



This project is co-funded by the European Union
and the Republic of Türkiye



Technical Assistance for Turkey in Horizon 2020

Phase-II

EuropeAid/139098/IH/SER/TR

Legal and Financial Aspects of Horizon Europe: Preparing a Proposal for Horizon Europe A Short Step by Step Guide for newcomers in Horizon Europe

Ankara, Türkiye

August 2023

Project ID

Contract no:	TR14C3.2.01-04/001
Contract name:	Technical Assistance for Turkey in Horizon 2020 – Phase II
Commencement date:	07/1/2019
Implementation period:	07/01/2019 – 20/03/2024
Total contracted amount:	4.599.140,00 EUR
Beneficiary Institution:	TÜBİTAK
Contracting Authority:	Ministry of Industry and Technology (MoIT), DG for EU and Foreign Affairs, Directorate of Project Management
Contractor:	IDI-International Development Ireland led Consortium
Project Director:	Konrad Nierubiec
Team Leader:	Odysseas Spyroglou (Team Leader)
Support Team:	Kemal Onur Güngör (SNKE), Nurkız Yapıcı (PC), Uygur Baltacı (PA), Selin Doğrusöz (PO)

Distribution List

For Approval:	TÜBİTAK (ERA) MoIT (CA)
For Information:	EU Delegation to Türkiye

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Document Information Sheet

Project Title:	Technical Assistance for Turkey in Horizon 2020 – Phase II
Reference Number:	EuropeAid/139098/IH/SER/TR
Contract No:	TR14C3.2.01-04/001/Service Contract
Date of Contract Signature:	05/12/2018
Date of Commencement:	07/01/2019
Date of Contract End:	20/03/2024
Country:	Türkiye

	CONTRACTING AUTHORITY	END RECIPIENT OF ASSISTANCE	The CONTRACTOR
NAME	MoIT (Ministry of Industry and Technology, DG for EU and Foreign Affairs, Directorate of Project Management)	TÜBİTAK (Directorate for International Cooperation)	IDI-International Development Ireland
ADDRESS	Mustafa Kemal Mahallesi Dumlupınar Bulvarı (Eskişehir Yolu 7.km) 2151. Cadde NO:154/A Kat:7 06510 Çankaya, Ankara, Türkiye	Tunus Caddesi No:80 06100 Kavaklıdere, Ankara, Türkiye	4 The Courtyard, Carmahall Rd, Sandford, Dublin 18, Ireland
PHONE	T: +90 312 201 69 72	T: +90 312 298 17 50	T: +353 1 293 98 32
FAX	F: +90 312 201 69 53	F: +90 312 427 4024	F: +353 1 633 5797
CONTACT	Mr. Semih Vardar	Mr. Çağrı Yıldırım	Mr. Konrad Nierubiec
E-MAIL	suleyman.alata@sanayi.gov.tr semih.vardar@sanayi.gov.tr umutkerim.saglam@sanayi.gov.tr ali.eser@sanayi.gov.tr	cagri.yildirim@tubitak.gov.tr burak.tiftik@tubitak.gov.tr tarik.sahin@tubitak.gov.tr merve.aydin@tubitak.gov.tr merve.diyar@tubitak.gov.tr burcu.gogus@tubitak.gov.tr	konradn@idi.ie k.gungor@idi.ie n.yapici@idi.ie s.dogruseoz@idi.ie u.baltaci@idi.ie
AUTHORS			Odysseas Spyroglou, Team Leader TH2020 Phase II Project

List of Abbreviations

AI	Artificial Intelligence
APRE	Agency for Promotion of European Research
CA	Consortium Agreement
CCI	Cross Cutting Issues
CoF	Cities of the Future
D	Deliverable
EBN	European Business Innovation Centres Network
EC	European Commission
ECSEL	Electronic Components and Systems for European Leadership JU
EIC	European Innovation Council
ERA	European Research Area
ERC	European Research Council
EU	European Union
EUD	Delegation of the European Union to Türkiye
F&T OP	Funding & Tender Opportunities Portal
FA	Financial Agreement
FP	Framework Programme
GA	Grant Agreement
H2020	Horizon 2020
HE	Horizon Europe
ICT	Information and Communications Technology
IDI	International Development Ireland
IMI	Innovative Medicine Initiative
IMS	Information Multipliers System
IPA	Instrument for Pre-accession Assistance
IPR	Intellectual Property Rights
JPI	Joint Programming Initiative
KE	Key Expert
MoIT	Ministry of Industry and Technology

MSCA	Marie Skłodowska-Curie Actions
NAC	National Aid Coordinator
NCO	National Coordination Office
NCP	National Contact Point
NIS	National Innovation System
NKE	Non-Key Expert
OP	Operational Programme
PCM	Project Cycle Management
PMU	Project Management Unit
PO	Project Officer
QA	Quality Assurance
R&D	Research and Development
R&I	Research and Innovation
RTD	Research and Technological Development
SC	Steering Committee
SCST	Supreme Council of Science and Technology
SMEI	SME Instrument
SMEs	Small and Medium Sized Enterprises
SPO	Senior Programme Officer
SRER	Senior Representative of the End Recipient of Assistance
TA	Technical Assistance
TARAL	Turkish Research Area
TAT	Technical Assistance Team
TC	Training Centre
TEYDEB	Technology and Innovation Funding Programmes Directorate
ToR	Terms of Reference
TTO	Technology Transfer Office
TUBITAK	The Scientific and Technological Research Council of Türkiye
ZSI	The Centre for Social Innovation

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Executive Summary

This guide was prepared as supplementary document to the *TH2020 Legal & Financial Guide of Horizon Europe Projects* published in March 2023. It is a shorter and more concise document to cover **just the preparation phase** of the Horizon Europe proposal – project phase.



It is structured in 7 simple steps that will help you better identify what needs to be done when you are preparing a proposal in Horizon Europe, especially focusing on legal and financial aspects. The 7 steps are in line with the steps a participant must take to join a consortium and submit a proposal under HE:

- **Step 1: Prepare for Horizon Europe**
- **Step 2: Find your call & Express your Interest**
- **Step 3: Create your R&I Profile and legal library**
- **Step 4: Estimate your Average Person-Month Rate**
- **Step 5: Estimate your Resources in Work Breakdown Structure**
- **Step 6: Negotiate and Prepare your budget**
- **Step 7: Other administrative requirements**

This is the short version of the Legal and Financial Aspects in HE. The guide is by no means all inclusive, it focuses on the preparation phase which we consider the most critical and challenging for all new participants.

- **Since we are talking about Legal and Financial Issues, remember that this guide provides only instructions and should not be used as a legal document.**

*Make sure you make the most by using this guide in combination with our **TH2020 Legal & Financial Guide of Horizon Europe Projects** and our **Helpdesk** (<https://th2020.zendesk.com/hc/en-us>).*

Introduction: A Roadmap to Horizon Europe Participation

The purpose of this short guide is to provide the reader with a step-by-step instructions and guidance for participating in a Horizon Europe proposal. Naturally the guide focuses on the administrative, legal, and financial issues that participants need to be aware of. More particular, we will focus on 4 main issues that are crucial in the preparation phase:

- Registering an organisation and the team to “Funding & Tender (F&T) Opportunities Portal”;
- Estimating the average Person-Month Rate;
- Working the resource allocation in the Work Breakdown Structure;
- Negotiating the budget.

The bullets above are relevant to most of the calls. There are, however, some unique and special cases for which we will provide an explicit reference that will help participants navigate quickly and easily. These special cases are projects under Pillar I (MSCA, ERC), Pillar III (EIC), Widening Participation and Spreading Excellence, and the new lump sum funding available in Horizon Europe.

You should use this guide in combination with the **TH2020 Legal & Financial Guide of Horizon Europe Projects** and the training material available in our [helpdesk \(https://th2020.zendesk.com/hc/en-us\)](https://th2020.zendesk.com/hc/en-us).

How It Works and What to Read First

Since this guide is a short guide, we will focus only on the preparation phase of a proposal which is also the most critical. You do not need to be an expert in Horizon Europe to participate in proposal as a beneficiary (Coordinating a proposal of course is a whole different story).



Figure 1: The process from the Strategic Plan to the calls' announcements and the submission of proposals to calls

At the time of writing of this guide the new Work Programmes for 2023-2024 are already available.

