

***Oportunidades H2020: Nanotecnoloxías, Materiais avanzados,
Biotecnoloxía e Novas formas de produción (NMBP)***

Claves para a preparación de propostas. Recomendacións e estratexias

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Santiago de Compostela, 24 de outubro 2017



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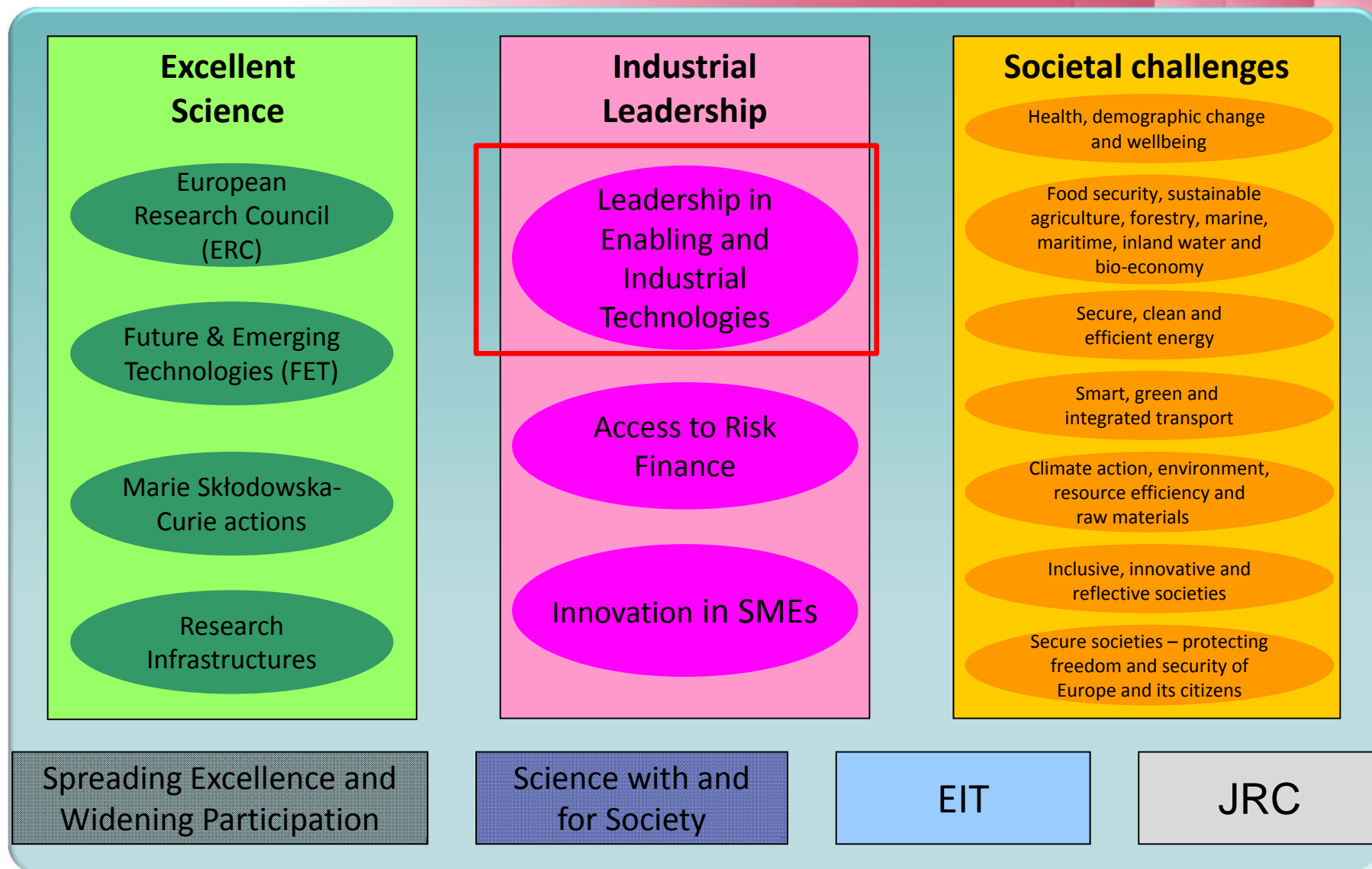
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- Proposal preparation
- Proposal evaluation
- Lessons learnt



- **Proposal preparation**
- Proposal evaluation
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Initial Considerations (I)

How does a usual project look like?

- EU added value
- Usually, it will require a consortium involving, at least, 3 legal entities in 3 different Member States or Associated Countries
- Aligned with the specific R&D lines included in the calls and relevant work programmes
- Comply with ethical principles, and with national/EU legislation



Initial Considerations (II)

Am I ready for participation?

- Does the participation opportunity fits my strategy?
- Collaboration with international partners:
 - Do I like it?
 - Do I have them? Can I find them?
- Calls have particular characteristics:
 - Extremely competitive - ready to be disappointed?
 - Is the usual time to grant ok for me?
- Do I have the right team to write the application?



Key Milestones

- Defini

- Seali

- Valic

- Prop

-
-

- Supl

funded initiatives, etc.



