



Framework 7

Proposal Writing

January 2008

IPROMS EVENT, CARDIFF

Speaker:

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University of York

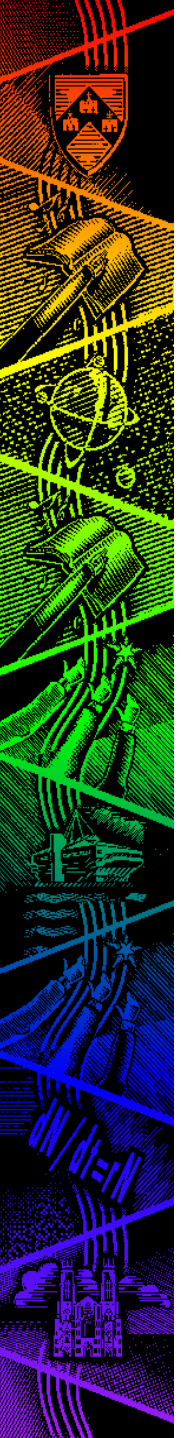
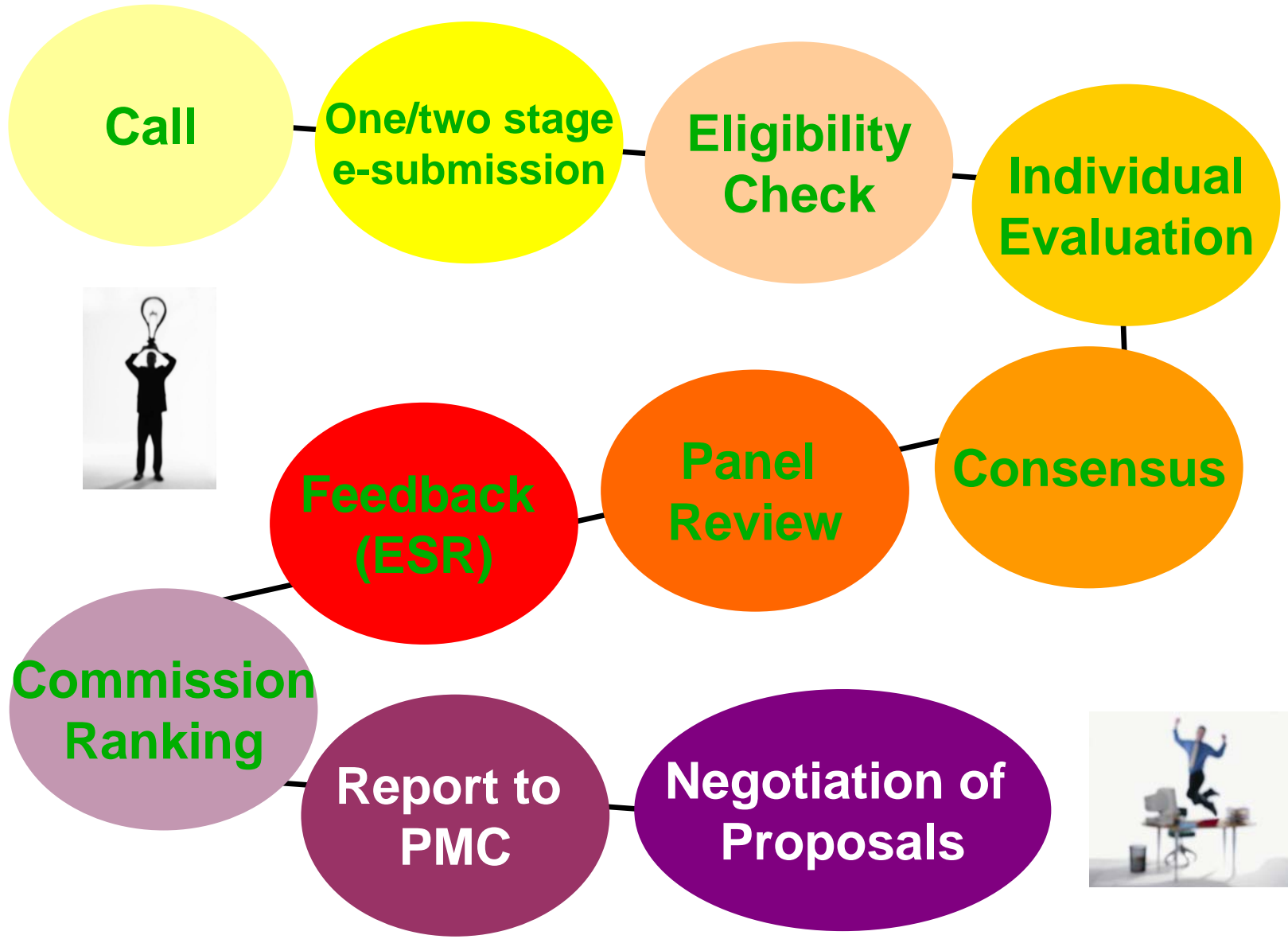
THE UNIVERSITY *of York*



Objectives for Today

- Overview of the Assessment Criteria
- To demonstrate HOW to write a proposal
 - How to write the S&T Objectives section
 - How to write the IMPLEMENTATION section
 - How to write the IMPACT section
- Set the Scene for tomorrow:
 - We will be able to discuss the HOW aspect in more detail
 - Development of proposal writing checklists

Submission Process



1. Science and/or Technological Quality

Classification	Criteria
PROOF OF CONCEPT	<ul style="list-style-type: none">• Soundness of concept• quality of methodology and work plan
INNOVATIVE QUALITIES	<ul style="list-style-type: none">• Progress beyond state of the art
OVERALL OBJECTIVES	<ul style="list-style-type: none">• Quality of objectives (SMART)
NETWORK OF EXCELLENCE	<ul style="list-style-type: none">• Contribution to LT integration of high quality research• Quality and effectiveness of JPA and work plan



S&T Section – In a Nutshell

- *Quality of objectives*
- **Proof of Concept**
 - Methodology and Work Plan
- **Innovative Features**
 - Beyond SOA



S&T Objectives (OVERVIEW)

- S&T Objectives:
 - Clearly stated and measurable
 - Should be sufficiently ambitious yet achievable
 - Clearly related to WP content
 - Lead to progress beyond state-of-art



SMART objectives

- SMART:
 - SPECIFIC
 - MEASURABLE
 - ATTAINABLE
 - REALISTIC
 - TIME-SPECIFIC
- Why?
 - Progress can be measured (Useful for the technical report)
 - Helps Assessors (= Improve your chances of success!)
 - Improves Project Clarity




S&T Section – In a Nutshell

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Methodology

- Feasible
- Risks Assessed
- Linked to delivery of objectives and innovative features
- Reflected in Work Plan



