

#### TURKEY IN HORIZON 2020 ALTUN/HORIZ/TR2012/0740.14-2/SER/005



# H2020 Thematic Oriented Training "Secure Societies Calls"

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1. Secure Societies Work Programme

2. General Annexes

3. How to submit a proposal

4. Evaluation Process

5. Useful Information

## WP 2016/17 - Structure



### CIP

Critical
Infrastructure
Protection

### DS

Digital Security

### **SEC**Security

### FTI

Fast Track To Innovation

### **SME**

Instrument

- Physical & cyber protection
- Cybersecurity

### **DRS**

**Disaster Resilience** 

#### **FCT**

Fight Against Crime and Terrorism

### **BES**

Border and External Security

### **GM**

**General Matters** 

- Civil Protection
- Response
- CBRN

- Human Factors
- Forensics
- Investigation
- Detection

- Land/Sea Borders
- Border Controls
- Maritime Transport
- Data Fusion

Practioners'Networks

ec.europa.eu/research/participants/data/ref/h2020/wp/2016 2017/main/h2020 -wp1617-security en.pdf

## WP 2016/17 - Budget



Laryean							
Call			2016		2017		
		Agency	No of	BUDGET	No of	BUDGET	
			Topics	(M€)	Topics	(M€)	
	CIP		1	20	1	20	
DS		REA	3*	29**	2+	36**	
	DRS	REA	4	19.5	<b>2</b> ~	23.75	
SEC-	FCT	REA	5	44.25	3~	42	
3LC-	BES	REA	3	34	5	42	
	GM	REA	1	15.5	1	14	
SEC TOTAL		13	113.25	11	121.75		
SME	SME Instrument EASME			15.37		14.67	
	FTI			3.9			
Other Actions				3.82		4.6	
GRAND TOTAL		17	185.34	14	197.02		
GRAND TOTAL REA		17	162.25	14	177.75		

<sup>\*</sup>plus 1 ICT and 1 from Health, \*\* plus 23.5M€ from ICT and 11M€ from Health

ec.europa.eu/research/participants/data/ref/h2020/wp/2016 2017/main/h20 20-wp1617-security en.pdf Executive Agency

<sup>+</sup>plus 1 from ICT, ++plus 18.5M€ from ICT

<sup>~1</sup> open 2016-2017

# Type of Actions in SC7 2016-2017 WP

Fast Track to Innovation Pilot (2016)

**SME Instrument** 

Research and Innovation Action (RIA)

**Innovation Action (IA)** 

**Coordination and Support Action (CSA)** 

Pre-Commercial Procurement (PCP)

2016

2017



### Types of Actions Overview



#### Research and Innovation Action (RIA):

<u>Collaborative Research</u> Projects

Up to 100% of eligible costs

<u>Eligibility criteria</u>: **3** independent legal entities, each established in a different MS or AC

#### Innovation Action (IA):

<u>Close to market</u>, aiming at innovation in products, processes or services

Up to **70%** of eligible costs (unless non-profit: up to 100%)

<u>Eligibility criteria</u>: **3** independent legal entities, each established in a different MS or AC

#### Coordination and Support Action (CSA):

"accompanying measures" (e.g. policy, dissemination,...), no research!

Up to 100% of eligible costs

Eligibility criteria: 1 legal entity established in a MS or AC





## What's new? - Topic Description



### 1. Introductory statements:

- SPECIFIC CHALLENGE
- Scope
  - **√** ...
  - √ SMEs
  - √ international cooperation
  - ✓ TRL
  - ✓ Indicative budget
- Expected Impact (to be assessed in the "Impact" criterion)
  - √ Short term
  - ✓ Medium term
  - ✓ Long term
- Type of Action (RIA/IA/CSA/PCP)

#### Why?

- ✓ Explains the overall context
- ✓ Avoids misunderstandings
- ✓ Reduces rejections of proposals



## What's new? "Practitioners"



2. The participation of practitioners\* is a mandatory criterion for nearly all topics. Check *Eligibility and admissibility conditions* in the WP (12/17 topics in 2016)

When a topic has eligibility and admissibility conditions which state: "mandatory participation of specific entities" (e.g.: '3 Law Enforcement Agencies (LEA) from 3 different MS or AC) means that:

- these entities **have to be participants** and
- should be <u>directly involved</u> in carrying out the <u>tasks</u> foreseen in the grant.

