



Oportunidades H2020: Enerxía Segura, Limpa, e Eficiente

PROPOSAL EVALUATION PROCESS

**CLAVES PARA A PREPARACIÓN DE PROPOSTAS. RECOMENDACIÓNS
E ESTRATEXIAS**



Francisco de Bartolomé. H2020 & Eurostar independent expert
Fuente: EU Briefing of experts. LCE 2016-2017

HORIZON 2020

23-Mayo.2017 Sede GAIN

Les Suenan ??



*Su propuesta es innovadora, pero
desafortunadamente no la podemos
adoptar, ya que nunca hemos hecho
nada parecido*

Evaluation 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)

You have a COI if you:

- were **involved in the preparation of the proposal** (including pre-proposal checks)
- stand to **benefit directly/indirectly** if the proposal is successful
- 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
- **are involved in a competing proposal**

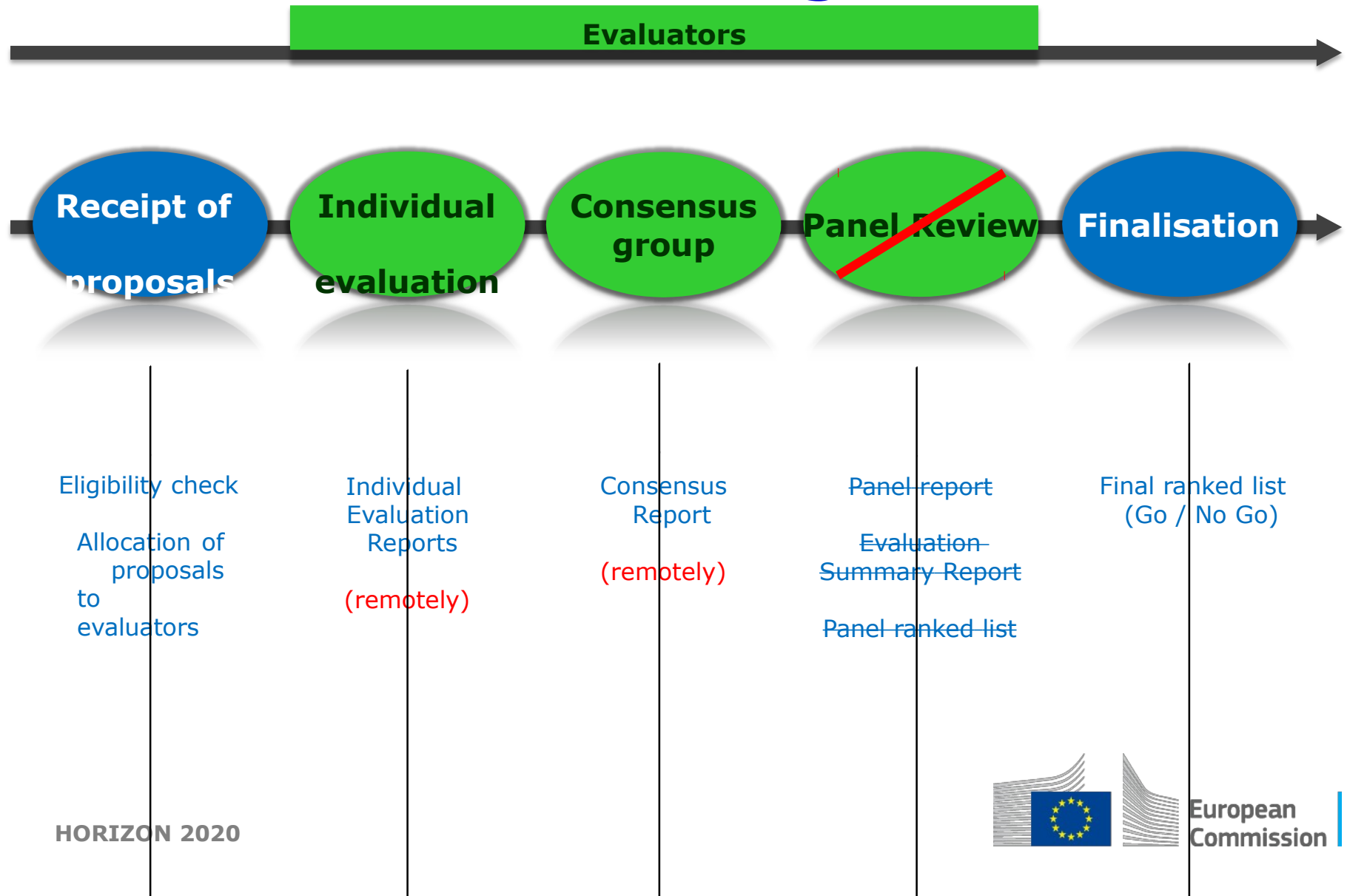
THE EVALUATION PROCEDURE IN PRACTICE

FASES 1 Y 2



Overview of the Evaluation Process

1st Stage



Specificities of 1st Stage evaluation

- **Only Excellence and expected impacts, which means:**
 - No operational capacity
 - No quality of the implementation, of the consortium, resources etc...
 - No Dissemination, Communication and Exploitation of results
- **Very short proposals: 10 pages**
 - Shorter reports expected
 - Shorter discussions: indicatively 48 minutes per proposal according to your contract fees
 - Remote: discussions only when necessary
- **No panel review, no ranking of equally scored proposals**
 - **Very good / excellent proposals are invited to submit a full proposal at stage 2 (budgetary restrictions may apply)**

The aim of a 2-stage evaluation process is to quickly judge a project/concept and its potential impact based on a short summary, in order to avoid that applicants spend a lot of time and resources on proposals that are unlikely to be favourably evaluated

Evaluation criteria (RIA)

- For Stage 1 of a two-stage evaluation (short proposals), there are 2 evaluation criteria:
 - Excellence (relevant to the description of the call or topic)
 - (partially) Impact

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
- 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.

