

Horizon2020 & EuropeAid: Project Application Processes

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Outline

I session (approx. 30 min.)

Работа по групи – представяне на Европейски програми

1. Overview of funding programmes to be considered relevant for the target group/participants
2. Project Design: definition and communication of a project idea

II session (approx. 30 min.)

Проектни предложения и представяне на резултатите от групите

1. Detail Analysis of an Application form: activities and financial planning (Horizon2020 & EuropeAid)
1. Critical questions, issues and concerns encountered in a project proposal phase

● HORIZON2020

- Programme Sections:

- ❖ Excellent Science
- ❖ Industrial Leadership
- ❖ Societal Challenges
- ❖ Fast Track to Innovation Pilot (2015-2016)
- ❖ Spreading Excellence and Widening Participation
- ❖ Science with and for Society
- ❖ European Institute of Innovation and Technology (EIT)
- ❖ Euratom
- ❖ Scientific Panel for Health (SPH)

I session: Overview of funding programmes - HORIZON2020

- HORIZON2020
 - Societal challenges

Health,
Demographic
Change and
Wellbeing

Food security,
sustainable
agriculture and
forestry, marine,
maritime and
inland water
research and the
bioeconomy

Secure, clean and
efficient energy

Smart, green and
integrated
transport

Climate action,
environment,
resource
efficiency and
raw materials

Europe in a
changing world –
Inclusive,
innovative and
reflective
societies

**Secure societies
– Protecting
freedom and
security of
Europe and its
citizens**

1 session: Overview of funding programmes - EUROPE AID

- The Commission's Directorate-General for International Cooperation and Development (DG DEVCO) is responsible for designing European international cooperation and development policy and delivering aid throughout the world.
- Sectors:
 1. [Human rights and governance](#)
 2. [Food and agriculture](#)
 3. [Economic growth](#)
 4. [Human development](#)
 5. [Infrastructure](#)
 6. [Environment](#)
 7. [Energy](#)
 8. [Health & education](#)
 9. [Migration and asylum](#)

Session: Overview of funding programmes - EUROPE AID

- EuropeAid implements programmes and projects around the world.
- EU funding delivers aid to countries in need, from two different sources: the European Development Fund (EDF) and the general EU budget.
- For the 2014-2020 period, the EU's financial tools for external relations, including development, amounts to **€51.5 billion**.



1 session: Overview of funding programmes - EUROPE AID

- DG Development and Cooperation - EuropeAid publishes information on recipients for the following management modes:
 - **Centralised management:** The recipients of funds for these contracts are published exclusively through the [Financial Transparency System \(FTS\)](#) managed by the Directorate-General for Budget as from the financial year 2012
 - **Decentralised management with partner countries:** all contracts awarded by partner countries under (partially) decentralised implementation and for which payments are done directly by the European Commission (i.e. contracts above the thresholds for Programme Estimates) can be found on EuropeAid specific page for [recipients of decentralised contracts](#).
 - **Joint management with international organisations and indirect centralised management with EU member states agencies:** The European Commission (EC) contributes to a project implemented by an international organisation or a EU member state agency which is responsible for the award of **grants** and **procurement** contracts on the basis 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 recipients of funds is properly addressed by these organisations. In addition, a summary of contracts awarded is provided below for international organisations.

Interregional cooperation

- Promoting higher education
- Promoting inter-regional dialogue
- Twinning
- Neighbourhood Investment Facility
- TAIEX and SIGMA

EU Neighbourhood & Russia - Cross Border Cooperation

- Cross Border Cooperation (CBC) is a key element of the EU policy towards its neighbours.
- Supports sustainable development along the EU's external borders, helps reducing differences in living standards and addressing common challenges across these borders.
- First recognised as such in the European Neighbourhood and Partnership Instrument (ENPI) regulation for the period 2007-2013. This was confirmed for the period 2014-2020 in the European Neighbourhood Instrument (ENI) regulation adopted in March 2014

Funding Instruments

1. THEMATIC

- European Instrument for Democracy and Human Rights (EIDHR)
- Instrument for Stability (IfS)
- Instrument for Nuclear Safety Cooperation (INSC)

2. GEOGRAPHICAL

- Instrument for Development Cooperation (DCI)
- European Development Fund (EDF)
- Instrument for Pre-accession Assistance (IPA)
- European Neighbourhood and Partnership Instrument (ENPI)

Session: Overview of funding programmes - EUROPE AID

Practical Guide to Contract Procedures for EU External Actions – PRAG (brief overview of the web-site and the info it offers)