### Why is this applied?

- ✓ Enhance feedback to policy
- ✓ Improve market uptake potential
- ✓ Increase innovation potential
- ✓ Reduce oversubscription
- ✓ Reduce duplications

\*A **practitioner** is someone who is qualified or registered to practice a particular occupation, profession in the field of security or civil protection.

## Ranking List - Additional Criteria



Call		Topic #	Type of Action	Additional Selection Conditions	
CIP		1	IA		
DS		2	IA		
		4	RIA		
		5	CSA	Only the best proposal may be funded for strands 1, 2 and	
		1	IA		
	DRS	2	CSA	Only the best proposal may be funded for this topic	
		3	IA		
		5	CSA		
	FCT	6	RIA		
		7	RIA	Only the best proposal may be funded for each Sub-topic	
SEC-		8	RIA	Only the best proposal may be funded for part a) and part b).	
		11	RIA		
		12	RIA	Only the best proposal may be funded for each Sub-topic.	
	BES	14	RIA		
		19	IA		
		20	IA		
	GM 21 CSA		CSA	part c): Only one such network may be supported over the 2016-2017 period.	



### Cross-cutting Issues



### Cross-cutting issues are fully integrated in the work programme (WP)

- Social Sciences and Humanities (SSH) are integrated across all Horizon 2020 activities to successfully address European challenges
- Gender dimension in the content of R&I a question on the relevance of sex/gender analysis is included in proposal templates
- The new strategic approach to international cooperation consists of a general opening of the WP and targeted activities across all relevant Horizon 2020 parts
  - The approach to providing 'automatic funding' to third country participants is restricted
- Other cross-cutting issues may also be included in the WP such as Responsible Research and Innovation (RRI) including public engagement, science education, open access to scientific publications, ethics..., etc

Agency

# General Annexes – Eligible for Funding (1/2)

### A. List of countries eligible for funding

- 1- the 28 MS
- 2- the **Associated Countries**:
  - ✓ Iceland
  - ✓ Norway
  - ✓ Albania
  - √ Bosnia and Herzegovina
  - √the former Yugoslav Republic of
  - Macedonia
  - ✓ Montenegro
  - ✓ Serbia
  - ✓ Turkey
  - ✓ Israel

- ✓ Moldova
- Switzerland (partial association, see below)
- √ Faroe Islands
- **√Ukraine**
- ~ Tunisia, Georgia & Armenia
- × Liechtenstein

#### **Associated Countries:**

http://ec.europa.eu/research/participants/data/ref/h2020/grants manual/hi/3cpart/h2020-hi-list-ac en.pdf

#### Switzerland:

http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/h2020-hi-swiss-part\_en.pdf







# General Annexes – Eligible for Funding (2/2)

- 3- List of **third countries** as in Annex A.
- 4- **International European interest organisations** (the majority of whose members are MS or AC, and whose principal objective is to promote scientific and technological cooperation in Europe )
- 5- Legal entities established in countries not listed above will be eligible for funding when such funding is explicitly foreseen in the call / topic.
- 6- In addition, legal entities established in countries not listed in Annex A and international organisations (IOs) will be eligible for funding:
- ✓ When funding for such participants is provided for under a bilateral scientific and technological agreement or any other arrangement between the EU and an international organisation or a third country;
- ✓ When the Commission deems participation of the entity essential for carrying out the action funded through Horizon 2020 (outstanding competence and expertise, access to unique know-how, access to research infrastructures, access to geographical environments, involving key partners in emerging markets, access to data, etc.)



