



# *Proposals submission and evaluation: rules and procedures under **Horizon 2020***

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HORIZON 2020

A graphic for Horizon 2020 featuring the word "HORIZON 2020" in large, white, sans-serif capital letters. The letter "O" in "HORIZON" is replaced by a transparent globe of the Earth. The text is set against a blue background with a glowing horizon line and radiating light rays.

Research and  
Innovation

# H2020 Rules for Participation

## **1. A single set of rules**

- Adapted for the whole research and innovation cycle
- Covering all research programmes and funding bodies
- Aligned to the Financial Regulation, coherent with other new EU Programmes

## **2. One project – one funding rate**

- Maximum of 100% of the total eligible costs (except for actions close to market, where a 70% maximum will apply)
- Indirect eligible costs: a flat rate of 25% of direct eligible costs

## **3. Simple evaluation criteria**

- Excellence – Impact – Implementation (Excellence only, for the ERC)

## **4. New forms of funding aimed at innovation: pre-commercial procurement, inducement prizes, dedicated loan and equity instruments**

## **5. International participation: facilitated, but better protecting EU interests**

# H2020 Rules for Participation

**6. *Simpler rules for grants:*** *broader acceptance of participants accounting practices for direct costs, flat rate for indirect costs, no time-sheets for personnel working full time on a project, possibility of output-based grants*

**7. *Fewer, better targeted controls and audits***

- Lowest possible level of requirements for submission of audit certificates without undermining sound financial management
- Audit strategy focused on risk and fraud prevention

**8. *Improved rules on intellectual property***

- Balance between legal security and flexibility
- Tailor-made IPR provisions for new forms of funding
- A new emphasis on open access to research publications

***Beyond the Rules: further simplified provisions in the Grant Agreement and implementing procedures to facilitate access to Horizon 2020 (e.g. common IT platform).***

## Simplification: summary

- **Single set of** simpler and more coherent participation **rules**
- New **balance between trust and control**
- Moving from several **funding rates** for different beneficiaries and activities to just two
- Replacing the four methods to calculate overhead or «indirect costs» with a **single flat rate**
- **Successful applicants to get working more quickly:** reduction of average time to grant by 100 days (current average of around 350 days under FP7)

## Types of action in H2020

### Main type of actions:

- Research & Innovation Actions (RIA)
- Innovation Actions (IA)
- Coordination and Support Actions (CSA)

### Other type of "targeted" actions:

- SME Instruments
- ERA-NET Cofund
- Pre-Commercial Procurement (PCP)
- Public Procurement of Innovative Solutions (PPI)

## Research and Innovation Actions (RIA)

**Research to establish new knowledge**, explore the feasibility of a new or improved technology, product, process, service or solution.

Both **basic and applied research**, technology development and integration, testing, validation on a small-scale prototype in a laboratory or simulated environment.

**Limited demonstration or pilot activities** aiming to show technical feasibility in a near to operational environment.

*Funding rate: 100%*

## Innovation Actions (IA)

Activities producing plans and arrangements or designs for new, altered or improved products, processes or services.

Prototyping, testing, demonstrating, piloting, large-scale product validation and market replication of innovation already been demonstrated but not yet applied/deployed in the market .

A 'demonstration or pilot' to validate new or improved technology, product, process, service or solution in an operational environment, larger scale prototype or demonstrator at system level in real life operating conditions.

Projects may include limited research and development activities.

*Funding rate: 70%* (except for non-profit legal entities, where a rate of 100% applies)

## Coordination and Support Actions (CSA)

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.