Work Plan

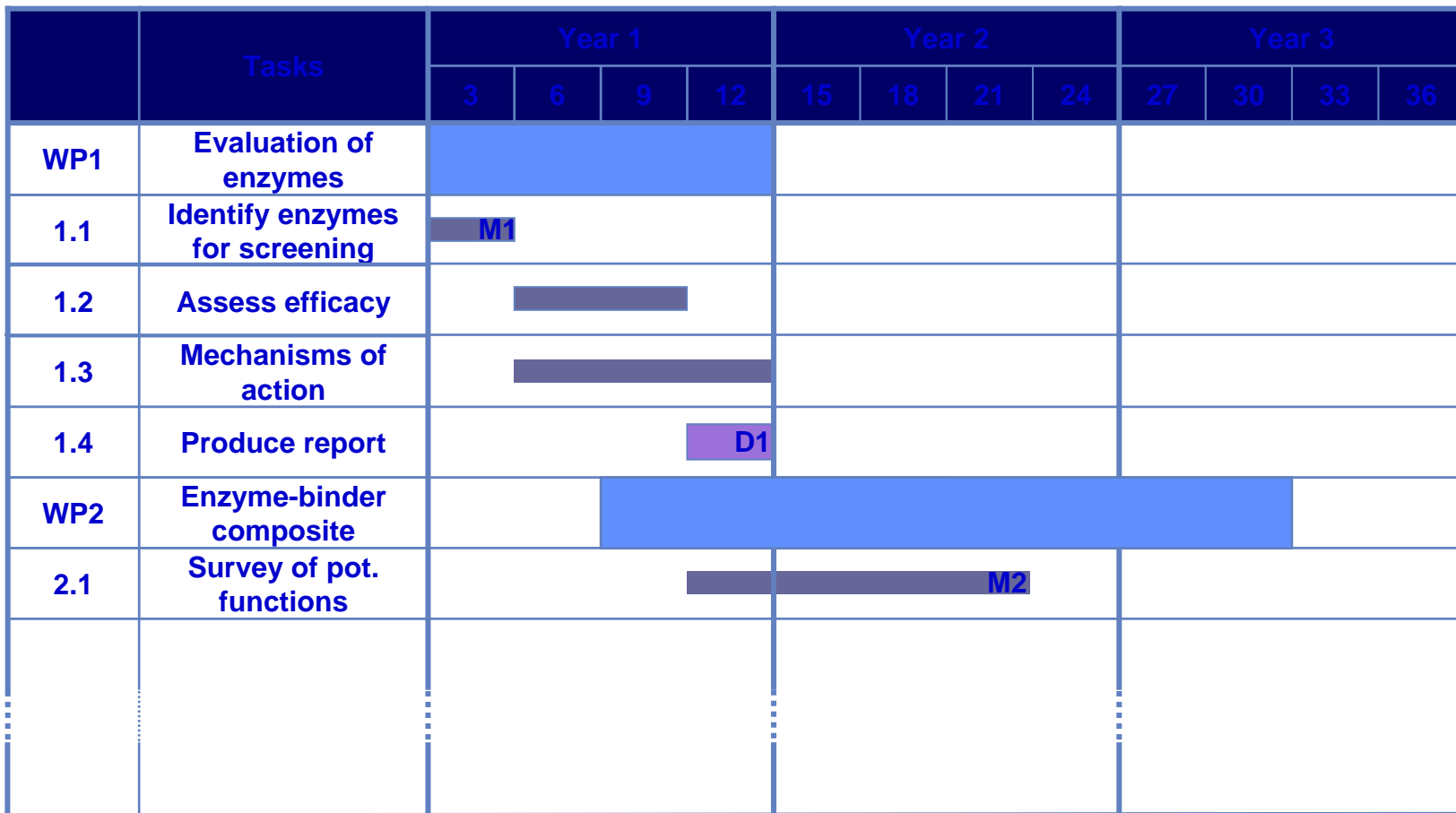
- Describe the overall strategy
- Show the timing (GANTT Chart)
- Provide a detailed Work description (Broken down into Work Packages)
 - Deliverables lists
 - Description of each Work Package
 - Summary Effort Table
 - List of Milestones



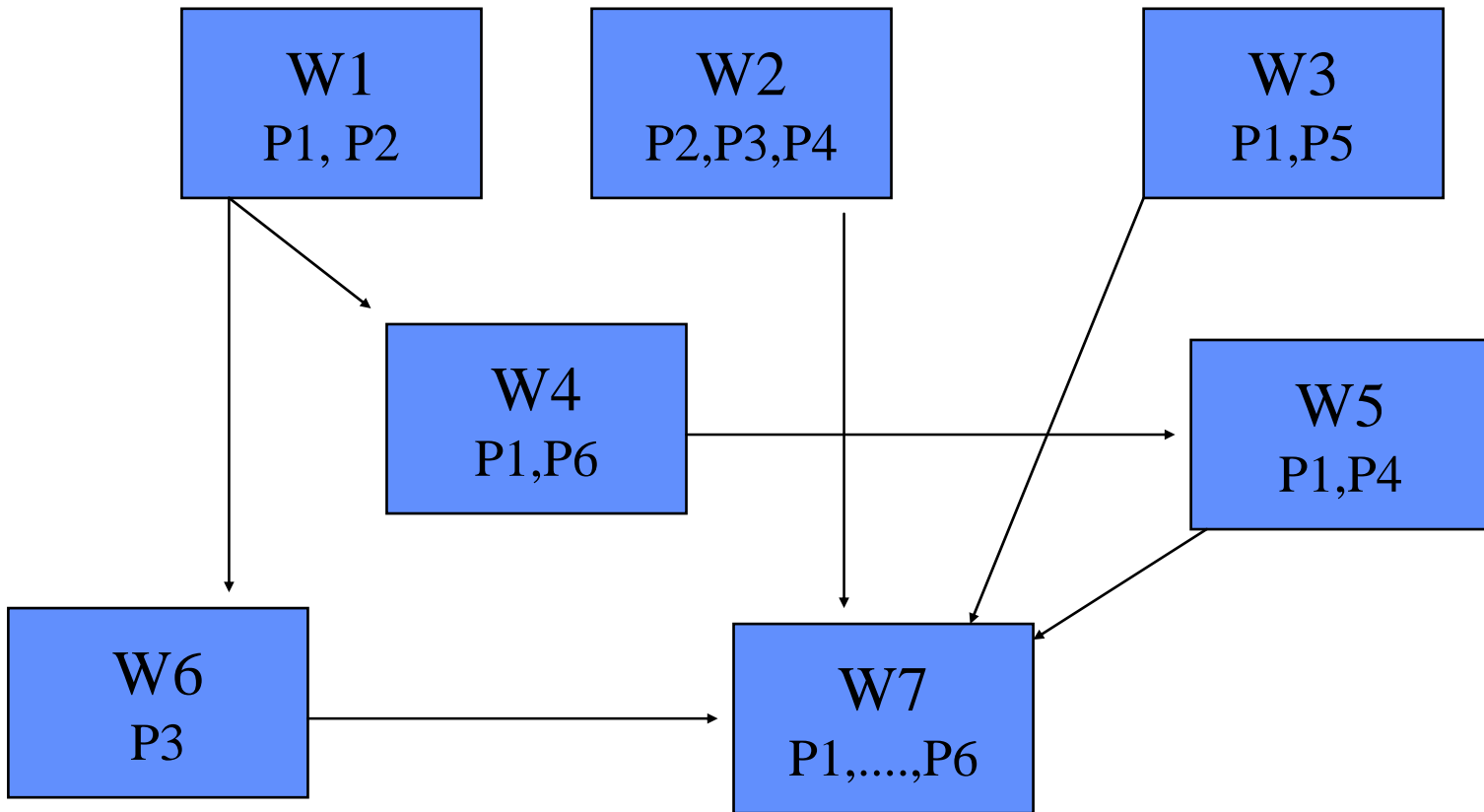
Strategy for Work Plan:

- What are links between objectives, scientific methodology and implementation?
- How are these described in the Work Plan?
- Have the key decision points been identified? (Critical Points)
- Deliverables (Too few? Too Many?)
- Work Packages: Well Integrated?