The screenshot shows the PRAG website interface. At the top, there is a header with the European Commission logo and the text "DEVELOPMENT AND COOPERATION – EUROPEAID Building partnerships for change in developing countries". To the right of the header, there are links for "Contact", "Search", and "Legal notice" in multiple languages (de, en, es, fr, it, pt). Below the header, there is a "Navigation path" section with a list of links: "European Commission", "EuropeAid", "Practical Guide", and "PRAG Document". A horizontal menu bar contains links for "PRAG Document", "Annexes", "Download", "Previous Versions", "Keywords", "Links", and "PRAG Search". On the left side, there is a table of contents with a list of items: "1. Introduction", "2. Basic rules", "3. Service contracts", "4. Supply contracts", "5. Works contracts", "6. Grants", "7. Legal Texts", and "8. List of Annexes". The main content area features the PRAG logo and the title "Practical Guide to Contract Procedures for EU External Actions". In the bottom right corner, there is a Creative Commons license logo (CC BY NC SA).

Contact | Search | Legal notice
de en es fr it pt

European Commission

DEVELOPMENT AND COOPERATION – EUROPEAID
Building partnerships for change in developing countries

Navigation path

- European Commission
- EuropeAid
- Practical Guide
- PRAG Document

PRAG 2014

PRAG Document Annexes Download Previous Versions Keywords Links PRAG Search

1. Introduction
▶ 2. Basic rules
▶ 3. Service contracts
▶ 4. Supply contracts
▶ 5. Works contracts
▶ 6. Grants
▶ 7. Legal Texts
8. List of Annexes

PRAG Practical Guide
PRAG Practical Guide

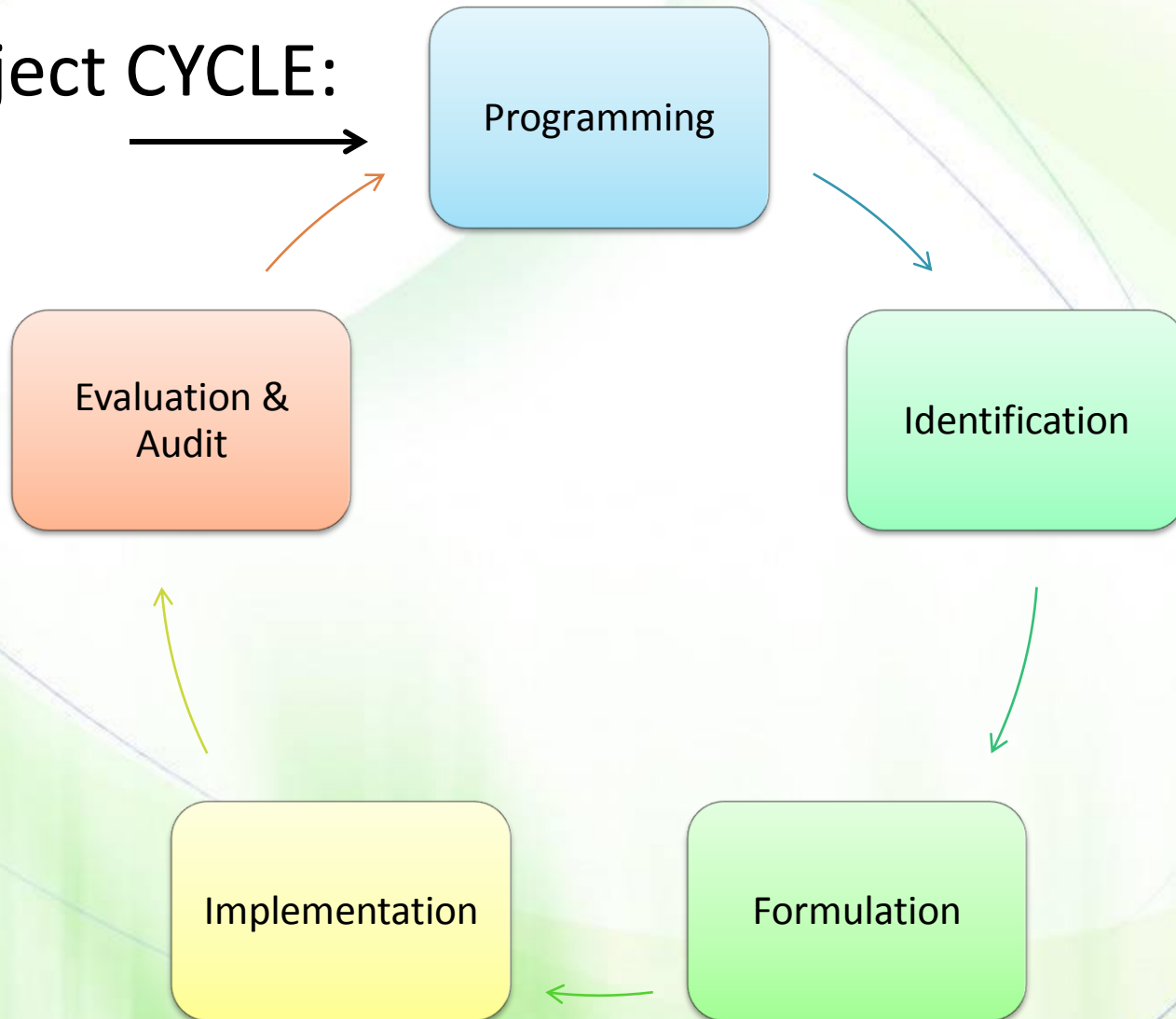
Practical Guide to Contract
Procedures for EU External Actions

