

Clean Sky 2 Evaluation process

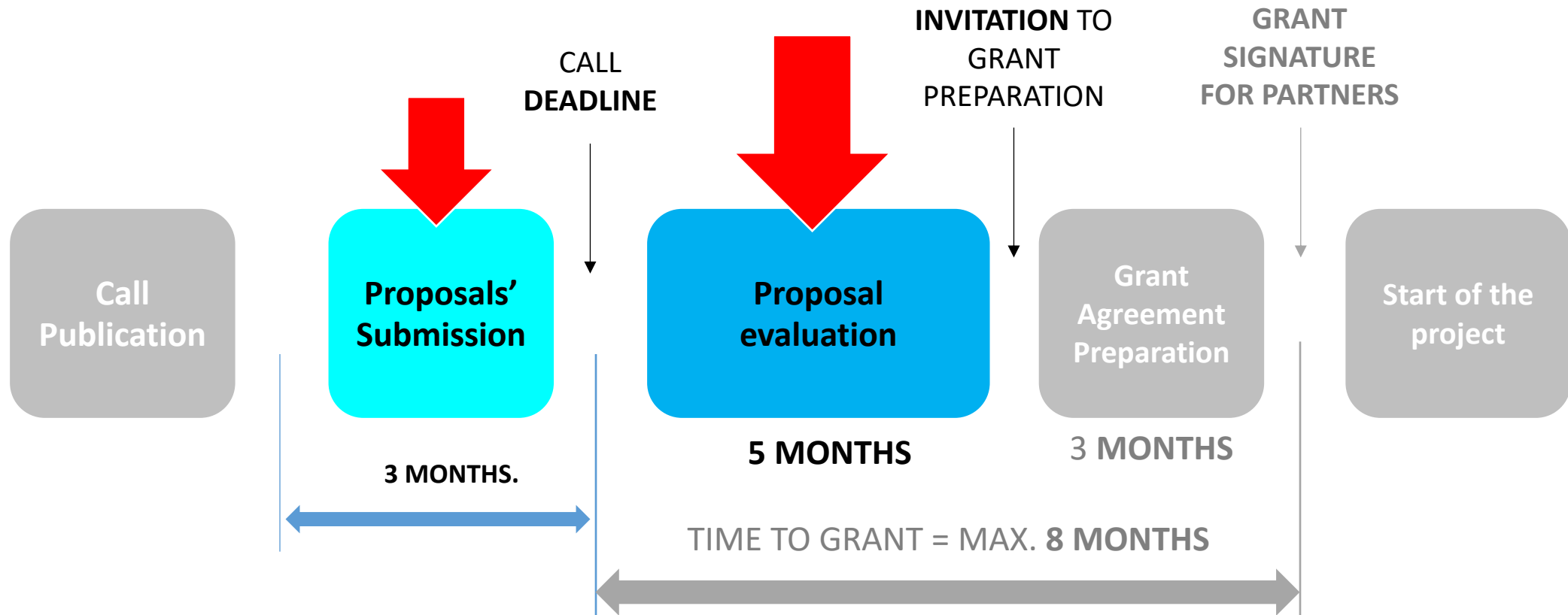


Miriam de Angelis

Horizon 2020 National Contact Point for
'Smart green and integrated transport' & 'Clean Sky 2'

Agenzia per la Promozione della Ricerca Europea (APRE)

From CfP publication to the project



A photograph of a laboratory bench with various glassware and tools. In the foreground, there are three Erlenmeyer flasks of different sizes, some containing liquids. To the left, there is a white bowl and a glass jar filled with pipettes. To the right, there is a larger flask with a side arm. The background is blurred, showing more laboratory equipment. A semi-transparent dark rectangle is overlaid in the center, containing the text "THE SUBMISSION" in white, bold, sans-serif capital letters.

