

Net4Mobility⁺



Net4Mobility⁺

Network of the Marie Skłodowska-Curie Actions National Contact Points for the mobile scientific and innovation community

Deliverable No. 3.3

MSCA-ITN Handbook 2020

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Disclaimer and Acknowledgements

Disclaimer:

This is an UNOFFICIAL document prepared by the Irish Marie Skłodowska-Curie Office as part of the EU-funded Project “Net4Mobility+” of National Contact Points (NCP) for the Marie Skłodowska-Curie Actions (MSCA).

- The information contained in this document is intended to assist and support, in an unofficial and practical way, anyone submitting a Proposal for the MSCA-ITN Call for the deadline 14/01/2020. It is therefore **NOT** a substitute of European Commission Documents, which in all cases must be considered as official and binding. **As such this document is to be used in conjunction with the Guide for Applicants.**
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A. Introduction – The Policy Context for ITN 2020

The MSCA Work Programme for 2018-2020¹ sets out the policy context for the Call.

Objective: The Innovative Training Networks (ITN) aim to train 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.

ITN will raise excellence and **structure research and doctoral training**, extending the traditional academic research training setting, incorporating the elements of Open Science and equipping researchers with the **right combination of research-related and transferable competences**. It will provide enhanced **career perspectives** in both the **academic and non-academic sectors** through **international, interdisciplinary and intersectoral** mobility combined with an innovation-oriented mind-set.

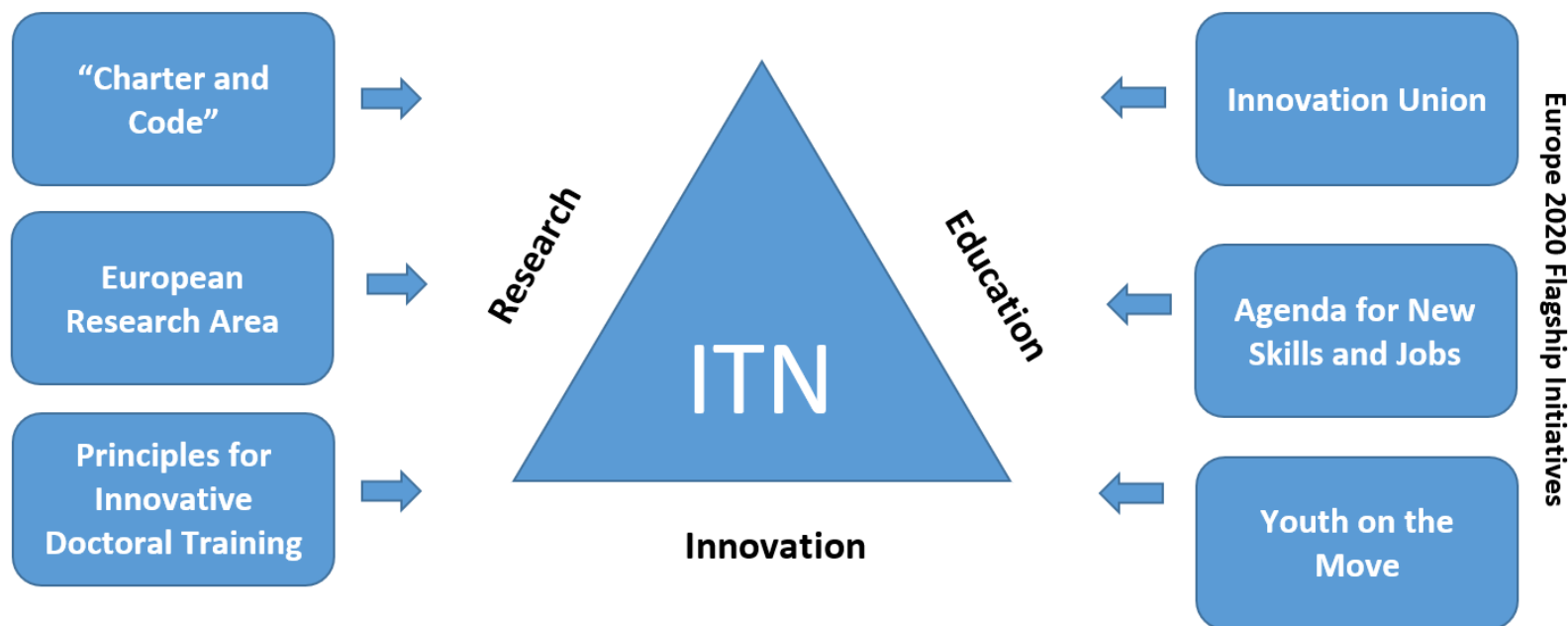
As per the MSCA Work Programme 2018-2020 (p.50-51), ITNs should have an **impact at researcher, organisation and system level**.

Following on from these objectives, some important questions to answer when writing an ITN are:

- Why does Europe need a cohort of researchers trained up in this particular research area?
- Where could these researchers end up working? (**Hint:** think beyond academia!)
- How can we design the ITN programme to ensure that these researchers are employable in these areas? (**Hint:** intersectoral training)
- How will my ITN contribute to structuring research and doctoral training in Europe? (**Hint:** spreading of best-practice)

¹ http://ec.europa.eu/research/participants/data/ref/h2020/wp/2018-2020/main/h2020-wp1820-msca_en.pdf

The overall strategy for ITN is built on a number of established EU policies,² as illustrated below. As is important to be aware of these policies when writing an ITN application, we have inserted “Policy Boxes” containing information on EU policies in the relevant sections of this Handbook.



² A) “Charter and Code”: The European Charter for Researchers and Code of Conduct for their Recruitment, https://euraxess.ec.europa.eu/sites/default/files/am509774cee_en_e4.pdf
 B) European Research Area ERA Communication 2012 https://ec.europa.eu/research/science-society/document_library/pdf_06/era-communication-partnership-excellence-growth_en.pdf
 C) Principles for Innovative Doctoral Training https://cdn5.euraxess.org/sites/default/files/policy_library/principles_for_innovative_doctoral_training.pdf
 D) Europe 2020 Flagship Initiative – Innovation Union http://ec.europa.eu/research/innovation-union/index_en.cfm?pg=action-points
 E) Europe 2020 Flagship Initiative – Agenda for new skills and jobs <https://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2010:0682:FIN:en:PDF>
 F) Europe 2020 Flagship Initiative – Youth on the Move http://europa.eu/youthonthemove/docs/communication/youth-on-the-move_EN.pdf

There are a number of cross-cutting issues and areas of importance across Horizon 2020 that are relevant to ITN and should be considered when developing and writing the proposal:

| | |
|--|---|
| Gender | <ul style="list-style-type: none">• Gender balance amongst the recruited ESRs and in management structure.• Gender aspects relevant to the research programme (where appropriate).• Gender aspects relevant to the dissemination and communication activities. |
| Open Science | <ul style="list-style-type: none">• Open access to research publications.• Management of research data.• Open publication of research data (where appropriate). |
| Communication & Dissemination | <ul style="list-style-type: none">• Communication is not the same as Dissemination.• Dissemination is towards potential users and a technical audience (research peers, industry, policymakers).• Communication is to multiple audiences, including the media, the public and students. |
| Responsible Research and Innovation | <ul style="list-style-type: none">• Adhering to ethical rules in performing the research.• Ensuring that the research is performed with integrity - avoiding fabrication, falsification and plagiarism. |
| Sustainable Development and Climate Action | <ul style="list-style-type: none">• 35% of H2020 budget will address climate action.• 60% of H2020 budget will address sustainable development (economic, social and natural).• Address if relevant to project, MSCA does not have thematic priorities. |

B. Key changes in ITN 2020 as compared to 2019

The following changes should be noted by those re-submitting applications:

- Updated definitions (Academic, Non-Academic sectors, secondments). See GfA p. 6-7.
- Updated instructions for Institutional Letter of Commitment (EJD). See GfA p. 12, 13, 45-46, and the template on p. 66.
- Updated instructions for partner organisation Letter of Commitment. See GfA p. 14-15, 45 and the template on p. 67.
- List of Participating Organisations: updated table regarding participation in other projects or similar proposals submitted under the same call. See GfA p. 61.

C. Annotated Template

For the 2020 call, applicants must submit Part B of their proposal as two separate documents:

Part B1 (34 pages maximum)

- Start Page (1 page maximum)
- Table of Contents (1 page maximum)
- List of Participating Organisations (2 pages maximum)
- Proposal content (30 Pages maximum)
 - 1. Excellence
 - 2. Impact
 - 3. Quality and Efficiency of the Implementation

Part B2 (No overall page limit)

- 4. EID specific requirements (for EID only)
- 5. Capacities of the Participating Organizations (Participating Organisations Tables)
 - Beneficiaries (1 page maximum)
 - Partner Organisations (0.5 page maximum)
- 6. Ethics Issues
- 7. Letters of Commitment

| MANDATORY FORMATTING REQUIREMENTS | |
|-----------------------------------|--|
| Body Text Font Size | 11 points minimum |
| Table Font Size | 8 points minimum |
| Page Margins | 15 mm minimum (not including headers and footers) |
| Literature References | In Footnotes, font size 8 (included in page limit) |
| Required Header | PROPOSAL ACRONYM - ETN / EID / EJD (delete as appropriate) |
| Page Number Format | Part B - Page X of Y |

The orange text boxes contain additional suggestions & information for each section of the proposal. Text is intended to provide guidance only, and is not exhaustive.

The yellow “EU Policy Boxes” provide a menu of excerpts from EU policies which you can choose from to make a tangible link between your programme and those policies.

Single line text boxes include strengths from Evaluation Summary Reports.

Double line text boxes contain examples of common weaknesses from Evaluation Summary Reports of unfunded applications which were on the reserve list.

Note: **no reference to the outcome of previous evaluations of this or any similar proposal should be included in the text.** The expert evaluators will be strictly instructed to disregard any such references.

START PAGE

MARIE SKŁODOWSKA-CURIE ACTIONS

Innovative Training Networks (ITN)

Call: H2020-MSCA-ITN-2020

PART B

“PROPOSAL ACRONYM”

Use a memorable acronym – a real word – you can use online acronym generators to help. Check http://cordis.europa.eu/projects/home_en.html to see if an EU project with the same acronym already exists. An internet search could also be used to determine if the acronym is “protected”.

This proposal is to be evaluated as:

[ETN] [EID] [EJD]

[delete as appropriate]

Part B - Page X of Y

Use this numbering format on all pages – number Part B1 and B2 sequentially

TABLE OF CONTENTS (max. 1 page)

Please insert a full table of contents with page numbers, including main headings and sub-headings. Include the sections from Document 1 and Document 2.

LIST OF PARTICIPANTS (max. 2 pages)

Please provide a list of the consortium's members (both beneficiaries and partner organisations) indicating the legal entity, the department carrying out the work and the scientist-in-charge of the action. Entities with a capital or legal link should be added together with the linked beneficiary.

| Consortium Member | Legal Entity Short Name | Academic (tick) | Non-academic (tick) | Awards Doctoral Degrees (tick) | Country | Dept./ Division / Laboratory | Scientist-in-Charge | Role of Partner Organisation |
|--|------------------------------------|-----------------|---------------------|--------------------------------|---------|------------------------------|---------------------|--|
| <u>Beneficiaries</u> | | | | | | | | |
| Insert full name here e.g. Dublin City University | Insert short name here e.g. DCU | | | | | | | Do not complete this section for beneficiaries |
| <u>Partner Organisations</u> | | | | | | | | |
| Insert full name here e.g. Data Laboratories Inc. | Insert short name here e.g. DLI | | | | | | | e.g. Training, Hosting Secondments, Delivering Doctoral Degree |

For non-academic beneficiaries, please provide additional data as indicated in the table below.