CC BY NC SA

● Project's Features:

1. meets unique and well-defined goals;
2. involves related and complex actions;
3. has certain constraints: scope, resources, time and budget;
4. its realisation is significant for the beneficiary or for a problem;
5. is realistic – its goals are achievable;
6. is complex – involves different skills;
7. is always unique, as it results from new ideas and particular needs.
8. is time and budget limited

- **Project CYCLE:**



● Goal Oriented Project Planning (GOPP Methodology)

- KEY QUESTIONS:

1. WHY? To ensure the quality of projects in terms of effectiveness, impact and sustainability;
2. HOW? Through the identification of a project idea that is consistent, structured and complete (logical framework) and displayed in its key components;
3. WHO? Key actors and beneficiaries of the project (ownership)
4. WHEN?
 - In the identification phase (identification workshop)
 - At the beginning of the phase dedicated for a feasibility study (formulation workshop)
 - Through halfway (review workshop)
 - At the end of the project (evaluation workshop)

● Goal Oriented Project Planning (GOPP Methodology)

- FROM THE ANALYSIS....:

In order to come to define the logical framework of a project, the methodology GOPP has two phases: Analysis and Design

1. Analysis:

- Definition of the entity (theme);
- Analysis of key players;
- Analysis of problems;
- Analysis of the objectives;
- Identification of areas of intervention (clustering)

● Goal Oriented Project Planning (GOPP Methodology)

- FROM THE ANALYSIS...:

- Analysis of problems:

- ❖ One problem is a current negative situation.

- ❖ To arrive at an identification of functional problems with good design, the problems must be:

- REAL, based on facts and not on ideas or opinions

- OBJECTIVE, based on demonstrable facts

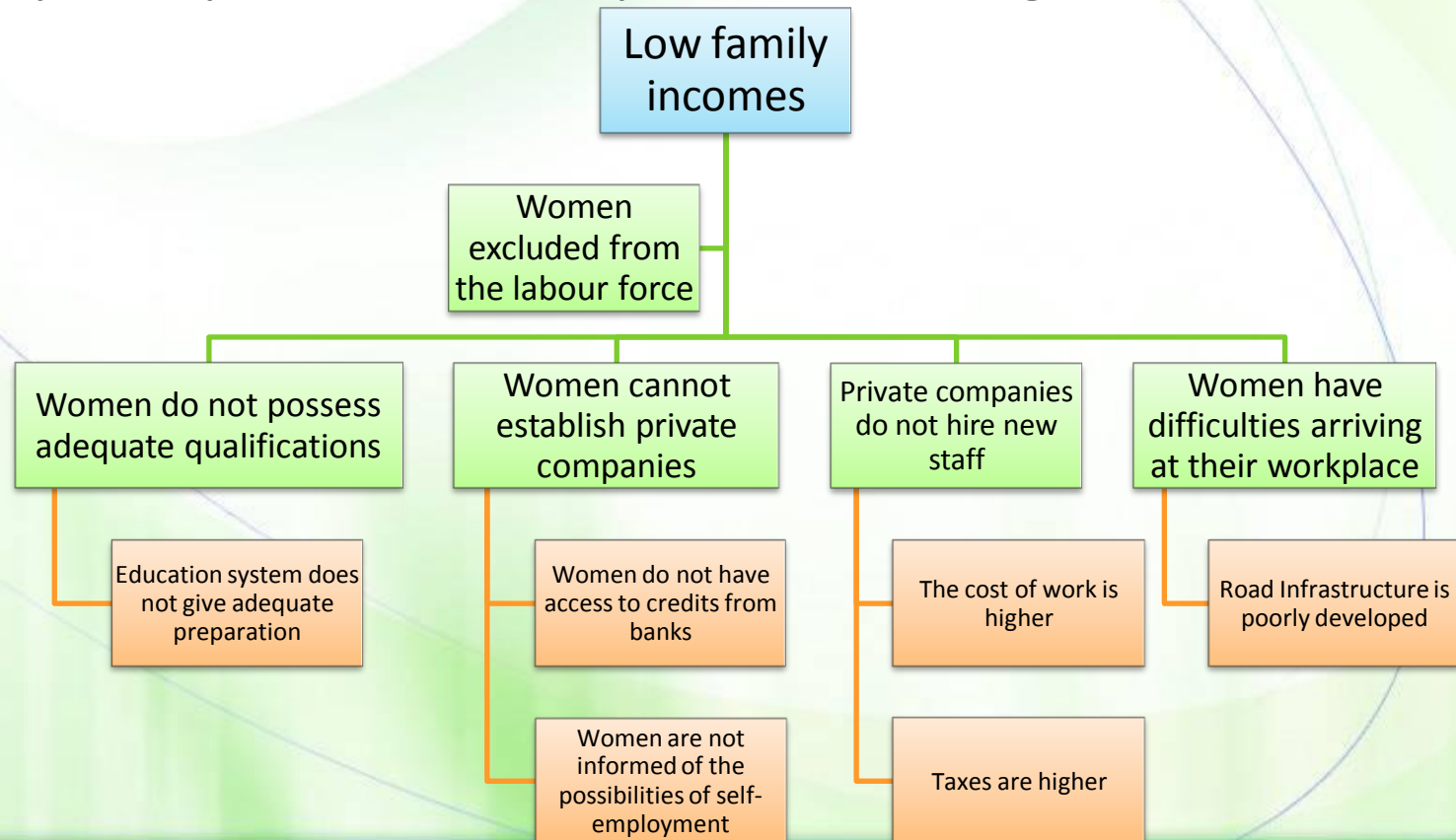
- EXPRESSED IN NEGATIVE TERMS (vs. solutions, eg. 'The problem is the coordination between partners' / vs. lack of solutions, eg. The problem is 'lack of support structures ...')

- CLEAR, understandable

- SPECIFIC, referring to precise elements (people, places, times ...)

- ❖ Once identified, the problems are placed in a tree diagram according to the relations of cause and effect from bottom to top

- Goal Oriented Project Planning (GOPP Methodology)
 - FROM THE ANALYSIS....:
 - Analysis of problems (example of a tree diagram)



● Goal Oriented Project Planning (GOPP Methodology)

