Horizon 2020 LEIT-Space 2016-2017

Rules for participation, proposal submission, evaluation procedure

European Commission
Research Executive Agency
REA.B1 Space Research

RESEARCH & INNOVATION

Participant Portal

European Commission > Research & Innovation > Participant Portal > Calls

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EU Programmes 2014–2020

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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

Rights, Equality and Citizenship Programme

Research Fund for Coal & Steel

Calls for Proposals

Horizon 2020

Advanced search for topics
Calls for tenders on TED

- ☐ **Information and Communication Technologies**
- ☐ **Nanotechnologies**
- ☐ **Advanced materials**
- ☐ **Biotechnology**
- ☐ **Advanced manufacturing and processing**
- ☑ **Space**
- ☐ **Access to risk finance**
- ☐ **Innovation in SMEs**

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 | FILTER

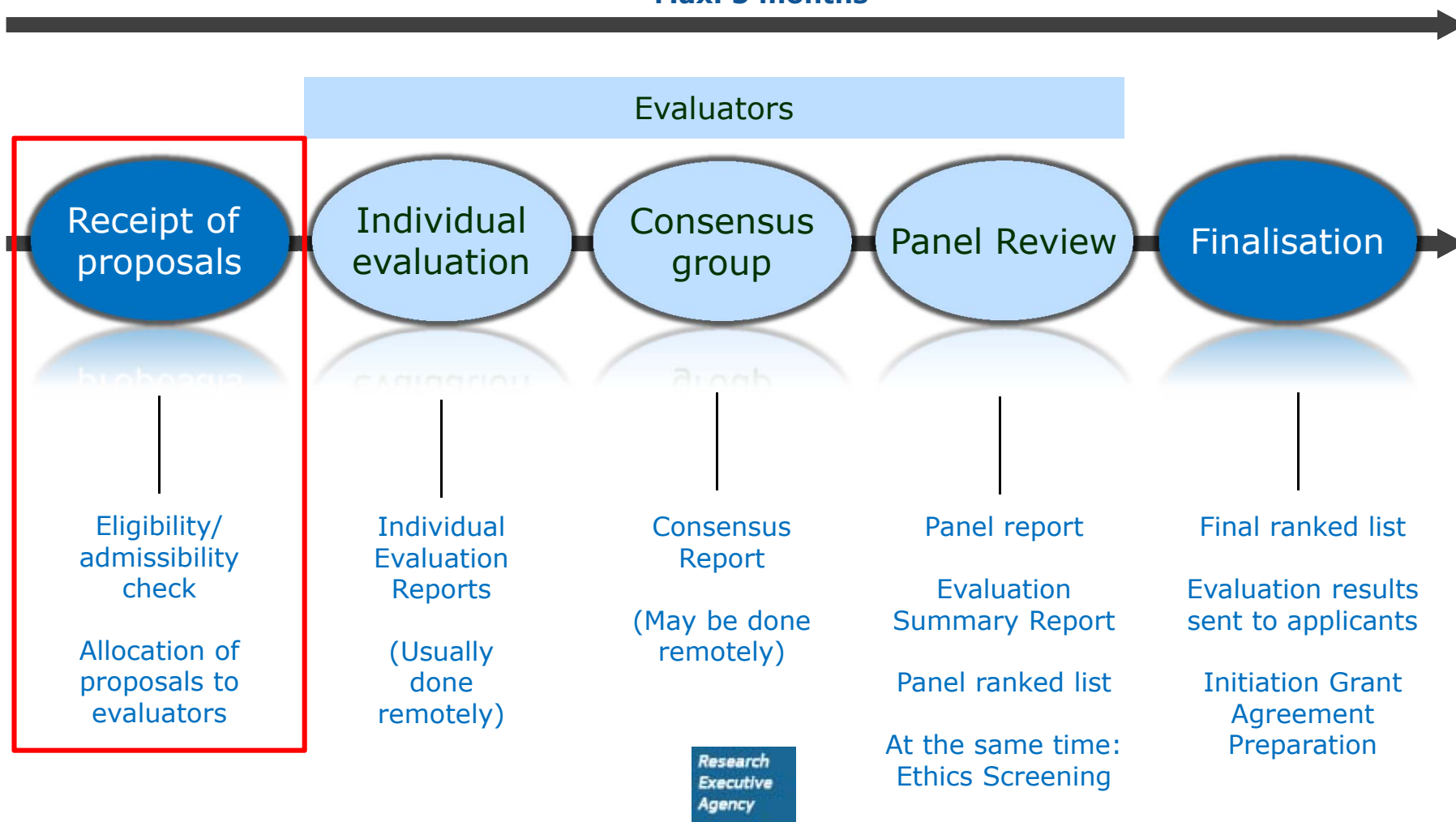| **Industrial Leadership** | **Industrial Leadership** | **Industrial Leadership** |
Earth Observation	**Competitiveness of the European Space Sector: Technology and Science**	**Applications in Satellite Navigation – Galileo – 2017**
H2020-EO-2017	H2020-COMPET-2017	H2020-GALILEO-GSA-2017
Publication date: 14 October 2015	Publication date: 14 October 2015	Publication date: 14 October 2015

