EU Policy implementation. If you are applying for EU funding **your projects should contribute to successful implementation of EU Policies.**

In comparison with some traditional investor, the EC **expects your projects to have an impact** instead of the ROI (return on investment), or profits**.** This is one of the crucial points to understand for any funding program, that EU measures the quality of your proposals primarily based on the impact it will have, on the policy objectives. And key proportion to take into account during the initiation stage is **Impact to Cost ratio**. Between the project proposals with similar impact, the donor will choose the more competitive one, where they will achieve more for less money (when grant amount is not fixed).

Impact is a vitally important concept to understand, as it is not impact for your organizations, but the impact that EU expects your project to have on policy objectives. So the politicians can demonstrate results. Impact of your project should ensure that initial situation before your project started is improved after the project is implemented. And that your project will have sustainable results.

Materials adapted
from Dr. Sean
McCarthy of
Hyperion Ltd 2014

The Treaty - The Member States of the European Union come together and they prepare a Treaty. The Treaty describes the policy areas where the Member States wish to cooperate. Examples include Energy, Agriculture, Transport, Environment etc. The Treaty on the Functioning of the European Union states "The Union shall have the objective of strengthening its scientific and technological bases by achieving a European research area in which researchers, scientific knowledge and technology circulate freely, and encouraging it to become more competitive, including in its industry, while promoting all the research activities deemed necessary by virtue of other Chapters of the Treaties."

Policy - The Institutions of the European Union prepare Policies based on the agreements in the Treaty. Policies describe exactly how the Member States will work together to meet the objectives defined in the Treaty. Examples include Agricultural Policy, Enterprise Policy, Regional Policy and Social Policy. Policy is only paper, and on its own, it has no impact. To implement these policies, the European Union says it has two 'instruments' - Legislation and Funding Programmes.

European policies focus on four main areas:

➢ **The Citizen**

The first level is the level of the **citizen.** 2013 was designated as the *'European Year of the Citizen'.* Phrases such as *'research for the benefit of the citizen'* figure frequently in Commission documents. *"We want a Europe built for the citizens by the citizens"* The importance of this emphasis on the welfare of the 'citizen' will be explained in the following pages.

➢ **The Region**

In European Union policy debates, the politicians do not think about Germany, France, Portugal etc. The European Union has been divided into more than 275 'Regions.' A 'Region' is defined as the level where policies can be implemented. The importance of the 'Region' is based on the following:

The EU politicians make Policy at EU level but they implement the policies at Regional level. In Brussels, there is a 'Committee of the Regions,' Regional Policy,' Regional Funds' (Structural Funds), Inter-regional cooperation etc. If the proposal has a geographical dimension, it is good to base the research at this regional level. The following is an example:

`In our proposal, we will select a region of France, a region of Germany, a region of Poland and a region of Sweden. We will test the model in these regions and then we will disseminate the results to the other regions of the EU,'*

➢ **European Union Industrial Sectors**

The next level for the politicians is the **European Industrial Sector** level. e.g. aeronautics sector, IT sector, biotechnology sector, agricultural sector etc... One of the main differences, between national and EU R&D funding for industry, is that national R&D is focused on individual companies whereas EU funding is based on the EU industrial sectors.

➢ **International**

The final level for the politicians is the **International** level and the role of the EU on the international stage. In practice, international usually means the USA and BRIC countries (Brazil, Russia, India and China). In the future, Europe will be one player on the international stage.

The European Commission funds many studies and collects considerable amounts of information through its statistical office, Eurostat (http://ec.europa.eu/eurostat). In addition to Eurostat, the OECD (www.oecd.org) provides European policy makers with reports on international issues. Eurostat and the OECD produce statistical data and reports relating to social, regional, sectoral and international issues. From this analysis, 'challenges' are identified.

➢ **Social Challenges**

If Eurostat or the OECD identify a group of European citizens, whose 'Quality of Life' is below the European average, then the European Institutions may decide to prepare policies to correct this disadvantage. Examples include: youth unemployment, the ageing society, the disabled, people with cancer, Alzheimer's disease, diabetes etc. Another interesting group are people who do not use the Internet — the 'digital divide.' In other words, project leaders never go to Brussels looking for money — they only go there to help address a Policy challenge.

➢ **The Regional Challenges (Smart Specialisation)**

If the EU identifies a region where the economic development is below the European

average then policies are designed to fill these regional gaps. Regional funds are used for the development of infrastructure such as roads, buildings, research centres etc. A new challenge has been identified for the regions of Europe. Some regions suffer from an 'Innovation Divide'. In the Structural Funds (2014-2020), there is an emphasis on 'Smart Specialisation' — where regions are encouraged to develop a strategy for innovation. These Smart Specialisation Strategies will be used to allocate Structural Funding to the regions. There will be links between Horizon 2020 and the Structural Funds. For example, topics such as 'Smart Cities' and 'Smart Communities' are included in Horizon 2020 programmes.

The 'Knowledge Innovation Community' (KIC) in the EIT can be used as a model for stimulating innovation at regional level. The Marie Curie COFUND programme states: *"Programmes that prioritise specific research disciplines based on national or regional Research and Innovation Strategies for Smart Specialisation (RIS3 strategies) will also be supported".*

➢ **Economic Challenges**

In earlier Framework programmes, the focus was on 'catching up' with the USA. For example, if the USA was the leader in Information Technology then the justification for the programme was to help European organisations to fill the 'Economic Gap. 'In 2006, an important report was published that changed this thinking. The report, entitled *'Creating an Innovative Europe,'* is better known as the `Aho Report' after its author Mr. Esko Aho, former Prime Minister of Finland. In this report, Mr. Aho argued that scientific areas should be identified where Europe was or could be the leader. According to the report, these areas could then be referred to as 'Lead Markets.'

➢ **The Science Challenge**

During the planning for Framework 7, a further gap was identified. Europe was seen to be falling behind in basic research in important scientific areas. The basic research community learned how to lobby. *"Although the EU remains the largest producer of scientific publications in the world, the US produces twice as many of the most influential papers (the top 1% by citation count). Similarly, international university ranking exercises show that US universities dominate the top places. And 70% of the world's Nobel Prize winners are located in the US. " (Impact Assessment Report 2011)*

➢ **Where to find information on European Policies**

The key sources of information on European Union policies can be found on:

- *Europa General Search Engine http://europa.eu/geninfo/query/advSearch en.jsp*

- *OECD (Organisation for Economic Cooperation and Development) www.oecd.org*

- *EU White Papers (Policy) http://ec.europa.eu/white-papers/*

- *EU Green Papers (Discussion documents for future policy)*

- *http://ec.europa.eu/greenpapers/*

Legislation - EU Legislation is the most powerful instrument used in implementing EU Policies. For example, the European Union has a policy on the quality of drinking water. This policy is implemented through the Water Framework Directive.

Funding - European Union funding programmes are designed as 'instruments' to implement EU policies. There are many different funding programmes. Most researchers, preparing proposals for Horizon 2020, take time to study the funding rules. From the above diagram, it is clear that project initiator should also study the policies behind the EU calls for proposals.

Draft Work Programmes - For 'bottom up' programmes (in example within Horizon 2020: ERC, Marie Curie, FET, Innovation in SMEs), the proposers are free to submit any idea. During the planning phase, the focus is on identifying new ideas for proposals — or resubmitting previous proposals that were not successful. For 'top down' programmes (In Horizon 2020 Pillar II and Pillar III), planning should begin when the draft work programmes are published. Identifying relevant topics involves studying the work programmes. There are no short cuts to this process. For some 'top down' programmes the work programmes cover periods of two years and for most EU funding programmes minimum is one year. This means, that for some topics, the project proposers have up to two years advance notice. During this period (pre-call), most of planning and preparations are made, like reading the reference documents, understanding and clarifying expectations from the EC, searching for partners and discussing initial project design etc. This is also the period to attend events organized by the EC, National Contact Points and other potentially useful co-speakers. When the call for proposals is published, the project leader must re-read the topic as there can be changes between the draft and the official work programme. A single word can make a big difference e.g. *photovoltaics* versus *photovoltaic* systems.

How to find adequate funding programme

The next challenge is identifying EU funding opportunities that are appropriate to the size, status, and mission of the organisation, and which can be identified in a timely manner. The next challenge is identifying EU funding opportunities that are appropriate to the size, status, and mission of the organisation, and which can be identified in a timely manner. Based on BSN research in the Balkans potential applicants are poorly informed of funding opportunities and therefore either completely miss out on them, and the opportunities, as most are time dependent, or submit applications which for one reason or another are judged by the EU to be ineligible. It is also common for organisations to find out about funding opportunities at a very late stage and therefore are ill-prepared to make applications, or they make applications for funding which are actually aimed at objectives beyond their core mission.

EU policies are implemented through a wide range of programmes and funds which provide financial support to hundreds of thousands of beneficiaries such as farmers, students, scientists, NGOs, businesses, towns, regions and many others. The programmes of the 2014-2020 multiannual financial framework, the amounts allocated to each of them and their legal bases (adopted at the moment when this edition is published) are listed below and at

http://ec.europa.eu/budget/mff/programmes/index_en.cfm

1. Asylum, Migration and Integration Fund
2. Civil Protection Mechanism
3. Cohesion fund
4. Common Agricultural Policy (pillar I)
5. Common Foreign and Security Policy
6. Competitiveness of Enterprises and SMEs (COSME)
7. Connecting Europe Facility
8. Consumer Programme
9. Copernicus
10. Creative Europe
11. Customs, Taxation and Fight against Fraud
12. Development Cooperation Instrument
13. Employment and Social innovation Programme
14. Erasmus+
15. EU Aid Volunteers
16. EU Civil Protection and European Emergency Response Coordination Centre
17. Europe for Citizens
18. European Instrument for Democracy and Human Rights
19. European Maritime Affairs and Fisheries
20. European neighbourhood Instrument
21. Food and feed
22. Galileo
23. Guarantee fund for External actions
24. Health
25. Horizon 2020
26. Humanitarian aid
27. Instrument contributing to stability and peace
28. Instrument for Nuclear Safety Cooperation (INSC)
29. Instrument for Pre-accession Assistance (IPA II)
30. Internal Security Fund
31. IT systems
32. ITER
33. Justice Programme
34. Less developed regions

35. Life programme

36. Macro-financial assistance

37. More developed regions

38. Nuclear decommissioning assistance programmes

39. Outermost and sparsely populated regions

40. Partnership Instrument (PI)

41. Rights, Equality and Citizenship

42. Rural Development (CAP pillar II)

43. Territorial cooperation

44. Transition regions

45. Youth employment initiative

Majority of the EU funding programmes are grouped under following headings below:

➢ **Heading 1a: Competitiveness for growth and jobs**

- Large infrastructure projects

- Nuclear Safety and Decommissioning

- Horizon 2020

- Competitiveness of enterprises and SMEs (COSME)

- Education, Training, Youth and Sport (Erasmus+)

- Social change and Innovation (PSCI)

- Customs, Fiscalis and Anti-Fraud

- Connecting Europe Facility (CEF)

➢ **Heading 1b: Economic, social and territorial cohesion**

- Youth Employment initiative (specific top-up allocation)

- Regional convergence (Less developed regions)

- Transition regions

- Competitiveness

- European territorial cooperation

- Cohesion fund

- Outermost and sparsely populated regions

➢ **Heading 2: Sustainable growth: natural resources**

- European Agricultural Guarantee Fund (EAGF)

- European Agricultural Fund for Rural Development (EAFRD)

- European Maritime and Fisheries Fund (EMFF)

- Environment and climate action (Life+)

➢ **Heading 3: Security and citizenship**

- Asylum and Migration Fund (AMF)
- Internal Security Fund (ISF)
- IT systems
- Justice
- Rights and Citizenship
- Civil protection
- Europe for Citizens
- Food and feed
- Health for Growth
- Consumer protection
- Creative Europe

➢ **Heading 4: Global Europe**

- Instrument for Pre-accession assistance (IPA)
- European Neighbourhood Instrument (ENI)
- Development Cooperation Instrument (DCI)
- Partnership Instrument (PI)
- European Instrument for Democracy and Human Rights (EIDHR)
- Instrument for Stability (IfS)
- Humanitarian aid
- Common Foreign and Security Policy (CFSP)

For all the instruments and programmes mentioned above, it is essential that you make regular research to identify exactly what funding opportunities might be available during the next year. Sources for information on the opportunities for each one of the countries in the region are briefly covered in the paragraphs below. However, when you analyse all the main instruments and subprograms you may identify several hundred different funding opportunities. BSN created an online list of all programs available at www.eufunds.info.

As you gradually build your understanding about different instruments, and select possible funding sources for your project initiatives, the main challenge becomes the decision making on how to select an adequate instrument for your project initiative.   We recommend combining two possible approaches:

Top-down approach: Starting from the policy objectives for your area you may identify a list of suitable instruments at "Funding instruments by topic" (available at the following link http://ec.europa.eu/contracts_grants/grants_en.htm).

And bottom-up approach: try to identify who implemented and supported projects similar to yours, and instruments that award the type of support you seek. Examine the lists of closed or awarded grants. Than carefully research project web sites, beneficiary organisations and operational structures.

Programme operational structures

For most of the Candidate Countries, the IPA funds are managed by public institutions in their own countries; whereas for the potential candidate countries, IPA funds are mostly managed by the EU itself, through the country-based Delegations. For the Community Programmes and EuropeAid programmes, funding is mostly managed either through an accredited national agency or directly through the relevant EU directorate in Brussels.

In order to channel finances to support the implementation of projects, the EU uses two basic approaches: grants and public procurement contracts. These two approaches can be simply differentiated as follows:

- ✓ in the case of a grant, it makes a contribution either to a project carried out by an external organisation or directly to that organisation because its activities contribute to EU policy aims;
- ✓ in the case of a public contract, a Contracting Authority (of, or accredited to the EU) receives the product or service it needs in return for payment.
- ✓ In terms of the institutional arrangements for managing EU grants and public contracts, the EU favours three different approaches presented below:

Centralised implementation: the European Commission or its Delegations implement the programmes directly and is responsible for the award of grants and procurement contracts;

Decentralised implementation: a public administration in the receiving country implements the programme on the basis of a financing agreement signed with the European Commission. The country's administration is responsible for the award of grants and contracts but with a procedure controlled by the EC. The EC services are in regular contact with the concerned implementing partners to ensure that the publication of beneficiaries is addressed in the countries concerned;

Joint management with international organisations and programmes managed by EU member states agencies: the European Commission (EC) contributes to a project implemented by an international organisation or an EU member state agency which is responsible for the award of grants and procurement contracts on the basis of its own procedures. The EC verifies the appropriate use of the funds and is in regular contact with the concerned international organisations to ensure that the publication of beneficiaries is properly addressed.

The objective of this stage of your research is to identify who is in charge and who gets to decide and evaluate your project proposal. Once you add the list of relevant operational structures and people into your stakeholder's registry you may start gathering intelligence about them and building your relationship with them.

To summarize the main opportunities, organisations in the Balkans can access EU funding in three different ways: The first, is through External Aid programmes primarily those that that fall under the Instrument for Pre-Accession (IPA II). The second area of opportunity is under the themed-based programmes coordinated through EuropeAid. And the third way is through the Community Programmes that any of the countries are participating in.

For the region as a whole, each mechanism has some common elements. The countries include: Albania, Bosnia and Herzegovina, Croatia, Kosovo (under UNSCR 1244/99), the Former Yugoslav Republic of Macedonia, Montenegro, Serbia, and Turkey.

However, it is significant to emphasize that EU instruments (funding programmes) have either country specific characteristics or other important differences. Proposal writers should be familiar with the nature and purpose of the programmes in order to identify the most adequate sources of financing for their project initiatives. In the following chapter we will briefly examine major EU funding programmes.

HORIZON 2020

Horizon 2020 is the financial instrument implementing the Innovation Union, a Europe 2020 flagship initiative aimed at securing Europe's global competitiveness. Running from 2014 to 2020 with nearly an €80 billion budget, the EU's new programme for research and innovation is part of the drive to create new growth and jobs in Europe.

The Horizon 2020 programme consists of the following parts:
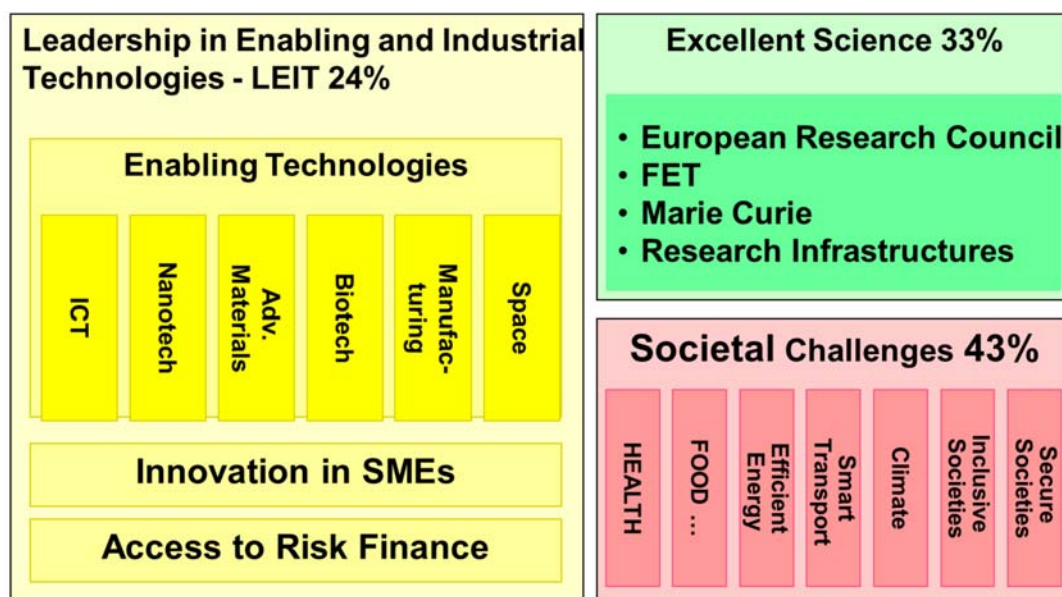
1. **Excellent science** - The Excellent science programme aims at supporting world leading scientists in blue sky research, providing training and career development opportunities, developing future and emerging technologies and EU research infrastructures.

The specific objectives are:

✓ strengthening frontier research, through the activities of the European Research Council (ERC);

✓ strengthening research in Future and Emerging Technologies; (FET)

✓ strengthening skills, training and career development, through the Marie Skłodowska-Curie actions (MSCA);

✓ strengthening European research infrastructures, including e-infrastructures

2.   **Competitive Industries** - The Competitive Industries objective aims at making Europe a more attractive location to invest in research and innovation. It will provide major investment in key industrial technologies, maximise the growth potential of European companies by providing them with adequate levels of finance and help innovative SMEs to grow into world-leading companies.

The specific objectives are:

- ✓ build leadership in enabling and industrial technologies, with dedicated support for ICT, nanotechnologies, advanced materials, biotechnology, advanced manufacturing and processing, and space, while also providing support for cross-cutting actions to capture the accumulated benefits from combining several Key Enabling Technologies;
- ✓ facilitate access to risk finance;
- ✓ provide Union wide support for innovation in SMEs.

3. Better Society - aim is to tackle the major issues affecting the lives of European citizens. It should increase the effectiveness of research and innovation in responding to key societal challenges by supporting excellent research and innovation activities.

The specific objectives are:

- ✓ Health, demographic change and wellbeing;
- ✓ Food security, sustainable agriculture, marine and maritime research, and the bio-economy;
- ✓ Secure, clean and efficient energy;
- ✓ Smart, green and integrated transport;
- ✓ Inclusive, innovative and secure societies;
- ✓ Climate action, resource efficiency and raw materials.

What you need to know about Horizon 2020 calls

Calls and Topics

Most of the Horizon 2020 calls are divided into topics. When entering a call page on the Participant Portal, you see the list of all the topics that belong to this call. After clicking on a topic link, you arrive at a topic page. When searching with free keywords on Search topics page, the result is a list of topics of open calls, and when you click on a topic title, you arrive on the topic page. On both call and topic pages, you find useful information for your proposal:

Call page

latest information and updates to the call key documents for preparing your proposal that includes both common documents for all topics and those specific to each topic access to the submission system – it is also available from the topic page list of support services and helpdesks subscription to e-mail notifications about updates to this call

Topic page

detailed description of the topic scope, expected impact of projects and its type of action topic conditions including its eligibility and evaluation criteria, pdf-templates of the forms that you will have in the electronic submission system access to the submission system

Deadlines of calls

A call is considered 'open' until the deadline stated in the call.

Some calls are continuously open, meaning you can submit a proposal at any time – though there may be "intermediate cut-off dates" for your proposal to be evaluated. Each call will specify deadlines and/or cut-off dates.

> 1-STAGE CALLS - For most calls, you submit a full proposal by the given deadline.

> 2-STAGE CALLS - Some calls have a 2-stage submission procedure.

Stage 1

You submit an outline proposal (standard maximum 15 pages, unless otherwise specified in the respective work programme, and on the proposal template in the submission system). This is evaluated against criteria set out in the call/topic.

For continuously open calls, your stage-1 proposal will be evaluated as soon as it is received, and there will be a closure date for submitting your full proposal in stage 2.

Stage 2

If your proposal passes stage 1, you will be invited to submit your full proposal within a given period.

If required by the relevant work programme, at this stage you will also receive the stage-1 Evaluation summary report (ESR)

Rejected proposals:

If your proposal does not pass stage 1, you will be informed of this in writing, along with the evaluation summary report.

Funding schemes in H2020

1. **Research and Innovation Actions**

2. **Innovation Actions**

3. **Coordination and Support Actions**

4. **SME instrument**

Research and innovation actions

Actions primarily consisting of activities aiming to establish new knowledge and/or to explore the feasibility of a new or improved technology, product, process, service or solution. For this purpose they may include basic and applied research, technology development and integration, testing and validation on a small-scale prototype in a laboratory or simulated environment.

Innovation actions

Actions primarily consisting of activities directly aiming at producing plans and arrangements or designs for new, altered or improved products, processes or services.

For this purpose they may include prototyping, testing, demonstrating, piloting, large-scale product validation and market replication.

Coordination and support actions

Actions consisting primarily of accompanying measures such as standardisation, dissemination, awareness-raising and communication, networking, coordination or support services, policy dialogues and mutual learning exercises and studies, including design studies for new infrastructure and may also include complementary activities of networking and coordination between programmes in different countries.

Example of Proposal Structure (RIA part B)

➢ Section 1: Excellence

    o   Objectives

    o   Relation to the work programme

    o   Concept and approach

    o   Ambition

➢ Section 2: Impact

    o   Expected impacts

    o   Measures to maximise impact

➢ Section 3: Implementation

    o   Work plan — Work packages, deliverables and milestones

    o   Management structure and procedures

    o   Consortium as a whole

    o   Resources to be committed

➢ Section 4: Members of the consortium

    o   Participants (applicants)

    o   Third parties involved in the project

➢ Section 5: Ethics and Security

➢ 5.1 Ethics

➢ 5.2 Security

Materials adapted from Dr. Sean McCarthy of Hyperion Ltd 2014

Preliminary recommendations for writing Horizon 2020 project proposals

Success in Horizon 2020 is about winning individual proposals. Successful proposals have the following characteristics:

✓ **Best ideas and Excellent Science**

The essential part for the majority of proposals is the idea and the excellence of the proposed science. In addition to having an excellent idea, researchers must 'sell' the idea to the evaluator. Unfortunately, most researchers are better at 'telling' than 'selling'. To 'sell' a concept to the evaluators, it is necessary to understand the mind of the evaluator.

✓ **Select the best partners and have an experienced Coordinator**

The first step in any new proposal is to bring together the best researchers in the research topic. The best researchers have the best ideas. Researchers with ideas for proposals are always invited to

participate. For newcomers to European research, this is a problem. Newcomers need to spend time networking and promoting their expertise to the best researchers. This can be achieved through participation in networks, associations, expert groups etc.

✓ **Impact**

Impact is a political word. On 30th November 2011, the European Commission submitted a proposal to the Council and the European Parliament requesting €87 billion for Horizon 2020. The Council and the Parliament requested an 'Impact Assessment Report' to justify why they should spend this money. The European Commission is now applying the same concept to researchers who are applying for individual research projects..

✓ **Science + Management + Financial Administration**

In every proposal, there are four main parts:

1. Scientific Excellence (B1) — written by the researchers
2. Impact (B2) is written by the partner who wants the results
3. Management and Implementation (B3) — normally written by an individual with experience in project management
4. Financial Administration (A) — the budget — prepared by individuals familiar with financial calculations. In other words, writing a proposal is a team effort.

Other issues that may influence the success of a proposal are:

✓ **Start early**. The period of time from the publication of the draft work programmes to the call deadline is approximately 7 months. All this time must be used.

✓ **Use Research Support Services** at Institution level, National Level (National Contact Points) and Brussels level (National Offices). These support services are most effective if contacted at an early stage in the process.

✓ **Professional Coordinator and Research Manager -** In Horizon 2020 proposals (and projects), one of the consortium partners is designated as `Coordinator.' This job is normally done by two people. The 'Scientific Coordinator' ensures that the science is of high quality and the 'Research Manager' ensures that the contractual and financial aspects of the project are implemented properly. In many cases, the scientific coordination and management are done by one partner (organisation). Other times, the work can be divided between two partner organisations in the project. Finding a good scientific coordinator and research manager is essential, and it is worthwhile to ask following questions:

- Does the coordinator have experience with previous Framework projects?
- Does the coordinator's organisation have the financial and legal experience to deal with all aspects of Horizon 2020 proposals/projects?
- Does the coordinator have personal contacts with the European Commission e.g. are they coordinator of an existing project?
- Has the coordinator received funding from their National Governments (or own organisation) to fund the writing of the proposal?
- Did the scientific coordinator evaluate Framework proposals in the past?
- Did the scientific coordinator participate in any European R&D networks, COST actions, Technology Platforms, Advisory groups?

✓ **Educate the Evaluator (with facts and figures) -** This is, by far, the most important secret in writing any proposal. Researchers must understand the difference between a Horizon 2020 proposal and a scientific paper. When a scientific paper is submitted to a journal, the content of the document is purely scientific and scientific experts review the paper. In the case of Horizon 2020 proposals, the content is scientific, political, economic, and social. It also has a comprehensive management section. The different evaluators will have scientific, economic and political backgrounds. It is essential to educate all of the evaluators (with fact and figures) on ALL of these issues. The only exception are ERC Proposals — where excellence science is the only evaluation criteria.

Example: If a researcher is submitting a proposal entitled 'An eLearning System for Security Planning.' Who will evaluate the proposal? An expert on `eLearning' or an expert on 'Security.' It is important to educate the eLearning expert on the security aspects of the proposal and to educate the security expert regarding the status of eLearning systems.

✓ **Facts and Figures**: If an evaluator receives a proposal with 50 pages of words, the chances of success are limited. However, if the evaluator receives a 10 page proposal with facts, figures, graphs, tables, quotations and references, the proposal has a better chance of succeeding.

✓ **Networking, Networking, Networking -** Networking is about establishing and staying in contact with people. It is about being out there building relationships. Then, when the time comes to form a consortium, researchers will work with the people they know and respect. It's a people, people, people business.

Researchers normally build their networks through scientific conferences, scientific networks or through previous projects. The European Commission funds European research networks in the Framework programmes for this reason.

✓ **Avoid general statements** - For example, 'This proposal will improve the competitiveness of SMEs in the EU.' The proposal must be more specific. A better example would be, 'This eLearning System will help Small and Medium Sized Enterprises in rural areas of the EU to adapt quickly to new EU legislation on Health and Safety. This will help them to meet the strict procurement criteria of multinational companies.

✓ **Professional layout of the proposal -** Extra effort in the presentation of the proposal is very important. In some proposals, the quality is so excellent that it appears as if they are about to be published.

✓ **Repetition in proposals -** Some sections of the proposal will be common to all researchers. These include the project management, the ethical strategy of the centre, the gender plan and the CVs of the partners. It is a good idea to develop templates for the research group on these topics. One research centre put these general topics on a central website. This simplified the proposal writing procedure.

✓ **Writing Style -** The evaluators of Horizon 2020 proposals are from different European countries. In many cases, English is their second (or third) language. Also the evaluator has to read up to fifteen proposals in a short period. The text should be written in simple plain English. Sentences should be short. Use diagrams, tables and graphs to explain concepts. Use quotations to support arguments and print the quotations in italics. If there is an important sentence in the middle of a paragraph highlight it so that the evaluator concentrates on it.

✓ **Different parts of the proposal are written in different styles:**
   ➢ Abstract: Written in journalistic style.
   ➢ B1 : Science - Written in scientific language — most important part of the proposal
   ➢ B2: Impact - Written in journalistic style
   ➢ B3: Implementation - Written in management style

✓ **Use diagrams to explain complex concepts -** One key diagram, at the beginning of the proposal, is a useful way of explaining, quickly and efficiently, the objectives of the proposal to the evaluator.

✓ **Label diagrams and tables -** Make the job of the evaluator easy by providing properly labelled tables and diagrams. Treat the proposal in the same manner as a scientific paper. It looks more professional.

✓ **Proof-reading and clarity -** There is nothing worse than finding typing errors and spelling mistakes in excellent proposals. It is easy to make mistakes and it is worth asking somebody to proof-read the text for spelling mistakes and to check the flow of the language

Where to get information on Horizon 2020

➢ **The official Website for Horizon** 2020 is http://ec.europa.eu/programmes/horizon2020/

➢ **Participant Portal** http://ec.europa.eu/research/participants/portal/page/home - This is where the 'Calls for Proposals' are published and where proposals are submitted electronically. Proposal writers, planning to participate in Horizon 2020, must have a thorough understanding of the Participant Portal.

➢ **Cordis News:** http://cordis.europa.eu/news/en/home.html Cordis News publishes details of projects and their results.

➢ **IPR Helpdesk** http://www.iprhelpdesk.eu/user/register - The IPR Helpdesk has an email newsletter dealing with all aspects of Intellectual Property issues in Horizon 2020

➢ **National Contact Points** are individuals in every member state who are responsible for the promotion of Horizon 2020. Each work programme in Horizon 2020 has an NCP devoted to it. The NCPs are in regular contact with the European Commission.

➢ **National and Association Offices in Brussels** www.iglortd.org - A number of countries/regions/organisations have established offices in Brussels and they act as a filter for information. Examples include UKRO (UK Research centres), Kowi (German Universities), and Swisscore (Swiss Research organisations). Most research sectors are represented by European Research Associations or Networks

➢ **Linked Discussion Groups -** Several Linkedin groups have been created for Horizon 2020. One very useful group is the Horizon 2020 group administered by EARTO (www.earto.eu)

➢ **Research Europe** www.researchresearch.com - Research Europe publishes a magazine on European research issues. Research Europe also has an online service: Research Professional

➢ **WBC Inco Net** http://wbc-inco.net/object/news/current This portal acts as a source of high quality targeted information on research in the Western Balkan countries (WBCs) by supporting the Steering Platform through a regular eJournal, analytical studies and reports and directories.

How to find the right H2020 call for your idea ?

Start at the Participants Portal – and go to Funding Opportunities
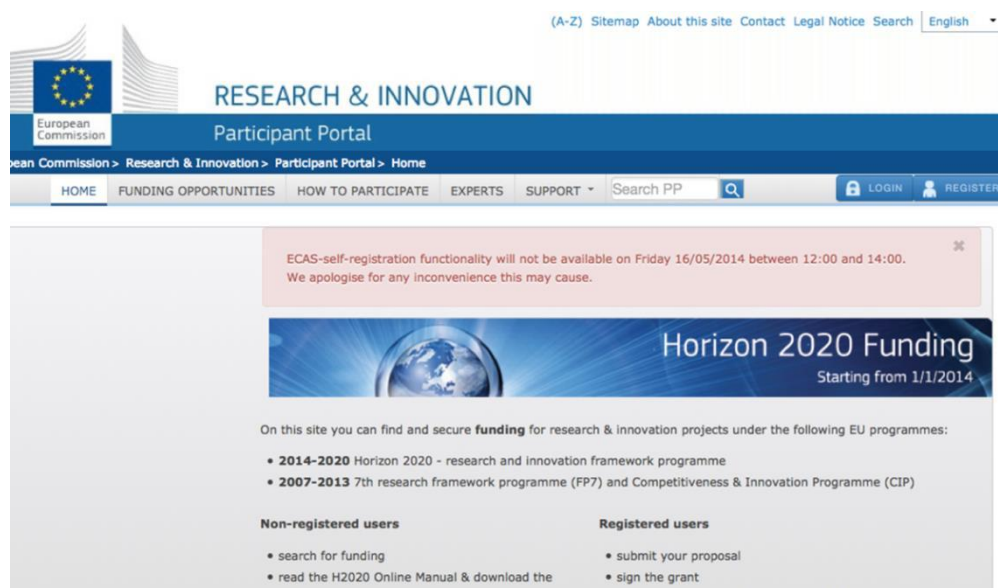
Than you can use **Keyword Search** or **free text search** to identify open or forthcoming calls.
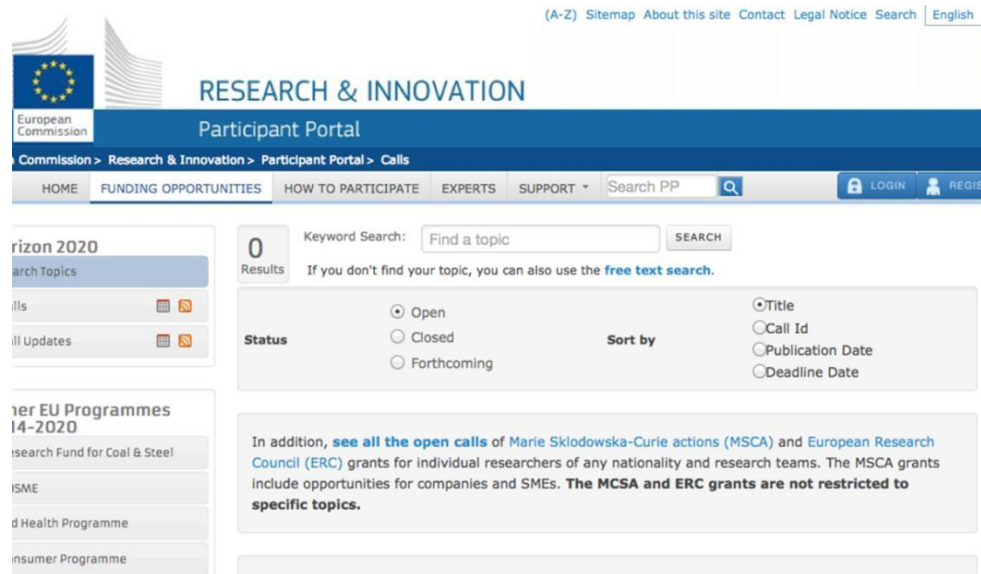
The next steps are:

1. Analyse the text, breaking it down to the main elements

2. Group these elements into work packages

3. Identify your possible role in the project and profiles of the other partners

You may examine the process using the following example (Paragraph of the H2020 call text):

"The focus is on the development and testing of usable, economic and privacy preserving access control platforms based on the use of biometrics, smart cards, or other devices. The solutions are to be installed and tested in a broad-band network, giving access to smart services running over networks with state-of-the-art security, avoiding single points of failure.

Proposed work should include the management of the access rights in particular for the service providers, ensure the security and privacy of the databases, facilitate a timely breach notification and remediation to the user, and reduce the insider threat.

The proposed solutions have to guarantee interoperability and portability between systems and services, sparing the user to have to install a platform, service or country specific technology.

Proposed work could assist the objective of implementing a secure information sharing network."

Analysis of a call text will lead to identification of Work Packages:

The focus is on the **development** and testing of privacy preserving **access control platforms** based on the use of biometrics, smart cards, or other devices.

The solutions are to be installed and **tested in a broad-band network**, giving **access to smart services** running over networks with state-of-the-art security, avoiding single points of failure.

Proposed work should include the **management of the access rights in particular for the service providers**, ensure the **security and privacy of the databases**, facilitate a **timely breach notification** and remediation to the user, and reduce the insider threat.

The proposed solutions have to guarantee **interoperability and portability between systems and services**, sparing the user to install a platform, service or country specific technology.

Proposed work could assist the objective of **implementing a secure information sharing network**.

Work Package labels overlaid on text:
- WP: Device Development
- WP: Testing of Smart Service
- WP: Access rights management
- WP: Secure cloud databases
- WP: Interoperability
- WP: Business plans

And consequently Work Packages will reveal necessary Partners Profiles:

Work Package	Partner Profile
WP: Device Development	Hardware, microsystems
WP: Testing of Smart Service	Service provider
WP: Access rights management	Secure software development
WP: Secure cloud databases	S/W development for Clouds
WP: Interoperability	More service providers in different countries
WP: Business pans	IT Solution provider

As that this is only simplified demonstration based on a paragraph from a call text, it is important to emphases that every word in the call text should be intelligently interpreted.

Horizon 2020's SME Instrument

SME instrument is exciting novelty introduced for the first time in this funding cycle. Detailed information is available on the Executive Agency for Small and Medium-sized Enterprises (EASME) website http://ec.europa.eu/easme/sme_en.htm:

Who should apply?

We are looking for high growth, highly innovative SMEs [Check the EU definition of SME] with global ambitions that want to disrupt the established value networks and existing markets. You should be driven, actively investing in innovation, and looking to grow. You should have been established for a while – but not at a start-up stage.

It's a good sign if your company is based in an innovation hub, has received grants or venture capital funding, received innovation-related tax benefits, or won an innovation prize in the last 2 years.

Phases

The instrument will take place in three phases, with the aim of transforming disruptive ideas into concrete, innovative solutions with a European and global impact.

SMEs are recommended to apply for Phase 1, but may also apply for subsequent phases depending on the progress of their proposals:

Phase 1. Concept & Feasibility Assessment

Idea to concept (6 months)

The European Union will provide **€50 000 in funding**, and carry out a feasibility study to verify the viability of the proposed disruptive innovation or concept.

The SME will draft an initial **business proposal** (around 10 pages).

Phase 2. Demonstration, Market Replication, R&D

Concept to Market-Maturity (1-2 years)

Assisted by the EU, **the SME will further develop its proposal through innovation activities**, such as demonstration, testing, piloting, scaling up, and miniaturisation. It will also draft a more developed business plan (around 30 pages).

Proposals will be based on a business plan developed on phase 1 or otherwise. The EU aims to contribute **between €0.5 million and €2.5 million**.

Phase 3. Commercialisation

Prepare for Market Launch

SMEs will receive **extensive support, training, mentorship and facilitating access to risk finance** as the project is further polished into a marketable product.

Additional support and networking opportunities will be provided by Enterprise Europe Network (EEN). The EU will **not** provide additional direct funding in this phase.

Themes

In 2014 and 2015 the SME Instrument will sponsor SMEs operating within 13 themes:

- High risk ICT innovation

- Nanotech, or other advanced tech for manufacturing and materials

- Space research and development

- Clinical research for the validation of diagnostics devices and biomarkers

- Sustainable food production and processing

- Blue growth

- Low carbon energy systems

- Greener and more integrated transport

- Eco-innovation and sustainable raw material supply

- Urban critical infrastructure

- Biotechnology-based industrial processes

- Mobile e-government applications (2015 only)

- SME business model innovation (2015 only)

Call overview for SME Instrument

The estimated number of projects to be funded and overall budget is indicated below each call identifier.

