HORIZON 2020
PROPOSAL EVALUATION

Standard briefing
<table>
<thead>
<tr>
<th>Version</th>
<th>Publication date</th>
<th>Changes</th>
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<tbody>
<tr>
<td>2.0</td>
<td>28.06.2016</td>
<td>Slide 10 – Bullet point on what experts should do in cases of applicant misconduct</td>
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</table>
| 2.1     | 26.07.2016      | Slide 3 – New slide on the outcome of the UK referendum and Horizon 2020  
Slide 4 – New slide on countries eligible for funding in Horizon 2020  
Slide 15 – Reference to CoI posed by experts involved in mock evaluations |
| 2.2     | 09.2016         | Slide 3 – insertion of link to FAQ on UK referendum  
Slide 43 – delete reference to scoring |
| 2.3     |                 | Slide 15 and 16 – clarify bullet points on what constitutes a CoI |
| 2.4     | 20.03.2017      | Slide 4 – Further clarification on countries eligible for funding in Horizon 2020 |
| 2.5     | 24.04.2017      | Slide 31-35 – clarification of excellence and implementation criteria as per General Annex H |
| 2.6     | 29.11.2017      | Slides on Focus Areas included (in annexes)  
Slide 21 – note added about expected impact  
Slide describing ethics review removed  
Slide 42 – New slide on gender biases  
Slides on SME instrument removed (now part of EIC pilot)  
Other small changes (criteria...) to align with latest WP General Annexes |

Outcome of the UK referendum and Horizon 2020: State of Play

Until the UK leaves the EU, EU law continues to apply to and within the UK, both when it comes to rights and obligations. This includes the eligibility of UK legal entities to participate and receive funding in Horizon 2020 actions. Experts should not evaluate proposals with UK participants any differently than before.
Countries whose entities are eligible for funding

- Member States of the European Union, including their overseas departments and outermost regions.
- Associated Countries – Iceland, Norway, Albania, Bosnia and Herzegovina, FYRM, Montenegro, Serbia, Turkey, Israel, Moldova, Switzerland, Faroe Islands, Ukraine, Tunisia, Georgia, Armenia
- Third Countries eligible for funding – see the 'Annex A - List of countries, and applicable rules for funding'.
- Exceptionally, other countries if:
  - Bilateral agreement e.g. EU-US/NIH arrangement
  - Identified in the Work Programme
  - Deemed essential for carrying out the action. The participation has clear benefits for the consortium, such as:
    - outstanding competence/expertise
    - access to research infrastructure
    - access to particular geographical environments
    - access to data.
Content

• **Horizon 2020: an EU R&I programme**
  – More emphasis on challenge based calls with impact
  – Implementing Focus Areas or 'virtual calls'
  – Cross-cutting issues

• **Role of independent experts**
  – Confidentiality
  – Conflicts of interest

• **The evaluation procedure in practice**
  – Individual evaluation, including evaluation criteria and proposal scoring
  – Consensus
  – Panel review and ranking, including proposals with identical total scores
HORIZON 2020
PROPOSAL EVALUATION
Calls and proposals

• **Calls are challenge-based, and give flexibility and space to proposers**
  
  — Calls are less prescriptive - do not outline the expected solutions to the problem, nor the approach to be taken to solve it
  
  — Calls/topics descriptions allow plenty of scope for applicants to propose novel solutions of their own choice

• **Greater emphasis on impact, through 'Expected impact statements'**
  
  — Applicants are asked to explain how work will bring about described impacts
  
  — During the evaluation, you are asked to assess this potential contribution
Implementing Focus Areas through 'virtual calls' in WP 2018-20

• There are 4 focus areas which are aligned with major political or policy drivers & expected to generate exceptional impact.

• Focus areas are 'virtually linked calls', which constitute the linking of calls/topics from respective parts of Horizon 2020.

• The rational and objectives of the four focus areas are described in the General Introduction, which needs to be taken into account in the evaluation where relevant.