### **General Annexes – Admissibility (1/2)**



### **B. Standard admissibility conditions and related requirements**

- Readable, accessible and printable
- Completeness of proposal: presence of all requested forms
- Inclusion of a plan for exploitation and dissemination of results
- Page limits will apply:
  - Part A (fill-in on-line): Sections 1 to 5
  - Part B (upload 2 pdf):
    - 1- First pdf file Sections 1-3
      - Evaluation criteria

Limit: 70 pages (50 for CSAs & 90 PCP)

2- Second pdf file - Sections 4-6: No page limit

#### 3.2 Management structure and procedures

- Describe the organisational structure and the decision-making (including a list of milestones (table 3.2a))
- Explain why the organisational structure and decision-making mechanisms a appropriate to the complexity and scale of the project.
- Describe, where relevant, how effective innovation management will be addressed in management structure and work plan.

A Innovation management is a process which requires an understanding of both more technical problems, with a goal of successfully implementing appropriate creative (das. An or improved product, service or process is its typical output. It also allows to community respond to an external or internal opportunity.

Describe any critical risks, relating to project implementariem, that the lated project's
objectives may not be achieved. Detail any risk mitigation to begun. Please provide a
table with critical risks identified and mitigating actions (table 3.5)

#### 3.3 Consortium as a whole

⚠ The individual members of the consortium are described in a strate section 4. There is no need to repeat that information here.

- Describe the consortium. How will it match the project's objectives? How do the
  members complement one anothe (and lover the value chain, where appropriate)? In
  what way does each of them contribute to the project? How will they be able to work
  effectively together?
- If applicable, describe the industral commercial involvement in the project to ensure exploitation of the results and explicit why this is consistent with and will help to achieve the specific measures which are proposed for exploitation of the results of the project (see section 3.
- Other countries: It is a one of the participants requesting EU funding is based in a
  country that is to authoritically eligible for such funding (entities from Member States
  of the Ep. top. Associated Countries and from one of the countries in the exhaustive
  list included in General Annex A of the work programme are automatically eligible for
  EU funding, explain why the participation of the entity in question is essential to
  coming out the project.

#### Relources to be committed

A Please make sure the information in this section matches the costs as stated in the budget table in section 3 of the administrative proposal forms, and the number of person/months, shown in the detailed work package descriptions.

Please provide the following:

a table showing number of person/months required (table 3.4a)

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# General Annexes – Admissibility (2/2) European Commission

- Description of Participants (Part B Section 4): needed to assess operational capacity of each participant (General Annex B):
  - ✓A curriculum vitae or description of the profile of the persons who will be primarily responsible for carrying out the proposed research and/or innovation activities;
  - ✓A list of up to five relevant publications, and/or products, services (including widely-used datasets or software), or other achievements relevant to the call content;
  - ✓A list of up to five relevant previous projects or activities, connected to the subject of this proposal;
  - ✓ A description of any **significant infrastructure** and/or any major items of **technical equipment**, relevant to the proposed work;
  - ✓ A description of any **third parties** that are not represented as project partners, but who will nonetheless be contributing towards the work (e.g. providing facilities, computing resources)



## **General Annexes**- Eligibility,...



#### C. Standard eligibility criteria

- Minimum number of partners as set out in the call conditions
- Be in scope
- Other criteria may apply on a call-by-call basis as set out in the call conditions

### D. Types of action: specific provisions and funding rates

- E. Specific requirements for innovation procurement (PCP/PPI) supported by Horizon 2020 grants
- F. Rules of Contest (RoC) for Prizes





## General Annexes - TRLs



### **G.** 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; ...)
- ✓ Most of the topics have TRLs levels specified (e.g. up to TRL  $\frac{8}{24}$ )