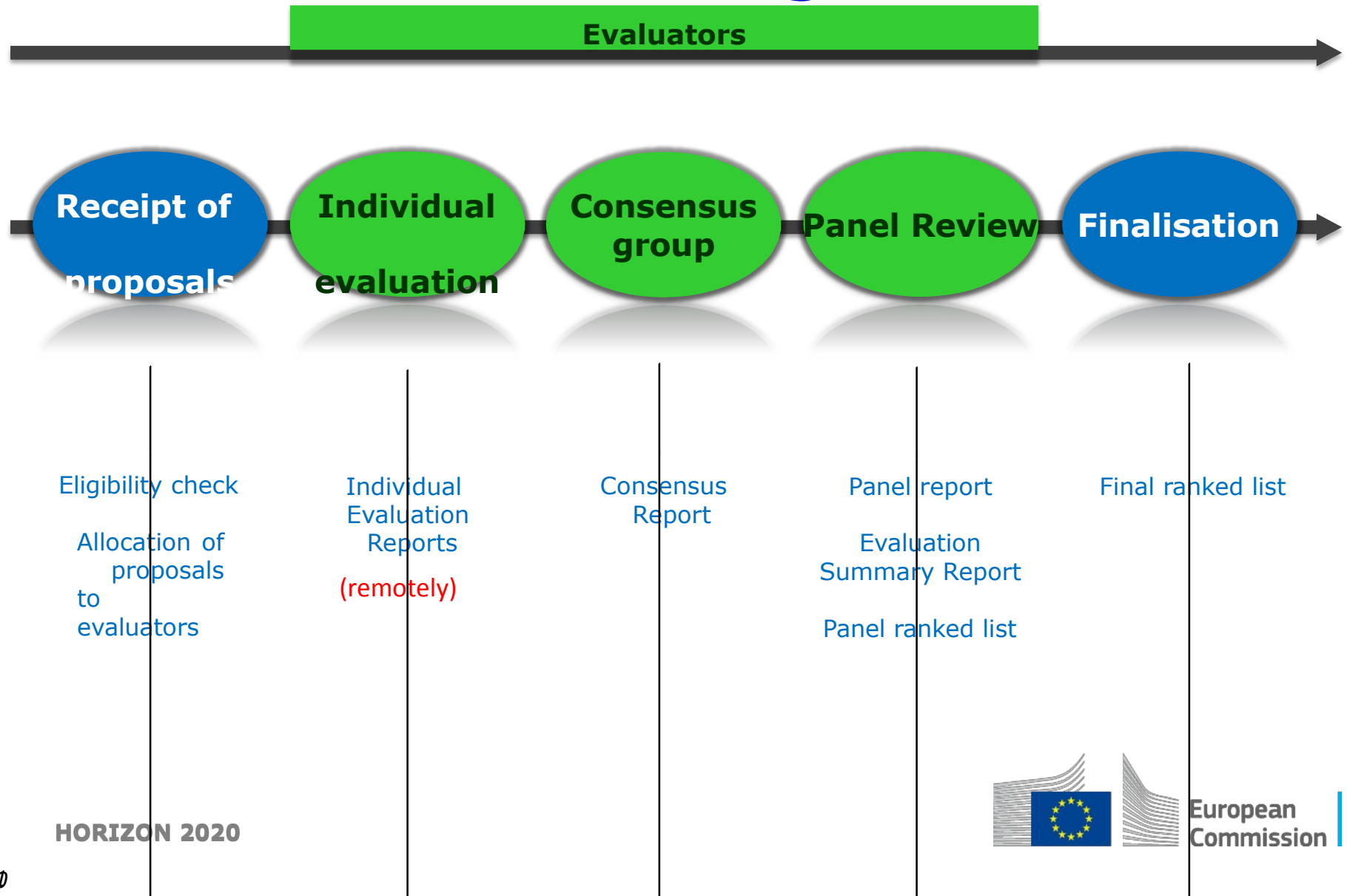
Impact

- The expected impacts listed in the work programme under the relevant topic

– Default threshold for individual criteria is 4

Overview of the Evaluation Process

2nd Stage



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
- See later slides

Proposal scoring

- **You give a score of between 0 and 5 to each criterion based on your comments**
 - Half-marks 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 threshold is **3**
- **...and to the total score**

The overall threshold is **10**
- **For Innovation Actions (IA), the criterion Impact will be given a weight of 1.5 to determine the ranking**

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.

Research and Innovation Actions/Innovation Actions

Excellence

To the extent that the proposed work corresponds to the topic description in the work programme:

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- **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)**
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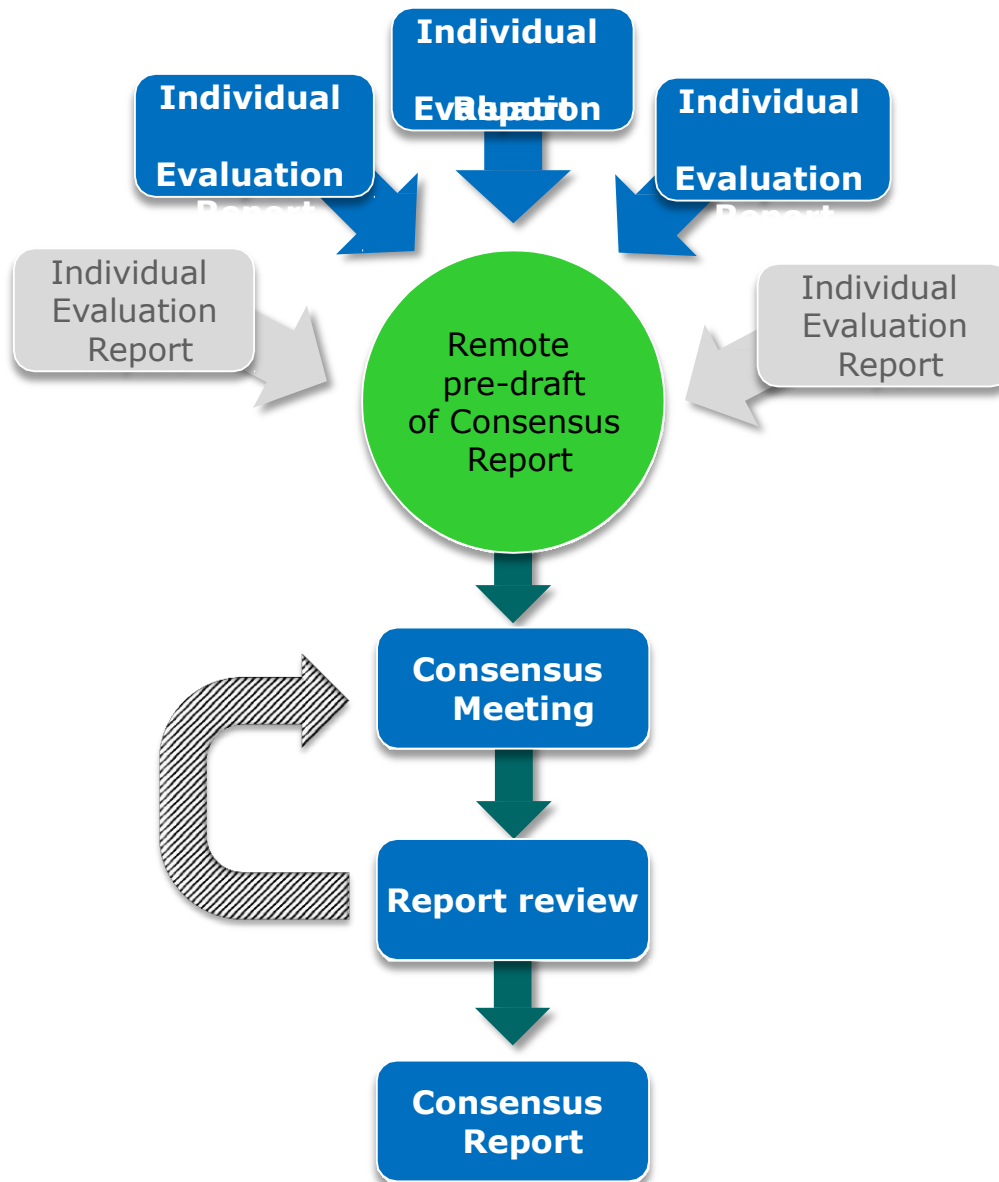
Impact

- **The expected impacts listed 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 project results (including IPR, manage data research where relevant); communicate the project activities to different target audiences (n/a SME Phase 1)

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 which the consortium as a whole brings together expertise
- Appropriateness of allocation of tasks, ensuring that all participants have a valid role and adequate resources in the project to fulfill that role

Consensus Process



Remote Evaluation

Central Evaluation

Consensus Meetings

- **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 (0.1 resolution)
- **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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Review of Consensus Reports by QC

- A review of the finalised reports (post-discussion) will be done by Quality Controllers (QC)
- Comments will be mainly via the evaluation forms (comments box)
- However the QC may join the discussions and present his/her comments / advice
- **QC do not express opinions on proposals or applicants, and must not influence the evaluation results**

The panel review process

- Chaired by one of the QC or Agency/EC Staff
- 1 Rapporteur (may be appointed among the experts)
- **Consists of experts from the consensus groups (incl. the rapporteur) as well as the moderators**
- Ensures the **consistency of comments and scores** given at the consensus stage for all proposals competing for a given budget
- **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**
- Report to be signed by Chair and Rapporteur of the meeting + Majority of members

CLAVES PARA A PREPARACIÓN DE PROPOSTAS. RECOMENDACIONES E ESTRATEGIAS

HOW TO MAKE A^N ~~VERY GOOD~~ EXCELLENT PROPOSAL



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LCE 07 WORK PROGRAMME 2016 – 2017

Developing the next generation technologies of renewable electricity and heating/cooling

TOPIC : Developing the next generation technologies of renewable electricity and heating/cooling

Topic identifier: LCE-07-2016-2017

Publication date: 14 October 2015

Types of action: RIA Research and Innovation action

DeadlineModel:

Opening date: single-stage 27 October 2015

Deadline: 16 February 2016 17:00:00

Types of action: RIA Research and Innovation action

DeadlineModel:

Opening date: two-stage 29 July 2016

Deadline: 29 November 2016 17:00:00

2ND Stage Deadline: 22 August 2017 17:00:00

<https://ec.europa.eu/research/participants/portal4/desktop/en/opportunities/h2020/topics/lce-07-2016-2017.html>

HORIZON 2020 - Work Programme 2016
'Secure, Clean and Efficient Energy'

LCE WORK PROGRAMME 2016 - 2017

Introduction

The European Energy Union, as set out in the recent framework strategy¹, calls for increased energy security, solidarity and trust, a fully integrated European energy market, improved energy efficiency contributing to the moderation of demand, a decarbonisation of the economy as well as increased efforts as regards research, innovation and competitiveness.

With more than EUR 1 billion dedicated to supporting energy-related research and innovation activities in 2016-2017, this Work Programme is as a key instrument to progress towards an European Energy Union which provides EU consumers – households and businesses – with secure, sustainable, competitive and affordable energy. Achieving this goal will require a fundamental transformation of Europe's energy system

Responding to the challenges highlighted in the Energy Union framework strategy and building on the priorities identified in the SET-Plan Integrated Roadmap³, this work programme part will put particular emphasis on enabling the participation of consumers in the energy transition, and improving the efficiency of the energy system, especially as regards the building stock and developing the next generation of renewable energy technologies and their integration in the energy system (including energy storage). To increase the leverage of EU activities, this work programme part strengthens cooperation with national funding programmes – based on discussions between Member States/Associated Countries and the European Commission on the updating of the SET-Plan – and provides support for first-of-a-kind, commercial-scale industrial demonstration projects.

More specifically, activities included in this work programme part contribute to the two focus areas "Energy Efficiency" and "Competitive Low-Carbon Energy". The "Smart Cities and Communities" under the "Smart and Sustainable Cities" focus area is included in the cross-cutting part of the work programme (Annex 20). Activities cover the full innovation cycle – from 'proof of concept' to applied research, pre-commercial demonstration and market uptake measures. This work programme part also includes a range of activities aiming at facilitating the market uptake of energy technologies and services, fostering social innovation, removing non-technological barriers, promoting standards and accelerating the cost effective implementation of the Union's energy policies.

¹ See 'Framework Strategy for a Resilient Energy Union with a Forward-Looking Climate Change Policy', COM (2015)80 final

² EUCO 169/14

³ See <https://setis.ec.europa.eu/set-plan-process/integrated-roadmap-and-action-plan>

LCE 07 ASPECTOS IMPORTANTES A CUMPLIR



Proposals should address one or more of the technology-specific challenges described in the WP

Combining renewables areas, when new innovative ideas could bring breakthrough, is welcome, but the proposal should have a **clear focus on at least one of the technology specific challenges**. The proposals should bring technology solutions to **TRL 4-5** (please see part G of the General Annexes) at the end of the action.

Environment, health and safety issues shall be considered in all developments and appropriately addressed.

Proposals shall explicitly address performance and cost targets together with relevant key performance indicators, expected impacts, as well as provide for development of explicit exploitation plans.

Technical issues, synergies between technologies, regional approaches, socio-economic and environmental aspects from a **life-cycle perspective** (including public resistance and acceptance, business cases, pre-normative and legal issues, pollution and recycling) need to be appropriately addressed wherever relevant.

Technology readiness levels (TRL)



Where a topic description refers to a TRL, the following definitions apply, unless otherwise specified:

- **TRL 1 – basic principles observed**
- **TRL 2 – technology concept formulated**
- **TRL 3 – experimental proof of concept**
- **TRL 4 – technology validated in lab**
- **TRL 5 – technology validated in relevant environment (industrially relevant environment in the case of key enabling technologies)**
- **TRL 6 – technology demonstrated in relevant environment (industrially relevant environment in the case of key enabling technologies)**
- **TRL 7 – system prototype demonstration in operational environment**
- **TRL 8 – system complete and qualified**
- **TRL 9 – actual system proven in operational environment (competitive manufacturing in the case of key enabling technologies; or in space)**

LCE 07 EXPECTED IMPACTS



Expected Impact: Further to what mentioned for the specific technologies, proposals focusing on the technology specific challenges should address **all** the general impacts listed below:

*

Reduce the technological risks for the next development stages;
Significantly increased technology performance;
Reducing life-cycle environmental impact;
Nurturing the development of the industrial capacity to produce components and systems and opening of new opportunities;
Contributing to the strengthening the European industrial technology base, thereby creating growth and jobs in Europe;
Reducing renewable energy technologies installation time and cost and/or operational costs, hence easing the deployment of renewable energy sources within the energy mix;
Increasing the reliability and lifetime while decreasing operation and maintenance costs, hence creating new business opportunities;
Contributing to solving the global climate and energy challenges.

How to make a good proposal.

The expert experience

Excellence

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PLANTILLA PARA REALIZAR LA PROPUESTA



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Disclaimer
This document is aimed at informing potential applicants for Horizon 2020 funding. It serves only as an example. The actual Web forms and templates, provided in the online proposal submission system under the Participant Portal, might differ from this example. Proposals must be prepared and submitted via the online proposal submission system under the Participant Portal.

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LES SUENA??

MUCHAS GRACIAS. fbartolome@iies.es