• Contributing calls and topics are clearly marked (common call identifier).
Common 'virtual' call title and call identifier

- Digitising and transforming European industry and services: H2020-DT-2018-2020
Cross-cutting issues

Cross-cutting issues integrated in the work programme (WP)

• **Social Sciences and Humanities (SSH)** integrated across all Horizon 2020 activities

• **Gender dimension in the content of R&I** - question on the relevance of sex/gender analysis is included in proposal templates

• The strategic approach to **international cooperation** consists of a general opening of the WP and targeted activities across all relevant Horizon 2020 parts
  
  – Information on 'automatic funding' to third country participants is restricted – see list of countries

• **Other cross-cutting issues may also be included in the WP**
  Responsible Research and Innovation (RRI), ethics...; open access to scientific publications; climate change and sustainable development; standardisation ...
Role of independent experts

- As an independent expert, you evaluate proposals submitted in response to a given call
- You are responsible for carrying out the evaluation of the proposals yourself
  - You are not allowed to delegate the work to another person!
- You must close reports in the electronic system within a given deadline
  - This is part of your contractual obligations!
  - The allowance/expenses you claim may be reduced or rejected otherwise
- Significant funding decisions will be made on the basis of your assessment
- If you suspect any form of misconduct (e.g. plagiarism, double funding), please report this to EC/Agency staff
- You need not comment on ethics, as proposals that are successful in this scientific evaluation will undergo an ethics review
Guiding principles

• Independence
  – You are evaluating in a personal capacity
  – You represent neither your employer, nor your country!

• Impartiality
  – You must treat all proposals equally and evaluate them impartially on their merits, irrespective of their origin or the identity of the applicants

• Objectivity
  – You evaluate each proposal as submitted; meaning on its own merit, not its potential if certain changes were to be made

• Accuracy
  – You make your judgment against the official evaluation criteria and the call or topic the proposal addresses, and nothing else

• Consistency
  – You apply the same standard of judgment to all proposals
Confidentiality

You must:

• **Not discuss evaluation matters**, such as the content of proposals, evaluation results or opinions of fellow experts, with anyone, including:
  – Other experts or Commission/Agencies staff or any other person (e.g. colleagues, students...) not directly involved in the evaluation of the proposal
  – *The sole exception*: your fellow experts who are evaluating the same proposal in a consensus group or Panel review

• **Not contact partners in the consortium, sub-contractors or any third parties**

• **Not disclose names of your fellow experts**
  – The Commission publishes the names of the experts annually - as a group, no link can be made between an expert and a proposal

• **Maintain confidentiality of documents**, paper or electronic, at all times and wherever you do your evaluation work (on-site or remotely)
  – Please take nothing away from the evaluation building (be it paper or electronic)
  – Return, destroy or delete all confidential documents, paper or electronic, upon completing your work, as instructed
Conflicts of interest (COI) (1)

*COI rules are in Annex 1 Code of Conduct of the expert contract*

You have a COI if you:

- were involved in the preparation of the proposal (including pre-proposal checks/'mock' evaluations)
- stand to benefit directly/indirectly, if the proposal is successful or fails
- have a close family/personal relationship with any person representing an applicant legal entity
- are a director/trustee/partner of an applicant or involved in the management of an applicant's organisation
- are employed or contracted by an applicant or a named subcontractor
- are a member of an Advisory Group or Programme Committee in an area related to the call in question
- are a National Contact Point or are directly working for the Enterprise Europe Network
Conflicts of interest (COI) (2)

You have a COI if you:

• If you are involved in a competing proposal*

• In the following situations, the Commission/Agency will decide whether a COI exists
  
  − Were employed by an applicant including third parties or linked third parties involved in the proposal in the last three years
  
  − Were involved in a grant agreement/decision, the membership of management structures or a research collaboration with an applicant (or Marie Skłodowska Curie research fellow) in the last 3 years
  
  − Are in any other situation that casts doubt on your impartiality or that could reasonably appear to do so
Conflicts of interest (COI) (3)