Types of action in 2017 and co-funding rates

- **Research and Innovation Action (RIA) - EO-COMPET**

    Up to 100% of eligible costs

- **Innovation Action (IA) - EO-GALILEO**

    Up to 70% of eligible costs

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

- **Coordination and Support Action (CSA) EO-GALILEO-COMPET**

    Up to 100% of eligible costs

Evaluation process for each call

Max. 5 months

Evaluators

Receipt of proposals

Eligibility/ admissibility check

Allocation of proposals to evaluators

Individual evaluation

Individual Evaluation Reports

(Usually done remotely)

Consensus group

Consensus Report

(May be done remotely)

Research Executive Agency

Panel Review

Panel report

Evaluation Summary Report

Panel ranked list

At the same time: Ethics Screening

Finalisation

Final ranked list

Evaluation results sent to applicants

Initiation Grant Agreement Preparation

Standard admissibility criteria

1. **Submitted in the electronic submission system before the deadline** → Acknowledgement of Receipt

2. **Complete** (requested administrative forms + proposal description + supporting documents)

3. **Readable, accessible and printable**

4. **Respecting page limit** (RIA/IA: 70 pages; CSA:50 pages)

   o *Outside the limit*:

   – **participating organisations** (operational capacity check)
     - CV or profile description of staff carrying out the work
     - A list of up to 5 publications and/or other research or innovation products
     - A list of up to 5 relevant previous projects/activities
     - Relevant available infrastructure/equipment description
     - Description of additional third parties contributing to the work
   – **ethics self assessment, data management plan** (open access to peer-reviewed scientific publications)

Standard eligibility criteria

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

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

Research & innovation action	a. **Three legal entities.**
	b. Each of the three shall be established in **a different Member State or associated country**.
Innovation action	c. All three legal entities shall be **independent of each other.**
Coordination & support action	**One legal entity** established a Member State or associated country.

Non-eligibility can also be discovered during/after evaluation

Countries eligible to receive funding

- **EU-Member States**

- **The Overseas Countries and Territories (OCT) linked to the MS**: Anguilla, Aruba, Bermuda, Bonaire, British Virgin Islands, Cayman Islands, Curaçao, Falkland Islands, French Polynesia, Greenland, Montserrat, New Caledonia, Pitcairn Islands, Saba, Saint Barthélémy, Saint Helena, Saint Pierre and Miquelon, Sint Eustatius, Sint Maarten, Turks and Caicos Islands, Wallis and Futuna .