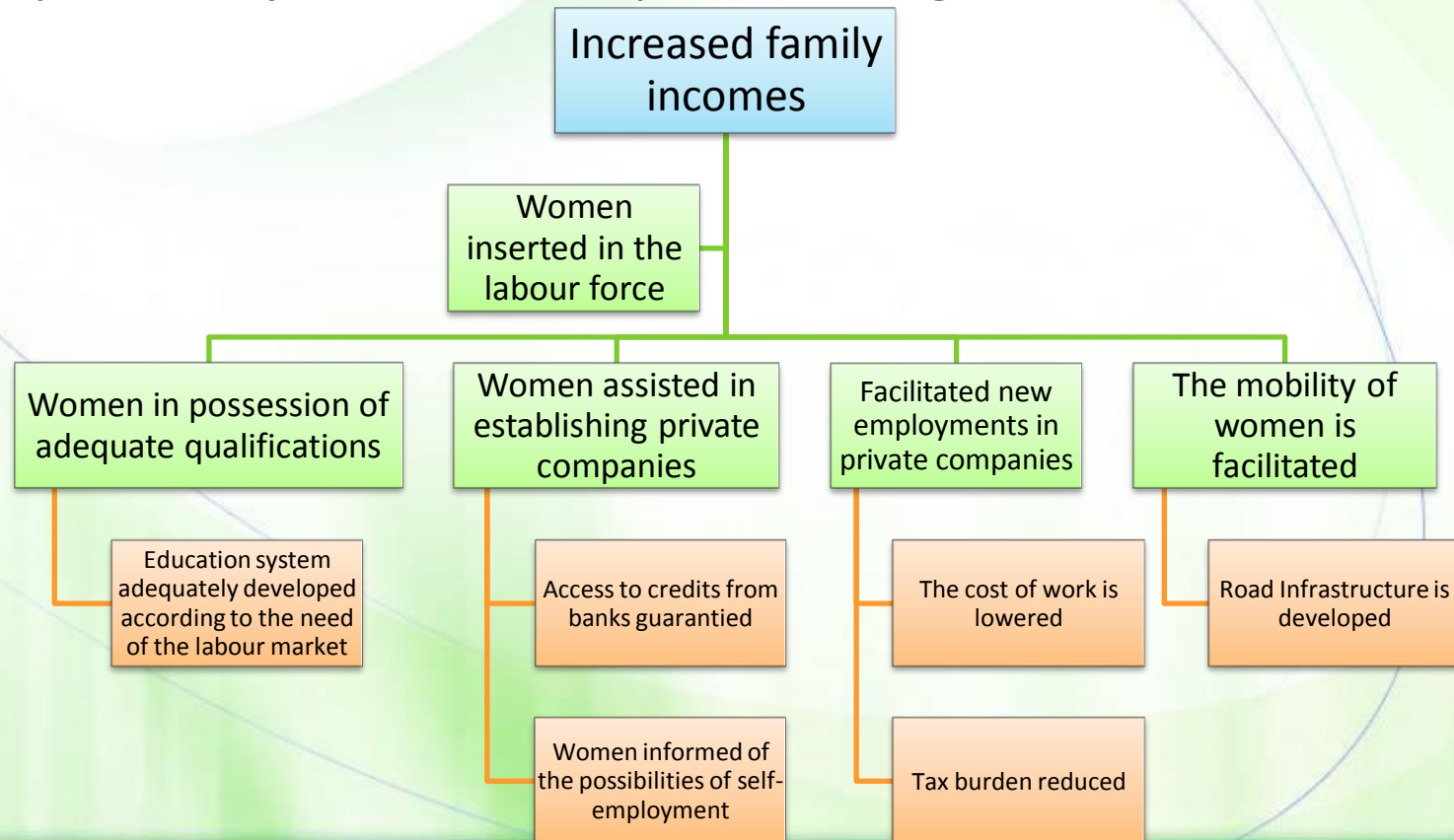
- FROM THE ANALYSIS....:

- Analysis of objectives
- ❖ This phase consists of making a positive picture of the current reality: it turns the problem tree to tree objectives
- ❖ ! Do not confuse the goal with the solution.

Eg. If the problem is 'municipal employees not aware of the legislation X', a reformulation would be inaccurate 'refresher courses for employees Regulatory X'. The correct wording is 'municipal employees informed about legislation X'

- ❖ The identification of the tree of objectives does not coincide with the identification of the objectives of the project!!

- Goal Oriented Project Planning (GOPP Methodology)
 - FROM THE ANALYSIS...:
 - Analysis of objectives (example tree diagram)