Themes	Call id 2014		Call id 2015	
	Phase 1	Phase 2	Phase 1	Phase 2
High risk ICT innovation	ICT-37-2014-1 90 projects €4.5m	ICT-37-2014 ~26 projects €40m	ICT-37-2015-1 90 projects €4.5m	ICT-37-2015 ~26 projects €40m
Nanotech, or other advanced tech for manufacturing and materials	NMP-25-2014-1 43 projects €2.2m	NMP-25-2014 ~13 projects €19m	NMP-25-2015-1. 47 projects €2.4m	NMP-25-2015 14 projects €21m
Space research and development	Space-SME-2014-1 17 projects €0.8m	Space-SME-2014-2 ~5 projects €7.5m	Space-SME-2015-1 18 projects €0.9m	Space-SME-2015-2 ~13 projects €7.7m
Diagnostics devices and biomarkers	PHC-12-2014-1 132 projects €6.6m	PHC-12-2014 ~38 projects €53m	PHC-12-2015-1 90 projects €4.5m	PHC-12-2015 ~26 projects €40m
Sustainable food production and processing	SFS-08-2014-1 18 projects €0.9m	SFS-08-2014 ~5 projects €8m	SFS-08-2015-1 18 projects €1.7m	SFS-08-2015 ~10 projects €15m
Seas and oceans (Blue growth)	BG-12-2014-1 6 projects €0.3m	BG-12-2014 1-2 projects €2.6m	BG-12-2015-1 10 projects €0.5m	BG-12-2015 2-3 projects €4m
Low carbon energy systems	SIE-01-2014-1 67 projects €3.4m	SIE-01-2014 ~20 projects €29m	SIE-01-2015-1 74 projects €3.7m	SIE-01-2015 ~22 projects €31m

Greener and more integrated transport	IT-1-2014-1 72 projects €3.6m	IT-1-2014 ~21 projects €32m	IT-1-2015-1 78 projects €3.9m	IT-1-2015 23 projects €34m
Eco-innovation and sustainable raw material supply	SC5-20-2014-1 ~34 projects €1.7m	SC5-20-2014 ~10 projects €15m	SC5-20-2015-1 38 projects €1.9m	SC5-20-2015 ~11 projects €17m
Urban critical infrastructure	DRS-17-2014-1 14 projects €0.7m	DRS-17-2014 4 projects €6m	DRS-17-2015-1 14 projects €0.7m	DRS-17-2015 ~4 projects €6.5m
Biotechnology-based industrial processes	BIOTEC-5a-2014-1 8 projects €0.4m	BIOTEC-5a-2014 ~2 projects €3.3m	BIOTEC-5b-2015-1 5 projects €0.2m	BIOTEC-5b-2015 1 project €2m
Mobile e-government applications	-	-	INSO-9-2015-1 8 projects €0.4m	INSO-9-2015 ~2 projects €3.5m
SME business model innovation	-	-	INSO-10-2015-1 22 projects €1.1m	INSO-10-2015 ~6 projects €9m
TOTAL	~500 projects €25.1m	~145 projects €215.4m	~510 projects €29m	~160 projects €230.7m
Deadlines for all themes				
The calls for proposals are continuously open but there are several cut-off dates per year:	18/06/2014 24/09/2014 17/12/2014	09/10/2014 17/12/2014	18/03/2015 17/06/2015 17/09/2015 16/12/2015	18/03/2015 17/06/2015 17/09/2015 16/12/2015

Evaluation of H2020 proposals
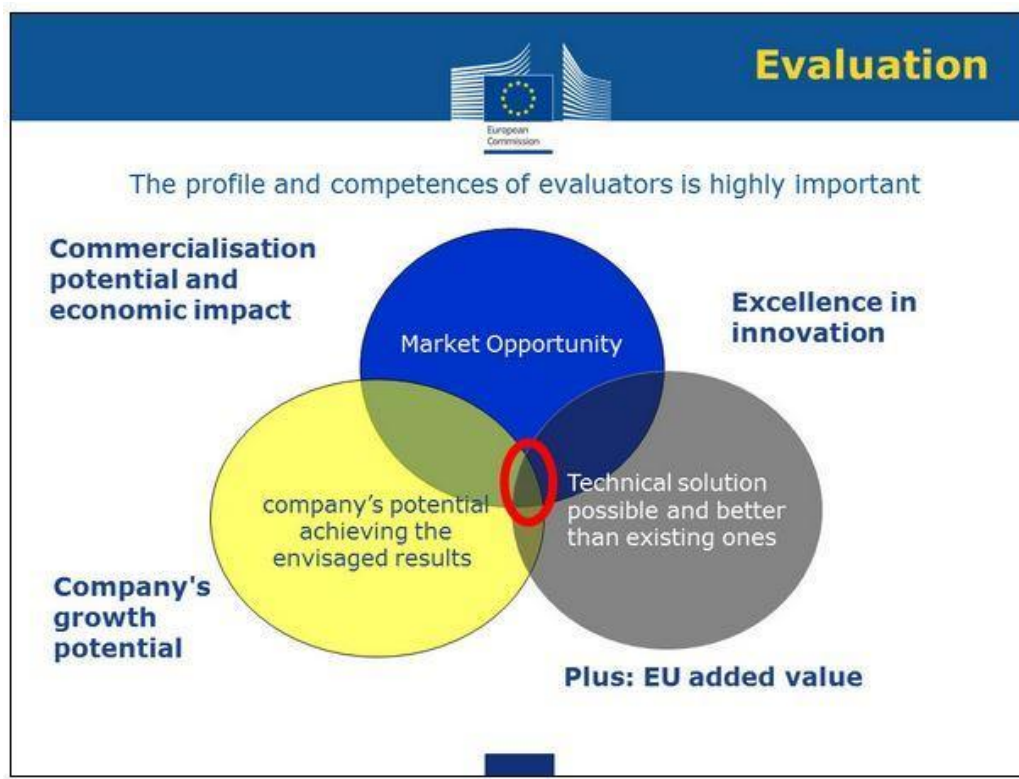
Proposals for SME Instrument should target the niche between three circles presented on the graph above. In general, once you have submitted a proposal, the Commission: checks it is admissible (complete and properly put together) and eligible asks independent experts to evaluate it.

In the evaluation process, proposals are given scores for excellence, impact, and quality and efficiency of implementation – based on the **Standard Evaluation Criteria available at**

http://ec.europa.eu/research/participants/data/ref/h2020/wp/2014_2015/annexes/h2020-wp1415-annex-h-esacrit_en.pdf . Selection criteria include financial and operational capacity. And award criteria include **Excellence, Impact and Quality and efficiency of the implementation.**

A panel then checks that the evaluation criteria have been consistently applied to all proposals for the same call.

Coordinators are informed of how their proposal did in the evaluation. A positive result does not constitute a confirmed offer of a grant.

Following the evaluation round, grant preparations are opened for the highest-scoring proposals.

COSME

COSME is the EU programme for the Competitiveness of Enterprises and Small and Medium-sized Enterprises (SMEs) running from 2014 to 2020 with a planned budget of €2.3bn. COSME will support SMEs in the following area:

1. **Better access to finance for Small and Medium-sized Enterprises (SMEs)**

   COSME will facilitate and improve access to finance for SMEs through two different financial instruments, available from 2014:

   ➢ **The Loan Guarantee Facility**

   The COSME budget will fund guarantees and counter-guarantees for financial intermediaries (e.g. guarantee organisations, banks, leasing companies) to help them provide more loan and lease finance to SMEs. This facility will also include securitisation of SME debt finance portfolios. By sharing the risk, the COSME guarantees will allow the financial intermediaries to expand the range of SMEs they can finance. This will facilitate access to debt finance for many SMEs who might otherwise not be able to raise the funding they need. From 2007 to date, more than 240 000 SMEs have already benefited from a guaranteed loan or lease thanks to the CIP, the current programme supporting business competitiveness.

   ➢ **The Equity Facility for Growth**

   The COSME budget will also be invested in funds that provide venture capital and mezzanine finance to expansion and growth-stage SMEs in particular those operating across borders.The fund managers will operate on a commercial basis, to ensure that investments are focused on SMEs with the greatest growth potential. From 2007 to date, the CIP has mobilised more than 2.3 billion euros in equity investments. If you are an SME or an entrepreneur looking for debt or equity finance and would like to see which financial intermediaries currently work with the CIP, as well as the other EU current and future financial instruments, visit http://europa.eu/youreurope/business/funding-grants/access-to-finance/.

   For more information on improving the financing environment for SMEs, visit: http://ec.europa.eu/enterprise/policies/finance/index_en.htm

2. **Access to markets**

All businesses have access to the services of the **Enterprise Europe Network** and can freely approach the local partner in their region. Over 600 partner organisations in 54 countries have built a capacity to reach out to more than 2 million SMEs. Your nearest partner can be found on the Network's website. The services offered include:

➢ Information on EU legislation and participation in EU programmes (Horizon 2020, regional funds);

➢ Assistance to find a business partner abroad: in the EU or worldwide;

➢ Advice on EU access to finance;

➢ Support for innovation and technology transfer;

➢ Obtaining SME's opinion on EU legislation.

If you want to go abroad with your company, this portal gathers all services provided by national authorities you might need.

3. **Supporting entrepreneurs**

Entrepreneurs and their new businesses are key to European growth and competitiveness. Promotion of entrepreneurship and entrepreneurial culture is therefore one of the four main objectives of COSME. The Entrepreneurship 2020 Action Plan is a decisive call for joint action at European, national, regional, and local level. Initiatives under the Action Plan include three main improvements:

➢ **Entrepreneurship education** – COSME will support exchanges among European educators and trainers support best practice in entrepreneurship education in the EU. Improving the business environment so entrepreneurs can grow and flourish – together with improving the legal and fiscal environment, experts will also develop recommendations on the best support for businesses throughout their lifecycles. Specific support for Web entrepreneurs will be provided.

➢ **Role models and outreach to specific groups** – under COSME groups such as young people, women or senior entrepreneurs will be able to benefit from mentoring or other tailored programmes.

Examples of actions already supported by the European Commission include:

➢ **The European Network of Mentors for Women Entrepreneurs** provides advice and support to women entrepreneurs in the start-up, running and growth of businesses during their early years (2nd to 4th year of in business).

➢ **Erasmus for Young Entrepreneurs** helps new entrepreneurs (not necessarily young in years, but in the age of their businesses) by offering an opportunity to learn from a more experienced host entrepreneur in another country. The host in return benefits from a fresh perspective on his/her business.

4.   **More favourable conditions for business creation and growth**

Reduction of administrative and regulatory burden - COSME aims at lightening the administrative burden on businesses by removing unnecessary reporting and information requirements. As research indicates, SMEs are disproportionately affected by regulation. A special focus is thus needed to create more favourable conditions for them.

➢ Identification and exchange of best practices among national administrations to improve SMEs policy
➢ Best practices in SMEs policy - Initiatives at national, regional and local level will be launched. One of these is the European Enterprise Awards to reward promotion of SMEs and entrepreneurship, particularly on regional and local level.
➢ Analytical tools for better policy - To facilitate the preparation of new legislation at EU and national level, and compare performance of different policies in member states, conferences and analytical tools, such as Competitiveness report, will be supported.
➢ Sectorial actions such as tourism

More information is available at the official link: http://ec.europa.eu/cip/cosme/index_en.htm

Call for proposals are published at:

http://ec.europa.eu/enterprise/contracts-grants/calls-for-proposals/index_en.htm?tpa=1029
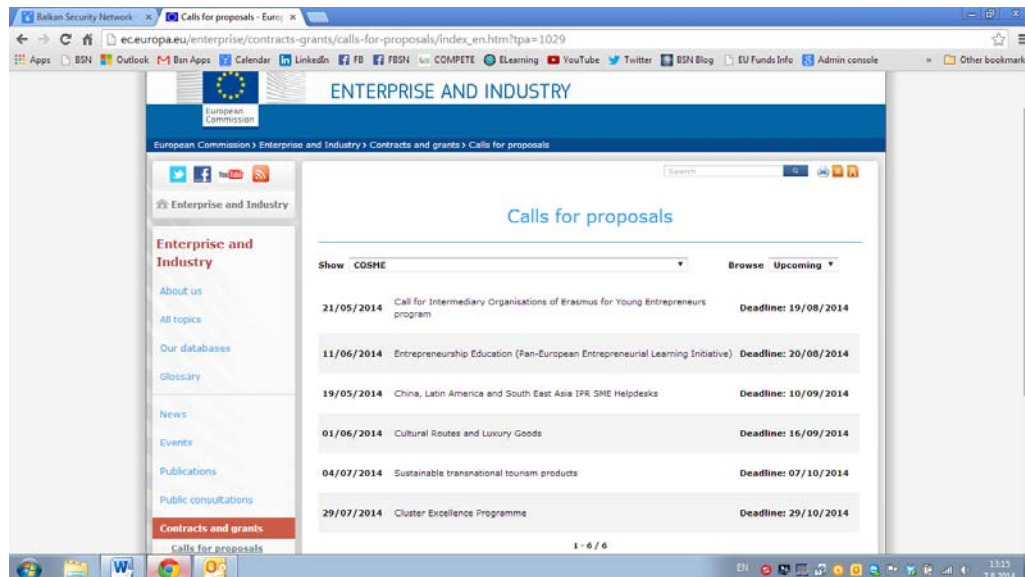
Call example:

COS-WP2014-4-05 - Erasmus for Young Entrepreneurs

The aim of this call is to expand and strengthen the existing network of Intermediary Organisations which act as local contact points for newly established entrepreneurs as well as experienced entrepreneurs in the participating countries. Intermediary Organisations (IOs) will be selected to implement the Erasmus for Young Entrepreneurs programme at local level.

They will, in particular, recruit and assist the entrepreneurs who will benefit from the programme. This call will therefore support actions for organisations enhancing and facilitating the mobility of new entrepreneurs, and is not intended for entrepreneurs willing to participate in the programme.

- **31/07 - Explanations how to fill the new templates available**
- **29/07/2014 - Budget increase**: After the revision of the financing decision for the COSME Work Programme 2014 the budget available for co-financing of projects under this call is now €5,500,000.
- **29/07/2014 - New document templates**: budget template (updated), activity report, CVs, list of previous projects.

Submission of proposals

The deadline for electronic submission is **- 19 August 2014 17.00 hours (Brussels time)**.

The submission system is now available at Participant Portal.

The electronic submission reference for this call will be **COS-EYE-2014-4-05**.

For full details, please consult the text of the call.

Documents

- Call for proposals
- Corrigendum (07/07/2014)
- Annex: Implementation Manual for Intermediary Organisations (Updated 07/07/2014)
- Guide for applicants
- Grant agreement
- Description of work template (updated on 01/07/2014 - Please make sure to use this version)
- Budget template (updated 28/07/2014)
- Guide to the budget template
- Organisations' most recent activity report
- CVs (Europass format recommended; to be uploaded in the electronic submission tool)
- List of previous projects
- Guide to the templates for activity report, CVs and list of previous projects

Additional information for applicants

More information is available on the Erasmus for Young Entrepreneurs website.

The Implementation Manual for Intermediary Organisations (Quality Manual) also contains a lot of information that help to understand better how the programme works.

Questions/Answers

Potential applicants should address questions related to the content of this call by e-mail to EASME-COSME-ERASMUS-CALL2014@ec.europa.eu. Only questions sent to this functional mailbox will be answered.

Answers will only be published periodically and within a reasonable period of time on this page.

- Questions and answers (updated 01/08/2014)

Information event

Please note that an info day on this took place in Brussels on **19 June 2014**. For more details please consult theInformation Meeting Agenda (draft version, updated 05/06/2014).

- Presentation
- Recording of the event

Partner search

EASME accepts exceptionally that applicants who are searching for a partner submit their contact details by email to the functional mailbox of this call using the subject line "PARTNERING". An overview of all partners willing to team up will be published and regularly updated on this web site. The sender agrees that EASME publishes the contact details on this webpage. EASME takes no responsibility or liability whatsoever with regard to this information.

- List of potential partners

Contact

EASME-COSME-ERASMUS-CALL2014@ec.europa.eu

Example presented above provides overview of typical sections and documents available to participants when the call is published. Forecasts of upcoming calls are usually available in the Work Programmes.

COST

Budget: *EUR 80.000.000*

This 2014-2020 programme is the follow-up of the 2007-2013 COST (European Cooperation in Science and Technology) Programme and is not financed fully from the EU's budget. Based on an inter-governmental agreement between 35 European countries, it allows the coordination of nationally-funded research on a European level.

COST is an intergovernmental framework for European Cooperation in Science and Technology, allowing the coordination of nationally-funded research on a European level.

COST is ready to take on the challenges that lay ahead in Horizon 2020. COST's mission is to enable break-through scientific developments leading to new concepts and products, and thereby contribute to strengthening Europe's research and innovation capacities. As part of this mission, COST will continue to foster scientific and technological excellence and inclusiveness in Europe, by supporting bottom-up, open science and technology networks involving researchers across the continent. In order to do so, COST has been formally inscribed in Horizon 2020 and is expected to contribute in particular to the 'Societal Challenges' and 'Spreading Excellence and Widening Participation' pillars of the Horizon 2020 strategy.

Horizon 2020 has been allocated a budget of almost €80 billion, amounting to a 30% increase from the Seventh Framework Programme (FP7). In this context, COST will receive an increased budget compared to the budget allocated under FP7. This increase confirms the strategic importance of COST as a unique intergovernmental framework in the context of the ERA, enabling scientists and researchers to jointly develop their own ideas and new initiatives through inclusive, trans-European cooperation in science and technology and networking.

Objectives

- ✓ To contribute to reducing the fragmentation in European research investments
- ✓ To open the European Research Area to worldwide cooperation
- ✓ To increase the mobility of researchers across Europe and foster the establishment of scientific excellence

Priority areas

- ✓ Biomedicine and Molecular Biosciences
- ✓ Food and Agriculture
- ✓ Forests, their Products and Services
- ✓ Materials, Physics and Nanosciences
- ✓ Chemistry and Molecular Sciences and Technologies
- ✓ Earth System Science and Environmental Management
- ✓ Information and Communication Technologies
- ✓ Transport and Urban Development
- ✓ Individuals, Societies, Cultures and Health

It funds one type of transnational project COST Action

COST Actions are science and technology networks open to researchers and stakeholders with a duration of four years.

Financed activates under Action COST

- ✓ Workshops
- ✓ Scientific conferences
- ✓ Short-term scientific missions (STSMs): mission or exchange of researchers inside the Action
- ✓ Training schools : training activities for young researchers on a given topic
- ✓ Diffusion, publication of documents: booklets, website...

COST funds pan-European, bottom-up networks of scientists and researchers across all science and technology fields. These networks, called 'COST Actions', promote international coordination of nationally-funded research.

COST does not fund research itself, but provides support for networking activities carried out within COST Actions.

 The Actions are bottom-up science and technology networks open to researchers and stakeholders, with a four-year duration and a minimum participation of five COST Countries.

COST Actions are active through a range of networking tools, such as meetings, workshops, conferences, training schools, short-term scientific missions (STSMs) and dissemination activities.

COST Actions are open to researchers from universities, public and private research institutions, as well as to NGOs, industry and SMEs. To learn more about participating in COST Actions, please visit the Participate page.

COST invites researchers throughout Europe to submit proposals for COST Actions through a continuous Open Call. The two collection dates a year are announced in the Official Journal of the European Union and on the COST Website. Following a thorough evaluation and selection process, the decision for funding a proposal is taken by the COST Committee of Senior Officials (CSO) within eight months from the collection date. Successful proposals are approved to become COST Actions and can expect to 'kick-off' within three months thereafter. For more information on how to submit a proposal for a COST Action, please visit the Open Call page.

Proposals for COST Actions can be submitted in one of the COST Scientific Domains. Highly interdisciplinary proposals that cover several scientific Domains can be submitted through the COST Trans-Domain (TD) Pilot.

Researchers can also apply to join an existing COST Action.

There will be continuous call for proposals with two submission dates in March and September. However, the 2014-2 collection date will be combined with the 2015 ones. The dates are still to be defined.

Eligibility

COST Actions are open to international cooperation, by also allowing the participation of researchers from Near Neighbour Countries and International Partner Countries on the basis of mutual benefit. In addition, COST has signed Reciprocal Agreements with Argentina, New Zealand and South Africa as a pilot exercise to facilitate cooperation with researchers from these countries.

COST's 35 Member Countries are: Austria, Belgium, Bosnia and Herzegovina, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Iceland, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, The Netherlands, Norway, Poland, Portugal, Romania, Serbia, Slovakia, Slovenia, Spain, Sweden, Switzerland, Turkey, United Kingdom and the former Yugoslav Republic of Macedonia. Israel is a Cooperating State.

Official link: http://www.cost.eu/

ERASUMS PLUS

Budget: EUR 14.7 billion

Erasmus for All is the programme for education, training, youth and sport. The objective of Erasmus Plus is to improve people's skills, personal development and employability. Investing in high quality education and training for all is essential to achieve our Europe 2020 goals for growth, jobs and innovation.

The programme gives opportunities to students, trainees, staff and volunteers to spend a period abroad to increase their skills and employability. It supports organisations to work in transnational partnership and to share innovative practices in the fields of education, training and youth. And for the first time there will be specific programme for sport.

The programme will support **three main types of actions:**

1. Learning opportunities for **individuals**, both within the EU and beyond, including: study and training, traineeships, teaching and professional development and non-formal youth activities such as volunteering. Erasmus for All would provide opportunities for learning abroad for up to 5 million people across all education and training sectors. Europeans would have the option to study, train or teach at higher education institutions anywhere in the world, and non-European students and staff would have more opportunities to study, teach and learn in Europe. Extending the programme beyond the EU's borders will increase the attractiveness of European higher education and at the same time support the development of higher education elsewhere in the world.

2. **Institutional cooperation** between educational institutions, youth organisations, businesses, local and regional authorities and NGOs, to encourage the development and implementation of innovative practices in education, training and youth activities, and to promote employability, creativity and entrepreneurship.

3. Support for **policy reform** in Member States and cooperation with non-EU countries, with a focus on strengthening the evidence-base for policy making and exchange of good practices. Support will include the implementation of EU transparency tools, cross-country studies and support for specific policy agendas such as the Bologna (higher education) and Copenhagen (vocational education and training) processes.

The programme will support two additional types of actions:

1. The new **sport** action will support European grassroots projects and cross-border challenges such as combating match-fixing, doping, violence and racism.
2. The **Jean Monnet** activities will support teaching and researching on European integration

Two completely new instruments will be part of Erasmus for All:

- **A loan guarantee scheme** to help Master's degree students to finance their studies abroad and to acquire the skills needed for knowledge intensive jobs. Loan garantee for banks to provide loans for students in a Master abroad

Objectives

- ✓ to provide a partial guarantee against loan defaults for banks or student loan agencies in countries that participate
- ✓ to enable young people to gain access to loans to support their studies abroad

Eligible banks

- ✓ selection following a call for expressions of interest
- ✓ these financial intermediaries will be the sole interface for the individual student for the assessment of loan applications, conferral of loans and collection of repayments

Structure

- ✓ the EU partial guarantee will mitigate risk for financial institutions lending to a group they currently do not consider

- ✓ in return for access to the partial guarantee, banks will be required to offer loans on affordable conditions to mobile students, including better than market interest rates and up to two years to allow graduates to get into a job before beginning repayment.

The creation of 300 'knowledge alliances' and 'sector skills alliances'.

Knowledge alliances are large-scale partnerships between higher education institutions and businesses to promote creativity, innovation and entrepreneurship by offering new learning opportunities and qualifications.

Knowledge Alliances aim at strengthening Europe's innovation capacity and at fostering innovation in higher education, business and the broader socio-economic environment.

Objectives

- ✓ Develop new, innovative and multidisciplinary approaches to teaching and learning
- ✓ Stimulate entrepreneurship and entrepreneurial skills of higher education teaching staff and enterprise staff
- ✓ Facilitate the exchange, flow and co-creation of knowledge

Priorities

- ✓ Boosting innovation in higher education, business and in the broader socio-economic environment
- ✓ Developing entrepreneurship mind-set and skills
- ✓ Stimulating the flow and exchange of knowledge between higher education and enterprises

Financed actions

- ✓ Jointly developing and implementing new learning and teaching methods (like new multidisciplinary
  curricula, learner-centred and real problem-based teaching and learning)
- ✓ Organising continuing educational programmes and activities with and within companies
- ✓ Jointly developing solutions for challenging issues, product and process innovation
- ✓ Creating schemes of transversal skills learning and application throughout higher education programmes developed in cooperation with enterprises aiming at strengthening employability, creativity and new professional paths
- ✓ Introducing entrepreneurship education in any discipline to provide students, researchers, staff and educators with the knowledge, skills and motivation to engage in entrepreneurial activities in a variety of settings

✓ Opening up new learning opportunities through the practical application of entrepreneurial skills, which can involve and/or lead to the commercialisation of new services, products and prototypes, to the creation of start-ups and spin-offs

✓ Study field related activities in enterprises which are fully embedded in the curriculum, recognised and credited

✓ Set-ups to trial and test innovative measures

✓ Exchanges of students, researchers, teaching staff and company staff for a limited period

✓ Involvement of company staff teaching and research.

Project duration: 2 or 3 years.

Partnership criteria: minimum six independent organisations from at least three Programme Countries, out of which at least two higher education institutions and at least two enterprises.

Budget per project: Up to 700 000 euro for a 2-year project and up to 1 million euro for a 3-year project

Sector skills alliances are partnerships between education and training providers and businesses to promote employability by forming new sector-specific curricula and innovative forms of vocational teaching and training.

Sector Skills Alliances shall aim at tackling skills gaps, enhancing the responsiveness of initial and continuing VET systems to sector-specific labour market needs and demand for new skills with regard to one or more occupational profiles.

Objectives

✓ Modernising VET and exploiting its potential to drive economic development and innovation, notably at local and regional levels, increasing the competitiveness of the sectors concerned

✓ Strengthening the exchange of knowledge and practice between vocational education and training institutions and the labour market integrating work-based learning

✓ Facilitating labour mobility, mutual trust and increased recognition of qualifications at European level within the sectors concerned

Priorities

- ✓ Defining skills and training provision needs in a given specific economic sector
- ✓ Designing joint curricula
- ✓ Delivering joint curricula

Financed actions

- ✓ Gathering and interpreting evidence of skills needs on the labour market in a given economic sector, drawing on the EU Skills Panorama
- ✓ Identifying needs in terms of training provision
- ✓ Designing EU sector-specific curricula, VET programmes and possibly qualification standards related to common skills needs common in the sector and/or to a European occupational profile, drawing, where available, on ESCO
- ✓ Integrating skills or occupational profiles into curriculum design, VET programmes and possibly qualification standards
- ✓ Integrating innovative approaches to teaching and learning, notably through more strategic and integrated use of ICTs and open educational resources
- ✓ Delivering EU sector-specific curricula that have been adapted or newly created following the analysis and forecasts of labour market needs for a given occupational profile
- ✓ Implementing innovative VET teaching and learning methods to respond to evolving skills and/or specific target public within a given economic sector
- ✓ Facilitating recognition and certification of the respective learning outcomes by implementing principles, the quality assurance framework in VET and possibly referencing respective qualifications to EU frameworks

Project duration: 2 or 3 years

Partnership criteria: minimum 9 participating organisations from at least 3 eligible countries, including 2 Member States.

Budget per project: Up to 700 000 euro for a 2-year project and up to 1 million euro for a 3-year project.

Erasmus Plus Key Actions

Actions in the field of education, training and youth

Global Budget for ETY strand: 13.445 billion euro.

Key Action 1: Learning Mobility of individuals, supports mobility in the education, training and youth sectors, aims to bring long lasting benefits to the participants and the participating organisations involved. Its main objective is to empower individuals of all ages and social backgrounds by contributing to the development of quality education and training systems, as part of the EU 2020 strategy.

Mobility will remain the core element across the Programme, with a strong emphasis on mobility for students in higher education.

Financed actions:

- ✓ Master student loan guarantee
- ✓ Joint Master Degrees*
- ✓ Mobility project for higher education students and staff
- ✓ Mobility project for VET learners and staff
- ✓ Mobility project for school education staff
- ✓ Mobility project for young people and youth workers
- ✓ Large-scale European voluntary service events*

* The selection of projects is managed by The Education, Audiovisual and Culture Executive Agency (EACEA). The other actions of the KA1 are managed at decentralised level by the National Agencies.

Key Action 2: Cooperation for innovation and the exchange of good practices good practices - the actions under Key Action 2 make it possible for organisations from different participating countries to work together, to develop, share and transfer best practices and innovative approaches in the fields of education, training and youth.

The following actions are managed by the EACEA as part of the General call for proposals and described in detail in the Programme Guide:

➢ Knowledge Alliances cooperation between higher education institutions and enterprises;

➢ Sector Skills Alliances addressing skills gaps in specific economic sectors;

➢ Capacity Building in the field of youth supporting cooperation with Partner Countries;

➢ Capacity Building in the field of higher education supporting cooperation with Partner Countries.

Key Action 3: Support for policy reform

Indicative budget allocation is approximately 5% of the total budget for education, training and youth Evidence-based policy making, strong country analysis and multilateral surveillance are all critical for the achievement of Europe's strategic priorities. Mutual learning at EU and international level has proven its worth in terms of the effectiveness of education investments and in helping Member States implement new policies and reforms. The various EU transparency tools created under the Lifelong Learning Programme have had an immense impact.

Supported activities

Erasmus support for policy reform will focus on three key activities:

✓ Support to open methods of coordination (ET 2020, EU youth strategy) and the European Semester (Europe 2020).

✓ EU tools: valorisation and implementation

✓ Cooperation with international organizations

✓ Policy dialogue (stakeholders, third countries, international organisations).

The actions of the Erasmus + programme are divided into **decentralised actions** and **centralised actions**. The decentralised actions are managed in each programme country by **National Agencies** that are appointed by their national authorities. The centralised actions are managed at a European level by the **Education, Audiovisual and Culture Executive Agency (EACEA)** located in Brussels.

Note: Serbia is one of the Partner countries and has limited access. There is a distinction between the types of projects on which the institutions from Serbia will be able to participate:

1. Serbian institutions can apply as the coordinator and / or to participate as partners:

- ✓ KA 2 - Capacity Building Project in Higher Education (International Projects)
- ✓ Component Jean Monnet

2. Serbian institutions can participate only as partners for:

- ✓ KA 1 - Joint Masters Degree
- ✓ KA1 - Bilateral mobility of students and teaching staff
- ✓ KA 2 - Capacity building projects aimed at young people
- ✓ KA 3 - meetings between young people and decision-making related to youth policy
- ✓ Sport - International collaborative partnerships

3. Can participate as partners if their participation brings additional value to the project:

- ✓ Strategic partnerships
- ✓ Alliances knowledge
- ✓ Alliances sector skills

Eligibility:

European Union, Candidate countries, New Independent States, European Economic Area, Mediterranean countries, Switzerland, Worldwide, Balkans

Proposal for Erasmus Plus: http://ec.europa.eu/education/erasmus-for-all/doc/legal_en.pdf

Official web page:

http://ec.europa.eu/programmes/erasmus-plus/index_en.htm

http://eacea.ec.europa.eu/erasmus-plus_en

FISCUS

Budget: *EUR 790.600.000*

Can apply: Local and Regional authorities and Administrations States in European Union, Candidate countries, New Independent States and Mediterranean countries.

Customs 2020 Programme and Fiscalis 2020 Programme (split into two programmes from previous proposal for Fiscus 2020 Programme)

Budget: Fiscalis €234.3 million & Customs €547.3

Local and Regional authorities, Administrations States,

FISCUS Programme will support customs and tax cooperation in the Union clustered around human networking and competency building, on the one hand, and IT capacity building on the other hand. The aim is to improve the operation of the taxation systems in the internal market and the functioning of the Customs Union. FISCUS will be the single programme for customs and taxation replacing the 2007-2013 Customs and Fiscalis programmes.

The specific objectives of the Programme shall be:

Objectives (Fiscalis):

- to implement, improve, operate and support the European Information Systems   for taxation;
- to support administrative cooperation activities;
- to reinforce the skills and competence of tax officials;
- to enhance the understanding and implementation of Union law in the field of taxation;
- to support the improvement of administrative procedures and the sharing of good administrative practices.

Objectives (Customs Programme):

- to support the preparation, coherent application and effective implementation of   Union law and policy in the field of customs;
- to develop, improve, operate and support the European Information Systems for customs;
- to identify, develop, share and apply best working practices and administrative procedures, in particular further to benchmarking activities;

- to reinforce the skills and competences of customs officials;
- to improve cooperation between customs authorities and international organisations, third countries, other governmental authorities, including Union and national market surveillance authorities, as well as economic operators and organisations representing economic operators.

Financed actions are:

- Joint actions (seminars and workshops; multilateral controls; working visits; studies; etc.)
- IT capacity building
- Human competency building (training)

The Fiscalis and Customs 2020 Programme will be open to Local and Regional authorities, Administrations States in:

- acceding countries, candidate countries and potential candidate countries benefiting from a preaccession strategy (including Albania, The Former Yugoslav Republic Of Macedonia, Montenegro, Serbia, Turkey), in accordance with the general principles and general terms and conditions for the participation of those countries in Union programmes established in the respective framework agreements, Association Council decisions or similar agreements
- partner countries of the European Neighbourhood Policy provided that those countries have reached a sufficient level of approximation of the relevant legislation and administrative methods to those of the Union.

Proposal for Fiscus:

http://ec.europa.eu/taxation_customs/resources/documents/com_2011_706_en.pdf

Proposal for Customs:

http://ec.europa.eu/taxation_customs/customs/cooperation_programmes/fiscus/index_en.htm

Official:

http://ec.europa.eu/taxation_customs/taxation/tax_cooperation/fiscalis_programme/fiscus/index_en.htm

HERCULE III

Budget: *EUR 110.000.000*

Can apply: Local and Regional authorities, Schools, Training centres, Administrations States, Development NGOs, Universities, Non-profits organisations and International Organisation in European Union, Candidate countries and European Economic Area.

This 2014-2020 programme carries on the 2007-2013 Hercule II programme and aims to protect the financial interest of the Union thus enhancing the competitiveness of the European economy and ensuring the protection of the taxpayers' money. It promotes activities countering fraud and any other illegal activities affecting the EU's financial interests, including cigarette smuggling and counterfeiting.

The Hercule III programme is dedicated to fighting fraud, corruption and any other illegal activities affecting the financial interests of the EU, including the fight against cigarette smuggling and counterfeiting. The programme helps national law enforcement authorities in their fight against illegal cross-border activities by financing technical and operational support and professional training activities

Financed actions are:

- Provision of specialised technical assistance for national authorities,
- Organisation of specialised training, and risk analysis training workshops, as well as conferences, aimed at: coordinating the activities of Member States, third countries, and international public organisations, – disseminating knowledge, particularly on better identification of risk for investigative purposes.

The specific objectives of the Programme shall be:

- to improve the prevention and investigation of fraud and other illegal activities beyond its currently reached levels by enhancing transnational and multi-disciplinary cooperation;
- to increase the protection of the financial interests of the Union against fraud, facilitating
- the exchange of information, experiences and best practices, including staff exchanges
- to strengthen the fight against fraud and other illegal activities providing technical and
- operational support to national investigation, and in particular customs and law enforcement

- authorities;

- to limit the exposure of the financial interests of the Union to fraud, corruption and other

- illegal activities, as compared to the level of exposure known today, with a view to reducing

- the development of an illegal economy in key risk areas such as organised fraud, smuggling and counterfeiting, especially of cigarettes;

- to enhance the degree of development of the specific legal and judicial protection of the

- financial interests against fraud by promoting comparative law analysis.

Eligibility:

European Union, Candidate countries, European Economic Area

Proposal for Hercule III programme:

http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2011:0914:FIN:EN:PDF

Official web site:

http://ec.europa.eu/anti_fraud/index_en.htm

PERICLES 2020

Budget: *EUR 7.344.000*

Can apply: Local and Regional authorities, Corporations, Federations Unions, Administrations States, Agencies Chambers, Development NGOs, SMEs and Banks in European Union, New Independent States and Mediterranean countries.

The Pericles programme is an exchange, assistance and training programme for the protection of the euro against counterfeiting. It is administered by OLAF.

The general objective of the Programme shall be to prevent and combat counterfeiting and fraud thus enhancing the competitiveness of the European economy and securing the sustainability of public finances.

The specific objective of the Programme shall be to protect the euro banknotes and coins against counterfeiting and related fraud, by supporting and supplement the measures undertaken by the Member States and assisting the competent national and European authorities in their efforts to develop between themselves and with the European Commission a close and regular cooperation, also including third countries and international organisations.

The specific objectives of the Programme shall be:

- To protect the euro banknotes and coins against counterfeiting and related fraud

- To support and supplement the measures undertaken by the Member States

- To assist the competent national and European authorities in their efforts to develop between themselves and with the European Commission a close and regular cooperation, also including third countries and international organisation

Financed actions are:

- Exchange of information, in particular through organising workshops, meetings and seminars, targeted placements and exchanges of staff of competent national authorities and other similar activities: methodologies for monitoring and analysing the economic and financial impact of counterfeiting; use of detection tools with computer back-up; enquiry and investigation methods; research activity

- Technical, scientific and operational support: relevant studies with a multidisciplinary and transnational dimension; financial support for cooperation in operations involving at least two States when such support is not available from other Programmes of European institutions and bodies

- Grants to finance the purchase of equipment to be used by specialised anti-counterfeiting authorities for protecting the euro against counterfeiting

Participating countries shall be the Member States having adopted the euro as their single currency. The proposals presented by these Member States may include participants from other countries, if their presence is important for the protection of the euro.

Participants from ENP may attend Conferences, seminars and training funded under the Pericles programme. Since 2014 they will be able to possibly benefit of equipment to be used by specialised anti-counterfeiting authorities through applications presented by Competent Authorities in the Member States.

Eligibility:
European Union, New Independant States, Mediterranean countries

Proposal for Pericles programme:
http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=SEC:2011:1614:FIN:EN:PDF

Official web site:
http://ec.europa.eu/anti_fraud/euro-protection/training/index_en.htm

LIFE

Budget: *EUR 3.456.655.000*

Can apply: Research centres, Local and Regional authorities, Administrations States, Agencies Chambers, Development NGOs, SMEs, Universities and Non-profits organisations in European Union, Candidate countries, European Economic Area, Mediterranean countries and Switzerland.

Available for public and private bodies.

LIFE is the new programme for environment and climate action that replaces the LIFE+ programme (2007-2013). The objective of the LIFE Programme is to be a catalyst for promoting implementation and integration of environmental and climate objectives in other policies and Member State practice. Special emphasis is placed on better governance, as it is inextricably linked to improving implementation.

The new LIFE Programme is designed with two sub-programmes: one for *Environment* (Environment and Resource Efficiency; Biodiversity; Environmental Governance and Information) and one for *Climate Action* (Climate Change Mitigation; Climate Change Adaptation; Climate Governance and Information).

An important change to improve the efficiency of the LIFE Programme and to create closer links to Union policy priorities is the shift from a pure bottom-up approach to a flexible **top-down approach.** Another major change is the creation of a new type of projects: "**Integrated Projects**".

The LIFE Programme enlarges its territorial scope with a more flexible approach regarding funding for environment and climate **outside the EU**: firstly, by formally allowing activities outside the Union in exceptional cases and under specific conditions as well as in countries participating in the programme from outside the Union; and secondly, by providing a legal base for cooperation with international organisations of interest to environmental and climate policy that do not necessarily fall within the scope of Union external action.

The LIFE Programme shall have the following general objectives:

- To contribute to the shift towards a resource-efficient, low-carbon and climate resilient economy, to the protection and improvement of the quality of the environment and to halting and reversing biodiversity loss including the support of the Natura 2000 network and tackling the degradation of ecosystems.

- To improve the development, implementation and enforcement of Union environmental and climate policy and legislation, and to catalyse and promote integration and mainstreaming of environmental and climate objectives into other Union policies and public and private sector practice, including by increasing their capacity;

- To support better environmental and climate governance at all levels.

Financed actions are:

- Information and communication activities

- Studies, surveys, modelling activities and scenario writing

- Preparation, implementation, monitoring, control and evaluation of policies, programmes and legislation

- Networking and platform for best practices exchange.

Structure

The subprogramme for "Environment" (2,6 billion euro), is composed of three priority areas:

- ✓ Rational utilisation of natural resources
- ✓ Biodiversity
- ✓ Governance and information on the climate issue

The subprogramme for "Climate Action" (864 million euro), is composed of three priority areas:

- ✓ Climate change mitigation
- ✓ Climate change adaptation
- ✓ Climate governance and information

Sub-programme for Environment (€2 592 million)

Environment and Resource Efficiency

- To develop, test and demonstrate policy or management approaches, best practices, and solutions to environmental challenges, suitable for being replicated, transferred or mainstreamed, including with respect to the link between environment and health, and in support of resource efficiency-related policy and legislation, including the Roadmap to a Resource Efficient Europe;

- To support the application, development, testing and demonstration of integrated approaches for the implementation of plans and programmes pursuant to Union environmental policy and legislation, primarily in the areas of water, waste and air;

- To improve the knowledge base for the development, assessment, monitoring and evaluation of Union environmental policy and legislation, and for the assessment and monitoring of the factors, pressures and responses that impact on the environment within and outside the Union.