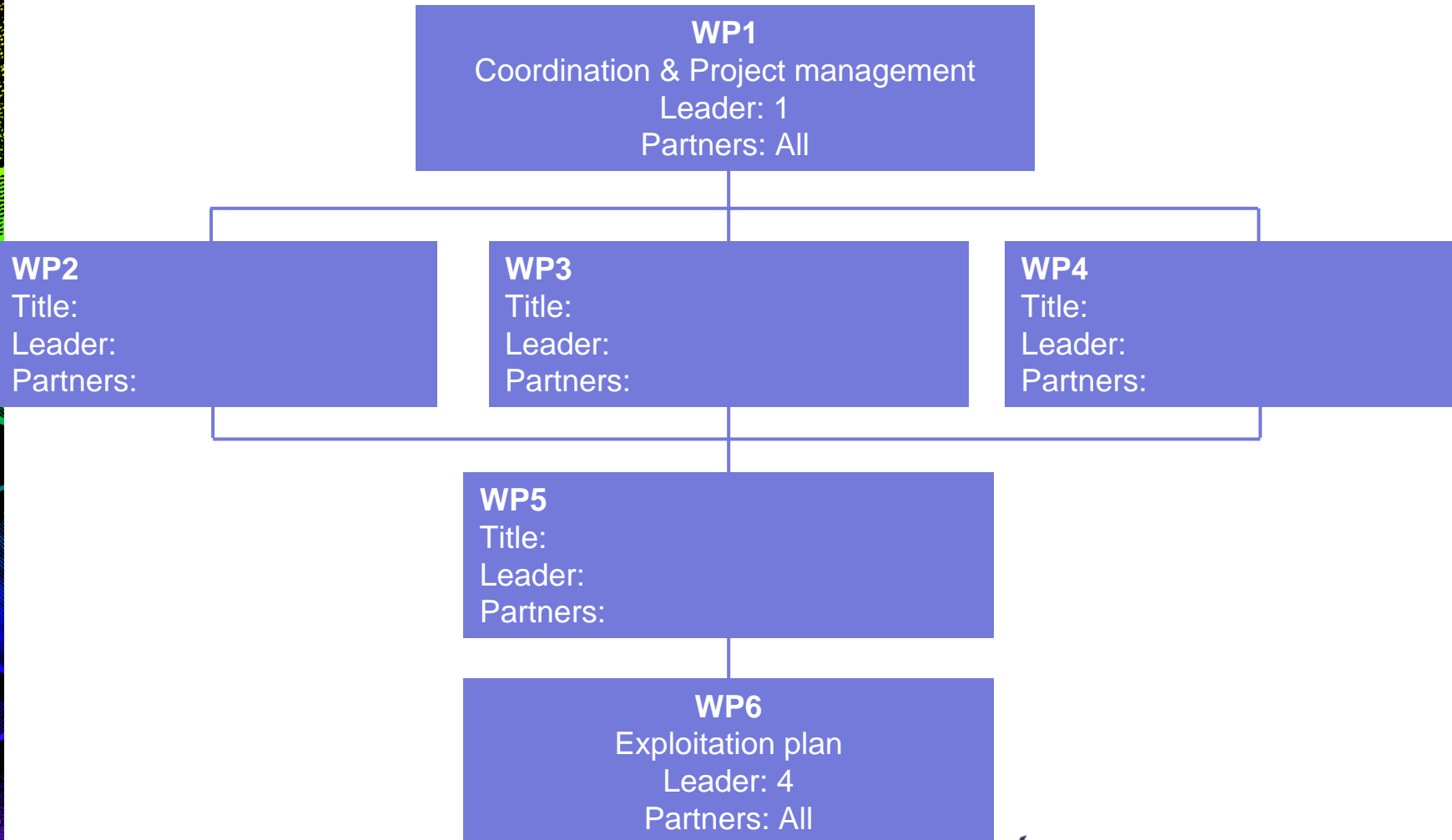
Gantt Chart



Pert Diagram: Example



Pert Diagram



Open Save Print Mail Connect Create PDF Review & Comment Secure Sign Advanced E

Select Text 100% How To..?

Table 1.3 b: Deliverables List

Del. no. ¹	Deliverable name	WP no.	Nature ²	Dissemination level ³	Delivery date ⁴

Bookmarks
Layers
Pages
Signatures
Comments



S&T Section – In a Nutshell

- **Quality of objectives**
- **Proof of Concept**
 - Methodology and Work Plan
- ***Innovative Features***
 - *Beyond SOA*



Innovative Features (SOA)

- Describe RELEVANT State-of-the-art (SOA)
- Clearly indicate GAPS in SOA
- Clearly indicate HOW GAPS will be filled, and link this to your methodology
- Carry out risk analysis
- What are the fall back plans (Milestones)



S&T Checklist

- Have you stated clear the SOA and therefore how your project fills the gaps?
- Are the objectives :
 - Clearly Stated and measurable (SMART)?
 - Relevant to Work Programme
 - Linked to Work Plan (implementation)?
 - Feasible but ambitious (Check ‘concept’ and ‘quality’)
 - Linked to SOA (e.g. fill ‘gaps’)
- Methodology and Work Plan
 - Linked to Work Plan?
 - Clearly Stated?
 - Effective (Feasible)
 - Any risks evaluated
 - Fall back plans/ alternative courses of action?
 - Work Packages well integrated?
 - Critical Path and Milestones Well Described, Appropriate?

Implementation Criteria

Classification	Criteria
Consortium Management	<ul style="list-style-type: none">• Appropriateness of Management Structure
Consortium Building	<ul style="list-style-type: none">• Quality and relevant experience of participants• Consortium Quality as a whole , including complementarity and balance
Budget and Finance	Resource allocation and justification (Budget, Staff and Equipment)
Network of Excellence	Adequacy of Resources for successfully carrying out the Joint Programme of Activities



Implementation: Overview

- Appropriateness of management structure and procedures
- Quality of individual participants
- Quality of consortium
- Appropriateness of the allocation and justification of resources
 - Overall Budget
 - Equipment
 - Personnel
 - Management Budget



Implementation: Overview

- *Appropriateness of management structure and procedures*
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Management Structure

Describe the organisational structure and decision-making mechanisms of the project.

Show how they are matched to the complexity and scale of the project.