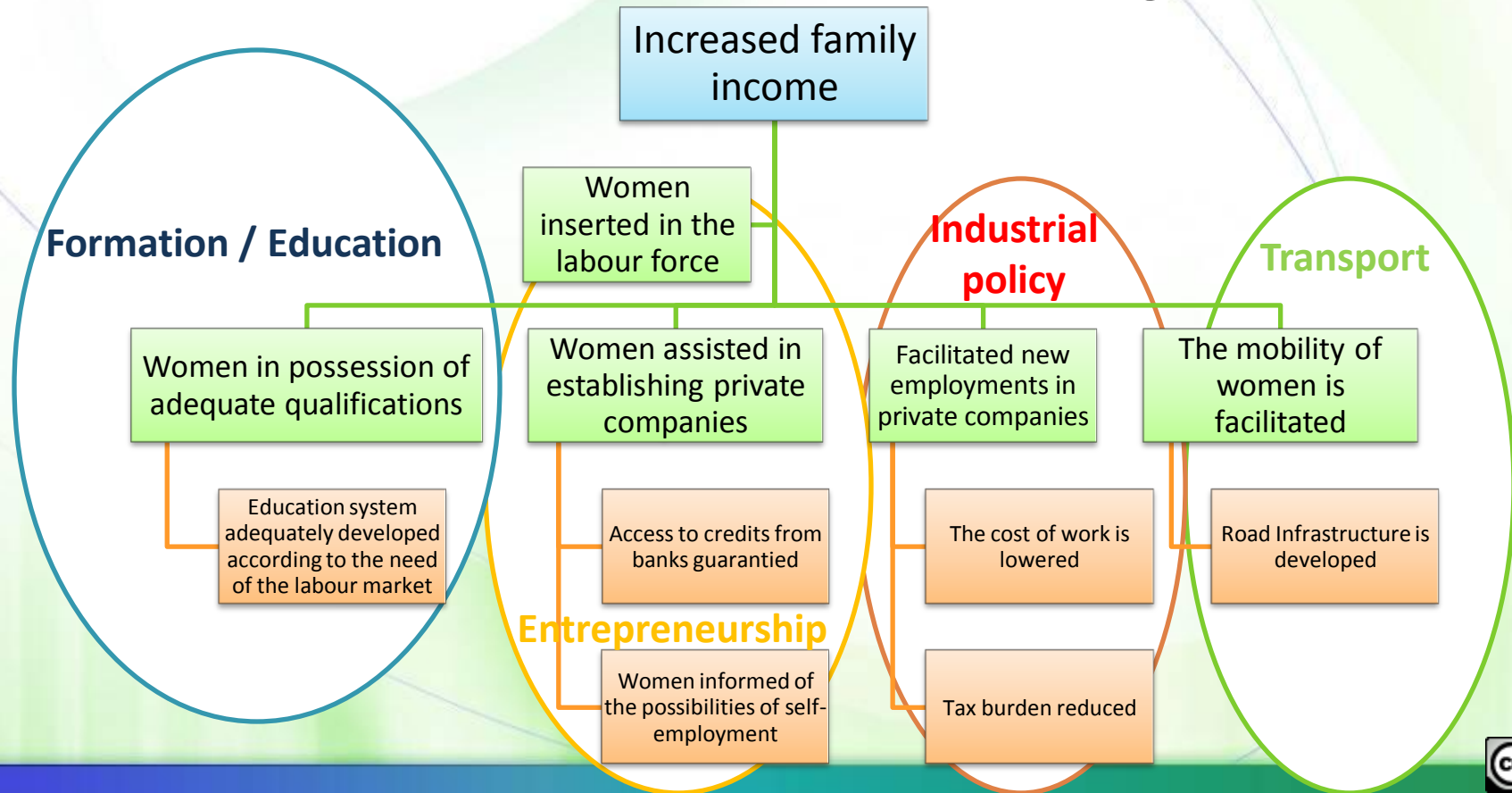
● Goal Oriented Project Planning (GOPP Methodology)

- FROM THE ANALYSIS....:

- Identification of areas of intervention (clustering)

Once you have identified the objectives tree, the identify areas of the objectives (clusters) should be identified depending on the technical and professional skills and / or institutions needed to achieve them.

- Goal Oriented Project Planning (GOPP Methodology)
 - FROM THE ANALYSIS...:
 - Identification of areas of intervention (clustering)



● Goal Oriented Project Planning (GOPP Methodology)

- ...TO THE DESIGN:

- Choice of areas of intervention (scoping);
- Definition of the intervention logic;
- Risk analysis;
- Definition of the indicators;
- Programming of the assets

● Goal Oriented Project Planning (GOPP Methodology)

- ...TO THE DESIGN:

- ❖ Choice of areas of intervention. Normally this choice is performed to obtain negotiated between the actors and the fundamental criteria by which these perform the choice are:
 - Strategic interest
 - Investment plan of the organization
 - Urgency
 - Available human resources
 - Financial resources
 - Feasibility

● Goal Oriented Project Planning (GOPP Methodology)

- ...TO THE DESIGN:

- Definition of the intervention logic: through the logical framework matrix are identified:
 - 1) the basic elements of the project idea (general objectives, specific objectives, results, activities)
 - 2) Indicators
 - 3) external conditions that contribute to achieving the objectives of the project

Project Description

Indicators

Source of Verification

Assumptions

Overall Objective – The project's
contribution to policy or
programme objectives (impact)

How the OO is to be measured
including Quantity, Quality,
Time?

How will the information
be collected, when and
by whom?

**Purpose – Direct benefits to
the**
target group(s)

How the Purpose is to be
measured including Quantity,
Quality, Time

As above

If the Purpose is achieved, what
assumptions must hold true to
achieve the OO?

**Results – Tangible products or
services delivered by the
project**

How the results are to be
measured including Quantity,
Quality, Time

As above

If Results are achieved, what
assumptions must hold true to
achieve the Purpose?

**Activities – Tasks that have to
be undertaken to deliver the
desired results**

If Activities are completed,
what
assumptions must hold true to
deliver the results?

