European Commission

# Horizon 2020 LEIT-Space 2016-2017

## Rules for participation, proposal submission, evaluation procedure

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Research Executive Agency

# Space Research – main actors

- **Research Executive Agency (REA)⇧**

  Call handling, receipt of proposals, evaluation process, grant agreement preparation, grant agreements signature, receipt of reporting, reviews, payments, audits

  New Mandate for Horizon 2020 and continued implementation of FP7 Space projects

- **European GNSS Agency (GSA)⇨**

- **Executive Agency for SMEs (EASME) ⇩** ex-Executive Agency for Competitiveness and Innovation (EACI)

- **European Commission DG GROW: EU Space policy and Research and Copernicus**

  http://ec.europa.eu/research/horizon2020/index_en.cfm?pg=h2020-documents

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1. **Rules for participation and evaluation**
2. Novelties in H2020
3. Proposal evaluation and ranking process
4. Independent experts

EU Programmes 2014-2020

Search Topics

Updates

Calls

H2020

Research Fund for Coal & Steel

COSME

3rd Health Programme

Consumer Programme

Justice Programme

FP7 & CIP Programmes 2007-2013

Calls

Other Funding Opportunities

# Calls for Proposals

Horizon 2020

Advanced search for topics
Calls for tenders on TED

- Industrial Leadership
  - Leadership in enabling and industrial technologies (LEIT)
    - Information and Communication Technologies
    - Nanotechnologies
    - Advanced materials
    - Biotechnology
    - Advanced manufacturing and processing
    - [x] Space

Sort by: Call title | Call identifier | Publication date

Filter a call | FILTER

**Societal Challenges**
**Earth Observation**
H2020-EO-2017
Publication date: 14-10-2015

**Societal Challenges**
**Earth Observation**
H2020-EO-2016
Publication date: 14-10-2015

**Industrial Leadership**
**Competitiveness of European Space Sector: Technology and Science**
H2020-COMPET-2016
Publication date: 14-10-2015

**Industrial Leadership**
**Competitiveness of the European Space Sector: Technology and Science**
H2020-COMPET-2017

**Industrial Leadership**
**Applications in Satellite Navigation – Galileo – 2017**
H2020-GALILEO-GSA-2017

**Industrial Leadership**
**Applications in Satellite Navigation-Galileo 2014-2015**
H2020-Galileo-GSA-2014-2015

# Types of action / funding rates

- **Research and Innovation Action (RIA):**

  Up to 100% of eligible costs

- **Innovation Action (IA):**

  Up to 70% of eligible costs

  (exception: up to 100% for non-profit organisations)

- **Coordination and Support Action (CSA):**

  Up to 100% of eligible costs

- **Pre-Commercial Procurement (PCP):**

  Governed by participation rules; EO-2-2016 max 90%

**In all cases:**

**GRANTS = co-funding of the European Union**

# Admissibility criteria

1. **Submitted in the electronic submission system before the deadline** → Acknowledgement of Receipt
2. **Complete** (requested administrative forms + proposal description + supporting documents)
3. **Readable, accessible and printable**
4. **Respecting page limit** (RIA/IA: 70 pages; CSA:50 pages; PCP 90 pages)
   - Outside the limit:
     - **participating organisations** (operational capacity check)
       - CV or profile description of staff carrying out the work
       - A list of up to 5 publications and/or other research or innovation products
       - A list of up to 5 relevant previous projects/activities
       - Relevant available infrastructure/equipment description
       - Description of additional third parties contributing to the work
     - **ethics self assessment, data management plan** (open access to peer-reviewed scientific publications)

# Eligibility criteria

1) Content corresponds, **wholly or in part**, to the topic description against which it is submitted

2) Proposal complies with the minimum participation and any other eligibility conditions set out for the type of action:

*Can be supplemented or modified in the call conditions*

| | |
|---|---|
| **Research & innovation action** | a. **Three legal entities.**<br>b. Each of the three shall be established in **a different Member State or associated country**.<br>c. All three legal entities shall be **independent of each other.** |
| **Innovation action** | |
| **Pre-commercial Procurements (PCP)** | The same as RIA & IA (a, b & c) out of which there are **two independent legal entities** which are **public procurers** from two different Member States or associated countries. |
| **Coordination & support action** | **One legal entity** established a Member State or associated country. |

***Non-eligibility can also be discovered during/after evaluation***

# Countries eligible to receive funding



- **EU-Member States**
- **The Overseas Countries and Territories (OCT) linked to the MS:** Anguilla, Aruba, Bermuda, Bonaire, British Virgin Islands, Cayman Islands, Curaçao, Falkland Islands, French Polynesia, Greenland, Montserrat, New Caledonia, Pitcairn Islands, Saba, Saint Barthélémy, Saint Helena, Saint Pierre and Miquelon, Sint Eustatius, Sint Maarten, Turks and Caicos Islands, Wallis and Futuna .
- **Horizon 2020 associated countries**
  Check Funding Guide for up-to-date information whether agreements are signed (13 countries as of August 2015):
  http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/international-cooperation_en.htm

For **Switzerland** an agreement has been signed only for Excellent Science (incl. ERC, FET, RI & Marie Curie actions), actions under specific objectives 'Spreading excellence and widening participation' and ITER and EURATOM.

- **Third countries listed in General Annex A**
- **International organisation of European interest**

# Countries eligible to receive funding

**Legal entities established in countries not listed in Annex A and international organisations will only be eligible for funding:**

- If **explicitly mentioned in the call text**.
- When funding for such participants is provided for under a **bilateral scientific and technological agreement or any other arrangement** between the Union and an international organisation or a third country
- When the **Commission deems participation of an entity essential for carrying out the action funded through Horizon 2020**

# Agenda

1. Rules for participation and evaluation
2. **Novelties in H2020**
3. Proposal evaluation and ranking process
4. Independent experts

# Novelties under H2020 1

1) **H2020 emphasis on impact**
2) **Negotiation became Grant Agreement Preparation**
3) **Guidance only available via NCPs**
4) **Obvious Clerical Errors**
   - *For example Requested EU funding = 0*
   - *Incomplete proposals are not OCE - Please submit on time!*
4) **New criteria and sub-criteria** (last version 10/2015)

# Novelties under H2020 3

## 5) Budget Flexibility

- *Justification*

## 6) Page limits

- *"Please disregard" watermark*

## 7) Third Country Participation and Funding

- *Countries outside Annex A/non-associated?*

## 8) Ethics Issues

- *Self-Assessment*
- *Screening*

# Simplification & new H2020 rules - a single funding rate

## FP7

| Maximum reimbursement rates | Research and technological development activities (*) | Demonstration activities | Other activities |
|---|---|---|---|
| Network of excellence | 50%<br>75% (**) | | 100% |
| Collaborative *project*(****) | 50%<br>75% (**) | 50% | 100% |
| Coordination and support action | | | 100% (***) |

(*) Research and technological development includes scientific coordination.
(**) For *beneficiaries* that are *non-profit public bodies*, secondary and higher education establishments, *research organisations* and *SMEs*
(***) The reimbursement of indirect eligible costs, in the case of coordination and support actions, may reach a maximum 7% of the direct eligible costs, excluding the direct eligible costs for subcontracting and the costs of resources made available by third parties which are not used on the premises of the *beneficiary*.
(****) Including research for the benefit of specific groups (in particular SMEs)

## HORIZON 2020

### One project = One rate

- ✓ For all beneficiaries and all activities in the grant.
- ✓ Defined in the Work Programme:
  - Up to 100 % of the eligible costs;
  - but limited to a maximum of 70 % for innovation projects (exception for non-profit organisations - maximum of 100%)
  - Specific reimbursement rates for programme co-fund actions