Nature and Biodiversity

- To contribute to the implementation of Union policy and legislation in the area of biodiversity, including the Union Biodiversity Strategy to 2020, in particular by applying, developing, testing and demonstrating approaches, best practices and solutions;

- To support the further development, implementation and management of the Natura 2000 network set up, in particular the application, development, testing and demonstration of integrated approaches for the implementation of the Prioritised Action Frameworks;

- To improve the knowledge base for the development, assessment, monitoring and evaluation of Union biodiversity policy and legislation, and for the assessment and monitoring of the factors, pressures and responses that impact on the biodiversity within and outside the Union.

Environmental Governance and Information

- To promote awareness raising on environmental matters, including generating public and stakeholders support to Union policy-making in the field of environment, and to promote education for sustainable development;

- To support communication, management, and dissemination of information in the field of environment, and to facilitate knowledge sharing on successful environmental solutions and practice, including by developing cooperation platforms between stakeholders and training;

- To promote and contribute to a more effective compliance with and enforcement of Union environmental legislation, in particular by promoting the development and dissemination of best practices and policy approaches;

- To promote better environmental governance by broadening stakeholder involvement, including NGOs, in policy consultation and implementation

Sub-programme for Climate Action (€ 864 million)

Climate Change Mitigation

- To contribute to the implementation and development of Union policy and legislation on mitigation, including mainstreaming across policy areas, in particular by developing, testing and demonstrating policy or management approaches, best practices and solutions for climate change mitigation;

- To improve the knowledge base for the development, assessment, monitoring, evaluation and implementation of effective mitigation actions and measures and to enhance the capacity to apply that knowledge in practice;

- To facilitate the development and implementation of integrated approaches, such as for mitigation strategies and action plans, at local, regional or national level;

- To contribute to the development and demonstration of innovative mitigation technologies, systems, methods and instruments that are suitable for being replicated, transferred or mainstreamed.

Climate Change Adaptation

- To contribute to the development and implementation of Union policy and legislation on adaptation, including mainstreaming across policy areas, in particular by developing, testing and demonstrating policy or management approaches, best practices, and solutions, for climate change adaptation;

- To improve the knowledge base for the development, assessment, monitoring, evaluation and implementation of effective adaptation actions and measures and to enhance the capacity to apply that knowledge in practice;

- To facilitate the development and implementation of integrated approaches, such as for adaptation strategies and action plans, at local, regional or national level;

- To contribute to the development and demonstration of innovative adaptation technologies, systems, methods and instruments that are suitable for being replicated, transferred or mainstreamed.

Climate Governance and Information

- And stakeholders support to Union policy-making in the field of climate, and to promote education for sustainable development;

- To support communication, management, and dissemination of information in the field of climate and to facilitate knowledge sharing on successful climate solutions and practice, including by developing cooperation platforms between stakeholders and training;

- To promote and contribute to a more effective compliance with and enforcement of Union climate legislation, in particular by promoting the development and dissemination of best practices and policy approaches;

- To promote better climate governance by broadening stakeholder involvement, including NGOs, in policy consultation and implementation

LIFE remains centrally managed. The Commission will explore the possibility of delegating to a large extent the selection and monitoring tasks to the European Agency for Competitiveness and Innovation, while keeping the governance of the LIFE Programme within the Commission.

The LIFE Programme will cover all types of funding required to address its objectives and priorities. In particular, action grants to finance projects represent the main financial intervention. Operating

grants for NGOs and other entities of Union interest which are primarily active in the area of environment or climate are also possible. The LIFE Programme allows the use of financial instruments. The Commission will encourage the use of green public procurement when implementing action grants.

Union funding may take the following legal forms:

(a) grants;

(b) public procurement contracts;

(c) contributions to financial instruments in accordance with provisions on financial instruments under Regulation (EU, Euratom) No966/2012, in particular Articles 139 and 140 thereof, and with operational requirements set out in specific Union acts;

(d) any other interventions needed for the purpose of achieving the general objectives set out in Article 3.

At least 81 % of the budgetary resources for the LIFE Programme shall be allocated to projects supported by way of action grants. The Commission may include those financial instruments as part of the multiannual work programme referred to in Article 24, subject to an ex-ante evaluation. A maximum of 30% of the budgetary resources allocated to action grants may be allocated to integrated projects.

Action grants may finance the following projects:

- ✓ pilot projects;
- ✓ demonstration projects;
- ✓ best practice projects;
- ✓ integrated projects primarily in the areas of nature, water, waste, air, and climate change mitigation and adaptation;
- ✓ technical assistance projects;
- ✓ capacity-building projects';
- ✓ preparatory projects;
- ✓ information, awareness and dissemination projects;
- ✓ any other projects needed for the purpose of achieving the objectives.

Operating grants shall support certain operational and administrative costs of non-profit making entities.

The maximal co financing rate is 70% of the total eligible costs The maximum contribution to the LIFE multiannual work programme for 2014-2017 is set at EUR 1 796 242 000 euro.

Eligibility:

European Union, Candidate countries, European Economic Area, Mediterranean countries, Switzerland

Proposal for LIFE: http://ec.europa.eu/clima/policies/finance/budget/life/docs/regulation_en.pdf

Official link:

http://ec.europa.eu/environment/life/

EUROPE FOR CITIZENS

Budget: *EUR 229.000.000*

Can apply: Research centres, Local and Regional authorities, Schools, Federations Unions, Agencies Chambers, Universities and Non-profits organisations in European Union, Candidate countries and European Economic Area.

The new programme Europe for citizens is the follow-up of the 2007-2013 program with the same name. It aims to strengthen remembrance and to enhance capacity for civic participation at the Union level. The programme aims to address the need for more genuine debates on Union related issues at the local, regional and national levels and to mobilize citizens at local level to debate on concrete issues of European interest. By doing this, they become aware of the impact of Union policies in their daily lives.

The programme shall have the following specific objectives, which shall be implemented through actions on a transnational level or with a clear European dimension:

1. raise awareness on remembrance, the Union's history, identity and aim by stimulating debate, reflection and networking;
2. encourage democratic and civic participation of citizens at Union level, by developing citizens' understanding of the Union policy making-process and promoting opportunities for societal engagement and volunteering at Union level.

The programme shall consist of the following two strands:

1. Remembrance and European citizenship
2. Democratic engagement and civic participation
3. Operating grants

Remembrance and European citizenship

strand supports activities inviting reflection on European cultural diversity and on common values. It aims to finance projects reflecting on causes of totalitarian regimes in Europe's modern history (especially, but not exclusively, Nazism that led to the Holocaust, Fascism, Stalinism and totalitarian communist regimes) and to commemorate the victims of their crimes.

Projects under this strand should

- include different types of organisations (local authorities, NGOs, research institutes etc.)
- develop different types of activities (research, exhibitions, public debates, non-formal education etc.)
- involve citizens from different target groups
- be implemented on a transnational level, or with a clear European dimension

Democratic engagement and civic participation

This strand supports

- Activities covering civic participation, focusing in particular on European Union policies.
- Initiatives developing opportunities for mutual understanding, intercultural learning, solidarity, societal engagement and volunteering at EU level.

The strand includes three specific measures:

- Town twinning – supporting projects bringing together citizens from twinned towns. By mobilising citizens at local and EU levels to debate on concrete issues from the European political agenda, this measure will seek to promote civic participation in the EU policy making process and develop opportunities for societal engagement and volunteering at EU level.

- Networks of towns – providing funding to municipalities and associations working together on a common theme in a long term perspective, and wishing to develop networks of towns to make their cooperation more sustainable.

- Civil society projects – supporting projects gathering citizens in activities directly linked to EU policies, providing an opportunity for direct participation in the policy making process. Funded activities may include: promotion of societal engagement and solidarity, gathering of opinions, volunteering.

Operating grants supports the permanent, usual and regular activities of organisations, with European outreach, contributing to the objectives of the programme, raising awareness of European remembrance or encouraging democratic and and civic participation

Strand 1: European remembrance

Organistions reflecting on causes of totalitarian regimes in Europe's modern history as well as on other defining moments and reference points in recent European history.

Strand 2: Democratic engagement and civic participation

Organisations working on citizens' participation in the democratic life of the EU, ranging from local democracy to the empowerment of citizens to play a full part in EU policy.

Who can apply for operating grants:

To be eligible to apply, organisations must:

- Be a **non-profit organisation**
- Be active in the field of European citizenship (as defined in their articles of association or mission statement and correspond to one of the categories listed in the specific call (link)
- Be **established legally** and have had a legal personality **for at least four years** (on the date of submission of their application) **in an eligible country**.
- To have the following **geographical coverage:**
- Civil society organisations at European level and Civil society organisations for European remembrance must have members or activities **in at least 12 eligible countries**;
- Platforms of pan-European organisations must have at least **20 umbrella member organisations,** who must each have members in at least 15 Member States, and which, taken as a whole, cover the 28 Member States;
- European public policy research organisations (think tanks) do not need to have any specific geographical coverage in order to be eligible.

Private individuals and public bodies are not eligible to apply within this call for proposals.

In order to achieve its objectives, the programme shall finance inter alia the following types of actions, implemented on a transnational level or with a clear European dimension:

- Citizens' meetings, town-twinning
- Creation and operations of transnational partnerships and networks
- Support for organisations of a general European interest
- Community building and debates on citizenship issues based on the use of ICT and/or social media
- Union level events
- Debates/studies and interventions on defining moments in European history, in particular to keep the memory alive of the crimes committed under Nazism and Stalinism
- Reflection/debates on common values
- Initiatives to raise awareness on the EU institutions and their functioning
- Actions that exploit and further valorise the results of the supported initiatives
- Studies on issues related to citizenship and civic participation
- Support of programme information/advice structures in the Member States

The Citizenship team of the Education, Audiovisual and Culture Executive Agency (EACEA) manages the implementation of Europe for Citizens (together with the DG Education and Culture). The programme is implemented through two types of grants: grants for projects and grants for the operating budget for NGOs promoting active European Citizenship. Public procurement contracts will cover the purchase of services, such as for organising events, studies and research, information and dissemination tools, monitoring and evaluation.

The programme may cover joint activities in the field covered by this programme, with relevant international organisations, such as the Council of Europe and UNESCO, on the basis of joint contributions. The programme may cover joint activities with relevant international organisations.

Eligibility:

European Union, Candidate countries, European Economic Area

Proposal for Europe for Citizens: http://ec.europa.eu/citizenship/pdf/doc1383_en.pdf

Useful links:

http://eacea.ec.europa.eu/europe-for-citizens

CREATIVE EUROPE

Budget: *EUR 1.462.720.000*

Can apply: Local and Regional authorities, Corporations, Training centres, Administrations States, Development NGOs, SMEs and Non-profits organisations in European Union, Candidate countries, New Independent States, European Economic Area, Mediterranean countries, Switzerland and Balkans.

Creative Europe programme is for project which aims to foster the safeguarding and promotion of European cultural and linguistic diversity and strengthen the competitiveness of the culture and creative sectors.

The general objectives of the Programme shall be:

1. to foster the safeguarding and promotion of European cultural and linguistic diversity;

2. to strengthen the competitiveness of the cultural and creative sectors with a view to promoting smart, sustainable and inclusive growth.

The specific objectives of the Programme shall be:

- To support the capacity of the European cultural and creative sectors to operate transnationally;

- To promote the transnational circulation of cultural and creative works and operators and reach new audiences in Europe and beyond;

- To strengthen the financial capacity of the cultural and creative sectors, and in particular small and medium-sized enterprises and organisations;

- To support transnational policy cooperation in order to foster policy development, innovation, audience building and new business models.

The Programme shall consist of the following strands:

1) Cross-sectoral Strand addressed to all cultural and creative sectors; 2) Culture Strand addressed to the cultural and creative sectors; 3) Media Strand addressed to the audio-visual sector;

The cross-sectoral strand covers all themes of Creative Europe and has 3 components:

1.1 Transnational policy cooperation

✓ Transnational exchange of experiences and know-how in relation to new business and management models, peer-learning activities and networking, promoting digital networking where appropriate;

✓ The collection of market data, studies, analysis of labour market and skills needs, cultural policies analysis and support for statistical surveys based on instruments and criteria specific to each sector and evaluations, including measurement of all aspects of the impact of the Programme payment of the contribution fee for Union membership of the Observatory to foster data collection and analysis in the audio-visual sector;

✓ Testing of new and cross-sectorial business approaches to funding, distributing and monetising creation

✓ Conferences, seminars and policy dialogue, including in the field of cultural and media literacy, promoting digital networking where appropriate

1.2 Support to the network of Creative Europe Desks

The desks carry out the following tasks: provide information about, and promote, the Programme in their country, assisting in relation to the Programme and provide basic information on other relevant support opportunities, stimulate cross-border cooperation, support the Commission by providing assistance, support it in ensuring proper communication and dissemination of the results and impacts of the Programme, ensure the communication and dissemination of information concerning the Union funding awarded

1.3 Cultural and Creative Sectors Guarantee Facility

✓ To facilitate access to finance for SMEs and micro, small and medium-sized organisations

✓ To improve the capacity of participating financial intermediaries to assess the risks associated with SMEs and micro, small and medium-sized organisations and with their projects, including through technical assistance, knowledge-building and networking measures

✓ Managed by the European Investment Fund (EIF)

✓ Developed from 2015-2016

The sub-programme Culture of the Europe Creative programme supports not-for-profit projects in the cultural field

- Transnational cooperation projects bringing together cultural and creative organisations from different countries to undertake sectoral or cross-sectoral activities (70% of total budget for Culture sub-programme)

1. Smaller scale cooperation projects (min 3 partners, max EUR 200.000, 60% co financing)
2. Larger scale cooperation projects (min 5 partners, max EUR 2.000.000, 50% co-financing)

- European networks, activities of cultural and creative organisations from different countries. This scheme is intended to **support a limited number of networks** with a broad coverage across a balanced range of sectors.

✓ foster the **development of skills, competences and know-how**, including adaptation to digital technologies

✓ test **innovative approaches to audience development**

✓ test **new business and management models**

✓ enable **international cooperation and career development** in the EU and beyond

✓ facilitate **access to professional opportunities**

- European platform, activities by organisations with a European vocation fostering the development of emerging talent and stimulating the transnational mobility of cultural and creative players and circulation of works, with the potential to exert a broad influence on the cultural and creative sectors and to provide for lasting effects. This measure offers **action grants to organisations showcasing and promoting European creators and artists**, especially emerging talent, through a genuine **Europe-wide programming**.

- Literary translation and its further promotion. To increase the translation, promotion and readership of high quality European literature.

1. Category 1 –Two year projects (max grant is EUR 100.000)
2. Category 2 –Framework partnership agreements (3 and 4 years, max EUR 100.000 per year)

- Special actions designed to make the richness and diversity of European cultures more visible and to stimulate intercultural dialogue and mutual understanding: Union cultural prizes, the European Capitals of Culture action, the European Heritage Label action

The MEDIA sub-programme funds actions in the audio-visual and cinematographic field

Objectives

- ✓ Reinforcing the European audio-visual sector's capacity to operate transnationally
- ✓ Promoting transnational circulation

Priorities

- ✓ Facilitating the acquisition and improvement of skills and competences of audio-visual professionals and the development of networks
- ✓ Increasing the capacity of audio-visual operators to develop European audio-visual works with a potential to circulate in the Union and beyond and to facilitate European and international co-production
- ✓ Encouraging business-to-business exchanges by facilitating access to markets and business tools
- ✓ Supporting theatrical distribution through transnational works
- ✓ Promoting transnational marketing, branding and distribution of audio-visual works on all other non-theatrical platforms
- ✓ Supporting audience development as a means of stimulating interest in, and improving access to, European audio-visual works, in particular through promotion, events, film literacy and festivals
- ✓ Promoting new distribution modes in order to allow the emergence of new business models

Financed actions

- ✓ The development of training measures
- ✓ The development of European audiovisual works, such as video games
- ✓ Activities aiming to support European audiovisual production companies
- ✓ Activities helping European and international co-production partners to come together and/or providing indirect support for audiovisual works co-produced by international co-production funds
- ✓ Facilitating access to professional audiovisual trade events and markets
- ✓ Establishing systems of support for the distribution of non-national European films through theatrical distribution and on other platforms
- ✓ European cinema operators' network screening

✓ Facilitating the circulation of European films worldwide and of international films in the Union

✓ Initiatives presenting and promoting a diversity of European audiovisual works, including short films, such as festivals

✓ Activities aimed at promoting film literacy and at increasing audiences' knowledge

✓ Innovative actions testing new business models and tools

The indicative budgetary allocation will be 15 % for the Cross-sectoral Strand, 30 % for the Culture Strand and 55% for the MEDIA Strand. The Programme shall be open for bilateral or multilateral cooperation actions targeted at selected countries or regions on the basis of additional appropriations.

Eligibility:

European Union, Candidate countries, New Independent States, European Economic Area, Mediterranean countries, Switzerland, Balkans

Note: Organizations from Serbia can apply only for Culture strand.

Proposal for Creative Europe Programme: http://ec.europa.eu/culture/creative-europe/documents/proposal-regulation_en.pdf

Useful links:

http://ec.europa.eu/culture/creative-europe/index_en.htm
http://eacea.ec.europa.eu/creative-europe_en

JUSTICE

Budget: EUR 377,6 million

The Justice programme is the successor of three 2007-2013 programmes financed within the Fundamental Rights and Justice Framework Programme: Civil Justice (JCIV), Criminal Justice (JPEN), Drug Prevention and Information Programme (DPIP).

The general objective of the Programme shall be to contribute to the creation of a European area of justice by promoting judicial cooperate on in civil and criminal matters.

To achieve the general objective the Programme shall have the following specific objectives:

1. To promote effective, comprehensive and consistent application of Union legislation in the areas of judicial cooperation in civil and criminal matters. The indicator to measure the achievement of this objective shall be, inter alia, the number of cases of trans-border cooperation.

2. To facilitate access to justice. The indicator to measure the achievement of this objective shall be, inter alia, the European perception of access to justice.

3. To prevent and reduce drug demand and supply. The indicator to measure the achievement of this objective shall be, inter alia, the number of cases of trans-border cooperation.

The Programme shall aim to promote equality between women and men and combat discrimination based on sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation in all its activities.

The programme shall finance the following types of actions:

1. analytical activities, such as collection of data and statistics; development of common methodologies and, where appropriate, indicators or benchmarks; studies, researches, analyses and surveys; evaluations and impact assessments;

2. training activities for members of the judiciary and judicial staff;

3. mutual learning, cooperation, awareness raising and dissemination activities;

4. support for main actors, key European level networks, networking among specialised bodies and organisations, national, regional and local authorities at European level; funding of experts' networks; funding of European level observatories

Community funding may take the form of grants and public procurement contracts (e.g. expenditure on information and communication, preparation, implementation, monitoring, checking and evaluation of projects, policies, programmes and legislation). Community grants shall be awarded following calls for proposals and the maximum rate of co-financing will be specified in the annual work programmes.

Eligibility:
European Union, Candidate countries, European Economic Area

Proposal for Justice: http://ec.europa.eu/justice/newsroom/files/1_en_act_part1_v4_justice_en.pdf

Official web site:
http://ec.europa.eu/justice/grants/index_en.htm
http://ec.europa.eu/justice/grants/programmes/index_en.htm

RIGHTS AND CITIZENSHIP

Budget: EUR 439,47 million

The Rights and Citizenship Programme is the successor of three 2007-2013 programmes: Fundamental Rights and Citizenship, Daphne III, the Sections "Antidiscrimination and Diversity" and "Gender Equality" of the Programme for Employment and Social Solidarity (PROGRESS).

The general objective is to contribute to the creation of an area, where the rights of persons are promoted and protected. In particular, this Programme should promote the rights deriving from European citizenship, the principles of non-discrimination and equality between women and men, the right to the protection of personal data, the rights of the child, the rights deriving from the Union consumer legislation and from the freedom to conduct a business in the internal market.

To achieve the general objective the Programme shall have the following specific objectives:

1. To contribute to enhancing the exercise of rights deriving from the citizenship of the Union;

2. To promote the effective implementation of the principles of non-discrimination on the grounds of sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation, including equality between women and men and the rights of persons with disabilities and of the elderly;

3. To contribute to ensuring a high level of protection of personal data;

4. To enhance the respect of the rights of the child;

5. To empower consumers and businesses to trade and purchase in trust within the internal market by enforcing the rights deriving from the Union consumer legislation and by supporting the freedom to conduct business in the internal market through cross-border transactions

With a view to pursuing those objectives, the actions of the Programme shall focus on the following areas of action:

1. Enhancing public awareness and knowledge of Union law and policies;

2. Supporting the implementation of Union law and policies in the Member States;

3. Promoting transnational cooperation and building up of mutual knowledge and mutual trust among all involved stakeholders;

4. Improving the knowledge and understanding of potential issues affecting the exercise of rights and principles guaranteed by the Treaty, the Charter of Fundamental Rights and secondary Union legislation with a view to ensuring evidence-based policy making and legislation.

The Programme shall finance the following types of actions:

1. Analytical activities, such as collection of data and statistics; development of common methodologies and, where appropriate, indicators or benchmarks; studies, researches, analyses and surveys; evaluations and impact assessments; elaboration and publication of guides, reports and educational material; monitoring and assessment of the transposition and application of Union legislation and of the implementation of Union policies; workshops, seminars, experts meetings, conferences;

2. Training activities, such as staff exchanges, workshops, seminars, train-the-trainers events, development of online/other training modules;

3. Mutual learning, cooperation, awareness raising and dissemination activities, such as identification of, and exchanges on, good practices, innovative approaches and experiences, organisation of peer review and mutual learning; organisation of conferences and seminars; organisation of awareness-raising and information campaigns, media campaigns and events, including corporate communication of the political priorities of the European Union; compilation and publication of materials to disseminate information as well as results of the Programme; development, operation and maintenance of systems and tools using information and communication technologies;

4. Support for main actors, such as support for Member States when implementing Union law and policies; support for key European level networks whose activities are linked to the implementation of the objectives of the Programme; networking among specialised bodies and organisations, national, regional and local authorities at European level; funding of experts' networks; funding of European level observatories.

The annual work programmes will set out the measures needed for their implementation, the priorities of calls for proposals and all other elements required. In order to implement the Programme, the Commission shall adopt annual work programmes in the form of implementing acts.

Eligibility:

European Union, Candidate countries, European Economic Area, Switzerland

Proposal for The Rights and Citizenship Programme:

http://ec.europa.eu/justice/newsroom/files/1_en_act_part1_v5_frc_en.pdf

http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2013:354:0062:0072:en:PDF

HEALTH FOR GROWTH

Budget: EUR 449,4 million

The proposed third programme of EU action in the field of health (2014-2020), 'Health for Growth', strengthens and emphasises the links between economic growth and a healthy population.

The general objectives of the Health for Growth Programme shall be to work with Member States to encourage innovation in healthcare and increase the sustainability of health systems, to improve the health of the EU citizens and protect them from cross-border health threats. All these actions shall fully respect the responsibilities of the Member States for the organisation and delivery of health services and medical care.

The Health for Growth programme is better oriented towards how health can contribute to growth and to the objectives of Europe 2020; in particular as regards employment, innovation, sustainability. This programme is much more focused on key issues where EU action can deliver added value and make a difference.

The programme also aims to establish European Reference Networks as foreseen in the EU Directive on Patients' Rights in Cross-border Healthcare, to empower patients and professionals to identify, access, and disseminate best practices for improving the quality and safety of care.

It focuses on four specific objectives with a strong potential for economic growth through better health:

1. to develop common tools and mechanisms at EU level to address shortages of resources, both human and financial and to facilitate up-take of innovation in healthcare in order to contribute to innovative and sustainable health systems;

2. to increase access to medical expertise and information for specific conditions also beyond national borders and to develop shared solutions and guidelines to improve healthcare quality and patient safety in order to increase access to better and safer healthcare for EU citizens;

3. to identify, disseminate and promote the up-take of validated best practices for cost effective prevention measures by addressing the key risk factors, namely smoking, abuse of alcohol and obesity, as well as HIV/AIDS, with a focus on the cross border dimension, in order to prevent diseases and promote good health; and

4. to develop common approaches and demonstrate their value for better preparedness and coordination in health emergencies in order to protect citizens from cross-border health threats.

The Programme shall finance the following types of actions:

1. **Contributing to innovative and sustainable health systems:**

1.1. Develop EU cooperation on Health Technology Assessment on the application of patients' rights in cross-border healthcare;

1.2. Promote the uptake of health innovation and e-Health by increasing the interoperability of e-Health applications;

1.3. Support the sustainability of EU health workforce by promoting effective forecasting and planning and efficient recruitment and retention strategies;

1.4. Provide expertise to assist Member States undertaking health systems reforms;

1.5 Support to the European Innovation Partnership on Active and Healthy Ageing;

1.6 Actions required by the objectives of medical devices as well as e-Health and Health Technology Assessment provisions;

1.7 Foster a health knowledge system, including Scientific Committees, to contribute to evidence-based decision making.

2. **Increasing access to better and safer healthcare for citizens:**

2.1. Set up accreditation and support European Reference Networks;

2.2. Support action on rare diseases including creation of European Reference Networks;

2.3. Strengthen collaboration on patient safety and quality of healthcare, by increasing the availability of information to patients, exchange of best practices and development of guidelines;

2.4. Develop guidelines to improve the prudent use of antimicrobials in human medicine and reduce the practices that increase antimicrobial resistance;

2.5. Actions required by the objectives of tissues and cells, blood, organs, patients' rights in cross-border healthcare and medicinal products;

2.6. Foster a health knowledge system, to contribute to evidence-based decision making.

3. Promoting good health and preventing diseases:

3.1 Exchange best practices on key health issues such as smoking prevention, abuse of alcohol and obesity;

3.2. Supporting the prevention of chronic diseases including cancer, by sharing knowledge and best practice and developing joint activities;

3.3. Actions required by or contributing to the objectives of EU legislation in the fields of tobacco products and advertisement;

3.4. Foster a health knowledge system, to contribute to evidence-based decision making.

4. Protecting citizens from cross border health threats:

4.1. Strengthen preparedness and response for serious cross border health threats;

4.2. Improve risk assessment capacity by providing additional capacities for scientific expertise and map existing assessments;

4.3. Support capacity building against health threats in Member States;

4.4. Actions required by or contributing to the objectives of communicable diseases and other health threats;

4.5. Foster a health knowledge system to contribute to evidence-based decision making.

The level of Union co-financing for grants for actions, actions co-financed by the competent authorities of the Member States or third countries, or by non-governmental bodies mandated by these authorities and operating grants will be harmonised at 60% of eligible costs and up to 80% in cases of exceptional utility.

The Executive Agency for Health and Consumers will be the implementing authority.

The largest proportion of the budget - 48% - will be dedicated to helping Member States achieve innovative and sustainable health systems (objective 1). This is important to support the reforms needed to improve the cost-efficiency and long-term sustainability of health systems. Such reforms are key to enabling health systems to address the growing demand for healthcare generated by the ageing population and to continue providing healthcare to their citizens for generations to come.

Similar shares of the budget will be allocated to increase access to better and safer healthcare (objective 2) and to promote good health and prevent diseases (objective 3) – respectively 22% and

21%. Finally, 9% of the budget will be dedicated to protect people from cross-border health threats (objective 4).

It will be funded through:

- Grants for action co-financed by the competent authorities responsible for public health in the Member States (so called "joint actions") and with international health organisations.

- Grants to support NGOs working in the area of public health who play an effective role in civil dialogue processes at EU level and contribute to at least one of the specific objectives of the programme.

- Procurement contracts.

In most cases, the grants will contribute 60% of the costs of the action/project. This figure rises to 80% in exceptional cases, such as for Member States with a low Gross National Income participating in joint actions.

Eligibility:
European Union, Candidate countries, New Independent States, European Economic Area, Mediterranean countries, Balkans

Proposal for the Health for Growth Programme:
http://ec.europa.eu/health/programme/docs/prop_prog2014_en.pdf
http://ec.europa.eu/health/programme/policy/proposal2014_en.htm

Official web site:
http://ec.europa.eu/health/programme/policy/index_en.htm
http://ec.europa.eu/eahc/health/index.html

CONSUMER

Budget: EUR 188,83 million

The new Consumer Programme is the successor to the 2007-2013 Programme of Community Action in the field of consumer policy. The Consumer Programme will support EU consumer policy in the years to come, contributing to the objective of placing **consumers at the centre of the Single Market.** The key principle is to empower consumers to participate actively in the market and make it work for them in a way which protects their safety and economic rights and interests, in particular by these four specific objectives:

1. **Safety:** to consolidate and enhance product Safety through effective market surveillance throughout the EU;

2. **Information and education:** to improveconsumers' education, information and awareness of their rights, to develop the evidence base for consumer policy and to provide support to consumer organisations.

3. **Rights and redress:** to consolidate consumer rights in particular through regulatory action and improving access to redress including alternative dispute resolution.

4. **Enforcement:** to support enforcement of consumer rights by strengthening cooperation between national enforcement bodies and by supporting consumers with advice.

The specific objectives shall be achieved by means of the actions set out in the following list and in accordance with the priorities set out in the annual work programmes:

- under objective 1 - safety:

  - scientific advice and risk analysis relevant to consumer health and safety regarding non-food products and services;

  - coordination of market surveillance and enforcement actions on product safety

  - maintenance and further development of databases on cosmetics;

- under objective 2 – information and education:

  - building the evidence base for policy-making in areas affecting consumers;

  - support to consumer organisations;

  - enhancing the transparency of consumer markets and consumer information;

  - enhancing consumer education;

- under objective 3 – rights and redress:

  - preparation by the Commission of consumer protection legislation and other regulatory initiatives,

  - facilitating access to and monitoring of the functioning and the effectiveness of dispute resolution mechanisms for consumers,

- under objective 4 – enforcement:

  - coordination of surveillance and enforcement actions with regard to cooperation between national authorities responsible for the enforcement of consumer protections laws;

  - financial contributions for joint actions with public or non-profit bodies constituting Union networks which provide information and assistance to consumers.

This Programme will:

1. Ensure a high level of consumer protection (through better representation of consumer interests)

2. Ensure the effective application of consumer policy rules (through enforcement cooperation, information, redress and education)

3. Develop cooperation with international partners to deal with the impact of the globalisation of the production chain on product safety;

4. Support the production of EU-level comparable consumer markets data for benchmarking between Member States and input into EU-level policy-making;

5. Ensure EU-level representation of consumer interests by financially supporting EU-level consumer organisations;

6. Support awareness-raising campaigns on consumer issues and the training of national consumer organisations.

The programme will finance and maintain:

1. RAPEX network: EU rapid alert system for all dangerous consumer products

2. CPC Network: network of national enforcement authorities

3. ECC-Net: network of European Consumer Centres

An annual programme (which sets out the various budget items for consumer policy to be absorbed on that given year) is established by the Commission every year. While the problems to be tackled by consumer policy are wide ranging, the relatively small size of the Consumer Programme means that actions to be financed under it have to be targeted on areas where intervention at EU level can make a difference and add value.

The selected areas for actions are of three kinds:

1. Actions corresponding to legal obligations imposed by the Treaty and the existing EU acquis in the field of consumer protection on the EU and Member States

2. Actions which are not or could not be undertaken at national level because of their EU-level character

3. Actions complementing and enhancing the efficiency of measures undertaken at national level

Proposal for a Consumer Programme 2014-2020:
http://ec.europa.eu/consumers/strategy/docs/proposal_consumer_programme_2014-2020_en.pdf

Official web site:
http://ec.europa.eu/consumers/strategy-programme/index_en.htm
http://ec.europa.eu/eahc/consumers/

INSTRUMENT FOR PRE-ACCESSION ASSISTANCE

Budget: EUR 11 698 million

The new instrument should continue to pursue the general policy objective of supporting candidate countries and potential candidates in their preparations for EU membership and the progressive alignment of their institutions and economies with the standards and policies of the European Union, according to their specific needs and adapted to their individual enlargement agendas.

IPA II shall pursue the following specific objectives according to the needs of each beneficiary country:

1. **Support for political reforms**

   - strengthening of democratic institutions and the rule of law, including its implementation

   - promotion and protection of human rights and fundamental freedoms, enhanced respect for minority rights, promotion of gender equality, non-discrimination and freedom of the press, and promotion of good neighbourly relations

   - the fight against corruption and organised crime

   - public administration reform and good governance

   - development of civil society and social dialogue

   - reconciliation, peace building and confidence building measures.

2. **Support for economic, social and territorial development, with a view to a smart, sustainable and inclusive growth, through:**

   - the achievement of Union standards in the economy and economic governance

   - economic reforms necessary to cope with competitive pressure and market forces within the Union, while pursuing economic, social and environmental goals

   - fostering employment and developing human capital

   - social and economic inclusion, in particular of minorities and vulnerable groups;

- development of physical capital, the improvement of connections with

- Union and regional networks.

3. **Strengthening of the ability of beneficiary countries to fulfil the obligations** stemming from membership by supporting progressive alignment with and adoption, implementation and enforcement of the acquis communautaire, structural, cohesion, agricultural and rural development funds and policies of the Union.

4. **Regional integration and territorial cooperation** involving beneficiary countries, Member States and, where appropriate, third countries.

Progress towards achievement of the specific objectives shall be assessed through indicators that cover:

1. Progress in the areas of democracy, the rule of law, the respect of human rights and fundamental freedoms, the justice system and the level of administrative capacity;

2. Progress in economic reforms; the soundness and effectiveness of social and economic development strategies, progress towards smart, sustainable and inclusive growth, including through public investments supported by IPA;

3. The body of legislation aligned with the acquis; progress in Union-related institutional reform, including transition to decentralised management of the assistance provided under this Regulation;

4. The relevance of regional and territorial cooperation initiatives and the evolution of trade flows.

Assistance shall address the following policy areas:

1. The transition process towards Union membership and capacity building;

2. Regional development;

3. Employment, social policies and human resources development;

4. Agriculture and rural development;

5. Regional and territorial cooperation

The financial envelope for the implementation of this Regulation for the period from 2014 to 2020 is set at EUR 11 698 668 000. Up to 4 % of the financial envelope shall be allocated to cross-border cooperation programmes between the beneficiaries listed in Annex I and EU Member States, in line with their needs and priorities (Parliament voting).

An indicative amount of EUR 1 680 000 000 from the different external instruments (Development Cooperation Instrument, European Neighbourhood Instrument, Instrument for Pre-accession Assistance, Partnership Instrument and the European Development Fund), will be allocated to actions of learning mobility to or from non EU countries and to cooperation and policy dialogue with authorities/institutions/organisations from these countries. The provisions of the "Erasmus for All" Regulation will apply to the use of those funds.

The current proposal for IPA II and future implementing rules envisage the following revisions to the design of the instrument and its implementation modalities:

1. The delivery of assistance will be made more coherent, strategic and result-oriented

2. The delivery of assistance will be made more flexible and tailored to address needs

3. The deployment of assistance will be made more efficient and effective

Eligibility:
Candidate countries and Potential candidate countries

Proposal for the Instrument for Pre-accession Assistance:
http://ec.europa.eu/europeaid/how/finance/documents/prop_reg_instrument_pre-accession_assistance_en.pdf

Official web site:
http://ec.europa.eu/enlargement/
http://ec.europa.eu/enlargement/instruments/overview/index_en.htm#ipa2

INSTRUMENT FOR STABILITY (IFS)

Budget: EUR 2 338 billion

Crises and conflicts affect countries world-wide and pose a risk to global security and stability. Preserving peace, preventing conflicts, strengthening international security and assisting populations, countries and regions confronting natural or man-made disasters are among the prime objectives of the Union's external action and new Instrument for Stability.

Main aim of Instrument for Stability is to increase the efficiency and coherence of the Union's actions in the areas of conflict prevention and crisis response, crisis preparedness and peace-building and in addressing security threats, including climate security.

In accordance with the objectives of such cooperation, the specific aims shall be:

1. In a situation of crisis or emerging crisis, to swiftly contribute to stability by providing an effective response to help preserve, establish or re-establish the conditions essential to the proper implementation of the Union's development and cooperation policies;

2. To prevent conflicts, ensure preparedness to address pre-and post-crisis situations and build peace;

3. To address specific global and trans-regional threats having a destabilizing effect, including climate change

The Union shall provide technical and financial assistance in response to exceptional and unforeseen situations and provide the technical and financial assistance to cover specific areas.

Such technical and financial assistance shall cover support for measures aimed at building and strengthening the capacity of the Union and its partners to prevent conflict, build peace and address pre- and post-crisis needs in close coordination with the United Nations and other international, regional and sub-regional organisations, and State and civil society actors, in relation to their efforts in:

1. promoting early warning and conflict -sensitive risk analysis in policy - making and implementation ;

2. facilitating and building capacity in confidence-building, mediation, dialogue and reconciliation, with particular regard to emerging inter-community tensions;

3. strengthening capacities for participation and deployment in civilian stabilisation missions;

4. improving post-conflict recovery as well as post-disaster recovery with relevance to the political and security situation;

5. curbing the use of natural resources to finance conflicts, and supporting compliance by stakeholders with initiatives such as the Kimberley Process Certification Scheme, especially as regards the implementation of efficient domestic controls over the production of, and trade in, natural resources .

The short-term component is managed by Directorate General External Relations, while the long-term component by Europe Aid (except for the third priority, which is also managed by DG RELEX). The Community assistance is implemented with the help of four types of documents:

1. Exceptional Assistance Measures and Interim Response Programmes

2. Multi-country Strategy Papers, Thematic Strategy Papers and Multi-annual Indicative Programmes

3. Annual Action Programmes

4. Special Measures

5. Support Measures

Eligibility:

European Union, Candidate countries, European Economic Area

Proposal for Instrument for Stability:

http://ec.europa.eu/europeaid/how/finance/documents/prop_reg_instrument_stability_en.pdf

Official web site:

http://ec.europa.eu/europeaid/how/finance/ifs_en.htm

http://eeas.europa.eu/ifs/index_en.htm

EUROPEAN INSTRUMENT FOR DEMOCRACY AND HUMAN RIGHTS (EIDHR)

Budget: EUR 1 332 million

The promotion of democracy and human rights is an essential aspect of the EU's external action. The new EIDHR regulation will enhance the EU toolbox to address more efficiently the situation in difficult countries or in emergency situations where human rights and fundamental freedoms are most at risk.

EIDHR shall provide assistance to the development and consolidation of democracy and the rule of law and of respect for all human rights and fundamental freedoms.

Union assistance shall relate to the following fields:

1. Support to and enhancement of participatory and representative democracy, including parliamentary democracy, and the processes of democratization, mainly through civil society organizations

2. Promotion and protection of human rights and fundamental freedoms, concerning civil, political, economic, social and cultural rights, mainly through civil society organizations

3. Strengthening of the international framework for the protection of human rights, justice, the rule of law and democracy, and for the promotion of international humanitarian law

4. Building confidence in and enhancing the reliability and transparency of democratic electoral processes, while contributing to the efficiency and consistency of the whole electoral cycle

The assistance measures shall be implemented in the territory of third countries or shall be directly related to situations arising in third countries, or shall be directly related to global or regional actions.

The assistance measures shall take into account the specific features of crisis or urgency situations and countries or situations where there is a serious lack of fundamental freedoms, where human security is most at risk or where human rights organisations and defenders operate under the most difficult conditions.

EIDHR Highlights: Torture, Democracy, Death Penalty, Economic and Social Rights, International Justice, LGBT, women, children, minorities, Electoral observation.

Funds are allocated according to strategy papers, which specify the priority areas selected for financing, objectives, the expected results, performance evaluation as well as indicative financial allocation.

The assistance measures shall be implemented in the territory of third countries or shall be directly related to situations arising in third countries, or shall be directly related to global or regional actions.

The assistance measures shall take into account the specific features of crisis or urgency situations and countries or situations where there is a serious lack of fundamental freedoms, where human security is most at risk or where human rights organisations and defenders operate under the most difficult conditions.

