Research support: How it all works.

Issue 02

Understanding European research funding post-Brexit

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These are turbulent times for EU funded research within the UK. However, despite the uncertainty about our status when we leave the EU, collaboration with our research partners in Europe will continue to be a key part of our international ambitions. It will be important, therefore, to have a strong Horizon 2020 profile as the government starts to negotiate our future status, both in terms of funding portfolio and the global reach and impact of our research.

This guide brings together in one place support and guidance from across the University to help you navigate the current landscape and continue to be successful in securing EU funding.

Professor Shearer West
Deputy Vice-Chancellor

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**Introduction**

**Importance of European collaboration**

This second edition of *How it all works* focuses on EU funding post-Brexit. It includes an insight from a number of our successful academics on the benefits of engagement, and describes the dedicated support available to you across our central professional services, from R&IS, Global Engagement and Finance through to faculties and academic departments.

The current Horizon 2020 programme for research and innovation aims to create the Innovation Union, to ensure that Europe is able to continue to differentiate itself in the face of increased global competition. In this regard, it very much speaks to our own UK innovation challenges and the government’s impact agenda.

With a fund of 77 billion Euros, and organised under the three pillars of Excellent Science (including European Research Council Fellowships), Industrial Leadership and Societal Challenges, Horizon 2020 offers a diverse range of opportunities for researchers. These can be considered alongside other sources, as part of a balanced funding portfolio, to further your individual research projects and ambitions.

I hope that you will find this a useful guide.

Sarah A Fulton Tindall
Director of Research and Innovation Services
The process for withdrawing from the EU is a long one and during this period the UK remains bound by EU legislation. Whilst this situation is unprecedented and therefore uncertain, the UK government has confirmed that, "where UK organisations bid directly to the European Commission on a competitive basis for EU funding projects while we are still a member of the EU, for example universities participating in Horizon 2020, the Treasury will underwrite the payments of such awards, even when specific projects continue beyond the UK’s departure from the EU."

Sheffield is undoubtedly one of Europe’s leading research institutions, benefitting from considerable grant income (totalling £38.7m in 2013 alone) which is supporting varied and impactful international research activity across all five faculties. Our achievements are based not only on the academic strength of our staff but also on the range of effective support strategies making our success rates consistently higher than the published scheme rates. Our achievements are also based on a long history of EU engagement.

EU funded growth has been achieved as part of Sheffield’s overall research growth in recent years, which is particularly impressive in the increasingly challenging UK environment. This is due in part to the integrated approach we’ve taken, supporting EU engagement alongside RCUK and other funders, rather than as something distinct and separate. This has ensured that we’ve capitalised on all opportunities, future-proofing our capabilities and enhancing our international recognition.

We know that the challenges confronting us – whether it is climate change, an ageing population, globalisation, migration or the growing health and wealth divide - are of such a scale that to begin to tackle them they need a combined international expertise. Horizon 2020 schemes tie this international expertise together enabling academics, governments, NGOs and commercial organisations to pool talent and resources; maximising the impact of our research influence on governments and policy makers at the highest level. This is why attracting EU funding and increasing our EU engagement remains a clear priority for the University until more certainty is known about the UK’s status. Moreover it gives one the chance of collaborating with the best research groups in Europe.

At first glance there is no doubt that as the global challenges are vast so is the Horizon 2020 programme. Schemes are varied and diverse but at their heart each has a specific aim in the same way that the more familiar RCUK schemes do. As an institution we are very fortunate that our EU funding has come from the full breadth of schemes; individual ERC fellowships to multi-site collaborative partnerships. This means that for each and every Horizon 2020 opportunity we have academic and research support expertise, and our approach going forward is to encourage even wider EU participation so that staff at all levels can benefit from the many advantages of involvement.

Importance of EU funding

Key contact:
Professor John Derrick, Deputy Pro-Vice-Chancellor for Research and Innovation
j.derrick@sheffield.ac.uk
First, for as long as the UK is a member of the European Union, EU law continues to apply and the UK retains all rights and obligations of a Member State. This of course includes the full eligibility for funding under Horizon 2020.

Second, Horizon 2020 projects will continue to be evaluated based on merit and not on nationality. So I urge the European scientific community to continue to choose their project partners on the basis of excellence.

Europe is home to excellent researchers and the funding available under Horizon 2020 provides us with unrivalled opportunities to collaborate with scholars at internationally renowned universities. So why wouldn’t we want to be involved?

The funding available from our traditional principal funder, the Arts and Humanities Research Council, is staying level, at best, so we need to look for other sources. For every faculty at the University, as long as colleagues from Britain are eligible to apply, engaging in European funding is one of our greatest opportunities, not only to increase our research income but also to increase connections both internationally and nationally and bring creativity and interdisciplinarity to our research. What every faculty is therefore keen to do is provide an environment where our colleagues can pursue European opportunities and learn from others who have already had success.

Initially we all need to understand whether obtaining EU funding is doable or not, especially as it can seem daunting. As the success of some of our colleagues indicates, it most certainly is.

Take an example from Archaeology. Dr Umberto Albarella has hosted three Marie Curie Intra-European Fellowships which have enabled him to work with a range of outstanding European researchers on the study of animal bone assemblages. Of his experience, Umberto comments:

“Engagement with European funding opportunities is very important. We should not be inward looking and must definitely look for opportunities beyond our borders. As researchers, we really should think of a world without national barriers, and I believe that the mobility of researchers within Europe, but also the rest of the world, can help in developing mutual empathy and contribute to a world of peace and solidarity. The three Marie Curie Fellowships I have had have all been very successful and have added much to the life of my department. I keep applying for these Fellowships as there is never a shortage of talented researchers looking for a new experience and because they bring so much to the life of our University.”

One of the clearest things I find about European funding is that it has something for almost everyone. You can look into pursuing a (fairly!) straightforward researcher-driven ERC grant through to the more collaborative, network-building Horizon 2020 grants. For the Faculty of Arts and Humanities we also hope to build on Umberto’s success in securing Marie-Curie Fellowships and replicate and expand these across the rest of the Faculty.

We are lucky to have excellent support for developing European applications from Barry Dixon, Jo Chapman, and their colleagues at Research and Innovation Services. I hope you will consider taking advantage of the opportunities available.

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The value of engagement
Faculty perspective

Professor Bob Shoemaker, Faculty Director of Research and Innovation (Arts and Humanities)

Carlos Moedas
EU Research Commissioner – 25 July 2016
As our Strategic Plan clearly states, ‘We are a global university rooted in Sheffield’ and we take pride in our internationally diverse university community which draws on more than 120 nations. Europe and our connections within it - whether this be as co-authors on research grants or student recruitment - are extremely important to the University and since the result of the referendum, UEB has prioritised examining how we can retain our opportunities for EU engagement.

We have a successful record of attracting EU research funding and by the end of Framework Programme 7 (FP7) Sheffield was ranked 10th in the UK and 20th in Europe through its involvement in 303 collaborative projects. Clearly we do not know what our future access to these funding streams will be, but through our White Rose Consortium Brussels Office (brussels.whiterose.ac.uk), established together with the Universities of Leeds and York, we continue to promote ourselves as fully engaged in Europe and accessing all the opportunities available to us in the run-up to Brexit.

A recent Russell Group visit to the European Commission used the White Rose Office as a base to meet officials to discuss the continuing need for research collaboration and cooperation. Showcases of our work through the White Rose Brussels Office have commenced, with Professor Colin Osborne, Associate Director of the Grantham Centre for Sustainable Futures, speaking at a seminar on ‘Sustainable Solutions for Europe: Meeting the Challenges of Air Quality and Climate Change’. The seminar was chaired by Ulf Bjornholm Ottoson of the United Nations Environment Programme.

We hope that by having a direct presence in Brussels, the University will be able to identify areas of strategic importance within the Commission and facilitate the engagement of our academics with those who are developing research policy at an early stage, also providing desk space for academic visitors to Brussels when possible.

Joanne Purves
Director, Global Engagement
jo.purves@sheffield.ac.uk

With the future in mind, a networking visit to the Commission for EU funding managers is in planning stages. This will advance our knowledge on how the Commission works and expertise on what might be the potential future scenarios for access. The White Rose Office is also currently gathering information from non-EU university representative offices in Brussels to ascertain how they work with the Commission, and how they maximise their opportunities in order to prepare for some of the possibilities once the UK has left the EU.

Within Global Engagement we will continue to work with faculties, R&IS and colleagues across Professional Services to keep developing relationships with the EU before and after Brexit.

Joanne Purves
Director, Global Engagement
jo.purves@sheffield.ac.uk
Horizon 2020 is the umbrella term for the European Commission’s research funding programme that runs from 2014 to 2020. Akin to all seven of the UK’s research funding councils merged into one, the key to navigating its various channels is to compartmentalise it and consider its different parts as separate elements of a loosely related whole.

In simple terms, Horizon 2020’s structure is quite straightforward, with just three main pillars forming the core supported by a small number of cross-cutting programmes/initiatives.

Each pillar has been designed with its own unique rationale so our approach towards, and understanding of, Horizon 2020 needs to cater for these fundamental differences. The best way to demonstrate the variety of approaches on offer is to detail the three most popular funding routes: Marie Sklodowska-Curie Actions, the European Research Council, and the Societal Challenges.

### EXCELLENT SCIENCE
- European Research Council (ERC)
  - Future and Emerging Technologies (FETs)
- Marie Sklodowska-Curie Actions
- Research Infrastructures

### INDUSTRIAL LEADERSHIP
- Leadership in Enabling and Industrial Technologies (LEIT) – ICT, KETs, Space
- Access to Risk Finance
- Innovation in SMEs

### SOCIETAL CHALLENGES
- Health and Wellbeing
- Food Security
- Transport
- Energy
- Climate
- Societies
- Security

### Widening Participation: Science with and for Society
- European institute of Innovation and Technology (EIT)
- EURATOM
- Joint Research Centre

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**Key contact:**

Key contact: Dr Neil Harris  
Acting Head of Research Development  
Research and Innovation Services  
Neil.Harris@sheffield.ac.uk
A common route into European research funding is via the Fellowship opportunities available under the Marie Sklodowska-Curie Actions. What identifies the Excellent Science pillar is the fact that all of its constituent funding routes are bottom-up, meaning they are non-thematic and so are available for researchers from all disciplines. On offer is €6.16 billion of funding to support research training and career development.

At its heart though, the programme is all about promoting the geographic and cross-sectoral mobility of researchers to ensure that the next generation of European researchers are equipped to succeed in the global research environment and marketplace. The MSCA grants cover all stages of the research career spectrum from PhD candidates through to experienced researchers, developing not only research expertise but also inter-sectoral skills and entrepreneurship through the involvement of industry and other non-academic institutions.

There are four separate schemes within the MSCAs including a research staff exchange scheme (RISE) and co-funding scheme for regional, national and international programmes (COFUND). By far, though, the more popular funding routes are its Individual Fellowship (IF) and Innovative Training Networks (ITNs).

Individual Fellowships (IF)
Aimed at individuals, the aim of an IF is to enhance the creative and innovative potential of the best or most promising researchers through a combination of advanced training, international or intra-European mobility, and inter-sectoral exposure.

Innovative Training Networks (ITNs)
The ITN scheme provides funding to set up pan-European Doctoral Training Programmes with students expected to gain research and transferable skills, including an appreciation of different research cultures and environments.

There are three types of ITNs:
- European Training Networks require at least three European partners in at least three member or associated states. The typical size of consortia is six to ten beneficiary partners.
- European Industrial Doctorates require at least two partners, one academic and one industrial. Each student must spend at least 50% of their time in the non-academic sector, with the joint supervision of fellows by supervisors from each sector mandatory.
- European Joint Doctorates require at least three European partners who can award doctoral degrees. Aimed specifically at promoting international, inter-sectoral and multidisciplinary collaboration in doctoral training in Europe, joint supervision of the PhD students is mandatory.

We have been awarded 35 highly prestigious ERC grants valued at approximately £47M since 2007.

The ERC stands apart from all other streams of Horizon 2020 not just because it has its own unique schemes, assessment procedures, review panels and executive agency, but also because it is classed as the ‘gold standard’ of academic fellowships and encourages ‘blue-skies’ research.

The ERC’s main schemes have no requirement for applicants to collaborate with European colleagues, demonstrate the European perspective of their projects (so-called European-added value), nor demonstrate the potential impact of their research. The entire focus is on excellence, both of the researcher and the project.

As the ERC comes under the Excellent Science pillar of Horizon 2020, none of its schemes are driven by themes, with review panels covering all disciplines. Applicants to all schemes can be of any nationality, of any age and can reside in any country at the time of application. They do not even need to be employed by the host institution at the time they submit. These attractive schemes are often highly competitive, however; this should not deter the right candidates from applying.

The three main schemes of the ERC are:
- Starting Investigator grants (€1.5M for 5 years for those 2-7 years post PhD)
- Consolidator grants (€2M for 5 years for those 7-12 years post PhD)
- Advanced grants (€2.5M for 5 years for senior scholars)

"In my view, the major value of ERC is that it is one of the last strongholds for basic research. At times in which our national research councils are increasingly pushing us into translational directions, ERC allows us to explore purely fundamental research questions beyond the boundaries of conventional knowledge. Although often slow and unpredictable, fundamental research is the only way by which we can guarantee long-term societal innovation as it generates the building blocks for translational and applied research."

Professor Jurriaan Ton,
Department of Animal and Plant Science
sheffield.ac.uk/ris/application/horizon2020/erc

We are part of 114 different MSCAs, 37 ITNs and 57 IFs
Collaborative research is at the core of the Societal Challenges pillar. The Commission has identified seven pressing challenges which require collaboration to be addressed. This collaboration will not only span countries, but disciplines and sectors too. Consortia usually require at least three partners from at least three different EU members or associated countries; successful consortia tend to be much larger to address the impacts required in a call.

This means that:
- Projects are often problem-solution orientated and expect real impact to occur across Europe as a result of the project and its outcomes
- Calls can include requests for demonstration sites, “living labs” and pilot schemes to include real cities, communities and industry
- Applied research is expected to lead to change within individuals, local governance and national authorities

Funding calls under the Societal Challenges are thematic in nature, with clear steering as to what the research questions and impact should be.

The seven challenges are aimed at bringing together resources and knowledge across different fields, technologies and disciplines, including social sciences and the humanities, to address major global concerns.

They are:

1. Health, demographic change and wellbeing;
2. Food security, sustainable agriculture and forestry, marine and maritime and inland water research, and the Bioeconomy;
3. Secure, clean and efficient energy;
4. Smart, green and integrated transport;
5. Climate action, environment, resource efficiency and raw materials;
6. Europe in a changing world - inclusive, innovative and reflective societies;
7. Secure societies - protecting freedom and security of Europe and its citizens

Although these challenges will remain in place for the duration of Horizon 2020, they are each divided into sub-sections, with areas of focus which will change from year to year.

sheffield.ac.uk/ris/application/horizon2020/societalchallengesindex

To me, the ERC programme offers an unparalleled opportunity to put together a strong team to work on a long-term (five year) project, driven purely by scientific excellence to answer questions which are not only important to society, but also scientifically interesting and challenging. It’s a highly competitive scheme, but extremely rewarding as well.

Our projects have had 1695 collaborators in 38 countries.

Professor John Provis,
Department of Materials Science and Engineering ERC Starting Investigator grant
Applying for European funding can be hugely beneficial, but does require an understanding of the structure and a considerable commitment of time and effort. Given this, there is a range of tailored, one-to-one support available pooled from expertise within R&IS and across faculties to help applicants from all career stages navigate the multi-faceted nature of Horizon 2020.

Marie Skłodowska-Curie Actions
R&IS and faculty leads run University-wide information sessions for the Individual Fellowship (IF) and Innovative Training Network (ITN) schemes sheffield.ac.uk/ris/application/horizon2020/events.

These sessions offer potential applicants an overview of the scheme in terms of eligibility, funding type and scale, application process and assessment criteria as well as tips and advice from previously successful applicants.

In addition, support teams organise practical workshops which focus on the three main sections of the application form, offering advice that reflects reviewer comments from past rounds, as well as discussions facilitated by previous successful applicants.

Presentations and annotated templates of the application form, specific to proposals with Sheffield as the host institution, are also available to those who have agreed support from a host department and/or supervisor, by contacting the relevant Faculty or R&IS lead.

European Research Council (ERC)
Support for the ERC is orchestrated on a faculty by faculty basis including general information sessions and specific workshops for applicants which focus on each section of the application form, offering peer support and strategic guidance. Research support teams have also developed faculty specific annotated templates of the application form which take applicants through every aspect of the application process and give hints and advice on ways of structuring your project.

A particular part of the ERC application process is an interview for those who make the final stage of assessment. Working closely with departmental and faculty staff mock interviews can also be organised giving applicants wholly practical, focused advice on how to tackle this. One-to-one meetings with support staff are also available and peer review of final drafts can also be arranged.

Societal Challenges
Given the large scale and cross-faculty nature of the Societal Challenge calls, they undoubtedly require the greatest level of support and coordination. Support teams from across faculties and R&IS regularly organise and run information sessions on each of the challenges to coincide with a programme’s launch. Prior to the launch of annual calls, support teams often have draft copies of prospective themes which they can disseminate to interested researchers. This often allows researchers the chance to get a head start in building their consortia in particular areas, so making sure you are on the distribution list of your EU faculty/RIS lead is important.

In addition to these more general sessions, tailored meetings are available for individuals or research groups, and feedback is also available on application drafts with further peer review offered for finished drafts.
Your application
Who do I contact?

Who do I contact for your application?

Your submission is the first step towards securing funding for your research, whether it's for an internal or external funding opportunity. It's crucial to start early, so you have enough time to prepare a well-structured and compelling application. To help you through this process, we have a dedicated team of experienced colleagues who will provide you with tailored support.

**Faculty of Arts and Humanities**
- Dr Barry Dixon, Research Strategy Manager (R&IS) (b.dixon@sheffield.ac.uk / ext 20995)
- Joanne Chapman, Research Development Officer (R&IS) (jo.chapman@sheffield.ac.uk / ext 21234)

**Faculty of Science**
- Dr Graham Kiddle, Research Strategy Manager (R&IS) (graham.kiddle@sheffield.ac.uk / ext 21438)
- Claire Mangham, Research Development Officer (R&IS) (c.mangham@sheffield.ac.uk / ext 27434)

**Faculty of Engineering**
- Tony Lesowiec, EU Funding Business Development Manager (Faculty) (t.lesowiec@sheffield.ac.uk / ext 22162 or 07765 184881)
- Lee Allman, Research Strategy Manager (R&IS) (l.allman@sheffield.ac.uk / ext 21437)

**Faculty of Social Sciences**
- Natalie Nestorowicz, Research Development Officer (R&IS) (n.nestorowicz@sheffield.ac.uk / ext 27017)

**Faculty of Dentistry and Health**
- Graham Hughes, EU Research Support Manager (Faculty) (graham.hughes@sheffield.ac.uk / ext 28743)
- Dr Neil Harris, Research Strategy Manager (R&IS) (n.harris@sheffield.ac.uk / ext 27439)
- Rachel Dwyer, Research Development Officer (R&IS) (r.m.dwyer@sheffield.ac.uk / ext 21437)

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- Natalie Nestorowicz (n.nestorowicz@sheffield.ac.uk / ext 27017)
- Graham Hughes (graham.hughes@sheffield.ac.uk / ext 28743)

**Business Development Manager (EU Funding)**
- Tony Lesowiec (t.lesowiec@sheffield.ac.uk / ext 22162)

Your application: Who do I contact?

There is a dedicated team of staff here to provide comprehensive advice and guidance at every stage of the Horizon 2020 application process. This takes two forms. In R&IS, you’ll be supported by experienced colleagues who specifically look after your faculty. Engineering, Medicine, Dentistry and Health, and Social Sciences also have their own support staff who, working collaboratively with their counterparts in R&IS, can provide additional tailored support. As all European schemes are complex in nature, the earlier you get in touch, the better.

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Hear from the Faculty-based staff in Engineering and Medicine, Dentistry and Health about the tailored support they offer in addition to that provided by R&IS.

**Engineering**
- “The Faculty of Engineering Hub get involved in supporting colleagues in the preparation of EU bids in a number of ways depending on their specific requirements. When we engage with PI’s/academics early, we are able to add the most value in helping to shape the project research idea, to ensure it is strong and robust and its value has been maximised. Next we help to explore which partners we should be engaging with to technically deliver and commercialise the technology. We can then make the approach to recruit these partners and provide writing support (directly into the body of the bid). The Hub is also involved in evaluating EU bids before submission; and in some cases, we arrange for external EU evaluators. Finally, we can submit the bid on behalf of our PI’s/Academics using the EU Participants Portal.

- “The Hub has also recruited a full-time bid-writer, where the model is to capture the research idea for industry-led EU projects and then to write and submit the complete bid, keeping the PI/Academic fully briefed on the journey. We also have available an Awards Library of winning bids, to share with colleagues and an internal EU ‘Tool-Box’ Web-site.

- “R&IS has supported the Hub in several important ways, by providing guidance on EU rules and regulations, collective learning workshops e.g. for the Innovate Training Network and Marie Curie schemes as well as support with the project budgets (URMS), and providing EU data/statistics.”

**Medicine, Dentistry and Health**
- “Since 2010 I have been providing specialist support to Faculty members applying for European research funding and am familiar with all of the Horizon 2020 health related thematic areas (e.g the Societal Challenges, IMI), the Marie Sklodowska-Curie Actions Individual Fellowships and Innovative Training Networks, COST Actions and Erasmus+). I can also give advice on the European Research Council grants, complementing the R&IS team’s management of the application process. Even if I have not personally dealt with one of the many specialist funding instruments that crop up from time to time I will endeavour to obtain as much information about it and provide support accordingly.

- “I intend to give a full and dedicated service to anyone who requires it, though last minute applications will not benefit as much as considered and timely ones. The types of things I can help with are horizon scanning and researching European policy developments (mainly in the health area but also generally) and the identification of suitable calls and funding schemes to match individual requirements. In conjunction with R&IS I also promote new EU calls and initiatives and provide tailored advice on specific call topics and funding instruments to prospective applicants. Where necessary I can also help to find consortium partners and seek advice from National Contact Points and the European Commission. For the application process itself, I can provide advice on proposal development and practical administrative support as well as editorial input and proof reading. Working alongside Research Finance, I can also help with budget development and URMS submissions and for reference I maintain a library of successful and unsuccessful applications.”

**Contact Points and the European Commission**
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**Graham Hughes**
- EU Research Support Manager (graham.hughes@sheffield.ac.uk / ext 28743)
Getting yourself EU ready: What should I do?

One of the key differences with EU funding to traditional RCUK funding is the emphasis on building consortiums and collaborating with partners in different countries.

Collaboration

Through the Societal Challenges calls, Europe is looking for collaborations which will close the gap, in research and development terms, between itself and its global competitors. Calls expect a minimum of three partners from three different European countries. However, a critical mass of expertise can often only be achieved with more partners; but there is no expectation to have large consortia if you have the right partners.

Creating a Consortium

 Consortia tend to be formed either by partners who have worked together previously and expand or contract their numbers based on suitability to the call, or by individuals or small research groups using partner search engines or brokerage events to join or create new partnerships. The idea of partners having worked together need not be restricted to a history of engaging in collaborative research and can take the form of academic networks or associations. Partner search engines are becoming more common and are aimed at matching interested academics under particular thematic calls. Some of the centrally run partner searches include:

- CORDIS Partner Service
  cordis.europa.eu/partners/web/guest/home
- Idealist Partner Search
  ideal-ist.eu/partner-search/ppsearch
- Partner Search of Nanosciences and Nanotechnologies, Materials and New Production Technologies (NMP)
  nmp-partnerssearch.eu
- Fit for Health
  mm.fitforhealth.eu
- Enterprise Europe Network Cooperation Opportunities Database
  een.ec.europa.eu/tools/services/SearchCenter/Search/ProfileSimpleSearch

A further way of accessing partnerships is via brokerage events arranged by national contact points (NCP) for each of the seven challenges. The NCPs arrange information days and brokerage events for each challenge that tend to take place once Work Programmes have been launched.

Developing a relationship with the NCP for your area of research can be very helpful. For more details of who to contact see:

ec.europa.eu/research/participants/portal/desktop/en/support/national_contact_points.html

Non-academic Engagement

When constructing your consortium, a key consideration should be involving partners from non-academic organisations such as industrial companies and SMEs, but also museums, libraries, and NGOs – depending on the particular call.

Policy Relevance

To be competitive it is essential to include some references as to how your proposal will satisfy various strategies of the European Commission. Although the thematically specific policy documents will vary depending on the call, there are some general documents to reference:

Europe 2020 is the European Union’s 10 year growth strategy. Referencing ways in which your proposal will help achieve this growth would be a strength.

ec.europa.eu/europe2020

The European Charter for Researchers is a framework document which governs codes of conduct for researchers; mentioning how the consortium will abide by this charter is advisable.

ec.europa.eu/euraxess/index.cfm/rights/europeanCharter

The Code of Conduct for the Recruitment of Researchers offers guidance and best practice for the recruitment of researchers. If your proposal includes taking on PhD students, postdocs, or other research staff, you should refer to this code as governing recruitment.

ec.europa.eu/euraxess/index.cfm/rights/codeOfConduct

The European Research Area policy is important to reference, as consortium which will help strengthen cross-border links are very much recommended.

ec.europa.eu/research/era

There are, of course, more specific European policies which may have relevance for your proposal which are often published on.

ec.europa.eu/research

The European Research Area policy is important to reference, as consortium which will help strengthen cross-border links are very much recommended.

ec.europa.eu/research/era

For more useful guidance about research funding, visit:
sheffield.ac.uk/ris/application/horizon2020/newsandtips

Look out for the new EU newsletter produced by R&IS. European Research Funding News will arrive in your email inbox fortnightly, providing a handy digest of the latest EU-related news, developments, guidance and funding opportunities.
sheffield.ac.uk/ris/application/horizon2020/societalchallengesconsiderations
Undoubtedly it has been a lengthy and challenging process writing for EU reviewers (3rd time submission), but each iteration really improved due to good feedback and excellent input from our BDM, the Hub and R&IS. Our long term vision is to introduce a disruptive technology to the European-developed polymer processing industry, thereby maintaining a European technological lead and supporting an important industrial sector facing environmental, legislative and economic challenges.

Dr Chris Holland,  
Department of Materials Science and Engineering  
Horizon 2020 Open-Future and Emerging Technologies (FET) grant
So, you have been successful in winning Horizon 2020 funding in a very competitive funding environment. Now to get your project started. Post award support can, broadly, be divided into two phases – Award, implementation and handover, and Project delivery.

Award, implementation and handover

The Pricing and Contracts Team in R&IS will work with you during the contracting stage (known as grant preparation and agreement in Horizon 2020 terminology). The EC will send a notification of award to the coordinating university which contains details of any additional information they require. The Pricing Team will contact the lead investigator at Sheffield to coordinate the grant preparation within the three month deadline and will provide details of what is required. Key elements include:

- **Grant agreement preparation (01)**
  During this phase all partners are instructed, by the coordinating partner, to provide information via the Research Participant Portal. If Sheffield is the coordinator, the Pricing Team or departmental support will coordinate this activity with the partners. The Pricing Team will complete this information for Sheffield for all awards. At this stage a Declaration of Honour is signed and submitted, this is arranged by the Pricing Team.

- **Grant agreement signature (02)**
  The Commission drafts the grant agreement based on the information provided at application and grant agreement preparation phase. The agreement includes the budget and the original proposal. It is therefore important to ensure your proposal is accurate as this forms the basis for the agreement.

Project delivery

Once a project is up and running, Faculty Research Finance team will work with PIs, project managers and departments to provide support in the following main areas (06):

- **Income and expenditure reviews**
- **Preparation of Periodic Financial Reports**
- **E-recruitment approval**
- **Audits – preparation and query resolution**

Where costed into the proposal, day to day project management will then be supported by a dedicated project manager, typically for large collaborative projects where University of Sheffield is the coordinator. Otherwise, support will be arranged locally, or the investigator may have chosen to manage their projects themselves.

In consultation with Faculty Research Finance, the recruitment process for new posts can begin once the award is made (for example, drafting the advertisement). However, appointments can’t be finalised until the grant agreement has been signed.

**Ethics review (03)**

The EC may consider a proposal ‘ethics ready’, provide conditional clearance, or require a full Ethics Assessment prior to signature of the grant agreement. Additional information may be required and conditions may need to be written into the grant agreement.

**Consortium agreement (04)**

All projects must have a consortium agreement to govern the relationship between the partners and build on the detail in the grant agreement. The coordinating partner is responsible for drafting and negotiating the agreement with all of the project partners. The Pricing Team works with the Contracts Team to start this process and progress can be tracked via the Research Agreements application on myResearch in MUSE.

If Sheffield is the coordinator, the project will be handed over to the relevant Faculty Research Finance team as soon as the grant agreement is signed. The consortium agreement is negotiated in parallel to the account (UBASE) being set up ready for the project to begin. If Sheffield is a partner, the award cannot be handed over to finance until the consortium agreement is fully signed, unless the Department can underwrite the financial risks to the project.

During this period, the EU Implementation Manager based in R&IS will provide guidance and coordinate any professional service support that is needed in the early stages of new projects (05) – typically liaising with Faculty Research Finance team, HR, Estates, Procurement, and Capital Finance and local Faculty and department-based support to ensure that funded projects can start quickly and with the required resources in place.
Robots is at heart a multi-disciplinary activity for which the collaborative funding available from the European Union is ideally suited. Sheffield Robotics has a broad network of European partners, including leading centres in Spain, Italy, France, Sweden and the Netherlands. Thanks to support from the EU we have been able to mix fundamental research in topics such as biomimetics and social cognition with applied work in domains such as education and assistive living.

"Professor Tony Prescott, Director of Sheffield Robotics"
Coordination and Support Action
An action 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 consultation and coordination between programmes in different countries.

Coordinator
The coordinator of a consortium who submits the project in the name of the consortium. In case of successful application it participates in the grant preparation in the name of the consortium and during the project period keeps contact with the European Commission in the name of the consortium.

Country correction coefficient
EU Funding in Horizon 2020 Marie Skłodowska-Curie Actions (MSC) is based on unit costs per researcher month. In MSC Innovative Training Networks (ITN) and MSC Individual Fellowships (IF) actions, Country Correction Coefficients are applied to the “Living allowance” unit cost in order to take into consideration the different cost of living. The applied correction coefficient is the one of the host country where the research work is carried out.

Data Management Plan (DMP)
A document outlining how the research data collected or generated by a research project in Horizon 2020 will be handled and after project end. It describes what data will be collected/generated, what methodology and standards are used, whether and how this data will be shared and/or made open, and how it will be curated and preserved.

ERC Executive Agency
The administrative organ of the European Research Council (ERC), which is responsible for all aspects of administrative implementation and execution of ERC programmes. This executive agency manages the awards of ERC grants.

ERC Scientific Council
One of the components of the European Research Council who is responsible for the scientific strategy for the ERC.

ERC Scientific Council Member
The members of the Scientific Council are scientists, engineers and scholars of the highest reputation and appropriate expertise, ensuring the diversity of research areas and acting in their personal capacity, independent of extraneous interests. They are appointed by the European Commission.

Electronic submission
Project proposals for Horizon 2020 calls are prepared and submitted electronically via the Participant Portal by the coordinator of the project consortium. The electronic submission service is accessed by selecting an open topic in the Participant Portal call service.

Eligibility criteria
Criteria used to determine whether a proposal meets the requirements to become eligible for European Union grant.

Ethics appraisal
Following the evaluation of the research content, the Commission undertakes an ethics review of proposals that are in line for funding and raise ethical issues.

European Charter for Researchers
A set of general principles and requirements which specifies the roles, responsibilities and entitlements of researchers as well as of employers and/or funders of researchers. It aims at ensuring that the nature of the relationship between researchers and employers or funders is conducive to successful performance in generating, transferring, sharing and disseminating knowledge and technological development, and to the career development of researchers.

European Fellowships
Type of an MSC IF held in Member States or Associated Countries and open to researchers coming from within and outside Europe. The researcher must comply with the rules of mobility in the country where the European Fellowship is held.

European Industrial Doctorates
Type of an MSC ITN partnership. It is composed by at least two beneficiaries located in different Member States or Associated Countries, of which one must be entitled to award doctoral degrees and the other beneficiaries is entitled to award doctoral degrees and the participation of institutions from any country or organisation is possible under the conditions provided by the Horizon 2020 Rules for Participation. In EID the enrolment in the doctoral programme and a creation of joint governance structure with joint admission, selection, supervision, monitoring and assessment procedures is obligatory. In this programme, the early-stage researchers will spend at least 50% of their time in the non-academic sector.

European Joint Doctorates
Type of an MSC ITN partnership. It is composed by at least three beneficiaries located in different Member States or Associated Countries. Above this minimum, the participation of institutions from any country or organisation is possible under the conditions provided by the Horizon 2020 Rules for Participation. EFJ is equal weight for all criteria. For Innovation Actions and the SME Instrument the impact criterion is given a weight of 1.5 to determine the ranking. Other weightings may be specified in the conditions of the call for proposals.

Evaluation score
Proposals for projects to be funded in Horizon 2020 are evaluated on the basis of selection criteria (financial and operational capacity) and award criteria (excellence, impact, efficiency of implementation). Unless otherwise specified in the conditions of the call for proposals, each of the award criteria is scored between 0 and 5. The total score is calculated as a weighted sum of the scores for each criterion. The default is equal weight for all criteria. For Innovation Actions and the SME Instrument an impact criterion is given a weight of 1.5 to determine the ranking. Other weightings may be specified in the conditions of the call for proposals.

European Research Area
The European Union has the objective of strengthening its scientific and technological bases by achieving ERA in which researchers, scientific knowledge and technology circulate freely, and which encourages the European Union to become more competitive, including in its industry.

European Research Council
The first European Union funding body set up to support investigator-driven frontier research. Its main aim is to stimulate scientific excellence by supporting and encouraging the scientists, scholars and engineers in their research.

European Training Networks
Type of an MSC ITN partnership. It is composed by at least three beneficiaries located in different Member States or Associated Countries. Above this minimum, the participation of institutions from any country or organisation is possible under the conditions provided by the Horizon 2020 Rules for Participation. In ETN early-stage researchers may benefit from a period of training from three months to three years, or enrol in a full doctorate programme (up to three years). If one of the beneficiaries is entitled to award doctoral degrees and the network foresees such a possibility.

Evaluation threshold
Those are the minimum evaluation scores that a Horizon 2020 project proposal must receive in order to be ranked. The default thresholds are a score of least three out of five for each individual criterion and a score of at least ten out of 15 for the sum of the individual scores. The thresholds are applied to unweighted scores. Different thresholds may be specified in the conditions of the call for proposals. Proposals scoring below any of the thresholds will be rejected.

Financial Signatory
A role in the Participant Portal giving particular access rights for the paperless management of Horizon 2020 grants. Financial Signatories (FSIGNs) and Nominated representatives in a beneficiary organisation authorised (electronically) to sign financial statements for EU grants. FSIGNs are nominated in the Participant Portal by the Legal Entity Appointed Representative (LEAR) of the organisation. For more information on roles and access rights in the Participant Portal.
Global Fellowships
Type of an MSC IF based on a secondment to a third country and a mandatory 12 month return period to a European beneficiary. The researcher must comply with the rules of mobility in the country where the Global Fellowship secondment takes place, and not in the country of the return phase. GF are open to nationals or long-term residents of Member States and Associated Countries.

Grant Agreement
A contract concluded between the European Commission (representing the European Union) and the beneficiary (or beneficiaries) under which the parties receive the rights and obligations (e.g. the right of the Union’s financial contribution and the obligation to carry out the research and development work). It consists of the basic text and annexes.

Horizon 2020
It refers to the EU funding programme for Research and Innovation in the period 2014-2020. It covers the funding previously provided through the (seventh) Framework Programme for Research and Technical Development (FP7), the Competitiveness and Innovation Framework Programme (CIP) and the European Institute of Innovation and Technology (EIT).

Host institution
The applicant legal entity that engages and hosts the Principal Investigator. It is established in a Member State or an Associated Country.

Individual Evaluation Report
Outcome of the individual evaluation process which includes a minimum of three experts. At the end of the process, each expert should produce for each proposal an Individual Evaluation Report with justification for all scores.

Individual Fellowships
MSC action enhancing the creative and innovative potential of experienced researchers wishing to diversify their individual competence through advanced training, international and inter-sectoral mobility. This action provides opportunities to acquire new knowledge and to work on research projects in a European context (Member States and Associated Countries) or outside Europe. It develops or helps to restart the careers of individual researchers that show great potential, considering their experience. It also particularly supports the reintegretion of researchers currently outside Europe who have previously worked here.

Innovation action
An action 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.

Innovative Training Networks
MSC action aiming at training of a new generation of creative, entrepreneurial and innovative early-stage researchers, able to face current and future challenges and to convert knowledge and ideas into products and services for economic and social benefit. In order to increase the employability of the researchers, the research training will be complemented by meaningful exposure of each researcher to other sectors and by substantial training modules addressing key transferable skills common to all fields (e.g., entrepreneurship, management and financing of research activities and programmes, management of intellectual property rights, other exploitation methods of research results, ethical aspects, communication, standardisation and societal outreach). The training will follow the EU Principles for Innovative Doctoral Training.

Legal Entity Appointed Representative
A person appointed by the legal representative of a legal entity participating in EU funding programmes. The LEAR is usually an administrative staff member of the central administrative department of the organisation. The LEAR provides the Commission with up-to-date legal and financial data, including the persons in the organisation authorised to sign grant agreements (LSIGNs) and financial statements (FSIGNs) and commits to maintain the information up-to-date, enabling future use for grants and other transactions between the entity and the Commission research (and other) programmes. The LEAR can delegate some of his/her tasks to Account Administrators.

Marie Skłodowska-Curie actions
Part of the first priority of H2020 (“excellent science”), it is a programme that provides excellent and innovative research training as well as attractive career and knowledge-exchange opportunities through cross-border and cross-sector mobility of researchers to best prepare them to face current and future societal challenges.

Member state
A state that is party to treaties of the European Union and thereby subject to the privileges and obligations of European Union membership.

Model grant agreement
The compulsory form of a grant agreement. It consists of a core text (determining the basics of a project) and several annexes.

National Contact Point
A person or organisation under the responsibility of a national administration, providing support and guidance to applicants and beneficiaries in Horizon 2020.

Open Access (OA)
The practice of providing on-line access to scientific information that is free of charge to the reader. In the context of Research and Innovation, open access typically focuses on access to ‘scientific information’, which refers to two main categories: peer-reviewed scientific research articles (published in academic journals) and scientific research data (data underlying publications and/or raw data).

Panel report
Includes lists and scores of all evaluated proposals in an indicative budget line for Commission records.

Participant Identification Code
A 9-digit number serving as a unique identifier for organisations (legal entities) participating in EU funding programmes.

Principal Investigator
The individual researcher that may assemble a team to carry out the project under his/her scientific guidance.

Research Executive Agency
A funding body created by the European Commission to foster excellence in research and innovation. As of 1 January 2014 in the framework of H2020 the ERA has been entrusted with the implementation of parts of Excellence Science, Industrial leadership, Societal challenges, Spreading excellence and widening participation and Science with and for Society plus the implementation of the legacy parts of FP7 (People, Research for SMEs and for SMEs associations, Space and Security).

Research and Innovation Action
Action 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. Projects may contain closely connected but limited demonstration or pilot activities aiming to show technical feasibility in a near to operational environment.

Reserve list
Due to budgetary constraints it may not be possible to support all proposals that have been evaluated positively. In such conditions, proposals on a reserve list will only be financed if funds become available.

Small or Medium-Sized Enterprise (SME)
A micro, small or medium-sized enterprise within the meaning of Recommendation 2003/361/EC. Necessary (but not sufficient) conditions for being an SME are a number of employees smaller than 250 and an annual turnover not exceeding €50 million, and/or an annual balance sheet total not exceeding €43 million. These ceilings apply to the figures for individual firms only. A firm which is part of larger group may need to include employee/turkey turnover balance sheet data from that grouping too.

Third country
A state that is not a member state of the EU.

Two-stage call
The proposal coordinator submits a short proposal that is evaluated. Successful proposals are invited to submit a full proposal. The evaluation of this full proposal leads to an ordered list to be forwarded to the Commission for ranking selection.

Work plan
The document similar to the European Commission work programme adopted by funding bodies entrusted with part of the implementation of Horizon 2020 in accordance with Article 9(2) of Regulation (EU) No 1290/2013 [Horizon 2020].

Work programme
The document adopted by the European Commission for the implementation of the specific programme in accordance with Article 5 of Council Decision (2013/743/EU) [H2020 Specific programmes].
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For the latest advice, please go to www.sheffield.ac.uk/eu-advice