Data for non-academic beneficiaries:

Do not complete for non-academic Partner Organisations

| Name | Location of research premises (city / country) | Type of R&D activities | No. of full-time employees | No. of employees in R&D | Web site | Annual turnover ³ (in Euro) | Enterprise status (Yes/No) | SME status ⁴ (Yes/No) |
|------|---|------------------------|----------------------------|-------------------------|----------|---|-------------------------------|-------------------------------------|
| | | | | | | | | |

- The information in the above table **must be based on current data, not projections**.
- The financial and operational capacity of organisations participating in successful proposals will be subject to verification during the grant preparation phase.

Declarations

| Name (institution / individual) | Nature of inter-relationship |
|---------------------------------|------------------------------|
| | |

- Applicants **must** use the table above to **declare any inter-relationship between different participating institutions or individuals** (e.g. family ties, shared premises or facilities, joint or part ownership, financial interest, overlapping staff or directors, etc.)

If two whole pages are not used for this section, the remaining space must be left blank.

³ Defined as the total value of sales of goods and services during the last accounting period.

⁴ As defined in [Commission Recommendation 2003/361/EC](#)

EU Policy Box 1

- ✓ **“Charter and Code”**: The European Charter for Researchers and Code of Conduct for their Recruitment - <https://euraxess.ec.europa.eu/jobs/charter>.

The “Charter and Code” principles are mainstreamed into the MSCA. **Everyone applying for MSCA funding should read the Charter and Code.**

Some principles which are particularly relevant to ITN (not exhaustive) are:

- Employers and/or funders of researchers should ensure that the most stimulating research or research training environment is created which offers appropriate equipment, facilities and opportunities, including for remote collaboration over research networks. *Particularly relevant to the Excellence section (1.1 research programme, 1.2 training programme) and the Implementation section (3.3 Infrastructure)*
- Employers and/or funders of researchers should draw up, preferably within the framework of their human resources management, a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, including for researchers on fixed-term contracts. It should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers, thus motivating them and contributing to reducing any insecurity in their professional future. All researchers should be made familiar with such provisions and arrangements. *Particularly relevant to the Excellence section (1.3 supervision).*
- Employers and/or funders must recognise the value of geographical, intersectoral, inter- and trans-disciplinary and virtual mobility as well as mobility between the public and private sector as an important means of enhancing scientific knowledge and professional development at any stage of a researcher's career. Consequently, they should build such options into the specific career development strategy and fully value and acknowledge any mobility experience within their career progression/appraisal system. *Particularly relevant to the Excellence section (1.2 training programme, 1.4 interaction between the participants) and the Impact section (2.2 Structuring research training-contribution of the non-academic sector).*
- Employers and/or funders should ensure that a person is clearly identified to whom early-stage researchers can refer for the performance of their professional duties, and should inform the researchers accordingly. *Particularly relevant to the Excellence section (1.3 supervision).*
- Employers and/or funders of researchers should recognise it as wholly legitimate, and indeed desirable, that researchers be represented in the relevant information, consultation and decision-making bodies of the institutions for which they work, so as to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution. *Particularly relevant to the Implementation section (3.2 management).*

In addition, the principles on Recruitment are of particular importance when outlining the ITN's recruitment strategy in the Implementation section.

START PAGE COUNT – MAX 30 PAGES

1. Excellence (starting on p.5)

1.1 **Quality, innovative aspects and credibility of the research programme** (including inter/multidisciplinary, inter-sectoral and, where appropriate, gender aspects)

Write the **first page** of your proposal as an **executive summary (“overview”)** of your ITN. State the research/technical problem/knowledge/specific skills gap your proposal addresses, its relevance to current European and/or international policies, your proposed solution to this problem. Your solution should be training the next generation of excellent researchers in the field, whereby the training should be delivered **through an outstanding research programme and an excellent training programme**. Neither aspect should be neglected in this section.

- ✓ Start -or conclude- your “overview” with a short paragraph summarising the overall goal of the ITN programme, such as:
 - *“The overarching objective of this ITN is to provide high-level training in the field of X to a new generation of high achieving early stage researchers to provide them with the transferable skills necessary for thriving careers in a burgeoning area that underpins innovative technological development across a range of diverse disciplines. This goal will be achieved by a unique combination of “hands-on” research training, non-academic placements and courses and workshops on scientific and complementary so-called “soft” skills facilitated by the academic-non-academic composition of the consortium”.*
- ✓ The overview should briefly outline, and the remainder of section 1.1.1 may expand upon, the following aspects – in no prescriptive order:
- ✓ An outline of the overall field/research theme of the network, describing the **overall research goal** of the ITN. It is important that the research programme is cohesive and coherent.
- ✓ The timeliness and relevance, in terms of societal need and fit to sectoral policy targets, of the proposed research and training programme, as demonstrated by linking it to current sectoral policies, such as OECD policies (search in Topics at <http://www.oecd.org/>), UN Sustainable Development goals (<https://www.un.org/sustainabledevelopment/sustainable-development-goals/>) and EU policies (https://ec.europa.eu/info/strategy_en). (This aspect can be further expanded upon in the Impact section).
- ✓ Why is this consortium best placed to address this research theme from a cohesive, multidisciplinary and intersectoral point of view, and how the outcome will be greater than the sum of its parts (see point on cohesiveness above).
- ✓ A clear outline of the key specific **Research Objectives** of the programme. For clarity present them in a bulleted list or text box, relating them to the relevant Work Packages.
- ✓ Outline how the training programme is inter-multi-disciplinary and intersectoral.
- ✓ A brief description the **State of the Art** in the research area and how the specific Research Objectives will advance the field beyond the current state of the art. Support your state of the art review through key international bibliographic references (in footnotes, font size 8) – also cite the consortium (but not only!) to show that you are the experts in the field. Aim to be effective rather than exhaustive in terms of citations.

Required sub-headings:

1.1.1 Introduction, objectives and overview of the research programme. For ETN projects, it should be explained how the individual projects of the recruited researchers will be integrated into – and contribute to – the overall research programme. EJD and EID projects should describe the research projects in the context of a doctoral training programme.

1.1.2 Research methodology and approach

The action should be divided in **Work Packages** and described in the table below. The Work Packages should reflect the research objectives. Only brief headings and overviews of the Work Packages should be presented in Table 1.1. More details in terms of actual implementation should be provided in the tables under section 3.1.

Break down the research programme into (typically) three or four discrete research Work Packages **that relate to the Research Objectives** described above, separate Work Packages for training, management and dissemination (put Table 1.1 here).

Table 1.1: Work Package⁵ (WP) List

| WP No. | WP Title | Lead Beneficiary No. | Start Month | End month | Activity Type | Lead Beneficiary Short Name | ESR involvement |
|--------|----------|----------------------|-------------|-----------|--|-----------------------------|---|
| | | | | | For example, research, management, dissemination, etc. | | Indicate which ESR(s) will participate in the Work Package in question <div style="border: 1px solid black; padding: 2px; width: fit-content; margin-left: auto; margin-right: auto;"> e.g. ESR1, ESR3, ESR5, etc </div> |
| | | | | | | | |

⁵ A work package is defined as a major subdivision of the proposed project.

- ✓ Give each Work Package a brief title, and a one-paragraph summary (aim for 10-12 lines of text)– the corresponding full Work Package table should go in Section 3.1
- ✓ Methodology: in the Work Package descriptions, ensure to **describe in detail** how the objectives in the research programme will be explored - equipment, techniques, assays, types of research etc. You need to provide enough information so that the evaluator can understand how you will tackle the problem at hand, and can clearly see what is novel/interesting about your particular approach.
- ✓ Highlight the inter- / multi-disciplinary aspects of the research methodology.
- ✓ In research activities, where human beings are involved as subjects or end users, gender differences may exist. This may apply to research involving the use of animals too. If this applies to your research programme, you must briefly explain how you have taken gender into account in the research methodology e.g. using animal models of both gender, separation of research subjects into male and female groups. Some examples of the gender dimension in different research areas can be found at <https://genderedinnovations.stanford.edu/what-is-gendered-innovations.html>

Please note this is completely different from gender equality considerations, which have to do with the gender balance among the research performers (ESRs, supervisors, etc.) and should rather be addressed in 3.2.

- ✓ Explain how the individual ESR projects fit into the Work Packages (use Table 1.1) and if possible use a figure to illustrate the relationship.

1.1.3 Originality and innovative aspects of the research programme (in light of the current state of the art and existing programmes / networks / doctoral research trainings)

- ✓ Expand on the state of the art outlined previously in 1.1.1, to explain why the research is original, innovative and timely compared to the state of the art in the research area (i.e. how the research work described in 1.1.2 will advance the state of the art - for this to be clear it is essential that you have adequately explained the state of the art in section 1.1.1). Use footnotes to cite key relevant bibliography.
- ✓ Benchmark against other doctoral/research trainings at national or international level. Previous ITNs can be checked using http://cordis.europa.eu/search/advanced_en, but do not limit your benchmarking to EU funded consortia.
- ✓ Reiterate how the work is inter- or multi-disciplinary, and inter-sectoral.

Section 1.1 Strengths:

The research programme / scientific objective is original and well defined / timely and socially relevant / innovative and of very high quality.

The programme presents the state of the art in a relevant manner and in connection to fundamental references to European policies.

The overall / extremely relevant research methodology is suitable / precisely specified through highly interrelated work packages / convincingly presented / well explained, clear and logical, with a work package designed for each objective.

The overall goal and specific research objectives of the proposal are clearly outlined, credible and convincingly motivated against the state-of-the-art.

The programme is innovative in bringing xx and yy considerations into the current legal framework, international initiatives and European obligations.

The multidisciplinary and interdisciplinary aspects of the proposed research are well demonstrated / mixing well development of fundamental science and industrial application.

Interdisciplinary investigations and modelling are extremely relevant with a range of societal impacts including hazard mitigation and improving resource production.

Research related gender aspects are appropriately addressed.

Section 1.1 Weaknesses in unfunded ITNs:

- Poorly focused research theme/overall goal->cohesiveness not demonstrated
- State of the art poorly explained->novelty not demonstrated
- Unclear research objectives
- Overambitious research objectives
- Reference to ultimate impact on society or sectoral policies lacking or insufficient-> Timeliness/societal relevance not demonstrated
- Lack of detail in describing research methodology, equipment/techniques/methods to be used->credibility/feasibility not demonstrated
- Lack of inter/multidisciplinarity
- Gendered innovations not mentioned.

1.2 Quality and innovative aspects of the training programme (including transferable skills, inter/multi-disciplinary, intersectoral and, where appropriate, gender aspects)

Required sub-headings:

1.2.1 Overview and content structure of the training (ETN) or doctoral programme (EID/EJD), including network-wide training events and complementarity with those programmes offered locally at the participating institutions (please include table 1.2a and table 1.2b).

Start with the Recruitment Table 1.2a – it shows at a glance how many ESRs each beneficiary will be responsible for.