Participation in a Horizon Europe Proposal



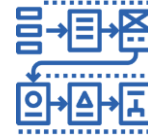
Prepare for Horizon Europe

1. Study the WP of your interest
2. Reach out to your network
3. Know what you can do



Study the call & requirements

4. Study carefully the call text
5. Study General Annex of WP
6. Study the concept (prepared by the Consortium)
7. Study the new Proposal Template



Prepare your WBS & Budget

8. Estimate your average PM rate
9. Estimate your contributions in PM
10. Contribute actively to the proposal text
11. Finalise your budget with the Coordinator

In the following chapters we will present the above steps focusing on course in the legal and financial issues you may phase during preparation.

Step 1: Prepare for Horizon Europe

Once you decide to pursue a project in Horizon Europe you must follow some steps to ensure you comply with all regulations, avoid pitfalls, and maximise your success. The place to start is the [Funding & Tender Opportunities Portal](#)¹. This is a revamped web resource which consolidates all available funding and tenders in EU. Although you can access many things without registering, it is necessary to do so if you wish to make the most out of the programme and of course if you want to submit a proposal.

Register as an Individual to Funding & Tender Opportunities Portal

The first thing to do is to register and obtain an ECAS² account. You will only need to enter your name and an email. Once you are a registered user you can access your private area where you can register and monitor organisations, manage your proposals and projects, receive notifications, search, and save the calls you are interested in - and if you believe you are an expert in a subject area - register yourself as an expert. In the following sections of this chapter, we will guide you in your first steps in a **proposal preparation phase**.

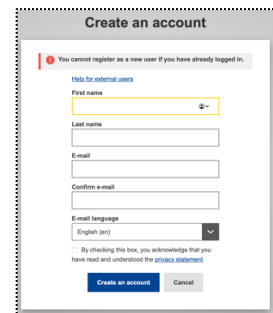
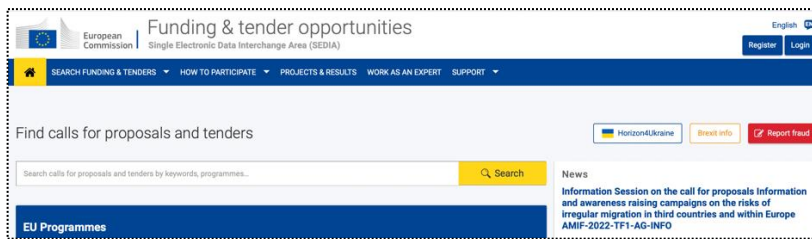


Figure 2: Click on the REGISTER button to create an individual account in ECAS.

Registering your Organisation in Funding & Tender Opportunities Portal

To be able to participate in any Horizon Europe activities you need to declare your organisation on the F&T Opportunities Portal. You will need to register your entity (public or private) on the European Commission's databases and provide proof that your organisation legally exists. Upon registration, the system will assign to your organisation a **unique 9-digit number called Participant Identification Code (PIC)**.

¹ <https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/home>

² This is European Commission's main authentication service allowing you to connect to all its online services.

*A **PIC number** will be a permanent number associated with your organisation and it is the first thing partners will ask you whenever they want to include you in a proposal. So, if you do not have one, this is where you need to start.*

In order to register in the Beneficiary Register, you only need to provide some information about your organisation: address, legal form and if applicable the VAT number. Nevertheless, it is recommended to have copies of the following documents ready, to make sure you avoid any mistakes.

- **Your state registration certificate (for private organisations), law/decreed (for public entities) or treaty (for international organisations)**
 - **VAT registration certificate (if applicable)**
 - **Official Statute(s) (if entity declares non-profit status) etc.**
-

! You do not need to send these documents to EC when you register. If your proposal is successful, EC will request them and will validate your organisation.

!! In large organisations like public institutions or universities, there is a chance that your organisation may already be registered. Before you register your organisation make sure it does not already exist. The system will ask you about that.

*!!! In large organisations with multiple departments belonging to the same organisation (a single legal entity), units or departments cannot participate as separate entities in Horizon Europe projects. Therefore, **all departments must use the same PIC number that is assigned to the organisation being the legal entity.***

You can search if your organisation already exists before you start the registration. You don't need to know the PIC number to find an organisation. You can search by Name or VAT, and you can always limit your search by Country and City.

Participant Register

Need help?

If you want to participate in a call for proposals or in a call for tenders with eSubmission, your organisation needs to be registered and have a 9-digit Participant Identification Code (PIC). Please quote your PIC in all correspondence with the Commission.

The register contains all participants of EU programmes.

Is your organisation already registered? PIC search

Please check whether your organisation has already been registered. If so, no need to register it again.

Search a PIC

Register your organisation

To register your organisation or as a natural person, you need to login into the Portal or, if you are a new user, create your account.

Check what information you need to register in the Online Manual - and keep it to hand during the registration procedure. To start registration, click on the button below.

Register your organisation

Find a registered organisation

You may enter a (complete or partial) organisation name (e.g. "Oxford" or "University of Oxford") and optionally select a country.

You cannot search by country only. Organisation names are in English or in the national language.

Name*:

Country:

enter an organisation name

Select a country

Advanced search

City:

Registration Number:

enter a City

enter a Registration Number

PIC:

VAT:

enter complete PIC number, e.g. 987654321

enter a VAT

Erasmus Code:

enter a Erasmus Code

Search organisation

Clear filters

Figure 3: Searching for a registered organisation in the F&T Opportunities Portal

SME Self-Assessment

If you are an SME, you may need to confirm your SME status through an online tool. This must be done through the F&T Opportunities Portal. The **SME Self-Assessment online tool** requires a lot more information than the simple registration. You will be asked to provide financial data for the latest closed accounting period, staff headcount, shareholders and their % of their shares, participating bodies, subsidiaries, and any other relationships. It is recommended to visit the SME Self-Assessment Questionnaire page and download and carefully read SME Self-Assessment manual.

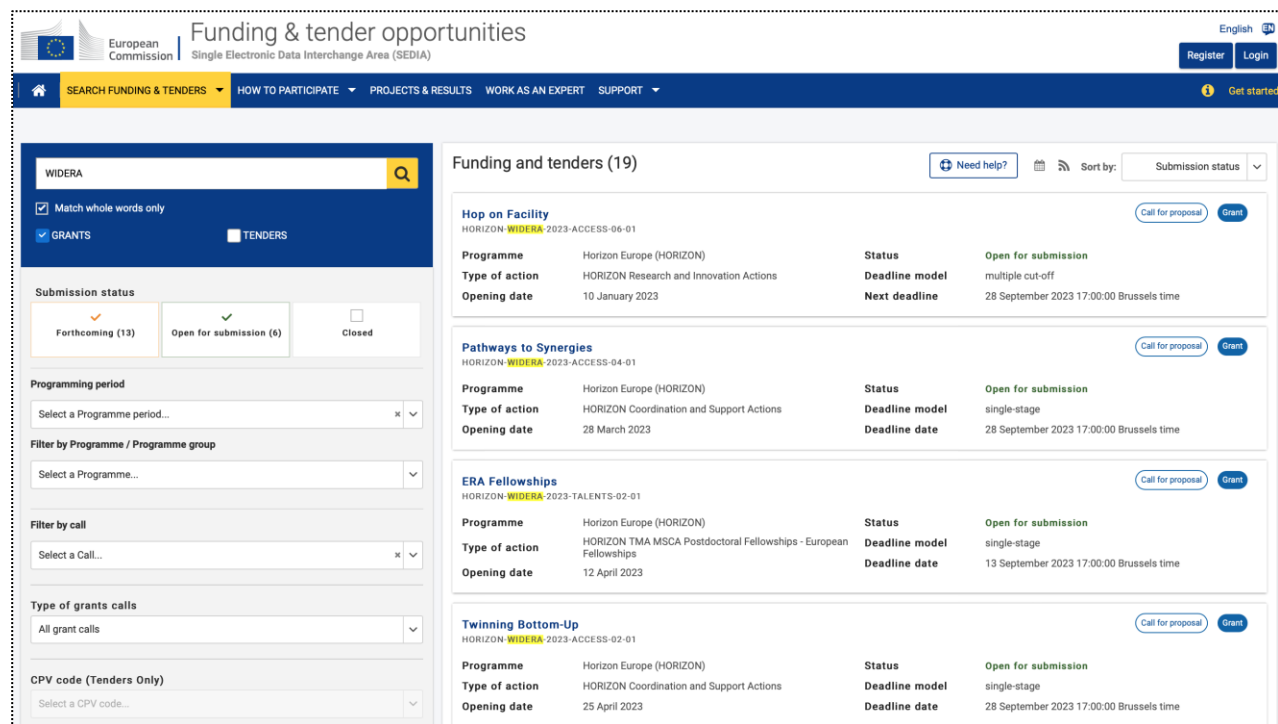
Find more information on the SME Self-Assessment here: (https://ec.europa.eu/growth/tools-databases/SME-Wizard/smeq.do;SME_SESSION_ID=q6snAqMsRqnY4Q53m3t_2-UEbU7YBpnMJo9rkKqhrCKcOp8YAZzI821612122?execution=e1s1)

For more detailed instructions on how to use the F&T Opportunities Portal you can look at IT How to: <https://webgate.ec.europa.eu/funding-tenders-opportunities/display/IT/Funding+and+Tenders+Portal>

Step 2: Find Your Call & Express Your Interest

Find Your Call

The F&T Opportunities Portal has consolidated all funding programmes (not just Horizon Europe) so it is possible for participants to look for other opportunities (as long as they are eligible). Türkiye has the status of an Associated Country and is eligible for funding under: Horizon Europe, Erasmus+, PRIMA. You can search the calls by a keyword or use the multiple filters available.