# Simplification & new H2020 rules

- Acceptance of beneficiaries' usual accounting practices for direct costs'
- Acceptance of 'average' personnel costs
- No more time-sheets for personnel working full time on EU project
- No reporting of interest on pre-financing
- Ex-ante financial capacity checks only for private coordinators
- Only 1 'certificate on the financial statements' at the end of the project for beneficiary requesting EUR 325 000 (direct cost) or more

# Agenda

1. Rules for participation and evaluation
2. Novelties in H2020
3. **Proposal evaluation and ranking process**
   - **Evaluation process**
   - **Award criteria, proposal scoring & ranking**
   - **Individual evaluation aspects**
4. New independent experts

# Overview evaluation +GAP 2016

*3 March: closure Call*

*Remote evaluations*
*11 April – 13 May*

*Central evaluations*
*17 May – 3 June*

*6-10 June: Ethics screening*
*5 July: Inform applicants*

*3 November*
*GAP endimng*

**Receipt of proposals**

**Individual evaluation**

**Consensus group**

**Panel Review**

**Finalisation**

**GAP**

**Eligibility check**

**Allocation of proposals to evaluators**

**Individual Evaluation Reports**

**(done remotely)**

**Consensus Report**

**Panel report**

**Evaluation Summary Report**

**Cross-readings**

**Panel ranked list**

**Final ranked list**

**Evaluation results sent to applicants**

**Initiation Grant Agreement Preparation**

**All Grant Agreements signed**

**Time-To-Inform (TTI): 5 months**

**Time-To-Grant (TTG): 8 months**

# Evaluation process for each call

**Max. 5 months**

Evaluators

| Receipt of proposals | Individual evaluation | Consensus group | Panel Review | Finalisation |
|---|---|---|---|---|
| Eligibility/ admissibility check<br><br>Allocation of proposals to evaluators | Individual Evaluation Reports<br><br>(Usually done remotely) | Consensus Report<br><br>(May be done remotely) | Panel report<br><br>Evaluation Summary Report<br><br>Panel ranked list<br><br>At the same time: Ethics Screening | Final ranked list<br><br>Evaluation results sent to applicants<br><br>Initiation Grant Agreement Preparation |

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# Evaluation process for each call

**Max. 5 months**

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| Receipt of proposals | Individual evaluation | Consensus group | Panel Review | Finalisation |
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# Proposal evaluation principles

- Excellence, transparency, fairness, impartiality, efficiency and speed
- Done by **independent experts** selected REA/GSA/EASME from Experts database on Participant Portal
  - Balance in terms of
    1. Skills, experience and knowledge
    2. Other factors
    - geographical diversity
    - gender
    - where appropriate, the private and public sectors
    - an appropriate turnover from year to year
  - **No conflict of interest !**

# EVALUATION CRITERIA
# Research and Innovation Actions/Innovation Actions/ SME instrument

European Commission

## Excellence

**Extent that proposed work corresponds to the topic description in the work programme**

- Clarity and pertinence of the **objectives**
- Soundness of the **concept**, and credibility of the proposed **methodology**
- Extent that proposed work is beyond the **state of the art**, and demonstrates **innovation potential** (e.g. ground-breaking objectives, novel concepts and approaches, new products, services or business and organisational models)
- Appropriate consideration of **interdisciplinary approaches** and, where relevant, use of **stakeholder knowledge**.

# EVALUATION CRITERIA
# Research and Innovation Actions/Innovation Actions/ SME instrument

European Commission

## Impact

- The extent to which the outputs would contribute to the expected **impacts listed in the work programme** under the relevant topic
- Any substantial impacts not mentioned in the WP, that would enhance **innovation capacity**; create new **market opportunities**, strengthen **competitiveness** and **growth** of companies, address issues related to climate change or the environment, or bring other important benefits for society
- Quality of proposed measures to exploit and **disseminate** project results (including IPR, manage data research where relevant); **communicate** the project activities to different target audiences (n/a SME Phase 1)