- Information provided by the end of the programming phase

Situation analysis/Key assessments
(problem analysis, strategy selection)

Project description
(overall objectives and purpose, target group,
location and duration, results and indicative
activities, resources and costs)

Management arrangements
(coordination and management structures,
financial management, monitoring, evaluation
and audit)

Feasibility & Sustainability

(economic and financial)
(environmental)
(technical)
(social and governance)
Risk management)

II session: Detail Analysis of an Application form

- Empirical case study: preparation of project under the programme Societal challenges: **Secure societies – Protecting freedom and security of Europe and its citizens**

H2020-FCT-2014

H2020-FCT-2014

- Standard admissibility conditions for grant proposals, and related requirements:
 1. To be considered admissible, a proposal must be:
 - a. Submitted in the electronic submission system before the deadline given in the call conditions;
 - b. Readable, accessible and printable

H2020-FCT-2014

2. The following supporting documents will be required to determine the operational capacity, unless otherwise specified:

- a. A curriculum vitae or description of the profile of the persons who will be primarily responsible for carrying out the proposed research and/or innovation activities;
- b. A list of up to five relevant publications, and/or products, services, or other achievements relevant to the call content;
- c. A list of up to five relevant previous projects or activities, connected to the subject of this proposal;
- d. A description of any significant infrastructure and/or any major items of technical equipment, relevant to the proposed work;
- e. A description of any third parties that are not represented as project partners, but who will nonetheless be contributing towards the work (e.g. providing facilities, computing resources)

H2020-FCT-2014

3. Proposals shall include a draft plan for the exploitation and dissemination of the results, unless otherwise specified in the call conditions. The draft plan is not required for proposals at the first stage of two-stage procedures.
4. Page limits will apply to proposals. The limits will be clearly set out in the electronic submission system.

III session: Detail Analysis of an Application form (Horizon2020)

• Analysis of the Application Form

(will be given an example of a complete application of one submitted project proposal)
(analysis of each part of an application form – hands-out)

 European Commission - Research - Participants
Proposal Submission Forms

Horizon 2020

Call: H2020-FCT-2014

Topic: FCT-10-2014

Type of action: RIA

Proposal number: SEP-210188531

Proposal acronym: CITYSEC

Table of contents

Section	Title	Action
1	General information	Show
2	Participants & contacts	Show
3	Budget	Show
4	Ethics	Show

How to fill in the forms

The administrative forms must be filled in for each proposal using the templates available in the submission system. Some data fields in the administrative forms are pre-filled based on the previous steps in the submission wizard.

[Read more](#)

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Saving form, please wait!



III session: Detail Analysis of an Application form (Horizon2020)

Analysis of the Application Form (Ethical Issues)

- Legitimacy of Data Processing
- Processing of Identifiable, Sensitive and Anonymous Data
- Use of CCTV-monitoring for data collection
- Use of Civil Drones
- Transfer of personal data (Intra-EU)
- Processing data exemptions relating to major public interests
- Misuse of research
- Research misconduct

European Commission - Research - Participants
Proposal Submission Forms

[Table Of Contents](#)

Proposal ID: SEP-210188631 Acronym: CITY3EC Go to

4 - Ethics issues table

		Page
1. HUMAN EMBRYOS/FOETUSES		
Does your research involve <u>Human Embryonic Stem Cells (hESCs)</u> ?	☐ Yes ☒ No	
Does your research involve the use of human embryos?	☐ Yes ☒ No	
Does your research involve the use of human foetal tissues / cells?	☐ Yes ☒ No	
2. HUMANS		
Does your research involve human participants?	☐ Yes ☒ No	
Does your research involve physical interventions on the study participants?	☐ Yes ☒ No	
Does it involve invasive techniques?	☐ Yes ☒ No	
3. HUMAN CELLS / TISSUES		
Does your research involve human cells or tissues (other than from Human Embryos/Foetuses, i.e. section 1)?	☐ Yes ☒ No	
4. PERSONAL DATA (4)		
Does your research involve personal data collection and/or processing?	☐ Yes ☒ No	
Does your research involve further processing of previously collected personal data (secondary use)?	☐ Yes ☒ No	
5. ANIMALS (4)		
Does your research involve animals?	☐ Yes ☒ No	

● Analysis of the Application Form (Ethical Issues)

List of reference documents:

Horizon 2020 Legislation

- [Legal basis - Horizon 2020 Rules for Participation: Ethics Reviews \(Article 14\)](#)
- [Horizon 2020 - Regulation of Establishment: Ethical principles \(Article 19\)](#)
- [Model Grant Agreement: Ethics \(Article 34\)](#)
- [Statements by the Commission on human embryonic stem cell research](#)
- [Guide for proposal submission and evaluation](#)
- [Charter of Fundamental Rights of the European Union](#)
- [European Code of Conduct for Research Integrity](#)