• You must inform the Commission/Agency as soon as you become aware of a COI
  – Before the signature of the contract
  – Upon receipt of proposals, or
  – During the course of your work

• If there is a COI for a certain proposal you cannot evaluate it
  – Neither individually
  – Nor in the consensus group
  – Nor in the panel review
  – The Commission/Agency will determine if there is a COI on a case-by-case basis and decide the course of action to follow

• If you knowingly hide a COI, you will be excluded from the evaluation and your work declared null and void
  – The allowance/expenses you claimed may be reduced, rejected or recovered
  – Your contract may be terminated
HORIZON 2020
PROPOSAL EVALUATION
THE EVALUATION PROCEDURE
IN PRACTICE
Overview of the 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
Admissibility, eligibility checks and additional requirements

• **Admissibility is checked by Commission/Agency:**
  – Readable, accessible and printable
  – Completeness of proposal, presence of all requested forms
  – Inclusion of a plan for exploitation and dissemination of results (n/a first stage of two stage proposals or unless otherwise specified in the WP)

• **Eligibility checked by the Commission/Agency - however, if you spot an issue relating to eligibility, please inform the Commission/Agency**
  – Minimum number of partners as set out in the call conditions
  – Other criteria may apply on a call-by-call basis as set out in the call conditions

• **“Out of scope” – content of a proposal corresponds, wholly or in part, to the description of the call or topic**
  – A proposal will only be deemed ineligible in clear-cut cases when there is no obvious link between proposal and call topic

• **Unless set out in the call conditions, information on page limits are set out in part B of the General Annexes**
Evaluation criteria

• **There are three evaluation criteria for full proposals:**
  
  – Excellence (relevant to the description of the call or topic)
  
  – Impact
  
  – Quality and efficiency of the implementation

  □ You should also check requests for ‘exceptional funding’ from third country participants not included in the list

• **The criteria are adapted to each type of action, as specified in the WP**
  
  • *Note*: the impact criterion refers to the specific expected impact statement under every topic in the work programme. You must refer to that text in the work programme when evaluating impact.

• **See later slides**
# Research and Innovation Actions/Innovation Actions

- For the first stage of a two-stage procedure, only the aspects of the criteria in **bold** are evaluated.

<table>
<thead>
<tr>
<th>Excellence</th>
<th>To the extent that the proposed work corresponds to the topic description in the work programme:</th>
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<tbody>
<tr>
<td></td>
<td>• Clarity and pertinence of the objectives</td>
</tr>
<tr>
<td></td>
<td>• Soundness of the concept, and credibility of the proposed methodology</td>
</tr>
<tr>
<td></td>
<td>• 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 organizational models)</td>
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<tr>
<td></td>
<td>• Appropriate consideration of interdisciplinary approaches and, where relevant, use of stakeholder knowledge and gender dimension in research and innovation content.</td>
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<table>
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<tr>
<th>Impact</th>
<th>The expected impacts listed in the work programme under the relevant topic</th>
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<tbody>
<tr>
<td></td>
<td>• 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</td>
</tr>
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<td>• 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</td>
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<th>Implementation</th>
<th>Quality and effectiveness of the work plan, including extent to which resources assigned in work packages are in line with objectives/deliverables</th>
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<td>• Appropriateness of management structures and procedures, including risk and innovation management</td>
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<td>• Complementarity of the participants and extent to which the consortium as a whole brings together the necessary expertise</td>
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<td>• Appropriateness of allocation of tasks, ensuring that all participants have a valid role and adequate resources in the project to fulfill that role</td>
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Coordination & Support Actions

For the first stage of a two-stage procedure, only the aspects of the criteria in **bold** are evaluated.

**Excellence**

To the extent that the 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 and extent to which the consortium as a whole brings together the necessary 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

✓ For the first stage of a two-stage procedure, only the aspects of the criteria in **bold** are evaluated

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**Excellence**

*To the extent that the 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 in terms of budget, number of partners and participating countries and to coordinate their national/regional research programmes.