For EID/EJD, add an extra column (as shown) to this table to show the details of the non-academic co-host for each ESR. You could also include details of the secondment hosts or the Supervisory Committee for each ESR (see 1.3.2 below) in this table.

Table 1.2 a Recruitment Deliverables per Beneficiary

| Researcher No. | Recruiting Participant (short name) | PhD awarding entities ⁶ | Planned Start Month 0-45 | Duration (months) 3-36 |
|----------------|--|------------------------------------|-----------------------------|---------------------------|
| 1. | | | | |
| 2. | | | | |
| 3. | | | | |
| ... | | | | |
| Total | | | | |

⁶ Mandatory for EID and EJD implementation modes.

- ✓ Make a strong link between your programme’s elements and the EU policies about researcher training.
- ✓ Emphasise the “triple i” aspects of the programme: international, inter-sectoral and inter-disciplinary (from the EU Principles for Innovative Doctoral Training – PIDT). Provide a list of overall **Training Objectives**, including developing three types of skills:
 - **Core Research Skills** (acquired via the ESR’s Individual Research Project)
 - **Advanced/Additional Research Skills** (delivered by the consortium)
 - **Transferable Skills** (delivered by the consortium - particularly those useful in non-academic careers). The [Vitae Research Development Framework](#) can serve as inspiration.
- ✓ Three modes of delivery:
 - **Local training**: offered at the main host organisation where the ESR will work. Include a description of the skills acquired via the Individual Research Programme and the structured training offered by e.g. local graduate schools.
 - **Network-wide training**: offered by the consortium at specific events e.g. workshops, summer schools, training weeks.
 - **Secondment programme**: briefly mention here and refer to Section 1.4 for more details.
- ✓ Describe the local training followed by the network-wide training:
 - **Local**: Describe what is offered for the ESRs at their main host in terms of research training (via their Individual Research Programme), research-related training (e.g. ethics, research integrity) and transferrable skills training. It can be additive if training available at one host can be opened up to ESRs from the other hosts in the consortium.
 - **Network wide**: Be very specific about the details -when and where it will take place, what areas will be covered, how long will it last, who will deliver the training. Our suggestion is to modify Table 1.2b to allow for this level of detail, although you can include extra tables to allow a fuller description of all the events.
 - Open up some events to the **wider research community**. It’s typical to have a final conference for example or to make some places at summer schools open to ESRs who are not part of the network – a fee can be charged to cover the cost if necessary.
- ✓ Earning a certain number of ECTS Credits (European Credit Transfer System) via the local and network-wide training is becoming the norm – **mandatory for EJD**
- ✓ Hot training topics! Evaluators could be looking out for training on EU **hot topics** such as Research Integrity, Gender Dimension in Research and Open Science.

Table 1.2 b Main Network-Wide Training Events, Conferences and Contribution of Beneficiaries

| | Main Training Events & Conferences | ECTS (if any) | Lead Institution | Action Month (estimated) |
|---|---|----------------------|-------------------------|---------------------------------|
| 1 | When and where it will take place, what areas will be covered, how long will it last, who will deliver the training. Modify the table if necessary | | | |
| 2 | | | | |
| 3 | | | | |
| 4 | | | | |

- ✓ Complementarity between the local and network wide training is achieved by having a **Personal Career Development Plan (PCDP)** for each ESR. A PCDP will include at least:
 - A personalised analysis of the requirements and goals of the planned training for the ESR.
 - A list of courses (local and network-wide) to be taken by the ESR during their programme, including any ECTS credit requirements.
 - A list of communication and dissemination activities to be undertaken by the ESR.
 - A schedule for their programme, including secondments.
- ✓ The PCDP will be prepared at the start of the ITN between the ESR and their Supervisory Committee (see 1.3.2).
- ✓ It is a deliverable and should be reviewed at least every six months.

1.2.2 Role of non-academic sector in the training programme

- ✓ Finally, provide precise details of the contribution of the non-academic **beneficiaries** and **partner organisations** in the training programme, including:
 - Recruiting – for non-academic beneficiaries.
 - Training (Hint! They should be delivering some of the network-wide training).
 - Hosting secondments – mention briefly here and expand upon in Section 1.4
- ✓ It can be very helpful to **use a table** to list out the role of each non-academic participant – this makes the detail clear and easy to follow.

Section 1.2 Strengths:

A comprehensive and multidisciplinary scientific training programme is proposed, well structured and of high quality / includes scientific, technical and transferable skills training targeted for each ESR.

The innovative aspects of the training program are well integrated into the proposal and are convincing.

The frequent secondments are well arranged and allow the transfer of skills necessary for the multidisciplinary / interdisciplinary / intersectoral approach. The network-wide training program is very well structured to deliver a good set of scientific and transferable skills.

The role of the non-academic sector in the training programme is very well explained and their contribution is highly meaningful.

Section 1.2 Weaknesses in unfunded ITNs:

- No link to EU policies on research careers/research training
- Training programme is unfocused and not clearly presented
- Transferable skills poorly addressed esp. those related to innovation and entrepreneurship
- Insufficient local training opportunities (at each ESR's host organisation)
- Poorly thought-out network wide training opportunities
- Poorly-timed network wide training opportunities (too much at once)
- Balance between local and network-wide training (including online training) is poor (too much of one, not enough of the other)
- Contribution of the Non-academic partners to the training is insufficient or unclear
- No plans to use Personal Career Development Plans
- Lack of detail on from where ESRs at non-academic hosts will receive their PhD
- All events closed to wider research community
- Lack of details about the training modules offered
- Imbalance among the number of ESRs supervised by academic consortium members
- Large number of training elements could put pressure on the execution of the research projects

EU Policy Box 2

✓ **The Principles for Innovative Doctoral Training**

https://cdn5.euraxess.org/sites/default/files/policy_library/principles_for_innovative_doctoral_training.pdf

The Principles were defined with the help of experts from university associations; industry and funding organisations. They reflect the **Salzburg II Recommendations** of EUA, good practice in Member States and the Marie Curie experience. The Principles have been endorsed in the Council conclusions on the modernisation of higher education, Brussels, 28 and 29 November 2011.

The Principles are:

1. Research Excellence
2. Attractive Institutional Environment
3. Interdisciplinary Research Options
4. Exposure to industry and other relevant employment sectors
5. International networking
6. Transferable skills training
7. Quality Assurance

1.3 **Quality of the supervision (including mandatory joint supervision for EID and EJD)**

To avoid duplication, the role and scientific profile of the supervisors should only be listed in the "Participating Organisations" tables (see section 5 below).

The following section of the European Charter for Researchers refers specifically to supervision:

Supervision:

Employers and/or funders should ensure that a person is clearly identified to whom Early-Stage Researchers can refer for the performance of their professional duties, and should inform the researchers accordingly.

Such arrangements should clearly define that the proposed supervisors are sufficiently expert in supervising research, have the time, knowledge, experience, expertise and commitment to be able to offer the research trainee appropriate support and provide for the necessary progress and review procedures, as well as the necessary feedback mechanisms.

Required sub-headings:

1.3.1 Qualifications and supervision experience of supervisors

- ✓ Demonstrate, with hard evidence, the collective quality of the research supervisors in training of researchers
- ✓ Note the instruction: *“To avoid duplication, the role and scientific profile of the supervisors should only be listed in the “Participating Organisations” tables (see section 5 below)”*. This means that you do not have enough space to write one paragraph per participating PI.
- ✓ Instead write a collective statement about the expertise of the consortium. Don’t leave out the Partner Organisations.
- ✓ Include number of PhDs graduated, numbers of postdocs mentored, and where they are now. We recommend that a **Table** is used to encompass this information plus pertinent information on the research excellence of the supervisor such as notable grants, editorial board membership, awards, important journal articles/conference papers/monographs etc.

1.3.2 Quality of the joint supervision arrangements (mandatory for EID and EJD).

- ✓ The template states that this is only mandatory for EID and EJD **but please also include for ETN.**
- ✓ The aim is to demonstrate that each ESR is assured high-levels of contact with their supervisor(s) through a supervision policy that is consistent across the consortium (particularly for EJD).
- ✓ Each ESR should have a Supervisory Committee (SC) or PhD theses committee of minimum three persons – at least one should be from a non-academic beneficiary or Partner organisation.
 - Include a Table which shows the composition (names) of the Supervisory Committee for each ESR.
- ✓ The role of the SC is to ensure that a Personal Career Development Plan for their research and training is put in place for each ESR and reviewed at regular intervals.
- ✓ Describe a regular series of meetings between ESR and SC –you can also mention an open-door policy.
- ✓ Each SC should report into an overall training/doctoral studies or similar committee (describe this in 3.2 Management).

EU Policy Box 3**Gender in Horizon 2020**

Gender equality is a cross-cutting issue in Horizon 2020 and shall be implemented across **all areas of Horizon 2020, including the MSCA**. This will extend to promoting the gender dimension in research and innovation content. Gender equality is also included in Horizon 2020 monitoring and evaluation exercises.

Key objectives include:

- **Gender balance in decision-making:** The aim is to reach the Commission's target of 40% of the under-represented sex in each group and panel. For Horizon 2020 Advisory Groups, the target was raised to 50%, given the high response rate from women to the Commission's call for interest launched in February 2013.
- **Gender balance in research teams** at all levels: Applicants are encouraged to promote equal opportunities and to ensure a balanced participation of women and men at all levels in research and innovation teams and in management structures. Gender balance in teams will also be taken into account when ranking proposals with the same evaluation scores.

Gender dimension in research and innovation content: Gender is explicitly integrated into several topics across the Horizon 2020 Work Programme but all H2020 applications should take the gender dimension into account.

Factsheet:

https://ec.europa.eu/programmes/horizon2020/sites/horizon2020/files/FactSheet_Gender_2.pdf

Document: Gendered Innovations – How Gender Analysis Contributes to Research

<http://ec.europa.eu/programmes/horizon2020/en/news/%E2%80%9Cgendered-innovations-how-gender-analysis-contributes-research%E2%80%9D>

Gender Toolkit

http://www.yellowwindow.be/genderinresearch/index_downloads.html The European Commission sponsored the development of a Gender Toolkit for FP7 by Yellow Window Management Consultants.

European Institute for Gender Quality (EIGE): EIGE is an autonomous body of the European Union, established to contribute to and strengthen the promotion of gender equality, including gender mainstreaming in all EU policies and the resulting national policies, and the fight against discrimination based on sex, as well as to raise EU citizens' awareness of gender equality.

EIGE also assists EU institutions and the Member States in the collection, analysis and dissemination of objective, reliable and comparable information and data on equality between women and men. You may find useful statistics for your proposal at: <http://eige.europa.eu/gender-statistics/dgs>

Section 1.3 Strengths:

All supervisors are high-level experts in their respective fields with great experience in PhD student supervision / demonstrate high experience in supervision of graduate students and postdocs and excellent scientific output.

The joint supervision arrangements are very well planned / appropriate. An intersectoral supervisory team is created for each ESR.

Section 1.3 Weaknesses in unfunded ITNs:

- Lack of detail on supervision experience of the proposed supervisors
- Unstructured supervision plans (including lack of clarity on preparation and monitoring of Personal Career Development Plans, no information on frequency/methods of student-supervisory team meetings)
- Only one supervisor per ESR (no joint supervision arrangements)
- ESRs have no non-academic co-supervisor
- Role of the supervisors in the supervision of the training is unclear
- Previous experience in student mentoring of the non-academic supervisors and their ability to supervise the ESRs is insufficiently documented (particularly important for EID)
- Lack of gender balance within the supervisory committees
- It is unclear how often the research supervisory board will meet.