- **Horizon 2020 associated countries**
  Check Funding Guide for up-to-date information whether agreements are signed (15 associated countries as of April 2016):
  http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/international-cooperation_en.htm

- **Third countries listed in General Annex A**

- **International organisation of <u>European interest</u>***

*International organisation not of European interest can be eligible for funding only exceptionally

Other countries eligible to receive funding

Legal entities established in countries not listed in Annex A and international organisations will only be eligible for funding:
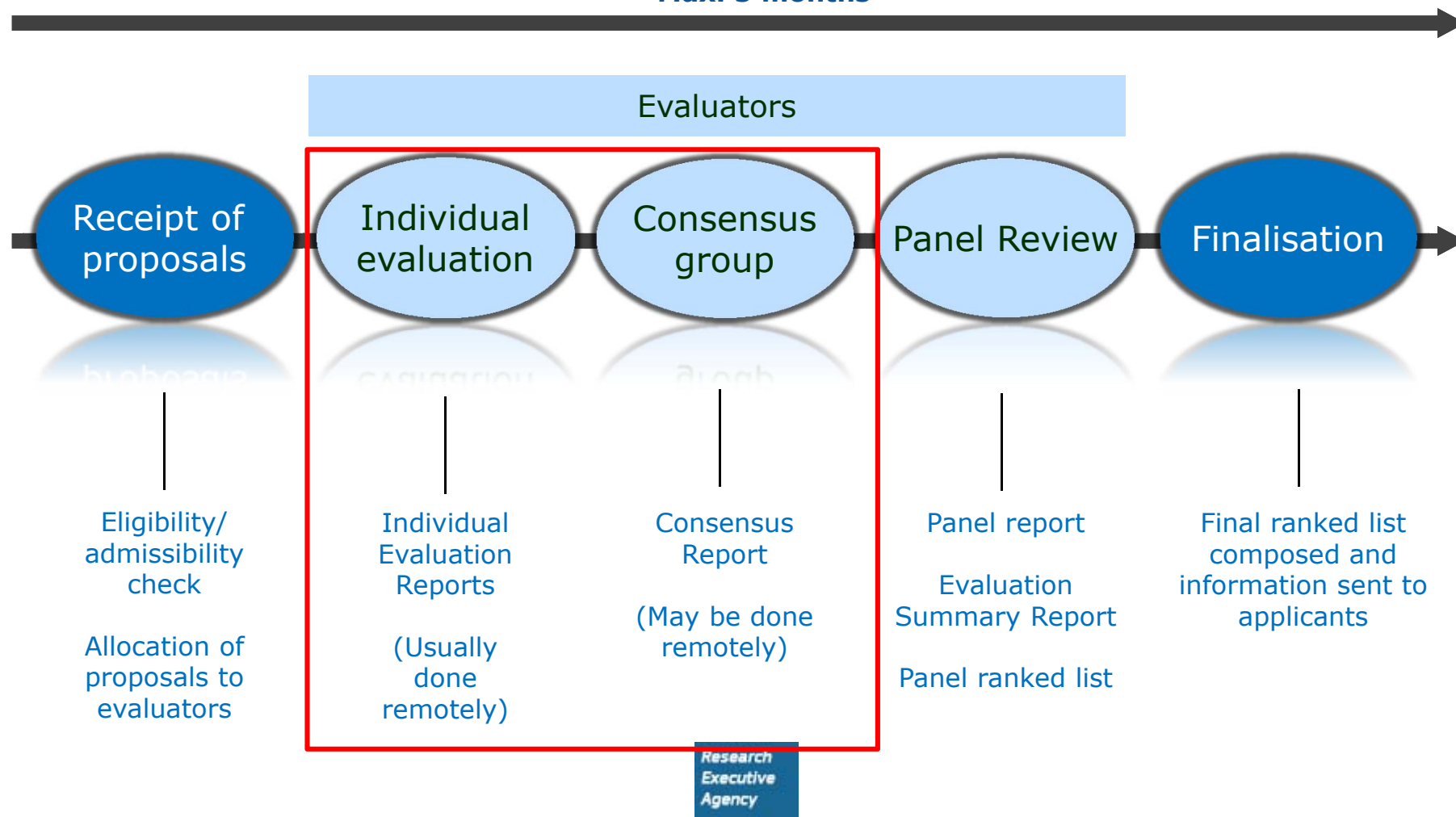
- o if **explicitly mentioned in the call text**, or