# EVALUATION CRITERIA
# Research and Innovation Actions/Innovation Actions/ SME instrument

European Commission

## Implementation

- Quality and effectiveness of the **work plan**, including extent to which **resources** assigned in work packages are in line with objectives/ deliverables
- Appropriateness of **management structures** and procedures, including **risk** and **innovation management**
- Complementarity of the participants which the **consortium** as a whole brings together expertise
- Appropriateness of **allocation of tasks**, ensuring that al participants have a valid role and adequate resources in the project to fulfill that role

# EVALUATION CRITERIA
# Pre-Commercial Procurement Actions/Public Procurement of Innovative Solutions Actions

European

## Excellence

Extent that proposed work corresponds to the topic description in the work programme
•Clarity and pertinence of the objectives
•Soundness of the concept, and credibility of the proposed methodology
**•Progress beyond the state of the art in terms of the degree of innovation needed to satisfy the procurement need**

## Impact

- The expected impacts listed in the work programme under the relevant topic
- Strengthening the competitiveness and growth of companies by developing innovations meeting needs of European and global procurement markets
- Quality of proposed measures to exploit and disseminate project results (including IPR, manage data research where relevant);communicate the project activities to different target audiences
- **More forward looking procurement approaches reducing fragmentation of demand for innovative solutions**

## Implementation

- Quality and effectiveness of the work plan, including extent to which resources assigned in work packages are in line with objectives/deliverables
- Appropriateness of management structures and procedures, including risk and innovation mgt
- Complementarity of the participants which the consortium as a whole brings together expertise
- Appropriateness of allocation of tasks, ensuring that al participants have a valid role and adequate resources in the project to fulfill that role

# Evaluation: Selection criteria

- **Operational capacity:**
  - Assessed by the experts during evaluations as part of *'Quality and efficiency of the implementation'*
  - Check if the consortium partners have the capacity to carry out the proposed work
  - Based on information provided by the applicant in the proposal (Part B): CVs, publications, references, available infrastructure, etc.

# Proposal scoring

1. Per criterion: Assessment, comments, justifications
2. Matching scores

**→ Σ 12,0 out of 15,0**

- Evaluation scores are awarded per criterion, scale from 0 to 5, half point scores may be given
- Maximum score: 15
- **Individual criteria threshold:** 3
- **Total score threshold:** 10

# Proposal scoring

- **0 -** The **proposal fails to address the criterion** or cannot be assessed due to missing or incomplete information
- **1 - Poor.** The criterion is inadequately addressed or there are serious inherent **weaknesses**
- **2 - Fair.** The proposal broadly addresses the criterion, there are significant **weaknesses**
- **3 - Good.** The proposal addresses the criterion well, but a number of **shortcomings** are present
- **4 - Very Good.** The proposal addresses the criterion very well, but a small number of **shortcomings** are present
- **5 - Excellent.** The proposal successfully addresses all relevant aspects of the criterion. Any **shortcomings** are minor

# Evaluation process for each call

**Max. 5 months**

Evaluators

| Receipt of proposals | Individual evaluation | Consensus group | Panel Review | Finalisation |
|---|---|---|---|---|
| Eligibility/ admissibility check<br><br>Allocation of proposals to evaluators | Individual Evaluation Reports<br><br>(Usually done remotely) | Consensus Report<br><br>(May be done remotely) | Panel report<br><br>Evaluation Summary Report<br><br>Panel ranked list | Final ranked list composed and information sent to applicants |