1.4 Quality of the proposed interaction between the participating organisations

Required sub-headings:

1.4.1 Contribution of all participating organisations to the research and training programme

- ✓ Describe what tasks each participant (beneficiaries and partner organisations) will undertake in the research & training programmes – use a **table** (template below) for clarity and brevity. The aim is to show that each participant is fully engaged in the programmes – a higher level of engagement would be expected of beneficiaries compared to POs.

| | Recruiting | Hosting Secondments | Delivering Training | Awarding PhDs |
|------|----------------------|----------------------|---------------------|----------------------|
| Name | ✓ or ESR1, ESR2 etc. | ✓ or ESR4, ESR5 etc. | ✓ or course names | ✓ or ESR1, ESR2 etc. |
| | | | | |
| | | | | |

1.4.2 Synergies between participating organisations

- ✓ Show why this consortium is best placed to deliver the programme (outline synergies/overlaps in expertise) – a diagram/schematic is the best way to demonstrate this.
- ✓ Describe the “added value” of working together to deliver this programme – if available, include information on previous and current collaborations between participants (including COST Actions) and any successful outputs of these collaborations.

1.4.3 Exposure of recruited researchers to different (research) environments, and the complementarity thereof

- ✓ i.e. Describe different research environment that the ESRs will be exposed to. Focus on the “triple i” aspects e.g. exposure to **international**, **interdisciplinary** and **intersectoral** research environments. A description of the secondment programme should form the basis for this.
- ✓ Provide a table summarising the secondments for each ESR – where, when, for how long. Could merge this information into Table 1.2a to save space.
- ✓ **Tip!** ETN/EJD: each ESR should get a secondment of at least 3 months to a non-academic beneficiary or partner organisation.
- ✓ For EID, it must be very clear that each ESR will achieve the minimum 50% of time in the non-academic sector.
- ✓ Explain how the secondments are linked to ensuring the excellence of the research & training programmes and are personalised to the research training needs of each individual ESR.

Section 1.4 Strengths:

All participating organisations have clear roles and their responsibilities are precisely defined in the research and training programme.

Synergies between the participating organisations in several networking activities, knowledge exchange through secondments and in supervision are described in good detail / are convincing;

The carefully elaborated intersectoral mobility plan will expose the ESRs to different research environments.

The secondments to non-academic partner organisations are convincingly justified.

Section 1.4 Weaknesses in unfunded ITNs:

- The role of each participating organisation (or some of them) in the research training programme is not clear
- It is unclear how the participants have complementary expertise and will utilise this in the programme
- The role of the non-academic organisations is not clear and/or the programme does not fully exploit their potential
- Not every ESR has a secondment to a different sector and/or the secondments are too short to have a meaningful impact (< 1 month)
- The exposure of ESRs is not homogeneous across the consortium – e.g. secondments have different durations, in companies of different sizes -> non-uniform meaningfulness of intersectoral exposure across the ESR cohort.

2. Impact

2.1 *Enhancing the career perspectives and employability of researchers and contribution to their skills development*

In this section, please explain the impact of the research and training on the fellows' careers.

The overall aim is to show a detailed understanding of how the ESR graduates will be employable, where and why.

- ✓ Describe the potential employment sectors that the ESRs might end up working in. Consider both academic and non-academic career opportunities.
- ✓ Present an analysis of how the elements of the programme will make them employable in these sectors, e.g.:
 - Research Training
 - Transferable Skills Training
 - Secondments and/or other opportunities for exposure to other organisations (e.g. networking opportunities)
 - Communication/Dissemination/Public Engagement/Exploitation activities
- ✓ ***Do not repeat how these skills will be delivered, instead focus on the impact of the skills on the ESR's employability***
- ✓ Make a strong link between your programme's elements, the EU policies about researcher careers/employability (EU Policy Box 4), and any sectoral policies referring to a skill gap in the relevant sector.

EU Policy Box 4

✓ **Europe 2020 Flagship Initiative – Agenda for new skills and jobs**

<https://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2010:0682:FIN:en:PDF>

The Agenda presents a set of concrete actions that will help:

1. Stepping up reforms to improve flexibility and security in the labour market ('flexicurity')
2. Equipping people with the right skills for the jobs of today and tomorrow
3. Improving the quality of jobs and ensuring better working conditions
4. Improving the conditions for job creation

Key points relevant to ITN:

- Providing the right mix of skills
- Matching people's skills and job opportunities, and capitalising on Europe's potential jobs
- Enhancing geographical mobility throughout the EU
- Promoting entrepreneurship, self-employment and innovation

✓ **Europe 2020 Flagship Initiative – Youth on the Move**

http://europa.eu/youthonthemove/docs/communication/youth-on-the-move_EN.pdf

Youth on the Move is a comprehensive package of policy initiatives on education and employment for young people in Europe. Launched in 2010, it aims to improve young people's education and employability (specific focus on reducing youth unemployment) by:

- Making education and training more relevant to young people's needs;
- Encouraging more of them to take advantage of EU grants to study or train in another country;
- Encouraging EU countries to take measures simplifying the transition from education to work.

Key points relevant to ITN:

- Developing modern education and training systems to deliver key competences and excellence
- Promoting the attractiveness of higher education for the knowledge economy
- Supporting a strong development of transnational learning and employment mobility for young people

Section 2.1 Strengths:

The research and training programme / network will highly enhance the ESRs' career perspectives in multiple sectors.

It is clearly articulated how the ESRs will be highly employable upon graduation, potential future employers are named.

Section 2.1 Weaknesses in unfunded ITNs:

- Proposal does not sufficiently describe the impact of the programme on the ESRs' career opportunities
- No mention of potential for careers outside of academia and how the programme will help them develop the required skills and explore these opportunities
- Poor description of the effect of transferable skills training on the ESRs' career perspectives
- No justification of how the potential career opportunities are linked to current and future labour market needs.

2.2 Contribution to structuring doctoral/early-stage research training at the European level and to strengthening European innovation capacity, including the potential for:

Divide into three (ETN/EID) or four (EJD) sub-headings.

EU Policy Box 5

- ✓ **The Principles for Innovative Doctoral Training** (see Policy Box 3)
- ✓ **Erasmus Mundus Handbook of Excellence – Doctoral Programmes**
https://eacea.ec.europa.eu/sites/eacea-site/files/handbook_of_excellence_2012_doctoral_en.pdf

Prepared via the Erasmus Mundus Quality Assessment Process, this document's Annex A provides a useful overview of the research and policy literature that provide a background to EU policies on doctoral/research education as part of the Bologna process. The following statements in the Annex will be useful for this section, in particular:

- Quote from the Bucharest Communiqué: *“Study programmes must reflect changing research priorities and emerging disciplines, and research should underpin teaching and learning. In this respect, we will sustain a diversity of doctoral programmes. Taking into account the Salzburg II recommendations and the Principles for Innovative Doctoral Training, we will explore how to promote quality, transparency, employability and mobility in the third cycle, as the education and training of doctoral candidates has a particular role in bridging the European Higher Education Area (EHEA) and the European Research Area (ERA).”*
- *In just over a decade, the EHEA has made significant progress in creating a more “European” doctorate, which takes doctoral programmes beyond mono-disciplinary and single-institution silos, into a multi-disciplinary and collaborative activity that is focused not just on local and national goals, but those of Europe positioning itself in the competitive global higher education environment.*

Continue →

Good Practice Elements in Doctoral Training

<https://www.leru.org/files/Good-Practice-Elements-in-Doctoral-Training-Full-paper.pdf>

LERU, the League of European Research Universities, published this guide in 2014. It provides examples of good practice elements in doctoral training at LERU member organisations across four areas:

- Professional development for researchers as now done through formal workshop-style professional development sessions to develop skills which can then be put to use in research and will be valuable in future careers. Examples of good practice at LERU universities under this first category are given under the heading of ‘formal research training’.
- The section on ‘career development’ provides examples of activities at LERU universities to promote awareness of both academic and non-academic careers that are open to doctoral graduates, highlighting in particular some areas that are less well known to our candidates.
- The category ‘concepts and structures’ describes some of the innovative structures that LERU universities have developed for managing and promoting innovation in doctoral programmes, particularly for providing international and interdisciplinary exposure.

These good practice examples could be used as “inspiration” for ITN activities, which could be linked back to the good practice guide in the Impact section, e.g., “The ESRs in our ITN will have the opportunity to explore academic and non-academic careers, in line with the LERU Good Practice Elements in Doctoral Training”.

a) Meaningful contribution of the non-academic sector to the doctoral / research training (as appropriate to the implementation mode and research field)

- ✓ Demonstrate how the exposure of ALL the fellows to the non-academic sector is meaningful, i.e. it has sufficient duration and content to ensure a) the employability of the trained fellows in the non-academic sector and b) excellence and impact of the research training.
- ✓ Explain how the contribution of your non-academic sector participants to this particular programme is essential to improving inter-sectoral collaboration in research training in this area.

EU Policy Box 6

- ✓ **The Principles for Innovative Doctoral Training** (see Policy Box 3)
- ✓ **Erasmus Mundus Handbook of Excellence – Doctoral Programmes** (see Policy Box 5)
- ✓ **Good Practice Elements in Doctoral Training** (see Policy Box 5)

Several relevant policy documents can be found at this link: <https://euraxess.ec.europa.eu/useful-information/policy-library>

Some recommendations relevant to ITN applications are:

1. Developing **joint training programmes** to better address future employers' needs, including developing doctoral programmes **in partnerships** with the business community;
2. Preparing early stage researchers for a **career in both sectors**, including developing **entrepreneurial skills**. Recognising merits by adding to the diploma a record of courses taken and experience acquired;
3. Providing **supervision quality insurance**, in particular for early stage researchers. Researchers should be followed by two supervisors with adequate training, **one from each sector**;
4. Increasing **inter-sector mobility possibilities** for both early stage and established researchers.

✓ **Collaborative Doctoral Education: University-Industry Partnerships for Enhancing Knowledge Exchange.**
https://www.idea-phd.net/images/doc-pdf/Managing_Developing/DOC-CAREERS.pdf.

✓ In this report, the European University Association (EUA) in "Collaborative Doctoral Education: University-Industry Partnerships for Enhancing Knowledge Exchange" presents the findings of the project "DOC-CAREERS: From Innovative Doctoral Education to Enhanced Career Opportunities".

