

## Preparing a proposal for a CSA (network of procurers) or PCP-PPI Cofund action

**Lieve Bos European Commission** 

DG CONNECT (Communication Networks)
F2 unit ("Innovation")



# Proposal Preparation (start from <u>participant portal</u>) and Finding Partners



- Preparing a proposal: start at <u>H2020 participant portal</u>
  - Under 'Funding opportunities', search for your specific topic of interest (e.g. ICT-35 or ICT 35) or for keywords (e.g. PCP, PPI)
  - Go from left to right:
    - The Topic description
    - The topic conditions and documents: read (6) the provisions for the type of action you want to apply for (CSAs, PCP or PPI cofund actions): e.g. proposal template is there.

For more info on topic, you can consult directly the relevant work program: all WPs and other reference docs are under 'How to participate', 'reference documents'

- Go to tab 'submission service' when ready to start drafting a proposal. You can save drafts and continue to work later on it.
- If term unclear, check H2020 manual or annotated grant agreement



- Finding Partners
  - EU procurement forum
  - Linkedin (e.g. PCP/PPI Linkedin group)
  - Ongoing EU funded PCP-PPI projects
  - Ongoing PCP/PPI initiatives in countries around Europe
  - National/regional competence centers/support programs for PCP/PPI
  - Horizon 2020 participant portal (list other partner search services)
  - Ideal-Ist partner search (for ICT related calls)
  - Your own network of colleague procurers/public services in your field, etc
- Support in preparing a proposal
  - National/regional competence centers/support programs for PCP/PPI
  - National Contact Points for Horizon 2020
  - <u>Ideal-Ist</u> (network National Contact Points for ICT for Horizon 2020)



- Contacts Competence Centres Support Programs for PCP/PPI
  - Finland: TEKES (contact1, contact2, contact3, contact4)
  - Sweden: VINNOVA (contact1, contact2, contact3)
  - Germany / North Rhine-Westphalia: BMWI + BME / ZENIT (<u>contact BMWI</u>, <u>contact BME 1</u>, <u>contact BME 2</u>, contact ZENIT)
  - Flanders, Belgium: IWT (contact)
  - Spain: CDTI / MINECO (contact CDTI, contact MINECO)
  - Austria: FFG / BBG / AIT (contact FFG 1, contact FFG 2, contact FFG3, contact BBG contact AIT)
  - Italy / Lombardia: MIUR / Appaltoprecommerciale.it (contact1, contact2)
  - Norway: Research Council Norway (<u>contact</u>)
  - Norden cross-border PCP/PPI collaboration involving NO, DK, FI, SE, IS (<u>Nordic Innovation</u>: <u>contact1</u>, <u>contact2</u>)
  - Eszak-Alfold, Hungary (<u>contact</u>)

<sup>\*</sup> More info on national competence centers / support programs for PCP/PPI here



- Finding budget to cover for PCP/PPI cofund actions the own contribution to the Horizon 2020 co-financed budget
  - Own procurement budgets
  - Regional / National ministries (responsible for the area) concerned
    - Ministry of Health supporting city procurer Eindhoven (SILVER)
    - Ministry of Interior procuring for Belgian fire brigades (SMART@FIRE)
  - National / regional competence centers / support programs for PCP/PPI
    - Some offer co-financing for procurers in their countries/regions to undertake PCPs/PPIs (this can be combined with the EU co-financing)
  - Creative ways
    - Crowdfunding-like fundraising (Magdeburg university, IMAILE)
- Finding additional budget (not co-financed by Horizon 2020) to add on top of the Horizon 2020 co-financed budget
  - Managing authorities of Structural Funds (ESIF) programs