Eligibility:

Civil society organisations, public- and private-sector non-profit organisations, national, regional and international parliamentary bodies, international and regional inter-governmental organisations, natural persons (where their help is necessary for achieving the aims of the EIDHR) from European Union and worldwide

Proposal for EIDHR:

http://ec.europa.eu/europeaid/how/finance/documents/prop_reg_instrument_promotion_democracy_humand_rights_en.pdf

Official web site:

http://www.eidhr.eu/

http://ec.europa.eu/europeaid/how/finance/eidhr_en.htm

Chapter III

Project development

and proposal writing

First steps of proposal development

After you have analysed several important but different approaches to project initiation and essential principles how EU programmes work, we'll take you a step back to explain how EU projects development usually starts in our daily practice. Every project starts with an idea. Regardless whether your motives to initiate the project are: business development, profit making, innovations in production, services or markets, solving some community problem, advancing regulation in some area, or career development, any motive in general may be a valid one. Nevertheless, even if your motives are solely philanthropic and the project provides good prospects to achieve its objectives or high return on investment with minimal risks, it still does not mean that it's a good idea for EU funding. Usually it's rather the very opposite. You may determine whether your project idea is suitable for community funding only after you have a clear understanding of the founding source or **call requirements.**

Writing the actual proposal is just one step in the grant-seeking process, and it is not the most time-consuming step. Far more time is normally spent analysing context, stakeholders, relevant documents, data gathering, researching problems, strategies and possible solutions, finding adequate partners, developing the project, and cultivating appropriate funders, than on the actual preparation of a proposal. Roughly estimated, proposal writing represents approximately one third of the overall workload.

Successful grant seekers capitalize on the intelligence they gather or partnership they build with donors and stakeholders during the pre-proposal phases and cast their projects in ways that mesh with sponsors' values. For novice writers, a common mistake is psychological orientation towards their own ideas or needs, while successful writers focus on donors' interests.

Apart from clear understanding of donor's expectations it is equally important that you start developing your idea with a good sense how the project fits into the philosophy and mission of your organization and your own agenda. Developing a project is almost as challenging and time consuming as the implementation of a successful proposal. Therefore it's vital to understand what both of them will require from you at the initiation stage. Successful project may require a commitment of several years and waste proportion of your personal and organizational resources. It's unlikely that you'll write a good quality project proposal and get the support to do something outside the scope of your competences and capacity.

In order to identify adequate funding source, the first step is to commit your ideas to paper. The purpose of this step is to check whether you have a valid project idea and if so, to prepare for an upcoming project, including the definition and initial planning. The first, internal project concept note usually includes definition of the scope and outlines the requirements for a project; It may include problem description or description of the need that the proposal is addressing, and objectives of your project; Brief description of activities, how the project objectives will be achieved; A timeline for main activities; Estimates of costs for staff, materials, equipment and similar resources; and expected results and impact analysis, where you may briefly explain who will be affected with the project and how.

One of the main purposes of the first concept note should be to formally authorize a project, identify the project leader and its responsibilities and authorities, and document the business needs, objectives, expected results and the economic aspects of the project. Using the terminology of ISO 21500 or PMBOK initial concept note should become the project charter as the planning refines. But in practice with EU proposals this happens much later in the process after the initiation phase, because for the EU calls for proposals it is rather difficult to write a proper project charter during the project initiation due to lack of relevant information. Most likely you may have the project charter when the full project proposal is written. Therefore, your first initial concept will differ a bit from the project charter but both documents will have the same character **to help you decide whether the project is worth doing.**

➢ **How to describe your initial project idea**

The purpose of project initiation phase is to clarify and document: why the project is being undertaken; what is to be created by whom; how it will be created; what it will cost; and how the project is to be implemented, controlled and closed. It should achieve clarity in terms of the project scope including deliverables, requirements, and boundaries by defining the end state of the project.

The definition of the project scope makes clear what the project will contribute to the strategic goals of the organization or wider. A detailed project scope statement should be used as the basis for future project decisions or inevitable changes during the design stage, as well as for communicating the importance of the project and the benefits that will be accrued by the successful completion of the project.

> ➢ **Main questions in the project concept note**
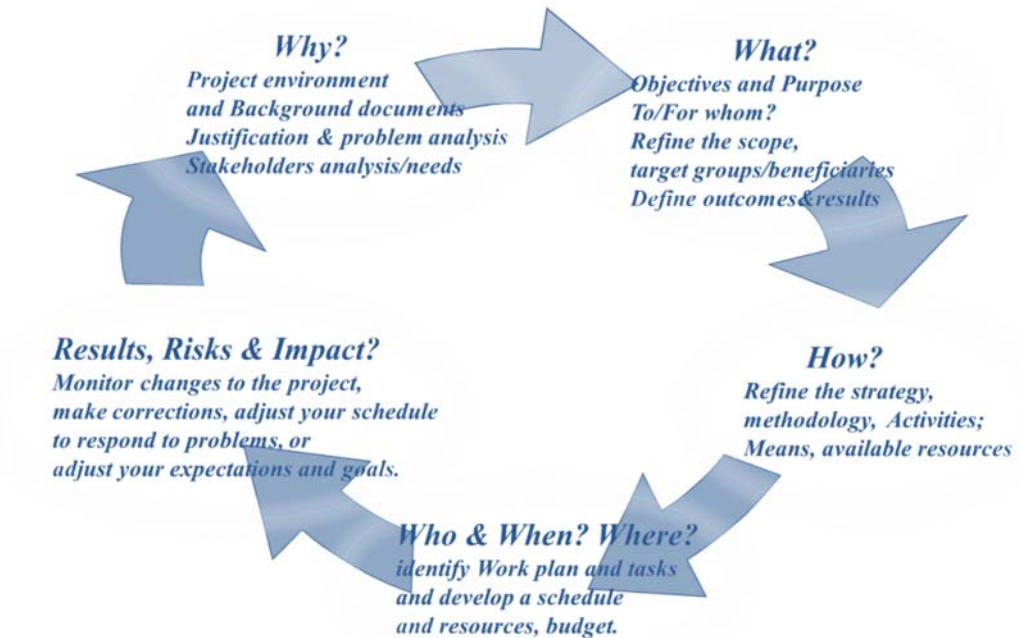
Main questions you should try to answer briefly when you create the first internal concept note are as follows:

- ✓ clearly establish who you are
- ✓ describe your organizational goals
- ✓ establish your credibility in the project topic area
- ✓ lead logically to the problem statement
- ✓ state the need that the proposal is addressing
- ✓ why the project is carried out (objectives)
- ✓ what the project is supposed to produce (outputs)
- ✓ who can decide whether the project will be successful or implemented at all
- ✓ how the project is going to achieve the outputs (state the main activities)
- ✓ who is going to implement project activities
- ✓ (describe key experts and team capacity)
- ✓ where will it take place
- ✓ who is going to be affected by the project (stakeholders)
- ✓ list all interest groups affected by the project
- ✓ describe what kind of influence the project will have on them

- ✓ who is going to benefit from the project
- ✓ how the success of the project can be measured (indicators)
- ✓ how you can measure progress (means of verification)
- ✓ when it will be developed and delivered
- ✓ identify and justify the main phases of work
- ✓ which external factors influence the project (assumptions)
- ✓ which inputs are required for the project (inputs/budget)
- ✓ identify and justify all necessary resources

Mostly every EU project is a new and unique undertaking. So, even for the experienced project leaders it is unlikely they will know correct answers to all the questions stated above during the project initiation stage. But it is a vital step that **you write the initial concept** in order to gain a foothold for further research and project development. Project plans normally consist of the business case or problem statement, the project plan and the management plan. These plans according to ISO may be separate documents with comprehensive details, but it is strongly recommended during the initiation phase for an EU project make one brief summary document, **ideally "one page proposal".**

The first concept note should reflect the integration of scope, scope management plan, constraints, time, cost, and other items accordingly. This summary level of a project plan should be updated at a later stage and communicated to respective stakeholders throughout the project. So during the process you may progressively rework the plan from an initial concept note with rough definitions, estimates and allocations of scope, budget, resources, schedule, and other items, into more detailed and tightly allocated packages of work which provide for the necessary level of management insight and control as is warranted by the project risk.

Try to limit the size of the first draft concept note ideally on one A4 paper. Do not share internal concept note too early with anyone outside your internal team. This is a 'work document' that should be customized later as the planning refines into a complete project charter with an appropriate level of details. Your first internal project concept note will mostly serve during the initial project development stage as a safeguard to keep you and your team focused on the idea, streamline each other's understanding and expectations and most important of all, confront you with the unknown, so you may identify areas you need to research further or challenges to reflect upon.
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Main phases during project proposal writing

As your first internal concept note will most likely reveal many unknowns and missing bits for high quality project charter, BSN developed step-by-step methodology for project development and proposal writing that ensures project objectives are 'inspired' by the best talents of the team, that the project is worth doing and that stakeholders will be impressed with the result.
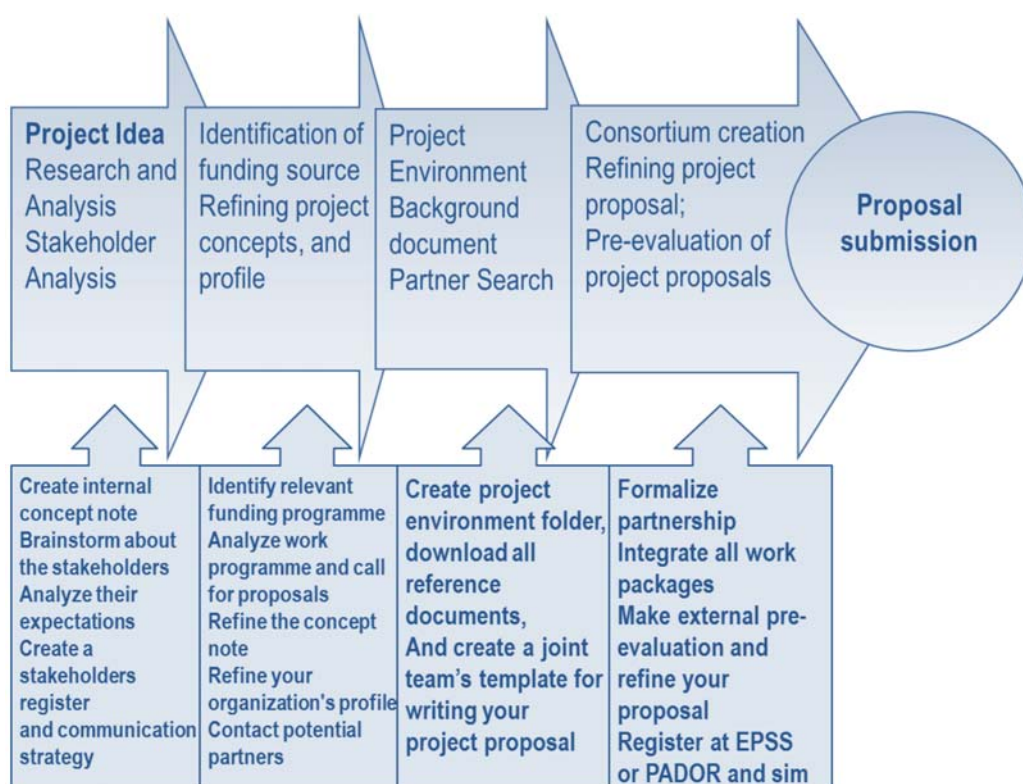
During project initiation and planning we have designed a sequence of steps for you to follow to ensure that stakeholders are involved from the beginning and relevant information is available, so that informed decisions can be made at key stages in the life of a project. Adequate project development and planning process will enable you to prepare well for any challenge or risk for your project to achieve top quality of the results, strong and sustainable impact.

The aim of this map is to streamline the proposal writing process and to offer a practical approach to project leaders how to proceed with the project idea. The approach is based on the BSN's experiences with over 5000 clients.

Writing a proposal is a project. Like any project, it needs a project manager ("proposal manager"),

it needs a plan, it has deadlines and it has deliverables. As a project, it must have quality control procedures. BSN methodology is only one way of writing a proposal. Proposal writers use different models — from the chaotic to the systematic. We have discovered that it will increase proposal writer chances for success to adopt and develop a methodology for writing proposals. Our experience shows that there are three distinct phases - the planning, the preparation and the writing phases.

Planning

Planning is something that is done on a continuous basis. Whenever a project initiator gets an idea for a new proposal, it should be documented in some format. When a *draft work programme* is published, these ideas can be revisited and partners can be contacted to discuss possible collaboration.

Materials adapted from Dr. Sean McCarthy of Hyperion Ltd 2014

Preparing

The preparation phase is the most important part. This is when the idea is discussed in detail. It is also the most interesting part as new ideas are discussed and new scenarios and approaches are examined.

Writing

The writing phase is the most tedious part. If the planning and preparation are done well, the writing can be streamlined. However, there is always an intense period before the deadline when one individual has to compile the proposal. They are usually called research managers or consultants.

All projects suffer from one weakness — projects involve people. People vary in performance, respect for deadlines and temperament. This is why all plans must be flexible and subject to revision. It also highlights the importance of selecting partners who are professionally excellent but who can also work in teams and respect deadlines. The performance of a partner at the proposal phase is often an indicator of how they will work if the proposal is successful.

Timeframe

Next figure is an example how much time it takes for planning, preparing and writing a proposal for multinational collaborative research. The Draft Work Programmes are published up to six months before the call for proposals. These drafts indicate the areas and topics that will be covered in the call. At this stage, project leaders should start planning their proposals. This usually involves contacting potential partners and discussing possible proposal ideas.

When the call for proposals is published, this is the time to start preparing and writing the proposal. Graph below describes concrete example of timetable between the call and the deadline for one of the FP7 submitted proposal.

If you write the proposal yourself, try to give yourself deadlines for completing each section of the proposal. For example, if targeting one of the previous FP7-REGPOT proposals, calls were published in July, with submission deadlines typically at the end of the year. Thus, for a deadline of 7th December, the following timetable for writing the proposal would have been appropriate (following several project concept meetings during July and August):

Project section:	Target completion date:
Part A abstract	Sep 5
Section 1.1 (Concept of the project)	Oct 5
Section 1.2 (Activity descriptions and WP tables)	Oct 19
Request letters of intent from EU partners	Oct 20
Section 2.1 (Management and risk analysis table)	Oct 26
Section 2.2 (probably only 1 page of text)	Oct 28
Section 3.1 (Expected impact)	Nov 4
Section 3.2 (Dissemination)	Nov 7
Section 2.3 (Consortium of partnering organizations)	Nov 11
Test that the EPSS works OK	Nov 11
Section 4 (Gender aspects)	Nov 18
Section 1.2 Gantt and PERT charts	Nov 22
Section 1.2 Milestones and deliverables tables	Nov 28
Section 1.2 Person-months	Nov 30
Section 2.4 Resources and budget	Dec 1
Add partner letters of agreement	Dec 3
Make a pdf version of all of Part B to check file size	Dec 3
Revisit the project abstract for Part A	Dec 4
Proof-read everything and check for consistency	Dec 5

In our daily lives of project consulting, we are often approached by clients who claim "I have an excellent project". And over time this has developed into an internal BSN anecdote. Because, as we

stated above, you cannot be sure if a project idea is a good one before you understand the call requirements. The differentiating factor is **research and analysis** phases. Adequate research and analysis help to ensure that the project may pass the evaluation and achieve expected impact. It may not guarantee that the project will be funded, but it will certainly maximize the chances for your proposal to be selected.

The first internal concept note should establish the need for the project and enable you to get organized before starting to work. It should provide you with the direction of what kind of data and information you are missing and help you design a plan how to get it. .

➢   **Research and analysis phase** start with the **context and stakeholder analysis**. It's the process of identifying the individuals or groups that are likely to affect or be affected by a project, and sorting them according to their impact on the project and the impact the project will have on them.

The first step of stakeholder analysis is gathering and assessing information to determine whose interests should be taken into account for a project. It's important to document all relevant information. Two key outputs of this process include:

Adapted from "A Systems Approach to Planning, Scheduling and Controlling by Harold Kerrzner Ph.D

➢   **Stakeholder register**: a public document that includes details related to the identified project stakeholders; To identify stakeholders one may ask for expert technical and/or managerial evaluation (from any qualified source) or start with the simple team brainstorm techniques and continue with research techniques.

➢   **Stakeholder management strategy**: an approach to help increase the support of stakeholders throughout the project; often includes sensitive information. The corner stone to develop appropriate management strategy is the stakeholder analysis.

A preliminary list of stakeholders can be drawn quickly. It varies from one EU programs to another but in general it includes the following organisations and people:

Adapted from How to Effectively Network / Communicate in International R&D projects 2011 _ Funded by the European Commission under ICT theme

✓   **Public authorities:** bodies and structures of the government which take strategic decisions, form priorities, implement the State policy and regulation in the sector area, have impact on EU-national collaboration priorities…)

✓   **Project Officer of the European Commission:** When the call for proposals is published, it is very difficult to meet with the relevant Project Officers. It is possible to meet Project Officers at official workshops held to promote the programme. These are usually held at national level. It is a good idea to ask all the partners whether they have personal contacts

with Project Officers. For example, existing Coordinators of projects have direct contacts with the European Commission. Other examples would be experts on European research committees.

✓ **Public R&D institutions:** Academies of Science, universities, research institutions and Gurus;

✓ **Foundations:** foundations (mainly public) providing support to R&D projects (including international ones) and further commercialization of ICT developments,

✓ **Business sector:** the most successful companies engaged in the field and interested in internationalisation of their business

✓ **Associations:** the most powerful non-governmental self-regulated associations uniting organizations engaged in the sector;

✓ **National Contact Points** points for EU programmes : Potential partners should meet their National Contact Points or attend any workshops on the programme that are held nationally. The aim of this is to collect as much information as possible about the call. Questions that should be asked at the events/meetings would be: Will the standard evaluation criteria be used?; Will there be emphasis on any specific criteria? (e.g. impact); Is there any emphasis on any region in Europe (e.g. South Eastern Europe)?; Is the topic selected for the proposal very competitive? This is based on experiences from previous calls for proposals.

✓ **Mass-media** specialised for the sector;

Most common methodologies for **stakeholder analysis** use a matrix to represent two dimensions of interest with frequently a third dimension shown by the colour or size of the symbol representing the individual stakeholders. Some of the commonly used 'dimensions' include: Power (high, medium, low); Support (positive, neutral, negative); Influence (high or low); Need (strong, medium, weak);

➢ **Example of power interest grid**

Adapted from "A Systems Approach to Planning, Scheduling and Controlling by Harold Kerrzner Ph.D
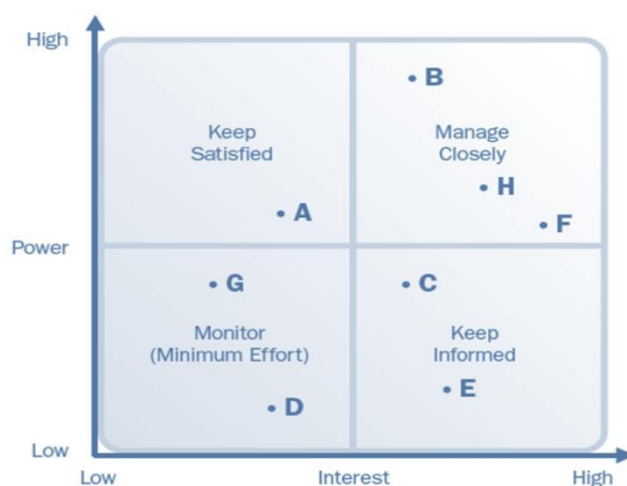
Figure 10-4. Example Power/Interest Grid with Stakeholders

A Stakeholder Registry may be used to record a general overview of each stakeholder and their planned/forecasted role on the project. An example of a potential form for use as a stakeholder register is depicted below.

Adapted from "A Systems Approach to Planning, Scheduling and Controlling by Harold Kerrzner, Ph.D

Stakeholder Register

Project Name:				
Prepared by:				
Date:				
Project Stakeholder Name	**Specific Information Needs**	**Project Interests**	**Impact on Project**	**Role**
	Types & Frequency of Communication	*Specific Areas of Interest and Participation*	*Positive, Negative, Influencer, Supporter, Roadblock*	*Decision Maker, Collaborator, Participant, Consultant, Information Recipient*

A more recent methodology for Stakeholder Analysis can be seen in Triple Task Method. An approach which seeks to blend three disciplines: psychoanalytic theory, systems analysis and action research. Triple Task or TT is a unique form of participatory action research and Stakeholder analysis in the sense that not only does it attempt to arrive at answers to research questions but it also tries to understand what factors may have been at play in arriving at these answers.

According to the results of analysis it's important to create a **stakeholders management strategy.**

The purpose of stakeholders' management strategy is to ensure appropriate attention is given to stakeholders. Managing stakeholders includes such activities as understanding their expectations, addressing concerns, and resolving issues. Diplomacy and tact are essential when approaching stakeholders for the first time or negotiating with stakeholders during the project.

During the initiation stage of the project, wiring into stakeholders is essential for further project activities, as it ensures necessary intelligence, involvement, commitment and reveals crucial challenges for project success. Wiring into stakeholders requires a lot of communications. But it is highly rewarding as it enables the project leader to take maximum advantage of the contribution to the project from the pro-stakeholders and counter the effect of the counter-stakeholders. For high power, high interest, or other potentially significant stakeholders it is vital to prepare effective communication and management strategies.

The research approach was originally developed by Simon G. Bell and Stephen P. Morse (2009). The approach was first used by the authors in the European Union Seventh Framework Programme (FP7/2007-2013) under the grant agreement n° 217207: POINT (Policy Influence of Indicators) project

Adapted from "A Systems Approach to Planning, Scheduling and Controlling by Harold Kerrzner Ph.D

Name	Position	Internal/External	Level of interest	Level of influence	Potential management strategies
John Huntz	Project Manager for largest project under Peter	Internal	High	High	John does a great job, but he often upsets other PMs with his harsh approach. Keep him in line and remind him he is part of a bigger team.
Carolyn Morris	VP Telecommunications, Peter's boss	Internal	High	High	Carolyn is the first woman VP at our company and still likes to prove herself. Keep her informed of key issues and never surprise her!
Subbu Thangi	Dept. Head State of Oregon	External	Low	High	Subbu is in charge of a lot of state issues, like getting permits to install fiber-optic lines. He has a lot on his plate, but he doesn't seem concerned with our projects. Schedule a short, special meeting with him to increase visibility and discuss key issues.
Tom Morgan	CEO of major Telecomm. Customer	External	Medium	High	Tom is the sponsor of several of our projects. Give him the status on all of them at once to use his time efficiently.

➢ **Summary of project communication processes:**

✓ Identifying stakeholders: identifying everyone involved in or affected by the project and determining the best ways to manage relationships with them

✓ Planning communications: determining the information and communications needs of the stakeholders

✓ Distributing information: making needed information available to project stakeholders in a timely manner

✓ Managing stakeholder expectations: managing communications to satisfy the needs and expectations of project stakeholders and to resolve issues

✓ Reporting performance: collecting and disseminating performance information, including status reports, progress measurement, and forecasting

In order to complete the stakeholder analysis effectively you'll need to have the following **set of skills:**

Adapted from How to Effectively Network / Communicate in International R&D projects 2011 _ Funded by the European Commission under ICT theme

✓ Understanding the difference in culture

✓ Promoting competencies of the researchers, teams, and organisations

✓ Participating proactively in the events

✓ Making good presentations

✓ Writing effective emails, providing feedback

✓ Using the web collaboration tools/services efficiently.

More advanced networking/communication skills include:

✓ Planning an event

✓ Running/facilitating effective meetings.

✓ Making effective interviews, using questioning techniques

✓ Organising efficient brainstorming meetings

✓ Following up the meetings and decisions (incl. writing meeting notes)

✓ Writing the reports

✓ Negotiating with mass-media (press-releases, press-conferences, interviews, success stories, etc.

How to find a suitable call for your idea

Once you have identified strategically which funds are likely to be available and suitable for your organisation, you will need to regularly search for information on Calls for Proposals (or Open Tenders for public contracts) during the periods that are indicated in the planning documents. The details of any grant funding opportunity will be published in the EU's 'Call for Proposals'. These Calls are governed by strict rules by the EU and they clearly explain how an organisation may apply to a given grant scheme.

The text of the previous year's call for proposals can provide you with precious information on the exact manner in which the selection and evaluation procedure works. On the other hand, to write your application, you should base it on the text of the current call for proposals. A call is used by the Commission to inform all interested parties to submit a project proposal based on the eligibility and selection criteria defined. There is no guarantee that you will be selected even if you meet all the eligibility criteria. In fact the eligible applications are next examined for the quality of response given to the posed problem and only proposals that are the most pertinent within the financial envelope allotted to the call for proposals shall be selected.

For three different funding logics you will have to use different sources of information. The first one would usually be:

European Commission DG for Cooperation and Development (Europe Aid) at

 http://ec.europa.eu/europeaid/work/funding/index_en.htm

DG for Enlargement at http://ec.europa.eu/enlargement/index_en.htm which has separate sections on Candidate Countries, Potential Candidates, and Regional Cooperation.

Calls for Proposals are published on the EuropeAid web site and may also, in the case of countries that have 'decentralised' institutional arrangements, be published on local web sites.

On the Europe Aid web site http://ec.europa.eu/europeaid/work/index_en.htm you will need to navigate to the 'Work With Us/Funding: Calls for Proposals' page. There you can use the search mechanism to find 'open' calls for 'grants' for your country or region.

Next you may examine **EC Delegation websites:**

✓ **Albania** EU Delegation web pages at http://ec.europa.eu/delegations/albania particularly the section on 'Funding Opportunities.' EU Information Centre in Albania (http://euinfocentre.al);

✓ **Bosnia and Herzegovina** EU Delegation web pages at http://www.delbih.ec.europa.eu/ which has a dedicated section on 'EU Assistance to BiH', with a drop-down menu that has 6 sub-sections;

✓ **Croatia** EU Delegation web pages at http://www.delhrv.ec.europa.eu/?lang=hr provides comprehensive information on the accession process of the country and available EU funding opportunities;

✓ **Kosovo (under UNSCR 1244/99)** The European Commission's Liaison Office http://www.delprn.ec.europa.eu/ has dedicated a section on 'EU Assistance' to Kosovo, where it not only explains different funding opportunities and programmes, but also provides information on past successful projects per programme.

✓ **Macedonia** The Delegation of EU provides compact information on EU's policy on Civil Society under the 'EU Assistance' subsection at its webpage: http://www.delmkd.ec.europa.eu/en/index.htm. There is another subsection dedicated to tender opportunities;

✓ **Montenegro** EU Delegation web pages at http://www.delmne.ec.europa.eu/code/navigate.php?Id=1 provides thorough information on EU's assistance to Montenegro and tendering opportunities at two different sub-sections;

✓ **Serbia** EU Delegation web pages at http://www.delscg.ec.europa.eu/code/navigate.php?Id=1 has a separate section of funding opportunities, which provides information on open and closed calls, administrative tenders, awarded contracts and a link to the EuropeAid webpage.

✓ **Turkey** EU Delegation web pages at http://www.avrupa.info.tr/DelegasyonPortal.html

✓ For the funding opportunities under the umbrella of Community Programs you will have to analyse websites listed in the Chapter II - EU Programmes and Funds.

Analysis of reference documents

For an optimal choice amongst the programmes, you will need to collect a documentary environment useful for understanding the expectations of the European Union in your domain and for suitably integrating it with your project. In order to integrate your project within the programme as best as possible, several reference documents are at your disposal throughout the year on the Internet site of the specific programme.

The programmes are jointly decided by the Council and the European Parliament on the European Commission's proposal ("initiative"). The European Commission thus acts in the upstream (proposal) and in the downstream (management of call procedures, monitoring the financed projects). The Council and the Parliament evaluate the Commission's proposals and if required, ask the European Commission to modify them. The text adopting an initiative, proposal, financing programme or directive is at the basis of any implementation on the ground. In this text called **"decision no. XX ",you shall find the reasons for the programmes existence**. It is important for the project leaders to be inspired by it to better understand the programme objectives and expectations of the Commission.

The European Commission is bound by the financial regulations to fix an annual work programme for each of its operations. Often the **annual work programme** gives details about the annual objectives via financing of indirect actions and projects. We recommend taking these annual priorities into account in the project proposal you are preparing. Other than the action priorities, the work plan gives an indication about the provisional data of publishing the call. The work plan constitutes a precious anticipating tool in the calendar of implementing your project.

When studying the various Programme documents for any one year, remember that the actual disbursement of funds usually takes place one or two years after the annual programme is agreed. Thus, for example, in order to understand what IPA funds might be available for CSOs in 2015 or 2016, it will be necessary to look through the programmes and fiches for your country for the years 2014 and 2015. This is also true for funding under the Thematic Instruments and Community Programmes.

Despite its length, you are strongly advised to read all reference documents before you start putting your proposal together. By far the biggest problem with proposals occurs because applicants do not read and respond to the information and advice provided by the EU programme background documents, proposal call information and Guide for Applicants! Thus, for example, the majority of

questions by Balkan scientists on aspects of Framework projects could have been answered by reading the Work Programme and/or Guide for Applicants!

Once you find a Call for Proposals which you think may be relevant to your organisation, you should download all the relevant documents attached to the Call. The most important of these is **Guidelines for Applicants**, and **Grant Application Form**. Often these are only available in English, if the application must be made in English, however, where applications are eligible in other languages the Guidelines may also be available in another language.

All Calls for Proposals are only open for a limited period of time and thus it is imperative that you submit your application before the deadline. For Calls for Proposals with the possibility of grants of a value above 100,000 euros the 'open' period will be a minimum of 90 days; for grants of the value of less than 100,000 the minimum may be 60 days. The period for preparing a grant application will never be long enough for your organisation to make the 'perfect' application if you start after the call is published. However, if you have planned ahead, then you will have already made some preparation for your application.

Responding to a Call for Proposals can only be done following the given instructions and accurately using the EU templates. Any deviation from the procedures will result in your application being rejected. Thus, it is essential that your organisation has the capacity to fully comply with the procedures for presenting a project proposal.

➤ **Call for proposal components:**

Beneficiaries	Eligible Organisations Geographic Zones Covered Exclusion Criteria
The Actions	**Objectives of the Call** **Type of expected actions**
The Budget	Total Call Budget Minimum/Maximum grant amount Percentage of co-financing
The Timetable	**Deadline for submitting the proposal** Project starting date **Project duration** Monitoring the application
The Procedure	Pre-proposal **Selection criteria** **Allocation criteria**
Sources of Information	Where to find documents concerning the programme Contact person in the EC

The Commission publishes manuals to guide the project leaders and assist them in understanding all the finer points of the selection procedure and sometimes that of project implementation. These guidelines are generally published with the call for proposals text on the Internet sites of the programmes.

Firstly, within the Call for Proposals Guidelines there will be a section on 'Eligibility Criteria', Check these criteria to make sure that your organisation (and partners) satisfies the legal status criteria and that it can demonstrate a track record working in the sector.

Secondly, review the 'Selection Criteria'. This will help you to understand whether your organisation has sufficient resources to implement the project and the appropriate management capacity and professional competence. You will see in the Evaluation Grid that usually the Call for Proposals will give great importance to assessing the financial and operational capacity of the organisation applying for a grant (often around 30% of the total evaluation score of the application).

Thirdly, before any grant can be awarded to an organisation, there will be a check of a range of supporting documents that demonstrate that the organisation does indeed meet the eligibility and selection criteria. These documents will relate to the legal status of the organisation, its accounts and banking arrangements, evidence of up-to-date social security and tax payments (where relevant), and other operational documentation. Thus, your organisation must ensure that it has all such documentation available. Most of this documentation check will be included in the PADOR or EPSS or equivalent electronic registration. The eligibility and selection criteria will also be applied to any partners in a grant application, thus it is essential that your partners are also well prepared and have the appropriate capacities and competences.

Understanding philosophy for proposal writing

This Guide will provide further advice on how to convert failure: a proposal with a poorly-defined vertical axis and lack of detail describing the activities, into success: a proposal with a well-defined vertical axis and sufficient detail to describing the activities.

Materials adapted from Prof. Dr. Steve Quarrie 'Secrets to success with project proposals" 2013
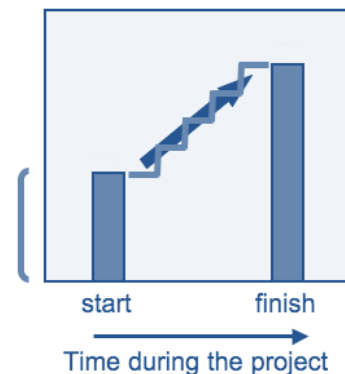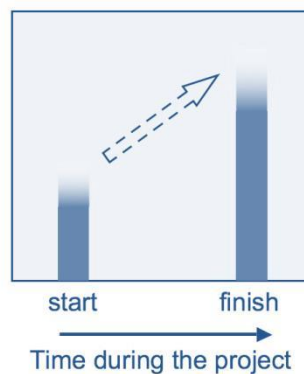
The proposals that are able to do this most convincingly (and with good value for money) will be the proposals that get funded. This Guide will further illustrate how you use the information given in the funding scheme background documents, proposal call and Guide for Applicants to provide the necessary information in your proposal. It will also give examples of the amount of detail needed to define the activities (steps up the ladder in the success figure above). This advice is based on personal experience and comments made by evaluators in proposal Evaluation Summary Reports (ESRs). Some examples of ESR comments will be given to illustrate particular problems with submitted project proposals.

Although much of the advice given in this document is based on the text for a typical FP7 project proposal, the choice of EU programme to illustrate what is needed for success is not important, because ....

✓ the beauty of the philosophy is that it is generic, meaning that it is applicable to every project whatever the funding source or project aims. Thus, the philosophy

✓ is independent of the subject or topic.

✓ is independent of the funding source.

✓ is independent of the programme within the funding source.

Your objective in writing your project proposal is not just to describe what you want to do, but to persuade the funding source to give you the money! Why should they decide to give the money to you when there will be lots of other good proposals they could select instead of yours? So, you have to learn how to be competitive!

Materials adapted from Prof. Dr. Steve Quarrie 'Secrets to success with project proposals" 2013

Indeed, for previous Framework programme project proposals, because the competition was always very strong, you needed to be very competitive, targeting your proposal to be the best that the evaluators read. It will be just the same for Horizon 2020 and for most EU funding schemes.

So, a key word, a key concept to remember is competition. To get the money, your proposal has to compete successfully against maybe several hundreds of other proposals all wanting to spend the same money that you want! Be aware that competition for EU-funded projects is normally fierce.

Therefore your philosophy for success is to know how to make your project proposal the best that the evaluators will read: to get the maximum score for every one of the evaluation criteria. So, you need to know how to write your project proposal to make it impossible for the evaluators to take off any marks from your score; this typically means getting the highest score for each section of the proposal. Target your proposal to be the only one that is worth funding! To achieve this, your proposal will need to have something really special about it, so do not say the same things that everyone else will say!

Occasional negative ESR comments are given to show where a project proposal has failed to provide adequate information in response to essential proposal requirements. For example, in relation to making your proposal special:

['Standard dissemination activities are included: web page, participation at conferences, three workshops also including brokerage events. The level of detail in the description of these activities is not sufficient. Detailed and concrete plans to engage relevant stakeholders on the national and international level are missing.']

Assuming that your proposal satisfies the eligibility criteria, it is the proposal evaluators (a number of people just like you, selected by the funding body, but probably with previous expertise in assessing proposals) who will decide whether your proposal succeeds or not.

Therefore, for your proposal to be the best one, the rare one that gets that maximum score of 15 marks (or whatever the maximum score is for your EU funding programme), your proposal has got to be the one giving the best definition of

- ✓ **where you start from**
- ✓ **where you will get to**
- ✓ **how you will get there**
- ✓ **evidence of progress**
- ✓ **value for money (impact/cost)**

In other words, your philosophy for success is to know how to get rid of the "fog" at the top of the blue bars in the figure that indicate the beginning and end of your project, doing this for as little money as possible (impact/cost), so that your project will be both the best-justified and the best value for money. If another proposal claims to do a project like yours with the same impact but for 20% less money, for example, then you won't get the money.

['The value for money potential is very low, as there is no single statement ... justifying what will be achieved with so much funding. 'Therefore it is not possible to justify that the ... project team, consisting of 14 research groups from 7 departments, will give value for money.]

So, in the figures below, you need to know how to convert the typical "fog" of failure on the left into the clarity and definition for success on the right.
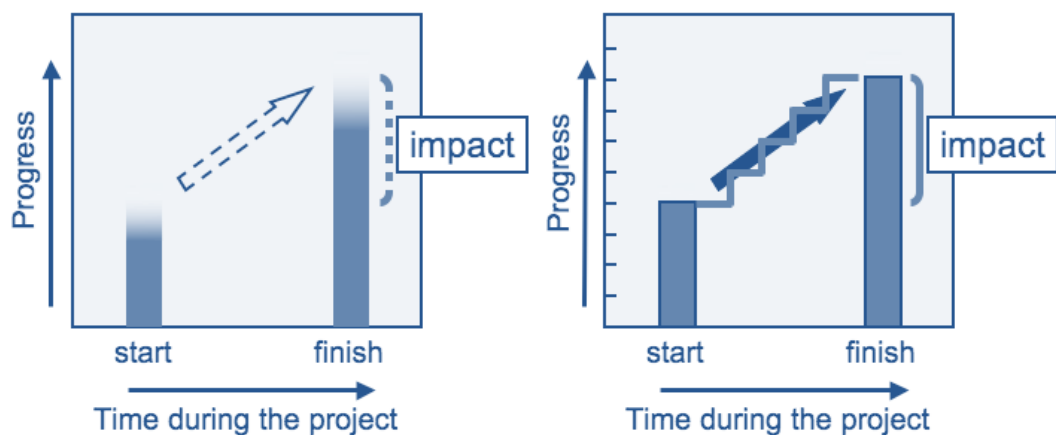
➢ **Every word in background documentation has a meaning**

Your starting point, having identified a suitable funding source to develop your idea, is to read carefully the relevant background documentation for the funding scheme on programme objectives, objectives of the call and the Guide for Applicants. And your philosophy for success at this stage is to know how to interpret those words - to get inside the minds of the programme developers to understand what they want you to achieve with their money.

Go through all these documents and highlight the key words, phrases and sentences that you will need to respond to ensure that your proposal does what they want you to do.

Here is an example taken from an FP7 Work Programme document (FP7-REGPOT-2010). (Please note: REGPOT is rather specific and small element of FP7 (0.7% of the budget). FP7 is mainly research, development and innovation, and REGPOT focuses on helping to strengthen the capacities of researchers in EU's 'convergence regions'. Hence its requirements differ from the main-stream R&D programmes.)

Text with accompanying numbers [1, 2, etc] indicates statements **that would be essential to take into account** when writing the proposal. (Please note: Only the first 17 highlighted statements are shown here. The whole document was 5 pages, giving a total of 97 different types of statement, each of which would need some text writing somewhere in the project proposal, either as part of the project needs analysis, objectives, concept note, state-of-the-art activities, outcomes, impact or as another matter that would be required for the proposal application form).

 "Programme Objective
Stimulating the realisation of the full research potential of the enlarged Union by unlocking and developing existing or emerging excellence in the EU's convergence regions and outermost regions, and helping to strengthen the capacities of their researchers to successfully participate in research activities at Community level.

I.   CONTEXT

Europe is not making the most of its research potential and resources located in less advanced regions remote from the European core of research and industrial development. Indeed, the Convergence and Outermost regions research actors may find difficult to play their role and find their place in the ERA, because they are facing problems of brain drain, infrastructure, economic and institutional organisation [1] or lack of appropriate access to finance. This action will allow research entities in these regions – whether in the public or private sector - to reinforce their excellence and

creativity [**2**] while taking advantage of the knowledge and know-how existing in leading research organisations of Europe. Hence, they will contribute actively to the regional or European economy and social welfare [**3**] and will become dynamic actors of the European Research Area (ERA) within the enlarged Union [**4**].

Approach for this year

The action aims at strengthening the potential of *research entities established in the Convergence and Outermost regions of the European Union* (EU) that need new knowledge and support to realise their development. It will help to enhance the capacity of their researchers to successfully participate in research activities at EU level [**5**]. It will therefore tackle a variety of challenges such as 'brain gain' [**6**] through networking with other European world class research players [**7**] and industry [**8**], upgrading of relevant RTD infrastructure [**9**], recruitment of experienced researchers [**10**] and institutional mobilization [**11**] as well as dynamic contribution to the regional or European sustainable socio-economic development [**12**].

On the grounds of the past experience, the *Research Potential* action will focus on ***high quality research entities [13] of significant scientific size [14]*** to ensure the highest impact of the Community intervention. These research entities, public or private, should demonstrate a high quality of human, material and organisational capacity [**15**], allowing hosting several new experienced researchers and engineers [**16**] from the country concerned and abroad [**17**]. Their research potential increase will be realised in ***close cooperation with at least 3 European outstanding research 'partnering organisations' [7]*** in the same S&T domain ...."

[Note, the text emphasised in italics and bold was like this in the original document. Only the colour highlighting and insertion of numbers has been added here.]

Having identified and highlighted what you believe to be key statements in your own funding source background documentation, your next step is to interpret what these statements are implicitly telling you to write. So, below are interpretations for the 17 statements highlighted in the Work Programme extract above.