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**Impact**

- **The expected impacts listed in the work programme under the relevant topic**
- Contribution to better alignment of national activities and policies.
- 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.

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**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 and extent to which the consortium as a whole brings together the necessary 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/Public Procurement of Innovative Solutions Actions

✓ For the first stage of a two-stage procedure, only the aspects of the criteria in **bold** are evaluated

**Excellence**

*To the extent that the 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 management
- Complementarity of the participants and extent to which the consortium as a whole brings together the necessary expertise
- Appropriateness of allocation of tasks, ensuring that all participants have a valid role and adequate resources in the project to fulfill that role
European Joint Programme (EJP) Cofund Actions

✔ For the first stage of a two-stage procedure, only the aspects of the criteria in **bold** are evaluated

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<tr>
<td>• Contribution to better alignment of national activities and policies.</td>
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<td>• Effectiveness of the proposed measures to exploit and disseminate the programme’s results and to communicate the programme</td>
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Framework Partnership Agreement (FPA)

**Excellence**
- Clarity and pertinence of the objectives

**Impact**
- Extent to which FPA action plan would contribute to each of the expected impacts mentioned in the Work Programme under the relevant topic

**Implementation**
- Complementarity of the partners and balance of expertise
- Potential for long-term cooperation among partners
Operational capacity

- As part of the Individual Evaluation, give your view on whether each applicant has the necessary basic operational capacity to carry out their proposed activity(ies) based on
  - Curriculum Vitae or description of the profile of the applicant
  - Relevant publications or achievements
  - Relevant previous projects or activities
  - Description of any significant infrastructure or any major items of technical equipment
  - Description of third parties contributing to the work but not represented as project partners

In exceptional cases the concrete measures proposed to obtain operational capacity by the time of project implementation are assessed.

- At the consensus group, you consider whether an applicant lacks basic operational capacity.
- If yes, you make comments and score the proposal without taking into account this applicant and its associated activity(ies)
- Not for stage one of two-stage procedures
Proposal scoring

• **You give a score of between 0 and 5 to each criterion based on your comments**
  – The whole range of scores should be used; use steps of 0.5
  – Scores must pass *thresholds* if a proposal is to be considered for funding

• **Thresholds apply to individual criteria...**
  The default threshold is 3 (unless specified otherwise in the WP)

• **...and to the total score**
  The default overall threshold is 10 (unless specified otherwise in the WP)

• **For Innovation actions, the criterion Impact is given a weight of 1.5 to determine the ranking**

• **For first stage of a two-stage procedure, you only evaluate the criteria Excellence and (part of) Impact**
  – In that case, only the aspects of the criteria in bold are considered
  – Default threshold for individual criteria is 4 (unless specified otherwise in the WP)
  – The level of overall threshold will be set so that success rate at stage 2 will be as close as possible to 1:3 (in terms of budget)

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**Note:** The weight of 1.5 applies for ranking only
- Experts give a score out of 5 for all criteria
- Thresholds to individual criteria and total score apply
- For above-threshold proposal, impact is multiplied by 1.5, giving a total score out of 17.5.
- If IA and RIA in the same ranked lists, then a normalisation (out of 15) is needed.
**Interpretation of the scores**

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, but 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

- Proposal
  - Individual Evaluation Report
    - Individual Evaluation Report
      - Individual Evaluation Report
        - Individual Evaluation Report
          - Expert
          - Expert
          - Expert
          - Expert
          - Expert

Minimum 3 experts ... but can be more

Individual evaluation

Consensus group

Consensus

Eligible proposal

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Individual evaluation

- **Read the proposal and evaluate it against the evaluation criteria**
  - Without discussing it with anybody else
  - As submitted - not on its potential if certain changes were to be made
  - Do not penalise applicants that did not provide detailed breakdown costs – they are not required

- **Disregard excess pages marked with a watermark**

- **Check to what degree the proposal is relevant to the call or topic**

- **Complete an Individual Evaluation Report (IER)**
  - Give your view on operational capacity
  - Give comments and scores for all evaluation criteria (scores must match comments)
  - Explain shortcomings, but do not make recommendations (e.g. no additional partners, work packages, resource cuts)

- **Sign and submit the form in the electronic system**
If a proposal

- Is only marginally relevant in terms of its scientific, technological or innovation content relating to the call or topic addressed, you must reflect this in a lower score for the Excellence criterion
  - No matter how excellent the science!