- 20% funding rate for coordination and networking activities in the PPI Cofund actions considered challenging for your case?
  - Joint procurement by large buyers groups can create serious cost savings
    - Value for money gain for large buyer as lead procurer / project coordinator can easily be higher than extra effort to coordinate the PPI
  - Flexibility to shift H2020 funding for the PPI subcontracting costs to the coordination and networking costs
  - H2020 funded CSA & PCP cofund actions can prepare the ground for PPIs
  - ESIF funded networking (e.g. RFEC projects) can prepare ground for PPIs
  - Lead procurer in PPI Cofund actions can chose not to be funded by H2020, but to request funding from ESIF or other national resources
  - Entities that can already do/coordinate cross-border joint procurements
    - Central Purchasing bodies in Member States
    - EGTC (European Groupings of Territorial Cooperation): list of existing EGTCs
    - ERICs (European Research Infrastructure Consortia)
    - AISBLs or other entities already established, or can be newly created, for cross-border projects (e.g. in ICT domain: GEANT, DANTE, PRACE etc)



## Proposal Eligibility - Evaluation

<sup>\*</sup> More detailed info in <u>Annex to the Work Programme</u> on eligible countries/funding rates (Annex A), admissibility (Annex B), eligibility (Annex C) and evaluation (Annex H) of proposals, specific funding requirements per funding instrument (Annex D&E), conditions for financial support to third parties (Annex K)...

#### Standard Eligibility Criteria: Annex C to WP

Coordination and	PCP-PPI Cofund Actions
<b>Support Actions</b>	
One legal entity established in a Member State or associated country	Three legal entities. Each of the three shall be established in a different Member State or associated country. All three legal entities shall be independent of each other.  Furthermore, there must be a minimum of two independent legal entities which are public procurers from two different Member States or associated countries.

#### Note:

In the case of Cofund actions, sole participants formed by several legal entities (e.g. European Research Infrastructure Consortia, European Groupings of Territorial Cooperation, central purchasing bodies) are eligible if the above-mentioned minimum conditions are satisfied by the legal entities forming together the sole participant.

#### **Evaluation Criteria: CSA Actions – Annex H to WP**

Excellence	Impact	Quality and efficiency of the implementation
<ul> <li>Clarity and pertinence of the objectives</li> <li>Credibility of the proposed approach</li> <li>Soundness of the concept</li> <li>Quality of the proposed coordination and / or support measures.</li> </ul>	- The expected impacts listed in the work programme under the relevant topic - Effectiveness of the proposed measures to exploit and disseminate the project results (including management of IPR), to communicate the project, and to manage research data where relevant	<ul> <li>Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks and resources</li> <li>Complementarity of the participants within the consortium (when relevant)</li> <li>Appropriateness of the management structures and procedures, including risk and innovation management</li> </ul>

### **Evaluation Criteria: PCP-PPI Cofund Actions Annex H to WP**

Clarity and The conserted increase to listed in the conseller Cal	
pertinence of the objectives  - Strengthening the competitiveness and growth of companies by developing innovations meeting the needs of European and global procurement markets  - Effectiveness of the proposed measures to exploit and disseminate the project results (including management of IPR), to communicate the project.  - More forward-looking concerted procurement approaches that reduce fragmentation of demand for innovative solutions	tiveness of the work including opriateness of the ation of tasks and urces implementarity of participants within consortium (when vant) propriateness of the agement structures procedures, ding risk and vation management

Commission

#### **Evaluation Procedure**



- 1 stage evaluation
  - Full procedure described in evaluation part of grants manual
- Evaluation by independent experts
- Proposals ranked according to evaluation scores

Unless otherwise specified in the call conditions: Evaluation scores will be awarded for the (3 evaluation) criteria, and not for the different aspects listed (per evaluation criterion) in the above table. For full proposals, each criterion will be scored out of 5. The threshold for individual criteria will be 3. The overall threshold, applying to the sum of the three individual scores, will be 10.