- o when funding for such participants is provided for under a **bilateral scientific and technological agreement or any other arrangement** between the Union and an international organisation or a third country, or

- o when the **Commission deems participation of an entity essential for carrying out the action funded through Horizon 2020**

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Evaluators

| Receipt of proposals | Individual evaluation | Consensus group | Panel Review | Finalisation |

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Final ranked list composed and information sent to applicants

Research Executive Agency

Proposal evaluation basic principles

- Excellence, transparency, fairness and impartiality and efficiency and speed

- Done **by independent experts** selected by REA/GSA/EASME from Experts database on Participant Portal

  o Balance in terms of

    1. Skills, experience and knowledge

    2. Other factors

    – geographical diversity
    – gender
    – where appropriate, the private and public sectors
    – an appropriate turnover from year to year

  o **No conflict of interest !**

How do we choose experts

Each proposal has minimum 3 evaluating experts and 1 rapporteur

- No two experts from the same nationality

- Avoid the same nationality of the expert as the coordinator or a dominating partner

- No conflict of interest with any proposal in the topic

- Some topics may require a mix of expertise, including business aspects, users, experts more aware of the framework conditions or with a "helicopter"-view. In any case always at least one expert is from the exact technical field of the proposal

- (In general, people in academia are more available and more accustomed to this kind of work.)

Proposal scoring

Excellence: 4,0
"The objectives ….."

Impact: 4,5
"The innovation capacity….."

Quality and efficiency of the implementation: **3,5**
"The management ….."

1. Per criterion: Assessment, comments, justifications

2. Matching scores

→ **Σ 12,0 out of 15,0**

- Evaluation scores are awarded per criterion, scale from 0 to 5, half point scores may be given