**GUIDE FOR APPLICANTS
(PART B)**



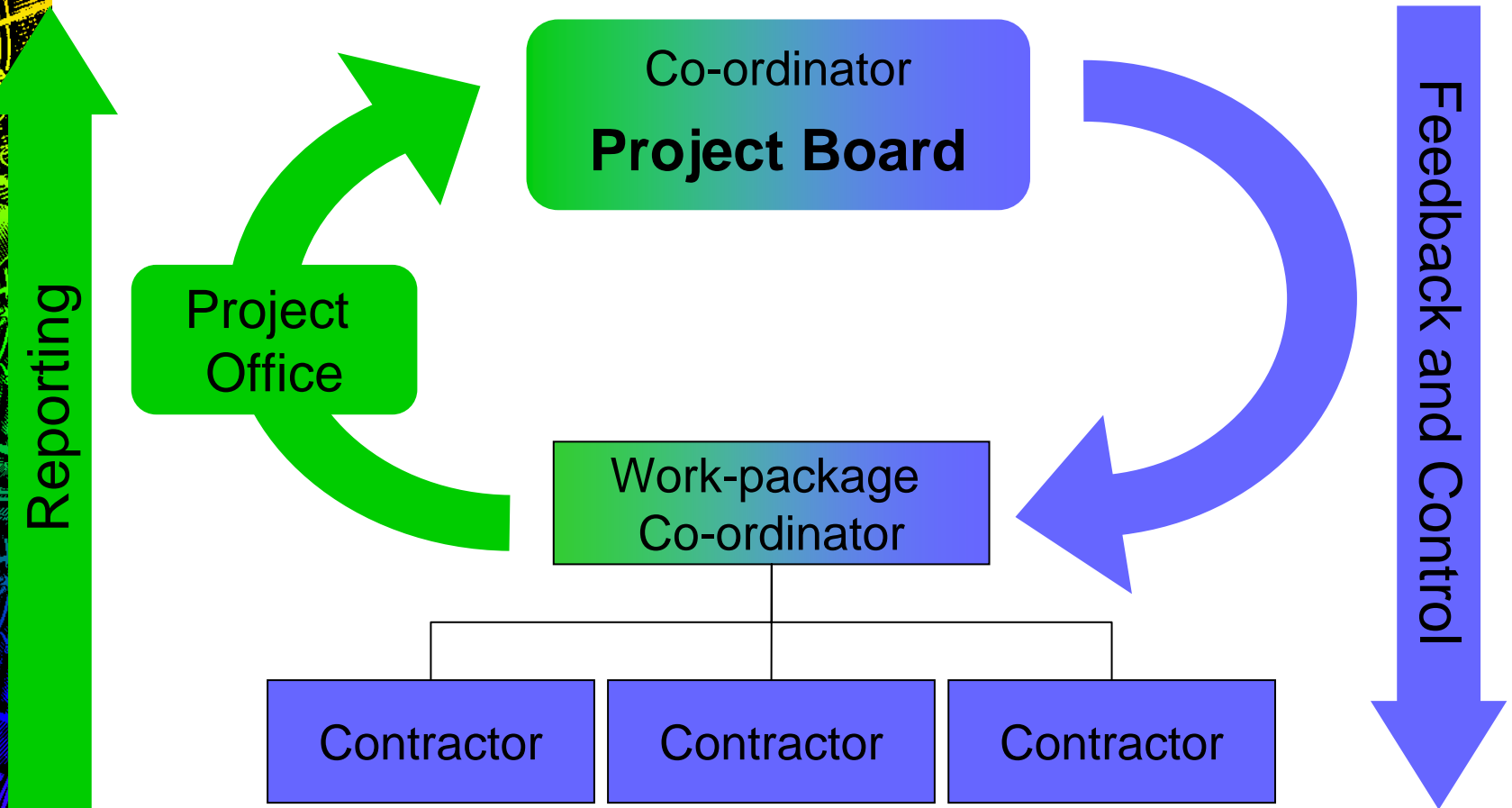
Management Structure

Describe the organisational structure and decision-making mechanisms of the project.

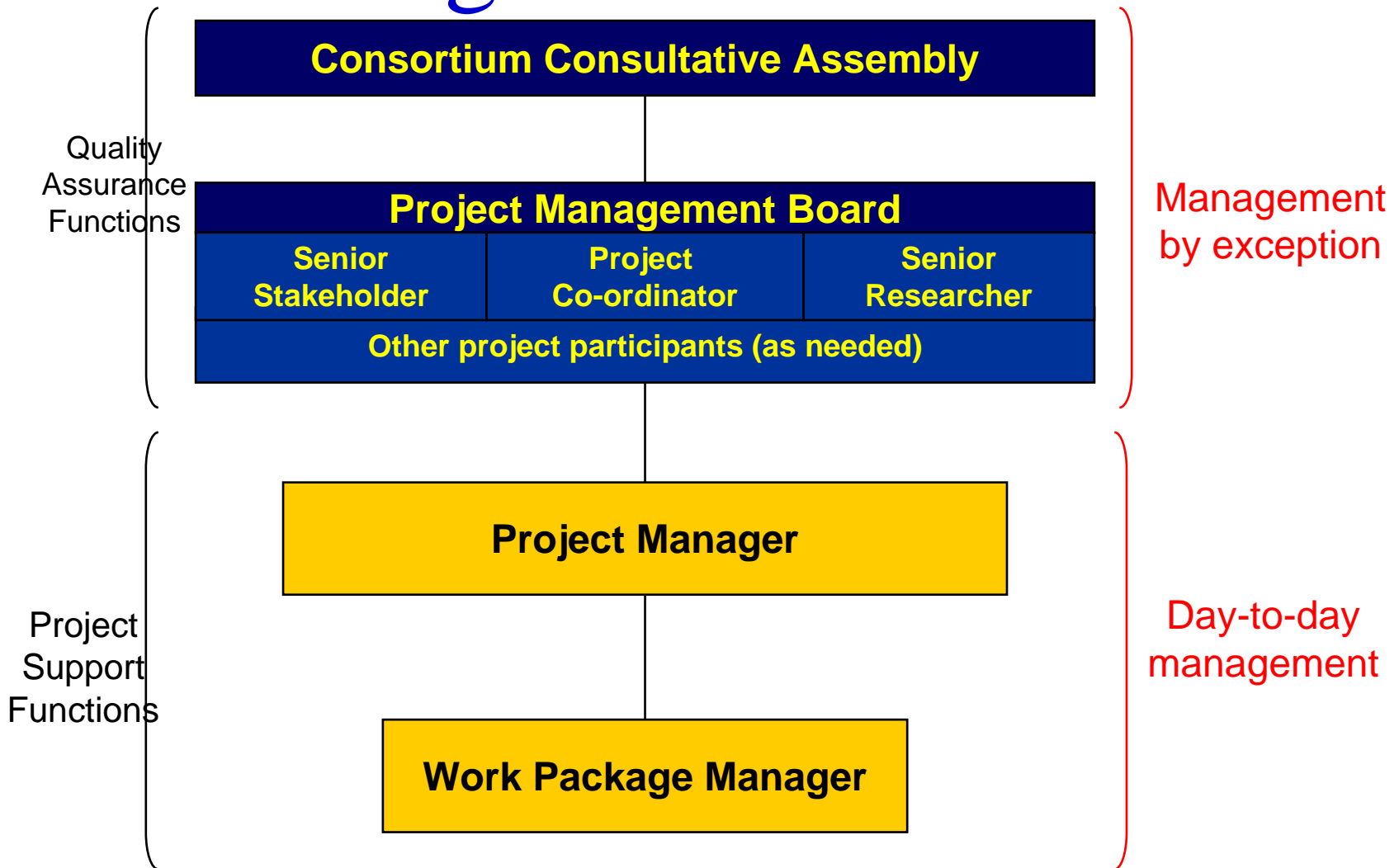
Show how they are matched to the complexity and scale of the project.

