



Horizon 2020 Call evaluation and procedures

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Call Coordinator

Info Day - Research and Very Large Scale
Demonstrations Call for Proposals H2020-SESAR-
2016-2

Brussels, 22 March 2017

Founding Members



EUROPEAN UNION



EUROCONTROL

SESAR 2020 EXPLORATORY RESEARCH AND VERY LARGE SCALE DEMONSTRATIONS



- Call identifier: H2020-SESAR-2016-2
- Deadline: 11 May 2017

Budget to Scope allocation

Work Area	Type of Activity	Type of Action	Indicative Budget
WA1: ER3	EXPLORATORY RESEARCH		EUR 10,000,000
WA1.1 1 Topic	Transversal Exploratory Research	Coordination and Support Action	EUR 4,000,000
WA1.2 5 Topics	ATM Application-Oriented Research	Research and Innovation Actions	EUR 6,000,000
WA2: VLD (Open)	VERY LARGE SCALE DEMONSTRATIONS		EUR 18,500,000
WA2.1 6 Topics	SESAR Solutions demonstrations for High Performing Aviation in Europe	Innovation Action	EUR 10,000,000
WA2.2 2 Topics	Global Interoperability	Innovation Actions	EUR 3,000,000
WA2.3 2 Topics	Safe Integration of all Air Vehicles	Innovation Actions	EUR 5,000,000
WA2.4 1 Topic	Active Geo-fencing Service	Innovation Action	EUR 500,000

Call deadline

11 May 2017

Evaluation

July 2017

Grant preparation

September – November 2017

Grant agreements

December 2017



HORIZON 2020 PROPOSAL EVALUATION

ROLE OF INDEPENDENT EXPERTS



Role of independent experts

- **Independent experts, evaluate proposals submitted in response to a given call**
- **The experts are responsible for carrying out the evaluation of the proposals themselves**
 - They are not allowed to delegate the work to another person!
- **The experts must close reports in the electronic system within a given deadline**
- **Significant funding decisions will be made on the basis of their assessment**

Guiding principles



- *Independence*
- *Impartiality*
- *Objectivity*
- *Accuracy*
- *Consistency*

Conflicts of interest (COI) (1)

The experts have a COI if they:

- were involved in the preparation of the proposal
- stand to benefit directly / indirectly if the proposal is successful
- have a close family / personal relationship with someone involved in the proposal
- 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 a Horizon 2020 Advisory Group or Programme Committee
- are a National Contact Point or are directly working for the Enterprise Europe Network

COI conditions are spelled out in the expert's contract in the Code of Conduct (Annex 1)

Conflicts of interest (COI) (2)

- **The experts must inform the Commission / Agency as soon as they become aware of a COI**
 - Before the signature of the contract
 - Upon receipt of proposals, or
 - During the course of their work
- **If there is a COI for a certain proposal they 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 the experts knowingly hide a COI, they will be excluded from the evaluation and their work declared null and void**
 - The allowance/expenses they claimed may be reduced, rejected or recovered
 - Their contract may be terminated