#### Indicative Timetable

- Deadline for proposal submission, different in every WP (check this!) ICT-35 (23 April 2014), ICT-36 (14 April 2015)
- Info on outcome evaluation: 5 months after submission deadline
- Signing grant agreement: 3 months after info on outcome evaluation

#### Part 1 slide set



## Proposal Template Coordination and Support actions

#### Structure according to evaluation criteria

- Cover page
- 1. Excellence
  - Objectives
  - Relation to the work programme (topic calling for the CSA)
  - Concept, approach, quality of coordination & support measures
- 2. Impact
  - Expected impacts (check those under topic calling for the CSA)
  - Measures to maximise impact
     Dissemination & exploitation of results+Communication activities
- 3. Implementation
  - Project Plan: work plan, work packages, deliverables, milestones
  - Management structure and decision making procedures
  - Consortium as a whole
  - Resources to be committed (table person months, other costs)
- 4. Consortium Members
  - Participants and third parties
- 5. Ethics and security (optional)

#### Part 1 slide set



## Proposal Template PCP-PPI Cofund actions

#### Structure according to evaluation criteria

- Cover page
- 1. Excellence
  - State of the art
  - Clarity & pertinence of objective of the PCP/PPI-common challenge
  - Progress beyond state of the art
  - Credibility of the proposed approach (check scope with call topic)
- 2. Impact
  - Expected impacts (check those under topic calling for the Cofund)
  - Measures to maximise impact
- 3. Implementation
  - Project Plan: work plan, work packages, deliverables, milestones
  - Management structure and decision making procedures
  - Consortium as a whole
  - Resources to be committed
- 4. Consortium Members
  - Participants and third parties
- 5. Ethics and security (optional)

#### **Excellence**



#### State of the art

- On the supply side: What do suppliers already have? What is under development in ongoing R&D projects? Which shortcomings are there in state of the art to meet the procurement need? Results of any IPR search?
- **On the demand side**: What are most advanced solutions already deployed or under development by customers? Shortcomings for procurement need?
- Framework conditions: applicable sectorial policies, regulation, ongoing standardisation, certification

#### Clarity & pertinence of objective of PCP/PPI – common challenge

- What is the common challenge addressed by the PCP/PPI?
  - PCP: multi-facet challenge? Confirm all in buyers group need all facets.
  - PPI: which portion of challenge is common core part vs local part?
- How does it address an unmet need (buyers group+other potential users)?
  - Prior analysis: needs assessment, cost-benefit analysis, benchmarking?
  - Motivation to start PCP or PPI results from
    - Internal motivations? (Desire to improve quality / efficiency) and/or
    - External motivations? (e.g. regulatory obligations on water quality) etc

#### **Excellence**



- Progress beyond state of the art
  - On the demand side: degree of ambition of targeted quality/efficiency improvements compared to state of the art of what's deployed today
  - **On the supply side**: how demanding is the R&D/innovation that suppliers will have to undertake to address the unmet need?
- Credibility of the proposed approach
  - Proposed approach/methodology to achieve the project objectives
    - Project specificities to implement H2020 WP Annex D/E requirements
    - Proposed lead procurer, buyers group, (third parties), (members sole participant) -> Final confirmation by end prep. phase during project
    - Approach preparation phase: market consultation, development common specs & evaluation criteria
    - Approach implementation phase: scope procurement, expected output, duration, budget, approach for joint evaluation offers (external experts or not, draft evaluation criteria), monitoring progress suppliers
      - PCP: nr suppliers/phase, procuring test products included or not
      - PPI: who buys what/how much (all exactly the same or not, FW contracts/lots or not), evaluation how long after real-life operation

#### **Excellence**



- Credibility of the proposed approach (ctd)
  - Link of PCP/PPI with proposed coordination/networking activities to remove barriers for market introduction (e.g. standardisation, certification, awareness raising/training, preparation other PCPs/PPIs, etc)
  - Identify how proposal addresses scope/challenge relevant WP topic
    - E.g. if replying to call for PCP cofund actions in e-health Work Program PH-27, explain also how proposal fits into e-health scope, objectives and policy context (e.g. link with e-health action plan) defined in PH-27
  - Objectives and performance indicators
    - Define SMART objectives for PCP/PPI and coord/netw activities
    - Propose indicators that will allow to measure progress
  - Link with other initiatives
    - Link with other (inter)national initiatives (other PCPs/PPIs etc)