The screenshot shows the 'Funding & tender opportunities' portal. On the left, there are search filters including a search bar with 'WIDERA', checkboxes for 'Match whole words only' and 'GRANTS', and tabs for 'TENDERS'. Below these are filters for 'Submission status' (Forthcoming (13), Open for submission (6), Closed), 'Programming period', 'Filter by Programme / Programme group', 'Filter by call', 'Type of grants calls', and 'CPV code (Tenders Only)'. The main area displays a list of 'Funding and tenders (19)' with details for four specific calls: 'Hop on Facility', 'Pathways to Synergies', 'ERA Fellowships', and 'Twinning Bottom-Up'. Each call entry includes its programme, type of action, opening date, status, deadline model, and next deadline.

Figure 4: Looking for a call

Pay attention to the specific call requirements and eligibility criteria.

Express Your Interest

Once you know which call or calls are interested in for your organisation you should **express your interest** in participating. You can do that in each call you are interested in the section of Partner Search Announcements.

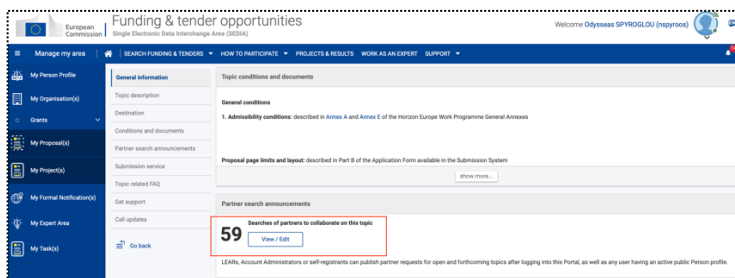


Figure 5: The Partner Search Announcements in the F&T Opportunities Portal

Click on the button to see announcements of other organisations that are interest in the same call and are looking for collaborations.

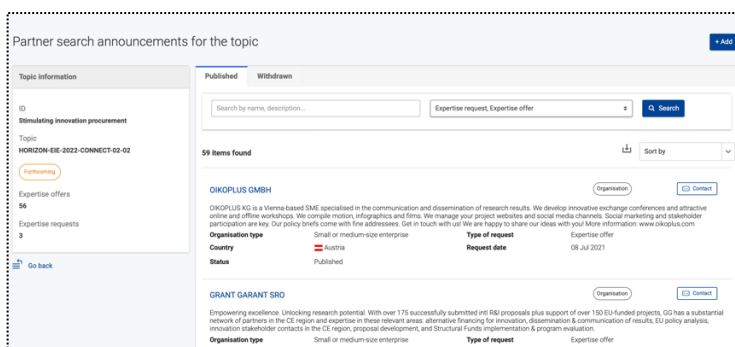


Figure 6: There are 56 expertise offers and 3 requests in this example.

Even if most organizations are offering rather than requesting partnerships, this is a good starting point to expand and build your network.

Expand Your Network: CORDIS and More

The F&T Opportunities Portal is not the only tool you can use to expand your network. You can also use [CORDIS³](http://cordis.europa.eu) which has been available for some time. CORDIS features all projects that have signed the Grant Agreement so you still may not find some very new ones that are under Grant Agreement Preparation. Organisations and individuals that were active in these domains under H2020 will most probably continue to be active under Horizon Europe.

If you do not know where to start, you can browse CORDIS by **domain of application**. Projects featured in CORDIS provide all the details you may need like the consortium, the budget, a summary to the project and of course links to get in touch with the partners.

³ <http://cordis.europa.eu>

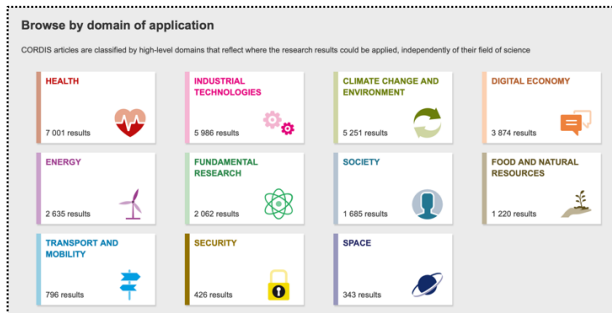


Figure 7: Cordis categories by domain of application

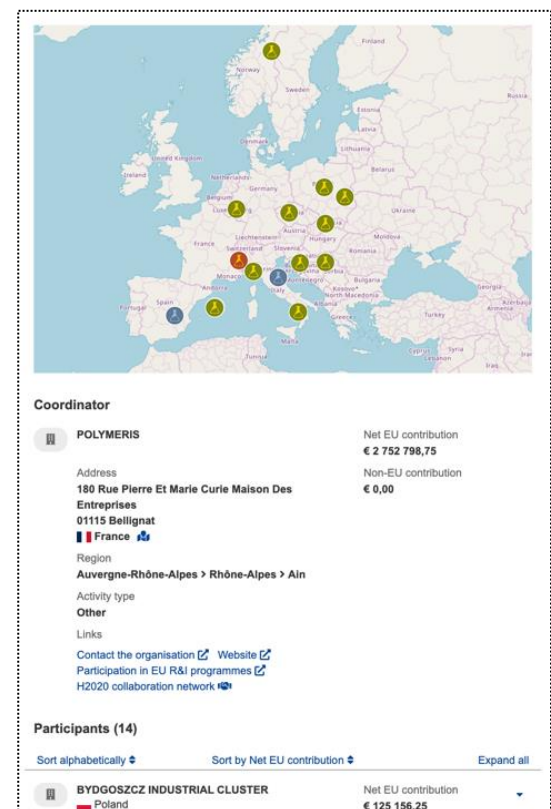
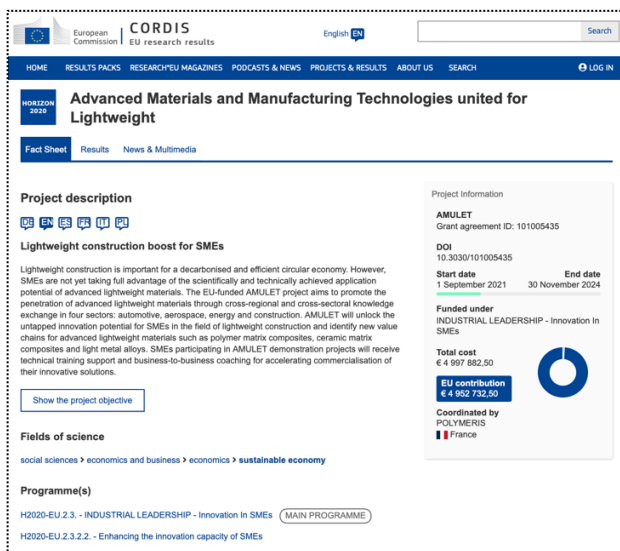


Figure 8: In the fact sheet of every project, you will find all the information you will need.

CORDIS provides an excellent database of organisations, projects and even results that you can browse and study. This will help you understand the kind of consortia that are required for Horizon Europe proposals and how you can best approach them.

Online business communities like **LinkedIn** can also prove invaluable, but probably your biggest asset is your current network abroad (scientific and business) which you must utilise.