**GUIDE FOR PROPOSALS
(PART B)**

Project Management



Management structures



NB – Not the same as communication Structures



Management Considerations

Considerations

- Who does what?
- communications strategy?
- decision making structure
 - ‘democratic’ vs. ‘efficient’
- Do not forget:
 - Project Dissemination
 - IPR
- Avoid too much or too little detail
- experienced international project managers?
- Coordinator Role:
 - Additional Responsibilities
 - Not additional powers!
- Scientific vs. Administrative Management



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Text of Part B: Individual Participants

For each participant in the proposed project, provide a brief description of the organisation, the main tasks they have been attributed, and the previous experience relevant to those tasks. Provide also a short profile of the staff members who will be undertaking the work.

(Usually one page per partner)

EXTRACT FROM GUIDE FOR APPLICANTS, SECTION B



Participants Checklist

- Are most, if not all, ‘world class’ in their field (Demonstrably)?
- Appropriate for the task allocated to them (Demonstrably)?
- Clear roles in the project
- Their roles in the project justified?



How to write partner descriptions

- Avoid long-winded descriptions of the institution: Focus on the relevant research
- Ensure as far possible that the background (experience) of the participants links to the tasks performed
- Highlight aspects that will be particularly useful in the project (Impress the assessors about how the expertise will be used)




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Text of Part B: Quality of consortium

Describe how the participants collectively constitute a consortium capable of achieving the project objectives, and how they are suited and are committed to the tasks assigned to them.

Show the complementarity between participants. Explain how the composition of the consortium is well balanced in relation to the objectives of the project. If appropriate describe the industrial/commercial involvement to ensure exploitation of the results.



Added Value of Consortium Consortium

- Demonstrating the ‘value added’ of the consortium
 - Justified doing at European level
 - Able to deliver the objectives of the project (the deliverables)
 - Able to provide ‘critical mass’
 - Not just ‘cobbled together’ for this call (long-term working)
 - Not biased to one country
 - Etc.



Implementation: Overview

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Text of Part B : Resources to be committed

In addition to the costs indicated on form A3 of the proposal, and the staff effort shown in section 1.3 above, please identify any other major costs (e.g. equipment). Describe how the totality of the necessary resources will be mobilised, including any resources that will complement the EC contribution.

Show how the resources will be integrated in a coherent way, and show how the overall financial plan for the project is adequate.

(Recommended length for Section 2.4 – two pages)



Main Principles: How to justify Costs

- Break down costs
- Pay attention large items (e.g. equipment)
- Justify work effort
- Not all costs are the same
- If any cost is not clear, review
- Poor justification of costs = store up problems!



General Principles

- Participants charge direct costs (according to normal accounting procedures)
- Indirect costs= overheads
- EC contribution through Re-imbusement of costs

Eligible Cost Rules



- Actual
- Incurred during the action
- Usual accounting procedures
- Related to objectives
- Rates: See next slide



Maximum Reimbursement Rates

	FP6	FP7 – Industry	FP7 – Public Bodies, Universities, SMEs, etc.
RTD	50%	50%	75%
Demonstration	35%	50%	50%
Other*	100%	100%	100%
ERC	Proposing 100% direct costs plus 20% flat rate for indirect costs		

* **Co-ordination and Support Actions, Training, Management**

Management Budget T



- To cover true project management NOT science!
- Remember to include costs of compulsory audit
- No 7 per cent limit for: Collaborative Research and Networks of Excellence (BUT still need to justify!)
- **Remember:** paid at 100 per cent
- Co-ordinators: Should consider employing full-time professional project manager

Costs: What you are asked for



- Section “Implementation”
 - A3 Summary of costs
 - Staff effort (per partner)
 - ‘Resources to be committed’, show the ‘totality’ of resources and how they will be mobilised, and show the overall financial plan for the project is adequate
 - Justify your budget!!! (Particularly large items, like equipment, but also any contributions(!) from Third Countries (Can count heavily in your favour)
 - Do not calculate to nearest EURO!

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Table 1.3 c: Work package description

For each work package:

Work package number		Start date or starting event:							
Work package title									
Activity Type ^a									
Participant number									
Participant short name									
Person-months per participant:									

Objectives

Description of work (possibly broken down into tasks), and role of participants

Deliverables (brief description and month of delivery)



Implementation Checklist

- Project Management
 - Is the management structure clear/efficient/well described?
 - Does the coordinator have demonstrable capacity and experience?
 - Is there a communications strategy?
 - Is there decision making strategy?
 - Have IPR issued been well managed and a Consortium Agreement discussed?
 - Have you clearly distinguished project and scientific management?



Implementation Checklist

- Consortium Development
 - Are the roles of the partners clearly described and complementary?
 - Does the experience of the partners match the tasks assigned to them?
 - Have you presented evidence that you can work together?
 - Do all partners have a well defined role?
 - Are all (or nearly all) partners leaders in their fields? World Class?
 - Is there a good balance between industrial (including SMEs) and non-industrial partners



Implementation Checklist

- Budgetary and Financial
 - Are the resources well justified and sufficient to fulfil project objectives?
 - Are any large budgetary items well justified?
 - Within overall budget?
 - Reflective of a fair distribution of Work Effort?
 - Do you have a fall back plan in case of budget cuts?

Impact: Criteria

Classification	Criteria
European Value	Contribution at EU and/or International Level to the expected impacts list in the Work Programme under relevant topic/activity
Dissemination and IPR	Appropriateness of Measures for dissemination and/or exploitation of project results, and management of IPR
Networks of Excellence	Measures for spreading excellence, exploiting results and disseminating knowledge through stakeholder and public engagement



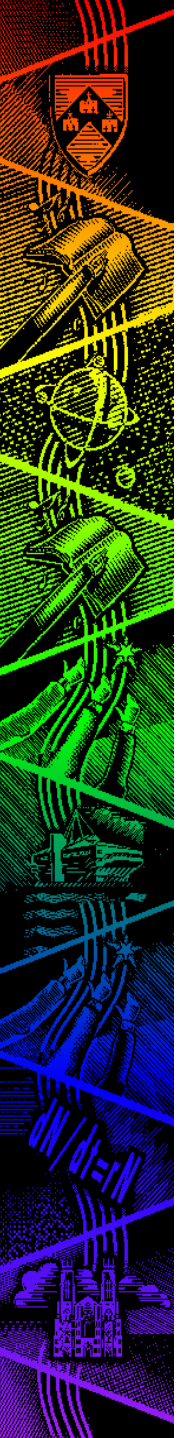
Impact - Overview

- ***Expected impacts listed in Work Programme per topic***
- **Steps needed to bring about impact**
- **Contribution at European Level**
- **Account taken of other relevant national or international research activities**
- **Assessment of likelihood of achieving impact**
- **Dissemination / exploitation of research results**