- Maximum score: 15

- **Individual criteria threshold:** 3

- **Total score threshold:** 10
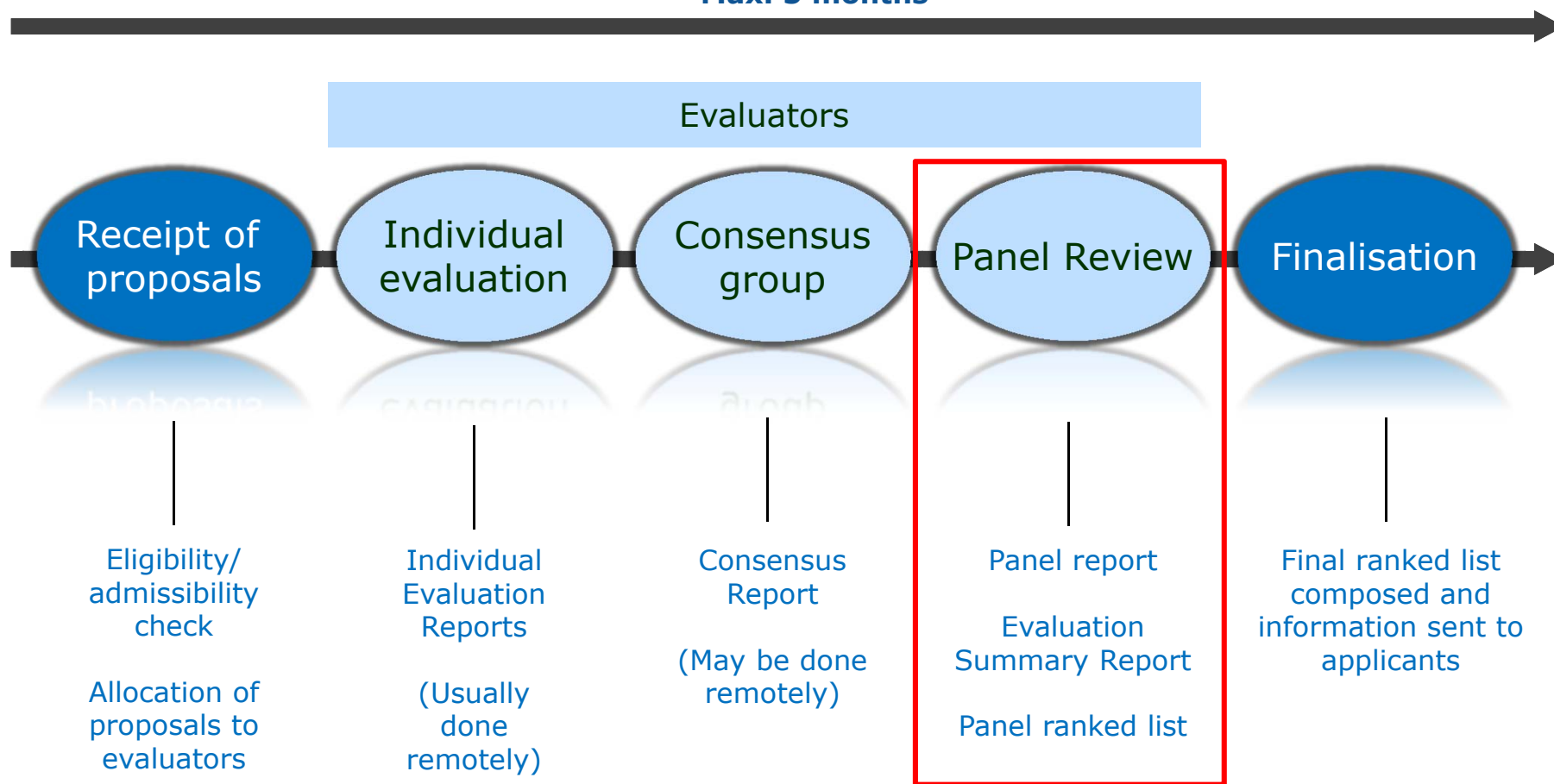
Proposal scoring

- **0 - Proposal fails to address the criterion** or cannot be assessed due to missing or incomplete information

- **1 - Poor.** The criterion is inadequately addressed or there are serious inherent **weaknesses**

- **2 - Fair.** The proposal broadly addresses the criterion, there are significant **weaknesses**

- **3 - Good.** The proposal addresses the criterion well, but a number of **shortcomings** are present

- **4 - Very Good.** The proposal addresses the criterion very well, but a small number of **shortcomings** are present

- **5 - Excellent.** The proposal successfully addresses all relevant aspects of the criterion. Any **shortcomings** are minor

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Ranking of proposals

- **Done by experts in panel review**

- **1 ranked list per topic or per group of topics with a dedicated budget**

- **Preparation: "cross-reading" in order to calibrate the treatment of the proposals**
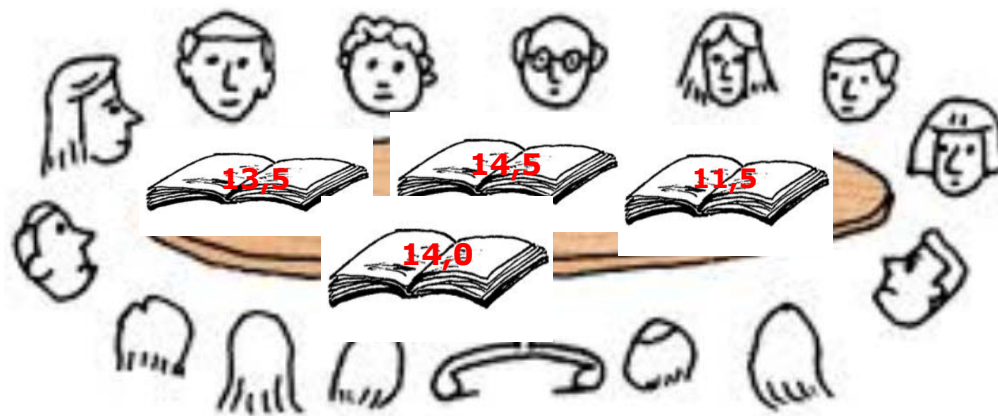
Cross-reading and panel