You can find a presentation of online tools that can help you in various stages of proposal preparation in our helpdesk: <https://th2020.zendesk.com/hc/en-us/articles/8022089803026-HE-8-Info-Day>

Step 3: Create Your R&I Profile and Legal Library

Find Your Strengths

If you want to participate in Horizon Europe proposals you should make sure that you have a convincing R&I profile that can convince coordinators and other, HE players to invite you to their proposals. Such a profile must focus on your strengths:

- **What do you do well?**
- **What separates you from competition?**
- **What are your strong assets?**
- **What can you offer that others cannot?**

It may be useful for you to run a SWOT analysis for your organisation so you can identify the points that you need to promote and those you need to improve.



You can find more on SWOT Analysis in the following links:

https://www.mindtools.com/pages/article/newTMC_05.htm

<https://www.liveplan.com/blog/what-is-a-swot-analysis-and-how-to-do-it-right-with-examples/>

And some templates:

<https://venngage.com/blog/swot-analysis-templates>

Build Your Profile

Your R&I profile is nothing more than a page in your website, a nicely designed leaflet or just a pdf document with text ready to be used. At a minimum it should include:

1. Name of Organisation, Type, Country, PIC No
2. Website, Contact details of Responsible Person
3. Short Description of Activities, Scientific, R&I Interests
4. Competencies (what you can do well, what can you offer)
5. Main Role in the Project (if you are expressing interest on a particular call)
6. Key Personnel (Short Bios of your Directors, Snr. Personnel, etc.)
7. Publications, Products, Services



Figure 9: Photo by Greg Bulla on Unsplash

A relevant page in LinkedIn can be very efficient, especially if your organisation, has a “heavy” and difficult to navigate website. Such a page can provide all information and can easily link to the profiles of individuals creating multiplying effects of networking.

Build Your Legal Library

As you will create your R&I profile you will of course include references, results, knowhow and experience you have built in past projects. These intangible or tangible artefacts can be anything from a computer algorithm, a method, a prototype, a database, a scientific work from a past project. All these can be considered Intellectual Property assets and may need to be protected in the new projects. They are referred to as **background**, as it was acquired before the start of the project. Of course, the coordinator or the consortium you are entering may request from you a similar arrangement.

In this case you can use Non-Disclosure Agreements (NDAs) or Memorandum of Understandings (MoUs) that can be signed by both you and each consortium partner. If you feel that you need extra protection through an NDA before starting discussion of your idea or need a common MoU stating, all of the background information that will later be included in the Consortium Agreement signed by all partners before the submission of the proposal.

The European IP Helpdesk supports EU/COSME SMEs and researchers participating in EU-funded projects both to protect and enforce their Intellectual Property (IP) rights. It has available plenty of IP Resources including factsheets, guides, case studies, and templates for all available documents like NDAs and MoUs.

<https://intellectual-property-helpdesk.ec.europa.eu/>

Consortium Agreement

Remember that ultimately when you will need to sign a consortium agreement with rest of the consortium partners. The **Consortium Agreement (CA)** is a compulsory legal document for all multi-beneficiary organisations. It describes how you are going to collaborate with the rest of the partners in the consortium and sets the framework for a successful and trouble-free collaboration throughout the project.

Although the CA is not needed before the start of the project, in some cases big consortia with large industrial players insist on signing either a Consortium Agreement or a similar MoU even before submitting the proposal. This is considered good practice, and such a document can serve as a good basis for progressing the project. You can always update the CA or even sign a revised version once the proposal is successful. Be sure to read the detailed section on Intellectual Property, Legal and Financial Issues in our helpdesk section: <https://th2020.zendesk.com/hc/en-us/sections/4410218565522-IPR-Trainings>

Step 4: Estimate Your Average Person-Month Rate

This is a crucial number which you will need when you start working in R&I projects. This is the average person-month (or person-day) rate. This rate can be estimated as a more generic number or on a basis of a specific project. Let's explore both cases in the following example.

Before we start, a reminder: What is a Person-Month: *One Person working for 3 months (Full time) = 3 Persons working for 1 month (Full time) = 6 Persons working for ½ month (Part time) for ANY DURATION.*

A. Generic Average Person Rate	B. Estimate the Specific Project's Person-Month Rate
<ol style="list-style-type: none"> Select your team: You do not need to use the whole personnel of your organisation, just the research team. Calculate their annual cost to the organisation. NOT just what these people receive as salaries but the TOTAL cost including fixed complements, social security contributions, taxes and other costs included in the remuneration if they arise from national law or employment contract. Calculate their Weighted Average. Round it up to account for extra costs, inflation, etc. 	<ol style="list-style-type: none"> We assume you know the accurate Monthly Cost of each person of the team. If not, start by applying the method in method A. Estimate the Person-Months that each profile will work in the project. This can be a rough estimate at this point. Calculate the Weighted Average of the costs for the specific team. Round it up to account for extra costs, inflation, etc.

“Method A” Implementation

Profile	Annual Cost	Months	Monthly Cost	People	Monthly Totals
	AC	M	MC=AC/M	P	MC*P
Director	96,000.00 €	12	8,000.00 €	1	8,000.00 €
Sr Researcher	54,000.00 €	12	4,500.00 €	2	9,000.00 €
Jr Researcher	30,000.00 €	12	2,500.00 €	4	10,000.00 €
TOTALS:				7	27,000.00 €
WEIGHTED AVERAGE COST:					3,857.14 €
ROUNDED UP AVERAGE COST:					3,900.00 €

“Method B” Implementation

Profile	Monthly Cost	PMs in Project	Total Costs
Director	8,000.00 €	2	16,000.00 €
Sr Researcher	4,500.00 €	20	90,000.00 €
Jr Researcher	2,500.00 €	20	50,000.00 €
TOTALS MONTHS:		42	156,000.00 €
WEIGHTED AVERAGE COST:			3,714.29 €
ROUNDED UP AVERAGE COST:			3,800.00 €

It is obvious that both methods provide very similar numbers. Since we are in the preparation phase this level of accuracy is more than enough.

Step 5: Estimate Your Resources in WBS

When you join a consortium as a partner, your role will be defined in collaboration with the coordinator and the rest of the consortium. What can you contribute to every activity, how can you add value to the project, where do you provide the complementary skills that are needed?

Work Breakdown Structure

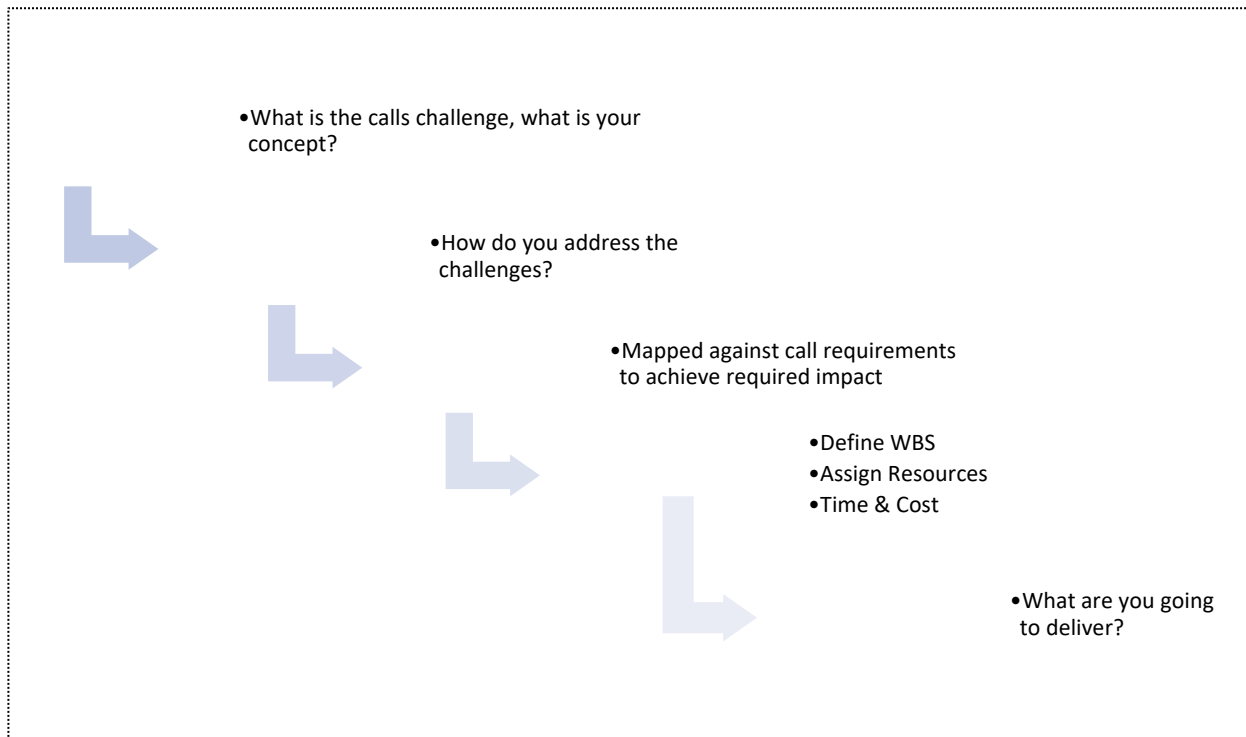


Figure 10: Notice the 4th step of creating the Work Packages

The coordinator and the core writing partners will lead this process and they will define the main activities, organised in Work Packages and Tasks. The tasks also need to be placed in time so we can get a better idea of the resources we will need throughout the project.