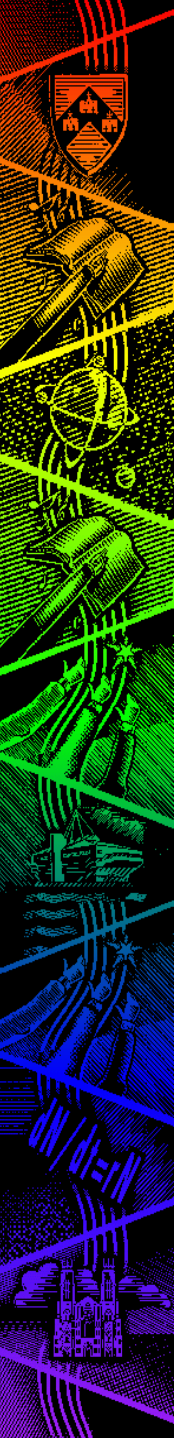


Examples:

Using the Work Programme to
describe impact



- New markets such as: extending the industrial robotics market to flexible small scale manufacturing, opening up services (professional and domestic) markets to robots, novel
- functionalities for embedded systems and assistive systems for interpersonal communications, such as support of dynamic translation, and effective medical diagnostics and therapeutics.



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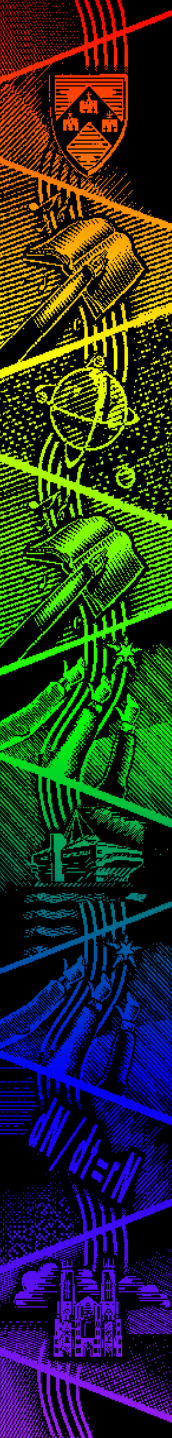
Key Words

- Functionality
 - embedded systems
 - Medical diagnostics and therapeutics
- Leading to:
- Description of Impact:
 - The results of Work Package 3 will therefore improve the **functionality** of this new **embedded system** for **medical diagnostics** utilising the findings of WP1 and WP2. The parameters for improved functionality areetc.



Impact - Overview

- **Expected impacts listed in Work Programme per topic**
- ***Steps needed to bring about impact***
- **Why contribution needs to be at European level**
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Steps Taken

- Ensure this relates to measures in Work Plan and Methodology
- Consider distinguishing between short-term impacts (during project) and long-term impacts (after project)
- State any risk factors
- General Rule: Impacts should be both ambitious and feasible



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European Level: Key Considerations

- Commission takes VERY seriously
- Gaps at European level
- Maintaining European Lead
- Why Collaborative Research?
- Where possible, Back case with evidence
 - Figures
 - Qualitative indicators
 - European level vs. national level
- European policy relevance
 - Why?
 - What?
 - Where?

European Policies: What?

Type	Area	Examples
Quality of Life	Health	<ul style="list-style-type: none"> ▪ Reduction in morbidity rates ▪ Improvement of food safety
	Environment	<ul style="list-style-type: none"> ▪ Improvement in drinking water standards ▪ Reduction of green house gases
Competitiveness	ICT	<ul style="list-style-type: none"> • Employment in knowledge industries • Take-up of new and innovative technologies
	Environment	<ul style="list-style-type: none"> • Creation of 'green' jobs • Improvements to re-cycling processes
	Health	<ul style="list-style-type: none"> • Reduction in working days lost • More efficient health care delivery
	Social Sciences and Humanities	<ul style="list-style-type: none"> • Employment Policies • European Integration



European Policies: Where?

- Directives
- Regulations
- Green Papers
- White Papers
- Com Docs e.g. COM (2007) 321
- Staff Working Papers
- Others




European Policies: Where?

- Links to key Commission sites relating to European policy, notably:
 - EUROPA
http://ec.europa.eu/research/future/index_en.cfm
 - Links to individual policy areas:
 - http://ec.europa.eu/policies/index_en.htm
 - CORDIS



Measuring Impact

- **Measures for**
 - Dissemination
 - Exploitation of project results
 - Take-up of new technologies (Market analysis)
 - IPR management
 - Spreading excellence
 - Disseminating knowledge through stakeholder and public engagement

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Other International or national national activities

- Examples:
 - Relevant National research of partners, and how the EU project develops it
 - Other EU projects, esp. if partners have been involved
 - Other international programmes where relevant
 - List 2-way advantages of the results of projects



Impact - Overview

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Likelihood

- Use Work Programme to determine:
 - Degree of expected risk
- Use SOA to determine how much risk is expected in research in your area, if generally breakthroughs are likely, then will mark down proposals that appear to have low likelihood of success
- Remember to link to other parts of the proposal, particularly Work Plan, S&T Objectives



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- ***Dissemination / exploitation of research results***

What is Research Dissemination?

- Publications
- Conferences
- Public Understanding of Science
- Web
- Links to other European Projects
- Press
- Key: Have a balance between exploitation and dissemination



What and Why of Exploitation Exploitation

- WHY?
 - Avoids research failing to deliver real benefits (QoL or Competitive)
 - Allows Commission to demonstrate value for public money
 - Contributes to overall policy aims (in Rules of Participation)
- HOW?
 - Patents
 - New Products or Services
 - Policy Implementation
 - Adoption of New Standards

How?

- Exploitation, Consider:
 - IP: e.g. potential for patents, exploitable results
 - Market estimates (Long-term)
- Dissemination, Consider:
 - Meetings
 - Publicity
 - Science events
 - International Conferences
 - Training
 - Public Understanding of Science

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Impact - Overview

- **Expected impacts listed in Work Programme per topic**
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- **Dissemination / exploitation of research results**

Gender aspects

- Consideration of gender aspects
 - “You may give an indication of the sort of actions ... to promote gender equality in your project, or in your field of research”
 - actions related to the project consortium (e.g. improving the gender balance in the project consortium, measures to help reconcile work and private life, awareness raising within the consortium)
 - or, where appropriate, actions aimed at a wider public (e.g. events organised in schools or universities)
 - Not all projects
 - Not evaluated but ‘discussed during negotiation’ if project is successful

Ethical Review

- All proposals must:
 - Describe potential ethical aspects
 - Justify the design of the research project
 - Explain how ethical requirements of WP are fulfilled
 - Indicate how proposal meets national legal and ethical requirements of country where research is performed
 - Indicate timing for approval by relevant authority at national level
- Commission may submit proposal to Ethical Review Panel
 - Their input could affect funding decision
 - An ethical review may be requested mid-project