- Cross-reading depends on a project. Usually not opening the scientific evaluation anymore, more a general calibration of issues such as the business case, TRL approach, IPR etc.

- Cross-reading concentrates on the proposals on funding line, but can also verify top or bottom proposals

- Based on cross-reading recommendation, scores can be changed in panel (recorded in panel report)

Rules for the ranking

- **Priority criteria**

  1. **RIA - excellence>impact ; IA - impact>excellence**

  2. other criteria such as:
     - **SMEs (budget)**
     - **gender (% and role)**

- **Additional rules for selection specified in the WP**:

  o *eg. COMPET-1-2017: max one proposal per identified priority technology line*

After the evaluation...

- Information is sent to applicants **max 5 months** from call deadline: trigger for Grant Agreement Preparation phase

- **Total of 8 months** from evaluation closure until the signature of the Grant Agreement

- Close interaction with beneficiaries:

  - Minor modifications in content, only if necessary

  - Administrative procedure (e.g., validations, financial viability check, if needed) with minimised administrative burden for applicants and high reliance on electronic submissions

- Internal procedure: award decision, budgetary commitment

- Grant Agreement signature

- Pre-financing to consortium

Research Executive Agency

Evaluation review

- If an applicant considers that the evaluation of a proposal was not carried out in accordance with the Rules for Participation, the work programme/call, or the relevant Manual s/he may file **a request for evaluation review on the Participant Portal within 30 days** of being informed **of the evaluation results**.

- **The scope of the evaluation review procedure will cover only the procedural aspects of the evaluation**. Its role is not to call into question the judgment of appropriately qualified experts, and therefore it does not cover the assessments by these experts with respect to the evaluation criteria.

  (However, the review committee will assess the qualifications of the experts)

- Applicants must **base their complaint on the information contained in the Evaluation Summary Report (ESR),** possibly with reference, as the case may be, to the conditions of the call for proposals, work programme, evaluation rules, etc.

Re-evaluation at REA

- Complaints are replied within 4 months from the 30-day deadline

- REA works through independent Evaluation review committees, consisting of REA staff of other programmes and units

- When in doubt the committees have a principle to rule in favour of the applicant

- REA B1 has no influence on the committee recommendation.

- Although the committee issues only recommendations, in REA these are as a rule followed

Outcome A – no evidence to support the claim, confirming the results of the initial evaluation

Outcome B – evidence to support the complaint, but no re-evaluation recommended as the shortcoming is limited to a certain part of the evaluation and did not influence the overall outcome

Outcome C – sufficient evidence to support the claim, with a full or partial re-evaluation recommended

- The request to re-evaluate a proposal has to include a concrete complaint linked to the ESR or the evaluation procedure

- Scientific disagreement or difference of opinion is not a reason for re-evaluation

  o Committees routinely check the CVs of the evaluating experts. If they are considered to be experts in the field in question, a disagreement is ruled in favour of the evaluating experts

- However, factual error in the ESR, penalising several times for the same shortcoming or weakness, contradicting claims, or comments not matching the score would be causes for re-evaluation

Re-evaluation recently

- 2015: 1 complaint in EO, 2 in COMPET

  o 1 case of a recognized error, which was however considered not to jeopardise the evaluation outcome (B)

  o 2 cases leading to a complete re-evaluation (C)

- 2016: 4 complains about COMPET proposals, committee currently drafting recommendations, which will be proof-read by the REA management

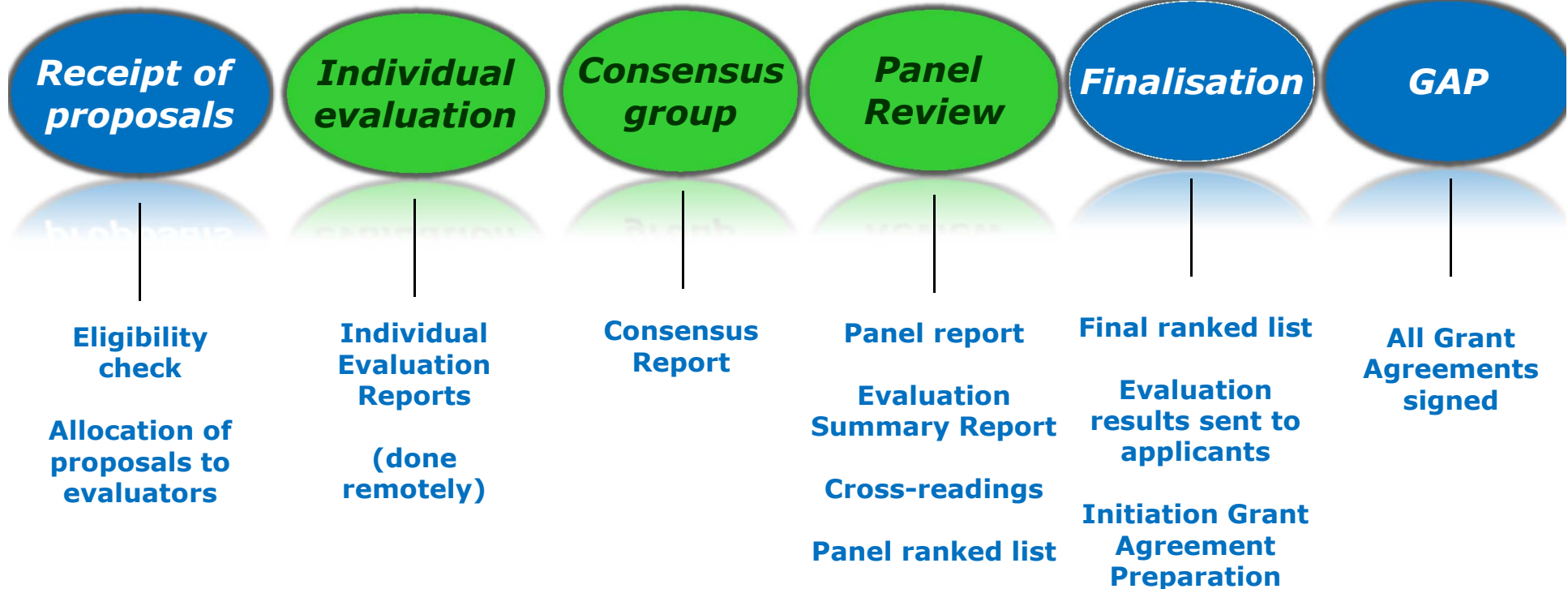# H2020 Space calls 2017 evaluation planning

1 March 2017: Closing of Call

June 2017: Ethics screening
July – August 2017: Inform applicants

Remote evaluations
April – May 2017

Central evaluations
May – June 2017

November 2017
GAP ending

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Finalisation

GAP

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(done remotely)

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Cross-readings

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Final ranked list

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Initiation Grant Agreement Preparation

All Grant Agreements signed

Time-To-Inform (TTI): 5 months

*Legal limit for TTI is 1.8.2017

Time-To-Grant (TTG): 8 months