➢ **Interpretation of highlighted statements**

Again, examples of negative ESR comments on proposals are given below interpretations of statements to show where a project proposal has failed to provide adequate information in response to the statement.

[1] brain drain, infrastructure, economic and institutional organisation

Make sure you say something about how your REGPOT project would tackle each of these aspects, especially emphasising how the project would improve the capacity not only of the researchers taking part but also the institution as a whole.

Examples of negative ESR comments relating to brain drain and economic aspects:

['It is not clear enough how producers, end-users, policymakers, etc., would use the R&D results in the future.' 'There is not enough evidence in the proposal on the way that additional collaboration with European Institutions will be conducted and how the brain drain issue is resolved.']

[2] excellence and creativity

Materials adapted from Prof. Dr. Steve Quarrie 'Secrets to success with project proposals" 2013

You have to provide the evidence in the appropriate section(s) of the proposal to show that you are already doing excellent research (a centre of excellence, at least in Serbia, that is maybe already 90% of the way to being competitive with the best in Europe). That means not only a list of recent good quality publications, but evidence that you, and each researcher contributing to the REGPOT project, have a research programme and have made recent progress with your various research programmes, with key findings summarised. Include reference citations in the text. Identify what was novel or exciting about your research findings that would justify your and other researchers' creativity - innovation skills.

Note that a centre of excellence would already be expected to have research collaborations with a number of good quality EU research institutions. Therefore, you should also identify present and past international research collaborations of staff taking part in the REGPOT project, together with a short description of what that collaborative research was about and its achievements in terms of new discoveries, publications and patents, etc. Again, scientific publications from the collaborative research should be cited in the text and evidence of collaborative achievements and full reference details given at the end of the relevant section.

['Information is given about collaborations but not about the research activity. Publication of each senior researcher is not given in the proposal."… but there is no information on the previous research record of the Centre.']

[3] they will contribute actively to the regional or European economy and social welfare

You need to describe how your present or planned research will contribute to the regional or European economy and social welfare - even if that is not immediately obvious to you! This means

you need to show that your research is not completely fundamental, but is helping to solve problems that are important for Serbia, the region, Europe as a whole and that the problems are relevant for the aims of FP7 research programmes: to make European science more competitive with the rest of the world, to contribute to increasing the wealth of Europe, helping to overcome societal problems, climate change, improving health, the environment, or the like.

You have to make it clear that there is a societal need for your research (at least in the longer term, if not immediately).

['It is not clear enough how producers, end-users, policymakers, etc., would use the R&D results in the future.' 'The potential impact on regional social and economic development is not evident.']

[4] will become dynamic actors of the European Research Area (ERA) within the enlarged Union

Materials adapted from
Prof. Dr. Steve Quarrie
'Secrets to success with
project proposals" 2013

Here is an opportunity for you to impress the evaluators with your mission and vision to be amongst Europe's most effective and competitive research groups in the areas of science to be covered by your REGPOT proposal. This could be given as a mission statement at the end of the first section of the proposal. If you already have a strategic research plan you may be able to use some text from this to emphasise how dynamic your research activities are, directed towards taking your science and scientists into the ERA.

Here's an example of a Vision for Research that you might have in a strategic research plan:

The vision for research of the institution is:

✓ to become the leading research institution in the area of … (areas of science) in the region
✓ to improve research competitiveness within the ERA by the year 20..., when full membership of Serbia in the EU is planned by the government
✓ to make the research more relevant to the needs of Serbian society and all the institution's stakeholders

This vision will be realised through the following research objectives:

1. Raising the international profile of our research
2. To become national leader in research in the areas of … (areas of science)
3. To promote and develop entrepreneurship, public engagement and science awareness activities
4. To improve continuously the quality of our research

['The project will clearly upgrade the scientific status and the capacities in research areas of the Centre. However, it will not fully contribute to its integration in the ERA.' 'The impact would be good in the local context, but not more widely.']

[5] enhance the capacity of their researchers to successfully participate in research activities at EU level

This means that your proposal will target the sustainability of your research activities beyond the end of the project (very important) to allow your researchers to contribute successfully to collaborative research projects at the EU level. Note - "successfully" means you should plan to include training on how to write better proposals yourselves and how to broaden as far as possible your research links with other European research institutions to provide you with many opportunities to be invited to join as a partner in other FP7 research consortia. The success rate for FP7 collaborative research proposals is only around 10-15% on average, which means you need to be invited to join at least 8 research consortia to have one successful!!

Although there will obviously be other funding sources available for some areas of collaborative research (see point [59]), you need to emphasise FP7 and therefore to identify collaborative research opportunities provided by existing FP7 Themes and topic areas (use those already published in the current and previous calls as a guide to appropriate research areas - see page 93 for FP7 Themes, activities and areas).

['The sustainability after the end is not visible in the programme.' 'Wider effects on regional, national or European research are not described appropriately apart from mentioning existing collaborations.' 'It cannot be seen how the research entity's visibility on a European scale will be increased.]

[6] challenges such as 'brain gain'

This is a key criterion of these REGPOT calls, to appoint incoming expert researchers, ideally from other European (or advanced) countries. These researchers are expected to bring in new research expertise and skills, new research ideas, new ways of thinking, and expertise in research management (see point [80]). Therefore, you should attempt to identify and persuade relevant scientists from the Serbian diaspora (or elsewhere) to be appointed in your institution as part of the activities of your project. Identifying and getting the agreement of an incoming research expert should be done before the proposal is submitted and not as an activity within the project itself.

Materials adapted from Prof. Dr. Steve Quarrie 'Secrets to success with project proposals" 2013

If you are unsuccessful in getting someone to agree, then at least say this in the proposal, giving the actual names of scientists you contacted as evidence that you have tried your best to satisfy the criteria for the REGPOT call.

According to the definition of an experienced researcher for the FP7 Marie-Curie human capacity programme, this is a post-graduate scientist who has spent at least four years doing research. This in most countries would mean that the person already has a PhD degree. If your proposed incoming expert researcher does not yet have a PhD degree, then the person should have at least four years post-graduate research experience.

You must write something about 'brain gain' in your proposal even if you can't find anyone to come (see also point [91]).

Materials adapted from
Prof. Dr. Steve Quarrie
'Secrets to success with
project proposals" 2013

['Recruitment of experienced Serbian researchers from abroad seems to be very difficult, and is not planned in the budget.' 'The recruitment of incoming experienced researchers is not planned: only five unemployed young researchers will be recruited and trained with no clear devoted tasks and scientific objectives.']

[7] European world class research players

You have to provide the evidence that your proposed partner institutions are world-class research players where it says "outstanding research 'partnering organisations' elsewhere in the Union"). So, do not choose your partners only on the basis of your having collaborated with them previously. Your partner institutions must provide you with evidence to show that they are among Europe's 10 best institutions for the type of research for which you need them. Many European countries have regular research quality assessment exercise. This could be used as evidence of the quality of their research. Your partner institutions will also be expected to provide training to your research staff, so you might like to get your proposed partner institutions to give you evidence of their expertise in training visiting staff. Information on the quality and suitability of your partner institutions would be put in the relevant sections of your proposal.

['Excellence of the partnering organisations and their role in applicant's RTD capacity building is not explained well enough.']

[8] industry

The Commission is very keen to strengthen the links between research academia and industry (commerce, large companies and small-medium enterprises - SMEs), so you should aim to include some sort of partnering with at least one institution from industry; ideally one that could be used to

help exploit your institution's future research discoveries. Your industrial partner does not need to be Serbian, but could be an existing partner institution of one of your 'world class research' European partners. Your industrial partner could provide training in aspects of entrepreneurship, needs within the industry, competitiveness, market demands, cost-benefit analysis, protecting intellectual property (IP), patenting, for example.

['The proposal does not give plans to involve key actors and stakeholders in the specific research sector such as the relevant Ministry, and the industrial sector. 'There is limited effort to facilitate the project output to the industrial sector.']

[9] upgrading of relevant RTD infrastructure

Although REGPOT projects are opportunities to upgrade relevant RTD (research and technological development) infrastructure (equipment), this must be justified in your proposal by explaining what the improved infrastructure will be used for. Too many scientists ask for the latest (and most expensive) technology just because it is an opportunity to buy expensive equipment. The need for the equipment must be adequately justified, which includes providing research need and sustainability to keep the equipment constantly in use after the REGPOT project is completed, and providing all the necessary resources (consumables, software licences, etc.) which are needed to run the equipment every day.

Materials adapted from Prof. Dr. Steve Quarrie 'Secrets to success with project proposals" 2013

The equipment must be seen by the evaluators to be an essential, logical (and obvious) part of your planned research programmes. That is why you need to describe your current research (point [2]) in terms of a research programme (and not just a list of projects and research publications) with a mission and vision. This will then allow you to justify the purchase of relevant equipment as a long-term need.

Nevertheless, the Commission is expecting you to ask for relatively major items of equipment to improve the future quality of your research, so do not restrict your equipment purchases to small items: refrigerators, freezers, scales and hotplate-stirrers, for example!!

['it is not evident that the instruments selected in the project are critical to the described research direction.' 'It is not certain how the acquired equipment will be utilised and which projects it will be engaged in.' 'The equipment requested is often of a basic type which is not in line with the call.']

[10] recruitment of experienced researchers

Ensure that your recruitment of researchers is based on bringing in staff with existing research experience (at least four years post-graduate research). Although it may be possible to include one

or two PhD students amongst your staff to be hired, as well as experienced researchers, the focus should be on hiring experienced research staff. If you plan to hire too many PhD students, you will get negative ESR comments:

['the intention to recruit young researchers is not in line with the call's requirement for experienced ones' 'Three young researchers will be employed, but there is no indication what will be their experience ....']

[11] institutional mobilization

Make sure your REGPOT project also provides a strong engagement of your research organisation as a whole, to exploit existing institutional resources, maybe by including training activities on site to improve the effectiveness, usefulness, productivity, etc. of institutional resources you already have.

Also use the REGPOT project as an opportunity to get research groups within your institution working together instead of working independently, perhaps by organising visits to a partner institution to see how complementary research teams can work side by side on the same research project to provide a critical mass to solving a particular problem. Maybe you could plan seminars or workshops for all institution staff to attend to encourage internal interactions.

['The total research effort seems to be limited (only 9 researchers and 4 PhD are involved), ... the scientific focus of this group of researchers is rather low. Therefore, the critical mass is not or will not be present in the research groups ...']

[12] dynamic contribution to the regional or European sustainable socio-economic development

As for point [3], note that your research capacity, to be improved through the project, should provide sustainability for additional research staff and help to retain existing staff to support socio-economic development - strengthening Serbia's science base, competitiveness and opportunities to contribute to the ERA at both regional and European levels, bla, bla, bla.

['In the field of economic and social development, the impact of the proposed project is less clear, as basic materials research does not necessarily lead to development of industries.']

[13] high quality research entities

As in point [2], you have to convince the evaluators that your institution as a whole (and not just one or two successful research groups) is a high quality research entity. It will not be sufficient to say that your institution has been doing good quality, successful research for many years! Use all the

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suggestions given for point [2] to convince the evaluators. Note that the words in the Work Programme are emphasised in bold. This means you must concentrate on providing the evidence in the first section of good research quality for the institution as a whole.

['The SWOT analysis … fails to demonstrate the scientific strengths of this entity.' 'The equipment requested and … indicate that they are at the beginning of their effort to reach European recognition.' 'However, scientific excellence of the research groups involved in the project is not high enough to meet the objectives of the action.']

[14] significant scientific size

To qualify to be of significant size, you need at least 10 experienced researchers, defining them as those staff already with a PhD degree and who are permanently employed (for example do not include a visiting post-doc from Croatia, etc.). Although experienced researchers are defined for FP7 Marie-Curie Fellowships as researchers with at least four years experience, even if your Masters and PhD students have been doing research for more than four years, they are unlikely to be regarded by the Commission as permanent staff.

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Note that although the eligibility criteria refer only to the size of the research institution, evaluators will expect to see around 10 of these experienced researchers also to be involved in the REGPOT activities. You may, perhaps, be able to reduce this number to eight from your institution without criticism, provided that you include (add) at least one incoming expert researcher.

['According to the information provided, this centre has limited experience and a rather small size.' 'However, the action plan and work packages are very narrowly focused to only one of its departments, thus lacking in scale, which is aimed at in the current REGPOT call.' 'As 8 small groups with 1 or 2 senior scientists (+ PhD students) are involved in the proposal with no evidence of a previous cooperation between them, the overall strategy of the proposal is not convincing.']

[15] high quality of human, material and organisational capacity

Not only do you need to convince evaluators that your institution already does high quality research, but you need to show that your institution already has a good level of material resources (already well-equipped with modern equipment), and that it has the organisational capacity and existing expertise to manage a complex international project (including a competent, efficient and responsive accounting system).

Remember that the REGPOT programme is not designed to raise the research standard of currently non-competitive research institutions and scientists, but is targeting those research institutions already shown to be centres of excellence in Serbia to make them European centres of excellence.

['The team leader does not show international publications on his short CV.' 'The equipment requested and … indicate that they are at the beginning of their effort to reach European recognition.']

[16] hosting several new experienced researchers and engineers

You need to show that your institution has the organisational capacity to host an expanded number of researchers - enough bench and office space, equipment and computing facilities for the extra staff, as well as adequate consumables to support the research they do.

['There is no detailed description of the present research infrastructure in terms of equipment and staffing of the institution.' 'There is no planning for consolidation of training or how the newly-trained and recruited researchers will put their skills into practice.]

➢ **Concluding background documentation comments**

In your case, for the interpretations explained above, you go through the same process for your funding scheme documentation, replacing "you" with "I" or "we". Then tick off your list of numbered statements as you gradually write the text of your proposal. That way you won't leave out any important points.

Every phrase and sentence of the documentation is there for a reason. The more success you have in identifying those key statements, interpreting what they tell you to write, and then writing in your proposal the text that addresses each of these key statements, the more likely it is that your project proposal will be funded.

This is a key component of the philosophy for success, so the advice given above in interpreting what those phrases and sentences mean in terms of what you write should help you to get the money! The more you ignore the advice on identifying, interpreting and writing text for each of your background document statements, the more you risk losing marks towards your final evaluation score. On the other hand, putting something in your proposal for every one of the many statements you identify cannot guarantee your success, but together with aspects of the philosophy for success described below, it will give you the best chance possible! In the following chapters you will find a description of effective tools that may help you.

Main challenges to overcome in proposal writing

Your philosophy for success includes knowing how to avoid or overcome four typical challenges:

1. **to read and implement the instructions!**
2. **to make statements with enough supporting evidence to convince evaluators.**
3. **to give sufficient detail of the activities that will be carried out.**
4. **to be consistent in what you write in different parts of your proposal.**

So, bear these four challenges constantly in mind while you write your proposal. Here is advice on how to overcome them.

1) Implementing the instructions

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This is so easy to do in theory, but apparently so difficult to carry out in practice! Your philosophy for success is to keep the EU programme administrators and your proposal evaluators happy! That means do what the funding source documentation either explicitly or implicitly advises you to do. Those documents include:

✓ Relevant EC policy documents,

✓ Funding programme objectives and expected impacts,

✓ Specific call documentation and expected project impacts,

✓ Guide for Applicants,

✓ Evaluation criteria.

While EC policy documents have no specific instructions as such to be followed, the more your proposal includes statements that the project will contribute to fulfilling specific EU policy objectives, such as "we must all be able to obtain the skills needed to live and work in the information age."

[European Union policy statement on Information Technology, http://europa.eu/pol/infso/index_en.htm - Bridging the digital divide], in a project on improving skills/efficiency/innovation in a particular sector, the better your proposal will be judged.

Funding programme objectives and specific call objectives, together with their expected impacts, give you implicit instructions on what to write, (as shown in the 17 statements highlighted in the FP7-REGPOT Work Programme example above. So, go through these documents to identify all the statements that you need to respond to, as demonstrated for REGPOT projects. If you fail to respond to these implicit instructions, then you won't get the money! Do not assume that you can ignore them and do it your way successfully! Unfortunately, many people do.)

The EU wants your proposal to succeed! So, to help you succeed, each funding programme will provide a detailed Guide for Applicants that gives specific instructions on what you need to write in each section of the application form. The following text comes from the introduction to the Guide for Applicants for an FP7 funding scheme:

"The work programme provides the essential information for submitting a proposal to this call. It describes the content of the topics to be addressed, and details on how it will be implemented. The work programme is available on the CORDIS and Participant Portal call pages. The part giving the basic data on implementation (deadline, budget, additional conditions etc) is also posted as a separate document ("call fiche"). You must consult these documents."

Note the word "must" in the last sentence of the introduction to the Guide. This is not a polite invitation for you to consider doing this if you have time! Writing your project proposal is not like the typical D-I-Y approach to putting together a kit of parts for a bookcase - if all else fails, read the instructions!

This particular Guide gives web and email addresses specifically for help, advice and clarification of what you need to do to write and submit your proposal. So, don't be afraid to use them. It goes on to provide 10 pages of information and instructions on how to complete the main body of the text. The introduction to these instructions is as follows:

"Instructions for drafting proposal"

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Coordination and support actions (Supporting)

A description of this funding scheme is given in section 2 of this Guide for Applicants. Please examine this carefully before preparing your proposal.

This annex provides a template to help you structure your proposal. It will help you present important aspects of your planned work in a way that will enable the experts to make an effective assessment against the evaluation criteria (see annex 2). Sections 1, 2 and 3 each correspond to an evaluation criterion. The sub-sections (1.1, 1.2 etc.) correspond to the sub-criteria.

IMPORTANT: Page limits: remember to keep to the page limits where these are specified.

The minimum font size allowed is 11 points. The page size is A4, and all margins (top, bottom, left, right) should be at least 15 mm (not including any footers or headers).

Please remember that it is up to you to verify that you conform to page limits. There is no automatic check in the system!

Ensure that the font type chosen leads to clearly readable text (eg. Arial or Times New Roman) and that part B of the proposal shall be readable, accessible and printable.

As an indication, such a layout should lead to a maximum of between 5000 and 6000 possible characters per page (including spaces).

The Commission will instruct the experts to disregard any excess pages.

Even where no page limits are given, or where limits are only recommended, it is in your interest to keep your text concise since over-long proposals are rarely viewed in a positive light by experts."

Note the Guide for Applicants statement "The Commission will instruct the experts to disregard any excess pages." and for some calls the Guide said:

"Please present your plans as follows:

i) Describe the overall strategy of the work plan (maximum length: 1 page)."

While most scientists followed these instructions, others did not but they wrote two or more pages to describe their overall strategy. So, anything over 1 page would have been disregarded by the expert evaluators! Therefore, any key evidence or justification for your project on these disregarded pages would mean that your proposal fails and you don't get the money!

Every EU funding scheme will provide the evaluation criteria as part of the documentation available to applicants. Although these would be explicit instructions specifically for the proposal evaluators, they are also implicit instructions for you. You have to know the criteria for evaluating your proposal. Sometimes, however, the evaluation criteria give you relatively little help because many aspects of your proposal are assessed in a single criterion, but for other funding schemes the evaluation of your proposal is broken down into minute detail, giving you a much better feel for what you need to write to satisfy each of those secondary criteria.

The **Adriatic IPA-Cross Border Cooperation programme** is an example of the latter. Their Guidance Notes on proposal evaluation start as follows:

GUIDANCE NOTES

This document is aimed at assisting the applicants before finalizing their Application form and Final Application form in order to self evaluate if their project focuses on the described aspects so that they can meet better the quality criteria."

What follows in the GUIDANCE NOTES is a text version of the Assessment Form spread sheet, part of which is illustrated below. Here is excellent quality information instructing you what you should write in each section of your proposal.

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1st Step Quality Assessment Form

Project code:				Priority:	
Project acronym:				Measure:	
Lead Applicant *(name in English)*				Theme:	

Sections/ criteria n.	Criteria	What needs to be assessed?		Totals		Assessor's comments
A	*Strategic relevance*	**What needs to be answered?**	Points	Scores		Notes
a.1	Does the project contribute to achieving general and specific objectives of the concerned Strategic Theme in the Programme area? *(max 5 points)*	Is the strategic project clearly in line with the relevant Strategic Theme?				
		Are the compulsory specific objectives and additional specific objectives, those not foreseen in the ToR, (if present) well developed?				
		Does the strategic project demonstrate how it will contribute to the achievement of the general and specific objectives of the Strategic Theme?		0		
		Will the strategic project proposal provide a significant and sustainable contribution to solving the problems/needs identified in the relevant Strategic Theme?				
		Are the target groups relevant to the Strategic Theme identified?				
a.2	Is the project in compliance with the relevant EU policies and horizontal issues? *(max 5 points)*	Are the project objectives and results coherent with Lisbon and Gothenburg Strategies and will contribute to their implementation?				
		Is the project coherent and compatible with the horizontal issues (e.g. equal opportunity and non discrimination, sustainable development, other as: integration, human resource development, innovation, information and communication technology, etc)?				
		Is the project in accordance with the EU sector policies (such as regulations, directives, etc) ?		0		
		Is the project in accordance with the EUROPE 2020 STRATEGY?				
		Does the project contribute to the implementation of relevant EU policies?				
			SECTION A TOTAL	0		

Each sub-criterion is scored either 0, 0.5 or 1, according to whether the applicant has not satisfied, only partially satisfied or wholly/completely satisfied the criterion. Thus a maximum score for the illustrated sections would be 5. There are 19 sections in total.

Note, for example the last two sub-criteria in section a.2. If this was the funding scheme for your proposal, then here are clear instructions for you to ensure that you have read and written the text to respond to the EUROPE 2020 STRATEGY, and have also read and written the text to show your project will contribute to implementing the relevant EU policies.

Despite this advice and support, some Adriatic IPA-CBC applicants wrote nothing to respond to several sub-criteria, guaranteeing that they immediately lost valuable marks!

2) Giving the evidence

The philosophy for success assumes that nothing is obvious to the evaluators! "Many years of successful research" and "we have published many papers in leading journals" are useless statements to make without supporting them with the evidence, for example with further explanatory text, footnotes or references at the end of the section. As said above, evaluators will not fill in by themselves anything important that you have left out. You have to assume they know nothing about the value of any training or equipment or the importance or relevance of your areas of expertise in science, manufacturing, education, or whatever it is. As they are instructed to judge the value of a proposal strictly according to the words they read, they will not [at least should not] take into account any previously known good reputation or track record of you, your staff and organisation or any EU partners if that information is not also given in the proposal. So, for example, if you don't describe clearly why a specific piece of equipment is needed for the project, the evaluators will assume it is not needed!

Giving sufficient evidence for your statements also requires you to be intelligent in implementing the instructions in the programme documentation. Every word of the programme documents has a meaning. Here is an example of providing evidence for a statement from just one of the points highlighted on pages 3-8 above:

'Their research potential increase will be realised in close cooperation with at least 3 European outstanding research 'partnering organisations' ....'. Just this one highlighted part of one sentence has five statements in it for which you will need to provide supporting evidence:

1. 'close cooperation' - you must give the evidence to demonstrate that the cooperation will indeed be close, by describing a number of major interactions between your institution and each partnering organisation, and not just token cooperation by a single short visit and exchange of a few emails, for example!
['The impact at international level is not clear and it is probably very low since the project does not promote an important international cooperation (networking).' 'The envisaged collaboration with the 6 selected European Universities is not detailed, only generic fields of cooperation are provided.']

2. 'at least 3' - you must respect the minimum number of cooperating organisations stated in the eligibility criteria, and it is probably better to include at least four or more organisations. If you do decide on only three partnering institutions, then you will have to give the evidence that only three organisations can provide all the skills, expertise, commitment of sufficient (diverse) staff resources, and future project opportunities ("through close cooperation") to enable your institution and each of your 10 or more research groups "to become actively integrated in the ERA."

['Moreover, the partners are all in one EU country, so the application does not comply with the specifications of the Call.']

3. 'European' - a trivial matter to provide the evidence that your partnering organisations are in Europe, but it does mean that you cannot have only two European partnering organisations and your long-time partner institution from Canada, for example!
['In addition some of the targeted organisations and invited researchers are located outside the EU Members states or associated countries.']

4. 'outstanding' - only one word, but it will require several pages of text from you to give all the evidence that each of your partnering organisations is indeed outstanding, and not just another average-quality European organisation! By definition, the majority or organisations will be average, so your partner organisations have to give you all their measures of esteem to convince the evaluators that they really are outstanding: all their Nobel prize winners, notable patents, awards, other prizes, high numbers of visiting workers, track-records in training, publications in Nature and Science, as well as an above-average number of good-quality publications per year, etc. ...!

['Excellence of the partnering organisations and their role in applicant's RTD capacity building is not explained well enough.' 'The quality of partnering institutions is only conjectural as apart from the names of key researchers and the names of organizations no further relevant information is given.']

5. 'research' - your partnering organisations have to give you the evidence that research is a major strength throughout the organisation, and not just a strength for one or two research-oriented staff. Thus many European organisations have a reputation as centres of excellence for research, some for both research and teaching, but other organisations are more known for their focus on teaching than for their research. So, give the evidence that your chosen partnering organisations do indeed have reputations for good quality research in depth.

3) Giving enough detail

How much detail do you need to write? It depends! Adjust the amount of detail you give to describe the work/activities/tasks to be done according to:

- ✓ the project scale,
- ✓ the project type,
- ✓ your level of experience in writing project proposals,
- ✓ your success rate for getting them funded, and
- ✓ the space available in the application form for giving the information.

If this is your first project proposal, i.e. you have no previous track record of success, then you will need to provide more detail of each activity than if you are leading a project consortium that has already established a track record of success for large-scale collaborative international projects

Here is an example of increasing detail to describe two conferences on dissemination activities. You could say:

- ✓ We plan two stakeholder conferences to discuss the issues.
- ✓ We plan a 3-day international stakeholder conference in Belgrade in year 1 and another 3-day event in Budapest in year 2 …
- ✓ We plan to invite key Ministry representatives and EU experts.

- ✓ We plan to discuss key problems of treatment success rates on day 1 and to present potential solutions implemented in EU states on day 2...

Each item adds another layer of detail to the original statement. You have to decide which level of detail is appropriate, but you must convince evaluators that objectives will be achieved.

Another typical project activity would be a training visit. Thus, compare 'typical' examples 1) and 2) of texts describing training activities, below, with text 3):

1. Planned training activities, held by the EU training centres and universities, will enable the development of researchers in selected topics of interest to our Centre.

2.   Training will be realised through participation in thematic workshops and conferences, preferably aimed at PhD students from our institution.

3.   Training activities are planned at the recognised training centre in X University. During the three-week course the PhD student will acquire the following skills:

- PCR-based molecular marker methods

- principles of making a genetic map of wheat

- simple methods of genetic analysis to locate quantitative traits.

The course will be given by Professor Y, who gives this course twice a year to international PhD students. It also includes advice on presentation skills for course participants following a seminar that each student has to give on their research in their home institution.

This training will specifically address the need identified in Part 1.1 and project Objective 3a. There is much more detail in example 3) to describe what is planned to be done, and furthermore, to demonstrate that the training is needed and that it will be completed with genuine success! It is the detail that you provide that will determine whether your proposal is the best that the evaluators read.

4) Ensuring consistency

Materials adapted from Prof. Dr. Steve Quarrie 'Secrets to success with project proposals' 2013

The last of the four problem areas to avoid in your philosophy for success is to ensure consistency in what you say throughout your proposal. It is very easy for you to make mistakes in consistency because you write the text bit by bit over several weeks or months, but evaluators read your whole proposal in just a few hours, and for them any inconsistency will be easy to see: 'The total budget presented in Part A differs from that in Part B of the proposal.'

Here are two examples of inconsistency present in drafts of REGPOT proposals:

1. Improving staff management skills was given as one of the project objectives, but no activity was described specifically to improve staff management skills. So, make sure that for every project objective you provide some text as an activity in a WP somewhere that specifically targets the achievement of that objective. Do not leave it to the evaluators to guess how this will happen!

2. Setting up a project website was not listed as an activity in any WP (typically it would occur in a WP describing either management or dissemination), yet 'the project website' was stated under Impact in Section 3 as a major resource for disseminating project progress and outputs! Therefore, if you refer to a project resource (website, database, new skills, etc.) at the end of the proposal under Impact, make sure you have described an activity to create that resource in a previous section of the proposal.

Achieving consistency in what you say throughout your proposal is a major challenge, so constantly check what you have said elsewhere in the proposal, especially getting near to the submission deadline when you are trying to fit the person-months and budget to the activities, and vice versa. Qualitative and quantitative changes to activities are frequently necessary during this process and inconsistencies in the texts can easily arise.

['... there are inconsistencies in the presentation of project objectives. The longer term objectives of the institute are confused with the short term objectives of this proposal. As a result, it is difficult to link objectives with relevant tasks.' 'The description of management is elaborated in detail but there is no consistency between the text and the management structure sketch.'
'Person Months allocation per WP is not consistent between individual tables for WP and the Work Package list ...']

Creation of action plan for proposal writing

Some steps in the timetable of events described below will inevitably happen sequentially, but many will happen in parallel, and often recurrently, so do not take the numbered order shown here as 'gospel'. Many steps in the proposal preparation phase will need to be revisited as new information comes in, new ideas develop, or problems are identified - a typical one being that your first calculation of the total project cost to the funding source will be over the maximum allowed!

Materials adapted from Prof. Dr. Steve Quarrie 'Secrets to success with project proposals" 2013

1.   Assuming you have decided to bite the bullet and go ahead, you are strongly encouraged to start putting together your project ideas before the call is officially published. Calls for many EU programmes are published once a year, so knowing when previous years' calls were published will usually be a good guide to when the next call will be published. Other programmes may publish calls twice a year. If you wait until the call is published you may be too late to put together a good quality proposal. For example, many of the main calls in FP7 were published each year during July. That means for many scientists that they can't do anything substantive in putting a proposal together until September, when people get back from their holidays. This is valuable time lost, increasing the risk of a poor quality proposal that won't get the money! Note also point 10 below: a lot (a lot) of time can be wasted just waiting for email replies from others, whose level of commitment and appreciation of the concept of urgency may differ from yours!

2.   Once you know the date of the proposal submission deadline prepare a draft 'Action Plan' for yourself for putting the proposal together, based on the suggested timings shown here (below). Make sure you allow for time lost by other "essential" activities: state holidays, birthday celebrations, family holidays, conference absences, etc.! Start with the submission date and work backwards, allowing at least 1-2 working days to complete everything before the "Submit" button needs to be clicked.

3.   Having identified a suitable funding source and call topic, start developing your initial idea on what you would like to do into a project concept targeting what the funder would like you to do. At this stage that would include a list of suitable objectives (to target as much of the 'Expected impact/outcomes' as possible, together with a list of potential project partners that you could approach.

4.   Next, put together your team who will help you (hopefully) to put everything together. You need to decide who will write the proposal and what support will be available from others for this. Although it is possible for one person to do everything, firstly that person will need to commit themselves essentially full-time for several months to putting the proposal together; and secondly as the saying goes "two heads are better than one" applies, meaning that others may also be able to contribute useful ideas and information. Within your organisation, however, it is better for only one person to do all the writing, with other members of the team helping to provide information that will need to be written into the proposal. If key sections of the proposal are written by different people, inconsistencies will be inevitable.

5.   Start gathering together the relevant call documentation, and other documents you know you will need to find the evidence for all those Inputs listed in the figure on page 11: needs analysis, state-of-the-art, partner justification, existing excellence, capacity and resources, and so on. This where your team can help to identify, download and read the necessary background documentation (strategy and policy documents, funding programme topic areas, etc.).

6.   These first four items are likely to take at least a month to sort out, with a number of team meetings to compare notes and discuss who needs to do what, who knows what and who knows who. It will also be helpful during this early period to meet as many of your planned project consortium members as possible. Face-to-face meetings with partners of an international consortium will obviously have cost implications, but at least communicate verbally (telephone, Skype, ...) to discuss and describe what each partner is expected to contribute, both to the proposal and to the project.

7.   These meetings, email exchanges and discussions within your team and with consortium partners are likely to continue during the whole process of proposal preparation, and as the deadline approaches, the need for getting quick replies from consortium partners increases. Make sure your consortium partners are aware of the urgency and importance of constant communication.

8.   As soon as you have collected all the information from documents and other partners that is needed to define your first bar in the figure on page 11, and you have decided on your project objectives, according to the expectations of the funding scheme, then start developing your strategy to achieve maximum 'Expected impact' for your project. This will help you identify the activities you will need to describe. Once you know what sort of activities are required to achieve each of the project objectives, then you put together a suitable Work Breakdown Structure (Work Package in

H2020) where you will describe all the activities/tasks/work to be done during the project. A separate Work Package (WP) for each project objective (plus other Work Packages for project management, dissemination and any other obligatory Work Packages required by the funding scheme) will help you to be consistent in describing how the project will achieve its objectives. Evaluators will appreciate this.

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9.   Once you have identified the scope of the activities and you have a reasonable idea of who is going to do what, you are in a position to think about a project budget. If the balance of activities amongst partners is likely to be similar for everyone, then identify a target maximum project budget to aim at (taking into account the amount or proportion that the funder will provide and how much co-financing partners will need to provide). Take off around 10% for contingencies (to distribute as necessary to partners nearer the final stages of proposal preparation), then divide the remainder by the number of partners. Tell each partner this is their budget that they should work to, and prepare your battle dress to defend yourself from the inevitable 'slings and arrows' of complaint that will come your way! Remind partners, if necessary, that without all your efforts nobody will get any money!

10.   You will find that the longest part of the whole process of putting your proposal together will be identifying what information you need and then getting it - looking up documents on the internet and reading them, waiting for your colleagues and research partners to reply to email requests for information, as well as arguing over objective priorities and how to achieve them, and then how to achieve them for the available budget. The shortest time is for actually typing the text of the proposal!

Nearer the deadline (around two weeks to go), put someone in charge of testing the electronic proposal submission system and learning how to use it.

Note that for research projects from FP7 and its successor Horizon 2020, every participating institution in the consortium will need to have a PIC (Partner Identification Code) number. If you or any partner does not have a PIC number, you (they) are strongly advised to apply for one on Cordis as soon as possible: http://cordis.europa.eu/fp7/pp_en.html.

However, before you do this, you should search on the EC Participant Portal to check whether your institution already has been given a PIC number at the following web address: http://ec.europa.eu/research/participants/portal/appmanager/participants/portal?_nfpb=true&_pageLabel=searchorganisations#wlp_searchorganisations.

If you want to search the EC Participant Portal PIC number database, remember to search for both local language and English versions of your institution name! If not, you may end up by registering your institution a second time with the Commission, which has already happened in Serbia (twice). Further, if this happens, the consequences are immense administrative problems sorting out with the Commission which version of the PIC administrative details will be used if your proposal gets to the Main list for grant negotiations. Your institution PIC number for FP7 is expected to remain the same for Horizon 2020. Other EU-funding programmes for 2014-2020 are not expected to require a PIC at present.

Once you have a PIC for FP7 or Horizon 2020, filling in Part A of your proposal (the administrative details) in the EPSS becomes much easier - you enter your PIC at the beginning and the majority of boxes in Part A are filled automatically! Using the PIC for your institution also ensures that you do not enter inconsistent or incorrect information in Part A.

11.   Familiarise yourself with the Check List advice in the Guide for Applicants to make sure you prepare everything you need in good time. The Check List for some funding schemes says 'Do you have the agreement of all the members of the consortium to submit this proposal on their behalf?'. As soon as you have identified who all your consortium partners will be, and identified how they will contribute to the project, you should make sure that the relevant authorized person from those partner institutions sends you a letter agreeing to take part in your project and identifying what staff and resources will be made available for the project. As a signature and institution seal would be expected on this letter to guarantee its authenticity, you will need to ensure enough time for the original to arrive. It can then be scanned, appended to your proposal document and then the whole document converted into a single pdf file for uploading into the Electronic Proposal Submission System (EPSS). (Please note: authorisation letters from partners are not required to be submitted to the EC and should not be appended to the proposal document. It is the responsibility of the coordinator to ensure that he has an agreement from the partners).

12.   Writing the main text of the proposal can start as soon as you have completed items 1 to 8 above. It is probably sensible to write sections of the proposal in the order in which they occur in the application form. Once you are writing the text and need to insert information that is not immediately available, a good way to use the time effectively is to insert "??" where the information is missing, and continue writing. Every so often, search your document for "??" and fill in the missing information as it comes to you.

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As you type each section, it is good practice to put the corresponding text of the Guide for Applicants underneath the section heading, so you can constantly remind yourself of what you need to write. If you do not do this, you may forget to say something that you are expected to do. For example in section 3.1 of the FP7 REGPOT programme, the guidelines say:

3.1 Expected impacts listed in the work programme

Describe how your project will contribute towards the expected impacts listed in the work programme in relation to the topic or topics in question. Mention the steps that will be needed to bring about these impacts. Explain why this contribution requires a European (rather than a national or local) approach. Indicate how other national or international research activities are taken into account. Mention any assumptions and external factors that may determine whether the impacts will be achieved.

Without this text visible at all times, you may forget to say something about taking account of other national research activities, and you may forget to respond to the instructions highlighted in red which require you to mention any assumptions and external factors that may prevent the impacts being achieved.

As you identify what activities you need to do, make a note in the corresponding WP to describe the detail of the activity once you get to writing the text of all the WPs. Also note in the section on expected impact whether you need to say anything about the impact of the activity. That way, you will ensure you are consistent in what you write across the various sections of the proposal. Also, for Horizon 2020, ensure consistency in the budget items between Parts A and B. This was a problem particularly for some previously submitted FP7 proposals!

['The total budget presented in Part A differs from that in Part B of the proposal. Also, certain figures given in work packages are different from those presented under Resources to be committed.']

13.   For many EU funding schemes, especially H2020, the description of project impact and dissemination activities comes at the end of the proposal. Make sure that the proposal section(s) on expected project impact are not left to the last minute - many scientists find they are "running out of steam" and running out of time by the time they reach the final section on impact, so they don't say as much as they should in this section.

It is still worth in most cases one third of the total ESR marks, so it is just as important to do a good job on the text of the section on impact as it is for the other proposal sections.

15.   As soon as the main text of the proposal has been written, any images inserted, Gantt and PERT charts are available (and scanned letters of agreement from EU partners have been received), do a test conversion to a single pdf file to check that the file size does not exceed the limit allowed by the electronic submission system. You don't want to discover that your pdf file is too large at 16.00 on the submission deadline date!

Writing the text of the proposal

The figure below describes your project proposal pictorially, and the arrows show the flow of information that you need to describe to give sufficient definition to the first bar (inputs into your proposal text), the second bar, equivalent to your project objectives, which define the outputs you plan for your project, and then to achieve those outputs you need to describe all the activities carried out and new resources created during the project.
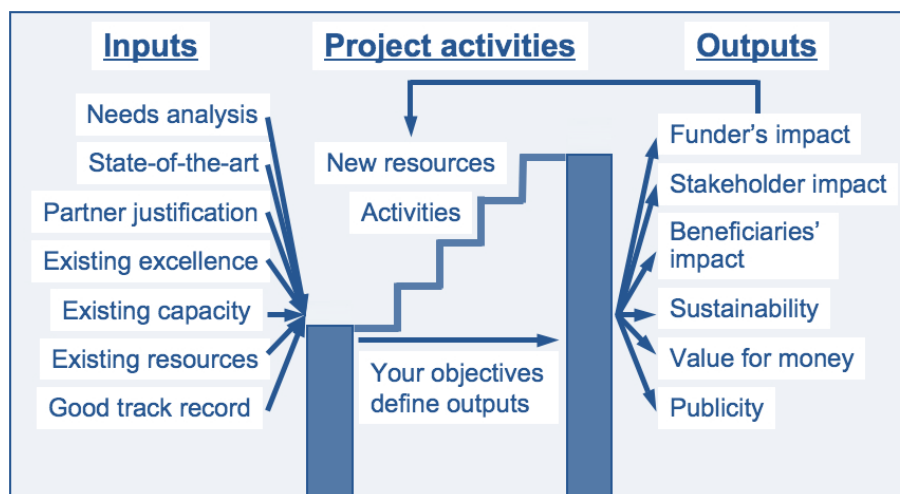
Therefore, for your proposal you will need to write the text to describe inputs, outputs and project activities. Inputs that define your first blue bar include:

✓ Needs analysis: this is essential to justify why your project is needed. There has to be a problem to be overcome, a weakness or deficiency to correct, or some other good reason why your project is essential to carry out.