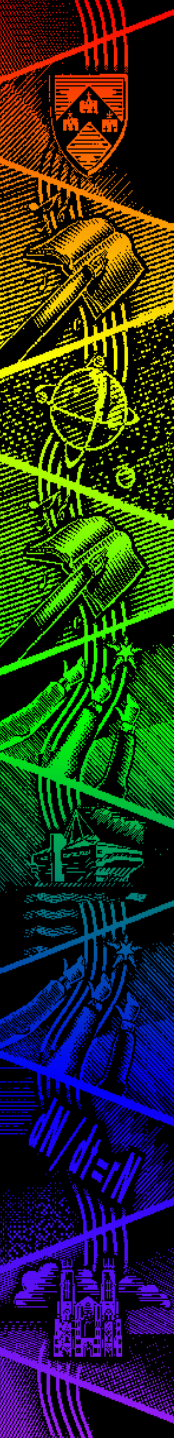
Impact - Checklist

- Is there a clear link between your objectives and the expected impact listed in the Work Programme?
- Have you demonstrated how your proposal will deliver the stated impact?
- Have you described the likelihood of achieving stated impacts?
- Are the dissemination activities well described, feasible and integrated with the project aims?
- Has a clear exploitation plan been formulated?
- Has previous work at European and national level been exploited where possible?
- Has the relevance of your project to any European policy aims been clearly explained?
- Have any specific issues in your area been exploited (e.g. scientific ethics, public understanding of science, gender issues)

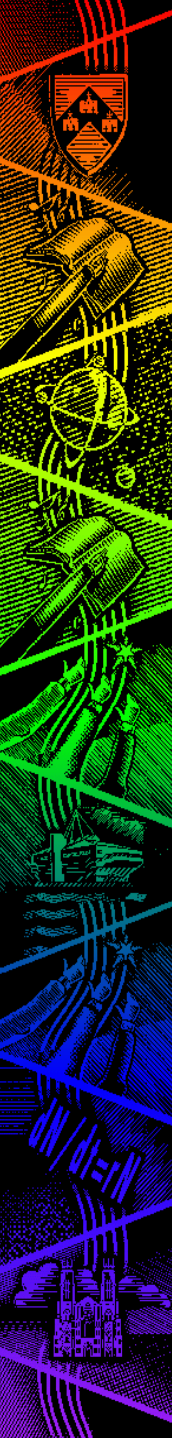


End Of Main Presentation

For tomorrow...



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General Advice and Proposal Writing Tips

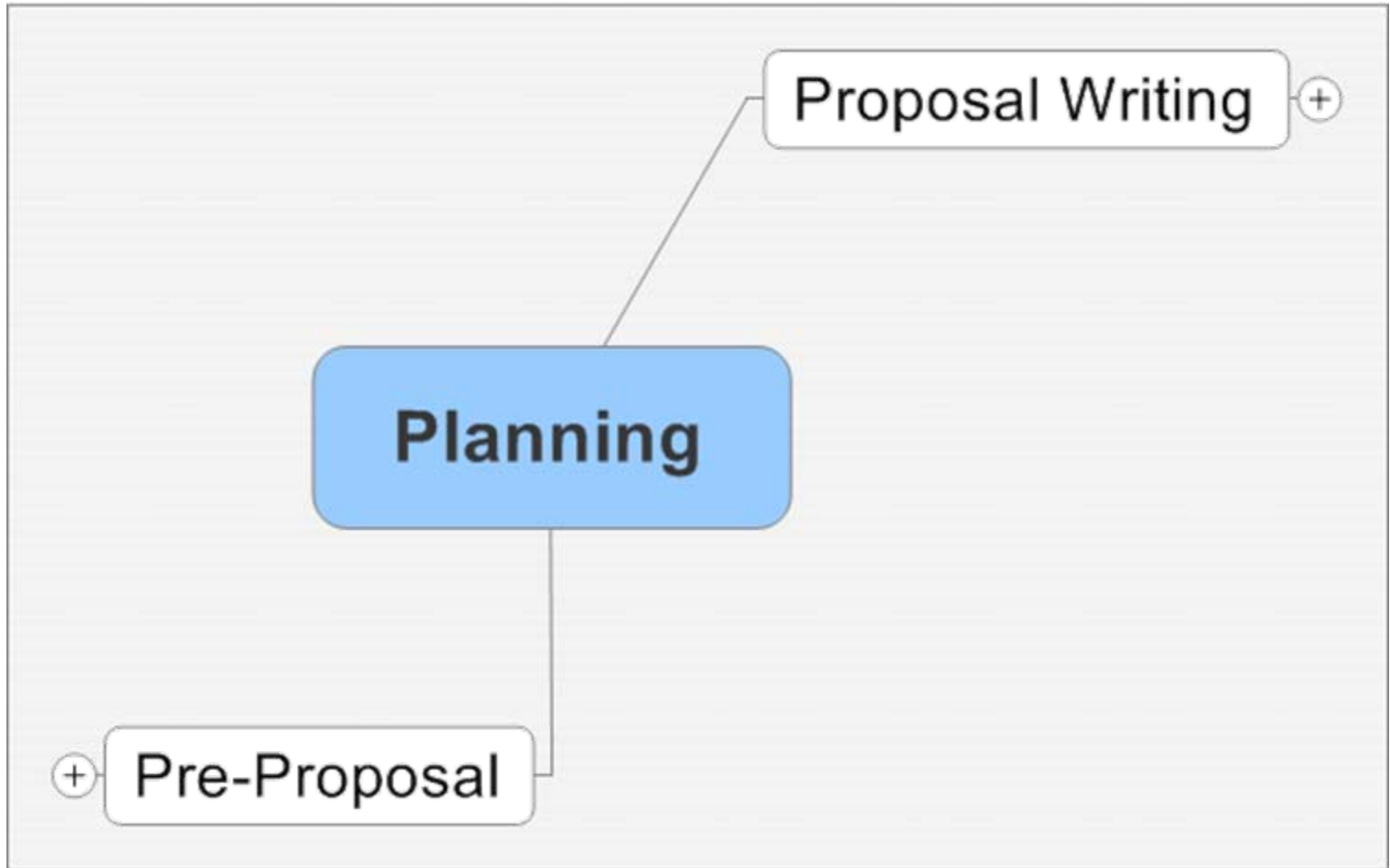
Based on:
Experience of Actual Proposals
Feedback from Assessors