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help

κ, EU



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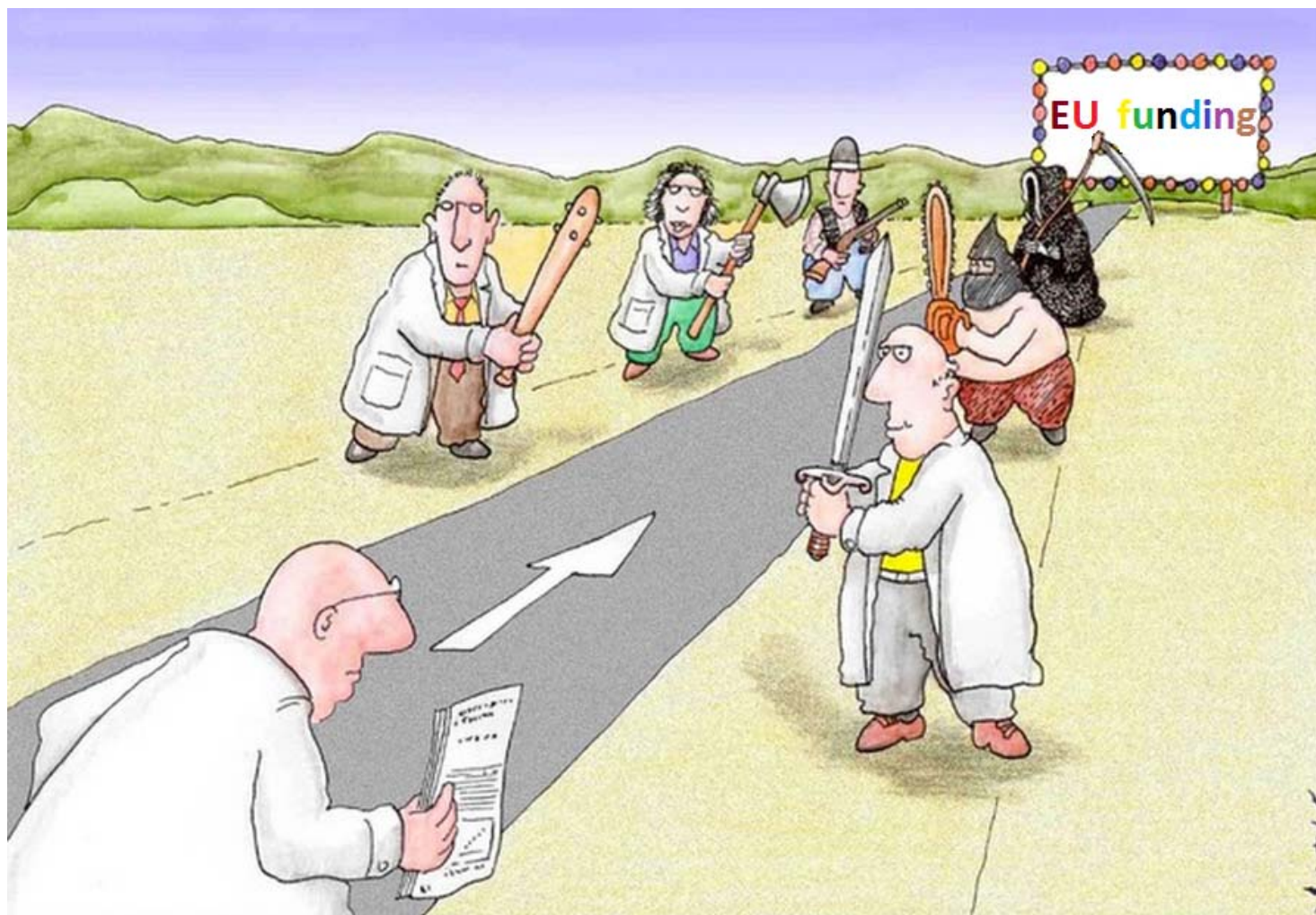
Benefits from participation

- Cooperation with key stakeholders/researchers on a given area
- Training for own staff
- Access to new technologies
- Access to new markets
- International reputation
- Funding for R&D activities



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Evaluation criteria (I)

1. EXCELLENCE:

- Clarity and pertinence of the **objectives**;
- Soundness of the **concept**, and credibility of the proposed **methodology**;
- Extent that the 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**.

Threshold: 3 / 5 (please check the call – higher threshold possible)

Source: http://ec.europa.eu/research/participants/data/ref/h2020/other/wp/2016_2017/annexes/h2020-wp1617-annex-h-esacrit_en.pdf



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Evaluation criteria (II)

2. IMPACT:

- The extent to which the outputs 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 work programme**, 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 the 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.

Threshold: 3 / 5 (please check the call – higher threshold possible)

Source: http://ec.europa.eu/research/participants/data/ref/h2020/other/wp/2016_2017/annexes/h2020-wp1617-annex-h-esacrit_en.pdf



Evaluation criteria (III)

3. 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 the **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 fulfil that role.

