



## **“Alone at the grant office” - Survival Kit – LEGAL - PART 2**

### **Checklist and recommendations for legal issues in the proposals for Horizon 2020 Actions (Version 1.2.1, April 2016)**

*FINAL APPROVAL STATUS: APROVED*

**WORKING GROUP LEGAL (WG3)  
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#### Disclaimer:

This document is aimed at assisting participants in H2020 EU-funded projects, in particular TN 1302: BESTPRAC participants, to identify legal issues that may arise before or during the preparation of the proposal following the structure of the template. This document is provided for information purposes only and its content is not intended to replace consultation of any applicable legal sources or the necessary advice of a legal expert, when appropriate. Neither the author(s) of this document or any BESTPRAC WG Legal member contributing to the preparation of this deliverable<sup>1</sup> by sharing their knowledge, experience or best practices while discussing legal issues in the proposal during WG3 meetings or ex-post can be held responsible for the use made of this document.

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<sup>1</sup> Primarily based on the outcome of the analysis base on project proposals and exchange of best practice experience used by different institutions participating in the European research programmes and the TN 1302: BESTPRAC, **prepared and presented by Carmen Gascó, Universidad Politécnica de Madrid, ES**, at the WG3 meeting in Bratislava, Slovakia, September 16, 2014.

| <b>Things to consider</b><br><i>(following the structure of the proposal template- Part B)</i>  | <b>Check these</b>   | <b>Recommendations</b>   |
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| <b>1. Excellence</b><br><b>1.1 Objectives</b><br><b>1.2 Relation to the work programme</b><br><b>1.3 Concept and approach</b><br><i>(quality of the coordination and support measures)</i><br><b>1.4 Ambition</b> | <ul style="list-style-type: none"> <li>• To describe project objectives and its relations to Work Programme and Work Packages activities</li> <li>• To relate the project to the Work Programme &amp; topic (give evidences)</li> <li>• To provide project main ideas, models, and assumptions involved</li> <li>• To provide transdisciplinary considerations</li> <li>• From the idea to the applications/ from the lab to the market</li> <li>• To indicate the Technology Readiness levels</li> <li>• To describe national or international research and innovation activities related</li> <li>• To include the overall approach, methodology, etc.</li> <li>• To describe the gender issues taken into account in the project</li> <li>• To provide the advance of the proposal beyond the state-of-the-art</li> <li>• To give evidences that the extent proposed in the project is ambitious</li> </ul> | <ul style="list-style-type: none"> <li>- To give SMART objectives and relate with the expected exploitation and impact</li> <li>- Do not forget to include applicable related legislation for implementing the project</li> <li>- To demonstrate the multidisciplinary approach in different research fields, sectors as academic and non-academic sector, public &amp; private, etc.</li> <li>- The project needs must be achievable to be developed into the market</li> <li>- To indicate related regional, national and international R&amp;I activities and policies</li> <li>- Gender issues must be showed and planned in the project at R&amp;I stage. Include internal and national plans for equal opportunities</li> <li>- To investigate previous advances and to demonstrate project R&amp;I novelty</li> </ul> |
| <b>2. Impact</b><br><b>2.1 Expected impacts</b><br><b>2.2 Measures to maximise impact</b><br>a) Dissemination and exploitation of results<br>b) Communication activities  | <ul style="list-style-type: none"> <li>• To describe expected impacts set out in the work program, under the relevant topic.</li> <li>• To include legal requirements of H2020 rules &amp; EU initiatives &amp; Work program-topic and specific policies related to project development</li> <li>• To describe any barriers/obstacles, and framework conditions (such as regulation and contributions to standards), that may determine whether and to what extent the</li> </ul>  | <ul style="list-style-type: none"> <li>- To detail project expected impact at generic &amp; specific level (environmental, societal, economic, legal, etc.)</li> <li>- To establish all measures to have a great impact</li> <li>- To include the existing barriers and how to avoid obstacles</li> <li>- To provide an Innovation Management plan (give a credible path to deliver the innovations to the market)</li> </ul>  |

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|  | <p>expected impacts will be achieved.</p> <ul style="list-style-type: none"> <li>• To plan how to improve innovation capacity and the integration of new knowledge (strengthening the competitiveness and growth of companies by developing innovations meeting the needs of European and global markets; and, by delivering such innovations to the markets, etc.)</li> <li>• To identify expected exploitable results generated from the project &amp; potential users and uses</li> <li>• To plan how to exploit project's results &amp; if relevant to include a Business plan</li> <li>• To establish a plan for Intellectual Property Rights (IPR) management of project results</li> <li>• To include an strategy for knowledge management and protection</li> <li>• To plan the management of the research data generated and/or collected during the project.</li> <li>• To provide open access plan to peer-reviewed scientific publications result from the project.</li> <li>• To give an overview of what will be covered in the Consortium Agreement (protection, use and exploitation of results, dissemination &amp; open access)</li> <li>• To follow general rules included in Grant Agreement</li> <li>• To describe communication plan (strategy, types of actions, concrete, realistic, include budget)</li> <li>• To include Public/societal engagement on issues related to the project</li> <li>• To establish tailored needs for various audiences</li> </ul> | <ul style="list-style-type: none"> <li>-To provide a Exploitation Plan (including a Business Plan)</li> <li>-To provide a Dissemination Plan</li> <li>-To include a Research Data Management Plan</li> <li>-To provide an Open Access Plan</li> <li>-Be careful with the dissemination of project results and the protection of project results (IPR)</li> <li>-To provide a Communication Plan (including public engagement activities)</li> <li>-To be innovative with the communication plan, do not repeat</li> <li>-The Consortium Agreement will include in the proposal important contents related to impact (access rights, transfer of knowledge, background included, exploitation of results, project dissemination, confidentiality, protection of IPR, etc.)</li> <li>-Do not forget that in case of conflict all Grant Agreement articles shall prevail to Consortium Agreement</li> </ul> |
| <p><b>3. Implementation</b></p> <p><b>3.1 Work plan — Work packages, deliverables and milestones</b></p> | <ul style="list-style-type: none"> <li>• To include tables for Work plan, Work packages (WP), deliverables and milestones</li> <li>• To detail project tasks work description (follow WP tables)</li> <li>• To include WP interdependences: Pert diagram</li> </ul>  | <ul style="list-style-type: none"> <li>- All provided template tables must be followed</li> <li>- Do not forget to include WP for Horizontal activities (Management/ Exploitation &amp; Dissemination/Communication/ Training)</li> </ul>  |

