How to make a proposal

Francisco Guirao
DG CNECT, ICT Programme Operations Unit, R5
Topics

- Information and Guidance
- H2020 rules for participation
- Submit your proposal
- Evaluation process
- Cross-cutting features
Information and guidance
H2020 Calls

Call information and all necessary documentation are published on the Research Participant Portal

http://ec.europa.eu/research/participants/portal

- User friendly Participant Portal
- Easy to find funding opportunities
- Interaction with EC services through ECAS login*
  * EU Login from 6 October
Participant Portal Home Page

On this site you can find and secure funding for projects under the following EU programmes:

- **2014-2020** Horizon 2020 - research and innovation framework programme
- **2007-2013** 7th research framework programme (FP7) and Competitiveness & Innovation Programme (CIP)
- Research Fund for Coal & Steel, COSME, 3rd Health Programme, Consumer Programme, Justice Programme

**Non-registered users**
- search for funding
- read the H2020 Online Manual & download the legal documents
- check if an organisation is already registered
- contact our support services or check our FAQs

**Registered users**
- submit your proposal
- sign the grant
- manage your project throughout its lifecycle
- register as expert advising the Commission
Funding Opportunities landing page

EU Programmes 2014-2020

Search Topics

Updates

Calls

H2020
Research Fund for Coal & Steel
COSME
3rd Health Programme
Consumer Programme
Justice Programme

Funding Opportunities

Find the European Union funding opportunities and search for new or closed calls of the programmes described on this page.

Horizon 2020

Horizon 2020 is the new EU funding programme for research and innovation running from 2014 to 2020 with a €80 billion budget. H2020 supports SMEs with a new instrument that runs throughout various funded research and innovation fields, enhances EU international research and Third Country participation, attaches high importance to integrate social sciences and humanities encourages to develop a gender dimension in project.
H2020-calls page: Filter ICT

RESEARCH & INNOVATION
Participant Portal

EU Programs 2014-2020
Search Topics

Calls
- H2020
- 3rd Health Programme
- Asylum, Migration and Integration Fund
- Consumer Programme
- COSME
- Internal Security Fund - Borders
- Internal Security Fund - Police
- Justice Programme
- Promotion of Agricultural Products
- Research Fund for Coal & Steel
- Rights, Equality and Citizenship Programme

FP7 & CIP Programmes 2007-2013
Calls

Calls for Proposals

Horizon 2020

- Excellent Science
  - European Research Council (ERC)
  - Future and Emerging Technologies (FET)
  - Marie-Sklodowska-Curie Actions
  - Research Infrastructures
- Industrial Leadership
  - Leadership in enabling and industrial technologies (LEIT)
  - Information and Communication Technologies

Status
- Calls with forthcoming topics
- Calls with open topics
- Calls with only closed topics

Sort by
- Call title
- Call identifier
- Publication date

Filter a call

Societal Challenges
Sustainable Food Security - Resilient and resource-efficient value chains
H2020-SFS-2016-2017
Publication date: 14 October 2015

Industrial Leadership
Information and Communication Technologies Call
H2020-ICT-2016-2017
Publication date: 14 October 2015

Industrial Leadership
EU-Brazil Joint Call
H2020-EUB-2017
Publication date: 14 October 2015

Industrial Leadership
CALL FOR NANOTECHNOLOGIES, ADVANCED MATERIALS, BIOTECHNOLOGY AND PRODUCTION
H2020-NMBP-2016-2017
Publication date: 14 October 2015

Industrial Leadership
Horizon 2020 dedicated SME Instrument 2016-2017
H2020-SMEInst-2016-2017
Publication date: 14 October 2015

Industrial Leadership
Industry 2020 in the Circular Economy
H2020-IND-CE-2016-17
Publication date: 14 October 2015
Search-Topics page for "Newcomers"

RESEARCH & INNOVATION
Participant Portal

EU Programmes 2014-2020
Search Topics
Updates
Calls
- H2020
- Research Fund for Coal & Steel
- COSME
- 3rd Health Programme
- Consumer Programme
- Justice Programme

116 Results
Keyword Search: ict
If you don’t find your topic, you can also use the free text search.

Programme
- H2020
- RFCS
- COSME
- 3rd Health Programme
- Consumer Programme
- Justice Programme