A number of comments in this document are relevant to the **European Industrial Doctorate (EID)**, in particular:

- Collaborative Doctoral Programmes involving industry and university are a good vehicle to enhance knowledge transfer, intersectoral mobility and mutual understanding. Doctoral programmes enable companies to take part in researchers' education and training, exposing them to environments which will allow candidates to acquire skills relevant to the business world in addition to those relevant to the academic world.
- Collaborative Doctoral Projects are doctoral theses carried out with interaction between a university, a company and a doctoral candidate. A distinctive characteristic is that industry experts take part in the supervisory committee. Industry can play several roles, but being in the supervisory committee is what effectively reflects the specific nature of the collaborative doctoral project.
- Structured industry placements (periods of internship of doctoral candidates in business premises where they have the opportunity to perform their research while experiencing the "life" of the company) are seen as one of the most important contributions that an industry can offer to the education of a doctorate holder wishing to gain insight into the business world (e.g. from using business labs and participating in business meetings to having lunch in the canteen).
- Main outcomes in terms of qualifications of doctorate holders are that they gain an understanding of the role of research beyond the academic world and hence they are better prepared for employment in industry and for establishing better links with it if employed elsewhere.
- Companies regard collaborative doctoral programmes as a genuine part of developing stronger relations with universities and may perceive that doctorate holders educated between and by the two worlds are better prepared to fit in corporate positions than doctorate holders educated exclusively in a university environment.
- Benefits to doctoral graduates of participating in a collaborative doctoral programme:
 1. Broader employment perspectives for doctoral graduates, especially outside academic environments.
 2. Better awareness of the broader employability opportunities for doctorate holders
 3. Understanding the industry research environment
 4. Embedding industrial mindset as well as university mindset in his/her education
 5. Able to deal easily with the two worlds because of better understanding
 6. Those who follow a subsequent academic career path can inform academic curricula development
 7. Improving the ESR's CV: when looking for employment, doctorate holders take with them the good reputation of the scheme that funded their research and/or the name of the company and university in which they worked.

b) Developing sustainable (= lasting) joint doctoral degree structures (for EJD only)

- ✓ A key policy goal in this area is overcoming differences/fragmentation in doctoral training across Europe – bringing a degree of consistency, as described in the Erasmus Mundus Joint Doctorate Handbook (see Policy box 5).
- ✓ The harmonisation of institutional processes involved in developing joint degrees will help to bring consistency to the doctoral experience across Europe.
- ✓ Explain how your EJD will help with developing the consistency of the doctoral experience – unified selection, recruitment, monitoring, awarding processes etc.
- ✓ Explain how you will continue the joint degree process in the consortium after the EJD is over.

Also, **we suggest to add** the two following sub-headlines:

- c) Contribution to structuring doctoral/early-stage research training at the European level
- ✓ There are two agreed set of “rules” for doctoral/research programme elements: [Salzburg II Recommendations](#) & [Principles for Innovative Doctoral Training](#), which derives from the Salzburg II Recommendations.
 - ✓ Explain how your programme adheres to those “rules” – i.e. take the seven Principles for Innovative Doctoral Training and explain how your ITN incorporates each of those Principles.
 - ✓ Explain how your programme will help the further development and spreading of best practice in European collaborative research training programmes
 - ✓ Describe how you will continue the programme after the ITN is over e.g. seeking further funding or at a minimum informally continuing the collaboration.
- d) Strengthening European innovation capacity
- ✓ Explain how the research programme and the ESR’s work (including dissemination/exploitation/communication/outreach activities) will contribute to Europe’s economy and/or society.
 - ✓ Explain how the research and training programme will help bringing ideas to market. The role of the participants from the non-academic sector in this respect should be described, either in terms of research commercialisation, training in entrepreneurship/tech transfer to the fellows, etc.
 - ✓ Expand on link to EU research/policy goals e.g. Horizon 2020 Societal Challenges or Industrial Leadership Pillar, Research Roadmaps, EU sectoral policies.
 - ✓ If your programme builds on an existing ITN, COST Action or other funded project, explain how it does so, making it very clear that you are proposing to go beyond the work already funded by those projects.
 - ✓ Could your research contribute to the development of a new European Standard? If yes, describe this briefly here and explain the details in Section 2.3 under ‘Exploitation’. See <http://www.cencenelec.eu/research/Pages/default.aspx> for details of European standardisation under Horizon 2020.
 - ✓ Recall that ideally 35% of the H2020 budget will be spent on climate action and 60% on sustainable development. Can you make a realistic link to either or both of those areas?

EU Policy Box 7

✓ Europe 2020 Flagship Initiative – Innovation Union

http://ec.europa.eu/research/innovation-union/index_en.cfm?pg=action-points

The Innovation Union (IU) outlines over 30 action points with the aim to do three things:

1. Make Europe into a world-class science performer;
2. Remove obstacles to innovation – like expensive patenting, market fragmentation, slow standard-setting and skills shortages – which currently prevent ideas getting quickly to market; and
3. Revolutionise the way public and private sectors work together, notably through Innovation Partnerships between the European institutions, national and regional authorities and business.

The 30 IU commitments are broken down into chapters:

1. Promoting excellence in education and skills development
2. Delivering the European Research Area
3. Focusing EU funding instruments on Innovation Union priorities
4. Promoting the European Institute of Innovation and Technology (EIT) as a model of innovation governance in Europe
5. Enhancing access to finance for innovative companies
6. Creating a single innovation market
7. Promoting openness and capitalising on Europe's creative potential
8. Spreading the benefits of innovation across the Union
9. Increasing social benefits
10. Pooling forces to achieve breakthroughs: European Innovation Partnerships
11. Leveraging our policies externally
12. Reforming research and innovation systems
13. Measuring Progress

It is clear that all commitments relevant to Horizon 2020 have been incorporated into the Horizon 2020 programme.

Specific IU Commitments which appear particularly relevant to ITN applications are:

- #1: Member States should have strategies in place to **train enough researchers** to meet their national R&D targets and to promote attractive employment conditions in public research institutions.
- #2: The Commission will also support business-academia collaborations through the creation of "**Knowledge Alliances**" **between education and business** to develop new curricula addressing innovation skills gaps (see also commitment 3 on e-skills). They will help universities to modernise towards **inter-disciplinarity, entrepreneurship and stronger business partnerships**.
- #7: The Commission will design future EU research and innovation programmes to ensure simple access and **stronger involvement of SMEs**, in particular those with a high growth potential.
- #20: The Commission will promote **open access** to the results of publicly funded research. It will aim to make open access to publications the general principle for projects funded by the EU research Framework Programmes. The Commission will also support the development of smart research information services that are fully searchable and allow results from research projects to be easily accessed.

Section 2.2 Strengths:

The proposal clearly contributes to strengthening the European innovation capacity and relevant policy is mentioned.

The contributions of the non-academic organisations are significant, meaningful and appropriately demonstrated.

Section 2.2 Weaknesses in unfunded ITNs:

- Comments on how the proposed programme will structure doctoral/early stage research training in Europe are missing
- Potential synergies with other doctoral/research training programmes (at EU or national level) are not described
- The role of the non-academic sector in the training programme is limited, limiting the impact of the programme to structuring training at EU level.
- Comments on the lasting impact of the ITN (continuation after completion of the programme) are missing.
- The contribution of the non-academic sector to the doctoral training is not described in sufficient detail (especially for EID).
- No/weak description of how the cohort of ESRs trained via the programme will have potential to enhance Europe's innovation capacity and competitiveness.
- The proposal does not address measures to promote Europe as an attractive research destination.
- No/weak mention of how the research programme will impact on Europe's innovation capacity.
- The relationship to the basic science being proposed in the programme to the "real world" problems of the H2020 Societal Challenges is poorly justified (also relevant to 1.1.1).

2.3 Quality of the proposed measures to exploit and disseminate the results

Note that the following section of the European Charter for Researchers refers specifically to dissemination

Dissemination, Exploitation of Results:

All researchers should ensure, in compliance with their contractual arrangements, that the results of their research are disseminated and exploited, e.g. communicated, transferred into other research settings or, if appropriate, commercialised. Senior researchers, in particular, are expected to take a lead in ensuring that research is fruitful and that results are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises.

Before writing discuss with all beneficiaries about their own dissemination and exploitation channels/mechanisms.

Remember that Horizon 2020 is about bringing research “closer to the user”, so activities in Section 2.3 and 2.4 must target a broader audience than just your peers in your own research area.

Guidance on Dissemination and Exploitation can be found at

http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management/dissemination-of-results_en.htm

EU Policy Box 8

✓ **ERA Communication 2012**

https://ec.europa.eu/research/science-society/document_library/pdf_06/era-communication-partnership-excellence-growth_en.pdf

This document refocuses the European Research Area policy into five key priorities:

1. More effective national research systems
2. Optimal **transnational co-operation and competition** (On common research agendas, grand challenges and infrastructures)
3. An open labour market for researchers (Facilitating **mobility**, supporting **training** and ensuring **attractive careers**)
4. **Gender** equality and gender mainstreaming in research (Encouraging gender diversity to foster science excellence and relevance)
5. Optimal circulation and transfer of scientific knowledge (To guarantee access to and uptake of knowledge by all)

Point 5 is essentially about **open access** to research publications and research data and is particularly relevant to sections 2.3 (Dissemination & Exploitation) and 2.4 (Communication & Public Engagement) of the proposal. A commitment to open access on behalf of all participants in the ITN (after any necessary procedure to protect Intellectual Property) is required, as per Article 29.2 of the Annotated Model Grant Agreement (AMGA). Open access to publications (green or gold model) is acceptable, and open access to research data through the Open Research Data Pilot would be additive. Further information can be obtained at this link: <https://www.openaire.eu/ec-policies-and-mandates>

Required sub-headings:

2.3.1. Dissemination of the research results

- ✓ In Horizon 2020, **dissemination** is **sharing research results** with potential users - peers in the research field, industry, other commercial players and policymakers.
- ✓ Describe in detail what activities you will organise and participate in to disseminate the research results to this audience.
 - For STEM, state to which target specialist journals resultant publications will be submitted and how many articles each ESR will aim to produce. Be ambitious in defining the target journals (high impact factors!), but realistic.
 - For AHSS, define an ambitious set of publications and assign targets to each of those.
 - Describe which conferences the ESRs will attend or organise, present at, and how often.
 - Describe activities targeted to other potential users e.g. attending trade shows to engage with industry, organising workshops for clinicians in healthcare-related projects, workshops for NGOs, etc.
 - If you will participate in the Horizon 2020 Open Data Pilot, describe the potential impact of sharing your research data openly. See http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/open-access-dissemination_en.htm for more details.
- ✓ Remember that this is the Impact section. Describe the potential impact of disseminating to these audiences – it might be a different impact for each audience type.

2.3.2 Exploitation of results and intellectual property

- ✓ In Horizon 2020, **exploitation** is **using results** for commercial purposes or in public policymaking. There's a close link between dissemination and exploitation. Dissemination feeds into exploitation.
- ✓ Depending on the type of research area, the research results might be useful to business, to policymakers/society or to both.
- ✓ If the results are useful to business:
 - How have you decided to “allocate” IP in your consortium? The Model Grant Agreement outlines for the “MSCA rules” for IP. A simplified explanation is given in a [short booklet offered by the IPR Helpdesk](#).
 - Where relevant, remember that the results can and should be widely disseminated AFTER IP protection has taken place. Seek advice from your Technology Transfer Office on these matters.
 - Outline plans to exploit any IP/commercial potential arising from the programme. Briefly describe the role of any Technology Transfer Office or similar in helping you to commercialise the results.
 - Remember that this is the Impact section. Describe the potential impact of exploiting the commercial potential of the research results.
- ✓ If the results are useful to policymakers/the wider society:
 - Outline what activities you will engage in to ensure that relevant policymakers/societal actors (community or voluntary sector) etc. will be informed about the research results. E.g. could you organise a special workshop or information event? For **health-related projects**, it is advisable to include patient groups in your plans.
 - Remember that this is the Impact section. Describe the potential impact of disseminating the research results to this audience.

