



Il processo di valutazione: criteri e iter

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H2020 NCP - Climate Action, Environment, Resource Efficiency and Raw Materials (SC5)

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Proposal evaluation

- *Criteria & scoring – in the WP General Annex*
- *Process – in Commission Guidelines*





adapting to Horizon 2020

- New types of call; new types of proposal
 - multi-disciplinary and multi-sectoral; more emphasis on innovation and close-to-market;
- Simplification, for applicants, experts, and for streamlined operations;
- Coherence across the programme





Evaluation of proposals

- **Award criteria**
 - Excellence
 - Sole criterion for ERC frontier research actions
 - Impact
 - Higher weighting for innovation actions
 - Quality and efficiency in the implementation
 - Details, Weightings and thresholds to be laid down in WP
- Evaluation to be carried out by independent expert
- Possibility of a 2 stage submission procedure





Process to grant and signature of GA

- **Time to Grant**

- From 9 (FR) to 8 months (Exceptions: ERC, complex actions, requested by applicants)
 - 5 months for informing applicants on outcome of scientific evaluation
 - 3 months for signature of GA = grant finalisation process

- **Remarks :**

- no changes of the composition of the consortium (removal or substitution needs to be duly justified) before signature of the grant agreement
- No provision for competitive call in order to include new beneficiaries





Award criteria: Research and Innovation Actions;
Innovation Actions; SME instrument

1. Excellence

- Clarity and pertinence of the objectives;
- Credibility of the proposed approach;
- Soundness of the concept, including trans-disciplinary considerations, where relevant;
- Extent that proposed work is ambitious, has innovation potential, and is beyond the state of the art (e.g. ground-breaking objectives, novel concepts and approaches).





Award criteria: Research and Innovation Actions; Innovation Actions; SME instrument

2. Impact

- The expected impacts listed in the work programme under the relevant topic;
- Enhancing innovation capacity and integration of new knowledge;
- Strengthening the competitiveness and growth of companies by developing innovations meeting the needs of European and global markets, and where relevant, by delivering such innovations to the markets;
- Any other environmental and socially important impacts;
- Effectiveness of the proposed measures to exploit and disseminate the project results (including management of IPR), to communicate the project, and to manage research data where relevant.





Award criteria: Research and Innovation Actions;
Innovation Actions; SME instrument

3. Quality and efficiency of implementation

- Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks and resources;
- Complementarity of the participants within the consortium (when relevant);
- Appropriateness of the management structures and procedures, including risk and innovation management.





Award criteria: Coordination & support actions

1. Excellence

- Clarity and pertinence of the objectives;
- Credibility of the proposed approach;
- Soundness of the concept;
- Quality of the proposed coordination and/or support measures.





Award criteria: Coordination & support actions

2. *Impact*

- The expected impacts listed in the work programme under the relevant topic;
- Effectiveness of the proposed measures to exploit and disseminate the project results (including management of IPR), to communicate the project, and to manage research data where relevant.





Award criteria: Coordination & support actions

3. Quality and efficiency of implementation

- Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks and resources;
- Complementarity of the participants within the consortium (when relevant);
- Appropriateness of the management structures and procedures, including risk and innovation management.





Scoring/weights/thresholds

- As in FP7 each criterion scored out of 5; individual threshold of 3; overall threshold of 10
- Unlike FP7, for Innovation Actions and SME instrument...
 - impact criterion weighted by factor of 1.5
 - Impact considered first when scores equal



Priority of proposals with equal score

- For each group of tied proposals
 - First consider those that "fill gaps" in the WP
 - Of those, look at score for 'excellence', then at score for 'impact' (*reverse for Innovation actions & SME instrument*)
 - If still equal, look at SME budget
 - If still equal look at gender balance in key personnel
 - If still equal, consider other factors (overall portfolio, wider H2020, EU objectives etc)
 - Then repeat for those that don't "fill gaps"



Evaluation Process

Chain of individual, consensus and panel review maintained.
 But changes w.r.t. FP7:

- Dealing with multi-disciplinary/sectoral proposals
- New expert profiles, new blood; Call for experts planned for November
- Robust rules on expert turnover;
- More experts per proposal;
- Clear procedures for cases where experts disagree

Dealing with 8 month TTG

- Proposals strictly evaluated on their own merit No recommendations for substantial changes
- More multi-step (stopping evaluation when threshold failed)
- Fast and simplified procedure for SME instrument (i.a.)





Submission

- Full use if pre-registered data (PIC etc)
- Self check for SME status, financial viability
- Proposal “part B” structure closely matching criteria
- Aligned with Grant Agreement “Description of Work”
- Simpler but tougher page limits
 - “warn and watermark” in first round of calls
- More 2-stage procedure; with simplified approaches for short proposals





Proposal structure

Based around evaluation criteria:

- Excellence
- Eg. Objectives, concept, progress beyond state-of-art..

Impact

- Eg. Potential impact (*incl. with reference to WP*);
measures to maximise impact (*dissemination, communication, exploitation*)

Implementation

- Including **work packages descriptions**





EXPERTS





Independent experts

Evaluate, advise, assist on

- Evaluation of proposals
- Monitoring of actions
- Implementation of H2020
- Implementation and design of R&I policy including preparation of future Programmes
- Evaluation of R&I policy and Programmes





Independent experts (2)

- Skills, experience and knowledge
- Identification and selection on the basis of calls for applications
- Expert outside the database may be chosen in duly justified cases, in a transparent manner
- Balanced composition
- Conflict of interest
- Names published 1/year on website

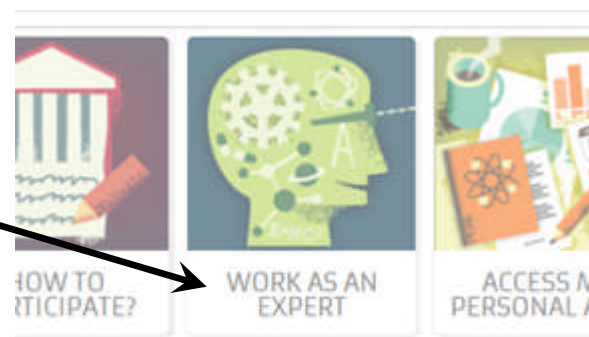




Experts

Appropriately qualified individuals may apply to work as experts in H2020 evaluations

- Application via Participant Portal



Selection per call to ensure broad ranging and expert group; avoiding conflicts of interest

Call for experts planned for November