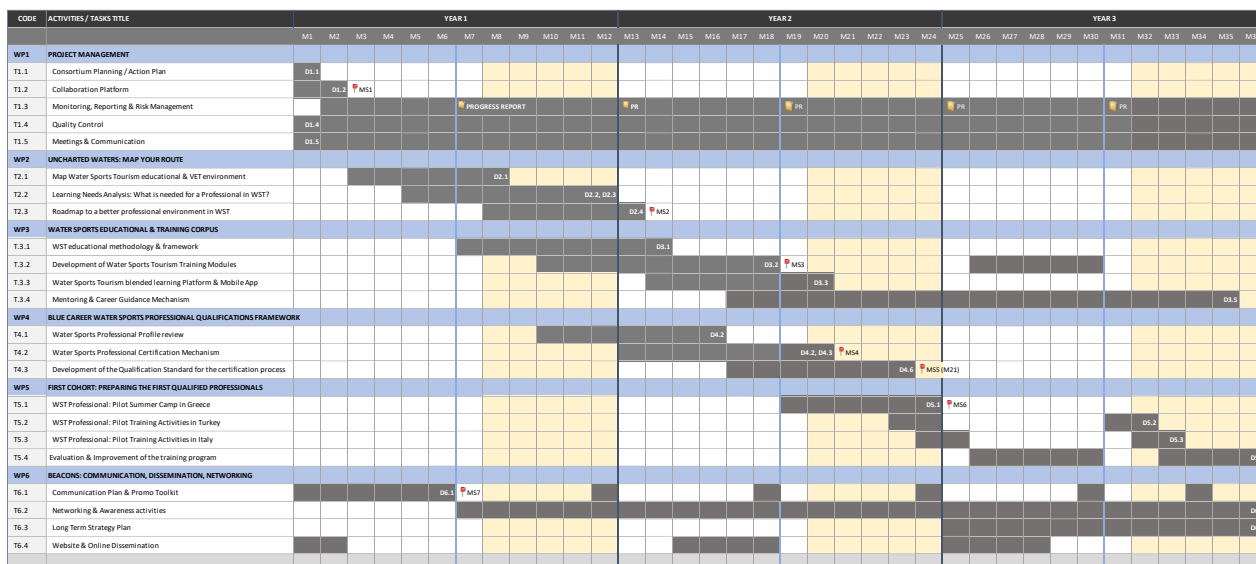


Figure 11: A WBS and Gantt from an actual project in Water Sports Training and Certification

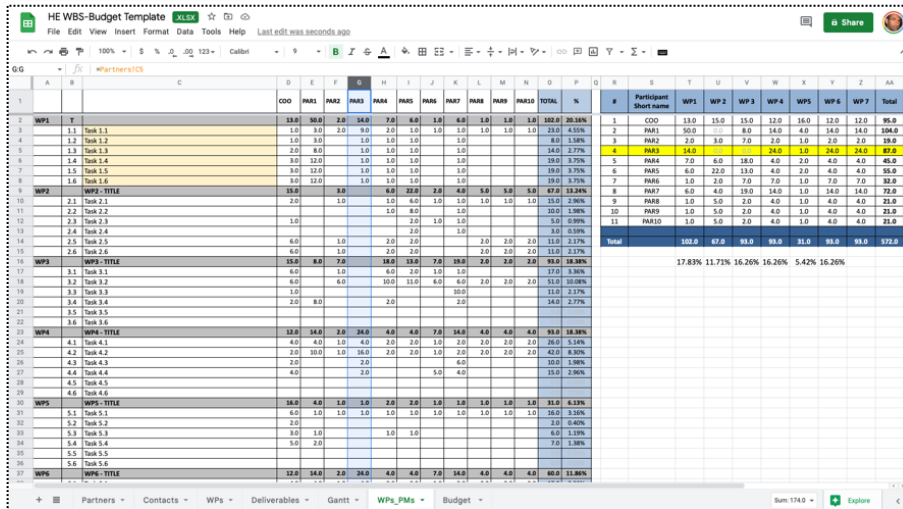
Estimate Your Effort

Once the partners have identified the Work Packages and Tasks then all the partners of the consortium can work on the same template to add their person-months in the Tasks that have been allocated to them. Your task as a beneficiary of a consortium will be to estimate the person-months that you want (need) to allocate in every task in order to complete the project successfully. In the below example Partner 3 is accepted to the project and has to allocate person months in the 9 Work Packages:

- You can see that the most months are allocated in WP7 which is the WP that this partner will have the biggest involvement.
- No work is anticipated from Partner 3 in WP3, WP4, WP5, WP6 and WP8
- Minor work in WP1 (Project management), WP2, and WP6 (Dissemination, Exploitation)

	WP1	WP2	WP3	WP4	WP5	WP6	WP7	WP8	WP9	Total
COORD	17,0	3,0	26,0	0,0	2,0	0,0	8,0	0,0	2,0	58
PART 2	1,0	4,0	12,0	10,0	3,0	1,0	0,0	14,0	1,0	46
PART 3	2,0	2,0	0,0	0,0	0,0	0,0	32,0	0,0	6,0	42
PART 4	3,0	1,0	0,0	0,0	17,0	17,0	2,0	0,0	2,0	42
PART 5	1,0	0,0	0,0	3,0	10,5	9,0	5,0	0,0	5,5	34
PART 6	2,0	21,0	2,5	1,0	2,0	0,0	2,0	4,5	4,0	39
PART 7	1,0	0,0	2,0	0,0	0,0	0,0	0,0	0,0	12,0	15
PART 8	1,0	2,0	2,0	5,0	2,0	0,0	2,0	4,0	2,0	20
PART 9	2,0	0,0	6,0	18,0	0,0	0,0	2,0	2,0	2,0	32
Total	30,0	33,0	50,5	37,0	36,5	27,0	53,0	24,5	36,5	328

A template for this work is usually provided by the coordinator but you can use the example template below to experiment.



The screenshot shows a spreadsheet titled "HE WBS-Budget Template". It contains a detailed budget breakdown for a project. The columns represent different budget categories and time periods. The rows are organized into sections for different work packages (WPs) and tasks. The total budget is 17.83M.

Template for Budget⁴

You can use this template to experiment with Work Breakdown Structure and budget preparation.

The estimation of your effort in the project is the most important part in the estimation of the budget since in Horizon Europe proposals the biggest part of the budget goes to personnel costs.

⁴ <https://docs.google.com/spreadsheets/d/1mRoVlZBLCY9JGi38gPvHrNvX0-F4fLH/edit#gid=1563485726>

Step 6: Negotiate and Prepare Your Budget

Agree on a Rough Budget

When you are invited to a consortium you will have to negotiate your budget with the coordinator and core partners. Rather than trying to work in the dark you should try to understand the overall approach of the consortium and set some rules and assumptions that will help you work a better estimation. Here are some points to remember:

- **Know the call budget so you do not create excessive demands.**
- **Have a rough idea of what you want to do and how you can add value to the project. Do not demand. Convince.**
- **Ask what's the initial estimation. You can agree on a rough approximate budget (min-max) and you can work your way to it by allocating your resources.**
- **Final budget after detailed resources allocation.**

Action Budget (Part A)

You have already a good estimation of the resources you will dedicate to the project from previous step. Now you will have to work on the rest of the costs.