## General Annexes - Evaluation



#### H. Evaluation

- ...remain the same (i. e. Excellence, Impact, Quality & efficiency of the implementation)
- Some fine-tuning of the 'aspects to be taken into account' to improve clarity, for example:
  - Excellence clearer message on 'inter-disciplinarity'
- new
- Impact better signalling of both work programme 'expected impacts' and 'other possible impacts; communication aspects separated out
- Implementation reference to resources being in line with objectives; and all partners have valid role
- The proposal template reflects the criteria, and provides further guidance (e.g. on draft plan for dissemination and exploitation)

### I. Budget flexibility

#### J. Classified Information

Reference to new Commission Decision

### K. Financial support to third parties





## General Annexes - Evaluation Criteria (RIA/IA)



Excellence			
(to the extent that the proposal			
addresses the WP topic)			

#### **Impact**

### Quality and efficiency of the implementation

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

- 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

- 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.

## General Annexes Evaluation Criteria (CSA

Excellence (to the extent that the proposal addresses the WP topic)	Impact	Quality and efficiency of the implementation
<ul> <li>Clarity and pertinence of the objectives;</li> <li>Soundness of the concept, and credibility of the proposed methodology;</li> <li>Quality of the proposed coordination and/or support measures.</li> </ul>	<ul> <li>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;</li> <li>Quality of the proposed measures to:         <ul> <li>Exploit and disseminate the project results (including management of IPR), and to manage research data where relevant.</li> <li>Communicate the project activities to different target audiences</li> </ul> </li> </ul>	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

### **General Annexes: Scoring and Ranking**



#### **Scores and Thresholds:**

- Each criterion scored out of 5
- Individual threshold of 3
- Overall threshold of 10

### **Ranking Rules:**

- For IA, Impact (CR2) weighted by 1.5 to determine ranking
- The procedure for setting a priority order for proposals with the same score is given in part H of the General Annexes.

(cf. General Annexes H.)







- 1. Secure Societies Work Programme
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### **The Participant Portal**



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



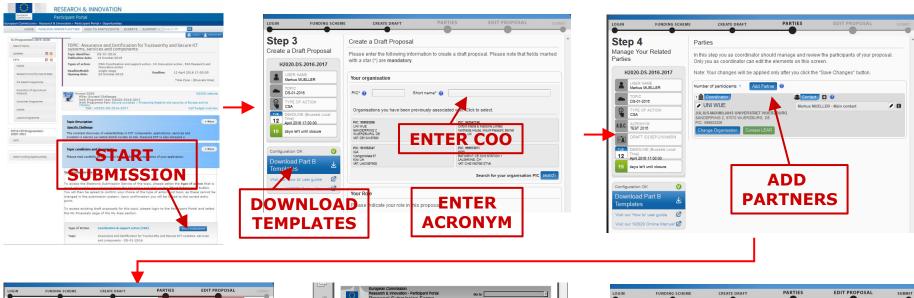
### **Proposal Submission - Step-By-Step**

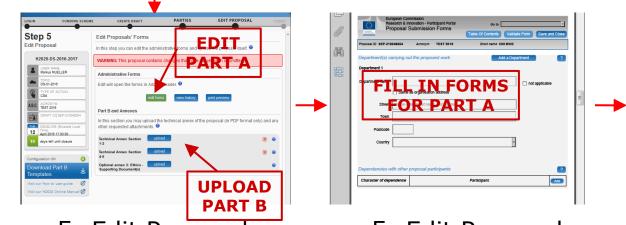


2: Topic/Funding Scheme

3: Create Draft

4: Parties







5: Edit Proposal

5: Edit Proposal

6: Submit



### The Proposal Template - Short Overview



you <u>must</u> use the **official template** for the part B

- Part A (fill-in on-line): Sections 1 to 5
- Part B (upload 2 pdf):
  - 1- First pdf file Sections 1-3:
    - Section 1: Excellence
    - Section 2: Impact
    - Section 3: Implementation

**Limit**: **70** pages (**50** pages for CSA)

- 2- Second pdf file **Sections 4-6:** 
  - Section 4: Members of the consortium (operational capacity)
  - Section 5: Ethics and Societal Impact (in addition to the self-assessment of part A)
  - Section 6: Security (no classified information in the proposal, to address possible classification of fore/background)

Agency

No page limit

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### **Attention Points**



- Respect the page limits: excess pages will be watermarked and disregarded by the evaluators.
- Note: All tables must be included within this limit. Minimum font size
  allowed is 11 points. The page size is A4, and all margins (top,
  bottom, left, right) should be at least 15 mm (not including any footers
  or headers).
- Note: Relevant information for Sections 1-3 cannot be moved to sections 4-6 or elsewhere.