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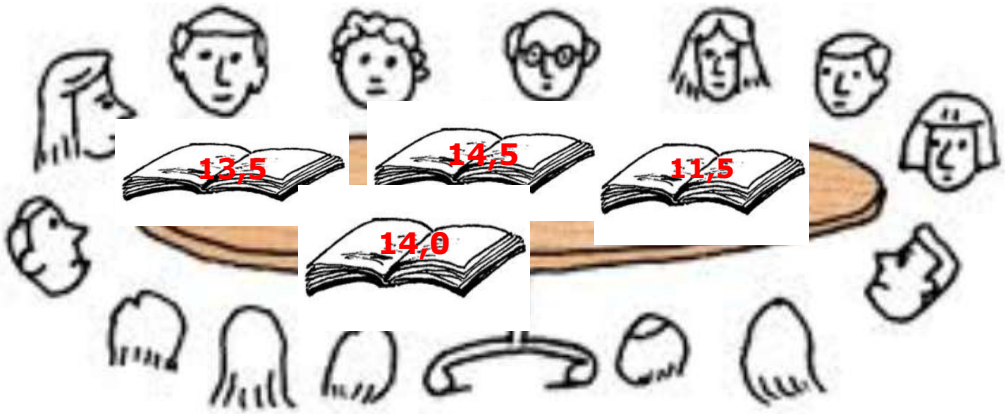
# Ranking of proposals

- Done by experts in **panel review**
- **1 ranked list** per topic or per group of topics with a dedicated budget
- Preparation: **"cross-reading"**