- Does not significantly contribute to the expected impacts as specified in the WP for that call or topic, you must reflect this in a lower score for the Impact criterion

- Would require substantial modifications in terms of implementation (i.e. change of partners, additional work packages, significant budget or resources cut...), you must reflect this in a lower score for the “Quality and efficiency of the implementation” criterion

- If cross-cutting issues are explicitly mentioned in the scope of the call or topic, and not properly addressed, you must reflect this in a lower score for the relevant criterion
  - A successful proposal is expected to address them, or convincingly explain why not relevant in a particular case
  - Proposals addressing cross-cutting issues which are not explicitly mentioned in the scope of the call or topic can also be evaluated positively
Impact of grant preparation on evaluation

• **No grant negotiation phase!**

  The time from submission of a proposal, evaluation and signature of the grant set to a maximum of 8 months

  **Evaluate each proposal as submitted**
  not on its potential if certain changes were to be made

  – **If you identify shortcomings (other than minor ones and obvious clerical errors),** reflect those in a lower score for the relevant criterion

  – **Explain the shortcomings, but do not make recommendations**
  i.e. do not suggest additional partners, additional work packages, resources cut...

  – **Proposals with significant weaknesses that prevent the project from achieving its objectives or with resources being seriously over-estimated** must not receive above-threshold scores

  – **Any proposal with scores above the thresholds and where there is sufficient budget will be selected as submitted**

    – Successful applicants are invited to address shortcomings
Consensus

• **It usually involves a discussion on the basis of the individual evaluations**
  – For full proposals, don't immediately converge on the average score
  – For first stage proposals, the average is a starting point

• **The aim is to find agreement on comments and scores**
  – Agree comments before scores!
  – If an applicant lacks basic operational capacity, you make comments and score the proposal without taking into account this applicant and its associated activity(ies)

• **“Outlying” opinions need to be explored**
  – They might be as valid as others – be open-minded
  – It is normal for individual views to change

• **Moderated by Commission/Agency staff (or an expert in some cases)**
  – Neutral and manages the evaluation, protects confidentiality and ensures fairness
  – Ensures objectivity and accuracy, all voices heard and points discussed
  – Helps the group keep to time and reach consensus
Consensus report (CR)

• The *rapporteur* is responsible for drafting the CR
  – Including consensus comments and scores
  – In some cases, the rapporteur does not take part in the discussion

• The quality of the CR is of utmost importance
  – It often remains unchanged at the panel stage

• The aim of the CR is to give:
  – A clear assessment of the proposal based on its merit, with justification
  – Clear feedback on the proposal’s weaknesses and strengths, of an adequate length, and in an appropriate tone
  – Explain shortcomings, but not to make recommendations

• Avoid:
  – Comments not related to the criterion in question
  – Comments too long, or too short and inappropriate language
  – Categorical statements that have not been properly verified
  – Scores that don’t match the comments
  – Marking down a proposal for the same critical aspect under two different criteria

Remember, applicants will read your comments and, based on them, can challenge the evaluation through the evaluation review procedures

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The panel review

- Consists of experts from the consensus groups and/or new experts
- Ensures the consistency of comments and scores given at the consensus stage
- Resolves any cases where a minority view is recorded in the CR
- Endorses the final scores and comments for each proposal
  - Any new comments and scores (if necessary) should be carefully justified
- Recommends a list of proposals in priority order
- Prioritises proposals with identical total scores
- May also hold hearings at which applicants are invited to present their proposal