✓ State-of-the-art: not always required as such, but it is definitely useful to describe where your stating point is compared with what is happening elsewhere (other countries, or other parts of your country). This is essential for European RTD and innovation projects, where you are likely to be competing with the best of the rest in Europe, so your science or innovation needs to be competitive on the European scene, which means you have to be familiar with and to describe the latest developments in your subject area, internationally.

✓ Partner justification: every partner in your consortium has to be there to make a specific contribution to meeting your project objectives, and you have to demonstrate that every partner has the required skills, experience and capacity to carry out their role in the project. Furthermore, you need to demonstrate that all the skills needed to achieve the stated objectives are in fact available in the consortium.

✓ Existing excellence: you have to prove to the evaluators that you are sufficiently competent to lead the project, with evidence of project management experience, or at least if this will be your first EU project, evidence of project management skills demonstrated by giving a detailed account of your plans for project management.

✓ Existing capacity: give information on your administrative capacity to manage a large EU-funded project. Is your finance department familiar enough with EU project accounting procedures? Will you and your existing staff be able to give the new project all the person-months it needs?

✓ Existing resources: some EU project funding sources ask you to describe your existing resources, so that they can judge whether any requests for new resources (equipment, vehicles, computers, etc.) are justified.

✓ Good track record: you are more likely to get the money if you can demonstrate that you have done this before and achieved the planned project outcomes - success breeds success. If you do not yet have a track record of project management, then focus on describing other relevant management experience, and give enough detail elsewhere in your proposal to demonstrate to evaluators that you know how to manage a multi-partner project consortium.

Materials adapted from Prof. Dr. Steve Quarrie 'Secrets to success with project proposals" 2013

This list is by no means exhaustive and the points described above may need to go in different sections of your proposal. However, the list gives you a good flavour of the sort of inputs that you will typically be expected to describe in your EU-funded project proposal.

Your project outputs will be determined by your objectives, which will consist of narrower beneficiary-specific objectives and broader funder-targeted objectives (to ensure your project achieves the impact expected by the funding organisation). Outputs defining the second bar include:

✓ Funder's impact: here is an example of expected impacts, for FP7 REGPOT projects:

1. Better integration of the selected research entities in the European Research Area as a whole (long-lasting partnership with research groups elsewhere in Europe [i]);

2. Upgrading the RTD capacity and capability (human potential: number of new researchers and training of research staff [ii], improvement of research management [iii], scientific equipment [iv]) as well as the quality of research [v] carried out by the selected research entities;

3. Improved research capacity for increased contribution to regional economic and social development [vi];

4. Improvement of the potential of the selected research entities to participate in FP7 projects [vii] and other important European programmes [viii].

So, as explained for the highlighted statements interpreted previously, you have to say something in your proposal about every one of the funder's expected impacts for projects (as demonstrated by the eight highlighted impacts above). If you don't write text to demonstrate that every expected impact will be achieved (for example you say nothing about improving research management [iii]), then you risk losing valuable marks during your proposal evaluation and you won't get the money! Therefore, even if you cannot think of anything obvious to write about one or other of the expected impacts, such as increasing your institution's contribution to regional economic and social development project, for example, you have to invent something to say, either as an immediate project impact or as a longer-term impact, however big a challenge this may be for you!

['It cannot be seen how the research entity's visibility on a European scale will be increased.' 'A detailed description of the contribution to the regional capacity building is missing.' 'The proposal does not describe how the proposed activities will have an impact at the European and International levels.']

➢ **Stakeholder impact:** assuming you have been through the process of identifying your different types of project stakeholders, you need to say something about how your project will impact each of your stakeholder groups, even if only to keep them informed of project progress and achievements through e-newsletters, or regular project meetings, for example.

['It is not clear enough how producers, end-users, policymakers, etc., would use the R&D results in the future.' 'The proposal does not give plans to involve key actors and stakeholders in the specific research sector such as the relevant Ministry, and the industrial sector.']

➢ **Beneficiaries' impact**: this should be the easiest output for you to describe as this is why you put your project idea together. Try to quantify wherever possible how great the impact on your project beneficiaries will be (expected economic benefit in monetary terms, expected number of people to be given new skills, expected size of a new database, expected publications arising from a research project, etc.).

['It is unclear how an upgraded RTD capacity in terms of human potential and strategic partnership will be achieved.' 'The additional research capacities to be gained and the exploration of research from this proposal are not clearly stated.']

✓ **Sustainability:** say something about what will happen after the project money stops coming in. A large number of project proposals fail because they do not provide any or at least some convincing evidence of sustainability beyond the end of the project. Build in aspects of training both for your staff and for project beneficiaries, as new skills will always be sustainable. Say how these new skills will be exploited in the future to provide sustainability. Maybe include activities in the project to prepare further project proposals to build on the progress and achievements of this project. Look for other ways to maintain the momentum achieved from this project, and especially any 'multiplier' opportunities. The catchphrase "training the trainers" would be a good example of a project multiplier activity.

Materials adapted from Prof. Dr. Steve Quarrie 'Secrets to success with project proposals" 2013

['The sustainability after the end is not visible in the programme.' 'Measures to make results sustainable beyond the project funding have not been fully explored ... - dissemination actions need to be planned throughout the project duration and beyond to create a durable impact.']

✓ **Value for money:** make sure you have justified all of your activities as being essential to achieve all your project objectives and have also calculated a realistic cost (meaning as low as you can objectively make it!) for each activity, or you won't get the money, as explained above. Programme administrators will typically divide the person-months you plan by the total project cost to get an approximate cost per person-month. If your average cost per person-month looks too high, then your proposal will be in trouble! A very large proportion of proposals for EU funding get negative ESR comments for aspects of the budget. Here are just a couple of examples:

['The value for money potential is very low, as there is no single statement ... justifying what will be achieved with so much funding.' 'Therefore it is not possible to justify that the ... project team, consisting of 14 research groups from 7 departments, will give value for money.]

➢ **Publicity:** you have to describe an effective dissemination strategy for your project, so that every one of your stakeholder groups is kept informed on a regular basis of project outcomes and achievements. If nobody knows what you are doing, then your impact will be zero, so why give you the money? The European Commission provides a good web site aimed at helping scientists with their dissemination strategies. Many aspects of this Guide to Successful Communications for research and innovation projects would be relevant for any EU-funded project. It can be accessed at the web address: http://ec.europa.eu/research/science-society/science-communication/index_en.htm.

✓ Your project must be publicized to all its stakeholders, in the country, region and beyond. So, as well as project meetings, conferences, and workshops with poster and oral presentations, make sure you will disseminate your activities to local, national and international media. Maybe you could have regular press releases to advertise your project, its progress and how it can help national and international society/economy/ scientists/policy-makers, etc. Media communications will be important, so try to identify and name someone in the proposal to be in charge of this. Consider a media training course as a project activity to ensure staff can communicate with non-specialists to explain their work and its importance for your country/EU, etc.

Alternatively, maybe one of your consortium partners could be included specifically for their expertise in dissemination activities (publicity in the form of press releases, leaflets, media interviews, e-newsletters, etc.). Please note: There are of course limits in what you publicise, keep in mind the clause "Upon a duly substantiated request by a beneficiary, the Commission may agree to forego such publicity if disclosure of the information would risk compromising the beneficiary's security, academic or commercial interests."

✓ An important means of communication nowadays is a project website. Many websites of Serbian institutions are not very informative or dynamic, and information on individual projects is often limited to only a summary and partner names, and never updated! Your project could be an opportunity for someone to be appointed to upgrade your institution's website and make it more informative to people both nationally and internationally, which means text in English as well as the local language. You should include a search engine on your website. Also, note that a project website as a page within your institution's website will give you more search 'hits' than a stand-alone project website.

✓ Maybe you could include a discussion board on your website where people can write 'blogs' on relevant subjects (consumer concerns, new products, topical relevant news items, etc.), or perhaps an electronic newsletter on your website. You should consider building in links to other major institutions relevant for your project areas of interest? This is where saying the same things that everyone else says will not win you any prizes in the form of money for your project!

['Methods for the dissemination of the new knowledge (website, annual bulletins, media, etc.) are too general, and are not appropriate to approach regional users and industry.' 'Standard dissemination activities are included: web page, participation at conferences, three workshops including also brokerage events. The level of detail in description of these activities is not sufficient. Detailed and concrete plans to engage relevant stakeholders on the national and international level are missing.' 'The dissemination activities are appropriate but not sufficiently detailed or planned.' 'Dissemination mechanisms foreseen in the project are likely to impact [only] to some extent on general public awareness.' 'It is unlikely that these two events will be sufficient to widely disseminate the project results.']

Your project activities (the work to be done and creation/buying of new resources to facilitate this) determine the extent to which you will get from your starting point (short blue bar) to the target end point when the project funding stops (tall blue bar). Your description of these activities must convince evaluators that the height of that bar is realistic and well-defined.

➢ **Think about the definition of a project:**

Materials adapted from Prof. Dr. Steve Quarrie 'Secrets to success with project proposals' 2013

A project is a series of activities aimed at achieving specified objectives. So, by definition, if you don't describe your activities then the evaluators will have no idea whether you will achieve your stated objectives or not. The activities are what you will do during the project to achieve your project objectives [the steps up the ladder joining the two bars in the figure].

Therefore, just like giving definition to the first and second blue bars in the figure by describing all the relevant project inputs and outputs above, a key component of your philosophy for success is to give sufficient definition to your activities to remove any possibility of "fog" there as well.

In the figure below, each of your activities is shown as a red bar in the Gantt chart of time lines. If you don't give sufficient definition to each of those activities then the vertical axis of the series of steps in

the figure loses definition and you create "fog" in the right-hand blue bar. "Fog" means your proposal will not be the best and you won't get the money!

How will you prevent any "fog" in the steps (and thus in the second bar) as you describe the project activities? Consider the types of information about your activities that you will need to provide to the evaluators. You need to describe the activities with enough detail for evaluators to know that:

- ✓ you know what to do (giving evidence of previous relevant experience and skills)
- ✓ your methods are appropriate to achieve your project objectives (they will clearly achieve the desired outcomes in the time planned)
- ✓ your methods are quantitatively appropriate (enough person-months, but not excessive) to achieve all your project objectives
- ✓ you clearly have (or will have, funded by the project) all the resources needed to achieve all the project outcomes in the time planned
- ✓ you have identified problems and planned to overcome them (risk analysis demonstrated)
- ✓ your project finishing point will be significantly further advanced than your starting point (impact).

Doing and presenting a risk analysis of your planned activities is particularly important. Evaluators and EU programme administrators, from previous experience, will often have a good idea of activities that inherently carry significant risks. Therefore, failure to demonstrate you have carried out your own risk analysis will put

your proposal at risk of not getting the money! Of course analysing the risks is only the first step: for each risk you have to explain what to do if it really materialises. Will you just stop the project or do you see an alternative? In other words you need a contingency plan. However, on the other hand, identifying any activity as having a high risk of failure or only partial success is likely to raise question marks in the minds of the evaluators. You need to find the right balance. Research and Development projects are funded by the EC because they inherently carry some risk, if there was no risk at all to achieve a project objective, why should tax-payers' money spent on developing it? On the other side, why should they give you money for a high-risk project?! By their very nature, avoid any high-risk project activities

For example, consider statement [6] above: [6] challenges such as 'brain gain' and the accompanying interpretative comment "Identifying and getting the agreement of an incoming research expert should be done before the proposal is submitted and not as an activity within the project itself." If you make no attempt before proposal-submission to find any incoming expert but plan to do this during the project, then the evaluators could regard this as a high-risk activity with negative consequences for your proposal evaluation (you don't get the money)! Please note: this example refers more to organisational risk but not to scientific or technological risk in R&D.

Best practices for proposal preparation
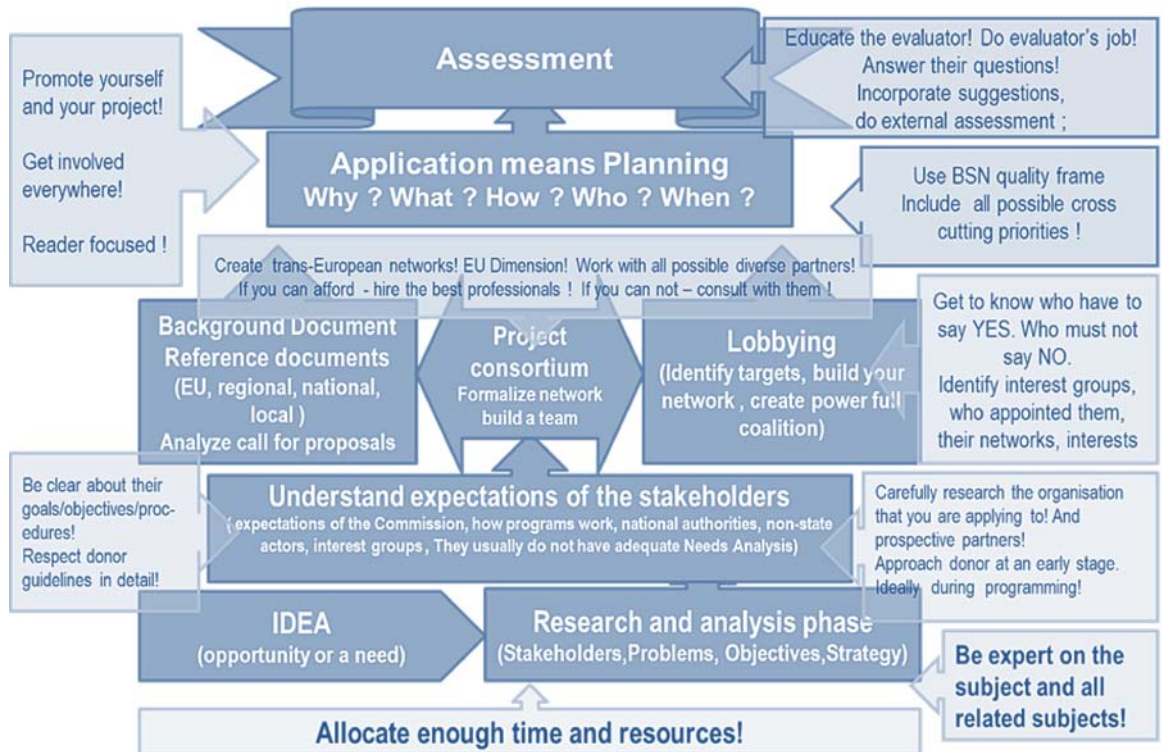
To assist you in understanding the concept of stakeholders, and development of adequate communication strategy, we will create a picture below with a view from above at the circle that represents your project "Universe". The charts represent factions or groups of stakeholders connected in some way. The small circle in the middle is your project. And temporary balance of power prevents things from moving on.

Typically, the process of stakeholder's analysis leads to the creation of coalition with enough power to move the situation in some direction. Powerful coalitions usually neglect to include counter-factions and consequently achieve only short term impact, if any at all. Immediately after the EU funding ends, the overall progress towards the EU policy implementation remains poor or the situation worsens.

A view from above at the project challenges

Adapted from Adaptive
Leadership: Challenges
and Opportunities,
Minds at Work
workshops
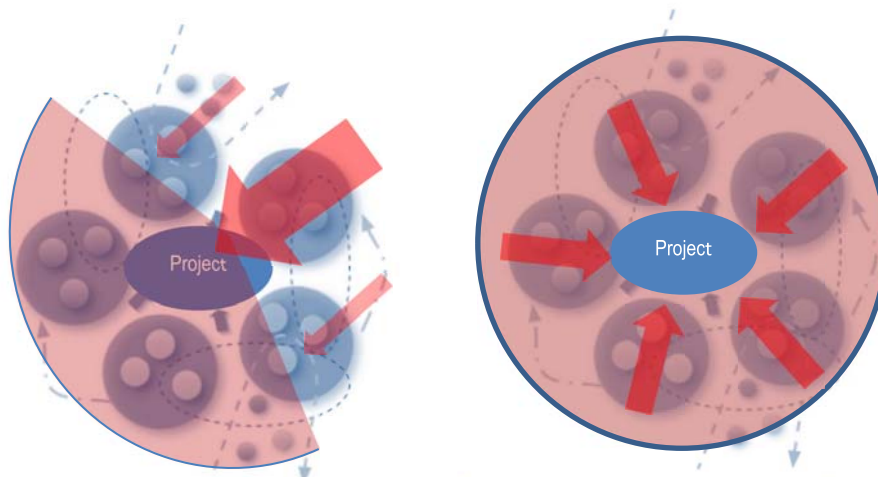
A typical EU project will move the focus issue from a balanced position into the area controlled by high-power/high-interest collation of stakeholders. And usually result in short term benefits for the immediate inner circle of power. In time, power balance will change and create a new project opportunity to move the focus issue under control of a new coalition and improve situation. Contrary to common intervention logic and project design strategies BSN methodology suggests that you elevate the entire "project Universe" closer to the EU policy objectives, through timely and adequate inclusion of all relevant stakeholders.

Excellence in project design puts you in front of a challenge to include all factions, and avoid monopoly of powerful coalitions so you may generate **sustainable changes.**

Use Project Initiative Diagnostics tool to identify main stakeholders' factions:

- ✓ Who are the mayor stakeholders for your project initiative? (Key players)
- ✓ What are their formal relationships? Informal Relationships? Are they grouped in some way?
- ✓ Where is the senior authority on the issue? Who gets to decide?
- ✓ What issues or values does the project leader represent to the other stakeholders?
- ✓ How does the situation look to the other key players?
- ✓ What is the story they are telling themselves? What are the underlying or hidden issues?
- ✓ What options are off the table for the project leader and why?
- ✓ What has the presenter contributed to the problem? What is her/his piece of the mess?
- ✓ What possible interpretations has the project leader been unwilling to consider?
- ✓ What would successes look like to the players other than the project leader?
- ✓ What is the adaptive challenge for the stakeholders and for the project leader?
- ✓ What are the value choices each has to make?

Adaptive challenges

QUESTION	TYPE OF CHALLENGE	MAIN CHARACTERISTIC	WHAT IS REQUIRED
Is the group or subgroup refusing to face some aspect of reality?	**Activist**	Group refuse to face aspect of reality. e.g. loosing young stuff	- Provoke group to reconsider and modify values assumptions or priorities.
Does the group lack capacity or resources to do the job or respond to future demands?	**Development**	Can improve performance if latent abilities more effective	- Generate a process to build capabilities
Does the culture need to change to respond to current or emerging reality?	**Transition**	Gains possible if change a core value set e.g technical in focus to relationship oriented	- Orchestrate culture change – re fashion loyalties, attitudes and behaviours
Does the group need to sustain its core values and practices because it is under threat?	**Maintenance**	During pressure must protect what most of value	- Be clear about what is precious and what is expendable
Does the group need to invent new ways in order to do things very differently?	**Creative**	Opportunity available for innovation if can break from routine e.g. new policy initiative	- Ignite imagination instil attentiveness and build structures to foster energy and creativity
Is the group facing explosive circumstances (and the value it has built threatened)?	**Crisis**	Face potentially explosive situation that threatens life or order	- Despite explosiveness listen to anxiety, work on underlying unresolved challenged, manage stakeholders

Next, you should master the use of project proposal writing tools described below.

Project Environment Folder PEF

Materials adapted from
Bosko Nektarijevic
lectures BSN 2010

In order to respond to EC expectations PEF is an effective tool during research and analysis phase to manage the large amount of necessary information! You need to create a folder to store all relevant documents. PEF enables effective document and information management, sharing work with the team, and overcoming language barriers.

First steps are to download into PEF all relevant documents:

✓ Policy level: relevant EU Policies for your project initiative, strategies, action plans..

✓ EU Funding Programme level: work programmes, action plans, guidelines, FAQ ...

✓ Project level: market/industry analysis, research papers, publications, project models..

✓ Regional National and Local level (if relevant) ..

✓ and other relevant non-state initiatives important for your project idea ..

The need that the proposal is addressing must be well documented and all concepts must be well-articulated in the proposal. The EC wants to know that a project reinforces the overall direction of an organization and relevant EU Policy implementation, and they may need to be convinced that the case for the project is compelling. You should collect background data on the need to be addressed so that your arguments are well documented.

If you compare project design with construction works, PEF is the "warehouse for building materials'. Once you create a PEF for some sector (in example Energy Efficiency) , you may use it during your entire career for new projects. And update it at the time of need. Therefore, it's very important how you save and name your document into PEF. Ideally names of the documents should reflect the level where they are coming from and indicate what's the content (like: "EU ICT Policy summary", "National strategy for poverty reduction" etc.) And it may be equally important to state somewhere in the document where you found it, and what the source is where you may get updated info.

You should collect as much information as you can about the problem your organisation is intending to address. There can hardly be more information than needed in your PEF. The information must be valid and credible. You can use official reports and publications, academic research papers, newspaper articles, and collect your own data through interviews and surveys and other research techniques;

Project background document PBD

A well prepared project background document may account sometimes for 80 % of a successful project. The PBD is an effective tool for evaluation oriented project proposal writing. It enables you to keep focused on the crucial points for evaluation; to create synergy out of team's strengths, and provide the evidence for your statements using the language and terminology that evaluators have to take into account. PBD is essentially **customised application form** and it should be created in following sequence of steps:

1) Download project **Application form** and copy main headers and instructions from the **Guidelines for applicants** into a word.doc or similar editable file;

2) Add **evaluation criteria and questions for evaluation into the template** where it's appropriate;

3) Copy all **relevant paragraphs and sentences** (following examples above) from PEF that proposers should respond to into the Background document;

4) Answer all the evaluators' questions using and adjusting the words and phrases from PEF.

Answering the Evaluators Questions

Materials adapted from
Bosko Nektarijevic
lectures BSN 2010

In order to assist successful evaluation of your project proposal it is very effective to take into consideration evaluation criteria as early as possible in the project design stage and to answer evaluators' questions, during the proposal writing. For each one of all evaluation criteria's stated in the GfA and Work Programmes you should provide evidence-based answers how your project will perform to a mark.

To make a practical example, if the EC expects your project to contribute to successful implementation of the ICT Policy. Here is an illustration how you can answer evaluators questions using the words and phrases from PEF and Background document.

ICT policy objective:

"If the EU is to have an efficient and competitive economy:
1. businesses and individuals must have access to cheap, high-quality communications infrastructure and a wide range of services
2. we must all be able to obtain the skills needed to live and work in the information age."

Example of the adjustments you can make:

"During the second year of the project 120 experts will be trained (to use ...) and obtain the skills needed to live and work in the information age. This will clearly contribute to achieve the second EU ICT policy objective*

Make sure that it is easy to understand and based on your research and stakeholder analysis. Do not copy entire sentences and paragraphs of the work programme or other people's projects as this won't get you far. Recently in one of the guides for evaluator's instructions it was stated that in this case project may be awarded 1 point. However, if you use the words, phrases and sentences wisely you may overcome language barriers, demonstrate how you clearly understand expectations of the EC, as well as your in-depth knowledge of the subject, especially on-going and previous actions and provide necessary evidence to evaluators.

NADIA structure

Materials adapted from Prof. Dr. Steve Quarrie 'Secrets to success with project proposals" 2013

NADIA (**N**eeds **A**nalysis – **A**ctivity **D**escription – **I**mpact **A**nalysis) structure should become a habit of the mind while you are writing about activities. It will ensure that you provided sufficient amount of details to provide the evidence to convince evaluators that each activity will achieve planned impact.

Example of the statement with inadequate structure:

"One of our young R&D scientists will spend one month in project year 1 at Institute X in Paris to be trained in how to use an ABC machine."

Example of well-structured statement:

Needs analysis

"Our institute currently has no ABC machine, though we plan to buy one in project Year 1, as it is essential to develop the diagnostic tests of Objective 4.

Activity description

Thus, 1 of our talented scientists will work in the institute of Dr X in Paris for 1 month immediately before commissioning the ABC machine. Dr X has used ABC since 1998 and she has two machines, one of which is regularly used to train visiting workers.

Impact analysis

Upon return to our institute, the young R&D scientist will help commission the new ABC machine and give training in its use to others to ensure dissemination and sustainability of the newly-acquired expertise."

Adjust the amount of detail you give to describe the work/tasks to be done according to the project scale and type. A small-scale project for your first proposal (e.g. a staff training visit) would need more description of day-to-day activities than a large international collaborative project by experienced staff.

➢   **It is very important to format text to make it easy for the evaluators to read.**

Use subheadings, indents, and break up text with tables or pictures occasionally. For most of the funding programmes the GfA gives a very detailed structure of the main proposal text with headings and sub-headings. Use exactly this structure, do not change the text of the given sections and subsections and do not omit any in your text. Usually evaluators have limited time to analyse proposals and often they have different cultural, educational, or sector background. It's important to keep the evaluator interested in the proposals, and not overload with information. Format text in such a way so that the evaluators receive the key information easy and /trouble-free/ without unnecessary effort. Present the key information in different formats so it may sink in more easily, and keep the evaluator focused and concentrated.

Create a Log Frame (if needed)

This is a project design and management tool, which provides a means of checking the internal logic of the project plan. The tool enables the planners to think about how they will monitor and evaluate the project right from the start. The key information about the project is brought together into one document - the log frame - that provides a summary as well as a basis for the preparation of action plans, development of a monitoring system and a framework for evaluation. This is a core tool used within Project Cycle Management. The LFA is illustrated below
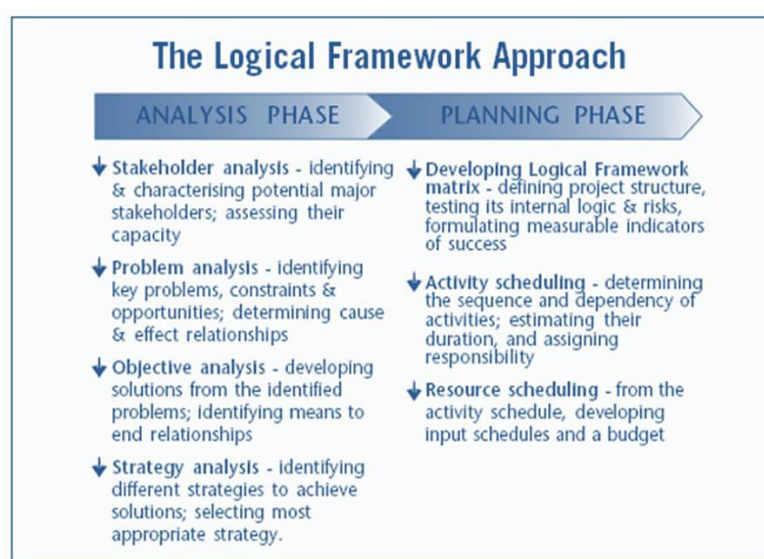
The Logical Framework consists of a matrix with four columns and four (or more) rows, which summarise the key elements of a project plan, namely: the project's hierarchy of objectives, in other words the Project Description or Intervention Logic; the key external factors critical to the project's success, called Assumptions; and how the project's achievements will be monitored and evaluated, also known as Indicators and Sources of Verification.

The typical structure of a Logframe Matrix is shown below. The Logframe also provides the basis on which resource requirements, or inputs, and the costs or budget are determined

Materials adapted from
Project Cycle
Management Guidelines
2004

	Intervention Logic	Objectively verifiable indicators of achievement	Sources and means of verification	Assumptions
Overall Objectives	What is the overall broader objective to which the project will contribute?	What are the key indicators related to the overall objective?	What are the sources of information for these indicators?	
Project Purpose (Sometimes written as 'Specific Objectives')	What are the specific objectives which the project shall achieve?	What are the quantitative or qualitative indicators showing whether and to what extent the project's specific objectives are achieved?	What are the sources of information that exist or can be collected? What are the methods required to get this information?	What are the factors and conditions not under the direct control of the project which are necessary to achieve these objectives? What risks have to be considered?
Expected Results	What are the concrete outputs envisaged to achieve the specific objectives? What are the envisaged effects and benefits of the project? What improvements and changes will be produced?	What are the indicators to measure whether and to what extent the Project achieves the envisaged results and effects?	What are the sources of information for these indicators?	What external factors and conditions must be realised to obtain the expected outputs and results on schedule?
Activities	What are the key activities to be carried out and in what sequence in order to produce the expected results?	Means: What are the means required to implement these activities, e.g. personnel, equipment, training, studies, supplies, operational facilities, etc.?	What are the sources of information about project progress?	What pre-conditions are required before the project(s) start(s)? What conditions outside the project's direct control have to be present for the implementation of the planned activities?

Refine the overall aim and specific objectives

The overall objective(s) explains how the project will contribute to realizing a concrete goal. The specific objective(s) explains the changes that will be the result of your project and that contribute to the realization of the overall objective. Keep the number of objectives realistic and achievable. Above 3 to 4 specific objective(s) this is usually not the case. Formulated overall and specific objectives are later copied in the Logical Framework that is required by some of the EC funding programmes.

Materials adapted from
Bosko Nektarijevic
lectures BSN 2010

Your overall objective should ideally contribute to successful implementation of: EU policy, program, regional, national and local strategies, through intervention to solve a problem or improve situation. Stakeholder analysis should help you clearly identify problems of your target group. Problems will lead you to the objectives; objectives to the best strategy and methodology. And finally methodology to expected impact and sustainability.

Best practices while defining the overall aim for external aid funding programs are to use following structures:

✓   *The overall aim of the project **is to contribute to** ... (successful implementation of EU Polices, national priorities, local strategies) for (some specific area and target group) .... through creation of .... (platform, mechanism, action, office, centre, team) for .... (solving some specific problems, improving situation, policy advancement, capacity building, better communication and collaboration) .. **that will ensure** .. (some results) .. and (make a lasting impact)*

You may design this sentence as a 'Lego' by shifting different sentences of the **Background Document** in different positions. And gradually refine them to fit the needs of your target groups.

It is crucial to demonstrate clearly that your overall objectives and specific objectives respond to the objectives of the Call for Proposals or Programme objectives and priorities, to incorporate national and local priorities and take into consideration other related initiatives of non-state actors;

Materials adapted from
Project Cycle
Management Guidelines
2004
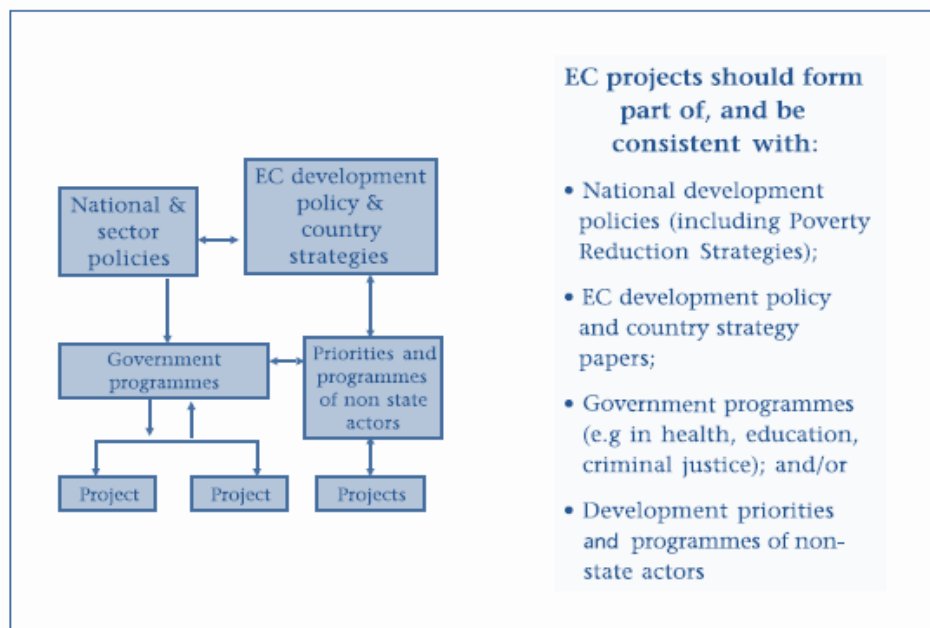
Please use **Logical framework approach** and **benefit generators** while defining the overall aim and specific objectives. The Project will produce, when put to use, benefits, which will satisfy the needs and concerns.

Generates	Widens	Achieves	Reduces
Ensure	Gives	Gets	Means
Supports	Minimizes	Forces	Teaches
Trains	Increases	Decreases	Reflects
Protects	Creates	Allows	Enables
Permits	Blends	Provides	Tells
States	Supplies	Includes	Makes
Develops	Replaces	Highlights	Completes
Rejects	Accepts	Assists	Applies
Builds	Produces	Maintains	upgrades
Extends	Expands	Establishes	Employs
Demonstrates	Contributes	Improves	Advances

BENEFITS are a direct derivative of a feature or a good result of a proposed action or deed. A benefit results from a feature being utilized (put to use). Benefits answer the questions: How will features help me? What will they do for my situation? Benefits 'sell' the project. However, in order for a benefit to be realized, a claim must be made and proof presented. This is critical and must be mastered. In order to utilize the concept of features and benefits effectively, it is important to understand benefit generators. Benefit generators are action words that serve to convert a feature into a benefit.

➢   *Some useful quotes form high level EC officials:*

✓   " Aim of the proposal is to solve a problem EC/Donator has identified"

✓   "EC Guidelines tell you What they wont You must know Why !"

✓   "A project addresses an issue or a need, such as a need in a community or a need for policy reform".

Work Breakdown Structure WBS

Materials adapted from Project Management – the managerial process by Eric W.Larson and Clifford F. Gray
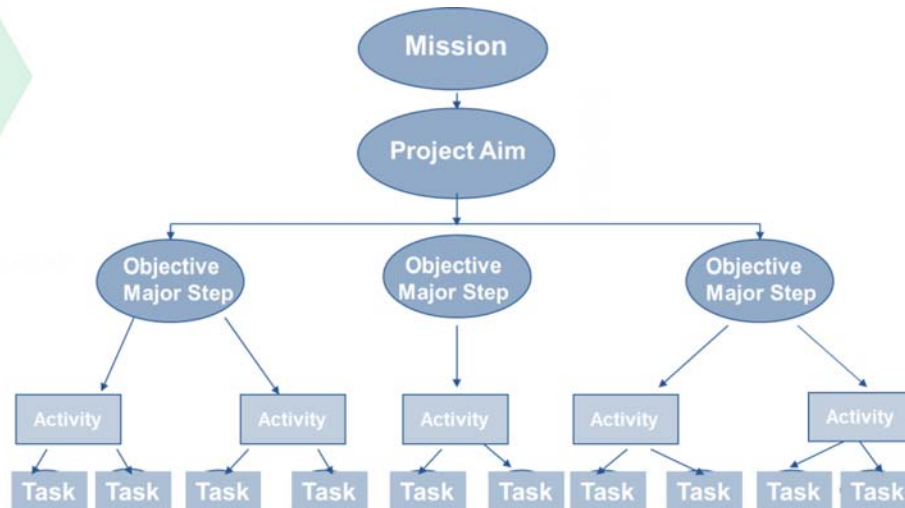
- ✓ Begin with the Overall Aim, focusing on Objectives and Deliverables
- ✓ Break the main objectives(s) down into sub-categories of activities
- ✓ Set the structure to match how you will manage the project
- ✓ Lowest level not too detailed, not too large
- ✓ Is there a need for Integration?
- ✓ Identify support activities
- ✓ Check for completeness - is all the effort included?
- ✓ Develop a coding structure if needed
- ✓ Assign work package managers

The Work Breakdown Structure (WBS) describes the division of the project into work packages. The work packages can be sub-divided into 'tasks' and the 'tasks' should be built around the deliverables. Figure bellows shows how to start making WBS on a concrete H2020 example.

Example:

SFS-18-2015: Small farms but global markets: the role of small and family farms in food and nutrition security

Scope: Proposals should thoroughly assess the role of family farms and other small food businesses and particularly those with small structures in achieving sustainable FNS, evaluating the means by which such entities could respond to the expected increase in demand for food, feed and fibre under ever scarcer resources, as well as providing evidence and developing tools to guide decision makers in the choice and combination of intensification pathways. Research should identify the optimal enabling environment for small and family farms and businesses to accomplish the aforementioned role on FNS and the multiple dimensions of sustainability with respect to infrastructure, supply chain and governance needs. Foresight activities should be carried out to project the potential weight and role of the aforementioned entities in a few decades' time, regarding the various dimensions of sustainability, including the challenges of less developed countries' growing rural densities. Research work should build upon existing knowledge and take into account activities related to the 2014 International Year of Family Farming and Smallholder Farming. In line with the objectives of the EU strategy for international cooperation in research and innovation and in particular with the implementation of the EU-Africa dialogue, proposals are encouraged to include third country participants, especially those established in Africa and Asia.

As we had already demonstrated in H2020 section above, the next steps are to identify key objectives and break the main objectives down into sub-categories of activities.

Scope: Proposals should thoroughly assess ~~role of family farms~~ and other small food businesses and particularly those with small structures in achieving sustainable FNS, evaluating the means by which such entities could respond to the expected increase in demand for food, feed and fibre under ever scarcer resources, as well as providing evidence and review on guiding decision makers in the choice and combination of intensification pathways. Research should identify the optimal enabling environment for small and family farms and businesses to accomplish the aforementioned role on FNS and the multiple dimensions of sustainability with respect to infrastructure, supply chain and governance needs. Foresight activities should project the potential weight and role of the aforementioned entities in a few decades' time, regarding the various dimensions of sustainability, including the challenges of less developed countries' growing rural densities. Research work should build upon existing knowledge and take into account activities related to the 2014 International Year of Family Farming and Smallholder Farming. In line with the objectives of the EU strategy for international cooperation in research and innovation and in particular with the implementation of political dialogue, proposals are encouraged to include third country participants, especially those established in Africa and Asia.

WP: Assessment of small farms

WP: Tools for decision makers

WP: Enabling environment

WP: Foresight study – long term

WP: Third countries

Than you set the structure to match how you will manage the project.

Work plan - The following is an example of text from a call. The exact text may vary between actions and between calls for proposals. The exact text will be defined in each call.

3.1 Work plan — Work packages, deliverables and milestones

Please provide the following:

➢ *brief presentation of the overall structure of the work plan;*

➢ *timing of the different work packages and their components*

➢ *(Gantt chart or similar);*

➢ *detailed work description, i.e.:*

➢ *graphical presentation of the components showing how they inter-relate*

➢ *(Pert chart or similar).*

➢ *a description of each work package (table);*

➢ *a list of work packages (table);*

➢ *a list of major deliverables (table);*

Give full details. Base your account on the logical structure of the project and the stages in which it is to be carried out. Include details of the resources to be allocated to each work package. The number of work packages should be proportionate to the scale and complexity of the project.

You should give enough detail in each work package to justify the proposed resources to be allocated and also quantified information so that progress can be monitored, including by the Commission.

You are advised to include a distinct work package on 'management' (see section 3.2) and to give due visibility in the work plan to 'dissemination and exploitation' and 'communication activities', either with distinct tasks or distinct work packages.

You will be required to include an updated (or confirmed) 'plan for the dissemination and exploitation of results' in both the periodic and final reports. (This does not apply to topics where a draft plan was not required.) This should include a record of activities related to dissemination and exploitation that have been undertaken and those still planned. A report of completed and planned communication activities will also be required.

If your project is taking part in the Pilot on Open Research Data, you must include a 'data management plan' as a distinct deliverable within the first 6 months of the project. A template for such a plan is given in the guidelines on data management in the H2020 Online Manual. This deliverable will evolve during the lifetime of the project in order to present the status of the project's reflections on data management.

Evaluation Criteria for the Quality of Implementation

Experts will indicate whether the participants meet the selection criterion related to the operational capacity, to carry out the proposed work, based on competence and experience of the individual participant(s);

- ✓ 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.
- ✓ The success of any project depends on the science, the work plan and the implementation of the work. This chapter describes how to write the 'Implementation.

Comments by Evaluators on Implementation

➢ The following are comments from Evaluation Summary Reports (ESR)

➢ ...the allocation of the resources is not clear

➢ The use of resources is overestimated and some of the claimed consumables of the partners are not sufficiently justified

➢ The overall project management is inadequate and no management work package is planned in the work plan

➢ There is no methodology for monitoring and reporting progress, Conflict resolution and decision making mechanism are not convincing.

➢ The contribution of the coordinating SME to the leadership of most work packages and to most key activities may be a risk for the project; this may limit the other partners' involvement in the project. Two partners do not appear in the work plan.

➢ The experience in the leadership of European projects of the co-ordinator is not sufficiently presented.

➢ The allocation of resources for demonstration activities is overestimated. No mechanisms for conflict resolution seem to be in place

➢ The proposal does not show a strong interest and commitment of the participating SMEs and it looks as if the RTD performers are in the driver's seat rather than the SME participants.