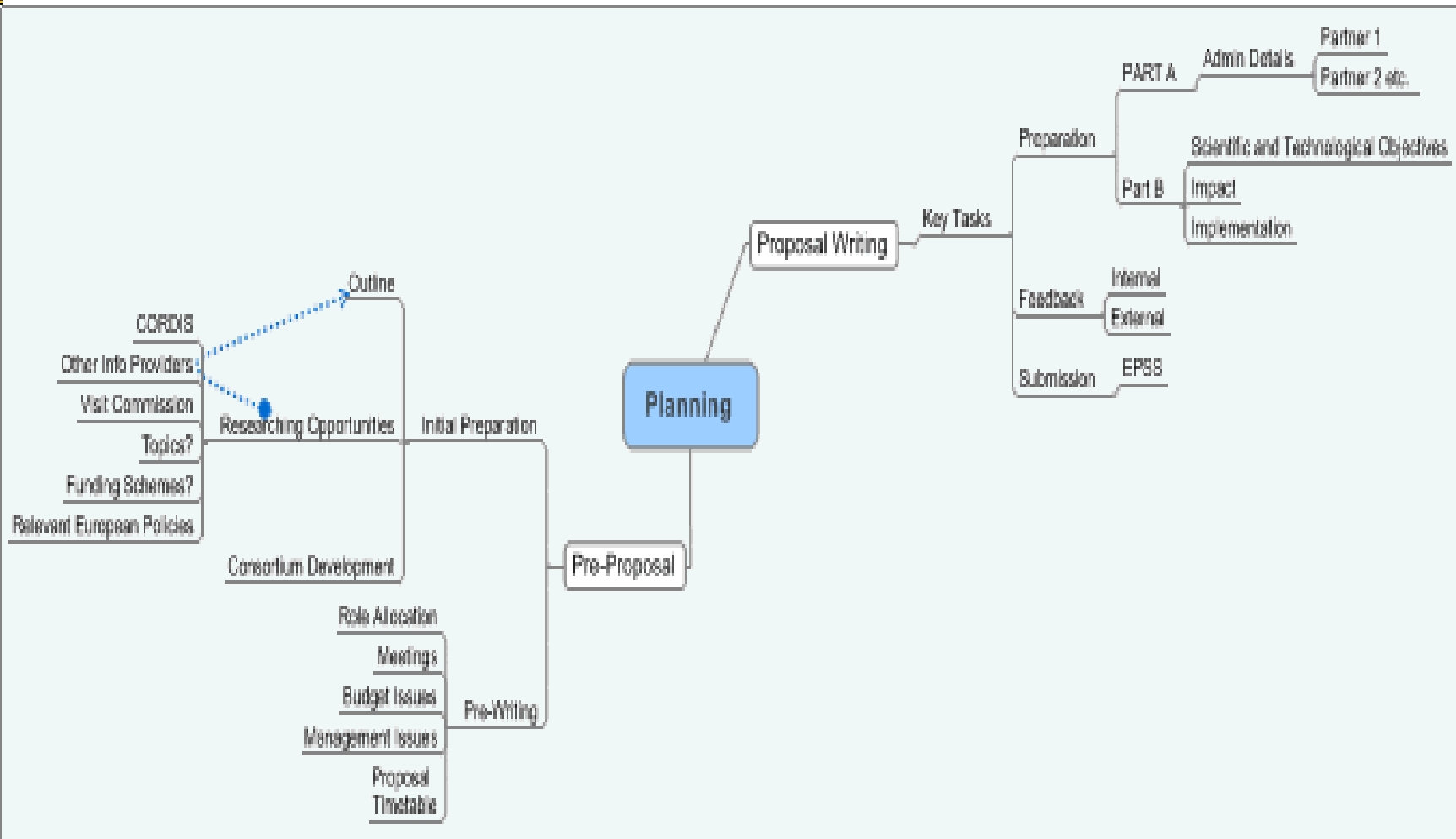


Useful General Tips

- PLAN
- Use Simple Language
- Aim to submit well before deadline (related to planning)
- Address the evaluation criteria
- Make sure you can justify resources and your consortium partners are all essential with clear rules
- Use documentation to help you (See case study below)

Planning







The Pre-Agreement

- Can serve as a preliminary Consortium Agreement (now compulsory for most FP7 projects, unless where stated in the call fiche)
- Contains:
 - Commitment to sign the Model Grant Agreement if successful) (avoiding problems of ‘last-minute’ realisation at contract negotiation stage)
 - Commitment to assist with proposal writing (Possibly assigning roles)
 - Clarification of roles if project is successful (Should be based on Work Packages in Section 1)
 - Confidentiality and IP provisions (Can be used directly in final CA)



Common Mistakes

....and how to avoid them!!!

- Change too much to suit the WP
- Do not change enough to fit the WP!
- Lack of Planning, Results:
 - Nobody wants to lead it!
 - Budget not clarified (e.g. resources not justified)
 - No 'fall back plan' (in case of budget cut)
 - Roles have not been clarified
 - Everything done by email (Often leading to above)
 - Management Resources not clarified (Budget)
 - Management Structure not clarified



Common Mistakes (Contd.)

- language is complicated
use technical language only where needed
- Too many deliverables, over-ambitious
- Approach/methodology not clear
- Objectives not clear (e.g. measurable?)
- Each partner does one work package
- All partners do all work packages
- No proposal writing timetable developed
- You have not self-evaluated the proposal
 - Internal
 - External



Common Mistakes (contd.)

- Consortium identity not established (Website?)
- Lack of Commitment (See 'Pre-Agreement')
- IP issues ignored (See 'Pre-Agreement')
- Everybody is doing everything!!
- One person is doing everything!!

The Killers.....(PLEASE DO NOT LET THIS HAPPEN!)

- Proposal is "Out of scope"
- Proposal is late (by one minute)
- Proposal is otherwise not eligible:
 - Invalid partnership
 - Over budget (by one EURO!)
 - Key section missing



Proposal Writing Checklist

Quick Review from this morning....leading to the development of a more detailed checklist



Check List: Proposal Preparation

- Who will lead the proposal writing?
- What are the main Work Packages?
- Who will lead the Work Packages?
- What resources will you require and how will these be justified?
- What documents are required?
- Have you fulfilled:
 - A) Eligibility criteria?
 - B) Work Programme relevance?



Check List: Proposal Preparation contd.

- Have you got a Pre-Agreement?
- Have you self-evaluated the proposal against the evaluation criteria?

Proposal Timetable: Example

Step	Step Description	Deadline
1	Complete Initial Planning	24 th March
2	Complete Proposal Outline	31 st March
3	Complete Core Consortium	15 th April
4	Establish Website for Consortium	16 th April-28 th April
5	Produce First Proposal Draft	29 th April
6	Update Drafts on Basis of Partner Contributions	29 th April-2nd June
7	Kick-Off Meeting	3 rd June
8	Updated Draft	10 th June
9	Self-check of Proposal	13 th June-24 th June
10	Refine Drafts	25 th June-30 th August
11	Submit Proposal Electronically	7 th September
12	Final fine-tuning up to deadline	21st September



Use ‘Kick-Off’ meeting for

- Finalise Budget and Budget allocation (In any case, this should be an early priority)
- Allocation of partner roles, work packages and tasks
- Ensuring partners are suited to tasks
- Discussing IPR issues and project management

Use the Guide for Applicants....

- Does your planned work fit the call for proposals?
- Are you applying for the right funding scheme?
- Is your proposal eligible?
- Is your proposal complete?
- Does your proposed work raise ethical issues?
- Does your proposal follow the required structure?
- Have you thought about the competition?

Use the Guide for Applicants....

- Do you have the authorisation of all the members of the consortium?
- Is your part B in Portable document format (PDF)
- Is the filename made up of letters A-Z and numbers 0-9?
- Is part B within size limit of 10Mbytes?
- Have you virus checked your computer?
- Have you made yourself familiar with EPSS?
- Have you allowed time to submit your final version?



Session Review

- Are the following clear?:
- **PROPOSAL STRUCTURE AND APPLICATION PROCESS:**
 - Understand the Application Process
 - Understand and describe the structure of an EU proposal
- **ASSESSMENT :**
 - Describe how the assessment process works
- **PROPOSAL WRITING:**
 - Know how to avoid common pitfalls
 - Appreciate the main factors needed for a successful EU proposal
 - Utilise the Assessment Process in your favour (understand how to address the main assessment criteria)
- **QUESTIONS and ANSWERS**