Note: Keep the last bullet point if hearings are specified under your call/topic in the WP. Otherwise, delete it.
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

• If there are ties, the panel takes into account the following factors:
  – First, the absolute EU 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

Note: For Innovation Actions, adapt the second bullet point - first their score for Impact and second for Excellence
Research data management

• Under "Measures to maximise impact", a) Dissemination and exploitation of results, applicants need to include, as relevant, information on how they will manage the research data generated and/or collected during the project, in particular addressing the following issues:
  • What types of data will the project generate/collect?
  • What standards will be used?
  • How will this data be exploited and/or shared/made accessible for verification and re-use? If data cannot be made available, explain why.
  • How will this data be curated and preserved?
  • How will the costs for data curation and preservation be covered?

• open access to research data is one part of research data management. Please note that participation in the extended Open Research Data Pilot (ORDP) is NOT part of the evaluation. In other words, proposals will not be penalised should they choose to opt out of the ORDP.

• Further guidance is available in the H2020 Online Manual on both research data management and open access to research data.
Logistics

• **The electronic system for the evaluation of proposals is accessible via your "EU Login"**
  - Please make sure you know your "EU Login"

• **Please bring your own device**
  - You are invited to bring your own laptop/tablet/notebook (including chargers, adapters [VGA, HDMI cables], etc.) for the on-site evaluation in Brussels
  - There are no fixed computers available in the open space/reading rooms of the evaluation building in Brussels
    - Laptops are available upon request
    - Fixed computers are available in the meeting rooms

• **Reduction of paper copies**
  - A few printers are available in the evaluation building in Brussels
  - Copies of proposals will be still made available for the on-site evaluation

• **Electronic workflow**
  - The processing of your payment requests is done electronically (no more queues for reimbursement)
Feedback

• When you get home, you will receive an on-line questionnaire on your experience in this evaluation session

• It is important that you complete it as carefully and as promptly as possible

• Your feedback helps us maintain and improve the quality of our evaluation process

• Thank you!
Implicit gender biases may exist

• Implicit (or unconscious) gender biases refer to a cognitive phenomenon that takes place automatically and without our knowledge when assessing people and situations, influenced by our background and socio-cultural environment.

• Implicit gender biases based on gender stereotypes can affect both men and women, and influence behaviour and decision making.

• The following videos can help you understand and mitigate implicit gender biases in the evaluation process:
  
  • Royal Society (UK) – [Understanding unconscious bias](#)
  • Université de Lausanne (Switzerland) – [Eviter les biais de genre lors de nominations professorales](#) (video, with English subtitles)
  • Institució CERCA (Spain) – [Recruitment Bias in Research Institutes](#)
Observer(s)

• Appointed by the Commission/Agency may attend any meetings or monitor remote evaluation, to ensure a high quality evaluation

• They check the functioning and running of the overall process

• They advise, in their report, on the conduct and fairness of the evaluation sessions (including 1st stage of 2 stage processes) and, if necessary, suggest possible improvements

• They do not evaluate proposals and, therefore, do not express any opinion on their quality

• They may raise any questions - please give them your full support
Focus Area 'Building a low-carbon, climate resilient future'

Covers the main actions in Work Programme 2018-2020 which can contribute to the goals of the Paris Agreement
- limit global temperature rise to well below 2°C, make efforts to limit this to 1.5°C;
- enhance adaptive capacity, strengthening resilience and reducing vulnerabilities;

Aims to develop ground-breaking solutions capable of achieving carbon neutrality and climate resilience of Europe and beyond in the second half of the century

Integrating multiple angles of society, economy, technology, industrial value chains, the energy system, environment, health, land use and governance

Total indicative budget (2018-2020): EUR 3 343 million
Focus Area 'Building a low-carbon, climate resilient future'