Personnel Budget	Sub-contracting	Purchase Costs	Other Costs	Total Direct Costs	Indirect Costs	TOTAL BUDGET	Funding Rate	Total Grant
A	B	C	D		E	G	H	
<i>All actual personnel costs</i>	<i>The need for sub-contracting must be well justified.</i>	<i>Travel / Equipment / Other goods, works and services</i>	<i>Specific Cost Categories</i>	A+B+C+D	25% * (A+C+D) (Except D.1)	A+B+C+D+E	<i>Depending on the specific Action Type</i>	70% * G
90.000€	10.000€	12.000€	0€	112.00€	25.500€	137.500€	70%	96.25€
PM as estimated in the WBS X Average Rate	A Lump sum payment to a subcontractor for a specific task for the project.	Three 3 subcategories: C1 Travel, C2. Equipment, C3. Other goods, works and services.	Reserved for specific cases and calls. FSTP, Internally Invoiced Goods.		Overhead. No need for proof of these costs.			

(C.1) Estimate Travel Costs

Travel Costs include subsistence, transportation costs, accommodation, per diems (daily allowances for food, accommodation, etc.) or other relevant cost items (passport fee, visa fee, departure fee, health insurance, etc.). All such costs must be in line with the beneficiary's usual practices on travel.

*You can use the sheet **Travel** of the [Template for Budget⁵](#) to estimate your travel costs.*

(C.2) Estimating Equipment Costs

Will you need any specific equipment that will be used mainly for the project? Remember that only its depreciation costs can be claimed according to the accounting system of each beneficiary and with the portion you use it in your project.

Nevertheless, in most of the cases for simple equipment that will be used solely for the project and can be depreciated during the duration of the project you will be able to claim its full costs.

ATTENTION: *If you plan to buy any equipment for the project, it makes sense to purchase it as soon as you can (even in the 1st month M1 of the project), so that you can start depreciating it.*

(C.3) Other Goods, Works and Services

Other goods, works and services costs can include anything from supplies and consumables necessary for the project (e.g., materials to conduct an experiment), catering services during an event you are organising, costs for marketing campaigns in social media, etc. or even a payment to an IP consultant or patent attorney to protect your IP assets.

If you plan to organise a lot of events, for instance, it could be wise to estimate the costs of these events in actual prices (cost of renting venues, equipment, catering etc). Similarly, if you plan to run marketing campaigns make sure you include some costs here.

We are not going to examine “Other cost categories” in more detail, since they are mostly used in very specific and less often cases. If you need more information about the category and subcategories listed under it, please check Annotated Grant Agreement Article 6.2.D.

Remember however that on top of these costs, which are the direct costs of the project, we also have the **indirect costs** or **overheads**. These are all “*eligible costs that cannot be identified and calculated by the*

⁵ <https://docs.google.com/spreadsheets/d/1mRoVlzBLCY9J9Gi38gPvHrNvX0-F4fLH/edit?rtf=true&sd=true#gid=1563485726>

beneficiary as being directly attributed to each project". Such costs may include rent (rent is not covered directly but indirectly falling into the category of overheads), utilities costs (water/ gas/ electricity), maintenance, office supplies, communication and connection costs and costs for administration and financial management like hiring costs, training, legal advice⁶, documentation etc.

A participant does not have to provide any proof for these costs. They are calculated as a **25% flat rate of the total direct eligible costs**, excluding direct eligible costs for subcontracting and financial support to third parties. The following table presents a simplified budget example for a typical project budget.

These indirect costs are calculated on the basis of a 25% flat-rate of the total direct eligible costs, excluding subcontracting and financial support to third parties and beneficiaries do not have to provide any proof of them (invoices or receipts).

Budget Justification in Part B

The budget of the proposal needs to be further justified and elaborated in Part B. The template provides some tables that need to be completed with the contributions of the partners. These tables can be completed just by transferring the numbers you work on the budget template.

At a minimum you need to include in Part B the following tables:

- The table of the Work Packages**

WP#	WP Title	Lead Participant Name	Short Name	Person-Months	Start Month	End month
1	Build & Connect			64.0	1	36
2	Assess & Recommend			50.0	1	36
3	Programme & Advisory (Knowledge Transfer)			93.0	2	36
4	Impact Assessment, Community Building & Communication Outreach			93.0	1	36
5	Innovation Management & Project Coordination			31.0	1	36
				331.0		

⁶ Patent costs related to the exploitation of specific results fall under "Other goods, works and services of the Purchase costs" and can be eligible for the project.

- **Deliverables Table: In Horizon Europe, it is instructed to include only the 15-16 essential deliverables in this list for the project.**

Deliverable (number)	Del. name	WP#	Short name of leader	Type	Dissemination level	Delivery
DX.X In order of delivery dates. Following numbering convention of WPX.		Work Package Number	Use consistent short names for participants of 3 or 4 Letters: MOE	R: Document, report (excl. Project reports) DEM: Demonstrator, pilot, prototype, plan. DEC: Websites, patents filing, press & media actions, videos, etc. DATA: Data sets, microdata, etc. DMP: Data management plan ETHICS: Deliverables related to ethics issues. SECURITY: Deliverables to security issues OTHER: Software, technical diagram, algorithms, models, etc.	PU – Public, fully open, e.g. web (PU Devs will be automatically published in CORDIS) SEN – Sensitive, limited under the conditions of GA Classified R-UE/EU-R – EU RESTRICTED Classified C-UE/EU-C – EU CONFIDENTIAL Classified S-UE/EU-S – EU SECRET under the Commission Decision No2015/444	Delivery date: Measured in months from start date: M1 MX

- **Table 3.1d: List of milestones**
- **Table 3.1e: Critical risks for implementation**
- **Table 3.1f: Summary of Staff Effort. This can be easily filled using the PMs from our template.**

	WPn	WPn+1	WPn+2	Total Person- Months per Participant
Participant Number/Short Name				
Participant Number/ Short Name				
Participant Number/ Short Name				
Total Person Months				

You can use the consolidating table in sheet **WPs PMs** of the [Template for Budget⁷](#) to transfer your Person-Months in the Part B table.

⁷ <https://docs.google.com/spreadsheets/d/1mRoVlzBLCY9J9Gi38gPvHrNvX0-F4fLH/edit#gid=1563485726>

- **Table 3.1g: Description and justification of subcontracting costs.** Since subcontracting costs need to be mentioned in the proposal, if you anticipate a subcontracting cost then you will need to describe it here in as much detail as possible.

Participant Number/Short Name		
	Cost (€)	Description of tasks and justification
Subcontracting		

- **Table 3.1h: Justifications for purchase costs.** In case the purchase costs are above 15% of the personnel costs then the partner needs to provide a more detailed justification on the costs exceeding that threshold starting with the largest cost item.

Participant Number/Short Name		
	Cost (€)	Justification
Travel and subsistence		
Equipment		
Other goods, works and services		
Remaining purchase costs (<15% of pers. Costs)		
Total		

- In case you are using other costs categories and in-kind contributions you will have to fill in additional tables as well.

For more information, study the appropriate template for the call.

Step 7: Other Administrative Requirements

Gender Equality

As of 2022, **Gender Equality Plans** are mandatory for all public institutions, higher education institutions and research organisations from EU countries and associated countries, that want to participate in Horizon Europe. In addition to this, researchers must work on the **integration of the gender dimension into research and innovation content**, as this became an award criterion evaluated under the excellence criterion, unless the topic description explicitly specifies otherwise.

Finally, increasing gender balance throughout Horizon Europe is another objective, with a target of 50% women in Horizon Europe related boards, expert groups and evaluation committees, and gender balance among research teams set as a ranking criterion for proposals with the same score.

So, What Can Organisations Do in Order to Comply?

According to the EU factsheet, a Gender Equality plan must include the following aspects and it should cover at least 5 thematic areas, using concrete measures and targets:



- **Work-life balance and organisational culture.**
- **Gender balance in leadership and decision-making.**
- **Gender equality in recruitment and career progression.**
- **Integration of the gender dimension into research and teaching content.**
- **Measures against gender-based violence, including sexual harassment.**

For detailed guidance on how to prepare your Gender Equality Plan you can refer to this document:

*[Horizon Europe guidance on gender equality plans](#)*⁸

⁸ <https://op.europa.eu/en/publication-detail/-/publication/ffcb06c3-200a-11ec-bd8e-01aa75ed71a1>

Ethics

Projects must also comply with the **ethical principles** (including the highest standards of research integrity) and applicable EU, international and national law. At the proposal stage proposers complete an **Ethics Self-Assessment**. This is a procedure where you need to assess and address the ethical dimension of all the activities of your project.

If the proposal is successful and provided that there are ethical issues that may require attention, project may undergo the Ethics Appraisal process which is done by independent experts during the evaluation stage.

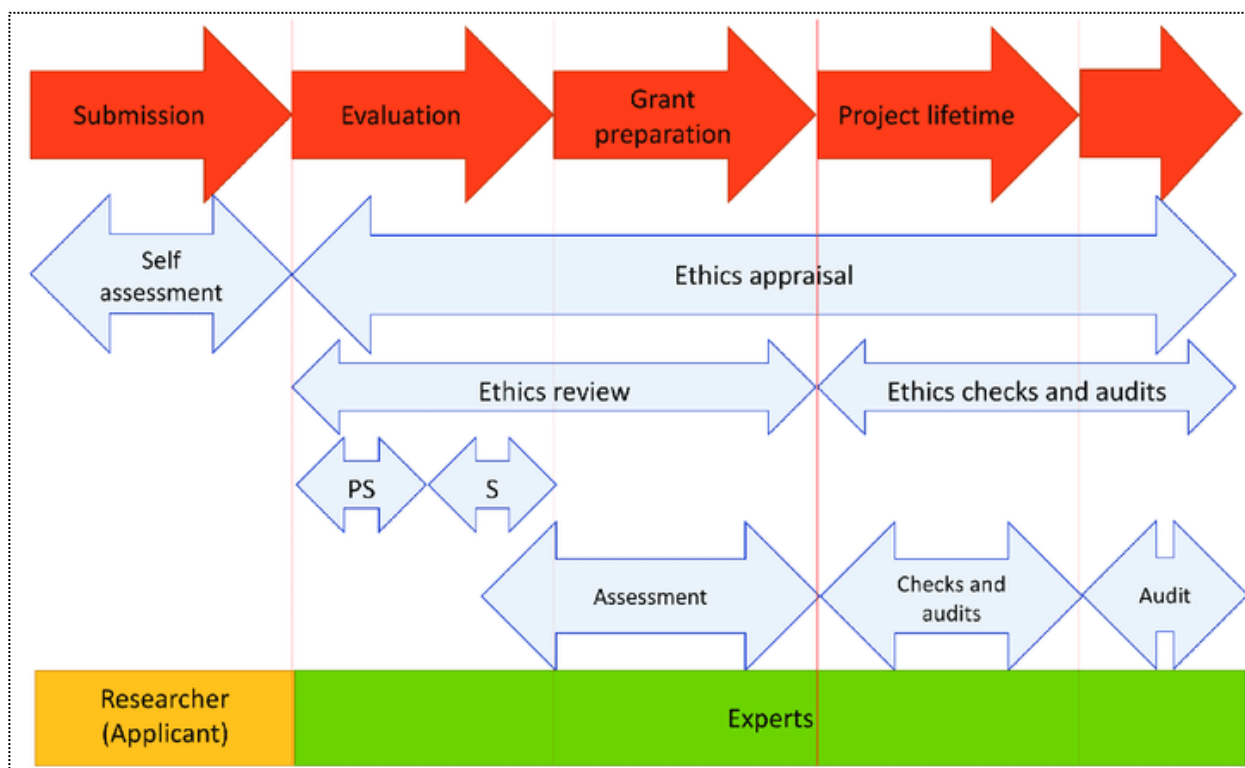


Figure 12: The Ethics Appraisal Process

Ethics cover the following issues and if a proposal includes any activities that may involve any of the following issues must address them appropriately by detailed justification at the proposal stage.

- **Human embryonic stem cells (hESCs) and human embryos (hEs)**
- **Humans (all EU Programmes)**
- **Human cells or tissues (all EU Programmes)**
- **Personal data (all EU Programmes)**
- **Animals (all EU Programmes)**
- **Non-EU countries (all EU Programmes)**
- **Environment, health and safety (all EU Programmes)**

- **Artificial intelligence (all EU Programmes)**
- **Other ethics issues (all EU Programmes)**
- **Crosscutting issue: potential misuse of results (all EU Programmes)**

*Ethics and Security is covered in Section 4 of the Part A of the new **Standard Application Form**⁹. The form includes the Ethics Issues table and the Ethics Self-Assessment.*

Security

In case your projects involve classified and/or sensitive information it will have to go through the **security appraisal process** to authorise funding. In this case it may have to follow specific security rules (detailed in the Security Section, which is annexed to the grant agreement). Specific provisions for EU-classified information (EUCI) and sensitive information (SEN) will be included in the grant agreement, as necessary and appropriate.

In case your project is classified or confidential then it will have to comply with specific security rules that will define how you handle classified information, who has access to it and who this is recorder, what happens with subcontractors, how information is disclosed etc.

⁹ https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/temp-form/af/af_he-ria-ia_en.pdf

Differences in Programmes

1.1 Differences in Pillar I: ERC and MSCA

Proposals under Pillar I aim to support the researchers into the making of science. Legal and financial issues here are quite different than in Pillar II or Pillar III since usually we do not have a collaborative project with a lot of partners from various complementary sectors of the market that work together in a project. The aim of **European Research Council (ERC)** is to provide *attractive, long-term funding to support excellent investigators and their research teams to pursue ground-breaking, high-gain/high-risk research*. Similarly, the aim of **Marie Skłodowska-Curie Actions (MSCA)** is to *encourage more young women and men to make a career in research, promote its attractiveness for top talents from around the world, retain its own researchers and reintegrate those working elsewhere*. The administrative, legal and budget issues of these programmes are predefined and to make things easier these numbers are already pre-filled in the submission system.

In ERC proposals, the budget categories are identical to the rest of Horizon Europe:

<ul style="list-style-type: none"> • Direct Personnel Costs • Subcontracting • Purchase Costs <ul style="list-style-type: none"> C.1 Travel and subsistence C.2 Equipment - including major equipment C.3 Other goods, works and services • Internally Invoiced Goods • Indirect Costs = 25% * (A + C1 + C2 + C3) 	<p>The same budget is estimated for every Principal Investigator per host institution.</p> <p><i>The personnel costs should consider the percentage of the full salary based on the time each PI and his/her team dedicates to run the ERC project (i.e. minimum 30% of the working time).</i></p>
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In MSCA, the budget categories are also strictly defined, as can be seen in the table below. These prices are given in every Work Programme, and they usually take the form of unit and lump sum contributions.

MSCA Doctoral Networks	Contributions for recruited researchers					Institutional unit contributions	
	per person-month					per person-month	
	Living allowance	Mobility allowance	Family allowance (if applicable)	Long-term leave allowance (if applicable)	Special needs allowance (if applicable)	Research, training and networking contribution	Management and indirect contribution
	EUR 3 400	EUR 600	EUR 660	EUR 4 000 x % covered by the beneficiary	requested unit ⁷⁶ x (1/number of months)	EUR 1 600	EUR 1 200

Figure 13: The budget categories under MSCA Doctoral Networks

A country correction coefficient applies to the living allowance in order to ensure equal treatment and purchasing power parity for all researchers. This coefficient can be found in the last pages of the current HE Work Programme for Marie Skłodowska-Curie Actions.

According to the current 2023-24 Work Programme this Coefficient for Türkiye is 64,5%.

1.2 Budget in the European Innovation Council (EIC) Instruments

The European Innovation Council (EIC) is one of the most ambitious programmes of EU with the aim to identify and support breakthrough technologies and game changing innovations. There are 3 main instruments under EIC that support innovators in ranging levels of technology readiness. **EIC Transition** and **EIC Pathfinder** are structured as collaborative R&I projects (although in EIC Transition single entities can also apply). In these calls, the budget preparation is almost identical to those of collaborative proposals.

In EIC Accelerator however, there is a completely different approach, which evolved from the SME Instrument and now provides not only grants but also an investment component with up to 15 million Euro in the form of direct equity. This was made possible with the help of institutional and private investors that participate in the whole process.



Figure 14: The EIC Platform available at <https://accelerator.eisma.eu>

The EIC has created a unique platform for submitting EIC Accelerator proposals which is much closer to developing an actual business and financial plan than writing a proposal for Horizon Europe.

You can read learn more about EIC opportunities here: https://eic.ec.europa.eu/eic-funding-opportunities_en

1.3 European Innovation Ecosystems

European Innovation Ecosystems is a new instrument under Horizon Europe that builds upon the legacy of INNOSUP calls of Horizon 2020. Technically these calls are under EIC, but they form an independent programme.

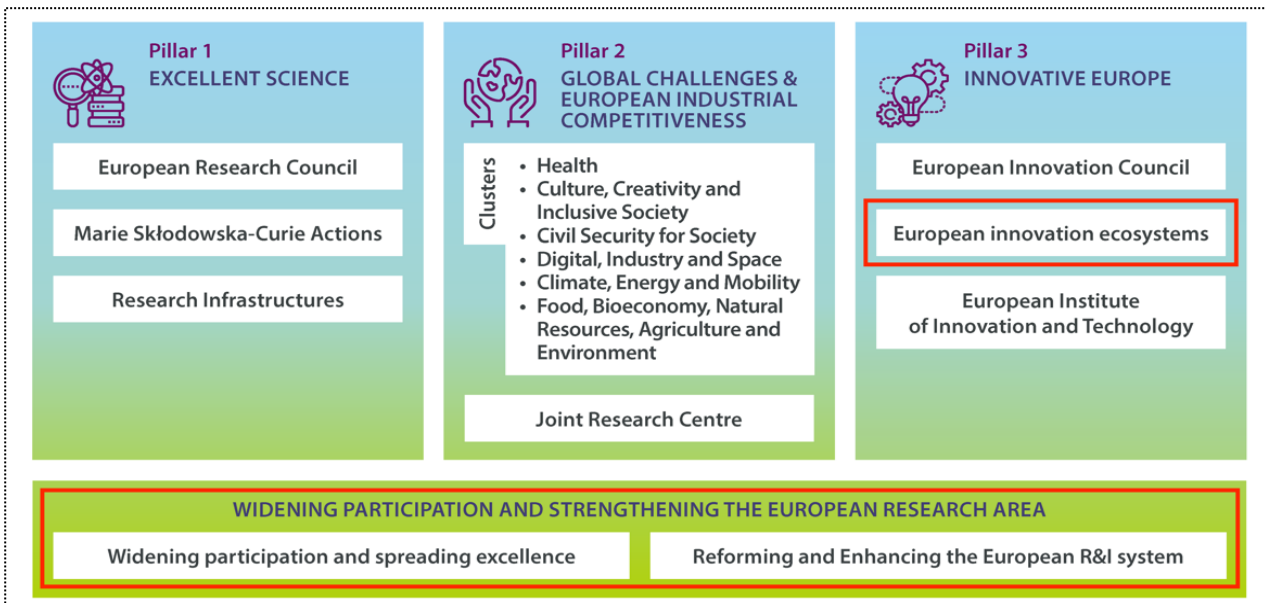


Figure 15: Horizon Europe Pillars and sections. Widening and EIC are highlighted.

The calls of EIE are sector agnostic, meaning that any research subject or theme is relevant and eligible for funding. The aim of EIE is to *create more connected and efficient innovation ecosystems to support the scaling of companies, encourage innovation and stimulate cooperation among national, regional and local innovation actors.*

The biggest and most interesting novelty of EIE is that a lot of the calls under it support lump sums. In this case all eligible costs take the form of a lump sum. *Lump sum project funding removes all obligations on actual cost reporting and financial ex-post audits.*

The Basic Principles of Lump Sum

Lump sum evaluation and grant agreement follow the standard approach as in other collaboration schemes. We have the same:

- **Evaluation criteria,**
- **Pre-financing and payment scheme,**
- **Reporting periods and technical reporting, though focusing on completion of work packages.**

One lump sum share is fixed in the grant agreement for each work package. Once a work package is completed, the beneficiaries can request the payment. Payments, however, do not depend on a successful outcome, but on the completion of activities. As in other projects, work packages can be modified through amendments. The preparation of the budget for a lump sum project is quite easier than typical collaborative projects. It is a good practice to follow the same procedure when estimating the costs of your activities. This will allow you to be very near to your actual costs and meet the basic eligibility criteria of Horizon Europe.

You can learn more on Lump Sum projects from the following sources:

Dedicated webinar on [Lump Sum Funding in Horizon Europe: How does it work? How to write a proposal? \(19 May 2022\)](#)¹⁰

A publication on [Lump sum grants in Horizon Europe: Why do we need them and how do they work in practice?](#)¹¹

1.4 Widening Participation

There are excellent opportunities for Turkish participants in every Pillar of Horizon Europe. Nevertheless, there are some initiatives where the participation of participants from Associated countries (like Türkiye) is encouraged, and Turkish participants have more chances in joining successful consortia. This is the case of the horizontal action of Widening Participation and Strengthening the European Research Area (WIDERA).

¹⁰ <https://ec.europa.eu/research/participants/docs/h2020-funding-guide/other/event220519.htm>

¹¹ <https://op.europa.eu/en/publication-detail/-/publication/cc123397-b6ea-11ec-b6f4-01aa75ed71a1>

WIDERA proposals do not have any critical differences in legal and financial aspects. The budget preparation of a WIDERA proposal is similar to typical collaborative project.



However, in Widening calls only organisations from Widening countries can participate as coordinators. Moreover, the programme is designed to support widening countries and as such Türkiye has a lot of potential.

Figure 16: Associated Countries in Widening Programme

Learn more about Widening:

Visit the Widening Page¹²

Watch the videos of the 1st Infoday on ERA and Widening (9.7.2021)¹³ and

Watch the videos of the 2nd Infoday on New 2022 Widening Calls (27.4.2022)¹⁴.

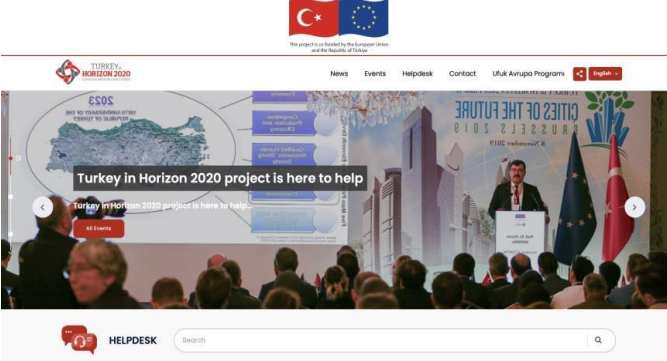
¹² https://research-and-innovation.ec.europa.eu/funding/funding-opportunities/funding-programmes-and-open-calls/horizon-europe/widening-participation-and-spreading-excellence_en#documents

¹³ https://research-and-innovation.ec.europa.eu/events/horizon-europe-info-days/era-and-widening/july-2021_en

¹⁴ https://research-and-innovation.ec.europa.eu/events/horizon-europe-info-days/era-and-widening/april-2022_en

Further Information/Resources

There is an abundance of information and material available to help you familiarise with Horizon Europe and benefit from its opportunities. The best place to start is the **F&T Opportunities Portal**. However, there are 3 more websites where you can find an abundance of training resources and news.

 <p>Supporting Turkish Organisations to Join Horizon2020 & Horizon Europe!</p>	<p>https://ufukavrupa.org.tr/en/th2020II</p> <p>The website of our project under TUBITAK's main portal of Horizon Europe. You can find calls, schedule of forthcoming events, news, information on the NCPs.</p>
	<p>http://helpdesk.turkeyinh2020.eu</p> <p>The Helpdesk of our project, full of useful training material on every subject and theme of both H2020 and Horizon Europe. A great place to start.</p>
	<p>https://www.youtube.com/c/TurkeyinH2020II/</p> <p>Our YouTube channel with all the recordings of our training events, webinars and workshops. You can watch them again at your own pace.</p>

Other Key Sources of Information

- [F&T Opportunities Portal¹⁵](#): the main source of information and tools for Horizon Europe.
- [Online Manual of Horizon Europe¹⁶](#): an excellent source of information for every step of the process.
- [IT How to¹⁷](#): a web site that consolidates information from all portals and provides an easy-to-understand roadmap.
- [Horizon Europe¹⁸](#) – Dissemination and exploitation: a starting point from European Research Executive Agency to understand the importance of dissemination in EU projects.
- [EU Science and Innovation YouTube channel¹⁹](#): You will find a trove of information here in video presentations that will help you understand the tools and processes.

¹⁵ <https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/home>

¹⁶ <https://webgate.ec.europa.eu/funding-tenders-opportunities/display/OM/Online+Manual>

¹⁷ <https://webgate.ec.europa.eu/funding-tenders-opportunities/display/IT/IT+How+to>

¹⁸ https://rea.ec.europa.eu/dissemination-and-exploitation_en

¹⁹ <https://www.youtube.com/c/EUScienceInnovation/featured>



<https://ufukavrupa.org.tr/en/th2020II>