➢ A far bigger project is needed to guarantee the success and achievement of all deliverables.

➢ ...the data presented in the proposal is not sufficient or in some cases erroneous (financial) information (refers to another project) is provided.

➢ The individual participant description is very short and some participants are missing

Scientific Skills and Partners

The first diagram that should be drawn when planning the work is a description of the skills needed in the project and a list of partners undertaking the different tasks. Some proposals use a `Skills Matrix' (Skills versus Partners). Figure that we previously used in H2020 section is an example of the skills needed in an ICT project. This diagram clearly shows the different skills and technologies that are needed in the project and how they are integrated. It also shows the roles of the partners.

Work Package Description

Work Package No			Start date or starting event:								
Work Package Title											
Participant Number											
Person-months per participant											

Objectives

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

Deliverables (Brief description and month of delivery)

It is very important to put effort into the final layout of the document. It should look professional. This extra effort should make it easy for the evaluator to understand the management plans of the proposal.

If the proposal is accepted, these tables will be very important in the negotiation of the grant agreement. The final grant agreement will include tables 3.1a.

Deliverables: A good tip is to have one Major Deliverable and one Minor Deliverable. This is not an official rule or guideline but a practical one.

The European Commission has refined this table over 23 years of running the Framework Programmes. It is a very logical table and could be used in any research (or commercial) project.

Deliverables List

In Horizon 2020, 'Deliverables' are the 'payment criteria'. In this Table the Commission is asking that the 'payment criteria' for the project be defined. In Horizon 2020 projects, there are two types of deliverables. The 'Grant Deliverables', such as the annual reports, are specified in the grant agreement. Secondly, the 'Scientific (or Project) Deliverables' are produced in the project. Table 3.1c is a list of the 'Scientific (or Project) Deliverables'. A rule of thumb should be, one major deliverable and one minor deliverable per work package. Each deliverable should be linked to a 'task'.

Defining Deliverables

It is important to have clearly defined deliverables. The European Commission likes to have reports as deliverables. For example, if a workshop is organised, the workshop report should be the deliverable. If a prototype sensor was developed, the deliverable would be a report on the performance of the sensor.

Avoid specifying a scientific target as a deliverable. As the research progresses, it may be discovered that the scientific targets cannot be met.

For example in the following project the researchers specified that the consortium would develop "a sensor that would measure hydrocarbons in water to an accuracy of 20 parts per billion." Half way through the project, the partners realised that the target of 20 parts per billion was unrealistic. They had to revise the agreement to change the deliverable. It would have been better if the deliverable had been described as "150 hours scientific data to assess the accuracy of the sensor in parts per billion." (In this instance, the 150 hours test is realistic and achievable).

Think SMART (Specific, Measurable, Achievable, Realistic Targets).

Distribution of Effort over Work packages and Partners:

This tool is effective to identify weaknesses in a work plan.

Materials adapted from
Dr. Thies Wittig
lectures, IT Consult
2012

	WP1	WP2	WP3	WP4	WP5	WP6	
P1	10	4		4		2	20
P2	2	2	2	2	2	2	12
P3			5	11		2	18
P4		12	2	12		2	28
P5			14	3		2	19
P6					6	2	8
P7					6	2	8
Total	12	18	23	32	14	14	113

By crosschecking distribution of effort over work packages and partners you can easily spot a work package that does too much (WP4) or work package nobody wanted (WP6) or partner who did not know what to do like (P2) and similar questionable ratios within the table.

Example:

Materials adapted
from Dr. Sean
McCarthy of
Hyperion Ltd 2014

Activity Partner	WP1 pm	WP2 pm	WP2 pm	WP3 pm	WP4 pm	WP5 pm	Total pm	Total ,000 €	Budget/ Work Ratio	Country
Partner 1	20	9.5	0	39	0	3	72	572	8000	France
Partner 2	26	8	3	12	13	3	65	806	12400	Sweden
Partner 3	12	0	2	3	45	3	65	558	8585	UK
Partner 4	19	3	3	6	6	1	38	190	5000	Slovenia
Partner 5	32	1.5	0	2	1.5	1	38	342	9000	Ireland
Partner 6	20	0	67	46	20	43	196	1568	8000	Belgium
Partner 7	22	38	4	12	4	3	83	1118	13470	Germany
Partner 8	26	0	0	6	6	4	42	344	8190	France
Total	177	60	79	126	95.5	61	599	5498		

Table 3.5a Summary of Staff Effort

Potential Problem (too low)

Create key performance Indicators and identify sources of verification

Objectively Verifiable Indicators describe the project's objectives in operationally measurable terms (quantity, quality, time – or QQT). Specifying OVIs helps to check the feasibility of objectives and helps form the basis of the project's monitoring and evaluation system.

They are formulated in response to the question "How would we know whether or not what has been planned is actually happening or happened? How do we verify success?"

OVIs should be measurable in a consistent way and at an acceptable cost. In addition, Indicators should be independent of each other, each one relating to only one objective in the Intervention Logic, i.e. to either the Overall Objective, the Project Purpose or to one Result. For example, indicators at the level of a Result should not be a summary of what has been stated at the Activity level, but should describe the measurable consequence of activity implementation. It is often necessary to establish more than one indicator for each objective statement.

For example one indicator may provide good quantitative information, which needs to be complemented by another indicator focused on qualitative matters (such as the opinions of target groups). At the same time, the trap of including too many indicators should be avoided. The guiding principle should be to collect the minimum amount of information required to help project managers and evaluators determine whether objectives are being/have been achieved.

The meaning of an Objectively Verifiable indicator is that the information collected should be the same if collected by different people (i.e. it is not open to the subjective opinion/bias of one person). This is more easily done for quantitative measures than for those that aim at measuring qualitative change.

The source of verification should be considered and specified at the same time as the formulation of indicators. This will help to test whether or not the Indicators can be realistically measured at the expense of a reasonable amount of time, money and effort. The SOV should specify:

✓ How the information should be collected (e.g from administrative records, special studies, sample surveys, observation, etc) and/or the available documented source (e.g. progress reports, project accounts, official statistics, engineering completion certificates etc.)

✓ Who should collect/provide the information (e.g. field extension workers, contracted survey teams, the district health office, the project management team)

✓ When/how regularly it should be provided. (e.g. monthly, quarterly, annually, etc.) In order to support institutional strengthening objectives, avoid the creation of parallel information systems, and minimize additional costs, the first point of call should be to see if the required information can be collected through existing systems, or at least through supporting improvements to existing systems. For the 'big picture' the Bureau of Statistics, local research agencies, donor and business reports may be useful sources. At the local level _ civil society organizations, local government agencies and other service delivery agencies are likely to be keeping records that can provide relevant information to project implementers. The main point is to build on existing systems and sources (where possible and appropriate) before establishing new ones.

Project description	Indicator	Source of Verification
Purpose Improved quality of river water	The Indicator: Concentration of heavy metal compounds (Pb, Cd, Hg) and untreated sewerage The Quantity: Is reduced by 25% compared to levels in 2003 The Quality: And meets established national health/pollution control standards The Time: By end of 2006	Weekly water quality surveys, jointly conducted by the Environmental Protection Agency and the River Authority, and reported monthly to the Local Government Minister for Environment (Chair of Project Steering Committee).

Gantt chart and critical path

The Gantt Chart defines the time scales for the different work packages.

A Gantt chart is a type of a bar chart, developed by Henry Gantt, which illustrates a project schedule. Gantt charts illustrate the start and finish dates of the terminal elements and summary elements of a project. Terminal elements and summary elements comprise the work breakdown structure of the project. Some Gantt charts also show the dependency (i.e., precedence network) relationships between activities. Gantt charts can be used to show current schedule status using percent-complete shadings and a vertical "TODAY" line as shown here.
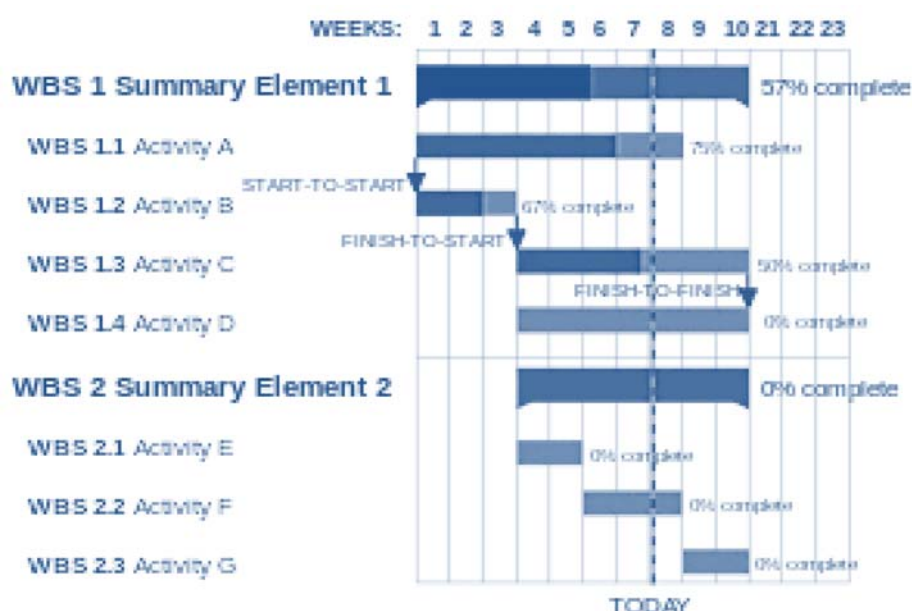
Although now regarded as a common charting technique, Gantt charts were considered revolutionary when first introduced.[1] In recognition of Henry Gantt's contributions, the Henry Laurence Gantt Medal is awarded for distinguished achievement in management and in community service. This chart is also used in Information Technology to represent data that has been collected.

| Task	Description	Months	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
1	**Development of Methodology**																			
1.1	Workshop on user needs																			
1.2	Draft of methodology																			
1.3	Evaluation of methodology																			
2	**Specification of Integrated System**																			
2.1	Inventory of resources in selected regions																			
2.2	Review of existing facilities																			
2.3	Specify technical developments required																			
2.4	Impact analysis of different scenarios																			
2.5	Prepare detailed business plans																			
3	**Feasibility Studies for each region**																			
	Review existing practices																			
	Review technologies (state-of-the-art)																			
	Sensitivity analysis of scenarios																			
	Report on most suitable options																			
4	**Project Management and Coordination**																			
	Dissemination of information: Workshops																			
	Milestones and Deliverables																			
	Guideline for methodology																			
	Interim Reports																			
	Business Plans for four regions											Draft					Final			
	Public Workshop on results																			
	Final Report																			

Named after Henry L. Gantt (1917)

Perth Chart

The Program (or Project) Evaluation and Review Technique, commonly abbreviated PERT, is a statistical tool, used in project management, that is designed to analyse and represent the tasks involved in completing a given project. First developed by the United States Navy in the 1950s, it is commonly used in conjunction with the critical path method (CPM). PERT is a method to analyse the involved tasks in completing a given project, especially the time needed to complete each task, and to identify the minimum time needed to complete the total project.

PERT was developed primarily to simplify the planning and scheduling of large and complex projects. It is more of an event-oriented technique rather than start- and completion-oriented, and is used more in projects where time is the major factor rather than cost. It is applied to very large-scale, one-time, complex, non-routine infrastructure and Research and Development projects. DuPont's critical path method was invented at roughly the same time as PERT.

The links between the work packages can be seen on the PERT Chart. This is the most important diagram when describing the management of a project. Figure below shows the relationship between the work packages on a concrete example.
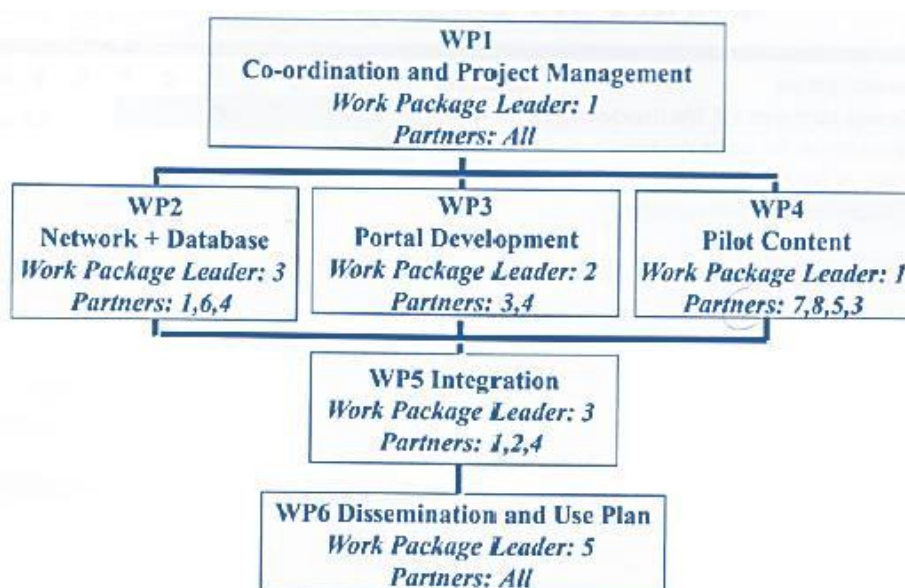
Rules for PERT Charts

✓ The division of the work must be logical. It must also be clear that the focus of the management is on the Work packages and Deliverables.

✓ The guideline specifies that there should be a Work package on 'Coordination and Management' (not necessarily Work package 1).

✓ The guideline specifies a Work Package for Exploitation or Dissemination.

✓ The Leader of each work package and the partners involved (in order of priority) should be identified.

Evaluation of the Pert Chart

✓ If all partners are in all work packages then, it is obvious, that the distribution of work was not discussed.

✓ If there is only one partner per work package, it will appear as six small projects under the umbrella of one project (not a good idea).

✓ If one partner is involved in everything, this partner may have underestimated the work involved — usually a beginner. Consider Partner 3 in Figure 9.3. This partner is leading two work packages and is involved in every work package. This is not wise.

✓ Ideal: Each partner should lead one work package and be involved in two others. This is not a strict rule, but it is a good 'rule of thumb'. It helps to focus partners on a small number of integrated tasks rather than a range of small unrelated tasks. (Partner No. 5).

✓ Floating partners! Consider Partner Number 4 in Figure 9.3. Partner 4 does not lead any work package and is the least important partner in most work packages. In fact, Partner Number 4 is floating. These people can join a project for three years and contribute very little. The evaluators are always searching for these partners. Partner No. 4 could be a very experienced scientist. If this is the case, then his/her low input into the project must be explained.

Create a Budget

Most effective way to create a budget is activity based costing. When you finalise the work breakdown structure down to the level of activities, than you can allocate necessary resources to each one, including costs. That way you have an excellent starting point to customise budget for requested format and later for managerial accounting control.

In general the budget should be

- ✓ detailed to identify, monitor and control the proposed actions;
- ✓ balanced (total of receipts = total of expenses/costs);
  Please note: usually in R&D projects you do not have any receipts – only expenses (costs);
- ✓ in EUROS.

Financial Considerations

The whole idea of getting involved in European funding programmes is to get a financial contribution to the work you want to do. Indeed, all the programmes described before in this guide contribute somewhere between 50% and 100% of the costs of a project. But this is where the commonalities between these programmes end. **Each one is governed by specific and different financial guidelines**.

Describing all of these guidelines would be far beyond the scope of this guide, so we will focus on the largest and most widespread funding programme: Horzion2020.

Two basic principles govern majority of EU funding programs and all cooperation projects: **Collaboration** and **Cost Sharing**. Collaboration simply means that all partners (or 'beneficiaries' as the term of the EC is) form a consortium where each partner has the same rights and obligation. One of them is the leader or coordinator of the consortium, with the additional responsibility for the overall financial management and the communication with the EC on behalf of the entire consortium, but without any additional rights.

It is important to understand that this budget is an indicative one, its requested funding from the EC states the maximum that can be paid to the partners but it is in no way a guarantee. The maximum contribution can only be reached if all partners have spent the cost foreseen in the budget and can prove it. The collaborative aspect also implies that the consortium has the freedom to change the budget allocations between the partners, and each partner can change the allocation to the different cost categories, for example between travel cost and personnel cost. However, whatever changes are introduced, the overall objectives of the project must remain as originally stated.

The Cost Sharing principle means that all costs incurred for implementing the project are "shared" between the beneficiaries and the EC on the basis of the funding rate. In normal business you make a contract with a client for a specific task and amount of money, and your client has a legal obligation to pay that amount in the end. In a funded project the EC supports your research or development work **up to** a specified amount. If you need more money than planned to achieve the contractually defined results, it will be out of your own pocket. If you achieve the aims and objectives of the project with less cost than foreseen, also the EC contribution will be less.

➢ **Understanding Costs: Getting it Right**

One thing you have to be clear about: You have to put some of your own money into a project! Even if the nominal funding rate is 100% it will not cover all of your cost. The explanation for this is quite simple: the EC differentiates between the 'direct' costs and 'indirect' costs. Direct costs are those related to personnel, travel, equipment etc. while indirect cost refer to the overheads each organisation has, for example office rental cost, telephone etc. Since for smaller organisations and public organisations like universities, who may not have very analytical accounting systems, it is very difficult to attribute such overhead to a specific project, the EC allows so called 'flat rates' to be applied for such indirect costs.

Direct Costs. These costs are directly related to the project:

✓ Personnel in Horizon 2020, both permanent and additional, can be charged to the project. Staff paid from Framework projects must keep 'Time sheets' to verify the costs charged against the project. Staff who are 100% working on a project do not need to keep timesheets;

✓ Equipment — equipment is allowed to depreciate over the life of the project;

✓ Subcontracting (described in previous section);

✓ Travel and subsistence;

✓ Consumables.

How Direct Costs are calculated: The direct costs are based on the 'actual' costs in each country. For example, if a researcher working in a German organisation and another researcher in a Latvian organisation are both carrying out exactly the same work, then the costs charged by the German partner will be based on German salaries and the costs charged by the Latvian partner will be based on Latvian salaries. The following is one of the most common questions in Framework projects:

Question: How much can we charge for personnel, travel, consumables etc.?

Answer: The costs that are allowed in your country.

Exceptions: In the Marie Sklodowska-Curie programme, the amount paid to the Fellows is defined in the work programme.

Indirect Costs (or Overheads): These are costs that are not directly related to the project such as rent, heating, communications. (This is described in more detail in the following page).

Total Eligible Costs = Direct Costs + Indirect Costs
Horizon 2020 Contribution to the project = % of Total Eligible Costs

Overheads (`Indirect Costs')

In Horizon 2020, a flat rate of 25% is used to calculate overheads.

There is no strict definition of overheads. It generally refers to incurred costs that are not directly related to a project. The most common overhead elements are:

- Non-productive personnel costs (personnel that do not generate income)
- Rent
- Heating, lighting
- Communications (websites, IT system)

Funding Rates

In Horizon 2020, two funding rates are used:

Research Activities: 100% of eligible costs

Innovation Activities: 70% of eligible costs

For public non-profit research organisations, Innovation activities are funded at 100%

One other issue you have to keep in mind is that the EC only contributes to cost that are in their understanding 'eligible'. In example eligible costs of a project partner within the Framework Programme are:

- ✓ The cost of **personnel** assigned to the project
- ✓ **Travel and subsistence** allowances for staff taking part in the project
- ✓ The purchase cost of **durable equipment**
- ✓ The costs of **consumables and supplies** provided they are identifiable and assigned to the project
- ✓ **Subcontracting,** provided it is foreseen in the contract etc.

Anything else that is not precisely specified by the EC is not considered as eligible. The following list, of non-eligible costs — provided by the European Commission:

- ✓ Profit (` The Community financial contribution to reimburse eligible costs shall not give rise to a profit')
- ✓ Interest owed
- ✓ Provision for future losses or charges
- ✓ Costs declared, incurred or reimbursed from another Community project
- ✓ Return of capital
- ✓ Debt and debt service charges
- ✓ Excessive or reckless expenditure

➢ **Budget calculation for the proposal**

In many other funding programmes of the EC the budget calculation in the proposal is a rather painstaking exercise resulting in many spread sheet pages of detailed figures that will be binding for your organisation if you win the proposal and start the project. In the H2020 this has always been very different and much easier: one simple table for the entire consortium is enough and this tables contains the cost estimates for each partner in terms of personnel cost, other direct cost (e.g. travel, equipment, …), subcontracting cost, and indirect cost. Neither at the proposal stage nor during the negotiation will the EC check these figures. The reasoning behind it is both simple and pragmatic: the financial contribution of the EC to your incurred cost during the project is based on the financial reports you submit every 12 to 18 months and the costs you declare must be verifiable by your accounting system. The EC has the right to audit your accounts at any time up to 5 years after the end of the project, and if something is wrong the consequences will be in the least unpleasant. So the responsibility to declare realistic estimations at the proposal stage is entirely with you, and if the

differences between these estimates and the reality are too big, not only do you need to explain this to the EC but you may also face problems with your budget during the project.

➢ **Financing rules: Reporting Costs**

Materials adapted from Dr. Thies Wittig lectures, IT Consult 2012

The guiding principle for all cost calculations (direct and indirect) is that they have to be based on the beneficiary's normal practices. This, for example, means that you are not allowed to pay your researchers a higher salary because they are working in a EU-FP project..

➢ **Best Practice Tips**

Once a project is running within your organisation:

➢ Establish internal administration procedures with your scientific team:

Materials adapted from Dr. Thies Wittig lectures, IT Consult 2012

✓ Collect the timesheet information on a monthly basis (who did the work for how many hours)

✓ Collect all invoices for travel, material, and equipment

✓ Follow up all expenditures, using the cost categories of FP7, again on a monthly basis

With this information preparing the Financial Report for the EC will be easy and avoid the unfortunately rather common delays in the payment of the EC.

Organisational challenges

Materials adapted from
Prof. Dr. Steve Quarrie
'Secrets to success with
project proposals" 2013

The next challenge is to decide whether you go ahead with a proposal, and if you do, then plan on how you organise your time to make sure that everything comes together by the call deadline.

Do you go ahead?

You need to consider the following factors:

✓ Can you (and your colleagues) commit enough time to put together a competitive project proposal? For a multi-partner international EU project you should plan to give yourself at least three months to get everything completed by the submission deadline, and preferably up to six-months to include concept planning, gathering background information, carrying out a needs analysis and identifying potential consortium partners.

✓ Can you satisfy all the eligibility criteria of the call for proposals? Once you have submitted your proposal and the call deadline has been reached, the evaluation process will start with a technical analysis of eligibility criteria.

These criteria will vary for different programmes and sometimes also for calls each year within a programme. To illustrate this point, as an example a proposal will only be considered eligible if it meets all of the following conditions:

✓ It is received by the Commission before the deadline given in the call fiche

✓ It is complete (i.e. both the requested administrative forms and the proposal description are present)

✓ The content of the proposal relates to the topic(s) and funding scheme(s), including any special conditions set out in the relevant parts of the work programme

✓ The proposal complies with the EC contribution threshold indicated for each topic in the work programme and the call fiche

✓ It involves at least the minimum number of participants given in the call fiche

Your project idea has got to fit into the needs of the specific funding scheme you had chosen. Thus, several proposals have been rejected each year as ineligible, because the activities (the description of the work to be done, which has sometimes differed from the applicant's stated project objectives!) were not going to result in achieving the funding scheme's 'Expected impact'. In the example above, if you don't have at least the minimum number of participants given in the call fiche, then your proposal will get rejected at the start of the evaluation procedure, shown in the figure above. Other funding schemes include a particular mix of partner types (industry, governmental, non-European partners, etc.) as eligibility criteria. So, if you know you can't meet the eligibility criteria for the funding scheme, do you want to waste your time by writing a proposal that won't get the money!

Can you put together a winning consortium of partners with sufficient 'Expected impact'?

Simply satisfying the minimum requirements for the funding scheme is not usually (indeed, rarely) enough to get you the money, because the level of competition in most EU funding schemes is very high. This means almost certainly that another proposal submitted at the same time as yours would have a better consortium of partners, to achieve better 'Expected impact' than yours.

For many collaborative research projects, the minimum number of partners for proposal eligibility has been three partners in three different member states or associated countries. In 2014 SME Instrument have surpassed all expectations! The first cut-off date was in June 2014, and 2 666 proposals have been submitted. In total for all Horizon calls by June 2014 the EC was over-subscribed by a factor of nine. The Commission's first set of calls totalled €15 billion, and it received nine times that worth in applications. So, you can expect fierce competition. And the more of Europe your consortium represents, the greater your 'Expected impact' is likely to be. If you can't achieve this, you are unlikely to get the money.

How to find partners is elaborated in the next Chapter III - Effective Teamwork.

Chapter IV

# Effective Teamwork

How to build your network for EU projects

In broad sense, networking is the relationship building among people with similar interests and goals. It involves actively getting to know people – developing an ever-increasing list of connections. Networking is about sharing information, ideas, resources, opportunities.

"How to Effectively Network/Communicate in International R&D projects" guide is designed so that the target audience – EECA countries' participants and stakeholders in international R&D projects – with the lack of networking skills – could significantly improve them following the practical recommendations provided in this Guide (Funded by the European Commission under ICT theme). However, main principles are applicable in the Balkans. Depending on goals/interests and social circles there is a great variety of different types of networking:

- ✓ Personal networking for career advancement
- ✓ Business networking is considered as a marketing method by which business opportunities are created through networks of like-minded business people
- ✓ Research/knowledge networking, etc.

Usual ways for building your personal network would be to start from 5-25 people in your 'inner circle' (look at the graph below). Ask them for 15 minutes of their time, so you can seek their a) advice, b) ideas, c) information, d) referrals and/or names of people who could help you to learn more. This is called informational interviewing. Add names as you make contact, and draw the links between them.
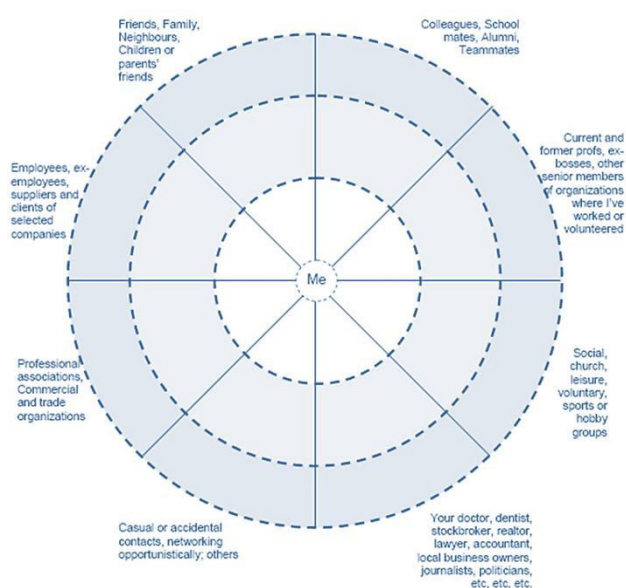
Do NOT ask people if they know of a job opening, or if anybody might hire you, or similar. Do not let people circulate your CV or project description. Do not ask people to do research or tasks that take extra effort. Always DO follow up on their suggestions and thank them in writing for their help.

This might be the way for setting up a network, but it is certainly NOT the way that would effectively get you invited into a consortium for an open call in time. Particularly not abroad.

It has become apparent that a vast amount of knowledge exists within the structure of the network itself, and by creating the proper conditions for information to be shared and built upon, we can find new solutions. The reason for creating a networking culture is obvious once you look at the current and future direction of research and innovation. Technology and the challenges that must be solved have become so complex that many, perhaps even most, companies can no longer rely solely on their own internal innovative geniuses, no matter how brilliant those people may be.

> **Building your Network for EU Projects**

Adapted from How to Effectively Network / Communicate in International R&D projects 2011 _ Funded by the European Commission under ICT theme

In his bestseller "Where In the World Is My Team?" Terry Brake introduced six performance zones (six Cs) for global team success: Cooperation, Convergence, Coordination, Capability, Communication, and Cultural Intelligence.

✓ **Cooperation:** the ability to develop and maintain trusting relationships across geographies, time zones, and cultures.

✓ **Convergence:** the ability to maintain a clear purpose, direction, and shared set of priorities.

✓ **Coordination:** the ability to align work through clearly defined roles and responsibilities, shared tools, processes, and methods.

✓ **Capability:** the ability to leverage the knowledge, skills, and experiences of all members, and increase the capabilities of the team as a whole.

✓ **Communication:** the ability to generate shared verbal and written understandings across distances via technology.

✓ **Cultural Intelligence**: the ability to develop and maintain a global virtual workplace inclusive of value and style differences.

Organisations with a higher networking level are usually invited more often to join winning proposals and can find competent partners for their own projects more easily, compared to organisations with lower networking culture. To take advantages of the networking for researchers on EU-level one can follow the tips provided:

✓ **Using Contacts from Existing Projects** - This is among the best methods open to those already involved in European funded research. Once you are in, you will have the chance to demonstrate your capabilities and to be a partner in future initiatives. For example events such as focus groups or coordination workshops are organised for participants in projects by technical areas to discuss mutual issues and this is an ideal forum to forge new alliances and generate ideas for a new project.

✓ **Using Your Own Research / Business Contacts** - You may use your existing business / research contacts to examine the possibility of setting up a research project and / or join consortia which are related to your contacts.

✓ **Participating in Relevant Research Events** - Conferences, consultation workshops, etc. are key places for networking among participants. Face-to-face meetings are extremely valuable. Info-days (e.g. on FP7 calls for proposals) may have a considerably lower networking potential, but are nevertheless valuable. In general, such events offer a good opportunity to meet representatives of the EU, key persons from organisations which have been participating in EU funded programmes and to promote your competencies ("sell yourself") to them.

✓ **Participating in Relevant European Technology Platforms (ETPs)** - The European Technology Platforms (ETPs) are initiatives that bring together stakeholders, led by industry, to define medium to long-term research and technological development objectives and lay down

markers for achieving them. Each ETP is covering a specific research – technology area. ETPs gather major players operating in the targeted area and can be found on the Internet at http://cordis.europa.eu/technology-platforms/home_en.html   You can visit the above web-address, identify those ETPs that are of interest for you and visit their websites. This will allow you to identify and contact experienced organisations in the specific areas of your interest, be informed about relevant events and join the Platform.

✓   **Participating in Relevant European Industrial or Trade Associations** - In some areas such groupings play key roles in formulating the ideas for the program in cooperation with the Commission.

✓   **Using CORDIS Partner Search** - (http://cordis.europa.eu/fp7/partners_en.html) is the European Commission's primary public repository and portal to disseminate information on all EU-funded research projects and their results in the broadest sense This large database is horizontal (containing profiles of organisations interested potentially in all programmes and themes of H2020) and allows search by key words, programme and country..

✓   **Using the Services of EU-funded projects that support participation your sector** - There are numerous projects funded by EC that can provide you with support in joining research consortia in the some specific sector, for example ICT area (see below). Support may involve information, training and networking activities (through the websites of the projects or through events they organize such as info-days / workshops, seminars, networking events, etc.), web-databases to upload profiles, partners search web-tools, and a variety of other services. Also, the partners of these projects can be quite helpful in assisting you to join research consortia that are under development.

o   Specifically for the Eastern Europe and Central Asia (EECA) region, three "support actions" currently exist, forming the EU-EECA cluster (www.eeca-ict.eu)

o   Active partner search is provided by IDEAL-IST2011 (www.ideal-ist.net). The project assists potential proposers to find partners for ICT projects. When a partner search is published, you will receive it automatically, and can view searches online. You can check if the profile of your organisation is close to the one requested. If this is the case, contact the organisation that made the partner search (we suggest both by e-mail and phone if available), send your organisation profile, describe your organisation's competencies in view of those requested in the partner search and ask them to participate. The quality of the partner searches results is (on average) higher than CORDIS but you have to act fast as consortia are formed very quickly.

✓ **Identifying Participants in Past and Running Research Projects** - This is by far the most effective way to identify experienced partners or consortium leaders. In CORDIS there are online databases that contain synopses of all current and previous projects by technical area. They also provide a list of partners / contractors per project. So it is possible for example to find all previous projects and current projects and partner organisations by setting key words and identifying the participants (partners / contractors), etc.
(http://cordis.europa.eu/search/index.cfm?fuseaction=proj.advSearch) .

The lack of networking skills could be considered as a strong barrier for effective networking. Not everyone is a natural networker. But almost everyone can become good at it with proper training in such networking skills as proactive participation in event, brainstorming, writing effective emails, etc.

➢ **Typical barriers for effective networking:**
- ✓ **Lack of trust between partners**
- ✓ **Stereotypes**
- ✓ **Wrong expectations**
- ✓ **Fear of punishment for honest (open) communication.**
- ✓ **Language barrier**

Good practice tips: **Be proactive!** Develop links by meeting potential partners at conferences/workshops (SMEs at trade fairs), reading the scientific literature, email requests for expert/scientific publications, looking for suitable people through EU institutions databases. Create your organisation's profile on CORDIS, EEN and similar platforms for partner search. Identify on-going projects in your field and contact people & organisation involved. Interview relevant people in person via email. And promote yourself, your experience, expertise, reach and impact. Contact Consortium Leaders of on-going projects. **Make sure to reach people who can decide or influence decisions.**

Putting together your consortium of partners

If you're looking for a partner, particularly for a partner in another country, it might be useful to consider the questions and tasks in the checklist below:

Materials adapted from Manual on Developing and Managing EU-Funded Projects TACSO 2011

✓ Be precise about what your organisation needs from a partnership. Expertise, project management experiences, access to networks, lobbying support, financial resources: then write down these needs. You may create a map of resources needed for a project and see what's missing.

✓ What kind of organisation are you looking for? Big or small? In the same or a different sector? Beware of 'mismatches'.

✓ Ideal location of the partner and how are you going to communicate?

In order to initiate communication concerning a joint project application you'll need to have a written introduction to your organisation and team adjusted to support your role in the project. If you have resources to establish the partnership and organise face-to-face meetings to talk, discuss and argue over options, that's the most effective way but a costly endeavour. Otherwise active search, effective communication, networks and intermediaries will be differentiation factors for your success.

You should present the potential partner with a clear written request. Establish contact with an appropriately authorised person. Make sure they are well-informed, that everyone understood the background document and criteria for assessment, clear on any resource issues about timelines and deadlines, and empowered to act. Next you should develop a team for your project;

Deciding on your role in the consortium

Increasingly, one of the eligibility criteria of EU funding opportunities is to make applications in partnership with other organisations located in either an EU Member State or a Candidate Country or other geographically-specific locations. Establishing partnerships with other organisations, in order to jointly implement a project, is often difficult, particularly if the partner is in a different country. Applicants in the Balkans struggle to identify suitable partners and often form partnerships with little preparation and poor mutual understanding.

The majority of EU funding opportunities announced through Calls for Proposals in the Western Balkans and Turkey region requires that the organization applying for the grant does so in partnership with at least one other organisation. In cases where the partnership is not an obligatory selection criteria, it is often a status that carries additional 'scores' in the application evaluation process. Thus, any organisation considering applying for EU funds is highly likely to also need to consider which partner (or partners) it will make the application with.

During the initiation phase, it's important to decide whether you'll take the lead role in the consortium and act as the Coordinator or one of the partners. A consortium is the term used to describe all of the participants in the same project.

The coordinator has a very specific role amongst the participants in a given project. It signs the Grant Agreement directly with the EC and has to "monitor the compliance by participants [beneficiaries] with their obligations under grant agreement". That usually includes the participants' obligations regarding IPR, dissemination and use issues. Therefore taking the role of Coordinator usually implies significantly greather finanacal and managerial resposibilities compared to the role of other partners. Project coordinator is usually responsible for project management activities (management work package). While partners can – and indeed should - lead one or implement specific tasks within them.

It's important to estimate at this stage managerial workload and financal impications to decide what role is the most suitable for your organisation.

Six steps of strategy planing

Materials adapted from
Prof. Dr. Bob Ward
lectures at Solvay
Business School,
Brussels University 2002
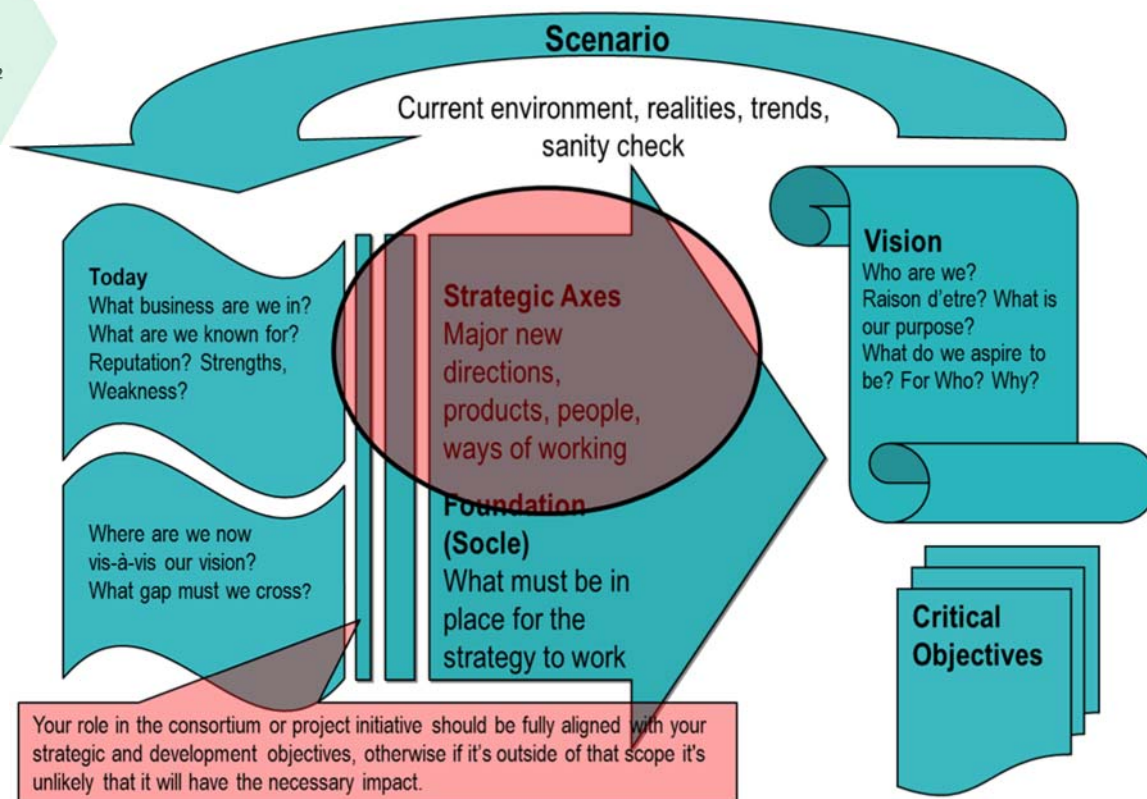
Your role in the consortium should be fully aligned with your strategic and development objectives, managerial capacities and finical solidity; otherwise if it's outside of that scope it's unlikely that you'll achieve necessary impact.

The motivation behind the promotion of partnership in EU-funded Calls for Proposals is two-fold: on the one hand partnerships bring diversity and additional resources to any action or business, and are therefore likely to result in more effective and efficient impact. Therefore, you'll often discover in the 'expected impact' statements provided by the EC within the call documents, that it's impossible for a sole organisation to achieve it.

And secondly, within the EU Enlargement process, it is beneficial for all stakeholders to join a dialogue to get to know each other better, and project partnerships are one way to support this dialogue (whether within a country, or between countries.) Early involvement of the key stakeholders in the project significantly increases its chances for success.

It is also useful to understand the EU's definition of 'partners', 'associates' and 'sub-contractors' as described in most Calls for Proposals.

Materials adapted from Manual on Developing and Managing EU-Funded Projects TACSO 2011

o   **Partners:** Applicants' partners participate in designing and implementing the action, and the costs they incur are eligible in the same way as those incurred by the grant beneficiary. They must therefore satisfy the eligibility criteria as applicable to the grant beneficiary himself, in addition to any other criteria affecting partners.

o   **Associates**: Other organisations may be involved in the action. Such associates play a real role in the action but may not receive funding from the grant with the exception of per diem or travel costs. Associates do not have to meet the eligibility criteria. Please note: There is no option to include Associates in some programmes such as FP7.

o   **Sub-Contractors**: The grant beneficiaries have the possibility to award contracts to subcontractors provided the use of subcontractors has been explained and justified in the project proposal. Subcontractors are neither partners nor associates, and are subject to the procurement rules set out in the Annexes to the standard grant contract.