2.4 Quality of the proposed measures to communicate the activities to different target audiences

Before writing discuss with all beneficiaries about their own communication and public engagement channels/mechanisms. In Horizon 2020, **Communication** means **promoting the programme and its results** to multiple audiences (including the media and the public) in a strategic and effective manner. For more details see https://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management/communication_en.htm

Note that the following section of the European Charter for Researchers refers specifically to public engagement

The following section of the European Charter for Researchers refers specifically to public engagement

Public Engagement

Researchers should ensure that their research activities are made known to society at large in such a way that they can be understood by non-specialists, thereby improving the public's understanding of science. Direct engagement with the public will help researchers to better understand public interest in priorities for science and technology and also the public's concerns.

- ✓ **Communication** is one-way from sender to receiver e.g. an article in a newspaper or on TV or radio.
 - Describe the activities the consortium will perform to ensure media coverage about the programme and its results e.g. press releases to newspapers, feature articles in magazines, articles on social media. Is there any potential to have the programme featured on local/national TV or radio in any of the countries in the consortium?
 - Explain who will help you with seeking media coverage e.g. Communications Office/Officer.
 - Remember that this is the Impact section. Describe the potential impact of getting media coverage of the activities of the programme.
- ✓ **Public engagement** is meant to engage a large audience and/or two-way from sender to receiver, and to bring knowledge and expertise on a particular topic to the general public.
 - Describe what activities the consortium will perform to engage the **general public** about the activities of the ITN.
 - Plan a range of **face-to-face activities** (e.g. school visits, lab “open days”, public talks, science festivals) targeted at multiple audiences.
 - Talk to experts at your institution. See what local/national activities you can join in. Activities need to take place across the whole consortium, so ask your consortium participants for information on what activities they have in their organisation/region/country.
 - If applicable, explain who will help you with public engagement activities e.g. Education/Outreach Officer.
 - Remember that this is the Impact section. Describe the potential impact of engaging the public in the activities of the programme.

Required sub-heading:

2.4.1 Communication and public engagement strategy

Concrete plans for sections 2.3 and 2.4 must be included in the corresponding implementation tables

That means that the 2.3 and 2.4 details must match that in the work package tables in Section 3.1.

- ✓ Include quantifiable targets for measuring the effectiveness of dissemination, exploitation, communication and public engagement activities
- ✓ Include targets in terms of number of publications/year/ESR, number of international conferences/year/ESR, etc. for all deliverables.

Section 2.3 & 2.4 Strengths:

2.3: The proposed dissemination strategy is appropriately planned for each ESR, sound and well balanced.

A variety of measures to disseminate the project results is presented. Open access is addressed.

Relevant IPR issues are very well considered and the exploitation strategy of the project's results is of high quality.

2.4: All ESRs are expected to play an active role in social media communication on the project's research and training activities.

A high quality communication and engagement strategy to different target audiences, including future ESR employers, is presented. Relevant metrics are provided.

Section 2.3 & 2.4 Weaknesses in unfunded ITNs:

- Lack of detail on external communication/dissemination methods
- Unclear how communication/dissemination activities will be advertised to potential participants
- Poorly defined/lack of public engagement strategy
- Dissemination focuses on communicating with other researchers – there is no mention of other stakeholders such as e.g. policy makers, politicians, NGOs, private companies, public bodies
- Lack of dissemination/exploitation/communication/public engagement targets
- Lack of detail on the goals and potential impact of exploiting the results of the project for societal/economic benefits (including exploiting any IP)
- Insufficient details on how impact of dissemination/communication activities will be measured (for instance, how many people will attend certain events)
- Dissemination/public engagement events are poorly timed and/or only occurring in the country of the Coordinator – all countries/participants must have a role

3. Quality and Efficiency of the Implementation

3.1 Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks and resources (including awarding of the doctoral degrees for EID and EJD projects)

- ✓ Use Table 3.1a to describe the Work Packages (WPs)
- ✓ Typical to include 3 -4 Research WPs (matching the description in Section 1.1)
- ✓ Also include non-research Work Packages:
 - Management WP
 - Training WP
 - Dissemination/Exploitation/Communication/Public Engagement WP

Required sub-headings:

- 3.1 Work Packages description (please include table 3.1a);
- 3.2 List of major deliverables (please include table 3.1b, including the awarding of doctoral degrees, where applicable)
- 3.3 List of major milestones (please include table 3.1c)
- 3.4 Fellow's individual projects including secondment plan (please include table 3.1d)
- 3.5 EID specific requirements: for EID proposals, an additional table should be completed in part B2.

Note - Due date: The schedule should indicate the **number of months** elapsed from the start of the action (Month 1).

Table 3.1 a Description of Work Packages

| | | |
|---|--|--------------------------------|
| WP Number | | Start Month – End Month |
| WP Title | <i>(e.g. including Research, Training, Management, Communication and Dissemination...)</i> | |
| Lead Beneficiary | | |
| Objectives | | |
| Description of Work and Role of Specific Beneficiaries / Partner Organisations <i>(possibly broken down into tasks), indicating lead participant and role of other participants</i> | | |
| <p><i>Description of Work: Break down each WP into several Tasks (3-6 is typical). Here you can provide details on the methodologies that were not described in Section 1.1.</i></p> <p><i>Task 1</i> <i>Task 2</i> <i>Task 3</i></p> <p><i>Role: Use org short names from Participants Table to indicate which org(s) are responsible for each Task</i> <i>Indicate timescales for the Tasks (in months elapsed from the start of the project) e.g. M6, M12</i> <i>Ensure everything matches the details given elsewhere in the application.</i></p> | | |
| Description of Deliverables <i>(brief description and month of delivery)</i> | | |

Table 3.1b Deliverables List

A **deliverable** is a distinct output of the project, meaningful in terms of the project’s overall objectives and constituted by a **report, a document, a technical diagram, a software, training content, conference proceedings, etc.** These should be divided into scientific deliverables and management, training, recruitment and dissemination deliverables. Scientific deliverables have technical/scientific content specific to the action. The number of deliverables in a given Work Package must be reasonable and commensurate with the Work Package content. Note that during implementation, **the submission of these deliverables to the REA will be a contractual obligation.**

Keep the number of Deliverables to a minimum. Remember you will have to actually deliver each Deliverable if the project is funded and implemented, and too many Deliverables will make the administrative workload very high. **Deliverables would be submitted to the REA Project Officer in PDF format**, so ensure that it would be feasible to package your Deliverables in this way.

Example

A poor-quality Deliverable would be: Dx.x Dissemination and Communication Activities (Month 8-Month 44). This Deliverable is poor because a) it is not clear that this could be feasibly packaged in PDF format for submission to the Project Officer and b) it has a broad range of delivery dates, making it impossible to discern when it will actually be delivered – at M8 or M44 or monthly between M8 and M44?

A high-quality Deliverable would be: Dx.x Report on Dissemination and Communication Activities (Month 20, Month 46). This is clearly feasible to send to the Project Officer in PDF format and has two fixed delivery dates at regular intervals during the project lifetime.

Table 3.1b Deliverables List

| <i>Scientific Deliverables</i> | | | | | | |
|---|-------------------|--------|-----------------------------|---|--|----------|
| Deliverable Number | Deliverable Title | WP No. | Lead Beneficiary Short Name | Type | Dissemination Level | Due Date |
| Use the convention Dx.y where x is the Work Package number and y is the deliverable number, e.g. D1.1; D1.2 | | | | To indicate the nature of the deliverable, use one of the following codes: R = Report; ADM = Administrative dissemination and/or exploitation; PDE = dissemination and/or exploitation; OTHER. | PU = Public: fully open, e.g. web; CO = Confidential: restricted to consortium, other designated entities (as appropriate) and Commission services | |
| <i>Management, Training, Recruitment and Dissemination Deliverables</i> | | | | | | |
| Deliverable Number | Deliverable Title | WP No. | Lead Beneficiary Short Name | Type | Dissemination Level | Due Date |
| | | | | | | |

Table 3.1c Milestones List

Milestones are control points in the action that help to chart progress. Milestones may correspond to the completion of a key deliverable, allowing the next phase of the work to begin. They may also be needed at intermediary points so that, if problems have arisen, corrective measures can be taken. A milestone may be a critical decision point in the project where, for example, the consortium must decide which of several technologies to adopt for further development.

Note that, if the proposal is successful, two mandatory milestones will be added during the Grant Agreement preparation:

- Mid-Term meeting between REA and the consortium, due at month 13-15: the presence of all beneficiaries (scientists-in-charge and recruited researchers) and partner organisations is expected. A best practice is to combine this meeting with other project events as appropriate.
- Recruitment process completed, due at month 12.

For EID and EJD projects, specific milestones may also be added (PhD enrolment for all recruited researchers, Agreement to deliver the joint/double/multiple PhD).

Milestones are major checkpoints for measuring progress e.g. all ESRs recruited, completion of training programme, delivery of doctoral degrees, organization of a conference. Also, there must be some research milestones – major points in the work which need to be reached before further progress can be made.

Tip: You should have more Deliverables than Milestones. 6 or 8 Milestones covering major achievements in the lifetime of the project is sufficient. **The proposal should be checked for consistency throughout.**

Table 3.1 c Milestones list

| Number | Title | Related Work Package(s) | Lead Beneficiary | Due Date | Means of Verification |
|---|-------|-------------------------|------------------|--|--|
| Use the convention Mx.y where x is the Work Package number and y is the deliverable number, e.g. M1.2 | | | | Measured in months from the action start date (month 1). | Show how the consortium will confirm that the milestone has been attained. Refer to indicators if appropriate. |

Table 3.1d Individual Research Projects

If applicable and relevant, linkages between the individual research projects and the work packages should be summarised here (one table /fellow).

| Fellow (e.g. ESR1) | Host institution | PhD enrolment (Y/N) | Start date (e.g. Month 6) | Duration (e.g. 36 months) | Deliverables (refer to numbers in table 3.1b) |
|--|------------------|---------------------|---------------------------|---------------------------|---|
| Project Title and Work Package(s) to which it is related: | | | | | |
| Objectives: | | | | | |
| Expected Results: | | | | | |
| Planned secondment(s): <i>Host, supervisor, timing, length and purpose</i> | | | | | |
| Enrolment in Doctoral degree(s): EJD specific: institutions where the ESR will be enrolled to obtain a joint/double or multiple doctoral degree should be included EID specific: institution where the ESR will be enrolled to obtain a doctoral degree should be included ETN if applicable: institution where the ESR will be enrolled to obtain a doctoral degree should be included | | | | | |

Section 3.1 Strengths:

The work plan is detailed, excellent, coherent, well-conceived, fully credible, and precisely structured around highly relevant work packages. The allocation of tasks and resources is fully adequate.

Deliverables and milestones lists are well presented / clearly described and appropriate / formulated and they will be useful for project monitoring / comprehensive and very professionally prepared and will ensure an effective work-flow / due dates are reported and consistent with project activities.

The individual research projects are very well detailed / clearly outlined / integrated into the relevant work packages and all have clear objectives, relevant tasks and carefully planned ESRs' secondments.