General guidance documents

- [Ethics for Researchers](#)
- [European Textbook on Ethics in Research \(2010\)](#)
- [A comprehensive strategy on how to minimize research misconduct and the potential misuse of research in EU funded research](#)

Domain-specific guidance notes

- [Guidance Note for Researchers and Evaluators of Social Sciences and Humanities](#)
- [Privacy](#)
- [Informed Consent](#)
- [ICT Ethics Resources](#)
- [Research Involving Developing Countries](#)
- [Dual Use](#)
- [Misuse/Malevolent use Guidance Notes](#)

III session: Detail Analysis of an Application form (EuropeAid)

● Analysis of the Application Form

(will be given an example of a complete application of one submitted project proposal)
(analysis of each part of an application form – hands-out)



Contracting Authorities:

The European Union represented by
The Delegation of the European Union to the former Yugoslav Republic of
Macedonia
and
the European Union Office in Kosovo*

Instrument for Pre-Accession Assistance (IPA),
Component II

Cross-Border Cooperation Programme
the former Yugoslav Republic of Macedonia – Kosovo
(2010, 2011 and 2012)

GRANT APPLICATION FORM

1st Call for Proposals Reference:

EuropeAid/135-229/L/ACT/MK

Deadline for submission of concept notes and applications:

20 January, 2014 at 16:00 hrs

* This designation is without prejudice to positions on status, and is in line with UNSCR 1244 and the ICJ Opinion on the Kosovo Declaration of Independence.

III session: Detail Analysis of an Application form (Europe Aid)

● Analysis of the Application Form (Logical Framework)

Analysis of each part of the logical framework – real example (hands-out)

LOGICAL FRAMEWORK FOR THE PROJECT				
	Intervention logic	Objectively verifiable indicators of achievement	Sources and means of verification	Assumptions
Overall objectives	O1 – "Social cohesion, civil society development, quality education and intercultural dialogue" O2 – "Cross-border cooperation among citizens, communities and state authorities" O3 – "Facilitate relations among education institutions, CSOs and students in the CBC area"	Indicator for O1 – Revised Civic Education Curriculum with improved teaching techniques and methods and stakeholders Indicator for O2 – Cross Border Project Management and Relations among main stakeholders Indicator for O2: Conference on cross-border initiatives for quality education, civil society development and intercultural dialogue Indicator for O3 – Joint participatory activities on which education institutions, CSOs and students from both sides of the border will participate	Sources – Indicator for O1: Published Toolkit on Civic Education and Intercultural Dialogue including research results, innovative teaching techniques and methods, revised curriculum and set of recommendations Sources – Indicator for O2: 1) Project Steering Committee composed of joint management staff, 2) Project Joint Technical Secretariat composed of financial offices and assistance from both side of the border, 3) Technical Manual for project management and implementation, 4) Project Operational Plan, 5) Minutes from Steering Group Meetings Sources – Indicator for O3: 1) Focus Groups Minutes and Results Report, 2) Thematic Workshops' Reports, 3) Trainings' Reports, 8) Internships Evaluations	
Specific objective	SO1 – "Revision of Civic Education curriculum" SO2 – "Exchange of best practices in the field of education" SO3 – "Promote quality education by capacity building activities for high schools" SO4 – "Increasing of the intercultural sensitivity and cross border cooperation among young"	SO "Indicator 1" - Research on current practices and trends in Civic Education programmes: interviews with 25 high school teachers, interviews with 50 high school students SO "Indicator 2" - Produced recommendations on better quality in civic education for high schools, education institutions and government authorities: 30 high schools (private and state), 2 Ministries for Education and	For Indicator 1: Research Report, For Indicator 2: Set of Recommendations, For Indicator 3: Toolkit on Civic Education and Intercultural Dialogue, For Indicator 4: Conference Volume as a scientific publication from the Conference and Report from the Cross Border Civic Education Day For Indicator 5: Focus groups Report For Indicator 6: Reports from the	For SO1: Interest and availability of the Civic Education teachers, professors experts in the field, high school students to have interviews with the researchers and express their views and opinions For SO2: Open collaboration with cross

IV session: Critical questions, issues and concerns

- Finding the right partner(s)
- Managing communication with partners
- Technical difficulties with the application form
- Submission and evaluation

ANY QUESTIONS??

THANK YOU!

Marina Andeva, PhD

CONTACT:

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