- Operationalise the Paris Agreement goals (including input to the IPCC's 6th Assessment Report)
- Enhance climate resilience in Europe and beyond
- Accelerate transformation towards carbon neutrality through clean technologies
- Contribute to long-term mitigation and adaptation policy planning
Focus Area - 'Building a low-carbon, climate resilient future'

**Industrial technologies (LEIT-NMBP):** some topics in call 'Industrial Sustainability' (notably on Energy Efficient Buildings and Clean Energy through Innovative Materials), €271 million

**Space (LEIT-Space):** topics on Earth Observation, €82 million

**Food security (SC2):** some topics in calls 'Sustainable Food Security', 'Blue Growth' and 'Rural Renaissance', €203 million

**Energy (SC3):** all topics in call 'Building a low-carbon, climate resilient future: secure, clean and efficient energy', €1,953 million

**Transport (SC4):** all topics in call 'Green vehicles' and some topics in call 'Mobility for Growth' ('Low-carbon and sustainable transport'), €408 million

**Climate (SC5):** all topics in call 'Building a low-carbon, climate resilient future: climate action in support of the Paris Agreement', €426 million
'Connecting economic and environmental gains – the Circular Economy'
Focus Area

Covers the main actions in Work Programme 2018-2020 which will directly **support the circular economy policy**
- integrating production, consumption, waste management and raw materials
- Ensure that growth no longer requires increasing consumption of resources, energy, water and primary raw materials
- Minimise waste, including from plastics
- Enhance industrial competitiveness

**SDGs:**

**Total indicative budget (2018-2020):**
EUR 940 million
Use resources efficiently
– including primary and secondary raw materials

Reduce waste and environmental pollution

Objectives

Competitive advantages for businesses

Opportunities for new business

'Connecting economic and environmental gains – the Circular Economy'
Focus Area
'Connecting economic and environmental gains – the Circular Economy'
Focus Area

**Industrial technologies (LEIT-NMBP):** topics in call 'Industrial Sustainability' (notably Sustainable Process Industry and Catalysing the Circular Economy); and in industrial biotechnology: €370 million

**Food security and Bioeconomy (SC2):** topics in calls 'Sustainable Food Security', 'Blue Growth' and 'Rural Renaissance', including access to risk finance: €253 million

**Energy (SC3):** Carbon dioxide reuse: €12 million

**Climate, Environment and Raw Materials (SC5):** topics in call 'Greening the economy in line with the SDGs' – circular economy and raw materials: €306 million
Focus Area

'Digitising and transforming European industry and services'

Covers the main actions of the work programme addressing the priorities of the Digital Single Market Strategy of the EC and helping seizing the opportunities offered by digital technologies.

Aims to contribute to:
• enabling all sectors to adapt, transform and benefit from digitisation;
• developing new business models;
• connecting to MS and regions,
• removing barriers for innovation enabled by digitisation.

Integrates R&I related to major technological trends with application-driven initiatives through a multidisciplinary approach.

Total indicative budget (2018-2020): EUR 1 689 million
Focus Area
'Digitising and transforming European industry and services'

Support the implementation of the **DEI strategy**, notably through **innovation hubs, platforms** and large-scale **pilots**

Foster the **uptake of digital technologies** and innovations, as well as **synergies with other KETs**

**Objectives**

Leverage possibilities offered by ICT to **address major societal challenges**

Address and prepare Europe for the **societal impact of the digital transformation**

European Commission
Focus Area

'Digitising and transforming European industry and services'

LEIT - **Information and Communication Technologies**: Digital Innovation Hubs, platforms and large-scale pilots, €461 million
LEIT - **Nanotechnologies, advanced materials, biotechnology, advanced manufacturing and processing** open innovation test beds, computational modelling, factories of the future, €703 million
LEIT - **Space**: Copernicus and EGNSS market uptake, space hubs, €59 million

**Health and wellbeing (SC1)**: smart and healthy living at home, smart hospital, €60 million

**Food security (SC2)**: digital innovation hubs and platforms for agriculture and rural economies + several topics in all three calls, €107 million