Threshold: 3 / 5 (please check the call – higher threshold possible)

Source: http://ec.europa.eu/research/participants/data/ref/h2020/other/wp/2016_2017/annexes/h2020-wp1617-annex-h-esacrit_en.pdf



Evaluation criteria (IV)

2. Scoring and weighting:

Unless otherwise specified in the call conditions:

- Evaluation scores will be awarded for the criteria, and not for the different aspects listed in the above table. For full proposals, each criterion will be scored out of 5. The threshold for individual criteria will be 3. The overall threshold, applying to the sum of the three individual scores, will be 10.
- For Innovation actions and the SME instrument (phases 1 and 2), to determine the ranking, the score for the criterion 'impact' will be given a weight of 1.5.
- For the evaluation of first-stage proposals under a two-stage submission procedure, only the criteria 'excellence' and 'impact' will be evaluated. Within these criteria, only the aspects in bold will be considered. The threshold for both individual criteria will be 4. For each indicative budget-split in the call conditions, the overall threshold, applying to the sum of the two individual scores, will be set at the level such that the total requested

Source: http://ec.europa.eu/research/participants/data/ref/h2020/other/wp/2016_2017/annexes/h2020-wp1617-annex-h-esacrit_en.pdf



Evaluation criteria (V)

Evaluation criteria, scoring and threshold: The criteria, scoring and threshold are described in General Annex H of the work programme. The following exceptions apply:

| | |
|--|---|
| | For single-stage and second-stage evaluations, the threshold |
|--|---|

- ⁵ The Director-General responsible for the call may decide to open the call up to one month prior to or after the envisaged date(s) of opening.
All deadlines are at 17.00.00 Brussels local time.
The Director-General responsible may delay the deadline(s) by up to two months.

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| | |
|--|---|
| | for the criteria Excellence and Impact will be 4. The overall threshold, applying to the sum of the three individual scores, will be 12. Except for Coordination and Support Actions and ERA-NET Cofund Actions in calls with an opening date on or after 26/07/2016. |
|--|---|

Evaluation Procedure: The procedure for setting a priority order for proposals with the same score is given in General Annex H of the work programme.. The following exceptions apply:

Source: http://ec.europa.eu/research/participants/data/ref/h2020/wp/2016_2017/main/h2020-wp1617-leit-nmp_en.pdf



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The scoring scale

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 procedure

1. Calls may be subject to either a **one-stage or two-stage submission and evaluation procedure**
2. Proposals are **evaluated by independent experts**. As part of the evaluation (...), a **panel review** will recommend one or more **ranked lists** for the proposals under evaluation (...)
3. Proposal coordinators receive an **Evaluation Summary Report (ESR)**, showing the results of the evaluation for a given proposal
4. If special procedures apply, they will be set out in the **call conditions**

Source:

http://ec.europa.eu/research/participants/data/ref/h2020/other/wp/2016_2017/annexes/h2020-wp1617-annex-h-esacrit_en.pdf



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Evaluation: phase 1 (remote)

1. EC on-line training for evaluators

- General briefing: evaluation criteria, rules for participation, etc.
- Topic-specific: topic text, project dimension, what is in scope, etc.

2. Role of evaluators

- At least 3 evaluators: **Individual Evaluation Reports (IERs)** for each proposal.
- Each report includes comments and marks.

3. Role of Rapporteur / Recorder

- Integrates IERs into a **draft Consensus Report (CR)**: just comments, no marks.
- Recorder DOES NOT include his/her own comments in the report.



Evaluation: phase 2 (Brussels)

1. Usual schedule developed over a full week
2. Briefing for evaluators (Monday)
 - General briefing and topic-specific
3. Consensus meetings (Monday to Thursday am)
 - Evaluators + recorder + EC officer work on **draft CR**
 - Recorder and EC officer - only facilitate discussion
 - Output: **Final CR**, with a consensus mark, reached within 2 hours. **Quality-check** by EC to ensure that the new text agreed matches the final scores)



Evaluation: phase 2 (Brussels)

4. Proposal ranking /cross-reading exercise (Thursday pm)
 - Proposals are initially ranked by EC according to their mark.
 - **Cross-reading** of proposals ABOVE threshold
 - *Calibration exercise*
 - 2-3 additional experts
 - Limited time per proposal
5. Panel review (Friday)
 - Cross-readers may suggest changes to marks (consistency)
 - Recommends a **final list of proposals** in priority order



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Lessons learnt - preparation

1. Try to avoid a “one shot” approach: H2020 as a tool to establish a long-term EU network
2. Topics are not there “by chance”: additional information on the context will be needed
3. Help the evaluator to go through the proposal
4. Make the most of horizontal activities: dissemination and exploitation
5. Proposal preparation needs resources



Lessons learnt - evaluation

1. The overall process does work – “bad” proposals will not make it (but not all “good” proposals will make it).
2. Evaluators are experienced and have multidisciplinary expertise – if there is a weakness, they will spot it.
3. Generally, consensus is reached during the meetings and marks are not changed during the panel review.



GRAZAS!

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