As with all aspects of project work and project preparation, good planning is the key to identifying the right partner or partners for your project. In addition to the considerations discussed above regarding the formal 'eligibility criteria' of partners in any Call for Proposals, your organisation needs to have well-structured internal discussions in order to be clear about what kind of partner it wants to have as part of a grant application

Identifying a potential partner in your own country can be difficult, but identifying partners in other countries can be extremely challenging. Thus it is essential that the process of identifying partners for projects begins as early as possible. Ideally, you may identify potential partners during a stakeholder analysis. The worst scenario is when an organisation attempts to find a partner after it has designed a project and just a few days before the grant application deadline!

Developing effective teams for projects

Essential Conditions for a Team

These eight characteristics are necessary for a group of people to become a team, and for a team to achieve high-performance and health

1. Clear, elevating goal
2. Results-driven structure
3. Competent members
4. Unified commitment
5. Collaborative climate
6. Standards of excellence
7. External support and recognition
8. Principled leadership

They are not theory. They are the conclusions of an on-going study of teams that are effective, well-functioning and sustainable -- as defined by their sponsors, customers and members. Teams range from sports and expeditions, through public sector to commerce and industry. Eleven nations are represented, although the preponderance are from the U.S. and U.K.

A Clear, Elevating Goal

Two insights emerged early, consistently and emphatically:

✓ high performance teams have both a clear understanding of the goal and a belief that it embodies a worthwhile challenging result

✓ ineffective teams always cite 'the goal' as a major factor in failure -- the goal was unfocused or politicized; the team had lost a sense of urgency about its objective; the team's efforts had become diluted by too many competing goals; individual goals had taken priority over team goals; and so on.

Goals are ambitions, not visionary statements. Compare these three: „. .. become the leader in space exploration." (vision) ". .. catch up and overtake China." (competition) ". . . land a man on the moon before the end of the decade, and return him safely to earth -- not because it is easy, but because it is difficult." (ambition)

Results-Driven Structure

Flaws in team structure tend to show up a the worst possible moment: rescue teams whose communication must all flow through a central dispatcher; management teams that are so 'lean' they cannot survive the loss of a member; creative teams with no facilitator to resolve circular conflicts between high-talent individuals.
'Structure' does not mean 'organization chart.' Structure means putting the right elements in the right array to pursue the team's goal, with the flexibility to handle most situations. Elegant structures start with the premise, "expect nothing, be prepared for anything."

Fortunately, there are only a handful of structures to consider, depending on the purpose of the team:

✓ Creative and strategic teams

✓ Planning and problem solving teams

✓ Operational and tactical teams

What if the team is charged with more than one function, for example, in a small enterprise? Well, quite simply, there should be three overlapping and integrated teams. If the overall team is fewer than five people, they need different structures depending on the function they are performing.

Team Purpose	Basis	Processes
Creative/ strategic	Autonomy and Synergy	Explore possibilities and alternatives Combine the best; let go of the rest
Planning/ problem solving	Trust and Engagement	Focus on issues and the client Find an answer; don't give up
Operational/ Tactical	Clarity	Direction Highly focused tasks Well-defined operational standards Accuracy and timeliness

It is easy to see that each type of team needs a different structure, different resources, different leadership, and perhaps different members. That said, all structures include four features:

- ✓ Clear roles and accountability
- ✓ Effective communication system
- ✓ Monitoring of individual performance and Feedback
- ✓ Judgments and decisions based on objective criteria
- ✓ Competent Team Members

In working teams, two types of competencies are needed:

- ➢ the professional and technical skills to achieve the goal
- ➢ the personal characteristics to sustain excellence while working well with others

There are many ways of describing the competencies. Here are seven defined by Baxter International:

- ✓ Intellectual ability
- ✓ Results orientation
- ✓ Interpersonal skills
- ✓ Planning and organizing
- ✓ Team orientation
- ✓ Maturity
- ✓ Presence
- ✓ Unified Commitment and Collaborative Climate

While identified separately, these two are closely linked. Both are amorphous, hard to conceptualize and harder to develop systematically.

Commitment is energy and time that team members choose, moment by moment, to invest in the effort. Unity is identification with the team and bonding with the other members.

Collaborative climate is built on trust. Trust is fostered by four behaviours **honesty, openness, consistency and respect.**

Yet trust is so fragile that even a single breach can damage or destroy it. So the final ingredient in a collaborative climate is the willingness to make mistakes and to forgive others for theirs.

Collaboration takes risk to create. The effort pays off for the simple reason that collaboration takes so much less energy than competition. With 90% or more of each person's energy and time focused on the goal rather than on each other's actions, progress and productivity increase, results flow, mistakes are less costly (and less likely), trust and unity remain intact, and commitment grows.

Principled Leadership

The final, and perhaps the most critical ingredient in team performance is leadership. The right person in a leadership role can add tremendous value to any collective effort.

The relation of most leaders to team members is 'transactional' or instrumental. That is, leaders approach followers with an eye to exchange one thing for another, such as jobs for votes, reward for cooperation, bonus for results.

Principled or 'transforming' leadership is more potent. The transforming leader looks for the strongest and highest motives of followers, seeks to satisfy higher needs, and engages the full person of the follower. The result of principled leadership is a relationship of mutual stimulation and respect that transforms team members into leaders, and thus liberates leaders to fully develop their own potential and aspirations

Two roles of principled leaders emerge: the change agent and the 'inspirator` of people.

The change agent (1) focuses on an intelligent agenda for change, then (2) builds a strong, energetic network of necessary resources.

The `inspirator' of people (1) establishes a vision, (2) unleashes talent, (3) invests in people, (4) gives recognition for contribution and progress, and (5) exemplifies continuous improvement.

To fulfil these roles, the leader needs (a) industry and organizational knowledge, (b) solid relationships in the industry and community, (c) a keen mind, (d) interpersonal skills, (e) personal values that respect all people and groups, and (f) the ability to motivate through high energy and example.

One of the leaders in the study proposes this code of conduct:

✓   I avoid compromising the team's objectives with political or personal motives.

✓   I exhibit personal commitment to the team's goal and each member's objectives.

✓   I do not dilute the team's effort with too many priorities.

✓   I am fair and impartial to all team members.

✓   I am willing to confront and resolve conflicts and issues associated with inadequate performance, even when I am one of the parties.

✓   I communicate often and openly, particularly when change is involved.

✓   I say what I mean and I mean what I say.

✓   I listen, and I expect others to do the same.

✓   I am open to new ideas and information from all team members, for which I am generous in giving credit and recognition.

If you have the opportunity to organise meetings with your partners to talk, discus and argue over options

✓   Understand the conditions/situation you are in – what is the gap you must cross to achieve project objectives - Think together, use the data, don't argue.

✓   Identify relevant expertise and experience - Assess team members' talents; assign roles – Identify what's missing within the team in order to understand all stakeholders problems;

✓   Agree on a decision making process for the rest of the problem solving; understand how much authority the team has (recommend or decide); Identify who are the stakeholders and decision makers; Arrive at this agreement in enough time to allow for creative problem solving.

It is vital to ensure that any partner feels a strong sense of ownership for the proposed project, at least for a part of the project. To do this, the project should be prepared in collaboration. Ideally, partners should be involved in every step of the project preparation, for example by participating in problem analysis sessions, joining planning meetings, undertaking cost-analysis and budgeting, meeting other parties involved and drafting the project document. However, given that there are often

not enough resources available, in terms of things like time and travel budgets, to support this full engagement, the proposal can be developed online with the partner via email or teleconferencing.

Secondly, one of the reasons for involving a partner in a project is often that the partner has some particular form of expertise to offer the project. Use this both in the implementation and design phases of the project, and among other things it will ensure that the written project proposal is technically strong and credible. You should rely on partners to make critical inputs to the project design and subsequent drafting of the application.

✓   Agree on how the situation will look when solved; the most important criteria or objectives if there are many; avoid solving too many variables; the outcome specs or performance criteria; any milestones or new decision points; Compare the options to the objectives and criteria. Be rigorous. Make sure all (and only) the ideas that pass the criteria go on the short list. Let go of preferred options that do not fit; Test the preferred options for feasibility

✓   Go back to the situation/conditions, information and resources the team has. Rate the options according to their practicality, chances of success and satisfaction for the stakeholders;

✓   Test consensus and commitment in the team

✓   Ask every team member to say what he/she supports and is willing to commit. Ask every team member how much he/she could support any other solutions that are getting endorsement.

✓   Agree on a solution or a solution set. Avoid voting. If support is united, adopt the leading option.

✓   If not, check to see if anybody is holding on to an option that didn't pass the criteria earlier.

✓   Otherwise, assume everybody is 'rational' or 'right', and consider whether there are multiple answers, or a sequence of steps toward a superior solution. Revisit the situation, conditions, criteria and resources to see if the team has missed anything. Consult the main stakeholders if that is possible.

A third important aspect of collaborative proposal preparation is that clear arrangements and agreements should be made as to who will put the project activities into practice, how, and what this will cost. The organisation applying for the grant must present the budget in a clear way so that any partner is fully aware of what resources are being allocated for each activity. The cost-analysis at the preparation stage is particularly sensitive when the project involves international partners and where there can easily be misunderstandings over the budgeting.

A final practical step for partners is ensuring that they provide the appropriate documentation for the application. This usually includes a Partnership Statement, which is a standard template, including information about the partner organisation's legal status, location, capacity, experience, and a history of the relationship with the applicant. Next you should formalize a consortium for your project.

Dr. Meredith Belbin, of the Industrial Training Research Unit at Cambridge, named nine team roles that seemed to be the only ones needed for success. The names are not always obvious. All nine are essential to successful teams. Your value depends on bringing one or two of these talents to the team, in the right balance at the right time

ROLE and Strengths	Acceptable Weaknesses	Unacceptable Weaknesses
PLANT: Creative, imaginative, unorthodox. Solves difficult problems with original ideas.	Ignores details. Too pre-occupied to communicate. Neglects practical matters.	Possessive of own ideas. Disdainful of others. Uncooperative in the team.
RESOURCE INVESTIGATOR: Extrovert, enthusiastic, communicative. Explores opportunities. Develops contacts.	Over-optimistic. Loses interest once initial enthusiasm has passed.	Lets clients or team mates down by not following through on promises.
COORDINATOR: Mature, confident, keeps global perspective. A natural chairperson. Clarifies goals, promotes decision-making, delegates well.	Manipulative. May unload work on others in the guise of using their talents or developing them.	Takes credit for the team's effort.
SHAPER: Challenging, dynamic, thrives on pressure. Provides the drive and courage to overcome obstacles and take action.	Confrontational, impatient, irritable. Offends people's feelings. May push the team past its limits.	Not able to apologize. Aggressively competitive. Does not allow anyone else to lead or drive the team.
MONITOR EVALUATOR: Sober, strategic, logical. Judges objectively, accurately. Sees all options.	Sceptical, critical. Lacks drive, ability to inspire others.	Cynical. Indulges in logic or argument for its own sake.
TEAM WORKER: Cooperative, sensitive, perceptive, diplomatic. Listens, builds morale, harmonizes conflict and friction.	Indecisive in crises. Overuse of humour to relieve tension.	Avoids pressure. Does not challenge self or others. Blocks creative conflict.
IMPLEMENTER: Disciplined, reliable, efficient, loyal to sponsor. Turns goals into practical plans and work.	Inflexible. Resists risk, new methods, innovation. Waits for permission.	Obstructs change. Rule-bound. Caution may limit potential for achievement.
COMPLETER FINISHER: Conscientious, painstaking attention to detail. Searches out errors and omissions. Delivers on time.	Anxious, worries unduly. Perfectionist. Reluctant to delegate. Often does most of the finishing work alone.	Obsessive behaviour. Imagines worst-case scenarios. Focuses on failure. Burns out.
SPECIALIST: Single-minded, self-starting, dedicated. Provides rare knowledge and skills.	Knowledge for its own sake. Narrow range. Low interest in teamwork.	Elitist or patronizing. Discounts factors outside own field. Overloads with data

Refining initial proposal jointly with your partners

If your consortium is working to a longer term strategic plan and you have done your research into up-coming EU funding opportunities you have probably already researched the issues that your project is intending to address and are well positioned to design the details of your project. In this case, you will probably be able to draft a comprehensive and well informed project proposal, which will have a good chance of being awarded an EU grant. Therefore, you must make sure that your project proposal is based on a robust process of analysis:

Materials adapted from Manual on Developing and Managing EU-Funded Projects TACSO 2011

✓ Purpose of Problem Statement. Your statement of the problem--your need--represents the reason behind your proposal. Experienced grant seekers know it is the single most important part of the proposal that influences funding success. The problem statement specifies the conditions you wish to change. It should be supported by evidence drawn from your experience, from statistics provided by authoritative sources, and from appropriate literature reviews. Your need statement should quickly summarize the problem, show your familiarity with prior research or work on the topic, reinforce your credibility for investigating the problem, and justify why this problem should be investigated. Do not assume that everyone sees the problem as clearly as you do. Even if the problem is obvious, your reviewers want to know how clearly you can state it. Therefore use PEF and PBD and share them with your partners.

✓ Use tools such as 'the problem tree' and 'objective tree' to analyse the problem and identify what project is actually feasible given the size and nature of the problem, the capacity of your organisation, and the context of the problem. You also need to ensure that both your organisation and the community, which it serves, agree that the problem is a priority to be addressed, and of course that this problem is fully in line with the specific call objectives. If no-one else agrees it is a priority, you will find it difficult to implement a project; Both way communication with key stakeholders is a prerequisite to identify real problems.

✓ Ensure that your project preparation takes into consideration any special needs and responds appropriately to challenges related to any forms of discrimination or environmental impact issues. Remember that in many Calls for Proposals, there are specific criteria related to actions involving gender, environmental, ethnic minority issues and the like.

Strategies for survival during project management

Please note: Next section is not focused on project development or proposal writing but provides additional guidance for project leaders in a highly political environment typical for the Balkans;

Materials adapted from 'Project Leadership' by Wendy Briner, Colin Hastings, Michael Gedes

In a highly political environment, there are opportunities for success or failure. Your successes depend on your abilities to exploit opportunities. Although many project managers consider 'politics' a dirty word, they encounter it daily. They can never escape its presence, and the project managers who try to avoid it will fail to manage their projects successfully.

Politics really means the power struggle where people compete with one another to have their say and way. They may compete for more money, to acquire resources, or to bargain with management and other project managers. And the goal is to satisfy wants, not necessarily needs.

Typical consequences of not being aware of politics

- ✓ Political suicide (losing your job), not political survival
- ✓ Limited or no opportunity for influence and decision-making
- ✓ Limited or no opportunity for power and control
- ✓ Reduced quantity and/or quality of resources
- ✓ (e.g. manpower, funding, equipment, software)
- ✓ Lack of 'successful' or 'significant' connotation attached to you and the projects you are assigned
- ✓ Ammunition for your enemies
- ✓ Limited or no visibility to upper management
- ✓ Limited or no opportunity for mentor or sponsor support
- ✓ Someone else's scapegoat
- ✓

As a project leader, you have several strategies that you can resort to exploit circumstances. These are following.

✓ **Divide and conquer:**

This strategy is effective for dealing with the project team. Occasionally, a team member, especially if you have no formal authority over that person, will challenge your position. Using the divide and conquer strategy, you can assign tasks that have team members depending on one another to complete. Throughout the project, team members will be too busy resolving issues between themselves rather than trying to challenge or usurp your position.

For example, you may have a team member with a strong personality, someone who argues and refuses to deliver according to schedule. You can assign that person jointly with one or two other people to complete tasks, or you can assign that person to tasks where others depend on the output. Peer pressure should entice that person to complete tasks. If not, you can then use that person's behaviour as the reason for removal from the project. The danger of this strategy is that you could destroy the team unity if taken to the extreme. It is also an effective strategy for dealing with the client. If, for some reason, an important member of the client's camp is hostile towards you or the project, you should make friends with another significant party in their community. You then use that association to challenge the opposition. If the original opponent complains, you can recognize their concerns but politely mention that they do not speak for the entire organization. You want to keep them fighting among themselves rather than with you. Naturally, you must avoid being caught in the crossfire of having both sides turn on you. You may choose to try this strategy with your own management, but do so carefully. You could play one manager against another. However, you might also find yourself on the losing side and 'out the front door' or cause indecisiveness resulting in severe delays in the project.

✓ **Cooption**

However, With this strategy, you simply make friends with your opposition via common goals. You do that by fulfilling mutual short-term interests, thereby lessening potential damage from the opposition. Perhaps a team member absolutely loathes working for you. To resolve that problem, you can strike a 'deal' with the employee. Tell that person, for instance, that in exchange for cooperation, you will help to enhance his or her career. Just do not promise too much, especially if you cannot be sure to deliver.

When dealing with the client, you might also find cooption useful. Perhaps the opposition in the client's side to your project has ideas for a more ambitious project. You might agree to help by slowing down the success of your project in the hope that you and your team will receive a more ambitious project. While nefarious, this tactic can lead to more lucrative work. If handled poorly, you could be without a project. If you are having problems with a senior manager, you can try to persuade that person to think differently. Explain how the project may help solve that person's immediate pressing problems, then, the manager at least may find your project beneficial.

✓ **Alliance building**

This strategy is similar to cooption but with one difference. You build a strong relationship with friends. This strategy works well regardless of whether you make your alliance with someone on the client's side, that of your management, or that of your project team. Few project managers realize the importance of making allies of other project managers. Under certain circumstances, you might make an ally of another project manager by identifying your project closely with another one. You might do that for several reasons. You might want to associate your project with a more powerful one, hoping that you will share in its visibility. Your association with that project might also lead to greater resource allocation or at least shared resources with a favoured project.

A project might have a smaller budget and, consequently, less people and supplies than other projects. However, the project manager can tie in his project with one of the bigger ones. Some ways to achieve that is by sharing resources or providing the output of his project as the input to the bigger project. Alliance building can prove hazardous. Being allied too closely with another project may prove detrimental especially if your ally falls into disrepute. Then you will have to disassociate your connection with that ally to protect your own project!

✓ **Powerbrokering**

Here, you are taking advantage of the circumstances where two or more parties are fighting with one another. As a project manager, you can exploit this in several ways. You can play the role of the peacemaker. For example, two or more project managers are fighting for management's attention. You then create the image that your project is in the interests of the company while the other projects are pursuing their own interests. Then you appeal to the other project managers to set aside their self-interests for the good of the company, making sure that management hears you.

Management may later reward you and your project with greater visibility and more resources, even at the expense of the other projects. Sometimes, you might avoid the role of a powerbroker, especially if the odds of withstanding an onslaught from the fighting parties are minimal. You could easily find yourself in a 'Beirut' environment, where you are attacked from all sides. The key is to know when the time is right to relinquish the role of a peacemaker or avoid it completely.

✓ **Spread responsibility**

Periodically, you may choose to share responsibility for your project, especially if the outcome is precarious. A common way to spread responsibility is by sharing resources with another project. Such resources might be people, equipment, and data. If something goes awry, such as a schedule slide or a decline in quality, you can attribute part of the problem to the other project using your resources. Yet another way to spread responsibility is to encourage more participation in the decision-making process. For instance, you may entice members of higher management to make critical decisions for you. Then, if the project faces problems, management will be less likely to chastise or admonish you for the results. After all their decisions contributed to the negative outcome, and they are unlikely to admonish themselves. A common approach on projects to this is having someone assume responsibility for waiving a requirement or specification. Making a unilateral decision could prove fatal to your career. If the client refuses to yield on an impossible requirement then you can go to senior management to make the decision. That way, you keep a low profile in the entire circumstance and senior management will receive the negative pressure. In addition, you may involve the client or your project team. Receiving their participation effectively spreads responsibility, thereby lowering the chance for complaints from either party over a particular decision.

Spreading responsibility does not absolve you from the ultimate responsibility for the outcome of the project. You alone carry that burden. But spreading responsibility can make managing your project easier. That will happen only if you spread responsibility without losing control of the project.

✓ **Scapegoating**

Somewhat akin to spreading responsibility is scapegoating. It means blaming the other person for your problems, thereby absolving yourself from any responsibility. In the context of managing a project, this strategy can work very well. You simply blame someone or some organization for your project's problems. For instance, you can blame the client for not cooperating with you. Perhaps they did not provide enough support for the project to proceed according to plan. Or you can blame senior management for not providing adequate support to complete the project successfully.

This technique can prove especially useful if you had earlier identified shortcomings, and you can now point the finger at someone else rather than at yourself. You can blame poor project performance on your team or on certain members of the team. Perhaps you were assigned people whom you did not want in the first place but senior management forced you to accept them. You can also blame poor performance on some remote but understandable factor such as a downturn in the economy or the poor quality of employees hired into the organization. Although often quite effective, scapegoating is the tool of a weak project manager. Blaming others for your problems can easily be detected as a smokescreen for your own inadequacies as a project manager. Also, it can create enemies which is something you should try to avoid at all costs.

✓ **Cooperation**

This strategy, unlike the previous one, involves making friends. Here, you help other project managers to succeed if they do the same for you. That may entail sharing scarce resources or covering for the other project manager's mistakes. It may even mean slowing the progress of your project to avoid embarrassing other project managers. A project manager might consider lending a team member to a project that requires a certain skill. Or he might give the other project manager's team access to data, machines, facilities, etc. for a short period. Sharing of such resources not only contributes to eliminating redundancies but also strengthens the project manager's hand. People become indebted to him.

Cooperation with the client, your management, and the project team has tremendous benefits. Each party works for the support of the other. The danger of failure, or its consequences, lessens. Mutual support rather than negative competition becomes the norm.

Yet too much cooperation can lead to mediocrity. All parties start covering for the other and negative political approaches, such as 'you scratch my back and I'll scratch yours', become more important than the projects. The consequence is extreme conformity and marginal performance. Such a collegial atmosphere will invariably frustrate the most competent and talented individuals and encourage growth of the political project manager (who may not be the most competent and talented person).

✓ **Filibustering**

With this strategy, you delay progress of your project as much as possible until the delay itself becomes to your advantage or no longer becomes advantageous. For instance, you may delay your project to secure greater funding for the next fiscal year. Or you may delay your project to hurt or embarrass another project manager needing your project's output. Another reason is to avoid prematurely terminating your project, such as appearing to finish the project earlier than expected and, consequently, finding yourself seeking another project. Filibustering works only to a point and can cause you real trouble. Unless you can attribute the delay to something everyone can relate to and they believe you, you may receive blame for the unsatisfactory performance of your project.

✓ **Sacrifice the future for the present**

This strategy is employed just about everywhere, including the corporate boardroom. In the world of project management, it is also a prevalent strategy. Indeed, sacrificing the future for the present is a way of life in project management. You may choose to reduce your resources to adjust to budget constraints and simply disregard the long range impact of your decisions. In other words, you fix the current problem and deal with the consequences later (or better yet, let your successor deal with them). Or you may make everyone work extensive overtime to meet a scheduled date, knowing that later on the budget will overrun and employee turnover will rise. Thus, sacrificing the future for the present will work — for a while. `Quick fixes' are common on projects. Due to the presence of deadlines, budget constraints, and other factors, project managers will do what they must to deliver the product to the client — hence, the deplorable quality of some products, like software. In the short run, the client gets the product within budget and on schedule. In the long run, the client has a product that only a rocket scientist could understand and a chess grandmaster could maintain.

You can face serious consequences by pursuing this strategy. Not only do you endanger the potential for a successful project but you narrow your own chances for success, too. All you are doing is placing a Bandaid on a wound when a tourniquet would be more appropriate. Usually short-term solutions lead to long-term problems on projects.

Chapter V

Evaluation

Test your applications against the evaluation grid

Materials adapted from
Prof. Dr. Steve Quarrie
'Secrets to success with
project proposals" 2013

One of the most important and most useful sections of the Guidelines under any Call for Proposals is the section which explains the process of scoring a proposal. It is strongly advised that you should 'test' your own draft proposal using this Evaluation Grid, before finalising application. Better still, it is ideal if you can find an external advisor, who has some experience of project work and projects design, to read their draft application and to evaluate it using the Evaluation Grid. This type of feedback will greatly increase the chances for any application to score the highest possible marks.

Proposals will be assessed by the expert evaluators solely on the basis of reading the words in your proposal. If you have left out something important, the assessors will not guess what you might have said, which means you probably won't get the money!

By the time you have read your funding programme's evaluation criteria, you should be able to judge for yourself whether each of the criteria in your project proposal genuinely deserves to be scored as Excellent. Another way of looking at this is to ask yourself the question "Will anyone else be able to write a better text for this section than mine?" Your answer needs to be "No!"

➢ **Keeping evaluators awake and in a good mood**

Before you write any text for your proposal, put together a glossary (collection) of key words that will impress the evaluators, such as:

- ✓ **dynamic**
- ✓ **innovative**
- ✓ **cutting-edge**
- ✓ **dedicated**
- ✓ **enthusiastic**
- ✓ **state-of-the-art**

Then, use these words every so often as you type the text. Indeed, the Work Programme itself has several words that you should try to include here and there, such as unlocking, excellence, reinforce, creativity, dynamic actors, synergies, up-scaling, "innovation engines", leading-edge.

Keep the evaluators in a good mood by giving them a well-presented document free of simple spelling mistakes, with consistent formatting. Make sure to use your word processing software's 'spell-checker' before submitting the final document.

['Furthermore little care was given to the presentation of the proposal (spelling errors, graphics hardly readable) which makes the reading difficult.']

First impressions are important. An applicant who has not done any effective quality control of the text will shout "lack of care" at the evaluators. Evidence of lack of care putting your proposal together will imply to the evaluators either that you are not good at quality control and are likely to display lack of care in carrying out the project, or that you ran out of time for final quality control through bad planning of proposal preparation, so your time management skills may not be good enough to manage a large collaborative project effectively and on time. Either way, if you give the evaluators an impression of lack of care, you won't get the money!

Take a notebook with you all day every day, so you can write down a good phrase, or a good idea, wherever you happen to be, even in the bath! An alternative might be to carry a 'dictaphone' (or mobile telephone with recording facilities) with you all the time to make sure you can record your thoughts.

As stated above, use the actual words and phrases given in the Work Programme and Call, to emphasise that your project takes these criteria into account.

As you gradually write the text of the proposal define any abbreviations in a list at the beginning. It is very easy to forget to define abbreviations in the text on their first mention, and evaluators will find it frustrating to find a definition for an abbreviation given several pages after the abbreviation was first used - a frequent example of lack of consistency!

Part of your philosophy for success is also to keep your evaluators awake and focused on the facts in your proposal while they read it. Many proposals are just boring to read because of the style and presentation. So, make sure your proposal will be different; like a good book making the reader eager to turn the page to see what happens next. Therefore, it is very important to format your text to make it easy for the evaluators to read. Do not make your sentences or your paragraphs too long or the evaluator will lose focus on the key point(s).

Make it clear when one paragraph ends and the next begins, so avoid using the example of this sentence to start your paragraphs! Either use an indent or clearly separate the text between paragraphs, as used here:

- use subheadings, indents, underlining, etc. and break up the text with tables or pictures occasionally, where possible, as shown in two example pages given below.

Note that some fonts are easier on the eyes at 5 pm in the afternoon than others. Information is often easier to assimilate (take in and understand fully) when written in sans-serif fonts such as Arial and Helvetica compared with Times and Times New Roman fonts. All this is designed to keep the evaluator's attention, even late in the afternoon.

Materials adapted from Prof. Dr. Steve Quarrie 'Secrets to success with project proposals" 2013

Assuming the same prices and disease incidence/control approaches against leaf rust each year in Spain, employing SMARTWHEAT advances would thus deliver potential annual savings of around €76 million. The same calculations could be done for other European countries where leaf rust is a problem, and for which *Lr19* would provide effective natural resistance. Therefore an effective source of resistance to leaf rust for European wheat varieties could potentially provide economic benefits of _hundreds of millions of euros_ every year – a major, and guaranteed impact on Europe's economy.
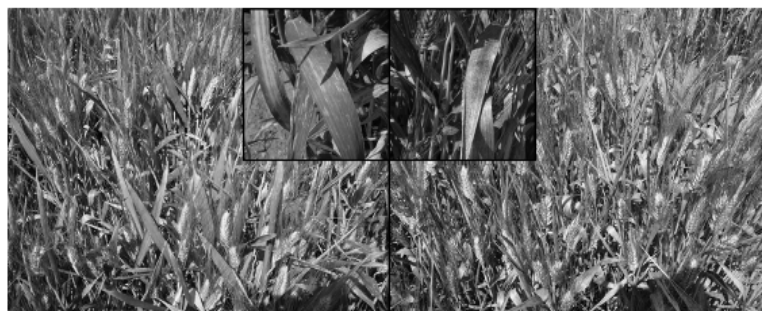
Fig. B3.1.1. Plots of a durum wheat line having a 7Ag terminal segment carrying *Lr19* (left), and the corresponding line without *Lr19* (right). Inset images show typical leaves from the two plots.

The effectiveness of *Lr19* in providing protection against leaf rust is illustrated in Fig. B3.1.1, for trials by P2 in 2007. The year 2007 was a bad year for leaf rust in several regions of Italy, associated with generally high summer temperatures which encourage pathogen development. In the absence of chemical fungicide protectants, micro trials conducted around Italy on advanced breeding lines carrying *Lr19* delivered yields, on average, 66% greater than controls (Table B3.1.1) under heavy rust epidemic (West coast). No yield penalty was observed under mild or absent leaf rust pressure (East coast and North).

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Table B3.1.1. Yield performance of *Lr19*-carrying durum wheat recombinant lines compared to adapted varieties used as controls (2-3 per locality; control means = 100).

	Localities		
	West-Coast	East-Coast	North
Lr19+ lines vs. controls	166**	101^{ns}	102^{ns}

Nevertheless, these economic impacts would be present only if resistance to the disease is not readily overcome by the pathogen. A major problem for breeders, which discourages many from turning to alien species for sources of disease resistance is the speed and frequency with which single gene resistance can be overcome by the pathogen. Although an average time for disease resistance genes to remain effective is difficult to give, breeders agree that around 5-20 years is a realistic range. However, a strategy to extend the useful

The pages above, showed you how to read and interpret the policy document (Work Programme) to ensure that what you write is competitive. This section of the Guide showed you how to put together your proposal to make sure it will be the best that the evaluators will read. Only if you can do that will you make sure to get the money! If you have understood this section, then you understand the philosophy of being successful at writing project proposals.

Selection of projects and award of grants

Eligibility criteria

The established criteria shall comply with the principles of transparency and non-discrimination and relate to two different aspects: Eligibility of applicant and partners: their legal and administrative status should correspond with the criteria defined in the Call for Proposals. If a Call for Proposals relates to an action to be implemented in partnership, the minimum number of partners and the eligibility criteria applicable to each of the partners of the leaf applicant must be specified. The eligibility criteria applicable to the lead applicant and to partners may differ. The applicant eligibility is assessed based on the Declaration and the criteria set out in **the Guidelines for Applicants**. The Declaration by the applicant should be in conformity with the supporting documents requested. Any missing supporting document or any incoherence between the Declaration and the supporting documents will lead to the rejection of the proposal. Are the applicant and the partners eligible?

Eligibility of the action: this refers to the types of activities, sectors or themes and geographical areas covered by the Call for Proposals, set out in the Guidelines for Applicants. Taking into account the Good Administrative Practices, the Evaluation Committee can exclude an applicant at any stage of the evaluation process whenever it is obvious that the latter does not meet the eligibility criteria.
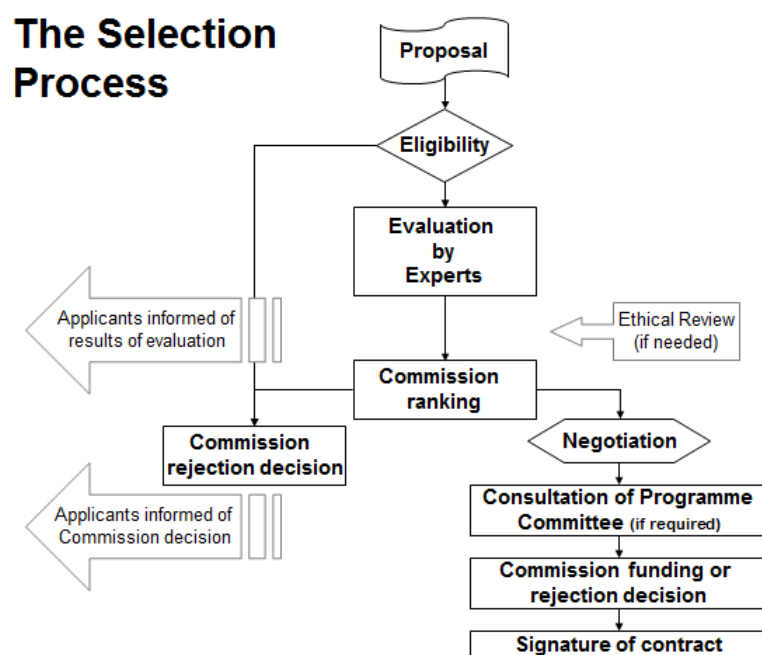
Proposal evaluation

The evaluation of proposals by the European Commission services is a standard procedure in all the funding programmes and while these procedures vary quite significantly from programme to programme it is crucial that you read carefully the specific evaluation criteria, which are published for all calls for proposals before you start with the preparation of a proposal. The risk that a proposal may come up against , which in itself is a well written and argued document but is not in line with what the EC expects for the selected programme – and consequently fails - is very high.

In this section we will have a look at the Evaluation Criteria of the H2020. As previously stated in the section about the call for proposals, and elaborated in the sections about PEF and PBD European Commission is obligated to describe Evaluation Criteria for any call. And often you may find Instructions for Evaluators publicly available.

For H2020 you may find evaluation criteria at the following link :

http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html

The following short table is an example of one of the funding schemes and contains all of the 10 criteria grouped into 3 sections that are used in the proposal evaluation process.

Type of action	Excellence	Impact	Quality and efficiency of the implementation
	The following aspects will be taken into account, to the extent that the proposed work corresponds to the topic description in the work programme.	The extent to which the outputs of the project should contribute at the European and/or International level to:	The following aspects will be taken into account:
All types of action	**Clarity and pertinence of the objectives; Credibility of the proposed approach.**	**The expected impacts listed in the work programme under the relevant topic**	**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.**

At first glance these criteria do not look frightfully complex or difficult to achieve, in a way they are quite obvious. However, fully understanding their meaning and reflecting that in the proposal can be tricky and there are indeed a number of pitfalls.

The most common pitfalls are as follows:

1.   Out of scope of call: missing the objectives or instruments:

You may write a very good proposal document and even meet the criteria mentioned, but your topic is not the one described in the call or work programme. Read carefully the objectives and expected target outcomes in the work programme, not only once or twice, three times is even better. Pay attention to each single sentence to make sure that this is what you intend to do in your project. Make sure that you understand which instrument is foreseen for the call you have selected. If your proposal is for a different one, it will fail right away.

2.   Progress beyond the state-of-the-art:

Materials adapted from
Dr. Thies Wittig
lectures, IT Consult
2012

It may be obvious for you and your partners that the planned research work is new and in the end help to advance the general state-of-the-art in your specific field, but you need to justify this in the proposal in a convincing way, firstly by describing the state-of-the-art with the appropriate references, and secondly by explaining why your research is going beyond that. Don't take it for granted that the evaluators will immediately spot that your proposed research is something genuinely new, you need to tell them that in the proposal.

3.   Quality of the objectives

The best objectives will not help you if you do not describe how you (and the EC) can measure if you have achieved them. You have to define quantitative measures of success that are verifiable.

Since you are going beyond the state-of-the-art there is always a risk that your objectives are not or only partially achievable. You will only find out a year or two later in the project and without a good contingency plan you are bound to be stuck. Hence it is important that you in the proposal stage already identify possible risks, describe them and explain what to do if they really materialize.

4.   Ignoring the 'Impact':

In the work programmes under each objective the EC states what impact they would expect from a successful project. These may sound quite general at times and difficult to answer, but you should never just ignore them. For each one explain how your proposed project will achieve such an impact

and wherever possible give quantitative and realistic measures which are consistent with the scientific description in your proposal.

5.   Inconsistencies

Despite all your best efforts to schedule the work for the proposal writing you are likely to face a few very hectic final days before the submission deadline, and a very common pitfall is that last minute changes in the work plan are not updated in the methodology section or - even worse – the figures in the work package tables do not add up or are inconsistent with the descriptions. These inconsistencies will not necessarily kill your proposal but even if you lose half a mark, it may well have been the one that would have led to success.

Materials adapted from Dr. Thies Wittig lectures, IT Consult 2012

A more serious but still quite common mistake is to convincingly describe your objectives in the scientific part but then not properly reflect them in the work plan. Generic work plans not addressing the scientific objectives or hiding them in a multitude of tasks are a sure killer of your proposal. Having given you some ideas about the most common pitfalls, the last section will give you a few rules that can help you avoid them.

➢ **Some simple but vital rules**

Rule no. 1 - Remember that every half-mark in the evaluation will count! Think of the finishing touches which signal quality work: in presentation, clear language, well-organised contents, no typos, no inconsistencies, no obvious paste-ins, no numbers which don't add up, no missing pages, etc.

Rule no. 2 - You are going to need consistently high marks in all criteria! Make it easy for the evaluators to give you high marks. Don't make them work at it !

- ✓ Don't write too little; cover what is requested.
- ✓ Don't write too much, observe the page limitations given in the guidelines and keep in mind that they are the maximum number of pages. You may well write less, it is the content that counts not the quantity.
- ✓ Don't leave the evaluators to figure out why your proposal is good, tell them why it is such.
- ✓ Leave nothing to the imagination/ Never assume

Rule no. 3 - Use the "guidance notes for evaluators" that the EC provides for download. Give these notes and your draft proposal to experienced colleagues who are not directly involved in the proposal writing and ask them to do a 'pre-evaluation'. An outsider can spot omissions and inconsistencies much better than you as the writer. Then update your proposal following their recommendations.

Rule no. 4 - Make sure your Project Workplan reflects the promises you make in the rest of the proposal. For example a strong impact implies a significant dissemination effort, S&T excellence implies an adequate and well-organised research effort, or good consortium management implies clear Workpackage leadership.

Rule no. 5 - Use all the help you can get (and don't wait till it's too late) ! You can contact the responsible project officer in the EC, contact person for each objective are usually given in the call or the work programme. The EC offers for most calls "Pre-proposal checks". You cannot send in your proposal but you can describe your idea and the consortium and you will receive feedback.

Rule no. 6 - Find out if there are projects running from earlier calls on similar topics and check how they are addressing the problem at hand. If you propose the same or very similar solutions your chances are slim.

A final word: You can learn to present a good proposal in the best possible way, but no amount of creative writing will **disguise an inadequate proposal.** Before you indulge in the proposal writing, ask yourself and your partners:

Are you really fully in scope of the strategic objective?
Will your project have a significant impact?
Is it scientifically and technically excellent?
Is your consortium competent and complete?
Do you have a well worked out project management plan?
Do you have all the resources you need?

If the answer to all questions is 'yes' then go for it!

Concluding remarks

Once you have finished all the text, remember to go back and revisit your proposal abstract! Does it still summarise everything you plan to do? Then, when you get to the end of writing your proposal, go back and answer the following four questions:

> ➢ Have you read all the instructions *and implemented them*?
> ➢ Have you given sufficient evidence to justify all your statements?
> ➢ Have you given sufficient detail to activities to convince the evaluators that the project will achieve what you say it will achieve?
> ➢ Have you checked that the text of every section of the proposal is consistent?
> ➢ Have you justified adequately all your budget items to give good value for money?

It the answer to any of those questions is <u>not</u> Yes, then it is <u>unlikely</u> that you will get one or more perfect scores of 5/5 and your proposal *will not be funded*!

Once your proposal gets to the evaluators, by the end of reading it the evaluators need to be saying

> ✓ **'This looks a good quality proposal with very competitive ideas from applicants who followed all the instructions.'**
> ✓ **'This is an excellent project concept, clearly justified and implemented with a convincing amount of detail.'**
> ✓ **'It looks as if the proposed project will be managed competently, and will have a *significant* impact.'**
> ✓ **'It also looks excellent value for money! Indeed,…'**
> ✓ **'It looks the *best* proposal that I have reviewed. So..'**
> ✓ **'I shall give it a *maximum score* in every section, and..'**
> ✓ **'I recommend *they are given the money*!'**

If you can achieve this, then you have mastered the Secrets to success with project proposals.