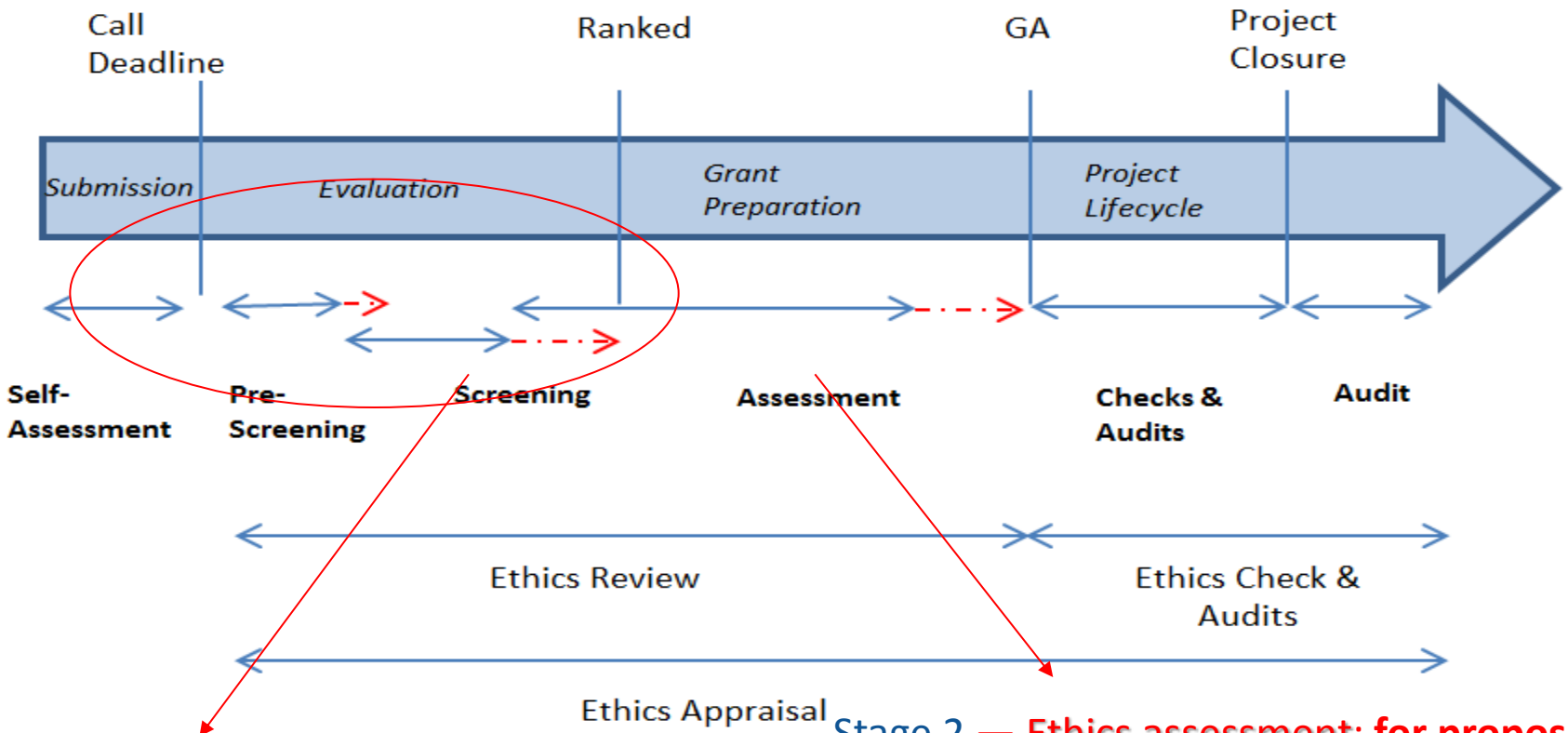
# Rules for the ranking

- **For Innovation Actions:** impact with **weight 1.5**
- **Priority criteria**
  1. **RIA: excellence > impact ; IA: impact > excellence**
  2. **topic not covered by higher ranked proposals**
  3. other criteria such as:
     - **SMEs(budget)**
     - **gender balance** among the personnel named in the proposal, primarily responsible for carrying out the research and/or innovation activities

General Annexes Part H

- **Additional rules for selection specified in the WP**:
  - eg. COMPET-1-2016: max one proposal per identified Urgent Action Line

# Ethics appraisal




Stage 1 — **Ethics screening, starting with the pre-screening** (on the basis of your 'ethics self-assessment') to see if it raises 'ethical issues' and whether they are adequately handled.

Stage 2 — **Ethics assessment; for proposals raising serious ethical issues** (e.g. severe intervention on humans, lack of appropriate ethics framework in the country where the research will be conducted, etc.) a more detailed analysis is made.

# After the evaluation…

- Information is sent to applicants **max 5 months** from call deadline: trigger for Grant Agreement Preparation phase
- **Total of 8 months** from evaluation closure until the signature of the Grant Agreement
- Close interaction with beneficiaries:
  - Minor modifications in content, only if necessary
  - Administrative procedure (e.g., validations, financial viability check, if needed) with minimised administrative burden for applicants and high reliance on electronic submissions
- Internal procedure: award decision, budgetary commitment
- Grant Agreement signature
- Pre-financing to consortium

# Agenda

1. Rules for participation and evaluation
2. Novelties in H2020
2. Proposal evaluation and ranking process
4. **Independent experts**

# New experts needed !!!

**Call for Expression of Interest** for new experts for H2020

http://ec.europa.eu/research/participants/portal/desktop/en/experts/index.html

Roles: Evaluator, rapporteur, quality support, independent observer; also project reviewer

**Register** or **update profiles!**

- Keyword lists
- Confirm availability for H2020 + FP7
- Experts may work max 120 days per 4 years

**40% target female experts:** for upcoming H2020 Calls

## News

H2020 call for expression for interest for experts (11/2013) New calls for expression of interest for individual experts and for organisations to suggest experts were just published in OJ C342 of 22 November 2013. European Commission will soon need experts to evaluate first Horizon 2020 proposals. Don't forget to tick the H2020 box in the registration platform and update your expertise.

## Quick Links

- FAQ for Experts
- Expert recommendations

### Logistics for Brussels

- Map of evaluation area
- Info on hotels
- Metro map
- From airport to Brussels

## Experts

H2020 ONLINE MANUAL

Join the database of independent experts for European research and innovation.

The European Commission appoints independent experts to assist with research and innovation assignments including the evaluation of proposals, monitoring of projects, and evaluation of programmes, and design of policy.

## New experts

### Who can be an expert?

You have a chance of being selected as an expert if you:

- have high-level of expertise in the relevant fields of research and innovation (see call for details on types of expertise).
- can be available for occasional, short-term assignments

REGISTER AS EXPERT

### What do expert assignments involve?

Experts, as peer reviewers, assist in the:

- **evaluation** of proposals
- **monitoring** of actions

In addition, experts assist in the :

- **preparation, implementation or evaluation of programmes** and **design** of **policies**.

Assignments mainly concern research and innovation, falling within the Horizon 2020 programme designed to address the challenges Europe is facing through funding excellent science, technology and innovation.

Take a look at the most recently funded projects.

In order to access the expert registration form, you are first asked to login with a valid Participant Portal (ECAS) account. If you do not have it yet, it easy to **create your Portal (ECAS) account.**

## Registered experts

- Registered experts can complete or **update their profile** at any time by logging-in to their Portal account

# How to prepare & submit a proposal?

- **Follow strictly the instructions**
- **Read carefully the work programme topic (+ annexes)**
  *What is expected?*
  - High oversubscription expected in many topics
- **Respect admissibility and eligibility criteria**
  - Basic checks by electronic submission system
- **Be clear and explicit**
  - Evaluators must judge only what they read and have limited time
- **Convince the evaluation experts regarding ALL selection and award criteria**
- **Let someone do a mock evaluation before submission**
  - No pre-proposal checks by the Commission
- **Do not wait until the last minute to submit your proposal**

European Commission

# Thank you for your attention !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# Useful links

- Call pages: http://ec.europa.eu/research/participants/portal/desktop/en/opportunities
- Work Programme 2016-2017 - DRAFT: https://ec.europa.eu/programmes/horizon2020/sites/horizon2020/files/05iii.%20LEIT%20Space%202016-2017_pre-publication.pdf
- H2020 reference documents: http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html
- Grants Manual - Section on: Proposal submission and evaluation http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/pse/h2020-guide-pse_en.pdf
- Guidance for evaluators of Horizon 2020 proposals http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/pse/h2020-evaluation-faq_en.pdf
- Communication guidelines for projects: http://ec.europa.eu/research/participants/data/ref/h2020/other/gm/h2020-guide-comm_en.pdf
- Templates for mock evaluations: http://ec.europa.eu/research/participants/data/ref/h2020/call_ptef/ef/h2020-call-ef-ria-ia-csa_en.pdf
- Guide on beneficiary registration, validation and financial viability check Manual: http://ec.europa.eu/research/participants/docs/h2020-funding-guide/index_en.htm

# Useful links

- List of research data repositories: http://www.re3data.org
- Data Management Plan: Digital Curation Centre
- https://dmponline.dcc.ac.uk/ http://www.dcc.ac.uk/resources/data-management-plans
- H2020 guidance: http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-pilot-guide_en.pdf
- http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-data-mgt_en.pdf
- IPR helpdesk: https://www.iprhelpdesk.eu/
- Communication guidelines: http://ec.europa.eu/research/participants/data/ref/h2020/other/gm/h2020-guide-comm_en.pdf
- The guide "Innovation: how to convert research into commercial success story": http://ec.europa.eu/research/industrial_technologies/pdf/how-to-convert-research-into-commercial-story_en.pdf

# Useful links

**ETHICS**

How to complete your ethics Self-Assessment:

http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/ethics/h2020_hi_ethics-self-assess_en.pdf

Ethics Issues Table template:

http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/ethics/ethics-eit_en.pdf

Currently for secure societies, but soon applicable to all calls (incl. space):

- https://ec.europa.eu/research/participants/portal/doc/call/h2020/h2020-bes-2015/1645164-explanatory_note_on_exclusive_focus_on_civil_applications_en.pdf
- https://ec.europa.eu/research/participants/portal/doc/call/h2020/h2020-drs-2015/1645163-explanatory_note_on_the_control_of_export_for_dual-use_items_en.pdf
- https://ec.europa.eu/research/participants/portal/doc/call/h2020/h2020-drs-2015/1645162-explanatory_note_on_potential_misuse_of_research_en.pdf