*Funding rate: 100%*



# Proposal template

## Part A – Admin

*Participants name*  
*Type of organisation*  
*Registration n°*  
*Contact details*  
*Other admin. data*  
*Budget...*

## Part B – Workplan

- 1. Excellence*
- 2. Impact*
- 3. Implementation*  
*(Overall page limit)*
- 4. Participants profile*
- 5. Ethics & Security*

# Admissibility & Eligibility check

*Performed by Commission/Agency staff*

- Submission before the call deadline
- Completeness of the proposal
- Minimum n° of eligible participants
- Relevance to the call/topic
- Compliance to any other topic-specific criteria

An Eligibility review committee decides on unclear cases

# Proposal Evaluation

## One-stage evaluation

- One deadline per submission (*full proposal*)
- Individual evaluation (*usually in remote*)
- Consensus group discussion (*usually in Brussels*)
- Panel review
- Final ranking

# Proposal Evaluation

## Two-stage evaluation

- Two deadlines per submission
  - 1 *First stage: Short proposal evaluation (2 criteria: excellence and impact)*
  - 2 *Second stage: Complete proposal evaluation*
- Individual evaluation (*usually in remote*)
- Consensus group discussion (*usually in Brussels*)
- Panel review
- Final ranking

## Evaluation steps

- Selection of external independent experts
- Allocation of proposals to experts
  - *Minimum of 3 experts per proposal (in some cases only 2)*
- Briefing of experts
- Individual assessment and scoring
  - *Individual Assessment Report (IAR)*
- Consensus group discussion and scoring
  - *Consensus Report (CR)*
- Panel review
  - *Evaluation Summary Report (ESR)*

# Standard Evaluation Criteria

- 1. Excellence*
- 2. Impact*
- 3. Quality and Efficiency of the Implementation*

Evaluation Form (General annexes Section H. Evaluation)

[http://ec.europa.eu/research/participants/data/ref/h2020/wp/2014\\_2015/annexes/h2020-wp1415-annex-h-esacrit\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/wp/2014_2015/annexes/h2020-wp1415-annex-h-esacrit_en.pdf)

# Evaluation criteria for RIA & IA

## 1. *Excellence*

- Clarity and pertinence of the objectives
- Credibility of the proposed approach
- Soundness of concept, including trans-disciplinary considerations
- Ambitions and innovation potential (e.g. novel concepts and approaches)

## Evaluation criteria for RIA & IA

### 2. *Impact*

- Expected impact (as listed in the workprogramme under the relevant topic)
- Enhancing innovation capacity/integration of new knowledge
- Strengthening the competitiveness of companies by developing innovations
- Other environmental and social impacts
- Effectiveness of the proposed measures to exploit and disseminate project results, to communicate the project and to manage research data



## Evaluation criteria for RIA & IA

### *3. Quality and Efficiency of the Implementation*

- Coherence and effectiveness of the workplan, including appropriateness of the allocation of tasks and resources
- Complementarity of the participants
- Appropriateness of the management structure, including innovation management

# Evaluation criteria for CSA

## 1. *Excellence*

- Clarity and pertinence of the objectives
- Credibility of the proposed approach
- Soundness of concept
- *Quality of the proposed coordination/support measure*

## 2. *Impact*

- Expected impact
- Effectiveness of the proposed measures to exploit and disseminate the results

## 3. *Quality and Efficiency of the Implementation*

- Coherence and effectiveness of the workplan
- Complementarity of the participants
- Appropriateness of the management structure

## ***New!* Participant operational capacity**

(as part of criterion 3: Quality & Efficiency of Implementation)

Based on information to be provided in the proposal:

- Profile description of the persons responsible for the proposed research activities;
- Up to five relevant publications, and/or products, services relevant to the call/topic content;
- Up to five relevant previous projects or activities, connected to the subject of the proposal;
- Any significant (existing) infrastructure or any major items of technical equipment, necessary to perform the proposed work;
- A description of any third parties who will be contributing to the proposed work

## Evaluation Scores

- One score for each criterion
- From 0.0 (Non-relevant) to 5.0 (Excellent)
- Half marks can be used
- Criterion thresholds are applied; usually 3.0
- Overall threshold also applies; usually 10.0
- Higher thresholds can be adopted

# Consensus report/Evaluation Summary Report

- Short reports summarising the evaluation results
- Includes scores and supporting comments
- The Consensus Report is an internal document
- The ESR is sent to the applicants
- 30 days to file a complaint



# Thank you for your attention!

**Find out more:**

<http://ec.europa.eu/research/participants/portal/desktop/en/home.html>