THE SUBMISSION

Applicant's Proposal Submission System

Templates for submitting a valid proposal:

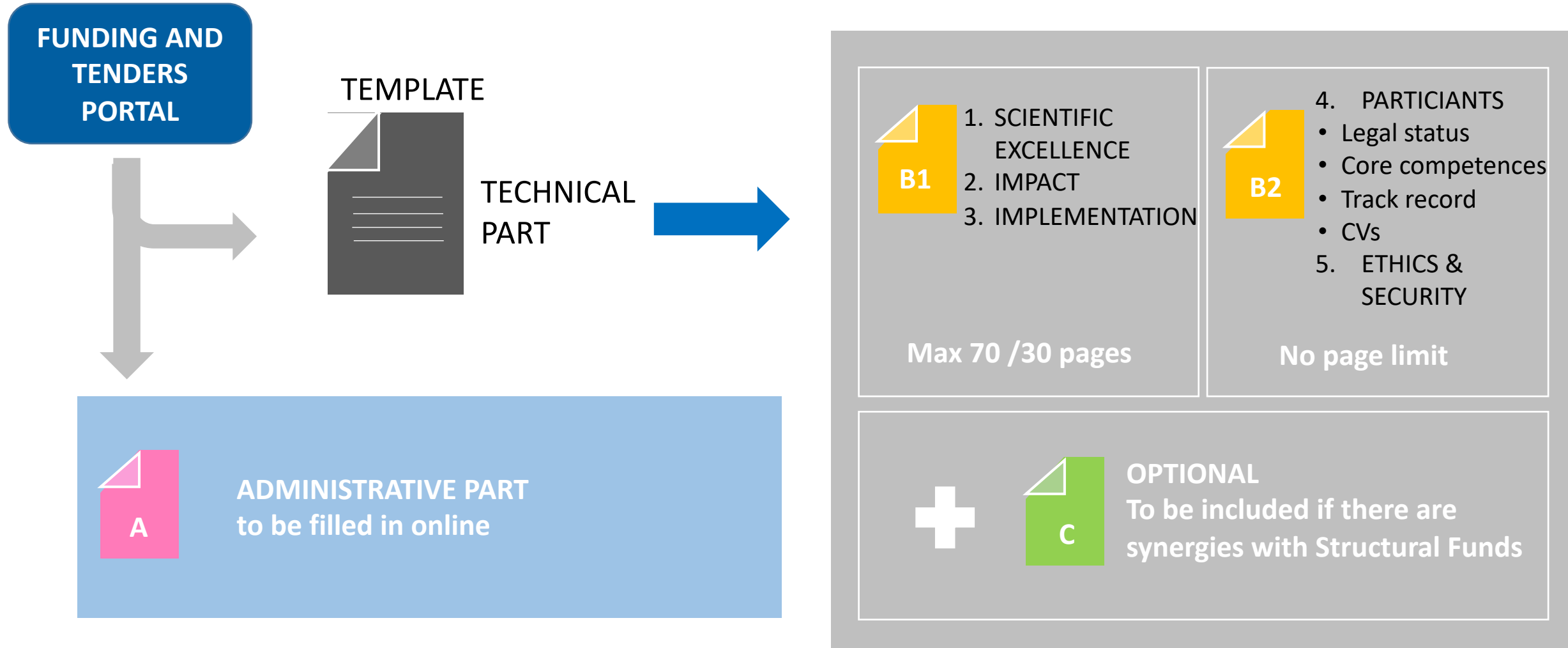
1. Part A [Administrative Section (Coordinator ID, Legal LEAR etc.)]
2. Part B.I [Technical Section]

NOTE: 70-page limitation for non-thematic topics, 30-page limitation for thematic topics

3. Part B.II [Members of consortium (participants, operational capacity, etc.), (potential) ethics and security issues identified by the applicant]
4. Part C [ESIF Complementary Activities – OPTIONAL]
5. Part D [Declaration on the Participation of any Affiliated Entities to Private Members of CS2JU in this proposal and Declaration(s) of Interests]

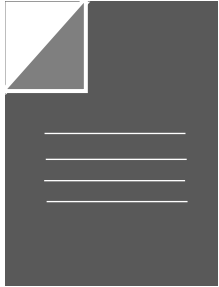
These templates (in pdf format) are available to potential applicants on the Funding and Tenders Portal prior the official opening of the Submission System.

The submission system



The submission system

TEMPLATE



1. SCIENTIFIC EXCELLENCE
2. IMPACT
3. IMPLEMENTATION

EVALUATION CRITERIA

EXCELLENCE



minimum

IMPACT



minimum

IMPLEMENTATION



minimum

TOTAL THRESHOLD
Minimum 10/15

The Three Criteria – Elaborated

1. EXCELLENCE

Type of Actions	Aspects for Evaluation	Corresponding Ref. in the proposal template (Part B.I.)
Research and Innovation Actions; Innovation Actions	Clarity and pertinence of the objectives	§1.1
	Soundness of the concept, and credibility of the proposed methodology;	§1.3
	Appropriate consideration of interdisciplinary approaches and, where relevant, use of stakeholder knowledge and gender dimension in research and innovation content	§1.3
	Extent that the proposed work is beyond the state of the art , and demonstrates innovation potential	§1.4

NOTE: For Thematic Topics to determine the ranking, the score for the criterion ‘excellence’ will be given a weight of **1.5**.

The Three Criteria – Elaborated

2. IMPACT

Type of Actions	Aspects for Evaluation	Corresponding Ref. in the proposal template (Part B.I.)
Research and Innovation Actions; Innovation Actions	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;	§2.1
	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;	§2.1
	Quality of the proposed measures to: •Exploit and disseminate the project results (incl. management of IPR), and to manage research data where relevant. •Communicate the project activities to different target Audiences	§2.2.1 §2.2.2
	The section on exploitation shall demonstrate a clear commitment to support exploitation of the results brought by their participation in the programme and contribute to European EU competitiveness.	§2.2.1

IMPACT criterion: basic assumptions

- Assume that the proposal is 100% successful
- It is not necessary that impact is immediate but the proposal should be evaluated on the *likelihood* and *significance* of the impact[s] described assuming the project's success.

Are these impacts qualified and/or quantified?

- A proposal does not need to demonstrate impact in all areas (but the merit of the proposal and score should reflect the breadth and scope of impacts expected).

NOTE:

- This criterion may play a « **tie-breaker** » role. Emphasis should be given to the innovation / demonstration orientation of the CS2 programme.
- For Innovation actions to determine the ranking, the score for the criterion 'impact' will be given a weight of **1.5**.

How should Innovation orientation be evaluated?

Experts should check that the proposed activities are in line with the type of action implemented by the topic [RIA/IA/CSA].

Under the '*Impact*' criterion:

- All *aspects* should receive attention, see previous slide.
- *The proposers' description of any barriers/obstacles, and any framework conditions (such as regulation and standards), that may determine whether and to what extent the expected impacts will be achieved should also be checked and assessed;*
- *The extent to which risks have been identified as well as potential mitigation of these can be helpful in assessing the merit of the proposal's impact[s].*

The Three Criteria – Elaborated (5/6):

3. IMPLEMENTATION

Type of Actions	Aspects for Evaluation	Corresponding Ref. in the proposal template (Part B.I.)
Research and Innovation Actions; Innovation Actions	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;	§3.1 / §3.4
	Appropriateness of the management structures and procedures, including risk and innovation management;	§3.2
	Match of technical capabilities and skills with the Topic Area and congruent with the programme objectives embodied in the topic;	§3.2
	Ability to work effectively within a supply chain and into an equal or higher tier industrial organization;	§3.2.1
	Complementarity of the participants and extent to which the consortium as whole brings together the necessary expertise;	§3.3
	Appropriateness of the allocation of tasks, ensuring that all participants have a valid role and adequate resources in the project to fulfil that role.	§3.3 / / §3.4

Adequacy & Efficiency of the allocation of resources:

Requested funding, total eligible costs vs. the indicative topic value:

- ✓ The indicative topic funding value provided in the Call is an **estimate**
- ✓ Applicants must address the scope of the topic in full and submit with their proposal both requested funding **and** the **total eligible costs**
- ✓ Applicants' **resource requirements** for the proposed activity, should be detailed with due justifications and explanations (see Part B.I. - Work Package Effort)
- ✓ The applicant's **total eligible costs** of their proposal should be considered for the evaluation of the *Adequacy & Efficiency of the allocation of resources*
- ✓ The requested funding amount should not be considered as this may depend on the nature of the applicant in accordance with H2020

Adequacy & Efficiency of the allocation of resources:

- ✓ Should be based on the **total eligible costs** of their proposal
- ✓ No ceiling as such shall apply
- ✓ The proposal **must** contain due justification of any exceedance of the topic's "**Gross Budget**", which should be calculated as below
- ✓ Scores for the Implementation criterion **must** take the level of exceedance *or* potential savings [if any] vs. this Gross Budget and the justification into consideration.

For RIAs :

- Merit of the proposal wrt resource requirements stated for the technical content, in light of topic
- Total Eligible Cost to be compared to [**100**/100 x indicative funding of the topic] as "Topic Gross Budget"

For IAs

- Merit of the proposal wrt resource requirements stated for the technical content, in light of topic
- Total Eligible Cost to be compared to [100/**70** x indicative funding of the topic] as "Topic Gross Budget"

Operational capacity

- **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
- **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)**



THE EVALUATION PROCESS

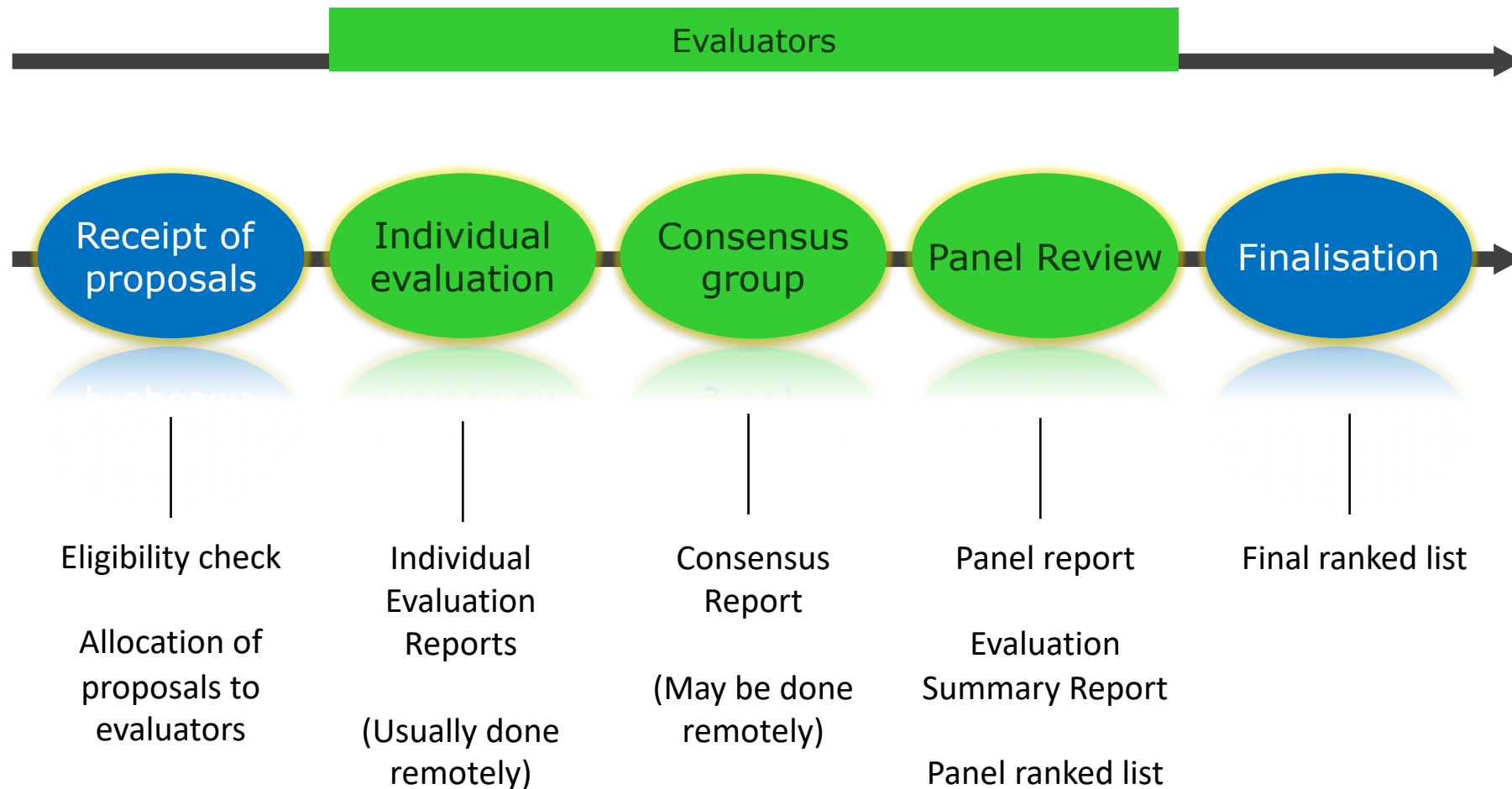
© Joakim Kraemer

The Evaluation Process

- Independent experts evaluate proposals submitted in response to a given call
- 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

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

Overview of the Evaluation Process



Thank you!

APRE

Agenzia per la Promozione della Ricerca
Europea
via Cavour, 71
00184 - Roma
www.apre.it
Tel. (+39) 06-48939993
Fax. (+39) 06-48902550

Miriam de Angelis

mdeangelis@apre.it