#### Submit on time:

- Complete the submission, including all checks, well before the deadline to avoid last-minute technical problems, human errors, timedelay in uploading, ...
- Note: Until the deadline you can always reedit and resubmit



## Operational Capacity



- As part of the Individual Evaluation, the evaluators give their view on whether each applicant has the necessary <u>basic</u> operational capacity to carry out their proposed activity(ies) **based on the information** provided in Section 4
  - 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, the evaluators consider whether an applicant lacks basic operational capacity
- If yes, the evaluators make comments and score the proposal without taking into account this applicant and its associated activity(ies)





### Fill in the Societal Impact Table



- Security as societal value is a guiding principle throughout the WP.
- All actions must be in compliance with the provisions of the Charter of Fundamental Rights of the European Union.
- The applicants must fill in the "**Societal Impact Table**", as part of the submission process. This is taken into account during the evaluations under the "Impact" criterion.
- When dealing with the development of technologies, it is recommended that actions consider the concept of "**Privacy by Design**".

Societal Impact Table

Does your research meet the need of society?			Page
<ol> <li>Does the proposed research address documented societal security need(s) (e.g. life, liberty, health, employment, property, environment, values)?</li> </ol>	<ul><li>Yes</li></ul>	○ No	22
2. Does the research output meet these needs? Will this be demonstrated? Will the level of societal acceptance be assessed?	○ Yes	No	
Does the research address threats to society? (e.g. crime, terrorism, pandemic, natural and man-made disasters etc.).	○ Yes	No	
4. Does the proposed research address in an appropriate way these threats?	Yes	No	
Does your research benefit society?			Page
5. Do segment(s) of society benefit from the proposed research?	<ul><li>Yes</li></ul>	○ No	26
6. Does society as a whole benefit from the proposed research?	Yes	○ No	
Does your research have negative impact on society?			Page
7. Are there other European societal values that are enhanced by the proposed research e.g. public accountability and transparency; strengthened community involvement; human dignity; good governance; social and territorial cohesion; sustainable development etc.?	Yes	No	
<ol> <li>If implemented, could the research have a negative impact on the rights and values enshrined in the Treaties (e.g. freedom of association, freedom of expression, protection of personal dignity, privacy and data protection.</li> </ol>	Yes	No	
9. If implemented, could the research impact disproportionately upon specific groups or unduly discriminate against them?	Yes	No	
10. Will specific measures be taken to ensure that the research outcomes comply with the European Charter of Fundamental Rights and to mitigate against any of the negative impacts described above?	<ul><li>Yes</li></ul>	○ No	