HORIZON 2020 PROPOSAL EVALUATION

THE EVALUATION PROCEDURE IN PRACTICE

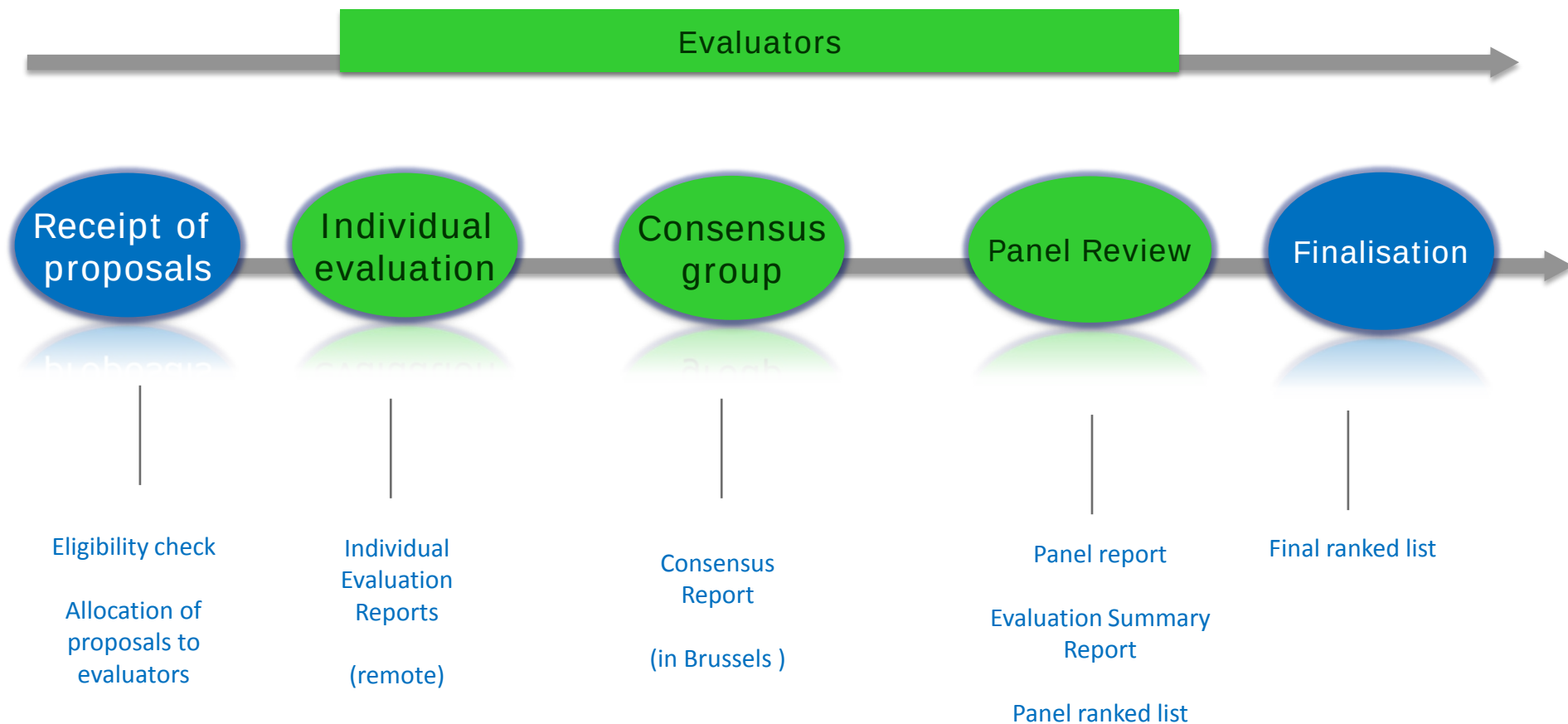


- **No grant negotiation phase!**
 - **The time from submission of a proposal, evaluation and signature of the grant has been reduced to a maximum of 8 months**
(max. 5 months for evaluation + max. 3 months for grant signature)
- **What does this mean for the evaluation of proposal?**
 - **The experts evaluate each proposal as submitted**
not on its potential if certain changes were to be made
 - **If they identify shortcomings (other than minor ones and obvious clerical errors), the experts must reflect those in a lower score for the relevant criterion**
 - **They explain the shortcomings, but do not make recommendations**
i.e. do not suggest additional partners, additional work packages, resources cut...
 - **Proposals with significant shortcomings must not receive above-threshold scores**
 - **Any proposal with scores above the thresholds and for which there is sufficient budget will be selected as submitted**

Significant shortcomings =
weaknesses that would prevent the project from achieving its objectives;
or resources being seriously over-estimated

Successful applicants are invited to address minor shortcomings

Overview of the Evaluation Process



Admissibility & eligibility checks

- **Admissibility is checked by the SJU**
 - Readable, accessible and printable
 - Completeness of the proposal (presence of all requested forms)
 - Inclusion of a plan for exploitation and dissemination of results
- **Eligibility checked by the SJU**
 - **Innovation Action and Research & Innovation Action**: at least 3 legal entities established in 3 different MS/AC
- **(Standard) admissibility / eligibility checks to be made by experts**
 - “Out of scope”: check if proposal content corresponds, wholly or in part, to the WP description of the call or topic (eligibility)
 - **Operational capacity** (admissibility)
- A proposal will only be deemed ineligible/inadmissible in clear-cut cases