**Energy (SC3)**: smart homes and grids, Big Data for energy, €30 million

**Transport (SC4)**: automated road transport, €103 million

**Innovative, inclusive and reflective societies (SC6)**: modernisation of public services, new approaches to policy making, digitisation of cultural heritage, inclusion, €166 million
Focus Area
'Boosting the effectiveness of the Security Union'

Covers the main actions in Work Programme which contribute to developing the EU as a Security Union:

- reacting to & recovering from natural and man-made disasters
- fighting crime (including cybercrime) and terrorism
- improving border security
- protecting infrastructure and public spaces
- digital security and privacy
- better understanding of societal contexts of security challenges

SDGs:

Total indicative budget (2018-2020):
EUR 1 billion
Focus Area

'Boosting the effectiveness of the Security Union'

- New solutions and technologies for end-users (police, customs, firefighters, etc)
- Involving researchers, industry and end-users in the entire research cycle

Objectives

- Promoting market uptake of research results
- A strong security industry underpinning EU autonomy
Focus Area

'Boosting the effectiveness of the Security Union'

**Cyber and Digital Security:** all topics in calls 'Cyber Security' (LEIT-ICT) and 'Digital Security' (SC7), €290 million

**Space (LEIT-Space):** topics in calls 'Space 2018-2020' and EGNSS market uptake 2019-2020', €90 million

**Health (SC1):** topics in Call 'Trusted digital solutions and Cybersecurity in Health and Care', €36 million

**Energy (SC3):** contribution to topic on Electrical Power and Energy System in SC7 call 'Digital Security', €20 million

**Inclusive Societies (SC6):** topics on trafficking of cultural goods, drivers of violent extremism, addressing radicalisation through inclusion, €30 million

**Secure Societies (SC7):** all topics in calls 'Security' and 'Infrastructure Protection', €615 million
Innovation

• **Balanced approach to research and innovation**
  – not limited to the development of new products and services on basis of scientific and technological breakthroughs
  – Incorporate use of existing technologies in novel applications, and continuous improvements

• **Activities close to market emphasise the widest possible use of knowledge generated by supported activities, up to the commercial exploitation**

• **Emphasis on activities operating close to end-users and the market, e.g. demonstration, piloting or proof-of-concept**
  – include support to social innovation, and support to demand side approaches (standardisation, innovation procurement, user-centred measures ...) to help accelerate the deployment and diffusion of innovative products and services into market

The definitions of the terms used are available in the [Horizon 2020 Glossary](#) on the Participant Portal

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**Note:** The third bullet point only applies to Societal Challenges and LEITs.
Type of actions

Research and Innovation Action

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

  − May include basic and applied research, technology development and integration, testing and validation on small-scale prototype in laboratory or simulated environment

  − Projects may contain closely connected but limited demonstration or pilot activities to show technical feasibility in a near to operational environment
Type of actions

Innovation Action

- Action primarily consisting of activities that aim to produce plans and arrangements or designs for new, altered or improved products, processes or services
  - May include prototyping, testing, demonstrating, piloting, large-scale product validation and market replication
  - Aim to validate the technical and economic viability in a (near) operational environment and/or 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
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**

**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 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, consortia may implement other joint activities e.g. 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
Type of actions
Pre-Commercial Procurement (PCP) Action

- Encourage public procurement of research, development and validation of new solutions that can bring significant quality and efficiency improvements in areas of public interest, while opening market opportunities for industry and researchers
  - Provides EU co-funding for 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 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) Action

• 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
Type of actions

Framework Partnership Agreement

- Framework partnerships are long-term partnerships based jointly agreed objectives and an action plan
  - Action plan: Objectives of partnership, list and explanation of actions, description of partners, KPIs, arrangements for IPR, OA, information on ethics and gender

- Partnership is established in FPA and implemented by SGAs
  - Specific grants will be announced in work programme and can only be awarded in line with action plan

- FPA does not oblige Commission to award a specific grant