Page in the proposal where the issue is addressed



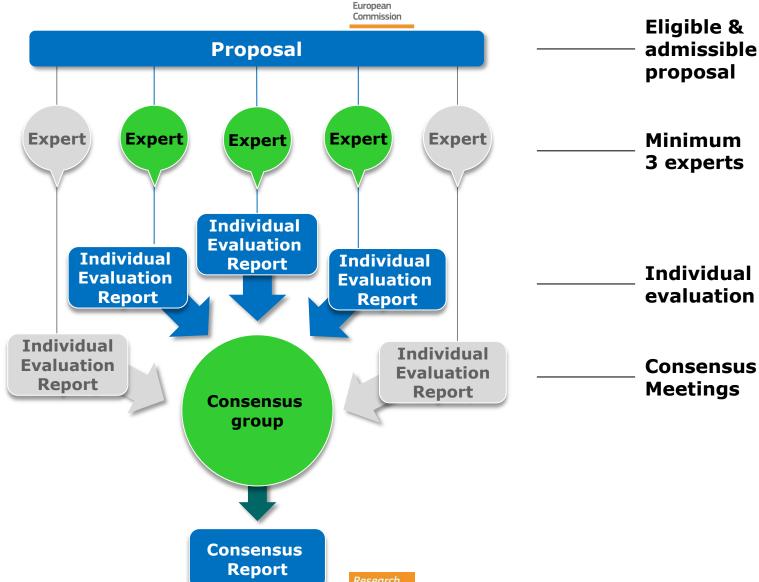


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Research Executive

### **Evaluation Process – How does it work?**





### Definition of Scores





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.

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# **Evaluation - Guiding Principles**

### · Independence

- evaluators assess in their personal capacity
- evaluators represent neither their employer, nor their country!

Commission

### Impartiality

 evaluators must treat all proposals equally and evaluate them impartially on their merits, irrespective of their origin or the identity of the applicants

### Objectivity

evaluators evaluate each proposal as submitted; meaning on its own merit,
 not its potential if certain changes were to be made

### Accuracy

 evaluators make their judgment against the official evaluation criteria and the call or topic the proposal addresses, and nothing else

### Consistency

evaluators apply the same standard of judgment to all proposals



# Proposals with identical total scores (RIA & CSA) ....

- For each group of proposals with identical total scores, the panel considers first proposals that address topics that are not already covered by a higher-ranked proposal
- The panel then orders them 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 size of the budget allocated to SMEs
  - Second, the gender balance of personnel 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 of Horizon 2020
- The same method is then applied to proposals that address topics that are already covered by more highly-ranked proposals



# Proposals with identical total scores (IA)

- The criterion Impact is given a weight of 1.5 to determine the ranking (IA).
- •For each group of proposals with identical total scores, the panel considers first proposals that address topics that are not already covered by more highly-ranked proposals
- The panel then orders them according to:
  - First, their score for **IMPACT**,
  - And second, their score for Excellence
- If there are ties, the panel takes into account the following factors:
  - First, the size of the budget allocated to SMEs
  - Second, the gender balance of personnel 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 of Horizon 2020
- The same method is then applied to proposals that address topics that are already covered by more highly-ranked proposals

### Info and networking events



Horizon 2020 Secure Societies European Info Day and Brokerage Event

### **SECURE SOCIETIES**

**Info Day and Brokerage Event** 

6-7 March 2017 Radisson Blu Royal Hotel, Brussels, Belgium



The Network of H2020 Secure Societies National Contact Points – SEREN3, in collaboration with the European Commission and Research Executive Agency is organizing a **European Info** day and brokerage event on Secure Societies calls 2017.

The event will take place on 6 and 7 March at Radisson Blu Royal Hotel in Brussels.

The event will give details on the calls for proposals H2020-CIP-2017, H2020-SEC-2017 and H2020-DS-2017, which will officially open on 1st of March 2017 under the societal challenge Secure Societies - Protecting freedom and security of Europe and its citizens. These calls offer new research funding opportunities to research institutions, universities, industries, SMEs, civil society organizations, end users and any other security stakeholders.

Read more: Horizon 2020 Secure Societies European Info Day and Brokerage Event

#### SAVE-THE-DATE FOR THE SMI2G MEETING 2017

As in previous years, the Security Mission Information & Innovation Group (SMI2G) is organising a two-day event in Brussels to discuss on the upcoming 2017 Secure Societies calls of Horizon 2020. This brokerage event will provide a unique networking platform to stimulate innovative ideas and facilitate the creation of consortia. All Secure Societies topics will be represented.

This event will be held on Thursday 2nd and Friday 3rd February 2017. This year the SMI2G is kindly hosted again by Université Catholique de Louvain (UCL) in Brussels.

Don't miss out on this excellent opportunity to expand your network and find partners!

Presentations from the event are now available here.

ORGANISED BY:







