



#InvestEUresearch



Horizon 2020 Work Programme for Research & Innovation 2018-2020

Evaluation process and how to prepare a good proposal

UNIT B3 - Europe in a changing world – Inclusive, innovative and
reflective societies

Research Executive Agency

Research and
Innovation



Agenda

- **Evaluation Process – basic principles and timeline**
- **How to prepare a good proposal? :**
 - Before you start - tips and lessons learnt
 - Frequent mishaps
 - How to inform yourself - the information gateways

SC6 2019 CALLS

3 CALLS

25 different topics:

Call 1 - Migration 2019		
MIGRATION-01-2019 (RIA)	Understanding migration mobility patterns: elaborating mid and long-term migration scenarios	REA
MIGRATION-03-2019 (RIA)	Social and economic effects of migration in Europe and integration policies	REA
DT-MIGRATION-06-2018-2019 (IA)	Addressing the challenge of migrant integration through ICT-enabled solutions	REA
MIGRATION-07-2019 (RIA)	International protection of refugees in a comparative perspective	REA
CALL 2 - Socioeconomic and Cultural Transformations of the Fourth Industrial Revolution 2019		
DT-TRANSFORMATIONS-02-2018-2019-2020 (RIA)	Transformative impact of disruptive technologies in public services	REA
TRANSFORMATIONS-03-2018-2019 (RIA)	Innovative solutions for inclusive and sustainable urban environments	REA
TRANSFORMATIONS-04-2019-2020 (RIA)	Innovative approaches to urban and regional development through cultural tourism	REA
DT-TRANSFORMATIONS-07-2019 (RIA)	The impact of technological transformations on children and youth	REA
TRANSFORMATIONS-08-2019 (RIA)	The societal value of culture and the impact of cultural policies in Europe	REA
DT-TRANSFORMATIONS-11-2019 (RIA)	Collaborative approaches to cultural heritage for social cohesion	REA
TRANSFORMATIONS-13-2019 (RIA)	Using big data approaches in research and innovation policy making	REA
TRANSFORMATIONS-17-2019 (RIA)	Societal challenges and the arts	REA
DT-TRANSFORMATIONS-07-2019 (CSA)	The impact of technological transformations on children and youth	CNECT
TRANSFORMATIONS-16-2019 (CSA)	Social platform on the impact assessment and the quality of intervention in European historical environment and cultural heritage sites	RTD
CALL 3 - The governance for the future 2019		
GOVERNANCE-01-2019 (RIA)	Trust in governance	REA
GOVERNANCE-04-2019 (RIA)	Enhancing social rights and EU citizenship	REA
DT-GOVERNANCE-05-2018-2019-2020 (RIA)	New forms of delivering public goods and inclusive public services	REA
SU-GOVERNANCE-10-2019 (RIA)	Drivers and contexts of violent extremism in the broader MENA region and the Balkans	REA
DT-GOVERNANCE-12-2019-2020 (IA)	Pilot on using the European cloud infrastructure for public administrations	REA
DT-GOVERNANCE-13-2019 (RIA)	Digitisation, Digital Single Market and European culture: new challenges for creativity, intellectual property rights and copyright	REA
GOVERNANCE-18-2019 (CSA)	Innovation in government - building an agile and citizen-centric public sector	REA
GOVERNANCE-19-2019 (CSA)	A European Social Catalyst Fund to scale-up high performing social innovations in the provision of social services	REA
Governance-17-2019 (CSA)	Democratic crisis ? Resolving socio-economic and political challenges to reinvigorate democracies	RTD
Governance-16-2019 (CSA)	Reversing Inequalities	RTD
GOVERNANCE-02-2018-2019(CSA)	Past, present and future of differentiation in European Governance	RTD

H2020 type of Actions

RIA

- Action consisting of activities aiming at establishing new knowledge and/or to explore the feasibility of a new or improved technology, product, process, service or solution.
- EU funding rate: 100%
- 3 beneficiaries
- Page limit 70 pages

IA

- Action primarily consisting of activities directly aiming at producing plans and arrangements or designs for new, altered or improved products, processes or services.
- EU funding rate: 70%
- 100% for non-profit legal entities
- 3 beneficiaries
- Page limit 70 pages

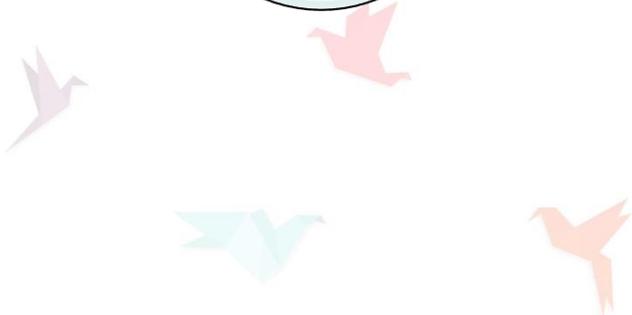
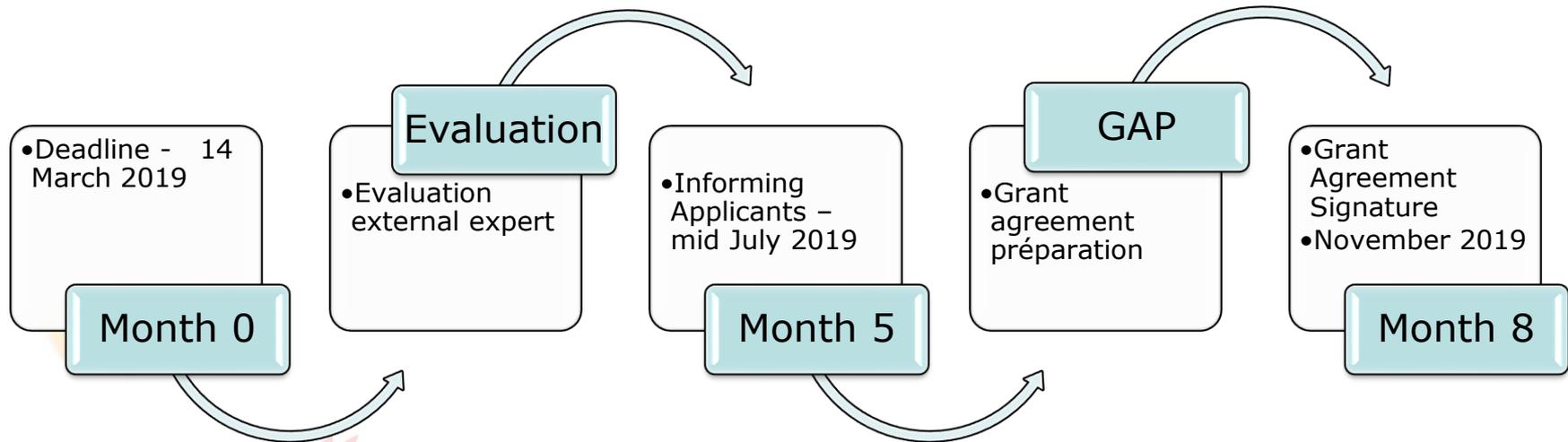
CSA

- Action that improve skills, mobilise large – scale investments or facilitate EU policy implementation
- EU funding rate: 100%
- Minimum 1 beneficiary
- Page limit 50 pages



H2020 - Societal Challenge 6 -2019 CALLS

Published 06/11/2019



Evaluation Process & Principles

- Fair and equal treatment of all proposers
- Based on the criteria announced in the Call
- Confidential process, no conflicts of interest
- Independent external experts



Evaluation Process (before Call deadline)

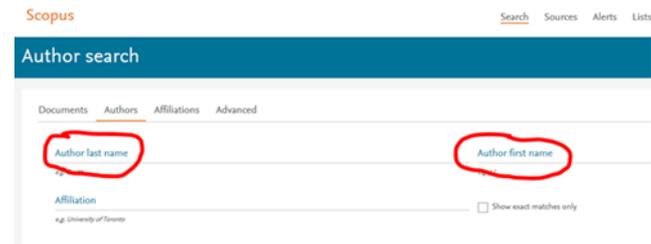
Before call deadline

- Identification of experts (database and research)
- Check for availability and CoI (application to SC6?)
- Selection and constitution of pool of experts per topic
- Briefing of experts



Experts H2020 ONLINE MANUAL

Join the database of independent experts. The European Commission appoints independent experts to assist with assignments that include the evaluation of proposals, monitoring of projects, and evaluation of programmes, and design of policy.



Scopus Search Sources Alerts Lists

Author search

Documents Authors Affiliations Advanced

Author last name Author first name

Affiliation e.g. University of Toronto Show exact matches only

Criteria For Selection of Experts



1- KNOWLEDGE & COMPETENCE

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- WHY?

- CONTENT vs PROCESS
in ASSIGNING EXPERTS TO POOLS

How do we brief the experts?

- Experts are briefed to understand the Call text, the scope of the topic, the evaluation criteria and their mandate
- Only the best proposals should be selected – not requiring any negotiations
- Only evaluate the proposal, no other source
- Evaluate individually 5 to 8 proposals

Evaluation Process (after call deadline)

- Admissibility/Eligibility
- Allocation of experts to proposals
- Individual evaluation
- Consensus phase in remote

- Panel

minority views/ consistency check/endorsement of the raking list

- **Excellence**
- **Impact**
- **Quality & efficiency of implementation**

No negotiation takes place -> only the very best are selected

Award criteria

RIA/IA

Excellence

- ✓ 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 and **gender dimension in research and innovation content**.

Impact

- ✓ The extent to which the output of the project would contribute to each of the expected **impacts** mentioned 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** the project results (including management of IPR), and to manage research data where relevant); **communicate** the project activities to different target audiences.

Implementation

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

Award criteria

CSA

Excellence

- ✓ 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 extent to which the output of the project would contribute to each of the expected **impacts** mentioned in the work programme under the **relevant topic**.
- ✓ Quality of proposed measures to:
 - **exploit** and **disseminate** the project results (including management of the IPR), and to manage research data where relevant;
 - **communicate** the project activities to different target audiences.

Implementation

- ✓ Quality and effectiveness of the **work plan**, including extent to which the **resources** assigned to work packages are **in line with their objectives and deliverables**.
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- ✓ **Appropriateness of the allocation of tasks**, ensuring that all participants have a valid role and adequate resources in the project to fulfill that role.



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- **Evaluation Process – basic principles and timeline**
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 - **Before you start - tips and lessons learnt**
 - Frequent mishaps
 - How to inform yourself - the information gateways



Call open - From 6 of November 2018 to
14 of March 2019



Start early – a good proposal needs time and
evolution



Learn the language ...

- **Proposal:** Your application
- **Participants Portal:** Commission's electronic submission tool – compulsory gateway for H2020 proposals
- **Consortium:** A team of organisations submitting the proposal – with one defined Coordinator

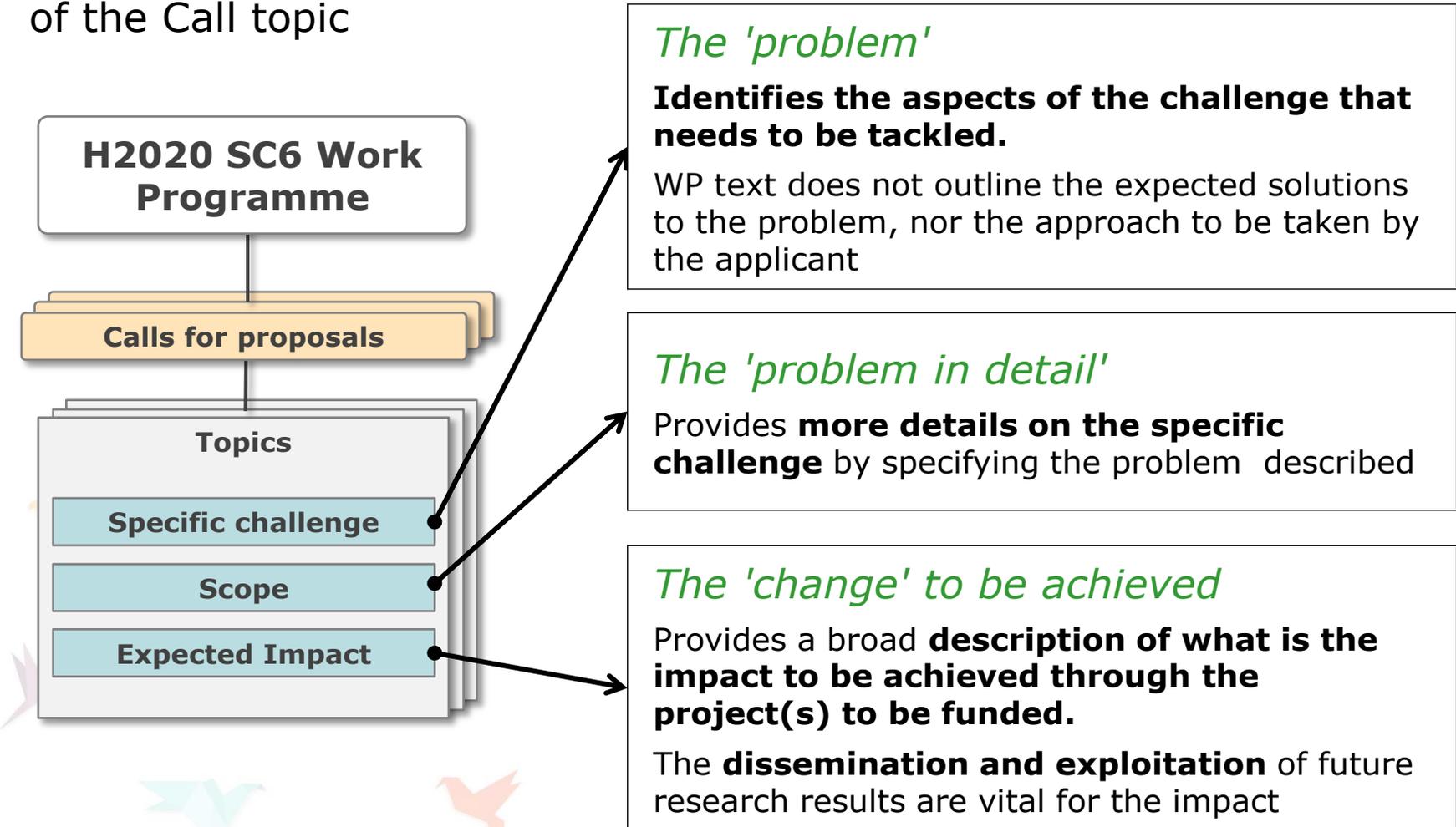


Before you start.... Key documents

- **Horizon 2020 Work Programme for Research and Innovation - 2018/2020 - Societal Challenge 6 -Europe in a changing world – Inclusive, innovative and reflective societies** : background, topics and budgets
- **General annexes to the Work Programme**: list of countries, eligibility and admissibility conditions, evaluation criteria and procedure, scoring and threshold
- **Submission forms and templates**: essential forms and guides to draw up and submit your proposal
- **Guide to the submission and evaluation process**

Tips and lessons learnt

Carefully read the Call topics text and additional documents: proposal should answer scope and expected impacts of the Call topic



Quality = key to success

Demonstrate WHAT – WHY – HOW !

An **excellent idea** is the basis of a good proposal but is **not sufficient....**

The **expected impacts and implementation aspects** are as important !

The proposal should **excel in each single criterion !**

Be specific in your objectives and expected impacts and clearly demonstrate how you aim to implement and sustain them

Tips and lessons learnt

**Proposals have
2 parts**

**Both parts need
to be assessed**

**Page limitation:
50 or 70 pages
for Part B**

**(excessive pages
made invisible)**

■ Part A

- General Information – Abstract
- Participants and contacts
- Budget
- Ethics
- Call specific question – Open Research Data Pilot

■ Part B

- Section 1: Excellence (objectives; relation to WP; concept & approach; ambition)
- Section 2: Impact (expected impacts; measures to maximize impact which include dissemination & exploitation of results and communication activities)
- Section 3: Implementation (work plan; management structure & procedures; consortium; resources)
- Section 4: Members of the consortium
- Section 5: Ethics and security

Tips and lessons learnt

- Define your specific objective, concretely what would you like to achieve, whom you would like to address, make sure you know the current state of the art as your starting point, (check list of H2020- SC6 projects funded in Cordis)
- Produce a first outline of your idea; write a preliminary 2-3 pages about your: objectives, target group, major steps (work packages), intended consortium (countries, types of organisations)
- Start writing the detailed proposal; Work Plan, Fine-tune your aim objectives and your target group
- Take your time to decide the best methodology to be applied – can it deliver? Think impact!
- Define your main working steps
- Follow the guide on number of pages

Create the budget:

- Design your budget “bottom-up”
- Wait until the tasks are sufficiently specified and agreed – then design define the budget
- Check consistency regularly while advancing on with your Work Plan - share of resources, appropriate levels between partners, appropriate weight of person-months between major work steps



- Support to 3rd parties as described in part K (cascade funding) of the general annexes of the WP is allowed only if specified by topic.



Translate person-months
into EUR



Estimate efforts needed (person
man-months of work)

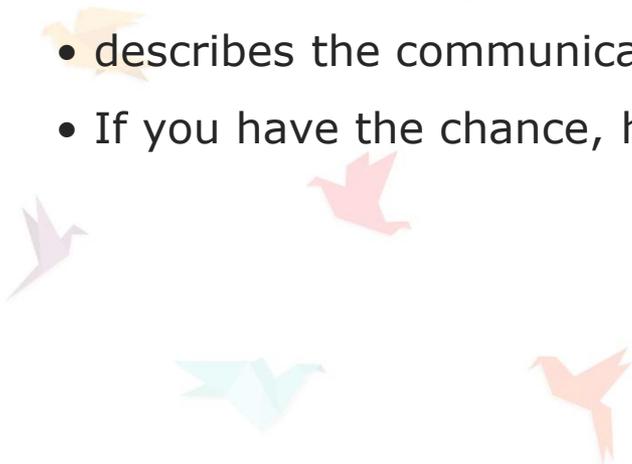


Define tasks

Final polishing

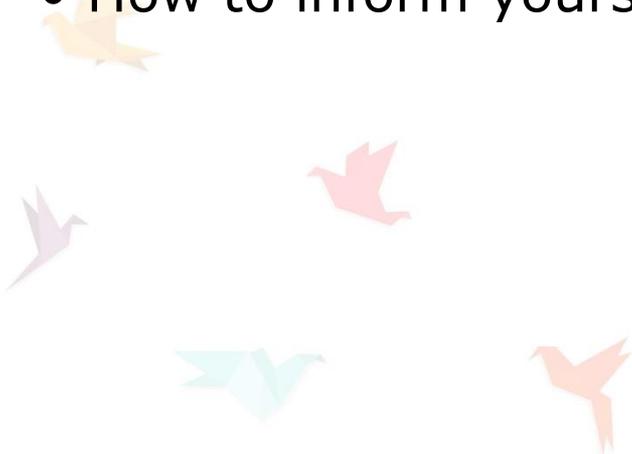
The technical annex must give a detailed description of the project idea and **work plan**, which:

- divides the planned work into **work packages**,
- assigns the related responsibilities and resources within the consortium,
- sets out a project time schedule, **main milestones and deliverables**,
- describes the project management structure,
- describes the communication and exploitation plans.
- If you have the chance, have a native speaker check the English



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Frequent mishaps – Eligibility / Admissibility

- **Call deadline is unchangeable:** use all advantages of the electronic submission system to make the deadline!
- **Completeness:** one section missing makes your proposal inadmissible
- **Partnerships:** remember the principle of 3 participants from Member States or Associated Countries (check the Work Programme 2018/2020 for exceptions)
- **Page limit:** 50 pages for CSA / 70 pages for IA+RIA: applied strictly during evaluation
- Read carefully the proposal template,
- Follow the structure and address each sub criteria:

Frequent mishaps

- Read carefully the proposal template,
- Follow the structure and address each sub criteria:
- **Excellence:**
 - Methodology not sufficiently described,
 - Proposal does not specify how goes beyond the state of the arts
- **Impact:**
 - Dissemination and communication plan not detailed
 - Any impacts not mentioned in the WP
- **Implementation:**
 - Work plan not sufficiently detailed/budget not justified,
 - Management tasks
- Check if your topic is flagged as cross-cutting issues (see topic description in the participant portal and additional information on CCI in the H2020 Online-Manual)
- You win by explaining!

Frequent mishaps

Subject: FW: RE: Recurrent & frequent shortcomings, weaknesses or mishaps

- The overall objectives are too broad and specific objectives are not developed in detail.
 - The state of the art is not presented in a comprehensive manner.
 - The involvement of stakeholders is not well justified.
-
- The main point is always the level of depth in the description of the proposal (whether it is in the description of the research concept, the methods or implementation aspects). Proposals who have thought the call topic thoroughly through and write the proposal with precision have already
 - "What's not written is not there" (no "speculation" about how the PI could maybe have thought to do it). Example: The choice of case studies is not sufficiently elaborated; methodological aspects are not detailed with precision etc.
 - Major point is how well the proposal addresses the components of the call topic: Some proposals simply fail to address the important aspects with sufficient depth and hence land around 12 points...
-
- Follow the templates ☺.
 - Have participation of communication agencies (SMEs) with staff with a background in journalism, public relations, publicity, audiovisual communication and/or social media rather than pure IT/graphic companies acting / participating as "communication experts"
-
- Unclear distinction between communication and dissemination
 - Innovation management is often not addressed
 - Failure to show the innovation potential
 - Interdisciplinary approaches often shown at the consortium level only bringing in different expertise but poor use of stakeholder knowledge and involvement
 - Resources for management overestimated
 - Resources for dissemination and communication and exploitation underestimated or miscalculated (only one partner or a few)
-
- The proposal is too formulaic and is not specific enough. The evaluators need to read a lot into the proposal.
 - Not enough attention is put on the IMPACT-section, which has the same weight as the other two criteria, and the narrative is more a box-ticking exercise or too formulaic.
 - The proposal entails an inflated and unrealistic number of proposals (more than 50) which is not credible and overloaded, and many of the proposals are steps in between and not substantial. Nota bene: This might also cause problems for the later implementation of the project.
 - The proposal is not realistic in its goals but wants to do everything and nothing at the same time.
 - There are too many Work Packages (more than 10 can be perceived as unnecessarily inflated or overly complex).
 - The abstract is too generic and not specific enough.
 - The European added value of the proposal is not evident.
 - Deliverables and milestones are mixed up, and sometimes duplicated.
 - The Work Packages are concentrated in the hands of view participants, or are dominated by the coordinator.
 - Participants from countries with weaker science systems (notably third countries) are only used as data gatherers but not enough integrated in the substance of the work.
 - The Work Packages are not interconnected enough, or each beneficiary is mainly in charge of one Work Package without being sufficiently involved in the other Work Packages.
 - The proposal has a well documented method, but this is not broken down to the individual Work Packages, i.e. the particular method(s) used in the Work Packages is not clear.
 - The sequence of the Work Packages is not explained sufficiently, or unclear.
 - It is not clear how the overall objectives are operationalised.
 - The budget is concentrated in the hands of view participants, or is dominated too much by the coordinator.
 - Management is not a shared task, but concentrated with the coordinator.
 - The proposal entails an inflated and unrealistic number of deliverables ...
-
- The key issue of whether the content to be used is available (access rights, etc) was addressed poorly in most of the proposals. (particularly valid for data oriented topics)
 - The proposed datasets were often too small to be relevant to big data. (particularly valid for data oriented topics)
-
- The descriptions of the impacts in proposals are in general vacuous and consist of copying from the topic description.
 - In general proposals show little engagement in impact and/or orientation towards impact which is perceived like something to do post-project so nothing really to be bothered about.
 - Moreover:
 - Depending on the topic, there is often insufficient participation of SMEs and what there was appeared to be mainly to satisfy formal requirements rather than to provide true value. This is also a sign of little attention to impact and post project exploitation as consortia do not seem exploitation
-
- Each WP / partner uses its own methodology which will not enable the comparison of results.
 - The project is merely multidisciplinary while the evaluation criteria requires interdisciplinarity.
-
- The Project Manager (not necessarily the coordinator or Leader) should have training in... PROJECT MANAGEMENT.



How to inform yourself

Call pages: <http://ec.europa.eu/research/participants/portal/desktop/en/opportunities/index.html>

Grants Manual - Section on: Proposal submission and evaluation

http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/pse/h2020-guide-pse_en.pdf

Guidance for evaluators of Horizon 2020 proposals

http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/pse/h2020-evaluation-faq_en.pdf

Templates for mock evaluations:

http://ec.europa.eu/research/participants/data/ref/h2020/call_ptef/ef/h2020-call-ef-ria-ia-csa_en.pdf

H2020 reference documents:

http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html

Communication guidelines for projects:

http://ec.europa.eu/research/participants/data/ref/h2020/other/gm/h2020-guide-comm_en.pdf

Guide on beneficiary registration, validation and financial viability check Manual:

http://ec.europa.eu/research/participants/docs/h2020-funding-guide/index_en.htm

http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-pilot-guide_en.pdf

http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/open-access-data-management/open-access_en.htm

ETHICS

How to complete your ethics Self-Assessment:

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

Ethics Issues Table template:

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



**Thank you for your
interest !**

Questions ?

Together for better Societies

FROM PAST TO FUTURE

Unit B3

Inclusive, Innovative
and Reflective Societies