- **As part of the Individual Evaluation, the experts give their view on whether each applicant has the necessary basic operational capacity to carry out their proposed activity(ies) based on the information provided**
 - 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
- **At the consensus group, they consider whether an applicant lacks basic operational capacity**
- **If yes, the experts make comments and score the proposal without taking into account this applicant and its associated activity(ies)**

Third countries & International Orgs

- Legal entities from **Associated Countries** can participate under the same conditions as legal entities from Member States
- Third countries are those which are not a Member State or Associated country
- Participation of **third countries and international organisations (IO)** is welcome. However, funding will be subject to **existing agreements**
- List of **third countries** eligible to receive funding through H2020 is in [General Annexes of WP part A](#)
- IOs for which a majority of its members are **Member States or Associated Countries**, and whose principal objective is to promote scientific and technological cooperation in Europe (**International European interest organisations**) are eligible for H2020 funding

Associated Countries: Albania, Bosnia and Herzegovina, Faroe Islands, Iceland, Israel, Moldova, Montenegro, Norway, the former Yugoslav Republic of Macedonia, Turkey, Serbia, Ukraine, Tunisia, Armenia, Georgia

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Associated Countries: Albania, Bosnia and Herzegovina, Faroe Islands, Iceland, Israel, Moldova, Montenegro, Norway, the former Yugoslav Republic of Macedonia, Turkey, Serbia, **Switzerland**, Ukraine, Tunisia, Armenia, Georgia



Update on Switzerland



From 1 January 2017 onwards: Swiss legal entities will be treated as entities from an Associated Country for all Grant Agreements signed in 2017.

Furthermore, as applicable to all legal entities which are eligible to receive EU funding, for GAs to be signed in 2017 (including those following proposals submitted during 2016), the funding of Swiss legal entities will be determined by the amount of EU contribution **as requested in the proposal**.

=) Funding will only be provided for those Swiss legal entities which have requested such EU contribution

=) Experts do not need anymore to justify exceptional funding for Swiss beneficiaries

Proposal scoring

- **The experts give a score of between 0 and 5 to each criterion based on their comments**
 - Half-marks and decimals can be used
 - The whole range of scores should be used
 - Scores must pass *thresholds* if a proposal is to be considered for funding
- **Thresholds apply to individual criteria...**

The default threshold is 3 (see below from WP)
- **...and to the total score**

The default overall threshold is 10 (unless specified otherwise in the WP)

Table 4 – Scoring criteria for all Action types:

	Excellence	Impact	Quality
Weight (%):	40	40	20
Threshold per Criteria (n/5):	3	3	3
Overall Pass Threshold (%):	70		

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.

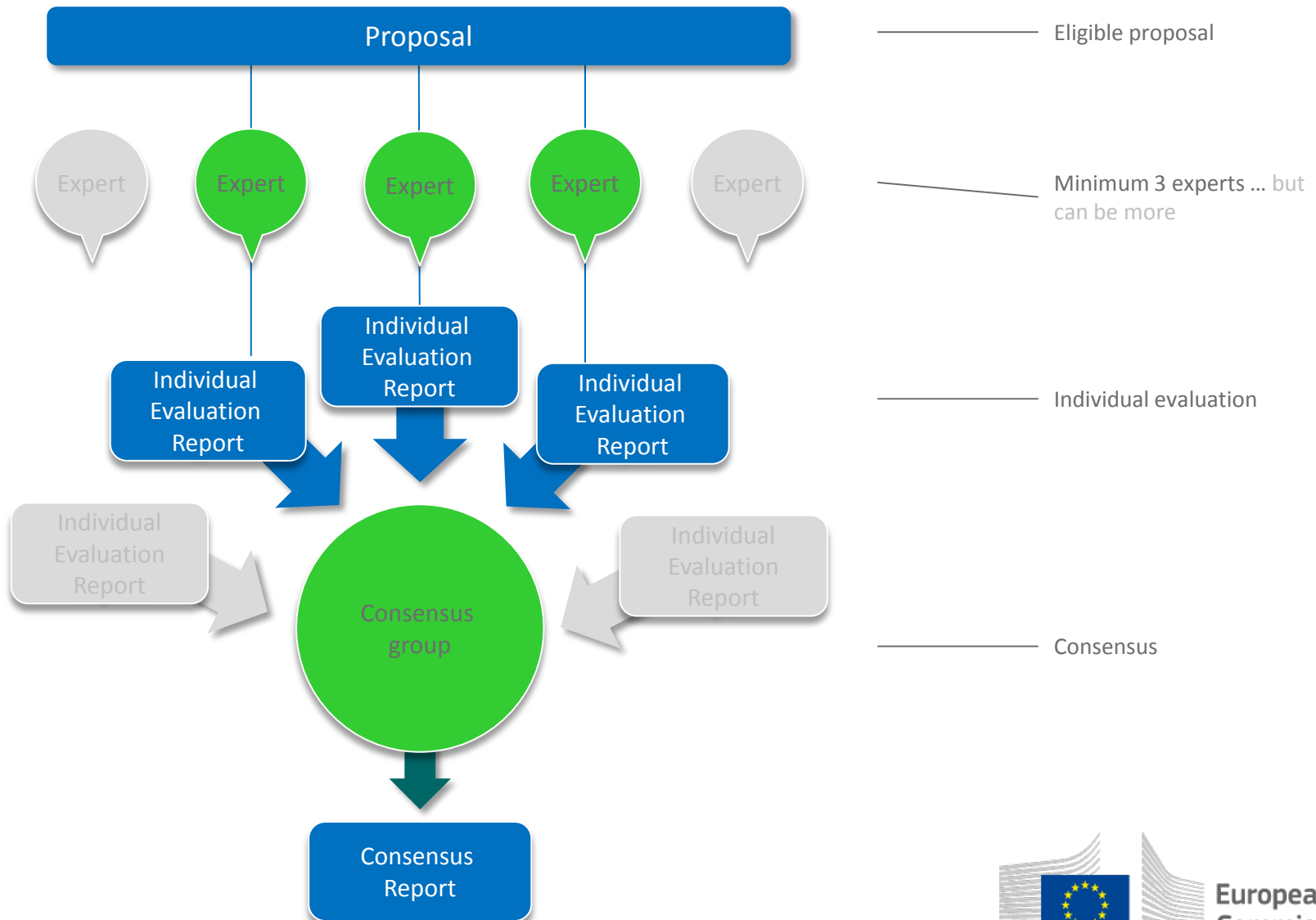
4

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



Individual evaluation

- **The experts 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
- **They disregard excess pages marked with a watermark**
- **The experts check to what degree the proposal is relevant to the call or topic**
- **They complete an Individual Evaluation Report (IER)**
 - Give their view on operational capacity
 - Give comments and scores for all evaluation criteria (scores must match comments)
 - Do not recommend substantial modifications
- **They then sign and submit the form in the electronic system**

Consensus

- **It usually involves a discussion on the basis of the individual evaluations**
 - It is not just a simple averaging exercise
- **The aim is to find agreement on comments and scores**
 - **Experts agree on comments before scores!**
 - If an applicant lacks basic operational capacity, the experts 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
 - It is normal for individual views to change
- **Moderated by SJU staff (or an expert in some cases)**
 - 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

- **The *rapporteur* is responsible for drafting the consensus report (CR)**
 - Including consensus comments and scores
 - In some cases, the rapporteur does not take part in the discussion
- **The quality of the CR is paramount**
 - 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

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
- **Prioritises proposals with identical total scores, after any adjustments for consistency**
- **Recommends a list of proposals in priority order**

- **The panel orders proposals with identical scores 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 budget allocated to SMEs
 - Second, the gender balance of personnel primarily responsible for 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 to Horizon 2020

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 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**

HORIZON 2020 PROPOSAL EVALUATION

THE EVALUATION CRITERIA



Coordination & Support (CSA) Action - TOPIC

Knowledge Transfer Network (KTN)

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

Coordination & Support (CSA)

Excellence

1. Clarity and pertinence of the proposal: objectives, scope, problem statement and requirements.
2. Soundness of the concept, and credibility of the proposed methodology.
3. Quality of the proposed coordination and/or support measures.

Impact

1. The expected impact on the SESAR Programme and on ATM research is clearly described.
2. Effectiveness of the proposed communication activities for promoting the projects and its outcome.
3. Quality of measures for achieving impact on science, technology and skills growth on the future evolution of the European ATM system.

Implementation

1. The work breakdown is clear and consistent with the needs of the project. There is clarity of intermediate targets with valid roles assigned to participants and appropriate allocation of tasks.
2. Complementarity and relevance of the participants and expertise in the consortium.
3. Appropriate allocation and justification of resources (person-months, equipment, and budget) in line with the objectives and deliverables.
4. Appropriate management structures and procedures including risk and innovation management.

Research & Innovation Action (RIA) (ER topics)

- **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

Research and Innovation Actions (RIA)

Excellence

1. Clarity of targeted breakthrough and its specific science and technology contributions towards a long-term vision for the future evolution of the European ATM system.
2. Degree of innovation. How the proposal demonstrates innovation potential (e.g. ground-breaking objectives, novel concepts and approaches, new products, services or business and organisational models).
3. Previous and current interdisciplinary research is fully taken into account. Projects may propose research that follows on from existing projects, in this case proposals must clearly explain assumptions, how they will access previous results and make use of stakeholder knowledge.

Impact

1. The potential of the Project to contribute the SESAR state-of the- art and bring SESAR benefits (safety, capacity, environment, cost effectiveness).
2. Importance of the new ideas/concepts and technologies outcome with regards to its transformational impact on technology and/or society.
3. Clear explanation and communication of possible outcomes and next steps towards implementation, especially with regard to industry links and the relationship to the SESAR work programme.
4. Quality of measures for achieving impact on science, technology and skills growth relevant for the future evolution of the European ATM system.

Implementation

1. The work breakdown is clear and consistent with the needs of the project and clarity of intermediate targets.
2. Relevant expertise in the consortium.
3. Appropriate allocation and justification of resources (person-months, equipment, and budget).

Innovation Action (VLD topics)

- **Action primarily consisting of activities directly aiming at producing plans and arrangements or designs for new, altered or improved products, processes or services**
 - For this purpose they may include prototyping, testing, demonstrating, piloting, large-scale product validation and market replication
 - Aiming to validate the technical and economic viability in a (near) operational environment and/or aiming to support the first application/deployment in the market of an innovation that has already been demonstrated but not yet applied/deployed in the market due to market failures/barriers to uptake
 - Projects may include limited research and development activities.

Innovation Actions (IA)

Excellence

1. Clarity and pertinence of the proposal: objectives, scope and requirements defined in the Description of Work are well understood and fully addressed in the Proposal.
2. Clarity and pertinence of the Concept and proposed approach.
3. Added value to the SESAR Programme and benefits in bridging R&I towards deployment are clearly described (ambition).

Impact

1. The expected impact on the Programme in terms of generating buy-in and bringing SESAR performance benefits as outlined in the European ATM Master Plan is clearly described.
2. The proposal clearly explains to what extent the project contributes to the related standardisation activities (when relevant).
3. Effectiveness of the proposed communication activities for promoting the projects and its outcome.

Implementation

1. Coherence and effectiveness of the work plan considering in particular its integration within the overall Programme lifecycle (Compliance with SESAR 2020 Programme Executive Guidance is required).
2. Appropriateness of the proposed management
3. structure and procedures, including complementarity of the participants within the Project (Compliance with SESAR 2020 Programme Executive Guidance is required).
4. Relevant technical expertise in the area related to the project, quality of the proposed Project Manager CV.
5. Consistency between the expected project results and the estimated budget.

- **Only proposals that comply with the ethical principles and legislation may receive funding**
- **For proposals above threshold and considered for funding, an ethics screening and, if necessary, an ethics assessment is carried out by independent ethics experts or qualified internal staff in parallel with the scientific evaluation or soon after**
- **For those proposals in which one or more ethical issues have been identified, the experts will assess whether the ethics issues are adequately addressed**
- **The ethics experts will produce an ethics report and give an opinion on the proposal, including:**
 - Granting ethics clearance (or not)
 - Recommending the inclusion of 'ethics requirements' in the grant agreement, or
 - Recommending a further Ethics Assessment and/or an Ethics Check or Audit

H2020 Legal Basis for ethics process



The Ethics Appraisal procedure concerns **all activities funded** in Horizon 2020.

The aim is to ensure that the provisions on ethics in **H2020 regulation** and in the **Rules for Participation** are respected.

http://ec.europa.eu/research/participants/data/ref/h2020/legal_basis/fp/h2020-eu-establact_en.pdf

http://www.fch.europa.eu/sites/default/files/h2020-rules-participation_en.pdf

It is also complementary with Article 34 of the **Grant Agreement** on "Ethics and Research Integrity".

http://ec.europa.eu/research/participants/data/ref/h2020/mga/gga/h2020-mga-gga-multi_en.pdf

Ethics appraisal steps

1. Ethics **Self-Assessment**

2. The Ethics **Review** (before the finalisation of GA)

i) An Ethics **Pre-screening/Screening**;

ii) An Ethics **Assessment**.

3. The Ethics **Check** and **Audit** (for selected projects, after the signature of the GA)

Applicant Self-Assessment

Each applicant is responsible for:

- Identifying any potential ethics issues
- Handling the ethics aspects of their proposal
- Providing details as to how they intend to address the issues, from the proposal stage.

 European Commission – Research – Participants Proposal Submission Forms Directorate-General for Research and Innovation	
Proposal ID	Acronym

4 – Ethics issues table

1. HUMAN EMBRYOS/FOETUSES i		Page
Does your research involve Human Embryonic Stem Cells (hESCs) ?	☐ Yes ☒ No	
Does your research involve the use of human embryos?	☐ Yes ☒ No	
Does your research involve the use of human foetal tissues / cells?	☐ Yes ☒ No	
2. HUMANS		Page
Does your research involve human participants?	☐ Yes ☒ No	
Does your research involve physical interventions on the study participants?	☐ Yes ☒ No	
Does it involve invasive techniques?	☐ Yes ☒ No	
3. HUMAN CELLS / TISSUES		Page
Does your research involve human cells or tissues? If your research involves human embryos/foetuses, please also complete the section "Human Embryos/Foetuses" [Box 1].	☐ Yes ☒ No	
4. PROTECTION OF PERSONAL DATA ii		Page
Does your research involve personal data collection and/or processing?	☐ Yes ☒ No	
Does your research involve further processing of previously collected personal data (secondary use)?	☐ Yes ☒ No	
5. ANIMALS iii		Page
Does your research involve animals?	☐ Yes ☒ No	

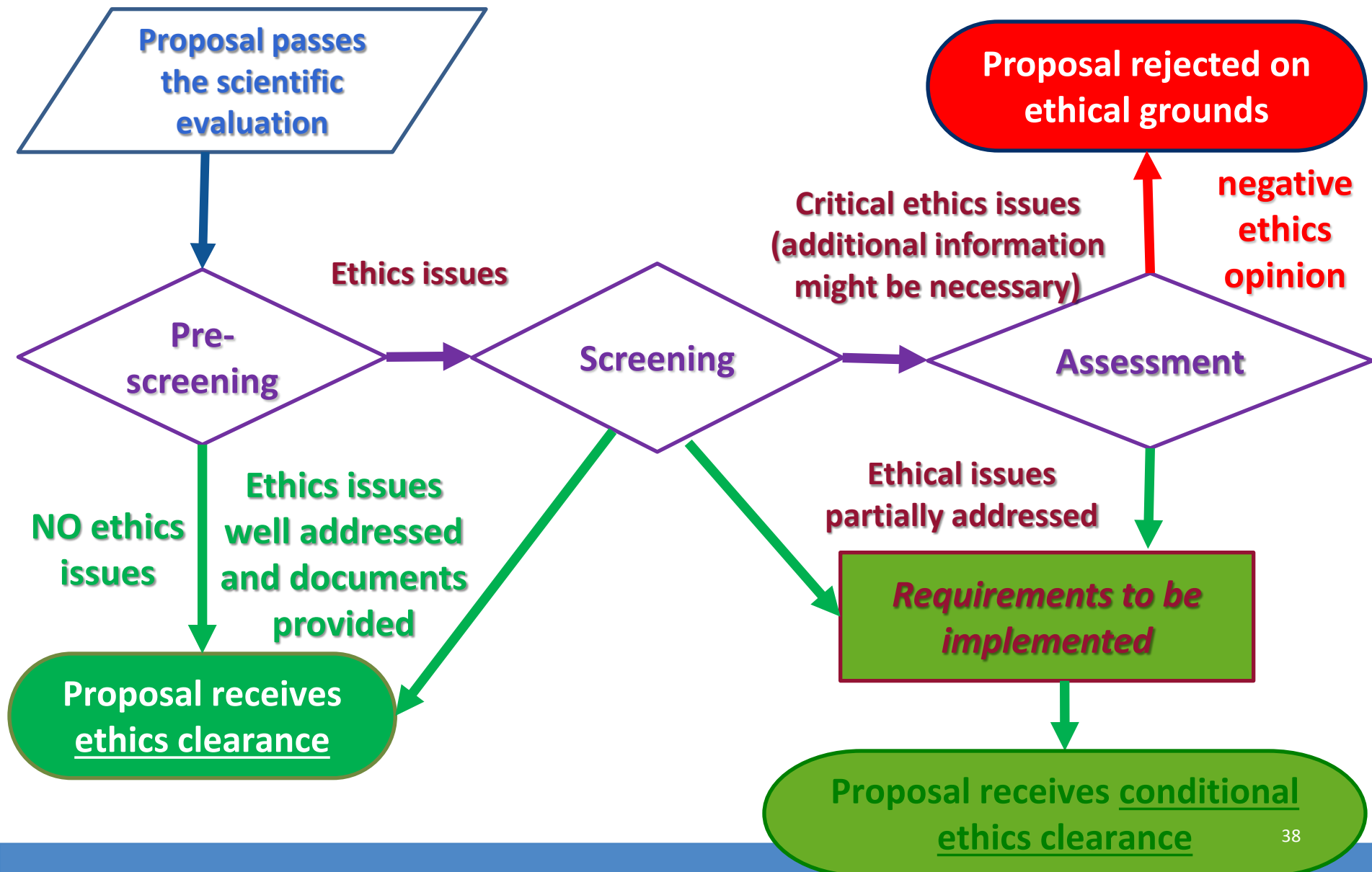
If 'yes' for any questions, ethics self-assessment to be completed in Part B

Applicant Self-Assessment

If at least one issue is identified within the ethics issues table, the applicants must:

- i) Describe how the proposal meets the national legal and ethics requirements of the country/countries where the tasks raising ethics issues will be performed and provide a copy of any ethics committee opinion, notification or authorisation if obtained or required.
- ii) Discuss in detail how the ethics issues identified in the Ethics Issues Table, will be addressed in particular in relation to:
 - the research objectives per se (e.g. study of vulnerable populations, dual use, etc.)
 - the research methodology (e.g. involvement of participants and related consent procedures, protection of data collected etc.)
 - the potential impact of the research (e.g. questions related to dual use, environmental damages, population stigmatisation, malevolent use, etc.).

Ethics Appraisal



Guidance on ethics issues in H2020

Ethics help desk (Participant Portal)

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

Civilian Focus/misuse/dual use

Guidance note: Research focusing exclusively on civil applications, available online at:

http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/guide_research-civil-apps_en.pdf

Guidance note: Research involving dual use items, available online at: http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/guide_research-dual-use_en.pdf

Guidance note: Potential misuse of research results, available online at: http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/guide_research-misuse_en.pdf

How to complete your ethics self-assessment

Documents to keep in mind

General:

<http://ec.europa.eu/justice/data-protection/>

http://ec.europa.eu/research/participants/data/ref/h2020/legal_basis/fp/h2020-eu-decl-fp_en.pdf

Transatlantic data transfers:

http://ec.europa.eu/justice/newsroom/data-protection/news/151106_en.htm

Data protection Bodies

http://ec.europa.eu/justice/data-protection/bodies/index_en.htm

Article 29 Opinion on the “internet of things”

http://ec.europa.eu/justice/data-protection/article-29/documentation/opinion-recommendation/files/2014/wp223_en.pdf



Thank you very much
for your attention!



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