Status
- Forthcoming
- Open
- Closed

Sort by
- (Planned) opening date
- Deadline
- Topic title
- Topic identifier

Topic: ART-01-2017:ICT infrastructure to enable the transition towards road transport automation
Publication date: 14 October 2015
Types of action: IA Innovation action
Deadline Model: two-stage
Opening date: 20 September 2016
Deadline: 2nd stage Deadline:
- 26 January 2017 17:00:00
- 27 September 2017 17:00:00
Time Zone: (Brussels time)

Topic: BG-09-2016:An integrated Arctic observation system
Publication date: 14 October 2015
Types of action: RIA Research and Innovation action
Deadline Model: single-stage
Opening date: 27 October 2015
Deadline: 17 February 2016 17:00:00
Time Zone: (Brussels time)
H2020-ICT-2016-2017 call page

RESEARCH & INNOVATION

Participant Portal

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

CALL: INFORMATION AND COMMUNICATION TECHNOLOGIES CALL

Call identifier: H2020-ICT-2016-2017
Publication date: 14-10-2015

Call summary

Scene Setter:
A novelty in Horizon 2020 is the Pilot on Open Research Data which aims to improve and maximise access to and re-use of research data generated by projects. Projects funded under the ICT call of the Work

Topics and submission service

To access the Submission Service, please select the TOPIC of your interest and then open the Submission Service tab. To access existing draft proposals, please log in to the portal and select My Proposals from the My Area menu.

Status
✔Forthcoming
✔Open
☐Closed

Sort by
☐(Planned) opening date
☐Deadline
☐Topic title
☐Topic identifier

Topic: ICT-01-2016:Smart Cyber-Physical Systems
Publication date: 14 October 2015

Types of action:
- CSA Coordination and support action, RIA Research and Innovation action

DeadlineModel:
- single-stage

Opening date: 20 October 2015
Deadline: 12 April 2016 17:00:00
Time Zone: (Brussels time)
**TOPIC: Smart Cyber-Physical Systems**

**Topic identifier:** ICT-01-2016  
**Publication date:** 14-10-2015  
**Types of action:** CSA Coordination and support action, RIA Research and Innovation action  
**Deadline:** 12-04-2016 17:00:00  
**Time Zone:** (Brussels time)

**Specific Challenge:**  
The importance of the areas of the often time- and safety-critical embedded and cyber-physical systems (CPS) will continue to grow with the increasing pervasiveness of ICT and the development of the Internet.

**Topic conditions and documents:**  
Please read carefully all provisions below before the preparation of your application.

**Submission Service:**  
The submission system is planned to be opened on the date stated on the topic header.

**Get support:**  
H2020 Online Manual your online guide on the procedures from proposal submission to managing your grant.
Submission service

TOPIC: Digital automation

Topic Identifier: FOF-11-2016
Publication date: 14-10-2015
Types of action: Coordination and support action [CSA], Research and Innovation action [RIA]
Deadline:
Opening date: 15-10-2015
Deadline: 21-01-2016 17:00:00
Time Zone: (Brussels time)

Horizon 2020 > Industrial Leadership
Call = H2020-INO-CZ-2016-17

Topic Description

Specific Challenge:
Manufacturing value chains are distributed and dependent on complex information and material flow requiring new approaches inside and outside the factory both on process and product lifecycle level. From...

Topic conditions and documents

Please read carefully all provisions below before the preparation of your application.

Submission Service

To access the Electronic Submission Service of the topic, please select the type of action that is most relevant to your proposal from the list below and click on the 'Start Submission' button. You will then be asked to confirm your choice of the type of action and topic, as these cannot be changed in the submission system. Upon confirmation you will be linked to the correct entry point.

To access existing draft proposals for this topic, please login to the Participant Portal and select the My Proposals page of the My Area section.

Type of Action: Coordination & support action [CSA]
Topic: Digital automation - FOF-11-2016

Type of Action: Research and Innovation action [RIA]
Topic: Digital automation - FOF-11-2016

Guidance on proposal submission:
H2020 ONLINE MANUAL
IT Guidance:

H2020 Online Manual: your online guide on the procedures from proposal submission to managing your grant.
Your "personal home page" after having created your own account

RESEARCH & INNOVATION
Participant Portal

European Commission > Research & Innovation > Participant Portal > Home

My Organisation(s)
My Proposal(s)
My Project(s)
My Notification(s)
My Formal Notification(s)
My Expert Area

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- manage your project throughout its lifecycle
- register as expert advising the Commission

WHAT'S NEW?  FUNDING OPPORTUNITIES  HOW TO PARTICIPATE  WORK AS AN EXPERT  MY PERSONAL AREA  INFORMATION AND SUPPORT

© European Commission
H2020 rules for participation
Forms of funding

**Grants**
- Research and innovation actions
- Innovation actions
- Coordination and support actions
- SME instrument
- ERANET co-fund
- Pre-commercial procurement actions
- Public procurement of innovative solutions actions

**Other**
- Framework Partnership Agreement
- Prizes, procurement, financial instruments
Research and Innovation Action

- Action primarily consisting of activities aiming to establish new knowledge and/or to explore the feasibility of a new or improved technology, product, process, service or solution

  - For this purpose they may include basic and applied research, technology development and integration, testing and validation on a small-scale prototype in a laboratory or simulated environment

  - Projects may contain closely connected but limited demonstration or pilot activities aiming to show technical feasibility in a near to operational environment
Innovation Action

- Action primarily consisting of activities directly aiming at producing plans and arrangements or designs for new, altered or improved products, processes or services
  - For this purpose they may include prototyping, testing, demonstrating, piloting, large-scale product validation and market replication
  - Aiming to validate the technical and economic viability in a (near) operational environment and/or aiming to support the first application/deployment in the market of an innovation that has already been demonstrated but not yet applied/deployed in the market due to market failures/barriers to uptake
  - Projects may include limited research and development activities
<table>
<thead>
<tr>
<th>Research &amp; Innovation Actions</th>
<th>Innovation Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Basic &amp; applied research</td>
<td>Limited R&amp;D activities</td>
</tr>
<tr>
<td>Testing / validation on small-scale prototype (in lab or simulated</td>
<td>Prototyping, testing, large-scale product validation &amp; market replication</td>
</tr>
<tr>
<td>environment)</td>
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</tr>
<tr>
<td>Limited demo or pilot activities (to show tech feasibility in a</td>
<td>Demo or pilot activities (to show tech feasibility in operational environment)</td>
</tr>
<tr>
<td>near to operational environment)</td>
<td></td>
</tr>
<tr>
<td>Developing innovations meeting needs of markets</td>
<td>Developing innovations meeting needs of markets &amp; their delivery to market</td>
</tr>
</tbody>
</table>

Exploitation activities

Innovation management
Type of Actions

Coordination & Support Action

• Actions consisting primarily of accompanying measures such as

  – standardisation, dissemination, awareness-raising and communication, networking, coordination or support services, policy dialogues and mutual learning exercises and studies, including design studies for new infrastructure, and

  – may also include complementary activities of strategic planning, networking and coordination between programmes in different countries
Type of Actions

SME Instrument

For single SMEs or SME consortia

- **Phase 1:** Feasibility study verifying the technological/practical as well as economic viability of an innovation idea/concept with considerable novelty

- **Phase 2:** Innovation projects that address a specific challenge and demonstrate high potential in terms of company competitiveness and growth underpinned by a strategic business plan.

- Phase 2 proposals should be based on a strategic business plan either developed through phase 1 or another means
Type of Actions

ERA-NET Cofund

- Supports public-public partnerships, including joint programming initiatives between Member States, in their preparation, establishment of networking structures, design, implementation and coordination of joint activities as well as EU topping-up of a trans-national call for proposals

  - The main activity is the implementation of the co-funded joint call for proposals that leads to the funding of transnational research and/or innovation projects. In addition, the consortia may implement other joint activities including other joint calls without EU co-funding

  - May also, depending on the research area and the underlying national programmes and their governing principles, target governmental research organisations. The co-funded call will in these cases be based on in-kind contributions from their institutional funding and the beneficiaries carry out the transnational projects resulting from their call fully or partially themselves

  - The in-kind contributions are the resources allocated as direct expenditure in the selected trans-national projects that are not reimbursed by the EU contribution
Pre-Commercial Procurement (PCP)

- Encourage public procurement of research, development and validation of new solutions that can bring significant quality and efficiency improvements in areas of public interest, whilst opening market opportunities for industry and researchers
  
  - Provides EU co-funding for a group of procurers to undertake together one joint PCP procurement, so that there is one joint call for tender, one joint evaluation of offers, and a lead procurer awarding the R&D service contracts in the name and on behalf of the group
  
  - Each procurer contributes its individual financial contribution to the total budget necessary to jointly finance the PCP, enabling the procurers to share the costs of procuring R&D services from a number of providers and comparing together the merits of alternative solutions paths to address the common challenge
  
  - The PCP shall explore alternative solution paths from a number of competing providers to address one concrete procurement need that is identified as a common challenge in the innovation plans of the procurers that requires new R&D
  
  - Cross-border PCP cooperation should aim to better address issues of common European interest, for example where interoperability and coherence of solutions across borders is required
Type of Actions

Public Procurement of Innovative Solutions (PPI)

• Enable groups of procurers to share the risks of acting as early adopters of innovative solutions, whilst opening market opportunities for industry

  – Provides EU co-funding for a group of procurers to undertake together one joint PPI procurement, so that there is one joint PPI call for tender launched by the ‘lead procurer’ and one joint evaluation of offers
  – In case framework contracts/agreements with lots are used, the specific contracts for procuring specific quantities of goods/services for each procurer can be awarded either all by the lead procurer or by each procurer in the group individually
  – Each action focuses on one concrete unmet need that is shared by the participating procurers and requires the deployment of innovative solutions that are to a significant extent similar across countries and are therefore proposed to be procured jointly

  This means that the innovative solutions procured by all procurers in the group shall have the same core functionality and performance characteristics, but may have additional 'local' functionality due to differences in the local context of each individual procurer
Admissibility conditions for proposals

- Submitted via the electronic submission service
- Readable, accessible and printable
- Complete
- Includes a **draft plan for the exploitation and dissemination** of the results (if not otherwise specified)

- Page limits will apply, but will not block the overshooting proposals' evaluation
Eligibility conditions for proposals

- **Proposal is in scope of the topic**

- **Standard minimum conditions:**
  - For **standard collaborative actions (RIA and IA)**
    - 3 independent legal entities, each established in a different Member State and/or Associated country
  - For **CSA**
    - 1 legal entity
  - For the **SME instrument**
    - At least 1 for-profit SME established in a Member State/Associated Country (no third country participation!)

- **Additional eligibility conditions**
  can be set out in the Work Programme
  (i.e. number of participants, type of participants, etc.)
Eligibility for funding

- Entities established in a Member State / Associated Country* or third country identified in the WP (no third-country funding for the SME instrument)
- Entities created under European Union law (e.g. the JRC)
- International European interest organisation (e.g. CERN, ESA)
- Other entities, e.g. from industrialised third countries, may receive funding if:
  - their participation is essential for the project or
  - such funding is foreseen in a bilateral agreement between the Union and a third country / international organisation

* Please note that Switzerland is an associated country for some calls and a third country for others. For more details, please consult: http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/h2020-hi-swiss-part_en.pdf
Simplified Funding Model

• **One reimbursement rate** per action (same rate for all beneficiaries and all activities):
  • Up to 100% for Research and Innovation actions (RIAs) and CSAs
  • Up to 70% for Innovation actions (IAs) (non-profit entities up to 100%)
  • Up to 70% for the SME instrument Phase 2 (Phase 1: 50 kEuro lump sum)
  • Up to 90% for Pre-commercial Procurement Actions (PCP)
  • WP to specify the reimbursement rate (e.g. 33% for ERANET co-fund)

• **One method for the calculation of indirect costs:**
  • Flat rate of 25% of total direct costs, excluding subcontracting, costs of third parties and financial support to third parties
  • If provided in WP, lump sum or unit costs

• Funding cannot exceed **total eligible costs minus receipts**
Submit your proposal
Electronic Submission

Electronic Submission System accessible from the Participant Portal's topic page

1. ECAS password
2. Participant Identification Code (PIC) compulsory for all partners
3. Prepare proposal
   - On-line form for Part A – Administrative forms
   - Upload Part B – Technical annex - pdf files
4. Validation-check button available on-line for Part A
5. Submit the proposal in good time before the 17h00 deadline

Submission failure rate = ± 1%
Only reason for failure: waiting with submission until the last minute
- Technical problems
- Panic-induced errors (uploading the wrong proposal)
- Starting the uploading too late → running out of time
Administrative forms 1/2

Section 1: General information
- Title, acronym, topic, etc.
- Fixed and free keywords
- 2000 character proposal abstract
- Re-application (re-submission)
- Declarations

Section 2: Participants & contacts (one form per partner)
- PIC to identify the partner
- Department
- Dependencies
- Contact information
Administrative forms

Section 3: Budget and requested grant

<table>
<thead>
<tr>
<th>No.</th>
<th>Participant</th>
<th>Country</th>
<th>(A) Direct personnel costs/€</th>
<th>(B) Other direct costs/€</th>
<th>(C) Direct costs of providing financial support to third parties/€</th>
<th>(D) Indirect Costs / €</th>
<th>(E) Special unit costs covering direct &amp; indirect costs / €</th>
<th>(F) Reimbursement rate (%)</th>
<th>(G) Total estimated eligible costs / €</th>
<th>(H) Total costs for BENEFICIARY &amp; THIRD PARTIES (€)</th>
<th>(I) Financial contribution / €</th>
<th>(J) Budget proposed by beneficiary / €</th>
<th>(K) Financial contribution / €</th>
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</tbody>
</table>

Section 4: Ethics' questionnaire

Section 5: Call-specific questions
- Clinical trial, SME instrument, Open Data Pilot, ERANET, PCP, PPI

Self-check for SME status, financial viability
Structured around the three evaluation criteria:

Section 1: criterion *Excellence*
- E.g. Objectives, concept, progress beyond state-of-art, ...

Section 2: criterion *Impact*
- E.g. Potential impact (with particular reference to the impact section in the WP);
- Measures to maximise impact (exploitation, dissemination to professional audiences, communication to the general public)

Section 3: criterion *Implementation*
- E.g. Consortium and distribution of tasks
- Including work-package descriptions
- Information on third parties and subcontractors ...
Technical annex: 2nd PDF: sections 4 - 5

Section 4: Members of the consortium, their skills and experience, involvement in similar projects etc.

Section 5: Ethics and Security

Templates are supplied by the submission system and available on the Participant Portal (on the topic pages)
Submission in H2020

- Simpler but tougher page limits:
  - 70 pages for RIA and IA standard full proposals
  - 50 pages for CSA
  - 90 pages for PCP, PPI

- check if a stricter page limit applies (e.g. FETPROACT) in the topic conditions or proposal template
- “warn and watermark”: watermarked pages will not be taken into account in the evaluation

- Page limits only apply to sections 1-3 of the Technical Annex (1st PDF)
Successful electronic submission

• Each submission overwrites the previous one
• Make an early submission to check out the procedure and your proposal
• Make your final submission in good time …
• … then look at what you submitted while there is still time to submit a correct version

Never (ever!) plan to submit in the last 30 minutes of the call!

If in trouble, immediately call the submission service helpdesk
H2020-ICT-2014: Proposal submissions as of 16:25. Deadline was 17:00.
Do not forget to push the submit button!!
Evaluation process
Evaluation process

Receipt of proposals
- Eligibility check
- Allocation of proposals to evaluators

Individual evaluation
- Individual Evaluation Reports
  (Usually done remotely)

Consensus group
- Consensus Report
  (May be done remotely)

Panel Review
- Panel report
  Evaluation Summary Report
  Panel ranked list

Finalisation
- Final ranked list

Process monitored by independent experts
The evaluation procedure is similar to the one under FP7, however adapted to H2020

- Consistent across the programme
- New types of calls; new types of proposals
  - multi-disciplinary and multi-sectorial; more emphasis on innovation and close-to-market
- Simplification for applicants, experts, and for streamlined operations;
  - 8 months time to grant (single-stage calls):
    - 5 months to evaluate and inform applicants on evaluation outcome
    - 3 months for grant preparation and signing
No grant negotiation phase!

- A proposal is evaluated as submitted not on its potential, if certain changes were to be made
- Shortcomings are identified, but no recommendations made
- Shortcomings are reflected in a lower score for the corresponding criterion
- Proposals with significant weaknesses that prevent the project from achieving its objectives, or with seriously over-estimated resources will not receive above-threshold scores;
- Any proposal with scores above thresholds can be selected as submitted
Evaluation of proposals

- Evaluation carried and monitored out by independent experts

- Evaluation (award) criteria
  - Excellence
  - Impact
  - Quality and efficiency of the implementation

Details, e.g. the sub-criteria, thresholds and weightings (if weightings are applicable) are described in the Work Programme and its General Annex (Annex no. 20)
Research and Innovation Actions (RIA)/Innovation Actions (IA)/SME instrument

**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.

**Impact**
- 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)

**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 all participants have a valid role and adequate resources in the project to fulfill that role
Coordination & Support Actions (CSA)

**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
  - Quality of the proposed coordination and/or support measures

**Impact**
- The expected impacts listed in the work programme under the relevant topic
- 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

**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 all participants have a valid role and adequate resources in the project to fulfill that role
ERA – NET Cofund

**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
  - Level of ambition in the collaboration and commitment of the participants in the proposed ERA-NET action to pool national resources and coordinate their national/regional research programmes

**Impact**
- The expected impacts listed in the work programme under the relevant topic
- Achievement of critical mass for the funding of trans-national projects by pooling of national/regional and contribution to establishing and strengthening a durable cooperation between the partners and their national/regional research programmes
- 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)

**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 all participants have a valid role and adequate resources in the project to fulfill that role
Pre-Commercial Procurement Actions (PCP)/Public Procurement of Innovative Solutions (PPI)

**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 (n/a SME Phase 1)
- 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 all participants have a valid role and adequate resources in the project to fulfill that role
Scoring/thresholds/weights

- The scores range from 0 to 5;
- Threshold for each individual criterion: 3;
- Total threshold: 10;

- For Innovation Actions and SME instrument
  - impact criterion weighted by factor of 1.5
  - impact considered first when overall scores equal

- There are deviations from the above! They can be found in the call or topic conditions.
Selection criteria

Operational capacity (OC - no specific provisions)

- Operational capacity means that the applicants must have the professional competencies and qualifications required to complete the proposed action or work programme: it may be assessed on the basis of specific qualifications, professional experience and references in the field concerned.

- OC is checked against the information in the proposal's Part B section 4:
  - Curricula Vitae or descriptions of the profiles of the applicants
  - Relevant publications or achievements
  - Relevant previous projects or activities
  - Description of any significant research infrastructure or any major items of technical equipment

Financial capacity

- Only coordinator of actions asking for 500 kEUR or more, except specific cases
- No verification of public bodies, entities guaranteed by a MS or AC and higher and secondary education establishments
Selection of proposals

- In each topic, all above threshold proposals are listed in descending order of overall scores

- We select proposals starting from the top of the list until the available budget is consumed

- Hence, the ranking of proposal is very important
Proposals with identical total scores

• For each group of proposals with identical total scores, the panel considers first proposals that address topics that are not already covered by more highly-ranked proposals

• The panel then orders them according to:
  – First, their score for Excellence,
  – And second, their score for Impact
  – Or the other way round for IAs and where specified in the Work Programme (WP)

• If there are ties, the panel takes into account the following factors:
  – First, the size of the budget allocated to SMEs
  – Second, the gender balance of personnel carrying out the research and/or innovation activities

• If there are still ties, the panel agrees further factors to consider:
  – e.g. synergies between projects or contribution to the objectives of the call or of Horizon 2020

• The same method is then applied to proposals that address topics that are already covered by more highly-ranked proposals
Ethics review

• Only proposals that comply with the ethical principles and legislation may receive funding

• For proposals considered for funding, an ethics screening and, if necessary, an ethics assessment is carried out by independent ethics experts in parallel with or soon after the scientific evaluation

• For proposals in which one or more ethical issues are identified, the experts will assess whether the ethics issues have been adequately addressed by the applicants

• The ethics experts will produce an ethics report and give an opinion on the proposal, including:
  – **Granting ethics clearance (or not)**
  – **Granting conditional ethics clearance: Fulfillment of ‘ethics requirements’ either before grant signature or during project lifetime (contractual obligations), or**
  – **Recommending an Ethics Assessment and/or Ethics Checks or Audits**

• The outcome of the ethics review is communicated to the applicants in the form of an Ethics Summary Report.
Cross-cutting features

- Innovation
- RRI and SSH
- Dissemination
- Communication
Innovation in H2020

• Innovation is mainstreamed in Horizon 2020

• Different aspects of innovation are called for under each of the 3 evaluation criteria (the same in RIA and IA):
  'Excellence' criterion (excerpt)
  • Extent that proposed work is beyond the state of the art, and demonstrates innovation potential

  'Impact' criterion (excerpt)
  • Any substantial impacts not mentioned in the WP, that would enhance innovation capacity; […]

  'Quality & efficiency of the implementation' (excerpt)
  • Appropriateness of the management structures and procedures, including risk and innovation management.

• Exploitation ≠ Innovation
Innovation is also being supported via:

- 'Procurement of Innovation'
- 'Inducement Prizes'
- SME Instrument
- 'Open Disruptive Innovation'
- 'Fast Track to Innovation'
- ....
Responsible Research and Innovation (RRI) & Social Sciences and Humanities (SSH)

An organic approach to RRI/SSH across the WP

- The pervasiveness and radicality of the changes ICT brings about (e.g. the rise of hyperconnectivity) makes it critical for innovation to be responsible:
  No responsibility? No innovation!

- RRI actions & SSH expertise are called for in e.g. Excellent Science (EXC), Industrial Leadership (LEIT), and Societal Challenges (SC) calls

More info on RRI and SSH in WP 2016/2017:
- Responsible R&I and Societal Dimension (RRI-SSH) session Tuesday 27 September, 14:00-14:40
Pilot on **Open Research Data in H2020**: scope

Open access: the practice of providing on-line access to scientific information that is free of charge to other users and that is re-usable.

All WP 2016-2017 areas now participate in the Open Research Data Pilot


**Open Access / Open Science session at:**
Monday 26 September, 11:20-12:00
Data management in Horizon 2020

- Data Management Plans (DMPs) mandatory for all projects participating in the Pilot, optional for others
  - DMPs are NOT part of the proposal evaluation, they need to be generated within the first six months of the project as an obligatory deliverable and updated as needed
  - All proposers to submit general information on data management - evaluated under criterion 'Impact'

- DMP questions:
  - What data will be collected / generated?
  - What standards will be used / how will metadata be generated?
  - What data will be exploited? What data will be shared / made public?
  - How will data be curated and preserved?
Why disseminate? / Why communicate?

Because you have a good story and a clear message for a target audience.

**Dissemination:** Your project is successful and you want to:
- build a community for discussion, project development, scaling up, best-practice exchange, experience sharing, piloting before market, etc.
- highlight a successful partnership and influence a choice for replicating and scaling up (MS participation, co-funding, collaboration instruments, etc.)
- show that investment in innovation is worth it and you wish to ask a specific audience (e.g. policy makers) for more investment

**Communication:**
- show the impact of the project to a wider audience.
- e.g. focus the impact on your region ('localise' the content via your local media)
Dissemination & Communication actions in practice

- Plan your Dissemination and communication actions: get started soon and identify the right timing
- Map your audiences and stakeholders
- Build a narrative which includes the EU policy your project contributes to implement
- Find good stories: examples, facts and figures and use visualisation if appropriate (videos, infographics, figures)
- Choose the most appropriate style and language (it depends on your audience) to express the concepts and messages, choose the most appropriate tools to reach your goals and target audience
- Go social (use social media: Facebook, Twitter etc.)!
- Follow up, monitor and measure
- Keep your PO informed!
We are looking for more experts, in particular female experts!

*Female Participation in ICT calls:*

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<th>Year</th>
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<td></td>
<td>28%</td>
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 Appropriately qualified professionals should apply to work as experts in H2020 evaluations.

*Application via the Participant Portal*

The selection is made per call deadline to ensure a broad range of knowledge and expertise and avoid conflicts of interest.
Thank you very much for your attention! Question time! Your questions, please!

francisco.guirao@ec.europa.eu