#### **Impact**



#### Expected impacts

- Impacts in WP under the topic calling for PCP or PPI cofund action
- Impacts for all PCP/PPI cofund actions in Annex H of Work Program
  - More forward-looking proc., ambitious quality/efficiency improvements
  - Reducing fragmentation of demand for innovative solutions
  - Improving competitiveness and growth of companies via development of innovations meeting needs of European and global procurement mkt
- Any other impacts (e.g. wider impacts on society/public interest)

#### Measures to maximise impact

- Demand side measures to encourage wide deployment of solutions
  - Plans to deploy and encourage other procurers to deploy solutions
  - Ways in procurement approach itself (e.g. KPIs) to maximise impact
  - Planned activities to remove barriers for market introduction
  - Plans for maximising use of outcomes/results of PCP/PPI

#### **Impact**



- Measures to maximise impact (ctd)
  - Measures to encourage wide exploitation of results by supply side
    - IPR arrangement encouraging suppliers to exploit solutions widely
    - To what extent PCP/PPI provides 1<sup>st</sup> customer reference to suppliers
    - Measures to ensure EU wide industrial interest/involvement in PCP/PPI (e.g. in market consultation, in sending in offers to call for tender)

#### Communication activities and dissemination of results

- Draft communication/dissemination plan
  - Which target groups and communication means foreseen?
  - Covering communication during PCP/PPI about ongoing activities
     (e.g. market consultation) and benefits of undertaking a PCP or PPI
  - Covering measures for dissemination of project results/impacts
     after PCP/PPI has finished (e.g. quality/efficiency improvements
     achieved by procurers, new products produced by suppliers)

#### **Implementation**



#### Project plan

- •Work plan with work packages, deliverables, milestones (follow templates)
- Work Packages (foresee separate work packages for)
  - Consortium management
  - Preparation stage
  - Procurement/tendering stage
  - Contract implementation stage
  - Communication and dissemination
  - Additional related coordination and networking activities
- Deliverables (foresee following specific deliverables)
  - At end preparation stage: call for tender docs, report on outcome preparation phase, commitment on availability financial commitments
  - At end of tender evaluation: info on total nr bids received, data on winning tenderer(s), abstract of winning tenders + final ranked list of selected projects, final scores and qualitative assessment per evaluation criterion for each received bid, minutes of the evaluation meeting + assessment of results of tenderers in previous phase (PCP only)
  - At the end of action: assessment of validation of solutions resulting from PCP/PPI + demonstration of solutions to Commission

#### **Implementation**



- Management plan and decision making procedures
  - •Organisational structure and decision making mechanisms governance, conflict resolution, quality management, potential changes in partners and/or reallocation of budget, approving deliverables, decision making for handling of any IPR related rights assigned to the buyers group
  - Confirm consortium's commitment to make consortium agreement
  - •Risk assessment and risk mitigation measures (Table 3.2b)
- Consortium as a whole
  - Consortium
    - Complementarity beneficiaries
    - How beneficiaries will work as team
    - Critical mass to achieve wide deployment
  - •Other countries: if any (see Annex A work program), explain why their participation is essential

#### **Implementation**



#### Resources to be committed

- •How will consortium mobilise resources for project (incl. own contribution)
- •Dependencies in mobilising resources (e.g. additional funding from national or other Community programs such as ESIF)
- •Resources (financial or in kind) from third parties associated to beneficiaries

#### Don't forget to complete the Tables related to resources

- Estimated direct costs for PCP or PPI subcontracting -> Table 3.4
- Estimated costs for coordination and networking activities
  - Direct personnel costs (Table 3.4.b)
  - Direct costs of subcontracting (Table 3.4.b)
  - Other direct costs (Table 3.4.c)

#### Part 1 slide set



## Proposal Submission System

**Demonstration** 

### Example Budget Table PCP cofund actions Financial part Submission system

Commission

#### 3 - Budget for the proposal

?

Estimated project budget: The table with the estimated project budget can only contain costs items that are not cofunded simultaneously by ESIF. For consortia that plan to enlarge the budget for the PCP with additional funding from ESIF, the part of the costs of PCP subcontracting that are proposed to be cofunded by Horizon 2020 in the budget table shall be separated clearly from the part of the costs of PCP subcontracting that are intended to be cofunded by ESIF, on the basis of expenditures that can be justified by separate invoices.

**Direct costs of PCP subcontracting**: In conformity with the work programme Annex D, each participant that is part of the buyers group of the action contributes its individual financial contribution to the total budget necessary to jointly finance the PCP, from which all tenderers that are selected as a result of the joint PCP call for tender will be paid by the consortium. For consortia that choose to have all selected tenderers paid by the lead procurer, only the lead procurer should complete column (A) with the total estimated cost of PCP subcontracting. For consortia that choose to have each selected tenderer paid pro rata by each procurer in the buyers group according to the share of the individual financial contribution of each procurer to the total cost of PCP subcontracting, each participant that is a procurer in the buyers group should complete column (A) with his individual share of the total estimated cost of PCP subcontracting. Eligible costs of PCP subcontracting include related duties, taxes and charges such as non-deductible value added tax (VAT) paid by the beneficiary(ies).

**Maximum EU contribution**: This is the theoretical amount of EU contribution if the reimbursement rate is applied to all the budgeted costs. The theoretical amount of EU contribution for the action is capped by the requested total grant amount.

Participant	(A) Direct costs of PCP subcontracting /€				B) dination and networkin in examp		(C) Total costs/€ (=A+B)	(D) Reimbursement rate/%	(E) Maximum EU contribution/ € (=C*D)	(F) Requested total grant amount/E
	(1)	(2)	(B1) Direct personnel costs/€	(B2) other subcontracting costs/€	(83) Other direct costs/€	(B4) Indirect costs/€ (=(B1+B3)*25%)				
Department of Health	4M	2 <i>M</i>	(1)°	In case l	JK (lead°	procurer	) pays o	ıll süpp	liers °	0
Ville de Luxembourg	ОМ	2 <i>M</i> <sup>2</sup>	<b>(2)</b> °	In case ê	ach of 3°	procure	rs paysº	each su	pplier p	ro rata
MINISTRY OF HEALTH	<u>ом</u>	0M	0	0	0	0	0	70	0	0
Total		O	0	0	0	o	0		0	0

## Link with Table 3.4: direct costs PCP subcontracting Proposal template PCP cofund actions

	Participant Number / Short Name	Country	(a) Contribution from participant's own resources to the part of the PCP subcontracting costs cofunded by Horizon 2020 [€] (min d*30%)	(b) EU Contribution from Horizon 2020 [€] (max d*70%)	(c) Indicative possible additional Contribution cofunded by ESIF (including contribution from participant's own resources to the part of the PCP subcontracting costs cofunded by ESIF) (optional) [€]	(d) Minimum total jointly committed budget for payment of the PCP subcontracts = Maximum amount of subcontracting costs that can be eligible for cofunding by Horizon 2020 [€] (a + b)	(e) Maximum total jointly committed budget for payment of the PCP subcontracts [€] (a + b + c)	
	1	UK	0,6 M	1,4 M		2 M	2 M	
	2	LU	0,6 M	1.4 M		2 M	2 M	
	3	PL			0,8 M	ОМ	0,8 M	
If LU an			st eventual					pocket),
	0,4M	could	be shifted	to fund ex	tra coord	& netw ac	tivities	
Total		1.2 M	2.8 M	0.8 M	$\left(4\mathrm{M}\right)$	4.8 M		

\*Max 1,2M (30% of 4M) of coord & netw costs eligible under H2020