Section 3.1 Weaknesses in unfunded ITNs:

- WPs are only about research, with no WPs for management, dissemination/communication, training etc.
- The content of the WPs is poorly described (lack of detail on methodology)
- The descriptions of the Individual ESR projects (all or some of them) are lacking in detail – cannot understand precisely what they will do
- The reason behind the allocation of some ESRs to certain WPs is unclear
- Details of secondments are unclear. Some secondments exceed the 30% limit
- Deliverables are poorly defined and do not provide an effective means for monitoring the outputs of the programme
- Project is poorly timed, with some deliverables occurring too late or too early in the process
- Milestones for assessing the quality of the Individual Research Projects are missing (related to quality management)
- Coordinator leading too many WPs (capacity issue)

3.2 Appropriateness of the management structures and procedures, including quality management and risk management (with a mandatory joint governing structure for EID and EJD projects)

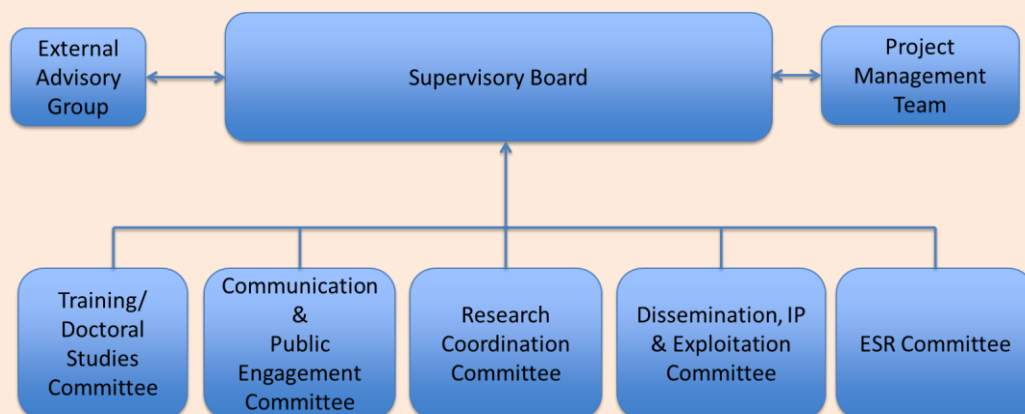
Quote from Erasmus Mundus Handbook of Excellence – Doctoral Programmes: “We ensure our participants can work together to provide coherent and comprehensive support for our programme in the areas of management, finance and administrative support. We will formalise the partnership through a Consortium Agreement, and understand how we will deal with IPR issues. ESRs will be provided with an employment contract. When all is in place, we will market the programme professionally.”

Coherent management is the aim here. **Consult Chapter 4 of the Erasmus Mundus document to assist with writing Section 3.2 (See EU Policy Box 5).**

Required sub-headings:

3.2.1 Network organisation and management structure, including financial management strategy, strategy for dealing with scientific misconduct

- ✓ Manage the programme via a series of **gender-balanced** committees:
- ✓ A **Supervisory Board** is essential. All beneficiaries and POs represented, plus at least one ESR representative (consider rotating representation among all ESRs). This is the main decision-making body.
- ✓ Suggested Management Structure (this can be simpler for a smaller project such as a two-beneficiary EID):



- ✓ Describe each Committee (composition and role). Gender balance is very important (no more than 40% of either gender on each).
- ✓ Explain decision making processes (e.g. majority rules) and conflict resolution strategy.
- ✓ Describe the use of the Consortium Agreement and what that will cover – a good sample specifically for MSCA is available from the LERU website (<https://www.leru.org/files/LERU-template-for-MSCA-ITN-ETN.pdf>).
- ✓ Describe the financial management strategy – resource planning and allocation of finances. Ensure it is clear that the financial resources are allocated transparently and efficiently across the consortium so that the money is linked to the delivery of the programme.
- ✓ Where doctoral degrees in participating organisations require 4 years, if possible, do state where you will find the additional funds for the additional year: evaluators are specifically instructed by REA to reward this proactivity with extra points, and to not penalise proposals that don't.
- ✓ Strategy for dealing with Scientific Misconduct. What would you do if an ESR accused another of Falsification, Fabrication or Plagiarism? What processes are in place in the participants to deal with misconduct? State that the consortium will abide by the European Code of Conduct for Research Integrity. **Note: do not overstress the likelihood of this risk by including it in the risk table.**
- ✓ Describe the internal communications strategy to keep the consortium and the ESRs in regular contact e.g. intranet or other document repository, regular face-to-face and/or virtual meetings.

3.2.2 Joint governing structure (mandatory for EID and EJD projects)

- ✓ Describe the structures that will be put in place to oversee the doctoral programme and ensure quality control, making sure that the various administrative units across the participants with responsibility for doctoral programmes are working in a coherent and coordinated manner.
- ✓ The Doctoral Studies Committee in the management structure could include a representative from the Graduate Studies Office or equivalent.
- ✓ One issue to specifically address is that of mutual recognition – it is important that research training done at participant A is recognised by participant B for the purposes of earning a doctoral degree.

3.2.3 For EJD, joint admission, selection, supervision, monitoring and assessment procedures

- ✓ Admission, Selection, Supervision, Monitoring & Assessment should be coherent across the consortium. As far as possible, the same procedures should be applied to each ESR.
- ✓ For example, in terms of monitoring, University A requires a yearly report, University B requires a quarterly report. Will the ESR have to do both?
- ✓ For example, in terms of assessment: University A does a closed *viva voce*, University B does an open thesis defence. For a joint/multiple degree, will the ESR have to do both?

3.2.4 Supervisory board

3.2.5 Recruitment strategy

The following sections of the European Code of Conduct for the recruitment of the researchers refer specifically to recruitment and selection:

Recruitment

Employers and/or funders should establish recruitment procedures which are open, efficient, transparent, supportive and internationally comparable, as well as tailored to the type of positions advertised.

Advertisements should give a broad description of knowledge and competencies required, and should not be so specialised as to discourage suitable applicants. Employers should include a description of the working conditions and entitlements, including career development prospects. Moreover, the time allowed between the advertisement of the vacancy or the call for applications and the deadline for reply should be realistic.

Selection

Selection committees should bring together diverse expertise and competences and should have an adequate gender balance and, where appropriate and feasible, include members from different sectors (academic and non-academic, and disciplines, including from other countries and with relevant experience to assess the candidate. Whenever possible, a wide range of selection practices should be used, such as external expert assessment and face-to-face interviews. Members of selection panels should be adequately trained.

- ✓ Centralised recruitment is best. Describe the application process, applicant requirements, composition of selection committees, decision making/selection process. Use [EURAXESS Jobs and funding portal](#) to advertise. Explain employment conditions (employment contracts with full social security benefits are mandatory unless prevented by national legislation).

3.2.6 Progress monitoring and evaluation of individual projects

- ✓ Individual Projects: Link back to 1.3 Supervision, particularly on monitoring of Personal Career Development Plans. Focus on timings and structures here (individual SCs feedback back into oversight committee – Training/Doctoral Studies Committee in the suggested management structure above).
- ✓ Address the issue of overall quality assurance – will there be external review/monitoring of the ITN by an independent panel/external advisory group?

3.2.7 Risk management at consortium level (including table 3.2a)

- ✓ Include a list incorporating research risks and project management risks. Describe practical mitigation and contingency plans for both.

Table 3.2a Implementation Risks

| Risk No. | Description of Risk | WP Number | Proposed mitigation measures |
|----------|---------------------------|-----------|------------------------------|
| R1 | e.g. Delay in recruitment | WP x | |

3.2.8 Intellectual Property Rights (IPR)

- ✓ Describe how the rules for IP across the consortium will be set down in the Consortium Agreement. Explain how you will monitor the creation of any IP, how you will exploit it and who in your institution will help with this e.g. Technology Transfer Office. Adhere to the IP rules in the MSCA Grant Agreement – summarised in a booklet from the IPR helpdesk.
- ✓ Mention joint IP and how you will deal with it.

3.2.9 Gender aspects (both at the level of recruitment and that of decision-making within the action)

- ✓ Describe how you will recruit a gender balanced mix of ESRs e.g. targeted advertising to women-in-science groups (name any relevant to your research area, e.g. IEEE Women in Engineering, plus multi-disciplinary groups such as the European Platform of Women Scientists), more proactive measures such as adding gender as a ranking criterion in the selection process, etc.
- ✓ Describe how your management committees are gender balanced.

3.2.10 Data management plan (see page 26 of the GfA regarding Open Access and Open Data under Horizon 2020 as well as Article 29.3 of the AMGA)

- ✓ From page 26 of the Guide for Applicants:
“Open Access to research data: beneficiaries will engage in research data sharing by default (extended Open Research Data Pilot), as stipulated under Article 29.3 of the Horizon 2020 Model Grant Agreement (including the creation of a Data Management Plan). Participants may, however, opt out of these arrangements, both before and after the signature of the Grant Agreement under the conditions described in Annex L of the Work Programme. Note that information related to Open Research Data provided in the proposal will not be subject to evaluation. In other words, proposals will not be evaluated negatively because they opt-out of the data sharing.”
- ✓ Information on the Data Management Plan and the Open Research Data pilot can be found in the Horizon 2020 Online Manual.
- ✓ Describe who will be responsible for preparing and maintaining the Data Management Plan – be sure to add the DMP as a Deliverable in Section 3.2

Section 3.2 Strengths:

The network organisation, management structures and procedures are described to a very good level of detail / well considered and appropriate.

The overall network organisation and management structure, along with the financial management procedures are convincingly described. The management tasks and accountability are clearly specified. Project monitoring will be effective.

The joint governing structure for the supervisors level, project team and management support team is clearly presented. The role of the supervisory board and its composition are clearly defined.

The management plan for ESR recruitment is very well planned / elaborated. Gender issues are taken into account.

The progress monitoring and evaluation of ESR performance / individual projects will be executed through suitably scheduled meetings and reports.

The risk management is adequately addressed and the mitigation measures are well formulated.

The quality management, IPR and risk management issues are carefully thought out and very convincing.

There is a good gender balance in the management team and among supervisors. It is also well considered in the recruitment strategy.

An appropriate / well described data management plan is included in the proposal.

Section 3.2 Weaknesses in unfunded ITNs:

- Lack of detail on the management structures, the composition is unclear
- Only having one body to manage the entire project (the Supervisory Board). The SB has overall responsibility, but a number of smaller committees and a project management team should feed into the SB.
- Decision making and conflict resolution strategies are not clear
- No ESR representative on the Supervisory Board
- Poor gender balance in management structure
- Quality management is poorly addressed
- Progress monitoring provisions are unclear
- Risk management is poorly addressed (focuses only on research risks, not project implementation risks, or vice versa)
- No clear details of how and when potential IP will be assessed during the programme, and by whom
- Information on the EJD admission and degree awarding processes is unclear
- Details of the recruitment process are insufficient.

3.3 Appropriateness of the infrastructure of the participating organisations

Explain the appropriateness of the infrastructure of each participating organisation, as outlined in Section 5 (Participating Organisations), in light of the tasks allocated to them in the action.

The aim here is to explain who is doing what, and show that they have the necessary infrastructure to do it.

- ✓ Section 5 will include a Capacities Table for each participant.
- ✓ This section should complement Section 5 not duplicate it.
- ✓ Describe how the consortium has the necessary infrastructure (research and administrative) to implement all aspects of the programme (research, training, admin, communications, exploitation etc.).
- ✓ Describe how the consortium provides an excellent environment for hosting and supporting the ESRs, including assisting the ESRs with settling into their new countries and research environments. Specify the use of EURAXESS Services for relocation assistance.
- ✓ Have the organisations endorsed the Charter & Code – if yes, state this.
- ✓ Have the organisations earned the “HR Excellence in Research” logo? If yes, state this and include the logo in the Capacities Table. List of organisations by countries with the “HR Excellence in Research” or HRS4R Acknowledged Institutions are available on EURAXESS portal - <https://euraxess.ec.europa.eu/jobs/hrs4r>

Section 3.3 Strengths:

The infrastructure and equipment of all participating organisations is very good for the execution of the research and training programme / well suited for a successful implementation of the Project / fully corresponds to the needs set out for the successful execution of the project.

Section 3.3 Weaknesses in unfunded ITNs:

- One or all of the organisations has not provided details on the appropriate available infrastructure for the research training programme (especially for secondments at partner organisations).

3.4 Competences, experience and complementarity of the participating organisations and their commitment to the programme

Required sub-headings:

3.4.1 Consortium composition and exploitation of participating organisations' complementarities: explain the compatibility and coherence between the tasks attributed to each beneficiary/partner organisation in the action, including in light of their experience;

- ✓ Explain how the consortium are the best people to implement this programme including:
 - Complementarities/synergies between all participants and how these will be exploited to deliver an excellent programme (use a diagram or table).
 - How their previous experience makes them suitable for their tasks in this programme.

3.4.2 Commitment of beneficiaries and partner organisations to the programme (for partner organisations, please see also sections 5 and 7).

- ✓ Outline the commitment of each participant by showing that they are all highly active in the project – refer to earlier sections.
- ✓ It is vital to highlight strong non-academic sector involvement.

i) Funding of non-associated third countries (if applicable): Only entities from EU Member States, from Horizon 2020 Associated Countries or from countries listed in Annex A of the Work Programme are automatically eligible for EU funding. If one or more of the beneficiaries requesting EU funding is based in a country that is not automatically eligible for such funding, the application shall explain in terms of the objectives of why such funding would be essential. Only in exceptional cases will these organisations receive EU funding.

The same applies for **international organisations** other than IEIO.

We do not recommend including countries not automatically eligible for Horizon 2020 funding as beneficiaries. It is rare that the evaluators will agree that funding is essential. Organisations from these countries can be included as Partner Organisations instead.

Ensure that the content of the Letter of Commitment precisely matches their stated tasks in the programme

ii) Partner organisations: The role of partner organisations and their active contribution to the research and training activities should be described. A letter of commitment shall also be provided in section 7 (included within the PDF file, but outside the page limit).

Section 3.4 Strengths:

Competences, experience and complementarity of the participating organisations are outstanding and also comprehensively described.

The teams have complementary, interdisciplinary expertise at a top European level.

The institutional commitment is convincingly demonstrated and fully supported by appropriate Letters of Commitment from all the involved partner organisations.

Section 3.4 Weaknesses in unfunded ITNs:

- The complementarity between the capabilities of the organisations (in light of their tasks in the programme) has not been made clear.
- Inconsistencies between the stated role of Partner Organisations in the proposal, and the content of their Letter of Commitment.

STOP PAGE COUNT – MAX 30 PAGES (SECTIONS 1-3)

DOCUMENT 2 (no overall page limit applied)

4. EID specific requirements (for EID only)

For the EID mode the following table should be included indicating for each fellow the time spent in the academic and non-academic sectors confirming that each individual fellow spends at least 50% of their time in the non-academic sector (Check 1) and the mobility between academic and non-academic beneficiaries is international (Check 2). Also indicate the time spent in partner organisations (irrespective of the sector) restricting it to a maximum of 30% of the fellowship duration (Check 3).

| Fellow (e.g. ESR1) | Recruiting institution* | Time spent in Academic beneficiary (ies)** | Time spent in Non-Academic beneficiary (ies)** | Time spent in Non-Academic Partner organisations** | Time spent in Academic partner organisations** | Check 1 | Check 2 | Check 3 |
|--------------------|----------------------------|--|--|--|--|-----------|-------------|-----------|
| ESR1 | University X (Academic BE) | University X (BE) 12 months | Industry Y (UK) 18 months | Industry Z (BE) 3 months | Research Institute A (DE) 3 months | Yes (58%) | Yes (BE-UK) | Yes (17%) |

* - indicate status Academic/Non-academic and country

**-indicate entity name, country, and number of months to be spent

5. Participating Organisations

All organisations (whether beneficiaries or partner organisations) must complete the appropriate table below. Complete one table of maximum one page per beneficiary and half a page per partner organisation (**minimum font size: 8**). Entities with a capital or legal link should be described together with the linked beneficiary.

For **beneficiaries**:

| Beneficiary Legal Name: | |
|--|---|
| <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;"> Include HR Excellence in Research and/or Athena SWAN logo here if applicable </div> <p>General Description</p> | <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;"> Add a general description of the beneficiary and a short description of the actual centre/department/school participating in the action. </div> <p><i>Short description of the activities relevant to the action</i></p> |
| <p>Role and Commitment of key persons (including supervisors)</p> | <p><i>Including names, title and the intended extent of involvement – in the action- <u>percentage of full-time employment</u> - of the key scientific staff who will be involved in the research, training and supervision</i></p> |

| | |
|--|---|
| Key Research Facilities, Infrastructure and Equipment | <i>Outline the key facilities and infrastructure available and demonstrate that each team has sufficient capacity to host and/or offer a suitable environment for supervising the research and training of the recruited Early-Stage Researchers</i> |
| Status of Research premises | <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;"> <p><i>This is relevant to academic spinouts –the company premises should not be the academic laboratory and should not be rented, i.e. they should be independent premises, or the Operational Capacity criterion might not be met</i></p> </div> <p><i>Please explain the status of the beneficiary's research facilities – i.e. are they owned by the beneficiary or rented by it? Are its research premises wholly independent from other beneficiaries and/or partner organisations in the consortium?</i></p> |
| Previous Involvement in Research and Training Programmes, including ITN | <i>Detail any relevant EU, national or international research and training actions/projects in which the beneficiary has previously participated</i> |
| Current Involvement in Research and Training Programmes, including ITN | <i>Detail any relevant EU, national or international research and training actions/projects in which the beneficiary is currently participating</i> |
| Submission of similar proposals under the same H2020-MSCA-ITN-2020 call | <i>Please declare if you have submitted other similar proposals (in terms of participants or research objectives) under the same H2020-MSCA-ITN-2020 call.</i> |
| Relevant Publications and/or Research / Innovation Product | <i>Max. 5</i> |

For partner organisations:

| | |
|---|---|
| Partner Organisation Legal Name: | |
| General description | |
| Key Persons and Expertise | |
| Key Research Facilities, Infrastructure and Equipment | <div style="border: 1px solid black; padding: 5px;"> <p>Please be sure to list all facilities that will be needed by ESRs on secondment at this organisation.</p> </div> |
| Previous and Current Involvement in Research and Training Programmes | <div style="border: 1px solid black; padding: 5px;"> <p>Detail any relevant EU, national or international research and training projects in which the partner is currently participating. Internal research projects (not funded by external sources) can also be included here. Do not leave this blank – it will be penalised.</p> </div> |
| Relevant | <i>Max. 3</i> |

| | |
|---|--|
| <p>Publications and/or Research / Innovation Product</p> | <p>Do not leave this blank. It could be publications, patents, policy interventions, trade secrets, new products (including software) or processes,.....</p> |
|---|--|

6. Ethics Issues

To assist with preparing this section, please consult the “H2020 How to complete your Ethics Self-Assessment” guide at

http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/ethics/h2020_hi_ethics-self-assess_en.pdf and the Ethics section of the Horizon 2020 Online Manual at https://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/ethics_en.htm. If necessary, please consult with the ethics committee and/or data protection officer of your organisation before writing this section.

All research activities in Horizon 2020 must respect fundamental ethics principles, including those reflected in the Charter of Fundamental Rights of the European Union. These principles include the need to ensure the freedom of research and the need to protect the physical and moral integrity of individuals and the welfare of animals.

Ethics is an integral part of research from beginning to end, and ethical compliance is seen as pivotal to achieve research excellence. There is a clear need to make a thorough ethical evaluation from the conceptual stage of the proposal not only to respect the legal framework but also to enhance the quality of the research. Ethical research conduct implies the application of fundamental ethical principles and legislation to scientific research in all possible domains of research.

All proposals considered for funding will be submitted to an Ethics Review procedure. The Ethics Review is the core of the H2020 Ethics Appraisal procedure, which concerns all proposals and actions, and also includes the Ethics Checks that can be initiated during the action implementation.

In this context, please be aware that it is the applicants’ responsibility to identify any potential ethics issues, to handle the ethical aspects of their proposal, and to detail how they plan to address them.

Should the applicant identify any ethics issues when filling in the Ethics issues table in Part A of the proposal, then an ethics self-assessment must be included in part B2 Section 6 (Ethics Issues) of the proposal.

The self-assessment in Part B2 Section 6 must:

1) Describe how the proposal meets the national legal and ethics requirements of the country or countries where the tasks raising ethics issues are to be carried out.

2) Explain in detail how the consortium intends to address the ethics issues raised in the Ethics issues table from part A, in particular as regards:

- Research **objectives** (e.g. study of vulnerable populations, dual use, etc.)
- Research **methodology** (e.g. clinical trials, involvement of children and related consent procedures, protection of any data collected, etc.)
- The potential **impact** of the research (e.g. dual use issues, environmental damage, stigmatisation of particular social groups, political or financial retaliation, benefit-sharing, malevolent use, etc.).

Should the proposal be selected for funding, before the start of an activity raising an ethics issue, each beneficiary must obtain:

- any ethics committee opinion required under national law and
- any notification or authorisation required under national and/or European law for activities raising ethics issues needed for implementing the action tasks in question.

The documents must be kept on file and be submitted upon request by the coordinator to the Agency.

If these documents are not in English, they must be submitted together with an English summary, which shows that the action tasks in question are covered and includes the conclusions of the committee or authority concerned (if available).

For more details, please refer to the “Horizon 2020 How to complete your Ethics Self-Assessment” guide.

7. Letters of Commitment

Please use this section to insert scanned copies of the required **letters of commitment**.

Letters of commitment **from partner organisations** should be on headed paper and signed in order to demonstrate the credibility of the organisation's commitment to the ITN. Please find a specific template for these letters in **Annex 6.a of the GfA**.

You should not include Letters of Commitment from beneficiaries. The exception to this rule is for EJD applications – see below.

Ensure that the content of the Letter of Commitment from Partner Organisations precisely matches their stated tasks in the programme.

For EJD, letters of institutional commitment must also be included from those academic beneficiaries/partner organisations that will award the doctoral degrees. These letters should be signed by an **authorised legal representative** of the organisation in question so as to offer reasonable assurance regarding the commitment to award the joint, double or multiple doctoral degree(s). **A template** for these letters is provided in **Annex 6.b in the GfA** and **must be followed by all academic EJD applicants awarding the doctoral degree(s)**.

Ensure that these Letters of Commitments are signed off by the person authorised to commit the organisation to the joint/double degree. This is typically the Dean of Graduate Studies or equivalent, not the Vice President/Dean of Research.

END PAGE

MARIE SKŁODOWSKA-CURIE ACTIONS

Innovative Training Networks (ITN)

Call: H2020-MSCA-ITN-2020

PART B

“PROPOSAL ACRONYM”

This proposal is to be evaluated as:

[ETN] [EID] [EJD]

[delete as appropriate]