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| <p><b>3.2</b> Management structure and procedures</p> <p><b>3.3</b> Consortium as a whole</p> <p><b>3.4</b> Resources to be committed</p> | <ul style="list-style-type: none"> <li>• To include WP calendar+ tasks : Gantt chart</li> <li>• To describe the Project life cycle (if interesting for the project)</li> <li>• To include the project Organizational structure and the decision-making (mechanisms appropriated)</li> <li>• To indicate the Governance &amp; Consortium bodies (duties, responsibilities, voting rules, decision-making, etc.)</li> <li>• To describe the Innovation management process (understanding market &amp; technical problems, implementing creative ideas, etc.)</li> <li>• To provide Risks related to project implementation &amp; mitigation measures establishing a contingency plan</li> <li>• To describe project consortium giving a short descriptions of all partners.</li> <li>• To indicate participants complementarities their contribution to the project activities and the well-balanced consortium</li> <li>• To provide evidences of Industrial/commercial involvement to ensure exploitation results</li> <li>• To include information about partners from other countries giving evidences that their participation is essential to carrying out the project</li> <li>• To provide a table with resources to be committed for the project development (including number of person/months, "other direct costs", distribution of efforts, etc.</li> <li>• To assure that the project Budget is adequate for the fulfillment of the project</li> </ul> | <ul style="list-style-type: none"> <li>-Diagrams, tables and Gantt must be easy to read and understand</li> <li>-You must include all required information in Gantt chart</li> <li>-To give a clear diagram with project internal organization structure &amp; EU relations</li> <li>-To include a risks &amp; contingency table included scientific &amp; managerial problems and its solutions.</li> <li>-To provide a table with descriptions project participants</li> <li>-To indicate that a Consortium Agreement will be signed by all partners</li> <li>-Complementarities can be show with a table or diagram of all partners</li> <li>-The well-balanced consortiums can be showed among academic and non-academic, industrial partners, private and public institutions etc.</li> <li>-Project budget must be adequate to the implementation of all project activities and expected results (include tables to show evidences of its proportionality)</li> <li>-To include in the proposal important contents that will be established in CA (payment procedure, decision making, governance structure, conflict resolution, applicable law, etc.)</li> <li>-Do not forget that in case of conflict all Grant Agreement articles shall prevail to Consortium Agreement.</li> </ul> |
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| <p><b>4. Members of the consortium</b><br/> <b>4.1</b> Participants (applicants)<br/> <b>4.2</b> Third parties involved in the project (including use of third party resources)</p> | <ul style="list-style-type: none"> <li>• To give a description of the legal entity and its main tasks</li> <li>• To evidence that beneficiary/partner's profile matches the tasks in the proposal</li> <li>• To describe the key persons: CV/Profile of the persons, gender, responsible for research and/or innovation activities</li> <li>• To indicate 5 relevant publications, and/or products, services relevant to the call content</li> <li>• To indicate 5 relevant previous projects or activities connected to the proposal.</li> <li>• To describe any significant infrastructure and equipment</li> <li>• To explain planned subcontracts (justify)</li> <li>• To indicate if project tasks are done by linked third parties (to describe and justify the link with the third party and their tasks and contributions)</li> <li>• To indicate the use of contributions in kind provided by third parties (to describe the third party and their contributions)</li> </ul> | <ul style="list-style-type: none"> <li>– All partners must be described (Not only R&amp;D&amp;I. Include administrative , financial and managerial experience)</li> <li>– Be sure partners in the project are complementary</li> <li>– At least one key person by partner (be sure they have the best profile for the project)</li> <li>– Do not forget to include previous publications, projects and other results relevant for the project</li> <li>– Include infrastructure &amp; equipment for project development</li> <li>– Project core tasks cannot be sub-contracted</li> <li>– If third parties in the project: explain the more the better</li> </ul> |
| <p><b>5. Ethics and Security</b><br/> <b>5.1</b> Ethics<br/> <b>5.2</b> Security</p>  | <ul style="list-style-type: none"> <li>• To meet the national legal and ethical requirements of the country or countries where the tasks raising ethical issues are to be carried out</li> <li>• To explain how you intend to address the issues in the ethical issues table (research objectives, methodology and potential impact of the research)</li> <li>• To provide the documents needed under national law (ethics committee opinion; the document notifying activities raising ethical issues or authorizing such activities, etc.)</li> <li>• To indicate if your project will involve: activities or results raising security issues; EU-classified information' as background or results</li> </ul>   | <ul style="list-style-type: none"> <li>– Include all relevant internal and national ethics &amp; security legislation and procedures (Ethics Committees: selection evaluation, consent forms, etc.)</li> <li>– Be clear and establish a plan with your own procedures and national applicable legislation</li> </ul>  |